

## **LOCAL AGENCY CONTRACT ADMINISTRATION CHECKLIST**

The following checklist has been developed to ensure that all required aspects of a project approved for Federal funding have been addressed and a responsible party assigned for each task.

After a project has been approved for Federal funding in the Statewide Transportation Improvement Program, the Colorado Department of Transportation (CDOT) Project Manager, Local Agency project manager, and CDOT Resident Engineer prepare the checklist. It becomes a part of the contractual agreement between the Local Agency and CDOT. The CDOT Agreements Unit will not process a Local Agency agreement without this completed checklist. It will be reviewed at the Final Office Review meeting to ensure that all parties remain in agreement as to who is responsible for performing individual tasks.

COLORADO DEPARTMENT OF TRANSPORTATION

**LOCAL AGENCY CONTRACT ADMINISTRATION CHECKLIST**

Project No. CC C010-102	STIP No.	Project Code 17237	Region 06
Project Location South Broadway & I-25			Date 03-05-09
Project Description South Broadway & I-25			
Local Agency City and County of Denver		Local Agency Project Manager Mike Harmer	
CDOT Resident Engineer Tony Gross		CDOT Project Manager Carol Anderson	

**INSTRUCTIONS:**

This checklist shall be utilized to establish the contract administration responsibilities of the individual parties to this agreement. The checklist becomes an attachment to the Local Agency agreement. Section numbers correspond to the applicable chapters of the *CDOT Local Agency Manual*.

The checklist shall be prepared by placing an "X" under the responsible party, opposite each of the tasks. The "X" denotes the party responsible for initiating and executing the task. Only one responsible party should be selected. When neither CDOT nor the Local Agency is responsible for a task, not applicable (NA) shall be noted. In addition, a "#" will denote that CDOT must concur or approve.

Tasks that will be performed by Headquarters staff will be indicated. The Regions, in accordance with established policies and procedures, will determine who will perform all other tasks that are the responsibility of CDOT.

The checklist shall be prepared by the CDOT Resident Engineer or the CDOT Project Manager, in cooperation with the Local Agency Project Manager, and submitted to the Region Program Engineer. If contract administration responsibilities change, the CDOT Resident Engineer, in cooperation with the Local Agency Project Manager, will prepare and distribute a revised checklist.

NO.	DESCRIPTION OF TASK	RESPONSIBLE PARTY	
		LA	CDOT
<b>TIP / STIP AND LONG-RANGE PLANS</b>			
2-1	Review to ensure consistency with STIP and amendments thereto	X	X
<b>FEDERAL FUNDING OBLIGATION AND AUTHORIZATION</b>			
4-1	Authorize funding by phases (CDOT Form 418 - Federal-aid Program Data. Requires FHWA concurrence/involvement)		N/A
<b>PROJECT DEVELOPMENT</b>			
5-1	Prepare Design Data - CDOT Form 463	X	X
5-2	Prepare Local Agency/CDOT Inter-Governmental Agreement (see also Chapter 3)	X	X
5-3	Conduct consultant selection/execute agreement	X	X
5-4	Conduct Design Scoping Review meeting	X	X
5-5	Conduct public involvement	X	
5-6	Conduct Field Inspection Review	X	X
5-7	Conduct environmental processes (may require FHWA concurrence/involvement)	X	X
5-8	Acquire right-of-way (may require FHWA concurrence/involvement)	X	
5-9	Obtain utility and railroad agreements	X	
5-10	Conduct Final Office Review	X	X
5-11	Justify force account work by the Local Agency	N/A	
5-12	Justify proprietary items	N/A	
5-13	Document design exceptions - CDOT Form 464	X	
5-14	Prepare plans, specifications and construction cost estimates	X	
5-15	Ensure authorization of funds	N/A	N/A

