



# 2022 TDOT LOCAL PROGRAMS CONSTRUCTION PHASE OVERVIEW



# IMPORTANT TDOT APPROVAL DOCUMENTS

## NOTICE TO PROCEED WITH CONSTRUCTION PHASE



Seventh Edition, March 2018 (rev. March 15, 2019)

Local Government Guidelines for the Management of  
Federal and State-funded Transportation Projects

### 8.2 CONSTRUCTION PHASE PROCEDURES

At this point, the pre-construction activities are complete and the LG shall not proceed with construction phase activities until the Notice to Proceed is received.

#### NOTICE TO PROCEED WITH THE FUNDED

#### CONSTRUCTION PHASE OF PROJECT DEVELOPMENT

PIN:  
FEDERAL PROJECT NUMBER:  
STATE PROJECT NUMBER:  
ROUTE (STREET NAME):  
FROM:  
TO:  
CITY:  
COUNTY:  
REGION:

Effective Date:

Date of Transmittal:

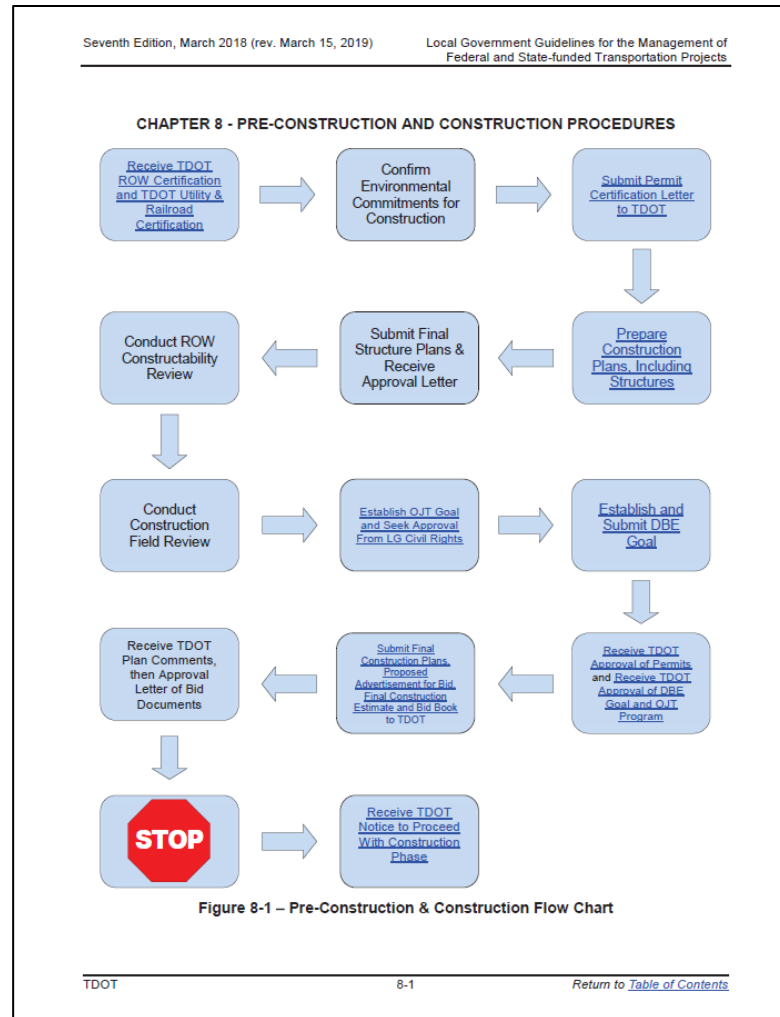
This letter serves as your official **Notice to Proceed** with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at <https://www.tn.gov/tdot/program-development-and-administration-home/local-programs.html>. **Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.**

You may procure, in accordance with law, a consulting engineering firm to do all phases of construction at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection, if needed. Please provide a copy of the executed contract with the consultant and a copy of the notice sent to the consultant indicating the date work was authorized on the phase of the project mentioned above. These documents should be addressed to Manager, Local Program Development Office and sent by email to [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov). **Note: If the person in responsible charge for this phase of the project has changed since Form 3-1 (Project Initiation Form) was submitted, the Local Government shall resubmit the responsible charge page (Form 1-1) at this time to the Local Programs Development Office at the email below.**

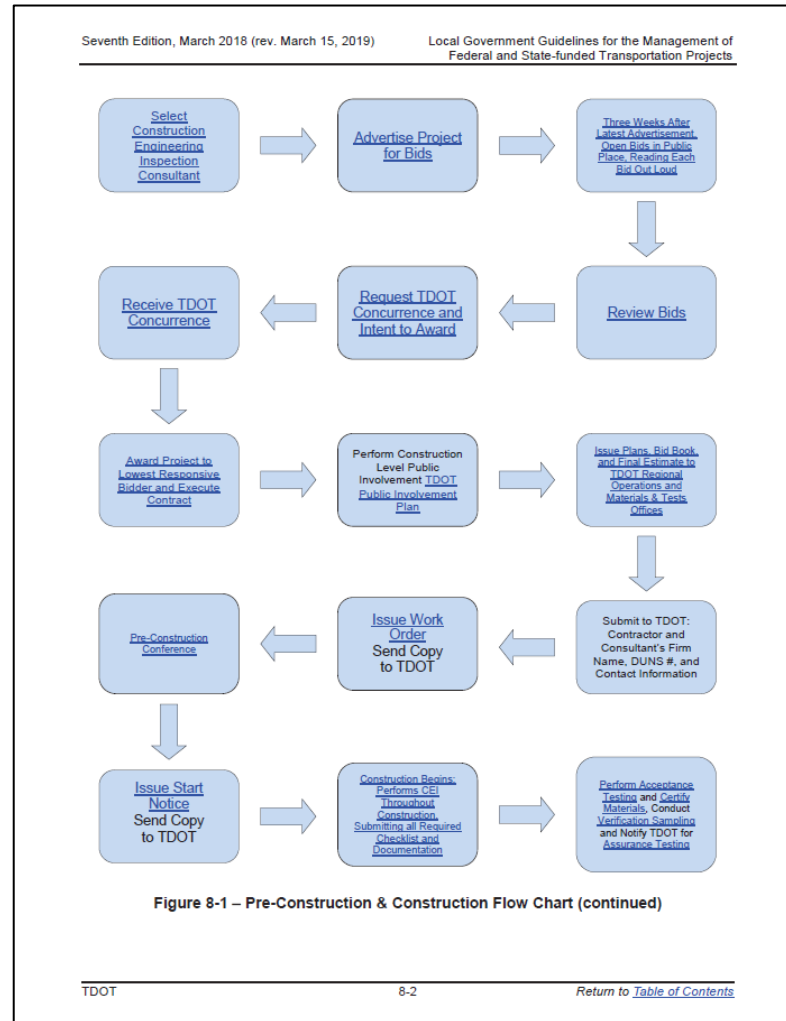
If you have questions or concerns regarding this matter, please direct them to Your Program Monitor at 615.741.5314 in the Local Programs Development Office. You may contact us by email at: [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov).

Figure 8-2 – NTP with Construction Phase

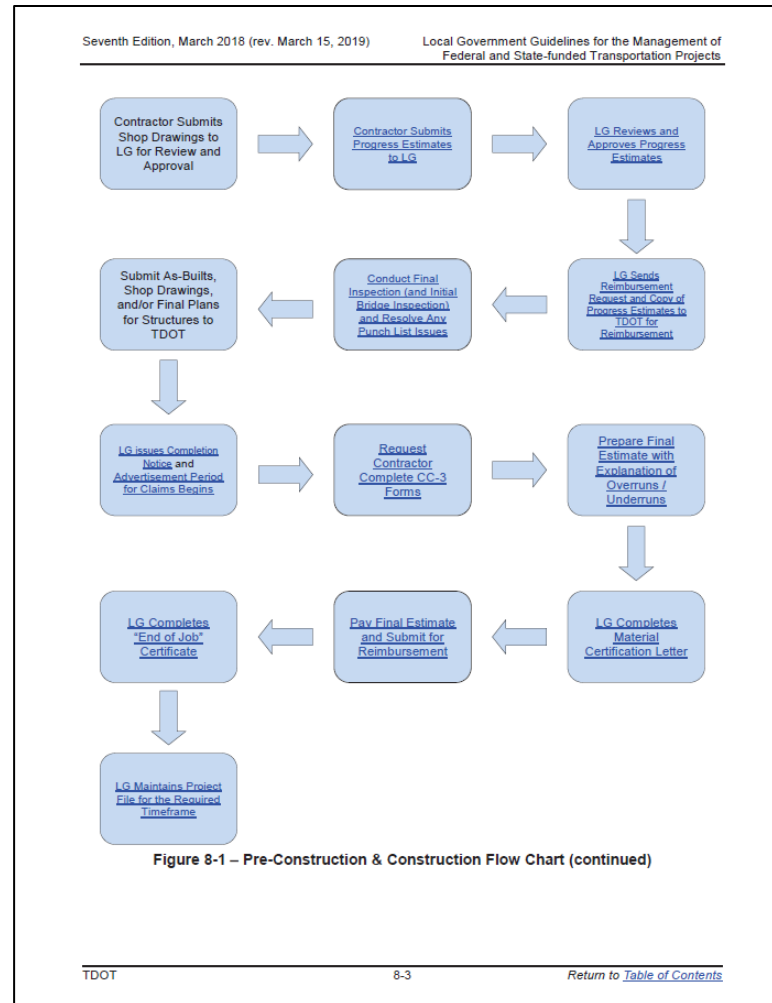
# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



# PRE-CONSTRUCTION PROCEDURES



## RESPONSIBLE CHARGE

- The Local Government (LG) must designate a Project Supervisor and an Official who will be responsible for the administration of the project, including, but not limited to: requesting authorization of funds, requesting award of contract, supervision of the CEI, authority to approve changes, and accountability for contract compliance (23 CFR 635.105) as outlined in Chapter 3: Getting Started.
- The LG will act on the behalf of the Tennessee Department of Transportation (TDOT) for the administration of construction projects and that in accordance with federal regulations, funds may be withheld for non-compliance of federal rules and regulations (23 CFR 1.36):

**“If the Administrator determines that a Local Agency has violated or failed to comply with the Federal laws or the regulations in this part with respect to a project, he may withhold payment to the Local Agency of Federal funds on account of such project, withhold approval of further projects by the Local Agency, and take such other action that he deems appropriate under the circumstances, until compliance or remedial action has been accomplished by the Local Agency to the satisfaction of the Administrator.”**



## FHWA “Big Five”

- DBE Requirements
- Buy America Provision
- ADA Requirements
- Environmental Commitments
- Pay Item Documentation (Original Contract items or Change Orders)

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- Refer to Section 1.6 for information regarding selection of a consultant for the CEI portion of the project.
- A project shall be advertised one time at least 21 calendar days prior to the public bid opening (23 CFR 635.112). The advertisement shall describe the type of work to be performed and where, when, and by what time the sealed bids shall be received. The TDOT provided Bid Advertisement Template (Form 8-3) is available for the LG to use.
- The advertisement must be submitted to the LPDO to be placed on TDOT's website for publication. The advertisement must be submitted by clicking on the 'Local Programs Ad Submittal Form' link on the bottom of this webpage: <http://www.tn.gov/tdot/topic/local-programs-current-projects>.
- The Local Programs Ad Submittal Form, along with the bid advertisement (Form 8-3), must be submitted on the same email as an attachment and sent to [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov) at a minimum of 24 days prior to the bid opening date.
- **The use of Electronic Bidding Documents or software will need prior approval. This includes the distribution of documents electronically.**



# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- For all projects, bidding opportunities on a nondiscriminatory basis shall be afforded to all qualified bidders regardless of state boundaries, race, sex, color, or national origin. The LG shall comply with the standard USDOT Title VI Assurances by inclusion of the following language in the solicitations for bids:

**The (Local Government) in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, subtitle A, Office of the Secretary, Part 21, nondiscrimination in federally assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color or national origin in consideration for an award.”**

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



## Who Can Bid?

- All contractors must be on TDOT's pre-qualified list
- Contractors must use and only use the name as shown on pre-qualification records
- Bid book and bid form must be marked VOID if sold to non-prequalified contractors or those pending qualification
- Contractors who are not prequalified with TDOT in the appropriate work classification(s) should not be authorized to bid (i.e., guardrail contractor would not be authorized to bid resurfacing project)
- All subcontractors must be on TDOT's pre-qualified list before beginning any work

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- Please be aware that TDOT requires all PRIME contractors (except mowing and litter removal contractors) to be licensed with the Tennessee Department of Commerce and Insurance, Board for Licensing Contractors.
- For Federally Funded Contracts, the Contractors will not be required to have a license to bid. However, prior to recommending award of the Contract, the Local Government will confirm that the lowest responsible bidder is licensed. The Contractor will be considered for award for twenty-one (21) days after the letting date (bid submittal). If the contractor does not have a license, on or before the 21 days, the contractor will be considered non-responsive, and the next lowest responsible bidder will be considered for award.
- For more information on obtaining a Contractor's License please visit the Board for Licensing Contractors website at the following:

<https://www.tn.gov/commerce/regboards/contractors.html>

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- Title 48 of Tenn. Code Ann. requires all contractors and subcontractors that are domestic or foreign Corporations, Limited Liability Companies, Limited Partnerships, or Limited Liability Partnerships to be in good standing with the Secretary of State. This includes being duly incorporated, authorized to transact business, and/or in compliance with other requirements as detailed by the Secretary of State. Please contact the Secretary of State should you have any questions at (615) 741-2286 or visit <https://sos.tn.gov/business-services>.
- TDOT will not execute any contracts or approve subcontracts with contractors that are domestic or foreign Corporations, Limited Liability Companies, Limited Partnerships, or Limited Liability Partnerships, who are not in good standing with the Secretary of State (i.e. have a valid Certificate of Existence/Authorization).

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- Prior to opening bids, the Local Government shall review the Contractors to determine their prequalification and licensure status (non-federally funded only).
  - Please note that the contractors have a 90 day grace period for renewal (for bidding purposes).
- If a bidder is not currently prequalified or properly licensed (non-federally funded), the bid should remain sealed.
- All bids are to be opened publicly and read aloud either item-by-item, or by total amount.
- If a bid is not read, the bidder is to be identified and the reason for not reading the bid announced (23 CFR 635.113).

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- A bid may only be awarded to the lowest responsive bidder (23 CFR 635.114). The “Construction Advertising and Award Checklist” (Form 8-4) shall be completed, signed, and submitted with the Local Government’s letter indicating its intent to award to the low bidder.
- The Local Government shall review the apparent lowest responsive bidder’s proposal to ensure the bid is responsive and all applicable signatures and bonds are included. Bids shall be reviewed in accordance with the TDOT Policy No. 355-02 Awards of Construction Contracts. Additional FHWA guidance for reviewing bids can be found at:

<http://www.fhwa.dot.gov/programadmin/contracts/index.cfm>

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



Local Government Guidelines Form 8-4  
January 1, 2020

## Construction Advertising and Award Checklist

PIN:  
County:  
Federal Project No.:  
State Project No.:

The following checklist is intended to serve as a guide to assist the Local Government for advertising and award of the Contract. **This Checklist shall be submitted when requesting TDOT Concurrence in AWARD.**

	YES	NO	N/A	COMMENTS
Was the Advertisement for bid posted on TDOT's website at least 3 weeks prior to the public bid opening date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date of advertisement:
Did the advertisement state the date, time, and location of public bid opening?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date of bid opening:  Location:
Were bids read aloud at the bid opening?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reason for not reading aloud:
If not, was the bidders name read and the reason for not reading aloud stated publicly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Were only pre-qualified bidders read?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
If addendums were issued during the advertisement period, were they acknowledged by the bidders?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Were the bids reviewed for responsiveness and irregularities in accordance with guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Has the DBE goal been met (must demonstrate within 3 days of bid opening)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the lowest responsive bidder recommended for award?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If not, why:
Is TDOT provided a list of all bidders and their bid price?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is TDOT provided an electronic bid tabulation of the three lowest bidders at least 14 days prior to the end of award period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Date to TDOT for concurrence:  Date of award closing :
Is the pre-bid estimate with quantities included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is a request for award or rejection included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Has a qualified CEI firm been selected properly and with the necessary information submitted to TDOT (or other approved by TDOT)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

I certify that that ALL necessary requirements have been met.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

# REASONS FOR NOT AWARDING A BID



- Failure to sign the bid by a authorized representative (proposal form, proposal certificate, proposal bond, Power of Attorney)
- Failure to furnish the required bid bond and Power of Attorney, with the same dates
- Omissions, alterations of form, additions, or conditions not called for
- Unauthorized bids or irregularities
- Failure to include a unit bid price for each item (must be an amount of zero or greater)
- Units prices are mathematically unbalanced
- Failure to submit a non-collusion affidavit
- Failure to utilize the required forms approved by TDOT (Form 8-1 Federal or Form 8-1 State)
- Failure to submit a bid within the original bound bid book **or electronic bid information**
- Failure of bidder to acknowledge all addenda
- Bidder not prequalified or not in good standing the day of the letting



# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- Reasons for not awarding a bid include the bid being unresponsive, often called an irregular bid, or if the bidder is determined to be “not responsible”. The difference between a responsive bid and responsible bidder is that:
  - A responsive bid is one that meets all the requirements of the advertisement and proposal, while
  - A responsible bidder is one who is physically organized and equipped with the financial wherewithal to undertake and complete the contract.

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- The LG shall provide a **list of ALL bidding companies/entities and their bid price**, a bid tabulation of at least the three (3) lowest bidders (or all bids if fewer than three (3) are submitted), line-item by line-item, including the engineers estimate that matches the schedule of values for reviewing bids. When more than three bids are received, the total amount of all but the three lowest bids must be submitted. All bids shall be reviewed to determine if they are unbalanced, which is defined as:
  - A mathematically unbalanced bid is a bid that contains lump sum or unit bid items that do not reasonably reflect the actual costs (plus reasonable profit, overhead costs, and other indirect costs) to construct the item;
  - A materially unbalanced bid is a bid that generates reasonable doubt that award to that bidder would result in the lowest ultimate cost to the government.
- **FYI, the final engineer's estimate can change, based on valid reasons, even after the project is advertised provided that it is revised prior to the receipt of bids and submitted to LPDO.**

# UNBALANCED BID EXAMPLE



## Original Bid

Item No.	Item Description	Quantity	Unit	Estimate		Contractor A		Contractor B	
				Unit Price	Extension	Unit Price	Extension	Unit Price	Extension
201-01	CLEARING AND GRUBBING	1	LS	\$2,000.00	\$2,000.00	\$28,000.00	\$28,000.00	\$3,000.00	\$3,000.00
203-01	ROAD & DRAINAGE EXCAVATION (UNCLASSIFIED)	100	CY	\$15.00	\$1,500.00	\$14.50	\$1,450.00	\$16.00	\$1,600.00
303-01	MINERAL AGGREGATE, TYPE A BASE, GRADING D	1500	TON	\$20.00	\$30,000.00	\$2.00	\$3,000.00	\$19.00	\$28,500.00
				\$33,500.00		\$32,450.00		\$33,100.00	

## Corrected for Quantity Error

Item No.	Item Description	Quantity	Unit	Estimate		Contractor A		Contractor B	
				Unit Price	Extension	Unit Price	Extension	Unit Price	Extension
201-01	CLEARING AND GRUBBING	1	LS	\$2,000.00	\$2,000.00	\$28,000.00	\$28,000.00	\$3,000.00	\$3,000.00
203-01	ROAD & DRAINAGE EXCAVATION (UNCLASSIFIED)	100	CY	\$15.00	\$1,500.00	\$14.50	\$1,450.00	\$16.00	\$1,600.00
303-01	MINERAL AGGREGATE, TYPE A BASE, GRADING D	750	TON	\$20.00	\$15,000.00	\$2.00	\$1,500.00	\$19.00	\$14,250.00
				\$18,500.00		\$30,950.00		\$18,850.00	

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- Other factors that a bid analysis may consider include:
  - Number of bids received
  - Distribution or range of the bids
  - Identity and geographic location of the bidders
  - Urgency of the project
  - Current market conditions and workload
  - Comparison of bid prices with similar projects recently let
  - Justification for significant bid price differences
  - Potential for savings if the project is re-advertised
  - Other factors as warranted

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- Once the Local Government has reviewed the bids, the Local Government Official shall submit all of the following documents to TDOT for review (TDOT will not review unless all documents are submitted):
  - A completed Form 8-4
  - An electronic copy of the bid tabulations (Excel™ spreadsheet comparing bids received)
  - Documentation certifying that the bids have been reviewed and found responsive
  - A letter requesting concurrence in the decision to award signed by the Local Government Official or to reject the bids including the necessary explanations for the request made
  - A PDF of the proposal contract for the apparent low bidder
  - DBE Award Information, if applicable (Form 8-5, **including respective work items**)
- **TDOT will not review the bid tabulations without the required checklist.**
- This information shall be submitted to the Local Programs Development Office ([Local.Programs@tn.gov](mailto:Local.Programs@tn.gov)).

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- The TDOT Construction Office and TDOT Estimating and Bid Analysis Office will review the bid information and if acceptable, will concur in the intent to award the contract to the lowest responsive bidder. If the Local Government determines that it is not in the best interest of the public to award the job, it shall make such statement and request TDOT's concurrence in its decision to reject all bids. Award or rejection of a contract must be within the time period specified in the proposal as complying with local requirements. The Local Government shall submit to TDOT the request to award or reject the bids at least fifteen (15) calendar days prior to the local deadline for awarding the project.
- In addition, if the Local Government elects to award the project, it shall submit with the bid tabulations **the names and qualifications of the CEI firm and the individuals directly responsible for oversight and inspection of the actual construction of the project, including the Local Government Project Supervisor and all inspectors.**

# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- If a contract proposal contains a DBE Goal (TDOT SP 1247), the contractor must submit with its bid, or within three (3) business days of the bid opening, the names, ethnicities, and genders of the TNUCP certified DBEs that will be used on the project, and the amount of subcontracts to be completed by the DBE (Form 8-5), or provide the necessary requirements for good faith efforts as specified in SP 1247LP. The LG must submit this form with their bid concurrence package to the LPDO and copy the TDOT Civil Rights Office.
  - If changes occur, form 8-5 must be resubmitted to the LPDO.
- The award of the contract shall be in general accordance with Section 103 of the TDOT Standard Specifications.

# IMPORTANT TDOT APPROVAL DOCUMENTS

## CONCURRENCE OF AWARD OF CONSTRUCTION CONTRACT



Seventh Edition, March 2018 (rev. March 15, 2019)

Local Government Guidelines for the Management of  
Federal and State-funded Transportation Projects

determines that it is not in the best interest of the public to award the job, it shall make such statement and request TDOT's concurrence in its decision to reject all bids. Award or rejection of a contract must be within the time period specified in the proposal as complying with local requirements. The LG shall submit to TDOT the request to award or reject the bids at least fifteen (15) calendar days prior to the local deadline for awarding the project.

In addition, if the LG elects to award the project, it shall submit with the bid tabulations the names and qualifications of the CEI firm and the individuals directly responsible for oversight and inspection of the actual construction of the project, including the Local Government Project Supervisor and all inspectors. The CEI firm must be selected as described in [Section 1.6](#).

If a proposal contract contains a DBE Goal ([TDOT SP 1247LP](#)), the contractor must submit with its bid, or within three (3) business days of the bid opening, the names, ethnicities, and genders of the TNUCP certified DBEs that will be used on the project, and the amount of subcontracts to be completed by the DBE ([Form 8-5](#)), or provide the necessary requirements for good faith efforts as specified in [SP 1247LP](#). The LG must submit this form with their bid concurrence package to the [LPDO](#) and copy the [TDOT Civil Rights Division](#).

### 8.2.7 AWARD OF THE CONTRACT

The award of the contract shall be in general accordance with [Section 103](#) of the TDOT Standard Specifications.



**Until this bid concurrence is received, the LG may not award a contract to the contractor nor may it issue a work order. Failure to follow these procedures could result in a loss of funding for the Construction Phase of project development.**

Once the TDOT Construction Office and TDOT Estimating and Bid Analysis Office concurs in the intent to award, the LG can proceed with the execution of the contract with the responsive low bidder. The LG will issue the contractor a copy of the Proposal Contract for signature. The contractor shall return the signed copy to the LG with a fully executed Payment and Performance Bond equal to one hundred (100) percent of the contract amount. The signed proposal contract and bond shall be returned within ten (10) days or the contract may be canceled and the Proposal Bond/Guarantee forfeited. Any necessary railroad insurance must also be submitted in accordance with the railroad agreements prior to the final execution of the contract (twenty (20) calendar days are allowed for this). **The signed contracts shall be distributed such that the Contractor, the Surety, and the LG all receive signed copies.** The LPDO will only accept an electronic/pdf version.

The LG shall submit all contractor and consultant firm's name, street address (with nine-digit zip code), DUNS number, and contact persons information to the LPDO by electronic means (email at [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov)).

At least seven days prior to the pre-construction conference, the LG shall send, by electronic means, a set of plans, a copy of the bid book and final cost estimate to the [TDOT](#)



# PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES



- The Local Government Guidelines describes a linear process, however many of these events could occur simultaneously or at a much later timeframe in the project process. Please be aware of the specific requirements for all processes in the construction phase relative to any approvals or submittals that are time sensitive. An example is a mix design, which will be discussed late in the presentation but it will be an item that will require approval near the start of construction.
- Also, the guidelines outline the high level documentation process for the project and does not outline the specific inspection or testing requirements for individual items. Specific inspection requirements such as ADA requirements will be checked in the field.

# WHEN DO YOU NEED CONSTRUCTION INSPECTION SERVICES PERFORMED TO TDOT STANDARDS?



- The LG shall hire an independent consulting firm for Construction Engineering Inspection (CEI) services to monitor the project and complete all the necessary inspection and documentation as outlined in the TDOT Proposed Scope of Work for CEI. The LG may use the same consultant for both the design phase and CEI phase of the project for small size projects only. For mid-range and large size projects, the selected CEI consultant shall not be associated with any other aspect of the project. Please refer to Section 3.1 and to the Local Version of TDOT Consultant Selection Policy (Form 1-2) for further information on this important requirement. The selected CEI consultant shall be a pre-qualified consulting firm on the TDOT pre-qualified list. All CEI staff shall be qualified in accordance with TDOT requirements.
- Depending on the type, amount, and difficulty of work, the Local Government may request that its own qualified forces be used to document and inspect the work in accordance with these guidelines. The use of local forces must be pre-approved by TDOT. Contact the LPDO for additional information.

# CRITERIA FOR ALLOWING LOCAL GOVERNMENTS TO MANAGE PROJECTS



Local Government Guidelines Form 1-2  
March 9, 2018

## ATTACHMENT A – Consultant Selection for Locally Managed Projects

Size of Project	Type of Project	Procurement Requirements
<p><b>SMALL projects</b></p> <ul style="list-style-type: none"> <li>• Must have a full-time employee on staff with experience managing transportation projects.</li> <li>• Must hire consultants for all phases of the project from TDOT's approved list if the Local Government has not been approved by TDOT to use their own forces. The consultants must be qualified in the required area of expertise.</li> </ul>	<ul style="list-style-type: none"> <li>• Transportation Alternatives</li> <li>• intersection improvements without significant ROW (under one acre of disturbance)</li> <li>• Safe Routes to School</li> <li>• resurfacing</li> <li>• striping</li> <li>• signing</li> <li>• guardrail installation</li> <li>• signalization</li> <li>• some bridge replacement projects (under one acre of disturbance)</li> <li>• non-construction/service contracts (as listed in Chapter 10 of the LGG)</li> <li>• low-risk and exempt ITS</li> </ul>	<ul style="list-style-type: none"> <li>• Local Government can use the same consultant for the entire project (planning, preliminary engineering and CEI)</li> </ul>
<p><b>MID-RANGE projects</b></p> <ul style="list-style-type: none"> <li>• Must have a qualified, full-time professional engineer on staff.</li> <li>• Must hire consultants for all phases of the project from TDOT's approved list. The consultants must be qualified in the required area of expertise.</li> </ul>	<ul style="list-style-type: none"> <li>• roadway widening</li> <li>• realignment of existing roadway</li> <li>• signalization projects with the addition of turn lanes</li> <li>• intersection improvements with significant ROW (over one acre of disturbance)</li> <li>• bridge replacement projects requiring significant land acquisition (over one acre of disturbance)</li> <li>• projects with environmental requirements greater than a categorical exclusion but lesser than an EIS</li> <li>• high-risk ITS</li> </ul>	<ul style="list-style-type: none"> <li>• The selected CEI consultant shall not be associated with any other aspect of the project.</li> </ul>
<p><b>LARGE projects</b></p> <ul style="list-style-type: none"> <li>• Must have a qualified, full-time professional engineer on staff with extensive experience working with federally-funded transportation projects.</li> <li>• Must hire consultants for all phases of the project from TDOT's approved list. The consultants must be qualified in the required area of expertise.</li> </ul>	<ul style="list-style-type: none"> <li>• construction of new facilities</li> <li>• widening of existing roadways</li> <li>• realignment of existing roadways that require significant land acquisition (over 10 acres)</li> <li>• environmental clearances that require an EIS</li> </ul>	<ul style="list-style-type: none"> <li>• The selected CEI consultant shall not be associated with any other aspect of the project.</li> </ul>

# MATERIALS AND TESTS CHARGES FOR LOCAL GOVERNMENT PROJECTS



- The Tennessee Department of Transportation's Material and Tests Division requires payment for any materials testing done on construction projects. As stated in the Local Government's contract with TDOT, materials charges/departments oversight charges are the responsibility of the Local Governments. Therefore, when a Local Government utilizes the TDOT laboratory or certified personnel as a third party for Acceptance Testing, Independent Assurance Testing, Verification Testing, or Mix Design Approval, an invoice will be sent to the Local Governments for payment for such testing/approval at the end of each month or upon completion of a project. The Local Government representative will be asked at the pre-construction meeting to complete an information sheet to ensure proper distribution for the respective testing invoices. **This is a reimbursable cost.**

# MATERIALS AND TESTS CHARGES FOR LOCAL GOVERNMENT PROJECTS



**STATE OF TENNESSEE  
DEPARTMENT OF TRANSPORTATION**

**MATERIALS & TESTS DIVISION**  
6601 CENTENNIAL BOULEVARD  
NASHVILLE, TENNESSEE 37243-0360  
(615) 350-4100

**JOHN C. SCHROER**  
COMMISSIONER

**BILL HASLAM**  
GOVERNOR

**Local Government information**

**PIN:** \_\_\_\_\_  
**County:** \_\_\_\_\_  
**Federal Project No:** \_\_\_\_\_  
**State Project No:** \_\_\_\_\_  
**Contract No:** \_\_\_\_\_  
**Description:**  
\_\_\_\_\_  
\_\_\_\_\_

The Tennessee Department of Transportation's Materials & Tests Division requires payment for any materials testing done on construction projects. Local Governments should expect a monthly invoice for payment when material testing is performed by TDOT. This includes material mixture design review and approval.

In order to ensure proper distribution of invoices, please complete the following information and send to the Materials & Tests Division office via e-mail [TDOT.MaterialsTests@tn.gov](mailto:TDOT.MaterialsTests@tn.gov) or by mail using the address above.

The following information is where the invoices for test charges should be sent for payment.

**Local Government Name:** \_\_\_\_\_  
**Address:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
**Phone:** \_\_\_\_\_  
**Contact Name:** \_\_\_\_\_  
**Contact Phone:** \_\_\_\_\_  
**Contact E-mail:** \_\_\_\_\_

**Notes:**  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Updated 3-15-14

# MATERIALS AND TESTS BILLING



**TN. Dept. of Transportation - Finance Division**

**INVOICE #1007**

505 Deaderick St, Suite 800, Nashville, TN 37243  
 Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

Customer

Bedford County Dept. of Finance  
 200 Dover St., Suite 102  
 Shelbyville, TN 37160

Invoice Date 5/2/2014  
 Sales Person Materials & Tests Division  
 P.O. #

Phone 931-685-2024  
 Fax 931-680-1029

Job	Payment Due	Payment Terms
02953-3502-94 PIN 030645.01	6/2/2014	Net 30

Product	Quantity	Unit Price	Line Total
Concrete Cylinder Strength Testing	2	\$26.19	\$52.38

Services Total	50.00
Products Total	\$52.38
Taxes	50.00
<b>Invoice Total</b>	<b>\$52.38</b>

**Thank you for your business**

TN. Dept. of Transportation - Finance Division 505 Deaderick St, Suite 800, Nashville, TN 37243  
 Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

# BILLING PROCEDURES



- Invoices must be sent by email as an attachment to [lpd.invoices@tn.gov](mailto:lpd.invoices@tn.gov) in PDF form
- Includes all invoices for Local Programs, Transportation Alternative, and Safe Routes to School Projects
- **TDOT Local Government invoice cover sheet from <https://www.tn.gov/tdot/program-development-and-administration-home/local-programs/reimbursement.html> must accompany all reimbursement requests**
- All invoices without the correct TDOT invoice cover sheet will be returned
- **Reimbursement requests should be submitted in eGrants when applicable.**

# SAMPLE: TDOT CONSTRUCTION INVOICE COVER SHEET



(NAME OF LOCAL GOVERNMENT)

Local Government Guidelines Form 9-5  
March 15, 2019

### LOCAL GOVERNMENT CONSTRUCTION COSTS INVOICE

INVOICE DATE: \_\_\_\_\_ TO \_\_\_\_\_ FINAL INVOICE FOR THIS PHASE?  YES  NO

INVOICE # \_\_\_\_\_ LOCAL GOVERNMENT AGENCY: \_\_\_\_\_  
 PIN # \_\_\_\_\_ REMIT TO ADDRESS: \_\_\_\_\_  
 STATE PROJECT # \_\_\_\_\_  
 FED PROJECT # \_\_\_\_\_ COUNTY: \_\_\_\_\_  
 CONTRACT # \_\_\_\_\_  
 PROJECT DESCRIPTION \_\_\_\_\_  
Type project description here.

CURRENT COSTS	+	COST SHOWN ON PRIOR INVOICES	=	TOTAL COSTS
COSTS PER ENGINEER'S ESTIMATE OR LOCAL FORCES INVOICE			=	\$0.00
CONSTRUCTION ENGINEERING COSTS			=	\$0.00
SUBTOTAL				\$0.00
LESS: LOCAL GOVERNMENT SHARE 0%				\$0.00
BALANCE				\$0.00
LESS: AMOUNTS PREVIOUSLY INVOICED				\$0.00
<b>AMOUNT DUE THIS INVOICE</b>				<b>\$0.00</b>

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

\_\_\_\_\_
\_\_\_\_\_  
(PROJECT SUPERVISOR) (LOCAL GOVERNMENT OFFICIAL)

**FOR TDOT USE ONLY**

DIVISION ID # 4638359248

INVOICE RECEIVED \_\_\_\_\_

I HEREBY ACKNOWLEDGE RECEIPT OF THE APPROPRIATE DOCUMENTATION FOR PAYMENT OF THIS ESTIMATE/INVOICE WHICH INCLUDES CERTIFICATION SIGNED BY THE LOCAL GOVERNMENT ENTITY, BASED ON THE ATTACHED DOCUMENTATION AND IN ACCORDANCE WITH THE LOCAL PROGRAM GUIDELINES THIS INVOICE IS SUBMITTED FOR PAYMENT.


