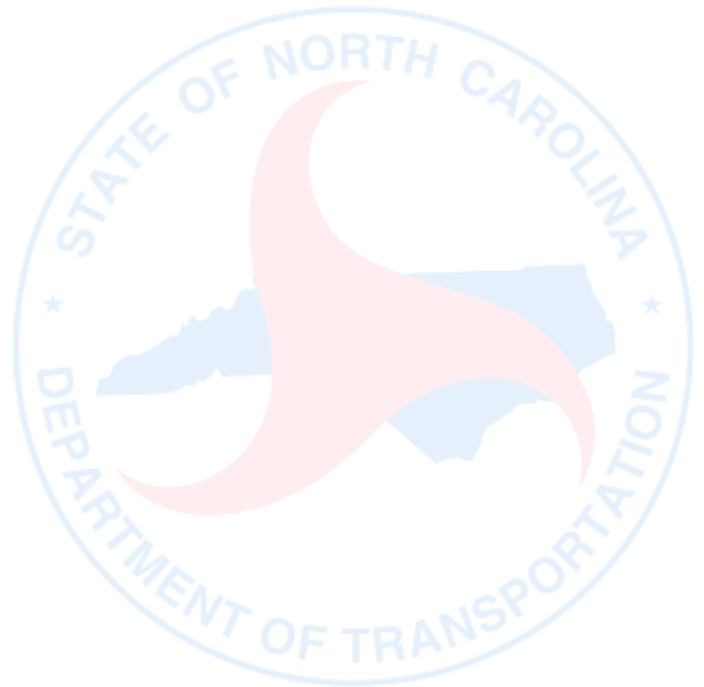


Locally Administered Project (LAP) Close-Out Guide



Guidance for the Municipal Agency and North Carolina
Department of Transportation Division Oversight Personnel



Purpose

This Locally Administered Projects Close-Out Guide has been written to assist the Local Government Agency (LGA) in the administration of federally funded transportation projects, as well as to provide consistency on a statewide basis. It also provides guidance for the NCDOT oversight staff responsible for supporting these projects.

This guide describes the construction management and close-out processes that are necessary in order to receive federal reimbursement for many types of local transportation projects. A timely closeout by the municipality and NCDOT is important because it facilitates sound fund control, providing the Federal Highway Administration (FHWA) assurance the recipient has met Federal requirements for the project and all charges are accurate. Closing the project by the Completion Date is a critical part of the LGA's municipal agreement. Closing the project by the FHWA **END DATE** is a critical part of NCDOT's agreement with FHWA. Not doing so leaves potential for the LGA ineligible for Federal reimbursement. Following the task order and processes in this guide, helps not only works towards a timely closeout but sets project management consistency statewide.

The information has been compiled from numerous sources and is intended to give a broad overview of locally administered projects (LAP). This guide should not be used as a substitute for federal and state laws, statutes and regulations for project administration activities using federal funds. Rather, this document is intended to foster the expeditious and compliant delivery of local projects.

While this guide provides detailed guidance for most parts of the project close out process, it is not a replacement for regular contact with NCDOT oversight staff. Please work closely with the staff of the appropriate NCDOT division office for your project.

REVISIONS

The North Carolina Department of Transportation Locally Administered Project Close-Out Guide will be periodically updated to not only appropriately reflect NCDOT's and FHWA's policies and requirements for agency oversight, but to continue to add guidance and clarification to the LAP on processes beyond was available in the current version. Guide was created and distributed July 2021. First version is considered 1.0-2021

Date of Revision	Revision Made

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Project Close-Out Process

This section of the Locally Administered Project Close-Out Guide sets out the processes and responsibilities of both the LGA and the NCDOT associated with project closeout. It includes gaining acceptance of the project from all participating agencies, determination of an agreement on the final value of the contract, and the completion of all remaining contract requirements. This process ultimately leads to the final payment, release of the contractor from further responsibility for the project, LGA final reimbursement and NCDOT Fiscal Management close out.

The guidance provided is meant to be the minimum standard. Communication between all agency parties is critical when deadlines outline cannot be met.

FINAL INSPECTION

A final project inspection must be made to determine if the project reasonably conforms to the approved plans and specifications. The LGA is responsible for coordinating the inspection. Meeting at the job site, the parties inspect the project for incomplete or unsatisfactory work. Afterward a “punch list” of items that must be addressed before the LGA will accept the project as complete is developed. NCDOT **MUST** be present during the final project inspection. If a “punch list” is created without NCDOT personal present, the “punch list” will not be accepted. Common Punch list items can be found in Appendix 1. The following parties should be involved, where applicable, for the final inspection:

- NCDOT personnel
- Municipality
- CEI Administer
- Contractor
- All other NCDOT groups or authorities who may need to review specific construction. Examples include Traffic Services, M&T, Area Construction, Railroad etc.

It is recommended to invite M&T to the final Inspection. This will notify M&T the project is complete, and they can begin working with the LGA on the material review process.

NOTICES OF COMPLETION

There are 3 notices that must be distributed to initiate project close-out and document project completion. To properly document completion of construction, all 3 notices need to be generated in the order outlined below. The notices **do not** close out the project, account for final material quantities or monies and do not approve any unresolved claims. The notices are to acknowledge the following: contractor has satisfactorily completed construction, NCDOT has been notified, and NCDOT agrees with the completion. NCDOT is then able to guide the LGA through a timely close-out. More importantly, these notices account for the contract time based on the contractual Notice to Proceed and Completion Date terms.

Notice of Acceptance -

Once a final inspection determines that the contractor has completed all physical work, including Punch List work, the LGA notifies the contractor in writing that physical work is complete and in compliance with the contract. A **Notice of Acceptance** letter to the Prime Contractor must state the date which ALL work was completed. This is known as the **Project Acceptance Date**. This letter also requests a draft final payment application. See Appendix 2 for an example.

Request for Concurrence in Construction -

Once the LGA sends the contractor the Notice of Acceptance, the LGA will then send to the Department a **Request for Concurrence in Construction**. The purpose of this is to not only document to the Department the project is officially complete, but to get further NCDOT oversight for the close-out process, ensuring the project is closed out per specification and within the required timeframe. The notice of acceptance letter sent to the contractor **must** be included. See Appendix 3 for an example.

Concurrence in Construction -

In response to the LGA’s request for concurrence in construction, the Department will issue a *Concurrence in Construction* letter to the LGA. The letter will initiate the LGA to begin the Final Estimate processes. See Appendix 4 for an example. The Concurrence in Construction will guide the LGA to the following:

To fully complete the project in accordance with the municipal agreement (and applicable supplement agreements), the following administrative tasks and project documentation must be completed within **six (6) months** as stipulated in the municipal agreement(s). Use the Project Final Estimate Close-Out Checklist as a guide to complete the project close out and the elements below.

- **NCDOT Materials & Test Unit Project Certification** – All final quantities must be confirmed and reconciled with corresponding test reports and/or material certification documentation.
- **Final Estimate** – Final quantities, contract time and intermediate contract times, and all final claims must be compiled, reconciled with the Contractor, and approved by NCDOT. The Final Estimate package must be submitted to NCDOT for checking with a DBE utilization/compliance summary.
- **Final Payment to the Contractor** – Payment should be made in strict accordance with the approved Final Estimate and any approved claims.
- **Final Payment for CEI Services (if applicable)** – Per the terms of the municipal agreement, reimbursement for construction contract administration is limited to no more than fifteen (15%) percent of the actual construction contract.
- **Final Reimbursement Request** – The municipality shall submit a final request for reimbursement, clearly marked as FINAL, in accordance with the project funding outlined in the municipal agreement and applicable supplemental agreements. Upon approval and reimbursement, NCDOT will issue Form 1446-LAP



Task Order & Key Submittals/Requirements

Task/Submittal/File Document	LGA Responsibility	NCDOT Responsibility	Submittal Timing/Recordkeeping
Conduct Final Inspection	Schedule final inspection and invite all applicable parties	Must Participate in final inspection	N/A
Punch List	Develop punch list based on final inspection and schedule for completion	Review and approve in the EBS portal	LGA retains a copy of the punch list and notes made upon completion. Must upload to the EBS portal.
Notice of Acceptance	Send contractor written acknowledgement physical work and punch list work is completion and in compliance with the contract. Letter must state the completion date and request a draft of final pay quantities.	N/A	LGA retains a copy and uploads into the EBS portal.
Request Concurrence in Construction	Send to NCDOT after Notice of Acceptance is sent to the contractor. The LGA will send to the Department a Request for Concurrence in Construction . The acceptance letter sent to the contractor <u>must</u> be included.	N/A	LGA sends to NCDOT and uploads to the EBS portal.
Concurrence in Construction	N/A	Upon receiving the LGA request for concurrence in construction, the DOT rep will review and if in agreeance, send the LGA a Concurrence in Construction notice.	NCDOT will send notice through the EBS portal. LGA retains a copy.
Project Final Estimate Close Out Checklist (Form LAP 01)	LGA receives from department when Concurrence in Construction is received. All items should be filled in, indicating project documents are in order and ready for the final estimate review. Checklist should be included with the final estimate review package.	NCDOT Final Estimate Technicians verifies all information and signs off at the bottom of the checklist. During final closeout, checklist can be used to fill in 1446 – LAP reporting form.	Checklist is retained by both LGA and NCDOT. LGA uploads to the EBS portal.

PROJECT FINAL ESTIMATE CLOSE-OUT CHECKLIST

Project Final Estimate Close-Out Checklist (*form LAP 01*) will be included with the concurrence in construction issued to the LGA from the department. This checklist is for the LGA to use when preparing for final payment to contractor, final reimbursement from NCDOT and project close-out. All applicable boxes must be checked, and a copy must be included to the Department when submitting the final estimate package and when making final reimbursement request. Prior to making the final payment to the contractor, all items on the checklist should be addressed and accounted for. It is recommended not to make the final payment to the contractor until the processes outlined below have been completed and approved. If you are the LGA and did not receive the checklist, please contact your local NCDOT representative. Upon receiving the checklist, you should be able to fill in rows 1 through 16, which includes the checklist heading and critical dates. See a breakdown in Appendix 5.

The guidance provided is meant to be the minimum standard. Communication between all agency parties is critical when deadlines outline cannot be met.

MATERIALS AND TESTS PROJECT CERTIFICATION

Material Certification is the process by which the NCDOT certifies that all materials and workmanship on all projects are in compliance with required specifications. Preparation for the material review should begin when the construction of a project begins. Materials received, invoices, material certifications, testing and sampling should be checked and verified each month prior to approving the contractors monthly pay estimate.

The Quality Systems Section within the Materials and Tests Unit (M&T) is responsible for conducting the material review to ensure that accurate and sufficient documentation is available to verify acceptable testing and inspection of materials, and approved products were utilized to construct the project. It is recommended the material review begin as soon as **all** materials have been incorporated into the project or within ten days after the "Project Acceptance Date". All project records should be **organized and labeled** by the bill of material line-item number. Project documentation not in order, will not be reviewed by M&T personnel and could result in full non-participation. The material review will be conducted a maximum of two times. Any documentation not presented will result in material discrepancy. The following is a limited list of items that will be reviewed:

- Contractors Final Pay Request
- Sampling and Testing in accordance with the Minimum Sampling Guide (MSG)
- Independent Assurance
- QC/QA Programs
- Certified Laboratories and Sampling and Testing Technicians
- Alternate ID's
- Material Receipts/Bill of Lading
- Material Certifications
- "Buy America" Letter
- Inspection Reports

The governing sources of the material review are [2018 North Carolina Department of Transportation Standard Specifications for Roads and Structures](#), [The North Carolina Department of Transportation Construction Manual](#), [QMS Asphalt Manual](#), [Minimum Sampling Guide](#), [Approved Producer/Supplier list](#), [Approved Products list \(APL\)](#), [Qualified Products List \(QPL\)](#) and any special provisions listed in the contract. Contact M&T for any questions. [Material Certification Guide for LGA/LAP](#) can be found of [M&T website](#).

All technicians involved with sampling and testing of materials must hold current appropriate [NCDOT certification](#) for the applicable testing and inspections they are performing. Material documentation is required for each line item representing a material received (temporary and permanent). All materials used for the projects are considered **critical** and must meet the documentation requirements.

Labs performing QA testing on construction materials must be accredited by the [AASHTO Accreditation Program](#) and individual employees performing testing must be certified by NCDOT.

REVIEW PROCESS (SUMMARY)

The Contractors last Pay Request is used to review final materials and quantities received to complete the project. Documentation must be organized, retained and available to review to account for the quantities paid to the contractor. Discrepancies based on quantity paid, quantity approved and quantity unapproved are documented.

Testing, sampling, and acceptance of material is also evaluated. Discrepancies based on improper sampling frequency, results and acceptance are documented.

WHAT ARE DISCREPENCIES?

“Shortages” and “exception” of materials will be documented. Shortages are detailed records connecting to materials which did not receive the required number of sampling and/or testing. Exceptions occur when representative materials are utilized but not in accordance with specifications. Exception materials are typically supplied by unapproved sources and/or meet close conformity.

Exceptions also include materials which required documentation was retained in order to review. The Materials and Tests Unit will identify “Non-Participating” costs due to improper sampling/testing procedures, absence of tests reports, uncertified materials, shortages, or materials not meeting the required specifications. NCDOT will not be able to provide reimbursement or “non- participating” costs.

SUPPORTING DOCUMENTATION

Many materials delivered to the project will be accompanied by a Bill of Lading, Invoice or Packing Slip. This documentation should clearly identify the item as well as the quantity that was delivered.

Contractors will need to furnish a material certification for certain material items that are incorporated into the project. These type of material certifications can be found in Section 106-3 of the Standard Specifications for Roads and Structures. See details in Appendix 6.

Materials should be listed on the NCDOT Approved Products List (APL). A material certification is still required for materials on the APL.

RECORDS OF ACCOUNTABILITY

The LGA is responsible for the accountability and retention of associated project records. This form states the stored location of the project records during the retention period. Upon completion of the Materials and Tests Project Certification, the LGA will be required to complete “Letter of Records Accountability.”

RESOURCE

A Project Materials Certification Guide and checklist for LGA Administrators is available to provide more detailed information to the LGA, their representatives and the contractor. Contact the Materials and Tests Unit to receive a copy and for questions. See details in the Appendix 7.

