

## **APPENDIX F**

### **Finals Documentation**

Appendix F contains copies of the Finals documents associated with Chapter 11 of the Local Agency Project Desk Reference.

Local Agency Final Construction Acceptance Certification (or Region equivalent)

CDOT Letter of Materials Certification

EEO Certification Acceptance Letter

Guidance for Acceptance, Advertisement and Finaling of Local Agency Projects

Final Documentation Checklist (or Region equivalent)

Final Materials Documentation Checklist (or Region equivalent)

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 \*

\*Form embedded in B2GNow

LOCAL AGENCY
FINAL CONSTRUCTION ACCEPTANCE CERTIFICATION

Project Number: ID#
Project Location:
Contractor's Name:
Original Contract Amount \$: Final Contract Amount \$:
Project Acceptance Date:

(To be initialed by the local agency Licensed Project Engineer in responsible charge of the project)

I hereby certify that:

The project has been completed in reasonably close conformity with plans and specifications including authorized changes. The Entity accepts the project as complete.

The completed project has been reviewed for obvious safety deficiencies.

The project R.O.W. appears to be free of unauthorized encroachments.

The materials test results indicate that the materials incorporated in the project were in conformity with the approved plans and specifications with:

no exception exceptions (explanation attached)

All required material COCs have been received.

\* CDOT Form 379 has been completed. Yes No

\* CDOT Form 250 has been completed. Yes No

\* Letter of Materials Certification (CDOT 473LA) has been completed. Yes No

\*\* The EEO Certification Letter has been completed.

\*\* CDOT Form 1419 has been received (Form is embedded in B2GNow.)

\* Buy America Statement has been received.

\* All change orders have been submitted to the CDOT RE for review and approval.

\* The Contractor has agreed to the final payment as full and complete. (May use CDOT Form 96)

\* The Local Agency Final Acceptance Letter has been issued.

\* Final Bill and Closure Letter has been issued.

\* As Constructed Plans have been completed.

\* Notice of Final Settlement has been made.

The Local Agency will retain all project pay documentation and forms per IGA, Federal Regulations, Public records law and /or CRS 24-72-201 through CRS 24-72-206.

The Contractor has filed a claim No Yes

Signature of Entity Official Date

Title

\* indicates a copy of this form is to be submitted to CDOT
\*\* a copy of this form is to be submitted to the CDOT Region EEO
Original to: CDOT RE Cc. Local Agency Resident Engineer

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

This is to Certify that:

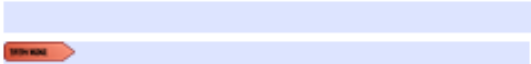
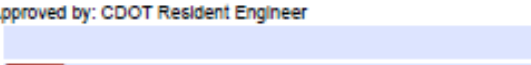
The results of the tests on the acceptance samples indicate that the material incorporated in the construction work, and the construction operations controlled by sampling and testing, were in conformity with the approved plans and specifications; and such results compare favorably with the results of 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: Local Agency, Person In Responsible Charge  (printed name and signature)	Title:	Date:
Approved by: CDOT Resident Engineer  (printed name and signature)	Title:	Date:

**Distribution:**

- o:  CDOT Resident Engineer
- xc:  LA Project Engineer / Project Manager
- CDOT Region Materials Engineer
- CDOT Local Agency Coordinator
- Documentation Unit, Staff Materials & Geotechnical Branch

## 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 as required in accordance with the IGA.

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 CRS 38-26-107 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 LA. 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 in accordance with Section 121.2.3 of the 2019 Construction Manual also include:
  - 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) If the original plan sheets were prepared manually, send one (1) set to the CDOT RE and two (2) sets if the project is on the NHS. Also, send one (1) set to Staff Bridge if construction includes a major or minor structure.
- 3) If the original plan sheets were prepared electronically, send one (1) set to the CDOT RE and copy 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” (CDOT Form 473LA).
- 3) Send copies of the Final Materials Documentation Checklist, Materials Certification Letter, Buy America Certification Letter and CDOT Form 250, CDOT Form 379 and CDOT Form 473LA to the 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 – either manually or in B2GNow**

- 1) Verify that “Good Faith Efforts” were followed.
- 2) Verify that DBE Goals were met by the CDOT Form 1419 (embedded into B2GNow) or exceptions explained in writing (CDOT Form 1420).
- 3) Verify that OJT 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 & completed CDOT Form 280s are in file.
- 7) Assure that approved CDOT 205s are in file.
- 8) Complete the “EEO Certification Letter”.
- 9) Verify prompt payment was adhered to by the CDOT Form 1418 (embedded into B2GNow) 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) The Contractor may use CDOT 96 for verification of final payment..

**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) Retain all final project records, pay documentation and documents electronically, or as discussed with the CDOT Project Manager.

