DIVISION 13

CONTRACT PROPOSAL

REQUISITION #:	**11233307**
WBS ELEMENT:	**3713.3.24**
ROUTE(S):	**I-40 at Burke County Line and Interchange at exit 119**
COUNTY	**Burke**
DESCRIPTION:	**Professional Landscape Contractor to install and Establish Landscape Planting.**
PRE-BID MEETING:	**Wednesday, March 13, 2013 at 2:00 PM at the NCDOT Division 13 Office Conference Room**
BID OPENING:	**Wednesday, March 20, 2013 AT 2:00 PM**

NOTICE:
ALL BIDDERS SHALL COMPLY WITH ALL APPLICABLE LAWS AND REGULATIONS. IN ADDITION, THE PRACTICE OF THE GENERAL STATUTES OF NORTH CAROLINA REQUIRES THE BIDDER TO BE LICENSED BY THE N.C LICENSING BOARD. CONTRACTORS BIDDING ON ANY NON-FEDERAL AID PROJECT WHERE THE BID IS $30,000 OR MORE WITH THE EXCEPTION OF 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, AIR CONDITIONING AND REFRIGERATION CONTRACTING AS CONTAINED IN CHAPTER 87 OF THE GENERAL STATUTES OF NORTH CAROLINA.

_____

NAME OF BIDDER

_____

ADDRESS OF BIDDER

RETURN BIDS TO: **Mike Calloway, Division 13 Project Manager**
55 Orange Street
Asheville, NC 28801

PAYMENT AND PERFORMANCE BOND REQUIRED

PROPOSAL FOR THE CONSTRUCTION OF

CONTRACT No. 11233307 IN BURKE COUNTY, NORTH CAROLINA

DEPARTMENT OF TRANSPORTATION,

ASHEVILLE, NORTH CAROLINA

The Bidder has carefully examined the location of the proposed work to be known as Contract 11233307; 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 be 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 2012 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 No.11233307 in **Burke County**, 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 2012* 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.

Division 13Project Manager

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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 shall cause the bid to be considered irregular and shall be grounds for rejection of the bid.

1. The bid sheet furnished by NCDOT with the proposal shall be used and shall not be altered in any manner. **THE ENTIRE PROPOSAL WITH THE BID SHEET COMPLETED ALONG WITH ANY ADDENDA SHALL BE SUBMITTED IN ORDER FOR THE BID TO BE CONSIDERED FOR AWARD. (SEE ITEM #11 BELOW)**

2. All entries on the bid sheet, including signatures, shall be written in ink.

3. The Bidder shall submit a unit price for every item on the bid form. 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 FOUR DECIMAL PLACES.**

4. An amount bid shall be entered on the bid 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 Bid" column of the sheet.

5. The total amount bid shall be written in figures in the proper place on the bid sheet. The total amount shall be determined by adding the amounts bid for each item.

6. Changes in 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.

7. The bid shall be properly executed. All bids shall show the following information:

a. Name of individual, firm, corporation, partnership, or joint venture submitting bid.
b. Name and signature of individual or representative submitting bid and position or title.
c. Name, signature, and position or title of witness.
d. Federal Identification Number (or Social Security Number of Individual)
e. Contractor's License Number (if Applicable)

8. Bids submitted by corporations shall bear the seal of the corporation.

9. The bid shall not contain any unauthorized additions, deletions, or conditional bids.

10. 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.

11. THE ENTIRE PROPOSAL WITH THE BID SHEET, AS WELL AS ANY PROJECT ADDENDA SHOULD BE STAPLED OR OTHERWISE SECURELY FASTENED AND SHALL BE PLACED IN A SEALED ENVELOPE AND SHALL HAVE BEEN DELIVERED TO AND RECEIVED IN THE DIVISION ENGINEER'S OFFICE AT 55 ORANGE STREET, ASHEVILLE, NC 28801 BY 2:00 P.M. ON WEDNESDAY, MARCH, 20, 2013.

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

QUOTATION FOR CONTRACT: 11233307; REGISTERED LANDSCAPE CONTRACTOR TO INSTALL AND ESTABLISH AN ORNAMENTAL LANDSCAPE PLANTING IN BURKE COUNTY TO BE OPENED AT 2:00 P.M. ON MARCH 20, 2013.

ATTEN: MIKE CALLOWAY, DIVISION PROJECT MANAGER

13. If delivered by mail, the sealed envelope shall be placed in another sealed envelope and the outer envelope shall be addressed as follows:

MR. MIKE CALLOWAY, DIVISION 13 PROJECT MANAGER
N. C. DEPARTMENT OF TRANSPORTATION
55 ORANGE STREET, ASHEVILLE, NC 28801

MANDATORY PRE-BID CONFERENCE AND PROPOSAL REVIEW

In order to have an extensive knowledge of the project, all prospective bidders shall attend a mandatory pre-bid conference on Wednesday, March 13, 2013 at 2:00PM in the Conference Room at:

Department of Transportation
Division 13 Office
55 Orange Street
Asheville, NC 28801

The pre-bid conference will include a thorough discussion of the plans, contract pay items and special provisions, etc.

MANDATORY PRE-BID CONFERENCE AND ELIGIBILITY TO BID

All prospective bidders at the Mandatory Pre-Bid Conference shall meet all of the requirements as shown below:

Only bidders who have attended the entire conference and properly registered at the Mandatory Pre-Bid Conference will be considered eligible to bid on this project. A bid received from a Bidder who has not attended and properly registered at the conference will be rejected as an irregular bid and will not be considered for award.

Attendance at the Mandatory Pre-Bid Conference will not meet the requirements of proper registration unless the individual attending has registered at the conference in accordance with the following:

1. The individual attending the Mandatory Pre-Bid Conference is a full time employee of the company being represented and has **administrative/supervisory** authority over the work to be performed under this contract.

2. The individual signs his/her name and company title on the official roster.

3. The individual writes in the name and address of the company he or she represents, also must have their vendor number.

4. Only one company is shown as being represented by the individual attending.

5. The individual shall sign out when the conference is over.

6. 2:00 pm to 2:05 pm five minute tardy policy: That individual has five (5) minutes to sign their name and address of their company on the official roster after the pre-bid conference begins.

All work and materials shall be in accordance with the provisions of the Plans and General Guidelines of this Contract, the Project Special Provisions, the North Carolina Department of

Transportation January 2012 Edition of the Standard Specifications for Roads and Structures, the North Carolina Department of Transportation January 2012 Edition of the Roadway Standards Drawings, and the current edition of the Manual of Uniform Traffic Control Devices (MUTCD).

The North Carolina Department of Transportation is requiring the Contractor to submit a Traffic Control Plan of the proposed work zone. This consists of a description of all traffic control devices, which includes signage, cones and safety equipment. Such plan shall be provided to the engineer or his representative. Reference the Manual of Uniform Traffic Control Devices, MUTCD for specific details.

The Contractor shall keep himself fully informed of all Federal, State, and Local laws, ordinances, regulations, and shall comply with the provisions of Section 107 of the Standard Specifications, January, 2012 edition. These manuals may be found on the Web at:

https://connect.ncdot.gov/projects/Contracts/Pages/Specifications-and-Special-Provisions.aspx

http://mutcd.fhwa.dot.gov/

NOTICE AFTER AWARDING OF THE CONTRACT TO BIDDER:

The successful bidder has Fourteen (14) business days after notice of award of the contract, to provide the North Carolina Department of Transportation with a Payment and Performance Bond, Letter of Acceptance, Public Liability Insurance Statement, Worker's Compensation Insurance and Property Damage Insurance Statement, a Traffic Control Plan, Progress Schedule, Pesticide License and Landscape Contractor Registration, also a Work Zone Supervisor certification. The Contractor is to provide the North Carolina Department of Transportation with contact information. **If any of these terms are not met within the allotted amount of time of fourteen (14) business days, the North Carolina Department of Transportation will have the right to reject the bid and select the next lowest responsible bidder or cancellation of this contract.**

PROJECT SPECIAL PROVISIONS

GENERAL

Project Description:

The North Carolina Department of Transportation is seeking the services of a Registered Landscape Contractor to install and establish an ornamental landscape planting. The work shall consist of furnishing traffic control, removing existing vegetation, preparing a plant bed, installing ornamental plants, applying mulch, applying post-emergent and pre-emergent herbicides, watering, special vegetation removal, selective pruning, installing split rail fence and turf seeding and mulching. It also includes a monthly establishment regiment which includes mowing, line/blade trimming, pesticide and herbicide applications, manual weeding, litter pick-up and removing and replacing dead, damaged, stolen or unhealthy/weak plants.

In order to keep the highway safe and traffic flowing during heavier travel times, work hours will be 7:30 am to 4:00 pm, Monday through Friday, unless otherwise approved by the Engineer. Request for exceptions to these work times must be submitted in writing to the Engineer. All work under this contract is subject to seasonal weather limitations.

Location of site: I-40 median at the Burke County line to the east and Exit 119 at Hildebran in Burke County.

In accordance with GS 136-28.1(b), if the total bid amount of the contract exceeds $1,200,000.00, the bid will not be considered for award.

PERFORMANCE BOND AND PAYMENT BOND REQUIREMENTS

Bonds will be required by the Department.

The successful Bidder, at the time of the execution of the contract, shall provide a contract performance bond in the amount of one hundred percent (100%) of the contract amount, conditioned upon the faithful performance of the contract in accordance with the plans, specification and conditions of the contract. Such bond shall be solely for the protection of the contracting body which awarded the contract.

The successful Bidder, at the time of the execution of the contract, shall provide a contract payment bond in the amount of one hundred percent (100%) of the contract amount, conditioned upon the prompt payment for all labor or materials for which a contractor or subcontractor is liable. The payment bond shall be solely for the protection of the persons furnishing materials or performing labor for which a contractor or subcontractor is liable.

The performance bond and the payment bond shall be executed by one or more surety companies legally authorized to do business in the State of North Carolina and become effective upon the awarding of the construction contract.

CONTRACT TIME AND LIQUIDATED DAMAGES:

The date of availability for this contract is **April 3, 2013.**

The completion date for this contract is **October 31, 2014.**

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.

INTERMEDIATE CONTRACT TIME NUMBER 1 AND LIQUIDATED DAMAGES

The Contractor shall complete the required work of performing seeding and mulching, initial planting of ornamental and evergreen trees and mulching of all existing beds as shown on the plans and as directed by the Engineer.

The date of availability for this intermediate contract time will be **April 3, 2013**.

The completion date for this intermediate contract time will be **April 26, 2013**.

The liquidated damages are **Eight Hundred Dollars** (**$800.00**) per calendar day.

The Contractor leaving traffic control signage in place, failing to remove or storing improperly after hours or operation end shall have deductions from your monthly payment **One Hundred ($100.00) Dollars** per incident.

INTERMEDIATE CONTRACT TIME NUMBER 2 AND LIQUIDATED DAMAGES

The Contractor shall complete the required work of performing special vegetation removal with pruning, selective tree removal, selective pruning and furnishing and installing the split rail fence as shown on the plans and as directed by the Engineer.

The date of availability for this intermediate contract time will be **April 3, 2013**.

The completion date for this intermediate contract time will be **May 31, 2013**.

The liquidated damages are **Eight Hundred Dollars** (**$800.00**) per calendar day.

The Contractor leaving traffic control signage in place, failing to remove or storing improperly after hours or operation end shall have deductions from your monthly payment **One Hundred ($100.00) Dollars** per incident.

INTERMEDIATE CONTRACT TIME NUMBER 3 AND LIQUIDATED DAMAGES

The Contractor shall complete the required work of performing initial planting of all ornamental grasses as shown on the plans and as directed by the Engineer.

The date of availability for this intermediate contract time will be **April 15, 2013**.

The completion date for this intermediate contract time will be **May 17, 2013**.

The liquidated damages are **Eight Hundred Dollars** (**$800.00**) per calendar day.

The Contractor leaving traffic control signage in place, failing to remove or storing improperly after hours or operation end shall have deductions from your monthly payment **One Hundred ($100.00) Dollars** per incident.

INTERMEDIATE CONTRACT TIME NUMBER 4 AND LIQUIDATED DAMAGES:

(2-20-07) 108 SP1 G14 A

The Contractor shall complete the required work of installing, maintaining, and removing the traffic control devices for lane closures and restoring traffic to the existing traffic pattern. The Contractor shall not close or narrow a lane of traffic on **I-40 or SR 1002** during the following time restrictions:

DAY AND TIME RESTRICTIONS

[Monday -Friday 5:00 pm to 8:00 am]

In addition, the Contractor shall not close or narrow a lane of traffic on **I-40 or SR 1002**, detain and/or alter the traffic flow on or during holidays, holiday weekends, special events, or any other time when traffic is unusually heavy, including the following schedules:

HOLIDAY AND HOLIDAY WEEKEND LANE CLOSURE RESTRICTIONS

For **Friday's** that creates unusually high traffic volumes, as directed by the Engineer.

For **New Year's Day**, between the **5:00 pm** December 31st and the **8:00 am** January 2nd. If New Year's Day is on a Friday, Saturday, Sunday or Monday, then until **8:00 am** to the following Tuesday.

For **Easter**, between the hours of **3:00 pm** Thursday and **8:00 am** Monday.

For **Memorial Day**, between the hours of **4:00 pm** Friday and **8:00 am** on Tuesday.

For **Independence Day**, between the hours of **4:00 pm** the day before Independence Day and **8:00 am** the day after Independence Day.

If **Independence Day** is on a Friday, Saturday, Sunday or Monday, then between the hours of **4:00 pm** the Thursday before Independence Day and **8:00 am** the Tuesday after Independence Day.

For **Labor Day**, between the hours of **4:00 pm** Friday and **8:00 am** on Tuesday.

For **Thanksgiving Day**, between the hours of **4:00 pm** Tuesday and **9:00 am** Monday.

For **Christmas**, between the hours of **3:00 pm** the Friday before the week of Christmas Day and **3:00 pm** the following Tuesday after the week of Christmas Day.

Holidays and holiday weekends shall include New Year's, Easter, Memorial Day, Independence Day, Labor Day, Thanksgiving, and Christmas. The Contractor shall schedule his work so that lane closures will not be required during these periods, unless otherwise directed by the Engineer.

The time of availability for this intermediate contract work shall be the time the Contractor begins to install all traffic control devices for lane closures according to the time restrictions listed herein.

The completion time for this intermediate contract work shall be the time the Contractor is required to complete the removal of all traffic control devices for lane closures according to the time restrictions stated above and place traffic in the existing traffic pattern.

The liquidated damages are **Two Hundred Dollars ($ 200.00)** per hour.

NO MAJOR CONTRACT ITEMS:

(2-19-02) (Rev. 8-21-07) 104 SP1 G31

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

SPECIALTY ITEMS:

(7-1-95) 108-6 SP1 G34

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

REVISION TO FHWA-1273 CONCERNING PERSONAL INFORMATION ON PAYROLL SUBMISSIONS:

(1-20-09) (Rev. 1-17-12) SP1 G59

Revise the *Standard Special Provision FHWA-1273 Required Contract Provisions Federal-Aid Construction Contracts* as follows:

The first sentence of Section V, Paragraph 2b is replaced with the following:

The payroll records shall contain the name, and the last four digits of the social security number of each such employee, his or her correct classification; hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalent thereof the types described in Section 1(b) (2) (B) of the Davis Bacon Act); daily and weekly number of hours worked; deductions made; and actual wages paid.

DISADVANTAGED BUSINESS ENTERPRISE (DIVISIONS):

(10-16-07)(Rev. 1-17-12) 102-15(J) SP1 G62

Description

The purpose of this Special Provision is to carry out the U.S. Department of Transportation's policy of ensuring nondiscrimination in the award and administration of contracts financed in whole or in part with Federal funds. This provision is guided by 49 CFR Part 26.

Definitions

Additional DBE Subcontractors—Any DBE submitted at the time of bid that will not be used to meet the DBE goal. No submittal of a Letter of Intent is required.

Committed DBE Subcontractor — Any DBE submitted at the time of bid that is being used to meet the DBE goal by submission of a Letter of Intent. Or any DBE used as a replacement for a previously committed DBE firm.

Contract Goal Requirement—The approved DBE participation at time of award, but not greater than the advertised contract goal.

DBE Goal —A portion of the total contract, expressed as a percentage that is to be performed by committed DBE subcontractor.

