



NORTH CAROLINA

Department of Transportation



Subcontract Approval Forms

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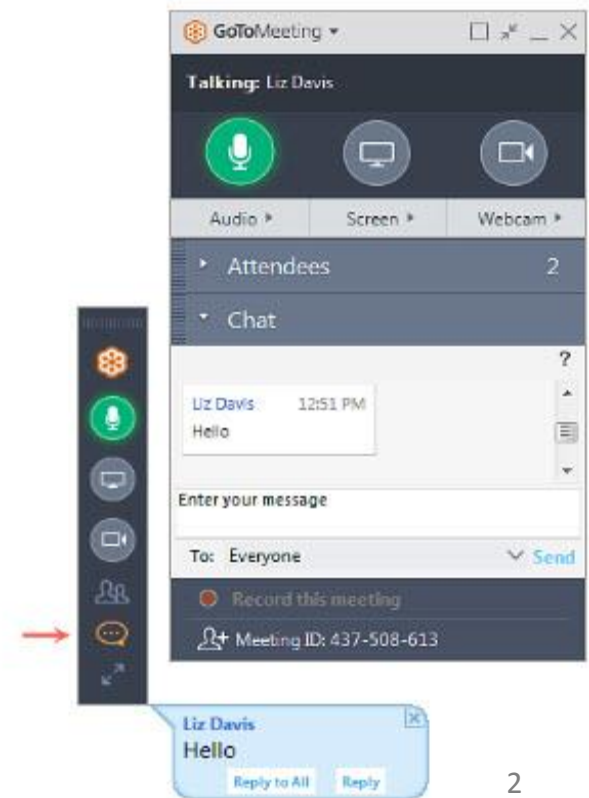
WELCOME

- **AUDIO:**

- Call **(919) 250-7881** and **MUTE** phone.
- Use your computer audio or call in using
(872) 240-3311 Access Code: 919-011-741

- **CHAT:**

- The Control Panel includes a Chat pane.
- Use the **To** drop-down menu to select recipients.
- **Organizer(s) only** to sends to NCDOT Construction only.



Why are we here?

- To educate all staff on approving and entering subcontracts.
- Questions about SAFs have come up with both NCDOT staff and contractor staff
- Inconsistencies on HICAMS entry
- Incorrect SAFs provides incorrect data for reporting to various entities about subcontractor use. This applies to both overall subcontractor and DBE usage.

Subcontract Approval Forms (SAF)

- Required for all subcontractors who work on project. This includes subs, 2nd tier subs, etc. for all contracts
- Must be submitted and approved by NCDOT prior to the subcontractor beginning work
- Suppliers and Manufacturers are not required to submit SAF but still should be tracked for DBE participation. This can involve completing an SAF for documentation, submitting invoices for tracking, or other means of tracking products that are used on projects.
- All subcontracts should be received within 30 days after the date of availability or 20% of contract time, whichever is greater.

SAF Basics

- SAF can be downloaded from Construction Unit website - Under Construction Resources
- Excel file that can be saved and used by contractors


The screenshot shows the Connect NCDOT website interface. The browser address bar displays `connect.ncdot.gov/projects/construction/Pages/Construction-Resources.aspx`. The website header includes navigation links for Home, Help, and Site Map, and a search bar. The main navigation menu is divided into sections: Doing Business, Bidding & Letting, **Projects**, Resources, and Local Governments. Below this, a secondary menu includes Planning, **Construction**, Research, Roadway Design, Work Zone, Contracts, Toolkit, High Profile Projects, and Bicycle & Pedestrian.

The main content area is titled **Construction Resources** and provides a description: "Construction forms, engineers maps and federal project resources." A breadcrumb trail shows the path: Home > Connect NCDOT > Projects > Construction > Construction Resources.

The page is organized into several sections:

- Construction Forms:**
 - 1-CLAIMS:**
 - CCSF-1 Contractor Claim Submittal (CCSF) - PDF icon
 - ACRF-1 Claims Resolution Form Fillable.pdf (ACRF-1) - PDF icon
 - ACRF-2 Claims Resolution Form Fillable.pdf (ACRF-2) - PDF icon
 - 2-SUBCONTRACTING:**
 - DBE MBE WBE Replacement Request Form - PDF icon
 - Subcontract Approval Form Revised 11/2012 (SAF Rev. 11/2012)** - ZIP icon (highlighted with a red box)
 - 3-STRUCTURES:**
 - Resident Engineers Notice of Vertical Clearance Change VCC - ZIP icon
 - Notice for Completion of Structure Work Revised March 2013 - ZIP icon
- Featured:**
 - Project Closeout Report Application (2015-09-23 11:57:05) - ZIP icon
 - Subcontract Approval Form Revised 11/2012 (2017-06-01 12:30:54) - ZIP icon
 - 2013 Weather Delay Reporting Memo (2015-09-18 14:59:00) - PDF icon
 - Contract Payment Report (2017-05-10 16:18:50) - ZIP icon
- Employee Directory:** Staff contacts for Construction Unit.
- Contact Form:** For questions & feedback about this area of Connect.

Completing the SAF



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	<input type="checkbox"/>	Certification	Reporting No.
2 nd Tier-1 Subcontractor Name and Address	<input type="checkbox"/>	Certification	Reporting No.

Completing the SAF

- Contract No. – The contract number for the project C##### or D#####
- FA No. – the Federal Aid number (if applicable)
- Subcontract Request No. – Prime can number the subcontracts or it can left blank and RE can enter this number as entered in HICAMS
- WBS Element – WBS Element for the contract – doesn't have to include all WBS for the contract
- TIP No. – TIP No of project (if applicable)
- County – County that contract is in
- Subcontractor Name and Address – Subcontractor name and home address (this may be different than field office)
- 2nd Tier Subcontractor Name and Address (if applicable) – Name of 2nd tier subcontractor and home address (may be different than field office)
- Retainage – Should be marked with an “X” if retainage is being withheld for subcontractor (If the subcontractor does not have a payment and performance bond for their portion of work)
- Certification – DBE, MBE, or WBE (if applicable) – None (if not applicable)
- Reporting No. – Fiscal Vendor No.

Verifying Subcontractors

All who perform work for NCDOT must be preapproved to do so. Acceptable approvals are as:

1. Prequalified Bidder or Bidders – approved to perform work as a prime contractor on any project (Division or Centrally let) or as a subcontractor on any project
2. Purchase Order or PO Prime Contractors– approved to act as a prime on Division let contracts or as a subcontractor on any project
3. Subcontractor – Approved to work as a subcontractor, Can't serve as a prime on any contract

Verifying Subcontractors

Prior to moving forward with approving a subcontractor – the subcontractor status should be verified. This can be done in the Vendor application or from Vendor Directory website.

They should not only be an approved subcontractor, but should also be approved to perform the work they are subcontracted for



<https://www.ebs.nc.gov/VendorDirectory/search.html?s=pbs&a=new>

Verifying Subcontractors - Vendor

Review Contractors (New)

Contractor Selection

Filter

Firm Name:

Highway Contractor Type: (All)

Other Type: (All) Fiscal Vendor

Pre-Qualification Number: Division Maintenance

Firm	Highway Contractor Type	Other Type	Address	City	State	Zip	Vendor ID	Certification	Fiscal Vendor Number
DANIS CONSTRUCTION CO	Prequalified Bidder	None	5511 CAPITAL CENTER DRIVE	RALEIGH	NC	27606	16896		106828
DAVE POST COMPANY	History	None	870 NORTH MARYE DRIVE	GRAHAM	NC	27253	9910		75401
DAVID ALLEN COMPANY INC	Subcontractor	None	P.O. Box 27705	RALEIGH	NC	27611	15898		97471
DAVID ALLEN COMPANY INC	Subcontractor	None	150 RUSH STREET	RALEIGH					
DAVIE CONSTRUCTION CO	None	None	---	CLEMMONS					
DAVIE CONSTRUCTION CO	None	None	P.O. Box 1724	CLEMMONS					
DAVIS SIGN COMPANY INC	Subcontractor	None	208 REGENT DRIVE	WINSTON SALEM					
DELAWARE CAR COMPANY	Purchase Order	None	P.O. Box 233	WILMINGTON					
DELLINGER GRADING COMPANY	None	None	2161 EDGEHILL LANE	LINCOLTON					
DEROVATIONS CORPORATION	None	None	2657 32ND AVENUE SOUTH	MINNEAPOLIS					
DEVERE CONSTRUCTION CO	History	None	1030 DEVERE DRIVE	ALPENA					
DIAMOND CORING COMPANY	Prequalified Bidder	None	11800 S EWING AVENUE	CHICAGO					

