STATE OF NORTH CAROLINA DEPARTMENT OF TRANSPORTATION HIGHWAY DIVISION 9

PROPOSAL – Indefinite Quantity Indefinite Delivery (IDIQ) Small Business Enterprise (SBE) NON-EXCLUSIVE CONTRACT

DATE AND TIME OF BID OPENING: SEPTEMBER 11, 2024 AT 2:00 p.m.

CONTRACT ID:

WBS ELEMENT NO.:

COUNTY:

ROUTE NO.:

LOCATION:

TYPE OF WORK:

MI00003 - D9-TREE-2024

DAVIDSON, DAVIE, FORSYTH, ROWAN, STOKES

VARIOUS

TBD

TBD

"TREE SERVICE" CONSISTING OF THE PRUNING OR REMOVAL OF TREES USING SOUND, ESTABLISHED ARBORICULTURAL PRINCIPLES FROM HIGHWAY RIGHT OF WAY ALONG STATE MAINTAINED ROADS ON AN "AS NEEDED BASIS"

NOTICE:

ALL BIDDERS SHALL COMPLY WITH ALL APPLICABLE LAWS REGULATING THE PRACTICE OF GENERAL CONTRACTING AS CONTAINED IN CHAPTER 87 OF THE GENERAL STATUTES OF NORTH CAROLINA WHICH REQUIRES THE BIDDER TO BE LICENSED BY THE N.C. LICENSING BOARD FOR CONTRACTORS WHEN BIDDING ON ANY NON-FEDERAL AID PROJECT WHERE THE BID IS \$30,000 OR MORE, EXCEPT FOR CERTAIN SPECIALTY WORK AS DETERMINED BY THE LICENSING BOARD. BIDDERS SHALL ALSO COMPLY WITH ALL OTHER APPLICABLE LAWS REGULATING THE PRACTICES OF ELECTRICAL, PLUMBING, HEATING AND AIR CONDITIONING AND REFRIGERATION CONTRACTING AS CONTAINED IN CHAPTER 87 OF THE GENERAL STATUTES OF NORTH CAROLINA. NOTWITHSTANDING THESE LIMITATIONS ON BIDDING, THE BIDDER WHO IS AWARDED ANY FEDERAL - AID FUNDED PROJECT SHALL COMPLY WITH CHAPTER 87 OF THE GENERAL STATUTES OF NORTH CAROLINA FOR LICENSING REQUIREMENTS WITHIN 60 CALENDAR DAYS OF BID OPENING.

THIS IS A ROADWAY PROJECT.

BID BONDS ARE NOT REQUIRED.

NAME OF BIDDER

ADDRESS OF BIDDER

PROPOSAL FOR

CONTRACT NO. MI00003 – D9-TREE-2024 IN DAVIDSON, DAVIE, FORSYTH, ROWAN AND STOKES COUNTIES, NORTH CAROLINA

AUGUST 21, 2024

DEPARTMENT OF TRANSPORTATION,

RALEIGH, NORTH CAROLINA

The Bidder has carefully examined the location of the proposed work to be known as Contract for MI00003 – D9-TREE-2024; has carefully examined the plans and specifications, which are acknowledged to be part of the proposal, the special provisions, the proposal, the form of contract, and the forms of contract payment bond and contract performance bond; and thoroughly understands the stipulations, requirements and provisions. The undersigned bidder agrees to bound upon his execution of the bid and subsequent award to him by the Board of Transportation in accordance with this proposal to provide the necessary contract payment bond and contract performance bond within fourteen days after the written notice of award is received by him. The undersigned Bidder further agrees to provide all necessary machinery, tools, labor, and other means of construction; and to do all the work and to furnish all materials, except as otherwise noted, necessary to perform and complete the said contract in accordance with *the Standard Specifications for Roads and Structures* by the dates(s) specified in the Project Special Provisions and in accordance with the requirements of the Engineer, and at the unit or lump sum prices, as the case may be, for the various items given on the sheets contained herein.

The Bidder shall provide and furnish all the materials, machinery, implements, appliances and tools, and perform the work and required labor to construct and complete State Highway Contract for <u>M100003 – D9-TREE-2024</u> in <u>Davidson, Davie,</u> <u>Forsyth, Rowan and Stokes Counties</u>, for the unit or lump sum prices, as the case may be, bid by the Bidder in his bid and according to the proposal, plans, and specifications prepared by said Department, which proposal, plans, and specifications show the details covering this project, and hereby become a part of this contract.

The published volume entitled *North Carolina Department of Transportation, Raleigh, Standard Specifications for Roads and Structures, January 2024* with all amendments and supplements thereto, is by reference incorporated into and made a part of this contract; that, except as herein modified, all the construction and work included in this contract is to be done in accordance with the specifications contained in said volume, and amendments and supplements thereto, under the direction of the Engineer.

If the proposal is accepted and the award is made, the contract is valid only when signed either by the Contract Officer or such other person as may be designated by the Secretary to sign for the Department of Transportation. The conditions and provisions herein cannot be changed except over the signature of the said Contract Officer.

The quantities shown in the itemized proposal for the project are considered to be approximate only and are given as the basis for comparison of bids. The Department of Transportation may increase or decrease the quantity of any item or portion of the work as may be deemed necessary or expedient.

An increase or decrease in the quantity of an item will not be regarded as sufficient ground for an increase or decrease in the unit prices, nor in the time allowed for the completion of the work, except as provided for the contract.

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INSTRUCTIONS TO BIDDERS

PLEASE READ ALL INSTRUCTIONS CAREFULLY BEFORE PREPARING AND SUBMITTING YOUR BID.

All bids shall be prepared and submitted in accordance with the following requirements. Failure to comply with any requirement may cause the bid to be considered irregular and may be grounds for rejection of the bid. NO BID BONDS REQUIRED.

TRADITIONAL PAPER BIDS:

- 1. Small Business Enterprise bidders shall submit a SBE Application for Certification Form within the NC Online Certification System on the Department's website and have been approved by the Office of Civil Rights prior to bidding. The SBE shall submit this form for approval at a minimum of one week prior to bidding.
- 2. Download the entire proposal from the Connect NCDOT website and return the entire proposal with your bid.
- **3.** In accordance with Article 102-3 of the *Standard Specifications*, registration on the Interested Parties List is required unless SP1 G02 Interested Parties List Not Required provision is included in the proposal.
- 4. All entries on the itemized proposal sheet (bid form) shall be written in ink or typed.
- **5.** The Bidder shall submit a unit price for every item on the itemized proposal sheet. The unit prices for the various contract items shall be written in figures. Unit prices shall be rounded off by the Bidder to contain no more than TWO decimal places.
- 6. An amount bid shall be entered on the itemized proposal sheet for every item. The amount bid for each item shall be determined by multiplying each unit bid by the quantity for that item, and shall be written in figures in the "Amount" column of the form.
- 7. The total amount bid shall be written in figures in the proper place on the bid form. The total amount bid shall be determined by adding the amounts bid for each item.
- **8.** Changes to any entry shall be made by marking through the entry in ink and making the correct entry adjacent thereto in ink. A representative of the Bidder shall initial the change in ink. Do not use correction fluid, correction tape or similar product to make corrections.
- 9. The bid shall be properly executed on the included **Execution of Bid Non-collusion, Debarment and Gift Ban Certification** form. All bids shall show the following information:
 - a. Name of corporation, partnership, Limited Liability Company, joint venture, individual or firm, submitting bid.

Corporations that have a corporate seal shall include it on the bid, otherwise write your corporations name in the seal location.

- b. Name of individual or representative submitting bid and position or title held on behalf of the bidder.
- c. Name, signature, and position or title of witness.
- **10.** The bid shall not contain any unauthorized additions, deletions, or conditional bids.
- **11.** The Bidder shall not add any provision reserving the right to accept or reject an award, or to enter into a contract pursuant to an award.
- 12. <u>THE PROPOSAL WITH THE ITEMIZED PROPOSAL SHEET ATTACHED</u> SHALL BE PLACED IN A <u>SEALED</u> ENVELOPE AND SHALL BE DELIVERED TO AND RECEIVED IN THE NCDOT DIVISION OFFICE, LOCATED AT 375 SILAS CREEK PARKWAY, BY 2:00 PM ON SEPTEMBER 11, 2024.

13. The sealed bid must display the following statement on the front of the sealed envelope:

QUOTATION FOR – "MI00003 – D9-TREE-2024 "TREE SERVICE" CONSISTING OF THE PRUNING OR REMOVAL OF TREES USING SOUND, ESTABLISHED ARBORICULTURAL PRINCIPLES FROM HIGHWAY RIGHT OF WAY ALONG STATE MAINTAINED ROADS ON AN "AS NEEDED BASIS" IN DAVIDSON, DAVIE, FORSYTH, ROWAN AND STOKES COUNTIES TO BE OPENED AT 2:00 PM ON SEPTEMBER 11, 2024." As well as the following information:

- a. Name of corporation, partnership, Limited Liability Company, joint venture, individual or firm, submitting bid.
- b. Name of individual or representative submitting bid and position or title held on behalf of the bidder.
- c. Address of corporation, partnership, Limited Liability Company, joint venture, individual or firm, submitting bid.
- d. SAP Vendor Number of corporation, partnership, Limited Liability Company, joint venture, individual or firm, submitting bid.
- e. Contractor Number, if applicable, of corporation, partnership, Limited Liability Company, joint venture, individual or firm, submitting bid.
- **14.** If delivered by mail, the sealed envelope shall be placed in another sealed envelope and the outer envelope shall be addressed as follows:

N. C. DEPARTMENT OF TRANSPORTATION DIVISION OF HIGHWAYS, DIVISION 9

ATTN: Jeff Turner 375 Silas Creek Parkway Winston Salem, NC 27127

PROJECT SPECIAL PROVISIONS

GENERAL

GENERAL

This contract is for "TREE SERVICE" CONSISTING OF THE PRUNING OR REMOVAL OF TREES USING SOUND, ESTABLISHED ARBORICULTURAL PRINCIPLES FROM HIGHWAY RIGHT OF WAY ALONG STATE MAINTAINED ROADS IN DAVIDSON, DAVIE, FORSYTH, ROWAN AND STOKES COUNTIES ON AN AS-NEEDED BASIS.

All work and materials shall be in accordance with the provisions of the General Guidelines of this contract, the Project Special Provisions, the North Carolina Department of *Transportation Standard Specifications* for Roads and Structures, January 2024, the North Carolina Department of Transportation Roadway Standard Drawings, January 2024, and the current edition of the Manual of Uniform Traffic Control Devices (MUTCD).

The Contractor shall keep himself fully informed of all Federal, State, and Local laws, ordinances, and regulations, and shall comply with the provisions of Section 107 of the 2024 Standard Specifications.

AWARD OF CONTRACT (TERMS)

The State reserves the right to make partial, progressive or multiple awards for the same service and in the best interest of the State.

The award of the contract, if it is awarded, will be made to the lowest responsible bidder(s). The lowest responsible bidder(s) will be notified that their bid has been accepted and that they have been awarded the contract. NCDOT reserves the right to reject all bids.

INTERESTED PARTIES LIST NOT REQUIRED:

(6-21-22)(Rev. 2-20-24)

102

SP1 G02

Revise the *Standard Specifications* as follows:

The Interested Parties List sign up process is not applicable to this contract.

Page 1-13, Article 102-3 PROPOSALS AND INTERESTED PARTIES LIST, lines 12-15, delete the first paragraph.

Page 1-14, Article 102-8 PREPARATION AND SUBMISSION OF BIDS, lines 43-44, delete the first sentence of the first paragraph.

SMALL BUSINESS ENTERPRISE PROGRAM:

This is a Small Business Enterprise (SBE) Program project, and as such, it is restricted to businesses grossing less than \$1,500,000, excluding materials, during the previous calendar year. Contractors must be certified as a SBE Contractor by the Contractual Services Unit of NCDOT and listed as such in the Directory of Transportation Firms at the time of bid opening. Certification requirements and additional SBE Program information may be found at:

https://connect.ncdot.gov/business/SmallBusiness/Pages/default.aspx.

As authorized by G.S. 136-28.10 (Highway Fund and Highway Trust Fund Small Project Bidding), the Department's normal bonding and licensing requirements are waived for this SBE project.

SMALL BUSINESS ENTERPRISE (MULTI-YEAR MAINTENANCE CONTRACTS): (4-20-21)(Rev. 4-19-22) SP1 G72

This contract is a multi-year contract let pursuant to the Small Business Enterprise provisions of N.C. General Statute §136-28.10. In accordance with N.C. General Statute §136-28.10, an award in a contract may be for an amount less but shall not exceed \$1,000,000 per year. No payments in excess of this amount will be disbursed, in accordance with the Statute.

BOND REQUIREMENTS – No Bonds Required

(6-1-16)(Rev. 1-16-24)

The provisions of Articles 102-10 and 103-7 of the Standard Specifications are waived for this project. No bonds required.

NON-EXCLUSIVE CONTRACT:

(6-1-15)

The Department may, as it deems to be in the best interest of the state and the Department of Transportation, execute more than one contract based on this proposal. The Contractor(s) understands and agrees, by signature on the Purchase Order Contract Bid Proposal, that this agreement does not constitute an exclusive contract. If awarded, the contracts will be executed with the lowest responsible bidders. The Department of Transportation reserves the right to make multiple awards for the services provided by this contract. Furthermore, the Department reserves the right to reject all bids received.

WORK ORDER ASSIGNMENT (MULTIPLE AWARDS) FOR ID/IQ:

(2-15-22)(Rev. 4-19-22)

Work orders will be assigned based on the lowest work order cost for the line items and estimated quantities necessary to complete the work order. Unit prices from each awarded contractor's bid will be used to determine the lowest cost for each work order. The assigned Contractor shall respond to the work order assignment with the anticipated start date, within three working days of notification unless noted otherwise. Failure on the part of the Contractor to reply within the specified time frame may be received as a rejection of the work order. If the Contractor with the lowest work order cost cannot complete the work within the time specified in the assignment, the Engineer may contact the Contractor with the next lowest work order cost. If that Contractor can complete the work within the time specified in the assignment, then the work order will be assigned to that contractor. If not, assignment of work order will continue in order of work order cost until all awarded Contractors have had a chance to accept the terms of the assignment.

For federal ID/IQ contracts, all work orders will be assigned via the Work Order Assignment form (Form IDIQ-1MA), and the Contractor is required to formally respond in writing for federal work orders within three working days, unless noted otherwise. The Work Order Assignment form will also be used for any state ID/IQ contract in which the estimated work order cost meets the threshold for Performance and Payment Bonds in accordance with the Bonding Requirements for ID/IQ

SPD 01-750

SPD 01-420B

SPD 01-800B

provision found elsewhere in this contract. For state ID/IQ contracts in which the work order assignment doesn't meet the threshold for bonds, the Department has the option to use the Work Order Assignment Form or other methods for work order assignments as agreed upon by the Engineer and Contractor.