FINAL ESTIMATE AND FINAL ESTIMATE ASSEMBLY

The LGA and/or their representatives are responsible for the final estimate package assembly and completing the LAP Project Final Estimate Close-Out Checklist (*form LAP 01*) prior to requesting NCDOT to conduct the final estimate review. Documentation for the preparation of the final estimate assembly should begin when the construction of a project begins. A set of plans should be designated for recording construction changes and completion of items of work. Ticket and pay record quantities should be computed and recorded. The ticket and pay records should be checked and verified each month prior to approving the contractors monthly pay estimate. The final estimate should be prepared in accordance with the Final Estimate Transmittal Form (*Form LAP 02*) and is detailed below. The items are not all-inclusive for every local administered project. See additional support in the Appendix 8. It is not required for the LGA to complete the Final Estimate Transmittal Form (*Form LAP 02*). It is provided as a template to use during final estimate assembly.

The guidance provided is meant to be the minimum standard. Communication between all agency parties is critical when deadlines outline cannot be met.

- **Copy of Contract Documents**
- **As – Built Plans**
- **Buy America Statement**
- **Notice to Proceed**
- **Completion Letters** – to include the following
 - Acceptance letter from LGA to Contractor
 - Request for Concurrence from LGA to NCDOT
 - Concurrence in Construction from NCDOT to LGA
- **Deduction/Pay Adjustment documentation**
- **Executed Supplemental Agreements**
- **Approved Claims – Contract Time Extension**
- **Pay Record Book**
- **Ticket Books** – tickets issued for payment by weight
 - Asphalt
 - Asphalt 605 form
 - Asphalt JMF/AMD report
 - All stone material
 - Earthwork material
- **Material Received Reports**
- **Material Documentation Related To**
 - Concrete Mix Designs – concrete mix designs approved for the project
 - Investigations – documentation from investigations due to material acceptance
 - M&T Test Results – Test Results from samples taken not related to asphalt
 - Structural Steel - Information relative to structural steel materials.
- **QC/QA Testing –**
 - Asphalt Documents –Electronic M&T 515QA Test Section and Random Location Generator
 - Asphalt Gauge – Control Strip –Allows electronic entry of core samples and gauge measurements for setting up control strip
 - Asphalt Gauge – Test Section–Allows electronic entry of nuclear gauge records.
 - Asphalt QC/QA – QC/QA density documentation
 - Proof Rolling Daily Report – Electronic Proof Rolling Report inspector can complete
 - ABC – ABC density documentation
 - Embankments – Density documentation for embankments. Also blasting reports and borrow pit information.
 - Subgrade - Density documentation for subgrade
- **Partial Pay Estimates** – includes sales tax reporting form and DBE-IS forms
- **Final Pay Estimate**
- **DBE Final Statement** – It is the responsibility of the LGA to document DBE goal participation.
- **Force Account Records** – all records required for force account – This should include all spreadsheets, invoices, correspondence relative to force account.

The NCDOT should receive the final estimate assembly from the LGA **within 40 calendar days** of the project completion date documented on the Notice of Acceptance. The final estimate technician will review all project records (outlined above) with in **20 calendar days** and provide the LGA with all corrective action to settle any discrepancies found during the final estimate review. When the final estimate is determined to be satisfactory by NCDOT, the technician will inform the LGA by signing off on the LAP Project Final Estimate Close-Out Checklist (*form LAP 01*).

REQUESTING THE CONTRACTOR'S FINAL PAYMENT APPLICATION

Once NCDOT approves the final estimate, the municipality shall notify the contractor of the final quantities. The letter should include a copy of the estimate and applicable summary of changes, contract times/liquidated damages assessed. This should be sent via certified letter so there is verification of receipt.

The contractor needs to review the estimate and determine if there are additional claim issues, quantity discrepancies, time extension concerns, liquidated damages. It is the contractor's responsibility to ensure all subcontractors agree with the final estimate. The contractor must respond with in **30 Calendar Days**, either by submitting [final documentation](#) requested by the LGA or request a Closeout Conference.

CLOSEOUT CONFERENCE

If the contractor is not in agreement with the final estimate, they will request a **Closeout Conference**. The contractor should advise the LGA, in writing, of the issues that need to be discussed. Prior to the meeting, all parties should review documentation regarding the issues raised by the contractor. The conference should be held **within 120 calendar days** of the acceptance/completion date documented on the Notice of Acceptance. If all issues are resolved, the Department representative should complete the closeout conference form. Both the division representative and the contractor should sign and date the form. This signed closeout conference form serves as a final claim letter.

If all outstanding project issues are NOT resolved, the contractor should NOT sign the form and should proceed with filing a final claim in writing to the Division Engineer.

Issues for a Closeout Conference can include but are not limited to:

- Quantity discrepancies
- Time extensions needed to reduce/eliminate liquidated damages.
- Compensation concerns not associated with line-item work.

Parties that should attend the Closeout Conference include:

- Municipality
- CEI firm working on behalf of municipality (if applicable)
- NCDOT
- FHWA
- Contractor
- Subcontractor
- Any other party with vested interest

FINAL DOCUMENTS

When a final estimate agreement has been reached, in order to receive final payment, the contractor must submit the following documentation:

- **A Final Estimate** – the agreed upon calculations of final monies owed to the contractor.
- **Final Claim Letter** –if a closeout conference was held, the executed closeout conference form serves as the final claim letter. If a closeout conference was not necessary, the contractor should submit a “No Claim” letter.
- **Consent of Surety** – if project was not bonded, this is not needed.
- **Contractors’ affidavit** advising that all obligations and debts arising from construction have been satisfied or a list of obligations not satisfied.

The municipality can pay the final estimate to the contractor when all of this documentation is received.



Task Order & Key Submittals/Requirements

Task/Submittal/File Document	LGA Responsibility	NCDOT Responsibility	Submittal Timing/Recordkeeping
Materials and Tests Project Certification	Contact M&T as soon as all material to be incorporated into the project has been completed.	M&T will schedule the material/testing audit. M&T will utilize the LGA material certification pack.	M&T will retain completed material certification pack on the Units SharePoint site. M&T will notify the Division their review has been completed and if non-participating amounts have been applied.
Letter of Accountability	The LGA is responsible for the accountability and retention of associated project records. This form states the stored location of the project records during the retention period. Upon completion of the Materials and Tests Project Certification, the LGA will be required to complete “Letter of Records Accountability”	NCDOT M&T will provide this form to the LGA during the Material audit.	This form is saved by the M&T Unit on their SharePoint site.
Final Estimate Package	Refer to the <i>Final Estimate Transmittal form LAP 02</i> for instruction on what to include in the package. This should be done within 40 calendar days of the project acceptance.	Review of the final estimate and report any discrepancies to the LGA.	Project Close-Out Checklist (<i>form LAP 01</i>) is signed by NCDOT and returned to the LGA.
Final Estimate Transmittal Form (<i>Form LAP 02</i>)	Lists and identifies all items to include in the final estimate package. Use as a guide to ensure everything required is in order. Not required to be forwarded to NCDOT.	N/A	N/A
Closeout Conference Form	Complete the form when all parties agree with final estimate quantities and	Complete the form when all parties agree with final estimate quantities and there are no further claims	LGA submits during final reimbursement from NCDOT. Uploaded to the EBS Portal

LGA FINAL REIMBURSEMENT

The LGA may submit their Final Reimbursement Request, once all eligible costs associated with the project have been incurred. Follow the standard process for reimbursement requests through the EBS portal. Please note on the CLAIM FORM that the request is Final. Attach all documentation per requirements. If costs exceed the total available funding, the LGA will only be able to submit for available amount.

The LGA must submit the Final Reimbursement Request, with all appropriate documentation, by the completion date in the Municipal Agreement. If this date cannot be met, contact your local project manager to discuss whether a supplemental agreement is needed. More help about this process is outlined by accessing the [Local Programs Management website](#). Required documentation includes the following:

- Cover letter (on LGA letterhead) showing.
 - Project TIP # and WBS Elements
 - Total costs paid (separate PE, ROW, and construction costs and exclude any sales tax)
 - List of invoices and firms paid with amounts.
- Actual invoices from consultants (PEF/CEI), pay applications from contractors, etc., referencing the work done for the project.
- Subcontractor Payment Report (DBE-IS)
- Sales Tax Report
- Proof of EFT or ACH

NCDOT - 1446LAP FORM

The Department is responsible for ensuring that all required elements of the project are eligible for the funding sought by the LGA. This critical task is the reporting to Federal Highway Administration that the Department provided oversight to the LGA and verifies final eligibility and participation.

This Final Acceptance reporting form **must be filled out by Division Personnel**. Authorized division personnel may vary across the Department. Contact your Division Engineer if you have questions about authorization. Steps to completing this form are detailed in the next section, NCDOT Closeout Process. A 1446LAP form was created specifically for LAP projects. All previous versions will not be accepted for LAP projects. The 1446LAP must be completed upon final reimbursement from the NCDOT to the LGA. Send the 1446LAP via email to the M&T Quality Systems Engineer and other involved M&T representatives. FHWA Transportation Specialist Tammy Richards **must** be copied to this email. The 1446LAP should not be send to fiscal at this time. The Material Certification and 1446LAP are sent to fiscal as a package by the M&T Unit. Sending it otherwise to fiscal causes confusion.

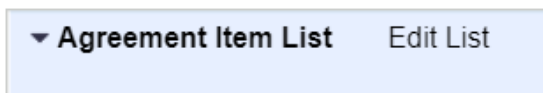
Reference the Final Estimate Close-Out checklist, completed by the LGA, for assistance with 4 critical dates that are to be documented on the 1446LAP.

NCDOT – CLOSEOUT PROCESS

The following steps are for Department’s use only. They are included in this guide for reference by staff and for others to understand the time frames involved.

NCDOT division reviews, approves, and processes the final reimbursement to the LGA, then notifies Fiscal and LPMO. At this point, division begins WBS Closing procedures.

1. Once Final Reimbursement Request is processed and approved, Division should close PO in EBS (or close PO in SAP), by zeroing out commitments.
 - On Agreement page, find Agreement Item List; click on Edit List:



- Changed Authorized Amount to Match Authorized Claim Amount, so there is a “0” open balance:

Filter:		
Authorized Amount	Authorized Claim Amt	Open Balance
0.00	0.00 USD	0.00 USD
54,485.00	54,485.00 USD	0.00 USD
606,049.00	371,896.72 USD	234,152.28 USD

- Save Agreement

NOTE: Please check for other commitments on the WBS Elements, for example, PO’s with engineering firms to provide CEI services or other resources on the local project.

2. Complete the 1446LAP (FHWA Final Acceptance Report). Refer to the Project Final Estimate Close-Out Checklist (*form LAP 01*) for applicable dates when filling out the 1446LAP. Forward to the State Materials and Tests Engineer, cc involved M&T personal and FHWA. M&T will review and sign 1446LAP. M&T will send the final Material Certification letter and 1446LAP to Fiscal, Division staff and FHWA.
3. Once 1446LAP is sent to the State Materials and Tests Engineer, send an e-mail to the PMU group at FundingHelp@ncdot.gov to put WBS’s in soft close. This will prevent staff charges or reimbursements to be processed; however, system charges will still accumulate. On same e-mail, include STIP Contact and notify them of Final Project Acceptance.
4. Prepare LGA Billing Worksheet - see template and instructions on [Local Programs Inside NCDOT](#) page.
5. Send Billing Worksheet and copy(ies) of Municipal Agreements to Kay Lee (klee@ncdot.gov) and Wendy Forster (wforster@ncdot.gov). Kay will send an invoice to the Municipality for payment and Wendy will close the Project in FMIS.

NCDOT- FISCAL MANAGEMENT & FINAL VOUCHER PROCESS

The Federal project is not closed out until FHWA closes it in their Project tracking system (FMIS). After all LGA reimbursement request has been processed and all paperwork accepted, the department will complete processes in SAP in order to shut down funding, send the Final Voucher to FHWA, and issue to the LGA a notice of the Final Voucher date.

The final billing to the FHWA is the Final Voucher. After closing all of the project's financial phase accounts, the Federal Fiscal Management Unit will initiate reimbursement from FHWA by preparing the Final Voucher. FHWA will reimburse the Department. The date of this payment is the final voucher payment date and will begin the period for retention of project records. Department personal must check the status of the final voucher in SAP using transaction code ZF22. Once issued the Department must issue the LGA a records retention letter. Records must be maintained for 3 years of the Final Voucher Date.

RETENTION REQUIREMENTS FOR RECORDS

Retention requirements are for records such as financial records, supporting documents, and any pertinent documents associated with the Federal award. These records must be retained for three years after the project is final vouchered by FHWA. The LGA will receive a notification from the Department stating the date records retention begins. The date **is not** associated with any processes completed by the LGA. In fact, the date can be up to 12 months after the LGA has already been reimbursed by the department.



Task Order & Key Submittals/Requirements

Task/Submittal/File Document	LGA Responsibility	NCDOT Responsibility	Submittal Timing/Recordkeeping
Final Reimbursement	Must be submitted by LGA by completion date in Municipal Agreement	Review and process with accepted time frames	Submit reimbursement claim in EBS portal
1446-LAP – Final Acceptance Reporting	Must be processed by	Division Engineer and State Materials Engineer of the M&T Unit.	Submit the 1446-LAP along with the Material Certification letter to the FHWA Division Administrator and Fiscal. M&T retains a copy of the final material certification letter and 1446-LAP on the Units SharePoint site.
Final Voucher	It could take up to 12 months (plus) for FHWA to process the departments final voucher. Check with Department oversight staff if it has been over 12 months and you have not received the notice of the voucher date.	Final Voucher is the request from the Department to FHWA for project reimbursement and to close the project.	NCDOT sends the LGA the Final Voucher date/records retention letter and upload in the EBS portal.
Records Retention	All documentation associated with the project must be retained for 3 years. The 3-year Records retention period begins when FHWA issues the Final Voucher payment to the Department.	All documentation associated with the project must be retained for 3 years. The 3-year Records retention period begins when FHWA issues the Final Voucher payment to the Department. Letter is issued by the Department stating the records retention period.	Upload final voucher notice into the EBS portal.