	TDOT OFFICIAL	DATE	STAMP
APPROVED PAY _____	FED SPEED CHART _____	\$ _____	PO LINES _____
LOCAL MATCH \$ _____	ST SPEED CHART _____	\$ _____	1 _____
VENDOR NAME _____	LOC SPEED CHART _____	\$ _____	2 _____
VENDOR ID _____	DPUT SPEED CHART _____	\$ _____	3 _____
LOCATION _____ ADDRESS # _____	RECEIPT # _____		4 _____
EDISON CONTRACT ID _____	VOUCHER # _____		5 _____
PURCHASE ORDER ID _____	PAYMENT REF ID # _____		6 _____

COMMENTS: \_\_\_\_\_



# SAMPLE: AUTHORIZED SIGNATURE FORM



		Local Government Guidelines Form 9-1 March 9, 2018	
<b>DUNS Number and Authorized Signature Form</b>			
<b>DUNS Number</b>			
DUNS Number		Address (must include 9-digit zip code)	
Physical Address of Project (must include 9-digit zip code)		PIN #:	
<b>Authorized Signatures</b>			
A minimum of two (2) signatures must be shown to permit flexibility in making requests for reimbursement.			
Typed Name and Title		Signature	
Typed Name and Title		Signature	
Typed Name and Title		Signature	
Typed Name and Title		Signature	
I certify that the signatures of the above individuals are only those persons authorized to sign for the reimbursements requests.			
Signature of Highest Elected Official		Date	
<i>A new form must be submitted whenever authorized signers change</i>			
Page 1 of 1			

# BILLING PROCEDURES



Invoice shall be submitted no more often than monthly, but at least quarterly, per project per phase to [LPD.Invoices@tn.gov](mailto:LPD.Invoices@tn.gov) as a single PDF file, if possible. Emails must contain the PIN in the subject of the email as well as the attachment. **Invoices for projects initiated through TDOT eGrants must be submitted in the eGrants system.**

## C.4 Payment Methodology:

**In the event that the Agency shall receive federal and/or state funds for any portion of the herein described Project, this provision shall apply.**

- a) The Agency shall submit invoices, in a form outlined in the Local Government Guidelines with all necessary supporting documentation, prior to any reimbursement of allowable costs. Such invoices **shall be submitted no more often than monthly but at least quarterly** and indicate, at a minimum, the amount charged by allowable cost line-item for the period invoiced, the amount charged by line-item to date, the total amounts charged for the period invoiced, and the total amount charged under this agreement to date. Each invoice shall be accompanied by proof of payment in the form of a canceled check or other means acceptable to the Department.

**Will not issue Notice to Proceed for Construction Phase if not in compliance**

# BILLING PROCEDURES



- **Invoices will be returned for correction of errors**
- **Each request must include:**
  - **copies of paid invoices**
  - **copies of canceled checks, or**
  - **other acceptable proof of payment**
  - **personal private information (PPI) removed from backup documentation**
  - **approved submittal signature**

# CONSTRUCTION PROCEDURES



- **AWARD OF THE CONTRACT**



- **The Local Government shall request TDOT concurrence in its intent to award the contract to the lowest responsive bidder. This request shall be sent to the Manager of the Local Program Development Office by electronic means (email at [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov)) who will forward it to the TDOT Construction. Until this concurrence is received, the Local Government may not enter into contract with the contractor nor may it issue a work order. Failure to follow these procedures could result in a loss of funding for the Construction Phase of project development.**

# CONSTRUCTION PROCEDURES



- Once the TDOT Construction Office and TDOT Estimating and Bid Analysis Office concurs in the intent to award, the LG can proceed with the execution of the contract with the responsive low bidder. The LG will issue the contractor a copy of the Proposal Contract for signature. The contractor shall return the signed copy to the LG with a fully executed Payment and Performance Bond equal to one hundred (100) percent of the contract amount. The signed proposal contract and bond shall be returned within ten (10) days or the contract may be canceled and the Proposal Bond/Guarantee forfeited. Any necessary railroad insurance must also be submitted in accordance with the railroad agreements prior to the final execution of the contract (twenty (20) calendar days are allowed for this). **The signed contracts shall be distributed such the Contractor, the Surety, and the LG all receive signed copies. The LPDO will only accept an electronic/PDF version.**

# CONSTRUCTION PROCEDURES



## AWARD OF THE CONTRACT (CONT'D)

- At least seven days prior to the pre-construction conference, the LG shall send, by electronic means, a set of plans, a copy of the bid book and final cost estimate to the TDOT District Operations Engineer/Manager and the TDOT Regional Materials and Tests Supervisor. A copy of this email shall be sent to [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov). **The preconstruction meeting may be held virtually if all requirements are met.**
- Once all the required signatures, bonds, and insurance have been submitted, the Local Government will provide the contractor with a work order (Notice to Proceed) identifying the effective Date of Construction. The effective date is typically 21 calendar days after the issuance of the work order. **The LG shall also provide a copy of the work order via email to the TDOT District Operations Engineer/Manager and the LPDO.**

# WORK ORDER EXAMPLE



## City of Fayetteville

John Ed Underwood, Jr. Mayor  
Gwen Shelton, Vice Mayor  
Scott Collins, City Administrator



Alderman:  
Danny Bryant  
Marty Pepper  
Dorothy Small  
Michael Whisenant  
Tom Young

Phone (931) 433-6154  
Fax (931) 433-2557

"Where Tradition Meets Tomorrow"

110 Elk Avenue South \* Fayetteville, TN 37334 \* [www.fayettevilletn.com](http://www.fayettevilletn.com)

September 19, 2014

Lincoln Paving, LLC  
P.O. Box 1034  
Fayetteville, TN 37334

**RE: Notice to Proceed with Work**

PIN: 118545.00

County: Lincoln

Federal Project No.: STP-M-3310 (10)

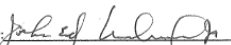
Description: **Roadway Resurfacing Along Washington Street**

State Project No: 521PLM-F3-013

Contract No: 130035

You are hereby notified to commence work in accordance with the above-referenced contact on **Tuesday September 23, 2014** and you are to complete all work on or before **Friday November 21, 2014**.

CITY OF FAYETTEVILLE, TENNESSEE

By:   
John Ed Underwood, Mayor

Cc: Regional Construction Engineer  
Regional Materials and Tests Engineer  
Regional Environmental Coordinator  
Manager, Comprehensive Inspections  
Manager, Natural Resources Office  
Director, Materials and Tests Division  
Director, Small Business Development Office  
Manager, Program Dev. & Sch. Office  
Manager, Operations Office  
Director, Labor Standards Division  
HQ Finance (Contract Payments Section)  
Zachary Dufour, Kimley-Horn  
Jackie Hunter, CEI, Smith Seckman Reid  
Scott Collins, City Manager  
Jeff Siefert, Codes Director  
Eddie Plunkett, Public Works Director

# CONSTRUCTION PROCEDURES



- Upon award of the contract, the LG shall fill out [Form 7-2](#), Contractor Award Information, and submit it to the LPDO at [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov).
- This form contains important information necessary for reporting by TDOT, such as:
  - Contractor Firm Name
  - Street Address
  - DUNS Number
  - Contact Person's Information
  - Subcontractor Information
- This information will go to TDOT Civil Rights Division, for compliance with FHWA 1391 reporting, which is required per 23 CFR 230, Subpart A.
- **Form 7-2 shall be submitted on or before the preconstruction meeting. The form shall be signed with all information complete and contain all DBE subcontractors and the other known subcontractors.**
- **The contractor shall resubmit Form 7-2 if any of the previous submitted information changes.**



# CONSTRUCTION PROCEDURES



Local Government Guidelines Form 7-2  
March 9, 2018

## CONSTRUCTION AWARD INFORMATION FOR CONTRACTORS ON LOCALLY LET FEDERAL AID CONTRACTS

County: \_\_\_\_\_ PIN: \_\_\_\_\_  
 State Project No.: \_\_\_\_\_ Federal Project No.: \_\_\_\_\_  
 Start Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_  
 DBE Goal (%): \_\_\_\_\_ DBE Goal Amount (\$): \_\_\_\_\_

### Prime Contractor Information

Company Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
 Street Address: \_\_\_\_\_ Contact E-mail: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_ Contact Phone: \_\_\_\_\_  
 DUNS No.: \_\_\_\_\_ Contract Amount: \_\_\_\_\_  
 DBE: Yes  No

### Sub-Contractor Information

Company Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
 Street Address: \_\_\_\_\_ Contact E-mail: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_ Contact Phone: \_\_\_\_\_  
 DUNS No.: \_\_\_\_\_ Contract Amount: \_\_\_\_\_  
 Tier: 2nd  3rd  4th  Material Supplier: Yes  No   
 DBE: Yes  No

Company Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
 Street Address: \_\_\_\_\_ Contact E-mail: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_ Contact Phone: \_\_\_\_\_  
 DUNS No.: \_\_\_\_\_ Contract Amount: \_\_\_\_\_  
 Tier: 2nd  3rd  4th  Material Supplier: Yes  No   
 DBE: Yes  No

Company Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
 Street Address: \_\_\_\_\_ Contact E-mail: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_ Contact Phone: \_\_\_\_\_  
 DUNS No.: \_\_\_\_\_ Contract Amount: \_\_\_\_\_  
 Tier: 2nd  3rd  4th  Material Supplier: Yes  No   
 DBE: Yes  No



Local Government Guidelines Form 7-2  
March 9, 2018

Company Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
 Street Address: \_\_\_\_\_ Contact E-mail: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_ Contact Phone: \_\_\_\_\_  
 DUNS: \_\_\_\_\_ Contract Amount: \_\_\_\_\_  
 Tier: 2nd  3rd  4th  Material Supplier: Yes  No   
 DBE: Yes  No

Company Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
 Street Address: \_\_\_\_\_ Contact E-mail: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_ Contact Phone: \_\_\_\_\_  
 DUNS: \_\_\_\_\_ Contract Amount: \_\_\_\_\_  
 Tier: 2nd  3rd  4th  Material Supplier: Yes  No   
 DBE: Yes  No

Company Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
 Street Address: \_\_\_\_\_ Contact E-mail: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_ Contact Phone: \_\_\_\_\_  
 DUNS: \_\_\_\_\_ Contract Amount: \_\_\_\_\_  
 Tier: 2nd  3rd  4th  Material Supplier: Yes  No   
 DBE: Yes  No

Company Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_  
 Street Address: \_\_\_\_\_ Contact E-mail: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_ Contact Phone: \_\_\_\_\_  
 DUNS: \_\_\_\_\_ Contract Amount: \_\_\_\_\_  
 Tier: 2nd  3rd  4th  Material Supplier: Yes  No   
 DBE: Yes  No

*\*If any sub-contractors change, please resubmit this form to Local Programs.*

Local Government Approval: \_\_\_\_\_ Date: \_\_\_\_\_

# CONSTRUCTION PROCEDURES



## AWARD OF THE CONTRACT (CONT'D)

- The Local Program Guidelines Manual and respective forms and example forms are located on the TDOT website at <https://www.tn.gov/tdot/program-development-and-administration-home/local-programs/documents-and-forms-.html>. These forms are in Microsoft Word format and easily downloadable. **Please be advised that changes to TDOT circular letters may not be reflected in the referenced forms. In addition, other required TDOT forms not referenced will need to be obtained from your respective Regional TDOT office. Link to TDOT Circular Letters: https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LP\_Circular\_Letters\_Combined.pdf**
- A filing system for the construction phase of the project should be in place at this time. Project files shall consist of the contract applicable files as required by Form 8-6. Additional project files may be added as deemed necessary.

# CONSTRUCTION PROJECT FILE LIST



Local Government Guidelines Form 8-6  
March 9, 2018

## Construction Project Files

Project files shall be neatly organized to adequately document and record all project correspondence, and provide full support for all payments and decisions made including material certifications and test reports, calculations, invoices, etc.

Project files shall consist of the contract applicable files listed below. Additional project files may be added as deemed necessary.

**Correspondence incoming & outgoing** - Two project-specific Correspondence Files shall be maintained throughout the life of the project. The files consist of all project related correspondence received and sent. This includes all meeting minutes, letters, printed emails, fax documents, etc.

**Pay Item file** – A project folder shall be maintained per item. Folders shall contain Material Certifications/Test Reports and any support documentation (worksheets/calculations) for the specific item.

**Engineer's Estimate file**- Copies of the Engineer's Estimate and all the supporting documents submitted to the Finance Department for payment.

**Sub-Contract file** – contains all Approved Sub-Contract forms.

**Plans Revisions file** – contains copies of all requested plans revisions. Also, a copy of the approved request shall be placed in this folder.

**Shop Drawings file** – One copy of approved shop drawings shall be placed in this folder.

**DBE file**– contains any Disadvantage Business Enterprise related documents. Also, contains copies of the actual contract agreements between the Prime Contractor and the DBE sub-contractor.

**Utility file** – contains all general correspondence in regard to Utility work.

**Utility Name files** – A folder per Utility Name shall be created. This folder will contain any related documents concerning the specific Utility. Also, this file will contain the Utility Specific Utility Diary Sheets.

**Trainee file** – consists of all trainee program supporting documents.

**Environmental file** – consists of environmental related documents, including copies of the Notice of Coverage (NOC) and Notice of Termination (NOT).

**Environmental (Construction Storm Water Inspection Certification) file** – contains copies of all Construction Storm Water Inspection Certification.

**Environmental (EPSC) file** – contains copies of all EPSC reports including the Rainfall Data Log.

**Safety (Accidents) file** – contains copies of all official Police Reports of all accidents that occurred within the project limits.



Local Government Guidelines Form 8-6  
March 9, 2018

**Contractor Name Payroll file** – A folder per Contractor Name shall be created. This folder will contain copies of all the specific contractor payrolls submitted conforming to the requirements.

**Employee Interviews file** – consists of all original Employee Interviews.

**Change Orders file** – contains copies of the submitted Supplemental Agreement with supporting documents attached and a copy of the approved Supplemental Agreement (with all required signatures).

**Job Mix Formulas file** – contains copies of all approved Asphalt Job Mix Formulas for the appropriate asphalt mixes included in the project.

**Concrete Designs file** – contains copies of all approved Concrete Designs for the appropriate types of concrete included in the project.

**TCD Checklist file** – This folder contains all original Traffic Control Devices Checklist submitted by the Project Inspector.

**Prompt Payment file** – consists of all original Prompt Payment forms submitted by the Contractor.

**Monthly Construction Report file** – contains copies of all Monthly Construction Reports mailed to the Prime Contractor.

**Attestation of Illegal Immigrants file** – contains the original form submitted by the Prime Contractor,

**Contractor Performance Evaluation file** – contains the original form completed by the Project Manager

**End of Job file** – contains copies of all project documents related to the completion of the project.

# CONSTRUCTION PROCEDURES



## **PUBLIC RELATIONS AND PUBLIC INFORMATION**

- The Local Government, with the CEI, should provide timely information to the local media regarding lane closures, construction updates, and general project information. It is suggested the Local Government establish an area on its website for such information. Project specific information such as construction updates, lane closures or detours should be addressed at the appropriate time to make the motoring public aware of current conditions. Any closure or detour affecting a state route or major artery shall be coordinated with TDOT and the Local Agency.

# CONSTRUCTION PROCEDURES



## **SUBCONTRACTING OF WORK**

- The prime contractor may sub-let work in accordance with Section 108.01 of the TDOT Standard Specifications, as allowed in 23 CFR 635.116 (CL 108.01-01, CL 108.01-02). In no case shall the prime contractor sublet more than seventy (70) percent of the original contract amount excluding specialty items. All subcontractors must be pre-qualified in accordance with TDOT Standard Specifications (Section 102.01).
- Please be aware that TDOT now requires all PRIME contractors (except mowing and litter removal contractors) to be licensed with the Tennessee Department of Commerce and Insurance, Board for Licensing Contractors. Contractors will not be required to have a license to bid, however, prior to recommending award of the Contract, TDOT will confirm that the lowest responsible bidder is licensed. The Contractor will be considered for award for twenty-one (21) days after the letting date (bid submittal). If the contractor does not have a license, on or before the 21 days, the contractor will be considered non-responsive, and the next lowest responsible bidder will be considered for award.

# CONSTRUCTION PROCEDURES



## SUBCONTRACTING OF WORK

- The LG shall approve all 1st, 2nd, or greater tier subcontracts. All approved subcontractors shall be on the TDOT Pre-Qualified Contractor List. An approved and executed subcontract form must be on file in the project records (Subcontract File) **before a subcontractor can begin work.** An approved and executed subcontract form bears all of the required signatures of the appropriate officials. The Prime Contractor shall submit to the LG completed subcontract forms after they have been collected from the subcontractors. Form 8-7a , Form 8-7b, and Form 8-7c are provided for 1st, 2nd, and 3rd tier subcontractors. Link to Prequalification :  
(<https://www.tn.gov/tdot/tdot-construction-division/construction-contractor-prequalification.html>)

# CONSTRUCTION PROCEDURES



## SUBCONTRACTING OF WORK (CONT'D)

- FHWA requires that all subcontracts at any tier be in writing, per 23 CFR, Section 635.116(b). This includes both contracts between the prime contractor and their subcontractors, and contracts between subcontractors and their agents. Each of these subcontracts shall physically contain the following documents. NONE OF THESE DOCUMENTS CAN BE INCLUDED BY REFERENCE ONLY:
  - Form FHWA 1273 “Required Contract Provisions, Federal-Aid Construction Contracts,” and,
  - The minimum wage rates for the contract as required by Tennessee Prevailing Wage Rate Act and 29 CFR.
- It is the responsibility of the Local Government to ensure full compliance with all required provisions.
- The subcontract forms shall contain all applicable information and be signed by the respective entities.

# SUBCONTRACT FORMS



**Subcontract Form**  
*Insert Local Government Name*  
*Insert Local Government Address*  
*Insert Phone #*

Prime Contractor		Contract No.	
Street Address		Project No.	
City		PIN No.	
State	Zip Code	County	

Subcontractor			
Street Address			
City			
State	Zip Code		

The following items are to be subcontracted in accordance with Subsection 108.01 of the Tennessee Department of Transportation's Standard Specifications, Special Provisions, and other applicable forms.

Item No.	Quantity	Description	Unit Measure	Unit Price	Check if Partial	Amount
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
Total This Page						
Total Additional Pages						
Overall Total						

Page 1 Revised 4/15/2017

Prime Contractor		Contract No.
Date	Signature	Print Name and Title

Signature by the prime contractor is certifying: (1) that a written subcontract exists containing the items and quantities listed herein and all requirements and pertinent provisions of the prime contract, and (2) that no work included in the written subcontract has or will be performed prior to approval by the Department. (3) If the project is federally funded, then form FHWA 1273 must be physically included in all sub-contracts, including 2nd tier, and cannot be referenced.

Subcontractor \_\_\_\_\_

The above statement of Subcontract is presented with my knowledge and consent:  
 The subcontractor named on this form is (CHECK ONE)

A Certified DBE

Woman-owned       Minority-owned

Minority-owned, not certified DBE

Woman-owned, not certified DBE

Is not a Minority Subcontractor

as defined in Section 101 of the Tennessee Department of Transportation Standard Specifications.

Subcontractor's Telephone Number: \_\_\_\_\_

Subcontractor's Employee Identification Number: \_\_\_\_\_

Date	Signature (Subcontractor)	Print Name and Title
------	---------------------------	----------------------

The Subcontractor is advised that they must comply with all applicable labor requirements of this contract. Copies of the labor requirements and wage rates can be obtained from the Prime Contractor.

**THE FOLLOWING IS TO BE COMPLETED BY THE LOCAL GOVERNMENT PROJECT SUPERVISOR.**

This Subcontract \_\_\_\_\_ %

Subcontracted to Date \_\_\_\_\_ %

Date	Approved By Signature	Print Name
------	-----------------------	------------

Submit Form:

By Mail to: \_\_\_\_\_ or By E-mail to: \_\_\_\_\_

Page 3 Revised 4/15/2017



# 2ND TIER SUBCONTRACT FORMS



**2nd Tier Subcontract Form**  
*Insert Local Government Name*  
*Insert Local Government Address*  
*Insert Phone #*

Subcontractor		Contract No.	
Street Address		Project No.	
City		PIN No.	
State	Zip Code	County	

2nd Tier Subcontractor	
Street Address	
City	
State	Zip Code

The following items are to be subcontracted in accordance with Subsection 108.01 of the Tennessee Department of Transportation's Standard Specifications, Special Provisions, and other applicable forms.

Item No.	Quantity	Description	Unit Measure	Unit Price	Check if Partial	Amount
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
	-			\$ -		
				Total This Page		
				Total Additional Pages		
				Overall Total		

Page 1 Revised 4/15/17

Subcontractor		Contract No.	
Date	Subcontractor Signature	Print Name and Title	

Signature by the subcontractor is certifying: (1) that a written subcontract exists containing the items and quantities listed herein and all requirements and pertinent provisions of the prime contract, and (2) that no work included in the written subcontract has or will be performed prior to approval by the Department. (3) If the project is federally funded, then form FHWA 1273 must be physically included in all sub-contracts, including 2nd tier, and cannot be referenced.

Prime Contractor \_\_\_\_\_

2<sup>nd</sup> Tier Subcontractor \_\_\_\_\_

The following is to be completed by the 2<sup>nd</sup> Tier Subcontractor:

The above statement of Subcontract is presented with my knowledge and consent:  
 The 2<sup>nd</sup> Tier subcontractor named on this form is (CHECK ONE BELOW):

A Certified DBE  
 Woman-owned  
 Minority-owned, not certified DBE  
 Woman-owned, not certified DBE  
 Is not a Minority Subcontractor  
 Minority-owned

as defined in Section 101 of the Tennessee Department of Transportation Standard Specifications.

2<sup>nd</sup> Tier Subcontractor's Telephone Number: \_\_\_\_\_

2<sup>nd</sup> Tier Subcontractor's Employee Identification Number: \_\_\_\_\_

Date	Signature (2 <sup>nd</sup> Tier Subcontractor)	Print Name and Title
------	--	----------------------

The Subcontractor is advised that they must comply with all applicable labor requirements of this contract. Copies of the labor requirements and wage rates can be obtained from the Prime Contractor.

**THE FOLLOWING IS TO BE COMPLETED BY THE LOCAL GOVERNMENT CIVIL RIGHTS OFFICE.**

Date	Reviewed By Signature	Print Name
------	-----------------------	------------

**THE FOLLOWING IS TO BE COMPLETED BY THE LOCAL GOVERNMENT PROJECT SUPERVISOR.**

Date	Approved By Signature	Print Name
------	-----------------------	------------

Submit Form:  
 By Mail to: \_\_\_\_\_ or By E-mail to: \_\_\_\_\_

Page 2 Revised 4/15/17

# CONSTRUCTION PROCEDURES



## DBE SUBCONTRACTS AND CIVIL RIGHTS CONTRACT COMPLIANCE

- As soon as possible after the award of the contract, the Contractor shall submit to the Local Government Project Supervisor a copy of the actual signed contract agreement between the contractor and the DBE subcontractor for each DBE. **The actual signed agreement(s) must be on file in the project records before the first progress estimate is paid.**
- If a DBE is unable to perform the work which they committed to at award, the prime contractor/consultant should notify the LG and the defaulting DBE is required to notify the TDOT Civil Rights Division immediately. Adequate effort should be made to replace the dollar amount of the lost DBE commitment. Please refer to TDOT Special Provision (SP) 1247LP and <https://www.tn.gov/tdot/civil-rights/small-business-development-program.html>. **The DBE goal is a mandatory contractual obligation and shall be met or exceeded. The prime contractor shall replace the lost dollar amount of the DBE commitment with a DBE replacement approved by the TDOT Civil Rights Division. Refer to the Civil Rights Division Small Business Development Program's website for more information on achieving DBE goals.**
- The TDOT Civil Rights Division may be contacted to obtain additional guidance on Good Faith Effort determinations. If a DBE is unable to perform the work which they committed to perform, the prime contractor/consultant should notify the LG. Adequate effort should be made to replace the dollar amount of the lost DBE commitment.

# CONSTRUCTION PROCEDURES



## DBE SUBCONTRACTS AND CIVIL RIGHTS CONTRACT COMPLIANCE (CONT'D)

- If the contract has a DBE Goal, a copy of the signed subcontract agreement between the Prime Contractor and the DBE subcontractor must be in the project records (DBE file) before the first progress estimate can be paid. Additional information regarding Disadvantaged Business Enterprises is located in Chapter 7: Civil Rights Compliance.
- **At the Pre-Construction Conference, the Prime Contractor shall identify all DBE subcontractors indicating approximate dates for their appearance on the project.**

# CONSTRUCTION PROCEDURES




## **DBE SUBCONTRACTS AND CIVIL RIGHTS CONTRACT COMPLIANCE (CONT'D)**

- The DBE Company Profile (Form 8-8a) and DBE Material Supplier/Trucker Contract Certification (Form 8-8b) shall be completed in accordance with TDOT Circular Letter 1247-01 once the DBE contracts are in place as outlined in Section 7.2.9. Contact the Local Government DBE Liaison for a copy of the completed DBE Company Profile. A DBE Company Profile and the DBE Material Supplier/Trucker Contract Certification shall be completed for each DBE on the project and kept by the LG for records.

# DBE COMPANY PROFILE EXAMPLE





Local Government Guidelines Form 8-8a  
March 9, 2018

**DBE Company Profile**  
*(To be completed by the Local Government DBE Liaison or Civil Rights Coordinator on DBE Goal Projects, provide a copy to the Local Government Project Supervisor)*

Date:  
Contract No.:  
Project No.:  
PIN No.:  
County:  
Contract Description:  
Prime Contractor:  
DBE Firm:  
Areas of Certification:

**Type of Operation:**

Contractor     Trucker     Regular Dealer     Manufacturer

	YES	NO	N/A
Is the business' primary function to manufacture construction products? <i>(If no, this is a red flag)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the regular dealer have an established storage facility and inventory? <i>(If no, this is a red flag)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal contract executed by the DBE to perform a distinct element of work is on file in the Civil Rights Office (DBE Goal Contracts Only)? <i>(If no, this is a red flag)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>If no, has construction field office been contacted?</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Subcontract Date:</b>			
Has the Regional Construction Office submitted an approved TDOT Subcontract Form? <i>(If no, this is a red flag)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>If no, has construction field office been contacted?</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>DBE on-site representative/contact for hiring, firing, or modifying the contract:</b>			
Has a two party/joint check been approved by the Civil Rights Office?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Has a 2nd-Tier Subcontract been approved by the Civil Rights Office?</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# DBE MATERIAL SUPPLIER/TRUCKER CONTRACT CERTIFICATION EXAMPLE



March 9, 2018  
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## DBE MATERIAL SUPPLIER/TRUCKER CONTRACT CERTIFICATION

- To be completed by the Prime Contractor, Subcontractor (if 2<sup>nd</sup> Tier agreement), and DBE Material Supplier/Trucker **immediately following the award of project**
- Submit the completed form to the HQ Civil Rights Office (CRO) Small Business Development Program (SBDP) with actual Subcontract Agreement and/or purchase order **prior to pre-construction conference for project.**

Contract No.: \_\_\_\_\_ Project No.: \_\_\_\_\_ County: \_\_\_\_\_

Contract Description: \_\_\_\_\_  
\_\_\_\_\_

Prime Contractor: \_\_\_\_\_

Sub Contractor (if 2<sup>nd</sup> Tier agreement): \_\_\_\_\_

DBE Firm: \_\_\_\_\_

Describe the type of work to be completed: \_\_\_\_\_  
\_\_\_\_\_

### Regular Dealers/Suppliers

- ❖ The DBE dealer shall be an established, regular business that engages, as its principle business and under its own name, in the purchase and sale or lease of the products being supplied
- ❖ The DBE dealer shall maintain a store, warehouse, or other establishment, where the products are brought, kept in stock, or sold or leased to the public in the usual course of business (A firm may be a dealer in bulk items such as petroleum products, steel, cement, gravel, stone, or asphalt without owning or operating a place of business, if the firm owns and operates the distribution equipment for the products)
- ❖ 60% of the cost of materials supplied will be counted towards DBE Goal credit only

### Transportation or Hauling of Materials

- ❖ As allowed by 49 CFR Part 26 as interpreted by the SBDP. This regulation allows for DBE goal hauling-credit in either DBE trucks or in trucks leased to DBE firms. Leases cannot be TDOT contract-specific and must be approved by the SBDP Staff. The verification of truck drivers employed by DBE firms will continue to be by submission of payrolls independent from any Davis-Bacon regulations.
- ❖ DBE receives credit for the total value of the transportation services it provides on the contract using trucks it owns, insures, and operates using drivers it employs.
- ❖ The DBE may lease trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from DBE receives credit for the total value of the transportation services the lessee DBE provides on the contract.
- ❖ The DBE may also lease trucks from a non-DBE firm, including an owner-operator. The DBE who leases trucks from a non-DBE is entitled to the total value of transportation services provided by non-DBE lessees not to exceed the value of transportation services provided by DBE-owned trucks

Page 2 of 2

on the contract. The DBE is entitled to credit only the fees or commission it receives for all other non-DBE trucks used.

### DBE Responsibilities:

- ❖ Does the DBE supply materials to non-DBE goal projects: Yes \_\_\_\_\_ No \_\_\_\_\_
- ❖ Does the DBE supply materials to other contractors not working on TDOT contracts: Yes \_\_\_\_\_ No \_\_\_\_\_
- ❖ Does the DBE own and operate distribution equipment for the materials supplied: Yes \_\_\_\_\_ No \_\_\_\_\_
- ❖ The DBE will be responsible for:
 

1. Obtaining materials/supplies	Yes _____ No _____
2. Negotiating the price	Yes _____ No _____
3. Ensure that quality and quantity of materials are per TDOT requirements	Yes _____ No _____
4. Purchasing & making payment for the materials	Yes _____ No _____
5. Make arrangement and schedule for delivery of materials	Yes _____ No _____
6. Supplying invoices & cancelled checks verifying purchase of materials	Yes _____ No _____
7. Control over methods of work on their contract items	Yes _____ No _____

By completing and signing this certification, the Prime Contractor, Subcontractor (if 2<sup>nd</sup> Tier agreement), and DBE firm agree to and acknowledge the responsibilities of the DBE as stated herein and in accordance with SP1247 of the Contract Proposal. The individual signing this certification must be an authorized company representative.

#### Prime Contractor Authorized Representative:

Print Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

#### Subcontractor Authorized Representative (if 2<sup>nd</sup> Tier agreement):

Print Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

#### DBE Material Supplier/Trucker Authorized Representative:

Print Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

# DBE MATERIAL SUPPLIER/TRUCKER CONTRACT CERTIFICATION EXAMPLE



March 9, 2018

**TN** **TDOT**  
Department of  
Transportation

**TDOT DBE Truck List**

Project No.: \_\_\_\_\_ County: \_\_\_\_\_ Prime Contractor: \_\_\_\_\_

Contract No.: \_\_\_\_\_ DBE Hauling Firm: \_\_\_\_\_

License Plate #/Truck Number	Name of Truck Owner/Operator	Lease Y/N	Leased from DBE Y/N **

March 9, 2018

License Plate #/Truck Number	Name of Truck Owner/Operator	Lease Y/N	Leased from DBE Y/N

\*\* If trucks are leased or subcontracted from a non-DBE firm, the contractor/DBE must complete the TDOT DBE Trucking Credit Worksheet to determine DBE eligible participation.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
DBE Company Official

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Prime Contractor

# DBE MATERIAL SUPPLIER/TRUCKER CONTRACT CERTIFICATION EXAMPLE



March 9, 2018

**TN TDOT**  
Department of  
Transportation

**TDOT DBE Trucking Credit Worksheet**

For Month of (Month/Year): \_\_\_\_\_

Project No.: \_\_\_\_\_ County: \_\_\_\_\_ Prime Contractor: \_\_\_\_\_

Contract No.: \_\_\_\_\_ DBE Hauling Firm: \_\_\_\_\_

License Plate # / Truck Number	Name of DBE Hauling Firm or DBE Truck Owner/Operator	Amt Paid to DBE's this Month	Amt Paid to Non- DBE Haulers this Month	Total Amt Paid for DBE Credit	For TDOT use Only



# DBE MATERIAL SUPPLIER/TRUCKER CONTRACT CERTIFICATION EXAMPLE



March 9, 2018

License Plate # / Truck Number	Name of DBE Hauling Firm or DBE Truck Owner/Operator	Amt Paid to DBE's this Month	Amt Paid to Non- DBE Haulers this Month	Total Amt Paid for DBE Credit	For TDOT use Only

I hereby certify that the above is a true and correct statement of the amounts paid to the DBE trucking firms listed above.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
DBE Company Official

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Prime Contractor

# CONSTRUCTION PROCEDURES




## DBE SUBCONTRACTS AND CIVIL RIGHTS CONTRACT COMPLIANCE (CONT'D)

- **The Commercially Useful Function (CUF) Checklist (Form 8-9) shall be completed for every DBE on ALL projects and submitted to the TDOT Civil Rights Office via their web address ([tdot.dbe.program@tn.gov](mailto:tdot.dbe.program@tn.gov)). The Local Government Project Supervisor shall assume the responsibility of completing the CUF Checklist. The Project Inspector shall initiate the CUF Checklist as soon as the DBE starts work. The date on the CUF Checklist (Date of Review) should be the date the actual observation was made. The Project Supervisor shall send the original to the DBE Liaison. A copy of the completed DBE Company Profile and a copy of the CUF Checklist shall be sent to the TDOT Civil Rights Office with a copy provided to the LPDO.**
- All work activities performed by a DBE shall be monitored and documented to ensure compliance. All work performed by a DBE shall be documented separately in the Project Diary. The DBE name, equipment, labor, and the type of work performed shall be documented. The acronym DBE shall be written beside the DBE name to distinguish DBE status. The project inspector shall ensure the DBE is performing the work reflected on the subcontract.

# COMMERCIALLY USEFUL FUNCTION CHECKLIST EXAMPLE





Local Government Guidelines Form 8-9  
March 9, 2018


### Commercially Useful Function Checklist

**Checklist Instructions:**

- To be completed by the Project Inspector for each DBE on every project.
- If at any time a DBE is observed not performing a CUF or if there are any items that are suspicious, red flags or warrant further attention, this must be reported to the Local Government DBE Liaison.
- Submit the completed form to the HQ Civil Rights Office Small Business Development Program.