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The Contractor shall be required to prosecute the work in a continuous and uninterrupted manner from the time they begin the work until completion and final acceptance of the work order. Multiple failures of the Contractor to mobilize and begin work on the work order within the agreed upon time frame or failure to complete the work within the given time frame may result in the Contractor being excluded from future work on this contract in accordance with the *Standard Specifications*.

EMERGENCY MOBILIZATION FOR ID/IQ: (2-15-22)

The Contractor shall arrive on site within **2** hours of notification. Compensation will be in addition to the specific line items in the contract. *Emergency Mobilization* will be paid for at the contract unit price per each. Failure to respond within the time frame will result in nonpayment of this item.

Payment will be made under:

Pay Item	Pay Unit
Emergency Mobilization	Each

RENEWAL OF CONTRACT (CPI PRICE ADJUSTMENT) FOR ID/IQ:

(2-15-22)(Rev. 9-19-23)

The Contractor shall submit a bid for one year. At the option of the Department, this contract may be extended for **2** additional periods of one year each (maximum (3) three years total). Each year shall have a limit of **One Million Dollars (\$ 1,000,000.00**).

The compensation payable to the contractor shall be fixed for the first twelve months of this contract. However, upon an application of renewal of the contract, or thirty days prior to the end of each contract period, the renewal contract may be adjusted to reflect the adjustment in the Consumer Price Index over the latest twelve month period as published by the US Bureau of Labor and Statistics at <u>http://www.bls.gov/cpi</u> to be applied to new work order assignments. The Consumer Price Index for All Urban Consumers (CPI-U), US City Average, All Items, 1982-84=100, not seasonally adjusted will be used. If the amount of the requested adjustment is more than ten percent, the Department of Transportation reserves the right to cancel this contract.

CPI adjustment values can be determined using the calculator on the NCDOT Construction website.

This price escalation method will not be applied to items of work that are separately covered under commodity price escalation clauses. No other changes in the terms, conditions, etc. of this contract will be made when an extension to the contract is implemented. The Engineer will

SPD 01-830

SPD 01-840

notify the Contractor in writing by 60 days if the contract may be extended. The Contractor must notify the Engineer in writing by 30 days of his acceptance or rejection of this offer. Failure on the part of the Contractor to reply will be received as a rejection of contract extension.

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DISPUTE RESOLUTION PROCESS FOR ID/IQ: (2-15-22)

If a question should arise on the contract or assignment of a work order, the contractor should notify the Engineer noted on the assignment documentation or the Division Engineer within 48 hours after the scheduled time of bid opening or work order assignment. The following should be included in the notification if applicable:

- the contract for which bids were solicited; •
- the particular law, regulation, or contract specification violated; •
- a detailed description of the alleged violation; and •
- any other information deemed to be relevant. •

Once the initial evaluation has been completed, the contractor may be asked to attend a meeting for further discussion and clarification.

Once a determination has been made, the contractor will be notified of the decision by the Division Engineer. If the decision does not meet the satisfaction of the contractor, they have 24 hours from the Division Engineer's notification to elevate the dispute to the Chief Engineer. The Chief Engineer will make the final decision and will not be subject to further review by NCDOT.

CONTRACT TIME AND LIQUIDATED DAMAGES:

(7-1-95) (Rev. 12-18-07)

The date of availability for this contract is **Date of Purchase Order**.

The completion date for this contract is **September 30, 2025**, with the option to extend for two (2) additional periods of one (1) year each for a maximum period of three (3) years total.

Except where otherwise provided by the contract, observation periods required by the contract will not be a part of the work to be completed by the completion date and/or intermediate contract times stated in the contract. The acceptable completion of the observation periods that extend beyond the final completion date shall be a part of the work covered by the performance and payment bonds.

The liquidated damages for this contract are Three Hundred Dollars (\$300.00) per calendar day.

NO MAJOR CONTRACT ITEMS:

(2-19-02) (Rev. 8-21-07)

None of the items included in this contract will be major items.

SPD 01-850

SP1 G10 A

104

SP1 G31

MI00003 - D9-TREE-2024

NO SPECIALTY ITEMS:

(7-1-95)(Rev. 1-16-24)

108-6

SP1 G34

None of the items included in this contract will be specialty items (see Article 108-6 of the *Standard Specifications*).

SCHEDULE OF ESTIMATED COMPLETION PROGRESS:

(7-15-08) (Rev. 1-16-24)

18-2

SP1 G58

The Contractor's attention is directed to the Standard Special Provision entitled *Availability of Funds Termination of Contracts* included elsewhere in this proposal. The Department of Transportation's schedule of estimated completion progress for this project as required by that Standard Special Provision is as follows:

	Fiscal Year	Progress (% of Dollar Value)
2025	(7/01/24 - 6/30/25)	75 % of Total Amount Bid
2026	(7/01/25 - 6/30/26)	25 % of Total Amount Bid

The Contractor shall also furnish his own progress schedule in accordance with Article 108-2 of the *Standard Specifications*. Any acceleration of the progress as shown by the Contractor's progress schedule over the progress as shown above shall be subject to the approval of the Engineer.

USE OF UNMANNED AIRCRAFT SYSTEM (UAS):

(8-20-19)

SP1 G092

The Contractor shall adhere to all Federal, State and Local regulations and guidelines for the use of Unmanned Aircraft Systems (UAS). This includes but is not limited to US 14 CFR Part 107 *Small UAS Rule*, NC GS 15A-300.2 *Regulation of launch and recovery sites*, NC GS 63-95 *Training required for the operation of unmanned aircraft systems*, NC GS 63-96 *Permit required for commercial operation of unmanned aircraft system*, and NCDOT UAS Policy. The required operator certifications include possessing a current Federal Aviation Administration (FAA) Remote Pilot Certificate, a NC UAS Operator Permit as well as operating a UAS registered with the FAA.

Prior to beginning operations, the Contractor shall complete the NCDOT UAS – Flight Operation Approval Form and submit it to the Engineer for approval. All UAS operations shall be approved by the Engineer prior to beginning the operations.

All contractors or subcontractors operating UAS shall have UAS specific general liability insurance to cover all operations under this contract.

The use of UAS is at the Contractor's discretion. No measurement or payment will be made for the use of UAS. In the event that the Department directs the Contractor to utilize UAS, payment will be in accordance with Article 104-7 Extra Work.

EQUIPMENT IDLING GUIDELINES:

(1-19-21)

Exercise reduced fuel consumption and reduced equipment emissions during the construction of all work associated with this contract. Employees engaged in the construction of this project should turn off vehicles when stopped for more than thirty (30) minutes and off-highway equipment should idle no longer than fifteen (15) consecutive minutes.

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These guidelines for turning off vehicles and equipment when idling do not apply to:

- 1. Idling when queuing.
- 2. Idling to verify the vehicle is in safe operating condition.
- 3. Idling for testing, servicing, repairing or diagnostic purposes.
- 4. Idling necessary to accomplish work for which the vehicle was designed (such as operating a crane, mixing concrete, etc.).
- 5. Idling required to bring the machine system to operating temperature.
- 6. Emergency vehicles, utility company, construction, and maintenance vehicles where the engines must run to perform needed work.
- 7. Idling to ensure safe operation of the vehicle.
- 8. Idling when the propulsion engine is providing auxiliary power for other than heating or air conditioning. (such as hydraulic systems for pavers)
- 9. When specific traffic, safety, or emergency situations arise.
- 10. If the ambient temperature is less than 32 degrees Fahrenheit. Limited idling to provide for the safety of vehicle occupants (e.g. to run the heater).
- 11. If the ambient temperature is greater than 90 degrees Fahrenheit. Limited idling to provide for the safety of vehicle occupants of off-highway equipment (e.g. to run the air conditioning) no more than 30 minutes.
- 12. Diesel powered vehicles may idle for up to 30 minutes to minimize restart problems.

Any vehicle, truck, or equipment in which the primary source of fuel is natural gas or electricity is exempt from the idling limitations set forth in this special provision.

OUTSOURCING OUTSIDE THE USA:

(9-21-04) (Rev. 5-16-06)

SP1 G150

All work on consultant contracts, services contracts, and construction contracts shall be performed in the United States of America. No work shall be outsourced outside of the United States of America.

Outsourcing for the purpose of this provision is defined as the practice of subcontracting labor, work, services, staffing, or personnel to entities located outside of the United States.

The North Carolina Secretary of Transportation shall approve exceptions to this provision in writing.

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DEFAULT OF CONTRACT:

The Department of Transportation shall have the right to declare a default of contract for breach by the Contractor of any material term or condition of the contract. Default of contract shall be in accordance with the terms, conditions, and procedures of Article 108-9 of the <u>Standard Specifications</u>.

AUTHORITY OF THE ENGINEER:

(01-30-14)

105-1

SPD 01-460

The Engineer for this project shall be the Division Engineer, Division 9, Division of Highways, North Carolina Department of Transportation, acting directly or through his duly authorized representative.

The Engineer will decide all questions which may arise as to the quality and acceptability of work performed and as to the rate of progress of the work; all questions which may arise as to the interpretation of the contract; and all questions as to the acceptable fulfillment of the contract on the part of the Contractor. His decision shall be final and he shall have executive authority to enforce and make effective such decisions and orders as the Contractor fails to carry out promptly.

AVAILABILITY OF FUNDS – CONTRACT TERMINATION

Payments on this contract are subject to availability of funds as allocated by the General Assembly. If the General Assembly fails to allocate adequate funds, the Department reserves the right to terminate this contract.

In the event of termination, the Contractor shall be given a written notice of termination at least 60 days before completion of scheduled work for which funds are available. In the event of termination, the Contractor shall be paid for the work already performed in accordance with the contract specifications.

BANKRUPTCY

The Department of Transportation, at its option, may terminate the contract upon filing by the Contractor of any petition for protection under the provisions of the Federal Bankruptcy Act.

SUPERVISION BY CONTRACTOR

At all times during the life of the project the Contractor shall provide one permanent employee who shall have the authority and capability for overall responsibility of the project and who shall be personally available at the work site within 24 hour notice. Such employee shall be fully authorized to conduct all business with the subcontractors, to negotiate and execute all supplemental agreements, and to execute the orders or directions of the Engineer.

At all times that work is actually being performed, the Contractor shall have present on the project one competent individual who is authorized to act in a supervisory capacity over all work on the project, including work subcontracted. The individual who has been so authorized shall be experienced in the type of work being performed and shall be fully capable of managing, directing, and coordinating the work; of reading and thoroughly understanding the contract; and receiving and carrying out directions from the Engineer or his authorized representatives. He shall be an employee of the Contractor unless otherwise approved by the Engineer.

The Contractor may, at his option, designate one employee to meet the requirements of both positions. However, whenever the designated employee is absent from the work site, an authorized individual qualified to act in a supervisory capacity on the project shall be present.

TEMPORARY SUSPENSION OF WORK

In accordance with Article 108-7 of the <u>Standard Specifications</u>, the Engineer will have the authority to suspend the work wholly or in part, any written order for such periods as he may deem necessary for any of the following reasons.

- A. Conditions considered unfavorable for the suitable prosecution of the work, or
- B. The Contractor's failure for correct conditions unsafe for workmen or the general public, or
- C. The Contractor has not carried out orders given to him by the Engineer, or
- D. The Contractor's failure to perform any provisions of the contract.

PAYMENT:

The Contractor may submit a request for partial payment on a monthly basis, or other interval as approved by the Engineer. Compensation for all pay items shall be in accordance with the *Standard Specifications*. The amount of partial payments will be based on the work accomplished and accepted as the last day of the approved pay period.

Request for payment shall be made by Contractor's Invoice submitted to:

NC Department of Transportation 375 Silas Creek Parkway Winston-Salem, NC 27127

All invoice items and unit costs shall correspond to contract pay items. In the event of error or discrepancy in items or unit costs, the Department may return the invoice to the Contractor for correction.

PROSECUTION AND PROGRESS

The Contractor shall pursue the work diligently with workmen in sufficient numbers, abilities, and supervision, and with equipment, materials, and methods of construction as may be required to complete the work described in the contract by the completion date and in accordance with Section 108 of the Standard Specifications. The Contractor's operations are restricted to daylight hours. No work may be performed on Sundays and Legal State holidays. Work shall only be performed when weather and visibility conditions allow safe operations. The Contractor's vehicles and equipment shall not be parked within the State Highway System right of way overnight or at other times when work has been suspended unless approved by the Engineer, and in no case within 30 feet of the edge of pavement. The Contractor shall temporarily remove his equipment from the travel way for emergency vehicles and school buses as directed by the Engineer.

EXTENSION OF CONTRACT TIME:

Failure on the part of the Contractor to furnish bonds or certifications or to satisfy preliminary requirements necessary to issue the purchase order will not constitute grounds for extension of the contract time. If the Contractor has fulfilled all preliminary requirements for the issuance of a purchase order, and the purchase order authorization is not available by the date of availability, the Contractor shall be granted an extension

equal to the number of calendar days the purchase order authorization is delayed after the date of availability.

CLAIMS FOR ADDITIONAL COMPENSATION OR EXTENSION OF TIME:

Any claims for additional compensation and/or extensions of the completion date shall be submitted to the Division Engineer with detailed justification within thirty (30) days after receipt of the final invoice payment. The failure of the Contractor to submit the claim(s) within thirty (30) days shall be a bar to recovery.

PAYMENT AND RETAINAGE:

The Contractor may submit a request for partial payment on a monthly basis, or other interval as approved by the Engineer. Compensation for all pay items shall be in accordance with the Standard Specifications. The amount of partial payments will be based on the work accomplished and accepted as the last day of the approved pay period. The invoices will show the requisition number and purchase order number and should state "Terms Net Ten (10) Days".

CONTRACT BID QUANTITIES:

Contractor shall note that the contract quantities are used for figuring the lowest responsible bidder only. No minimum amount of work is guaranteed under this contract.

UTILITIES

The Contractor's attention is directed to the fact that underground and overhead utilities exist. In many cases these will not be adjusted or relocated. The Contractor shall adhere to all applicable regulations and follow accepted safety procedures when working in the vicinity of utilities in order to insure the safety of construction personnel and the public. The Contractor should consider the need to work around utilities when submitting a bid.

The Contractor will be required to operate in a manner to protect these utilities from damage and if any damages occur, then it is the Contractor's responsibility for the cost. Therefore the Contractor shall be responsible for determining utility locations prior to installation as needed.

No additional payment will be allowed for working around or protecting utilities.

PROJECT SPECIAL PROVISIONS

MOBILIZATION

The contractor will be notified on the tree service work by the Engineer and shall begin work within **5 Days** after notification or as determined by the Engineer. Failure to respond within the designated time frame for the routine tree cutting service or as approved by the Engineer may result in cancellation of this contract. Mobilization will not be paid separately unless it is an emergency call back mobilization as detailed in the next section. Upon a regular mobilization, there will be a **guaranteed 8 hours** of work. Time will start at the time of arrival at the job site.