OK Cancel

Approval Status is listed under Highway Contractor Type

Firms with "None" and "History" are not approved to perform subcontract construction work on projects

Verifying Subcontractors - Vendor

Review Contractors (New)

Contractor Selection

Filter

DBE Certification and Fiscal Vendor Number can be located in last two columns

Vendor ID:

Fiscal Vendor Number:

Maintenance Contractor: (All)

Retrieve

Reset

Firm	Highway Contractor Type	Other Type	Address	City	State	Zip	Vendor ID	Certification	Fiscal Vendor Number
DIVINE CONCRETE FINISHING	Subcontractor	None	1067 PRITCHETT LANE	BLAIRS	VA	24527	16509		104434
DIVINE CONSTRUCTION CO	None	Vertical/Building Cons	290 EAST STREET	PITTSBORO	NC	27312	7874	DBE, WB, SBE	64550
DIVINE CONSTRUCTION CO	None	Vertical/Building Cons	P.O. Box 1579	PITTSBORO	NC	27312	7874	DBE, WB, SBE	64550
DIXIE ELECTRIC COMPANY	None	Vertical/Building Cons	5195 SHILOH ROAD	CUMMING	GA	30040	7379	DBE, WB	65180
DMC CONSTRUCTION COM	Subcontractor	Road & Street Constr	453 FUTTRELL ROAD	RICHLANDS	NC	28574	15876		100641
DOGGETT CONSTRUCTION	Subcontractor	None	2124 SCALESVILLE ROAD	SUMMERFIELD	NC	27358	2122		51048
DONNELL THOMPSON CON	History	None	P.O. Box 1146	DURHAM	NC	27702	4423		40482
DOREY ELECTRIC COMPAN	Prequalified Bidder	Road & Street Constr	894 WIDGEON ROAD	NORFOLK	VA	23513	3509		51805
DOREY ELECTRIC COMPAN	Prequalified Bidder	Road & Street Constr	P.O. Box 10158	NORFOLK	VA	23513	3509		51805
DUDLEY'S FENCE COMPAN	Purchase Order	Goods and Services	4136 FIELDS STATION RD	LAGRANGE	NC	28551	10432	DBE, MB, SBE	72084
DUTRA DREDGING COMPAN	None	None	2350 KERNER BOULEVARD	SAN RAFAEL	CA	1901-5595	11603		85052
E & H LEASING COMPANY LL	None	None	P.O. Box 749	HUDSON	NC	28638	5764		56705

OK Cancel

Verifying Subcontractors - Vendor

Review Contractors (Vendor ID: 8504)

Firm Name: ABRAM CONSTRUCTION INC

Highway Contractor Type: Purchase Order

Other Type: Road & Street Construction

Vendor ID: 8504

General | Address | Owner | Work Codes | NAICS Codes | Officer | Certification | History

Employer ID Number: -

Division Number: 10

Social Security Number: - -

Fiscal Vendor Number: 68944

Old Federal ID/SSN:

Board Number:

Firm Established: 09/10/2009

Division Maintenance Contractor:

Firm Type: Corporation

Joint Venture:

Nature of Business:

Known Supplier:

Pre-Qualification

Number: 0 **Status:** Not Previously Pre-Qualified **Expiration:** 00/00/0000

Certification

Type: DBE, MB, SBE

Firm Gender: Male

Certified: 07/31/2016

Firm Ethnicity: Black American

Other Disadvantaged: No

Comment: COMMENT: CODE 099 OTHER: ADJUSTING MANHOLES

Once you select the firm, you will see information relative to the firm. This includes:

- Name
- Prequalification Status
- DBE (if applicable)
- Fiscal Vendor Number

Verifying Subcontractors - Vendor

UVM vendor system - [nicamsprod]

File Functions Inquiries Admin Tools Window Help

Review Contractors (Vendor ID: 8504)

Firm Name: ABRAM CONSTRUCTION INC

Highway Contractor Type: Purchase Order

Other Type: Road & Street Construction

Vendor ID: 8504

General Address Owner **Work Codes** NAICS Codes Officer Certification History

Code	Select Code	Workcode Description
000200	<input checked="" type="checkbox"/>	Clearing and Grubbing
000846	<input checked="" type="checkbox"/>	Curb and Gutter/Shoulder Berm Gutter
000050	<input checked="" type="checkbox"/>	Hauling (Except Asphalt)
000825	<input checked="" type="checkbox"/>	Incidental Concrete Construction
000840	<input checked="" type="checkbox"/>	Minor Drainage Structures (Drop Inlets, Catch Basins, etc.)
000099	<input checked="" type="checkbox"/>	Other Construction
000310	<input checked="" type="checkbox"/>	Pipe Culverts/Storm Drain Installation
000848	<input checked="" type="checkbox"/>	Sidewalk, Driveways, and Wheelchair Ramps
001630	<input checked="" type="checkbox"/>	Silt Detention Device (Silt Basin)
001605	<input checked="" type="checkbox"/>	Temporary Silt Fence
000520	<input type="checkbox"/>	Aggregate Base Course
008020	<input type="checkbox"/>	Airport Asphalt Paving
008110	<input type="checkbox"/>	Airport Clearing
008010	<input type="checkbox"/>	Airport Concrete Paving
008070	<input type="checkbox"/>	Airport Electronics and Navigation Aids

The type of work that a firm is approved to perform is found on the work codes tab. In this case, the firm could be subcontracted to perform any of these items. They couldn't be approved to perform other items of work such as building a bridge or pavement striping. This should be verified prior to approving any SAF.

Verifying Subcontractors - Directory

Pages - Home Page_ | Construction Manuals | Construction Manual | 2018 Specifications and Spe | Directory of Firms | Con X

ebs.nc.gov/vendorDirectory/search.html?s=pbs&a=new

Connect NCDOT
BUSINESS PARTNER RESOURCES

Home Help Site Map

Doing Business | Bidding & Letting | Projects | Resources | Local Governments

Prequalify | Small Business | **Directory of Firms** | Trucking | Fleet & Material Management | DMV | Public Transportation | Purchasing | Turnpike | FTZ

Directory of Firms

Complete listing of certified and prequalified firms.

Doing Business > Directory of Firms > Prequalified Bidders, PO Prime Contractors, & Subcontractors

Prequalified Bidders, PO Prime Contractors, & Subcontractors

Start Your Search

A.

Prequalified Contractors

- All Bidders, PO Prime Contractors, and Subcontractors
- Bidders Only
- PO Prime Contractors Only
- Subcontractors Only

B.

Firm Name:

[Click to show/hide additional search options](#)

Start Your Directory Search

- Certified Firms
- Prequalified Bidders, PO Prime Contractors, & Subcontractors
- Prequalified Consultants
- Firm Name
- NCDOT Work Code
- NAICS Code
- Help

Download Vendor Listings

- DBE Directory
- SBE Directory
- Prequalified Bidders, PO Prime Contractors, & Subcontractors

Prequalification Status of Firms

Enter Firm Name – Use Wild Card * as needed

Submit Search

Verifying Subcontractors - Directory

Close tab (Ctrl+vw)

ebs.nc.gov/vendorDirectory/results.html?sap-params=ZmlybV9uYW11PSUyYUNvbnN0cnVjdGlvbUyYSZwPTEIMjAmY3VycmVudF9zZWYy2hfcGFnZT1wYnMmc2Vs

Firm	Address	Contact	Certifications	Prequal Status
274 CONSTRUCTION GROUP INC	420 RALEIGH ST SUITE F WILMINGTON, NC 28412	DONNIE KING JR 910-297-8814 910-833-7726 (FAX) Email		PO Prime Contractor
4 D CONSTRUCTION	PO Box 806 MAXTON, NC 28364	DANIEL BOWEN 910-316-7956 Email	DBE, MBE	Subcontractor
A R CHESSON CONSTRUCTION CO INC	PO Box 1147 WILLIAMSTON, NC 27892	AL CHESSON 252-792-4486 252-792-9090 (FAX) Email		Bidder
ABATEMENT TECHNOLOGY AND CONSTRUCTION SOLUTIONS LLC	PO Box 44 TOBACCOVILLE, NC 27050	MYRA AULT 336-345-2307 336-985-4951 (FAX) Email	SBE	Subcontractor, Professional Consultant
ABRAM CONSTRUCTION INC	PO Box 1194 CONCORD, NC 28026	WILLIAM D ABRAM SR 704-600-8056 Email	DBE, MBE, SBE, HUB	PO Prime Contractor
ACCESS PAVING AND CONSTRUCTION, LLC	PO Box 52691 DURHAM, NC 27707	FRANK WATSON 919-638-7374 Email		Subcontractor
ACE CIVIL PAVING		BO COLLINS		

SBC Directory

Prequalified Bidders, PO Prime Contractors, & Subcontractors X

Prequalified Consultants X

Contact Form

For questions & feedback about this area of Connect NCDOT, contact *Contractual Services*.