Disadvantaged Business Enterprise (DBE)—A firm certified as a Disadvantaged Business Enterprise through the North Carolina Unified Certification Program.

Goal Confirmation Letter —Written documentation from the Department to the bidder confirming the Contractor's approved, committed DBE participation along with a listing of the committed DBE firms.

Manufacturer— A firm that operates or maintains a factory or establishment that produces on the premises, the materials or supplies obtained by the Contractor.

Regular Dealer— A firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials or supplies required for the performance of the contract are bought, kept in stock, and regularly sold to the public in the usual course of business. A regular dealer engages in, as its principal business and in its own name, the purchase and sale or lease of the products in question. A regular dealer in such bulk items as steel, cement, gravel, stone, and petroleum products need not keep such products in stock, if it owns and operates distribution equipment for the products. Brokers and packagers are not regarded as manufacturers or regular dealers within the meaning of this section.

North Carolina Unified Certification Program (NCUCP)— A program that provides comprehensive services and information to applicants for DBE certification, such that an applicant is required to apply only once for a DBE certification that will be honored by all recipients of USDOT funds in the state and not limited to the Department of Transportation only. The Certification Program is in accordance with 49 CFR Part 26.

United States Department of Transportation (USDOT)— Federal agency responsible for issuing regulations (49 CFR Part 26) and official guidance for the DBE program.

Forms and Websites Referenced in this Provision

DBE Payment Tracking System— On-line system in which the Contractor enters the payments made to DBE subcontractors who have performed work on the project. https://apps.dot.state.nc.us/Vendor/PaymentTracking/

DBE-IS *Subcontractor Payment Information*—Form for reporting the payments made to all DBE firms working on the project. This form is for paper bid projects only. http://www.ncdot.org/doh/forms/files/DBE-IS.xls

RF-1 *DBE Replacement Request Form*—Form for replacing a committed DBE.
https://apps.dot.state.nc.us/includes/download/external.html?pdf=http%3A//www.ncdot.gov/doh/forms/files/RF-.pdf

SAF *Subcontract Approval Form* — Form required for approval to sublet the contract. http://www.ncdot.org/doh/operations/dp_chief_eng/constructionunit/saf.xls

JC-1 *Joint Check Notification Form*— Form and procedures for joint check notification. The form acts as a written joint check agreement among the parties providing full and prompt disclosure of the expected use of joint checks.
https://apps.dot.state.nc.us/_includes/download/external.html?pdf=http%3A//www.ncdot.gov/doh/forms/files/JC-1.pdf

Letter of Intent — Form signed by the Contractor and the DBE subcontractor, manufacturer or regular dealer that affirms that a portion of said contract is going to be performed by the signed DBE for the amount listed at the time of bid.
http://www.ncdot.org/doh/preconstruct/ps/contracts/letterofintent.pdf

Listing of DBE Subcontractors Form —Form for entering DBE subcontractors on a project that will meet this DBE goal. This form is for paper bids only.

http://www.ncdot.gov/doh/preconstruct/ps/word/MISC2.doc

Subcontractor Quote Comparison Sheet —Spreadsheet for showing all subcontractor quotes in the work areas where DBEs quoted on the project. This sheet is submitted with good faith effort packages.
http://www.ncdot.gov/business/ocs/goodfaith/excel/Ex_Subcontractor_Quote_Comparison.xls

DBE Goal

The following DBE goal for participation by Disadvantaged Business Enterprises is established for this contract:

Disadvantaged Business Enterprises **[0%]**

> *If the DBE goal is more than zero*, the Contractor shall exercise all necessary and reasonable steps to ensure that DBEs participate in at least the percent of the contract as set forth above as the DBE goal.
>
> *If the DBE goal is zero*, the Contractor shall make an effort to recruit and use DBEs during the performance of the contract. Any DBE participation obtained shall be reported to the Department.

Directory of Transportation Firms (Directory)

Real-time information is available about firms doing business with the Department and firms that are certified through NCUCP in the Directory of Transportation Firms. Only firms identified in the Directory as DBE certified shall be used to meet the DBE goal. The Directory can be found at the following link. https://partner.ncdot.gov/VendorDirectory/default.html

The listing of an individual firm in the directory shall not be construed as an endorsement of the firm's capability to perform certain work.

Listing of DBE Subcontractors

At the time of bid, bidders shall submit all DBE participation that they anticipate to use during the life of the contract. Only those identified to meet the DBE goal will be considered committed, even though the listing shall include both committed DBE subcontractors and additional DBE subcontractors. Additional DBE subcontractor participation submitted at the time of bid will be used toward the Department's overall race-neutral goal. Only those firms with current DBE certification at the time of bid opening will be acceptable for listing in the bidder's submittal of DBE participation. The Contractor shall indicate the following required information:

Blank forms will not be deemed to represent zero participation. Bids submitted that do not have DBE participation indicated on the appropriate form will not be read publicly during the opening of bids. The Department will not consider these bids for award and the proposal will be rejected.

(1) If the DBE goal is more than zero,

A Bidders, at the time the bid proposal is submitted, shall submit a listing of DBE participation, including the names and addresses on *Listing of DBE Subcontractors* contained elsewhere in the contract documents in order for the bid to be considered responsive. Bidders shall indicate the total dollar value of the DBE participation for the contract.

B If bidders have no DBE participation, they shall indicate this on the *Listing of DBE Subcontractors* by entering the word "None" or the number "0." This form shall be completed in its entirety.

C The bidder shall be responsible for ensuring that the DBE is certified at the time of bid by checking the Directory of Transportation Firms. If the firm is not certified at the time of the bid-letting, that DBE's participation will not count towards achieving the DBE goal.

(2) If the DBE goal is zero, bidders, at the time the bid proposal is submitted, shall enter the word "None"; or the number "0"; or if there is participation, add the value on the *Listing of DBE Subcontractors* contained elsewhere in the contract documents.

DBE Prime Contractor

When a certified DBE firm bids on a contract that contains a DBE goal, the DBE firm is responsible for meeting the goal or making good faith efforts to meet the goal, just like any other bidder. In most cases, a DBE bidder on a contract will meet the DBE goal by virtue of the work it performs on the contract with its own forces. However, all the work that is performed by the DBE bidder and any other DBE subcontractors will count toward the DBE goal. The DBE bidder shall list itself along with any DBE subcontractors, if any, in order to receive credit toward the DBE goal.

For example, if the DBE goal is 45% and the DBE bidder will only perform 40% of the contract work, the prime will list itself at 40%, and the additional 5% shall be obtained through additional DBE participation with DBE subcontractors or documented through a good faith effort.

DBE prime contractors shall also follow Sections A or B listed under *Listing of SBE Subcontractor* just as a non-DBE bidder would.

Written Documentation – Letter of Intent

The bidder shall submit written documentation for each DBE that will be used to meet the DBE goal of the contract, indicating the bidder's commitment to use the DBE in the contract. This documentation shall be submitted on the Department's form titled *Letter of Intent*.

The documentation shall be received in the office of the Engineer no later than 12:00 noon of the sixth calendar day following opening of bids, unless the sixth day falls on Saturday, Sunday or an official state holiday. In that situation, it is due in the office of the Engineer no later than 12:00 noon on the next official state business day.

If the bidder fails to submit the Letter of Intent from each committed DBE to be used toward the DBE goal, or if the form is incomplete (i.e. both signatures are not present), the DBE participation will not count toward meeting the DBE goal. If the lack of this participation drops the commitment below the DBE goal, the Contractor shall submit evidence of good faith efforts, completed in its entirety, to the Engineer no later than 12:00 noon on the eighth calendar day following opening of bids, unless the eighth day falls on Saturday, Sunday or an official state holiday. In that situation, it is due in the office of the Engineer no later than 12:00 noon on the next official state business day.

Submission of Good Faith Effort

If the bidder fails to meet or exceed the DBE goal the apparent lowest responsive bidder shall submit to the Department documentation of adequate good faith efforts made to reach the DBE goal.

One complete set and four (4) copies of this information shall be received in the office of the Engineer no later than 12:00 noon of the sixth calendar day following opening of bids, unless the sixth day falls on Saturday, Sunday or an official state holiday. In that situation, it is due in the office of the Engineer no later than 12:00 noon on the next official state business day.

Note: Where the information submitted includes repetitious solicitation letters, it will be acceptable to submit a representative letter along with a distribution list of the firms that were solicited. Documentation of DBE quotations shall be a part of the good faith effort submittal. This documentation may include written subcontractor quotations, telephone log notations of verbal quotations, or other types of quotation documentation.

Consideration of Good Faith Effort for Projects with DBE Goals More Than Zero

Adequate good faith efforts mean that the bidder took all necessary and reasonable steps to achieve the goal which, by their scope, intensity, and appropriateness, could reasonably be expected to obtain sufficient DBE participation. Adequate good faith efforts also mean that the bidder actively and aggressively sought DBE participation. Mere *pro forma* efforts are not considered good faith efforts.

The Department will consider the quality, quantity, and intensity of the different kinds of efforts a bidder has made. Listed below are examples of the types of actions a bidder will take in making a good faith effort to meet the goal and are not intended to be exclusive or exhaustive, nor is it intended to be a mandatory checklist.

Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, advertising and/or written notices through the use of the NCDOT Directory of Transportation Firms) the interest of all certified DBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within at least 10 days prior to bid opening to allow the DBEs to respond to the solicitation. Solicitation shall provide the opportunity to DBEs within the Division and surrounding Divisions where the project is located. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.

Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces.

Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.

Negotiating in good faith with interested DBEs. It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBEs to perform the work.

A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a bidder's failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Bidding contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.

Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The bidder's standing within its industry, membership in specific groups, organizations, or associates and political or social affiliations (for example, union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the bidder's efforts to meet the project goal.

Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or bidder.

Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.

Effectively using the services of available minority/women community organizations; minority/women contractors' groups; Federal, State, and local minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs. Contact within 7 days from the bid opening the Business Development Manager in the Business Opportunity and Work Force Development Unit to give notification of the bidder's inability to get DBE quotes.

Any other evidence that the bidder submits which shows that the bidder has made reasonable good faith efforts to meet the DBE goal.

In addition, the Department may take into account the following:

Whether the bidder's documentation reflects a clear and realistic plan for achieving the DBE goal.

The bidders' past performance in meeting the DBE goals.

The performance of other bidders in meeting the DBE goal. For example, when the apparent successful bidder fails to meet the DBE goal, but others meet it, you may reasonably raise the question of whether, with additional reasonable efforts the apparent successful bidder could have met the goal. If the apparent successful bidder fails to meet the DBE goal, but meets or exceeds the average DBE participation obtained by other bidders, the Department may view this, in conjunction with other factors, as evidence of the apparent successful bidder having made a good faith effort.

If the Department does not award the contract to the apparent lowest responsive bidder, the Department reserves the right to award the contract to the next lowest responsive bidder that can satisfy to the Department that the DBE goal can be met or that an adequate good faith effort has been made to meet the DBE goal.

Non-Good Faith Appeal

The Engineer will notify the contractor verbally and in writing of non-good faith. A contractor may appeal a determination of non-good faith made by the Goal Compliance Committee. If a contractor wishes to appeal the determination made by the Committee, they shall provide written notification to the Engineer. The appeal shall be made within 2 business days of notification of the determination of non-good faith.

Counting DBE Participation Toward Meeting DBE Goal

Participation

The total dollar value of the participation by a committed DBE will be counted toward the contract goal requirement. The total dollar value of participation by a committed DBE will be based upon the value of work actually performed by the DBE and the actual payments to DBE firms by the Contractor.

Joint Checks

Prior notification of joint check use shall be required when counting DBE participation for services or purchases that involves the use of a joint check. Notification shall be through submission of Form JC-1 *(Joint Check Notification Form)* and the use of joint checks shall be in accordance with the Department's Joint Check Procedures.

Subcontracts (Non-Trucking)

A DBE may enter into subcontracts. Work that a DBE subcontracts to another DBE firm may be counted toward the contract goal requirement. Work that a DBE subcontracts to a non-DBE firm does <u>not</u> count toward the contract goal requirement.

If a DBE contractor or subcontractor subcontracts a significantly greater portion of the work of the contract than would be expected on the basis of standard industry practices, it shall be presumed that the DBE is not performing a commercially useful function. The DBE may present evidence to rebut this presumption to the Department. The Department's decision on the rebuttal of this presumption is subject to review by the Federal Highway Administration but is not administratively appealable to USDOT.

Joint Venture

When a DBE performs as a participant in a joint venture, the Contractor may count toward its contract goal requirement a portion of the total value of participation with the DBE in the joint venture, that portion of the total dollar value being a distinct clearly defined portion of work that the DBE performs with its forces.

Suppliers

A contractor may count toward its DBE requirement 60 percent of its expenditures for materials and supplies required to complete the contract and obtained from a DBE regular dealer and 100 percent of such expenditures from a DBE manufacturer.

Manufacturers and Regular Dealers

A contractor may count toward its DBE requirement the following expenditures to DBE firms that are not manufacturers or regular dealers:

The fees or commissions charged by a DBE firm for providing a *bona fide* service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of a DOT-assisted contract, provided the fees or commissions are determined to be reasonable and not excessive as compared with fees and commissions customarily allowed for similar services.

With respect to materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, count the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on a job site (but not the cost of the materials and supplies themselves), provided the fees are determined to be reasonable and not excessive as compared with fees customarily allowed for similar services.

Commercially Useful Function

DBE Utilization

The Contractor may count toward its contract goal requirement only expenditures to DBEs that perform a commercially useful function in the work of a contract. A DBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the DBE shall also be responsible with respect to materials and supplies used on

the contract, for negotiating price, determining quality and quantity, ordering the material and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a commercially useful function, the Department will evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing and the DBE credit claimed for its performance of the work, and any other relevant factors.

DBE Utilization in Trucking

The following factors will be used to determine if a DBE trucking firm is performing a commercially useful function:

The DBE shall be responsible for the management and supervision of the entire trucking operation for which it is responsible on a particular contract, and there shall not be a contrived arrangement for the purpose of meeting DBE goals.

The DBE shall itself own and operate at least one fully licensed, insured, and operational truck used on the contract.

The DBE receives credit for the total value of the transportation services it provides on the contract using trucks it owns, insures, and operates using drivers it employs.

The DBE may subcontract the work to another DBE firm, including an owner-operator who is certified as a DBE. The DBE who subcontracts work to another DBE receives credit for the total value of the transportation services the subcontracted DBE provides on the contract.

The DBE may also subcontract the work to a non-DBE firm, including from an owner-operator. The DBE who subcontracts the work to a non-DBE is entitled to credit for the total value of transportation services provided by the non-DBE subcontractor not to exceed the value of transportation services provided by DBE-owned trucks on the contract. Additional participation by non-DBE subcontractors receives credit only for the fee or commission it receives as a result of the subcontract arrangement. The value of services performed under subcontract agreements between the DBE and the Contractor will not count towards the DBE contract requirement.

A DBE may lease truck(s) from an established equipment leasing business open to the general public. The lease must indicate that the DBE has exclusive use of and control over the truck. This requirement does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, so long as the lease gives the DBE absolute priority for use of the leased truck. This type of lease may count toward the DBE's credit as long as the driver is under the DBE's payroll.

Subcontracted/leased trucks shall display clearly on the dashboard the name of the DBE that they are subcontracted/leased to and their own company name if it is not identified on the truck itself. Magnetic door signs are not permitted.

DBE Replacement

When a Contractor has relied on a commitment to a DBE firm (or an approved substitute DBE firm) to meet all or part of a contract goal requirement, the contractor shall not terminate the DBE for convenience. This includes, but is not limited to, instances in which the Contractor seeks to perform the work of the terminated subcontractor with another DBE subcontractor, a non-DBE subcontractor, or with the Contractor's own forces or those of an affiliate. A DBE may only be terminated after receiving the Engineer's written approval based upon a finding of good cause for the termination.

All requests for replacement of a committed DBE firm shall be submitted to the Engineer for approval on Form RF-1 *(DBE Replacement Request).* If the Contractor fails to follow this procedure, the Contractor may be disqualified from further bidding for a period of up to 6 months.

The Contractor shall comply with the following for replacement of a committed DBE:

Performance Related Replacement

When a committed DBE is terminated for good cause as stated above, an additional DBE that was submitted at the time of bid may be used to fulfill the DBE commitment. A good faith effort will only be required for removing a committed DBE if there were no additional DBEs submitted at the time of bid to cover the same amount of work as the DBE that was terminated.