REMOVAL AND DISPOSAL

Removal and Disposal of all trimmings, laps, brush, or debris produced by the above operation shall be the responsibility of the Contractor or as determined by the Engineer. When chipping is used to dispose of trimmings, the Engineer may approve the spreading of chips along certain sections of highway right of way. All other debris must be removed from highway right of way before payment is made. No burning or burying of debris will be allowed on highway right of way. If debris is removed, the Department will pay for the Dump Bill, from a State approved dump site.

STUMP GRINDING

Grinding of stumps may be required at certain locations as directed by the Engineer. Stumps shall be ground in accordance with accepted industry practices to a minimum depth of six (6) inches below the elevation of the surrounding area. Removal of any debris shall be the responsibility of the Contractor.

Payment for grinding of stumps and removal of debris will be at the contract unit price per "Hour, HR" for "Stump Grinding".

REQUIRED EQUIPMENT

The following equipment will be required on site when working under Tree Option #1 or Tree Option #2.

Chain Saws: 4 Gas powered Chain saws with a working safety chain brake with at least 2 saws having a 20-inch bar or greater per crew.

Pole Saw: 1 Gas powered pole saw with a 10-foot minimum length per crew.

Chipper: 1 Gas powered chipper with a working feed control/safety bar capable of accepting a 12-inch diameter tree per crew.

MAINTENANCE OF THE PROJECT

The contractor shall be responsible for maintaining the project as directed by Section 104-10 in the Standard Specifications for Roads and Structures, dated January 2018.

RESPONSIBILITY FOR DAMAGES

The contractor shall indemnify and save harmless the Department of Transportation and its officers, agents, and employees from all suits, actions or claims by any character brought for any injury or damages received

or sustained by any person, persons, or property by reason of any act of the Contractor, its agents or employees, in the performing of the contract.

Any damages to adjacent shoulders, medians, paved areas, utilities, property owners, or other facilities that may occur during the work shall be at the Contractor's expense.

MISCELLANEOUS

All work items necessary to complete the work other than listed on the "Bid Proposal Form" will be considered incidental in nature and as no further compensation will be made. Any work performed in an unsatisfactory manner could be basis for cancellation of the contract.

All work performed by the contractor shall be in compliance with the Standard Specifications and Workmanship/Appearance done to the satisfaction of the Engineer.

SAFETY VESTS and FLAGGER CERTIFICATION

All Contractors personnel, all subcontractors and their personnel, and any material suppliers and their personnel must wear an OSHA approved or MUTCD Class II (Class III at night) reflective vest or outer garment at all times while on the project. All flaggers must be certified.

TRAFFIC CONTROL AND WORK ZONE SAFETY

The Contractor shall maintain traffic during construction and provide, install, and maintain all traffic control devices in accordance with these project guidelines, the Project Special Provisions, North Carolina Department of Transportation <u>Standard Specifications for Roads and Structures</u>, July 2024, and the current edition of the <u>Manual of Uniform Traffic Control Devices</u> (MUTCD).

The Contractor shall utilize complete and proper traffic controls and traffic control devices during all operations. All traffic control and traffic control devices required for any operation shall be functional and in place prior to the commencement of that operation. **Signs for temporary operations shall be removed during periods of inactivity.** The Contractor is required to leave the project in a manner that will be safe to the traveling public and which will not impede motorists.

Traffic movements through lane closures on roads with two-way traffic shall be controlled by flaggers stationed at each end of the work zone. In situations where sight distance is limited, the Contractor shall provide additional means of controlling traffic, including, but not limited to, two-way radios, pilot vehicles, or additional flaggers. Flaggers shall be competent personnel, adequately trained in flagging procedures, and furnished with proper safety devices and equipment, including, but not limited to, safety vests and stop/slow paddles.

All personnel while on the project **shall wear an approved safety vest**, or shirt or jacket which meets the color requirements of the <u>Manual of Uniform Traffic Control Devices (MUTCD)</u>.

The Contractor shall comply with all applicable Federal, State, and local laws, ordinances, and regulations governing safety, health, and sanitation, and shall provide all safeguards, safety devices, and protective equipment, and shall take any other needed actions, on his own responsibility that are reasonably necessary to protect the life and health of employees on the job and the safety of the public, and to protect property in connection with the performance of the work covered by the contract.

Failure to comply with any of the requirements for safety and traffic control of this contract shall result in suspension of work as provided in subarticle 108-7 of the <u>Standard Specifications</u>.

No separate payment will be made for providing the above-mentioned items, but the cost will be included in the several pay items included in this contract.

FULL LANE CLOSURE

When tree removal is performed in areas needing a **full lane closure** or as determined by the Engineer, the full lane closure will be paid under a separate bid item for "Full Lane Closure" per each, EA. The contractor shall provide a full lane closure in accordance with the latest edition of the Manual on Uniform Traffic Control Devices and payment will be made on a separate bid item for **full lane closure** and will be full compensation for all cost of furnishing, installing, maintaining, and finally removing any and all signs, barricades, drums, cones, flashing arrow boards, truck mounted impact attenuators and all other traffic control devices required to safely perform the construction work and protect the public.

CUT AND SHOVE CREW

The Contractor shall provide a crew to perform cut and shove work for emergency tree clearing from state-maintained roadways in accordance with these specifications and as directed by the Engineer. The Engineer will identify the location where the Contractor will provide the crew to work. The Engineer or his duly authorized representative will monitor the Contractor's operations. The Contractor shall comply with all applicable Federal, State, and local laws, ordinances, and regulations governing safety, health, and sanitation. The Contractor shall take any other needed actions that are reasonably necessary to protect the life and health of employees on the job and the safety of the public, and to protect property in connection with the performance of the work covered by the contract.

The Contractor shall furnish a crew consisting of two chain saw operators and a piece of mechanical equipment suitable for pushing trees from the roadway with an operator.

All Contractors' personnel must wear an OSHA approved reflective vest or outer garment at all times while on the project. Trucks and tractors shall be equipped with strobe lights and working back up alarms. Lights, alarms and other safety items are not pay items, but are considered incidental to other contract items and the contractor is expected to provide these items.

The Contractor's operations are restricted to daylight hours. All equipment used by the contractor must be performance worthy by visual and operational inspection.

The Contractor's cut and shove crew shall report to the appropriate site with equipment at the time specified by the Engineer.

All debris must be shoved a minimum of three (3) feet from the edge of pavement.

Compensation for providing cut and shove crew will be made at the contract unit price, per hour, for "Cut and Shove Crew". Such payment will be full compensation for all work covered by this section including, but not limited to, furnishing a crew consisting of two chain saw operators with saws and one piece of mechanical equipment with operator for shoving trees from the roadway on state-maintained facilities. Any additional equipment needed to perform the work and for transportation to and from the job site will be included in this price. Time will be started when the crew arrives on the job site. Time will stop when the traffic control crew leaves from

the job site. Time will be paid for travel between job sites within the same workday.

The Engineer or his duly authorized representative will maintain a time sheet. The Department's representative and the Contractor's supervisor shall review and agree on the recorded time on a daily basis. The hours worked shall be recorded to the nearest 15 minutes interval.

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Payment will be made under:

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Z-2

STANDARD SPECIAL PROVISION AVAILABILITY OF FUNDS – TERMINATION OF CONTRACTS

(5-20-08) (Rev. 1-16-24)

General Statute 143C-6-11. (h) Highway Appropriation is hereby incorporated verbatim in this contract as follows:

(h) Amounts Encumbered. – Transportation project appropriations may be encumbered in the amount of allotments made to the Department of Transportation by the Director for the estimated payments for transportation project contract work to be performed in the appropriation fiscal year. The allotments shall be multiyear allotments and shall be based on estimated revenues and shall be subject to the maximum contract authority contained in General Statute 143C-6-11(c). Payment for transportation project work performed pursuant to contract in any fiscal year other than the current fiscal year is subject to appropriations by the General Assembly. Transportation project contracts shall contain a schedule of estimated completion progress, and any acceleration of this progress shall be subject to the approval of the Department of Transportation provided funds are available. The State reserves the right to terminate or suspend any transportation project contract, and any transportation project contract shall be so terminated or suspended if funds will not be available for payment of the work to be performed during that fiscal year pursuant to the contract. In the event of termination of any contract, the contractor shall be given a written notice of termination at least 60 days before completion of scheduled work for which funds are available. In the event of termination, the contractor shall be paid for the work already performed in accordance with the contract specifications.

Payment will be made on any contract terminated pursuant to the special provision in accordance with Subarticle 108-13(D) of the *Standard Specifications*.

Davidson, Davie, Forsyth, Rowan, Stokes

STANDARD SPECIAL PROVISION

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ERRATA

(1-16-24)

Revise the 2024 Standard Specifications as follows:

Division 3

Page 3-5, Article 305-2 MATERIALS, after line 16, replace "1032-3(A)(7)" with "1032-3" and add the item "Galvanized Corrugated Steel Pipe" with Section "1032-3".

Page 3-6, Article 310-2 MATERIALS, after line 9, add the item "Galvanized Corrugated Steel Pipe" with Section "1032-3".

Division 9

Page 9-17, Article 904-4 MEASUREMENT AND PAYMENT, prior to line 1, replace " Sign Erection, Relocate Type (Ground Mounted)" with "Sign Erection, Relocate Type _____ (Ground Mounted)".

Division 10

Page 10-51, Article 1024-4 WATER, prior to line 1, delete the "unpopulated blank row" in Table 1024-2 between "Time of set, deviation from control" and "Chloride Ion Content, Max.".

Page 10-170, Subarticle 1081-1(C) Requirements, line 4, replace "maximum" with "minimum".

Division 11

Page 11-15, Article 1160-4 MEASUREMENT AND PAYMENT, line 24, replace "Where barrier units are moved more than one" with "Where barrier units are moved more than once".

Division 15

Page 15-10, Article 1515-4 MEASUREMENT AND PAYMENT, lines 11, replace "All piping" with "All labor, the manhole, other materials, excavation, backfilling, piping".

Division 16

Page 16-14, Article 1633-5 MEASUREMENT AND PAYMENT, line 20-24 and prior to line 25, delete and replace with the following " *Flocculant* will be measured and paid in accordance with Article 1642-5 applied to the temporary rock silt checks."

Page 16-3, Article 1609-2 MATERIALS, after line 26, replace "Type 4" with "Type 4a".

Page 16-25, Article 1644-2 MATERIALS, after line 22, replace "Type 4" with "Type 4a".

STANDARD SPECIAL PROVISION

<u>PLANT AND PEST QUARANTINES</u> (Imported Fire Ant, Gypsy Moth, Witchweed, Emerald Ash Borer, Guava Root Knot Nematode, And Other Noxious Weeds)

(3-18-03) (Rev. 5-21-19)

Within Quarantined Area

This project may be within a county regulated for plant and/or pests. If the project or any part of the Contractor's operations is located within a quarantined area, thoroughly clean all equipment prior to moving out of the quarantined area. Comply with federal/state regulations by obtaining a certificate or limited permit for any regulated article moving from the quarantined area.

Originating in a Quarantined County

Obtain a certificate or limited permit issued by the N.C. Department of Agriculture/United States Department of Agriculture. Have the certificate or limited permit accompany the article when it arrives at the project site.

Contact

Contact the N.C. Department of Agriculture/United States Department of Agriculture at 1-800-206-9333, 919-707-3730, or *https://www.ncagr.gov/plantindustry/Plant/quaran/table2.htm* to determine those specific project sites located in the quarantined area or for any regulated article used on this project originating in a quarantined county.

Regulated Articles Include

- 1. Soil, sand, gravel, compost, peat, humus, muck, and decomposed manure, separately or with other articles. This includes movement of articles listed above that may be associated with cut/waste, ditch pulling, and shoulder cutting.
- 2. Plants with roots including grass sod.
- 3. Plant crowns and roots.
- 4. Bulbs, corms, rhizomes, and tubers of ornamental plants.
- 5. Hay, straw, fodder, and plant litter of any kind.
- 6. Clearing and grubbing debris.
- 7. Used agricultural cultivating and harvesting equipment.
- 8. Used earth-moving equipment.
- 9. Any other products, articles, or means of conveyance, of any character, if determined by an inspector to present a hazard of spreading imported fire ant, gypsy moth, witchweed, emerald ash borer, guava root knot nematode, or other noxious weeds.

Z-04a

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STANDARD SPECIAL PROVISION

MINIMUM WAGES

(7-21-09)

Z-5

- **FEDERAL:** The Fair Labor Standards Act provides that with certain exceptions every employer shall pay wages at the rate of not less than SEVEN DOLLARS AND TWENTY FIVE CENTS (\$7.25) per hour.
- **STATE:** The North Carolina Minimum Wage Act provides that every employer shall pay to each of his employees, wages at a rate of not less than SEVEN DOLLARS AND TWENTY FIVE CENTS (\$7.25) per hour.

The minimum wage paid to all skilled labor employed on this contract shall be SEVEN DOLLARS AND TWENTY FIVE CENTS (\$7.25) per hour.

The minimum wage paid to all intermediate labor employed on this contract shall be SEVEN DOLLARS AND TWENTY FIVE CENTS (\$7.25) per hour.

The minimum wage paid to all unskilled labor on this contract shall be SEVEN DOLLARS AND TWENTY FIVE CENTS (\$7.25) per hour.

This determination of the intent of the application of this act to the contract on this project is the responsibility of the Contractor.

The Contractor shall have no claim against the Department of Transportation for any changes in the minimum wage laws, Federal or State. It is the responsibility of the Contractor to keep fully informed of all Federal and State Laws affecting his contract.

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STANDARD SPECIAL PROVISION

TITLE VI AND NONDISCRIMINATION:

(6-28-77) (Rev 1/16/2024)

Z-6

The North Carolina Department of Transportation is committed to carrying out the U.S. Department of Transportation's policy of ensuring nondiscrimination in the award and administration of contracts.

The provisions of this section related to United States Department of Transportation (US DOT) Order 1050.2A, Title 49 Code of Federal Regulations (CFR) part 21, 23 United States Code (U.S.C.) 140 and 23 CFR part 200 (or 49 CFR 303, 49 U.S.C. 5332 or 49 U.S.C. 47123) are applicable to all North Carolina Department of Transportation (NCDOT) contracts and to all related subcontracts, material supply, engineering, architectural and other service contracts, regardless of dollar amount. Any Federal provision that is specifically required not specifically set forth is hereby incorporated by reference.