Appendix and Forms

Common Punchlist Items

Asphalt Pavement

- Good ride quality
- Longitudinal joints in correct location (not under wheel path)
- Transverse and longitudinal joint are smooth
- No fuel spills on asphalt and shoulders
- No segregation
- Correct cross slope
- No standing water or water stains
- Valves and manholes adjusted to proper height
- Driveways (tie-in, widths)

Concrete Pavement

- All spalls/cracks repaired
- Joint sealed
- Joint in proper location
- Ride quality acceptable
- Tining performed to specifications requirements
- Correct cross slope
- Acceptable appearance
- Drains adequately

Pavement Marking

- Stop bars/cross walks/ arrows/ symbols per plan or specification
- Thermoplastic/paint workmanship (straight, weeps in thermoplastic, right color, width, excess marking removed, not placed over mud or dirt, proper thickness)
- Retroreflectivity of thermoplastic/paint
- Roadway delineators (flexible and roadway)

Signs

- Installed per plan
- Correct orientation
- Cleaned
- Metals Engineer list completed
- Overhead lighting inspection by Division
- Overhead sign anchor bolts/nuts secured

Grading

- No standing water in ditches, yard, etc.
- Slopes graded to correct cross slope (to include median ditches)
- Project properly vegetated or seeded (no weak or bare areas)
- All washes repaired and seeded
- No more than one inch drop-off at edge of pavement (EP)
- Mowing and topdressing has been performed
- Erosion control measures removed unless otherwise directed

Guardrail/Guiderail/Barrier

- Proper installation per [Standard Drawings](#) and manufacture installation procedures
- Cross slope per standard drawing
- Clear roadside recovery zone
- No tack on rail end units or barrier
- Workmanship (correct height, bolts on correct side and tight, tension on wire, delineators, good finish on barrier, clean)

Common Punchlist Items

Drainage

- Drainage structures cleaned out
- Pipes are flush with inside wall of box/inverts poured
- Pipes sealed properly
- Frames and boxes grouted where weep was left during grading
- Correct type of grate
- Grate does not rock
- Steps installed
- Pipes clean
- Not missing expansion joint material between box and apron, expansion joint sealed
- Aprons are not damaged
- Pipe near subgrade level inspected for crush or cracked sections

Miscellaneous Concrete

- Sidewalk (good finish, joint spacing, no cracks, writing, or footprints)
- Curb and gutter (good finish, joint spacing, no standing water, cracks replaced or sawed and sealed, joints sealed)
- Handicap ramps in correct location , installed correctly

Fence

- No damaged areas
- Tree/ debris removed

Signals

- Inspected by Division Traffic Services
- No stone in bottom of pullboxes
- Signal head clearance
- Improper welding or grounding

Overhead Lighting

- Inspected by Division Traffic Services
- Burn period performed

Borrow/Waste

- Pits reviewed with property owners
- Plan matches actual final condition of pit
- All erosion control measures removed unless otherwise directed
- Pit has been seeded with stand of grass established
- Graded to drain
- All washes repaired and seeded

General

- Rocks and asphalt/concrete chunks removed
- All stockpile areas cleaned and seeded and mulched
- Trash picked up
- Mail boxes adjusted/relocated

Common Punchlist Items

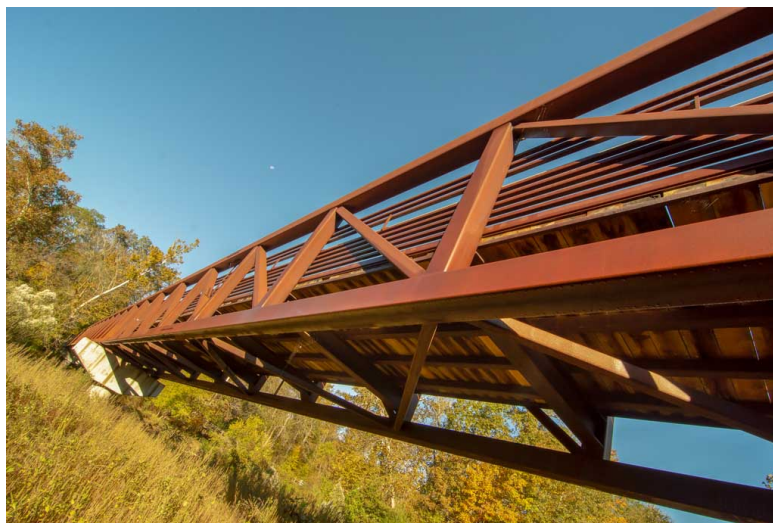
Structures

- Asphalt not placed in bridge wing walls
- Evazote Joint Repairs – Inspect joints for spalling, excess glue on evazote seal, splitting of seal at splice, properly installed evazote that is firmly bonded to joint opening, damage to coating on armored angles, weep holes in angle should not have voids, sound the metal angles for voids
- Water test expansion joint seals as required in the project special provisions
- Sound **50%** of stay in place metal decking – additional sound if problems are found
- Clean concrete slurry from deck and barrier rail after grooving deck
- Clean tack, oil, dirt, and debris from deck
- Inspect Bearing position in relation to anchor bolts to ensure sufficient space for future movement. Make adjustments as needed.
- Remove concrete slurry from girders
- Repair damaged paint on girders and diaphragms with same paint used by the fabricator
- Painting welds on sole plates
- Painting ends of tie rods (concrete girders) with NCDOT approved bush on zinc rich paint
- Recess and seal expansion joint material between slope protection / end bents / wings
- Recess and properly patch exposed form ties
- Clean aluminum handrail and tighten all bolted connections
- Check bolted endblock connection on aluminum handrail to ensure a bolt that can be removed and reinstalled

Structures (cont.)

- Check guardrail anchor system – patch spalling from drilling operation, tighten nuts, make sure proper number of posts (even field drilling the rail to install end post near at backwall)
- Install barrier delineators
- Clean tops of caps and epoxy caps as required by plans – check and repair damaged epoxy as needed
- Properly install pvc pipe, nuts, washers, and burr threads on anchor bolts
- Remove all forming materials from end bent joints
- Remove from fins from bottom of interior bent caps, bottom of overhangs, and other chamfered edges
- Patch overhang jack holes
- Point and patch substructure as needed (deep air bubbles larger than a dime). Make sure final surface finish is uniform – avoid spotty looking patchwork
- Review end bent caps and around perimeter of slope protection for scour holes – fill with flowable fill as needed
- Trim top of permanent casing on drill shaft to elevation of concrete and remove column forming support aids
- Paint deck drain pipes and /or extend them on steel girder bridges
- Recess and seal expansion joint material between cored slabs and end blocks and interior bents
- Install expansion joint material or backer rod in barrier at rail at interior bents and seal

New Structures



Any structure that is over a state maintained roadway or incorporated into a greenway trail system will require additional documentation and inspection

The following documentation should be sent to Structures Management for these projects:

- Advanced Notice of Structure Completion
- Deck and Rail Acceptance
- Vertical Clearance Change – if over a state roadway
- Plans and as-builts should be sent to Structures Management
- Reference Section 1072 - Structural Steel

Place on official Municipal letterhead

Notice of Acceptance

Date

Contractor

Contact

Address

TIP# -

WBS# -

Federal Aid# -

County –

Project Description –

SUBJECT: Notice of Acceptance

Dear [*contractor*],

A final inspection for the above referenced project was held on [*Date of inspection with NCDOT*]. All work and punch list items has been completed for the entire project. The [*Town of/City of*] hereby accepts the [*project name*] project completed as of [*last date of work*].

The warranty period for all work will commence 1 – year from the completion date [*last date of work*].

The Final Estimate package is being prepared for the NCDOT to review. At your earliest convenience, please provide a draft of your final payment application, which must be included in our Final Estimate package. Once NCDOT's review is complete, the [*Town of/City of*] will advise of any applicable discrepancies needing resolution. You will be given time to review and determine if there are additional claim issues, quantity discrepancies, time extension concerns, liquidated damages. If you do not agree with discrepancies that may be presented, you can request a Closeout Conference.

Sincerely,

Place on official Municipal letterhead

Request for Concurrence in Construction

Date

North Carolina Department of Transportation

Division Contact Name

Address

TIP# -

WBS# -

Federal Aid# -

County –

Project Description –

SUBJECT: Request for Concurrence in Construction

Dear,

A final inspection for the above referenced project was held on *[date of inspection with NCDOT]*. All work and punch list items has been completed for the entire project. The *[Town of/City of]* hereby accepts the *[project name]* project completed as of *[last date of work]*.

The *[Town of/City of]* requests Project Acceptance Concurrence from the North Carolina Department of Transportation. A copy of the acceptance letter is included for your review.

Sincerely,



STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

ROY COOPER
GOVERNOR

J. ERIC BOYETTE
SECRETARY

WBS:
TIP NO.:
COUNTY:
DESCRIPTION:

Mr. Municipal Director
Engineering Director
Town of Example
123 N. West Street
City, NC 27526

Subject: Concurrence in Construction

Dear Mr. Engineer:

This is to advise that the Department concurs that work on the *project name/location*, also known as TIP Project A-1234, was satisfactorily completed as of *completion date stated in LGA request for concurrence*.

To fully complete the project in accordance with the municipal agreement (and applicable supplement agreements), the following administrative tasks and project documentation must be completed within six (6) months as stipulated in the agreement(s):

- **NCDOT Materials & Test Unit Project Certification** – All final quantities must be confirmed and reconciled with corresponding test reports and/or material certification documentation.
- **Final Estimate** – Final quantities, contract time and intermediate contract times, and all final claims must be compiled, reconciled with the Contractor, and approved by NCDOT. The Final Estimate package must be submitted to NCDOT for checking with a DBE utilization/compliance summary.
- **Final Payment to the Contractor** – Payment should be made in strict accordance with the approved Final Estimate and any approved claims.
- **Final Payment for CEI Services (if applicable)** – Per the terms of the municipal agreement, reimbursement for construction contract administration is limited to no more than fifteen (15%) percent of the actual construction contract.
- **Final Reimbursement Request** – The municipality shall submit a final request for reimbursement, clearly marked as FINAL, in accordance with the project funding outlined in the municipal agreement and applicable supplemental agreements. Upon approval and reimbursement, NCDOT will issue Form 1446LAP.

Please find attached a Project Closeout Checklist for use in completing the project. Department staff are available to meet and discuss the project closeout process and the elements noted above. Please contact xxxxxx to schedule a closeout meeting.

Sincerely,

Division Engineer

Attachment – Project Closeout Checklist

ec: State Construction Engineer
Tammy Richards, FHWA
Local Programs Management Office,
Final Estimate Technician
Division Project Delivery Engineer
Todd W. Whittington, PE, State Materials Engineer
Sam Frederick, Quality Systems Engineer

Checklist - Heading

TIP / Proj #:	WBS #:	Federal Aid #:
Municipality:	Project Description:	
Contractor:	CEI Representative:	Division:
NTP:	Date Work Started:	
Contract Completion Date:	Actual Completion Date:	
ALL INVOICES ASSOCIATED WITH THE PROJECT MUST BE SUBMITTED WITHIN SIX (6) MONTHS OF THE COMPLETION OF CONSTRUCTION AND ACCEPTANCE OF THE PROJECT TO BE ELIGIBLE FOR REIMBURSEMENT BY THE DEPARTMENT. ANY INVOICES SUBMITTED AFTER THIS TIME WILL NOT BE ELIGIBLE FOR REIMBURSEMENT.		
Date (MM/DD/YYYY) Punchlist Complete? Date Punchlist		

TIP Project – TIP Project Number associated with contract

WBS # - WBS number associated with contract

Federal Aid # - Federal Aid # associated with contract

Municipality – Municipality that executed agreement

Project Description – project description as shown on contract

Contractor- Prime Contractor on project

CEI Representative – CEI Firm hired to perform contract admin/inspection

Division – NCDOT Division

NTP – Notice to Proceed Date

Date Work Started – Date work began on project.

Contract Completion Date – Date specified in contract for completion. If an authorized time extension has been granted, note revised date

Actual Completion Date – This is the date the physical and punch list work was completed

Checklist – Critical Dates

	Date (MM/DD/YYYY)	Punchlist Complete?	Date Punchlist
Final Inspection with NCDOT Present			
Project Final Estimate Meeting with NCDOT			
	Date Written	Date Submitted to NCDOT	Date Received from NCDOT
Copy of NTP/Project Start letter			
Project Acceptance Letter from Municipality to Contractor			
Request for Concurrence in Construction from Municipality to NCDOT (including date of Acceptance)			
Concurrence in Construction Letter from NCDOT (sent by NCDOT Division Representative)			

Final Inspection – Date final inspection was held with NCDOT representation present.

Punchlist Complete – Date all items identified during final inspection have been corrected

Date Punchlist – Date punchlist was provided to the prime contractor. Punchlist is a list of corrective actions that are needed on project

Project Final Estimate Meeting with NCDOT – Set date with NCDOT to review the final estimate. This will include checked pay record books, tickets, MRR, etc.

Checklist – Critical Dates

	Date (MM/DD/YYYY)	Punchlist Complete?	Date Punchlist
Final Inspection with NCDOT Present			
Project Final Estimate Meeting with NCDOT			
	Date Written	Date Submitted to NCDOT	Date Received from NCDOT
Copy of NTP/Project Start letter			
Project Acceptance Letter from Municipality to Contractor			
Request for Concurrence in Construction from Municipality to NCDOT (including date of Acceptance)			
Concurrence in Construction Letter from NCDOT (sent by NCDOT Division Representative)			

Copy of NTP/Project Start Letter – Date for notice to proceed/authorization by municipality for contractor to begin work. Include copy of letter