NO.	DESCRIPTION OF TASK	RESPONSIBLE PARTY	
		LA	CDOT
<b>PROJECT DEVELOPMENT CIVIL RIGHTS AND LABOR COMPLIANCE</b>			
6-1	Set Underutilized Disadvantaged Business Enterprise (UBDE) goals for consultant and construction Contracts (CDOT Region EEO/Civil Rights Specialist)	X	
6-2	Determine applicability of Davis-Bacon Act This project <input checked="" type="checkbox"/> is ___ is not exempt from Davis-Bacon requirements as determined by the functional classification of the project location (Projects located on local roads and rural minor collectors may be exempt.)  _____ CDOT Resident Engineer _____ Date	N/A	N/A
6-3	Set On-the-Job Training goals. Goal is zero if total construction is less than \$1 million (CDOT Region EEO/Civil Rights Specialist)	X	
	Ensure the correct Federal Wage Decision, all required Disadvantaged Business Enterprise/On-the-Job Training special provisions and FHWA Form 1273 are included in the Contract (CDOT Resident Engineer)	X	
<b>ADVERTISE, BID AND AWARD</b>			
7-1	Obtain approval for advertisement period of less than three weeks	X	
7-2	Advertise for bids	X	
7-3	Distribute "advertisement set" of plans and specifications	X	
7-4	Review worksite and plan details with prospective bidders while project is under advertisement	X	
7-5	Open bids	X	
7-6	Process bids for compliance	X	
	Check CDOT Form 715 - Certificate of Proposed Underutilized DBE Participation when the low bidder meets UDBE goals	N/A	
	Evaluate CDOT Form 718 - Underutilized DBE Good Faith Effort Documentation and determine if the Contractor has made a good faith effort when the low bidder does not meet DBE goals	X	
	Submit required documentation for CDOT award concurrence	X	
7-7	Concurrence from CDOT to award	X	
7-8	Approve rejection of low bidder	X	
7-9	Award Contract	X	
7-10	Provide "award" and "record" sets of plans and specifications	X	
<b>CONSTRUCTION MANAGEMENT</b>			
8-1	Issue Notice to Proceed to the Contractor	X	
8-2	Conduct conferences: Preconstruction (Appendix B)	X	
	Presurvey • Construction staking • Monumentation	X	
	Partnering (Optional)	X	
	Structural Concrete Pre-Pour (Agenda is in <i>CDOT Construction Manual</i> )	X	
	Concrete Pavement Pre-Paving (Agenda is in <i>CDOT Construction Manual</i> )	X	
	HBP Pre-Paving (Agenda is in <i>CDOT Construction Manual</i> )	X	
8-3	Develop and distribute Public Notice of Planned Construction to media and local residents	X	
8-4	Supervise construction  A Professional Engineer (PE) registered in Colorado, who will be "in responsible charge of construction supervision."  _____ Michael Harmer 720-913-4526 Local Agency Professional Engineer Phone number	X	