You can verify prequalification status, certifications, and address. Click on the firm name to check approved work codes.


Verifying Subcontractors - Directory

Browser address bar: ebs.nc.gov/VendorDirectory/detail.html?s=pbs&f=000068944

(for DBE only)	Road & Street Construction
Certifications:	DBE, MBE, SBE, HUB
Prequalification Status:	PO Prime Contractor
Construction Work Codes: (for Prequalified Contractors only)	000050 - HAULING (EXCEPT ASPHALT) 000099 - OTHER - ADJUSTING MANHOLES 000200 - CLEARING AND GRUBBING 000310 - PIPE INSTALLATION 000825 - INCIDENTAL CONCRETE CONSTRUCTION 000840 - MINOR DRAINAGE STRUCTURES (DROP INLETS, CATCH BASINS, ETC) 000846 - CURB AND GUTTER/SHOULDER BERM GUTTER 000848 - SIDEWALK, DRIVEWAYS, AND WHEELCHAIR RAMPS 001605 - TEMPORARY SILT FENCE 001630 - SILT DETENTION DEVICE (SILT BASIN)
SBE Work Codes:	000050 - HAULING (EXCEPT ASPHALT) 000055 - HAULING (ASPHALT) 000099 - OTHER 000200 - CLEARING AND GRUBBING 000225 - ROADWAY GRADING AND EXCAVATION 000310 - PIPE CULVERTS/STORM DRAINAGE INSTALLATION 000542 - SOIL-CEMENT BASE 000657 - CRACK AND JOINT SEAL (ASPHALT PAVEMENT) 000710 - CONCRETE PAVEMENT 000815 - SUBSURFACE DRAINAGE INSTALLATION 000825 - INCIDENTAL CONCRETE CONSTRUCTION 000848 - SIDEWALK, DRIVEWAYS, AND WHEELCHAIR RAMPS 000854 - CONCRETE BARRIER 000866 - FENCE INSTALLATION 000900 - PERMANENT SIGNING 001105 - WORK ZONE TRAFFIC CONTROL DEVICES 001110 - WORK ZONE SIGNS

Prequalified bidders, PO Prime Contractors, & Subcontractors X

Prequalified Consultants X

 **Work Codes should be verified under Construction Work Codes (for prequalified subcontractors only). You can also check the prequalification status, certifications, and all other information on this screen.**

SAF – Subcontracting work

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.		

- Line Code Number – Contract line number
- Item Description – Description of work (Line Item Description)
- Portion / Partial – portion ● or partial ◆
- Sub or 2nd tier – Is it a sub or 2nd tier (or 3rd tier, etc). 2nd tier subcontractors are referred to a 2nd tier-1. 3rd tier subcontractors would be 2nd tier-2 and so on in the dropdowns.
- Quantity – Quantity of work to be subcontracted (can be less than total contract amount)
- UOM – Unit of Measure
- CP – Converted Price
- DBE Unit Price – Unit Price DBE is being paid
- DBE Sublet Amount – Unit Price DBE * Quantity
- Subcontract Unit Price – Contractual Value of Works
- Total Subcontract Amount – Subcontract Unit Price * Quantity

Partial Amount of Work

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

What part of the work is the sub performing? This means the sub is performing some aspect of the line code work but not the entire scope of work included in the line item.

If a sub is performing a partial, list the part of the work they are performing on the SAF.

Portion of Work

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

A portion of work is quantity based...the sub is not performing all of the contract quantity for a line item of work.

Portion and Partial

A sub can perform a portion and a partial. For example, a trucking sub can haul half of the asphalt for a contract. It is a portion because it is a portion of the quantity and a partial because they are only performing part of the work associated with the line item.

DBE Commitments

- Commitments for a contract are shown in the back of an executed contract. These are the firms who the prime contractor submitted to meet the DBE/MBE/WBE requirements in the contract.
- Staff from the RE office should be aware of the commitments for the project.
- There is summary information and detailed quantity/unit price breakdown in the contract. Contractors are required to meet the quantity and unit price they submit at bid time to meet the commitments, not the total dollar value committed.
- Quantities and unit prices can exceed commitment value but can't be less than commitments.
- These firms are required to be used unless the DBE Replacement process is followed.

DBE Commitments

Summary

LIST OF MBE PARTICIPANTS

VENDOR NUMBER	DBE NAME ADDRESS	WORK CODE TYPE OF WORK	CERT TYPE AMOUNT	
12196 ^{MB}	COVENANT TRUCKING CO., INC. P. O. BOX 1000 , YOUNGSVILLE, NC 27596		Sub 5,603,347.95	Committed
1991 ^{MB}	MCCAIN STRIPING SERVICE, INC. 5711 CRAVEN ROAD , BROWNS SUMMIT, NC 27214		Sub 829,737.89	Committed
12836 ^{MB}	SKYROCK CONCRETE FINISHING, INC P. O. BOX 2278 , SHELBY, NC 28151		Sub 1,443,825.00	Committed
4259 ^{MB}	AL'S MASONRY 120 HICKORY DR. , CLAYTON, NC 275209710		Sub 898,001.67	Committed
			TOTAL: \$8,774,912.51	
			6.18%	

Vendor 8887's Bid Information for Call 002, Letting L141118, 11/18/14

Unknown (8887)
Call Order 002 (Proposal ID C203394)

LIST OF WBE PARTICIPANTS

VENDOR NUMBER	DBE NAME ADDRESS	WORK CODE TYPE OF WORK	CERT TYPE AMOUNT	
4761 ^{WB}	TRAFFIC CONTROL SAFETY SERVICES POST OFFICE BOX 24511 , WINSTON-SALEM, NC 27114		Sup 2,737,279.90	Committed
3346 ^{WB}	LINEBERRY, INC. POST OFFICE BOX 307 , CLIMAX, NC 27233		Sub 2,817,187.50	Committed
4898 ^{WB}	BULLINGTON CONSTRUCTION INC 417 FOXGLOVE LANE , INDIAN TRAIL, NC 28079		Sub 1,137,417.00	Committed
11087 ^{WB}	HARDSCAPES CONSTRUCTION INC 139 GIBRALTER AVENUE , ANNAPOLIS, MD 21401		Sub 1,726,672.20	Committed
4417 ^{WB}	POZZOLANIC CONTRACTING & SUPPLY 2401 ASBURY ROAD , KNOXVILLE, TN 379146408		Sub 1,838,055.00	Committed
3080 ^{WB}	CURTIN TRUCKING & DRAINAGE, INC POST OFFICE BOX 38220 , CHARLOTTE, NC 282781003		Sub 1,278,620.00	Committed
			TOTAL: \$10,440,319.6	
			7.35%	

Vendor 8887's Bid Information for Call 002, Letting L141118, 11/18/14

Unknown (8887)
Call Order 002 (Proposal ID C203394)

Miscellaneous Data Info - Contractor Responses:
=====

NON-COLLUSION AND DEBARMENT CERTIFICATION

Explanation of the prospective bidder that is unable to certify to any of the statements in this certification:

Explanation:

Breakdown

NORTH CAROLINA STATE DEPARTMENT OF TRANSPORTATION
MBE COMMITMENT ITEMS DATE:09-24-14
PAGE: 70

LINE NO.	ITEM NO.	ITEM DESC.	UNIT TYPE	SUBCONTRACTOR QUANTITY	SUBCONTRACTOR UNIT PRICE	EXTENDED AMOUNT
0001	0000100000-N	MOBILIZATION	LS	1.000	78000.00000	78000.00
0153	2535000000-E	***X*** CONC	LF	640.000	18.00000	11520.00
0154	2535000000-E	***X*** CONC	LF	840.000	20.00000	16800.00
0155	2542000000-E	1'-6" CONC C	LF	650.000	14.00000	9100.00
0156	2549000000-E	2'-6" CONC C	LF	19370.000	16.00000	309920.00
0157	2556000000-E	SHOULDER BER	LF	12121.000	25.00000	303025.00
0158	2577000000-E	CONC EXPRESS	LF	3870.000	25.00000	96750.00
0159	2591000000-E	4" CONCRETE	SY	7720.000	29.00000	223880.00
0160	2605000000-N	CONCRETE CUR	EA	110.000	1100.00000	121000.00
0161	2612000000-E	6" CONCRETE	SY	1130.000	48.00000	54240.00
0162	2619000000-E	4" CONCRETE	SY	1010.000	59.00000	59590.00
0163	2627000000-E	4" CONC ISLA	SY	45.000	100.00000	4500.00
0164	2655000000-E	5" MONO CONC	SY	3110.000	50.00000	155500.00