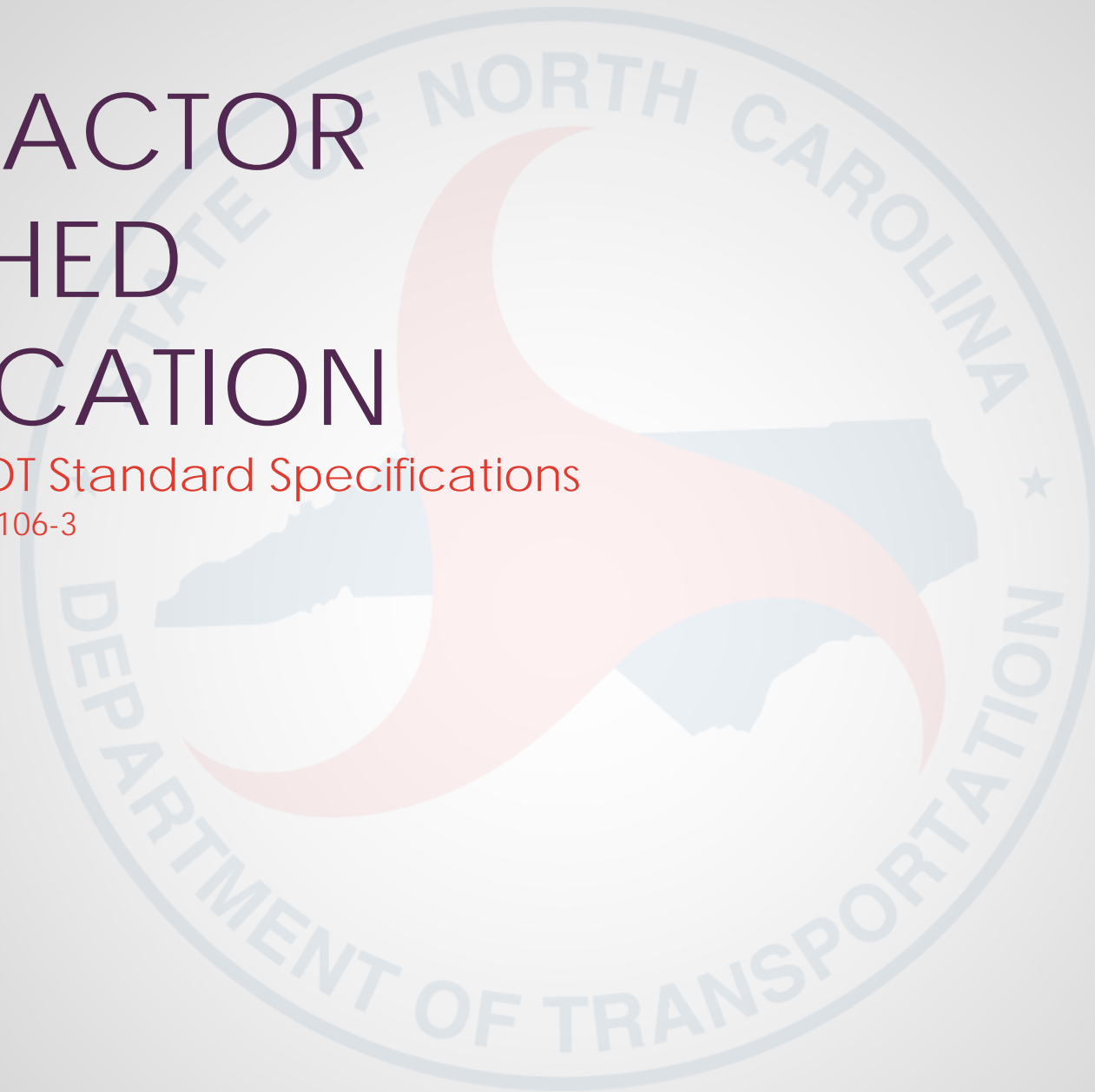
Project Acceptance Letter from Municipality to Contractor – copy of letter from municipality for final acceptance of the project. All work has been completed by the specifications and contract

Request for concurrence in construction from municipality to NCDOT (including acceptance date) – Municipality needs to send letter to NCDOT documenting final acceptance date.

Concurrence in Construction Letter from NCDOT – NCDOT needs to acknowledge agreement with final acceptance date

CONTRACTOR FURNISHED CERTIFICATION

NCDOT Standard Specifications
Section 106-3



The Contractor shall furnish the North Carolina Department of Transportation material certifications obtained from the producer, supplier, or an approved independent testing laboratory for the following types of materials, unless otherwise directed by the Engineer.

- Materials required to meet criteria documented by tests that are normally performed during the production process.
- Materials that are required to meet specifications other than those published by AASHTO, ASTM, or the Division of Highways.
- Materials produced at locations that are not within routine travel distance for Department representatives.
- Materials required to meet criteria documented by tests involving special equipment not readily available to Department representatives.
- Any other special material when so directed by the Engineer.
- And.....

- Material certifications of one of the following types shall be furnished for pre-tested materials. The specific type of material certification for each material shall be in accordance with the schedule maintained by the Materials and Tests Unit.
 - Type 1 – Certified Mill Test Report
 - Type 2 – Typical Certified Mill Test Report
 - Type 3 – Manufacturer’s Certification
 - Type 4 – Certified Test Report
 - Type 5 – Typical Certified Test Report
 - Type 6 – Supplier’s Certification
 - Type 7 – Contractors’ Certification

How do I know the Contractor gave me the correct certification type?



Material Certification is a process that provides reasonable assurance that all aspects of its acceptance have been satisfactorily completed and the materials incorporated are in close conformance to the Departments specifications. A statement identifying conformance is issued as a *material certification*.

Each Certification Type has specific wording or statements making it unique, and distinguished from each other.

If you receive a certification that does **Not Contain** the **required wording or statement**, you more than likely have The **wrong certification**.

Type 1 – Certified Mill Test Report

A certified mill test report shall be a **certified** report of **tests** conducted by the **manufacturer** on samples taken from the **same heat** or **lot** number as the material **actually shipped** to the project. The report shall identify the heat or lot number.

- Examples - Reinforcing steel (plain & epoxy), engineering fabric, fertilizer.

Type 2 – Typical Certified Mill Test Report

A typical certified mill test report shall be a **certified** report of **tests** conducted by the **manufacturer** on **samples taken** from a **lot** which is typical of the material **actually shipped** to the project, but which may or may not be from the lot shipped.

- Examples - Reinforcing steel (plain & epoxy), engineering fabric, fertilizer

Type 3 – Manufacturer's Certification

A manufacturer's certification shall be a **certified statement** that the material **actually shipped** to the project was manufactured by **production processes** that are **periodically and routinely** inspected to assure conformance to specification requirements.

Examples: paint markings, junction box, fiber optic cable, inductive loop

Type 4 – Certified Test Reports

A certified test report shall be a **certified** report of **tests** conducted by an **approved independent testing laboratory** on samples taken from the **same heat** or **lot number** as the material **actually shipped to the project**. The report shall identify the heat or lot number.

Examples - thermoplastics, timber piles, pavement markings, glass beads

Note: This certification type is similar to a Type 1, except the tests conducted are by an approved independent testing lab, not the manufacture

Type 5 – Typical Certified Test Reports

A certified test report shall be a **certified** report of **tests** conducted by an **approved independent testing laboratory** on samples taken from a **lot** which is **typical** of the material actually shipped to the project, but that **may** or **may not** be from the lot shipped.

Example - emulsified asphalt, lighting and electrical material

Note: This certification type is similar to a Type 2, except the tests conducted are by an approved independent testing lab, not the manufacture.

Type 6 – Supplier's Certification

A supplier's certification is a **signed statement** by the **supplier** that the material described in the certification is of the **specification grade** required and that the supplier has on hand **Type 1** or **Type 2** material certifications to cover the material that is included in the **Type 6** supplier's certification.

Example - cement, planting & landscape materials

Type 7 – Contractor's Certification

Contractor's certification is a **signed** statement by a **contractor** that the **used material** described in the certification meets the **current specifications** to the best of the **contractor's knowledge** and that the contractor had in his possession at the time of purchase a Type 1 or Type 2 material certification to cover the material that is included in the Type 7 Contractor's Certification.

Example - traffic control barricades & barriers

Miscellaneous Certifications

North Carolina Department of Agriculture
(NCDA) Certificate Of Inspection

Domestic Steel Certification

M&T Form 913

M&T Form ER02

Timber & Wood Products
A.W. Williams Inspection Company

Section 1060 – Landscape Materials

Section 106-1 B

Section 1070 – Reinforcing Steel

Epoxy Coated Re-Bar shipping report

Section 1082

A material certification is **NOT** a submittal, specification sheet, technical data sheet or a brochure. An **acceptable material** certification must have a **current date** as well as an **official signature**.

Typically, a certification dated within 2 years of the contract let date is acceptable to account for stockpile materials and project delays.

Materials and Tests

	Date reviewed by	Materials Certification		
Materials and Test Review (NCDOT)				
	Totaled (Y/N)	Comp'd (Y/N)	Checked (Y/N)	Received from Testing
As-built drawings				
Pay Record Books for Final estimate				
Ticket Books				
Materials Receipts				
Concrete Reports (903, 250)				
Asphalt Reports (605)				
Test Results Received for:				
<i>Density Test Results</i>				
Asphalt (Core or Nuclear? Circle Appropriate)				
Concrete				
ABC (For Pavement, not Class IV)				
Roadway Subgrade				
Roadway Embankment				
<i>Samples</i>				
Roadway Embankment				
Roadway Subgrade				
Roadway ABC				

Materials and Tests Unit must certify that all materials incorporated into the project meet the requirements of the contract. This includes but not limited:

- Asphalt - Did the contractor achieve density? How was density tested? Was mix an approved mix? Tickets must verify JMF and all other required information. M&T 605 shall be completed for each day asphalt was placed on project.
- Concrete - Was concrete tested to ensure compliance with specs; air, slump and temps within required parameters? Cylinders meet required strength for Class? M&T form 903 and 250 for each load and documented as required. Does cylinder strength meet class of concrete placed at the 28 day break

Materials and Tests

Materials and Test Review (NCDOT)	Date reviewed by	Materials Certification		
	Totaled (Y/N)	Comp'd (Y/N)	Checked (Y/N)	Received from Testing
As-built drawings				
Pay Record Books for Final estimate				
Ticket Books				
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Concrete Reports (903, 250)				
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Test Results Received for:				
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Asphalt (Core or Nuclear? Circle Appropriate)				
Concrete				
ABC (For Pavement, not Class IV)				
Roadway Subgrade				
Roadway Embankment				
<i>Samples</i>				
Roadway Embankment				
Roadway Subgrade				
Roadway ABC				

Materials and Tests Unit must certify that all materials incorporated into the project meet the requirements of the contract. This includes but not limited:

- ABC – were samples taken? Small quantities may be taken. Check with M&T prior to project starting to find out if these are needed. Density achieved on ABC?
- Embankment / Subgrade densities – densities must be taken in accordance with M&T guidelines. Did they achieve acceptable results? “Long Test” should be run at least once for every 15 conventional densities taken.
- Borrow Source – Were samples taken? Does source meet specifications?

Materials and Tests

Materials and Test Review (NCDOT)	Date reviewed by	Materials Certification		
	Totaled (Y/N)	Comp'd (Y/N)	Checked (Y/N)	Received from Testing
As-built drawings				
Pay Record Books for Final estimate				
Ticket Books				
Materials Receipts				
Concrete Reports (903, 250)				
Asphalt Reports (605)				
Test Results Received for:				
<i>Density Test Results</i>				
Asphalt (Core or Nuclear? Circle Appropriate)				
Concrete				
ABC (For Pavement, not Class IV)				
Roadway Subgrade				
Roadway Embankment				
<i>Samples</i>				
Roadway Embankment				
Roadway Subgrade				
Roadway ABC				

Materials and Tests Unit must certify that all materials incorporated into the project meet the requirements of the contract. This includes but not limited:

- Any other materials incorporated into the project shall have a certification. The material received report should be used to track materials that are incorporated into the project. For each material, the inspector should get a copy of the invoice and the certification necessary for the material. See Section 106-3 for certification types.

All certifications and materials testing should be included with the project records for Division to review.

Materials and Tests

- Please contact the Materials and Tests Unit preceding the completion of any project. The M&T staff will schedule a pre-audit time to review the material certification process prior to a final material certification audit. This may prevent the local agency from discrepancies and not collecting all FHWA funds.
- Common issues that are not monitored during construction, but are discrepancies in a final material certification audit include:
 - Technicians shall have **ALL** required active certifications prior to any/all sampling and testing.
 - All suppliers/producers are **REQUIRED** be on the “Approved List”.
 - Materials that are received on the project require “Certification Types” – specification/data brochures are **NOT** acceptable as certification documentation.
 - Prior to a final material certification audit, the agency is responsible for; collection, organization, quantity verification, receipt submittal, MRR’s, BOL’s, Buy America documentation, pre-approval documentation (i.e. approved mix designs), testing results, and a complete “List of Materials” to be in an organized and collective condition for the auditor to review. If documentation is not orderly or available, an audit will **NOT** be conducted.
 - If documentation is missing or incomplete, this is listed as a discrepancy and FHWA funds are with-held.

Contract Administration Info

	Fully Executed (Reviewed and signed	Reviewed and verified against the FHWA 1273	Completed & Signed by CE/RE	Completed/Signed/ Notarized by
Pay Applications				
DBE-IS Form (Can be included in pay app)				
Certified Payrolls				
Sales Tax Reports				
SAFs (to include prime and subcontract agreement, FHWA 1273)				
Daily Reports				
Weekly Summaries				
Wage Rate Interviews				
DBE-IS Contract Goal & Commitment Payment Summary Form				
			Total Additional	

Pay Applications – copies of each pay application with approval by contract administrator. DBE-IS form must be included with each pay application showing payments made to DBE firms. DBE-IS information should be confirmed by contract administrator to ensure all DBEs performing work on project have been paid correctly.

Certified Payrolls – certified payrolls must be provided for each contractor who performs work on the project for each work they work. These should be verified by contract administrator to ensure information provided appears accurate (hours worked on project and wages paid meet minimum federal rates included in contract for the classification)

Sales Tax Report – Sales Tax Report submitted by contractor for each estimate.

Certified Payroll

U.S. Department of Labor
Wage and Hour Division

PAYROLL

(For Contractor's Optional Use; See Instructions at www.dol.gov/whd/forms/wh347instr.htm)



Rev. Dec. 2008

Persons are not required to respond to the collection of information unless it displays a currently valid OMB control number.