If a replacement DBE is not found that can perform at least the same amount of work as the terminated DBE, the Contractor shall submit a good faith effort documenting the steps taken. Such documentation shall include, but not be limited to, the following:

Copies of written notification to DBEs that their interest is solicited in contracting the work defaulted by the previous DBE or in subcontracting other items of work in the contract.

Efforts to negotiate with DBEs for specific subbids including, at a minimum:

(a) The names, addresses, and telephone numbers of DBEs who were contacted.
(b) A description of the information provided to DBEs regarding the plans and specifications for portions of the work to be performed.

A list of reasons why DBE quotes were not accepted.

Efforts made to assist the DBEs contacted, if needed, in obtaining bonding or insurance required by the Contractor.

Decertification Replacement

When a committed DBE is decertified by the Department after the SAF (*Subcontract Approval Form*)has been received by the Department, the Department will not require the

Contractor to solicit replacement DBE participation equal to the remaining work to be performed by the decertified firm. The participation equal to the remaining work performed by the decertified firm will count toward the contract goal requirement.

When a committed DBE is decertified prior to the Department receiving the SAF (*Subcontract Approval Form*) for the named DBE firm, the Contractor shall take all necessary and reasonable steps to replace the DBE subcontractor with another DBE subcontractor to perform at least the same amount of work to meet the DBE goal requirement. If a DBE firm is not found to do the same amount of work, a good faith effort must be submitted to NCDOT (see A herein for required documentation).

Changes in the Work

When the Engineer makes changes that result in the reduction or elimination of work to be performed by a committed DBE, the Contractor will not be required to seek additional participation. When the Engineer makes changes that result in additional work to be performed by a DBE based upon the Contractor's commitment, the DBE shall participate in additional work to the same extent as the DBE participated in the original contract work.

When the Engineer makes changes that result in extra work, which has more than a minimal impact on the contract amount, the Contractor shall seek additional participation by DBEs unless otherwise approved by the Engineer.

When the Engineer makes changes that result in an alteration of plans or details of construction, and a portion or all of the work had been expected to be performed by a committed DBE, the Contractor shall seek participation by DBEs unless otherwise approved by the Engineer.

When the Contractor requests changes in the work that result in the reduction or elimination of work that the Contractor committed to be performed by a DBE, the Contractor shall seek additional participation by DBEs equal to the reduced DBE participation caused by the changes.

Reports and Documentation

A SAF (*Subcontract Approval Form*) shall be submitted for all work which is to be performed by a DBE subcontractor. The Department reserves the right to require copies of actual subcontract agreements involving DBE subcontractors.

When using transportation services to meet the contract commitment, the Contractor shall submit a proposed trucking plan in addition to the SAF. The plan shall be submitted prior to beginning construction on the project. The plan shall include the names of all trucking firms proposed for use, their certification type(s), the number of trucks owned by the firm, as well as the individual truck identification numbers, and the line item(s) being performed.

Within 30 calendar days of entering into an agreement with a DBE for materials, supplies or services, not otherwise documented by the SAF as specified above, the Contractor shall furnish the Engineer a copy of the agreement. The documentation shall also indicate the percentage (60% or 100%) of expenditures claimed for DBE credit.

Reporting Disadvantaged Business Enterprise Participation

The Contractor shall provide the Engineer with an accounting of payments made to all DBE firms, including material suppliers and contractors at all levels (prime, subcontractor, or second tier subcontractor). This accounting shall be furnished to the Engineer for any given month by the end of the following month. Failure to submit this information accordingly may result in the following action:

Withholding of money due in the next partial pay estimate; or

Removal of an approved contractor from the prequalified bidders' list or the removal of other entities from the approved subcontractors list.

While each contractor (prime, subcontractor, 2nd tier subcontractor) is responsible for accurate accounting of payments to DBEs, it shall be the prime contractor's responsibility to report all monthly and final payment information in the correct reporting manner.

Failure on the part of the Contractor to submit the required information in the time frame specified may result in the disqualification of that contractor and any affiliate companies from further bidding until the required information is submitted.

Failure on the part of any subcontractor to submit the required information in the time frame specified may result in the disqualification of that contractor and any affiliate companies from being approved for work on future projects until the required information is submitted.

Contractors reporting transportation services provided by non-DBE lessees shall evaluate the value of services provided during the month of the reporting period only.

At any time, the Engineer can request written verification of subcontractor payments.

The Contractor shall report the accounting of payments on the Department's DBE-IS *(Subcontractor Payment Information)* with each invoice. Invoices will not be processed for payment until the DBE-IS is received.

Failure to Meet Contract Requirements

Failure to meet contract requirements in accordance with Subarticle 102-15(J) of the *2012 Standard Specifications* may be cause to disqualify the Contractor.

CERTIFICATION FOR FEDERAL-AID CONTRACTS:

(3-21-90) SP1 G85

The prospective participant certifies, by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that:

> No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan,

the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, *Disclosure Form to Report Lobbying*, in accordance with its instructions.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by *Section 1352, Title 31, U.S. Code*. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed $100,000 and that all such sub-recipients shall certify and disclose accordingly.

CONTRACTOR'S LICENSE REQUIREMENTS

(7-1-95) (**Rev. 02-03-012**) 102-14 SP1 G88

A current North Carolina Landscape Contractor's registration is required. A copy of the registration shall be given to the Engineer prior to the beginning work. The successful bidder has fourteen (14) business days after notice of award of the contract, to provide the North Carolina Department of Transportation with a copy of the Landscaper Contractor's Registration. **If these terms are not met within the allotted amount of time of fourteen (14) business days, the North Carolina Department of Transportation will have the right to reject the bid and select the next lowest responsible bidder or cancellation of this contact.**

A current North Carolina Pesticide License shall be required. Bidders must have a valid, sub-classification in Ornamentals and Turf, and Right of way issued by the NCDA, to be considered eligible to bid. A copy of the Pesticide license(s) shall be given to the Engineer fourteen (14) business days after notice of award of the contract. **If these terms are not met within the allotted amount of time of fourteen (14) business days, the North Carolina Department of Transportation will have the right to reject the bid and select the next lowest responsible bidder or cancellation of this contact. The Contractor shall maintain a current license as described above throughout the length of the project.**

U.S. DEPARTMENT OF TRANSPORTATION HOTLINE:

(11-22-94) 108-5 SP1 G100

To report bid rigging activities call: **1-800-424-9071**

The U.S. Department of Transportation (DOT) operates the above toll-free hotline Monday through Friday, 8:00 a.m. to 5:00 p.m. eastern time. Anyone with knowledge of possible bid rigging, bidder collusion, or other fraudulent activities should use the hotline to report such activities.

The hotline is part of the DOT's continuing effort to identify and investigate highway construction contract fraud and abuse is operated under the direction of the DOT Inspector General. All information will be treated confidentially and caller anonymity will be respected.

SUBSURFACE INFORMATION:

(7-1-95) 450 SP1 G112 A

There is **no** subsurface information available on this project. The Contractor shall make his own investigation of subsurface conditions.

COOPERATION WITH UTILITY OWNERS

(3-20-12) 105 SP1 G115

Revise the *2012 Standard Specifications* as follows:

Page 1-43, Article 105-8, line 28, after the first sentence, add the following:

Identify excavation locations by means of pre-marking with white paint, flags, or stakes or provide a specific written description of the location in the locate request.

The NCDOT Traffic Services Department shall be notified forty-eight (48) hours prior to any digging and/or trenching operations to ensure that underground signal equipment is located properly. Contact person is Charles Rice and his office number is 828-298-0094.

COOPERATION BETWEEN CONTRACTORS

(7-1-95) 105-7 SP1 G133

The Contractor's attention is directed to Article 105-7 of the *2012 Standard Specifications*.

The Contractor on this project shall cooperate with the Contractor working within or adjacent to the limits of this project to the extent that the work can be carried out to the best advantage of all concerned.

GIFTS FROM VENDORS AND CONTRACTORS

(12-15-09) 107-1 SP1 G152

By Executive Order 24, issued by Governor Perdue, and *N.C.G.S.§ 133-32,* it is unlawful for any vendor or contractor (i.e. architect, bidder, contractor, construction manager, design professional, engineer, landlord, offeror, seller, subcontractor, supplier, or vendor), to make gifts or to give favors to any State employee of the Governor's Cabinet Agencies (i.e. Administration, Commerce, Correction, Crime Control and Public Safety, Cultural Resources, Environment and Natural Resources, Health and Human Services, Juvenile Justice and Delinquency Prevention, Revenue, Transportation, and the Office of the Governor). This prohibition covers those vendors and contractors who:

(A) Have a contract with a governmental agency; or
(B) Have performed under such a contract within the past year; or
(C) Anticipate bidding on such a contract in the future.

For additional information regarding the specific requirements and exemptions, vendors and contractors are encouraged to review Executive Order 24 and *N.C.G.S. § 133-32*.

Executive Order 24 also encouraged and invited other State Agencies to implement the requirements and prohibitions of the Executive Order to their agencies. Vendors and contractors should contact other State Agencies to determine if those agencies have adopted Executive Order 24.

EMPLOYMENT

(11-15-11) (Rev. 1-17-12) 108, 102 SP1 G184

Revise the *2012 Standard Specifications* as follows:

Page 1-20, Subarticle 102-15(O), delete and replace with the following:

(O) Failure to restrict a former Department employee as prohibited by Article 108-5.

Page 1-65, Article 108-5 Character of Workmen, Methods, and Equipment, line 32, delete all of line 32, the first sentence of the second paragraph and the first word of the second sentence of the second paragraph.

PROJECT SPECIAL PROVISIONS

The Contractor shall provide all materials, labor, equipment and traffic control to satisfactorily complete the work of creating plant beds, installing and establishing plant material and all other work identified on the plans, in the details and in this contract. Work shall be available from 7:30 am to 4:00 pm Monday through Friday. Extended hours may also be granted at the request of the contractor, in writing, to the Engineer or his/her representative. The Contactor shall contact NCDOT after award of the bid for the time and date for the pre-construction conference.

The Contractor shall furnish the sources and contact information for each of the plant species on the included source document along with the bid package. Plant material shall be inspected and approved by NCDOT prior to delivery to this project.

There shall be an establishment period for this contract that includes litter and debris pick-up and removal, line or blade trimming and mowing in the vicinity of the work. The establishment period also includes pesticide and herbicide applications, weeding, replacing plants that are in an unacceptable condition and all other work as described in the Establishment Period of this contract proposal.

The Contractor shall be paid for all services satisfactorily rendered and accepted at one hundred (100%) percent for each of the line items listed for this contract at the end of each of the intermediate completion dates for this project, including each plant species, post-emergence herbicidal treatment for plant beds, pre-emergence herbicidal treatment for plant beds, mulch for planting, water for planting, seeding and mulching, special vegetation removal with pruning, selective tree removal, selective pruning and split rail fence..

During the Establishment Period of this contract, the contractor shall be paid at one hundred (100%) percent of the unit price for water for sod, water for planting, mulch for planting, mowing and each monthly establishment work cycle submitted by invoice for payment and only if the pesticide/herbicide spray report is attached to the invoice for that particular cycle. PAYMENT MAY BE DELAYED OR DENIED IF THE PESTICIDE/HERBICIDE SPRAY REPORT IS NOT ATTACHED TO THE INVOICE.

It may take up to thirty (30) days to process the request for payment invoice. Do not contact NCDOT Division 13 Business Office regarding payment until thirty (30) days after the date of submitting the invoice for payment.

This Contract is set up for full one-hundred percent (100%) payment provided all services are rendered as outlined herein. Should the Contractor fail to provide any part of the complete service in accordance with the terms of the contract, adjustments will be made to the invoice submitted for payment and consequently to the compensation. The reduction will be calculated according to the Liquidated Damages stated herein.

REMOVAL OF EXISTING VEGETATION

The removal of existing vegetation within a proposed plant bed or seedbed shall be part of the plant bed or seed bed preparation.

The Contractor shall install erosion control measures as needed and as directed by the Engineer prior to the removal process, and maintain as needed for the life of the project. Failure on the part of the Contractor to perform the required erosion control measures shall be cause for the immediate suspension of work. All erosion control for this project shall be considered incidental and there will be no separate payment.

PLANTING

All plant material furnished shall be the best quality representation of each of the specified species. A list of the suppliers and their contact information for all plant material shall be furnished along with the bid package. This information shall be verified and plant material may be inspected prior to awarding of the bid. The quality of the plant material shall be considered along with the unit bid prices when this bid is awarded. Plant material deemed to be of unacceptable quality will not be considered.

Newly created plantings as identified on the plans, in the details and as directed by the Engineer in the field shall be treated, prepared and mulched as a plant bed. The contractor shall remove any vegetative matter, rocks, construction debris, surface debris and all other matter that could be detrimental to plant bed preparation or plant growth. All removed vegetation, debris, stones, etc. shall be disposed of off-site. The Contractor shall fill all holes and depressions that are existing or created during the removal process with acceptable and pre-approved topsoil prior to plant bed preparation. See Section 1670 Planting of the Standard Specifications for Roads and Structures.

All ornamental and evergreen trees shall be installed by Intermediate Contract Completion Date 1. All ornamental grasses shall be installed by Intermediate Contract Completion Date 3.

The quantities furnished on the plans and in the contract proposal are estimated quantities only. The final quantity shall be the exact number needed to completely install the planting design as determined by the Engineer or his/her representative in the field.

Plant bed preparation shall be incidental and no separate payment will be made. Plant material furnished and installed during the initial installation period shall be paid for at the contract unit price each for each individual plant species. Initial acceptance of each of the plants, if satisfactorily furnished and installed, watered and mulched, shall be made at the intermediate completion date for each of the plant categories. The Contractor shall be responsible and care for all of the plants until such time the establishment period begins.

Payment shall be made under:

Pay Item	Unit
(Plant species and furnish as indicated in the contract) ……..……..…….	Each

REPLACEMENT PLANTING

All plant materials that die, are damaged, or decline in health/appearance shall be removed immediately upon notification by the Engineer or his/her representative. This includes all plant material damaged by the Contractor during pesticide or mulch applications, weeding, line or blade trimming and mowing operations. Between the dates of April 3, 2013 and September 30, 2013, all plants shall be replaced within one week from the date removed, unless otherwise

approved by the Engineer or his/her representative. After September 30, 2013 all plants shall be replaced within the appropriate replacement planting seasonal limitations as specified.

NOTE: *If the Contractor damages the plant material by pesticide or mulch applications, weeding, line or blade trimming and mowing operations, the Contractor will replace the plant material at their cost.*

Replacement Planting Seasonal Limitations for after September 30, 2013:

Trees shall be replaced between October 15th and March 31st .

Grasses shall be replaced between April 15th and May 15th .

All replacement plants shall be mulched with four (4) inches of the approved mulch immediately upon replacement. If mulch from the plant removed can be kept clean and free of soil and if it is sufficient in quantity to mulch the replacement plant it may be used, otherwise mulch shall be furnished for the replacement plant. Mulch for the replacement plant shall be incidental to this project.

All replacement plants shall be paid for at the replacement plant unit cost for each of the species.

Payment shall be made under:

Pay Item	Unit
Replacement (Plant species and furnish indicated in the contract)…….	Each

MULCH FOR PLANTING

Mulch for planting shall be double ground pine bark for all beds and individual plants installed. A sample shall be submitted to the Engineer and approved prior to application. All mulch placed on the project must match, and come from a single source. NCDOT will not permit any mulch to be stored or dumped on the right-of way.

Prior to the mulching operation, all waste, debris and litter in the plant bed areas shall be removed and disposed of off-site. The Contractor shall apply mulch over the entire bed unless otherwise directed by the Engineer. All new beds and the existing bridge end Burning Bush beds will receive 4 (four) inches of mulch. The existing Daylily beds shall receive 2 (two) inches of mulch.

See Section 1060-11, 1670-10 and 1670-17 of the Standard Specifications. The mulch quantity given on the plans and in this contract proposal is an estimated quantity based on the plans. The quantity of mulch for planting may be increased or decreased as needed. Such variations in quantity will not be considered as alterations in the details of construction or a change in the character of the work.

