

Final Construction Record Guide

Project Engineers/Supervisors Edition



Introduction

The purpose of these instructions is to establish uniform Final Construction Records (FCR) and contract finalization procedures for contracts utilizing the SiteManager software. The instructions generally follow the order of events that should take place to produce a Final Construction Record and to finalize a contract.

This manual and the documents associated with it are intended to be a revision of former procedures. It has been identified that there is a lack of uniformity in Final Construction Records statewide and that many of the processes and procedures associated with the finalization of contracts are cumbersome, duplicitous, inefficient, or unnecessary. It is the intention of this documentation to provide clarity to all employees and consultants of what is necessary in order to create a defined method for processing Final Construction Records that is the most time and cost effective. Therefore, some of the information contained in this manual may contradict prior procedures, but should be considered the INDOT accepted method moving forward. Do not re-design or modify forms.

In the past, we have viewed the Final Construction Record as something that happens at the end of the contract. Moving forward, this viewpoint will be challenged to see the Construction Record as something you begin creating as your contract begins. As your project is built, so is your Construction Record. The two go hand-in-hand, and viewing them this way will help us to create more accurate, complete, and timely records. As stated in the INDOT's Standards Specification 109.08, the Final Construction Record has 180 calendar days to be completed to provide a Final Payment to the Contractor. The 180 calendar day Final Construction Record completion metric starts the day of final acceptance of the project and ends when a final payment is made to the Contractor. Below is the maximum recommended days allotted for the three stages of Final Construction Record completion:

FCR Completion Timeline

Field Preparation of FCR by INDOT PE/S:	90 Days
District Office Review/Materials Certification:	60 Days
Central Office Final Review:	30 Days
<hr/>	
Total Process Time	180 Days

The actual number of days allotted for field preparation of the FCR will be determined by the Area Engineer and communicated to the PE/S at the time the contract is assigned. Depending upon the project's characteristics, less than 90 days may often be warranted for a completion requirement. The following variables may be considered when establishing a timeframe: original contract amount, number of original contract line items, and number of original construction seasons. The Area Engineer will use the formula below to determine a reduced amount of time allotted for the Project Engineer/Supervisor to complete an FCR. Regardless of the formula used, the allotted time is not recommended to exceed 90 days.

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The allotted time value shall be recorded in the “PE/S FCR allotted time” field found with the generic fields under the contract’s description tab within SiteManager. Only the AE user group has editing rights to this field, while all other user groups only have viewing rights

$$\text{PE/S FCR Completion Timeframe} = (\text{C} + \text{I}) \times \text{T}$$

C = Original Contract Amount

Less than 1 million	15	Calendar Days
Between 1 and 10 million	20	Calendar Days
Greater than 10 million	25	Calendar Days

I = Number of Original Contract Line Items

Less than 100 items	25	Calendar Days
Between 100 and 200 items	35	Calendar Days
Greater than 200 items	45	Calendar Days

T = Number of Original Construction Seasons

Single construction season	1	Multiplication Factor
Multiple construction seasons	1.5	Multiplication Factor

In addition, the review process is subject to audit by the Federal Highway Administration, by Central Office, and by Internal Affairs. The Final Construction Record not only documents quantities, it also is a performance record of the Project Engineer/Supervisor (PE/S), the

It is the intent of this guide to provide you with all information and data that should be required in compiling a Final Construction Record.

If you have any questions concerning this guide, suggestions for changes, additions, or other improvements, please contact your District Review Office. Any technical requests pertaining to this guide will be relayed from District Review Office to Final Records Review in Central Office.

Contractor (and subcontractors), suppliers, and material acceptance (or material failure). FCR documentation and organization applies to any construction contract in which any percentage of funds have been supplied by INDOT and/or FHWA.

NOTE: Much of the information required by documents listed on the Checklist for Final Construction Records can be found in the Contract Information Book (CIB). Completion dates, Intermediate Dates, Railroad information, Liquidated Damages, Contract Line Item Numbers, Adjustments, Stockpile Info, and Exceptions are all found in the CIB when applicable.

Established Construction Management forms used for FCR completion shall not be altered by Project Engineers/Supervisors or District Office Review Officers. All updates to forms shall be handled through Construction Management via a Construction Memorandum.

Revisions

The Final Construction Record Guide will be revised as necessary to keep information current with Department standards, policies and procedures. When a revision is issued, the new or revised information will be indicated by highlighting and the revision date and topics will be noted on this page with the title of the subsection revised. Highlighting will be removed from the revised portions once a subsequent revision is issued.

Date	Revisions
8/21/2014	Final Construction Record Guide for Project Engineers/Supervisors Edition Issued
12/31/2014	Pre-Construction Conference Meeting Minutes recorded keeping revised to only retaining information in the Pre-Construction Conference portion of SiteManager
10/01/2015	Acceptance of Completed Work, Partial and Final Acceptance, Final Acceptance Workflow, Key Dates Definitions, Completion Date and Liquidated Damages Data, Release of Signing Responsibility. See Construction Memo 15-17 for summary of revisions.
9/14/2016	Removal of CR-2 document requirement. Implementation of the Contractor Performance Evaluation (CPE) system found in Construction Memorandum 16-05

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Invoices and Weigh Tickets

The management of invoices and weigh tickets plays a crucial role in the finalization of many pay items such as concrete, stone, tack, asphalt, sod, fertilizer and much more. Tickets and invoices will be received at the delivery of the material and be tallied and organized according to the following guidelines. Prompt totaling and filing is crucial to keeping a well documented item.

During the Contract

- Each ticket will be initialed by the receiving INDOT personnel.
- Tickets will be totaled, per item or material, per day with a ticket tape and bundled together for each item.
- Ticket tapes will have the following information written on them in black or blue ink:
 - Date Delivered
 - Contract Number
 - Project Number
 - Item Description
 - Item Project Line Number (PLN)
 - Item Contract Line Number (CLN)
 - Total Amount Delivered with Units
 - Number of Loads Delivered
 - Printed Name of Employee who Created the Original Tape
 - Signature of Employee who Created the Original Tape
- Each ticket tape shall then be hand checked by someone other than the person who ran the original tape using a red pen. The “red checker” shall then place his or her initials on the tape in red.
- Daily ticket bundles shall be sorted per contract line number (CLN) and placed in a separate file envelope.
- Each envelope shall have an attached cover sheet with the following information:
 - Contract ID
 - Item Contract Line Number (CLN)
 - Item Project Line Number(s) (PLN)
 - Item Description
 - Material Delivery Dates
 - Item Units
 - Daily Delivered Quantity
 - Running total for each envelope
 - Envelope number out of total envelopes for that contract line number (CLN)

Using SiteManager Daily Work Report Calculating Templates and Hand Drawings

Calculating SiteManager Daily Work Report Templates is a practice that will be followed in order to expedite the Final Review process and retain more accurate records. This practice is for all field personnel, including Project Engineers, Project Supervisors, Inspectors, and Consultants.

When a Calculating Template is Available

Using the calculating templates in the Daily Work Report module of SiteManager, rather than the General Template, can be an advantage in the Final Review process. The calculating templates have been approved as correct and do not have to be checked for accuracy to the level that separate calculations and spreadsheets would be checked. They also provide more security of records by being protected from the potential damage that paper records could receive while stored in the field office.

A SiteManager calculating template is considered the source document for the final. This means that formal paper dailies do not have to be written and should not be retained after the Contract is closed. When using a calculating template, ensure there is enough detail provided regarding the locations of the item for auditing purposes. Location references should be identified by location, phases, lane directions, approaches and/or streets.

When a Calculating Template is not Available

If calculating Daily Work Report Templates is not available for an item, then there shall be a source document placed in the FCR to back up the Daily Work Report. The source document could be a paper daily, spreadsheets, or handwritten notes that contain more detailed calculations. These source documents shall use the same pay item accuracy and rounding rules found within the Standards and Specification book.

Use of Hand Drawings in the FCR

Keep in mind that hand drawings take time and should only be used for item documentation when they add value. If a drawing is not necessary to understand how the item was paid for, then providing a hand drawing is not required.

Correspondence

Retaining Correspondence: Paper vs. Electronic

Correspondence may be retained in paper form or as electronic files in Portable Document Format (PDF), as long as they are submitted to the District Review Office. The Commission of Records does not require paper documents to be retained if they are retained in electronic form in either SiteManager or as electronic files in PDF. It is advantageous to retain files in electronic form for the reason that electronic files are easier to organize and maintain. When submitting correspondence in electronic form, employees will submit the document in PDF on a CD/DVD. Duplicate file documents do not need to be retained.

Correspondence shall be retained in the following situations:

- The Contractor was given direction
- The PE/S makes a recommendation on a situation or issue
- Tracking of a decision made for the outcome of a contract issue
- Potential dispute
- Denial of a Change Order

Change Order Correspondence

Change Order documentation shall be retained by attaching PDF documents to the header tab of the respective Change Order within SiteManager. These documents could consist of the Contractor's Change Order submittal, Change Order Report, drawings, calculations, general correspondence, test results, Project Manager correspondence, FHWA approval correspondence when required or anything that can be used to show why this change order was necessary and how the price/quantity was determined.

Note: All Change Orders must have a full Change Order Report that includes the Contractor's name, signature, and date attached to the header tab of the respective Change Order within SiteManager.

Internal SiteManager Checklist Summary

The following should be completed at the beginning of the contract:

- Notice to Proceed (NTP). Verify attachment and Critical Date information entered into SiteManager by Central Office and create a Daily Work Report for the NTP. (See Page 23)
- Add Personnel, Supervisor, and Equipment Data to the contract's Master List so that they can be used on Daily Work Reports (See SiteManager Manual B-9-2-1)
Navigation in SiteManager: Daily Work Reports > Reference Tables > Contract Master List
- Attach or Enter Pre-Construction Conference Meeting Minutes. (See Page 16)
- Enter Projected Key Dates according to the original contractual agreement or the Contractors original schedule.