NO.	DESCRIPTION OF TASK	RESPONSIBLE PARTY	
		LA	CDOT
	CDOT Resident Engineer		
	Provide competent, experienced staff who will ensure the Contract work is constructed in accordance with the plans and specifications	X	
	Construction inspection and documentation	X	
8-5	Approve shop drawings	X	
8-6	Perform traffic control inspections	X	
8-7	Perform construction surveying	X	
8-8	Monument right-of-way	X	
8-9	Prepare and approve interim and final Contractor pay estimates		
	Provide the name and phone number of the person authorized for this task.	X	
	<u>Michael Harmer</u> <u>720-913-4526</u> Local Agency Representative Phone number		
8-10	Prepare and approve interim and final utility/railroad billings	X	
8-11	Prepare Local Agency reimbursement requests	X	
8-12	Prepare and authorize change orders	X	
8-13	Approve all change orders	X	X
8-14	Monitor project financial status	X	
8-15	Prepare and submit monthly progress reports	X	
8-16	Resolve Contractor claims/disputes	X	
8-17	Conduct routine, random project reviews		
	Provide the name and phone number of the person responsible for this task.		X
	<u>Tony Gross</u> <u>303-972-9112</u> CDOT Resident Engineer Phone number		
<b>MATERIALS</b>			
9-1	Conduct Materials Preconstruction meeting	X	
9-2	CDOT Form 250 - Materials Documentation Record		
	• Generate form, which includes determining the minimum number of required tests and applicable material submittals for all materials placed on the project	X	
	• Update the form as work progresses	X	
	• Complete and distribute form after work is completed	X	
9-3	Perform project acceptance samples and tests	X	
9-4	Perform laboratory verification tests	X	
9-5	Accept manufactured products		
	Inspection of structural components:	X	
	• Fabrication of structural steel and pre-stressed concrete structural components	X	
	• Bridge modular expansion devices (0" to 6" or greater)	X	
	• Fabrication of bearing devices	X	
9-6	Approve sources of materials	X	
9-7	Independent Assurance Testing (IAT), Local Agency Procedures <input type="checkbox"/> CDOT Procedures <input checked="" type="checkbox"/>		
	• Generate IAT schedule	X	
	• Schedule and provide notification	X	
	• Conduct IAT	X	
9-8	Approve mix designs		
	• Concrete	X	
	• Hot bituminous pavement	X	
9-9	Check final materials documentation	X	
9-10	Complete and distribute final materials documentation	X	

<b>CONSTRUCTION CIVIL RIGHTS AND LABOR COMPLIANCE</b>			
10-1	Fulfill project bulletin board and preconstruction packet requirements	<b>X</b>	
10-2	CDOT Form 205 - Sublet Permit Application Review and sign completed CDOT Form 205 for each subcontractor, and submit to EEO/Civil Rights Specialist	<b>X</b>	
10-3	Conduct employee interviews. Complete CDOT Form 280 - Equal Employment Opportunity and Labor Compliance Verification	<b>X</b>	
10-4	Monitor Disadvantaged Business Enterprise participation to ensure compliance with the "commercially useful function" requirements	<b>X</b>	
10-5	Conduct trainee interviews. Complete CDOT Form 200 - OJT Training Questionnaire when project utilizes on-the-job trainees	<b>X</b>	
10-6	Check certified payrolls (Contact the Region EEO/Civil Rights Specialists for training requirements.)	<b>X</b>	
10-7	Submit FHWA Form 1391 - Highway Construction Contractor's Annual EEO Report	<b>N/A</b>	
<b>FINALS</b>			
11-1	Conduct final project inspection, and complete and submit CDOT Form 1212 - Final Acceptance Report (Resident Engineer with mandatory Local Agency participation.)	<b>X</b>	<b>X</b>
11-2	Write final project acceptance letter	<b>X</b>	<b>X</b>
11-3	Advertise for final settlement	<b>X</b>	
11-4	Prepare and distribute final As-Constructed plans	<b>X</b>	
11-5	Check final quantities, final plans and the final pay estimate	<b>X</b>	
11-6	Check material documentation and submit final material certification (see Chapter 9)	<b>X</b>	
11-7	Obtain CDOT Form 17 - Contractor DBE Payment Certification from the Contactor and submit to the Resident Engineer	<b>X</b>	
11-8	Process final payment	<b>X</b>	
11-9	Obtain FHWA Form 47 - Statement of Materials and Labor Used ... from the Contractor	<b>X</b>	
11-10	Complete and submit CDOT Form 950 - Project Closure	<b>X</b>	<b>X</b>
11-11	Retain project records for six years from date of project closure	<b>X</b>	
11-12	Retain final version of this checklist and distribute copies	<b>X</b>	<b>X</b>

cc: CDOT Tony Gross/Carol Anderson  
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CDOT Micky Vialpando  
CDOT Masoud Ghaeli  
CDOT Contracts and Market Analysis Branch  
Local Agency Project Manager