**RECORDS RETENTION**

**Retain all project pay documentation, diaries, memos, and forms in accordance with the IGA, Public records law, and CRS 24-72-201 through CRS 24-72-206.**

- 1) **If non-Federal (state) funded project - per PD 21.1, Requirements for Capital Engineering Program Records**
- 2) **If Federal-aid Highway funded project - per *Title 2 CFR 200.334, Retention requirements for records***
- 3) **If Federal Recovery Funded (ARPA/SLFRF) project - per the IGA**
- 4) **If project has multiple sources of funds, follow the most restrictive requirements.**

**FINANCIAL STATUS**

- 1) Submit final billing to CDOT RE. Include a statement of “No further billing” and a statement or letter requesting project closure to the CDOT RE.
- 2) The CDOT RE notifies Region Business Office to submit CDOT 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) – Form is embedded if using B2GNow.
- \_\_\_ 7. **CDOT Form 1419** with Prime Contractor signature. Required on all projects. Form is embedded if using B2GNow. 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 and ProjectWise.
- \_\_\_ 12. Completed original **"As Constructed"** plans with acceptance date. If Manual, 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. If electronic, 1 copy to CDOT RE and 1 Copy to Staff Bridge.
- \_\_\_ 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). Records are in the LCPtracker system, if using.
- \_\_\_ 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: \_\_\_\_\_ Project #: \_\_\_\_\_  
 Location: \_\_\_\_\_  
 Contractor: \_\_\_\_\_ Tester: \_\_\_\_\_

**Date Completed**

**Required Items**

_____	Final or Semi-Final Contractor Estimate.
_____	Completed CDOT form 250, signed by LA PE/PM
_____	Completed CDOT form 379 (IAT Worksheet).
_____	Letter of Explanation of Exceptions. (CDOT Form 474)
_____	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) if applicable
_____	Consultant Materials Testing Evaluation (CDOT Form 1324), if applicable

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

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

<b>COLORADO DEPARTMENT OF TRANSPORTATION CONTRACT MODIFICATION ORDER</b>	Project No. _____	Project code _____
	Location _____	
	Date _____	Project order No. _____
	Contractor _____ Estimated cost to project <input type="checkbox"/> Increase <input type="checkbox"/> Decrease \$ _____	
Complete address _____	Total additional days allowed to complete work _____	Federal oversight <input type="checkbox"/> yes <input type="checkbox"/> no
Modification title _____		

Should Federal or State funds not be available to cover these additional costs, or the Federal Awarding Agency decides not to participate, the (LOCAL AGENCY NAME HERE) agrees to provide the required funds.  
  
 The (LOCAL AGENCY NAME HERE) approves this Change Order No. \_\_\_\_ by signing below.  
 Authorized Signature: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

I accept this order, for work to be performed and prices on which payment is to be based.

REQUIRED IN ACCORDANCE WITH INSTRUCTIONS IN CDOT'S CONSTRUCTION MANUAL	REQUIRED FOR ALL CHANGE ORDERS
Approved by FHWA Operations Engineer: _____ Date _____	Authorized by Project Engineer: _____ Date _____
<small>SEE SIDE</small>	Contractor representative: _____ Date _____
<b>OPTIONAL</b>	Approved by Resident Engineer: _____ Date _____
Approved by Region Transportation Director: _____ Date _____	<input type="checkbox"/> Participating <input type="checkbox"/> Non-participating <input type="checkbox"/> Participation as noted
<small>SEE SIDE</small>	Approved funding by Region Program Engineer: _____ Date _____
<small>SEE SIDE</small>	<small>SEE SIDE</small>

Previous editions are obsolete and may not be used

CDOT Form #90 03/17

<b>COLORADO DEPARTMENT OF TRANSPORTATION CONTRACTOR ACCEPTANCE OF FINAL ESTIMATE</b>	Project #
	Project code (Subaccount)

As Contractor on the above referenced project, I accept the pay quantities and final payment indicated on the final estimate as correct. The final estimate payment of \$ \_\_\_\_\_, results in a total cumulative payment of \$ \_\_\_\_\_ for this project. By accepting this final payment as full and complete, except as noted below\*\*, or if the Contractor fails to sign and return this document within 30 days of the certified letter receipt, the Contractor releases the State of Colorado from all disputes and claims that notice has not already been submitted per the Contract provisions. I certify that I have the authority to make this statement to obligate the Contractor.

I declare under penalty of perjury in the second degree, and any other applicable State or Federal laws, that the statements made on this document are true and complete to the best of my knowledge.

Prime Contractor	Date	By (Signature and Title)
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No payment can be made by the Department of Transportation until after the final settlement date as established by Section 38-26-107, C.R.S.

\*\*CDOT has withheld \$ \_\_\_\_\_ from the final payment for placement in escrow as set forth below.

CDOT Form 96 – Contractor Acceptance of Final Estimate, Construction  
<https://www.codot.gov/library/forms/cdot0096.pdf>

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>

\* Form embedded in B2GNow