

## **APPENDIX F**

### **Finals Documentation**

Appendix F contains copies of the Finals documents associated with Chapter 11 of the Local Agency Manual.

Local Agency Final Construction Acceptance Certification

CDOT Letter of Materials Certification

EEO Certification Acceptance Letter

Guidance for Acceptance, Advertisement and Finaling of Local Agency Projects

Final Documentation Checklist

Final Materials Documentation Checklist

CDOT Form 90 – Contract Modification Order

CDOT Form 96 – Contractor Acceptance of Final Estimate

CDOT Form 1418 – Monthly Payment Summary

CDOT Form 1419 – DBE Participation Report



|   |                  |                 |
|---|------------------|-----------------|
| <b>COLORADO DEPARTMENT OF TRANSPORTATION</b><br><b>FINAL MATERIALS</b><br><b>CERTIFICATION</b><br><b>FOR A LOCAL AGENCY PROJECT</b> | Project No.      | CDOT Region     |
|   | Contract ID      | Acceptance date |
|   | Project Location |                 |
|   | Contractor       |                 |

This is to Certify that:

The results of the tests on the acceptance samples indicate that the material incorporated in the construction work, and the construction operations controlled by sampling and testing, were in conformity with the approved plans and specifications; and such results compare favorably with the results of the Independent Assurance sampling and testing.

All results from the Independent Assurance sampling and testing are within tolerance limits of the results of sampling and testing that are used in the acceptance program.

Exceptions to the plans and specifications are explained on Explanation of Exceptions, #474. A CDOT Form #474 is always required to be attached to the #473.

The referenced documents below are attached with applicable signatures to this form in the order indicated.

- Yes    No   Explanation of Exceptions, Form #474, (as many pages as required.)
- Yes    No   Explanation of Exceptions, Supplemental Documents.
- Yes    No   Materials Documentation Record, Form #250.
- Yes    No   Project Independent Assurance Sampling & Testing Schedule, Form #379.
- Yes    No   Finals Materials Documentation Checklist, (Project Closure) Form #1199, page 1.
- Yes    No   Finals Materials Documentation Checklist, (Review or Audit) Form #1199, page 2.

|   |        |
|---|--------|
| Approved by: Person in Responsible Charge, Local Agency | Title: |
|   |        |
| Approved by: The Designated CDOT Engineer               | Title: |
|   |        |

**Distribution:**

- o:  CDOT Resident Engineer
- xc:  LA Project Engineer / Project Manager
- CDOT Region Materials Engineer
- CDOT Local Agency Coordinator
- cdot\_pavement.design@state.co.us

**EEO CERTIFICATION ACCEPTANCE LETTER**

**Date:**

**To:** CDOT Region X Resident Engineer

**From:**

**Subject:** EEO Certification of Compliance

**Project No.:**

**ID#:**

I do hereby certify:

All contractor certified payroll documentation has been reviewed and is in compliance.

All federally mandated EEO Program documentation has been reviewed and is in compliance.  
(includes subletting, monthly employee interviews, Colorado Program and OJT.)

All documentation will be retained for the required length of time per the FHWA 1273.

Comments/Explanation of Exceptions that apply:

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Certified By:

\_\_\_\_\_  
Local Agency Representative

\_\_\_\_\_  
Title

Cc:

Local Agency Resident Engineer  
CDOT EEO Representative

The three (3) previous documents must be completed by a representative of the Local Agency in responsible charge of the project and submitted to the CDOT RE.

The following pages are included for information and convenience.

## **Acceptance, Advertisement and Finaling of Local Agency Projects**

### **PROJECT ACCEPTANCE AND ADVERTISEMENT:**

- 1) The Local Agency shall notify the CDOT Project Manager and CDOT RE 2-3 weeks prior to completion of project to schedule a final walk through. It is also recommended that the environmental, maintenance and traffic sections also be included in the final walk through.
- 2) Upon acceptance, the Local Agency writes the letter of acceptance to the Contractor. This letter should list all documentation that is still outstanding. There is an example in the CDOT Construction Manual, Appendix B. Original to Contractor, copy to CDOT RE.
- 3) The Local Agency advertises the project for Final Settlement. This is required by 38-26-107 CRS to be published twice in a publication where the project physically resides. A copy of the Notice of Final Settlement should be sent to CDOT RE, Staff ROW, Project Development.
- 4) The CDOT RE shall complete the DOT 1212. Distribution shall include a copy to the Local Agency.

### **The following are the responsibility of the Local Agency:**

#### **“AS CONSTRUCTED” PLANS**

- 1) Assure the “As Constructed” plans are complete and also includes:
  - a. Location of all underground obstructions.
  - b. All utility locations.
  - c. Any changes to the typical section.
  - d. Manufacture and type of bridge expansion devices.
  - e. Vertical and Lateral clearances of structures.
- 2) Guidelines are available in the CDOT 2019 Construction Manual, Section 121.
- 3) Send one (1) set to the CDOT RE. Two (2) sets if the project is on the NHS.
- 4) Send one (1) set to Staff Bridge if construction includes a major or minor structure.

