

Contract 03-2023

Lincoln County

Commonly Overlooked Items OR Items of Special Interest

(This sheet is not part of the proposal)

Below is a list of commonly overlooked items or items of special interest. The purpose of this list is to bring attention to some of these items. This list shall not be considered an all-inclusive list. The Contractor shall review the entire set of plans and Special Provisions.

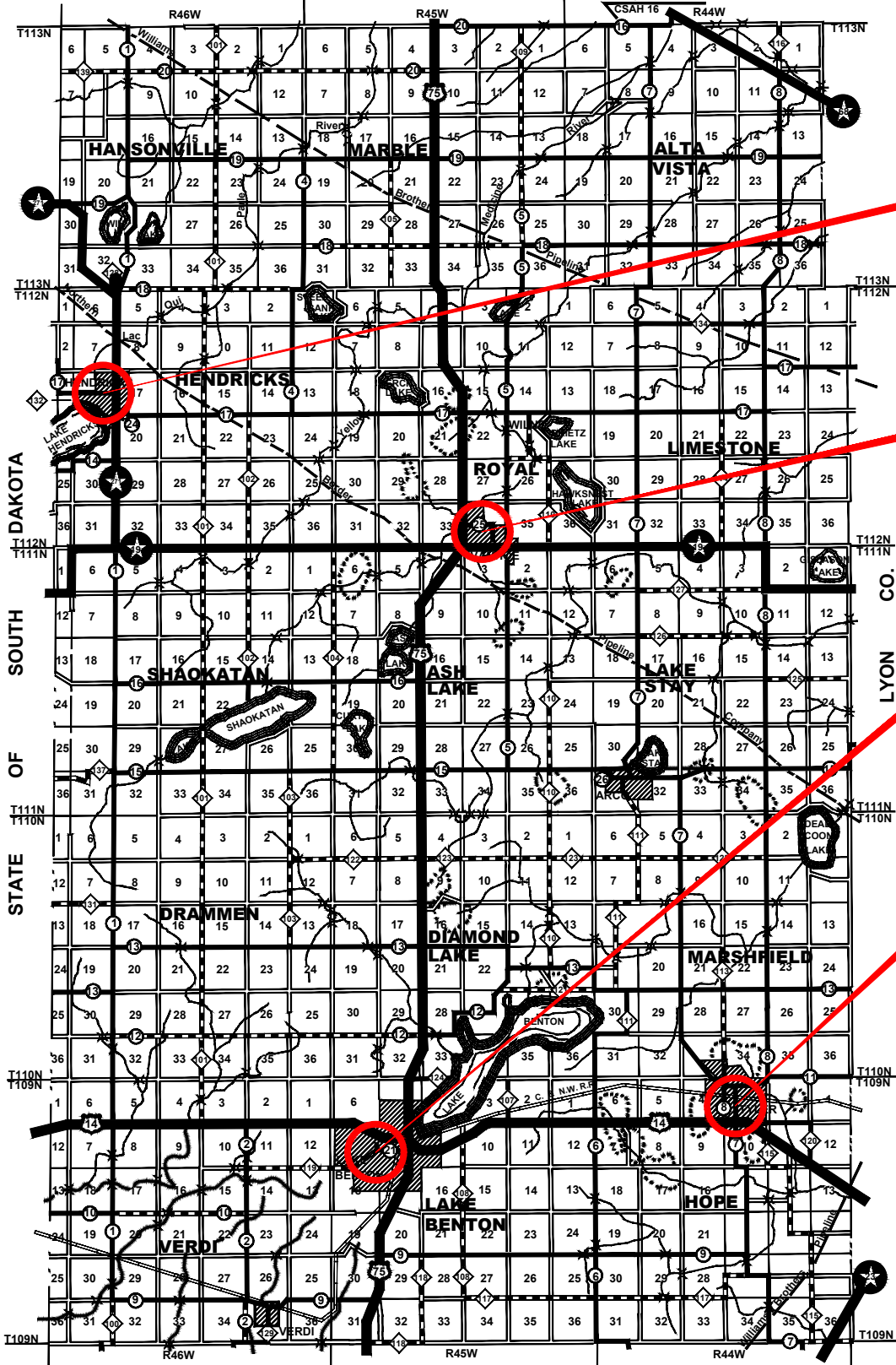
- Bids will be opened at the Lincoln County Courthouse located at 319 N. Rebecca, Ivanhoe, MN on Monday, August 7, 2023.
- Proposals shall be submitted in their entirety to be considered an acceptable bid (See Special Provisions 1209).
- Cooperation by Contractors / known projects in the area. (see Special Provision 1505)
- Work shall not be performed in the following cities during the following dates unless otherwise approved by the Engineer. These dates are approximate estimates based on typical celebration schedule. (see Special Provisions 1505):
 - City of Lake Benton: Saddle Horse Days -- June 16th to June 18th, 2023 and June 21st to June 23rd, 2024
 - City of Lake Benton: Lake Benton Freemont Days/Te Tonka Ha -- August 4th to August 6th, 2023 and August 2nd to August 4th, 2024
 - City of Tyler: Aebleskiver Days -- July 21st to July 23rd, 2023 and July 19th to July 21st, 2024
 - City of Tyler: Lincoln County Fair -- July 27th to July 30th, 2023 and July 25th to July 28th, 2024
 - City of Ivanhoe: Polish Days -- August 10th to 13th, 2023 and August 8th to 11th, 2024
 - City of Hendricks: Summer Fest -- June 30th to July 4th, 2023 and July 4th to July 7th, 2024
- Contractor must get flagging agreement with (see Special Provision 1708):
 - Rapid City, Pierre & Eastern Railroad Inc.
 - 1855 W. Baseline Road, Suite 200
 - Mesa, AZ 85202
- Contractor must complete all work in the City of Lake Benton prior to moving to any other city (see Special Provision 1806).
- Contractor must complete all required work in each city prior to beginning work in any other city unless otherwise approved by the engineer (see Special Provision 1806).
- Working days and commencement of Working Days allotted for each city are as follows (see Special Provisions 1806):
 - City of Lake Benton: 48 Working Days—begin upon commencement of removal activities
 - City of Tyler: 43 Working Days—begin upon commencement of grubbing activities
 - City of Ivanhoe: 24 Working Days—begin upon commencement of removal activities
 - City of Hendricks: 28 Working Days—begin upon commencement of grubbing activities
- All work must be completed by November 8th, 2024 (See Special Provision 1806).
- Use of platform loader scales (see Special Provision 1901).
- Signature waived on Partial Payments. (see Special Provision 1906).
- Bituminous Tack Coat is included in the bid price for bituminous (See Special Provision 2357).
- Contractor shall be responsible for the cost of plant certification (See Special Provision 2360).
- Unpainted Truncated Domes to be used (See Plan notes for item 2531.618 Truncated Domes).