If the Contractor is supplying and installing mulch delivered to the job in bulk, at the end of each work day the Contractor or Subcontractor must supply delivery ticket(s) for the amount of mulch applied that day. All mulch delivered to the site in that delivery must be installed.

Payment shall be made under:

Pay Item	Unit
Mulch for Planting …….…….……	Cubic Yard

WATER FOR PLANTING

The Contractor shall water the plants at the time of initial planting and continue to water as needed and as directed by the Engineer until the final acceptance of the project.

See Section 1060-9; Section 1670-11 and Section 1670-17 of the Standard Specifications.

The actual conditions which occur during the implementation of the project and during the establishment period of the project will determine the need for water. The quantity of water for planting may be increased or decreased as needed. Such variations in quantity will not be considered as alterations in the details of construction or a change in the character of the work.

Payment shall be made under:

Pay Item	Unit
Water for Planting ……..……	1000 Gallons

PESTICIDES AND HERBICIDES

The Contractor shall inspect and identify any pests found on the project and shall immediately notify the Engineer. The Contractor shall be responsible for control of the pest(s) and apply pesticides, fungicides, miticides, etc. specifically for the control of the specific pest. The type and rate of pesticides, fungicides and miticides, etc. to be utilized shall be submitted to the Engineer in writing for approval prior to application. The Engineer may at any time during the course of the project notify the Contractor of discovery of pests found and request treatment be initiated immediately. Treatment for specific pests may be required at any time appropriate during the course of the establishment period.

The Contractor as well as the Engineer shall inspect and identify any plant pest found on the project. The Contractor shall be responsible for control of the pest. Pesticides shall be specific to the identified pest to be controlled; the product to be used shall be submitted to the Engineer for approval prior to application.

The Engineer or his/her representative may request the Contractor apply herbicides, pesticides, insecticides and fungicides to plant beds and or individual plants to control pests during the establishment period of the contract. The Contractor may also elect to perform these spray applications at his or her choosing for weed and pest control operations.

The type, rate and specific post-emergence and pre-emergence herbicides the Contractor would like to use shall be submitted and approved by the Engineer prior to application.

Post-emergence herbicide treatment shall be used for plant bed preparation during the initial planting phase of the contract as well as during the establishment period of the contract.

Schedule of post-emergence herbicide treatment: The Contractor shall perform post-emergence herbicidal treatment during the months of *April, May, June, July, August, September and October of 2013 and each month beginning in March of 2014 until such time of the final acceptance of the project.*

Schedule of pre-emergence herbicide treatment: The Contractor shall perform pre-emergence herbicidal treatment during the months of *May, June and September of 2013 and March, May, June and September of 2014.*

The appropriate and current pesticide application license must be maintained at all times during the life of this project.

Post-emergence Herbicidal Treatment will be paid in a Lump Sum payment for one complete and satisfactory application to encompass all of the project area upon completion of all initial planting operations (Intermediate Contract Time 3). All subsequent applications of post-emergence herbicidal treatment shall be incidental to the project.

Pre-emergence Herbicidal Treatment will be paid in a Lump Sum payment for one complete and satisfactory application to encompass all of the project area upon completion of all initial planting operations (Intermediate Contract Time 3). All subsequent applications of pre-emergence herbicidal treatment shall be incidental to the project.

Payment will be made under:

Pay Item	Pay Unit
Post-emergence Herbicidal Treatment for Plant Beds.	Lump Sum
Pre-emergence Herbicidal Treatment for Plant Beds	Lump Sum

SEEDING AND MULCHING

Omit Section 1660 of the Standard Specifications.

The goal of this seeding and mulching operation is to achieve a lawn quality turf-grass cover. Seeding and mulching shall be completed during Intermediate Contract Time Number 1.

Prepare seedbed; furnish, place and incorporate limestone, fertilizer and seed; compact seedbed; furnish, place and secure mulch; mow; and perform other operations necessary for the permanent establishment of turf-grass from seed at the locations shown on the plans and as directed by the Engineer in the field.

Adapt seeding operations to variations in weather or soil conditions as necessary for the successful establishment and growth of the turf-grass. Seeding and mulching operations shall be a continuous operation until successful completion.

Preserve the line, grade and cross section of the area treated, or if necessary, correct the grade for positive drainage.

Stabilization

Stabilization for this project shall comply with the time frame guidelines as specified by the NCG-010000 general construction permit effective August 3, 2011 issued by the North Carolina Department of Environment and Natural Resources Division of Water Quality. Temporary or permanent ground cover stabilization shall occur within 7 calendar days from the last land-disturbing activity, with the following exceptions in which temporary or permanent ground cover shall be provided in 14 calendar days from the last land-disturbing activity:

- Slopes between 2:1 and 3:1, with slope length of 10 feet or less
- Slopes 3:1 or flatter, with a slope of length of 50 feet or less
- Slopes 4:1 or flatter

The stabilization timeframe for High Quality Water (HQW) Zones shall be 7 calendar days with no exceptions for slope grades or lengths. High Quality Water Zones are defined by North Carolina Administrative Code 15A NCAC 04A.0105 (25). Temporary and permanent ground cover stabilization shall be achieved in accordance with the provisions in this contract and as directed.

Materials

See Standard Specifications Section 1060-2 for Fertilizer, Section 1060-3 for Limestone, Section 1060-4 for Seed and Section 1060-5 for Mulch for Erosion Control.

Fertilizer shall be 10-20-20 analysis. A different analysis may be used provided the 1-2-2 ratio is maintained and the rate of application adjusted to provide the same amount of plant food as a 10-20-20 analysis or as directed by the Engineer in the field.

Seed shall be:

20#	Kentucky Bluegrass
75#	Hard Fescue
10#	Zoysia
500#	Fertilizer
4000#	Limestone

Approved Kentucky Bluegrass Cultivars are:

Alpine	Award	Bordeaux	Envicta	Midnight	Rugby II
Apollo	Bariris	Champagne	Impact	Midnight II	Showcase
Arcadia	Bedazzled	Chicago II	Kenblue	Rugby	Sonoma
Arrow					

Approved Hard Fescue Cultivars are:

Chariot	Minotaur	Oxford	Reliant IV	Scaldis II	Stonehenge
Firefly	Nordic	Reliant II	Rhino	Spartan II	Warwick
Heron					

Acceptable Zoysia Cultivars are Compadre or Zenith.

Mulch shall be grain straw unless otherwise approved by the Engineer. If permission to use material other than grain straw is requested and approved by the Engineer, conditions governing the use of the alternate mulch material will be established by the Engineer at the time of approval.

Use undiluted emulsified asphalt for tacking material.

The type of seed and rates and the analysis and rates of fertilizer for temporary seeding for erosion control purposes, if required, shall be determined by the Engineer in the field.

Seedbed Preparation

Cut and satisfactorily dispose of weeds or other unacceptable growth in the areas to be seeded. Fill any depressions that cannot be obliterated by normal soil preparation, with a topsoil that is approved by the Engineer in the field.

Scarify or otherwise loosen the soil to a depth of not less than 5 inches except within 2 feet of pavement edge where it shall be loosened to a depth of 2 to 3 inches. Where curb and gutter are present, loosen soil to the full 5 inch depth. Break clods and work the top 2 to 3 inches of soil into an acceptable seedbed by the use of soil pulverizers, drags or harrows; or other approved methods. Remove and dispose of off-site all rock, debris, trash or foreign matter of 3 inches or larger before application of seed and fertilizer.

Do not prepare seedbed when the soil is frozen, extremely wet or when the Engineer determines that it is an otherwise unfavorable working condition.

Applying and covering limestone, fertilizer and seed

Obtain approval from the Engineer for type of equipment to be used prior to beginning application, covering or compaction of limestone, fertilizer and seed. Approval may be revoked at any time if equipment is not maintained in satisfactory working condition, relatively clean and free of foreign matter, or if the equipment operation damages the seed. Equipment used to prepare seedbed and seed undesirable seed species such as Crown Vetch or Sericea Lespedeza on other jobs will be thoroughly cleaned including tanks, hoses, tires, etc. prior to arriving to job site to eliminate possible contamination of new seedbed.

Apply limestone, fertilizer and seed within 24 hours after completion of seedbed preparation unless otherwise permitted by the Engineer. If the Engineer determines that weather or soil conditions are unfavorable, do not distribute any limestone or fertilizer, and do not sow seed.

Limestone may be applied as part of the seedbed preparation, provided it is immediately worked into the soil. If not so applied, distribute limestone and fertilizer uniformly over the prepared seedbed at the specified rate of application and then harrow, rake or otherwise thoroughly work or mix into the seedbed.

Distribute seed uniformly over the seedbed at the required rate of application, and immediately harrow, drag, rake or otherwise work so as to cover the seed with a layer of soil. Cover to a depth as directed the Engineer. When a combination seed and fertilizer drill is used, drill fertilizer with seed after applying and incorporating limestone into the soil. If more than one kind of seed is to be used and they require different depths of cover, sow separately. Compact the seedbed immediately after seed has been properly covered in the manner and degree approved by the Engineer.

Mulching

Mulch all seeded areas unless otherwise directed by the Engineer.

Apply mulch within 24 hours after completion of seeding unless otherwise permitted by the Engineer. Exercise care to prevent displacement of soil or seed or otherwise damage the newly seeded area during the mulching operation.

Spread mulch uniformly by hand or an approved mechanical spreader or blower which will provide a uniform and acceptable application. An acceptable application will be that which will allow some sunlight to penetrate and air to circulate but also partially shade the ground, reduce erosion and conserve soil moisture.

Hold the mulch in place by applying a sufficient amount of undiluted emulsified asphalt or other approved binding material. The Engineer shall approve the rate and method of application of binding material. Apply the binding material directly with the mulch or immediately following the mulch application to the immediate area being worked.

Erosion Control and Damages

Take sufficient precautions and utilize erosion control devices if needed or directed by the Engineer to prevent loose soil, debris or mulch from leaving the site or entering drainage structures through displacement by wind, water or other causes. Should blockage to a drainage structure occur, promptly remove and correct the problem.

Avoid damage to any structural elements of the roadway during seeding and mulching operations. Take adequate precautions to prevent damage to traffic, structures, guardrails, traffic control devices or any other appurtenances. If necessary change the method and/or equipment used for seedbed preparation, application of limestone, fertilizer, seed, mulch and tacking to avoid damages.

Should damage occur, the contractor shall be responsible for repairing or replacing, without additional compensation, all damaged roadway elements to the satisfaction of the Engineer. The contractor shall clean up, to the satisfaction of the Engineer, any soil, waste or debris created or left on adjacent roadway, curb and gutter, shoulders, etc. after seeding and mulching operations.

Maintenance

Maintain areas where seeding and mulching have been performed in a satisfactory condition until final acceptance of the project. Mow as described herein and as directed by the Engineer in the field.

Correct areas of failure or damage due to any cause by repairing or completely reworking as directed by the Engineer. Method and extent of correction shall be approved by the Engineer.

Compensation
Seeding and Mulching will be paid for in a lump sum payment for areas indicated on the plans that have been satisfactorily completed and accepted. No direct payment will be made for furnishing and applying backfill, limestone or fertilizer, as such work and materials will be incidental to the work covered in this special provision.

Corrective work where seeding and mulching has been damaged or has failed to establish a satisfactory stand of turf will be incidental and there will be no additional compensation.

Payment will be made under:

Pay Item	Pay Unit
Seeding and Mulching	Lump Sum

MOWING

Mowing required around plant material and plant beds during planting implementation and during the establishment period of this contract is covered elsewhere in these special provisions and the standard specifications. Mowing covered under this special provision is for areas to be seeded and mulched.

Once newly seeded and mulched areas have established the Engineer will direct the contractor to begin mowing operations. Mowing will occur on a regular schedule as directed by the Engineer until final acceptance of the contract. The schedule may be altered as needed by the Engineer due to growth rates, weather conditions and rainfall.

Remove all litter and debris prior to mowing. Mowing shall be completed in a neat and uniform manner to the desired height of 6 inches for the Bluegrass/Fescue/Zoysia seeded areas. The Contractor shall not mow under wet conditions. Gaps, ‘rolled down vegetation’, uncut streaks and scalped areas will be unacceptable work and compensation will be adjusted accordingly.

Mower(s) shall be lawn type, such as z-mower, and approved by the Engineer. Any change to mower type shall require prior approval. Mower(s) shall have deflector shields to protect nearby traffic. Mowers shall be maintained properly off site and there shall be only minor maintenance allowed on site during mowing operations. Care shall be taken when refueling equipment to prevent spills. Mower blades shall be properly sharpened prior to each mowing cycle.

The contractor shall line trim around signs, poles, structures or other roadway appurtenances within the seeded and mulched areas as necessary and as directed by the Engineer.

Once begun, mowing of all seeded areas shall be a continuous operation with no interruptions unless approved by the Engineer. Acceptable reasons for the Engineer to approve an interruption of the continuous operation would be circumstances beyond the contractor’s control such as sudden change in weather conditions, traffic accident, etc.

Care shall be taken during the mowing operation to avoid damage to any roadside elements or traffic. All applicable portions of the current edition of the MUTCD shall apply.

Mowing and line trimming in seeding and mulched areas shall be considered incidental to the project and there shall be no compensation.

SPECIAL VEGETATION REMOVAL WITH PRUNING

The work covered by this special provision includes all areas within the right of way, as defined by the Engineer, and as labeled on the plans.

Remove and satisfactorily dispose of debris, dead, partially dead or broken vegetation, selected living trees and undesirable living undergrowth from areas indicated on the plans. This work includes the proper disposal of removed material, herbicidal treatment of stumps and repairing any vegetation or other items damaged during the work process.

Remove all logs, stumps, snags, loose roots, down timber, slabs, tree laps, lumber, dead or partially dead trees, broken trees or brush, dead brush, sawdust piles, discarded fences, leaf piles, brick, tile masonry and all other debris as directed by the Engineer from the cleanup areas. Remove all living undergrowth unless designated to retain on the plans or directed by the Engineer. All woody plants less than 4" in diameter, measured at a height of 4.5 feet above ground shall be classified as undergrowth. Cut all dead trees, stumps snags, broken or partially dead trees and brush, flush with the ground. Remove vegetation which dies between initial cleanup and completion of the project before final acceptance. Hand raking of areas or removal of a normal leaf layer is not required unless stated in the contract.

Remove trees/shrubs designated by the Engineer to be removed by cutting flush to the ground. Remove any broken branches and rough edges of scarred trees or shrubs. Prune and shape these areas in accordance with currently accepted practices and the International Society of Arboriculture pruning techniques.

Treat all stumps with a herbicide immediately after cutting to prevent sprouting. Cutting and stump treatment shall be a continuous process until that specific area receiving clean-up is completed. There shall be no areas with stumps left untreated overnight unless approved by the Engineer. Specific herbicide and rate shall be approved by the Engineer prior to treatment. If the proposed herbicide does not already contain a dye, a dye that will last a minimum of 48 hours shall be included with the herbicide to make treatment application visible. Follow all applicable instructions, warnings and safety precautions stated on the manufacturer's label, and comply with all laws and regulations governing herbicides that are in effect at the time of use.

All trees to be pruned will be identified by the Engineer in the field. **All pruning will take place under the direct supervision of the Engineer.** Pruning shall be done only by persons who can present credentials to verify that they have been trained in proper pruning techniques and who can demonstrate their ability to perform such work using correct techniques and in a safe and responsible manner. The number of people allowed to perform pruning work on this job may be limited by the Engineer in order to better supervise the activity and ensure that the desired results are achieved.

Pruning shall be done to remove dead, damaged, broken, decayed or diseased limbs; to shape the tree both aesthetically and structurally **if** and as directed by the Engineer and to lift the canopy clearance to approximately six to eight feet if directed by the Engineer. No live branches greater

than 6 inches in diameter shall be removed from the tree without permission of the Engineer. Pruning cuts shall be in accordance with ANSI A300 pruning standards.

Climbing spurs shall not be used when climbing trees. No equipment or work practices that damage bark or cambium shall be allowed. Avoid rope injury from loading out heavy limbs.

All work shall be performed by workers trained in accordance with ANSI Z133.1 safety regulations as required by OSHA

Dispose of all material cleaned up under this provision in accordance with the applicable requirements of Section 200-5 and 802-2 of the Standard Specifications.