(1) Title VI Assurances (USDOT Order 1050.2A, Appendix A)

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

(a) Compliance with Regulations

The contractor (hereinafter includes consultants) shall comply with the Acts and the Regulations relative to Nondiscrimination in Federally-assisted programs of the U.S. Department of Transportation, Federal Highway Administration (FHWA), as they may be amended from time to time, which are herein incorporated by reference and made a part of this contract.

(b) Nondiscrimination

The contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate directly or indirectly in the discrimination prohibited by the Acts and the Regulations, including employment practices when the contract covers any activity, project, or program set forth in Appendix B of 49 CFR Part 21.

(c) Solicitations for Subcontractors, Including Procurements of Materials and Equipment

In all solicitations, either by competitive bidding, or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials, or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Acts and the Regulations relative to Nondiscrimination on the grounds of race, color, or national origin.

(d) Information and Reports

The contractor shall provide all information and reports required by the Acts, the Regulations, and directives issued pursuant thereto and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Recipient or the FHWA to be pertinent to ascertain compliance with such Acts, Regulations, and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish the information, the contractor shall so certify to the Recipient or the FHWA, as appropriate, and shall set forth what efforts it has made to obtain the information.

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(e) Sanctions for Noncompliance:

In the event of a contractor's noncompliance with the Non-discrimination provisions of this contract, the Recipient will impose such contract sanctions as it and/or the FHWA may determine to be appropriate, including, but not limited to:

- (i) Withholding payments to the contractor under the contract until the contractor complies; and/or
- (ii) Cancelling, terminating, or suspending a contract, in whole or in part.
- (f) Incorporation of Provisions

The contractor shall include the provisions of paragraphs (a) through (f) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Acts, the Regulations and directives issued pursuant thereto. The contractor shall take action with respect to any subcontract or procurement as the Recipient or the FHWA may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, that if the contractor becomes involved in, or is threatened with litigation by a subcontractor, or supplier because of such direction, the contractor may request the Recipient to enter into any litigation to protect the interests of the Recipient. In addition, the contractor may request the United States to enter into the litigation to protect the interests of the United States.

(2) Title VI Nondiscrimination Program (23 CFR 200.5(p))

The North Carolina Department of Transportation (NCDOT) has assured the USDOT that, as a condition to receiving federal financial assistance, NCDOT will comply with Title VI of the Civil Rights Act of 1964 and all requirements imposed by Title 49 CFR part 21 and related nondiscrimination authorities to ensure that no person shall, on the ground of race, color, national origin, limited English proficiency, sex, age, or disability (including religion/creed or income-level, where applicable), be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any programs, activities, or services conducted or funded by NCDOT. Contractors and other organizations under contract or agreement with NCDOT must also comply with Title VI and related authorities, therefore:

(a) During the performance of this contract or agreement, contractors (e.g., subcontractors, consultants, vendors, prime contractors) are responsible for complying with NCDOT's Title VI Program. Contractors are not required to prepare or submit Title VI Programs. To comply with this section, the prime contractor shall:

- 1. Post NCDOT's Notice of Nondiscrimination and the Contractor's own Equal Employment Opportunity (EEO) Policy in conspicuous locations accessible to all employees, applicants and subcontractors on the jobsite.
- 2. Physically incorporate the required Title VI clauses into all subcontracts on federally-assisted and state-funded NCDOT projects, and ensure inclusion by subcontractors into all lower-tier subcontracts.
- 3. Required Solicitation Language. The Contractor shall include the following notification in all solicitations for bids and requests for work or material, regardless of funding source:

"The North Carolina Department of Transportation, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 US.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award. In accordance with other related nondiscrimination authorities, bidders and contractors will also not be discriminated against on the grounds of sex, age, disability, low-income level, creed/religion, or limited English proficiency in consideration for an award."

- 4. Physically incorporate the FHWA-1273, in its entirety, into all subcontracts and subsequent lower tier subcontracts on Federal-aid highway construction contracts only.
- 5. Provide language assistance services (i.e., written translation and oral interpretation), free of charge, to LEP employees and applicants. Contact NCDOT OCR for further assistance, if needed.
- 6. For assistance with these Title VI requirements, contact the NCDOT Title VI Nondiscrimination Program at 1-800-522-0453.
- (b) Subrecipients (e.g. cities, counties, LGAs, planning organizations) may be required to prepare and submit a Title VI Plan to NCDOT, including Title VI Assurances and/or agreements. Subrecipients must also ensure compliance by their contractors and subrecipients with Title VI. (23 CFR 200.9(b)(7))
- (c) If reviewed or investigated by NCDOT, the contractor or subrecipient agrees to take affirmative action to correct any deficiencies found within a reasonable time period, not to exceed 90 calendar days, unless additional time is granted by NCDOT. (23 CFR 200.9(b)(15))
- (d) The Contractor is responsible for notifying subcontractors of NCDOT's External Discrimination Complaints Process.
 - 1. Applicability

Title VI and related laws protect participants and beneficiaries (e.g., members of the public and contractors) from discrimination by NCDOT employees, subrecipients and contractors, regardless of funding source.

2. Eligibility

Any person—or class of persons—who believes he/she has been subjected to discrimination based on race, color, national origin, Limited English Proficiency (LEP), sex, age, or disability (and religion in the context of employment, aviation, or transit) may file a written complaint. The law also prohibits intimidation or retaliation of any sort.

3. Time Limits and Filing Options

Complaints may be filed by the affected individual(s) or a representative and must be filed no later than 180 calendar days after the following:

- (i) The date of the alleged act of discrimination; or
- (ii) The date when the person(s) became aware of the alleged discrimination; or
- (iii) Where there has been a continuing course of conduct, the date on which that conduct was discontinued or the latest instance of the conduct.

Title VI and related discrimination complaints may be submitted to the following entities:

- North Carolina Department of Transportation, Office of Civil Rights, Title VI Program, 1511 Mail Service Center, Raleigh, NC 27699-1511; toll free 1-800-522-0453
- Federal Highway Administration, North Carolina Division Office, 310 New Bern Avenue, Suite 410, Raleigh, NC 27601, 919-747-7010
- US Department of Transportation, Departmental Office of Civil Rights, External Civil Rights Programs Division, 1200 New Jersey Avenue, SE, Washington, DC 20590; 202-366-4070
- 4. Format for Complaints

Complaints must be in writing and signed by the complainant(s) or a representative, and include the complainant's name, address, and telephone number. Complaints received by fax or e-mail will be acknowledged and processed. Allegations received by telephone will be reduced to writing and provided to the complainant for confirmation or revision before processing. Complaints will be accepted in other languages, including Braille.

5. Discrimination Complaint Form

Contact NCDOT Civil Rights to receive a full copy of the Discrimination Complaint Form and procedures.

6. Complaint Basis

Allegations must be based on issues involving race, color, national origin (LEP), sex, age, disability, or religion (in the context of employment, aviation or transit). "Basis" refers to the complainant's membership in a protected group category.

		E 103-1 INT BASIS	
Protected Categories	Definition	Examples	Applicable Nondiscrimination Authorities
Race and Ethnicity	An individual belonging to one of the accepted racial groups; or the perception, based usually on physical characteristics that a person is a member of a racial group	Black/African American, Hispanic/Latino, Asian, American Indian/Alaska Native, Native Hawaiian/Pacific Islander, White	Title VI of the Civil Rights Act of 1964; 49 CFR Part 21; 23 CFR 200; 49 U.S.C. 5332(b); 49 U.S.C. 47123. (<i>Executive Order 13166</i>)
Color	Color of skin, including shade of skin within a racial group	Black, White, brown, yellow, etc.	
National Origin (Limited English Proficiency)	Place of birth. Citizenship is not a factor. (<i>Discrimination based</i> on language or a person's accent is also covered)	Mexican, Cuban, Japanese, Vietnamese, Chinese	
Sex	Gender. The sex of an individual. <i>Note:</i> Sex under this program does not include sexual orientation.	Women and Men	1973 Federal-Aid Highway Act; 49 U.S.C. 5332(b); 49 U.S.C. 47123.
Age	Persons of any age	21-year-old person	Age Discrimination Act of 1975 49 U.S.C. 5332(b); 49 U.S.C. 47123.
Disability	Physical or mental impairment, permanent or temporary, or perceived.	Blind, alcoholic, para-amputee, epileptic, diabetic, arthritic	Section 504 of the Rehabilitation Act of 1973; Americans with Disabilities Act of 1990
Religion (in the context of employment) (Religion/ Creed in all aspects of any aviation or transit-related construction)	An individual belonging to a religious group; or the perception, based on distinguishable characteristics that a person is a member of a religious group. In practice, actions taken as a result of the moral and ethical beliefs as to what is right and wrong, which are sincerely held with the strength of traditional religious views. <i>Note:</i> Does not have to be associated with a recognized religious group or church; if an individual sincerely holds to the belief, it is a protected religious practice.	Muslim, Christian, Sikh, Hindu, etc.	Title VII of the Civil Rights Act of 1964; 23 CFR 230; FHWA-1273 Required Contract Provisions. (49 U.S.C. 5332(b); 49 U.S.C. 47123)

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(3) Pertinent Nondiscrimination Authorities

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest agrees to comply with the following non-discrimination statutes and authorities, including, but not limited to:

• Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq., 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin); and 49 CFR Part 21.

- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 et seq.), (prohibits discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 et seq.), as amended, (prohibits discrimination on the basis of disability) and 49 CFR Part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 et seq.), (prohibits discrimination on the basis of age);
- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- (g) The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms "programs or activities" to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- (h) Titles II and III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131-12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;
- (i) The Federal Aviation Administration's Nondiscrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- (j) Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures Nondiscrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;
- (k) Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of Limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1681 et seq).
- (m)Title VII of the Civil Rights Act of 1964 (42 U.S.C. § 2000e et seq., Pub. L. 88-352), (prohibits employment discrimination on the basis of race, color, religion, sex, or national origin).

(4) Additional Title VI Assurances

**The following Title VI Assurances (Appendices B, C and D) shall apply, as applicable

(a) Clauses for Deeds Transferring United States Property (1050.2A, Appendix B)

The following clauses will be included in deeds effecting or recording the transfer of real property, structures, or improvements thereon, or granting interest therein from the United States pursuant to the provisions of Assurance 4.

NOW, THEREFORE, the U.S. Department of Transportation as authorized by law and upon the condition that the North Carolina Department of Transportation (NCDOT) will accept title to the lands and maintain the project constructed thereon in accordance with the North Carolina General Assembly, the Regulations for the Administration of the Federal-Aid Highway Program, and the policies and procedures prescribed by the Federal Highway Administration of the U.S. Department of Transportation in accordance and in compliance with all requirements imposed by Title 49, Code of Federal Regulations, U.S. Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the U.S Department of Transportation pertaining to and effectuating the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252; 42 U.S.C. § 2000d to 2000d-4), does hereby remise, release, quitclaim and convey unto the NCDOT all the right, title and interest of the U.S. Department of Transportation in and to said lands described in Exhibit A attached hereto and made a part hereof.

(HABENDUM CLAUSE)

TO HAVE AND TO HOLD said lands and interests therein unto the North Carolina Department of Transportation (NCDOT) and its successors forever, subject, however, to the covenants, conditions, restrictions and reservations herein contained as follows, which will remain in effect for the period during which the real property or structures are used for a purpose for which Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits and will be binding on the NCDOT, its successors and assigns.

The NCDOT, in consideration of the conveyance of said lands and interests in lands, does hereby covenant and agree as a covenant running with the land for itself, its successors and assigns, that (1) no person will on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination with regard to any facility located wholly or in part on, over, or under such lands hereby conveyed [,] [and]* (2) that the NCDOT will use the lands and interests in lands and interests in lands so conveyed, in compliance with all requirements imposed by or pursuant to Title 49, Code of Federal Regulations, U.S. Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the U.S. Department of Transportation, Effectuation of Title VI of the Civil Rights Act of 1964, and as said Regulations and Acts may be amended [, and (3) that in the event of breach of any of the above-mentioned nondiscrimination conditions, the Department will have a right to enter or re-enter said lands and facilities on said land, and that above described land and facilities will thereon revert to and vest in and become the absolute property of the U.S. Department of Transportation and its assigns as such interest existed prior to this instruction].*

(*Reverter clause and related language to be used only when it is determined that such a clause is necessary in order to make clear the purpose of Title VI.)

(b) Clauses for Transfer of Real Property Acquired or Improved Under the Activity, Facility, or Program (1050.2A, Appendix C)

The following clauses will be included in deeds, licenses, leases, permits, or similar instruments entered into by the North Carolina Department of Transportation (NCDOT) pursuant to the provisions of Assurance 7(a):

- 1. The (grantee, lessee, permittee, etc. as appropriate) for himself/herself, his/her heirs, personal representatives, successors in interest, and assigns, as a part of the consideration hereof, does hereby covenant and agree [in the case of deeds and leases add "as a covenant running with the land"] that:
- (i.) In the event facilities are constructed, maintained, or otherwise operated on the property described in this (deed, license, lease, permit, etc.) for a purpose for which a U.S. Department of Transportation activity, facility, or program is extended or for another purpose involving the provision of similar services or benefits, the (grantee, licensee, lessee, permittee, etc.) will maintain and operate such facilities and services in compliance with all requirements imposed by the Acts and Regulations (as may be amended) such that no person on the grounds of race, color, or national origin, will be excluded from participation in, denied the benefits of, or be otherwise subjected to discrimination in the use of said facilities.
- 2. With respect to licenses, leases, permits, etc., in the event of breach of any of the above Nondiscrimination covenants, the NCDOT will have the right to terminate the (lease, license, permit, etc.) and to enter, re-enter, and repossess said lands and facilities thereon, and hold the same as if the (lease, license, permit, etc.) had never been made or issued. *
- 3. With respect to a deed, in the event of breach of any of the above Nondiscrimination covenants, the NCDOT will have the right to enter or re-enter the lands and facilities thereon, and the above described lands and facilities will there upon revert to and vest in and become the absolute property of the NCDOT and its assigns. *

(*Reverter clause and related language to be used only when it is determined that such a clause is necessary to make clear the purpose of Title VI.)