Removed bituminous, concrete, and bricks shall be hauled to an approved landfill. Cities may take some clean brick. Bituminous and concrete free of rebar may be hauled to Lincoln County Sook Pit at 2607 Co. Rd. 126, Arco MN, Section 15-T111N-R44W.



2022 COUNTY HIGHWAY PROJECT MAP
OF
LINCOLN COUNTY MINN.

YELLOW MEDICINE CO.



HENDRICKS - GROUP H1-H11
CSAH 17 - BOP 24+35 EOP 39+00
FROM BROOK ST. TO STATE HWY. 271

IVANHOE - GROUP I1-I8
CSAH 25 - BOP 10+50 EOP 21+50
FROM W. ROWENA ST. TO W. RAILROAD ST.
CSAH 5 - BOP 263+75 EOP 264+00
FROM 100' SOUTH OF EAST GEORGE ST.

LAKE BENTON - GROUP L1-L18
CSAH 21 - BOP 2+50 EOP 44+00
FROM S. HARRISON ST. TO STATE HWY. 14
CSAH 22 - BOP 6+75 TO EOP 9+00
CSAH 21 TO LINCOLN ST.

TYLER - GROUP T1-T10
CSAH 7 - BOP 6+25 EOP 46+50
FROM DANEBOD CT. TO MARSH ST.

- U.S. HIGHWAYS
- STATE TRUNK HIGHWAYS
- STATE AID OR COUNTY - HARD SURFACED ROADS
- STATE AID OR COUNTY - GRAVEL SURFACED ROADS
- TOWNSHIP ROADS
- COUNTY STATE AID ROAD SYMBOL
- COUNTY ROAD SYMBOL

PIPESTONE CO.

Lincoln County
221 North Wallace Avenue
Ivanhoe, MN 56142

*****PROPOSAL*****

FOR HIGHWAY CONSTRUCTION
AND MAINTENANCE PROJECTS WITH
BIDS RECEIVED UNTIL 10:00 O'CLOCK A.M. ON MONDAY, AUGUST 7, 2023
AT THE LINCOLN COUNTY COURTHOUSE, 319 N REBECCA, IVANHOE, MN 56142
BIDS WILL BE OPENED IMMEDIATELY FOLLOWING

PROPOSAL OF _____
TO _____ (NAME OF FIRM)

(ADDRESS)

(AREA CODE) TELEPHONE

FURNISH AND DELIVER ALL MATERIALS AND TO PERFORM ALL WORK IN ACCORDANCE WITH THE CONTRACT, THE PLANS AND THE APPROVED DEPARTMENT OF TRANSPORTATION "STANDARD SPECIFICATIONS FOR CONSTRUCTION, 2020 EDITION" (USING English UNITS), AND THE "SUPPLEMENTAL SPECIFICATIONS" DATED SEPTEMBER 2022, ON FILE IN THE OFFICE OF THE COMMISSIONER OF TRANSPORTATION EXCEPT AS STATED OTHERWISE IN THE SPECIAL PROVISIONS, WHICH ARE PART OF THIS PROPOSAL, FOR:

CONTRACT NO. **03-2023**

STATE PROJECT NO. **041-030-013—Hendricks (CSAH 17M), Ivanhoe (CSAH 5M & CSAH 23M), Lake Benton (CSAH 21M & CSAH 22M), & Tyler (CSAH 7M)**

MINNESOTA PROJECT NO. **TA 4123(284)**

LOCATION: (CSAH 21M) Lake Benton—between S. Harrison St. & State Hwy. 14
(CSAH 22M) Lake Benton—between CSAH 21M & Lincoln St.
(CSAH 7M) Tyler—between Danebod Ct. & Marsh St.
(CSAH 5M) Ivanhoe—at the int. of CSAH 5M & E. George St.
(CSAH 23M) Ivanhoe—between W. Rowena St. & Railroad St.
(CSAH 17M) Hendricks—between Brook St. & State Hwy. 271

TYPE OF WORK: ADA Pedestrian Ramps and Driveways

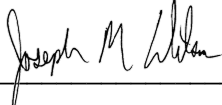
LENGTH: N/A

STARTING DATE: See Special Provisions

COMPLETION DATE: November 8th, 2024

NOTICE TO BIDDERS: Submit bids in accordance with MnDOT 1206 through 1210 except as stated otherwise in the Special Provisions.

I certify that this Proposal was prepared by me or under my direct supervision, and that I am a licensed professional engineer under the laws of the State of Minnesota.

Joseph M. Wilson, PE. 
License Number: 54947 Date: 7/21/2023

.....
BID RIGGING IS A SERIOUS CRIME. IF YOU HAVE ANY INFORMATION CONCERNING COLLUSIVE BIDDING, EVEN A REQUEST TO SUBMIT A COMPLIMENTARY BID, PLEASE CALL THE MINNESOTA ATTORNEY GENERAL'S OFFICE AT TELEPHONE NO. (651) 296-1796.

**SPECIAL PROVISIONS FOR
CONTRACT 03-2023**

LINCOLN COUNTY

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To Lincoln County Board of Commissioners:

According to the advertisement of Lincoln County inviting proposals for the improvement of the section of highway hereinbefore named, and in conformity with the Contract, Plans, Specifications and Special Provisions pertaining thereto, all on file in the office of the Auditor of Lincoln County:

(I)(We) hereby certify that (I am)(we are) the only person(s) interested in this proposal as principal(s); that this proposal is made and submitted without fraud or collusion with any other person, firm or corporation at all; that an examination has been made of the site of the work and the Contract form, with the Plans, Specifications and Special Provisions for the improvement.