MBE COMMITMENT TOTAL FOR SUBCONTRACTOR: 1,443,825.00 Committed

MBE SUBCONTRACTOR: 4259 AL'S MASONRY
Will Use Quote: Yes

0129	2209000000-E	ENDWALLS	CY	48.200	800.00000	38560.00
0130	2220000000-E	REINFORCED E	CY	45.700	850.00000	38845.00
0134	2286000000-N	MASNRY DRAIN	EA	444.000	1072.71000	476283.24
0135	2297000000-E	MASNRY DRAIN	CY	42.731	675.00000	28843.43
0136	2308000000-E	MASNRY DRAIN	LF	386.100	200.00000	77220.00
0137	2354000000-N	FRAME W/GRAT	EA	19.000	500.00000	9500.00
0139	2364000000-N	FRAME W/2GRT	EA	8.000	475.00000	3800.00
0140	2364200000-N	FRAME W/2GRT	EA	112.000	475.00000	53200.00
0138	2363000000-N	FRAME W/2GRT	EA	19.000	475.00000	9025.00
0141	2365000000-N	FRAME W/2GRT	EA	172.000	500.00000	86000.00
0142	2366000000-N	FRAME W/2GRT	EA	5.000	475.00000	2375.00
0143	2367000000-N	FRAME W/2GRT	EA	6.000	475.00000	2850.00
0144	2374000000-N	FRAME-GRT-HD	EA	21.000	500.00000	10500.00
0145	2374000000-N	FRAME-GRT-HD	EA	31.000	500.00000	15500.00
0146	2374000000-N	FRAME-GRT-HD	EA	41.000	500.00000	20500.00
0147	2396000000-N	FRAME W/COVE	EA	35.000	400.00000	14000.00
0148	2407000000-N	STL FRAM W/	EA	10.000	1100.00000	11000.00

MBE COMMITMENT TOTAL FOR SUBCONTRACTOR: 898,001.67 Committed

TOTAL MBE COMMITMENT FOR VENDOR: Entered: 6.18% or 8774912.51
Required: 6.00% or 8516970.00

Required to meet minimum quantity and unit price

DBE/WB/MB Information

- If a DBE firm is not committed on the project, you should still require the contractor to show the DBE unit price and DBE amount on the SAF.
- The information is critical as we still require payments to be reported in DBE tracking and the information is used in reporting for race neutral goals (DBE participation over and above commitments)
- This information should be entered in HICAMS in addition to being shown on the SAF.

Completing SAF - Prices

- DBE/MBE/WBE Unit Price should reflect the unit price the prime is paying the sub. It can be more or less than the subcontract unit price
- Subcontract Unit Price is the contractual value of the work. This is the contractual value of the contract between NCDOT and the prime. It shouldn't be more than the contract unit price. It can be less if the sub is not performing all work associated with the line item of work (performing a partial). If they are performing 100% of the work associated with the line item of work, this should reflect the contract value of the work. It is not reflective of the prime/sub agreement for price.
- If you have multiple subs performing part of the work for a line item, the total of all subcontract unit prices can't exceed the contract unit price. For example, if the prime has a sub placing asphalt and another sub hauling asphalt. The total unit price for both subs can't be more than the contract unit price.
- The 2 sections of the form for pricing aren't filled out as one or the other. If the firm is not a DBE, just the subcontract unit price/amount $\frac{1}{2}$ should be completed. If the firm is a DBE, both pricing sections should be completed.

Converted Price

- Should be denoted by * in CP column
- Used when the payment to the subcontractor is not in the same unit of measure as the line item. Example – Hauling is generally subcontracted by the hour, but asphalt is paid by NCDOT by the ton.
- How to calculate (example from HICAMS manual – Completing the SAF)
Asphalt Concrete Surface Course, Type S9.5B
Bid Quantity: 710 tons
Bid Price: \$50 / ton
Amount Bid: \$35,500.00
Sub will haul for \$60 / hour and is going to haul 15 hours
Total \$900 / 710 tons = converted price of \$1.2676 / ton

Signatures

SUBCONTRACT CERTIFICATION (applies only to Federal projects)	
The Contractor / Subcontractor certifies that the subcontract is in writing and that FHWA 1273, "Required Contract Provisions," have been included in the subcontract / 2 nd tier subcontract in its entirety.	
Contractor: Signature: _____ Title: _____ Date: _____	APPROVED: Resident Engineer _____ Date _____
Subcontractor: Signature: _____ Title: _____ 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.
2 nd Tier Subcontractor: Signature: _____ Title: _____ Date: _____	

The SAF should be signed by the prime contractor, subcontractor, and 2nd tier subcontractor (if applicable) when submitted. The name of the firm should be on the first line, signature of the approver, and their title with the firm. Each signer should date the form as well.

If the SAF is accurate as submitted and the firm is a prequalified vendor, the Resident Engineer can approve the SAF, allowing the subcontractor to begin work on the project. The Resident Engineer should sign and date the form.

Executed subcontract agreements should be uploaded to the Subcontracts folder in Sharepoint.

Electronic Signatures

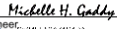
- NCDOT utilizes DocuSign for business related signatures. This includes subcontract approval forms.
- The contractor may submit to the Resident Engineer a copy of the SAF electronically signed. After review, the RE can use DocuSign to approve the SAF.
- This is a huge time savings for submittal and approval of documents and should be considered if you aren't currently using DocuSign.

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
26	18" Concrete Curb and Gutter *Prime to provide traffic control	●	◆	Sub	180.000	LF		\$12.0000	\$2,160.00	\$10.0000	\$1,800.00
27	2'6" Concrete Curb and Gutter *Prime to provide traffic control			Sub	112.000	LF		\$10.0000	\$1,120.00	\$13.0000	\$1,456.00
28	4" Concrete Sidewalk			Sub	65.000	SY		\$55.0000	\$3,575.00	\$50.0000	\$3,250.00
29	Rip Rap, Class I			Sub	60.000	TON		\$45.0000	\$2,700.00	\$50.0000	\$3,000.00
								DBE/MBE/WBE Amount	\$9,555.00	Subcontract Amt.	\$9,506.00

Indicates a Portion of Work (●)

Indicates a Partial Item (◆)



SUBCONTRACT CERTIFICATION (applies only to Federal projects)	
The Contractor / Subcontractor certifies that the subcontract is in writing and that FHWA 1273, "Required Contract Provisions," have been included in the subcontract / 2 nd tier subcontract in its entirety.	
Contractor: Signature: _____ Title: _____	Date: _____
Subcontractor: Signature: _____ Title: _____	Date: _____
2 nd Tier Subcontractor: Signature: _____ Title: _____	Date: _____
APPROVED: <small>DocuSigned by:</small>  <small>3/28/2018</small> 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.	

Entering SAF into HICAMS

The screenshot shows the 'Contractor Selection' window. The 'Filter' section includes the following fields and options:

- Firm Name: [Text Input]
- Highway Contractor Type: [Prequalified Bidder, Subcontractor, Purchase]
- Other Type: [All]
- Pre-Qualification Number: [Text Input]
- Vendor ID: [Text Input]
- Fiscal Vendor Number: [Text Input]
- Division Maintenance Contractor: [All]

Buttons: Retrieve, Reset, OK, Cancel.


Firm	Highway Contractor Type	Other Type	Address	City	State	Zip	Vendor ID	Certification	Fiscal Vendor Number
[Empty Table]									

Comment: [Text Input]

Tip: Use the * to search for a key word in the firm name. Some companies have variations in their name by using symbols or spaces in their name. Example: *company* will bring up every firm with company in their name.

To enter a SAF into HICAMS, under Functions, click on Contract Maintenance, Review Subcontracts. Enter your contract number and Click on “New” button (at bottom right corner). The Contractor Selection window comes up. You will note the Highway Contractor Type defaults to “Prequalified Bidder; Subcontractor; Purchase Order”.