(c) Clauses for Construction/Use/Access to Real Property Acquired Under the Activity, Facility or Program (1050.2A, Appendix D)

The following clauses will be included in deeds, licenses, permits, or similar instruments/ agreements entered into by the North Carolina Department of Transportation (NCDOT) pursuant to the provisions of Assurance 7(b):

- The (grantee, licensee, permittee, etc., as appropriate) for himself/herself, his/her heirs, personal representatives, successors in interest, and assigns, as a part of the consideration hereof, does hereby covenant and agree (in the case of deeds and leases add, "as a covenant running with the land") that (1) no person on the ground of race, color, or national origin, will be excluded from participation in, denied the benefits of, or be otherwise subjected to discrimination in the use of said facilities, (2) that in the construction of any improvements on, over, or under such land, and the furnishing of services thereon, no person on the ground of race, color, or national origin, will be excluded from participation in, denied the benefits of, or otherwise be subjected to discrimination, (3) that the (grantee, licensee, lessee, permittee, etc.) will use the premises in compliance with all other requirements imposed by or pursuant to the Acts and Regulations, as amended, set forth in this Assurance.
- 2. With respect to (licenses, leases, permits, etc.), in the event of breach of any of the above Non¬ discrimination covenants, the NCDOT will have the right to terminate the (license, permit, etc., as appropriate) and to enter or re-enter and repossess said land and the facilities thereon, and hold the same as if said (license, permit, etc., as appropriate) had never been made or issued. *
- 3. With respect to deeds, in the event of breach of any of the above Nondiscrimination covenants, the NCDOT will there upon revert to and vest in and become the absolute property of the NCDOT and its assigns. *

(*Reverter clause and related language to be used only when it is determined that such a clause is necessary to make clear the purpose of Title VI.)

34

Davidson, Davie, Forsyth, Rowan, Stokes

STANDARD SPECIAL PROVISION

ON-THE-JOB TRAINING

Z-10

(10-16-07) (Rev. 4-21-15)

Description

The North Carolina Department of Transportation will administer a custom version of the Federal On-the-Job Training (OJT) Program, commonly referred to as the Alternate OJT Program. All contractors (existing and newcomers) will be automatically placed in the Alternate Program. Standard OJT requirements typically associated with individual projects will no longer be applied at the project level. Instead, these requirements will be applicable on an annual basis for each contractor administered by the OJT Program Manager.

On the Job Training shall meet the requirements of 23 CFR 230.107 (b), 23 USC – Section 140, this provision and the On-the-Job Training Program Manual.

The Alternate OJT Program will allow a contractor to train employees on Federal, State and privately funded projects located in North Carolina. However, priority shall be given to training employees on NCDOT Federal-Aid funded projects.

Minorities and Women

Developing, training and upgrading of minorities and women toward journeyman level status is a primary objective of this special training provision. Accordingly, the Contractor shall make every effort to enroll minority and women as trainees to the extent that such persons are available within a reasonable area of recruitment. This training commitment is not intended, and shall not be used, to discriminate against any applicant for training, whether a member of a minority group or not.

Assigning Training Goals

The Department, through the OJT Program Manager, will assign training goals for a calendar year based on the contractors' past three years' activity and the contractors' anticipated upcoming year's activity with the Department. At the beginning of each year, all contractors eligible will be contacted by the Department to determine the number of trainees that will be assigned for the upcoming calendar year. At that time the Contractor shall enter into an agreement with the Department to provide a self-imposed on-the-job training program for the calendar year. This agreement will include a specific number of annual training goals agreed to by both parties. The number of training assignments may range from 1 to 15 per contractor per calendar year. The Contractor shall sign an agreement to fulfill their annual goal for the year.

Training Classifications

The Contractor shall provide on-the-job training aimed at developing full journeyman level workers in the construction craft/operator positions. Preference shall be given to providing training in the following skilled work classifications:

Equipment OperatorsOffice EngineersTruck DriversEstimatorsCarpentersIron / Reinforcing Steel WorkersConcrete FinishersMechanicsPipe LayersWelders

The Department has established common training classifications and their respective training requirements that may be used by the contractors. However, the classifications established are not all-inclusive. Where the training is oriented toward construction applications, training will be allowed in lower-level management positions such as office engineers and estimators. Contractors shall submit new classifications for specific job functions that their employees are performing. The Department will review and recommend for acceptance to FHWA the new classifications proposed by contractors, if applicable. New classifications shall meet the following requirements:

Proposed training classifications are reasonable and realistic based on the job skill classification needs, and

The number of training hours specified in the training classification is consistent with common practices and provides enough time for the trainee to obtain journeyman level status.

The Contractor may allow trainees to be trained by a subcontractor provided that the Contractor retains primary responsibility for meeting the training and this provision is made applicable to the subcontract. However, only the Contractor will receive credit towards the annual goal for the trainee.

Where feasible, 25 percent of apprentices or trainees in each occupation shall be in their first year of apprenticeship or training. The number of trainees shall be distributed among the work classifications on the basis of the contractor's needs and the availability of journeymen in the various classifications within a reasonable area of recruitment.

No employee shall be employed as a trainee in any classification in which they have successfully completed a training course leading to journeyman level status or in which they have been employed as a journeyman.

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Records and Reports

The Contractor shall maintain enrollment, monthly and completion reports documenting company compliance under these contract documents. These documents and any other information as requested shall be submitted to the OJT Program Manager.

36

Upon completion and graduation of the program, the Contractor shall provide each trainee with a certification Certificate showing the type and length of training satisfactorily completed.

Trainee Interviews

All trainees enrolled in the program will receive an initial and Trainee/Post graduate interview conducted by the OJT program staff.

Trainee Wages

Contractors shall compensate trainees on a graduating pay scale based upon a percentage of the prevailing minimum journeyman wages (Davis-Bacon Act). Minimum pay shall be as follows:

60 percent	of the journeyman wage for the first half of the training period
75 percent	of the journeyman wage for the third quarter of the training period
90 percent	of the journeyman wage for the last quarter of the training period

In no instance shall a trainee be paid less than the local minimum wage. The Contractor shall adhere to the minimum hourly wage rate that will satisfy both the NC Department of Labor (NCDOL) and the Department.

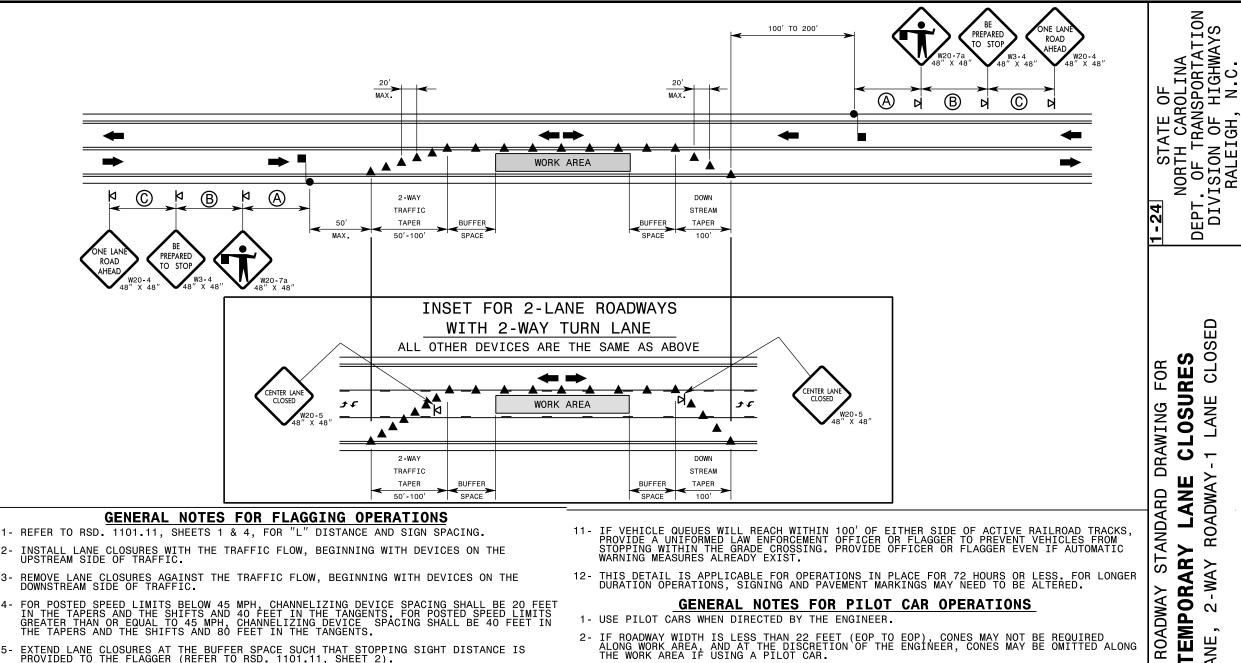
Achieving or Failing to Meet Training Goals

The Contractor will be credited for each trainee employed by him on the contract work who is currently enrolled or becomes enrolled in an approved program and who receives training for at least 50 percent of the specific program requirement. Trainees will be allowed to be transferred between projects if required by the Contractor's scheduled workload to meet training goals.

If a contractor fails to attain their training assignments for the calendar year, they may be taken off the NCDOT's Bidders List.

Measurement and Payment

No compensation will be made for providing required training in accordance with these contract documents.



6- DO NOT STOP ALL DIRECTIONS OF TRAFFIC FOR MORE THAN 5 MINUTES AT A TIME.

2-

3-

- DRUMS OR SKINNY DRUMS MAY BE USED IN LIEU OF CONES. FOR SKINNY DRUM REQUIREMENTS. 7-REFER TO RSD. 1180.01
- USE FLAGGERS TO CONTROL TRAFFIC AT INTERSECTIONS AFFECTED BY THE LANE CLOSURE. SUPPLEMENT FLAGGERS LOCATED AT INTERSECTIONS WITH FLAGGER AHEAD SIGNS (W20-7A) PLACED APPROXIMATELY 250 FT. IN ADVANCE OF THE FLAGGER. FOR SIGNALIZED INTERSECTIONS PLACE SIGNALS IN THE FLASH MODE AND USE LAW ENFORCEMENT. 8-
- 9- REFER TO THE CURRENT MUTCD FOR FLAGGER CONTROL, REQUIREMENTS, AND PROCEDURES.
- DO NOT EXCEED A 1 MILE LANE CLOSURE LENGTH UNLESS OTHERWISE SHOWN IN THE TMP OR AS DIRECTED BY THE ENGINEER. DO 10-

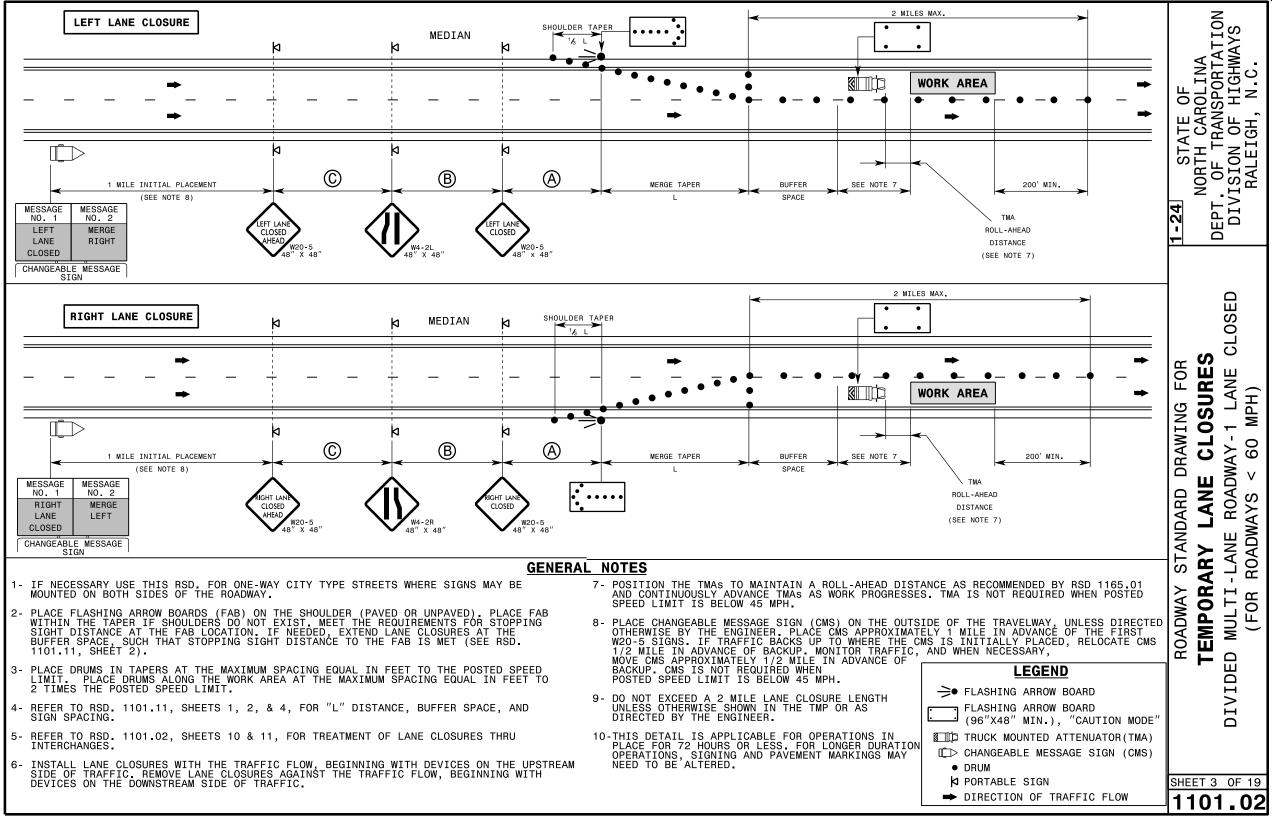
- 3- CONES ARE ALWAYS REQUIRED IN THE UPSTREAM AND DOWNSTREAM TAPERS.
- MOUNT SIGN G20-4 "PILOT CAR FOLLOW ME" AT A CONSPICUOUS POSITION ON THE REAR OF THE PILOT VEHICLE. 4 -LEGEND

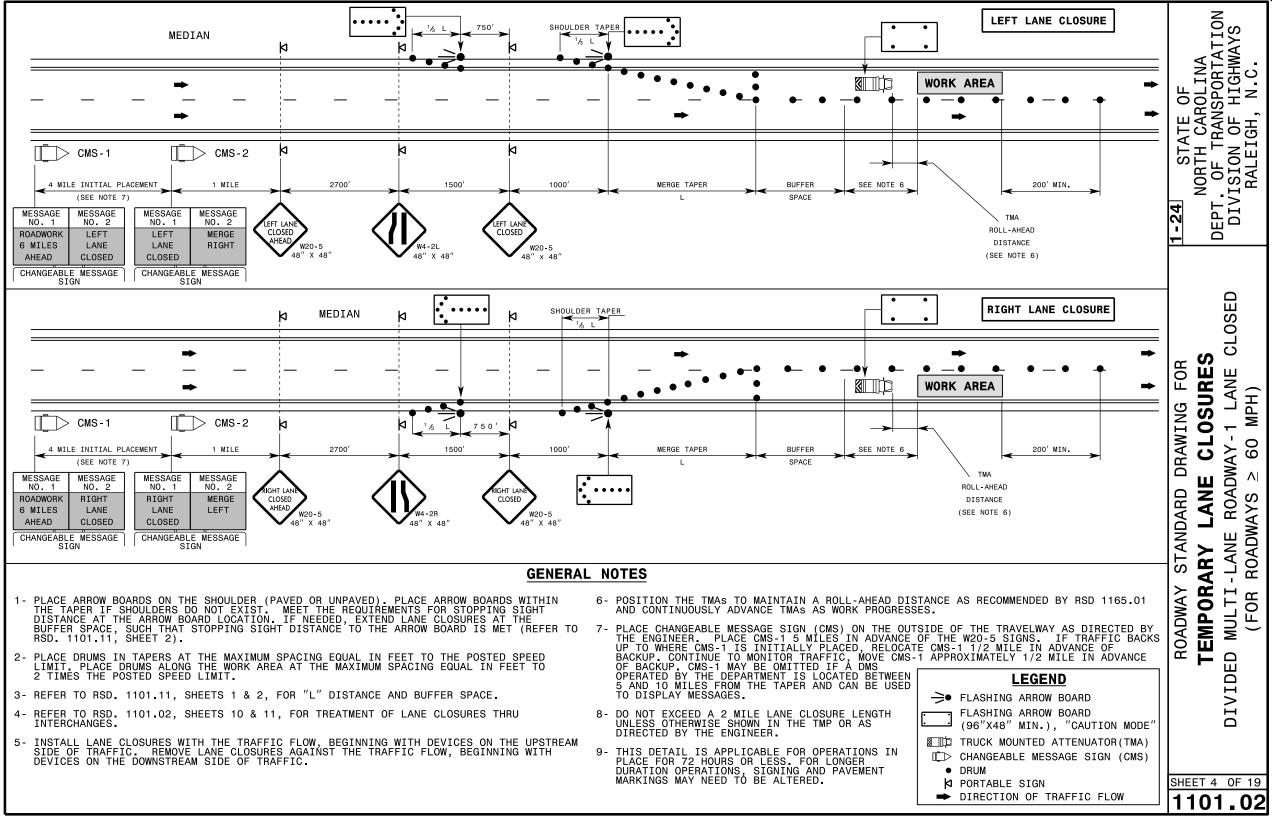
FLAGGER

KI.