Date of Review:  
Reviewer's Name:  
Contract No.:  
Project No.:  
County:  
Contract Description:  
Prime Contractor:  
DBE Firm:  
Start Date(s) of DBE Work:  
Describe the type of work observed:

Page 1 of 4



Local Government Guidelines Form 8-9  
March 9, 2018

	YES	NO	N/A
<b>Management</b>			
Who does the DBE on-site representative contact for hiring, firing, or modifying the contract?			
Name of on-site representative:			
On-site representative reports to:			
Has the on-site representative been identified as an employee of the DBE?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If not, then by whom?			
(If no, this could be a red flag.)			
Action taken:			
Did the DBE sublet any items or portions of work to any other firm?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If yes, what percent was sublet/what items were sublet?			
Name of the firm (Non-DBE or DBE):			
(If yes, this could be a red flag.)			
Does the DBE on-site representative effectively manage the job site without interference from any other non-DBE contractor/subcontractor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(If no, this could be a red flag.)			
If no, explain:			
Has the DBE owner been present on the jobsite?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the DBE submitting its own payroll?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(If no, this could be a red flag.)			
Action taken:			
Who makes arrangement and schedule for delivery of materials? (If not the DBE, this is a red flag.)			
Action taken:			
Does the prime contractor direct who the DBE is to obtain the material from and at what price?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(If yes, this could be a red flag.)			
Action taken:			

Major Equipment Used	Serial Number	Equipment including Trucks					
		DBE's Markings?		DBE's Operator?		Leased?	
		Yes or No	If no, list other company's markings if seen	Yes or No	If no, list company operator works for	Yes or No	If yes, list company leased from

Attach additional sheets if necessary

If equipment was leased, were copies of lease agreements provided?

If not, Action taken:

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# COMMERCIALLY USEFUL FUNCTION CHECKLIST EXAMPLE



**TN** TDOT  
Department of  
Transportation

Local Government Guidelines Form 8-9  
March 9, 2018

**Workforce**  
List the name and position of each DBE employee observed during today's operation.  
(If names do not match attached list, this is a red flag.)

	YES	NO	N/A
<b>Materials</b> Did the contractor order and pay for materials? In order to verify the contractor ordered and paid for all the materials they have agreed to purchase in their subcontract, the DBE must submit copies of all invoices from each of their suppliers to the Project Inspector. (If no, this could warrant more attention or be a red flag. Two party checks are a red flag.) If yes, have material invoices been submitted: If no, action taken:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Performance</b> Does the DBE appear to be executing the work of the contract by actually performing, managing, and supervising the work involved? (If no, this could be a red flag.) If no, explain: Has any other contractor performed any amount of work specified in the DBE's contract? (If yes, this could be a red flag.) If yes, who performed this work and why?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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**TN** TDOT  
Department of  
Transportation

Local Government Guidelines Form 8-9  
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	YES	NO	N/A
<b>Regular Dealers/Manufacturer</b> Check here if this section doesn't apply or the DBE isn't a regular dealer. Check here if this section doesn't apply or the DBE isn't a manufacturer. If yes, who performed this work and why? Does the dealer have a business that sells to the public on a routine basis on the product being supplied? (If no, this is a red flag.) If no, explain: Does the business stock the product for the use on the project as a normal stock item? (If no, this is a red flag.) Who is delivering and unloading the material? Who are the material invoices made out to? In whose name are materials shipped? (If material is not shipped to the DBE, this is a red flag.) If not, explain:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Construction Staff (Field and Office) Comments (including red flags noted):</b>			
<b>Actions Taken:</b>			
<b>Reviewer's Signature:</b> _____			

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## CONSTRUCTION

- All construction shall be completed in full compliance with the contract documents, including the Bid Book, TDOT Standard Specifications for Road and Bridge Construction, and TDOT Standard Drawings.
- The TDOT Regional Construction Manager and Materials & Tests Manager will each assign a TDOT representative to participate in the project pre-construction conference. The TDOT Construction Representative will conduct routine project reviews (at designated intervals as described in Circular Letter 105.11-01), attend progress meetings, and participate in the final inspection.
- For non-traditional projects, the LPDO may elect to utilize a consultant firm to conduct oversight reviews. The TDOT Regional office will need to verify with the LPDO if an oversight consultant firm will be used.

# CONSTRUCTION CONTRACT ADMINISTRATION



## CONSTRUCTION

- The TDOT Operations' Circular Letter File contains general guidance and requirements for the proper administration of projects. The Circular Letters can be found at:  
[https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LP\\_Circular\\_Letters\\_Combined.pdf](https://www.tn.gov/content/dam/tn/tdot/programdevelopment/localprograms/documents-and-forms/LP_Circular_Letters_Combined.pdf).
- Reduced requirements for non-traditional projects can be found in Chapter 10: Non-Traditional Projects.

# CONTRACT DOCUMENTS



- TDOT Local Government Guidelines (LGG)
- **TDOT Standard Specifications for Road and Bridge Construction (2021)** and Supplemental Specifications
- TDOT Standard Drawings
- Contract including Special Provisions
- Plans
- TDOT Circular Letters
- Other referenced guidance (AASHTO, ASTM, MUTCD, ETC.)

# HIERARCHY OF CONTRACT DOCUMENTS (§105.04)



- Special Provisions
- Plans
- Supplemental Specifications
- Standard Specifications





## PRE-CONSTRUCTION CONFERENCE

- Before any work begins, a pre-construction conference shall be held (Standard Specifications, Section 105.06) by the Local Government's Project Supervisor to discuss the contractor's plan of operation, required contract provisions, environmental commitments if applicable, erosion control, traffic control/work zone safety, utility relocations, inspection, materials acceptance, independent assurance, quality control plans, certified payrolls, DBE/subcontractors (approximate mobilization dates), etc. Minutes (Pre-Construction Conference Minutes Form) shall be kept of this conference, including an attendance roster (Pre-Construction Conference Sign-in Sheet), and key decisions shall be fully documented. A copy of these minutes should be emailed to all attendees and to [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov) . **The preconstruction meeting may be held virtually if all requirements are met.**
- A meeting announcement (Pre-Construction Conference Notice) (Circular Letter 105.06-01) (Form 8-10a) shall be sent 14 days in advance, to all parties with a vested interest in the project including, but not limited to: prime and subcontractors, material suppliers, permitting agencies, utility owners, the TDOT District Operations Engineer/Manager, TDOT Regional Materials and Tests Supervisor and other affected LGs. **The preconstruction meeting shall not commence until the work order (notice to proceed) has been issued.**



## PRE-CONSTRUCTION CONFERENCE (CONT'D)

- **TDOT Materials & Tests Office and TDOT District Operations Office representatives must be present at the Pre-Construction Conference.** If both of these offices are not represented at the Pre-Construction conference, the Pre-Construction conference must be postponed until TDOT representatives can be present.
- In the Pre-Construction Conference, the following documents will be required.
  - • Pre-Construction Notice (Form 8-10a)
  - • Pre-Construction Conference Meeting Minutes (Form 8-11a)
  - • Pre-Construction Conference Sign-in Sheet (Form 8-12)
- In the case that Erosion Control and/or Utility Conferences are necessary, refer to Section 8.2.14 and/or Section 8.2.15.

# PRE-CONSTRUCTION NOTICE EXAMPLE



Local Government Guidelines Form 8-10a  
March 9, 2018

## PRE-CONSTRUCTION CONFERENCE NOTICE

PIN: \_\_\_\_\_ State Project No.: \_\_\_\_\_  
County: \_\_\_\_\_ Contract No.: \_\_\_\_\_  
Federal Project No.: \_\_\_\_\_ Reference No.: \_\_\_\_\_  
Description: \_\_\_\_\_

### To Whom it May Concern:

A pre-construction conference is to be held \_\_\_\_\_, at \_\_\_\_\_, at the \_\_\_\_\_ in \_\_\_\_\_, Tennessee for the contract referenced above. The discussion will include details relating to project construction. Your attendance and all pertinent subcontractors are requested to attend. Utility Companies involved will also need to be present.

By copy of this notice, all utility companies are advised to attend and provide a representative capable of presenting a workable relocation plan.

It is required that you bring the following information, if applicable, to the conference:

1. Plan of construction operation and work schedule as specified in Subsection 105.06 of the T.D.O.T. Standard Specifications.
2. Erosion Control Plan as specified in Subsection 206.05 of the T.D.O.T. Standard Specifications.
3. Name of the person in charge of the project, traffic control, erosion control and their home telephone, mobile and office phone number.
4. Plan for detouring/controlling traffic.
5. Material Suppliers List - including name and location of suppliers as specified in Subsection 106.07 of the T.D.O.T. Standard Specifications.
6. Listing of ALL subcontractors and the items and/or material they are involved with.
7. Letter certifying that all temporary traffic control items to be used, fully comply with the Department of Transportation requirements as specified in Subsection 712.02 of the T.D.O.T. Standard Specifications. This letter must be signed and notarized.
8. Contractor Employee Safety and Health Program (ESHP) Certification Letter (Spec. 107.10 & Circular Letter 107.01-01)
9. Proposed trainees and classifications as specified in Special Provision 1240.
10. A copy of the signed agreement between the prime contractor and each DBE subcontractor as specified in Special Provision 1247.
11. 407 Process Control Plan for asphalt as specified in Subsection 407.03 of the T.D.O.T. Standard Specifications (approved yearly in January).
12. 604 Process Control Plan for concrete as specified in Subsection 604.03 of the T.D.O.T. Standard Specifications.

If a subcontractor or utility company representative is not able to attend, please notify this office. If I may be of assistance or additional information is needed, please contact me at \_\_\_\_\_. Persons having a disability that require access to participate at the meeting may contact the Local Government at \_\_\_\_\_, TTY \_\_\_\_\_, no less than (seven) days prior to the meeting.

Sincerely,

cc: Regional Construction  
Regional Materials & Tests  
Regional Safety  
Environmental Planning and Permits Division  
Regional ADA Coordinator  
Civil Rights office  
contract file

Environmental Division Natural Resources Office  
Environmental Ecology Section

# PRE-CONSTRUCTION MEETING AGENDA

## ITEMS TO BE DISCUSSED



### **AGENDA ITEMS**

1. Plan of construction operation and work schedule as specified in Subsection 105.06 of the TDOT Standard Specifications.
2. Erosion Control Plan as specified in Subsection 209.05 of the T.D.O.T. Standard Specifications.
3. Name of the person in charge of the project, traffic control, erosion control and their home telephone, mobile number.
4. Plan for detouring/controlling traffic.
5. Material Suppliers List - including name and location of suppliers as specified in Subsection 106.07 of the TDOT Standard Specifications.
6. Listing of ALL subcontractors and the items and/or material they are involved with.
7. Letter certifying that all temporary traffic control items to be used, fully comply with the Department of Transportation requirements as specified in Subsection 712.02 of the TDOT Standard Specifications. This letter must be signed and notarized.

# PRE-CONSTRUCTION MEETING AGENDA

## ITEMS TO BE DISCUSSED




### **AGENDA ITEMS (CONT'D)**

8. Contractor Employee Safety and Health Program (ESHP) Certification Letter (Special Provision 107SHP & Circular Letter 107.01-01)
9. Proposed trainees and classifications as specified in Special Provision 1240 if applicable.
10. A copy of the signed agreement between the prime contractor and each DBE subcontractor as specified in SP 1247 to be presented.
11. 407 Process Control Plan for asphalt as specified in Subsection 407.03 of the TDOT Standard Specifications.
12. 604 Process Control Plan for concrete as specified in Subsection 604.03 of the TDOT Standard Specifications.



# Pre-construction Conference Minutes Example



Local Government Guidelines Form 8-11a  
March 9, 2018

**Pre-Construction Conference Meeting Minutes**

Date Held: \_\_\_\_\_ ATTENDEE LISTING ON LAST PAGE

Contractor: \_\_\_\_\_

Contract: \_\_\_\_\_ Estimated Start Date: \_\_\_\_\_

Project #: \_\_\_\_\_ Estimated Completion Date: \_\_\_\_\_

Reference #: \_\_\_\_\_ Estimate Cut Off: \_\_\_\_\_

Effective Date: \_\_\_\_\_ Days Allowed: \_\_\_\_\_

Project Superintendent: \_\_\_\_\_

CEI Personnel: \_\_\_\_\_

**The Following Information was Discussed and Materials, if Applicable,  
were Received at the Meeting.**

	DISCUSSED	RECEIVED	N/A
1. Plan of Operation (Stand. Spec. 105.06)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Erosion Control Plan (Stand. Spec. 209.05)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Erosion (Special Provision 107FP)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Material Suppliers List - including name and location of suppliers (Stand. Spec. 106.07)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Listing of ALL Subcontractors and the items and/or material they are involved with.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Contractor Employee Safety and Health Program (ESH) Certification Letter (Spec. 107.10 & Circular Letter 107.01-01)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Traffic Control Certification Letter (Stand. Spec. 712.02)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Detouring/Controlling Traffic Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. 105 Letter - Certified listing of personnel including Name & License # of PE or RLS (Stand. Spec. 105.09)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. 407 Process Control Plan (Stand. Spec. 407.03) (approved yearly)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. 604 Process Control Plan (Stand. Spec. 604.03)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Rideability: 411B <input type="checkbox"/> 411C <input type="checkbox"/> 604R <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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# PRE-CONSTRUCTION MEETING AGENDA

## ITEMS TO BE DISCUSSED



### AGENDA ITEMS (CONT'D)

1. Listing of contact personnel of contractor for Traffic Control, Erosion Control, Customer Service and Employee Safety.
2. A project site bulletin board is required on all federal aid projects. The bulletin board must display required posters as noted in Circular Letter 1273-01, Project Site Poster board.
3. The Department of Labor and Workforce Development lists on their website all the posters required by the Tennessee State Government and those required by the Federal Government for all Tennessee Employers. The posters may be downloaded off of the Department of Labor website and printed. The posters are located under the Online Services menu option under Posters. The following website can be used to obtain the required posters:  
<https://www.tn.gov/workforce/general-resources/major-publications0/major-publications-redirect/posters-redirect/required-posters.html>
4. The Civil Rights Division Regional Contract Compliance Officer can provide assistance in locating the posters / documents that are required in regard to DBEs, EEO, and Title VI.

# PRE-CONSTRUCTION CONFERENCE MINUTES EXAMPLE



Local Government Guidelines Form 8-11a  
March 9, 2018

## Pre-Construction Conference Meeting Minutes (continued)

- Traffic Control:** 24 Hour Emergency Contact Person ( N/A  )  
Name:  
Home Telephone:  
Mobile:
- Erosion Control:** 24 Hour Emergency Contact Person ( N/A  )  
Name:  
Home Telephone:  
Mobile:
- Customer Service:** Customer Service Representative ( N/A  ) (Stand. Spec. 105.05)  
Name:  
Home Telephone:  
Mobile:
- Employee Safety:** 24 Hour On-Site Contact Person ( N/A  ) (Circular Letter 107.01-01)  
Name:  
Home Telephone:  
Mobile:

### Civil Rights

DBE/WBE ( N/A  )                      % Goal Required: \_\_\_\_\_  
ON-THE-JOB TRAINEE ( N/A  )                      Hours Required: \_\_\_\_\_

	DISCUSSED	RECEIVED	N/A
1. Copy of Signed Agreement between Prime Contractor and DBE Subcontractor, must be submitted before work can begin. (Spec. Prov. 1247)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. On-the-Job Training Program – Federal Aid projects (Circular Letter 1230-01 and 1240-01)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. CC-3 certifying the amount paid the DBE(s) must be submitted when the contract is completed. Final payment will not be made until received. (Spec. Prov. 1247)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Local Government Guidelines Form 8-11a  
March 9, 2018

## Pre-Construction Conference Meeting Minutes (continued)

4. Special Provision: 1230  , 1231  , 1232  , 1240  , 1246  , 1247  , 1290
5. CUF Checklist: All DBE's on ALL projects. (Circular Letter 1247-01)
6. Goal Projects: Any changes to DBE's portion of work must be pre-approved by SBDP Director. (Circular Letter 1247-01)
7. Bulletin Board & Information (Circular Letter 1273-01)
8. Contract Compliance Officer:

### Items Discussed

Construction Signs Staked: Yes  No  N/A

	DISCUSSED	N/A
State subcontract approvals: These need to be submitted to Hdqts Construction, and approved before work can begin, for recognized subcontractors (Stand. Spec. 105.05 & 108.01 and Circular Letter 108.01-01 & 108.01-02).	<input type="checkbox"/>	<input type="checkbox"/>
Test Reports & Certifications: They are required prior to material being used. Items will not be paid for until certifications and/or test reports are received.	<input type="checkbox"/>	
Tickets: Certified weigh tickets shall have information on them in accordance with Stand. Spec. 109.01.	<input type="checkbox"/>	<input type="checkbox"/>
Payrolls: All certified payrolls must be submitted to the Project Supervisor within 7 days after the regular payment date of the respective contractor's weekly payroll period or progress payments shall be withheld. The first payroll must have: Employee's Name, Address, s.s.#, Rate of Pay and their Classification. See Special Provision. If the work of the prime contractor and subcontractor is interrupted for a week or more, a statement is to be placed on the signature sheet of the payroll for the last week in which work was performed: "No additional work will be performed until further notice." If work stops for a week or more and is not anticipated, the statement "No work performed, and no work will be performed until further notice." See Stand. Spec. 107.23.	<input type="checkbox"/>	
Prompt Payment Certification: Prime contractor certifies each month that payments have been made to each subcontractor. The certification shall run 2 months in arrears. Progress payments shall not be processed without this certification. (Circular Letter 109.02-05)	<input type="checkbox"/>	



# PRE-CONSTRUCTION CONFERENCE MINUTES EXAMPLE



Local Government Guidelines Form 8-11a  
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### Pre-Construction Conference Meeting Minutes (continued)

Note: Mark with Check If Applicable

Documentation needed during the duration of the job

- Archaeological Cert. for Borrow Pit: (Circ Let 105.06-05 & Stand. Spec. 107.06)
- 604 Certification of work complete: (Stand. Spec. 604.03)
- Shop Drawings Approval
- Guardrail at Bridge Ends
- CC-3: (Spec. Prov. 1247 & Circular Letter 1247-01)
- Liquid Anti-Strip: delivery tickets & invoices (Stand. Spec. 307.08, 307.09, 411.09, & 411.10)
- AC: invoices (Stand. Spec. 307.08 & 411.09)
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

*Adjustments and/or special items that apply to this contract*

- Asphalt Content & Gradation: (Stand. Spec. 407.20)
- Asphalt Density Ded.: (Stand. Spec. 407.15)
- Defective Concrete: (Stand. Spec. 604.15, 604.20, 604.31, & Circular Letter 604.21-01. If applicable, see Spec. Prov. 501RC and/or 501UT.)
- Material Variation Deduction: (Stand. Spec. 411.10)
- Fuel: (Spec. Prov. 109A)
- Bit. Material: (Spec. Prov. 109B)
- Rideability: (Spec. Prov. 411B)  (Spec. Prov. 411C)
- Rideability: 604R  (Stand. Spec. 604.27)
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_



Local Government Guidelines Form 8-11a  
March 9, 2018

### Pre-Construction Conference Meeting Minutes (continued)

Construction Special Notations: ( N/A  )

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Safety Special Notations: (N/A  )

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# PRE-CONSTRUCTION CONFERENCE MINUTES EXAMPLE





Local Government Guidelines Form 8-11a  
March 9, 2018

**Pre-Construction Conference Meeting Minutes (continued)**

Utilities: ( N/A  )

	DISCUSSED	N/A
1. Our office is to be notified 48 hours in advance of any work performed.	<input type="checkbox"/>	<input type="checkbox"/>
2. Utilities & Contractor are to coordinate their work with each other.	<input type="checkbox"/>	<input type="checkbox"/>
3. Utilities are to meet M.U.T.C.D. guidelines, Standard Specification Section 712, and Personal Protective Equipment requirements set by TOSHA, M.U.T.C.D. guidelines and TDOT.	<input type="checkbox"/>	<input type="checkbox"/>
4. TDOT Utility Coordinator: _____		

	Reimbursed	Non Reimbursed
5. Utilities Involved:	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>

Utility Special Notations: ( N/A  )

\_\_\_\_\_

\_\_\_\_\_


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\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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Local Government Guidelines Form 8-11a  
March 9, 2018

**Pre-Construction Conference Meeting Minutes (continued)**

Attendee Listing

Company	Name	Phone Number

Page 7 of 7

# PROCESS CONTROL PLAN EXAMPLES



Revised: 8/21/2012  
9/05/2013  
12/03/2013  
11/20/2015

## ANNUAL BATCH PLANT CONCRETE PROCESS CONTROL PLAN PART 1 OF 2

DATE: \_\_\_\_\_

READY MIX CONCRETE COMPANY: \_\_\_\_\_

READY MIX COMPANY LOCATION: \_\_\_\_\_

<i>All qualified TDOT Level 2 or higher qualified Concrete Technicians shall be listed in this section or on attached sheets. Include every technician that will be working on this project and update as needed.</i>	NAME:	CERT.#
	NAME:	CERT.#
	NAME:	CERT.#
	NAME:	CERT.#

We hereby propose to utilize the below listed process controls to insure that the concrete delivered to the above referenced project meets Tennessee Department of Transportation Specifications. If approved, this plan will be posted at the concrete plant along with approved mix designs for each particular project.

The following Sampling, Testing, and Inspections will be performed by T.D.O.T. Certified Plant Technicians.

- 1.) Tests to determine aggregate gradations (AASHTO T-27 with T-11 when required) will be performed prior to any batching and then a minimum of once per week or every 500 C.Y. for each source of aggregate utilized for this project. *Perform fineness modulus test on fine aggregate per AASHTO M-6 with each gradation.*
- 2.) Stockpiles will be checked daily to insure that they are being maintained in an uncontaminated and unsegregated manner. Current aggregate quality reports shall be kept on file at the plant.
- 3.) Calibration of weighing systems for aggregates, cement, fly ash, water meters, and admixture dispensing systems will be performed at the beginning of the project, then every month or as conditions warrant. Scale checks may be performed by a Certified Scale Company at a minimum interval of six (6) months.
- 4.) Assurance of accurate weighing, proper metering, and mixing of all materials and the quality of water will be verified daily.
- 5.) Mixing trucks and/or equipment, counters, concrete build - up in drums, blade wear, water gauges, etc. will be checked at the beginning of each project and randomly thereafter. Transport trucks shall be checked and approved by Tennessee Department of Transportation before use. The Producer shall update the concrete truck checklist every six (6) months and distribute to Regional Materials and Tests.

Revised: 8/21/2012  
9/05/2013  
12/03/2013  
11/20/2015

## ANNUAL BATCH PLANT CONCRETE PROCESS CONTROL PLAN

- 6.) Adjustment of mix proportions due to the moisture content of both fine and course aggregates will be performed prior to initial daily mixing and again in the afternoon if operations are continuous through AM and PM hours of the day. Moisture determination will be in accordance with AASHTO-T255. Moisture Probes may be utilized but must be correlated and verified with a dry moisture check weekly.
- 7.) Slump (AASHTO T 119), air entrainment (AASHTO T-152 - AASHTO T-196 for concrete containing light weight aggregates) and ambient air and mix temperatures shall be checked for specifications compliance on the initial load and randomly thereafter for each day's run. Air loss during transport shall be determined on initial loads and randomly verified thereafter. When Self-Consolidating Concrete (SCC) is being batched, the slump flow, visual stability index (VSI), T50 (ASTM C1611), and passing ability (ASTM C1621) shall be within the specifications.
- 8.) If Class "D" Concrete is included in the plans, SOP 4-1 is applicable. The Producer/Contractor shall check slump and air at the plant initially and randomly throughout pour to assure that the requirements are met.
- 9.) An approved report will be furnished daily to the project supervisor showing all pertinent information. Records of tests and inspections that are project specific and not included on the daily reports are to be maintained and submitted to the project supervisor upon project completion. Documents that are plant and lab specific shall be maintained at the plant systematically.
- 10.) *An approved delivery ticket will accompany each load sent to the project. All information including actual batch weights of each component identified as well as other information in the Standard Specification shall be identified on the delivery ticket.*

The above scheduled frequencies of testing are a minimum. Should problems become evident, they will be increased as the conditions require.

Sign Name: \_\_\_\_\_  
Representative Concrete Supplier

Print Name: \_\_\_\_\_  
Representative Concrete Supplier

# PROCESS CONTROL PLAN EXAMPLES



9/05/2013  
12/10/2013  
Rev.6/10/2014

## PLACEMENT SITE CONCRETE PROCESS CONTROL PLAN PART 2 OF 2

DATE: \_\_\_\_\_  
 CONTRACT NO: \_\_\_\_\_  
 PROJECT NO: \_\_\_\_\_  
 REFERENCE NO: \_\_\_\_\_  
 COUNTY: \_\_\_\_\_  
 CONTRACTOR: \_\_\_\_\_  
 READY MIX COMPANY AND LOCATION: \_\_\_\_\_  
 PRIME CONTRACTOR: \_\_\_\_\_

<i>All qualified Field Technician or higher qualified Concrete Technicians shall be listed in this section or on attached sheets. Include every technician that will be working on this project and update as needed.</i>	NAME:	CERT.#
		CERT.#
	NAME:	CERT.#
	NAME:	CERT.#

We hereby propose to utilize the below listed process controls to insure that the concrete incorporated in the work on the above referenced project meets Tennessee Department of Transportation's specifications. If approved, this plan will be posted on the project at a place accessible to all quality control personnel.

Initial concrete loads at the beginning of pours will be checked for specification compliance prior to use. Loads that test out of specification will be rejected. All sampling, testing, and inspections will be performed by ACI or TDOT Certified Personnel.

- 1.) Tests for slump (AASHTO T-119), air and mix temperatures, and air content (AASHTO T-152 / T-196) will be performed prior to placement of the first load and for each sample from which early and/or 28 day test cylinders are obtained. For bridge decks, slump, temperatures, and air content tests shall be performed on the first three loads. Thereafter, they shall be conducted at least once every fifty cubic yards (50cy). No concrete shall be placed when the rate of moisture evaporation from the freshly placed concrete exceeds 0.2 lb/ft<sup>2</sup>/hr as determined by Figure 2.1.5, American Concrete Institute Publication "ACI 305R-89." If data collected during the 24 hours prior to the pour or predictions from the National Weather Service indicate the moisture evaporation rate of 0.2 lb/ft<sup>2</sup>/hr or more, the pour should be rescheduled or the Contractor shall demonstrate to the satisfaction of the Engineer prior to the pour, that protection can be provided.

- 2.) Early test specimens for Tennessee Department of Transportation compression testing will be cast in accordance with AASHTO T-23. The Contractor shall supply the necessary curing equipment, molds, and wheelbarrow as identified in Standard Specification Subsection 604.03(b) and a temporary storage facility in accordance with Standard Specification Subsection 722.09. The frequency of casting early break cylinders will be as follows:

**For Bridge Decks:**

Not less than one pair to represent every fifty cubic yards (50cy). See SOP 1-1 and 4-1

**For Major Structures:**

Contractor shall perform all tests on the first load. At least one pair of cylinders will be made per unit per structure to represent up to 100cy for that unit of pour. See SOP 1-1

**For Minor Structures:**

Contractor shall perform all tests on the first load. At least one pair of cylinders will be made to represent up to 100cy for that unit of pour. See SOP 1-1

**For Small Quantities:**

As specified in the Standard Specifications Subsection 604.03 and SOP 1-1.

**For Concrete Pavement:**

One pair for each 300m<sup>3</sup> (400 cy) minimum of 1 pair AM and 1 pair PM. If Class A is used, the frequency shall be as for major structures as listed above.

- 3.) Yield tests will be performed in accordance with AASHTO T-121 initially per mix design, at 240m<sup>3</sup> (300cy) intervals and/or during pours exceeding 80m<sup>3</sup> (100 cy), and/or one for each bridge deck pour.
- 4.) A Tennessee Department of Transportation approved report will be furnished daily showing all pertinent information (Date, Contract, Item Number(s), Batch Weights, Moisture Corrections, Admixtures, Slump, Air Content, Temperatures, etc.) A delivery ticket shall accompany each load. Information to be included shall be in accordance with Section 604 of the Standard Specifications. Records of tests and inspections performed at both the batch and placement sites will be submitted to the project supervisor upon completion of the project. This submission will also include certification that the concrete incorporated into the work meets Tennessee Department of Transportation specifications.

The above scheduled frequencies of testing are a minimum, should problems become evident, they will be increased as the conditions require.

Sign Name: \_\_\_\_\_ Representative Prime Contractor      Print Name: \_\_\_\_\_ Representative Prime Contractor

Sign Name: \_\_\_\_\_ Sub-Contractor      Print Name: \_\_\_\_\_ Sub-Contractor

# PROCESS CONTROL PLAN EXAMPLES



## ANNUAL ASPHALT MIX PLANT QUALITY CONTROL PLAN

YEAR \_\_\_\_\_

COMPANY: \_\_\_\_\_

LOCATION: \_\_\_\_\_

A TDOT Certified Plant Technician is required to be present at the plant anytime mix is being produced for TDOT projects. All QC sampling and testing shall be done by a Certified Plant Tech. List QC personnel that are TDOT Certified Plant Technicians:

Name: \_\_\_\_\_ Cert. No. \_\_\_\_\_

Name: \_\_\_\_\_ Cert. No. \_\_\_\_\_

Name: \_\_\_\_\_ Cert. No. \_\_\_\_\_

Name: \_\_\_\_\_ Cert. No. \_\_\_\_\_

TDOT Standard Specification 407.03.D.3 requires the contractor to submit their plan of quality control annually, which details the plan for sampling, testing, and inspection activities and the frequencies of each. This plan applies to all contracts between the contractor and the Department for the calendar year. Any change to the plan must be communicated to the Regional Materials Engineer. (Required minimum QC tests from SOP 1-1 are indicated in bold; enter NA for any sample/test/inspection that does not apply to this plant)

### Frequency of Sampling, Testing and Inspections:

Sampling/Testing/Inspection	QC Frequency	TDOT Acceptance Frequency
Determine gradation of new material		
Determine stockpile gradation <b>[SOP 1-1, QC minimum : at startup, randomly afterward]</b>		
Determine stockpile moisture <b>[SOP 1-1, QC minimum: daily]</b>		
Inspect Stockpiles for separation, contamination, segregation, etc		
Conduct a fractured face count (gravel only)		Once per project
Determine percent of glassy particles (slag only)		Once per project
Determine gradation and AC% of RAP / RAS <b>[SOP 1-1, QC minimum: per 2000 T RAP]</b>		
Calibrate Cold Gate Settings		
Inspect cold feed operation for uniformity		
Inspect dividers between cold bins		
Inspect pyrometer for aggregate temperature control		

Sampling/Testing/Inspection	QC Frequency	TDOT Acceptance Frequency
Inspect efficiency of the burner		
Determine the percent dust coating the +4 materials		
Inspect dried aggregate for contamination due to incomplete combustion		
Calibrate AC metering device		
Check accuracy of AC metering device		
Calibrate aggregate weighing devices		
Check accuracy of aggregate weighing devices		
Calibrate Anti-strip metering device		
Check accuracy of Anti-strip metering device		
Batch Plants: Verify weight to be pulled from each bin meets JMF		
Batch Plants: Verify mixing time		
Batch Plants: Verify operation of weigh bucket and scales		
Drum Plants: Prepare control chart for each cold gate		
Drum Plants: Develop information for synchronization of the aggregate and AC feeds		
Drum Plants: determine moisture content of aggregate being feed into dryer		
Determine % AC of mix (except Base mixes)		Once per 1000 T
Determine mix gradation		Once per 1000 T
Check mix temperature		Every 5 <sup>th</sup> Truck
Determine moisture of mix (RAP mixes) <b>[SOP 1-1, QC minimum: daily]</b>		
Determine LOI		Daily
Check mix for uncoated aggregate		
Inspect mix for segregation due to handling		
Air Voids <b>[SOP 1-1, QC minimum: twice daily]</b>		Start up
Volumetric Properties <b>[SOP 1-1, QC minimum: start up]* See SOP 1-1 for project requirements</b>		Start up
Boil Test		Daily
Bituminous Materials (all types)		Weekly

Submitted by \_\_\_\_\_

Regional Materials Engineer: \_\_\_\_\_

# PRE-CONSTRUCTION CONFERENCE



## **ENVIRONMENTAL (EROSION CONFERENCE)**

- An emphasis shall be placed on maintaining the construction project in regard to Environmental requirements. Construction projects require various permits to allow construction work to be performed. Refer to the Statewide Storm Water Management Plan (SSWMP).
- The SWPPP, the erosion control plans, and all applicable environmental permits shall be adhered to on the project.
- Various permits require routine inspections of erosion control measures, documentation of environmental issues that arise, and completion of various reports. The LG shall be responsible for compliance with all applicable environmental regulations, including reporting and records keeping (Circular Letter 209.01-02, Circular Letter 209.01-03, Circular Letter 209.01-04, Circular Letter 209.01-05, Circular Letter 209.06-01).
- In the case that a separate Erosion Control Conference is necessary due to the magnitude of environmental work related to the contract, the following documents will be required.
  - Erosion Control Conference Notice (Form 8-10b)
  - Erosion Control Conference Meeting Minutes (Form 8-11b)
  - Erosion Control Conference Sign-in Sheet (Form 8-12)

# EROSION CONTROL CONFERENCE DOCUMENTS



Local Government Guidelines Form 8-10b  
March 9, 2018

## EROSION CONTROL CONFERENCE NOTICE

PIN: \_\_\_\_\_ State Project No.: \_\_\_\_\_  
 County: \_\_\_\_\_ Contract No.: \_\_\_\_\_  
 Federal Project No.: \_\_\_\_\_ Reference No.: \_\_\_\_\_  
 Description: \_\_\_\_\_

### To Whom it May Concern:

An erosion control conference is to be held \_\_\_\_\_, at \_\_\_\_\_, at the \_\_\_\_\_ in \_\_\_\_\_, Tennessee for the contract referenced above. The discussion will include details pertinent to project construction. All environmental permits will be discussed. Your attendance and all sub contractors who will be involved with erosion control are requested to attend. Utility Companies involved will also need to be present. Notification of all affected utilities is the contractor's responsibility as well as notification to all of your sub contractors. If a sub contractor or utility company representative is not able to attend, please notify this office.

It is required that you bring the following information, if applicable, to the conference:

1. Name of the person in charge of the project and erosion control. This is to include their home telephone, mobile and office number.
2. A copy of all permits involved with the project.