You can only enter an SAF for a firm that meets one of these requirements. If you have a supplier or manufacturer that is being used for DBE/MBE/WBE credit, they can’t be entered into HICAMS unless they meet one of these contractor types. A firm who is not prequalified at time of submittal of the SAF shouldn’t perform work on the project.


Contract: DE00067 **Prime Contractor:** THE LANE CONSTRUCTION CORPORATION
Description: Cary Parkway Culvert
Subcontract: **Revision:** **Subcontractor:** ATLANTIC CONTRACTING COMPANY, INC.  **Railroad Ins:**
Status: Pending Approval **Amount:** \$10,738.00 **Certification:** WB **Goals Amount:** \$10,738.00

Contract Line Items (drag and drop items to be subcontracted):

Line Item	Cont Adj	Description	UOM	Quantity	Unit Price	Amount
28		4" CONCRETE SIDEWALK	SY	65.000	\$50.0000	\$3,250.00
29		RIP RAP, CLASS I	TON	60.000	\$50.0000	\$3,000.00
30		RIP RAP, CLASS II	TON	10.000	\$60.0000	\$600.00
31		GEOTEXTILE FOR DRAINAGE	SY	80.000	\$6.0000	\$480.00


Subcontracted Items

Line Item	Cont Adj	Line Item	UOM	Cert. %	Partial	Quantity	Unit Price	Goals Unit Price
26		1'-6" CONC CURB & GUTTER	LF	100% <input type="button" value="v"/>	<input type="checkbox"/>	234.000	12.0000	12.0000
27		2'-6" CONC CURB & GUTTER	LF	100% <input type="button" value="v"/>	<input type="checkbox"/>	112.000	15.0000	15.0000
28		4" CONCRETE SIDEWALK	SY	100% <input type="button" value="v"/>	<input type="checkbox"/>	65.000	50.0000	50.0000
29		RIP RAP, CLASS I	TON	100% <input type="button" value="v"/>	<input type="checkbox"/>	60.000	50.0000	50.0000

Comment: 

After you have selected the subcontractor, pick the certification that is applicable (WB in this case).

Click on the contract line items from the top area and pull each subcontracted work item down to the bottom section. The contract quantity and unit price will automatically auto populate in the subcontracted section. If you selected DBE/MBE/WBE certification, the goals unit price will auto populate as well.

Contract: DE00067 Prime Contractor: THE LANE CONSTRUCTION CORPORATION
 Description: Cary Parkway Culvert
 Subcontract: 1 Revision: Subcontractor: ATLANTIC CONTRACTING COMPANY, INC.  Railroad Ins:
 Status: Pending Approval Amount: \$9,506.00 Certification: WB Goals Amount: \$9,555.00

Contract Line Items (drag and drop items to be subcontracted):

Line Item	Cont Adj	Description	UOM	Quantity	Unit Price	Amount
28		4" CONCRETE SIDEWALK	SY	65.000	\$50.0000	\$3,250.00
29		RIP RAP, CLASS I	TON	60.000	\$50.0000	\$3,000.00
30		RIP RAP, CLASS II	TON	10.000	\$60.0000	\$600.00
31		GEOTEXTILE FOR DRAINAGE	SY	80.000	\$6.0000	\$480.00


Subcontracted Items

Line Item	Cont Adj	Line Item	UOM	Cert. %	Partial	Quantity	Unit Price	Goals Unit Price
26		1'-6" CONC CURB & GUTTER	LF	100%	<input checked="" type="checkbox"/>	180.000	10.0000	12.0000
27		2'-6" CONC CURB & GUTTER	LF	100%	<input checked="" type="checkbox"/>	112.000	13.0000	10.0000
28		4" CONCRETE SIDEWALK	SY	100%	<input type="checkbox"/>	65.000	50.0000	55.0000
29		RIP RAP, CLASS I	TON	100%	<input type="checkbox"/>	60.000	50.0000	45.0000



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	
26	1'6" Concrete Curb and Gutter*	●	◆	Sub	180.000	LF		\$12.0000	\$2,160.00	\$10.0000	\$1,800.00	
	*Prime to provide traffic control											
27	2'6" Concrete Curb and Gutter*		◆	Sub	112.000	LF		\$10.0000	\$1,120.00	\$13.0000	\$1,456.00	
	*Prime to provide traffic control											
28	4" Concrete Sidewalk			Sub	65.000	SY		\$55.0000	\$3,575.00	\$50.0000	\$3,250.00	
29	Rip Rap, Class I			Sub	60.000	TON		\$45.0000	\$2,700.00	\$50.0000	\$3,000.00	
									DBE/MBE/WBE Amount	\$9,555.00	Subcontract Amt.	\$9,506.00

Quantity goes in quantity field. Subcontract Unit Price goes in the unit price field. DBE/MBE/WBE Unit Price goes in Goals Unit Price. The unit price can not be edited in HICAMS unless it is a partial. Partial box can be checked.


Contract: DE00067 Prime Contractor: THE LANE CONSTRUCTION CORPORATION
 Description: Cary Parkway Culvert
 Subcontract: 1 Revision: Subcontractor: ATLANTIC CONTRACTING COMPANY, INC.  Railroad Ins:
 Status: Pending Approval Amount: \$9,506.00 Certification: WB Goals Amount: \$9,555.00

Contract Line Items (drag and drop items to be subcontracted):

Line Item	Cont Adj	Description	UOM	Quantity	Unit Price	Amount
28		4" CONCRETE SIDEWALK	SY	65.000	\$50.0000	\$3,250.00
29		RIP RAP, CLASS I	TON	60.000	\$50.0000	\$3,000.00
30		RIP RAP, CLASS II	TON	10.000	\$60.0000	\$600.00
31		GEOTEXTILE FOR DRAINAGE	SY	80.000	\$6.0000	\$480.00

Subcontracted Items Detail Second Tier History

Line Item	Cont Adj	Line Item	UOM	Cert. %	Partial	Quantity	Unit Price	Goals Unit Price
26		1'-6" CONC CURB & GUTTER	LF	100%	<input checked="" type="checkbox"/>	180.000	10.0000	12.0000
27		2'-6" CONC CURB & GUTTER	LF	100%	<input checked="" type="checkbox"/>	112.000	13.0000	10.0000
28		4" CONCRETE SIDEWALK	SY	100%	<input type="checkbox"/>	65.000	50.0000	55.0000
29		RIP RAP, CLASS I	TON	100%	<input type="checkbox"/>	60.000	50.0000	45.0000

Comment: Prime is performing traffic control for LC#26 and #27 

Comments can be placed in the bottom to explain partials. Portions are by changing the quantity to be performed. You can also give any notes about converted prices in the comments section.

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	
26	1'6" Concrete Curb and Gutter*	●	◆	Sub	180.000	LF		\$12.0000	\$2,160.00	\$10.0000	\$1,800.00	
	*Prime to provide traffic control											
27	2'6" Concrete Curb and Gutter*		◆	Sub	112.000	LF		\$10.0000	\$1,120.00	\$13.0000	\$1,456.00	
	*Prime to provide traffic control											
28	4" Concrete Sidewalk			Sub	65.000	SY		\$55.0000	\$3,575.00	\$50.0000	\$3,250.00	
29	Rip Rap, Class I			Sub	60.000	TON		\$45.0000	\$2,700.00	\$50.0000	\$3,000.00	
									DBE/MBE/WBE Amount	\$9,555.00	Subcontract Amt.	\$9,506.00

2 Indicates a Portion of Work (●) Indicates a Partial Item (◆)

Contract: DE00067 Prime Contractor: THE LANE CONSTRUCTION CORPORATION
 Description: Cary Parkway Culvert
 Subcontract: 1 Revision: Subcontractor: ATLANTIC CONTRACTING COMPANY, INC. Rail Bid:
 Status: Pending Approval Amount: \$9,506.00 Certification: WB Goals Amount: \$9,555.00

Contract Line Items (drag and drop items to be subcontracted):

Line Item	Cont Adj	Description	UOM	Quantity	Unit Price	Amount
28		4" CONCRETE SIDEWALK	SY	65.000	\$50.0000	\$3,250.00
29		RIP RAP, CLASS I	TON	60.000	\$50.0000	\$3,000.00
30		RIP RAP, CLASS II	TON	10.000	\$60.0000	\$600.00
31		GEOTEXTILE FOR DRAINAGE	SY	80.000	\$6.0000	\$480.00

Subcontracted Items Detail Second Tier History

Line Item	Cont Adj	Line Item	UOM	Cert. %	Partial	Quantity	Unit Price	Goals Unit Price
26		1'-6" CONC CURB & GUTTER	LF	100%	<input checked="" type="checkbox"/>	180.000	12.0000	12.0000
27		2'-6" CONC CURB & GUTTER	LF	100%	<input checked="" type="checkbox"/>	112.000	11.0000	10.0000
28		4" CONCRETE SIDEWALK	SY	100%	<input type="checkbox"/>	65.000	50.0000	55.0000
29		RIP RAP, CLASS I	TON	100%	<input type="checkbox"/>	60.000	50.0000	45.0000

Comment: Prime is performing traffic control for LC#26 and #27


Total Amount of subcontract should match the amount entered in HICAMS. The Total DBE/MBE/WBE amount should match the goals amount in HICAMS.