The following should be completed before processing a progressive estimate:

- All **Daily Work Reports** should be authorized, even if they do not contain Work Items. The only reason to leave a Daily Work Report unauthorized is to intentionally prevent a payment on a specific item.
- Check the Material Discrepancies list. Use the **Contract Sample Checklist for Testing Shortages Report** to see the specifics of the Sampling and Testing requirements that have not been fulfilled. While some discrepancies, such as those for excavation hauled offsite, may remain throughout the contract, this number should be kept to a minimum at all times. (See Page 10)
- Run the **Samples with No Producer Supplier Code Report** and correct any samples that are missing producer/supplier codes. (See Page 11)
- Run the **Approved Material Samples with No Product Names Report** and correct any samples that are missing required product names. (See Page 12)
- Run the **Material Certification Sample Report** and attach Type A Certifications that are missing from material samples. (See Page 13)
- Check the approval status of any **Change Orders** that are in "Pending" status, and follow up with the next approving authority by email.
- Check the approval status of any **Claims/Liens** that are in "Pending" status, and follow up with the next approving authority by email.
- Update **Contract Authority** for any employees who have joined or left the staff of the Contract. Contract Authority can always be re-assigned to an individual if he or she returns.
- Complete any **Key Dates and Milestones** that have passed since the last pay estimate in order to keep this information up-to-date.
- Complete any **Checklist Event Dates** during this time frame. Event dates such as, Suspension of Work, Work Resumed, and Partial Acceptance. These event dates do not affect the contract completion date but are used for informational purposes.
- Make sure that all tickets from the timeframe have been red checked and match the **Progressive Activity Report quantities**. (See Page 4)
- As personnel are removed from the project, the PE/S should remove those individuals from **Contract Authority**.

The following should be completed at the end of the contract:

- Ensure all **Daily Work Reports** have been authorized
- Check to make sure there are no **Estimates** in Draft status

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- Make sure there are no **Change Orders** in “Draft” or “Pending” status.
- Make sure that the dates on the IC-632 and IC-639 match the **Key Dates** in SiteManager. (See Pages 16, 25, & 27)
- Enter **Pavement Structural Design Data**. (See Page 19)
- Enter “PE/S Contract Final Review is Complete” to match the signed **Checklist** (IC-699) (See Page 22)
- The PE/S should remain within Contract Authority until final contract Close-out.

Material Sampling and Testing

This section will address a selection of the reports on the SiteManager Reports Webpage (<http://SiteManager.in.gov>) that are utilized to ensure that Material Sampling and Testing requirements have been fulfilled throughout the contract and PRIOR to submitting the Final Construction Record to the District Final Review Office.

The following reports are discussed in this section:

- Contract Sample Checklist by Project
- Contract Sample Checklist for Testing Shortages
- Samples with No Producer Supplier Code
- Approved Material Samples with No Product Names
- Material Certification Sample: Type A Certifications
- Failed Contract Samples

Contract Sample Checklist by Project Report

Report Location: <http://SiteManager.in.gov>: Material Certification Column

Reference Location: SiteManager Training Manual for Highway Technicians: Chapter 4
(<https://netservices.indot.in.gov/SiteManager>)

The Contract Sample Checklist by Project is used frequently when completing Material Sample records. This report is organized by Project and then by PLN from smallest to largest. It contains a large amount of information that can help personnel in the field track how many and what type of tests, certifications, CAPP numbers, etc are required in real time. This version of the Contract Sample Checklist shows all line items on the contract that have any materials and test methods associated to them. It will show items that are currently satisfied and those that have discrepancies.

Beginning of Contract

- As soon as possible, review the materials, sampling and testing requirements that are listed. If you are aware that an item on the list will not be correct for your contract, for example a different material is going to be used as backfill, contact your District Testing staff to have the Contract Sample Checklist changed to reflect this.

During the Contract

- Run this report to reference Material Sampling and Testing requirements and information.

Contract Sample Checklist for Testing Shortages Report

Report Location: <http://SiteManager.in.gov>: Material Certification Column

The Contract Sample Checklist for Testing Shortages Report shows only Line Items, Material Codes, and Test Methods that do not meet the currently required value for that particular Line Item, Material Code, or Test Method. If this report is blank, it indicates that there are currently no Material Sampling and Testing discrepancies for the selected Contract ID. If the form is populated with information, it indicates that either further sampling or testing is required on the contract or an adjustment needs to be made to the list by contacting your District Testing personnel.

Each Estimate Period

- Run this report to identify any Material Sampling and Testing discrepancies. If the report is blank, this step is complete. If not, do the following to address the discrepancy:
 - If a line item, material code, or test method appears on the report and you believe a record has been entered in SiteManager for it, but has not been accounted for, run the Contract Sampling and Testing Discrepancy Tool Report (<http://SiteManager.in.gov>) to determine if a field was entered incorrectly. Correct any records in SiteManager that appear on the report.
 - If you believe a material code or test method is not correct for what is being used on site, contact your District Testing staff to make changes to the Contract Sample Checklist.
 - Enter any samples or tests that have been taken but are not entered in the SiteManager system.

Navigation in SiteManager: Materials Management > Sampling and Testing > Sample Information

End of Contract

- Ensure that this report is blank prior to submitting the Final Construction Record (FCR) to the District Final Review Office. If there are items on the report, address them using one of the options listed above. This step shall be completed prior to submitting the FCR. Performing this operation regularly throughout the life of the contract will help minimize the effort necessary to complete this process at the end of the contract.

Samples with no Producer Supplier Code Report

Report Location: <http://SiteManager.in.gov>: Material Certification Column

The Samples with No Producer Supplier Code Report shows all Material Sample records for a contract that do not have a Producer/Supplier Code and Name documented. The report includes the Contract ID, Material Sample ID, Material Code, Sample Date, and Sample Status. All Material Sample records with a status of “Complete” require that the Producer/Supplier field be completed. This ensures that there is documentation of what company produced or supplied the material being sampled or tested.

Each Estimate Period

- Run this report to identify if any Material Samples are missing the Producer/Supplier name and code. If the report is blank, this step is complete. If not, do the following to address the missing Producer/Supplier name and code:
 - Check to see if the Sample Status is “Complete.” If it is not, a Producer/Supplier code and name may not be required.
 - Use the listed Sample ID to open the Material Sample record in SiteManager and complete the **P/S-Mnfct** field. If you unauthorized the sample to complete this step, remember to authorize it again after entering the Producer/Supplier.

*Navigation in SiteManager: Materials Management > Sampling and Testing > Find Sample
OR Materials Management > Sampling and Testing > Sample Information*

End of Contract

- Ensure that this report is blank prior to submitting the Final Construction Record (FCR) to the District Final Review Office. If there are items on the report, address them using the steps listed above. This step shall be completed prior to submitting the FCR. Performing this operation regularly throughout the life of the contract will help minimize the effort necessary to complete this process at the end of the contract.

Approved Material Samples with no Product Names Report

Report Location: <http://SiteManager.in.gov>: Material Certification Column

The Approved Material Samples with No Product Names Report shows all Material Sample records for a contract that do not have a Product Name documented, when required. SiteManager will prompt you with a pop-up message if this field is required and has not been completed. The report includes the Contract ID, Material Sample ID, Material Code, Material Full Name, and Sample Date. Entering the Product Name ensures that there is documentation that the material used is indeed on the Approved Material list.

Each Estimate Period

- Run this report to identify if any Material Samples are missing a necessary Product Name. If the report is blank, this step is complete. If not, do the following to address the missing Product Name:
 - Use the listed Sample ID to open the Material Sample record in SiteManager and complete the **Prod Name** field. If you unauthorized the sample to complete this step, remember to authorize it again after entering the Product Name.
- Navigation in SiteManager: Materials Management > Sampling and Testing > Find Sample OR Materials Management > Sampling and Testing > Sample Information*

End of Contract

- Ensure that this report is blank prior to submitting the Final Construction Record (FCR) to the District Final Review Office. If there are items on the report, address them using the steps listed above. This step shall be completed prior to submitting the FCR. Performing this operation regularly throughout the life of the contract will help minimize the effort necessary to complete this process at the end of the contract.

Material Certification Sample Report: Type A Certification

Report Location: <http://SiteManager.in.gov>: Material Certification Column

Reference Location: Construction Memo 12-06

Section A-2-11-1 of the SiteManager Online Training Manuals
(<https://netservices.indot.in.gov/SiteManager>)

The Material Certification Sample Report shows all Material Sample records for a contract that have an Acceptance Method (**Acpt Method**) of “Certification.” The report includes the Contract ID, Project Number, PLN, Material Sample ID, Material Code, Material Full Name, Authorization Date, Certification Type, and if there is an attachment. All type A Certifications require that the Certification is attached to the Material Sample Record. All type B, C, D, mill, and other certifications should be kept in paper form in a Certifications file in the field office and submitted to the District Office Review with the Final Construction Record.

Each Estimate Period

- Run this report to identify if any Material Certification Samples are missing a necessary attachment. If all Type A Certification show a “Yes” in the **Is there an Attachment?** column, this step is complete. If not, do the following to address the missing Type A Certification Attachment:
 - Use the listed Sample ID to open the Material Sample record in SiteManager and complete the **Attachment** process. If you unauthorized the sample to complete this step, remember to authorize it again after entering the Product Name.

*Navigation in SiteManager: Materials Management > Sampling and Testing > Find Sample
OR Materials Management > Sampling and Testing > Sample Information*

End of Contract

- Ensure that all Type A Certifications on this report have a “Yes” in the **Is there an Attachment?** column prior to submitting the Final Construction Record (FCR) to the District Final Review Office. If there are Type A Certifications without an attachment, address them using the steps listed above. This step shall be completed prior to submitting the FCR. Performing this operation regularly throughout the life of the contract will help minimize the effort necessary to complete this process at the end of the contract.