If a subcontractor or utility company representative is not able to attend, please notify this office. If I may be of assistance or additional information is needed, please contact me at \_\_\_\_\_. Persons having a disability that require access to participate at the meeting may contact the Local Government at \_\_\_\_\_, TTY \_\_\_\_\_, no less than (seven) days prior to the meeting.

Sincerely,

cc: Regional Construction  
 Regional Environmental Coordinator  
 Environmental Planning and Permits Division  
 Regional ADA Coordinator  
 contract file

Environmental Division Natural Resources Office  
 Environmental Ecology Section



Local Government Guidelines Form 8-11b  
March 9, 2018

## Erosion Control Conference Meeting Minutes

Date Held: \_\_\_\_\_ ATTENDEE LISTING ON LAST PAGE  
 Contractor: \_\_\_\_\_  
 Contract: \_\_\_\_\_ Effective Date: \_\_\_\_\_  
 Project #: \_\_\_\_\_  
 Reference #: \_\_\_\_\_  
 Project Superintendent: \_\_\_\_\_  
 CEI Personnel: \_\_\_\_\_

The Following Information was Discussed and Materials, if Applicable,  
 were Received at the Meeting.

	DISCUSSED	RECEIVED	N/A
1. Erosion & Siltation Control Plan (Stand. Spec. 209.05)	<input type="checkbox"/>	<input type="checkbox"/>	
2. Water Quality and Storm Water Permits (Spec. Prov. 107FP)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Acid Producing Rock Materials (Spec. Prov. 107L)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Protection of Streams, Lakes & Reservoirs (Spec. Prov. 107M)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. NPDES Permits (Spec. Prov. 107P, Circular Letter 107.08-01)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. S.W.P.P.P	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# EROSION CONTROL CONFERENCE DOCUMENTS



Local Government Guidelines Form 8-11b  
March 9, 2018

## Erosion Control Conference Meeting Minutes (continued)

**Erosion Control:** 24 Hour Emergency Contact Person  
 Name: \_\_\_\_\_  
 Home Telephone: \_\_\_\_\_  
 Mobile: \_\_\_\_\_

### Items Discussed

		DISCUSSED
EROSION AND SILTATION CONTROL DEVICES	The contractor shall install the projects siltation control devices to prevent any contamination on the project. When implemented, the contractor would be responsible for the replacement and/or maintenance during the term of the contract. The contractor shall incorporate all permanent erosion and siltation features into the project at the earliest practical time.	<input type="checkbox"/>
QUANTITY LETTERS AND CERTIFICATIONS	The contractor is required to furnish quantity letters and certification on erosion control material that is placed on the project.	<input type="checkbox"/>
EROSION AND SILTATION CONTROL PLAN	The contractor is to submit an Erosion and Siltation Control Plan in accordance with Stand. Spec. 209, subsection 209.05. This is to be presented at the Pre-Construction Meeting.	<input type="checkbox"/>
CLEARING	The extent of clearing is to be held to the scope of work.	<input type="checkbox"/>
SEEDING AND EROSION CHECKS	These are to be placed following Standard Specification 209.	<input type="checkbox"/>
PROJECT PHASING	Stand. Spec. 209, subsection 209.06	<input type="checkbox"/>

Special Notations: ( N/A  )

\_\_\_\_\_  
 \_\_\_\_\_  
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 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_



Local Government Guidelines Form 8-11b  
March 9, 2018

## Erosion Control Conference Meeting Minutes (continued)

### Attendee Listing

Company	Name	Phone Number
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# PRE-CONSTRUCTION CONFERENCE



## UTILITIES AND RAILROAD

- For utility steps, flow charts, and details, refer to Chapter 6: Right-of-Way, Utility and Railroad Procedures.
- Various highway projects require the adjustment of utility facilities to accommodate the activities of the highway contractor as well as meet the physical requirements to improve the section of the highway. Utility relocation work can be performed as part of the contract or prior to start of construction on the project. In either case, adequate documentation shall be maintained. In various circumstances the appropriate utility may be reimbursed for expenses incurred for the relocation. Reimbursement will be determined before utility work begins.
- In the case that a separate Utility Conference is necessary due to the magnitude of utility work related to the contract, the following documents will be required:
  - Utility Conference Notice (Form 8-10c)
  - Utility Conference Sign-in Sheet (Form 8-12)

# UTILITY CONFERENCE DOCUMENTS



Local Government Guidelines Form 8-10c  
March 9, 2018

**RE: UTILITY CONFERENCE NOTICE**

PIN:  
County:  
Federal Project No.:  
Description:

State Project No.:  
Contract No.:  
Reference No.:

**To Whom it May Concern:**

A utility conference will be held \_\_\_\_\_, at \_\_\_\_\_, at the \_\_\_\_\_ in \_\_\_\_\_, Tennessee for the contract referenced above. The discussion will include details pertinent to project construction. Written notification is requested if a representative of your company is not able to attend.

If additional information is needed, please contact this office. If I may be of assistance or additional information is needed, please contact me at \_\_\_\_\_. Persons having a disability that require access to participate at the meeting may contact the Local Government at \_\_\_\_\_, TTY \_\_\_\_\_, no less than (seven) days prior to the meeting.

Sincerely,

cc: Regional ADA Coordinator  
Regional Construction  
Regional Utility Manager  
Local Program Development Office  
contract file

# CONSTRUCTION CONTRACT ADMINISTRATION



# CONSTRUCTION CONTRACT ADMINISTRATION



## **CONTRACT ADMINISTRATION (CONT'D)**

- Quality contract administration is a requirement to ensure that the construction project is built in accordance with the plans, specifications, and special provisions and is completed by the projected completion date. Refer to Form 8-16 for Local Government Construction Checklist.
- File Management - Project files shall be neatly organized to adequately document and record all project correspondence, and provide full support for all payments and decisions made including material certifications and test reports, calculations, invoices, etc. in accordance with 23 CFR 635.123.
- Project files shall consist of the contract applicable files as required by Form 8-6. Additional project files may be added as deemed necessary.

# LGG CONSTRUCTION CHECKLIST



Local Government Guidelines Form 8-16  
March 9, 2018

## Construction Checklist

PIN:  
County:  
Federal Project No.:  
State Project No.:

The following checklist is intended to serve as a guide to assist the local government during the construction process. This list contains basic requirements for most types of construction projects. The local government should check the Local Government Guidelines and the TDOT Circular Letters for requirements pertaining to individual construction projects.

Requirement	Details	Comments
Local Government issues work order  (LGG – Chapter 8)	Copies to: • CEI • Contractor • TDOT Regional Construction • Local Program Development Office	
LG/CEI schedules Pre-Construction Conference (schedule at least 2 weeks in advance)  (CL 105.06-04)	Notify: • TDOT Reg. Const. or TDOT Consultant • TDOT Reg. Materials & Tests • TDOT Civil Rights • Contractor/Subcontractors • Utilities, etc.	
LG/CEI sends plans and copy of proposal (min. 7 days prior to Pre-Con Meeting) (LGG – Chapter 8)	Copies to: • TDOT Regional Construction • TDOT Reg. Materials & Tests	
LG/CEI issues Pre-Con Meeting Minutes  (LGG – Chapter 8)	Copies to: • All attendees • Local Program Development Office	
Contractor submits required documents to LG/CEI at Pre-Construction Conference	Refer to LGG Chapter 8	
LG/CEI issues Starting Notice on the 1 <sup>st</sup> day work is performed on project  (LGG – Chapter 8)	Copies to: • Local Program Development Office • All others copied on <a href="#">Form-17</a>	
LG/CEI inspects and maintains Daily Work Reports throughout life of project (LGG – Chapter 8) (TDOT SOP 1-1 and 1-2)	All inspectors must be qualified/certified as required. All documentation must be on TDOT Local Government Forms	



Local Government Guidelines Form 8-16  
March 9, 2018

Requirement	Details	Comments
LG/CEI performs Materials Testing and gives 72 hour notice to TDOT Materials & Tests for Independent Assurance & Verification tests	TDOT SOP 1-1 and SOP 1-2	
Contractor submits asphalt and concrete mix designs for approval prior to use on project	Submit to: • TDOT HQ Materials & Tests	
Contractor submits subcontracts for approval prior to sub working on project	Submit to: • LG / CEI	
Contractor submits weekly Payrolls (CL 1273-02)	Submit to: • LG / CEI	
LG/CEI performs monthly contractor employee interview and verifies payroll information (CL 1273-03)	Copy to: • Project file	
LG/CEI issues monthly progress payments to Contractor  (LGG Chapter 8)	Before payment is issued: • Contractor payrolls must be up-to-date • Labor Interviews must be on file • All Material certifications and/or test reports must be on file for documented installed quantities • All materials must come from approved sources on TDOT's QPL or Producer/Supplier List	
LG/CEI completes Monthly Construction Report (LGG Chapter 8)	Copies to: • Contractor • Surety	
LG/CEI performs Final Inspection w/ TDOT when all work is complete (LGG Chapter 8)	Copy to: • Prime Contractor	
LG/CEI issues Completion Notice when project is complete and punch list items have been addressed. Completion date to be noted in Daily Work Report. (CL 105.15-01)	Copies to: • Local Program Development Office • TDOT Regional Construction • TDOT Reg. Materials & Tests • TDOT Civil Rights	
LG/CEI/Contractor prepares Contract Finalization Documents  (LGG Chapter 8)	Documents include: • Final Estimate • Overrun/Underrun Explanations • End of Job Certificate • CC-3(s) • Material Certification Letter	

# CONSTRUCTION CONTRACT ADMINISTRATION



## CONTRACT ADMINISTRATION (CONT'D)

- Proposal Contract Book - The executed Proposal Contract contains project information including contract items, item descriptions, unit prices, the total contract bid amount, special provisions, in addition to the required signatures to execute the contract.
- Starting Notice - As soon as possible after work starts, the Local Government's Project Supervisor or Local Government Official shall send a notice (Form 8-17) by email that work has started to the LPDO ([Local.Programs@tn.gov](mailto:Local.Programs@tn.gov)) and all others copied on Form 8-17.

# STARTING NOTICE



Local Government Guidelines Form 8-17  
March 9, 2018

I

Local Program Development Office  
Tennessee Department of Transportation  
Suite 600  
James K. Polk Building  
Nashville, TN 37243

RE: **START NOTICE**

PIN:  
County:  
Federal Project No.:  
Description:

State Project No.:  
Contract No.:  
Reference No.:

To Whom It May Concern:

This is to advise the following on the above captioned project.

Work Begin Date:

Notice to Proceed Date:

Sincerely,

cc: Regional Construction Engineer  
Regional Materials and Tests Engineer  
Regional Environmental Coordinator  
Manager, Comprehensive Inspections Program  
Manager, Natural Resources Office  
Director, Materials and Tests Division  
Director, Small Business Development Office  
Manager, Program Operations Office  
Manager, Program Dev. & Sch. Office  
Director, Labor Standards Division  
HQ Finance (Contract Payments Section)

# CONSTRUCTION CONTRACT ADMINISTRATION



## **CONTRACT ADMINISTRATION (CONT'D)**

- Project Meetings - Several project meetings are held throughout construction of the project.
- Partnering, scheduling, and progress meetings are held during construction. Detailed meeting minutes shall be documented and kept in the project records “Correspondence File”. A meeting sign-in-sheet shall accompany the meeting minutes.
- Progress meetings shall be held, at a minimum, quarterly to discuss the status of the project and other project issues. The Local Government’s Project Supervisor, Local Government Official and the TDOT representative shall be notified of the scheduled progress meetings.
- Attestation of Illegal Immigrants (Circular Letter 102.01-02) (Form 8-18) - The Prime Contractor shall certify they are not knowingly utilizing the services of illegal immigrants in the performance of each contract.



# ILLEGAL IMMIGRANT ATTESTATION FORM



Local Government Guidelines Form 8-18  
March 9, 2018

## Attestation Regarding Personnel Used in Contract Performance

SUBJECT CONTRACT NUMBER:	
CONTRACTOR LEGAL ENTITY NAME:	
FEDERAL EMPLOYER IDENTIFICATION NUMBER: (or Social Security Number)	

The Contractor, identified above, does hereby attest, certify, warrant, and assure that the Contractor shall not knowingly utilize the services of an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract.

SIGNATURE & DATE:

NOTICE: This attestation MUST be signed by an individual empowered to contractually bind the Contractor. If said individual is not the chief executive or president, this document shall attach evidence showing the individual's authority to contractually bind the Contractor



## PROJECT INSPECTION AND DOCUMENTATION

- The LG/CEI shall maintain an adequate, qualified staff to administer the inspection and material sampling and testing in accordance with all circular letters, specifications, standard drawings, and contract documents. As previously noted, the services of a qualified CEI firm, unless otherwise approved by TDOT, shall be used for the inspection of work, the sampling and testing for acceptance (TDOT SOP 1-1), and proper and sufficient documentation of acceptance. The inspection staff shall be qualified and knowledgeable about the type of work taking place, be familiar with the contract documents, and certified in accordance with TDOT Standard Operating Procedures (TDOT SOP 1-3) when conducting sampling and testing of materials for acceptance.
- The TDOT representative will conduct routine project reviews, attend progress meetings, and participate in the final inspection of the project. The Local Government Project Supervisor and the Local Government Official responsible for the project shall be present at project reviews and the final inspection. Refer to Circular Letter 105.11-01 for detailed information on the frequency of the project reviews. Any findings during the project reviews shall be responded to in writing by the Local Government Project Supervisor and the Local Government Official.

# CONSTRUCTION CONTRACT ADMINISTRATION



Page 1 of 2

**CIRCULAR LETTER**

**SECTION:** 105.11 INSPECTION OF WORK  
**NUMBER:** 105.11-01  
**SUBJECT:** TDOT INSPECTION RESPONSIBILITIES ON LOCAL PROGRAMS PROJECTS  
**DATE:** OCTOBER 2, 2015

In accordance with the TDOT and FHWA Stewardship Agreement, for Local Agency Projects:

“TDOT is responsible for assuring that all Federal-aid projects administered by local agencies comply with all applicable Federal and State requirements. TDOT is not relieved of this responsibility even though the project may be delegated to the local agency. In accordance with 23 CFR 1.11, TDOT is responsible for ensuring that the local agency is qualified and equipped to administer the project and has processes in place to ensure compliance with federal requirements.”

In order to assure adequate construction and materials acceptance and testing, TDOT will have an active oversight responsibility in the pre-construction and construction of these local projects.

The **Regional Operations Engineer** will assign a **TDOT representative** to participate in the project pre-construction meeting, to conduct routine project reviews, to attend quarterly progress meetings, and to participate in the final inspection as required in the Oversight and Frequency table below. When TDOT is conducting the routine project review and final inspection, the **Local Government Representative** responsible for the project shall be present. It is also preferable that the CEI be present during the reviews. The TDOT representative shall assure the quality of construction, completion of contract requirements, and project record keeping are satisfactory.

Required oversight and frequency (note these are minimum frequencies and more inspections may be needed if problems persist):

Project Amount	Pre-construction meeting	Project Reviews/Inspections during construction	Final Inspection
< \$250,000	Required	Required- 1 inspection minimum	Required
\$250,000 - \$2,000,000	Required	<ul style="list-style-type: none"> <li>• Duration &lt; 4 months- Recommend 1 per month, but must do at least 1</li> <li>• Duration 4-8 months, recommend 1 per month, but must do at least 3 inspections at least 1 month apart</li> <li>• Duration &gt; 8 months, Required every 4-6 weeks</li> </ul>	Required
>\$2,000,000	Required	Required 1 per month minimum.	Required

Page 2 of 2

To document TDOT’s oversight activities, the attached inspection form shall be completed during each project review. All findings, satisfactory or not, shall be documented in the inspection report. The inspector must document what was observed and its acceptability in the “comments” section (e.g. all certified payrolls were on file and wage rates comply with contract). It is required to attach supporting documentation when a negative finding is made. A closeout meeting with the Local Government Representative and CEI (if applicable) will be required to discuss the findings.

A representative from the **TDOT Regional Materials and Tests** section shall conduct all verification and Independent Assurance testing on the local project in accordance with TDOT SOP 1-2.

The assigned **TDOT representative and Materials and Tests representative** shall work together and shall attend and participate in the mandatory preconstruction meeting to explain TDOT expectations. These TDOT representatives are the “eyes and ears” for TDOT and must assure that the project is completed in accordance with the federal regulations just as though it is a TDOT project with federal funds.

The local entity and their CEI will have the day to day responsibility and authority for construction inspection and material acceptance.

The **TDOT Local Programs Office**, is responsible for project oversight on Enhancement Projects (except the construction of bicycle and pedestrian facilities) and buildings.

Additional inspection requirements and guidelines:

- As noted the Local Government Representative shall be present during the project review
- Once the review is completed, there shall be a close out meeting with the Local Government Representative and the CEI to discuss and explain the findings needing to be resolved and the expectations of TDOT. A copy of the completed inspection report should be distributed at that time, if not complete, a copy shall be provided as soon as available, preferably within 2 business days.
  - o All findings should be resolved on the project site if possible
  - o Findings that cannot be resolved on the project site should be raised to the District Operations Engineer / Regional Operations Engineer. The Local Programs Office and Headquarters Construction should be used to resolve problems that cannot be resolved at the Regional level
- The Local Government Representative will be responsible for responding, in writing, to the findings made in the inspection report. Corrective actions taken need to be documented.



## **PROJECT INSPECTION AND DOCUMENTATION (CONT'D)**

- **CEI SCOPE OF SERVICES SUMMARY**

- 1. Erosion Control and pre-construction Conferences**

- 2. Attend Weekly meetings**

- 3. Project Administration**

- 4. Provide Construction Inspection (Required Certifications)**

- OSHA 10 Hour Safety Training Construction (All field personnel)
- Asphalt Roadway Paving Inspector - TDOT
- Asphalt Plant Technician - TDOT
- Class 1 Concrete Technician – TDOT or ACI
- Soils and Aggregate Technician - TDOT
- Nuclear Gauge Training
- EPSC TDEC Level I – TDEC

Certification from another State Highway Department, nationally recognized institution, or other approved agency may be acceptable in lieu of the TDOT certification. Prior approval is required.



## PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- **CEI SCOPE OF SERVICES SUMMARY**
  5. **Conduct Field Surveys**
  6. **Supplemental Agreements/Construction Change, Force Account, VECF**
  7. **Shop Drawings**
  8. **Quality Assurance, Testing for Acceptance, and Training**
  9. **Progress Payments**
  10. **Revisions to the Contract Plans**
  11. **Distribution of Correspondence**



## PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- **CEI SCOPE OF SERVICES SUMMARY**

- **12. Inspection of Work:**

- Provide inspection services for conformance to Plans and
- Observe, measure, and record all quantities for payment.
- Record field measurements for review by the Department or auditors.
- The records will be recorded on a standard form (fieldbook) supplied or defined by the Department and/or on field inspection forms to be submitted to the Department.
- Check traffic control daily, and additionally as required or requested.
- Notify the contractor of deficiencies or problems immediately.
- The consultant is not charged with the role of safety inspector, but expected to have unsafe issues corrected by the Prime Contractor.
- Document weekly (or as often as necessary) project traffic control and distribute reports as required.



## PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- **CEI SCOPE OF SERVICES SUMMARY**

- **12. Inspection of Work (cont):**

- Inspect daily erosion control items for conformance to the plans as well as effectiveness in the field. Notify the contractor of deficiencies.
- Prepare to justify any and all pay quantities.
- Prepare an accurate daily diary signed by the inspector, consisting of:
  - A record of the contractors on the project
  - Their personnel (number and classification)
  - Equipment (number and type or size)
  - Location and work performed by each contractor or subcontractor
  - Orders given the contractor
  - Events of note on the project



## PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- **CEI SCOPE OF SERVICES SUMMARY**

- **12. Inspection of Work (cont):**

- Prepare an accurate daily diary signed by the inspector, consisting of (cont):
  - Accidents on the project w/(police report, fatalities, causes, time, etc.)
  - Weather conditions, precipitation, temperature (AM, noon, PM)
  - Days charged (if working day contract), with explanation if not charged
  - Equipment arriving or leaving the project, idle equipment
  - Any other details that may be important later in the project life





## PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

### CEI SCOPE OF SERVICES SUMMARY

- Inspection will be needed full time while the contractor is working. Project inspection crews will vary. You will always need a certified concrete inspector when placing concrete. You will need a certified roadway asphalt inspector and a certified asphalt plant technician when placing asphalt paving. Below is typical inspection crews needed for construction projects:
  - Paving project: 1 field inspector, 1 plant inspector, 1 project engineer and records assistant
  - Road Widening project: 1 field inspector, 1 project engineer and records assistant (concrete inspector, asphalt inspectors and EPSC inspector as needed)
  - Bridge project: 1 field inspector, 1 project engineer and records assistant
  - Signal replacement project: 1 manager/inspector and records assistant



## **PROJECT INSPECTION AND DOCUMENTATION (CONT'D)**

- The LG/CEI shall conduct all acceptance testing (TDOT SOP 1-1). A representative from TDOT Regional Materials and Tests shall conduct all verification and independent assurance testing for the local project in accordance with (TDOT SOP 1-2).
- Various methods shall be used to document project activity. Daily activities are documented in the project diary, work item quantities are documented in the field book, adjustments/additions/deductions are calculated using worksheets, and specific reports and checklists are used to establish the quality of work. A Project Diary template and loose-leaf field book templates are available on the LPDO website.
- The Local Government's Project Supervisor, project office personnel, and inspectors are required to maintain accurate and complete records of all construction work. All records shall be made available for review at TDOT's request.
- It is of prime importance in the administration of a contract that measurements and calculations of contract item quantities are accurate, that records of such quantities are complete and detailed enough to sustain audit, and that records of all other activities pertaining to the contract contain sufficient details and are clear enough to be read and understood by anyone unfamiliar with the project.

# MATERIALS AND TEST STANDARD OPERATING PROCEDURES (SOP)



December 10, 2019  
June 15, 2020  
January 14, 2022

## Tennessee Department of Transportation Division of Materials and Tests

### Quality Assurance Program for the Sampling and Testing of Materials and Products (SOP 1-1)

**Purpose:** The purpose of this document is to establish the procedures and minimum requirements for the acceptance, verification, and certification of materials and products used on Tennessee Department of Transportation (TDOT) projects and projects under the oversight of TDOT (Local Projects, Grants, etc. that include Federal Funds).

**Background:** [Federal Law \(23 CFR 637\)](#) requires each state develop a quality assurance program which assures all materials, on projects where Federal Funds are used, conform to the requirements of the approved plans and specifications. In addition, these procedures assure projects using state funds will also be constructed using approved materials.

**Policy:** All materials used on TDOT projects must be accepted prior to use. Acceptance of materials is by:

- A. Testing before product placement (e.g. hot mix asphalt, Portland cement concrete, base materials, pre-packaged concrete mixture).
- B. Manufacturers' certifications followed by random verification testing (e.g. gray iron castings, cement, liquid asphalt).
- C. Producer List pre-approval and testing of a product or its components (e.g. aggregate quality, reinforced concrete pipe, corrugated metal pipe).
- D. The Qualified Products List (QPL) with certifications (e.g. sign sheeting, erosion control blankets, pavement marking materials, patching material).

#### Sampling and Testing Materials and Products

##### 1. Test Types

There are three basic types of sampling and tests routinely conducted: acceptance, verification, and assurance. All testing shall be performed by a certified technician.

##### 1.1 Acceptance Sampling and Testing

These tests are conducted to approve or accept a product, or combination of materials (systems), by comparing the test results to specification requirements. Acceptance tests are based on a lot or frequency, during the production and/or placement of that product, to ensure specification compliance. There are products that are sampled, tested, and accepted at the manufacturer's facility and then delivered to TDOT projects for use.



## PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- Project files shall be neatly organized to adequately document and record all project correspondence, and provide full support for all payments and decisions made including material certifications and test reports, calculations, invoices, etc. in accordance with 23 CFR 635.123.
- Common types of documentation:
  - Project Diary
  - Item Documentation
    - Field book documentation
    - Item quantity tickets
    - Work item quantities
    - Cross-section quantities
  - Bridge Foundation Information
  - Item Adjustment Worksheets

# PROJECT DIARY EXAMPLE



## PROJECT DIARY:

DAY OF WEEK: (M T W T H F S S) MONTH/DATE September 20, 2010 CONTRACT#: 112917 PROJ. #: Metro Signal Enhancement COUNTY: DAVIDSON

WEATHER: TEMP. AM 75 CONDITIONS Partly Cloudy TEMP. PM 90 CONDITIONS Clear

CONTRACTOR 1 (PRIME CONTRACTOR): S&W trenching, conduit and flowable fill placement

Item or type of work explanation: S&W trenching east (across Littlefield) placing conduit. Trenched West to East across Gallatin Pike NB lanes

PERSONNEL:		EQUIPMENT:		PAY ITEMS INSTALLED:		
____ Supt.	____ Operator (D)	1 P/U safe zone	1 Haul truck (2 axles)	Item No. <u>702-03</u>	Descr. <u>Removal</u>	
____ Surveyor	____ Unskilled Laborer	____ Bulldozer	____ Haul truck (3 or 4 axle)	Item No. <u>730-12.07</u>	Descr. <u>2" PVC</u>	
1 Foreman	2 Skilled Laborer	____ End Loader	____ Haul truck (5 or more)	Item No. _____	Descr. _____ Qty _____ Sta. <u>East side Int</u>	
2 Operator (A)	____ Truck Driver(2 Axle)	____ Backhoe	____ Dump Truck (Art.)	Item No. _____	Descr. _____ Qty _____ Sta. <u>Littlefield Dr, NE</u>	
____ Operator (B)	____ Truck Driver(3/4 Axle)	1 Bobcat	1 Trackhoe	Item No. _____	Descr. _____ Qty _____ Sta. _____	
____ Operator (C)	____ Truck Driver(5 or more)	____ Grader	____ Van	____ Roller	Item No. _____	Descr. _____ Qty _____ Sta. _____

1- staff of Safe Zone for Traffic Control  
 1- Bucket truck w/ 110' trailer  
 1- Drill truck for footers  
 1- trenching machine

Footer #1 12'-2" depth  
 ground water infiltration @ 2" depth

Talked to design engineer for footers ~~found~~ ok w/ depth of 12'-2" pump ground water

SSR recommendation Pump ground water prior to pour have 5% max PC added to concrete mix and 1 gallon water added; try not to add water.

\* Littlefield Corner MPW owner gave permission to S&W Paramax to store stone on lot in back corner near dumpster area in exchange for extra gravel to remain to fill potholes.

\* West side of intersection; Car wash and Pize Auto Dealer removed prior permission granted to store material and work on site.

MPW relayed message to remove all equipment and site off of property.

SSR, INC. Inspector: Trey Gaines Hours worked: 8.0 Visitors: Bob Westhofer MPW photos, traffic control and property on west side complaint.

Notes: KS were unable to provide someone for flowable fill testing today. Technicians tied up in other projects and other personnel out this week. Spoke w/ James Bryant

# ELECTRONIC PROJECT DIARY EXAMPLE



**Smith Seckman Reid, Inc.**  
**Daily Report**  
**Veterans Parkway**

**Description:** **South**  
 Federal Project # - STP-M-9411(5)  
 State Construction # - 79LPLM-F1-005  
 TDOT PIN - 107354.00

**West**  
 Federal Project # - STP-M-9403(118)  
 State Construction # - 79LPLM-F1-060  
 TDOT PIN - 110903.00

**Report Date:** 05/09/2011 **Weather:** Sunny  
**Prime Contractor:** Dement Construction Company, LLC **Temperature:** 70 to 88 degrees  
**Status:** Final  
**Number:** 155  
**Created By:** Ben Wallus at 05/09/2011 11:50 PM  
**Revised By:** Chris Sweat at 06/01/2011 06:24 PM  
**Approved By:** Chris Sweat at 06/01/2011 06:24 PM  
**Remarks:**  
**SSR Time Charges:** B. Wallus - 5.0 Hrs (Inspection)  
 T. Boone - 9.5 Hrs (EPSC)  
**Work Performed:** **South:**  
 Ferrell  
 Moving soil on to site from borrow pit located of Pleasant Ridge Rd. Approx 93 trucks  
**West:**  
 Dozertrax  
 Clearing and grubbing  
 Reel Neet  
 Installing Silt Fence w/ Back  
**Dement**  
 Installed interconnected barrier rail on West Union Rd.  
 Cleaning and maintaining pile driving hammer.

**Personnel**

Worker Type	Crew: Traffic Control Crew	Contractor: Dement Construction Company, LLC	Count	Hours
Foreman			1	

Class "A" Operators			2	
Skilled Laborer			3	
Unskilled Laborer			3	
Truck Driver (5 or more axles)			1	
Superintendent			1	
Worker Type	Crew: Grading Crew	Contractor: Ferrell Paving, Inc.	Count	Hours
Foreman			1	
Class "A" Operators			2	
Truck Driver (3/4 axles)			8	
Truck Driver (5 or more axles)			1	
Superintendent			1	
Class "B" Operators				
Worker Type	Crew: EPSC Crew	Contractor: Reel Neet Lawn Service	Count	Hours
Skilled Laborer			1	
Unskilled Laborer			4	
Worker Type	Crew: Clearing Crew	Contractor: Dozertrax USA, LLC	Count	Hours
Class "A" Operators			1	

**Equipment**

Description	Active	Idle	Comments	Contractor
Pickup Truck				Dement Construction Company, LLC
Pile Driver				Dement Construction Company, LLC
Bulldozer				Dement Construction Company, LLC
Crane	2			Dement Construction Company, LLC
Haul Truck	1			Dement Construction Company, LLC
Dump Truck	8			Ferrell Paving, Inc.
Trackhoe	1			Ferrell Paving, Inc.
Farm Tractor	2			Ferrell Paving, Inc.
Spreader (Box)	2			Ferrell Paving, Inc.
Bulldozer	3			Ferrell Paving, Inc.
Roller (Implement)	2			Ferrell Paving, Inc.
Roller (Compaction Self-Propelled)	2			Ferrell Paving, Inc.
Dirt Pan	5			Ferrell Paving, Inc.
Articulated Construction Tractor	5			Ferrell Paving, Inc.
Disc	2			Ferrell Paving, Inc.

# ELECTRONIC PROJECT DIARY EXAMPLE



Description	Active	Idle	Comments	Contractor
Haul Truck	1			Reel Neet Lawn Service
Trailer (Utility)	1			Reel Neet Lawn Service
Farm Tractor	1			Reel Neet Lawn Service
Pickup Truck	1			Dozertrax USA, LLC
Trackhoe	1			Dozertrax USA, LLC
Mulcher	1			Dozertrax USA, LLC
<b>(21 Equipment Records)</b>				
<b>Item Postings</b>				
Item	Unit	Unit Price	Quantity Placed	Posted Amount
<b>Section: 1 - Roadway</b>				
201M01 CLEARING AND GRUBBING Remarks: Dozertrax Location: 5+200	LS	\$324,300.000	0.00	\$0.00
<b>Funding Details</b>				
	South		0.00	\$0.00
	West		0.00	\$0.00
203M10 EMBANKMENT (COMPACTED IN PLACE) Remarks: Ferrell: 93 Trucks Location: Area between Raleigh-Millington Rd. and North Fork Creek	m3	\$74.90	883.50	\$6,617.42
<b>Funding Details</b>				
	South		883.50	\$6,617.42
	West		0.00	\$0.00
<b>Material Unit Quantity Used</b>				
	EMBANKMENT (COMPACTED IN PLACE) (METRIC) (203M10)	m3		883.50
209M08.02 TEMPORARY SILT FENCE (WITH BACKING) Remarks: Reel Neet Location: 4+870RT to 5+050RT	m	\$13.780	183.00	\$2,521.74
<b>Funding Details</b>				
	South		0.00	\$0.00
	West		183.00	\$2,521.74
<b>Material Unit Quantity Used</b>				
	TEMPORARY SILT FENCE (WITH BACKING) (METRIC) (209M08.02)	m		183.00
712M02.02 INTERCONNECTED PORTABLE BARRIER RAIL Remarks: Dement: 18 Sections (20ft) Location: West Union Rd.	m	\$60.000	109.80	\$6,588.00
<b>Funding Details</b>				
	West		109.80	\$6,588.00
<b>Material Unit Quantity Used</b>				
	INTERCONNECTED PORTABLE BARRIER RAIL (METRIC) (712M02.02)	m		109.80
<b>(4 Items)</b>			<b>Total Posted Amount:</b>	<b>\$15,727.16</b>

# WORK ITEM QUANTITY SPREADSHEET EXAMPLE



Item Number 701-02.01  
Description Concrete Handicap Ramp (Retrofit)

Contract: Pin # 113054  
Project: 83LPLM30330090250

Plans Quantity 600 S.F. Unit

Date	Station	Station	Location	Pay Qty	Remarks	Inspector
7/28/10	72+12 Rt.		Russell & High St.	143.85 S.F. ✓	See Drawing #3 Paid Est. # 1	Larry Rader
7/28/10	72+57 Rt.		Russell & High St.	143.85 S.F. ✓	See Drawing #3 Paid Est. # 1	Larry Rader
7/30/10	60+30 Rt.		Russell & City Hall	155.00 S.F. ✓	See Drawing #3 Paid Est. # 1	Larry Rader
7/30/10	69+40	69+53 Lt.	Russell St.	67.50 S.F. ✓	See Drawing #2 Paid Est. # 1	Larry Rader
7/30/10	0+95	0+81.5 Lt.	Russell St.	71.55 S.F. ✓	See Drawing #2 Paid Est. # 1	Larry Rader
7/30/10	60+41 Lt.		Russell St.	159.00 S.F. ✓	See Drawing #1 Paid Est. # 1	Larry Rader

Total 740.75 S.F. Paid on Est. # 1

Computed By: Larry Rader

Checked By: Gordon L. Hunter





## PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- Asphalt
  - 1. Hot Mix Asphalt Plant Inspector Checklist (Circular Letter 407.04-01) (Form 8-19)
  - 2. Hot Mix Asphalt Roadway Inspector Checklist (Circular Letter 407-14.01) (Form 8-20)
- Bridge Deck
  - 1. Pre-Pour Checklist (Form 8-23)
  - 2. During Checklist (Form 8-24)
  - 3. Post Pour Checklist (Form 8-25)
- Safety
  - 1. Work Zone Traffic Control Inspection Form (Circular Letter 712.07-01)(Form 8-21) (weekly)
- Guardrail
  - 1. Guardrail and Guardrail Terminal Anchor Daily Field Report (Circular Letter 705.05.01) All guardrail shall be inspected at the time of installation. Guardrail end terminals shall be tagged using the appropriate Guardrail Decal.
  - 2. Guardrail Inspection Form for Deficient or Deviated Terminal Units – Deficient Guardrail found upon inspection shall be documented on the Guardrail Inspection Form for Deficient or Deviated Terminal Units
- The Guardrail Decal and Guardrail Inspection Form for Deficient or Deviated Terminal Units are available from the Regional Materials and Tests Office.