(I)(We) understand that the quantities of work shown herein are approximate only and are subject to increase or decrease; that all quantities of work, whether increased or decreased within the limits specified in MnDOT 1903 and 1402, are to be done at the unit prices shown on the attached schedule; that, at the time of opening bids, totals only will be read, but that comparison of bids will be based on the correct summation of item totals obtained from the unit prices bid, as provided in MnDOT 1301.

(I)(We) propose to furnish all necessary machinery, equipment, tools, labor and other means of construction and to furnish all materials specified, in the manner and at the time prescribed, all according to the terms of the Contract and Plans, Specifications, and the Special Provisions forming a part of this.

(I)(We) further propose to do all Extra Work that may be required to complete the contemplated improvement, at unit prices or lump sums to be agreed upon in writing before starting such work, or if such prices or sums cannot be agreed upon, to do such work on a Force Account basis, as provided in MnDOT 1904.

(I)(We) further propose to execute the form of Contract within 7 days after receiving written notice of award, as provided in MnDOT 1306.

(I)(We) further propose to furnish a Payment Bond and a Performance Bond each equal to the Contract Amount as required by MN Statute § 574.26, as security for the construction and completion of the improvement according to the Plans, Specifications and Special Provisions as provided in MnDOT 1305.

(I)(We) further propose to do all work according to the Plans, Specifications and Special Provisions, and to renew or repair any work that may be rejected due to defective materials or workmanship, before completion and acceptance of the Project by Lincoln County.

(I)(We) agree to all provisions of Minnesota Statutes, Section 181.59.

(I)(We) further propose to begin work and to prosecute and complete the same according to the time schedule set forth in the Special Provisions for the improvement.

(I)(We) assign to Lincoln County all claims for overcharges as to goods and materials purchased in connection with this Project resulting from antitrust violations that arise under the antitrust laws of the United States and the antitrust laws of the State of Minnesota. This clause also applies to subcontractors and first tier suppliers under this Contract.

MINNESOTA DEPARTMENT OF TRANSPORTATION
NOTICE TO BIDDERS
SUSPENSIONS/DEBARMENTS

Do not use suspended or debarred parties as subcontractors or material suppliers on this project.

Both the federal government and the State of Minnesota suspend and debar vendors. Review the lists of suspended and debarred vendors when submitting a bid and when submitting a request to sublet.

State Suspensions and Debarments.

To review the list of parties suspended and debarred by the State of Minnesota, go to this website: <https://mn.gov/admin/osp/government/suspended-debarred/index2.jsp> . This list includes parties suspended and debarred by the Minnesota Department of Transportation and the Minnesota Department of Administration.

This site also has a link to the SAM.gov Federal Suspensions and Debarments site.

Federal Suspensions and Debarments.

The federal government maintains a website listing suspended and debarred parties. You do not need a username or password to use the search functions on the website. You can either search for specific entity names, or see a list of parties suspended and debarred by the Federal Highway Administration.

You can search for Entity Exclusions on SAM.gov without a user account.

To search the status of a particular vendor, follow this process:

First, go to the System for Awards Management (SAM) website: <https://www.sam.gov> (requires Internet Explorer version 11 or higher, or another supported browser such as Chrome).

How to Search Exclusion Records

Search SAM.gov to Search Exclusion Information

1. Select "Search" from the menu.
2. In the filters, under "Select Domain," select "Entity Information," and then select "Exclusions."
3. The page will refresh with exclusions content and the filters will change to reflect the options available in this domain.
4. Select any category you want to filter your results.

Note: Using the search bar at the top of the page will create a new search and remove any existing filters from your results.

Advanced Search – Exclusions

First, go to the System for Awards Management (SAM) website: <https://www.sam.gov> (requires Internet Explorer version 11 or higher, or another supported browser such as Chrome).

After logging in to SAM.gov:

1. Navigate to the home page and select "Exclusions."
2. Select the "Advanced Search" link above the search bar.

3. Use filters to create an advanced search. Once applied, filters will appear in boxes beneath the category; remove filters by selecting the “x” icon on each one.
 - **Keywords:** Apply any keyword searches to your filter
 - **Classification:** Four categories of exclusions
 - **Excluded Individual:** Information you can enter to filter by individual
 - **Excluded Other:** Information you can enter to search by UEI, CAGE, etc.
 - **Federal Organizations:** Filter by federal organizations (use **6925** for FHWA)
 - **Exclusion Type:** Filter by one of four defined exclusion types (select all of them)
 - **Exclusion Program:** Filter by Procurement, Reciprocal, or Non-Procurement (select all of them)
 - **Location:** Filter by ZIP Code, state or other geographical information
 - **Dates:** Filter by several relevant date options
 - **Exclusion Status:** Active/Inactive
4. Use the Reset button below the filters to clear all filters applied at once.

Note: Using the search bar at the top of the page will create a new search and remove any existing filters from your results.

To view a list of all entities suspended or debarred in [Minnesota](#) by the Federal Highway Administration, follow this process:

After logging in to SAM.gov:

1. Navigate to the home page and select “Exclusions.”
2. Select the “Advanced Search” link above the search bar.
3. Use filters to create an advanced search. Once applied, filters will appear in boxes beneath the category; remove filters by selecting the “x” icon on each one.
 - **Federal Organizations:** Filter by federal organizations (use **6925** for FHWA)
 - **Exclusion Type:** Filter by one of four defined exclusion types (select all of them)
 - **Exclusion Program:** Filter by Procurement, Reciprocal, or Non-Procurement (select all of them)
 - **Location:** Filter by ZIP Code, state or other geographical information (select **Minnesota**)
4. Use the Reset button below the filters to clear all filters applied at once.

April 10, 2023

**MINNESOTA DEPARTMENT OF TRANSPORTATION
NOTICE TO BIDDERS:
SUSPENSIONS/DEBARMENTS
THIS NOTICE APPLIES TO STATE-FUNDED AND FEDERALY-FUNDED PROJECTS**

Do not use suspended or debarred parties as subcontractors or material suppliers on this project!