- 5- UNLESS APPROVED BY THE ENGINEER, DO NOT INSTALL MORE THAN ONE (1) MILE OF LANE CLOSURE, MEASURED FROM THE BEGINNING OF THE MERGE TAPER TO THE END OF THE LANE CLOSURE.
- ADVISE RESIDENTS AND BUSINESSES WITHIN THE LANE CLOSURE LIMITS ABOUT METHODS OF SAFE EGRESS AND INGRESS FROM DRIVEWAYS DURING FLAGGING AND PILOT CAR OPERATIONS.

DF ACTIVE RAILROAD TRACKS, O PREVENT VEHICLES FROM LAGGER EVEN IF AUTOMATIC HOURS OR LESS. FOR LONGER EED TO BE ALTERED. RATIONS S MAY NOT BE REQUIRED CONES MAY BE OMITTED ALONG TAPERS. POSITION ON THE REAR OF LEGEND FLAGGER	ROADWAY STANDARD DRA TEMPORARY LANE C 2-LANE, 2-WAY ROADWAY-1
CONE	
PORTABLE SIGN	SHEET 1 OF 19
DIRECTION OF TRAFFIC FLOW	1101.02





CORPORATION

The prequalified bidder, declares (or certifies, verifies, or states) under penalty of perjury under the laws of the United States that neither he, nor any official, agent or employee has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the prequalified bidder has not been convicted of violating *N.C.G.S.* §133-24 within the last three years, and that the prequalified bidder intends to do the work with his own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

N.C.G.S. §133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

SIGNATURE OF PREQUALIFIED BIDDER

	Full nar	me of Corporation
	Addres	ss as Prequalified
Attest		By
	Secretary/Assistant Secretary (Select appropriate title)	President/Vice President/Assistant Vice President (Select appropriate title)
	Print or Type Signer's name	Print or Type Signer's name
		CORPORATE SEAL

PARTNERSHIP

The prequalified bidder, declares (or certifies, verifies, or states) under penalty of perjury under the laws of the United States that neither he, nor any official, agent or employee has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the prequalified bidder has not been convicted of violating N.C.G.S. § 133-24 within the last three years, and that the prequalified bidder intends to do the work with its own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

N.C.G.S. § 133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

SIGNATURE OF PREQUALIFIED BIDDER

Full Name of Partnership

Address as Prequalified

Signature of Witness

Signature of Partner

Print or Type Signer's Name

Print or Type Signer's Name

LIMITED LIABILITY COMPANY

The prequalified bidder, declares (or certifies, verifies, or states) under penalty of perjury under the laws of the United States that neither he, nor any official, agent or employee has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the prequalified bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the prequalified bidder intends to do the work with its own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

N.C.G.S. § 133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

SIGNATURE OF PREQUALIFIED BIDDER

Fi	ull Name of Firm
Add	ress as Prequalified
Signature of Witness	Signature of Member/Manager/Authorized Agent (Select appropriate Title)
Print or Type Signer's Name	Print or Type Signer's Name

JOINT VENTURE (2) or (3)

The prequalified bidder, declares (or certifies, verifies, or states) under penalty of perjury under the laws of the United States that neither he, nor any official, agent or employee has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the prequalified bidder has not been convicted of violating N.C.G.S. § 133-24 within the last three years, and that the prequalified bidder intends to do the work with its own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

N.C.G.S. § 133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

SIGNATURE OF PREQUALIFIED BIDDER

Instructions: **2 Joint Venturers** Fill in lines (1), (2) and (3) and execute. **3 Joint Venturers** Fill in lines (1), (2), (3) and (4) and execute. On Line (1), fill in the name of the Joint Venture Company. On Line (2), fill in the name of one of the joint venturers and execute below in the appropriate manner. On Line (3), print or type the name of the other joint venturer and execute below in the appropriate manner. On Line (4), fill in the name of the third joint venturer, if applicable and execute below in the appropriate manner.

	Address as Prequalified	
F	Audress as Prequaimed	
Signature of Witness or Attest	BY	Signature of Contractor
Print or Type Signer's Name		Print or Type Signer's Name
If Corporation, affix Corporate Seal	AND	
	Name of Contractor	
ŀ	Address as Prequalified	
Signature of Witness or Attest	ВҮ	Signature of Contractor
Print or Type Signer's Name		Print or Type Signer's Name
If Corporation, affix Corporate Seal	AND	
	Name of Contractor	
ŀ	Address as Prequalified	
	BY	
Signature of Witness or Attest		Signature of Contractor
Print or Type Signer's Name		Print or Type Signer's Name
If Corporation, affix Corporate Seal		

INDIVIDUAL DOING BUSINESS UNDER A FIRM NAME

The prequalified bidder, declares (or certifies, verifies, or states) under penalty of perjury under the laws of the United States that neither he, nor any official, agent or employee has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the prequalified bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the prequalified bidder intends to do the work with its own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

N.C.G.S. § 133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

SIGNATURE OF PREQUALIFIED BIDDER

Name of Prequalified Bidder	
	Individual Name
Trading and Doing Business As	
	Full name of Firm
Ad	dress as Prequalified
Signature of Witness	Signature of Prequalified Bidder, Individual

Print or Type Signer's Name

Print or Type Signer's Name

INDIVIDUAL DOING BUSINESS IN HIS OWN NAME

The prequalified bidder, declares (or certifies, verifies, or states) under penalty of perjury under the laws of the United States that neither he, nor any official, agent or employee has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the prequalified bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the prequalified bidder intends to do the work with its own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

N.C.G.S. § 133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

SIGNATURE OF PREQUALIFIED BIDDER

Name of Prequalified Bidder

Print or Type Name

Address as Prequalified

Signature of Prequalified Bidder, Individually

Print or Type Signer's Name

Signature of Witness

Print or Type Signer's name

DEBARMENT CERTIFICATION

Conditions for certification:

- 1. The prequalified bidder shall provide immediate written notice to the Department if at any time the bidder learns that his certification was erroneous when he submitted his debarment certification or explanation filed with the Department, or has become erroneous because of changed circumstances.
- 2. The terms *covered transaction*, *debarred*, *suspended*, *ineligible*, *lower tier covered transaction*, *participant*, *person*, *primary covered transaction*, *principal*, *proposal*, and *voluntarily excluded*, as used in this provision, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. A copy of the Federal Rules requiring this certification and detailing the definitions and coverages may be obtained from the Contract Officer of the Department.
- 3. The prequalified bidder agrees by submitting this form, that he will not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in NCDOT contracts, unless authorized by the Department.
- 4. For Federal Aid projects, the prequalified bidder further agrees that by submitting this form he will include the Federal-Aid Provision titled *Required Contract Provisions Federal-Aid Construction Contract (Form FHWA PR 1273)* provided by the Department, without subsequent modification, in all lower tier covered transactions.
- 5. The prequalified bidder may rely upon a certification of a participant in a lower tier covered transaction that he is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless he knows that the certification is erroneous. The bidder may decide the method and frequency by which he will determine the eligibility of his subcontractors.
- 6. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this provision. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- 7. Except as authorized in paragraph 6 herein, the Department may terminate any contract if the bidder knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available by the Federal Government.

Contract No. County

DEBARMENT CERTIFICATION

The prequalified bidder certifies to the best of his knowledge and belief, that he and his principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records; making false statements; or receiving stolen property;
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph b. of this certification; and
- d. Have not within a three-year period preceding this proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- e. Will submit a revised Debarment Certification immediately if his status changes and will show in his bid proposal an explanation for the change in status.

If the prequalified bidder cannot certify that he is not debarred, he shall provide an explanation with this submittal. An explanation will not necessarily result in denial of participation in a contract.

Failure to submit a non-collusion and debarment certification will result in the prequalified bidder's bid being considered non-responsive.

Check here if an explanation is attached to this certification.

State of North Carolina Department of Transportation Subcontractor Payment Information

Submit with Invoice

Firm Invoice No. Reference NCDOT PO/Contract Number WBS No. (State Project No.) Date of Invoice

Signed

Invoice Line Item Reference (from PO)	Payer Name	Payer Federal Tax ld	Subcontractor / Subconsultant/ Material Supplier Name	Subcontractor / Subconsultant / Material Supplier Federal Tax Id	Amount Paid To Subcontractor / Subconsultant / Material Supplier This Invoice	Date Paid To Subcontractor / Subconsultant / Material Supplier This Invoice
				·		
						μ
				·		
		Total Amount Pa	aid to Subcontractor	Firms	\$	

NOTE: - These documents are scanned into our Fiscal program. Please do not highlight or shade the figures.

I certify that this information accurately reflects actual payments made and the dates the payments were made to Subcontractors/ Subconsultants/Material Suppliers on the above referenced project.

Signature	 Title	
Print Name	 Date	

State of North Carolina Department of Transportation Subcontractor Payment Information

Submit with Invoice

NCDOT PO/	No. Reference Contract Number tate Project No.) ice	360	1231 0001234 0491 11/2007		EXAN	<u>APLE</u>
Signed			ohn Doe			
Invoice Line Item Reference (from PO)	Payer Name	Payer Federal Tax Id	Subcontractor / Subconsultant/ Material Supplier Name	Subcontractor / Subconsultant / Material Supplier Federal Tax Id	Amount Paid To Subcontractor / Subconsultant / Material Supplier This Invoice	Date Paid To Subcontractor / Subconsultant / Material Supplier This Invoice
Eaxmple 1 60	XYZ Trucking CDF Company	123-45-6789 456-78-9123	ABC Company DEF Paving	987-65-4312 789-12-3456	\$ 7,000.00 \$ 1,000.00	11/16/2007 11/17/2007

If no Subcontracto/Subconsultant participation, please submit form as shown below in Example 2

Eaxmple 2

N/A		0.00	
		Example 1	Example 2
	Total Amount Paid to Subcontractor Firms	\$ 8,000.00	0.00

NOTE: - These documents are scanned into our Fiscal program. Please do not highlight or shade the figures.

I certify that this information accurately reflects actual payments made and the dates the payments were made to Subcontractors/ Subconsultants/Material Suppliers on the above referenced project.

Signature	John Doc	Title	Owner
Print Name	John Doe	Date	12/11/2007

Subgrantee Letterhead / Name & Address Goes Here	Enter the name and address of the company, firm, governmental entity or subgrantee requesting payment form the North Carolina Department of Transportation
Submit with Invoice To:	Update this section with the name and address of the NCDOT representative that is responsible for processing payment requests for your contracts.
Firm Invoice No. Reference	Enter the invoice number that was submitted to NCDOT that corresponds with the payment information contained on this form. Enter the NCDOT Purchase Order or Contract number that corresponds with
NCDOT PO / Contract Number WBS No. (State Project No.)	the information contained on this form. Enter the NCDOT WBS element number assigned to this project.
Date of Invoice Signed	Enter the date or the invoice that was submitted for payinent. Enter the name of the person responsible for the validity of the information contained on this form.
Invoice Line Item Reference	related to.
Payer Name	Enter the name of the company, firm, governmental entity or subgrantee that is responsible for paying the DBE subcontractor.
Payer Federal Tax Id	Enter the Federal Tax Identification number of the Payer (See Payer Name) Enter the name of the DBE Subcontractor, Subconsultant or Material Supplier that is being paid for goods or services related to the NCDOT PO / Contract
Subcontractor / Subconsultant/ Material Supplier Name	Number. Enter the Federal Tax Identification number of the DBE Subcontractor, Subconsultant or Material Supplier that is being paid for goods or services
Subcontractor / Subconsultant/ Material Supplier Federal Tax Id Amount Paid To Subcontractor / Subconsultant / Material Supplier	related to the NCDOT PO / Contract Number. Enter the amount paid to the DBE Subcontractor, Subconsultant or Material
This Invoice Date Paid To Subcontractor / Subconsultant / Material Supplier This	Supplier for the invoice referenced. Enter the date that the Subcontractor / Subconsultant / Material Supplier was
Invoice	paid for the items referenced on the invoice. Enter the total payments made to all DBE Subcontractor / Subconsultant /
Total Amount Paid to DBE Firms	Material Supplier for the invoice referenced.