Failed Contract Samples Report

Report Location: <http://SiteManager.in.gov>: Material Certification Column

Reference Location: Construction Memorandum 12-06 &
Section A-2-11-1 of the SiteManager Online Training Manuals
(<https://netservices.indot.in.gov/SiteManager>)

The Failed Contract Samples Report shows all Material Sample records for a contract that have a **Status** of “Fail.” The report includes the Contract ID, Material Sample ID, Sample Status, and Linked Sample ID. All Failed Material Sample records are required to be resolved prior to District Final Review. A resolved Failed Material Sample Record will have an authorized Sample Record with a **Status** of “Complete” linked to the Failed Material Sample Record as indicated on the Failed Contract Samples Report.

End of Contract

- Ensure that each Sample ID has a corresponding Linked Sample ID prior to submitting the Final Construction Record (FCR) to the District Final Review Office. If there is a Sample ID on the report without a corresponding Linked Sample ID, contact your District Testing Staff for assistance. This step shall be completed prior to submitting the FCR. Performing this operation regularly throughout the life of the contract will help minimize the effort necessary to complete this process at the end of the contract.

Pre-Construction Conference Meeting Minutes

INDOT Form No: N/A
Required: Yes
Submission Type: SiteManager
Document Location: SiteManager Correspondence Log or SiteManager Construction Conference section

The Pre-Construction Conference Meeting Minutes are documentation of the discussions and agreements that occurred at the Pre-Construction Conference between INDOT and the Contractor, as well as any other applicable entities. Once the minutes are documented in SiteManager, it is not necessary for INDOT to retain the minutes at the end of the contract. The Project Engineer/Supervisor shall enter the meeting minutes in SiteManager in one of two ways: by manually typing the preconstruction conference notes in the Construction Conference section or by attaching an electronic Microsoft Word or PDF formatted document in the Correspondence Log.

Beginning of Contract

- Attend the Pre-Construction Conference and take notes throughout. Then complete the following:
 - Manually type the minutes into the Construction Conference section of SiteManager. Be aware that, if you copy and paste the text, SiteManager may have issues processing certain fonts and symbols.
- Navigation in SiteManager: Contract Administration > Contractor Management > Construction Conference*

End of Contract

- Ensure that the Pre-Construction Conference Meeting Minutes were documented in SiteManager.

Key Dates

INDOT Form No:	N/A
Required:	Yes
Submission Type:	SiteManager
Location:	SiteManager: Contract Administration > Contract Records > Key Dates
Reference Location:	Section A-2-8-1 of the SiteManager Online Training Manuals (https://netservices.indot.in.gov/SiteManager)

Key Dates are dates that are important to the progress of the contract. Some Key Dates are set to be required to activate the Contract while others are required to finalize the Contract. Key Dates allow individuals across the state to know the status of the Contract. There are two different types of Key dates, projected and actual. Projected Key Dates shall be keyed in at the beginning of the contract according to the original contractual agreement or the Contractors original schedule. Projected key dates are used to compare against the Actual Key Dates to determine delays on the contract. **It is critical that Actual Key Dates be entered and up-to-date at all times for accuracy, since management uses the data for reporting purposes.** It will no longer be acceptable to wait until you are working on the Final Construction Record to enter all Key Dates. They shall be entered in a timely fashion.

Beginning of the Contract

- Enter Projected Key Dates according to the original contractual agreement or the Contractors original schedule.

Each Estimate Period

- Complete any Actual Key Dates that have passed since the last pay estimate in order to keep this information up-to-date

End of Contract

- Review the Actual Key Date entries in SiteManager and verify that all required dates have been entered. Performing this operation regularly throughout the life of the contract will help minimize the effort necessary to complete this process at the end of the contract.
- Ensure that a Diary entry exists for each Actual Key Date.
- Compare the Checklist for Final Construction Record (IC-699) against the Actual Key Date entries in SiteManager. Verify that all optional dates checked in the affirmative by the Project Engineer/Supervisor have been entered.

Note: If all of the required Key Dates have not been entered, you will be unable to produce the Completion Date and Liquidated Damages Data (IC-632) on the SiteManager Reports webpage.

Acceptance of Completed Work

Section 105.15 of the Standard Specifications defines the contractual obligations for final inspection and acceptance of completed work. When work has been completed and accepted, the Contractor is fully relieved of all liability for the maintenance, reconstruction, or restoration of that work, so it is important that Department personnel perform a thorough inspection to ensure that the accepted work meets the minimum requirements of the contract. The contract may be inspected and accepted as a whole or in parts, as allowed by the Standard Specifications. All Contract Work Complete, Partial Acceptance and Final Acceptance are discussed below.

All Contract Work Complete and Pre-Final Inspection

All Contract Work Complete is defined as "all pay items as described in the contract as well as change order work has been performed. To meet this requirement, contract is substantially complete and all permanent erosion control features must be in place. Obtaining Notice of Termination is not a requirement for a contract to have reached the All Contract Work Complete status." Construction signs are usually still in place at this point.

When a contract has all contract work complete, the PE/S should contact the AE to schedule a pre-final inspection. The PE/S should be sure that there is no portion of the permanent work remaining to be performed prior to scheduling the pre-final inspection.

The pre-final inspection is held to identify any items of work that must be corrected before the Contractor is relieved of responsibility for the work. Depending on the type of project, Department representatives from maintenance, traffic, ITS and others may attend the pre-final inspection. If the contract has federal oversight, a FHWA representative will be invited. If the project is an LPA contract, or includes work for an LPA, then representatives of the local agency may also attend.

The contractor must be notified in writing of any punchlist items identified during the pre-final inspection. The contractor must then complete the punchlist prior to final inspection and acceptance of the contract. The Standard Specifications allow 5 work days for the contractor to complete the punchlist work after notification.

If at the time of the pre-final inspection, all work is found to be completed and acceptable and no punchlist items are identified, the inspection may be considered to be the final inspection.

Partial Acceptance

The Contractor may request partial acceptance of portions of a contract. Section 105.15 defines three cases in which work may be partially accepted prior to final acceptance of the contract. The 3 cases are:

1. A usable portion of the contract one mile or more in length is completed.
2. A portion of the contract designated as a project is completed.

3. A portion of the contract physically and functionally separate from other work areas is completed.

An inspection of the work completed must be made to determine if it is acceptable. The inspection is done in the same manner for a portion of the work as it would be if for the entire contract. The PE/S should discuss a Contractor's request for partial acceptance with the AE.

Final Inspection, Final Acceptance, and Final Construction Record

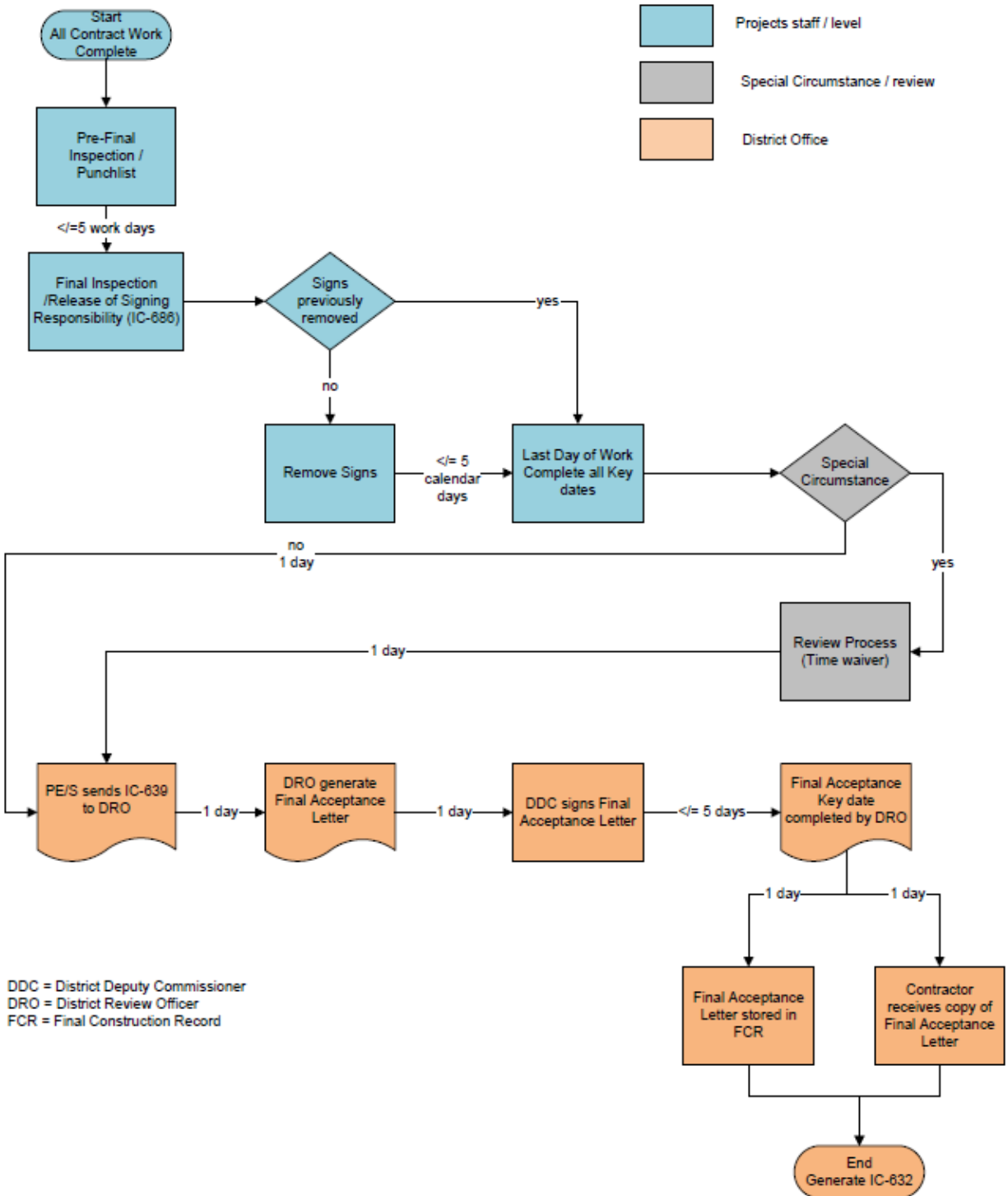
When any punchlist work identified during the pre-final inspection is completed, a final inspection is made and if all construction is completed satisfactorily, the Contractor will be notified in writing by the DCD of final acceptance.