# ASPHALT PLANT CHECKLIST



Local Government Guidelines Form 8-19  
March 9, 2018

### TDOT Hot Mix Asphalt Plant Checklist

PIN: \_\_\_\_\_  
 County: \_\_\_\_\_  
 Federal Project No.: \_\_\_\_\_  
 State Project No.: \_\_\_\_\_  
 Contract No.: \_\_\_\_\_  
 Producer & Location: \_\_\_\_\_  
 Plant Make And Type: \_\_\_\_\_

Are adequate stockpile areas provided? Are they separated with Bins, Stalls, Partitions or Walkways? (407.04)	<input type="checkbox"/>
Are bituminous storage tanks adequately equipped to heat and circulate during operating period?	<input type="checkbox"/>
Are there suitable sampling outlets for AC and Anti-strip?	<input type="checkbox"/>
Are there separate feeders for each size of aggregate?	<input type="checkbox"/>
Is there a thermometer or other temperature recording instrument at the discharge end of the dryer?	<input type="checkbox"/>
Is there approved anti-stripping additive in-line blending equipment installed on the plant?	<input type="checkbox"/>
Is there a flow-meter and can the flow meter be calibrated?	<input type="checkbox"/>
Is there a Pyrometer for recording temperature and temperature regulating apparatus for control of aggregate temperature?	<input type="checkbox"/>
Is there a safe platform provided for access to top of truck beds for inspection and sampling of the hot mix?	<input type="checkbox"/>
Is there safe access to storage tanks, control Platforms and Mixer Platforms?	<input type="checkbox"/>
What date were platform scales checked for accuracy?	<input type="checkbox"/>
Are weight limits posted or on file in the control room?	<input type="checkbox"/>
What date were aggregate scales checked for accuracy?	<input type="checkbox"/>
What date were AC scales checked for accuracy?	<input type="checkbox"/>
Is all Test Equipment properly tagged by TDOT Regional Materials within a 2 year period?	<input type="checkbox"/>
Is the Producer maintaining a log of his interim equipment calibrations, correlations, and/or repair work?	<input type="checkbox"/>
Is the process control plan posted or filed at the lab?	<input type="checkbox"/>
Are Control Charts posted and kept current?	<input type="checkbox"/>
Have requirements of Specifications Subsection 109.01 E. been followed?	<input type="checkbox"/>
Are Acceptance Tests being performed independently of the QA/QC tests?	<input type="checkbox"/>
Are samples being collected and performed on a random basis?	<input type="checkbox"/>
Are samples for Acceptance Tests being split for further testing at the Regional Materials Lab?	<input type="checkbox"/>
Are contingency and referee samples being obtained?	<input type="checkbox"/>
Do the Stockpiled Aggregates match the Gradations on the JMF (within tolerances)?	<input type="checkbox"/>
Is this plant producing mix consistently within tolerances for gradation, AC percentage and Temperature?	<input type="checkbox"/>



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Additional Remarks: \_\_\_\_\_  
 Inspector Signature: \_\_\_\_\_  
 Inspector's Title: \_\_\_\_\_  
 Date of Inspection: \_\_\_\_\_

cc: Regional Materials  
Project Supervisor

# ASPHALT LAYDOWN CHECKLIST



Local Government Guidelines Form 8-20  
March 9, 2018

## Hot Mix Roadway Inspectors Checklist

PIN: \_\_\_\_\_  
 County: \_\_\_\_\_  
 Federal Project No.: \_\_\_\_\_  
 State Project No.: \_\_\_\_\_  
 Prime Contractor: \_\_\_\_\_  
 Paving Contractor: \_\_\_\_\_  
 Date: \_\_\_\_\_  
 Inspection By: \_\_\_\_\_  
 Contract No.: \_\_\_\_\_  
 Project Description: \_\_\_\_\_

The inspection checklist shall be completed by the Project Supervisor, or their designated representative, during the test strip construction.

	YES	NO	COMMENTS
<b>Temp Traffic Control (Section 712)</b>			
If applicable, has a Lighting plan been submitted and approved?	<input type="checkbox"/>	<input type="checkbox"/>	
Is lighting on all paving equipment (Paver, Transfer Device, Rollers, trail vehicle) per the approved plan and in compliance with Section 712.04 and table 712.04-1?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the lighting adequate?	<input type="checkbox"/>	<input type="checkbox"/>	
Are workers and other personnel wearing personal protective equipment?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the Contractor's traffic control comply with Section 712 of the Standard Specifications and applicable Plan Notes?	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Milling/Cold Planing (Sect. 415)</b>			
What is the width of the milling machine(s)?			Width =
Do the Plan Notes require a fine tooth milling machine?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the milling teeth in good condition and all in place? Fine Teeth Spacing $\leq$ 1/2". Max Tooth Spacing = 5/8".	<input type="checkbox"/>	<input type="checkbox"/>	Teeth spacing =
Is the milled surface free of scabbing, scallops, gouges, ridges, etc...?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the Contractor maintaining the maximum forward speed of 60 ft/min for 1/2"-5/8" teeth spacing or 80 ft/min for teeth spacing of less than 1/2"?	<input type="checkbox"/>	<input type="checkbox"/>	



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	YES	NO	COMMENTS
Is the proper depth and cross-slope being obtained by milling? Is the contractor utilizing automatic slope & Grade Controls?	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Tack Coat (Sect. 403)</b>			
Has the distributor been approved for use?	<input type="checkbox"/>	<input type="checkbox"/>	
What is the date of the most recent calibration?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the proper nozzle sizes being used?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the nozzles set at 30° from the spray bar?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the nozzles clean and unclogged?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the bar height sufficient to allow at least a double lap spray?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the distributor equipped with a tank stick?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the volume measuring meter of the tank accurate as compared with the stick reading?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the tack coat test strip been completed and is acceptable? What is the application rate to obtain uniform full coverage without ponding, pooling, or com-rowing?	<input type="checkbox"/>	<input type="checkbox"/>	Application rate=
Has the existing surface been cleaned and all foreign materials been removed?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the tack breaking property (Brown to Black)?	<input type="checkbox"/>	<input type="checkbox"/>	
Is debris/milling fines building up on construction equipment/hauling truck tires after the tack application? If yes, the roadway must be cleaned in a more efficient manner.	<input type="checkbox"/>	<input type="checkbox"/>	
Are cores for tack coat bond being obtained? (SS407.15 and 403.05)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Material Transfer Device (MTD) Section 407.06B</b>			
Who is the manufacturer and what is the model of the equipment?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the MTD have a minimum of 15 tons storage capacity and capable of remixing the material?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the paver have a surge hopper with a minimum of 15 tons storage capacity and sloping sides?	<input type="checkbox"/>	<input type="checkbox"/>	

# ASPHALT LAYDOWN CHECKLIST



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	YES	NO	COMMENTS
<b>Rollers (407.07)</b>			
Are three rollers of the required size being used as required in Section 407.15? (except CS, OGFC, TL, and TLD mixes where two are required)	<input type="checkbox"/>	<input type="checkbox"/>	
If the inside shoulder and inside traffic lane are being paved concurrently, is there a 4th roller (min. 4 ft wide) for the inside shoulder?	<input type="checkbox"/>	<input type="checkbox"/>	
Is a pneumatic roller (rubber tire) used for intermediate rolling? *If a latex or polymer additive is used a steel wheel roller may be used instead of a pneumatic roller for the intermediate roller provided the surface course meets density requirements.	<input type="checkbox"/>	<input type="checkbox"/>	
Are rollers equipped with a device for moisten and cleaning the wheels as required? (407.07)	<input type="checkbox"/>	<input type="checkbox"/>	
Is rolling being completed from the low side up?	<input type="checkbox"/>	<input type="checkbox"/>	
Is rolling being completed as identified in the test strip? Correct number of passes? Within the established temperature range?	<input type="checkbox"/>	<input type="checkbox"/>	Number of passes = Temperature range =
Is a release agent being used on the tires of the pneumatic roller? If yes, what type and is it approved?	<input type="checkbox"/>	<input type="checkbox"/>	Type: Approved:
<b>Paver (407.06)</b>			
Is a minimum 40-foot ski or non contact grade control system used for grade control? (407.14)	<input type="checkbox"/>	<input type="checkbox"/>	
Is a 12 foot straightedge and level on the paver?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the mix maintained at half the auger height?	<input type="checkbox"/>	<input type="checkbox"/>	
Are auger extensions within 18 inches of the end plate?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the paver screed heated? Is it in vibratory mode?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the screed producing effectively a finished surface of required evenness and texture without tearing, shoving or gouging the mixture?	<input type="checkbox"/>	<input type="checkbox"/>	
Are temperature limitations being adhered to? Is there an approved "cold weather paving plan" if out of season?(407.09)	<input type="checkbox"/>	<input type="checkbox"/>	



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	YES	NO	COMMENTS
Is the surface upon which the mix is to be placed free from excessive moisture?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the pavement and shoulder cross slope being checked. Are they correct (within 0.5% of the plans)?	<input type="checkbox"/>	<input type="checkbox"/>	
Are depth checks being made? Is the thickness correct?	<input type="checkbox"/>	<input type="checkbox"/>	
Are spread rate checks being computed at least twice daily?	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Delivery</b>			
Are truck beds covered with tarps extending 6 inches over the sides and secured at 5-foot intervals? (407.05)	<input type="checkbox"/>	<input type="checkbox"/>	
Are truck beds tight, clean, and smooth, with a thin coat of approved release agent?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the TDOT inspector accepting the weight tickets and signing them in accordance with Section 107? What is the mix type? What is the AC type?	<input type="checkbox"/>	<input type="checkbox"/>	Mix Type = Grade AC =
Are the allowable weights displayed? Tare weight? Allowable gross weight? Interstate? Non-interstate?	<input type="checkbox"/>	<input type="checkbox"/>	
Does each truck bed have a 3/8" hole for checking temperature?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the inspector recording temperatures every 5th load. (Sampling and Test Guide)	<input type="checkbox"/>	<input type="checkbox"/>	
Is the mix temperature in the paver hopper within the allowable specification limits? (407.11)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Longitudinal Joint</b>			
Is the joint area along the edge clean prior to placement of the adjacent mat? Tack coat applied?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the material slightly high at the joint to allow for compaction (about 0.25" per 1" laid)?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the longitudinal joint being overlapped 1 to 1.5 inches over the adjacent mat to create a tight joint?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the luter casting mix across the mat?	<input type="checkbox"/>	<input type="checkbox"/>	
On a multiple course pavement, is the longitudinal joint offset by at least one foot of the preceding layer?	<input type="checkbox"/>	<input type="checkbox"/>	
For surface course, is the longitudinal joint at the lane edge or center line of roadway?	<input type="checkbox"/>	<input type="checkbox"/>	

# ASPHALT LAYDOWN CHECKLIST



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	YES	NO	COMMENTS
<b>Transverse Joint</b>			
When tying into existing pavement is a full head of material maintained in front of the screed to the end?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the contractor cutting back on previous runs to expose the full depth of the previous course to form transverse joints?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the contractor utilizing nulling blocks for takeoff?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the material slightly high at the joint to allow for compaction (about 0.25" per 1" laid)?	<input type="checkbox"/>	<input type="checkbox"/>	
When continuing paving, is the joint thoroughly cleaned and tack applied to ensure a good bond?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the joint straightledged to ensure smoothness?	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Test Strip (407.15)</b>			
Is the test strip a minimum of 400 SY as required?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the mix being compacted to achieve the required density?	<input type="checkbox"/>	<input type="checkbox"/>	
Are cores taken where directed to calibrate the nuclear gauges?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the average and individual nuclear densities meet minimum requirements for the ADT and type of mix (expressed in percent of maximum theoretical density)? What density is required?	<input type="checkbox"/>	<input type="checkbox"/>	Required density:
Have temperature ranges of each other been established during development of the roller pattern?	<input type="checkbox"/>	<input type="checkbox"/>	

**COMMENTS:**

Click here to enter text.

# TRAFFIC CONTROL CHECKLIST



Local Government Guidelines Form 8-21  
March 9, 2018

## Work Zone Traffic Control Inspection Form

PIN: \_\_\_\_\_  
 County: \_\_\_\_\_  
 Federal Project No.: \_\_\_\_\_  
 State Project No.: \_\_\_\_\_  
 Date / Time: \_\_\_\_\_  
 Location: \_\_\_\_\_  
 No. Of Lanes: \_\_\_\_\_  
 Weather / Lighting Conditions: \_\_\_\_\_  
 Contract No.: \_\_\_\_\_  
 Project Type: \_\_\_\_\_  
 Posted Speed Limit: \_\_\_\_\_

### ADVANCE WARNING SIGNS

<b>SIGN QUANTITY</b>	Yes	No
Appropriate No. of Signs	<input type="checkbox"/>	<input type="checkbox"/>
If no, explain:		
Missing Sign(s)	<input type="checkbox"/>	<input type="checkbox"/>
If yes, explain:		
<b>SIGN CONDITION</b>	Good	Poor
Cleanliness	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Legibility	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Reflectivity	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
<b>LEGENDS</b>	Yes	No
Appropriate Legends	<input type="checkbox"/>	<input type="checkbox"/>
If no, explain:		
Unneeded Signs Visible	<input type="checkbox"/>	<input type="checkbox"/>
If yes, explain:		
Signs Posted, No Work	<input type="checkbox"/>	<input type="checkbox"/>
If yes, explain:		
<b>SIGN PLACEMENT</b>	Good	Poor
Height	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Visibility	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Spacing	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		



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<b>ARROW PANEL (A, B, C, or D)</b>	Good	Poor
Placement	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Delineated / Shielded	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Removed When Not In Use	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		

<b>SIGN SUPPORTS</b>	Yes	No
Stationary Sign Supports	<input type="checkbox"/>	<input type="checkbox"/>
Installed per TDOT Specs.	<input type="checkbox"/>	<input type="checkbox"/>
If no, explain:		
Portable Sign Stands	<input type="checkbox"/>	<input type="checkbox"/>
Removed from Clear Zone When Not In Use	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		

### CHANNELIZING DEVICES

<b>TYPE OF UPSTREAM TAPER (CHECK ONE)</b>	
Merging	<input type="checkbox"/>
Shoulder	<input type="checkbox"/>
Shifting	<input type="checkbox"/>
One-Lane, Two-Way	<input type="checkbox"/>
<b>DOWNSTREAM TAPER (OPTIONAL)</b>	Yes No
Used	<input type="checkbox"/> <input type="checkbox"/>
Taper Length:      Feet	

### CHANNELIZING DEVICE CONDITION

<b>DEVICE</b>	Good	Poor
Barricades Type I, II, or III	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Drums	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Cones	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Tubular Markers	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Vertical Panels	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		
Warning Lights	<input type="checkbox"/>	<input type="checkbox"/>
If poor, explain:		

# GUARDRAIL CHECKLIST



STATE OF TENNESSEE  
DEPARTMENT OF TRANSPORTATION

## Guardrail and Guardrail Terminal Anchor Daily Field Report

Date:		County:	
Project Number:		Contract Number:	
Contractor:		Guardrail Contractor:	
Route:			

Type of Installation:  NEW  MAINTENANCE/ON CALL  UPGRADE

Location (Station(s), L.M.)	Item Installed	*Quantity and Unit of Measurement	Pay Item

\* If post holes are drilled in rock in accordance with the specifications, identify the number of holes which payment is due. (705-01 items for "Drilling or Boring Posts in Rock")

> Guardrail/end terminal item(s) installed are in agreement with the requirements of the pay item:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
> End terminals are NCHRP 350 approved. Certification, acceptance letter and detailed drawings are on site:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
> Pad for guardrail anchor properly constructed:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
> Estimated pad material for on-call or upgrade:			
Contractor: _____	C.Y. _____		
TDOT: _____	C.Y. _____		
> Guardrail/end terminal height is in accordance with the approved standards:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
> Posts and blockouts are installed in accordance with the approved standards and are at correct depth and height:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
> Reflective sheeting installed in accordance with standards:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
> If post holes are drilled/augered, backfill material around the posts has been compacted:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
> Anchorage cable installed according to standards and specifications:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
> Site has been cleaned:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
> Steel foundation/soil tubes have been installed in accordance with approved drawings:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
> Contractor furnished a copy of the material guarantee letter and a completed DT-0044 (T-2) to the Project Supervisor as a report:	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A

If any modifications are made, explain below. If NO, place comment(s) below.

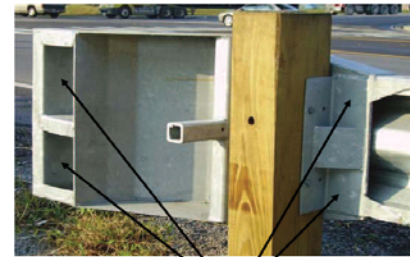
Modifications/comments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Foreman/Superintendent: \_\_\_\_\_  
 Guardrail Contractor: \_\_\_\_\_  
 Signature: \_\_\_\_\_  
 Date: \_\_\_\_\_

TDOT Inspector: \_\_\_\_\_  
 Signature: \_\_\_\_\_  
 Date: \_\_\_\_\_

### ATTACHMENT #1

### RECOMMENDATION FOR TAGGING GUARDRAIL END TERMINALS



EXAMPLE OF LOCATION FOR END TERMINAL TAG LOCATION

TENNESSEE DEPARTMENT OF TRANSPORTATION											
TO REPORT DAMAGE CALL 615-350-4300											
INSTALLATION DATE						CONTRACT NUMBER					
MONTH						B	C	D	E	F	
1	2	3	4	5	6	0	1	2	3	4	5
7	8	9	10	11	12	0	1	2	3	4	5
YEAR						0	1	2	3	4	5
06	07	08	09	10		6	7	8	9		

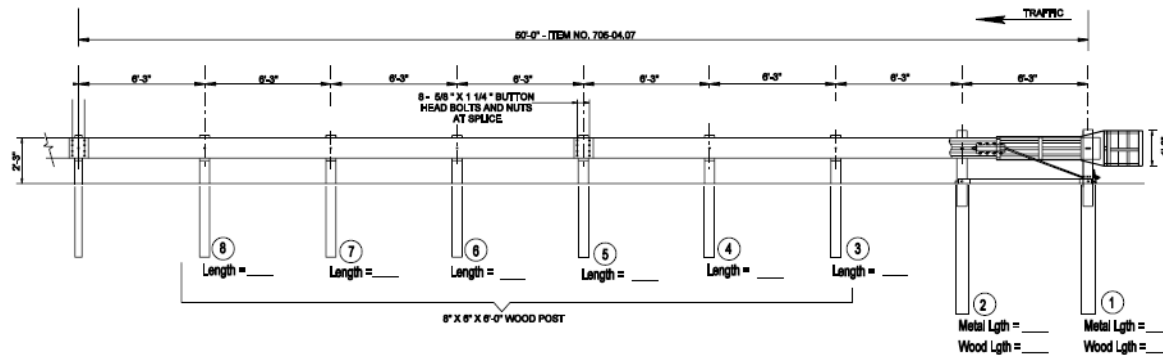
The above tag is an all weather decal that will adhere to any material including metal and wood. A hole punch is used to specify the installation date and contract number. The design is similar to the tag used for highway signs fabricated by the Department of Transportation. The tag should be placed on the guardrail end terminal in an area that is not likely to be damaged on impact, similar to the example above. The Division of Materials and Tests will procure the tags and distribute them to the regions, as needed. These tags will be installed on new guardrail end terminals on both new construction and on-call maintenance projects.

# GUARDRAIL INSPECTION FORM



## INSPECTION FORM FOR TERMINAL UNITS

Date : \_\_\_\_\_ Roadway Name : \_\_\_\_\_ County : \_\_\_\_\_ Location : N S E W Road Side : Med. Shldr  
 Time : \_\_\_\_\_ Mile marker : \_\_\_\_\_ Inspector : \_\_\_\_\_ (Print name) \_\_\_\_\_ (Signature)



V/H Type : SKT350 ET2000 BEST OTHER (Circle One)

Quantity of Hazard stickers : \_\_\_\_\_

Circle new Wooden Post : 1 2 3 4 5 6 7 8

Feet new Guardrail : \_\_\_\_\_

Cable Taut : \_\_\_\_\_

Tubes Damaged (i.e. Sawed or Torched) YES NO

(If YES, Please Comment below)

Lane Closure needed : \_\_\_\_\_

Any old Guardrail reused ? \_\_\_\_\_

Photographed by : \_\_\_\_\_

Comments : \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_





## CONSTRUCTION INSPECTION OF STRUCTURES

- The requirements in Section 8.2.16 shall apply to construction inspection of structures in addition to the following requirements
- The Bridge Construction Inspector's Checklist (Form 8-22) **shall be completed for each bridge on the project and forwarded to the Division of Structures at completion of the work along with an electronic copy of the contract drawings.**
- A qualified construction inspector shall be on site to view foundation conditions and substructure construction including but not limited to: driving of piles, concrete pours, girder erection, steel spacing and elevations, deck pouring operations (TDOT SOP 4-1), and other structural appurtenances as necessary. **This inspector will be responsible for maintaining a daily diary.** A certification from the Engineer of Record confirming compliance with TDOT standard construction procedures shall be required.



## **CONSTRUCTION INSPECTION OF STRUCTURES (CONT'D)**

- The Structures (Construction) Checklist (Form 8-22) shall also be submitted with the as-built plans.
- A Pre-Pour Meeting shall be scheduled and conducted prior to any bridge deck pours (Circular Letter 604.17-01). The following forms are required when pouring a bridge deck.
  - 1. Bridge Deck Pre-Pour Checklist (Form 8-23)
  - 2. Bridge Deck During Pour Checklist (Form 8-24)
  - 3. Bridge Deck Post-Pour Checklist (Form 8-25)

# BRIDGE INSPECTION CHECKLISTS



Local Government Guidelines Form 8-22  
March 9, 2018

## Bridge Construction Inspector's Checklist

PIN: \_\_\_\_\_  
 County: \_\_\_\_\_  
 Federal Project No.: \_\_\_\_\_  
 State Project No.: \_\_\_\_\_  
 Bridge Name: \_\_\_\_\_  
 CEI Bridge Inspection Representative: \_\_\_\_\_  
 Bridge Identification No.: \_\_\_\_\_  
 Project Description: \_\_\_\_\_

Activity Verified	Date Inspected/Verified	Corrective Action Taken (Y / N)
1. Stationing of all substructures		
2. Pile lengths documented at each substructure		
3. Plans footing elevation		
4. Footing position and skew		
5. Footing reinforcement size and spacing, column steel projection		
6. Column longitudinal and transverse steel size and spacing		
7. Bridge seat elevation @ exterior beams of abutments and intermediate supports		
8. Concrete cylinder strengths meet contract minimums for all substructures		
9. Deck reinforcement location and size		
10. Proper screed rail elevations set		
11. Plans deck thickness computed before pouring concrete		
12. Deck curing materials applied after deck pour		
13. Deck concrete cylinder strength recorded		

★ Copy of this report to be forwarded to the Division of Structures, Suite 1100, James K. Polk Building, Nashville, TN 37243-0339.

# BRIDGE DECK PRE-POUR CHECKLIST



Local Government Guidelines Form 8-23  
March 9, 2018

## Bridge Deck Construction Pre-Pour Checklist

PIN: \_\_\_\_\_ Contract: \_\_\_\_\_  
 County: \_\_\_\_\_ Structure: \_\_\_\_\_  
 Federal Proj. No.: \_\_\_\_\_ Station: \_\_\_\_\_  
 State Proj. No.: \_\_\_\_\_ Lane/Span: \_\_\_\_\_  
 Reference: \_\_\_\_\_ Contractor: \_\_\_\_\_  
 Project: \_\_\_\_\_

### Check forms

- Clean, free of major defects
- Mortar tight
- Line and grade
- Structurally adequate to insure minimum settlement in deck or overhang

### Check rebar

- Clean
- Dimensionally correct (size and spacing)
- Supported per specs and Standard Drawing STD-9-1 (Note: Overhang may require different supports)
- Document rebar quantities in field book

Check screed rails and headers for line and grade

Check screed for camber, insure is correct for template

Make dry run with screed, check for correct slab thickness and rebar clearance. Document thickness and clearances in field book. (Note: Check mechanical condition of screed)

Check access to site for concrete trucks, have equipment on hand for towing, grading, etc., if required

### Check concrete plant

- Up-to-date scales check
- Check concrete trucks to be sure on approved list, all revolution counters and water gauges working, and load does not exceed mixing capacity
- Insure enough approved trucks available to maintain required pouring rate
- Insure adequate supply of aggregates, cement, and additives are on hand for deck pour

Check to be sure Contractor has scheduled enough personnel to handle pour, including equipment mechanics

Have Contractor verify the availability and operability of all necessary equipment, including finishing machines, continuous water source or portable tanks, water distribution equipment, two work bridges, vibrators, sprayers, 12 ft. straightedge and appropriate backup items

Obtain material certifications for the curing compound and burlap, and for the polyethylene where applicable. Check to be sure an adequate supply of these curing materials is available



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Where placement by pumping requires more than one setup, obtain proposed plan from the Contractor showing the locations of the pumping equipment, the location(s) of the leading edge of the concrete pour while repositioning the pumping equipment and a realistic time for each work delay anticipated while repositioning pumping equipment

Require the Contractor to designate which of the pumping configurations listed in Subsection 604.17(a) will be used at the end of the discharge line. No exceptions are to be made, other than alternative equipment proposed under Subsection 105.17 and approved in writing by the Division of Structures under the conditions of that Subsection

Have the Contractor designate his/her authorized representative who will be present and have the authority to represent the Contractor during the bridge deck pour

Hold Pre-Pour Conference to coordinate and confirm above items (Note: Place copy of Pre-pour conference minutes in project files)

Inspector: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

# BRIDGE DECK DURING POUR AND POST-POUR CHECKLIST



Local Government Guidelines Form 8-24  
March 9, 2018

## Bridge Deck Construction Checklist During Pour

PIN: \_\_\_\_\_  
County: \_\_\_\_\_  
Federal Project No.: \_\_\_\_\_  
State Project No.: \_\_\_\_\_

- Answer "Yes" or "No" except as noted and elaborate on "No" answers. YES NO
1. Are all concrete trucks on the approved list?  YES  NO
  2. Is plastic concrete checked several times behind screed for slab depth and rebar cover and documented?  YES  NO
  3. Do pour, finishing operations and deck finish comply with specifications?  YES  NO
  4. Do checks of the pour rate indicate it is satisfactory? (at least 20/hr. along roadway)  YES  NO
  5. Has the deck been straightedged and any deficiencies corrected?  YES  NO
  6. Are required tests on concrete made and the data recorded in book and on tickets?  YES  NO
  7. Is the amount of curing compound checked both before use and after deck pour to determine quantity used? Compute rate and show here in ft.<sup>2</sup>/gal.  YES  NO
  8. Is the curing compound applied as soon as the water sheen disappears from the surface of the concrete?  YES  NO
  9. From a work bridge, is damp burlap placed as soon as surface will support the burlap without undue marring of the concrete?  YES  NO
  10. After placement, is the burlap immediately wet with a misty spray and kept wet thereafter with a continuously fed soaker hose?  YES  NO
  11. Is the burlap properly anchored to provide full protection to the concrete?  YES  NO

Inspector: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

Comments:



Local Government Guidelines Form 8-25  
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## Bridge Deck Construction Post Pour Checklist

PIN: \_\_\_\_\_  
County: \_\_\_\_\_  
Federal Project No.: \_\_\_\_\_  
State Project No.: \_\_\_\_\_

1. Check curing process every day to be sure deck is kept wet. Note: Suggest checking early A.M., midday, and late P.M., at a minimum.
2. Check bridge deck for deficiencies using 12' straightedge and/or profilograph as required by specifications and have contractor make necessary corrections.
3. Review "Pre-Pour" and "During Pour" checklists and observations; give written instructions to Contractor concerning any unsatisfactory conditions of deficiencies to insure these are not repeated on next pour.
4. Place copy of all checklists, Pre-Pour Conference minutes, and instructions to Contractor in project file.

Inspector: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

# BRIDGE DECK DURING POUR AND POST-POUR CHECKLIST



Local Government Guidelines Form 8-26  
March 9, 2018

## Structures (Construction) Checklist

PIN:  
County:  
Federal Project No.:  
State Project No.:

Any item not checked yes on the list shall have a written explanation why the condition cannot or has not been met in the comments column.

Bridges	Yes	No	Comments
As-built drawings and final foundation type, including footing elevations and lengths of individual piles, furnished to the TDOT Structures Division	<input type="checkbox"/>	<input type="checkbox"/>	
Foundation Data Sheet complete	<input type="checkbox"/>	<input type="checkbox"/>	
The Engineer of Record contacted the TDOT Regional Bridge Engineer to request an initial acceptance inspection	<input type="checkbox"/>	<input type="checkbox"/>	



## CONSTRUCTION INSPECTION OF STRUCTURES (CONT'D)

- Bridge Foundation Information
  - For the bridge foundation, the following information must be documented for abutments, piers, etc.
    - FOOTING ELEVATIONS
    - PILE CUT-OFF ELEVATION
    - PILE TIP ELEVATION
    - IN PLACE PILE LENGTH
  - This information shall be documented on the Field Book- Footing Table and the Field Book- Pile Data Table in the Field Book Sheets.
  - After the bridge is completed to the satisfaction of the Local Government's inspector, the Local Agency must contact the TDOT Regional Bridge Engineer to arrange an inspection prior to the contractor de-mobilizing. **A minimum four week notice should be provided for the TDOT Regional Bridge Engineer.**



## CONSTRUCTION INSPECTION OF STRUCTURES (CONT'D)

- On new bridge construction as well as bridge repair projects, the Local Government Project Supervisor shall contact the TDOT Regional Bridge Engineer to request an initial acceptance inspection, that the bridge construction, not necessarily the whole project is complete. Even if the approach work is not already in place, the bridge inspectors can do their initial inspection of the structure and document any deficiencies they discover. Their inspection report, listing those deficiencies, can be copied to the Project Supervisor for the contractor to address before leaving the project.
- The final closeout of contracts between the Local Government and TDOT cannot occur without a copy of the TDOT Bridge Inspector's findings and resolution of any listed defects.
- As-built drawings and final foundation type, including footing elevations and lengths of individual piles, along with all approved shop drawings, shall be electronically furnished to the Structures Division and copy LPDO. The Structures (Construction) Checklist (Form 8-26) shall also be submitted with the as-built plans.





## **PLANS AND WORKING DRAWINGS (SHOP DRAWINGS)**

- The construction plans, generally, will show sufficient details and dimensions to define the work. When additional details and dimensions are needed, the contractor shall prepare working drawings and submit them to the Engineer of Record for approval. In any case, the fabricator shall be construed to be an agent of the contractor and any changes from the construction plans submitted by the fabricator shall be considered as made by the contractor. All costs for changes will be at the expense of the contractor. Shop drawings for all types of structures shall be submitted by, or on behalf of the contractor, directly to the Engineer of Record unless noted otherwise in plans or specifications, for handling with the checking agency and for distribution. Proof of appropriate fabricator certification (as required by these specifications) for type of structure to be fabricated shall be submitted along with the shop drawings.



## **PLANS AND WORKING DRAWINGS (SHOP DRAWINGS) (CONT'D)**

- The following items require submittal of shop drawings by the contractor:
- Structural Steel, Metal Bridge Rails, Bearing Devices (shop drawings not required for plain elastomeric bearing pads), Bridge Deck Drains (shop drawings not required if fabricated according to applicable Standard Drawing), Navigation Lighting Support Brackets, Precast Prestressed Concrete Beams, Precast Prestressed Concrete Deck Panels, Precast Reinforced Concrete Beams, Precast Reinforced Concrete Box Culverts, Post-tensioned Concrete, Roadway Expansion Devices, Steel Stay-In-Place forms, Energy Attenuation Devices, Overhead and Cantilever Sign Structures, Strain Poles, Street Lighting Poles, High Mast Poles with Accompanying Lowering Devices, Photometrics, Cofferdams and any other items when indicated on plans. Also required are erection drawings for steel structures, drawings of falsework, bracing, cofferdams, sheeting, bending of reinforcing steel and other supplementary plans called for by the Engineer of Record.



## **PLANS AND WORKING DRAWINGS (SHOP DRAWINGS) (CONT'D)**

- Each shop drawing sheet shall contain in the title block the following:
  - Project number
  - County
  - Bridge name
  - Bridge number (or structure type and number)
  - Station
  - Contract number
  - The words “Locally Managed Project”
- Shop drawings shall be submitted in sets with the drawing numbers running consecutively in each set, and, if more than 5 sheets in a set, shall be appropriately bound. Shop drawings marked “APPROVED” or “APPROVED AS NOTED” need not be resubmitted unless specifically instructed.



## **PLANS AND WORKING DRAWINGS (SHOP DRAWINGS) (CONT'D)**

- Shop drawings shall be a minimum of 8-1/2 x 11 inches in size. Legible half-size copies (11 x 17 inches) of full size drawings are acceptable for submittal. The minimum number of sets of shop drawings shown below shall be submitted for approval. Only one (1) set will be returned to the fabricator unless specifically requested and the additional set(s) requested to be returned is submitted along with those shown below. For consultant designs, an additional set is required. For railroad structures, three (3) additional sets are required. Copies should be kept in LG's files.
  - Two Sets: Structural Steel (Half-size sets shall be submitted for approval. Four (4) additional sets, two (2) full-size and two (2) half-size, will be required after final approval.)
  - Four Sets: Energy Attenuation Devices, Overhead and Cantilever Sign Structures, Strain Poles, Street Lighting Poles, High Mast Poles with Accompanying Lowering Devices, Photometrics (Submit directly to Special Design Office, Structures Division), Cofferdams
  - Six Sets: Metal Bridge Rails, Bearing Devices (shop drawings not required for plain elastomeric bearing pads), Bridge Deck Drains (shop drawings not required if fabricated according to applicable Standard Drawing), Navigation Lighting Support Brackets, Precast Prestressed Concrete Beams, Precast Prestressed Concrete Deck Panels, Precast Reinforced Concrete Beams, Precast Reinforced Concrete Box Culverts, Post-tensioned Concrete, Roadway Expansion Devices, Steel Stay-In- Place forms, and any other type of structural shop drawing not specifically listed.