Conduct operations so as to prevent injury to trees, shrubs or other types of vegetation that are to remain and to prevent damage to adjacent property. Any depressions created by the removal of the materials shall be filled with topsoil and brought to adjacent existing ground level as directed by the Engineer. Topsoil shall be a suitable sandy loam or clay loam for the area, free of any debris or other materials that would be detrimental to plant growth. Topsoil must be approved by the Engineer prior to use. All turf areas that are disturbed during this work shall be repaired, seeded and mulched to establish coverage. Type of grass seed and rate of application shall be at the direction of the Engineer.

All work covered by this special provision shall be accomplished and satisfactorily completed by Intermediate Contract Time Number 4.

Payment will be made under:

Pay Item	Unit
Special Vegetation Removal with Pruning ……..	Lump Sum

SELECTIVE PRUNING

The work covered by this special provision consists of pruning at the direction of the Engineer.

All trees and/or shrubs to be pruned will be identified by the Engineer in the field. **All pruning will take place under the direct supervision of the Engineer.** Pruning shall be done only by persons who can present credentials to verify that they have been trained in proper pruning techniques and who can demonstrate their ability to perform such work using correct techniques and in a safe and responsible manner. The number of people allowed to perform pruning work on this job may be limited by the Engineer in order to better supervise the activity and ensure that the desired results are achieved.

Pruning shall be done to remove dead, damaged, broken, decayed or diseased limbs; to shape the tree/shrub both aesthetically and structurally **if** and as directed by the Engineer or to lift the canopy clearance to approximately six to eight feet if directed by the Engineer. No live branches greater than 6 inches in diameter shall be removed from the tree without permission of the Engineer. Pruning cuts shall be in accordance with ANSI A300 pruning standards.

Climbing spurs shall not be used when climbing trees. No equipment or work practices that damage bark or cambium shall be allowed. Avoid rope injury from loading out heavy limbs.

All work shall be performed by workers trained in accordance with ANSI Z133.1 safety regulations as required by OSHA.

Dispose of all material removed under this provision in accordance with the applicable requirements of Section 200-5 and 802-2 of the Standard Specifications.

Conduct operations so as to prevent injury to trees, shrubs or other types of vegetation that are to remain and to prevent damage to adjacent property. Any depressions created by the operation shall be filled with topsoil and brought to adjacent existing ground level as directed by the Engineer. Topsoil shall be a suitable sandy loam or clay loam for the area, free of any debris or other materials that would be detrimental to plant growth. Topsoil must be approved by the Engineer prior to use. All turf areas that are disturbed during this work shall be repaired, seeded and mulched to establish coverage. Type of grass seed and rate of application shall be at the direction of the Engineer.

All work covered by this special provision shall be accomplished and satisfactorily completed by Intermediate Contract Time Number 2. (Pruning done in conjunction with Special Vegetation Removal shall be compensated under Special Vegetation Removal with Pruning.)

Payment will be made under:

Pay Item	Unit
Selective Pruning …….	Lump Sum

SPLIT RAIL FENCE

The work covered by this special provision consists of furnishing and installing the split rail fence as shown on the plans and as directed by the Engineer.

The split rail fence shall have a total of six (6) rails made of Hemlock. The post shall be Locust. They shall be free of major defects or chips or splintered pieces. Post and rails shall be straight and true to line and grade.

Split rail fence shall be erected as shown on the plans. Post installation shall be set in compacted sub-grade with an aggregate base and set plum. Post and rails shall be connected using one half inch galvanized lag bolts. Use one (1) lag bolt per rail at post (see plans). Lag bolts shall extend to a depth of two (2) inches within the posts (bolts shall not extend through the post). Installer shall be an experienced fence builder with a minimum of seven (7) years of experience.

References and samples of work from the past three (3) years must be submitted to the Engineer prior to construction. Installer must have an understanding of the worm style fence installation method as shown on the plans. Contractor shall install fifty (50) linear feet of fencing with an end rail for approval by the Engineer before continuing remaining installation.

All work covered by this special provision shall be accomplished and satisfactorily completed by Intermediate Contract Time Number 2.

The quantity of split rail fencing will be the actual number of linear feet measured from end to end, which has been satisfactorily installed and accepted. (Measurement will not follow angles along top of rails but will be from beginning point to end point in a straight line.)

Payment will be made under:

Pay Item	Unit
Split Rail Fence ……..…..	Linear Foot

ESTABLISHMENT PERIOD

The establishment period for this contract shall begin on June 1, 2013, or at the completion of the Intermediate Contract Time 3, whichever is later, and proceed until October 31, 2014.

The work shall include but is not limited to, line or blade trimming, mowing, repair of plant beds, removing and replacing plants, repairing guying or staking, pruning of trees, cutting back of native grasses, mulching, watering, applications of post-emergence herbicides and pre-emergence herbicides, pesticides, fungicides and fertilizer as scheduled, as needed and as directed by the Engineer. Litter and debris pick-up and removal are also required.

Establishment work beginning on June 1, 2013 until October 1, 2013 shall be on a weekly basis as needed and as required by the Engineer. The Contractor or his/her appointed representative shall meet on the project at a predetermined weekly schedule to identify any tasks that need to be accomplished during that week. After October 1, 2013, tasks involved in the establishment period shall be performed on a monthly cycle **unless otherwise needed or directed by the Engineer or his/her representative.** A form with a checklist of the tasks that are required for each cycle during the establishment period shall be provided to the Contractor. Anyone representing the Contractor at these meetings shall be authorized to make decisions, direct employees, obtain supplies and equipment and proceed with work requirements immediately.

The Contractor shall be available within twenty-four (24) hours of contact by the Engineer, to handle any situations requiring immediate attention.

LINE OR BLADE TRIMMING AND MOWING

After the initial installation phase of this contract, the Contractor shall line or blade-trim and mow at least once per month within the interchange area, and at least once every three weeks within the median. The Engineer or his/her representative may request line or blade trimming or mowing whenever they deem necessary. Mowing and line or blade trimming must be performed in a consistent clean and neat manner.

Within the interchange area, mowing shall be done from the edge of pavement to the mulched areas or a six (6') foot perimeter around the plant bed, whichever is directed by the Engineer. Within the median, mowing shall be done from the Burke county line sign to one hundred (100) feet past the last Crapemyrtle, and from edge of pavement on the west bound land to edge of pavement on the east bound lane. Clippings will be bagged or directed away from plant beds to the satisfaction of the Engineer, in order to prevent contamination of plant beds with grass seed.

All litter and debris in turf grass areas shall be removed prior to mowing. Mowing height for this contract shall be four (4") inches or as directed by the Engineer. Special attention shall be given by the contractor to avoid "scalping", gapped, rolled down and uncut streaks; this will not be considered acceptable work. This work shall be incidental to this contract.

Schedule: *The Contractor shall perform line or blade trimming and mowing operations during the months of April, May, June, July, August, September and October of 2013 and each month beginning in March of 2014 until such time of the final acceptance of the project.*

LITTER AND DEBRIS REMOVAL

The project shall be policed at each visit and all litter and debris shall be removed and properly disposed of off-site. Litter and debris shall be removed at least once during each of the weekly or monthly establishment work cycles.

PLANT REPLACEMENTS

All dead, damaged, or unhealthy plants shall be removed immediately throughout the establishment period. Replacement planting shall occur as described in the **Special Provision – Planting - Replacement Planting** section of this contract proposal.

PLANT FERTILIZATION

Should nutrient deficiencies occur, an approved fertilizer shall be applied at an approved rate during the appropriate time of the growing season and/or as requested by the Engineer.

Establishment Period Compensation

The seventeen cycles of Monthly Establishment Work shall be compensated at the contract unit price for each cycle completed satisfactorily. Establishment work performed on a weekly basis, from June 1, 2013 until October 1, 2013, will not constitute additional compensation; there shall be only one payment per month made for the completed 4 or 5 weekly visits that will constitute one completed monthly cycle.

The work of establishment shall be paid for as each 'Monthly Establishment Work Cycle' satisfactorily completed. Water applied during the establishment period shall be paid for as 'Water for Planting' for each 1000 gallons (m/g) satisfactorily applied. Mulch applied during the establishment period shall be paid for as 'Mulch for Planting' for each cubic yard (CY) satisfactorily applied. All other work performed during the establishment period shall be incidental to the project.

Payment will be made under:

Pay Item	Unit
Monthly Establishment Work Cycle……..……...	Each
Water for Planting…….……	1000 gallons
Mulch for Planting…….	Cubic Yards

DAMAGES

All damages to plant beds and turf areas as well as staking or guying mechanisms shall be repaired in the appropriate manner and to the satisfaction of the Engineer during each of the monthly establishment work cycles.

FINAL ACCEPTANCE

Final acceptance on this project shall be made on **October 31, 2014** or a mutually agreed upon date thereafter. Final acceptance shall be made only after all replacement plants have been installed and mulched, plant beds are in a relatively weed free condition, adjacent areas have been mowed and/or blade or line trimmed as needed, all liter and debris has been picked up and removed from the site, any pesticide or herbicide applications required have been made, all split rail fence is upright and properly secured and the overall appearance of the project is neat and clean.

DAMAGE TO PLANT MATERIAL

If the Contractor damages or significantly injures any of the established plant material that is to remain within this project's limits, the Contractor shall be required to replace the plant with like species at the same size as the damaged plant at his or her cost. Should the plant be beyond a reasonable replacement size, the landscape value of the plant shall be determined and this amount shall be deducted from the contract bonds. Such damage or injuries shall be determined by the Engineer or his representative.

RIGHT TO ENTER ONTO THE PROJECT

The North Carolina Department of Transportation reserves the right to enter onto the project and have NCDOT personnel or their Contractor(s) perform plant replacement or removal of any plant material at any time and for any reason, at the discretion of the Engineer or his representative.

DAMAGE TO NCDOT FACILITIES

The Contractor may be held responsible for any damage he caused to NCDOT facilities; including but not limited to spit rail fence, roadway surfaces, shoulders, guardrail, drainage structures, signs, pavement markers, utilities and pavement markings.

TRAFFIC CONTROL

(01-17-12) RWZ-1

Maintain traffic in accordance with Divisions 10, 11 and 12 of the *2012Standard Specifications* and the following provisions:

Install Work Zone Advance Warning Signs in accordance with Standard Drawing No. 1101.01 of the *2012Roadway Standard Drawings* prior to beginning any other work. Use a lane closure or slow moving operation to complete the work, as necessary, unless otherwise indicated (refer to Standard Drawing No. 1101.02, 1101.11, 1110.01, 1110.02 and 1130.01 of the *2012 Roadway Standard Drawings*. Use a moving operation only if the minimum speed maintained at all times is 3 mph with no stops that narrow or close a lane of travel. If the moving operation is progressing slower than 3 mph at any time, install a lane closure. Maintain the existing traffic pattern at all times, except in the immediate work zone where lane closures are allowed as determined by the Engineer.

Refer to attached details and Standard Drawing No. 1101.01, 1101.02, 1101.03, 1101.04, 1101.05, 1101.11, 1110.01, 1110.02, 1115.01, 1130.01, 1135.01, 1145.01, 1150.01, 1165.01, 1170.01 and 1180.01 of the *2012Roadway Standard Drawings* when closing a lane of travel in a stationary work zone such as pavement patching resurfacing, or pavement marking removal. Properly ballasted cones may be used instead of drums for lane closures during daylight hours. However, drums are required for the upstream taper portion of lane closures in all applications. The stationary work zone shall be a maximum of 3 miles in length at any given time unless otherwise directed by the Engineer. A pilot vehicle operation may be used in conjunction with flaggers and the appropriate pilot vehicle warning signing as directed by the Engineer. During periods of construction inactivity, return the traffic pattern to the existing alignment and remove or cover any work zone signs. When covering work zone signs, use an opaque material that prevents reading of the sign at night by a driver using high beam headlights. Use material, which does not damage the sign sheeting. Replace any obliterated markings as required by other sections of the *2012 Standard Specifications* and the Engineer.

When personnel and/or equipment are working on the shoulder adjacent to an undivided facility and within 5 feet of an open travel lane, close the nearest open travel lane using Standard Drawing No. 1101.02 of the *2012Roadway Standard Drawings* unless the work area is protected by barrier or guardrail. When personnel and/or equipment are working on the shoulder, adjacent to a divided facility and within 10 feet of an open travel lane, close the nearest open travel lane using Standard Drawing No. 1101.02 of the *2012Roadway Standard Drawings* unless the work area is protected by barrier or guardrail. When personnel and/or equipment are working within a lane of travel of an undivided or divided facility, close the lane according to the traffic control plans, *2012Roadway Standard Drawings* or as directed by the Engineer. Conduct the work so that all personnel and/or equipment remain within the closed travel lane. Do not work simultaneously, on both sides of an open travel way, within the same location, on a two-lane, two-way road. Do not perform work involving heavy equipment within 15 feet of the edge of travel way when work is being performed behind a lane closure on the opposite side of the travel

way. Perform work only when weather and visibility conditions allow safe operations as directed by the Engineer.

No direct payment will be made for providing work zone signing/operations as the cost of this operation will be considered incidental to the work be paid for other line items.

STANDARD SPECIAL PROVISION
AVAILABILITY OF FUNDS – TERMINATION OF CONTRACTS

(5-20-08) Z-2

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(E) of the *2012 Standard Specifications*.

STANDARD SPECIAL PROVISION
ERRATA

(1-17-12) (Rev. 3-20-12) Z-4

Revise the *2012Standard Specifications* as follows:

Division 2

Page 2-7, line 31, Article 215-2 Construction Methods, replace "Article 107-26" with "Article 107-25".
Page 2-17, Article 226-3, Measurement and Payment, line 2, delete "pipe culverts,".
Page 2-20, Subarticle 230-4(B), Contractor Furnished Sources, change references as follows: Line 1, replace "(4) Buffer Zone" with "(c) Buffer Zone"; **Line 12,** replace "(5) Evaluation for Potential Wetlands and Endangered Species" with "(d) Evaluation for Potential Wetlands and Endangered Species"; and **Line 33,** replace "(6) Approval" with "(4) Approval".

Division 6

Page 6-7, line 31, Article 609-3 Field Verification of Mixture and Job Mix Formula Adjustments; replace "30" with "45".
Page 6-10, line 42, Subarticle 609-6(C) (2), replace "Subarticle 609-6(E)" with "SubarticI609-6(D)".
Page 6-11, Table 609-1 Control Limits, replace "Max. Spec. Limit" for the Target Source of $P_{0.075}/P_{be}$ Ratio with "1.0".

Division 10

Page 10-74, Table 1056-1 Geotextile Requirements; replace "50%" for the UV Stability (Retained Strength) of Type 5 geotextiles with "70%".

Division 12

Page 12-8, Table 1205-4 and 1205-5, replace "THERMOPLASTIC" in the title of these tables with "POLYUREA".

Division 15

Page 15-6, Subarticle 1510-3(B), after line 21, replace the allowable leakage formula with the following: $\boldsymbol{W = LD\sqrt{P} \div 148{,}000}$
Page 15-6, Subarticle 1510-3(B), line 32, delete "may be performed concurrently or" and replace with "shall be performed".
Page 15-17, Subarticle 1540-3I, line 27, delete "Type 1".

Division 17

Page 17-26, line 42, Subarticle 1731-3(D) Termination and Splicing within Interconnect Center, delete this subarticle.

STANDARD SPECIAL PROVISION

PLANT AND PEST QUARANTINES
(Imported Fire Ant, Gypsy Moth, Witchweed, and Other Noxious Weeds)

(3-18-03) Z-04a

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, 919-733-6932, or *http://www.ncagr.com/plantind/* 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 or other noxious weeds.

STANDARD SPECIAL PROVISION

ON-THE-JOB TRAINING

(10-16-07) (Rev. 7-21-09) Z-10

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 are 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. A sample agreement is available at www.ncdot.org/business/ocs/ojt/.

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 Operators	Office Engineers

Truck Drivers	Estimators
Carpenters	Iron / Reinforcing Steel Workers
Concrete Finishers	Mechanics
Pipe Layers	Welders

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.

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.

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.

STANDARD SPECIAL PROVISION

AWARD OF CONTRACT

(6-28-77) Z-6

"The North Carolina Department of Transportation, in accordance with the provisions of *Title VI of the Civil Rights Act of 1964* (78 Stat. 252) and the Regulations of the Department of Transportation (*49 C.F.R., Part 21*), issued pursuant to such act, hereby notifies all bidders that it will affirmatively insure that the contract entered into pursuant to this advertisement will be awarded to the lowest responsible bidder without discrimination on the ground of race, color, or national origin".