The date of final acceptance is the date the contractor is relieved of further maintenance in accordance with Section 107.18 of the Standard Specifications and as set out in the final acceptance letter. The date of final acceptance cannot be prior to the date of the final inspection or the last day of work .

Form IC 639 must show whether the right-of-way is or is not clear of all encroachments. Encroachments should be monitored throughout the life of the contract. Encroachments are to be removed, or a revocable permit issued, as soon as possible. However, final acceptance should not be delayed because of encroachment unless there is reason to believe that the Contractor is responsible.

With few exceptions, the Department no longer withholds retainage on construction contracts. In the rare case where retainage has been withheld, it is not released until the final payment is made after final acceptance and final contract review is complete.

Final Acceptance Workflow



Key Dates Definitions

First Day of Work – The date the Contractor first utilizes equipment or personnel on the jobsite. The PE/S fills in this date. The recipient is your AE in SiteManager.

Failed Material Replaced – The date that failed material has been replaced, if applicable. The PE/S fills in this date. The recipient is your AE in SiteManager.

Sod Maintenance Expired – If there is sod, the date that the sod maintenance expired. If this sod needs repaired, enter the date that the sod was repaired. The PE/S fills in this date. The recipient is your AE in SiteManager.

Other – Can be anything. PE/S fills in this date as needed. The recipient is your AE in SiteManager.

Intermediate Completion – The date(s) specified for a given contract by which certain portions of the contract are required to be completed. Each contract will define the work required to be completed by each Intermediate Completion Date. Intermediate Completion Dates will be recorded by entering dates into milestones within SiteManager. The IC-632 will calculate any liquidated damages if necessary.

Substantial Completion – The date, as determined by the Department, when the construction of a project is sufficiently completed in accordance with the plans and specifications, as modified by any approved change orders, so that it can be used for its intended purpose. In order for a project to be used for its intended purpose, all lanes shall be, or have the ability to be, opened to traffic without further need for them to be restricted for any purpose except for the placement or maintenance of permanent erosion and sediment control or the maintenance or removal of temporary erosion and sediment control. As a minimum, all of the following criteria must be met: All lanes of the road or bridge shall be completed through its final roadway surface, including shoulders, with all the sidewalks, curbs, drainage features, markings, permanent safety appurtenances, lighting, traffic signals, and signing as shown in the contract documents. The PE/S fills in this date. The recipient is the District Review Officer in SiteManager.

All Contract Work Complete – All original pay items, adjusted work with change order(s), and permanent erosion control features are in place signifying that the contract is ready for the pre-final inspection process. Typically construction signs are still in place. Contract Completion liquidated damages will begin at Adjusted Contract Completion Date if this work has not been completed. The PE/S fills in this date. The recipient is your AE in SiteManager.

Punchlist Completed – The date of when the punchlist items were completed. The amount of work days needed for the Contractor to complete the work must be entered into the generic fields on the Contracts icon located in Contract Records from Contract Administration in SiteManager. This information must be tracked under controlling operation on the SiteManager Diary. The PE/S fills in this date. The recipient is your AE in SiteManager.

Final Construction Record Guide

Pre-Final Inspection – The date the Pre-final inspection is performed on the contract. The PE/S fills in this date. The recipient is your AE in SiteManager.

Final Inspection – The date that the final inspection is performed on the contract. Final inspection cannot occur prior to the sod maintenance expiration date. All contract work and punchlist items must be completed prior to this date which includes items such as NOT, plantings and sod maintenance. The PE/S fills in this date. The recipient is your AE in SiteManager.

Final Acceptance – The date the Contractor is relieved of maintenance in accordance with Standard Specification 107.18 and as stated in the final acceptance letter. This date shall not be prior to the date of the final inspection or the last day of work. This date typically represents the last day of work when all construction signs or temporary traffic control devices are removed. Notice of Termination must have been obtained, if required. In cases of special circumstances, final acceptance will be the date the circumstance was resolved. This date will represent the actual Contract Completion Date and populate the IC-632 accordingly. The District Review Officer fills in this date. The recipient is the District Review Officer in SiteManager.

Release of Signing Responsibility – The date issued on the Release from Signing Responsibility (IC-686) form sent to the Contractor to remove temporary traffic control devices and/or signs from the project. This date cannot happen prior to final inspection since the Contractor will be responsible for signing until they have been relieved of maintenance. The PE/S fills in this date. The recipient is your AE in SiteManager.

Temp Traffic Control Devices Removed – See Last Day of Work. The PE/S fills in this date. The recipient is your AE in SiteManager.

Last Day of Work – The date on which the signs are removed after final inspection, or in the case where the signs have been allowed to be removed prior to final inspection, will be the date of issuance of the IC-686. The PE/S fills in this date. The recipient is your AE in SiteManager.

PE/S Contract Review Complete – The date that the PE/S finished the FCR and has turned it in to District Final Review. This date matches the PE/S signature date at the end of the Checklist for Final Construction Record for SiteManager Contracts (IC-699). The PE/S fills in this date. The recipient is your AE in SiteManager.

District Contract Review Complete – The date that District Review is finished checking the FCR. This date matches the District Review Officer's signature date at the end of the Checklist for Final Construction Record for SiteManager Contracts (IC-699). **The PE/S does not fill in this date.**

Central Office Contract Complete – The date that Central Office is complete with the contract. **The PE/S and District Office do not fill in this date.**

Pavement Structural Design Data

INDOT Form No: N/A

Required: Only if HMA pavement cross sections are present on plans

Submission Type: SiteManager

Document Location: Pavement Structural Design Data module in SiteManager

Reference Locations: Section F-4-3-1 of the SiteManager Online Training Manuals (<https://netservices.indot.in.gov/SiteManager>)

The Pavement Structural Design Data is a description of the layers of HMA pavement that will be placed within the project, including thickness, location, and pavement shoulder information. This data can normally be found on the typical cross sections shown in the plans. For every asphalt pavement typical cross section, there shall be a pavement structural design data entry in SiteManager. Pavement structural design data does not need to be entered for bike/multi-use trail pavements. Data entries should be entered into SiteManager at the end of the project but before the submittal of the Final Construction Record to the District Review Office by the PE/S.

Navigation in SiteManager: Materials Management > Mix Design > Pavement Structural Design Data

End of Contract

- Confirm that entries have been made in the Pavement Structural Design Data area of SiteManager for all asphalt pavement cross sections, excluding bike/multi-use trails.

The screenshot displays the 'Pavement Structural Design Data' window in SiteManager. The window title is 'AASHTO SiteManager'. The main content area is titled 'Pavement Structural Design Data'. It includes fields for Contract (R-90004), Project (9620710), District (Laporte), Project Type (Flexible on Subgrade), Activity Date (12/02/07), Route (US 421), and various pavement layers with their respective thicknesses. The 'Lanes Affected' section on the right is highlighted in blue, showing 'Outside Shoulder' and 'Inside Shoulder' options.

Layer	Thickness
Surface Layer: SMA 12.5	1.5 inches
Intermediate Layer: HMA 19.0	3 inches
Drainage Layer: HMA OG 25.0	4 inches
Base: HMA 25.0	8 inches
Pavement Subbase: Compacted Aggregate Base	6 inches
Pavement Shoulder: HMA over Aggregate	9 inches
Subgrade: Type IIA	8 inches

Pavement Structural Design Data Window in SiteManager

Final Construction Record Index

INDOT Form No: INDEX
Required: Yes
Submission Type: FCR Packet
Document Location: Doing Business with INDOT > Standards & Specifications
Index Page No. A-1 to A-2

The Final Construction Record Index is a document used by the Project Engineer or Supervisor, District Review Officer, and Central Office Final Review Officer for easy reference within the Final Construction Record (FCR) packet. When searching for a certain document within the FCR, the index can be used to find the document without exploring the entire FCR packet. The Index helps organize the files that will ultimately be submitted to Central Office. There are additional items that shall be submitted to District Final Review that are not on the Index. These items can be found on the Checklist for Final Construction Records (IC-699).

End of Contract

- Complete the blanks at the top of the form.
- Label each document to be included in the FCR Packet in the top right-hand corner according to the letters provided on the Final Construction Record Index.
- Include the Final Construction Record Index in the Final Construction Record (FCR) Packet.

Checklist for Final Construction Record for SiteManager Contracts

INDOT Form No: IC-699
Required: Yes
Submission Type: FCR Packet
Document Location: Doing Business with INDOT > Standards & Specifications
Index Page No. B-1 to B-5

This form is used to ensure all necessary documents are accounted for at the field, District, and Central Office stages of the Final Contract Record and all necessary actions have been performed in SiteManager.

During the Contract

- Use the Checklist for Final Construction Records (IC-699) throughout the contract as guidance for what documents should be retained in the FCR.

End of Contract

- Include the Checklist for Final Construction Record form in the FCR Packet.