Transportation (IRS Form W-9 will not be accepted in lieu of this form) *Denotes a Required Field	SUBS Request for Taxpayer	F NORTH CAROLIN TITUTE W-9 FORM Identification Numbe		A DECEMBER OF THE PARTY OF THE
1. *NAME (legal name associated to ta *Legal Business Name, Proprietor's Na	ax ID being used for tax reporting purposes) me or Individual's Name	Buisness Name/DBA/Disr	egarded Entity Name, if different from Leg	val Name
requested per US Tax Law. Failure to	x Payer Identification Number (SSN, EIN or ITIN) o provide this informaton in a timely manner cou tax Id associated with legal name or business name	ld prevent or delay paym		0
	urity Number (SSN)			
C Individual	DR Taxpayer ID (ITIN)		provided when registered through EProcureme	
ARIBA Network Identification Nu			OA eVP Location #:	
3. *ORGANIZATION TYPE				
single-member LLC that is disreg	ox in the line above for the tax classification arded from the owner unless the owner of t e- member LLC that is disregarded from the	the LLC is another LLC t	hat is not disregarded from the ov	vner for U.S. federal
	(choose one organization type)		(only choose one if ap	plicable)
Individual (SSN)	Trust/Estate (SSM	N or EIN)	If your company is a Limited L How does your LLC Rep	, , ,
Sole Proprietorship (SSN or Partnership (EIN) Corporation (EIN)	Governmental ((Local, State Fee	EIN) deral)	Partne	garded Entity ership poration poration
	Other			
	PRIMARY PHYSICAL AN	ID REMITTANCE ADDRE	SS	
4. *PHYSICAL PRIMARY LEGAL AI			DRESS (address where payment sho	
Company Headquarters	locations (ordering addresses) on page 2) Individual Residence	(Ad	d additional remittance locations on pa	ge 2)
Is this a US Post Office Delivera Address Line 1:	ble Address? YES NO	Address Line 1:		
Address Line 2:		Address Line 2:		
Address Line 2: City	State Zip	Address Line 2: City	State	Zip
	r	City		Zip
	r			Zip
City	r	City IFORMATION (ARIBA Co		Zip
City 6. *Primary Contact:	CONTACT IN	City IFORMATION (ARIBA Co 7. *Fax Number:		Zip
City 6. *Primary Contact: 8. *Phone Number: 10. *UNDER PENALTIES OF PERJURY, 1. The number shown on this forr 2. I am not subject to backup with backup withholding because of	CONTACT IN I CERTIFY THAT: n is my correct taxpayer identification number (or I hholding because: (a) I am exempt from backup wit a failure to report all interest or dividends, or (c) th	City IFORMATION (ARIBA Co 7. *Fax Number: 9. *Email Address: am waiting for a number t hholding, or (b) I have not e IRS has notified me that	ntact Information) o be issued to me), and been notified by the Internal Revenue S	Service (IRS) that I am
City 6. *Primary Contact: 8. *Phone Number: 10. *UNDER PENALTIES OF PERJURY, 1. The number shown on this forr 2. I am not subject to backup with backup withholding because of 3. I am a U.S. citizen or other U.S. 4. The FATCA code(s) entered on the	CONTACT IN I CERTIFY THAT: n is my correct taxpayer identification number (or I hholding because: (a) I am exempt from backup wit a failure to report all interest or dividends, or (c) th . person (defined later in general instructions), and his form (if any) indicating that I am exempt from FA	City IFORMATION (ARIBA Co 7. *Fax Number: 9. *Email Address: am waiting for a number the hholding, or (b) I have not e IRS has notified me that NTCA reporting is correct.	ntact Information) o be issued to me), and been notified by the Internal Revenue S I am no longer subject to backup withho	Service (IRS) that I am
City 6. *Primary Contact: 8. *Phone Number: 10. *UNDER PENALTIES OF PERJURY, 1. The number shown on this forr 2. I am not subject to backup with backup withholding because of 3. I am a U.S. citizen or other U.S. 4. The FATCA code(s) entered on th 5. For complete certification instru	CONTACT IN I CERTIFY THAT: n is my correct taxpayer identification number (or I hholding because: (a) I am exempt from backup wit a failure to report all interest or dividends, or (c) th . person (defined later in general instructions), and	City IFORMATION (ARIBA Co 7. *Fax Number: 9. *Email Address: am waiting for a number t hholding, or (b) I have not e IRS has notified me that ITCA reporting is correct. .gov/pub/irs-pdf/iw9.pdf.	ntact Information) o be issued to me), and been notified by the Internal Revenue S I am no longer subject to backup withho	Service (IRS) that I am
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City 6. *Primary Contact: 8. *Phone Number: 10. *UNDER PENALTIES OF PERJURY, 1. The number shown on this forr 2. I am not subject to backup with backup withholding because of 3. I am a U.S. citizen or other U.S. 4. The FATCA code(s) entered on th 5. For complete certification instru Printed Name: Authorized Signature:	CONTACT IN I CERTIFY THAT: In is my correct taxpayer identification number (or I hholding because: (a) I am exempt from backup wit a failure to report all interest or dividends, or (c) th . person (defined later in general instructions), and his form (if any) indicating that I am exempt from FA ictions please see IRS FORM W-9 at http://www.irs. In or docusigned, typed or fonted and scripted appleted by NCDOT Requestor DOT Requester Nam	City FORMATION (ARIBA Co 7. *Fax Number: 9. *Email Address: am waiting for a number t hholding, or (b) I have not e IRS has notified me that NTCA reporting is correct. gov/pub/irs-pdf/iw9.pdf. Printed Title: d signatures are not acc	ntact Information) o be issued to me), and been notified by the Internal Revenue S I am no longer subject to backup withho Date: eptable) Division/Unit:	Service (IRS) that I am



LETTER OF INTENT TO PERFORM AS A SUBCONTRACTOR

CONTRACT:

NAME OF BIDDER:

The undersigned intends to perform work in connection with the above contract upon execution of the bid and subsequent award of contract by the Board of Transportation as:

Name of MBE/WBE/DBE Subcontractor_____

Address

City_____State____Zip____

Please check all that apply:

Minority Business Enterprise (MBE)

Women Business Enterprise (WBE)

Disadvantaged Business Enterprise (DBE)

The MBE /WBE /DBE status of the above named subcontractor is certified by the North Carolina Department of Transportation. The above named subcontractor is prepared to perform the described work listed on the attached MBE/WBE/DBE Commitment Items sheet, in connection with the above contract upon execution of the bid and subsequent award of contract by the Board of Transportation. The above named subcontractor is prepared to perform the described work at the estimated Commitment Total for Subcontractor Price identified on the MBE/WBE/DBE Commitment Items sheet and amount indicated below.

Commitment Total based on estimated Unit Prices and Quantities on the "attached" MBE/WBE/DBE Commitment Items sheet. Amount \$

The above named bidder and subcontractor mutually accepts the Commitment Total estimated for the Unit Prices and Quantities. This commitment total is based on estimated quantities only and most likely will vary up or down as the project is completed. Final compensation will be based on actual quantities of work performed and accepted during the pursuance of work. The above listed amount represents the entire dollar amount quoted based on these estimated quantities. No conversations, verbal agreements, and/or other forms of non-written representations shall serve to add, delete, or modify the terms as stated.

This document shall not serve in any manner as an actual subcontract between the two parties. A separate subcontractor agreement will describe in detail the contractual obligations of the bidder and the MBE/WBE/DBE subcontractor.

Affirmation

The above named MBE/ WBE/ DBE subcontractor affirms that it will perform the portion(s) of the contract for the estimated dollar value as stated above.

Name of MBE/ WBE/ DBE Subcontractor

Name of Bidder

Signature / Title

Signature / Title

Date

Subcontract Approval Form (SAF)

- Complete the "Subcontract Approval Form" (Form SAF) for the Subcontractor and the 2nd Tier Subcontractor on one form. Additional items of work can be entered on the "Subcontract Approval Form Attachment". If there is more than one 2nd Tier Subcontractor, the information should be listed on the "Subcontract Approval Form - Additional 2nd Tier" (SAF - Additonal 2nd Tier).
- 2. Reporting Number is the Fiscal Vendor Number for Contractors and Subcontractors. This number can be found in the NCDOT Directory of Transportation Firms Prequalified Bidders and Subcontractors. Use the following web address to access the list of Prequalified Bidders and Subcontractors.

https://partner.ncdot.gov/VendorDirectory/default.html

Enter the name of your subcontractor and hit "Submit". If the firm is prequalified to perform work for NCDOT, the firm's information will be shown on the screen. Click on the firm's name to access the Reporting Number.

- 3. If retainage is being withheld for the Subcontractor or 2nd Tier Subcontractor place an "X" in the box under the column titled "Retainage."
- 4. When the proposed Subcontractor or 2nd Tier Subcontractor is a certified DBE, MBE, or WBE Subcontractor, select the appropriate certification from the drop down list. When the proposed Subcontractor is not a certified DBE, MBE, or WBE subcontractor, select "NONE" from the drop down list.
- 5. Partial Item of Work and Portion of Work

Partial Item of Work is defined as a Subcontractor performing part of the work associated with a line item, such as hauling asphalt or tying steel. The partial item of work should be indicated by the symbol (\blacklozenge). The work associated with the contract line item to be performed by the Subcontractor shall be identified.

Portion of Work is defined as a Subcontractor performing all the work associated with a line item, but only a portion of the contract quantity. An example is grading from Station 225+00 - L- to the end of the project. The portions of work should be indicated by the symbol (•). The physical limits of the sublet quantity shall be identified.

The Contractor may designate a subcontracted item of work as both a portion and a partial. (Example: Contractor is subcontracting hauling of unclassified excavation to multiple trucking contractors.) If the item of work is designated as both a portion and a partial the unit price shall be less than the contract unit price **and** the quantity shall be less than the contract quantity.

- 6. Sub or 2nd Tier Designate if the work for the associated line item will be performed by a Subcontractor or a 2nd Tier Subcontractor. This must be completed to correctly calculate the Subcontract Amount.
- 7. Units of Measure (UOM) shown on the Subcontract Approval Form (SAF) shall be the same as those shown in the Department's contract. Any conversions that are necessary to satisfy this requirement shall be the responsibility of the Contractor. The Converted Price (CP) shall be denoted with an asterisk (*). (Examples of converting units of measure can be found in the HiCAMS User Guide, Chapter 2, Section 8A. Use the following link to view the examples.)

https://connect.ncdot.gov/projects/construction/Pages/HiCAMS-Manual.aspx

8. DBE/MBE/WBE Unit Price - This unit price should only be completed for DBE/MBE/WBE Subcontractors. Enter a DBE/MBE/WBE Unit Price for the items of work performed by any certified DBE/MBE/WBE. Use the chart below to determine if a DBE/MBE/WBE Unit Price shall be entered for the line item, based on the certification of the firm.

Subcontractor	2nd Tier	Enter DBE/MBE/WBE Unit Price For
Certified	None	Subcontractor
Certified	Certified	Subcontractor
None	Certified	2nd Tier

The DBE/MBE/WBE Unit Price must be the negotiated unit or lump sum price agreed upon between the Contractor and the Subcontractor, **unless the Contractor is entering a Converted Price**. Indicating a Converted Price acknowledges that the price shown is not the actual price, but an approximate value used for calculating the Sublet Amount as reasonably close as possible. It can be higher, lower or equal to the contract bid price.

- 9. DBE/MBE/WBE Sublet Amount is the DBE/MBE/WBE Unit Price multiplied by the Quantity. For committed firms, the DBE/MBE/WBE Sublet Amount shall be the same or higher than the amount listed in the contract.
- 10. Subcontract Unit Price The Subcontract Unit Price must be the same as the contract unit price unless the Subcontractor is performing a partial item of work. When a partial item of work is sublet, the unit price must be less than the contract unit price. When only a portion of the quantity of an item is sublet, the unit price shall be the same as the contract unit price. If an item of work is designated as both a partial and a portion, refer to Item 5 of these instructions. A Subcontract Unit Price must be entered for every line item, including an item of work performed by a DBE/MBE/WBE Subcontractor.
- 11. The Total Subcontract Amount is the Subcontract Unit Price multiplied by the Quantity.
- 12. The Subcontract Amount is the amount subcontracted by the Contractor. The amount is used to determine the percent of work performed by the Prime Contractor. (Refer to Article 108-6 of the Standard Specifications for subletting percentages.) The Subcontract Amount is calculated by summing the Total Subcontract Amounts for the Subcontractor. Any items listed on the Attachment sheet for the Subcontractor is also included in the Subcontract Amount. The line items for 2nd Tier Subcontractor(s) are not included.
- 13. When any item requested to be sublet has been previously included in an approved subcontract, the following statement shall be included above the listing of these items: "The following items are being deleted from "Subcontract Request Number _____."
- 14. The Contractor, Subcontractor and 2nd Tier Subcontractor shall sign the original Subcontract Approval Form and the Contractor shall submit the form to the Resident Engineer.
- 15. By signing the Subcontract Approval Form, the contractor is in agreement that the FHWA 1273, "Required Contract Provisions," (federal projects) and Title VI and Nondiscrimination Assurances (all projects) have been included in the subcontract / 2nd tier subcontract in its entirety.

Sublet Percentages

FOR USE BY NCDOT PERSONNEL (for non HiCAMS contracts)

The following is the process used to calculate the Sublet Percentages after the approval of each subcontract. The fields will not populate, this process should be hand calculated.

(1) Total Original Contract Amount	(5) Difference {1-(2+3)}
(2) Specialty Items Sublet	(6) Percent by Prime {(1-4)/5
(3) Non-spec. Items Sublet to DBE/MBE/WBE	(7) Threshold Check {(1-4)/(1-2)}
(4) Total Sublet (Grand Total)	

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Rev.
SAF
Form

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	SUBCONTRACT APPROVAL FORM	ORM
Contract No.:	F.A. No.:	Subcontract Request Number:
WBS Element:	T.I.P. No.:	County:
APPROVAL IS REQUESTED TO SUBLET THE FOL	SUBLET THE FOLLOWING ITEMS OF WORK ON THIS PROJECT TO:	

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d Address
bcontractor Name and

Certification Retainage

 2^{nd} Tier-1 Subcontractor Name and Address

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	Subcontract Amt.		DBE/MBE/WBE Amount	DBE/N		Indicates a Partial Item (tes a Part	Indica		Indicates a Portion of Work (●)	Indicates a Po
Total Subcontract Amount	Subcontract Unit Price	DBE/MBE/WBE Sublet Amount	DBE/MBE/WBE Unit Price	л _с Р ,	MOU	Quantity	Sub or 2nd Tier	Partial (♦)	Portion (•)	Item Description	Line Code Number

The Contractor / Subcontractor certifies that the subcontract is in writing and that FHWA 1273, "Required Contract Provisions," and Title VI and Nondiscrimination Assurances have been included in the subcontract / 2nd tier subcontract in its entirety.

SUBCONTRACT CERTIFICATION (applies only to State projects)

The Contractor / Subcontractor certifies that the subcontract is in writing and Title VI and Nondiscrimination Assurances have been included in the

Date

APPROVED:

Contractor:

Date Approved with the understanding that the Contractor will be responsible for the satisfactory performance and completion of the work in compliance with the terms of the contract and that all payments will be made to the Contractor. Resident Engineer Date Subcontractor: Signature: Title: Title:

2nd Tier

Signature:

Title:

Date

SUBCONTRACT CERTIFICATION (applies only to Federal projects)

subcontract/2nd tier subcontract in its entirety.

Signature:

Subcontractor:

Retainage

Reporting No.

Certification

Reporting No.