## **PLANS AND WORKING DRAWINGS (SHOP DRAWINGS) (CONT'D)**

All working drawings shall be approved by the Engineer of Record; such approval shall be general in nature and shall not operate to relieve the contractor of any of his responsibility under the contract for the successful completion of the work. In addition to such approval, working drawings involved in construction over or under railroad tracks will require approval of the railroad company before approval is granted by the Engineer of Record. The contractor shall submit four sets of plans for any cofferdams, sheeting and bracing details for bents or piers adjacent to a track, and falsework for erecting the spans over tracks, and the method of installation for the protection of the tracks, to the Engineer of Record. No work shall be started until these plans are approved by the LG and the Chief Engineer of the railroad. Approval of these plans will not relieve the contractor from liability. The above also applies in connection with the installation of pipes, culverts, etc. adjacent to or under railroad tracks. The cost of preparation of working drawings will not be paid for separately but shall be included in the prices of the respective contract items involved.



## **EROSION PREVENTION / SEDIMENT CONTROL (EPSC) INSPECTION**

- It is essential that the SWPPP and erosion control plans be followed and revised as needed to fully comply with the environmental permits on each project. The LG and the CEI shall conduct routine project inspections and document the findings to ensure that the SWPPP is being followed and that non-compliance is unlikely.
- The Local Government is encouraged to acquire the services of an independent, certified professional in Erosion and Sediment Control (CPESC) certified erosion control consultant on projects with an NPDES or ARAP permit to conduct project inspections. The purpose of the inspections is to provide a “third party” independent review to ensure that the EPSC devices are installed and maintained as required, ensure the requirements of the permits are being documented and followed, and, if asked, provide recommendations. The inspections should be conducted monthly, or more frequent if violations or repeat non-conformances occur.



## EROSION PREVENTION / SEDIMENT CONTROL (EPSC) INSPECTION (CONT'D)

- Erosion and Sediment Control Construction Inspection Report - This report shall be completed for the evaluation of erosion and sediment control measures on all projects that are subject to the requirements of the NPDES General Permit for Storm Water Discharges from Construction Activities. This report shall also be used to document Contractor compliance with erosion and sediment control requirements in conformance with ARAP, Corps of Engineers, and/or TVA permits. An Inspection Report template and sample, along with instructions, are noted in EPSC Inspection Manual. The fillable version of the report is available as Form 8-27 on the LPDO website.  
**Check to see if stream credits are available.**



## EROSION PREVENTION / SEDIMENT CONTROL (EPSC) INSPECTION (CONT'D)

- Class V Underground Injection Control (UIC) Permit – Circular Letter 209.06-01 establishes the procedures for applying for a UIC Permit on an active construction project in the event that depressions (sinkholes with open throats) are encountered on or bordering the project site during construction activities.
- Construction Related Sediment Removal – Circular Letter 209.01-03 establishes the procedures for removal and/or stabilization of sediment discharges caused by active construction projects to non-jurisdictional areas, as well as jurisdictional areas, within or beyond the project's construction limits.
- Waste/Borrow Site Weekly EPSC Inspection Review Report – This report shall be completed for the evaluation of approved project exclusive waste/borrow sites. The contractor is responsible for performing twice weekly EPSC inspections of the site and must have a certified EPSC inspector as required by the TDEC Construction General Permit. **See the TDOT Waste and Borrow Procedures for further information and the Waste and Borrow Procedure Contractor's Support Activities Certification form.**





## **EROSION PREVENTION / SEDIMENT CONTROL (EPSC) INSPECTION (CONT'D)**

- Notice of Termination (NOT) (TDEC CN-1175) – Storm Water Discharges Construction Activity (Circular Letter 107.08-01) (Form 8-28) - This form notifies the Tennessee Department of Environment and Conservation of the request to termination of coverage from the General NPDES Permit for Discharges of Storm Water Associated with Construction Activities. Instructions for completing the NOT form are noted in Circular Letter 107.08-01.
- Upon concurrence of final stabilization by all involved parties, the NOT form shall be completed by the Local Government and submitted to the local Water Pollution Control (WPC) Environmental Field Office address indicated on the form. The NOT shall be signed by an authorized official of the Local Government.

# EROSION AND SEDIMENT CONTROL CONSTRUCTION INSPECTION REPORT



**TENNESSEE DEPARTMENT OF ENVIRONMENT AND CONSERVATION (TDEC)**  
 Division of Water Resources  
 William R. Snodgrass Tennessee Tower, 312 Rosa L. Parks Avenue, 11th Floor, Nashville, Tennessee 37243  
 1-888-891-8332 (TDEC)  
**General NPDES Permit for Stormwater Discharges from Construction Activities (CGP)**  
**Construction Stormwater Inspection Certification (Twice-Weekly Inspections)**

Site or Project Name:		NPDES Tracking Number: TNR
Primary Permittee Name:		Date of Inspection:
Current approximate disturbed acreage:	Has rainfall been checked/documentated daily? <input type="checkbox"/> Yes <input type="checkbox"/> No	Name of Inspector:
Current weather conditions:		Inspector's Training Certification Number:

Please check the box if the following items are on-site:  
 Notice of Coverage (NOC)     Stormwater Pollution Prevention Plan (SWPPP)     Twice-weekly inspection documentation  
 Site contact information     Rain Gage     Off-site Reference Rain Gage Location:

**Best Management Practices (BMPs):**

**Are the Erosion Prevention and Sediment Controls (EPSCs) functioning correctly; If "No," describe below in Comment Section**

- Are all applicable EPSCs installed and maintained per the SWPPP?  Yes  No
- Are EPSCs functioning correctly at all disturbed areas/material storage areas per section 4.1.5?  Yes  No
- Are EPSCs functioning correctly at outfall/discharge points such that there is no objectionable color contrast in the receiving stream, and no other water quality impacts per section 5.3.2?  Yes  No
- Are EPSCs functioning correctly at ingress/egress points such that there is no evidence of track out?  Yes  No
- If applicable, have discharges from dewatering activities been managed by appropriate controls per section 4.1.4? If "No," describe below the measures to be implemented to address deficiencies.  Yes  No
- If construction activity at any location has temporarily/permanently ceased, was the area stabilized within 14 days per section 3.5.3.2? If "No," describe below each location and measures taken to stabilize the area(s)  Yes  No
- Have pollution prevention measures been installed, implemented, and maintained to minimize the discharge of pollutants from equipment and vehicle washing, wheel wash water, and other wash waters per section 4.1.5? If "No," describe below the measures to be implemented to address deficiencies.  Yes  No
- If a concrete washout facility is located on site, is it clearly identified on the project and maintained?  N/A  Yes  No  
If "No," describe below the measures to be implemented to address deficiencies.
- Have all previous deficiencies been addressed? If "No," describe remaining deficiencies in Comment section.  Yes  No  
 Check if deficiencies/corrective measures have been reported on a previous form.

Comment Section. If the answer is "No" for any of the above, please describe the problem and corrective actions to be taken. Otherwise, describe any pertinent observations:

**Certification and Signature** (must be signed by the certified inspector and the permittee per Sections 3.5.8.2 (g) and 7.7.2 of the CGP)  
 I certify under penalty of law that this document and all attachments were prepared by me, or under my direction or supervision. The submitted information is to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment. As specified in Tennessee Code Annotated Section 39-16-702(a)(4), this declaration is made under penalty of perjury.

Inspector Name and Title:	Signature:	Date:
Primary Permittee Name and Title:	Signature:	Date:

## Construction Stormwater Inspection Certification Form (Twice-Weekly Inspections)

### Purpose of this form/ Instructions

An inspection, as described in section 3.5.8.2 of the General Permit for Stormwater Discharges from Construction Activities ("Permit"), shall be performed at least twice every calendar week and documented on this form. Inspections shall be performed at least 72 hours apart. Where sites or portion(s) of construction sites have been temporarily stabilized, or runoff is unlikely due to winter conditions (e.g., site covered with snow or ice), such inspection only has to be conducted once per month until thawing results in runoff or construction activity resumes.

As described in section 3.5.8.1 of the Permit, inspectors performing the required twice weekly inspections must have an active certification by completing the "Fundamentals of Erosion Prevention and Sediment Control Level I" course (<http://www.tnspcc.org>). Twice weekly inspections can also be performed by: a licensed professional engineer or landscape architect, a Certified Professional in Erosion and Sediment Control (CPESC) or a person who has successfully completed the "Level II Design Principles for Erosion Prevention and Sediment Control for Construction Sites" course. A copy of the certification or training record for inspector certification should be kept on site.

Qualified personnel, (provided by the permittee or cooperatively by multiple permittees) shall inspect disturbed areas of the construction site that have not been finally stabilized, areas used for storage of materials that are exposed to precipitation, structural control measures, locations where vehicles enter or exit the site, and each outfall.

Disturbed areas and areas used for storage of materials that are exposed to precipitation shall be inspected for evidence of, or the potential for, pollutants entering the site's drainage system. Erosion prevention and sediment control measures shall be observed to ensure that they are operating correctly.

Outfall points (where discharges leave the site and/or enter waters of the state) shall be inspected to determine whether erosion prevention and sediment control measures are effective in preventing significant impacts to receiving waters. Where discharge locations are inaccessible, nearby downstream locations shall be inspected. Locations where vehicles enter or exit the site shall be inspected for evidence of offsite sediment tracking.

Based on the results of the inspection, any inadequate control measures or control measures in disrepair shall be replaced or modified, or repaired as necessary, before the next rain event if possible, but in no case more than 7 days after the need is identified.

Based on the results of the inspection, the site description identified in the SWPPP in accordance with section 3.5.1 of the Permit and pollution prevention measures identified in the SWPPP in accordance with section 3.5.2 of the Permit, shall be revised as appropriate, but in no case later than 7 days following the inspection. Such modifications shall provide for timely implementation of any changes to the SWPPP, but in no case later than 14 days following the inspection.

All inspections shall be documented on this Construction Stormwater Inspection Certification form. Alternative inspection forms may be used as long as the form contents and the inspection certification language are, at a minimum, equivalent to the division's form and the permittee has obtained a written approval from the division to use the alternative form. Inspection documentation will be maintained on site and made available to the division upon request. Inspection reports must be submitted to the division within 10 days of the request.

Trained certified inspectors shall complete inspection documentation to the best of their ability. Falsifying inspection records or other documentation or failure to complete inspection documentation shall result in a violation of this permit and any other applicable acts or rules.

# EROSION AND SEDIMENT CONTROL CONSTRUCTION INSPECTION REPORT



**EPSC Inspection Report**

State/US Route or Road Name: \_\_\_\_\_ Inspection Date: \_\_\_\_\_

Contract #: \_\_\_\_\_ PIN: \_\_\_\_\_ County: \_\_\_\_\_

Did the contractor accompany the EPSC inspector on the inspection as required by SP107FP? Yes  No

Does the contractor agree with the findings noted below and on the attached TDEC form CN-1173 dated \_\_\_\_\_ ?  
Yes  No  If no, it is the responsibility of the contractor to provide written comments that detail their disagreement with the noted findings.

Contractor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

TNR#

Number of Corrective Actions	
Number of Recurring Corr. Acts.	
Number of Sediment Releases	

Outfall # / STR or WTL #	Entry Type	App. Station # From/To	Date Last Disturbed	Stabilization Date / Type T = Temporary P = Permanent	Action Code	Action Required / Clarification	Object. Color Contrast (Y)	Sed. Release (Y)

**Entry Type Codes**

CA	Corrective Action
RCA	Recurring Corrective Action
FM	Future Maintenance

**Action Codes**

CE	Install construction entrance/exist
CL	Clean out measure
CO	Outfall is closed
CW	Install concrete washout
DC	Implement dust control
DIV	Install diversion
HV	Install high visibility fence
I	Install measure
UT	Pick up litter/debris
PS	Permanently stabilize area
R	Repair/Replace measure
REM	Remove measure
SR	Clean up sediment release*
TRAC	Clean off tracking from road
TS	Temporarily stabilize area
U	Upgrade measure
W	Too wet to work


\*Approval from TDEC is needed prior to removal of sediment from a stream or wetland.

Page 1 of 2

TDOT EPSC Inspection Report (Rev. 03-09-18)

# CONSTRUCTION STORM WATER INSPECTION CERTIFICATION



 <b>TDOT</b> Department of Transportation		Monthly Rainfall Log						Month: _____	
		State/US Route or Road Name: _____							
		Construction #: _____			Contract #: _____				
Date	Day of Week <sup>1</sup>	Predicted Precipitation (%) <sup>2</sup>	Rainfall Gauge 1 (in)	Rainfall Gauge 2 (in)	Rainfall Gauge 3 (in)	Rainfall Gauge 4 (in)	Rainfall Gauge 5 (in)	Rainfall Gauge 6 (in)	Duration (hr)

<sup>1</sup> Day of Week= Su,M,Tu,W,Th,F,Sa  
<sup>2</sup> Predicted Precipitation Source:  
 • Reference site source:  
 R = Gauge Removed

# NOTICE OF TERMINATION



**TENNESSEE DEPARTMENT OF ENVIRONMENT AND CONSERVATION (TDEC)**  
 Division of Water Resources  
 William R. Snodgrass Tennessee Tower, 312 Roca L. Parks Avenue, 11th Floor, Nashville, Tennessee 37243  
 1-888-891-TDEC (8332)

**Notice of Termination (NOT) for General NPDES Permit for Stormwater Discharges from Construction Activities (CGP)**

This form is required to be submitted when requesting termination of coverage from the CGP. The purpose of this form is to notify the TDEC that either all stormwater discharges associated with construction activity from the portion of the identified facility where you, as an operator, have ceased or have been eliminated, or you are no longer an operator at the construction site. Submission of this form shall in no way relieve the permittee of permit obligations required prior to submission of this form. Please submit this form to the local DWER Environmental Field Office (EFO) address (see table below). For more information, contact your local EFO at the toll-free number 1-888-891-8332 (TDEC).

Type or print clearly, using ink.

Site or Project Name:		NPDES Tracking Number: TNR	
Street Address or Location:		County(ies):	
Name of Permittee Requesting Termination of Coverage:			
Permittee Contact Name:		Title or Position:	
Mailing Address:		City:	State: Zip:
Phone:		E-mail:	

**Check the reason(s) for termination of permit coverage:**

- Stormwater discharge associated with construction activity is no longer occurring and the permitted area has a uniform 70% permanent vegetative cover OR has equivalent measures such as rip rap or geotextiles, in areas not covered with impervious surfaces.
- You are no longer the operator at the construction site (i.e., termination of site-wide, primary or secondary permittee coverage).

**Certification and Signature: (must be signed by president, vice-president or equivalent ranking elected official)**

I certify under penalty of law that either: (a) all stormwater discharges associated with construction activity from the portion of the identified facility where I was an operator have ceased or have been eliminated or (b) I am no longer an operator at the construction site. I understand that by submitting this notice of termination, I am no longer authorized to discharge stormwater associated with construction activity under this general permit, and that discharging pollutants in stormwater associated with construction activity to waters of the United States is unlawful under the Clean Water Act where the discharge is not authorized by a NPDES permit. I also understand that the submittal of this notice of termination does not release an operator from liability for any violations of this permit or the Clean Water Act.

For the purposes of this certification, elimination of stormwater discharges associated with construction activity means that all stormwater discharges associated with construction activities from the identified site that are authorized by a NPDES general permit have been eliminated from the portion of the construction site where the operator had control. Specifically, this means that all disturbed soils at the portion of the construction site where the operator had control have been finally stabilized, the temporary erosion and sediment control measures have been removed, and/or subsequent operators have obtained permit coverage for the site or portions of the site where the operator had control.

I certify under penalty of law that this document and all attachments were prepared by me, or under my direction or supervision. The submitted information is to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment. As specified in Tennessee Code Annotated Section 39-16-702(a)(4), this declaration is made under penalty of perjury.

Permittee name (print or type):	Signature:	Date:
---------------------------------	------------	-------

EFO	Street Address	Zip Code	EFO	Street Address	Zip Code
Memphis	8383 Wolf Lake Drive, Bartlett, TN	38133	Cookeville	1221 South Willow Ave.	38506
Jackson	1625 Hollywood Drive	38305	Chattanooga	1301 Riverfront Parkway, Ste. 206	37402
Nashville	711 R.S. Gass Boulevard	37243	Knoxville	3711 Middlebrook Pike	37921
Columbia	1421 Hampshire Pike	38401	Johnson City	2305 Silverdale Road	37601

CN-1175 (Rev. 03-18)

RDA 2366



## **CERTIFIED PAYROLL AND LABOR COMPLIANCE INTERVIEWS**

- As required in TDOT Special Provision 1273, Section V, (23 CFR 635.118) the contractor, and subcontractors, shall submit a weekly payroll of wages paid to each employee with a certification statement (refer to Sample Payroll). Circular Letter 1273-02 provides additional information.
- The CEI or LG shall conduct at least one (1) contractor employee interview monthly to verify that the payroll submitted is accurate and employees are being paid properly (hours and wages). Circular Letter 1273-03 provides additional guidance on the required employee interviews.

# PAYROLL EXAMPLE



**U.S. Department of Labor**  
Wage and Hour Division

## PAYROLL

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



U.S. Wage and Hour Division  
Rev. Dec. 2008

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

NAME OF CONTRACTOR  OR SUBCONTRACTOR  ADDRESS OMB No.: 1235-0008 Expires: 02/28/2018

PAYROLL NO. FOR WEEK ENDING PROJECT AND LOCATION PROJECT OR CONTRACT NO.

(1) NAME AND INDIVIDUAL IDENTIFYING NUMBER (e.g., LAST FOUR DIGITS OF SOCIAL SECURITY NUMBER) OF WORKER	(2) NO. OF WITHHOLDING RESUBSTIONS	(3) WORK CLASSIFICATION	(4) DAY AND DATE							(5) TOTAL HOURS	(6) RATE OF PAY	(7) GROSS AMOUNT EARNED	(8) DEDUCTIONS					(9) NET WAGES PAID FOR WEEK							
			M	T	W	T	F	S	S				FICA	WITH- HOLDING TAX	OTHER	TOTAL DEDUCTIONS									
																	HOURS WORKED EACH DAY								

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

**Public Burden Statement**

We estimate that it will take an average of 55 minutes to complete this collection, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding these estimates or any other aspect of this collection, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room 53502, 200 Constitution Avenue, N.W. Washington, D.C. 20210

(over)

# PAYROLL PAGE 2 EXAMPLE



Date \_\_\_\_\_

I, \_\_\_\_\_ (Name of Signatory Party) \_\_\_\_\_ (Title)

do hereby state:

(1) That I pay or supervise the payment of the persons employed by \_\_\_\_\_ on the \_\_\_\_\_ (Contractor or Subcontractor); that during the payroll period commencing on the \_\_\_\_\_ (Building or Work) \_\_\_\_\_ day of \_\_\_\_\_, and ending the \_\_\_\_\_ day of \_\_\_\_\_, all persons employed on said project have been paid the full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said \_\_\_\_\_ from the full \_\_\_\_\_ (Contractor or Subcontractor) weekly wages earned by any person and that no deductions have been made either directly or indirectly from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part 3 (29 C.F.R. Subtitle A), issued by the Secretary of Labor under the Copeland Act, as amended (48 Stat. 948, 63 Stat. 108, 72 Stat. 967; 76 Stat. 357; 40 U.S.C. § 3145), and described below:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(2) That any payrolls otherwise under this contract required to be submitted for the above period are correct and complete; that the wage rates for laborers or mechanics contained therein are not less than the applicable wage rates contained in any wage determination incorporated into the contract; that the classifications set forth therein for each laborer or mechanic conform with the work he performed.

(3) That any apprentices employed in the above period are duly registered in a bona fide apprenticeship program registered with a State apprenticeship agency recognized by the Bureau of Apprenticeship and Training, United States Department of Labor, or if no such recognized agency exists in a State, are registered with the Bureau of Apprenticeship and Training, United States Department of Labor.

(4) That:

(a) WHERE FRINGE BENEFITS ARE PAID TO APPROVED PLANS, FUNDS, OR PROGRAMS

- in addition to the basic hourly wage rates paid to each laborer or mechanic listed in the above referenced payroll, payments of fringe benefits as listed in the contract have been or will be made to appropriate programs for the benefit of such employees, except as noted in section 4(c) below.

(b) WHERE FRINGE BENEFITS ARE PAID IN CASH

- Each laborer or mechanic listed in the above referenced payroll has been paid, as indicated on the payroll, an amount not less than the sum of the applicable basic hourly wage rate plus the amount of the required fringe benefits as listed in the contract, except as noted in section 4(c) below.

(c) EXCEPTIONS

EXCEPTION (CRAFT)	EXPLANATION

REMARKS:

NAME AND TITLE	SIGNATURE

THE WILLFUL FALSIFICATION OF ANY OF THE ABOVE STATEMENTS MAY SUBJECT THE CONTRACTOR OR SUBCONTRACTOR TO CIVIL OR CRIMINAL PROSECUTION. SEE SECTION 1001 OF TITLE 18 AND SECTION 231 OF TITLE 31 OF THE UNITED STATES CODE.



# EMPLOYEE INTERVIEW



Page 2 of 2

## CONTRACTOR'S EMPLOYEE INTERVIEWS (Form C-27)

Contract Number	County	Contractor or Sub-Contractor
Employee Name	Payroll Classification	Hourly rate for classification
Type of work being performed by employee as observed by interviewer:		
Hourly Rate for work employee is performing:   \$		
I affirm that the information shown above is correct and that I am / am not receiving the number of hours for normal time and overtime.		
Complaints/comments/remarks:		
Contractor Employee's Signature	Interviewer's Signature	
Date:	Date:	

The Contractor's/Sub-Contractor's (as identified above) payroll for this project have been checked for the period covering this interview and it is apparent that the subject employee is / is not properly classified and is / is not receiving the correct wage scale for the work he is performing in accordance with the wage established, for this project as specified in the Contract Proposal.

Comments/Remarks:

Project Supervisor's/Representative's Signature

Date:



## UTILITY RELOCATION NOT INCLUDED IN THE CONTRACT (NON-REIMBURSABLE OR REIMBURSABLE)

- There are contracts in which the utility relocation work is not included in the Local Government contract as bid items. The relocation work is performed before the construction work begins. The appropriate utility shall be directed to notify the Local Government's Project Supervisor when a work begin date is determined. The Local Government shall provide authorization for the utility to go to work. The Utility shall then submit billings to the Local Government. Local Government inspects and certifies that relocation work bill is done in accordance with the approved plans and estimates. Local Government makes payment of invoices for contracted utility relocation.
- The Project Utility Diary (DT-0667) (Circular Letter 105.07-04) (Form 8-13) is used to document the relocation work performed. The Project Utility Diary shall be used on all projects requiring utility relocations, to document the relocation work whether the work is reimbursable or not. The Project Utility Diary section "Description of Work Performed": will be the only documentation required. However, the documentation shall note if the work is reimbursable or not. The work start date and work complete date shall be noted.



## UTILITY RELOCATION INCLUDED IN THE CONTRACT

- Utility relocation work included in the contract requires documentation of utility item installed quantities. The quantities are paid on the progress estimate.
- The appropriate utility company shall provide an inspector to document and certify the items used in the utility relocation.
- The following documentation is required for utility relocation work included in the contract:
  - • Project Utility Diary (DT-0667)(Form 8-13)
  - • Utility Item Certification / Final Acceptance (DT-1716)(Form 8-14)
  - • Summary of Installed Utility Items

# PROJECT UTILITY DIARY



Local Government Guidelines Form 8-13  
March 9, 2018

## Project Utility Diary

CONTRACT NO: \_\_\_\_\_ RECORDED BY: \_\_\_\_\_ UTILITY COMPANY: \_\_\_\_\_  
 PROJECT NO: \_\_\_\_\_ PROJECT ENGINEER: \_\_\_\_\_ UTIL. CONTRACT NO.: \_\_\_\_\_  
 REF. NO: \_\_\_\_\_ UTILITY REPRESENTATIVE \_\_\_\_\_  
 DATE: \_\_\_\_\_ *(For "Work Order" Reimbursable Projects)*

### LABOR

DESCRIPTION OF WORK PERFORMED

NAME	CLASSIFICATION	HOURS

LABOR USED TO RESTORE RECOVERED MATERIAL TO SUITABLE CONDITION FOR REUSE SHOULD BE INCLUDED ON THIS REPORT

### MATERIALS REMOVED

ITEM	U.S.	QUANTITY

IF BOTH PARTIES AGREE THAT MATERIAL IS NOT SALVAGEABLE, A CHECK IS TO BE ENTERED IN THE U.S. COLUMN

### MATERIALS USED

ITEM	QUANTITY

### TRANSPORTATION AND EQUIPMENT

TYPE	HOURS	MILES

Distribution of copies:  
CEI Manager or Local Government  
Utility Company  
Field





## **PROGRESS PAYMENTS**

- The Local Government shall make monthly partial progress payments to the contractor in general accordance with Section 109.06 of the TDOT specifications, 23 CFR 635.122, and Circular Letter 109.02-02.
- Progress payment reimbursement requests submitted to TDOT shall contain all the necessary documentation and certifications as required in Chapter 9 of these guidelines.
- Monthly Engineer's Estimate - Item quantities paid on engineer's estimates shall be supported by field documentation as directed in the Item Documentation instructions. Each item's current estimate quantity documented in the Field Book shall be referenced to the respective engineer's estimate number where payment was made. The reference shall be placed in the remarks field on the Field Book sheet.




## PROGRESS PAYMENTS (CONT'D)

- Material Certifications covering each item's current estimate quantity shall be on file before payment may be processed. (Circular Letter 109-02.02)
- Additional information documented on the progress estimate:
  - Documented reason as to why Liquidated Damages are not being assessed on the current progress estimate when the contract days charged has overrun the original contract days allowed.
  - Local Government Project Supervisor's signature approving estimate payment also certifies that the required labor interview has been conducted.
  - Local Government Project Supervisor's signature certifies that the required material certifications are on file for each item's current estimate quantity.
- Monthly Construction Report - At the end of each estimate period a Monthly Construction Report is sent to the Contractor and a copy is sent to the Surety. The Monthly Construction Report documents the status of the project in regard to % of time used vs. % of contract amount paid. A 15% variance of time over amount shall be explained.

# PROGRESS PAYMENT EXAMPLE



(NAME OF LOCAL GOVERNMENT)



STATE PROJECT # \_\_\_\_\_  
 FEDERAL PROJECT # \_\_\_\_\_  
 PROJECT DESC \_\_\_\_\_  
 CONTRACT # \_\_\_\_\_

ORIGINAL AMOUNT \_\_\_\_\_  
 EXECUTION DATE \_\_\_\_\_  
 EFFECTIVE DATE \_\_\_\_\_  
 TIME COMPLETE \_\_\_\_\_

ESTIMATE # \_\_\_\_\_  
 PARTIAL \_\_\_\_\_

**ENGINEER'S ESTIMATE**

\_\_\_\_\_ PIN # \_\_\_\_\_

\_\_\_\_\_ REVISD AMOUNT \_\_\_\_\_  
 \_\_\_\_\_ CONTRACT END \_\_\_\_\_  
 \_\_\_\_\_ CONT WORK DAYS \_\_\_\_\_  
 \_\_\_\_\_ WORK COMPLETE \_\_\_\_\_

\_\_\_\_\_ CORRESPONDS TO CONSTRUCTION ENGINEERING BILLING # \_\_\_\_\_

\_\_\_\_\_ FINAL \_\_\_\_\_ (Note: Final Estimate Certification must be signed)

Local Government Guidelines Form 9-5  
 March 15, 2019

BID ITEM NO.	PART	NON PART	DESCRIPTION	UNIT OF MEAS	CURRENT	QUANTITIES PREVIOUS	TOTAL	UNIT PRICE	CURRENT PARTICIPATING AMOUNT	TOTAL PARTICIPATING AMOUNT

I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION/ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

\_\_\_\_\_  
(CONSULTANT CONSTRUCTION ENGINEERING SUPERVISOR)

I CERTIFY THAT DAVIS-BACON LABOR INTERVIEWS HAVE BEEN PERFORMED DURING THIS ESTIMATE PERIOD, EXCEPT AS LISTED BELOW:  
 EXCEPTION: \_\_\_\_\_

\_\_\_\_\_  
(CONSULTANT CONSTRUCTION ENGINEERING SUPERVISOR)

I CERTIFY THE (LOCAL GOVERNMENT) HAS SUFFICIENT TEST REPORTS ON HAND TO COVER THE TOTAL QUANTITIES SHOWN ON THIS ESTIMATE.  
 I CERTIFY THAT DAVIS-BACON LABOR INTERVIEWS HAVE BEEN PERFORMED DURING THIS ESTIMATE PERIOD.  
 I CERTIFY THE CURRENT MONTHLY EARNINGS FOR THIS CONTRACT ARE \$ \_\_\_\_\_

APPROVED FOR PAYMENT: \_\_\_\_\_  
 (LOCAL GOVERNMENT PROJECT SUPERVISOR)

**FINAL ESTIMATE CERTIFICATION:**  
 I CERTIFY THE (LOCAL GOVERNMENT) HAS REDUCED THE FINAL ESTIMATE BY ANY LIQUIDATED DAMAGES OR DISINCENTIVES CHARGED TO THE CONTRACTOR. IF THE LIQUIDATED DAMAGES OR DISINCENTIVES EXCEED THE AMOUNT OF THE FINAL ESTIMATE, A CHECK FOR THE FEDERAL SHARE OF THE OVERPAYMENT MUST BE SUBMITTED TO TDOT WITH THIS ESTIMATE.

\_\_\_\_\_  
(LOCAL GOVERNMENT PROJECT SUPERVISOR)



# PROGRESS PAYMENT EXAMPLE



ARRA - South Russell St. Resurfacing - Main St. to Lynnwood Dr. (ARRA Number: 83LPLMF3033002250) Sumner County, Portland, TN  
 Payment Summary No. 1, Pay Period Ending 7/31/10, State Project No. 83LPLM-F3-033, Pin # 115054, Federal Project No. ARRA-STP-M-0319(1)

SSR Project numbers: 06A2610, Contractor: LoJac Enterprises, Inc.

Item No.	Description	Unit	Est. Quant.	Unit Price	Current Quantity Used	Previous Quantity Used	Total Quantity Used	Current Cost	Previous Cost	Cost to Date	Total Estimated Contract Cost
202-03	REMOVAL OF RIGID PAVEMENT, SIDEWALK, ETC.	SY	120	\$ 26.25	399.26	0	399.26	\$ 6,805.58	\$ -	\$ 6,805.58	\$ 3,150.00
202-03-03	REMOVAL OF ASPHALT PAVEMENT	CY	328	\$ 40.00		0	0.00	\$ -	\$ -	\$ -	\$ 13,120.00
202-06-15	REMOVAL OF CURB AND GUTTER	LF	116	\$ 5.25	322	0	316.00	\$ 1,669.50	\$ -	\$ 1,669.50	\$ 829.00
303-01	MINERAL AGGREGATE, TYPE A BASE, GRADING D	TON	182	\$ 35.00		0	0.00	\$ -	\$ -	\$ -	\$ 6,370.00
307-01-01	ASPHALT CONCRETE MIX (P064-27) (ITEM-B) GRADING A	TON	485	\$ 73.00		0	0.00	\$ -	\$ -	\$ -	\$ 35,640.00
307-01-02	ASPHALT CONCRETE MIX (P064-25) (ITEM-B) GRADING B	TON	1,485	\$ 69.50		0	0.00	\$ -	\$ -	\$ -	\$ 103,207.50
403-01	BITUMINOUS MATERIAL FOR TACK COAT (TC)	TON	3	\$ 535.00		0	0.00	\$ -	\$ -	\$ -	\$ 1,605.00
411-01-10	ACB MIX (P064-22) GRADING D	TON	1,012	\$ 80.75		0	0.00	\$ -	\$ -	\$ -	\$ 81,719.00
415-01-01	COLD PLANING BITUMINOUS PAVEMENT	TON	1,404	\$ 16.75		0	0.00	\$ -	\$ -	\$ -	\$ 23,517.00
701-01-01	CONCRETE SIDEWALK (4")	SF	1,081	\$ 4.45	338.75	0	1358.75	\$ 6,046.44	\$ -	\$ 6,046.44	\$ 4,810.45
701-02-01	CONCRETE HANDICAP RAMP (BTRDEFT)	SF	850	\$ 15.25	749.75	0	749.75	\$ 11,296.44	\$ -	\$ 11,296.44	\$ 9,150.00
701-02-02	CONCRETE DRIVEWAY (8")	SF	140	\$ 8.40	445.0	0	445.00	\$ 3,725.40	\$ -	\$ 3,725.40	\$ 1,176.00
702-03	CONCRETE COMBINED CURB AND GUTTER	CY	10	\$ 280.00	31	0	14.00	\$ 4,000.00	\$ -	\$ 4,000.00	\$ 2,800.00
712-01	TRAFFIC CONTROL	LS	1	\$ 2,260.00	42	0	42	\$ 450.00	\$ -	\$ 450.00	\$ 2,250.00
712-04-01	FLEXIBLE DRUMS (CHANNELIZING)	EACH	20	\$ 10.00	28	0	28.00	\$ 200.00	\$ -	\$ 200.00	\$ 200.00
712-06	SIGNS (CONSTRUCTION)	SF	281	\$ 10.35	28	0	282.50	\$ 2,821.88	\$ -	\$ 2,821.88	\$ 3,020.75
712-08-03	ARROW BOARD (TYPE C)	EACH	2	\$ 650.00	2	0	2	\$ 1,300.00	\$ -	\$ 1,300.00	\$ 1,020.00
716-02-01	PLASTIC PAVEMENT MARKING (4" LINE)	LM	21	\$ 4,200.00		0	0.00	\$ -	\$ -	\$ -	\$ 8,820.00
716-02-02	PLASTIC PAVEMENT MARKING (STOP LINE)	LF	30	\$ 21.00		0	0.00	\$ -	\$ -	\$ -	\$ 756.00
716-02-09	PLASTIC PAVEMENT MARKING (LONGITUDINAL CROSS-WALK)	LF	245	\$ 26.25		0	0.00	\$ -	\$ -	\$ -	\$ 6,431.25
716-05-01	PAINTED PAVEMENT MARKING (4" LINE)	LM	1.0	\$ 1,575.00		0	0.00	\$ -	\$ -	\$ -	\$ 1,575.00
717-01	MOBILIZATION	LS	1	\$ 7,000.00	0.28	0	0.15	\$ 1,050.00	\$ -	\$ 1,050.00	\$ 7,000.00
	ITEMS SUBTOTAL							\$ 36,125.23	\$ -	\$ 36,125.23	\$ 316,842.95
	CHANGE ORDER ITEMS							\$ -	\$ -	\$ -	\$ -
	CHANGE ORDER ITEMS SUBTOTAL							\$ -	\$ -	\$ -	\$ -
	STORED MATERIALS							\$ -	\$ -	\$ -	\$ -
	STORED MATERIALS SUBTOTAL							\$ -	\$ -	\$ -	\$ -
	Total Completed & Stored							\$ 36,125.23	\$ -	\$ 36,125.23	\$ 316,842.95
	Retainage Less 0% Current Cost / Less 0% Previous Cost / Less 0% Cost to Date							\$ -	\$ -	\$ -	\$ -
	Total of Previous Payments / Cost to Date Minus Retainage							\$ -	\$ -	\$ 36,125.23	\$ -
	Current Payment Due							\$ 36,125.23	\$ -	\$ 36,125.23	\$ -

# MONTHLY CONSTRUCTION REPORT



## CITY OF GALLATIN

123 West Main Street  
Gallatin, TN 37006

### MONTHLY CONSTRUCTION REPORT

December 13, 2012

Charles Dewese Construction Co.  
785 Industrial By Pass North  
Franklin, KY 42135

Pin #: 106988.00  
Project: 83PLM-F3-012  
County: Sumner

Dear Sir:

As of the pay period ending 11/30/2012, Estimate No. 004, the status of your contract is as follows:

Total Days Charged to date:	107	Total Days Allowed in Contract:	123
Total Contract Paid:	\$ 412,578.85	Original Contract Amount:	\$ 412,578.85
Total Earnings to Date:	\$ 313,166.02	Current Contract Amount:	\$ 412,578.85
% Work Complete:	75.00	% Time Complete:	87.00
Original Completion Date:	12/15/2013	Adjusted Completion Date:	12/15/2012
		Est. Comp Date:	12/15/2012

% Difference in time consumed and project completed: 11.10

Time consumed is more than 15% of the project completed: No Please advise this office in writing as to how your company plans to correct this delay if the time consumed is greater than 15%.