#### **MATERIALS FINAL**

- 1) LA engineer or the materials head tester completes the “Final Materials Documentation Checklist”.
- 2) LA engineer completes the “Materials Certification Letter” (DOT 473LA).
- 3) Send copies of the Final Materials Documentation Checklist, Materials Certification Letter, Buy America Letter and DOT 250, DOT 379 and DOT 473LA to CDOT RE. These may be included with the “LA Final Data” worksheet.
- 4) Assure the Final estimate pays contractor for all work in place and also includes:
  - a.) Any incentive/disincentive payments that have been calculated.
  - b.) Any Price reductions. (including those for overweight loads, out of spec material left in place.)

## CIVIL RIGHTS PROJECT CLOSE OUT

- 1) Verify that “Good Faith Efforts” were followed.
- 2) Verify that DBE Goals were met by the Form 1419, or exceptions explained in writing.
- 3) Verify that OJT and Colorado Programs guidelines were followed.
- 4) Assure that payrolls were received from all contractors for all personnel on project.
- 5) Assure that payroll classifications were checked and Davis-Bacon wages paid.
- 6) Assure that monthly interviews were conducted and completed DOT 280s are in file.
- 7) Assure that approved DOT 205s are in file.
- 8) Complete the “EEO Certification Letter”.
- 9) Form 1418 (or equivalent) for every pay estimate.

## FINAL DOCUMENTATION REVIEW

- 1) Prior to final payment being made to the Contractor the Local Agency designates someone to conduct final review per 2019 CDOT Construction Manual section 121. This is to assure that all contract requirements are met and the project has been completed in reasonable close conformity to plans and specifications.
- 2) Verify that all forms required from the Contractor are received, payments supported by documentation of work in place and project is free of supplier liens and claims.
- 3) The Final Documentation Checklist may be useful in organizing final.
- 4) Send the Contractor the DOT 96 for signature.

## FINAL DOCUMENTATION

- 1) Complete the “Local Agency Final Acceptance Certification Letter”.
- 2) Complete the “Local Agency Final Data”.
- 3) Attach required forms to the “Local Agency Final Data” worksheet and send package to the CDOT RE.
- 4) Box all final project records, pay documentation and documents for storage.

## RECORDS RETENTION

**Retain all project pay documentation, diaries, memos and forms per Federal Regulations.**

**Per Public records law and CRS 24-72-201 through CRS 24-72-206.**

**Per PD 21.1, Requirements for Retention of Records (Projects w/non-Federal funds)**

## FINANCIAL STATUS

- 1) Submit final billing to CDOT RE. Include a statement of “No further billing” and
- 2) A statement or letter requesting project closure to the CDOT RE.
- 3) The CDOT RE notifies Region Business Office to submit DOT 950 for Project Closure process.

**FINAL DOCUMENTATION CHECK LIST**

Local Agency Project No: \_\_\_\_\_ ID# \_\_\_\_\_

**Copies to CDOT as noted:**

- \_\_\_ 1. **Acceptance Letter** - Original to Contractor, distribute copies to: CDOT RE, LA file.
- \_\_\_ 2. *Needed to advertise project. (CRS 38-26-107). Timely submittal is **EMPHASIZED**. Note on letter any documentation still outstanding from contractor.*
- \_\_\_ 3. **Notice of Final Settlement**. This is published in 2 newspapers in the county(s) that the project is located in. Copies to CDOT RE, Staff ROW, Project Development, LA file.
- \_\_\_ 4. **Local Agency Final Construction Acceptance Certification Letter**. Original CDOT RE, copy to LA file.
- \_\_\_ 5. **Local Agency Final Data worksheet**. Original to CDOT RE, copy to LA file.
- \_\_\_ 6. **CDOT Form 1418** (or equivalent)
- \_\_\_ 7. **CDOT Form 1419** with Prime Contractor signature. Required on all projects. If subs were not used submit form with statement to that effect. Original to CDOT Region EEO. Copies to: CDOT RE, LA file.
- \_\_\_ 8. **"Buy America"** certification. Original to LA file. Copies to CDOT Region Lab, CDOT RE.
- \_\_\_ 9. **Final Materials Documentation Checklist**. Original to LA file. Copy to CDOT RE.
- \_\_\_ 10. **EEO Certification Letter**. Original to LA file. Copies to CDOT RE, CDOT Region EEO.
- \_\_\_ 11. **Change Orders** with letter of explanation.(should have been previously submitted and approved by CDOT Resident Engineer). Original to LA file. Copies to CDOT Resident Engineer, Project Development Area Engineer.
- \_\_\_ 12. Completed original **"As Constructed"** plans with acceptance date. 1 copy to CDOT RE, unless project is on the NHS – then 2 copies to CDOT RE. 1 copy to Staff Bridge if construction includes major or minor structure.
- \_\_\_ 13. Completed **Local Agency Contract Administration Checklist**. Copy to CDOT RE.