STANDARD SPECIAL PROVISION

MINORITY AND FEMALE EMPLOYMENT REQUIREMENTS

Z-7

NOTICE OF REQUIREMENTS FOR AFFIRMATIVE ACTION TO ENSURE EQUAL EMPLOYMENT OPPORTUNITY (*EXECUTIVE NUMBER 11246*)

1. The goals and timetables for minority and female participation, expressed in percentage terms for the Contractor's aggregate workforce in each trade on all construction work in the covered area, see as shown on the attached sheet entitled "Employment Goals for Minority and Female participation".

These goals are applicable to all the Contractor's construction work (whether or not it is Federal or federally assisted) performed in the covered area. If the Contractor performs construction work in a geographical area located outside of the covered area, it shall apply the goals established for such geographical area where the work is actually performed. With regard to this second area, the Contractor also is subject to the goals for both its federally involved and nonfederally involved construction.

The Contractor's compliance with the Executive Order and the regulations in *41 CFR Part 60-4* shall be based on its implementation of the Equal Opportunity Clause, specific affirmative action obligations required by the specifications set forth in *41 CFR 60-4.3(a),* and its effort to meet the goals. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade and the Contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor to Contractor or from project to project or the sole purpose of meeting the Contractor's goals shall be a violation of the contract, the executive Order and the regulations *in 41 CFR Part 60-4*. Compliance with the goals will be measured against the total work hours performed.

2. As used in this Notice and in the contract resulting from this solicitation, the "covered area" is the county or counties shown on the cover sheet of the proposal form and contract.

EMPLOYMENT GOALS FOR MINORITY AND FEMALE PARTICIPATION

Economic Areas

Area 023 29.7%
Bertie County
Camden County
Chowan County
Gates County
Hertford County
Pasquotank County
Perquimans County

Area 024 31.7%
Beaufort County
Carteret County
Craven County
Dare County
Edgecombe County
Green County
Halifax County
Hyde County
Jones County
Lenoir County
Martin County
Nash County
Northampton County
Pamlico County
Pitt County
Tyrrell County
Washington County
Wayne County
Wilson County

Area 025 23.5%
Columbus County
Duplin County
Onslow County
Pender County

Area 026 33.5%
Bladen County
Hoke County
Richmond County
Robeson County
Sampson County
Scotland County

Area 027 24.7%
Chatham County
Franklin County
Granville County
Harnett County
Johnston County
Lee County
Person County
Vance County
Warren County

Area 028 15.5%
Alleghany County
Ashe County
Caswell County
Davie County
Montgomery County
Moore County
Rockingham County
Surry County
Watauga County
Wilkes County

Area 029 15.7%
Alexander County
Anson County
Burke County
Cabarrus County
Caldwell County
Catawba County
Cleveland County
Iredell County
Lincoln County
Polk County
Rowan County
Rutherford County
Stanly County

Area 0480 8.5%
Buncombe County
Madison County

Area 030 6.3%
Avery County
Cherokee County
Clay County
Graham County
Haywood County
Henderson County
Jackson County
McDowell County
Macon County
Mitchell County
Swain County
Transylvania County
Yancey County

SMSA Areas

Area 5720 26.6%
Currituck County

Area 9200 20.7%
Brunswick County
New Hanover County

Area 2560 24.2%
Cumberland County

Area 6640 22.8%
Durham County
Orange County
Wake County

Area 1300 16.2%
Alamance County

Area 3120 16.4%
Davidson County
Forsyth County
Guilford County
Randolph County
Stokes County
Yadkin County

Area 1520 18.3%
Gaston County
Mecklenburg County
Union County

Goals for Female

Participation in Each Trade

(Statewide) 6.9%

STANDARD SPECIAL PROVISION

REQUIRED CONTRACT PROVISIONS FEDERAL - AID CONSTRUCTION CONTRACTS

FHWA - 1273 Electronic Version - May 1, 2012 Z-8

I. General
II. Nondiscrimination
III. Nonsegregated Facilities
IV. Davis-Bacon and Related Act Provisions
V. Contract Work Hours and Safety Standards Act Provisions
VI. Subletting or Assigning the Contract
VII. Safety: Accident Prevention
VIII. False Statements Concerning Highway Projects
IX. Implementation of Clean Air Act and Federal Water Pollution Control Act
X. Compliance with Governmentwide Suspension and Debarment Requirements
XI. Certification Regarding Use of Contract Funds for Lobbying

ATTACHMENTS

A. Employment and Materials Preference for Appalachian Development Highway System or Appalachian Local Access Road Contracts (included in Appalachian contracts only)

I. GENERAL

1. Form FHWA-1273 must be physically incorporated in each construction contract funded under Title 23 (excluding emergency contracts solely intended for debris removal). The contractor (or subcontractor) must insert this form in each subcontract and further require its inclusion in all lower tier subcontracts (excluding purchase orders, rental agreements and other agreements for supplies or services).

   The applicable requirements of Form FHWA-1273 are incorporated by reference for work done under any purchase order, rental agreement or agreement for other services. The prime contractor shall be responsible for compliance by any subcontractor, lower-tier subcontractor or service provider.

   Form FHWA-1273 must be included in all Federal-aid design-build contracts, in all subcontracts and in lower tier subcontracts (excluding subcontracts for design services, purchase orders, rental agreements and other agreements for supplies or services). The design-builder shall be responsible for compliance by any subcontractor, lower-tier subcontractor or service provider.

   Contracting agencies may reference Form FHWA-1273 in bid proposal or request for proposal documents, however, the Form FHWA-1273 must be physically incorporated (not referenced) in all contracts, subcontracts and lower-tier subcontracts (excluding purchase orders, rental agreements and other agreements for supplies or services related to a construction contract).
2. Subject to the applicability criteria noted in the following sections, these contract provisions shall apply to all work performed on the contract by the contractor's own organization and with the assistance of workers under the contractor's immediate superintendence and to all work performed on the contract by piecework, station work, or by subcontract.
3. A breach of any of the stipulations contained in these Required Contract Provisions may be sufficient grounds for withholding of progress payments, withholding of final payment, termination of the contract, suspension / debarment or any other action determined to be appropriate by the contracting agency and FHWA.
4. Selection of Labor: During the performance of this contract, the contractor shall not use convict labor for any purpose within the limits of a construction project on a Federal-aid highway unless it is labor performed by convicts who are on parole, supervised release, or probation. The term Federal-aid highway does not include roadways functionally classified as local roads or rural minor collectors.

II. NONDISCRIMINATION

The provisions of this section related to 23 CFR Part 230 are applicable to all Federal-aid construction contracts and to all related construction subcontracts of $10,000 or more. The provisions of 23 CFR Part 230 are not applicable to material supply, engineering, or architectural service contracts.

In addition, the contractor and all subcontractors must comply with the following policies: Executive Order 11246, 41 CFR 60, 29 CFR 1625-1627, Title 23 USC Section 140, the Rehabilitation Act of 1973, as amended (29 USC 794), Title VI of the Civil Rights Act of 1964, as amended, and related regulations including 49 CFR Parts 21, 26 and 27; and 23 CFR Parts 200, 230, and 633.

The contractor and all subcontractors must comply with: the requirements of the Equal Opportunity Clause in 41 CFR 60-1.4(b) and, for all construction contracts exceeding $10,000, the Standard Federal Equal Employment Opportunity Construction Contract Specifications in 41 CFR 60-4.3.

Note: The U.S. Department of Labor has exclusive authority to determine compliance with Executive Order 11246 and the policies of the Secretary of Labor including 41 CFR 60, and 29 CFR 1625-1627. The contracting agency and the FHWA have the authority and the responsibility to ensure compliance with Title 23 USC Section 140, the Rehabilitation Act of 1973, as amended (29 USC 794), and Title VI of the Civil Rights Act of 1964, as amended, and related regulations including 49 CFR Parts 21, 26 and 27; and 23 CFR Parts 200, 230, and 633.

The following provision is adopted from 23 CFR 230, Appendix A, with appropriate revisions to conform to the U.S. Department of Labor (US DOL) and FHWA requirements.

1. **Equal Employment Opportunity:** Equal employment opportunity (EEO) requirements not to discriminate and to take affirmative action to assure equal opportunity as set forth under laws, executive orders, rules, regulations (28 CFR 35, 29 CFR 1630, 29 CFR 1625-1627, 41 CFR 60 and 49 CFR 27) and orders of the Secretary of Labor as modified by the provisions prescribed herein, and imposed pursuant to 23 U.S.C. 140 shall constitute the EEO and specific affirmative action standards for the contractor's project activities under this contract. The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) set forth under 28 CFR 35 and 29 CFR 1630 are incorporated by reference in this contract. In the execution of this contract, the contractor agrees to comply with the following minimum specific requirement activities of EEO:
   a. The contractor will work with the contracting agency and the Federal Government to ensure that it has made every good faith effort to provide equal opportunity with respect to all of its terms and conditions of employment and in their review of activities under the contract.
   b. The contractor will accept as its operating policy the following statement:

"It is the policy of this Company to assure that applicants are employed, and that employees are treated during employment, without regard to their race, religion, sex, color, national origin, age or disability. Such action shall include: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship, pre-apprenticeship, and/or on-the-job training."

2. **EEO Officer:** The contractor will designate and make known to the contracting officers an EEO Officer who will have the responsibility for and must be capable of effectively administering and promoting an active EEO program and who must be assigned adequate authority and responsibility to do so.
3. **Dissemination of Policy:** All members of the contractor's staff who are authorized to hire, supervise, promote, and discharge employees, or who recommend such action, or who are substantially involved in such action, will be made fully cognizant of, and will implement, the contractor's EEO policy and contractual responsibilities to provide EEO in each grade and classification of employment. To ensure that the above agreement will be met, the following actions will be taken as a minimum:
   a. Periodic meetings of supervisory and personnel office employees will be conducted before the start of work and then not less often than once every six months, at which time the contractor's EEO policy and its implementation will be reviewed and explained. The meetings will be conducted by the EEO Officer.
   b. All new supervisory or personnel office employees will be given a thorough indoctrination by the EEO Officer, covering all major aspects of the contractor's EEO obligations within thirty days following their reporting for duty with the contractor.
   c. All personnel who are engaged in direct recruitment for the project will be instructed by the EEO Officer in the contractor's procedures for locating and hiring minorities and women.
   d. Notices and posters setting forth the contractor's EEO policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.
   e. The contractor's EEO policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.
4. **Recruitment:** When advertising for employees, the contractor will include in all advertisements for employees the notation: "An Equal Opportunity Employer." All such advertisements will be placed in publications having a large circulation among minorities and women in the area from which the project work force would normally be derived.
   a. The contractor will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minorities and women. To meet this requirement, the contractor will identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority and women applicants may be referred to the contractor for employment consideration.
   b. In the event the contractor has a valid bargaining agreement providing for exclusive hiring hall referrals, the contractor is expected to observe the provisions of that agreement to the extent that the system meets the contractor's compliance with EEO contract provisions. Where implementation of such an agreement has the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Federal nondiscrimination provisions.
   c. The contractor will encourage its present employees to refer minorities and women as applicants for employment. Information and procedures with regard to referring such applicants will be discussed with employees.
5. **Personnel Actions:** Wages, working conditions, and employee benefits shall be established and administered, and personnel actions of every type, including hiring, upgrading, promotion, transfer, demotion, layoff, and termination, shall be taken without regard to race, color, religion, sex, national origin, age or disability. The following procedures shall be followed:
   a. The contractor will conduct periodic inspections of project sites to insure that working conditions and employee facilities do not indicate discriminatory treatment of project site personnel.
   b. The contractor will periodically evaluate the spread of wages paid within each classification to determine any evidence of discriminatory wage practices.
   c. The contractor will periodically review selected personnel actions in depth to determine whether there is evidence of discrimination. Where evidence is found, the contractor will promptly take corrective action. If the review indicates that the discrimination may extend beyond the actions reviewed, such corrective action shall include all affected persons.
   d. The contractor will promptly investigate all complaints of alleged discrimination made to the contractor in connection with its obligations under this contract, will attempt to resolve such complaints, and will take appropriate corrective action within a reasonable time. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the contractor will inform every complainant of all of their avenues of appeal.
6. **Training and Promotion:**
   a. The contractor will assist in locating, qualifying, and increasing the skills of minorities and women who are applicants for employment or current employees. Such efforts should be aimed at developing full journey level status employees in the type of trade or job classification involved.
   b. Consistent with the contractor's work force requirements and as permissible under Federal and State regulations, the contractor shall make full use of training programs, i.e., apprenticeship, and on-the-job training programs for the geographical area of contract performance. In the event a special provision for training is provided under this contract, this subparagraph will be superseded as indicated in the special provision. The contracting agency may reserve training positions for persons who receive welfare assistance in accordance with 23 U.S.C. 140(a).
   c The contractor will advise employees and applicants for employment of available training programs and entrance requirements for each.
   d. The contractor will periodically review the training and promotion potential of employees who are minorities and women and will encourage eligible employees to apply for such training and promotion.
7. **Unions:** If the contractor relies in whole or in part upon unions as a source of employees, the contractor will use good faith efforts to obtain the cooperation of such unions to increase opportunities for minorities and women. Actions by the contractor, either directly or through a contractor's association acting as agent, will include the procedures set forth below:
   a. The contractor will use good faith efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minorities and women for membership in the unions and increasing the skills of minorities and women so that they may qualify for higher paying employment.
   b. The contractor will use good faith efforts to incorporate an EEO clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to their race, color, religion, sex, national origin, age or disability.
   c. The contractor is to obtain information as to the referral practices and policies of the labor union except that to the extent such information is within the exclusive possession of the labor union and such labor union refuses to furnish such information to the contractor, the contractor shall so certify to the contracting agency and shall set forth what efforts have been made to obtain such information.
   d. In the event the union is unable to provide the contractor with a reasonable flow of referrals within the time limit set forth in the collective bargaining agreement, the contractor will, through independent recruitment efforts, fill the employment vacancies without regard to race,

color, religion, sex, national origin, age or disability; making full efforts to obtain qualified and/or qualifiable minorities and women. The failure of a union to provide sufficient referrals (even though it is obligated to provide exclusive referrals under the terms of a collective bargaining agreement) does not relieve the contractor from the requirements of this paragraph. In the event the union referral practice prevents the contractor from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such contractor shall immediately notify the contracting agency.

8. **Reasonable Accommodation for Applicants / Employees with Disabilities:** The contractor must be familiar with the requirements for and comply with the Americans with Disabilities Act and all rules and regulations established there under. Employers must provide reasonable accommodation in all employment activities unless to do so would cause an undue hardship.
9. **Selection of Subcontractors, Procurement of Materials and Leasing of Equipment:** The contractor shall not discriminate on the grounds of race, color, religion, sex, national origin, age or disability in the selection and retention of subcontractors, including procurement of materials and leases of equipment. The contractor shall take all necessary and reasonable steps to ensure nondiscrimination in the administration of this contract.
   a. The contractor shall notify all potential subcontractors and suppliers and lessors of their EEO obligations under this contract.
   b. The contractor will use good faith efforts to ensure subcontractor compliance with their EEO obligations.
10. **Assurance Required by 49 CFR 26.13(b):**
   a. The requirements of 49 CFR Part 26 and the State DOT's U.S. DOT-approved DBE program are incorporated by reference.
   b. The contractor or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the contracting agency deems appropriate.
11. **Records and Reports:** The contractor shall keep such records as necessary to document compliance with the EEO requirements. Such records shall be retained for a period of three years following the date of the final payment to the contractor for all contract work and shall be available at reasonable times and places for inspection by authorized representatives of the contracting agency and the FHWA.
   a. The records kept by the contractor shall document the following:
      (1) The number and work hours of minority and non-minority group members and women employed in each work classification on the project;
      (2) The progress and efforts being made in cooperation with unions, when applicable, to increase employment opportunities for minorities and women; and
      (3) The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minorities and women;
   b. The contractors and subcontractors will submit an annual report to the contracting agency each July for the duration of the project, indicating the number of minority, women, and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on Form FHWA-1391. The staffing data should represent the project work force on board in all or any part of the last payroll period preceding the end of July. If on-the-job training is being required by special provision, the contractor will be required to collect and report training data. The employment data should reflect the work force on board during all or any part of the last payroll period preceding the end of July.