Both the federal government and the State of Minnesota suspend and debar vendors. Review the list of suspended and debarred vendors before submitting a bid or a request to sublet. If your bid is based on using a suspended or debarred vendor, you will not be entitled to additional compensation for replacing the suspended or debarred vendor with a qualified vendor.

State Suspensions and Debarments

The State of Minnesota's list of suspended and debarred vendors is maintained by the Minnesota Department of Administration, Office of State Procurement, and can be found at this link: <http://www.mmd.admin.state.mn.us/debarredreport.asp> . This list includes vendors suspended and debarred by the Department of Administration and MnDOT.

Federal Suspensions and Debarments

The federal government maintains a searchable database of suspensions and debarments, called the System for Award Management (SAM), which is found at this link: <https://www.sam.gov/SAM/> . You can use the "Search Records" function without registering for an account.

November 9, 2020

NOTICE

Suspension and Debarment

This contract is a covered transaction for purposes of 49 CFR Part 29. As such, the contractor is required to verify that none of the contractor, its principals, as defined at 49 CFR 29.995, or affiliates, as defined at 49 CFR 29.905, are excluded or disqualified as defined at 49 CFR 29.940 and 29.945.

The contractor is required to comply with 49 CFR 29, Subpart C and must include the requirement to comply with 49 CFR 29, Subpart C in any lower tier covered transaction it enters into.

By signing and submitting its bid or proposal, the bidder or proposer certifies as follows:

The certification in this clause is a material representation of fact relied upon by the Lincoln County. If it is later determined that the bidder or proposer knowingly rendered an erroneous certification, in addition to remedies available to the Lincoln County, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. The bidder or proposer agrees to comply with the requirements of 49 CFR 29, Subpart C while this offer is valid and throughout the period of any contract that may arise from this offer. The bidder or proposer further agrees to include a provision requiring such compliance in its lower tier covered transactions.

NOTICE TO ALL BIDDERS

To report bid rigging activities call:

1-800-424-9071

The U.S. Department of Transportation (DOT) operates the above toll-free "hotline" Monday through Friday, 8:00 a.m. to 5:00 p.m., eastern time. Anyone with knowledge of possible bid rigging, bidder collusion, or other fraudulent activities should use the "hotline" to report such activities.

The "hotline" is part of the DOT's continuing effort to identify and investigate highway construction contract fraud and abuse and is operated under the direction of the DOT Inspector General. All information will be treated confidentially and caller anonymity will be respected.

LIMITATION ON USE OF CONTRACT FUNDS FOR LOBBYING

Appendix C to Part ___ - Contract Clause

NEW RESTRICTIONS ON LOBBYING

(a) Definitions. As used in this clause,

"Agency", as defined in 5 U.S.C. 552(f), includes Federal Executive departments and agencies as well as independent regulatory commissions and Government corporations, as defined in 31 U.S.C. 9101(1).

"Covered Federal action" means any of the following Federal actions:

- (1) The awarding of any Federal contract;
- (2) The making of any Federal grant;
- (3) The making of any Federal loan;
- (4) The entering into of any cooperative agreement; and,
- (5) The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

Covered Federal action does not include receiving from an agency a commitment providing for the United States to insure or guarantee a loan.

"Indian tribe" and "tribal organization" have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B). Alaskan Natives are included under the definitions of Indian tribes in that Act.

"Influencing or attempting to influence" means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.

"Local government" means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.

"Officer or employee of an agency" includes the following individuals who are employed by an agency:

- (1) An individual who is appointed to a position in the Government under title 5, U.S. Code, including a position under a temporary appointment;
- (2) A member of the uniformed services as defined in section 101(3), title 37, U.S. Code;
- (3) A special Government employee as defined in section 202, title 18, U.S. Code; and,
- (4) An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, title 5, U.S. Code appendix 2.

"Person" means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit or not for profit. This term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Reasonable compensation" means, with respect to a regularly employed officer or employee of any person, compensation that is consistent with the normal compensation for such officer or employee for work that is not furnished to, not funded by, or not furnished in cooperation with the Federal Government.

"Reasonable payment" means, with respect to professional and other technical services, a payment in an amount that is consistent with the amount normally paid for such services in the private sector.

"Recipient" includes all contractors and subcontractors at any tier in connection with a Federal contract. The term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Regularly employed" means, with respect to an officer or employee of a person requesting or receiving a Federal contract, an officer or employee who is employed by such person for at least 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

"State" means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State, regional, or interstate entity having governmental duties and powers.

(b) Prohibition.

(1) Section 1352 of title 31, U.S. Code provides in part that no appropriated funds may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) The prohibition does not apply as follows:

(i) Agency and legislative liaison by Own Employees.

(A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of a payment of reasonable

compensation made to an officer or employee of a person requesting or receiving a Federal activities not directly related to a covered Federal action.

- (B) For purposes of paragraph (A) of this section, providing any information specifically requested by an agency or Congress is allowable at any time.
- (C) For purposes of paragraph (A) of this section, the following agency and legislative liaison activities are allowable at any time only where they are not related to a specific solicitation for any covered Federal action:
 - (i) Discussing with an agency (including individual demonstrations) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and,
 - (ii) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.
- (D) For purposes of paragraph (A) of this section, the following agency and legislative liaison activities are allowable only where they are prior to formal solicitation of any covered Federal action:
 - (i) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;
 - (ii) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and,
 - (iii) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507 and other subsequent amendments.
- (E) Only those activities expressly authorized by paragraph (i) of this section are allowable under paragraph (i).

(ii) Professional and Technical Services by Own Employees.