**To be retained by the Local Agency:**

- \_\_\_ 14. Checked certified payrolls.(all Federal Aid Projects and F/A work). (CM 107.1.1.2;121.2.8).
- \_\_\_ 15. All pay item documentation (Invoices, Force Account Billings, forms, measurements, calculations).
- \_\_\_ 16. Scale & Weighers Certifications for all scales and weighers. Must be valid for project time frame.
- \_\_\_ 17. Scale tickets in envelopes, with daily totals. Include spread locations.
- \_\_\_ 18. Haul vehicle ID sheets.
- \_\_\_ 19. Field Books.
- \_\_\_ 20. Survey Documentation. (Field books with Professional Land Surveyor stamp, monumentation records)
- \_\_\_ 21. Force Account Billings.
- \_\_\_ 22. Any memos listing deleted items, work zone violations, no pay TCS or anything that affects pay/no pay items. Please include Plan Force Account items on list.
- \_\_\_ 23. Original Cross Section Sheets and/or computer generated earthwork sheets.
- \_\_\_ 24. Copy of CDOT **473LA** Letter of Certification (Materials). This is issued by the CDOT Residency Head Tester.
- \_\_\_ 25. Copy of final estimate.
- \_\_\_ 26. Copy of Final Billing request to CDOT.
- \_\_\_ 27. Copy of Final Local Agency Contract Administration Checklist

### FINAL MATERIALS DOCUMENTATION CHECKLIST

Project Number: \_\_\_\_\_ ID#: \_\_\_\_\_  
 Location: \_\_\_\_\_  
 Contractor: \_\_\_\_\_ Tester: \_\_\_\_\_

**Date Completed**

**Required Items**

|       |  |
|-------|--|
| _____ | Final or Semi-Final Contractor Estimate.                     |
| _____ | Completed DOT form 250, signed by PE.                        |
| _____ | Completed DOT form 379 (IAT Worksheet).                      |
| _____ | Letter of Explanation of Exceptions.                         |
| _____ | All required material COCs have been received.               |
| _____ | Certificate of Contractor's Compliance to Buy America Clause |
| _____ | Letter of Acceptance from the Project Engineer.              |
| _____ | Printed copy of QPM results, signed and dated.               |
| _____ | Price Reduction worksheet(s).                                |
| _____ | Consultant Materials Testing Evaluation form.                |

Completed By: \_\_\_\_\_ Date: \_\_\_\_\_  
 Title & Company: \_\_\_\_\_

Checked By: \_\_\_\_\_ Date: \_\_\_\_\_  
 Title & Company: \_\_\_\_\_

|  |   |  |
|--|---|--|
| <b>COLORADO DEPARTMENT OF TRANSPORTATION<br/>CONTRACT MODIFICATION<br/>ORDER</b> | Project No.:  | Project Code (SA#):  |
|  | Location:   |  |
|  | Date:   | Project Order No.:   |
| Contractor:  | Estimated cost to project:<br><input type="checkbox"/> Increase <input type="checkbox"/> Decrease    \$ |  |
| Complete Address:  | Total additional days allowed to complete work:   | Federal Oversight?<br><input type="checkbox"/> Yes <input type="checkbox"/> No |
| Modification Title:  |   |  |

|  |       |   |       |
|--|-------|---|-------|
| I hereby accept this order, for work to be performed and prices on which payment is to be based. |       |   |       |
| <b>REQUIRED IN ACCORDANCE WITH INSTRUCTIONS<br/>IN THE CDOT CONSTRUCTION MANUAL</b>              |       | <b>REQUIRED FOR ALL CHANGE ORDERS</b>   |       |
| Approved by FHWA Operations Engineer:  | Date: | Authorized by Project Engineer:   | Date: |
| <b>OPTIONAL</b>  |       | Contractor Representative:  | Date: |
| Approved by Region Transportation Director:  | Date: | Approved by Resident Engineer:  | Date: |
|  |       | <input type="checkbox"/> Participating <input type="checkbox"/> Non-participating <input type="checkbox"/> Participation as noted |       |
|  |       | Approved Funding by Region Program Engineer:  | Date: |

Previous editions may be used until supplies are exhausted

CDOT Form 90 07/02



CDOT Form 1418 – Monthly Payment Summary

<https://www.codot.gov/library/forms/cdot1418.pdf/view>

CDOT Form 1419 – DBE Participation Report:

<https://www.codot.gov/library/forms/cdot1419.xlsx/view>