III. NONSEGREGATED FACILITIES

This provision is applicable to all Federal-aid construction contracts and to all related construction subcontracts of $10,000 or more.

The contractor must ensure that facilities provided for employees are provided in such a manner that segregation on the basis of race, color, religion, sex, or national origin cannot result. The contractor may neither require such segregated use by written or oral policies nor tolerate such use by employee custom. The contractor's obligation extends further to ensure that its employees are not assigned to perform their services at any location, under the contractor's control, where the facilities are segregated. The term "facilities" includes waiting rooms, work areas, restaurants and other eating areas, time clocks, restrooms, washrooms, locker rooms, and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing provided for employees. The contractor shall provide separate or single-user restrooms and necessary dressing or sleeping areas to assure privacy between sexes.

IV. DAVIS-BACON AND RELATED ACT PROVISIONS

This section is applicable to all Federal-aid construction projects exceeding $2,000 and to all related subcontracts and lower-tier subcontracts (regardless of subcontract size). The requirements apply to all projects located within the right-of-way of a roadway that is functionally classified as Federal-aid highway. This excludes roadways functionally classified as local roads or rural minor collectors, which are exempt. Contracting agencies may elect to apply these requirements to other projects.

The following provisions are from the U.S. Department of Labor regulations in 29 CFR 5.5 "Contract provisions and related matters" with minor revisions to conform to the FHWA-1273 format and FHWA program requirements.

1. **Minimum wages**
   a. All laborers and mechanics employed or working upon the site of the work, will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics.

      Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph 1.d. of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: Provided, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under paragraph 1.b. of this section) and the Davis-Bacon poster (WH–1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

   b. (1) The contracting officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The

contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

(i) The work to be performed by the classification requested is not performed by a classification in the wage determination; and

(ii) The classification is utilized in the area by the construction industry; and

(iii) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(2) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(3) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Wage and Hour Administrator for determination. The Wage and Hour Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(4) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs 1.b.(2) or 1.b.(3) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

c. Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

d. If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, Provided, That the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

2. **Withholding.** The contracting agency shall upon its own action or upon written request of an authorized representative of the Department of Labor, withhold or cause to be withheld from the contractor under this contract, or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the contract, the contracting agency may, after written notice to the contractor, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

3. **Payrolls and basic records**

a. Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

b. (1) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the contracting agency. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i), except that full social security numbers and home addresses shall not be included on weekly transmittals. Instead the payrolls shall only need to include an individually identifying number for each employee (e.g. , the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH–347 is available for this purpose from the Wage and Hour Division Web site at http://www.dol.gov/esa/whd/forms/ wh347instr.htm or its successor site. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to the contracting agency for transmission to the State DOT, the FHWA or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. It is not a violation of this section for a prime contractor to require a subcontractor to provide addresses and social security numbers to the prime contractor for its own records, without weekly submission to the contracting agency.

(2) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:

(i) That the payroll for the payroll period contains the information required to be provided under §5.5 (a)(3)(ii) of Regulations, 29 CFR part 5, the appropriate information is being maintained under §5.5 (a)(3)(i) of Regulations, 29 CFR part 5, and that such information is correct and complete;

(ii) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 CFR part 3;

(iii) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

(3) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH–347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph 3.b.(2) of this section.

(4) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 231 of title 31 of the United States Code.

c. The contractor or subcontractor shall make the records required under paragraph 3.a. of this section available for inspection, copying, or transcription by authorized representatives of the contracting agency, the State DOT, the FHWA, or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the FHWA may, after written notice to the contractor, the contracting agency or the State DOT, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

4. **Apprentices and trainees**

a. Apprentices (programs of the USDOL). Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Office of Apprenticeship Training, Employer and Labor Services or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice.

The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed.

Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination.

In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency recognized by the Office, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

b. Trainees (programs of the USDOL). Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration.

The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration.

Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed.

In the event the Employment and Training Administration withdraws approval of a training program, the contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

c. Equal employment opportunity. The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR part 30.

d. Apprentices and Trainees (programs of the U.S. DOT). Apprentices and trainees working under apprenticeship and skill training programs which have been certified by the Secretary of Transportation as promoting EEO in connection with Federal-aid highway construction programs are not subject to the requirements of paragraph 4 of this Section IV. The straight time hourly wage rates for apprentices and trainees under such programs will be established by the particular programs. The ratio of apprentices and trainees to journeymen shall not be greater than permitted by the terms of the particular program.

5. **Compliance with Copeland Act requirements.** The contractor shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this contract.

6. **Subcontracts.** The contractor or subcontractor shall insert Form FHWA-1273 in any subcontracts and also require the subcontractors to include Form FHWA-1273 in any lower tier subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 CFR 5.5.

7. **Contract termination:** debarment. A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

8. **Compliance with Davis-Bacon and Related Act requirements.** All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this contract.

9. **Disputes concerning labor standards.** Disputes arising out of the labor standards provisions of this contract shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.

10. **Certification of eligibility.**

a. By entering into this contract, the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

b. No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
c. The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

V. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT

The following clauses apply to any Federal-aid construction contract in an amount in excess of $100,000 and subject to the overtime provisions of the Contract Work Hours and Safety Standards Act. These clauses shall be inserted in addition to the clauses required by 29 CFR 5.5(a) or 29 CFR 4.6. As used in this paragraph, the terms laborers and mechanics include watchmen and guards.

1. **Overtime requirements.** No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.
2. **Violation; liability for unpaid wages; liquidated damages.** In the event of any violation of the clause set forth in paragraph (1.) of this section, the contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (1.) of this section, in the sum of $10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (1.) of this section.
3. **Withholding for unpaid wages and liquidated damages.** The FHWA or the contacting agency shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (2.) of this section.
4. **Subcontracts.** The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraph (1.) through (4.) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (1.) through (4.) of this section.

VI. SUBLETTING OR ASSIGNING THE CONTRACT

This provision is applicable to all Federal-aid construction contracts on the National Highway System.

1. The contractor shall perform with its own organization contract work amounting to not less than 30 percent (or a greater percentage if specified elsewhere in the contract) of the total original contract price, excluding any specialty items designated by the contracting agency. Specialty items may be performed by subcontract and the amount of any such specialty items performed may be deducted from the total original contract price before computing the amount of work required to be performed by the contractor's own organization (23 CFR 635.116).
   a. The term “perform work with its own organization” refers to workers employed or leased by the prime contractor, and equipment owned or rented by the prime contractor, with or without operators. Such term does not include employees or equipment of a subcontractor or lower tier subcontractor, agents of the prime contractor, or any other assignees. The term may include payments for the costs of hiring leased employees

from an employee leasing firm meeting all relevant Federal and State regulatory requirements. Leased employees may only be included in this term if the prime contractor meets all of the following conditions:

(1) the prime contractor maintains control over the supervision of the day-to-day activities of the leased employees;

(2) the prime contractor remains responsible for the quality of the work of the leased employees;

(3) the prime contractor retains all power to accept or exclude individual employees from work on the project; and

(4) the prime contractor remains ultimately responsible for the payment of predetermined minimum wages, the submission of payrolls, statements of compliance and all other Federal regulatory requirements.

b. "Specialty Items" shall be construed to be limited to work that requires highly specialized knowledge, abilities, or equipment not ordinarily available in the type of contracting organizations qualified and expected to bid or propose on the contract as a whole and in general are to be limited to minor components of the overall contract.

2. The contract amount upon which the requirements set forth in paragraph (1) of Section VI is computed includes the cost of material and manufactured products which are to be purchased or produced by the contractor under the contract provisions.
3. The contractor shall furnish (a) a competent superintendent or supervisor who is employed by the firm, has full authority to direct performance of the work in accordance with the contract requirements, and is in charge of all construction operations (regardless of who performs the work) and (b) such other of its own organizational resources (supervision, management, and engineering services) as the contracting officer determines is necessary to assure the performance of the contract.
4. No portion of the contract shall be sublet, assigned or otherwise disposed of except with the written consent of the contracting officer, or authorized representative, and such consent when given shall not be construed to relieve the contractor of any responsibility for the fulfillment of the contract. Written consent will be given only after the contracting agency has assured that each subcontract is evidenced in writing and that it contains all pertinent provisions and requirements of the prime contract.
5. The 30% self-performance requirement of paragraph (1) is not applicable to design-build contracts; however, contracting agencies may establish their own self-performance requirements.

VII. SAFETY: ACCIDENT PREVENTION

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

1. In the performance of this contract the contractor shall comply with all applicable Federal, State, and local laws governing safety, health, and sanitation (23 CFR 635). The contractor shall provide all safeguards, safety devices and protective equipment and take any other needed actions as it determines, or as the contracting officer may determine, to be 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.
2. It is a condition of this contract, and shall be made a condition of each subcontract, which the contractor enters into pursuant to this contract, that the contractor and any subcontractor shall not permit any employee, in performance of the contract, to work in surroundings or under conditions which are unsanitary, hazardous or dangerous to his/her health or safety, as determined under construction safety and health standards (29 CFR 1926) promulgated by the Secretary of Labor, in accordance with Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 3704).
3. Pursuant to 29 CFR 1926.3, it is a condition of this contract that the Secretary of Labor or authorized representative thereof, shall have right of entry to any site of contract performance to inspect or investigate the matter of compliance with the construction safety and health standards and to carry out the duties of the Secretary under Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C.3704).

VIII. FALSE STATEMENTS CONCERNING HIGHWAY PROJECTS

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

In order to assure high quality and durable construction in conformity with approved plans and specifications and a high degree of reliability on statements and representations made by engineers, contractors, suppliers, and workers on Federal-aid highway projects, it is essential that all persons concerned with the project perform their functions as carefully, thoroughly, and honestly as possible. Willful falsification, distortion, or misrepresentation with respect to any facts related to the project is a violation of Federal law. To prevent any misunderstanding regarding the seriousness of these and similar acts, Form FHWA-1022 shall be posted on each Federal-aid highway project (23 CFR 635) in one or more places where it is readily available to all persons concerned with the project:

18 U.S.C. 1020 reads as follows:

"Whoever, being an officer, agent, or employee of the United States, or of any State or Territory, or whoever, whether a person, association, firm, or corporation, knowingly makes any false statement, false representation, or false report as to the character, quality, quantity, or cost of the material used or to be used, or the quantity or quality of the work performed or to be performed, or the cost thereof in connection with the submission of plans, maps, specifications, contracts, or costs of construction on any highway or related project submitted for approval to the Secretary of Transportation; or

Whoever knowingly makes any false statement, false representation, false report or false claim with respect to the character, quality, quantity, or cost of any work performed or to be performed, or materials furnished or to be furnished, in connection with the construction of any highway or related project approved by the Secretary of Transportation; or

Whoever knowingly makes any false statement or false representation as to material fact in any statement, certificate, or report submitted pursuant to provisions of the Federal-aid Roads Act approved July 1, 1916, (39 Stat. 355), as amended and supplemented;

Shall be fined under this title or imprisoned not more than 5 years or both."

IX. IMPLEMENTATION OF CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

By submission of this bid/proposal or the execution of this contract, or subcontract, as appropriate, the bidder, proposer, Federal-aid construction contractor, or subcontractor, as appropriate, will be deemed to have stipulated as follows:

1. That any person who is or will be utilized in the performance of this contract is not prohibited from receiving an award due to a violation of Section 508 of the Clean Water Act or Section 306 of the Clean Air Act.
2. That the contractor agrees to include or cause to be included the requirements of paragraph (1) of this Section X in every subcontract, and further agrees to take such action as the contracting agency may direct as a means of enforcing such requirements.

X. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

This provision is applicable to all Federal-aid construction contracts, design-build contracts, subcontracts, lower-tier subcontracts, purchase orders, lease agreements, consultant contracts or any other covered transaction requiring FHWA approval or that is estimated to cost $25,000 or more – as defined in 2 CFR Parts 180 and 1200.

1. **Instructions for Certification – First Tier Participants:**
   a. By signing and submitting this proposal, the prospective first tier participant is providing the certification set out below.
   b. The inability of a person to provide the certification set out below will not necessarily result in denial of participation in this covered transaction. The prospective first tier participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective first tier participant to furnish a certification or an explanation shall disqualify such a person from participation in this transaction.
   c. The certification in this clause is a material representation of fact upon which reliance was placed when the contracting agency determined to enter into this transaction. If it is later determined that the prospective participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the contracting agency may terminate this transaction for cause of default.
   d. The prospective first tier participant shall provide immediate written notice to the contracting agency to whom this proposal is submitted if any time the prospective first tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
   e. The terms "covered transaction," "debarred," "suspended," "ineligible," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180 and 1200. “First Tier Covered Transactions” refers to any covered transaction between a grantee or subgrantee of Federal funds and a participant (such as the prime or general contract). “Lower Tier Covered Transactions” refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). “First Tier Participant” refers to the participant who has entered into a covered transaction with a grantee or subgrantee of Federal funds (such as the prime or general contractor). “Lower Tier Participant” refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).
   f. The prospective first tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
   g. The prospective first tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions," provided by the department or contracting agency, entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the $25,000 threshold.
   h. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the Excluded Parties List System website (https://www.epls.gov/), which is compiled by the General Services Administration.
   i. Nothing contained in the foregoing shall be construed to require the establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of the prospective participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
   j. Except for transactions authorized under paragraph (f) of these instructions, if a participant in a covered transaction 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 to the Federal Government, the department or agency may terminate this transaction for cause or default.

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2. **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – First Tier Participants:**
   a. The prospective first tier participant certifies to the best of its knowledge and belief, that it and its principals:
      (1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency;
      (2) 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;
      (3) 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 (a)(2) of this certification; and
      (4) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
   b. Where the prospective participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
2. **Instructions for Certification - Lower Tier Participants:**
   (Applicable to all subcontracts, purchase orders and other lower tier transactions requiring prior FHWA approval or estimated to cost $25,000 or more - 2 CFR Parts 180 and 1200)
   a. By signing and submitting this proposal, the prospective lower tier is providing the certification set out below.
   b. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department, or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
   c. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous by reason of changed circumstances.
   d. The terms "covered transaction," "debarred," "suspended," "ineligible," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180 and 1200. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations. “First Tier Covered Transactions” refers to any covered transaction between a grantee or subgrantee of Federal funds and a participant (such as the prime or general contract). “Lower Tier Covered Transactions” refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). “First Tier Participant” refers to the participant who has entered into a covered transaction with a grantee or subgrantee of Federal funds (such as the prime or general contractor). “Lower Tier Participant” refers any

participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).

e. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

f. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the $25,000 threshold.

g. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the Excluded Parties List System website (https://www.epls.gov/), which is compiled by the General Services Administration.

h. 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 clause. The knowledge and information of participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

i. Except for transactions authorized under paragraph e of these instructions, if a participant in a covered transaction 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 to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Participants:

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

* * * * *

XI. CERTIFICATION REGARDING USE OF CONTRACT FUNDS FOR LOBBYING

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts which exceed $100,000 (49 CFR 20).

1. The prospective participant certifies, by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that:
   a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
   b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
2. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.
3. The prospective participant also agrees by submitting its bid or proposal that the participant shall require that the language of this certification be included in all lower tier subcontracts, which exceed $100,000 and that all such recipients shall certify and disclose accordingly.

STANDARD SPECIAL PROVISION
MINIMUM WAGES
GENERAL DECISION NC120088 01/06/2012 NC88

Z-88

Date: January 6, 2012

General Decision Number: NC120088 01/06/2012 NC88

Superseded General Decision Numbers: NC20100125

State: North Carolina

Construction Type: HIGHWAY

COUNTIES:

Burke
Haywood
Henderson
Madison

HIGHWAY CONSTRUCTION PROJECTS (excluding tunnels, building structures in rest area projects, railroad construction, bascule, suspension and spandrel arch bridges designed for commercial navigation, bridges involving marine construction, and other major bridges).