- (A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a Federal contract or an extension, continuation, renewal, amendment, or modification of a Federal contract if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal contract or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal contract.
- (B) For purposes of paragraph (A) of this section, "professional and technical services" shall be limited to advice and analysis directly

applying any professional or technical discipline. For example, drafting of a legal document accompanying a bid or proposal by a lawyer is allowable. Similarly, technical advice provided by an engineer on the performance or operational capability of a piece of equipment rendered directly in the negotiation of a contract is allowable. However, communications with the intent to influence made by a professional (such as a licensed lawyer), or a technical person (such as a licensed accountant) are not allowable under this section unless they provide advice and analysis directly applying their professional or technical expertise and unless the advice or analysis is rendered directly and solely in the preparation, submission or negotiation of a covered Federal action. Thus, for example, communications with the intent to influence made by a lawyer that do not provide legal advice or analysis directly and solely related to the legal aspects of his or her client's proposal, but generally advocate one proposal over another are not allowable under this section because the lawyer is not providing professional legal services. Similarly, communications with the intent to influence made by an engineer providing an engineering analysis prior to the preparation or submission of a bid or proposal are not allowable under this section since the engineer is providing technical services but not directly in the preparation, submission or negotiation of a covered Federal action.

- (C) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.
- (D) Only those services expressly authorized by paragraph (ii) of this section are allowable under paragraph (ii).

(iii) Reporting for Own Employees.

No reporting is required with respect to payments of reasonable compensation made to regularly employed officers or employees of a person.

(iv) Professional and technical services by Other than Own Employees.

- (A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of any reasonable payment to a person, other than an officer or employee of a person requesting or receiving a covered Federal action, if the payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal contract or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal contract.

- (B) For purposes of paragraph (A) of this section, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline. For example, drafting of a legal document accompanying a bid or proposal by a lawyer is allowable. Similarly, technical advice provided by an engineer on the performance or operational capability of a piece of equipment rendered directly in the negotiation of a contract is allowable. However, communications with the intent to influence made by a professional (such as a licensed lawyer) or a technical person (such as a licensed accountant) are not allowable under this section unless they provide advice and analysis directly applying their professional or technical expertise unless the advice or analysis is rendered directly and solely in the preparation, submission or negotiation of a covered Federal action. Thus, for example, communications with the intent to influence made by a lawyer that do not provide legal advice or analysis directly and solely related to the legal aspects of his or her client's proposal, but generally advocate one proposal over another are not allowable under this section because the lawyer is not providing professional legal services. Similarly, communications with the intent to influence made by an engineer providing an engineering analysis prior to the preparation or submission of a bid or proposal are not allowable under this section since the engineer is providing technical services but not directly in the preparation, submission or negotiation of a covered Federal action.
- (C) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.
- (D) Persons other than officers or employees of a person requesting or receiving a covered Federal action include consultants and trade associations.
- (E) Only those services expressly authorized by paragraph (iv) of this section are allowable under paragraph (iv).

(c) Disclosure.

(1) Each person who requests or receives from an agency a Federal contract shall file with that agency a certification, set forth in _____, that the person has not made, and will not make, any payment prohibited by paragraph (b) of this clause.

(2) Each person who requests or receives from an agency a Federal contract shall file with that agency a disclosure form, Standard Form-LLL, "Disclosure of Lobbying Activities," if such person has made or has agreed to make any payment using nonappropriated funds (to include profits from any covered Federal action), which would be prohibited under paragraph (b) of this clause if paid for with appropriated funds.

(3) Each person shall file a disclosure form at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information contained in any disclosure form previously filed by such person under paragraph (2) of this section. An event that materially affects the accuracy of this information reported includes:

- (i) A cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered Federal action; or
- (ii) A change in the person(s) or individual(s) influencing or attempting to influence a covered Federal action; or,
- (iii) A change in the officer(s), employee(s), or Member(s) contacted to influence or attempt to influence a covered Federal action.

(4) Any person who requests or receives from a person referred to in paragraph (1) of this section a subcontract exceeding \$100,000 at any tier under a Federal contract shall file a certification, and a disclosure form, if required, to the next tier above.

(5) All disclosure forms, but not certifications, shall be forwarded from tier to tier until received by the person referred to in paragraph (1) of this section. That person shall forward all disclosure forms to the agency.

(d) Agreement. In accepting any contract resulting from this solicitation, the person submitting the offer agrees not to make any payment prohibited by this clause.

(e) Penalties.

(1) Any person who makes an expenditure prohibited under paragraph (b) of this clause shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 of each such expenditure.

(2) Any person who fails to file or amend the disclosure form to be filed or amended if required by this clause, shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 or each such failure.

(3) Contractors may rely without liability on the representations made by their subcontractors in the certification and disclosure form.

(f) Cost allowability. Nothing in this clause is to be interpreted to make allowable or reasonable any costs which would be unallowable or unreasonable in accordance with Part 31 or the Federal Acquisition Regulation. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any of the provisions of Part 31 of the Federal Acquisition Regulation.

(End of Clause)

BILLING CODE 3110-01-M

FEDERALLY FUNDED CONSTRUCTION CONTRACTS
SPECIAL PROVISIONS DIVISION A - LABOR
February 1, 2006

I. PREAMBLE

It is in the public interest that public buildings and other public works projects be constructed and maintained by the best means and the highest quality of labor reasonably available and that persons working on public works projects be compensated according to the real value of the services they perform.¹

Therefore, the department shall administer this contract pursuant to the **Federal Davis-Bacon and Related Acts, Required Contract Provisions Federal-Aid Construction Contracts, Form-1273, U.S. Department of Labor's Field Operations Handbook, State of Minnesota Statutes and Rules, MN/DOT's Standard Specifications for Construction, MN/DOT's Contract Administration Manual and MN/DOT's State Aid Manual.**

II. DEFINITIONS²

- A. **Contract**: The written agreement between the contracting authority and the prime contractor setting forth their obligations, including, but not limited to, the performance of the work, the furnishing of labor and materials, the basis of payment, and other requirements contained in the contract documents.
- B. **Contracting Authority**: The political subdivision, governmental body, board, department, commission, or officer making the award and execution of contract as the party of the first part.
- C. **Contractor**: The term "contractor" in these provisions shall include the prime contractor, subcontractor, agent, or other person doing or contracting to do all or part of the work under this contract.³
- D. **Department**: The Department of Transportation of the State of Minnesota, or the political subdivision, governmental body, board, commission, office, department, division, or agency constituted for administration of the contract work within its jurisdiction.
- E. **First Tier Subcontractor**: An individual, firm, corporation, or other entity to which the prime contractor sublets part of the contract.
- F. **Independent Truck Owner/Operator (ITO)**: An individual, partnership, or principal stockholder of a corporation who owns or holds a vehicle under lease and who contracts that vehicle and the owner's services to an entity that provides construction services to a public works project.⁴
- G. **Laborer or Mechanic**: A worker in a construction industry labor class identified in or pursuant to Minnesota Rules 5200.1100, Master Job Classifications.⁵
- H. **Plan**: The plan, profiles, typical cross-sections, and supplemental drawings that show the locations, character, dimensions, and details of the work to be done.
- I. **Prime Contractor**: The individual, firm, corporation, or other entity contracting for and undertaking prosecution of the prescribed work; the party of the second part to the contract, acting directly or through a duly authorized representative.