Supervisor Remarks:

The above information is reflected in the contract records. Should your records in any way differ from the above information, please advise this office within 5 days from this date.

Sincerely,

Gordon L. Hunter, SSR, Inc. for  
The City of Gallatin

cc: City of Gallatin  
American Safety Casualty Co.  
TDOT



## PROMPT PAYMENT AND RETAINAGE

- The prime contractor shall pay each subcontractor no later than thirty (30) days after payment is received from the LG (T.C.A. 12-04-707). The Certification Regarding Prompt Payment to Subcontractors and Material Suppliers and DBE/SBE Payment Summary Form (Form 8-29) must be completed by the Prime Contractor to certify each month that payment has been made to the appropriate subcontractors and submitted monthly to the TDOT Civil Rights Office via their web address (DBE.runningtally@tn.gov). The prompt payment form will run two months in arrears (example: to pay the progress payment for March 2016 the prompt payment form for January 2016 must be on file). More information on certification of prompt payment can be found in Circular Letter 109.02-05 and **Circular Letter 109.02-05.01 (for projects let prior to August 2018)**. Please refer to TDOT Special Provision SP1247LP and <https://www.tn.gov/tdot/civil-rights/small-business-development-program.html> for further guidance (NAICS Codes will be added to this form in upcoming revision). **Form 8-29 also needs to be kept in project file and payment to the prime contractor from the LG should not be made if the form is not received from the contractor.**
- In addition, **the LG may not withhold retainage on progress payments from the prime contractor and the prime contractor may not withhold retainage from their subcontractors.**

# PROMPT PAYMENT



Local Government Guidelines Form 8-29  
March 9, 2018

## CERTIFICATION REGARDING PROMPT PAYMENT TO SUBCONTRACTORS AND MATERIAL SUPPLIERS AND DBE/SBE PAYMENT SUMMARY

Project Title: \_\_\_\_\_  
 Contractor: \_\_\_\_\_ PIN: \_\_\_\_\_  
 State Project No.: \_\_\_\_\_ Contract No.: \_\_\_\_\_  
 Federal Project No.: \_\_\_\_\_ County: \_\_\_\_\_  
 Report Period: \_\_\_\_\_ DBE Goal: \_\_\_\_\_

I certify that to the best of my knowledge, for the estimate period denoted above that all subcontractors and material suppliers have been paid to date by the Local Government in accordance with the tables below. I have listed exceptions and reasons for non-payment to subcontractors and where joint checks were utilized, as provided below. (TCA 12-4-707D & Section 109.02)<sup>(1)</sup>

**Exceptions:**

Subcontractor or Material Supplier Name	DBE/SBE <sup>(2)</sup>	Reason For Nonpayment

**Only complete the following if joint checks were utilized<sup>(3)</sup>:**

Subcontractor or Material Supplier	DBE/SBE <sup>(2)</sup>	Payment Amount	Date	Payment To Date

**Also, I certify that the following DBE/SBE<sup>(2)</sup> were paid the amounts listed during this estimate period:**

DBE/SBE <sup>(2)</sup> Subcontractor or Material Supplier	DBE/SBE <sup>(2)</sup>	Payment Amount	Payment Date	Payment To Date

Electronic submission of this form certifies the information contained within. Certified by:

\_\_\_\_\_  
Signature Title Date



Local Government Guidelines Form 8-29  
March 9, 2018

**Guidelines:**

1. This certification is for the Local Government's information only and does not place any obligation on the part of the Local Government with regard to any party including but not limited to any subcontractor and Contractor's surety. This certification will be required before processing a monthly progress payment to the Contractor. The certification will run two months in arrears (i.e. progress payment for March 2018 would require certification for January 2018). This certification shall be sent to the project supervisor. When exceptions or joint check subcontractors are listed, the project supervisor shall send copies to the TDOT Local Program Development Office. If an exception or joint check includes a DBE subcontractor then an additional copy shall be sent to the TDOT Civil Rights Office.
2. SBE status should be used only if the firm is certified as a Small Business with the TN Go-DBE. [www.tennessee.gov/diversity](http://www.tennessee.gov/diversity)
3. Copies of joint checks are to be attached to this report.
4. Forms listing DBE participation should be submitted concurrently to [DBE\\_running@tn.gov](mailto:DBE_running@tn.gov) and [local\\_programs@tn.gov](mailto:local_programs@tn.gov).



## ALTERATIONS AND EXTRA WORK (CHANGE ORDERS OR PLAN REVISIONS)

- The construction industry recognizes that it is unrealistic to expect that a construction project could be built without deviating from the project plans. Although project designers should be diligent and exercise due care in developing the plans, they are not omniscient. There are many peculiarities (e.g., unforeseen site conditions, utility conflicts, changes in the geology, etc.) that can arise during construction and virtually every project should expect changes. Only the construction engineer is in a position to judge the adequacy of project designs and respond to needed changes. The LG may initiate a Plans Revision.
- Extra work shall be completed in accordance with subsections 104.02 and 104.03 of the TDOT Standard Specifications as outlined in 23 CFR 635.120. Any changes to the original proposal contract or plans must be documented by a Local Programs Change Order (Form 8-30) along with all supporting documentation for costs associated with the Change Order. **The request must be submitted to the LPDO for funding eligibility approval prior to proceeding with the Change Order request.**



## ALTERATIONS AND EXTRA WORK (CHANGE ORDERS OR PLAN REVISIONS) (CONT'D)

- The supporting documentation shall include:
  - A description of the condition with the date, time, and location impacted
  - Explanation of why the condition represents a change to the contract
  - A statement of all changes required to the contract price(s), delivery schedule, phasing and time. The pricing component shall include a comparison of average unit prices; or the contractor's labor and equipment costs; or other approved methods
- After approval is received from the Local Programs Development Office, it can then be signed by the contractor, his surety, and Local Government Project Supervisor. An executed copy shall also be submitted to the Local Programs Development Office. The approved change order becomes part of the contract. In addition, a Summary Change Order shall be prepared and submitted to TDOT as outlined in Section 8.4.3.



## **ALTERATIONS AND EXTRA WORK (CHANGE ORDERS OR PLAN REVISIONS) (CONT'D)**

- Upon receipt of a Plans Revision Request, a plans revision shall be made by the “Engineer of Record” to the plans when an error, omission, correction, or additional detail is needed. Plans revisions shall be documented by the following information:
  1. Revision Number – Revisions shall be numbered consecutively throughout the life of the project.
  2. Revision Date – The effective date of the revision.
  3. Brief Description – A brief description as to the basis of the revision.

# CHANGE ORDER



Local Government Guidelines Form 8-30  
March 9, 2018

## Supplemental Agreement and/or Request for Construction Change Change Order Request # \_\_\_\_\_

Project Title/Terminal: \_\_\_\_\_  
 Owner: \_\_\_\_\_ PIN: \_\_\_\_\_  
 Address: \_\_\_\_\_ State Project No.: \_\_\_\_\_  
 \_\_\_\_\_ Federal Project No.: \_\_\_\_\_  
 \_\_\_\_\_ Contract No.: \_\_\_\_\_  
 County: \_\_\_\_\_

Whereas, we \_\_\_\_\_ with \_\_\_\_\_, as a Surety, entered into a contract with \_\_\_\_\_, on \_\_\_\_\_, for the construction by said Contractor of the above designated contract; and Whereas, certain items of construction encountered, are not covered by the original contract, we desire to submit the following additional items of construction to be performed by the Contractor and paid by the Owner at the price(s) scheduled therefore below:

The purpose of this Change Order is to:

As a result of this Change Order, contract time shall:

Not Change,  Increase by \_\_\_\_\_ days,  Decrease by \_\_\_\_\_ days

Original Construction Completion Time: \_\_\_\_\_ days (Date: \_\_\_\_\_)

Original Contract Amount: \$ \_\_\_\_\_  
 Approved Change Orders: \$ \_\_\_\_\_  
 Current Change Order: \$ \_\_\_\_\_  
 Pending Change Orders: \$ \_\_\_\_\_  
 Total Change Orders:: \$ \_\_\_\_\_

Contract Completion Time with Change Orders: \_\_\_\_\_ days (Date: \_\_\_\_\_)



Local Government Guidelines Form 8-30  
March 9, 2018

## Supplemental Agreement and/or Request for Construction Change Change Order Request # \_\_\_\_\_

Unit prices listed below include labor, materials, profit, overhead, and incidentals necessary to complete this work. A separate attached spreadsheet with the same information may be used in lieu of the table below.

Item No.	Description	Unit	Current/ Pending Quantities	Revised Quantities	QTY Over + QTY Under -	Contract Price	Net Amount Due Change
						\$	\$
						\$	\$
						\$	\$
						\$	\$
						\$	\$
						\$	\$
						\$	\$
						\$	\$
						\$	\$
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						\$	\$
						\$	\$
						\$	\$
						\$	\$

Now, Therefore, We, \_\_\_\_\_ Contractors, and \_\_\_\_\_, Surety, hereby agree to the Supplemental Agreement consisting of the above mentioned items and prices, and agree that this Supplemental Agreement is hereby made a part of the original contract and will be performed by this Contractor in accordance with specifications thereof, and that the original contract remain in full force and effect, except insofar as specifically modified by this Supplemental Agreement.

Recommended for Approval  
 Approved By: \_\_\_\_\_  
 Engineer/CEI (Signature) \_\_\_\_\_ Date \_\_\_\_\_  
 By: \_\_\_\_\_  
 Contractor (Signature) \_\_\_\_\_ Date \_\_\_\_\_  
 By: \_\_\_\_\_  
 Surety (Signature) \_\_\_\_\_ Date \_\_\_\_\_  
 By: \_\_\_\_\_  
 Owner (Signature) \_\_\_\_\_ Date \_\_\_\_\_  
 Approved for Eligibility By: \_\_\_\_\_  
 Local Programs (Signature) \_\_\_\_\_ Date \_\_\_\_\_



# MATERIALS AND TESTS PROCEDURES



## MATERIALS AND TESTS

- The quality of materials on the project and tests performed must conform to all applicable TDOT Standard Specifications, Standard Operating Procedures and ASTM and/or AASHTO Standard Specifications for Transportation Materials and Methods of Sampling and Testing, most current edition.
- The Local Government or CEI shall provide the TDOT Regional Materials Supervisor a set of plans and a copy of the bid book for each project prior to the Pre-Construction Conference as outlined in Section 8.2.7.
- **Asphalt and concrete mix designs shall meet TDOT specifications. All mix designs should be a TDOT preapproved plant specific design. In the event a non-standard design is called for, approval shall be the responsibility of the LG. These non-standard designs shall be submitted to the LG following the same submittal process as those submitted to TDOT and outlined within TDOT Standard Operating Procedures SOP 4-4 (Concrete) and SOP 3-4 (Asphalt).**

# CONCRETE MIX DESIGN



**STATE OF TENNESSEE**  
**DEPARTMENT OF TRANSPORTATION**  
 DIVISION OF MATERIALS AND TESTS  
 FIELD OPERATIONS  
 601 CENTENNIAL BLVD.  
 NASHVILLE, TENNESSEE 37243-0360

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CONTRACT NO. \_\_\_\_\_ LOCAL PROGRAM PIN: 112765.00

PROJECT NO. \_\_\_\_\_

COUNTY \_\_\_\_\_

**PROJECT INFORMATION**

CONTRACTOR: ROY T. GOODWIN

PROJECT REFERENCE NO.: ARRA-STP-M-9301(23)

REGION: 3

LETTING DATE: \_\_\_\_\_

DATE ISSUED: 7-Sep-10

DATE UPDATED: \_\_\_\_\_

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**MATERIALS AND PRODUCERS**

CONCRETE PRODUCER		IRVING MATERIALS, INC.		CLARKSVILLE, TN (#886)	
CEMENTITIOUS MATERIALS	CEMENT	TYPE I	G = 3.15	LAFARGE	GRAND CHAIN, IL
	SUPPLEMENTARY CM	FLYASH CLASS C	G = 2.70	MINERAL RESOURCES TECHNOLOGIES	FESTUS, MO
AGGREGATE	SUPPLEMENTARY CM	GGBFS, GRADE XXX	G =		
	COARSE AGGREGATE	#57 LIMESTONE	G = 2.69	VULCAN MATERIALS COMPANY	CLARKSVILLE, TN
	FINE AGGREGATE	MANUFACTURED SAND (FM=X.XX)	G =		
		NATURAL SAND (FM=2.82)	G = 2.61	WINN MATERIALS	CLARKSVILLE, TN
CHEMICAL	1 AIR ENTRAINER	MICRO AIR			
ADMIXTURES	2 REDUCER	OLENIUM 7500			
BASF ADMIXTURES	3 REDUCER/RETARDER				
	4 ACCELERATOR				
	5 HIGH RANGE REDUCER				
	6 OTHER				

Retarder to be used when temperature is 85 degrees F or higher.  
 Admixture dosage shall be in accordance with manufacturer's recommendations

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**MIX DESIGN DATA**

CLASS OF CONCRETE ⇨	CLASS A				
	lb/yd <sup>3</sup>	lb/yd <sup>3</sup>	lb/yd <sup>3</sup>	lb/yd <sup>3</sup>	lb/yd <sup>3</sup>
CEMENT	423				
FLY ASH	141				
GGBFS	0				
#57 LIMESTONE	1854				
NATURAL SAND	1199				
MANUFACTURED SAND	0				
WATER	260				
CHEMICAL ADMIXTURES	1,2				
THEORETICAL WEIGHT, PCF	143.1				
% FA VOLUME OF TOTAL AGGREGATE	40.1				
DESIGN W/C M RATIO	0.44				
DESIGN AIR CONTENT	6%				
REQUIRED COMPRESSIVE STRENGTH @ 28 DAYS, PCF	3000				
REQUIRED COMPRESSIVE STRENGTH @ 18 HOURS, PCF	NA				
DESIGN NUMBER	10 036				
PREVIOUSLY ISSUED ON CONTRACT	CNH 155				
CHARGE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The initial shipment of concrete must be accompanied by an aggregate card (CA and FA). Cards must be prepared periodically thereafter during the project. Design as specified in TDOT sections 501.01, 604.03, 702.01, or as applicable. Manufactured sand shall not be used in riding surfaces.

Issued By: Richard Weber  
 Headquarters (Materials & Tests)

# ASPHALT JOB MIX DESIGN



**STATE OF TENNESSEE ASPHALT JOB MIX FORMULA**

NO 2009 V1.0 L-20

Project Ref. No.	SP	Date	04/06/2010
Project No.	94840-3233-04 / 94840-3234-04	Region	3
Contract No.	CNJ043	County	Williamson
Contractor	Eubank Paving	Date of Letting	02/05/10
State Route No.	840	Roadway Surface	No
Hot-mix Producer	EUBANK ASPHALT, DICKSON PLANT #1		

Type BPM6-HM Mix 307-A PG 64-22 Item 307-01.01

Serial No.:	Design No.:	311147
-------------	-------------	--------

Material	Size or Grade	Producer and Location	Percent Used
#5	Coarse Aggregate	RGI Hickman Co.	44.068
#57	Coarse Aggregate	RGI Hickman Co.	23.950
#10 (Hard)	Screenings	RGI Hickman Co.	27.782
Asphalt Cement	PG 64-22	ERSON ASPHALT CO., NASHVILLE TERMINAL	4.200
Percent AC in RAP1:		Optimum AC Content:	4.2
		Total	100.000
Percent AC in RAP2:			
Anti-Strip Additive:		Pave Bond Lite	Dosage: 0.3%
AC Contribution:	Virgin AC: 4.20	RAP AC:	Percent Virgin AC:
Asphalt Sp. Gravity:	1.032	Dust to Asphalt Ratio:	N/A
% Fracture Face on CA:	N/A	% Glassy Particles on CA:	N/A
Gravity of RAP Agg:	2.405	Eff. Gravity of Agg:	2.602
Theo. Gravity:	2.445	T.S.R.:	N/A
		Lbs/FT <sup>3</sup> :	152.6
L.O.I.:	N/A	Ignition Oven Corr. Factor:	N/A
ADT:	8170	Log Miles	Beginning: Ending:
Mixing Temp Range(F):	295-335	Compaction Temp Range(F):	290-320
Mixing Temperature(F):	315	Compaction Temperature(F):	300

Sieve Size	Percents Used				% Req.	Design Range
	#5	#57	#10 (Hard)			
2"	46.0	25.0	29.0		100	100
1.5"	100	100	100		100	81-100
1.25"						
1"						
3/4"	40	94	100		71	50-71
5/8"						
1/2"						
3/8"	7	25	100		38	35-50
No.4	2	4	93		29	24-36
No.8	2	2	83		19	13-27
No.16						
No.30	1	2	28		9	7-17
No.50						
No.100	0.5	0.5	15.0		4.7	0-10
No.200	0.5	0.5	13.0		4.1	0-4.5

Requested: Grum, Eubank Paving, LT-264 Approved: \_\_\_\_\_  
Contractor Personnel and Lab Tech Cert No. Regional Materials and Tests Supervisor

Date last lab inspection 5/1/2009 Approved: \_\_\_\_\_  
Headquarters Materials and Tests

# MATERIALS AND TESTS PROCEDURES



## **MATERIALS AND TESTS (CONT'D)**

- Construction Inspection and Approval must conform to Federal-Aid Policy Guide 23 CFR 637 subpart B – Quality Assurance Procedures for Construction.
- The Quality Assurance Procedures for Construction as set forth in the federal policy generally consists of the following points:
  - All materials used on the project must have test reports, material certifications and/or field testing by certified personnel to document that the material meets appropriate specifications.
  - Testing shall be in accordance with a FHWA approved testing program which includes procedures for the sampling, testing and acceptance of materials and products. The source for each type of material must be on TDOT's Qualified Product List or Producer List.

# MATERIALS AND TESTS PROCEDURES



## ACCEPTANCE TESTS

- Acceptance samples and tests are used for determining the quality and acceptability of the material and workmanship which have been or are being incorporated in the project. The results of these tests are to be used by the Local Government to determine conformance to contract documents.
- Local Government/CEI shall conduct Acceptance Sampling and Testing in accordance with TDOT SOP 1-1. Acceptance testing may be conducted by a 3rd party laboratory, accredited through the AASHTO Accreditation Program (AAP). The LG must have the 3rd party laboratory's **AASHTO Re:Source**-and/or Cement and Concrete Reference Laboratory (CCRL) accreditation on file prior to testing. A list of accredited laboratories can be found at the **AASHTO Re:Source** website.
- All materials incorporated in the construction of the project shall be approved regarding material requirements. Materials used on the project must have test reports, material certifications, and/or field testing by certified personnel to document that the materials meet appropriate specifications.

# MATERIALS AND TESTS PROCEDURES



## ACCEPTANCE TESTS (CONT'D)

- Estimated item quantities shall not be paid without the proper material certification on file in the appropriate project file. Item payment shall be withheld until the proper approved material certification is in hand.
- Materials delivered to the project site used in work shall be in compliance with TDOT Specifications, Qualified Products List or other contract documents when TDOT specifications are utilized
- Materials accepted by certification require a T-2 form attached to the certification. Form 8-31 (DT-0044LP) is the Contractor Material Certification and/or Sampling & Testing Record. Material Certifications shall be date appropriate according to the date the material was used.
- **The Buy America requirements in Special Provision 106A regarding iron and steel products are applicable.**

# SPECIAL PROVISION 106A



SP106A

SP106A

Page 1 of 2

STATE

OF

TENNESSEE

(Rev. 6-20-11)

January 1, 2021

SPECIAL PROVISION

REGARDING

BUY AMERICA REQUIREMENTS

All manufacturing processes for iron and steel products, and coatings applied thereon, used in this project shall occur in the United States except that if the proposal has bid items for furnishing domestic and foreign iron and steel, the bidder will have the option of (1) submitting a bid for furnishing domestic iron and steel, or (2) submitting a bid for furnishing domestic iron and steel and a bid for furnishing foreign iron and steel. If option (2) is chosen, the bid will be tabulated on the basis of (a) the total bid price using the bid price for furnishing domestic iron and steel and, (b) the total bid price using the bid price for furnishing foreign iron and steel.

For the total bid based on furnishing foreign iron and steel to be considered for award, the lowest total bid based on furnishing domestic iron and steel must exceed the lowest total bid based on furnishing foreign iron and steel by more than 25 percent. The 25 percent differential applies to the total bid for the entire project, not just the bid prices for the steel or iron products.

Iron and steel products are defined as products rolled, formed, shaped, drawn, extruded, forged, cast, fabricated or otherwise similarly processed from iron and steel made in the United States. Iron products are included, however, pig iron and processed, pelletized, and reduced iron ore may be purchased outside the United States.

Manufacturing begins with initial melting and continues through the coating stage. Any process which modifies chemical content, physical size or shape, or the final finish is considered a manufacturing process. Coatings include epoxy, galvanizing, painting or any other surface protection that enhances the value and/or durability of a material.

The contractor shall provide a certification to the Engineer with each shipment of iron and steel products to the project site that the manufacturing processes for the iron and steel products occurred in the United States. No steel shall be placed until the contractor ensures the requirements of this Special Provision are met.

The above requirements do not prevent a minimal use of foreign materials, if the cost of such materials used does not exceed 0.1 percent of the total contract cost or \$2,500.00, whichever is greater. If steel not meeting the requirements of this Special Provision is used, the contractor shall provide a written statement to the Department prior to its use indicating where the steel will be incorporated in the work,

SP106A

SP106A

Page 2 of 2

the value of the steel, the percentage of the contract amount, and the appropriate invoices shall be submitted as documentation.

The contractor shall be responsible for all cost associated with any steel that is permanently incorporated into the project that does not meet the requirements of this Special Provision without prior written approval from the Department, up to and including removal and replacement.

# MATERIALS AND TESTS PROCEDURES




## ACCEPTANCE TESTS (CONT'D)

- Materials not accepted on certification shall have daily reports documenting the actual test results.
- The required forms for material certifications/test reports are located at <https://www.tn.gov/tdot/materials-and-tests/field-operations/forms.html>. Each form has an example completed form.
- All Material Certifications/Test Reports shall be documented by the LG/CEI. There shall be a test report totals summary for every item that requires certification/test reports for materials used.



# MATERIALS CERTIFICATION FORM (T-2)





STATE OF TENNESSEE  
DEPARTMENT OF TRANSPORTATION  
DIVISION OF MATERIALS AND TESTS  
6601 CENTENNIAL BLVD.  
NASHVILLE, TENNESSEE 37143-0369


## SAMPLE

CONTRACTOR MATERIAL CERTIFICATION  
AND/OR  
SAMPLING AND TESTING RECORD

Original Sample     Check Sample

Project Reference No. STP-14-1234(5)    County MONTGOMERY    Region 3  
 Project No. 12345-6789-10    Contract No. 1234  
 Contractor Bob Jones    Heat No. \_\_\_\_\_    Size \_\_\_\_\_  
 Date Sampled 12-Jan-03    Date Received at Lab 13-Jan-03  
 Identification see below    Date Reported 14-Jan-03  
 Submitted by John Smith    Sampled by Bill Smith  
 Sampled from Certifications    Amount Represented see below  
 Producer Kern Brothers    Location Clarksville  
 Manufacturer see below    Location Atlanta, GA  
 Lab Serial No. A123    Report No. 34-234

ITEM NUMBER	DESCRIPTION, FIELD USE AND/OR LAB USE	QUANTITY
	PAVEMENT MARKING SHEETS	
718.05.20	SHERWIN WILLIAMS - WHITE PAINT - BATCH NO.	
718.05.20	M2501	500 GAL
718.05.20	M3171	23 GAL
718.05.20	M2981	5 GAL
	TOTAL	588 GAL
	SHERWIN WILLIAMS - WHITE PAINT - BATCH NO.	
718.05.20	M2001	200 GAL
718.05.20	M1701	78 GAL
718.05.20	M2971	40 GAL
	TOTAL	414 GAL
	INCIDENTAL ITEMS:	



Bob Jones  
Contractor Personnel Signature

**THE CONTRACTOR MUST FILL OUT THIS PORTION PROVIDED THE MATERIAL IS IDENTIFIED. A NOTARIZED SIGNATURE IS REQUIRED.**

I hereby certify that the above referenced material to be incorporated into this project is TESTED and meets the manufacturer's certification.

Contractor/Employee Signature Bob Jones    B.B. Construction Co.  
 Sworn to and subscribed before me this 20th day of January, 2003

WITNESSED BY: John Smith    My COMMISSION expires on 23-Dec-05  
Notary Public

**T.O.T. Use Only**

This material accepted by certification and visual inspection.

Accepted By: \_\_\_\_\_ OR John Smith  
Project Inspector    Project Supervisor

Reviewed By: John Smith    Regional Materials and Tests

This material  meets the requirements of the specification for see item numbers above  
 does not meet

Tested by \_\_\_\_\_ Approved \_\_\_\_\_  
Engr. Of Materials and Tests

Form DT-2044 (Rev. 10-02)

# MATERIALS AND TESTS PROCEDURES



## **PROJECT MATERIALS ACCEPTANCE**

- Products delivered to the project site for use in the work shall be in compliance with TDOT Specifications, Qualified Products List, or other contract documents. Products accepted by certification shall have a materials certification attached to a completed Form 8-31, or similar, stating the TDOT test requirements and certified test results. Other products shall have daily reports showing actual test results. Progress payments should not be made on an item if there are insufficient certifications or test data for that item (Circular Letter 109.02-01).
- All materials shall be accepted in accordance with this manual and TDOT Standard Operating Procedures (SOP).

# MATERIALS AND TESTS PROCEDURES



## **VERIFICATION TESTS**

- Verification samples and tests are those used for validating the quality of a product which is being incorporated into the project. LG or CEI shall be responsible for obtaining verification samples in accordance with TDOT SOP 1-1 and submitting to TDOT Materials & Tests. TDOT Materials & Tests shall conduct Verification Testing in accordance with TDOT SOP 1-1.
- The CEI or the Local Government shall notify the TDOT Regional Materials Supervisor at least 72 hours prior to the start of work requiring verification testing.

# MATERIALS AND TESTS PROCEDURES



## INDEPENDENT ASSURANCE TESTS

- TDOT Materials & Tests shall conduct Independent Assurance Sampling and Testing in accordance with TDOT SOP 1-2. Independent Assurance testing is only required for projects on the National Highway System (NHS).
- The CEI or the Local Government shall notify the TDOT Regional Materials Supervisor at least 72 hours prior to the start of work requiring Independent Assurance testing.
- Independent assurance samples and tests are used for the purpose of making checks on the reliability of the results obtained in acceptance sampling and testing. An independent assurance technician will be responsible for observing the acceptance technician conduct the tests to ensure that the proper techniques and procedures are followed.
- Independent assurance sampling shall be conducted at the minimum frequency established in TDOT SOP 1-2. A prompt comparison of acceptance test results with independent assurance test results will be made by the TDOT representative. This comparison must be documented in the project records. If the comparison indicates a problem either with the materials or with the testing methods, action must be taken immediately to resolve the problem.

# MATERIALS AND TESTS PROCEDURES



## PROJECT MATERIAL CERTIFICATION

- A materials certification shall be issued by the Local Government or their CEI Representative to the Local Program Development Office at the completion of the project in accordance with 23 CFR 637.207.
- The intent of the material certification is to assure that the quality of all materials incorporated into the project is in conformance with the plans and specifications.
- The certification from the Local Government or their CEI Representative must be based on an audit of the project records according to a certification check list stating that:  
**“The results of the test on acceptance samples indicate that the materials incorporated in the construction work, and the construction operations controlled by sampling and testing, were in conformity with the plans and specifications; and such results compare favorably with the results of the independent assurance sampling and testing. Exceptions to the plans and specifications are explained in the attachment.”**

# MATERIALS AND TESTS PROCEDURES



## **PROJECT MATERIAL CERTIFICATION (CONT'D)**

- At the completion of the project, the Local Programs Material and Tests Certification (DT-1696LP) with supplement form, including documentation for all failing material tests and the corrective action taken, shall be completed by the LG and submitted to the LPDO. This assures compliance with 23 CFR 637.207. The certification document shall be placed in the End of Job file. The intent of the material certification is to ensure that the quality of all materials incorporated into the project is in conformance with the plans and specifications.

# MATERIALS AND TESTS CERTIFICATION FORM



## Local Programs Materials & Tests Certification

Date: \_\_\_\_\_

Project Reference No.: \_\_\_\_\_

Project No.: \_\_\_\_\_

PIN: \_\_\_\_\_

County: \_\_\_\_\_

Region: \_\_\_\_\_

Local Programs Development Office  
 500 Deaderick St.  
 Suite 600 James K. Polk Bldg.  
 Nashville, TN 37243  
[Local.Programs@tn.gov](mailto:Local.Programs@tn.gov)

The results of the test(s) on acceptance samples indicate that the materials incorporated into the construction work and the construction operations controlled by sampling and testing, conform in substance with the approved plans and specifications.

Furthermore, all mix designs, verifications and assurance samples have been approved and conducted according to TDOT Standard Operating Procedures (SOPs).

Any exceptions to the plans, specifications or SOPs including any failing results are explained in the attachment.

- All Tests meet specifications and were conducted according to TDOT SOPs.
- See attached supplement to this certification for items below standard specifications.

Were Independent Assurance Samples required on this project?  YES  NO

Remarks:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 CEI Inspector/Records Clerk Date

\_\_\_\_\_  
 CEI Director/Engineer/Manager Date

\_\_\_\_\_  
 Maintaining Agency Representative/Title Date

Distribution: [Local Programs Development Office](#)  
[Regional Materials & Tests](#)  
[Development, Materials & Tests](#)  
[Regional Operations Supervisor](#)

Form DT-1696(LP)

## SUPPLEMENT TO LOCAL PROGRAMS MATERIALS AND TESTS CERTIFICATION Items Below Standard Specification(s)

Date: \_\_\_\_\_

Project Reference No.: \_\_\_\_\_

Project No.: \_\_\_\_\_

PIN: \_\_\_\_\_

County: \_\_\_\_\_

Region: \_\_\_\_\_

Listed below are all items on the above project that are below TDOT Standard Specifications. This includes any exceptions to the plans, Standard Operating Procedures and any failing test results.

\_\_\_\_\_  
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\_\_\_\_\_  
 Signature/Title Date

(supplement should be attached to [Local Programs Materials & Tests Certification](#) page 1)  
 Form DT-1696(LP)



## **FINAL INSPECTION / ACCEPTANCE**

- When all work is complete, the Local Government's Project Supervisor and the Local Government Official responsible for the administration of the project shall conduct a final inspection of the project along with the CEI and with TDOT's participation, to determine the quality, completeness, acceptability, and ADA compliance of the work and to ensure that the authorized project was constructed in reasonable conformance with the contract requirements. Refer to Circular Letter 105.11-01 for additional information on resolving issues found during the inspection (Punch List items). Form 8-32 may be used as a template to document punch list items.
- All local projects with bridges greater than or equal to 20 feet long shall receive an initial inspection by TDOT bridge inspectors to develop a punch list prior to acceptance. TDOT Standard Specifications 105.15 and 108.06 provide the general guidance to determine the acceptance date of the project. Final as-built information for structures shall be submitted as outlined in Section 8.2.19.



# FINAL INSPECTION/ACCEPTANCE



## **FINAL INSPECTION / ACCEPTANCE (CONT'D)**

- Any work that has not been completed in accordance with the contract after the established contract completion date (or working days) shall be assessed liquidated damages (23 CFR 635.127).
- Documents relating to the Final Inspection shall be included in the End of Job folder. The Final Inspection Date shall be documented in the project diary. Also, the attendees at the inspection shall be listed and if applicable, the work that must be performed to complete the project (Punch List).



# FINAL INSPECTION/ACCEPTANCE



## COMPLETION NOTICE

- The Local Government Project Supervisor shall send to the LPDO, TDOT Operations Representative, TDOT Regional Materials and Tests Supervisor, contractor, and surety a Completion Notice (Form 8-33) indicating that all items of work have been inspected and are complete. The notice shall be sent as soon as possible after all items are accepted as complete. The completion date is the date time charges are stopped. This notice shall be sent by email to [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov).

# COMPLETION NOTICE



Local Government Guidelines Form 8-33  
March 9, 2018

Manager, TDOT Local Programs Office  
JKP Building, Suite 600  
505 Deaderick Street  
Nashville, TN 37243-0341

RE: COMPLETION NOTICE  
PIN:  
County:  
Federal Project No.:  
Description:

State Project No.:  
Contract No.:  
Reference No.:

To Whom it May Concern:

The above project was inspected and accepted as complete on \_\_\_\_\_ by \_\_\_\_\_ representing the Tennessee Department of Transportation.

THE HISTORY OF THE PROJECT IS AS FOLLOWS:

Notice to Proceed Date:

Work Begin Date:

Substantial Work Complete Date:

Original Completion Date: ON/BEFORE

Adjusted Completion Date: ON/BEFORE

Actual Number of days used:

Contractor:

S.P. 108B:

No  Yes

Did contract have a Notice Of Coverage from TDEC?

No  Yes (If yes, a copy of the Notice Of Termination submitted to TDEC must be sent to Local Programs before sending a Completion Notice.)