NAME OF CONTRACTOR <input checked="" type="checkbox"/> OR SUBCONTRACTOR <input type="checkbox"/>		ADDRESS																	
PAYROLL NO.		FOR WEEK ENDING					PROJECT AND LOCATION					PROJECT OR CONTRACT NO.							
(1) NAME AND INDIVIDUAL IDENTIFYING NUMBER (e.g., LAST FOUR DIGITS OF SOCIAL SECURITY NUMBER) OF WORKER	(2) NO. OF HOURS WORKING EMPLOYMENT	(3) WORK CLASSIFICATION	(4) DAY AND DATE							(5) HOURS WORKED EACH DAY	(6) RATE OF PAY	(7) GROSS AMOUNT EARNED	(8) DEDUCTIONS					(9) NET WAGES PAID FOR WEEK	
			S	M	T	W	T	F	S				FICA	WITH-HOLDING TAX	MEDI-CARE	STATE WITH-HOLDING	OTHER		TOTAL DEDUCTIONS
			21	22	23	24	25	26	27										
		Operator - Bulldozer						3	8	11.00	27.01	981.41							
										38.00	18.01								
		Laborer - Common or General								27.01	36.02								
				0.5	1.5					2.00	18.01	1,017.42	62.75	109.18	14.68	44.00	5.30	235.91	781.51
		Truck Driver - Water Truck							6.5	6.50	21.75	569.13							
				10		5	3	10	1.5	29.50	14.50								
		Operator - Roller								21.75	87.00								
							6			6.00	14.50								
		Laborer - Common or General								21.75	65.25								
						3	1.5		4.50	14.50	721.38		42.80	41.28	10.01	19.00	153.11	266.20	455.18
		Carpenter/Foreman						8	11	19.00	32.13	1,467.27							
				11	4	11	11	3		40.00	21.42	1,467.27	90.64	193.06	21.20	64.00	73.84	442.74	1,024.53
		Concrete Finisher								28.04	710.22								
				9	2	8.5	9.5	9		38.00	18.69	710.22	43.74	43.15	10.23		62.69	159.81	550.41
		Oilier							4	4.00	28.50	874.00							
				9		9	9	9	4	40.00	19.00	1,026.00	63.61	112.23	14.88	42.00	399.00	631.72	394.28

While completion of Form WH-347 is optional, it is mandatory for covered contractors and subcontractors performing work on Federally financed or assisted construction contracts to respond to the information collection contained in 29 C.F.R. §§ 3.3, 5.5(a). The Copeland Act (40 U.S.C. § 3145) requires contractors and subcontractors performing work on Federally financed or assisted construction contracts to "furnish weekly a statement with respect to the wages paid each employee during the preceding week." U.S. Department of Labor (DOL) Regulations 29 CFR § 5.5(a)(3)(i) require contractors to submit weekly a copy of all payrolls to the Federal agency contracting for or financing the construction project, accompanied by a signed "Statement of Compliance" indicating that the payrolls are correct and complete and that each laborer or mechanic has been paid not less than the proper Davis-Bacon prevailing wage rate for the work performed. DOL and federal contracting agencies receiving this information review the information to determine that employees have received legally required wages and fringe benefits.

Public Burden Statement

We estimate that it will take an average of 55 minutes to complete this collection, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding these estimates or any other aspect of this collection, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room S3502, 200 Constitution Avenue, N.W. Washington, D.C. 20216

(over)

Contract Administration Info

	Fully Executed (Reviewed and signed	Reviewed and verified against the FHWA 1273	Completed & Signed by CE/RE	Completed/Signed/ Notarized by
Pay Applications				
DBE-IS Form (Can be included in pay app)				
Certified Payrolls				
Sales Tax Reports				
SAFs (to include prime and subcontract agreement, FHWA 1273)				
Daily Reports				
Weekly Summaries				
Wage Rate Interviews				
DBE-IS Contract Goal & Commitment Payment Summary Form				
			Total Additional	


SAFs– Subcontractor Approval Forms for each subcontractor to performs work on the project. Ensure SAFs correctly reflect DBE commitments made. Prime must perform minimum of 40% of work on project. Request minimum of 2 actual subcontract agreements to ensure that FHWA 1273 and Title VI Non Discrimination language has been included in subcontract

Daily Reports – daily diaries completed for the entire contract time (date of availability thru acceptance date). Each diary should include details of what happened on project each day and conversations that are critical to the project.

Weekly Summaries – Project Engineer should provide a summary of project events, critical decisions/conversations that occur for each week the project is active.

Subcontract Approval Form

Form SAF Rev. 2A Rev. 04-2019


SUBCONTRACT APPROVAL FORM

Contract No.: _____ F.A. No.: _____ Subcontract Request Number: _____
 WBS Element: _____ T.I.P. No.: _____ County: _____

APPROVAL IS REQUESTED TO SUBLET THE FOLLOWING ITEMS OF WORK ON THIS PROJECT TO:

Subcontractor Name and Address _____
 2nd Tier-1 Subcontractor Name and Address _____

Retainage Certification _____ Reporting No. _____
 Retainage Certification _____ Reporting No. _____

Line Code Number	Item Description	Portion (●)	Partial (♦)	Sub or 2nd Tier	Quantity	UOM	CP *	DBE/MBE/WBE Unit Price	DBE/MBE/WBE Sublet Amount	Subcontract Unit Price	Total Subcontract Amount

Indicates a Portion of Work (●) Indicates a Partial Item (♦) DBE/MBE/WBE Amount Subcontract Amt.

SUBCONTRACT CERTIFICATION (applies only to Federal projects)
 The Contractor / Subcontractor certifies that the subcontract is in writing and that FHWA 1273, "Required Contract Provisions," and Title VI and Nondiscrimination Assurances have been included in the subcontract / 2nd tier subcontract in its entirety.

SUBCONTRACT CERTIFICATION (applies only to State projects)
 The Contractor / Subcontractor certifies that the subcontract is in writing and Title VI and Nondiscrimination Assurances have been included in the subcontract/2nd tier subcontract in its entirety.

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

Contract Administration Info

	Fully Executed (Reviewed and signed	Reviewed and verified against the FHWA 1273	Completed & Signed by CE/RE	Completed/Signed/ Notarized by
Pay Applications				
DBE-IS Form (Can be included in pay app)				
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SAFs (to include prime and subcontract agreement, FHWA 1273)				
Daily Reports				
Weekly Summaries				
Wage Rate Interviews				
DBE-IS Contract Goal & Commitment Payment Summary Form				
			Total Additional	

Wage Rate Interviews – Minimum of 1 interview per quarter during the project should be performed. One employee from each contractor (prime and each sub) should be interviewed during life of project so more than 1 interview each quarter may be needed. Compare information provided by interviewee to certified payroll submitted and minimum wage rates included in the contract.

DBE-IS Contract Goal and Commitment Payment Summary Form – Summary of all DBE commitments on the project. Include reason if the DBE goals were not made. If any replacements are approved during life of project, include this information.

Wage Rate Interview

Wage Interview Form

Contract Number: _____

Division and County: _____

Prime or Subcontractor: _____

Company Name: _____

North Carolina Department of Transportation

Subject: Interview of Wages and Hours

First and Last Name: _____

Street Address _____

City: _____ State _____

Zip Code: _____

Telephone Number: _____

Name of Company (your employer): _____

How long have you worked for this company? _____

Date you were hired? _____

Job Classification(s) _____

Hourly Wage _____

Are you paid by check or paid in cash? _____

Are taxes deducted from your pay? _____

Who pays you? _____

Do you work more than 40 hours per week? _____

Do you receive over-time pay for working more than 40 hours? _____

Who is your supervisor? _____

How many hours did you work last week? _____

List deductions from your paycheck. Have you authorized or are you in agreement with the deductions listed? _____

My employer has my permission to review this information. _____

Signature: _____

Date: _____

Interviewer : _____ Date _____

Interviewer evaluation:

Are certified payrolls required for this project? _____

*Exempt projects are those located on a roadway classified as a local road or rural minor collector. If this is an exempt project, do not complete the remainder of this form.

Is the employee properly classified for work performed? _____

Is this classification included in the contract? _____

What is the wage rate required by the contract? _____

Does the certified payroll information submitted by contractor agree with the information provided by the employee interviewed? _____

Does it agree with the contract wage requirements? _____

List the week ending of the payroll checked: _____

Name of the payroll checker: _____

DBE – IS Form

Form DBE-IS

**State of North Carolina
Department of Transportation
Subcontractor Payment Information**

Submit with Invoice To: Invoice Coordinator
North Carolina Department of Transportation
Division / Branch
Address
Raleigh, NC XXXXX-XXXX

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

Invoice Line Item Reference	Payer Name	Payer Federal Tax Id	Subcontractor / Subconsultant/ Material Supplier Name	Subcontractor / Subconsultant / Material Supplier Federal Tax Id	Amount Paid To Subcontractor / Subconsultant / Material Supplier This Invoice	Date Paid To Subcontractor / Subconsultant / Material Supplier This Invoice
Total Amount Paid to Subcontractor Firms					\$ _____	

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

Rev. 10/06

Contract Administration Info

Claims (time, money, final)	Written/Drafted?	Approved/Executed?	Total Additional Time &/OR Money
Claim 1 - Description <i>insert additional lines as necessary</i>			
Force Account (Form 480 w/ Supporting Documentation) to be paid as a SA			
FA 1 - Description <i>insert additional lines as necessary</i>			
Supplemental Agreement(s)			
SA 1 - Description <i>insert additional lines as necessary</i>			

All Claims, Force Account Work, and Supplemental Agreements should be approved by NCDOT prior to town authorizing contractor's request. After approval, SA line items should be tracked in a pay record book/ticket book.

Claims – Copies of claim letters from contractors, approvals/denials from NCDOT, approval/denial by the Town. Provide total time/money documentation for each claim.

Force Accounts – Copies of the force account letter to contractor, all Form 480s for each week force account work was performed, approval of force account work by NCDOT. Provide total amounts for each force account work.

Supplemental Agreements – Copies of price documentation from contractor, approval/denial from NCDOT, and approval/denial by Town.

Contract Administration Info

	Approved & Executed (Y/N)	Written (Y/N)	Submitted to Contractor	
Final Pay Application/Estimate (Include with other pay applications)				
Pay Adjustments or 105-3 Acceptance Letters				
Ex. Asphalt Letter				
Ex. Asphalt Letter				
Ex. Asphalt Letter				
	Created/Drafted (Y/N)	Date Records Delivered to NCDOT	Completed and Signed off by	
Final Estimate Transmittal				
See attached Transmittal example of items to be included in submission to NCDOT for Final Review				

Final Pay Application/Estimate - final pay application after all pay record documentation are checked and double checked for accuracy. This will include pay record books, ticket books, force account records, claim documentation, and supplemental agreement documentation.

Pay Adjustments or 105-3 Acceptance Letters – If any material failed to meet the specifications, a letter documenting non-acceptance or acceptance of materials in accordance with Article 105-3 shall be included with final estimate. This may include acceptance of materials with a penalty. Any penalty should be documented with a letter to the contractor

Final Estimate Transmittal – Pulling all of these records together and providing it to NCDOT for review prior to sending it to the contractor

LAP Project Final Estimate Closeout Checklist

TIP / Proj #:	WBS #:	Federal Aid #:
Municipality:	Project Description:	
Contractor:	CEI Representative:	Division:
NTP:	Date Work Started:	
Contract Completion Date:	Actual Completion Date:	
DBE Commitment Amount:	Actual DBE Amount Paid:	

ALL INVOICES ASSOCIATED WITH THE PROJECT MUST BE SUBMITTED WITHIN SIX (6) MONTHS OF THE COMPLETION OF CONSTRUCTION AND ACCEPTANCE OF THE PROJECT TO BE ELIGIBLE FOR REIMBURSEMENT BY THE DEPARTMENT. ANY INVOICES SUBMITTED AFTER THIS TIME WILL NOT BE ELIGIBLE FOR REIMBURSEMENT.

	Date (MM/DD/YYYY)	Punchlist Complete? (Y/N)	Date Punchlist Complete
Final Inspection with NCDOT Present			
Project Final Est Process Mtg with NCDOT (review this doc and process)			

	Date Written	Date Submitted to NCDOT	Date Received from NCDOT
Copy of NTP/Project Start letter			
Copy of Division Project Documentation Review(s)			
Project Acceptance Letter from Municipality to Contractor			
Request for Concurrence in Construction from Municipality to NCDOT (including date of Acceptance)			
Concurrence in Construction Letter from NCDOT (send to Div LAP Manager)			

	Date reviewed by NCDOT	Materials Certification Date
Materials and Test Review (NCDOT)		

	Totalled (Y/N)	Comp'd (Y/N)	Checked (Y/N)	Received from Testing firm? (Y/N)
As-built drawings				
Pay Record Books for Final estimate				
Ticket Books				
Materials Receipts				
Concrete Reports (903, 250)				
Asphalt Reports (605)				
Test Results Received for:				
<i>Density/Test Results</i>				
Asphalt (Core or Nuclear? Circle Appropriate)				
Concrete				
ABC Roadway(For Pavement, not Class IV, CL IV to be subgrade or emb)				
Roadway Subgrade				
Roadway Embankment				
<i>Samples</i>				
Roadway Embankment				
Roadway Subgrade				
Roadway ABC				

	Fully Executed (Reviewed and signed by NCDOT) (Y/N)	Reviewed and verified against the FHWA 1273 (Y/N)	Completed & Signed by CEI/RE (Y/N)	Completed/Signed/ Notarized by Contractor/Employee (Y/N)
Pay Applications				
DBE-IS Form (Can be included in pay app)				
Certified Payrolls				
Sales Tax Reports				
SAFs (to include prime and sub agr, FHWA 1273, Title VI)				

LAP Project Final Estimate Closeout Checklist

TIP / Proj #:	WBS #:	Federal Aid #:
Municipality:	Project Description:	
Contractor:	CEI Representative:	Division:
NTP:	Date Work Started:	
Contract Completion Date:	Actual Completion Date:	
DBE Commitment Amount:	Actual DBE Amount Paid:	

Buy America Cert		
Daily Reports		
Weekly Summaries		
Wage Rate Interviews		
DBE-IS Contract Goal & Commitment Payment Summary Form		

	Written/Drafted?	Approved/Executed? (Contractor, Muni, NCDOT)	Total Additional Time &/OR Money	
Claims (time, money, final)				
Claim 1 - Description				
<i>Select this row and Insert additional lines as necessary</i>				
Force Account (Form 480 w/ Supporting Documentation) to be paid as a SA				
FA 1 - Description				
<i>Select this row and Insert additional lines as necessary</i>				
Supplemental Agreement(s)				
SA 1 - Description				
<i>Select this row and Insert additional lines as necessary</i>				

	Approved & Executed (Y/N)	Written (Y/N)	Submitted to Contractor	Received from Contractor
Final Pay Application/Estimate (Include with other pay applications)				
Pay Adjustments or 105-3 Acceptance Letters				
Ex. Asphalt Letter				
Ex. Asphalt Letter				
Ex. Asphalt Letter				
Consent of Surety from Contractor, 109-10(A)				
Affidavit of Debts from Contractor, 190-10(B)				
Release of Claim from Contractor, 109-10(C)				
Any other document required by contract for compliance with applicable labor regulations of FHWA, 109-10(D)				

	Created/Drafted (Y/N)	Date Records Delivered to NCDOT Facility For Review	Completed and Signed off by NCDOT Checker	
Final Estimate Transmittal to Division Final Estimate Checker -to include a copy of this completed checklist with the Final Estimate				

FINAL ESTIMATE TRANSMITTAL FORM

North Carolina Department of Transportation
Locally Administered Project

Date:	To: NCDOT Representative	From: LAP Representative
TIP #:	WBS #:	Contractor:
Municipality	Division	

Enclosed is the final estimate package for the above referenced project. The following check accounts for the required documentation for review of the final estimate.