Notice to Proceed

INDOT Form No: IC-607
Required: Yes
Submission Type: SiteManager
Document Location: SiteManager Correspondence Log
Index Page No. C-1 to C-#

The main purpose of the Notice to Proceed (IC-607) is to officially inform a Contractor that he may begin work on the project. The document also initiates the ability to access the contract in SiteManager, and is the document that officially notifies the Engineer/Supervisor that funds have been established for the contract. The Notice to Proceed (IC-607) is attached in the Correspondence Log section of SiteManager by Central Office Final Review when the funds are allocated.

Beginning of Contract

- Open the Correspondence Log in SiteManager and verify that the Notice to Proceed is attached. If it has not, please contact Central Office Final Review.
Navigation in SiteManager: Contract Administration > Contract Records > Correspondence Log
- Ensure that the dates on the attached Notice to Proceed match the following records:
 - SiteManager Critical Dates: the “Notice to Proceed Date” should match the date on the scanned Notice to Proceed document. If it is not, please contact Central Office Final Review.
Navigation in SiteManager: Contract Administration > Contract Records > Contract > Critical Dates Tab
- If there is a delay documented on the Notice to Proceed:
 - Check that the delay was entered in SiteManager. If it was not, please contact Central Office Final Review.
Navigation in SiteManager: Contractor Payments > Contract Adjustments > Contract Time Adjustments

End of Contract

- Include the Notice to Proceed in the FCR Packet and label it according to the FCR Index.

Signature Affidavit (IC-113)

INDOT Form No: IC-113
Required: Yes
Submission Type: FCR Packet
Document Location: Doing Business with INDOT > Standards & Specifications
Index Page No. D-1 to D-#

The Signature Affidavit (IC-113) is a legal document that authorizes Contractor personnel to sign paperwork on behalf of the Contractor. Individuals listed on the IC-113 shall be authorized to sign contract estimates, change orders, and certified payroll compliance statements on behalf of the Contractor.

Beginning of Contract

- Obtain the completed Signature Affidavit from the Contractor at the pre-construction conference.
- Confirm that the Notary Public's commission was valid on the date that the Signature Affidavit (IC-113) was signed.

End of Contract

- Include the Signature Affidavit in the FCR Packet and label it according to the FCR Index.

Project Personnel Record and Contract Authority (IC-608)

INDOT Form No:	IC-608
Required:	Yes
Submission Type:	FCR Packet
Document Location:	SiteManager Report (http://sitemanager.in.gov)
Index Page No.	E-1 to E-#
Reference Location:	Section A-1-2-7-1 of the SiteManager Online Training Manuals (https://netservices.indot.in.gov/SiteManager)

The Project Personnel Record (IC-608) is used to document all individuals who worked on the jobsite and what date ranges throughout the contract that each individual was present. Only personnel recorded on the Project Personnel Record (IC-608) are authorized to sign or initial INDOT paperwork regarding that contract including Final Contract Records. This document is populated automatically from the Contract Authority in the SiteManager system. If a person is missing from the list, he or she most likely was never given contract authority in SiteManager. For this reason, it is important to keep Contract Authority up-to-date in SiteManager.

Each Estimate Period

- Update Contract Authority for any employees who have joined or left the staff of the Contract. Contract Authority can always be re-assigned to an individual if he or she returns to the jobsite.

Navigation in SiteManager: Contract Administration > Contract Records > Contract Authority

End of Contract

- Review the report produced from SiteManager, ensuring that:
 - All personnel who worked on the jobsite are listed.
 - All individuals except the lead Project Engineer/Supervisor will have a “From” date and a “To” date. The lead Project Engineer/Supervisor who is completing the FCR will not have a “To” date because he or she will need to maintain Contract Authority until the final estimate. After approving final estimated, the Project Engineer/Supervisor should remove Contract Authority from him or herself. The “To” Date will be hand written in when Central Office Final Review closes the contract.
 - If an individual does not have a “From” date, enter SiteManager and end the employee’s Contract Authority.

Navigation in SiteManager: Contract Administration > Contract Records > Contract Authority

- The lead Project Engineer/Supervisor should check the Project Personnel Record (IC-608) for correctness and then, sign the “Prepared By” line at the bottom of the form.
- Leave the “Reviewed By” line at the bottom of the page blank. It will be signed in the District Final Review Office.

Include the Project Personnel Record (IC-608) in the FCR Packet.

Final Inspection and Recommendation for Acceptance (IC-639)

INDOT Form No: IC-639
Required: Yes
Submission Type: FCR Packet
Index Page No. F-1
Document Location: SiteManager Report (<http://sitemanager.in.gov>)

The Final Inspection and Recommendation for Acceptance (IC-639) form documents various key dates and confirms that INDOT and the Local Public Agency (LPA), if applicable, have performed a final inspection and are recommending the Contract be accepted. **The Release from Signing Responsibility (IC-686) should be provided to the Contractor on this day.**

End of Contract

- Ensure all Key Dates are recorded in SiteManager. This allows the automated Final Inspection and Recommendation for Acceptance (IC-639) form to be pre-populated with Key dates when printing from the SiteManager Report website.
- Print the Final Inspection and Recommendation for Acceptance (IC-639) form from the SiteManager Report website and complete all blank applicable lines on the form by hand.
- Place N/A on blank lines where an operation does not apply.
- Submit a copy of the Final Inspection and Recommendation for Acceptance (IC-639) to the District Office Review Officer within **one (1)** calendar days of completing the form **and the Last Day of Work**. Subsequently the District Review Officer uses that information to generate a Final Acceptance Letter.
- Include a copy of the Final Inspection and Recommendation for Acceptance (IC-639) in the Final Construction Record (FCR) Packet and label it according to the FCR Index.
- Signatures necessary for the completion of the form will be obtained by the District Review Officer when the IC-639 is submitted to the District Final Review Office.

Completion Date and Liquidated Damages Data (IC-632)

INDOT Form No: IC-632
Required: Yes
Submission Type: FCR packet
Document Location: SiteManager Report (<http://www.sitemanager.in.gov>)
Index Page No. H-1 to H-#

The Completion Date and Liquidated Damages Data (IC-632) form is used to document any liquidated damages due from the Contractor and will be populated based on specified key dates, intermediate completion dates, time extension change orders, and waiver days. The accuracy of the dates on the completed form impacts funds assessed for liquidated damages.

Make Sure

- The pre-final inspection items are listed on the diary of the pre-final inspection day.
- A diary entered on a last day of work with a brief summary of all work that took place after the Adjusted Contract Completion Date up to the Last Day of Work with an explanation for all liquidated damages being waived.

Note: a "Final IC 103 for Supporting IC 632" shall be used to review the entered items and a summary of work that happened during this time period.

End of Contract

- Ensure that all key dates are recorded in SiteManager, on diaries, and in other locations throughout the FCR:
 - All Contract Work Complete
 - Punchlist Items Completed
 - Release of Signing Responsibility
 - Temp Traffic Control Devices Removed
 - Last Day of Work
 - Final Acceptance (*entered by the District Review Officer*)
- Record the number of work days needed to complete the punchlist items within the Generic Fields in the Contract icon in Contract Records from Contract Administration for the Exclusions.
- Ensure that the amount of calendar days for Removal of Signs Exclusions is calculated by Temp Traffic Control Devices Removed minus the Release of Signing Responsibility Key Dates.
- Ensure that Final Acceptance Key Date is entered. This date will be measured against the Adjusted Contract Completion Date for an assessment of the liquidated damages.
- Confirm that all Change Orders pertaining to time extensions or time waivers have been authorized and are shown on the form. Change Orders that are in "Draft" or "Pending" status, must be approved or deleted prior to completion of the IC-632 form. Change Orders do **not** need to be printed and included with the IC-632.

Note: Ensure that the amount of dollars calculated on the IC-632 is entered as a pay item with a negative quantity.

Comparison of Original and Final Quantity Amounts by PLN (IC-642 PLN)

INDOT Form No: IC-642 (PLN)
Required: Yes
Submission Type: FCR Packet
Document Location: SiteManager Report (<http://www.SiteManager.in.gov>)
Index Page No. I-1 to I-#

The Comparison of Original and Final Quantity Amounts by PLN (IC-642 PLN) shows the sum of quantities placed and dollars spent for each line item number specific to its project number. This copy is used for internal verification and is not sent to the Contractor. A copy of the IC-642 PLN should be printed for each individual project on the Contract at the end of the Contract. If a Contract only has one Project, an IC 642-PLN still needs to be included in the Final Construction Record for consistency of evaluation at the District and Central Office Final Review Offices.

End of Contract

- Complete the Reference to Source Documentation in SiteManager for each PLN. This references the FCR Item Page where backup documentation can be found. Type “Templates” if templates were used in SiteManager for ALL items on a particular PLN.

Navigation in SiteManager: Contract Administration > Contract Records > Contracts > IC-642 Reference Tab

- After Field Check, sign and date under the “Project Engineer/Supervisor Certification” section on the final page of the document.
- If an additional Project Engineer/Supervisor assisted in the field check of the contract, have him or her sign and date the “Field Checked By” section on the final page of the document. If no one assisted this function, leave the “Field Checked By” section blank.
- Include the Comparison of Original and Final Quantity Amounts by PLN (IC-642 PLN) form in the Final Construction Record (FCR) Packet.

Comparison of Original and Final Quantity Amounts by CLN (IC-642 CLN)

INDOT Form No:	IC-642 (CLN)
Required:	Yes
Submission Type:	FCR Packet
Document Location:	SiteManager Report (http://www.SiteManager.in.gov)
Index Page No.	J-1 to J-#

The Comparison of Original and Final Quantity Amounts by CLN (IC-642 CLN) shows the sum of quantities placed and dollars spent for each item across all projects. This is the copy of the Comparison of Quantity Amounts (IC-642) that is sent to the Contractor for review and signature by the District Final Review Office after their review. A copy of the IC-642 CLN should be printed at the end of the Contract. If a Contract only has one Project, the IC-642 PLN and IC-642 CLN will look the same. Also a Preliminary IC-642 should be prepared and submitted to the Contractor for signature. This shall be done to eliminate pay item disputes early in the FCR development and before the District Office Review checks it.