SUBCONTRACT APPROVAL FORM

Contract No.:

F.A. No.:

Subcontract Request Number:

]							_
Line Code Number	Item Description	Portion P	Partial (•)	Sub or 2nd Tier	Quantity	WON	4 v	DBE/MBE/WBE Unit Price	DBE/MBE/WBE Sublet Amount	Subcontract Unit Price	Total Subcontract Amount
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			+				1				
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Indicates a F	Indicates a Portion ofWork (●)	<u> </u>	ndicate	s a Partial	Indicates a Partial Item (

Form SAF Additional 2nd Tier Rev. 2A

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		SUBCON	SUBCONTRACT APPROVAL FORM	/AL FOR	Σ			
Contract No.:		F.A. No.:			Subcontract F	Subcontract Request Number:		
WBS Element:		T.I.P. No.:			County:			
APPROVAL I:	APPROVAL IS REQUESTED TO SUBLET THE FOLLOWING ITEMS OF WORK ON THIS PROJECT TO:	NG ITEMS OF WO	RK ON THIS PROJE	ECT TO:	Retainage	Certification	Reporting No.	ng No.
2 nd Tier-2 Subcon	2 nd Tier-2 Subcontractor Name and Address				Retainage	Certification	Reporting No.	ng No.
2 nd Tier-3 Subcon	2 nd Tier-3 Subcontractor Name and Address]			
Line Code Number	Item Description	Portion Partial Sub (•) (•) 2nd Tier	Quantity	* CP	DBE/MBE/WBE Unit Price	DBE/MBE/WBE Sublet Amount	Subcontract Unit Price	Total Subcontract Amount
	=							
Indicates a Pc	Indicates a Portion of Work (●)	Indicates a Partial Item (^{>} artial Item (♦)					
SUBCONTRA The Contracto Nondiscrimina	SUBCONTRACT CERTIFICATION (applies only to Federal projects) The Contractor / Subcontractor certifies that the subcontract is in writing and that FHWA 1273, "Required Contract Provisions," and Title VI and Nondiscrimination Assurances have been included in the subcontract / 2 nd tier subcontract in its entirety.	projects) t is in writing and th ubcontract / 2 nd tier	at FHWA 1273, "Re subcontract in its en	quired Con tiretv	tract Provisions,"	and Title VI and		
SUBCONTRA The Contracto	SUBCONTRACT CERTIFICATION (applies only to State projects) The Contractor / Subcontractor certifies that the subcontract is in writing and Title VI and Nondiscrimination Assurances have been included in the	ojects) t is in writing and Ti	tle VI and Nondiscrir	mination As	ssurances have be	en included in th	Ð	
Contractor:		040C		APPROVED:	ö			
Juguature. Title:		רמופ		Resident Engineer	ıgineer			Date
Subcontractor: Signature: Title:		Date		Approved v satisfactory terms of th	Approved with the understanding that the Contractor will be responsible for the satisfactory performance and completion of the work in compliance with the terms of the contract and that all payments will be made directly to the Contractor.	ng that the Contract ompletion of the wo all payments will be	tor will be responsi rk in compliance w made directly to th	ble for the ith the e Contractor.
2 nd Tier Subcontractor: Sionatura		Date						
Title:		2						

AWARD LIMITS ON MULTIPLE PROJECTS

It is the desire of the Proposer to be awarded contracts, the value of which will not exceed a total of \$________, for those projects indicated below on which bids are being opened on the same date as shown in the Proposal Form. Individual projects shall be indicated by placing the project number and county in the appropriate place below. Projects not selected will not be subject to an award limit.

(Project Number)

(Project Number)

(Project Number)

(Project Number)

*If a Proposer desires to limit the total amount of work awarded to him in this letting, he shall state such limit in the space provided above in the second line of this form.

It is agreed that in the event that I am (we are) the successful bidder on indicated projects, the total value of which is more that the above stipulated award limits, the Board of Transportation will award me (us) projects from among those indicated which have a total value not exceeding the award limit and which will result in the best advantage to the Department of Transportation.

**Signature of Authorized Person

**Only those persons authorized to sign bids under Subarticle 102-8(A)(12) shall be authorized to sign this form.

(County)

(County)

(County)

(County)

ADDENDA

ADDENDUM #1

I,(SIGNATURE)	representing
Acknowledge receipt of Addendum	#1.
ADDENDUM #2	
I,(SIGNATURE)	representing
Acknowledge receipt of Addendum	#2.
ADDENDUM #3	
I,(SIGNATURE)	representing
Acknowledge receipt of Addendum	#3

Acknowledge receipt of Addendum #3.

Execution of Contract

Contract No: MI00003 - D9-TREE-2024

County: Davidson, Davie, Forsyth, Rowan & Stokes

ACCEPTED BY THE _____

Proposals Engineer

Date

EXECUTION OF CONTRACT AND BONDS APPROVED AS TO FORM:

Division Engineer

Date

Signature Sheet (Bid) - ACCEPTANCE SHEET

CONTRACT: MI00003 - D9-TREE-2024

DESCRIPTION: "TREE SERVICE" CONSISTING OF THE PRUNING OR REMOVAL OF TREES USING SOUND ESTABLISHED ARBORICULTURAL PRINCIPLES FROM HIGHWAY RIGHT OF WAY ALONG STATE MAINTAINED ROADS ON AN "AS-NEEDED BASIS" IN DAVIDSON, DAVIE, FORYSTH, ROWAN AND STOKES COUNTIES

County				
DESCRIPTION	QTY.	UNIT	UNIT PRICE	PRICE
TREE OPTION #1				
(1 Truck w/ Brush Chipper, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	50	HR		
TREE OPTION #2				
(1 Truck w/ Brush Chipper, 1 Bucket Truck, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	250	HR		
STUMP GRINDING				
(1 Truck w/ Stumpgrinder, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	24	HR		
EMERGENCY CALL BACK MOBILIZATION (SEE SPECIAL PROVISIONS)	10	EA		
LANE CLOSURE ON MULTI LANE ROADWAYS	5	EA		
KNUCKLE BOOM TRUCK WITH OPERATOR	80	HR		
CUT AND SHOVE CREW	70	HR		
	TREE OPTION #1 (1 Truck w/ Brush Chipper, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies) TREE OPTION #2 (1 Truck w/ Brush Chipper, 1 Bucket Truck, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies) STUMP GRINDING (1 Truck w/ Stumpgrinder, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies) EMERGENCY CALL BACK MOBILIZATION (SEE SPECIAL PROVISIONS) LANE CLOSURE ON MULTI LANE ROADWAYS KNUCKLE BOOM TRUCK WITH OPERATOR	I DESCRIPTIONQTY.TREE OPTION #1 (1 Truck w/ Brush Chipper, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)50TREE OPTION #2 (1 Truck w/ Brush Chipper, 1 Bucket Truck, 5 Man Crew w/ 	IDESCRIPTIONQTY.UNITTREE OPTION #1 (1 Truck w/ Brush Chipper, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)50HRTREE OPTION #2 (1 Truck w/ Brush Chipper, 1 Bucket Truck, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)250HRSTUMP GRINDING (1 Truck w/ Stumpgrinder, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)24HREMERGENCY CALL BACK MOBILIZATION (SEE SPECIAL PROVISIONS)10EALANE CLOSURE ON MULTI LANE ROADWAYS5EAKNUCKLE BOOM TRUCK WITH OPERATOR80HR	DESCRIPTIONQTY.UNITUNIT PRICETREE OPTION #1 (1 Truck w/ Brush Chipper, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)50HRTREE OPTION #2 (1 Truck w/ Brush Chipper, 1 Bucket Truck, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)250HRSTUMP GRINDING (1 Truck w/ Stumpgrinder, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)24HREMERGENCY CALL BACK MOBILIZATION (SEE SPECIAL PROVISIONS)10EALANE CLOSURE ON MULTI LANE ROADWAYS5EAKNUCKLE BOOM TRUCK WITH OPERATOR80HR

* The contractor shall note that all quantities are used only for figuring the lowest responsible bidders. The quantities may vary needed during the year based on the amount of work as directed by the Engineer.

TOTAL BID FOR PROJECT:

CONTRACTOR ADDRESS		
Federal Identification Number	Contractor's License #	
Authorized Agent	Title	
Signature	Date	
Witness	Title	
Signature	Date	

THIS SECTION TO BE COMPLETED BY NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

Reviewed by		(date)
Accepted by NCDOT	Engineer	(date)

MI00003 - D9-TREE-2024

DESCRIPTION: "TREE SERVICE" CONSISTING OF THE PRUNING OR REMOVAL OF TREES USING SOUND ESTABLISHED ARBORICULTURAL PRINCIPLES FROM HIGHWAY RIGHT OF WAY ALONG STATE MAINTAINED ROADS ON AN "AS-NEEDED BASIS" IN DAVIDSON, DAVIE, FORYSTH, ROWAN AND STOKES COUNTIES

ITEM	DESCRIPTION	QTY.	UNIT	UNIT PRICE	PRICE
	TREE OPTION #1				
1	(1 Truck w/ Brush Chipper, 5 Man Crew w/ Flagmen, Tools,	50	HR		
I	Equipment, Supplies)	00			
	TREE OPTION #2				
2	(1 Truck w/ Brush Chipper, 1 Bucket Truck, 5 Man Crew w/	200	HR		
2	Flagmen, Tools, Equipment, Supplies)	200			
	STUMP GRINDING				
3	(1 Truck w/ Stumpgrinder, 5 Man Crew w/ Flagmen, Tools,	24	HR		
5	Equipment, Supplies)	24			
4	EMERGENCY CALL BACK MOBILIZATION (SEE SPECIAL	10	EA		
4	PROVISIONS)	10			
5	LANE CLOSURE ON MULTI LANE ROADWAYS	5	EA		
U		0	L/(
6	KNUCKLE BOOM TRUCK WITH OPERATOR	80	HR		
3					
7	CUT AND SHOVE CREW	70	HR		

* The contractor shall note that all quantities are used only for figuring the lowest responsible bidders. The quantities may vary needed during the year based on the amount of work as directed by the Engineer.

TOTAL BID FOR PROJECT:

CONTRACTOR ADDRESS Federal Identification Number Contractor's License # Authorized Agent Title Signature Date Witness Title Signature Date Signature Date

THIS SECTION TO BE COMPLETED BY NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

Reviewed by	_(date)	
Accepted by NCDOT	Engineer (date)	

MI00003 - D9-TREE-2024

DESCRIPTION: "TREE SERVICE" CONSISTING OF THE PRUNING OR REMOVAL OF TREES USING SOUND ESTABLISHED ARBORICULTURAL PRINCIPLES FROM HIGHWAY RIGHT OF WAY ALONG STATE MAINTAINED ROADS ON AN "AS-NEEDED BASIS" IN DAVIDSON, DAVIE, FORYSTH, ROWAN AND STOKES COUNTIES

Forsyth Co	ounty				
ITEM	DESCRIPTION	QTY.	UNIT	UNIT PRICE	PRICE
	TREE OPTION #1				
1	(1 Truck w/ Brush Chipper, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	50	HR		
2	TREE OPTION #2 (1 Truck w/ Brush Chipper, 1 Bucket Truck, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	275	HR		
	STUMP GRINDING				
3	(1 Truck w/ Stumpgrinder, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	8	HR		
4	EMERGENCY CALL BACK MOBILIZATION (SEE SPECIAL PROVISIONS)	5	EA		
5	LANE CLOSURE ON MULTI LANE ROADWAYS	5	EA		
6	KNUCKLE BOOM TRUCK WITH OPERATOR	125	HR		
7	CUT AND SHOVE CREW	70	HR		

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Reviewed by	(date)	
Accepted by NCDOT	Engineer (date)	

MI00003 - D9-TREE-2024

DESCRIPTION: "TREE SERVICE" CONSISTING OF THE PRUNING OR REMOVAL OF TREES USING SOUND ESTABLISHED ARBORICULTURAL PRINCIPLES FROM HIGHWAY RIGHT OF WAY ALONG STATE MAINTAINED ROADS ON AN "AS-NEEDED BASIS" IN DAVIDSON, DAVIE, FORYSTH, ROWAN AND STOKES COUNTIES

Rowan Co	ounty				
ITEM	DESCRIPTION	QTY.	UNIT	UNIT PRICE	PRICE
	TREE OPTION #1				
1	(1 Truck w/ Brush Chipper, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	100	HR		
	TREE OPTION #2				
2	(1 Truck w/ Brush Chipper, 1 Bucket Truck, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	225	HR		
	STUMP GRINDING				
3	(1 Truck w/ Stumpgrinder, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	8	HR		
4	EMERGENCY CALL BACK MOBILIZATION (SEE SPECIAL PROVISIONS)	5	EA		
5	LANE CLOSURE ON MULTI LANE ROADWAYS	5	EA		
6	KNUCKLE BOOM TRUCK WITH OPERATOR	160	HR		
7	CUT AND SHOVE CREW	70	HR		

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CONTRACTOR ADDRESS Federal Identification Number Contractor's License # Authorized Agent Title Signature Date Witness Title Signature Date Signature Date

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Reviewed by	(date)	
Accepted by NCDOT	Engineer (date)	

MI00003 - D9-TREE-2024

DESCRIPTION: "TREE SERVICE" CONSISTING OF THE PRUNING OR REMOVAL OF TREES USING SOUND ESTABLISHED ARBORICULTURAL PRINCIPLES FROM HIGHWAY RIGHT OF WAY ALONG STATE MAINTAINED ROADS ON AN "AS-NEEDED BASIS" IN DAVIDSON, DAVIE, FORYSTH, ROWAN AND STOKES COUNTIES

Stokes Co	unty				
ITEM	DESCRIPTION	QTY.	UNIT	UNIT PRICE	PRICE
	TREE OPTION #1				
1	(1 Truck w/ Brush Chipper, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	50	HR		
	TREE OPTION #2				
2	(1 Truck w/ Brush Chipper, 1 Bucket Truck, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	300	HR		
	STUMP GRINDING				
3	(1 Truck w/ Stumpgrinder, 5 Man Crew w/ Flagmen, Tools, Equipment, Supplies)	8	HR		
4	EMERGENCY CALL BACK MOBILIZATION (SEE SPECIAL PROVISIONS)	5	EA		
5	LANE CLOSURE ON MULTI LANE ROADWAYS	5	EA		
6	KNUCKLE BOOM TRUCK WITH OPERATOR	200	HR		
7	CUT AND SHOVE CREW	70	HR		

* The contractor shall note that all quantities are used only for figuring the lowest responsible bidders. The quantities may vary needed during the year based on the amount of work as directed by the Engineer.

TOTAL BID FOR PROJECT:

CONTRACTOR ADDRESS Federal Identification Number Contractor's License # Authorized Agent Title Signature Date Witness Title Signature Date Signature Date

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Reviewed by		(date)
Accepted by NCDOT	Engineer	(date)