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	
1	26 1'6" Concrete Curb and Gutter*	●	◆	Sub	180.000	LF		\$12.0000	\$2,160.00	\$10.0000	\$1,800.00	
2	*Prime to provide traffic control											
3	27 2'6" Concrete Curb and Gutter*		◆	Sub	112.000	LF		\$11.0000	\$1,232.00	\$13.0000	\$1,456.00	
4	*Prime to provide traffic control											
5	28 4" Concrete Sidewalk			Sub	65.000	SY		\$55.0000	\$3,575.00	\$50.0000	\$3,250.00	
6	29 Rip Rap, Class I			Sub	60.000	TON		\$45.0000	\$2,700.00	\$50.0000	\$3,000.00	
2	Indicates a Portion of Work (●)								DBE/MBE/WBE Amount	\$9,555.00	Subcontract Amount	\$9,506.00

Approval in HICAMS

- Once the SAF is approved, it should be approved in HICAMS. This should only be done by personnel who have viewed both the SAF and HICAMS entry for accuracy

Approve

Subcontract	Rev	Subcontractor	Certification	RR	Amount	Goals Amount	Status	Pending
1				<input type="checkbox"/>	\$84,422.00	\$72,992.83	Pending Approval	<input type="checkbox"/>
2				<input type="checkbox"/>	\$142,730.00	\$142,730.00	Pending Approval	<input type="checkbox"/>
3				<input type="checkbox"/>	\$468,420.21	\$468,420.21	Pending Approval	<input type="checkbox"/>
4				<input type="checkbox"/>	\$5,488,250.37	\$0.00	Pending Approval	<input checked="" type="checkbox"/>
5				<input type="checkbox"/>	\$637,180.21	\$0.00	Pending Approval	<input type="checkbox"/>
6				<input type="checkbox"/>	\$13,900.68	\$0.00	Pending Approval	<input type="checkbox"/>
7				<input type="checkbox"/>	\$387,806.70	\$387,806.70	Pending Approval	<input type="checkbox"/>
8				<input type="checkbox"/>	\$123,500.00	\$0.00	Pending Approval	<input type="checkbox"/>
9				<input type="checkbox"/>	\$6,880.00	\$6,880.00	Pending Approval	<input type="checkbox"/>
10				<input type="checkbox"/>	\$1,385,866.00	\$1,385,866.00	Pending Approval	<input type="checkbox"/>
11				<input type="checkbox"/>	\$1,151,970.81	\$0.00	Pending Approval	<input type="checkbox"/>
12				<input type="checkbox"/>	\$565,281.00	\$0.00	Pending Approval	<input type="checkbox"/>
13				<input type="checkbox"/>	\$349,031.25	\$349,031.25	Pending Approval	<input type="checkbox"/>

Why is this a problem

- Once subcontracts are approved in HICAMs, the information passes into BSIPs. A number of reports performed by NCDOT are run through BSIPs/BW.
- If it isn't approved in HICAMS, the data will never get picked up in reporting. This creates errors in all of the data that is provided for other groups. This can include FHWA, legislative requests, or public information requests.
- Critical to have accurate information in the reporting that is done.

Common Mistakes

Contract Line Items (drag and drop items to be subcontracted):

Line Item	Cont Adj	Description	UOM	Quantity	Unit Price	Amount
1		MOBILIZATION	LS	1.000	\$12,000.0000	\$12,000.00
2		AST, DOUBLE SEAL	SY	217,525.000	\$0.7200	\$156,618.00
3		EMULSION FOR AST	GAL	119,639.000	\$1.7400	\$208,171.86
4		BLOTTING SAND	TON	20.000	\$1.0000	\$20.00
5		WORK ZONE ADV/GEN WARN SIGN	SF	1,860.000	\$6.0000	\$11,160.00

Subcontracted Items Detail Second Tier History

Line Item	Cont Adj	Line Item	UOM	Cert. %	Partial	Quantity	Unit Price	Goals Unit Price
3		EMULSION FOR AST	GAL	100%	<input type="checkbox"/>	50,000.000	1.7400	.1000

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
3	Emulsion for AST, Hauling only	*	*	Sub	50,000.000	GAL		\$0.1000	\$5,000.00	\$1.7400	\$87,000.00

Appears to be entered correctly in HICAMS correctly based on the SAF. But, should this have been approved as a partial with a subcontract unit price of \$0.10 per gallon. If the value of work is based on hauling only, then the subcontract unit price shouldn't be entire contract price. If you see a huge variation in unit price and DBE price, then be sure to question it.

Common Mistakes

Line Item	Cont Adj	Line Item	UOM	Cert. %	Partial	Quantity	Unit Price	Goals Unit Price
1		MOBILIZATION	LS	100%	<input checked="" type="checkbox"/>	1.000	35,000.000	.0000
17		TRACER WIRE	LF	100%	<input checked="" type="checkbox"/>	41,300.000	.500	.0000
28		HEAT SHRINK TUB KIT	EA	100%	<input checked="" type="checkbox"/>	8.000	80.000	.0000
29		2" RISER WITH TUBING	EA	100%	<input checked="" type="checkbox"/>	48.000	95.000	.0000
32		COMMUNICATIONS CABLE (** FIBER) [(24)]	LF	100%	<input checked="" type="checkbox"/>	103,500.000	1.650	.0000
33		COMMUNICATIONS CABLE (** FIBER) [(48)]	LF	100%	<input checked="" type="checkbox"/>	800.000	1.850	.0000
34		DROP CABLE	LF	100%	<input checked="" type="checkbox"/>	13,700.000	1.650	.0000
35		SPLICE ENCLOSURE	EA	100%	<input checked="" type="checkbox"/>	35.000	1,495.000	.0000
36		MOD SPLICE ENCLOSURE	EA	100%	<input checked="" type="checkbox"/>	50.000	1,325.000	.0000
37		DELINEATOR MARKER	EA	100%	<input checked="" type="checkbox"/>	82.000	95.000	.0000
39		REM EXT COMM CABLE	LF	100%	<input checked="" type="checkbox"/>	2,100.000	.350	.0000

Comment: _____

Line Code Number	Item Description	(*) or (+)	Sub or 2nd Tier	Quantity	UOM	DBE/MBE/WBE Unit Price	DBE/MBE/WBE Sublet Amount	Subcontract Unit Price	Total Subcontract Amount
1	Mobilization	*	Sub	1.00	LS	\$ 35,000.00	\$35,000.00		
17	Furnish & Install Tracer Wire	+	Sub	41,300.00	LF	\$ 0.50	\$20,650.00		
28	furnish & install Heat Shrink Tubing Retrofit Kit	+	Sub	8.00	EA	\$ 80.00	\$640.00		
29	Furnish & Install Heat Shrink Tubing for Riser	+	Sub	48.00	EA	\$ 95.00	\$4,560.00		
32	Furnish & Install Communication Cable Fiber	+	Sub	103,500.00	LF	\$ 1.65	\$170,775.00		
33	Furnish & Install Communication Cable Fiber	+	Sub	800.00	LF	\$ 1.85	\$1,480.00		
34	Furnish & Install Drop Cable	+	Sub	13,700.00	LF	\$ 1.65	\$22,605.00		
35	Furnish & install Splice Enclosure	+	Sub	35.00	EA	\$ 1,495.00	\$52,325.00		
36	Modify Splice Enclosure	+	Sub	50.00	EA	\$ 1,325.00	\$66,250.00		
37	Furnish & Install Delineator Marker	+	Sub	82.00	EA	\$ 95.00	\$7,790.00		
39	Remove Existing Communications Cable	+	Sub	2,100.00	LF	\$ 0.35	\$735.00		
						DBE/MBE/WBE Amount	\$814,010.00	Subcontract Amt.	