End of Contract

- DO NOT complete the “Reference to Source Doc” column for each CLN on the Comparison of Quantity Amounts CLN (IC-642 CLN). The entries in SiteManager that print on the Comparison of Quantity Amounts PLN (IC-642 PLN) are sufficient for documentation and do not need to be duplicated on the IC-642 CLN.
- After the FCR Field Check, the PE/S should sign and date under the “Project Engineer/Supervisor Certification” section on the final page of the document.
- If an additional Project Engineer/Supervisor assisted in the field check of the contract, have those sign and date the “Field Checked By” section on the final page of the document. If no one performed this function, leave the “Field Checked By” section blank.
- To eliminate future pay item disputes at the District Review level, send a Preliminary IC-642 to the Contractor to review, sign, and date.
- Include the Comparison of Original and Final Quantity Amounts by CLN (IC-642 CLN) form and the signed Preliminary IC-642 in the Final Construction Record (FCR) Packet.

Certification of Category 1 and 2 Temporary Traffic Control Devices

INDOT Form No:	N/A
Required:	Only if Category 1 and 2 Temporary Traffic Control Devices were used
Submission Type:	FCR Packet
Document Location:	Doing Business with INDOT > Standards & Specifications
Index Page No.	K-1
Reference Location:	Spec 801.03

The Certification of Category 1 and 2 Temporary Traffic Control Devices form is required if Traffic Cones, Tubular Markers, Drums, or Delineators were used on site. This form is to certify the four types of temporary traffic control devices listed do not exceed the maximum weight and height values called out in the Departments Standard Specifications. If the devices are within the values, then they are considered crashworthy at Test Level 3 in accordance with National Cooperative Highway Research Program Report (NCHRP) No. 350.

Furthermore, this form certifies that all Category 2 temporary traffic control devices in accordance with the Departments Standard Specifications are considered crashworthy at Test Level 3 in accordance with NCHRP No. 350. The FHWA acceptance letter for devices is NOT needed to be collected by the PE/S for every contract. The Contractor is obligated by Departments Standard Specifications to furnish the FHWA acceptance letter on an as requested basis.

Devices that are removed daily do not require this form. All other temporary devices, with the exception of temporary concrete barrier wall, require that this form be completed.

Beginning of Contract

- Determine if any temporary devices, besides temporary concrete barrier walls, were placed on site. If not, then this form is not required.
- The signed certification form shall be submitted by the Contractor or Subcontractor at the Pre-Construction Conference prior to the placement of category I or II traffic control devices.
- Include the Certification of Category 1 and 2 Temporary Traffic Control Devices form in the FCR Packet and label it according to the FCR Index.

Pile and Driving Equipment Data Form (IC-740)

INDOT Form No: IC-740
Required: Only if Pile Driving is performed
Submission Type: Central Office Division of Geotechnical Services
Document Location: Doing Business with INDOT > Standards & Specifications
Reference Location: Spec 701.05(a) and 701.05(b)

The Contractor shall submit a completed Pile and Driving Equipment Data (IC-740) form to the Central Office Division of Geotechnical Services at least 15 calendar days prior to driving piles. The Contractor and Project Engineer/Supervisor will be notified of the acceptance of the proposed pile driving system within 15 calendar days of the receipt of the Pile and Driving Equipment Data Form. Please reference the two methods of obtaining pile driving approval below.

If the method of pile driving approval is in accordance with the dynamic formula shown in spec 701.05(a), then an approval letter with driving equipment suggestions and an approved pile driving chart (APPILE) will be provided from the Office of Geotechnical Services. The APPILE is in turn used to determine when the nominal driving resistance of the piling has been achieved. Only use the APPILE provided by INDOT's Geotechnical Services, do not produce your own.

If the method of pile driving approval is in accordance with the dynamic pile load test (PDA) shown in spec 701.05(b), then the pile driving criteria will be furnished by an INDOT approved third party consultant. Acceptance of pile and driving equipment does not relieve the Contractor of the responsibility to provide equipment suitable for driving the specified piling to the required nominal driving resistance without damage.

Review the following information on the Pile and Driving Equipment Data Form:

- Contract Description – Contract Number, Structure Name or Number, Pile Driving Contractor or Sub.
- Hammer Information – Manufacture, Model Number, Hammer Type, Ram Weight
- Striker Plate – Weight, Diameter, and Thickness
- Hammer Cushion – Area, Plate Thickness, Number of Plates
- Drive Head – Weight
- Pile – Pile Type, Cross Section Area, Ordered Length, Weight
- “Submitted by” information

Approved Pile Driving Chart (APPPILE)

INDOT Form No:	APPPILE
Required:	Only if Pile Driving is being performed
Submission Type:	FCR Packet
Document Location:	Furnished by the Office of Geotechnical Services
Index Page No.	L-1 to L-#

The Contractor and Project Engineer/Supervisor will be notified by the Office of Geotechnical Services of the acceptance of the proposed pile driving system within 15 calendar days of the receipt of the Pile and Driving Equipment Data form (IC-740). The acceptance includes an approval letter with driving equipment suggestions and an Approved Pile Driving Chart (APPPILE), if approval is in accordance with spec 701.05(a). The APPPILE is used to determine that the pile is achieving the required nominal driving resistance. Only use the APPPILE provided by INDOT's Geotechnical Services or by the third party consultant for dynamic pile testing, do not produce your own.

During the Contract Prior to Driving Piles:

- For the test pile, check the drop of the hammer (stroke) and the amount of penetration in 20 blows which aids in establishing the pile driving resistance. Keep driving the test pile until you reach the specified nominal driving resistance.
- Check that the Approved Pile Driving Chart (APPPILE) includes:
 - The hammer manufacturer
 - The hammer drop height
 - The hammer force required
 - Penetration per number of blows
- Ensure that the units (English or Metric) used on the Approved Pile Driving Chart match the units for the Contract.
- Attach the Acceptance Approval Letter to the APPPILE.

End of Contract

- Include the Approved Pile Driving Chart (APPPILE) form and Acceptance Approval Letter in the FCR Packet and label them according to the FCR Index.

Pile Driving Record (IC-225)

INDOT Form No:	IC-225
Required:	Only if Pile Driving is performed
Submission Type:	FCR Packet
Document Location:	Doing Business with INDOT > Standards & Specifications
Index Page No.	M-1 to M-#

The Pile Driving Record form (IC-225) is used to document the length of piles driven. For each different type of pile, a new form shall be completed. In other words, if you have three different types of piles being driven, then you shall record the lengths separately on three different forms.

Prior to Driving

- Ensure that the type of hammer matches the Pile Driving Chart.
- Specify the type of piling being driven and type of structure being constructed from the piling.

During the Contract

- To begin recording data, start out by labeling the foundation/pile and measuring the amount of pile placed in the leads. For each bent or pier, there should be a drawing on the reverse side of the Pile Driving Record (IC-225) form showing the respective pile numbers for each pile in that pier/bent for future reference.
- Once the pile is driven to the required nominal driving resistance and cut off, measure the remains of the cut off. To determine the amount of pile driven, simply subtract the length of cut off from the measure of the original pile length. Also, record any additional length spliced on.
- For the last twenty blows from the hammer, measure the total penetration or depth of the pile. Furthermore, the weight and drop of the hammer is recorded for each pile driven. This information can be found on the Pile and Driving Equipment Data Form (IC-740).
- At the bottom of the form, totals are calculated and recorded along with a required signature from the observing personnel. The total amount of pile driven below any cut-off will be considered the pay quantity amount for each type of pile.

End of Contract

- Include any Pile Driving Record forms in the FCR Packet and label them according to the FCR Index.

Buy America Certification

INDOT Form No:	N/A
Required:	Only if steel is used permanently in the contract
Submission Type:	FCR Packet
Document Location:	Provided by the Contractor
Index Page No.	N-1 to N-#
Reference Location:	Spec 106.01(c)

The Buy America Certification is used to ensure that any steel and cast iron used on site was not manufactured outside of the United States. According to INDOT Specification 106.01(c) all processed, pelletized, and reduced iron ore with exception of pig iron, as well as all steel materials and products permanently incorporated in the contract shall be manufactured in the United States. **A Buy America Certification shall be received for each product or source of material prior to being incorporated into the contract.**

During Contract

- Verify that the Buy America Certification is on the Manufacture's letterhead and is in accordance with Spec 916.02(g) and 916.03(a).
- Verify that the Contractor's signature on the Buy America Certification is a person authorized on the Signature Affidavit (IC-113).
- Receive and verify any and all Buy America Certifications PRIOR to the item being installed on the jobsite. This is critical to maintaining Federal Highway Administration participating funds for the item.

End of Contract

- Include any Buy America Certifications in the FCR Packet and label them according to the FCR Index.

Commonly Used Items That Require a Buy America Certification

Can include, but not limited to:

- Guardrail
- Dowel bars
- Raised pavement markers
- Resteel
- Piling
- Castings
- Sign posts
- Girders

Salvage Construction Material Record (IC-625)

INDOT Form No: IC-625
Required: Only if a material is being salvaged
Submission Type: FCR Packet
Document Location: Doing Business with INDOT > Standards & Specifications
Index Page No. O-1 to O-#
Reference Location: Spec 202

The Salvage Construction Material Record form (IC-625) documents any material that can be recycled as a construction material or for a monetary amount. Salvageable material can either be turned over to the Indiana Department of Transportation (INDOT), the Contractor, or the local government agency depending on the situation as well as the specifications in the Proposal book.

During the Contract

- Document the Contract Number, Item Description, Location where Salvaged, Condition, Signature, and Title of the person who the material was turned over to on the Salvage Construction Material Record.
- Verify that the signature on the Salvage Construction Material Record is the person taking possession of the salvaged materials at their final delivery point or location.