Contract Documents	Ticket Books
As-Built Plans	Material Received Reports
Buy America Statement	Material Documentation
Notice to Proceed	QC/QA Testing
Completion Letters	Partial Pay Estimates
Deduction/Pay Adjustment documentation	Sales Tax Reporting
Executed Supplemental Agreements	Final Pay Estimate
Approved Claims for Time	DBE-IS Forms
Pay Record Book	DBE Final Statement
Comments:	

This estimate has been prepared under my supervision and it is true and correct to the best of my knowledge.

LGA representative

Date

This estimate has been checked by me or under my supervision in accordance with established procedure and it is true and correct to the best of my knowledge.

NCDOT Final Estimate Reviewer

Date

This estimate has been prepared and checked in accordance with established procedures and to the best of my knowledge is true and correct.

NCDOT Project Manager

Date

Letter of Records Accountability

Date of Audit	County	
TIP No	WBS No.	Federal Aid No.
Project Description:		

A Material Audit was performed on the above project by representatives from the assigned project Agency and North Carolina Department of Transportation Materials and Tests Unit (NCDOT M&T) in accordance with FHWA guidelines and NCDOT specifications. All materials, technicians, samples, results, and their associated certifications were reviewed, and discrepancies documented.

The Local Governing Agency (LGA) is responsible for the accountability and retention of all associated project records to include material received reports, material test reports, material certifications, contractor technicians' certifications (if applicable), private testing laboratory accreditations, material sampling and testing technician certifications and material test reports along with any audit documentation which has occurred during the life of the project. All records and documentation may be subject to additional audits if requested by FHWA or NCDOT.

Records will be stored at the following location:

Municipal Department or Unit:	
Municipal Contact Name & Number:	
Document Storage Address:	



North Carolina Department of Transportation

Closeout Conference Form

CO-Conference

Contract No.: _____ Contractor: _____
 TIP No.: _____ County: _____

The Contractor has completed all work required under the above contract and the Department of Transportation has furnished the Contractor the final quantities and the apparent liquidated damages, if any, assessed on the final estimate. The Contractor and the Department of Transportation have held a conference to review the final estimate. Based upon the information provided during that conference the Contractor and the Department of Transportation agree to the following adjustment to the final estimate. Execution of this agreement shall serve as the written notice described in Article 109-10 (C) of the Standard Specifications. The Contractor waives his right to file any claim after executing this agreement, including a verified claim under the requirements of Article 107-24 of the Standard Specifications.

Adjustment to Final Estimate:

Additional Compensation: \$ _____

Extension of Contract Time: _____ days

Extension of ICT# _____: _____ days

Extension of ICT# _____: _____ days

Line Code _____, Description _____, Quantity _____

Line Code _____, Description _____, Quantity _____

Other: _____

N. C. Department of Transportation

Approved by: _____ Name & Title: _____

Division Engineer (or Representative)

(Please Print)

Date: _____

Contractor

Approved by: _____ Name: _____ Date: _____

(Signature)

(Please print)

This procedure will help you to determine how much the Department will need to bill the LGA for their share of costs on a Locally-Administered Project. Throughout the Procedure document are example projects. The process consists of the following basic steps:

1. Identify the total amount of funding allocated to an LGA through executed agreements.
2. Determine how much of that funding has been authorized by FHWA.
3. Calculate the total costs on the project (including reimbursements to the LGA along with DOT charges).
4. Calculate the LGA charges – includes the non-federal share of the DOT charges and any expenditures that exceed the total funding (federal + non-federal match).
5. Submit Billing information to Fiscal.

This procedure document is designed to be used with spreadsheet “**WORKSHEET - CALCULATE LGA COST SHARE AND ANY ADDITIONAL LIABILITY**” found on LPMO Inside NCDOT

STEP 1:

DETERMINE TOTAL FEDERAL [AND STATE] FUNDING ON AGREEMENTS

Go to Agreements web application at <https://apps.dot.nc.net/Projects/Agreements/reports/SearchReport.aspx>

The screenshot shows the NCDOT Intranet Search interface. The search criteria form includes the following fields:

- Agreement ID:
- Division:
- Status:
- Agreement Type:
- Agreement Entity:
- TIP #: (circled in blue)
- WBS Element: (circled in blue)
- Scope:
- Funding Type:
- Created by:

On the right side, there is a table with columns 'From' and 'To' for dates:

	From	To
Created:	<input type="text"/>	<input type="text"/>
Submitted:	<input type="text"/>	<input type="text"/>
Approved:	<input type="text"/>	<input type="text"/>
Sent To Entity:	<input type="text"/>	<input type="text"/>
CO Received:	<input type="text"/>	<input type="text"/>
Board Approved:	<input type="text"/>	<input type="text"/>
Fully Executed:	<input type="text"/>	<input type="text"/>

At the bottom right of the form are 'Search' and 'Reset' buttons.

Search for agreements by TIP or WBS element. Check all agreements, including supplementals, for funding.

- Municipal Agreements**
- Inbox
- Create New Agreement
- Reporting**
- Agreement Search
- Agreements Prior to 10/1/2008
- Pending Agreements
- Admin Control Panel**
- User Roles
- User County Report
- Maintenance Control Panel**
- Modify Templates
- Agreement Maint
- Reassign Agreement

Search

Criteria

Agreement ID: <input type="text"/>	Division: 1 2 3	Created: From <input type="text"/> To <input type="text"/>
Status: Incomplete Submitted Review	County: <input type="text"/>	Submitted: <input type="text"/> <input type="text"/>
Agreement Type: <input type="text"/>	Agreement Entity: <input type="text"/>	Approved: <input type="text"/> <input type="text"/>
TIP #: <input type="text"/>	WBS Element: <input type="text"/>	Sent To Entity: <input type="text"/> <input type="text"/>
Created by: <input type="text"/>	Funding Type: <input type="text"/>	CO Received: <input type="text"/> <input type="text"/>
		Board Approved: <input type="text"/> <input type="text"/>
		Fully Executed: <input type="text"/> <input type="text"/>

If agreements were executed prior to Oct 1, 2008, use appropriate link; or, you may need to contact LPMO for the file copies.

Look at funding table (usually on page 4) of the executed agreement to determine amount of funding available to project.

FUNDING TABLE

Fund Source	Funds Amount	Reimbursement Rate	Non-Federal State Match	Non-Federal Match Rate
Federal STP-EB 0332(41)	\$200,000	80 %	\$50,000	20 %
State Small Construction WBS 43665	\$ 75,000	100%	-	-
Total Reimbursement:		\$325,000		

This example shows a project with Federal funding available at 80% with a **state** non-federal match (making the reimbursement rate to the Municipality 100%) and additional state funds (also available at 100%).

Transfer dollar amounts and reimbursement rates, federal and/or state, to **WORKSHEET** in appropriate fields.

STEP 2

DETERMINE TOTAL FUNDING AUTHORIZED

Use transaction **ZFR13B**

Enter the TIP Number and hit Execute.

NOTE: With blanket numbers make sure there is no space between the number and the suffix letters.

THIS:

NOT THIS:

Here is a sample report on Project EB-4829:

Funding WBS	Type	PD Fund	Fund ID	Docum...	TIP No	WBS Phase	Stat	Post Date	Agreement ID	Federal Txn	Funding Amount	Fund ID Description
39588.1.1	F	Fund type	2719H170	68512	EB-4829	Prel Engr	04	08/09/2005	H1700520018	08/2005-00046	500,000.00	FHWA_Misc. Programs - FHWA_Sec
				184509	EB-4829	Prel Engr	04	03/26/2012	H1700520018	03/2012/00277	25,783.00	FHWA_Misc. Programs - FHWA_Sec
				193564	EB-4829	Prel Engr	04	10/22/2012	H1700520018	10/2012-00115	1.00	FHWA_Misc. Programs - FHWA_Sec
			2719H170								474,216.00	
			0000								474,216.00	
											474,216.00	
	F										474,216.00	
	S	0000	2704999	193561	EB-4829	Prel Engr	04	09/18/2012		N/A	0.69	FHWA - State Appropriation Fr HTF
			2704999								0.69	
			0000								0.69	
											0.69	
	S										0.69	
39588.1.1											474,216.69	
39588.3.1	F	0000	2719H170	189205	EB-4829	Construction	04	07/11/2012	H1700520029	06/2012-00023	25,783.00	FHWA_Misc. Programs - FHWA_Sec
				197523	EB-4829	Construction	04	12/20/2012	H1700520029	12/2012-00154	1.00	FHWA_Misc. Programs - FHWA_Sec
			2719H170								25,784.00	
			2719H660	139586	EB-4829	Construction	04	08/27/2009	H6600520029	08/2009/00298	393,571.00	FHWA_MISC. Programs - FHWA_Sec
			2719H660								393,571.00	
			0000								419,355.00	
											419,355.00	
	F										419,355.00	
	S										419,355.00	
39588.3.1											419,355.00	
39588.3.ST1	F	0000	27STC220	139589	EB-4829	Construction	04	08/28/2009	C2200520028	08/2009-00313	3,250,000.00	FHWA_STP_Stimulus - ARRA Trans
			27STC220								3,250,000.00	
			0000								3,250,000.00	
											3,250,000.00	
	F										3,250,000.00	
39588.3.ST1											3,250,000.00	
											4,143,571.69	

It's helpful to HIDE some columns to make data easier to see at a glance – “Agreement ID” and “Federal Txn” are not necessary to view. Highlight those columns, right click and select “Hide.”

Funding WBS	Type	PD Fund	Fund ID	Docum...	TIP No	WBS Phase	Stat	Post Date	Funding Amount	Fund ID Description
39588.1.1	F	0000	2719H170	68512	EB-4829	Prel Engr	04	08/09/2005	500,000.00	FHWA_Misc. Programs - FHWA_Sec
				184509	EB-4829	Prel Engr	04	03/26/2012	25,783.00	FHWA_Misc. Programs - FHWA_Sec
				193564	EB-4829	Prel Engr	04	10/22/2012	1.00	FHWA_Misc. Programs - FHWA_Sec
			2719H170						474,216.00	
			0000						474,216.00	
									474,216.00	
	F								474,216.00	
	S	0000	2704999	193561	EB-4829	Prel Engr	04	09/18/2012	0.69	FHWA - State Appropriation Fr HTF
			2704999						0.69	
			0000						0.69	
									0.69	
	S								0.69	
39588.1.1									474,216.69	
39588.3.1	F	0000	2719H170	189205	EB-4829	Construction	04	07/11/2012	25,783.00	FHWA_Misc. Programs - FHWA_Sec
				197523	EB-4829	Construction	04	12/20/2012	1.00	FHWA_Misc. Programs - FHWA_Sec
			2719H170						25,784.00	
			2719H660	139586	EB-4829	Construction	04	08/27/2009	393,571.00	FHWA_MISC. Programs - FHWA_Sec
			2719H660						393,571.00	
			0000						419,355.00	
									419,355.00	
	F								419,355.00	
	S								419,355.00	
39588.3.1									419,355.00	
39588.3.ST1	F	0000	27STC220	139589	EB-4829	Construction	04	08/28/2009	3,250,000.00	FHWA_STP_Stimulus - ARRA Trans
			27STC220						3,250,000.00	
			0000						3,250,000.00	
									3,250,000.00	
	F								3,250,000.00	
39588.3.ST1									3,250,000.00	
									4,143,571.69	

The Allotment Detail Report is sorted by WBS (or phase). Transfer the total funded for each phase over to the **WORKSHEET**. The Totals are the last yellow line for each phase.

This example shows Federal funding (with small amounts of state funding).

NOTE: Do not transfer small amounts of state funding, i.e. less than a dollar.

Here's an example with the non-federal match provided by State funds:

Process Report System Help

Allotment Detail Report by MTMATTHEWS on 10/22/2013

Allotment Detail Report as of 10/22/2013 By MTMATTHEWS

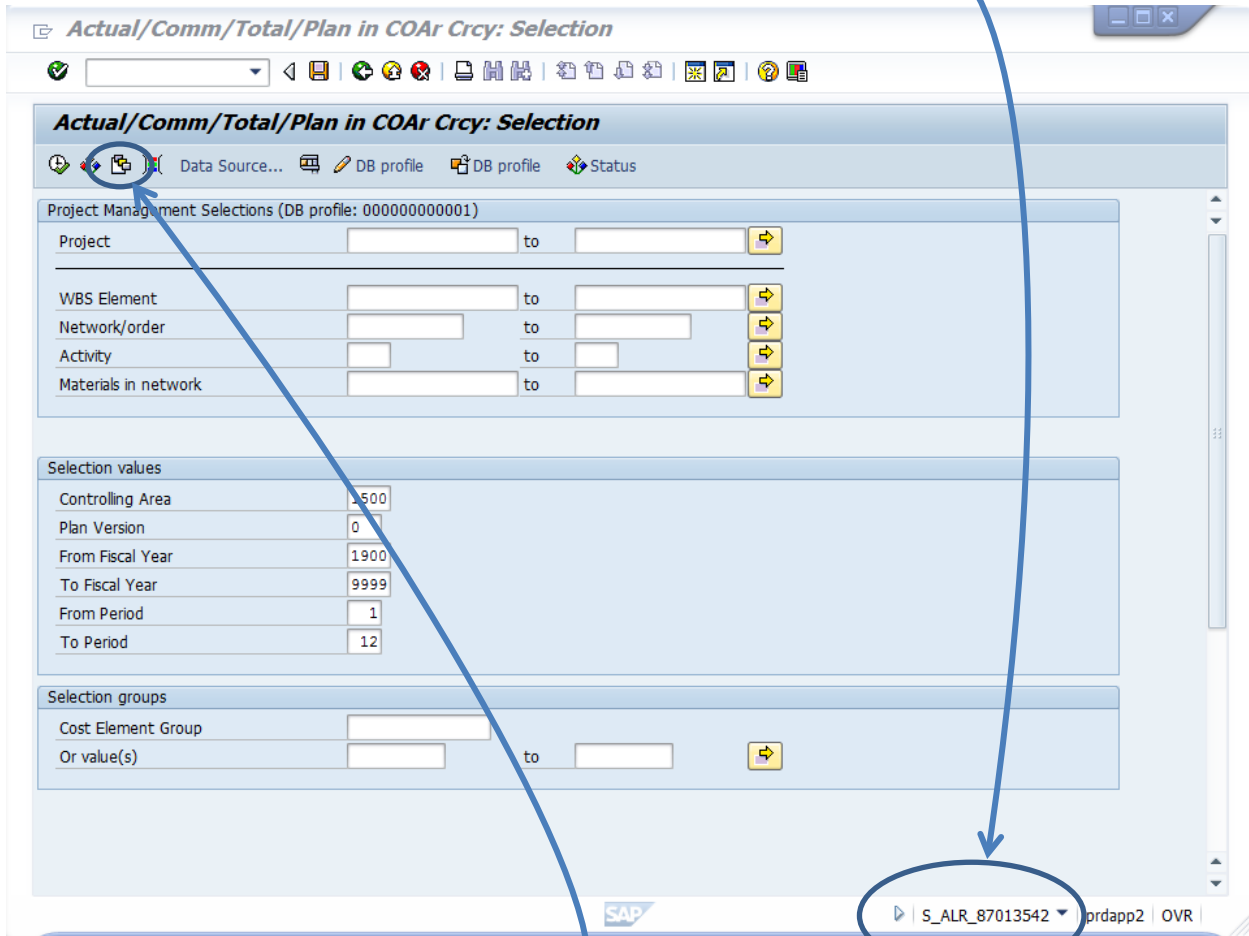
Funding WBS	Type	PD Fund ...	Fund ID	Docum...	TIP No	WBS Phase	Stat	Post Date	Σ	Funding Amount	Fund ID Description
45521.1.1	F	5616	2731L22EB	182570	EB-5004	Prel Engr	04	02/13/2012		200,000.00	FHWA_STP - Enhancement Fur
			2731L22...							200,000.00	
		5616								200,000.00	
	F									200,000.00	
	S	0000	7101999	182570	EB-5004	Prel Engr	04	02/13/2012		50,000.00	FHWA State Match HTF - FHW
			7101999							50,000.00	
		0000								50,000.00	
	S									50,000.00	
45521.1.1										250,000.00	
										250,000.00	

Enter the federal amount and state amounts in the appropriate place on the **WORKSHEET**.