¹ Minnesota Statute 177.41

² MN/DOT Standard Specifications for Construction, Section 1103

³ Minnesota Statute 177.44, Subdivision 1

⁴ Minnesota Rules 5200.1106, Subpart 7(A)

⁵ Minnesota Rules 5200.1106, Subpart 5(A)

- J. **Project**: The specific section of the highway, the location, or the type of work together with all appurtenances and construction to be performed under the contract.
- K. **Second Tier Subcontractor**: An individual, firm, corporation, or other entity to which a first tier subcontractor sublets part of the contract.
- L. **Special Provisions**: Additions and revisions to the standard and supplemental specifications covering conditions peculiar to an individual project.
- M. **Specifications**: A general term applied to all directions, provisions, and requirements pertaining to performance of the work.
- N. **Subcontractor**: An individual, firm, corporation, or other entity to which the prime contractor or subcontractor sublets part of the contract.
- O. **Substantially In Place**: Mineral aggregate is deposited on the project site directly or through spreaders where it can be spread from or compacted at the location where it was deposited.⁶
- P. **Trucking Broker**: An individual or business entity, the activities of which include, but are not limited to: contracting to provide trucking services in the construction industry to users of such services, contracting to obtain such services from providers of trucking services, dispatching the providers of the services to do work as required by the users of the services, receiving payment from the users in consideration of the trucking services provided and making payment to the providers for the services.⁷
- Q. **Trucking Firm/Multiple Truck Owner (MTO)**: Any business entity that owns more than one vehicle and hires the vehicles out for services to brokers or contractors on public works projects.⁸
- R. **Work**: The furnishing of all labor, materials, equipment, and other incidentals necessary or convenient to the successful completion of the project and the carrying out of all the duties and obligations imposed by the contract upon the contractor. Also used to indicate the construction required or completed by the contractor.

III. SCOPE – SPECIAL PROVISIONS DIVISION A & CONTRACT

- A. These provisions shall apply to this contract, which is funded in whole or in part with federal funds⁹ and state funds.¹⁰
- B. These provisions shall apply to the prime contractor and all subcontractors contracting to do all or part of the work under this contract.¹¹
- C. The provisions established in this document do not necessarily represent all federal, state, and local laws, ordinances, rules and regulations. It is the responsibility of the prime contractor to inform itself and all subcontractors about other regulations that may be applicable to this contract.
- D. The prime contractor is responsible to ensure that each subcontractor performing work under this contract receives copies of all required contract provisions.¹² These provisions shall be incorporated into written subcontracts and must be displayed on the poster board.¹³
- E. The department shall administer this contract in accordance with all applicable federal regulations, state statutes and rules¹⁴, along with the plans, specifications and provisions, which are incorporated into and found elsewhere in this contract.

⁶ Minnesota Rules 5200.1106, Subpart 5(C)

⁷ Minnesota Rules 5200.1106, Subpart 7(C)

⁸ Minnesota Rules 5200.1106, Subpart 7(B)

⁹ 29 CFR Part 5.5(a)

¹⁰ Minnesota Statute 177.41

¹¹ Minnesota Statute 177.44, Subdivision 1

¹² 29 CFR Part 5.5(a)(6)

¹³ Minnesota Statute 177.44, Subdivision 5

- F. An unpublished decision from the Minnesota Court of Appeals affirms the authority of the Minnesota Commissioner of Transportation to enforce the Minnesota Prevailing Wage Law on a case-by-case basis.¹⁵ Therefore, the department shall provide enforcement in a manner consistent with the decision notwithstanding any prior notices on the subject.
- G. For additional information refer to: www.dot.state.mn.us/const/labor/.

IV. PAYROLLS AND STATEMENTS

- A. Each week, in which work was performed under this contract, all contractors shall submit a payroll statement to the department.¹⁶ Each statement shall be submitted within seven days after the regular payment date of the payroll period.¹⁷ Each payroll submitted shall include all employees that performed work under this contract and provide at a minimum the following information:¹⁸
1. Contractor's name, address, and telephone number.
 2. State project number.
 3. Payroll report number.
 4. Project location.
 5. Workweek ending date.
 6. Name, social security number, and home address for each employee.
 7. Labor classification(s) and/or three-digit code for each employee.
 8. Hourly straight time and overtime wage rates paid to each employee.
 9. Daily and weekly hours worked in each labor classification, including overtime hours for each employee.
 10. Authorized legal deductions for each employee.
 11. Project gross amount, weekly gross amount and net wages paid to each employee.
- B. Payroll records may be submitted in any form provided it includes all the information contained in **Subpart A (1 - 11)** of this section.¹⁹ However, contractors needing a payroll form may utilize the "front side" of the **U.S. Department of Labor's, WH-347 - Payroll Form**. This form is available by visiting the Labor Compliance website.²⁰
- C. All payroll records must be accompanied with a completed and signed **MN/DOT, 21658 - Statement of Compliance Form**.²¹
- D. The prime contractor is responsible for assuring that its payroll records and those of all subcontractors include all employees that performed work under this contract and accurately reflect the hours worked, regular and overtime rates of pay and classification of work performed.²²
- E. The prime contractor is responsible to maintain all certified payroll records, including those of all subcontractors, throughout the course of a construction project and retain all records for a period of three years after the final contract voucher has been issued.²³