SAF was not completely filled out with only DBE information shown. HICAMS only had the contractual information entered with no goals info. This results in over \$800,000 in participation not captured in reporting. There were no commitments on this project so the participation would have counted towards race neutral goals.

Common Mistakes

Subcontracted Items									
Detail									
Second Tier									
History									
Line Item	Cont Adj	Line Item	UOM	Cert. %	Partial	Quantity	Unit Price	Goals Unit Price	
6		ASP CONC SURF CRS S9.5B	TON	100%	<input checked="" type="checkbox"/>	2,500.000	12.0000	.0000	

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
6	Asphalt Surface Course	*	+	Sub	2,500.000	TN		\$12.0000	\$30,000.00		

SAF was not completely filled out with only DBE information shown. HICAMS only had the contractual information entered with no goals info. Additionally, this is a partial SAF and no description of work is given for the sub. This was a contractual commitment but this data would not be captured in our reporting since the DBE goals were not entered in HICAMS. 5 MB/WB subcontracts for this project were entered, which results in over \$410,000 in MB/WB commitments not captured in NCDOT reporting.

Common Mistakes

Contractor submitted the SAF without any DBE certification or price information.

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	DBE/MBE/WBE Unit Price	DBE/MBE/WBE Sublet Amount	Subcontract Unit Price	Total Subcontract Amount
1	Mobilization		*	Sub	1,000	LS			\$73,000.0000	\$73,000.00
22	Work Zone Signs (Stationary)			Sub	144,000	SF			\$8,500.00	\$936.00
23	Work Zone Signs (Portable)			Sub	288,000	SF			\$15,000.00	\$4,320.00
24	Work Zone Signs (Barricade Mounted)			Sub	20,000	SF			\$10,000.00	\$200.00
25	Flashing Arrow Board			Sub	2,000	Ea			\$5,000.0000	\$10,000.00
26	Portable Changeable Message Sign			Sub	2,000	Ea			\$15,000.0000	\$30,000.00
27	Port. Changeable Msg Sign (Short Term)			Sub	90,000	Day			\$350.0000	\$31,500.00
28	Drums			Sub	160,000	Ea			\$60.0000	\$9,600.00
29	Barricades (Type III)			Sub	40,000	LF			\$30.0000	\$1,200.00
30	TMA			Sub	2,000	Ea			\$18,000.0000	\$36,000.00
See attachment										
Indicates a Portion of Work (*)										
Indicates a Partial Item (%)										
DBE/MBE/WBE Amount									Subcontract Amt.	\$406,756.00

Status: Approved Amount: \$406,756.00 Certification: DBE Goals Amount: \$0.00

Contract Line Items (drag and drop items to be subcontracted):

Line Item	Cont Adj	Description	UOM	Quantity	Unit Price	Amount
1		MOBILIZATION	LS	1,000	\$350,000.0000	\$350,000.00
2		SHOULDER RECONSTRUCTION	SMI	12,500	\$4,200.0000	\$52,500.00
2 SA6		SHOULDER RECONSTRUCTION	SMI	-12,500	\$4,200.0000	(\$52,500.00)
2 SA6		SHOULDER RECONSTRUCTION	SMI	12,500	\$1,609.0000	\$20,112.50
3		MILLN ASPHALT PVMT ***** [(0" TO 2")]	SY	112,475,000	\$2,150.0000	\$241,821.25

Subcontracted Items

Line Item	Cont Adj	Line Item	UOM	Cert. %	Partial	Quantity	Unit Price	Goals Unit Price
1		MOBILIZATION	LS	100%	<input checked="" type="checkbox"/>	1,000	73,000.0000	.0000
22		WORK ZONE SIGNS (STAT)	SF	100%	<input type="checkbox"/>	144,000	6.5000	.0000
23		WORK ZONE SIGNS (PORT)	SF	100%	<input type="checkbox"/>	288,000	15.0000	.0000
24		WORK ZONE SIGNS (BARR)	SF	100%	<input type="checkbox"/>	20,000	10.0000	.0000
25		FLASHING ARROW BOARD	EA	100%	<input type="checkbox"/>	2,000	5,000.0000	.0000
26		PORTABLE CHANGE MSG SIGN	EA	100%	<input type="checkbox"/>	2,000	15,000.0000	.0000
27		PORT CHANGE MSG SIGN (SHORT TERM)	DAY	100%	<input type="checkbox"/>	90,000	350.0000	.0000
28		DRUMS	EA	100%	<input type="checkbox"/>	160,000	60.0000	.0000
29		BARRICADES (TYPE III)	LF	100%	<input type="checkbox"/>	40,000	30.0000	.0000
30		TMA	EA	100%	<input type="checkbox"/>	2,000	18,000.0000	.0000
32		SEQUENTIAL FLASHING WARNING LIGHTS	EA	100%	<input type="checkbox"/>	12,000	250.0000	.0000

Comment:

Entered in HICAMS as a DBE with \$0 goals participation. This was not a contractual commitment so would be over \$400,000 that is not captured in race neutral payments.

Common Mistakes

Status: Approved	Amount: \$22,080.00	Certification: DBE	Goals Amount: \$26,008,000.00
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Contract Line Items (drag and drop items to be subcontracted):

Line Item	Cont Adj	Description	UOM	Quantity	Unit Price	Amount
1		MOBILIZATION	LS	1.000	\$25,000.0000	\$25,000.00
2		GRADING	LS	1.000	\$107,910.0000	\$107,910.00
3		UNDERCUT EXCAVATION	CY	150.000	\$20.0000	\$3,000.00
4		FND CONDIR MATL MINOR STRS	TON	8.000	\$50.0000	\$400.00
5		18" RC PIPE CULV III	LF	12.000	\$100.0000	\$1,200.00

Subcontracted Items Detail Second Tier History

Line Item	Cont Adj	Line Item	UOM	Cert. %	Partial	Quantity	Unit Price	Goals Unit Price
8		ASP CONC BASE CRS B25.0B	TON	100%	<input checked="" type="checkbox"/>	870.000	8.0000	6,960.0000
9		ASP CONC INTR CRS I19.0B	TON	100%	<input checked="" type="checkbox"/>	350.000	8.0000	2,800.0000
10		ASP CONC SURF CRS S9.5B	TON	100%	<input checked="" type="checkbox"/>	1,540.000	8.0000	12,320.0000

Goals Unit Price was entered as the value of Quantity times Unit Price. This created a \$26,000,000 goals value for one subcontract on a \$500,000 project. The SAF was completed correctly with a goals unit price of \$8.00 / ton as a converted price.

Sublet Requirements

- Contractor is required by specifications to perform a minimum of 40% of the work associated with the contract.
- You can deduct items designated in contract as specialty items that are performed by any subcontractor and items sublet to DBE up to the goal amount. (Percent By Prime Check)
- In addition, contractor shall perform not less than 35% of difference between total bid amount and value of specialty items sublet (Threshold Check)

Sublet Percentages

FOR USE BY NCDOT PERSONNEL (for non HiCAMS contracts)

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

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

Sublet Requirements

- HICAMS will do these calculations for you. You should verify after approval of each subcontract that the contractor is meeting the minimum requirements for work. This can be checked by clicking on the “Totals” button at the bottom right of the review subcontracts window.



Totals

Original Contract Amount: \$10,900,447.15

Current Subcontract and All Valid Previous Subcontract Totals

Subcontract: 1 Through Subcontract: 21

Total Specialty Items Sublet:	\$1,086,399.65	Percent by Prime:	90.2%
Non-Spec. Items Sublet to DBE:	\$1,049,114.98	Threshold Check:	80.5%
Total Subcontracted:	\$2,998,589.20	DBE% / Amount:	10.7% / \$1,161,868.72
Difference:	\$8,764,932.52		

Current Subcontract Totals

Subcontract: 21 DELTA CONTRACTING INC

Subcontract Amount:	\$2,500.00
Specialty Amount:	\$0.00
Non-Spec. Amount to DBE:	\$0.00

Percent by Prime should be greater than 60% and Threshold Check should be greater than 65%

Checking Subcontract Agreement

- RE offices should request a copy of the actual subcontract agreement between the prime and the sub for 10%, with a minimum of 2, of the SAFs received. At least one of the subcontract agreements should be a DBE/MBE/WBE sub and the other should be an non-DBE/MBE/WBE sub.
- It is the responsibility of the RE to identify which subcontract agreements he would like to review. Identify the 2 you will start with randomly request additional subcontract agreements after you hit a minimum of 20 SAFs.
- Check to ensure that Title VI (federal projects), FHWA 1273 (federal projects), and Non-discrimination (state and federal projects) language is included in the subcontract agreement
- Complete the Title VI Compliance Checklist to show which subcontracts you have checked.