End of Contract

- Include all Salvage Construction Material Record forms (IC-625) in the FCR Packet and label them according to the FCR Index.

Asbestos Exclusion Letter

INDOT Form No:	N/A
Required:	Only if construction or reconstruction of buildings or bridges
Submission Type:	FCR Packet
Document Location:	Provided by the Contractor
Index Page No.	P-1 to P-#
Reference Location:	Spec 106.11 & 916.03(f)

Because asbestos-containing materials may not be used in the construction or reconstruction of buildings or bridges, a letter of exclusion for each building or bridge shall be submitted by the Contractor to the Project Engineer/Supervisor prior to the acceptance of work and final payment. The Asbestos Exclusion Letter shall indicate that no asbestos-containing material was used as a building material during the project. This document is not the same as an asbestos investigation prior to the start of construction.

End of Contract

- Ensure that the following items are documented in the Asbestos Exclusion Letter: Asbestos Exclusion Statement, Contract Number, Location/Description, Bridge Structure Number, and Contractor's Name. An example of a Asbestos Exclusion Letter is given in section 916.03(f)
- Verify that the Asbestos Exclusion Letter is on the Contractor's letterhead.
- Verify that the Contractor's signature on the Asbestos Exclusion Letter is a person authorized on the Signature Affidavit (IC-113).
- Include all Asbestos Exclusion Letters in the FCR Packet and label them according to the FCR Index.

Warranty Bond for Permanent Seeding

INDOT Form No:	N/A
Required:	Only if seeding is not performed in the normal growing season.
Submission Type:	FCR Packet
Document Location:	Provided by the Contractor
Index Page No.	Q-1 to Q-#
Reference Location:	Spec 621.14(a) & 621.12

The Contractor shall post a warranty bond for all permanent seeding placed between October 16th and January 31st each year for seed mixtures R, U, and P in accordance with section 621.12. A permanent seeding warranty bond shall warrant against failure resulting from lack of germination or method of application. The intent of the warranty bond is to guarantee the new seed against failure through the winter months and provide an acceptable, growing product. A properly executed maintenance bond with a surety shall be provided by the Contractor prior to the completion of the work.

Before Seeding

- Verify that the Contractor and Contract Number are correct on the Warranty Bond.
- Verify that the dates are valid on the Warranty Bond.
- Validate that the warranty is 1 1/2 times the cost of the seeding work that will be completed after October 15 with a minimum bond amount of \$25,000.
- Verify that the Contractor's signature on the Warranty Bond is a person authorized on the Signature Affidavit (IC-113).

End of Contract

- Include all Warranty Bonds for Permanent Seeding in the FCR Packet and label them according to the FCR Index.

Final Description and Elevation of Bench Marks (SF 3031)

INDOT Form No: State Form 3031
Required: When either a monument or bench mark are included as a contract line item
Submission Type: FCR Packet
Document Location: Indiana Archives and Records Administration
(<http://www.in.gov/iara/webfile/formsdiv/index.html>)
Index Page No. R-1 to R-#
Reference Location: Spec 615.11

If a monument or bench mark is included as a line item, then a Final Description and Elevation of Bench Marks form is required. For monuments, all section corners and quarter section corners that fall within the right-of-way for construction projects are required to be established. Existing monuments need to be re-established (recorded) in pavements or bases if disturbed by operations done in the contract. For bench marks, when the contract provides that existing bench marks be reset, the existing Benchmarks are removed and reset at designated locations. The Contractor is responsible for ensuring any required Surveyor report is recorded at the applicable County office. The report shall be filed by a licensed Surveyor and include the Registered Surveyor's License Number.

Beginning of Contract

- Review the Contract Information Book (CIB) to determine if any monuments or bench marks are present within the limits of the Contract area.
- If applicable, inform the Contractor at the Pre-Construction meeting of the monuments or bench marks and the Final Description and Elevation of Bench Marks form requirement.

End of Contract

- Confirm that the form was signed, dated, and stamped by a licensed Surveyor.
- Include all Final Description and Elevation of Bench Marks forms in the FCR Packet and label them according to the FCR Index.

Bridge Measurement Report (M-232A)

INDOT Form No:	M-232A
Required:	Only when a new structure is completed or structure clearance has been changed due to resurfacing.
Submission Type:	FCR Packet
Document Location:	Doing Business with INDOT > Standards & Specifications
Index Page No.	S-1 to S-#

When work is performed on a structure that crosses over a state road, federal road, or railroad, a Bridge Measurement Report shall be completed for each structure. This report is not required for structures which span waterways or land. The following measurements are reported; vertical clearance, defense vertical clearance, and horizontal clearance. Measurements can either be performed by the Project Engineer/Supervisor or by a district Bridge Inspector.

During Contract

- Measure structures vertical clearance, defense vertical clearance, and horizontal clearance once final elevation is established beneath structure in accordance with the required measurements on the M-232A document. The optimal time to measure a bridge is while temporary traffic control devices are in place.
OR
- Contact INDOT's Bridge Inspection group to request a bridge inspector to take measurements. The optimal time to request a bridge inspection is when the final elevation of the structure is established and temporary traffic control devices are in place.

End of Contract

- Verify that the Structure Number and Contract Number are correct on Bridge Measurement Report.
- Sign and date under the "Project Engineer/Supervisor" and "Date"
- Verify that all required signatures/dates or blanks are filled in.
- Include all Bridge Measurement Reports in the FCR Packet and label them according to the FCR Index.

Agreement to Use Plan Quantity as Basis of Payment (IC-675)

INDOT Form No:	IC-675
Required:	Only be used for common excavation, unclassified excavation, and borrow if it meets 203.28 requirements on quantity
Submission Type:	FCR Packet
Document Location:	http://SiteManager.in.gov : Construction Reports Column
Index Page No.	T-1 to T-#
Reference Location:	Spec 203.28

The Agreement to Use Plan Quantity as Basis for Payment (IC-675) form can be used in select situations to pay the plan quantity in place of a measured quantity when INDOT and the Contractor agree to this. This form and payment method can only be used on excavation, unclassified, and borrow items, in accordance with the 203.28 section of the Standards Specifications. The form shall be completed at the start of the contract.

During of Contract

- Obtain the proper signatures for each item that you plan to use plan quantity as the basis for payment by completing the following steps:
 - Print an IC-675 from the SiteManager Reports Webpage for the corresponding Contract ID, Project Number, and PLN
 - Sign the Project Engineer/Supervisor line
 - Obtain the Contractor's Signature
 - Verify that the Contractor's signature on the IC-675 is a person authorized on the Signature Affidavit (IC-113).
 - The Area Engineer will sign the form after it is submitted for District Final Review
- Include any Agreements to Use Plan Quantity for Basis of Payment in the FCR Packet and label them according to the FCR Index.

End of Contract

- The Area Engineer will sign the form after it is submitted for District Final Review
- Include any Agreements to Use Plan Quantity for Basis of Payment in the FCR Packet and label them according to the FCR Index.

Railroad Release of Contractor Letter or Railroad 15 Day Notification Letter

INDOT Form No: N/A
Required: When the CIB lists the Railroad Right-of-Way is within contract limits
Submission Type: FCR Packet
Document Location: Doing Business with INDOT > Standards & Specifications
Index Page No. U-1 to U-#
Reference Location: Spec 107.09

If Railroad Right-of-Way is within the boundaries of the contract limits, whether or not proposed constructions affect the Railroad, a Railroad Release of Contractor is required. This allows the Railroad to confirm that its property is undamaged and that there are no outstanding bills to the Contractor. If the Railroad Company does not send a response within 15 days of the Cover Letter date, a follow up letter shall be sent. A copy of the original and follow up letters are placed in the FCR.

Beginning of Contract

- Review the “Statements about Existing Conditions of Utilities, Additional, Right-of-Way, and Encroachments” section of the Contract Information Book (CIB) to determine if any Railroad right-of-way is present within the limits of the Contract area. If so, complete the steps below at the end of the contract. If not, disregard this page.

End of Contract

- Prepare the Railroad Release of Contractor and Cover Letter and mail, fax, or email the documents to the Railroad Company.
- When a signed copy of the Railroad Release is returned, include it in the FCR Packet and label it according to the FCR Index.
- If a signed copy is NOT returned in 15 days of the date on the Cover Letter, send the Railroad Follow Up Letter.
 - Mail, fax, or email the document to the Railroad Contact person in the Proposal.
 - Include a copy of the 15 Day Notification Letter in the FCR Packet in addition to the Railroad Release Cover Letter with verification of sent documents (email, certified mail, etc.) and label them according to the FCR Index.

Property Release (IC-149)

INDOT Form No: IC-149
Required: When contracted work or storage takes place off the Right-of-Way
Submission Type: FCR Packet
Document Location: Doing Business with INDOT > Standards & Specifications
Index Page No. V-1 to V-#

Property Releases (IC-149) are obtained when contracted work or storage takes place on a landowner's property. This includes many scenarios including if INDOT takes temporary right-of-way for construction, or if Contractor field offices sites, equipment storage sites, and/or stockpiled materials sites are on a landowner's property. If these conditions occur on multiple properties, then a Property Release should be obtained from each property owner. A release is also needed for borrow pits and if access to the project takes place on landowner's property.

End of Contract

- Download the Property Release form INDOT website.
- Either INDOT or Contractor personnel should obtain a Property Release (IC-149) in person from each property owner affected by the conditions above.
- Include all Property Releases in the FCR Packet and label them according to the FCR Index.