STEP 3

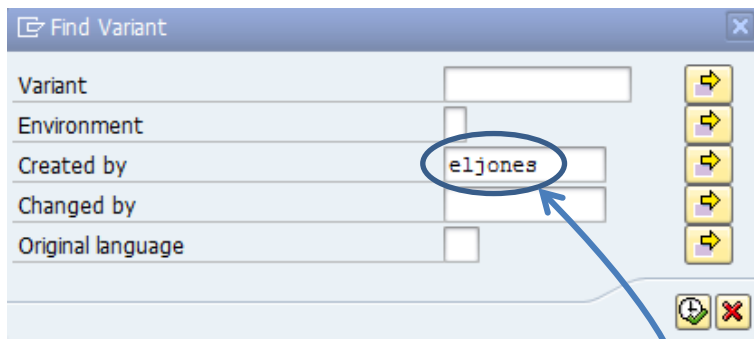
DETERMINE TOTAL NCDOT PROJECT CHARGES

Run Transaction **S_ALR_87013542** – This is referred to as the “542” Report.



Click on third icon from left - "GET VARIANT"

The "FIND VARIANT" Dialogue Box Opens



Enter "eljones" in *Created by* box, and then click Execute

Actual/Comm/Total/Plan in COAr CrCy: Selection

Project Management Selections (DB profile: 800000000001)

Project to

WBS Element to

Network/order to

Activity to

Materials in network to

Selection values

Controlling Area

Plan Version

From Fiscal Year

To Fiscal Year

From Period

To Period

Selection groups

Cost Element Group

Or value(s) to

SAP | S_ALR_87013542 | prdapp2 | OVR

Set the **SELECTION VALUES** for the search:

From Fiscal Year: **1900**
 To Fiscal Year: **use current STATE Fiscal Year**
 From Period: **01**
 To Period: **12**

You are now ready to run the Transaction for a specific project.

- For a standard stand-alone TIP Number, enter the **PROJECT DEFINITION** at top & click Execute.
- For "Blanket" TIP Numbers – see below for directions.

This is a SAMPLE output for PROJECT: C-5144 (Project Definition: 45276)

Screen Shot of Report showing all Project Expenses across all WBS Elements.

Act/Com/Total/Plan

As of: 10/01/2013 Page: 2 / 6 Column 1 / 4

Object: PRJ 45276 C-5144
 Person responsible: C-5144
 From Fiscal Year: 1900 To Fiscal Year: 2014
 From Period: 1 To Period: 12

Cost Elements	Actual	Commitments	Total	Plan
810000001 BSIP Surcharge	1,832.08		1,832.08	
810000002 CS Surcharge	324.56		324.56	
810000004 GIS Surcharge	908.14		908.14	
810000005 PMS Surcharge	3.87		3.87	
810000006 Spec Asses Surcharge	2,785.47		2,785.47	
* PS DETAILED MISC	5,854.12		5,854.12	
54421001 ProfFees Indiv Contr	13,450.95		13,450.95	
56200010 Pymnt Mun Constr	526,543.22	17,456.78	544,000.00	
* PS DETAIL PO's AND CONTRACTS	539,994.17	17,456.78	557,450.95	
900000001 Std Labor Costs	1,195.10		1,195.10	
* PS DETAIL LABOR	1,195.10		1,195.10	
** All Cost Elements	547,043.39	17,456.78	564,500.17	

MIMATTHEWS 10/01/2013

Highlight PE WBS Document – 45276.1.1

Act/Com/Total/Plan

As of: 10/23/2013 Page: Column

Object: WBS 45276.1.1
 Person responsible: CLOSED C-5144 - PE
 From Fiscal Year: 1900 To Fiscal Year: 2014
 From Period: 1 To Period: 12

Cost Elements	Actual	Commitments	Total
810000001 BSIP Surcharge	123.03		123.03
810000002 CS Surcharge	16.32		16.32
810000004 GIS Surcharge	38.22		38.22
810000005 PMS Surcharge	2.73		2.73
810000006 Spec Asses Surcharge	15.99		15.99
* PS DETAILED MISC	196.29		196.29
56200010 Pymnt Mun Constr	26,778.21		26,778.21
* PS DETAIL PO's AND CONTRACTS	26,778.21		26,778.21
900000001 Std Labor Costs	502.25		502.25
* PS DETAIL LABOR	502.25		502.25
** All Cost Elements	27,476.75		27,476.75

MIMATTHEWS 10/23/2013

Act/Com/Total/Plan

As of: 10/23/2013

Page: Column

Object: WBS 45276.1.1 CLOSED C-5144 - PE - CREEDMOOR

Person responsible

From Fiscal Year: 1900 To Fiscal Year: 2014
From Period: 1 To Period: 12

Cost Elements	Actual	Commitments	Total
810000001 BSIP Surcharge	123.03		123.03
810000002 CS Surcharge	16.32		16.32
810000004 GIS Surcharge	38.22		38.22
810000005 PMS Surcharge	2.73		2.73
810000006 Spec Asses Surcharge	15.99		15.99
PS DETAILLED MISC	196.29		196.29
56200010 Pymnt Mun Constr	26,778.21		26,778.21
* PS DETAIL PO'S AND CONTRACTS	26,778.21		26,778.21
900000001 Std Labor Costs	502.25		502.25
PS DETAIL LABOR	502.25		502.25
** All Cost Elements	27,476.75		27,476.75

MIMATTHEWS 10/23/2013

Find "All Cost Elements" line and use this number on the **WORKSHEET** under PE.

Find "Pymnt Mun Constr" and use this number on the **WORKSHEET** under PE. This entry may also be labeled as "Pymnt Trans Enh Fund" or "Bikeway Pymt by Cont"

Repeat for each **funded WBS Element** (PE, ROW, and Construction, if applicable).

PRJ 45276 C-5144

WBS 45276.2.1 CLOSED C-5144 -

Person responsible

From Fiscal Year: 1900 To Fiscal Year: 2014
From Period: 1 To Period: 12

Cost Elements	Actual	Commitments
810000001 BSIP Surcharge	51.49	
810000002 CS Surcharge	6.87	
810000004 GIS Surcharge	16.01	
810000005 PMS Surcharge	1.14	

WBS 45276.3.1 C-5144 - CON - CI

Person responsible

From Fiscal Year: 1900 To Fiscal Year: 2014
From Period: 1 To Period: 12

Cost Elements	Actual	Commitments
810000001 BSIP Surcharge	1,658.60	
810000002 CS Surcharge	302.90	
810000004 GIS Surcharge	854.22	
810000006 Spec Asses Surcharge	2,764.19	

PROJECTS WITH SUB TIP NUMBERS

Blanket TIP Numbers that are used across a regional or statewide area to program projects in the STIP will have multiple sub-TIP Numbers.

Examples include:

- EL-5100 (CAMPO Bike/Ped Projects)
- U-4726 (DCHC Bike/Ped Projects)
- U-4742 (Winston-Salem MPO Operational Improvements)

Entering the **Project Definition** will return all projects programmed under that number. For projects structured in this manner, you will need to enter **each WBS Element** and run **multiple reports** if multiple WBS Elements are funded.

The screenshot shows the SAP report configuration interface for 'Actual/Comm/Total/Plan in COAr Crcy: Selection'. The 'Project Management Selections' section includes fields for Project, WBS Element, Network/order, Activity, and Materials in network, each with a 'to' field and a selection button. The 'Selection values' section contains a table with the following data:

Field	Value
Controlling Area	1500
Plan Version	0
From Fiscal Year	1900
To Fiscal Year	2014
From Period	01
To Period	12

The 'Selection groups' section includes 'Cost Element Group' set to 'PS_EXPENSE' and an 'Or value(s)' field. A blue circle highlights the 'Project' field in the 'Project Management Selections' section, and a blue arrow points from the text below to this field.

Enter the PE, ROW, and/or Construction WBS Element for each funded phase.

Run report and repeat as needed for other WBS Elements.

Enter information on **WORKSHEET**.

STEP 4

FINALIZING WORKSHEET AND ADJUSTING FUNDING, IF NECESSARY

Based on the entries submitted in the earlier steps, **WORKSHEET** should be complete; however, if there is a positive amount in “Remaining Federal Funding” on one WBS, it may be transferred to cover a negative amount on another WBS.

To transfer funds on the WBS, send a request to Project Management (FundingHelp@ncdot.gov) to make an adjustment. Funds must be the same type and on the same federal-aid number.

Once adjustment is made, revise **WORKSHEET** at Level 2 – Determine Total Funding Authorized.

Review numbers to ensure accuracy and print out **WORKSHEET**.

STEP 5

BILLING THE LGA

Submit PDF copies of the following items to the Financial Management Division (Fiscal) – ATTN: Kay Lee – klee@ncdot.gov for appropriate LGA billing:

- Copy of the Executed Agreement(s) with the LGA describing responsibilities (includes any Supplemental Agreements executed)
- LGA Billing Worksheet (formatted and scanned or printed to PDF file)
- Screen Shots of Report “542” (refer to STEP 3)

Fiscal will bill the Municipality for their share of project costs. Each WBS will be billed separately, but the Municipality may reimburse the Department with one check.

NOTE: Fiscal will not bill for amounts less than \$10.00

LGA BILLING STATUS

Check BSIP Transaction **ZF22** for status of the billing—WBS Elements cannot be closed until project has been billed:

- Look at Funding Type – you will see a separate line with “L” = local; then scroll over to the right to find “Total Billed.”
- Once the project has been billed, the WBS can be closed.

WBS element	45277.3.1	C-5145 - CON - ROXBORO	Aut
System status	Released Order accepted		Pha:
User status	R100	Accounting Release Freeze WBS Structure	TIP
Funding Ledger	Funded - funding, expenditure, and billing allowed		Billin
Available FHWA	100.00000000 \$	Available Grants	0.00000000 \$

Fund	Agreement ID	Fund type	Alloted funding amount
1 2723L40R	L40R-0522-003	F	194,560.00
2 2723H400	H400-0522-003	F	23,204.00
3 2702999	5832	L	952.85
			218,716.85

Characterization	Total billed	Penc
04/25/2011	194,560.00	
0300	11,633.00	
C-5145	952.85	
1 Priority split		
Non-FHWA	0.00000000 \$	

-END

Snipped Image - Not Full Worksheet

WORKSHEET - CALCULATE LGA COST SHARE AND ANY ADDITIONAL LIABILITY

Instructions:

- Input required data into blue fields of this form. All remaining information will be automatically calculated.
- Refer to "PROCEDURE - CALCULATE LGA COST SHARE AND ADDITIONAL LIABILITY" for more detailed directions.

PROJECT:
 COUNTY:
 WBS Elements PE: ROW: CON: OTHER:
 PROJECT DESCRIPTION:

1) DETERMINE TOTAL FEDERAL [AND STATE] FUNDING ON AGREEMENTS

Check for Executed Agreements at:
<https://intranet.dot.state.nc.us/projects/agreements/reports/SearchReport.aspx>

	TOTALS	Worksheet	FEDERAL	STATE MATCH (if applicable)	STATE	REIMBURSEMENT RATE TO LGA
FEDERAL	\$ -		\$ -	\$ -	\$ -	
STATE MATCH	\$ -		\$ -	\$ -	\$ -	
STATE	\$ -		\$ -	\$ -	\$ -	
Original Agreement:			\$ -	\$ -	\$ -	
Supplemental #1			\$ -	\$ -	\$ -	
Supplemental #2			\$ -	\$ -	\$ -	
Supplemental #3			\$ -	\$ -	\$ -	
Supplemental #4			\$ -	\$ -	\$ -	
AGREEMENT TOTALS:	\$ -		\$ -	\$ -	\$ -	

2) DETERMINE TOTAL FUNDING AUTHORIZED

Run BSIP Transaction ZFR13B to check authorized funding for the project

	PE	ROW	CON @ _%	CON @ _0%	TOTALS	
	0	0	0	0		
FEDERAL	\$ -	\$ -	\$ -	\$ -	\$ -	Federal Funds Authorized by each WBS Element/Phase
STATE MATCH	\$ -	\$ -	\$ -	\$ -	\$ -	State Funds Authorized as non-federal match (if applicable)
STATE	\$ -	\$ -	\$ -	\$ -	\$ -	State Funds Authorized as additional funding (not non-feder)
TOTAL	\$ -	\$ -	\$ -	\$ -	\$ -	
TOTAL FUNDED					\$ -	Is total funded greater than total on agreement? STOP! Contact LPMO Project Manager.
						Is total funded less than amount on agreement? There may be room to authorize more money if needed. Send a request to Project Management to fully fund agreement.