Checklist

NCDOT Title VI Compliance Checklist

Subcontracts (Check funding source)

Review 10 percent or a minimum of two (2) certified actual subcontracts to confirm the incorporation of Title IV and Nondiscrimination language and FHWA 1273 as required.

State Funded Contracts - requires the inclusion of the NCDOT's Nondiscrimination language in the subcontract agreement.

Federal-Aid Contracts - requires the inclusion of the FHWA 1273, the NCDOT's Title VI and Nondiscrimination language in the subcontract agreement.

Name of Subcontractor: _____

I have reviewed and confirm that all required documents are included in the subcontract agreement:

Signature: _____ Date: _____

Comments:

Name of Subcontractor: _____

I have reviewed and confirm that all required documents are included in the subcontract agreement:

Signature: _____ Date: _____

Comments:

Name of Subcontractor: _____

I have reviewed and confirm that all required documents are included in the subcontract agreement:

Signature: _____ Date: _____

Comments:

Name of Subcontractor: _____

I have reviewed and confirm that all required documents are included in the subcontract agreement:

Signature: _____ Date: _____

Comments:

Required Posters

Confirm that the Contractor has posted the following policy statements on a project site bulletin board or other approved location. Ensure that the statements are posted in English and Spanish.

- i) Contractor's EED Policy Statement (For all projects).
- ii) NCDOT Notice of Discrimination (For all projects).
- iii) Required Federal-Aid Posters for Federal-Aid projects.

I confirm that all required documentation and posters are displayed as directed in the NCDOT Construction Manual:

Name: _____ Title: _____ Date: _____

Comments:

Upload an executed copy of the checklist to the Subcontracts folder in Sharepoint

DBE Payments

- Per the requirements of the contract, all prime contractors are required to submit payments made to all DBE/MBE/WBE firms, including materials suppliers and contractors of all levels.
- This can be done via the web based payment tracking system.
- Contractors will log their payments to subcontractors in the system. Resident Engineer's staff should review payments for accuracy and approve/reject them as needed. This should be done every month prior to processing partial pay estimates.

Payment Tracking >

RE Login

This application requires Internet Explorer 5.5 Service Pack 2 or higher.

NCID User Name:

NCID Password:

[If you are a new user to the State of North Carolina, please register for an NCID here.](#)

[Forgot your Password?](#)

<https://apps.ncdot.gov/Vendor/PaymentTracking/Login.aspx>

DBE Payments

- When the RE staff logs into the DBE tracking system, you will be prompted to click accept or change needed.

Select a Contract to view:



Contract Number	Prime Name	Payor Name	Payee Name (Subcontract Num)	Date	Amount	Certified By	Title	Status
DE00204	DANE CONSTRUCTION INC	DANE CONSTRUCTION INC	HIATT & MASON ENTERPRISES INC	3/7/2018	\$5,131.11	KRISTIN DRINKA	OFFICE MANAGER	Accept / Change Needed
C203492	FSC II LLC DBA FRED SMITH COMPANY	FSC II LLC DBA FRED SMITH COMPANY	AUSTIN TRUCKING LLC	2/23/2018	\$8,085.02	Barbara Wiginton	Project Admin	Accept / Change Needed

- Mistakes can be made entering the payments so it is critical to review the payment amount to ensure it is correct.

Checking the payment total

- You can run a report in HICAMS to check the DBE payments. The report is based on the approved SAF in HICAMS and the payments entered for work (review pay records and review ticket books).
- The data that is provided should provide a similar payment. You may have variances if the SAF was approved with portions. HICAMS will make calculations based on percentages (for example, if a sub is performing 50% of the quantity, then it will calculate based on 50% of the paid amount). Other issues that can create variances are converted prices (trucking, etc).
- To run a report, go to Inquiries, Standard Reports. Click on DBE Payment Report and enter your contract number. The report will provide estimate by estimate calculations on how much the sub should be paid each estimate for DBE/MBE/WBE contractors.
- You can compare total payments from HICAMS to the total reported in Payment Tracking system.

Checking Payments

						Total:	\$57,134.13	
CERTIFIED CONCRETE CONSTRUCTION INC	12291	49717	DBE	100	11	1	05/14/2014	\$12,212.01
						2	06/17/2014	\$113.30
						3	07/11/2014	\$5,773.00
						5	09/16/2014	\$2,380.50
						7	11/18/2014	\$6,037.50
						12	04/16/2015	\$3,326.90
						16	08/19/2015	\$9,490.50
						17	09/16/2015	\$4,220.50
						20	12/18/2015	\$2,530.00
						21	01/19/2016	\$3,586.50
						27	07/18/2016	\$39,617.00
						28	08/18/2016	\$27,150.06
						29	09/15/2016	\$41,810.96
						30	09/28/2016	\$26,184.37
						31	10/18/2016	\$231.66
						32	11/17/2016	\$-94
						33	12/20/2016	\$910.26
						34	05/23/2017	\$-2.34
						Total:	\$185,571.74	

Summary of Payments (total contract):

- LC#63 - \$600.00
- LC#64 - \$34,093.00
- LC#65 - \$56,850.25
- LC#66 - \$43,170.66
- LC#67 - \$9,300.00
- LC#68 - \$5000.76
- LC#69 - \$882.20
- LC#226 - 35,674.88

Total Payments
\$185,571.74

Line Item	Cont Adj	Line Item	UOM	Cert. %	Partial	Quantity	Unit Price	Goals Unit Price
63		CONC TRANS SECT FOR CATCH BASIN	EA	100%	<input type="checkbox"/>	2.000	300.0000	300.0000
64		1'-6" CONC CURB & GUTTER	LF	100%	<input type="checkbox"/>	3,790.000	10.3000	10.3000
65		2'-6" CONC CURB & GUTTER	LF	100%	<input type="checkbox"/>	4,810.000	11.5000	11.5000
66		4" CONCRETE SIDEWALK	SY	100%	<input type="checkbox"/>	1,820.000	23.4000	23.4000
67		CONCRETE CURB RAMP	EA	100%	<input type="checkbox"/>	22.000	775.0000	775.0000
68		4" CONC ISLAND COVER	SY	100%	<input type="checkbox"/>	270.000	26.1000	26.1000
69		5" MONO CONC ISLDS (KEY IN)	SY	100%	<input type="checkbox"/>	20.000	45.9000	45.9000
226		4" SLOPE PROTECTION	SY	100%	<input checked="" type="checkbox"/>	798.300	42.7500	42.7500

/ BULLINGTON CONSTRUCTION INC	\$45,054.51
/ CURTIN TRUCKING & DRAINAGE INC	\$12,500.00
/ CERTIFIED CONCRETE CONSTRUCTION INC	\$177,396.16
/ AUSTIN TRUCKING LLC	\$1,472,887.18
/ CAROLINA ENVIRONMENTAL CONTRACTING INC	\$39,493.06
/ TRAFFIC CONTROL SAFETY SERVICES, INC.	\$23,036.81
/ ROYALS CONTRACTING INC	\$35,057.07
/ ISLAND PAVEMENT CUTTING CO INC	\$53,952.81
/ HIATT & MASON ENTERPRISES INC	\$7,673.81
/ PARRISH CO INC	\$89,789.48

Reported on DBE Payment Tracking: \$177,396.16. Prime performed some line items of work when sub could not respond.

Verification of Payments – Things to ask yourself

- Is this a subcontractor that worked on the project?
- Is the payment reasonably close to the amount of work that a sub performed? – use HICAMS to check
- Did the subcontractor perform a commercially useful function?
- Are payments being entered in a timely manner?
- Are there duplicate payments?
- Request a copy of the actual subcontract agreement if you need to verify prices actually paid
- If you can't duplicate reasonable payment information, discuss with the contractor. Ask for a breakdown of the payment – ask them to include quantities, units of payment, and unit price.
- If you hit change needed, tell the contractor. There is no automatic notification.
- Only approve the payment if it makes sense.
- If it doesn't make sense, **always ask questions.**



Next Webinar

- April 11th 1:30pm – 3:30pm
- SAF Webinar
- Future webinars will be set up for other topics

Questions?

Construction Unit 919 707-2400

Michelle Gaddy 919 707-2490

Delacy Bradsher....919 707-2425

Sherell Williams.....919 707-2422

Natalie Roskam.....919 707-2401

Vivian Sessoms.....919 707-2412

Nancy Napier.....919 707-2481



Any Questions?