Release from Signing Responsibility (IC-686)

INDOT Form No: IC-686
Required: Yes
Submission Type: FCR packet
Document Location: SiteManager Report (<http://sitemanager.in.gov>)
Index Page No. W-1
Reference Location: Spec 108.09

The Release from Signing Responsibility (IC-686) form is a formal and legal document used to inform the Contractor of the date from which they are not obligated to provide signs and traffic control devices within the project limits. Construction signs may be allowed to be removed prior to the issuance of this form, but the Contractor must provide temporary traffic control devices until this form is issued.

The release from the signing responsibility date cannot happen prior to the final inspection date. The Contractor will be responsible for signing until relieved from maintenance and final acceptance of the contract.

End of Contract

- Download the IC-686 form from the SiteManager webpage.
- Complete the date on the form as well as the date on which the signs and barricades may be removed and sign the document.
- Submit a copy of the IC-686 to the District Review Officer within **one (1)** calendar day of completing the form. The District Review Officer will use information from this form to generate a Final Acceptance Letter.
- Provide a copy of the IC-686 to the Contractor and note that five (5) calendar days will be allowed for the Contractor to remove signs. Thereafter, any additional days will be assessed as liquidated damages for each day the signs remain.
- Include a copy of the IC-686 form in the FCR packet and label it according to the FCR Index.

Notice of Termination (NOT) (SF 51514)

INDOT Form No: State Form 51514

Required: Yes

Submission Type: FCR Packet

Document Location: Indiana Archives and Records Administration
(<http://www.in.gov/iara/webfile/formsdiv/index.html>)

Index Page No. X-1 to X-#

Reference Location: Construction Memorandum 13-04

A Notice of Termination (NOT) shall be completed when construction and/or land disturbing activities are performed and a Rule 5 (327 ICA 15-5) permit is required. Once construction activity has been completed, the project site owner is required to terminate permit coverage before a Final Acceptance Letter is issued. In order to obtain an NOT, INDOT is required abide by the requirements set forth by Rule 5.

There are three different type of contract types; single signature, co-signature, and local public agency contracts that all have difference procedures on how to obtain a NOT. These procedures are located in Construction Memorandum 13-04, found on the INDOT website.

End of Contract

- Determine contract type and follow the appropriate procedures outlined in Construction Memorandum 13-04.
- Once NOT is obtained in accordance with Construction Memo 13-04, upload it to the Correspondence Log of the SiteManager system. Select the correspondence type as “Notice of Termination” and attached a copy of the NOT when prompted.

Request for Approval of Borrow or Disposal Site (IC-203)

INDOT Form No:	IC-203
Required:	No, only if a material needs to be removed from project limits or if soil materials are obtained from a non-commercial source off site
Submission Type:	FCR Packet
Document Location:	Doing Business with INDOT > Contractors/Construction > Publications, Manuals, Forms & Permits
Index Page No.	Y-1 to Y-#
Reference Location:	Spec 203.08 & Construction Memorandum 08-05

The Request for Approval of Borrow or Disposal Site form (IC-203) shall be completed on any Contract where excavated or milled materials are removed or obtained from the project right-of-way. The best practice is to discuss approval of disposal sites before the Pre-Construction Conference and to have the Contractor submit the completed form to the Project Engineer/Supervisor at the Pre-Construction Conference. Once the form is completed by the Contractor, the Project Engineer/Supervisor will review the request form and either approve or reject the stated site(s). Multiple approved materials can be used on the same Request for Approval of Borrow or Disposal Site (IC-203) form.

Navigation on www.IN.gov: INDOT > Doing Business with INDOT > Contractors/Construction > Publication, Manuals, Forms & Permits

Beginning of Contract

- Obtain any needed Request for Approval of Borrow or Disposal Site (IC-203) forms from the Contractor.
- Review each IC-203 and determine whether or not to approve or deny the request.
- Indicate your decision on the IC-203 form and print, date, and sign the form.
- Forward copies of the IC-203 form to Central Office Environmental Services, District Office Construction, and the Contractor.
- Include any Request for Approval of Borrow or Disposal Site (IC-203) forms in the Contract files.

Traffic Control Device Report (Weekly)

INDOT Form No: N/A
Required: Yes
Submission Type: Contract files
Document Location: Proposal
Reference Location: Spec 801.03

The Contractor shall submit a “Traffic Control Device Report” weekly in accordance with section 801.03 of the Standard Specification Book. This report is supplied in the Proposal Book for the contract and is used to ensure that the traffic control devices are reviewed daily. The report does not have to be completed by the Certified Worksite Traffic Supervisor (CWTS) but the CWTS shall review the report for completeness and accuracy. The Project Engineer/Supervisor is not responsible for the report’s completeness and accuracy but is responsible for ensuring that the form is completed and received on a weekly basis. If the CWTS feels that a situation exists where the temporary traffic control devices do not need to be checked daily for a certain period of time, the CWTS and the Project Engineer/Supervisor shall agree on how often they should be checked.

Weekly During the Contract

- Ensure that a weekly Traffic Control Device Report is received from the Contractor when temporary traffic control devices are present on the contract.
- Sign and date each weekly Traffic Control Device Report received upon delivery.
- Verify that there is a signature and title for the person who filled out the report. This may or may not be the Certified Worksite Traffic Supervisor (CWTS).
- Verify that a Certified Worksite Traffic Supervisor (CWTS) has initialed each report.

End of Contract

- Include all Traffic Control Devices Reports in the Contract files in chronological order.

Certified Payrolls (Weekly)

INDOT Form No: NA
Required: Yes
Submission Type: Contract files
Document Location: Proposal
Reference Location: RSP 100-C-151A/FHWA – 1273

The prime Contractor is required to submit Certified Payrolls for themselves and their subcontractors on a weekly basis. Certified Payrolls include employee names, addresses, last 4 digits of social security numbers, job classifications, hourly rates of wages paid daily, weekly number of hours worked, deductions, and actual wages paid. Certified Payrolls are required anytime Contractor or Subcontractor personnel are working on the jobsite. Each Certified Payroll that is submitted should be accompanied by a “Statement of Compliance.” The “Statement of Compliance” shall be signed by the Contractor or subcontractor or the agent who makes payments to personnel and certifies compliance. Also, a Weekly Payroll Interview shall be performed on a random Contractor/Subcontractor employee. The interview form will be conveyed and submitted to the District Equal Employment Opportunity (EEO) Officer. For additional information or assistance, contact your District Equal Employment Opportunity (EEO) Officer.

During the Contract

- Collect Certified Payrolls from the prime Contractor and all subcontractors on a weekly basis whenever personnel are working.
- Date Stamp and initial each Certified Payroll when received.
- Verify a “Statement of Compliance” was received with the signature and title of the person who certified compliance included.
- Red check each Contractor’s employee for compliance with the Davis-Bacon wages. Wages are included in the signed proposal book. If an employee is found to be noncompliant, contact your District EEO Officer immediately.
- Organize the Certified Payrolls chronologically and by Contractor in a file folder.
- Perform Weekly Payroll Interviews and submit the forms to the District Equal Employment Opportunity (EEO) Officer.
- Utilize the “Contract Personnel/Equipment for a Specific Contractor” link in SiteManager Reports to verify that amount of labor recorded out in the field matches the labor that appears on the Certified Payrolls.

End of Contract

- Include all Certified Payrolls and the Certified Payroll Log in the Contract files.

Commitments Report

INDOT Form No: NA
Required: No, only if Commitments Reports exist
Submission Type: Contract files
Document Location: INDOT website

The Commitments Report is a document that consists of special obligations that Project Management brings to the contract for INDOT and the Contractor to implement and abide by during the construction phase.

Before Contract Starts:

- Print out the Commitments Report and alert all INDOT personnel on the contract of the obligations that need to be followed and discussed at the Pre Construction Meeting.

During Contract:

- Periodically check commitments and be aware when future obligations will be affected.

End of Contract:

- Verify that that all of the commitments to be implemented during the construction phase have been followed.
- The Area Engineer or Project Engineer/Supervisor shall sign the Commitments Report to certify that the obligations have been met.
- Include the signed Commitments Report in the Contract files.

Report on Contractor's Performance (CR-2)

INDOT Form No: CR-2

Required: Yes

Submission Type: Contract files

Document Location: Doing Business with INDOT > Standards & Specifications

Reference Location: Instructions on CR-2 & Construction Memo 07-04

The CR-2 Report is a performance evaluation of the Contractor(s) on the contract. The CR-2 Report is prepared by the PE/S to communicate the Contractor's performance to the District Construction Director and to Central Office's Prequalification Engineer. The report is reviewed by the Prequalification Engineer to assess the Contractor's capabilities before issuing or renewing a Certificate of Qualification to the Contractor.

Evaluation Frequency

Prime Contractor

1. For contracts with 60 or fewer calendar days, and evaluation shall be completed at the completion of the work.
2. For contracts with more than 60 calendar days but less than a year, an interim evaluation shall be prepared at the mid-point of construction and at the end of the work.
3. For contracts of more than one year, an interim evaluation shall be prepared at the midpoint of each year, an interim evaluation at the end of each construction season, and a final evaluation at the end of the work.

Subcontractor

4. Subcontractor evaluations shall be completed only at the completion of all work items being performed by that subcontractor.
5. Additional evaluations may be made at the PE/S's option or upon request of the Prequalification Engineer. An interim evaluation should be considered after 15-45 days, on longer duration projects, if significant problems arise in start-up and early schedule implementation.

End of Contract

- Discuss the Contractor's performance with your Area Engineer.
- Prepare a final Report on Contractor's Performance (CR-2) for the Prime Contractor and Subcontractors over \$10,000 in work on the contract. Both the PE/S and the Area Engineer shall sign, date, and fill in the final inspection date on the CR-2.
- Present the CR-2 to the Contractor's Superintendent to review and sign. Hold a discussion with the Superintendent, if requested, to discuss any of his or her concerns.
- Submit the finalized CR-2 Report to the Central Office Prequalification Engineer and the District Construction Director no later than 30 days after final inspection.