¹⁴ Minnesota Rules 8820.3000, Subpart 2

¹⁵ Minnesota Court of Appeals Case Number: C6-97-1582

¹⁶ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section V, Subpart 2(c)

¹⁷ 29 CFR Part 3.4(a)

¹⁸ Minnesota Rules 5200.1106, Subpart 10

¹⁹ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section V, Subpart 2(c)

²⁰ www.dot.state.mn.us/const/labor/

²¹ Minnesota Rules 5200.1106, Subpart 10

²² 29 CFR Part 5.5(a)(6)

²³ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section V, Subpart 2(a)

- F. At the end of each pay period, each contractor shall provide every employee, in writing, an accurate detailed earnings statement.²⁴
- G. Upon request from the U.S. Department of Labor (U.S. DOL), Federal Highway Administration (FHWA), Minnesota Department of Labor and Industry (MN/DLI) or the Department, the prime contractor shall promptly furnish copies of payroll records for its workers and those of all subcontractors, along with other records, deemed appropriate by the requesting agency to determine compliance with these contract provisions.²⁵
- H. At the department's discretion, the project engineer may administer the submission of payroll records according to MN/DOT's Payroll Maintenance Program. The guidelines for the implementation and administration of this program are outlined in the **MN/DOT Contract Administration Manual, Section A(4)(d)**. The program has not been approved for federal-aid contracts administered by local units of government and will not be allowed for such contracts. However, the program may be utilized for local state-aid contracts.
- I. If, after written notice, the prime contractor fails to submit its payroll reports and certification forms and those of any subcontractor, the department may implement the actions prescribed in section **XVI (NON-COMPLIANCE AND ENFORCEMENT)**.

V. WAGE RATES

- A. The prime contractor is responsible to ensure that its workers and those of all subcontractors are compensated according to the U.S. DOL federal general decision(s) and the MN/DLI state prevailing wage determination(s) incorporated into and found elsewhere in this contract, **whichever is greater**. All contractors shall pay each worker the required minimum total hourly wage rate for all hours worked on the project and for the appropriate classification of labor.
1. Federal building, heavy and highway general decisions are specific to the county in which the construction work is being performed; a decision does not cross county or state lines.²⁶ If a project extends into more than one county or state, the applicable wage decision for each county or state shall be incorporated into and found elsewhere in this contract.
 2. State highway and heavy wage determinations are specific to ten separate regions throughout the state of Minnesota. If a project extends into more than one region, the applicable wage decision for each region shall be incorporated into and found elsewhere in this contract.
 - a. If this contract contains multiple highway and heavy wage determinations, there shall be only one standard of hours of labor and wage rates.²⁷
 3. State commercial wage determinations are specific to the county in which the construction work is being performed. If a project extends into more than one county, the applicable wage determination for each county shall be incorporated into and found elsewhere in this contract.
 - a. If this contract contains multiple commercial wage determinations, there shall be only one standard of hours of labor and wage rates.²⁸
- B. Wage rates listed in the federal and/or state wage determination(s) contain two components: the hourly basic rate and the fringe rate; together they equal the total prevailing wage rate. A

²⁴ Minnesota Statute 181.032

²⁵ Minnesota Statute 177.44, Subdivision 7 and Minnesota Rules 5200.1106, Subpart 10

²⁶ 29 CFR Part 1.7(a)

²⁷ Minnesota Statute 177.44, Subdivision 4

²⁸ Minnesota Statute 177.44, Subdivision 4

- contractor shall compensate a worker at a minimum, a combination of cash and fringe benefits equaling the total prevailing wage rate.²⁹
- C. The applicable certified wage decisions incorporated into and found elsewhere in this contract remain in effect for the life of this contract. The wage decisions do not necessarily represent the workforce that can be obtained at the rates certified by the U.S. DOL or MN/DLI. It is the responsibility of the prime contractor and any subcontractor to inform themselves about local labor conditions and prospective changes or adjustments to the wage rates. No increase in this contract price shall be allowed or authorized due to wage rates that exceed those incorporated into this contract.
- D. A contractor shall not reduce a worker's private, regular rate of pay when the wage rate certified by the U.S. DOL or MN/DLI is less than the worker's normal hourly wage.³⁰
- E. From the time a worker is required to report for duty at the project site until the worker is allowed to leave the site, no deductions shall be made from the worker's hours for any delays of less than twenty consecutive minutes.³¹
1. In situations where a delay may exceed twenty consecutive minutes and the contractor requires a worker to remain on the premises or so close to the premises that the worker cannot use the time effectively for the worker's own purposes, the worker is considered "on-call"³² and shall be compensated in accordance with **Subpart B** of this section, unless the worker is allowed or required to leave the project site.
- F. A contractor making payment to an employee, laborer, mechanic, worker, or truck owner-operator shall not accept a rebate for the purpose of reducing or otherwise decreasing the value of the compensation paid.³³
- G. Any employee who knowingly permits a contractor to pay less than the total prevailing wage or gives up any part of the compensation to which the employee is entitled may be subject to penalties.³⁴

VI. BONA FIDE FRINGE BENEFITS

- A. A "funded" fringe benefit plan is one that allows the contractor to make irrevocable contributions on behalf of an employee to a financially responsible trustee, third person, fund, plan or program, without prior approval from the U.S. Department of Labor. Types of "funded" fringe benefits may include, but are not limited to: pension, health and life insurance.³⁵
- B. An "unfunded" fringe benefit plan or program is one that allows the contractor to furnish an in-house benefit on behalf of an employee. The cost to provide the benefit is funded from the contractor's general assets rather than funded by contributions made to a trustee, third person, fund, plan or program. Types of "unfunded" fringe benefits may include, but are not limited to: holiday plans, vacation plans and sick plans.³⁶
- C. Credit toward the total prevailing wage rate shall be determined for each individual employee and is allowed for bona fide fringe benefits that:³⁷
1. include contributions irrevocably made by a contractor on behalf of an employee to a financially responsible trustee, third person, fund, plan, or program;

²⁹ Minnesota Statute 177.42, Subdivision 6

³⁰ Minnesota Statute 181.03, Subdivision 1(2)