Modification Number	Publication Date
0	01/06/2012

SUNC2011-069 09/16/2011

	Rates	Fringes
CARPENTER (Form Work Only)		
Burke County	13.18	
Haywood, Henderson, and Madison Counties	13.38	
CEMENT MASON/CONCRETE FINISHER	13.84	
IRONWORKER (Reinforcing)	14.88	
LABORER		
Asphalt, Asphalt Distributor, Raker, and Spreader		
Burke County	12.18	
Haywood, Henderson, and Madison Counties	12.33	
Common or General		
Burke County	11.60	
Haywood County	11.53	
Henderson County	10.75	
Madison County	11.54	
Concrete Saw	14.55	
Landscape	10.35	
Luteman	13.00	
Mason Tender (Cement/Concrete)	11.25	
Pipelayer	12.80	
Traffic Control (Cone Setter)	13.15	
Traffic Control (Flagger)	10.24	

	Rates	Fringes
POWER EQUIPMENT OPERATORS		
Backhoe/Excavator/Trackhoe		
Burke County	13.82	
Haywood and Madison Counties	14.05	
Henderson County	13.92	
Broom/Sweeper	13.97	
Bulldozer	15.27	
Crane	17.97	
Curb Machine	14.43	
Distributor	14.99	
Drill	16.68	
Grader/Blade		
Burke, Haywood, and Madison County	15.95	
Henderson County	14.25	
Loader		
Burke County	13.81	
Haywood, Henderson, and Madison Counties	14.14	
Mechanic	17.90	
Milling Machine	15.72	
Oiler	13.79	
Paver	17.60	
Roller		
Burke County	14.97	
Haywood, Henderson, and Madison Counties	15.04	
Scraper	15.85	
Screed	14.93	
Tractor	14.47	
TRUCK DRIVER		
Distributor	16.75	
Dump		
Burke County	12.28	
Haywood, Henderson, and Madison Counties	12.12	
Flatbed Truck	15.02	
Lowboy Truck	15.21	
Off the Road Truck	15.00	
Single Axle Truck	12.13	
Tack Truck	16.52	
Water Truck	13.16	

Welders – Receive rate prescribed for craft performing operation to which welding is incidental.

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR 5.5(a)(1)(ii)).

The body of each wage determination lists the classification and wage rates that have been found to be prevailing for the cited type(s) of construction in the area covered by the wage determination. The classifications are listed in alphabetical order of "identifiers" that indicate whether the particular rate is union or non-union.

Union Identifiers

An identifier enclosed in dotted lines beginning with characters other than "SU" denotes that the union classification and rate have found to be prevailing for that classification. Example: PLUM0198-005 07/01/2011. The first four letters , PLUM, indicate the international union and the four-digit number, 0198, that follows indicates the local union number or district council number where applicable, i.e., Plumbers Local 0198. The next number, 005 in the example, is an internal number used in processing the wage determination. The date, 07/01/2011, following these characters is the effective date of the most current negotiated rate/collective bargaining agreement which would be July 1, 2011 in the above example.

Union prevailing wage rates will be updated to reflect any changes in the collective bargaining agreements governing the rate.

Non-Union Identifiers

Classifications listed under an "SU" identifier were derived from survey data by computing average rates and are not union rates; however, the data used in computing these rates may include both union and non-union data. Example: SULA2004-007 5/13/2010. SU indicates the rates are not union rates, LA indicates the State of Louisiana; 2004 is the year of the survey; and 007 is an internal number used in producing the wage determination. A 1993 or later date, 5/13/2010, indicates the classifications and rates under that identifier were issued as a General Wage Determination on that date.

Survey wage rates will remain in effect and will not change until a new survey is conducted.

WAGE DETERMINATION APPEALS PROCESS

4.) Has there been an initial decision in the matter? This can be:

* an existing published wage determination
* a survey underlying a wage determination
* a Wage and Hour Division letter setting forth a position on a wage determination matter
* a conformance (additional classification and rate) ruling

On survey related matters, initial contact, including requests for summaries of surveys, should be with the Wage and Hour Regional Office for the area in which the survey was conducted because those Regional Offices have responsibility for the Davis-Bacon survey program. If the response from this initial contact is not satisfactory, then the process described in 2.)and 3.) should be followed.

With regard to any other matter not yet ripe for the formal process described here, initial contact should be with the Branch of Construction Wage Determinations. Write to:

Branch of Construction Wage Determinations
Wage and Hour Division
U. S. Department of Labor
200 Constitution Avenue, N.W.
Washington, D.C. 20210

2.) If the answer to the question in 1.) is yes, then an interested party (those affected by the action) can request review and reconsideration from the Wage and Hour Administrator (See 29 CFR Part 1.8 and 29 CFR Part 7). Write to:

Wage and Hour Administrator
U.S. Department of Labor
200 Constitution Avenue, N.W.
Washington, D.C. 20210

The request should be accompanied by a full statement of the interested party's position and by any information (wage payment data, project description, area practice material, etc.) that the requestor considers relevant to the issue.

3.) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board
U.S. Department of Labor
200 Constitution Avenue, N.W.
Washington, D.C. 20210

4.) All decisions by the Administrative Review Board are final.

END OF GENERAL DECISION

LISTING OF DBE SUBCONTRACTORS

Sheet _____ of _____

Firm Name and Address	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name Address				
Name Address				
Name Address				
Name Address				
Name Address				
Name Address				
Name Address				

This form must be completed in order for the Bid to be considered responsive and be publicly read.
Bidders with no DBE participation must so indicate this on the form by entering the word or number *zero*.

MISC2 Rev 9-26-11

LISTING OF DBE SUBCONTRACTORS

Sheet _____ of _____

Firm Name and Address	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name Address				
Name Address				
Name Address				
Name Address				
Name Address				

***** The Dollar Volume shown in this column shall be the Actual Price Agreed Upon by the Prime Contractor and the DBE subcontractor, and these prices will be used to determine the percentage of the DBE participation in the contract.

** Dollar Volume of DBE Subcontractor $ _____

Percentage of Total Contract Bid Price _____ %

** - Must have entry even if figure to be entered is zero.

** - *If firm is a Material Supplier Only, show Dollar Volume as 60% of Agreed Upon Amount from Letter of Intent.*
If firm is a Manufacturer, show Dollar Volume as 100% of Agreed Upon Amount from Letter of Intent.

This form must be completed in order for the Bid to be considered responsive and be publicly read.
Bidders with no DBE participation must so indicate this on the form by entering the word or number *zero*.

MISC2 Rev 9-26-11

North Carolina Department of Transportation

BID FORM

WBS Element: **3713.3.24**

Description: **Professional Landscape Contractor to install landscape planting; including the work of plant bed preparation, planting, mulching, watering, establishment, installing split rail fence and seeding and mulching.**

County: **Burke**

Line	Section	Description	Quan	Unit	Unit Price	Amount Bid
Plant Materials - Ornamental Trees						
1	1670	***Cornus florida 'Cherokee Princess', Cherokee Princess Flowering Dogwood; 5-6', Single Straight Trunk, Well branched; ASNS 1.2.4***	13	EA		
2	1670	***Lagerstroemia x 'Biloxi', Biloxi Crapemyrtle; 9-10', 3 to 5 stems, min. caliper 1.25" each, stems must occur within 6" of ground; heavily branched; ASNS 1.3.2.2***	14	EA		
Plant Materials - Evergreen Trees/Shrubs						
3	1670	***Ilex x 'Liberty' PP#12009, Liberty Holly; 6-7', B&B, Heavily branched to the ground; ASNS 2.2.3***	9	EA		
4	1670	***Picea omorika*; Serbian Spruce; 12-14', B&B, Full to ground, Matched specimens; ASNS 3.2.4**	13	EA		
Plant Materials - Grasses						
5	1670	***Muhlenbergia capillaris, Pink Muhly Grass; 3 1/2 to 4" Pot, Tray of 18, Must be fully rooted into this container with full top growth and weed free; ASNS 12.2.5***	3,458	EA		
6	1670	***Panicum virgatum 'Northwind', Northwind Switchgrass; 3 1/2 to 4" Pot, Tray of 18, Must be fully rooted into this container with full top growth and weed free; ASNS 12.2.5***	392	EA		
Replacement Plant Materials - Ornamental Trees						
7	1670	***Cornus florida 'Cherokee Princess', Cherokee Princess Flowering Dogwood; 5-6', Single Straight Trunk, Well branched; ASNS 1.2.4***	1	EA		
8	1670	***Lagerstroemia x 'Biloxi', Biloxi Crapemyrtle; 9-10', 3 to 5 stems, min. caliper 1.25" each, stems must occur within 6" of ground; heavily branched; ASNS 1.3.2.2***	1	EA		
Replacement Plant Materials - Evergreen Trees/Shrubs						
9	1670	***Ilex x 'Liberty' PP#12009, Liberty Holly; 6-7', B&B, Heavily branched to the ground; ASNS 2.2.3***	1	EA		

Line	Section	Description	Quan	Unit	Unit Price	Amount Bid
Replacement Plant Materials - Evergreen Trees/Shrubs						
10	1670	***Picea omorika*; Serbian Spruce; 12-14', B&B, Full to ground, Matched specimens; ASNS 3.2.4**	1	EA		
Replacement Plant Materials - Grasses						
11	1670	***Muhlenbergia capillaris, Pink Muhly Grass; 3 1/2 to 4" Pot, Tray of 18, Must be fully rooted into this container with full top growth and weed free; ASNS 12.2.5***	346	EA		
12	1670	***Panicum virgatum 'Northwind', Northwind Switchgrass; 3 1/2 to 4" Pot, Tray of 18, Must be fully rooted into this container with full top growth and weed free; ASNS 12.2.5***	39	EA		
Other Items						
13	1670	**Post-Emergence Herbicidal Treatment for Plant Beds (approx. 18,304 SY)**	1	LS		
14	1670	**Pre-Emergence Herbicidal Treatment for Plant Beds (approx. 18,304 SY)**	1	LS		
15	1670	**Mulch for Planting**	1,781	CY		
16	1670	**Water for Planting**	25	M/G		
17	SP	**Seeding and Mulching (approximately 0.35 Acres)**	1	LS		
18	SP	**Special Vegetation Removal with pruning (approximately 0.6 Acres)**	1	LS		
19	1651	**Selective Tree Removal, 6"**	25	EA		
20	1651	**Selective Tree Removal, 10"**	15	EA		
21	1651	**Selective Tree Removal, 15"**	12	EA		
22	1651	**Selective Tree Removal, 18"**	10	EA		
23	SP	**Selective Pruning**	1	LS		
24	SP	**Split Rail Fence**	1420	LF		
25	SP	**Monthly Establishment Work Cycle**	17	Each		

TOTAL BID FOR PROJECT:_____	**Corporate Seal**

CONTRACTOR_____

ADDRESS_____

Federal Identification Number_____ Contractors License Number_____

THIS SECTION TO BE COMPLETED BY NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

This bid has been reviewed in accordance with Article 103-1 of the Standard Specifications for Roads and Structures 2012.

Reviewed by_____ _____(date)

Accepted by NCDOT_____ _____(date)
Division Engineer

North Carolina Department of Transportation

Plant Source List

WBS Element: **3713.3.24**

Description: **Professional Landscape Contractor to install landscape planting; including the work of plant bed preparation, planting, mulching, watering, establishment, installing split rail fence, and seeding and mulching.**

County: **Burke**

Description	Quan	Nursery Source	Address	Contact Name	Contact Number
Ornamental Trees					
Cornus florida 'Cherokee Princess', Cherokee Princess Flowering Dogwood; 5-6', Single Straight Trunk, Well branched; ASNS 1.2.4	13	EA			
Lagerstroemia x 'Biloxi', Biloxi Crapemyrtle; 9-10', 3 to 5 stems, min. caliper 1.25" each, stems must occur within 6" of ground; heavily branched; ASNS 1.3.2.2	14	EA			
Evergreen Trees/Shrubs					
Ilex x 'Liberty' PP#12009, Liberty Holly; 6-7', B&B, Heavily branched to the ground; ASNS 2.2.3	9	EA			
***Picea omorika*; Serbian Spruce; 12-14', B&B, Full to ground, Matched specimens; ASNS 3.2.4**	13	EA			
Grasses					
Muhlenbergia capillaris, Pink Muhly Grass; 3 1/2 to 4" Pot, Tray of 18, Must be fully rooted into this container with full top growth and weed free; ASNS 12.2.5	3,458	EA			
Panicum virgatum 'Northwind', Northwind Switchgrass; 3 1/2 to 4" Pot, Tray of 18, Must be fully rooted into this container with full top growth and weed free; ASNS 12.2.5	392	EA			

Contractor_____

Signature_____

Date_____

Contact Phone Numbers: _____

EXECUTION OF BID
NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION

CORPORATION

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder 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 bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of 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 CONTRACTOR

_____
Full name of Corporation

_____
Address 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

AFFIDAVIT MUST BE NOTARIZED

State of _____
County of _____

Subscribed and sworn to before me this the _____ day of _____ 20__.

_____
Signature of Notary Public

NOTARY SEAL

My commission Expires:_____

EXECUTION OF BID
NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION
PARTNERSHIP

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder 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 bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of 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 CONTRACTOR

_____
Full Name of Partnership

_____
Address as Prequalified

_____ By_____
Signature of Witness Signature of Partner

_____ _____
Print or type Signer's name Print or type Signer's name

AFFIDAVIT MUST BE NOTARIZED

State of _____
County of _____

Subscribed and sworn to before me this the _____ day of _____ 20__.

_____ **NOTARY SEAL**
Signature of Notary Public

My Commission Expires: _____

Contract No. 11233307 **Rev. 4-19-11**
County- Burke

EXECUTION OF BID

NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION

LIMITED LIABILITY COMPANY

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder 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 bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of 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 CONTRACTOR

_____
Full Name of Firm

_____
Address 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

AFFIDAVIT MUST BE NOTARIZED

State of _____
County of _____

Subscribed and sworn to before me this the _____ day of _____ 20__.

_____ **NOTARY SEAL**
Signature of Notary Public

My Commission Expires: _____

Contract No. 11233307 Rev. 4-19-11
County - Burke

EXECUTION OF BID
NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION

JOINT VENTURE (2) or (3)

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder 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 bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of 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 CONTRACTOR

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.

(1)_____
Name of Joint Venture

(2)_____
Name of Contractor

_____
Address as Prequalified

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

(3)_____
Name of Contractor

_____
Address as Prequalified

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

(4)_____
Name of Contractor *(for 3 Joint Venture only)*

_____
Address as Prequalified

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

NOTARY SEAL
Affidavit must be notarized for Line (2)

_____County

State of _____

Subscribed and sworn to before me this

_____day of_____ 20___

_____
Signature of Notary Public

My Commission Expires:_____

NOTARY SEAL
Affidavit must be notarized for Line (3)

_____County

State of _____

Subscribed and sworn to before me this

_____day of _____ 20___

_____
Signature of Notary Public

My Commission Expires:_____

NOTARY SEAL
Affidavit must be notarized for Line (4)

_____County

State of _____

Subscribed and sworn to before me this

____day of _____ 20_____

_____
Signature of Notary Public

My Commission Expires:_____

Contract No. 11233307 Rev. 4-19-11
County- Burke

EXECUTION OF BID

NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION

INDIVIDUAL DOING BUSINESS UNDER A FIRM NAME

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder 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 bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of 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 CONTRACTOR

Name of Contractor _____
Individual name

Trading and doing business as _____
Full name of Firm

_____
Address as Prequalified

_____ _____
Signature of Witness Signature of Contractor, Individually

_____ _____
Print or type Signer's name Print or type Signer's name

AFFIDAVIT MUST BE NOTARIZED

State of _____
County of _____

Subscribed and sworn to before me this the _____ day of _____ 20__.

_____ **NOTARY SEAL**
Signature of Notary Public

My Commission Expires: _____

EXECUTION OF BID

NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION

INDIVIDUAL DOING BUSINESS IN HIS OWN NAME

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder 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 bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of 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 CONTRACTOR

Name of Contractor_____
Print or type Individual name

_____
Address as Prequalified

_____
Signature of Contractor, Individually

_____
Print or type Signer's Name

_____
Signature of Witness

_____
Print or type Signer's name

AFFIDAVIT MUST BE NOTARIZED

_____County

State of _____
Subscribed and sworn to before me this the

NOTARY SEAL

_____ day of _____ 20__. **NOTARY PUBLIC**

_____
Signature of Notary Public

My Commission Expires:_____

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.

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 affidavit 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.