3) DETERMINE TOTAL NCDOT PROJECT CHARGES

Run BSIP Transaction S_ALR_87013542 for charges report

	PE	ROW	CON @ _%	CON @ _0%	TOTALS	
	0	0	0	0		
"All Cost Elements"	\$ -	\$ -	\$ -	\$ -	\$ -	Project Costs To Date
"Pymnt Mun Construction"	\$ -	\$ -	\$ -	\$ -	\$ -	Municipal Payments To Date
NCDOT Charges Amount:	\$ -	\$ -	\$ -	\$ -	\$ -	Difference of "All Cost Elements" and "Pymnt Mun Constructi
Percentage Fed. Share:	80%	80%	80%	80%		Federal Funds Reimbursement Rate (Default is 80%, but can
Percentage Non-Fed. Share:	20%	20%	20%	20%		Non-federal Share Rate (adjusted based on Federal Share Rat
NCDOT Charges Fed. Share:	\$ -	\$ -	\$ -	\$ -	\$ -	If positive, this amount can be used for Fed Share of NCDOT
NCDOT Charges Non-Fed. Share:	\$ -	\$ -	\$ -	\$ -	\$ -	Amount to be paid by the LGA for the Non-Fed Share of NCD

4) DETERMINE ANY ADDITIONAL LIABILITY AND TOTAL LGA COST SHARE

	PE	ROW	CON @ _%	CON @ _0%	
	0	0	0	0	
Funding Authorized:	\$ -	\$ -	\$ -	\$ -	
Reimbursements to Date:	\$ -	\$ -	\$ -	\$ -	
Federal Funding Available:	\$ -	\$ -	\$ -	\$ -	Amount of Federal Funding Available for Project Costs
NCDOT Charges Fed Share:	\$ -	\$ -	\$ -	\$ -	
Remaining Federal Funding:	\$ -	\$ -	\$ -	\$ -	Difference between Fed Funding available and the NCDOT Share
LGA Liability (Project Overrun):	\$ -	\$ -	\$ -	\$ -	Additional LGA Liability Due to Overrun of Project Costs
Total LGA Cost Liability:	\$ -	\$ -	\$ -	\$ -	Total Dollar Amount of LGA Liability for the Project per WBS
Rounded for Federal	\$ -	\$ -	\$ -	\$ -	Additional LGA Liability due to rounding (cannot bill FHWA <\$1)
GRAND Total LGA Cost Liability					\$ -

NCDOT FINAL ACCEPTANCE REPORTING FORM – 1446 LAP

For NCDOT Oversight of Locally Administered Projects

Project Information

TIP Number		Division	
WBS Number		County	
F.A. Number		Municipality	

Notice to Proceed Date (NTP) ¹	Completion of Construction & Acceptance Date ²
Concurrence in Construction by NCDOT Date ³	Final Reimbursement Date ⁴

Project Description

Division Oversight – All must be marked.

	Yes	No	N/A		Yes	No	N/A	
				Approved Changes and Extra Work				Final Inspection/Acceptance of Completed Work
				Approved Contract Time Extensions				Issued Concurrence in Construction to Municipality
				DBE Contract Commitments Achieved				Final Estimate Review
				Settlement of Claim				Liquidated Damages
				Concur in Settlement of Claims				Project completed in accordance to plans and all specifications
				Final Estimate Paid Date ⁵				Routine oversight and inspection to include review and approval of each invoice, review of project records and periodic inspection of construction site to ensure compliance with policies and procedures

If any No/NA to the above, Justification must be documented below:

Materials and Tests Oversight

Material Certification Completion Date	
Non-Participating Amount	

Acceptance of Project – Division Engineer Signature	Materials Certification – State Materials Engineer Signature
Date	Date

Cc: Project Management Unit
Federal Funds Management Unit
FHWA – Transportation Specialist

TEMPLATE
LETTER TO LGA – FINAL VOUCHER DATE

DATE

NAME
MUNICIPAL NAME
ADDRESS
CITY, STATE ZIP

SUBJECT: Final Voucher Date
 of , County
 Project ; WBS Element:
 Federal-Aid No:
 Project Name

Dear :

The FHWA has established a final voucher date of for the above-referenced project. The Minimum Records Retention Period is **three (3)** years from the final Voucher Date or . The of is responsible for maintaining all records for this minimum period.

Please note that project records are subject to audit by Federal Agencies or State Agencies for a minimum of three (3) years after the Final Voucher Date. The of will be responsible for providing reasonable access to all project records for audit or review during the entire retention period until . Agencies that may audit your project records include but are not limited to:

FHWA (NC Division Office, USDOT Headquarters, FHWA Office of Inspector General)
NC DOT (Office of Inspector General, Fiscal Management Division, Local Programs Management Office)
NC Office of State Budget and Management
NC Office of Economic Recovery and Investment
NC Auditor's Office

If you have any questions, please advise.

Sincerely,

Division Engineer

enclosure

cc: , Construction
 , Materials and Tests
 , LPMO

Definitions and Acronyms

Definitions and acronyms

Acronym	Name	Definition	Usage Notes for LGA
CEI	Construction Engineering and Inspection	Conducting the day-to-day oversight of the agreement, and monitoring and/or auditing the contractor's construction, schedule, and quality.	CEI personnel are a second contractor (other than the construction contractor), typically hired by the LGA to provide construction project management and inspection services.
EBS portal	Enterprise Business Services	NCDOT's local project management portal.	EBS is the portal used for submittal and management of documents to be reviewed by NCDOT's applicable LPMO and Division personnel. Comments on LGA submittals from NCDOT will also be available for viewing/download through EBS.
FA#	Federal-Aid Number	Number assigned by FHWA to the project once a project is approved. Used by FHWA to track in the financial management system	The FA umber will appear on the front of the municipal agreement. This number may be different for different phases of work.
FHWA	Federal Highway Administration	An agency within the U.S. Department of Transportation that supports state and local governments in the design, construction, and maintenance of the nation's highway system and various federally and tribal owned lands.	FHWA is the agency that makes final funding and regulatory decisions regarding projects. Most project development/funding LGA questions should initially be posed to NCDOT, but NCDOT may seek final clarifications from FHWA.
LGA	Local Government Agency	Municipality, county, or state agency who proposes to construct a transportation project or carry out a transportation program.	LGA is the name used generally to refer to the city, town, or county government managing a particular project. May also be referred to as LPA - Local Public Agency.
LPMO	Local Program Management Office	An office within NCDOT that provides guidance and oversight to LGA that receive federal or state funds to implement a project, program, or study.	LPMO is an NCDOT office that oversees LGA activities in coordination with FHWA, and the local NCDOT Division,
NCDOT	North Carolina Department of Transportation	A state government agency in North Carolina that is responsible for building, repairing, and operating highways, bridges, and other modes of transportation, including ferries.	NCDOT is the oversight agency for the development of all locally- managed federally funded projects.
NTP	Notice to Proceed – Department Issued	The department approval to move forward with a phase of work, either PE, ROW, CON. Work performed prior to this date is not eligible for reimbursement.	The LGA must receive a written NTP letter from the Department each time a phase of work is authorized.
NTP	Notice to Proceed – LGA issued	The LGA approval to the contractor that construction can begin. Work performed prior to this date is not eligible for reimbursement. Issued by the Municipality/LGA to the contractor. Date contractual work can begin	The LGA issues a letter to the contractor stating the date contractual work can begin. This date starts the clock for the contractor.

PE	Preliminary Engineering	Analyses and design work to produce construction plans, specifications, and cost estimates.	PE is an eligible phase for reimbursement of Federal funds. To be eligible, funding must be authorized prior to work occurring on the PF phase.
ROW	Right-of-Way	Type of easement granted or reserved over the land for transportation purposes, such as a highway, public footpath, rail transport, canal, as well as electrical transmission lines, oil, and gas pipelines.	ROW refers to the property (land) upon which the project will be constructed.
STIP	State Transportation Improvement Program	A 10-year state and federal-mandated plan that identifies the construction funding for and scheduling of transportation projects throughout the state.	STIP is the statewide funding document identifying the budget for all transportation projects. Any changes to the schedule or funding amount for a federally funded transportation project will require a revision to the STIP in coordination with NCDOT
TIP	Transportation Improvement Program	See STIP	All projects are assigned a unique TIP number.
WBS#	Work Breakdown Structure	A method of delivering a project into phases	WBS # are set up for each eligible phase of work. The most common DOT structure is: xxxxx.1.1 = PE xxxxx.2.1 = ROW Acquisition (part of ROW) xxxxx.2.2 = utility relocation (part of ROW) xxxxx.3.1 - construction

1446-LAP – Final Acceptance reporting form. The Department is responsible for ensuring that all required elements of the project are eligible for the funding sought by the LGA. The form verifies final eligibility and participation is completed by a Department representative. The reporting to Federal Highway Administration that the Department provided oversight, required by FHWA, to the LGA.

Actual Completion Date – This is the date the physical and punch list work was completed.

Acceptance Date – The date that the contractor has completed all physical work, including Punch List work.

Concurrence in Award – authority from the NCDOT to the LGA to proceed with a contractor selection.

Concurrence in Construction – a notice issued from the Department to the LGA. It signifies NCDOTs participation in the project, and they agree with the completion date. The letter will initiate the LGA to begin the Final Estimate processes

Contract Completion Date – Date specified in the contract for completion. If an authorized time extension has been granted, note revised date.

Construction - Those activities that are involved in the building of a new road facility or improvement of an existing facility to a higher geometric or structural standard or serve to increase the capacity or efficiency of an existing facility.

Consultant - A private individual, corporation or other business organization that may be selected to provide architectural, engineering, environmental, or other related technical services for a local agency project.

Contractor’s Certified Payroll – Means to track a contractor and subcontractors pay practices on a federally funded project to ensure prevailing wage requirements are being met.

Controlling Operation - Any operation or operations, as determined by the Engineer, that if delayed would delay the completion of the project.

Date Work Started – This is the date the contractor began working on the project. It may be the same as the NTP, it may be after the NTP. It should never be before the NTP. This should also be the first date of the project inspector’s daily diaries.

DBE - Disadvantaged business enterprise (see 49CFR Parts 23 & 26), a small business concern: (a) which is at least 51 percent owned by one or more socially and economically disadvantaged individuals, or, in the case of any publicly-owned business, at least 51 percent of the stock of which is owned by one or more socially and economically disadvantaged individuals; and (b) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

DEB-IS Form – The reporting of payment from the prime contractor to the DBE subcontractor being utilized to meet the contract DBE goal.

Directory of Firms – A real-time consolidated list of firms that have been certified through North Carolina’s Unified Certification Program as Disadvantaged Business Enterprise (DBE), Airport Concession Disadvantaged Business Enterprises (ACDBE), Small Professional Services Firms (SPSF), Minority Business Enterprises (MBE), Woman Business Enterprises (WBE), and/or Small Business Enterprises (SBE). The Directory also contains real-time information on firms that have been prequalified to perform work on and/or bid on NCDOT contracts. Prequalification is not a warranty or assurance that a firm is qualified or has the capacity to perform the type(s) of work the owner has represented it's firm as competent to perform. Prequalification by NCDOT does not relieve the prime contractor of his responsibility for determining if the subcontractors selected are, in fact, qualified to perform the work for which they are engaged.

End Date – A date established between FHWA and NCDOT when authorizing funds. ALL work must be completed by the end date. NO additional costs can be incurred on the project. Any work occurring after the end date is not eligible for Federal reimbursement. The end date is recorded in the project agreement when the recipient or subrecipient.

Federal Funds - Federal funds reflect the amount of federal funding available for a project. Depending on the type of federal program funding requested, the federal share may be different. For most programs (although there are exceptions), the federal share is 80 percent of the total eligible project costs. However, the total amount of federal funds received is subject to either the federal aid limit shown in the Statewide Transportation Improvement Program (STIP) or the limit established by the type of federal-aid program.

Final Acceptance Date - That date on which all work set forth in the contract and work modified by the Engineer is satisfactorily completed excluding any observation periods not specifically made a part of the work by the specifications or special provisions. This is also known as the Actual Completion Date.

Final Estimate - The document that contains a final statement of all quantities and total dollar amount for each item of work performed during the life of the contract including any adjustments to those amounts made under the terms of the contract. The final statement will be titled The Final Estimate and will be the document used to document final payment to the Contractor. Receipt of this document by the Contractor will begin the time frame for filing of a verified claim with the Department.

Final Estimate Assembly - As constructed plans and other project records that establish the final statement of quantities to be paid and document work performed on the project.

Final Inspection – A review of the project to determine if the project has been complete in reasonably close conformance with plans, specifications, and authorized changes. NCDOT representative must be present.

Final Voucher – The last billing by NCDOT for allowable reimbursable cost from FHWA.

Force Account Work: Work that is paid in accordance with Article 109-3 or based on the force account formula provided in the contract.

Liquidated Damages - Amounts of money to be assessed against a contractor for late completion. These amounts must be related to the actual damages suffered by the owner because of the late completion.

Local Match - That portion of a project’s cost paid for with local agency funds.

LPA - Local Public Agency - A NCDOT city, county, town, or other local public agency; In most instances, this term is used by FHWA.

MUTCD - Manual on Uniform Traffic Control Devices for Streets and Highways, USDOT and FHWA.

Nonparticipating Items - Material permanently incorporated into the project that are not eligible for federal aid funding.

Notice of Acceptance - letter to the Prime Contractor from the LGA. The letter states the date which ALL work was completed. The purpose of this letter is for the LGA to state to the contractor that the construction has been satisfactorily completed.

Pay Applications – The method used by the contractor to request reimbursement from the LGA for material quantities of completed construction operations.

Pay Record Book - documentation of each line item used on the project. Each entry should include each date was performed, station work was performed, calculations depending on unit of measure (for SY, CY, etc.), notes, inspector who recorded the work, any other comments.

Project Manager -The person designated by a local agency to oversee development of a project.

Punchlist – Document created during the final inspection of work items not conforming to specifications. List of corrective action is made for the contractor to complete before acceptance.

Request for Concurrence in Construction – Letter issued to the department from the LGA once the LGA send the acceptance letter to the contractor.

Sales Tax Report - A form tracking sales tax paid by the contractor or subcontractor for permanent materials incorporated into the project. Sales tax reporting form must be included with the contractors pay application requests.

Special Provisions - A portion of the construction contract specifications separate from the General Provisions and covering conditions unique to a specific project.

Subcontract Approval Form (SAF) – Required for all subcontractors who work on a Department project, including subs, 2nd tier subs, etc. SAF must be submitted and approved by NCDOT prior to the subcontractor beginning work.

Supplemental Agreement - A written agreement between the Contractor and the Department of Transportation covering amendments to the contract.

Ticket Books - For each item paid by weight (asphalt/stone/etc.), all tickets received and recorded by a certified weighmaster should be bound together by line code for each day's work. Tickets should be totaled by each day's production.