If any exceptions, date completed:

Sincerely,

cc: Contract file  
Regional Construction Engineer  
Regional Materials & Tests Engineer  
Regional Environmental Coordinator  
Director, Material & Tests Division  
Director, Small Business Development Office

Contractor  
Surety

# FINAL INSPECTION/ACCEPTANCE



## **FULL SETTLEMENT / CLAIMS**

- Full settlement shall be made in accordance with T.C.A. 54-05-122. The LG shall be required to provide the necessary notice in a newspaper of general circulation as stated in T.C.A. 54-05-122. The contractor shall also provide an affidavit (Form 8-34) as evidence that materials, labor, and payment comply with this statute.
- Any claims against the LG should be made in accordance with Sections 105.16 and 107.19 of TDOT Standard Specifications and 23 CFR 635.124.
- The Local Government will issue a Completion Notice to advertise the construction contract for claims. The LG shall have a request for the filing of claims published in an area press service (with the greatest coverage) for two consecutive weeks (one advertisement per week). The notices shall include a due date for claims that meets current T.C.A. guidance, currently at least 30 days from the last published date. The LG will mail copies of the request to the Prime Contractor, Surety Agent, and the Local Programs Development Office.

# AFFIDAVIT EXAMPLE



Local Government Guidelines Form 8-34  
March 9, 2018

## Contractor's Affidavit Pertaining to Labor and Materials

The undersigned contractor on Contract No. \_\_\_\_\_, Project No. \_\_\_\_\_, Reference No. \_\_\_\_\_, County \_\_\_\_\_, hereby certifies that all laborers, mechanics, apprentices, trainees, watchmen, and guards employed by him or by any subcontractor performing the work under the contract on the project have been paid wages at rates not less than those required by the contract provisions, and that the work performed by each such laborer, mechanic, apprentice, or trainee conformed to the classifications set forth in the contract or training program provisions applicable to the wage rate paid.

The undersigned contractor further certifies that all sums of money which have been due for labor and material used in the construction of this project, that all damages suffered on account of such construction, and that all claims for which we are held liable under the laws of Tennessee, with the exception of the outstanding claims now on file with the Tennessee Department of Transportation, the provisions of our contract and the terms of our bond, have been paid. In the event that any just claim is presented of which we do not now have knowledge, we agree to protect the State of Tennessee Department of Transportation by making at once the proper settlement of such claims.

CONTRACTOR

By \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

State of \_\_\_\_\_

County \_\_\_\_\_

Date \_\_\_\_\_

Personally appeared before me, a notary public for said county and state, on this date the above named person who, on behalf of the named contractor, makes oath that this affidavit is true to the best of his information, knowledge, and belief.

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
My Commission Expires

# FULL SETTLEMENT/CLAIMS EXAMPLE



2995 Sidco Drive  
Nashville, TN  
(615) 383-1113  
(615) 386-8469 FAX  
www.ssr-inc.com

February 24, 2011

TO: Rebecca Winn  
The Leaf Chronicle  
200 Commerce St.  
Clarksville, TN 37040-0018

Dear Rebecca:

I am transmitting to you herewith a Notice which we wish to have published in the newspaper (s) for the indicated county (s) for two (2) consecutive weeks. This in accordance with the requirements of Tennessee Code Annotated Section 54-5-122.

**NOTICE TO FURNISHERS OF LABOR AND MATERIALS**

**TO:** McIntosh Construction Company, LLC  
**STATE PROJECT NO:** 63LPLM-F3-021, 63LPLM-F3-034 and 63LPLM-F3-035  
**CONTRACT NO:** Pin # 112765.00 **COUNTY:** Montgomery

The City of Clarksville is about to make final settlement with the contractor for construction of the above number projected. All persons wishing to file claims pursuant to Section 54-5-122, T.C.A. must file same with Jack Frazier, City of Clarksville Street Department, 199 Tenth St. Clarksville, TN 37040-6323 on or before 4/15/2011.

**NOTE TO PUBLISHER:** The above Notice is to be published on:  
3/4/2011 & 3/11/2011.

Immediately after the second date of insertion of this Notice send one (1) copy of your newspaper bill and one (1) Affidavit of Publication, which includes a clipping of the advertisement, to me at the address above.

Sincerely,

David Donoho  
Director of Transportation

cc: Clarksville Street Department  
Bonding Agent  
TDOT Local Programs  
file

Contractor  
TDOT Region 3 Construction Supervisor  
Commissioner of Labor



## **FINAL ESTIMATE AND SUMMARY CHANGE ORDER (CONT'D)**

- Contract Finalization - Upon completion of the project, the quantities paid to date shall be compared to the documented final quantities. All differences shall be corrected on the Final Estimate (the presumed last progress estimate). A Summary Change Order must be prepared to adjust the contract amount to an amount that coincides with the final quantities. Provide a copy of this change order to the LPDO along with the End of Job Certificate.
- Explanations of Overruns/Underruns – All overruns/underruns shall be explained in accordance with Circular Letter 109.03-01. Explanations shall be attached to the Final Estimate and filed in the End of Job file.
- Determination of Time based on Quantity Increase – Circular Letter 108.07-01 provides additional detail on the applicability and process for increasing contract working time based on the increase in quantities of the project.



# FINAL INSPECTION/ACCEPTANCE



## FINAL ESTIMATE AND SUMMARY CHANGE ORDER (CONT'D)

- After the records have been checked by the LG, a document should be sent to the contractor displaying a comparison of the Original Quantities to the Final Quantities. Now is the appropriate time to attach a request to the Contractor for CC-3s (if applicable) and any deficient material certifications required to pay the Final Estimate.
- Certification Regarding Money Paid to DBEs (CC-3) - As soon as possible after the project is completed; the contractor shall submit a CC-3 form (Form 8-35) for each DBE on the project to the Local Government. The CC-3 form certifies the amount of monies paid the DBE for this project. The Final Estimate shall not be processed until all the CC-3s have been received and are on file in the project records. Each original CC-3 shall be filed in the End of Job file. Once the contractor submits the CC-3's, send a copy to the TDOT Civil Rights Office and the Local Programs Development Office via their web addresses ([tdot.dbe.program@tn.gov](mailto:tdot.dbe.program@tn.gov) and [Local.Programs@tn.gov](mailto:Local.Programs@tn.gov)).

# SUMMARY CHANGE ORDER EXAMPLE



CERTIFICATE OF THE CONTRACTOR OR HIS DULY AUTHORIZED REPRESENTATIVE																					
<p>Project: ARRA - Multimodal Intersection Improvements</p> <p>To the best of my knowledge and belief, I certify that all items, units, quantities, and prices of work and materials shown on the face of Sheet 2 of this Periodical Estimate are correct and all work has been performed and materials supplied in full accordance with the terms and conditions of the corresponding construction contract documents between the undersigned as Contractor and the Metropolitan Department of Public Works of the City of Nashville, as Owner, Dated: March 10, 2010, and all authorized changes thereto; that the following is a true and correct statement of the contract amount up to and including the last day of the last day of the period covered by this estimate and that no part of the "Total Amount Due" as been received:</p> <p style="text-align: center;">State Project No. 19-LPLM-F3-051090209                      Fed. Project No. ARRA-STP-M-0312(93)                      TDOT Pin No. 112917                      Metro Contract No. 90209                      Job No.                      Invoice No. 7</p>																					
<p>Original Contract Amount <u>\$649,055.00</u></p> <p>Plus/Minus Approved Change Orders</p> <p>No. 1 Dated: 2-10-11 <u>\$ 30,672.00</u></p> <p>No. Dated: _____</p> <p>No. Dated: _____</p> <p>No. Dated: _____</p> <p>No. Dated: _____</p> <p>Revised Contract Amount <u>\$679,727.00</u></p> <p>Contract Amount To Date: <u>\$698,373.66</u></p>	<table> <tr> <td>(a) Amount Earned To Date</td> <td><u>\$698,373.66</u></td> </tr> <tr> <td>Stored Materials</td> <td><u>\$0.00</u></td> </tr> <tr> <td>Total Amount Earned</td> <td><u>\$698,373.66</u></td> </tr> <tr> <td>(b) Retainage</td> <td><u>\$0.00</u></td> </tr> <tr> <td>Total Retainage</td> <td><u>\$0.00</u></td> </tr> <tr> <td>(c) Total Due Less Retainage</td> <td><u>\$698,373.66</u></td> </tr> <tr> <td>(d) Less Total Previously Approved</td> <td><u>\$610,635.87</u></td> </tr> <tr> <td>(e) Liquidated Damages</td> <td><u>\$0.00</u></td> </tr> <tr> <td>(f) Bonus for early Completion</td> <td><u>\$0.00</u></td> </tr> <tr> <td>(h) Total Amount Due This Estimate</td> <td><u>\$87,737.79</u></td> </tr> </table>	(a) Amount Earned To Date	<u>\$698,373.66</u>	Stored Materials	<u>\$0.00</u>	Total Amount Earned	<u>\$698,373.66</u>	(b) Retainage	<u>\$0.00</u>	Total Retainage	<u>\$0.00</u>	(c) Total Due Less Retainage	<u>\$698,373.66</u>	(d) Less Total Previously Approved	<u>\$610,635.87</u>	(e) Liquidated Damages	<u>\$0.00</u>	(f) Bonus for early Completion	<u>\$0.00</u>	(h) Total Amount Due This Estimate	<u>\$87,737.79</u>
(a) Amount Earned To Date	<u>\$698,373.66</u>																				
Stored Materials	<u>\$0.00</u>																				
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(d) Less Total Previously Approved	<u>\$610,635.87</u>																				
(e) Liquidated Damages	<u>\$0.00</u>																				
(f) Bonus for early Completion	<u>\$0.00</u>																				
(h) Total Amount Due This Estimate	<u>\$87,737.79</u>																				
<p>I further certify that all claims outstanding as of this date against the undersigned as Contractor of labor, materials, and expendable equipment employed in the performance of said contract up to this date have been paid in full in accordance with the requirements of said contract, PROJECT NAME: <u>ARRA - Multimodal Intersection Improvements</u> Estimate No: <u>7</u></p> <p>CONTRACTOR: <u>S &amp; W Contracting Company, Inc.</u> BY: <u>[Signature]</u> Date: <u>6/29/11</u></p>																					
<p style="text-align: center;"><b>ENGINEER'S CERTIFICATE FOR PAYMENT</b></p> <p>I certify that I have verified this Periodical Estimate and that to the best of my knowledge and belief it is true and correct statement of work performed and materials supplied under the Contract and that the Contractor's certified statement of his account and the amount due him is correct and just, and that all work and materials included in this periodical estimate have been performed in full accordance with the terms and conditions of the corresponding construction contract documents and authorized changes thereto.</p> <p>Owner: <u>Metropolitan Department of Public Works</u></p> <p>Name: <u>[Signature]</u> By: <u>SSR, Inc.</u> Date: <u>6/28/11</u></p>																					
<p style="text-align: center;"><b>OWNERS RECOMMENDATION FOR PAYMENT</b></p> <p>Approved and Payment Recommended</p> <p>Owner: <u>Metropolitan Department of Public Works</u></p> <p>By: _____ Title: _____ Date: _____</p>																					

# SUMMARY CHANGE ORDER EXAMPLE



ARRA - Multimodal Traffic Signal Enhancement (ITB 525281CY - Project Number 2008-T-02) Davidson County, Nashville, TN  
 Payment Summary No. 7, Pay Period Ending 6/30/11, State Project No. 19LPLM-F3-051090206, Pin # 112917

SBR Project numbers: 106A0250, Contractor: S&W

Item No.	Description	Unit	Est. Quant.	Unit Price	Current Quantity Used	Previous Quantity Used	Total Quantity Used	Current Cost	Previous Cost	Cost to Date	Total Estimated Contract Cost
106-07	LIQUIDATED DAMAGES	DAY	0	\$ 750.00	-3.0	0.00	-3.00	\$ (2,250.00)	\$ -	\$ (2,250.00)	\$ -
202-03	REMOVAL OF RIGID PAVEMENT, SIDEWALK, ETC.	SY	60.5	\$ 42.00	27.89	217.26	245.15	\$ 1,037.60	\$ 9,124.50	\$ 10,162.10	\$ 2,541.00
701-01-01	CONCRETE SIDEWALK (4")	SF	685	\$ 5.28	38.90	645.30	684.20	\$ 205.36	\$ 3,407.58	\$ 3,612.94	\$ 3,511.33
701-02-01	CONCRETE HANDICAP RAMP (RETROFIT)	SF	75	\$ 23.59	369.78	0.00	369.78	\$ 7,282.23	\$ -	\$ 7,282.23	\$ 1,769.25
701-02-03	CONCRETE HANDICAP RAMP	SF	810	\$ 16.97	89.20	1306.80	1396.00	\$ 1,692.12	\$ 24,829.83	\$ 26,521.95	\$ 15,365.70
702-01-02	CONCRETE CURB	LF	135	\$ 29.97	18.59	0.00	18.59	\$ 554.45	\$ -	\$ 554.45	\$ 4,645.93
717-01	MOBILIZATION	EACH	6	\$ 3,000.00	0.00	6.00	6.00	\$ -	\$ 18,000.00	\$ 18,000.00	\$ 16,000.00
713-01	TRAFFIC CONTROL	LS	6	\$ 4,000.00	0.00	6.00	6.00	\$ -	\$ 24,000.00	\$ 24,000.00	\$ 24,000.00
713-11-01	T-P SECTION STEEL POSTS	LS	40	\$ 2.31	40.00	40.00	80.00	\$ 92.40	\$ 92.40	\$ 92.40	\$ 92.40
713-16-20	SGNS (STREET NAME SGNS - INSTALL ONLY)	EACH	27	\$ 50.00	27.00	27.00	54.00	\$ 1,350.00	\$ -	\$ 1,350.00	\$ 1,350.00
713-16-21	SGNS (RS-2L)	EACH	1	\$ 250.00	2.00	2.00	4.00	\$ 500.00	\$ -	\$ 500.00	\$ 250.00
713-16-22	SGNS (RS-2R)	EACH	1	\$ 250.00	1.00	1.00	2.00	\$ 250.00	\$ -	\$ 250.00	\$ 250.00
713-16-23	SGNS (RS-1)	EACH	1	\$ 250.00	1.00	1.00	2.00	\$ 250.00	\$ -	\$ 250.00	\$ 250.00
713-16-24	SGNS (RS-2)	EACH	3	\$ 250.00	3.00	3.00	6.00	\$ 750.00	\$ -	\$ 750.00	\$ 750.00
713-16-25	SGNS (R10-1)	EACH	2	\$ 250.00	2.00	2.00	4.00	\$ 500.00	\$ -	\$ 500.00	\$ 500.00
713-16-29	SGNS (R10-12)	EACH	1	\$ 250.00	1.00	1.00	2.00	\$ 250.00	\$ -	\$ 250.00	\$ 250.00
716-02-01	PLASTIC PAVEMENT MARKING (4" LINE)	LM	0.07	\$ 22,000.00	0.10	0.10	0.20	\$ 2,200.00	\$ 2,200.00	\$ 2,200.00	\$ 1,540.00
716-02-05	PLASTIC PAVEMENT MARKING (STOP LINE)	LF	695	\$ 27.50	730.00	730.00	1,460.00	\$ 19,805.00	\$ 19,805.00	\$ 19,805.00	\$ 19,112.50
716-02-06	PLASTIC PAVEMENT MARKING (TURN LANE ARROW)	EACH	2	\$ 300.00	2.00	2.00	4.00	\$ 600.00	\$ 600.00	\$ 600.00	\$ 600.00
716-02-09	PLASTIC PAVEMENT MARKING (ORANGE FEDERAL CROSS-WALK)	LF	1,250	\$ 49.50	1326.00	1326.00	2,652.00	\$ 85,637.00	\$ 85,637.00	\$ 85,637.00	\$ 81,875.00
716-06-01	REMOVAL OF PAVEMENT MARKING (LINE)	LF	615	\$ 2.75	257.00	257.00	514.00	\$ 708.75	\$ 708.75	\$ 708.75	\$ 1,691.25
716-06-03	REMOVAL OF PAVEMENT MARKING (CROSS-WALK)	LF	275	\$ 49.50	238.00	238.00	476.00	\$ 11,187.00	\$ 11,187.00	\$ 11,187.00	\$ 13,612.50
716-06-05	REMOVAL OF PAVEMENT MARKING (STOP LINE)	LF	487	\$ 27.50	388.00	388.00	776.00	\$ 10,945.00	\$ 10,945.00	\$ 10,945.00	\$ 13,362.50
720-01-02	REMOVAL OF SIGNAL EQUIPMENT	EACH	6	\$ 600.00	5.0	1.00	6.00	\$ 3,000.00	\$ 600.00	\$ 3,600.00	\$ 3,600.00
720-02-07	IGNAL HEAD ASSEMBLY (150)	EACH	47	\$ 695.00	47.00	47.00	94.00	\$ 32,865.00	\$ 32,865.00	\$ 32,865.00	\$ 32,865.00
720-02-10	IGNAL HEAD ASSEMBLY (150 A2)	EACH	2	\$ 598.00	2.00	2.00	4.00	\$ 1,196.00	\$ 1,196.00	\$ 1,196.00	\$ 1,196.00
720-02-16	IGNAL HEAD ASSEMBLY (150 A2H)	EACH	7	\$ 1,057.00	7.00	7.00	14.00	\$ 7,399.00	\$ 7,399.00	\$ 7,399.00	\$ 7,399.00
720-03-12	AERIAL SPLICE ENCLOSURE	EACH	1	\$ 690.00	3.0	0.00	3.00	\$ 1,950.00	\$ -	\$ 1,950.00	\$ 850.00
720-03-21	INSTALL PULL BOX (TYPE B)	EACH	45	\$ 500.00	38.00	38.00	76.00	\$ 11,400.00	\$ 11,400.00	\$ 11,400.00	\$ 13,500.00
720-05-01	ELECTRICAL SERVICE CONNECTION	EACH	6	\$ 1,500.00	5.0	1.00	6.00	\$ 7,500.00	\$ 1,500.00	\$ 9,000.00	\$ 9,000.00
720-05-03	SERVICE CABLE (2 CONDUCTOR, #6 AWG)	LF	1,610	\$ 1.85	1939.0	0.00	1939.00	\$ 3,496.50	\$ -	\$ 3,496.50	\$ 3,348.50
720-05-03	IGNAL CABLE - 7 CONDUCTOR	LF	7995	\$ 1.15	8400.00	8400.00	16,800.00	\$ 9,660.00	\$ 9,660.00	\$ 9,660.00	\$ 9,079.25
720-05-05	IGNAL CABLE - 12 CONDUCTOR	LF	4949	\$ 1.90	4100.00	4100.00	8,200.00	\$ 7,790.00	\$ 7,790.00	\$ 7,790.00	\$ 9,205.50
720-05-10	IGNAL CABLE (2 CONDUCTOR SHEATHED)	LF	445	\$ 1.00	660.00	0.00	660.00	\$ 660.00	\$ -	\$ 660.00	\$ 445.00
720-06-30	INTERCONNECT CABLE (COPPER-TWISTED PAIR)	LF	570	\$ 2.10	158.0	1692.00	1850.00	\$ 315.00	\$ 3,490.20	\$ 3,805.20	\$ 2,027.00
720-11-01	STEEL CONDUIT RISER ASSEMBLY	EACH	13	\$ 300.00	14.00	14.00	28.00	\$ 4,200.00	\$ 4,200.00	\$ 4,200.00	\$ 3,900.00
720-12-02	CONDUIT #2 DIAMETER (PVC)	LF	8790	\$ 4.00	8790.00	8790.00	17,580.00	\$ 35,160.00	\$ 35,160.00	\$ 35,160.00	\$ 35,160.00
720-12-08	CONDUIT #2 DIAMETER (RGS)	LF	10	\$ 15.00	30.00	30.00	60.00	\$ 450.00	\$ 450.00	\$ 450.00	\$ 150.00
720-13-02	VEHICLE DETECTOR (VIDEO)	EACH	2	\$ 5,539.00	2.00	2.00	4.00	\$ 11,078.00	\$ 11,078.00	\$ 11,078.00	\$ 11,078.00
720-13-06	VEHICLE DETECTOR (2-CHANNEL, RACK MOUNT)	EACH	23	\$ 191.00	21.0	2.00	23.00	\$ 3,601.00	\$ 362.00	\$ 3,963.00	\$ 4,163.00
720-14-01	SHEATHED DETECTOR CABLE	LF	9115	\$ 0.80	8960.00	8960.00	17,920.00	\$ 7,168.00	\$ 7,168.00	\$ 7,168.00	\$ 7,282.00
720-14-02	SAW SLOT	LF	3915	\$ 3.50	2797.0	1180.00	3977.00	\$ 8,694.50	\$ 4,130.00	\$ 12,824.50	\$ 13,702.50
720-14-03	LOOP WIRE	LF	6000	\$ 0.50	6956.0	2904.00	9860.00	\$ 3,028.00	\$ 1,252.00	\$ 4,280.00	\$ 4,000.00
720-15-32	CABINET (EIGHT PHASE BASE MOUNTED)	EACH	6	\$ 10,280.00	6.00	6.00	12.00	\$ 61,680.00	\$ 61,680.00	\$ 61,680.00	\$ 61,560.00
720-16-02	EIGHT PHASE ACTUATED CONTROLLER	EACH	6	\$ 2,667.00	5.0	1.00	6.00	\$ 13,335.00	\$ 2,667.00	\$ 16,002.00	\$ 16,002.00
720-21-01	WOOD POLE (IGNAL SUPPORT) CLASS 3, 30' LENGTH	EACH	1	\$ 1,000.00	1.00	1.00	2.00	\$ 1,000.00	\$ 1,000.00	\$ 1,000.00	\$ 1,000.00
720-23-30	PEDESTAL POLE (10 FT.)	EACH	11	\$ 1,200.00	1.0	11.00	12.00	\$ 1,200.00	\$ 13,200.00	\$ 14,400.00	\$ 13,200.00

# SUMMARY CHANGE ORDER EXAMPLE




ARRA - Multimodal Traffic Signal Enhancement (ITB 625283CY - Project Number 2009-T-02) Davidson County, Nashville, TN  
 Payment Summary No. 7, Pay Period Ending 6/30/11, State Project No. 18PLM-F3-05109206, Pin # 112817

SBR Project numbers: 106A0250, Contractor: S&W

Item No.	Description	Unit	Est. Quant.	Unit Price	Current Quantity Used	Previous Quantity Used	Total Quantity Used	Current Cost	Previous Cost	Cost to Date	Total Estimated Contract Cost
730-23.48	CANTILEVER SIGNAL SUPPORT (1 ARM @ 20')	EACH	1	\$ 8,666.00		1.00	1.00	\$ -	\$ 8,666.00	\$ 8,666.00	\$ 8,666.00
730-23.64	CANTILEVER SIGNAL SUPPORT (1 ARM @ 30')	EACH	2	\$ 7,207.00		2.00	2.00	\$ -	\$ 14,414.00	\$ 14,414.00	\$ 14,414.00
730-23.72	CANTILEVER SIGNAL SUPPORT (1 ARM @ 35')	EACH	4	\$ 8,017.00		4.00	4.00	\$ -	\$ 32,068.00	\$ 32,068.00	\$ 32,068.00
730-23.77	CANTILEVER SIGNAL SUPPORT (2 @ 35' & 35')	EACH	1	\$ 10,183.00		1.00	1.00	\$ -	\$ 10,183.00	\$ 10,183.00	\$ 10,183.00
730-23.78	CANTILEVER SIGNAL SUPPORT (2 @ 35' & 40')	EACH	1	\$ 7,799.00		1.00	1.00	\$ -	\$ 7,799.00	\$ 7,799.00	\$ 7,799.00
730-23.80	CANTILEVER SIGNAL SUPPORT (1 ARM @ 40')	EACH	2	\$ 7,937.00		2.00	2.00	\$ -	\$ 15,874.00	\$ 15,874.00	\$ 15,874.00
730-23.86	CANTILEVER SIGNAL SUPPORT (2 @ 40' & 40')	EACH	1	\$ 11,013.00		1.00	1.00	\$ -	\$ 11,013.00	\$ 11,013.00	\$ 11,013.00
730-23.88	CANTILEVER SIGNAL SUPPORT (1 ARM @ 45')	EACH	1	\$ 7,799.00		1.00	1.00	\$ -	\$ 7,799.00	\$ 7,799.00	\$ 7,799.00
730-23.96	CANTILEVER SIGNAL SUPPORT (1 ARM @ 50')	EACH	3	\$ 7,937.00		3.00	3.00	\$ -	\$ 23,811.00	\$ 23,811.00	\$ 23,811.00
730-23.97	CANTILEVER SIGNAL SUPPORT (2 @ 35' & 55')	EACH	1	\$ 11,013.00		1.00	1.00	\$ -	\$ 11,013.00	\$ 11,013.00	\$ 11,013.00
730-23.98	CANTILEVER SIGNAL SUPPORT (1 ARM @ 60')	EACH	2	\$ 8,866.00		2.00	2.00	\$ -	\$ 17,732.00	\$ 17,732.00	\$ 17,732.00
730-23.99	CANTILEVER SIGNAL SUPPORT (2 @ 45' & 50')	EACH	1	\$ 9,897.00		1.00	1.00	\$ -	\$ 9,897.00	\$ 9,897.00	\$ 9,897.00
730-26.02	PEDESTRIAN PUSHBUTTON WITH 12" SIGN	EACH	28	\$ 128.00	1.0	29.00	29.00	\$ 128.00	\$ 2,772.00	\$ 2,900.00	\$ 3,528.00
730-26.08	COUNTDOWN PEDESTRIAN SIGNAL	EACH	48	\$ 598.00		48.00	48.00	\$ -	\$ 27,504.00	\$ 27,504.00	\$ 28,704.00
	<b>ITEMS SUBTOTAL</b>							\$ 57,497.79	\$ 816,835.87	\$ 816,835.87	\$ 816,835.87
	<b>CHANGE ORDER ITEMS</b>										
	ADDITIONAL WORK (REMOVAL OF EXISTING ANTENNA AND CABLE FOR BUS COMMUNICATION)	LF	3	\$ 2,920.00	3.0	0.00	3.00	\$ 7,920.00	\$ -	\$ 7,920.00	\$ 7,920.00
104-04.30	INSTALL NEW PRE-EMPT SYSTEM @ GALLATIN ROAD & LITTON AVENUE	EACH	1	\$ 12,240.00	1.0	0.00	1.00	\$ 12,240.00	\$ -	\$ 12,240.00	\$ 12,240.00
730-35.01	ANTENNA (INSTALL BRACKETS AND ANTENNAS USING EXISTING HARDWARE)	EACH	3	\$ 2,920.00	3.0	0.00	3.00	\$ 7,920.00	\$ -	\$ 7,920.00	\$ 7,920.00
730-35.12	RF DATA SYSTEM CABLE (OPTICOM GPS SYSTEM CABLE)	LF	540	\$ 4.80	459.0	0.00	459.00	\$ 2,160.00	\$ -	\$ 2,160.00	\$ 2,560.00
730-38.21	<b>CHANGE ORDER ITEMS SUBTOTAL</b>							\$ 30,240.00	\$ -	\$ 30,240.00	\$ 30,240.00
	<b>STORED MATERIALS</b>										
	<i>Note: The Approved Cost Column for Stored Materials shall be calculated using the unit price in the Unit Price Column.</i>										
730-23.48	CANTILEVER SIGNAL SUPPORT (1 ARM @ 20')	EACH	1	\$3,481.00				\$ -	\$ -	\$ -	\$ -
730-23.64	CANTILEVER SIGNAL SUPPORT (1 ARM @ 30')	EACH	2	\$3,444.00				\$ -	\$ -	\$ -	\$ -
730-23.72	CANTILEVER SIGNAL SUPPORT (1 ARM @ 35')	EACH	4	\$1,203.00				\$ -	\$ -	\$ -	\$ -
730-23.77	CANTILEVER SIGNAL SUPPORT (2 @ 35' & 35')	EACH	1	\$5,824.00				\$ -	\$ -	\$ -	\$ -
730-23.78	CANTILEVER SIGNAL SUPPORT (2 @ 35' & 40')	EACH	1	\$5,526.00				\$ -	\$ -	\$ -	\$ -
730-23.80	CANTILEVER SIGNAL SUPPORT (1 ARM @ 40')	EACH	2	\$5,987.00				\$ -	\$ -	\$ -	\$ -
730-23.86	CANTILEVER SIGNAL SUPPORT (2 @ 40' & 40')	EACH	1	\$5,128.00				\$ -	\$ -	\$ -	\$ -
730-23.88	CANTILEVER SIGNAL SUPPORT (1 ARM @ 45')	EACH	1	\$4,088.00				\$ -	\$ -	\$ -	\$ -
730-23.96	CANTILEVER SIGNAL SUPPORT (1 ARM @ 50')	EACH	3	\$4,200.00				\$ -	\$ -	\$ -	\$ -
730-23.97	CANTILEVER SIGNAL SUPPORT (2 @ 35' & 55')	EACH	1	\$5,558.00				\$ -	\$ -	\$ -	\$ -
730-23.98	CANTILEVER SIGNAL SUPPORT (1 ARM @ 60')	EACH	2	\$4,695.00				\$ -	\$ -	\$ -	\$ -
730-23.99	CANTILEVER SIGNAL SUPPORT (2 @ 45' & 50')	EACH	1	\$5,693.00				\$ -	\$ -	\$ -	\$ -
	<b>STORED MATERIALS SUBTOTAL</b>							\$ -	\$ -	\$ -	\$ -
	<b>Total Completed &amp; Stored</b>							\$ 87,737.79	\$ 816,835.87	\$ 899,373.96	\$ 899,373.96
	<b>Retainage Less 0% Current Cost / Less 0% Previous Cost / Less 0% Cost to Date</b>							\$ -	\$ -	\$ -	\$ -
	<b>Total of Previous Payments / Cost to Date Minus Retainage</b>							\$ 816,835.87	\$ 816,835.87	\$ 816,835.87	\$ 816,835.87
	<b>Current Payment Due</b>							\$ -	\$ -	\$ -	\$ -

# CC-3 EXAMPLE





**TN DOT**  
Department of  
Transportation

Local Government Guidelines Form 8-35  
March 9, 2018

**Certification Regarding Money Paid to Disadvantaged Business Enterprises (CC-3)**

I, \_\_\_\_\_, certify that to the best of my knowledge, \_\_\_\_\_  
Name of Owner or Authorized Representative Name of DBE

has been paid in full, per the amount of the contract for actual work performed on:

Contract No. \_\_\_\_\_ County \_\_\_\_\_, as of \_\_\_\_\_

I further certify that I am duly authorized to make this certification on behalf of the named contractor.

DISADVANTAGED BUSINESS ENTERPRISE	AMOUNT
_____	_____
<small>Firm Name</small>	<small>Original DBE Subcontract \$</small>
_____	_____
	<small>Original DBE Subcontract Date</small>

PRIME CONTRACTOR: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_ Paid to date

TITLE: \_\_\_\_\_ Est. final pmt.

DATE: \_\_\_\_\_ TOTAL

---

I, \_\_\_\_\_, certify that to the best of my knowledge, \_\_\_\_\_  
Name of DBE Owner or Authorized Representative Name of Contractor

has paid the named DBE, in full, per the amount of the contract for actual work performed on:

Contract No. \_\_\_\_\_ County \_\_\_\_\_, as of \_\_\_\_\_

I further certify that I am duly authorized to make this certification on behalf of the named contractor.

DISADVANTAGED BUSINESS ENTERPRISE	AMOUNT
_____	_____
<small>Firm Name</small>	<small>Original DBE Subcontract \$</small>
_____	_____
	<small>Original DBE Subcontract Date</small>

SIGNATURE: \_\_\_\_\_ Paid to date

TITLE: \_\_\_\_\_ Est. final pmt.

DATE: \_\_\_\_\_ TOTAL

# FINAL INSPECTION/ACCEPTANCE



## END OF JOB CERTIFICATE

- The End of Job Certificate (Form 8-36) is completed and signed by the Local Government Project Supervisor upon the approval that the records have been checked and are a true representation of the work that was performed, the item final quantities are correct, and the final quantities are covered by the required material certifications. The Certificate shall be placed in the End of Job file of the Project Records. **The End of Job Certificate shall be submitted to the Local Programs Development Office.** This submission will close out the project at TDOT. No requests for reimbursement may be submitted after the End of Job Certificate is submitted. Ensure that all requests for reimbursement have been submitted and processed prior to submitting the certificate to TDOT.

# FINAL INSPECTION/ACCEPTANCE



## END OF JOB CERTIFICATE (CONT'D)

- An “End of Job” folder shall be created to retain documents that pertain to events that occur at the completion of the project. The documents listed in this section shall be kept in the “End of Job” file of the project records.
  - Final Inspection Documents
  - Final Progress Estimate with Overrun/Underrun Explanations
  - Form 8-33 Completion Notice
  - Advertisement for Claims Letter
  - Material Certification Letter
  - FHWA 1391 Reports
  - CC-3 Documentation
  - Prompt Payment Forms
  - End of Job Certificate

# END OF JOB CERTIFICATE EXAMPLE



Local Government Guidelines Form 8-36  
January 1, 2020

## END of JOB CERTIFICATE

Project Title/Termini: \_\_\_\_\_  
Owner: \_\_\_\_\_ PIN: \_\_\_\_\_  
Address: \_\_\_\_\_ State Project No.: \_\_\_\_\_  
Federal Project No.: \_\_\_\_\_  
Date Prepared: \_\_\_\_\_ Contract No.: \_\_\_\_\_  
County: \_\_\_\_\_

The foregoing record, as noted on the various forms and for the various items, is a true representation of the work done by \_\_\_\_\_, the contractor on the above listed Contract and that any part of the record which has been copied from the field books is a true copy of the notes, field notes mentioned above being submitted.

Signed: \_\_\_\_\_  
Local Government Official



# FINAL INSPECTION/ACCEPTANCE



## RETENTION OF RECORDS

- The Local Government shall maintain the project records as follows:
  - The Project Records shall be organized, indexed, and available for review on an as needed basis. An index shall be placed in the End of Job Folder. Boxes shall be numbered consecutively and labeled by Contract Number or Project Number, and County.
  - All documents shall be kept for a minimum of seven (7) years after everything is closed and **finalized with FHWA**. These documents include, but are not limited to copies of the contract, starting notice/work order, correspondence, field books, diaries, material tickets, test reports, progress estimates, final record books, as-built drawings and specifications, contractor payrolls and certifications, field notes, and inspection reports, notice to contractors, estimates, correspondence for advertising and receiving bids, letting advertisements, bid tabulations, bid books (proposal contracts) completed by the contractor, project specifications and provisions, job estimate, contract and bond certificates. **The TDOT LP office will notify the Local Government by letter advising when the period would end.**

# FINAL INSPECTION/ACCEPTANCE



## **MAINTENANCE OF FACILITY**

- The Local Government shall be responsible for the future maintenance of all facilities constructed under the local programs agreement with TDOT that utilize federal or state funds (23 CFR 1.27).



# Questions?