³¹ Minnesota Rules 5200.0120, Subpart 1

³² Minnesota Rules 5200.0120, Subpart 2

³³ Minnesota Rules 5200.1106, Subpart 6

³⁴ Minnesota Statute 177.44, Subdivision 6

³⁵ 29 CFR Parts 5.26 and 5.27

³⁶ 29 CFR Part 5.28

³⁷ 29 CFR Part 5.23

2. are legally enforceable;
 3. have been communicated in writing to the employee; and
 4. are made available to the employee once he/she has met all eligibility requirements.
- D. No credit shall be allowed for benefits required by federal, state or local law, such as: worker's compensation, unemployment compensation, and social security contributions.³⁸
- E. Upon request from the Minnesota Department of Labor and Industry (MN/DLI) or the Department, the prime contractor shall promptly furnish copies of fringe benefit records for its workers and those of all subcontractors, along with other records, deemed appropriate by the requesting agency to determine compliance with these contract provisions.³⁹
- F. In addition to the requirements set forth in **Subpart C** of this section, it is the responsibility of the prime contractor and any subcontractor to inform themselves about other federal and state fringe benefit regulations that may be applicable to this contract.
- G. Contractors shall submit a completed and signed **MN/DOT, 21658 - Statement of Compliance Form**, identifying any fringe contributions made on behalf of a worker.⁴⁰ The form must be submitted in accordance with section **IV (PAYROLLS AND STATEMENTS), Subparts A and C**.
- H. Pursuant with *Minnesota Statute 181.74, Subdivision 1*, a contractor that is obligated to deposit fringe benefit contributions on behalf of its employees into a financially responsible trustee, third person, fund, plan, or program and fails to make timely contributions may be guilty of a gross misdemeanor. A contractor found in violation of the above-mentioned statute shall compel the department to take such actions as prescribed in section **XVI, (NON-COMPLIANCE AND ENFORCEMENT)**.

VII. OVERTIME

- A. A contractor shall not permit or require a worker to work in excess of 40 hours per week unless the worker is compensated at a rate not less than 1-1/2 times the basic hourly rate as determined by the United States Secretary of Labor.⁴¹
- B. A contractor shall not permit or require a worker to work longer than the prevailing hours of labor unless the worker is paid for all hours in excess of the prevailing hours at a rate of at least 1-1/2 times the hourly basic hourly rate of pay.⁴² The prevailing hours of labor is defined as not more than 8 hours per day or more than 40 hours per week.⁴³
- C. In addition to the requirements set forth in **Subparts A and B** of this section, it is the responsibility of the prime contractor and any subcontractor to inform themselves about other federal and state overtime regulations that may be applicable to this contract.

VIII. LABOR CLASSIFICATIONS

- A. All contractors shall refer to the federal general decision or the state wage determination incorporated into and found elsewhere in this contract to obtain an applicable job classification. Workers must be classified and compensated for the actual work performed regardless of the worker's skill level.⁴⁴ The prime contractor shall ensure that all contractors adhere to the following requirements:

³⁸ 29 CFR Part 5.29(f)

³⁹ Minnesota Statute 177.44, Subdivision 7 and Minnesota Rules 5200.1106, Subpart 10

⁴⁰ Minnesota Rules 5200.1106, Subpart 10

⁴¹ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section IV, Subpart 7

⁴² Minnesota Statute 177.44, Subdivision 1

⁴³ Minnesota Statute 177.42, Subdivision 4

⁴⁴ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section IV, Subpart 1(a)

1. Prior to performing work under this contract, all contractors shall review the federal general decision and complete a **U.S. DOL, SF-1444 - Request for Authorization of Additional Classification and Wage Rate Form** for any labor classification missing from the decision and submit it to the MN/DOT Labor Compliance Unit for processing.⁴⁵
2. If a contractor cannot determine an appropriate job classification, state law requires that the worker be assigned a job classification that is the "same or most similar".⁴⁶ Contractors should refer to the Master Job Classification List⁴⁷ to obtain an applicable labor classification. Clarification regarding labor classifications should be directed to the MN/DLI or the MN/DOT Labor Compliance Unit.

IX. INDEPENDENT CONTRACTORS, OWNERS, SUPERVISORS AND FOREMAN

- A. An independent contractor performing work as a laborer or mechanic is subject to the contract prevailing wage requirements⁴⁸ for the classification of work performed and shall adhere to the requirements established in sections **IV (PAYROLLS AND STATEMENTS); V (WAGE RATES); VI (FRINGE BENEFITS); VII (OVERTIME) and VIII (LABOR CLASSIFICATIONS)**. In order to ensure compliance, the department may examine the subcontract agreement to determine if the bid price submitted covers the applicable prevailing wage rate for the number of hours worked, along with other records, deemed appropriate by the department.⁴⁹
- B. Pursuant with state regulations, owners, supervisors and foreman performing work under the contract⁵⁰ shall be compensated in accordance with section **V (WAGE RATES)**. Furthermore, the prime contractor and any subcontractor shall adhere to the requirements established in sections **IV (PAYROLLS AND STATEMENTS); VI (FRINGE BENEFITS); VII (OVERTIME) and VIII (LABOR CLASSIFICATIONS)**.
- C. Pursuant with federal regulations, the contract labor provisions do not apply to owners, supervisors or foreman whose duties are primarily associated with bona fide administrative, executive or clerical positions. These individuals are not deemed to be laborers or mechanics.⁵¹
 1. However, working owners, supervisors and/or foreman who devote more than 20 percent of their time during a workweek to laborer or mechanic duties are considered laborers or mechanics for the time so spent and are subject to the requirements established in sections **IV (PAYROLLS AND STATEMENTS); V (WAGE RATES); VI (FRINGE BENEFITS); VII (OVERTIME) and VIII (LABOR CLASSIFICATIONS)**.

X. APPRENTICES, TRAINEES AND HELPERS

- A. An apprentice is not subject to the federal and/or state wage decisions incorporated into and found elsewhere in this contract, provided the contractor can demonstrate compliance with **Subparts (1 - 4)** of this section:⁵²
 1. The apprentice is performing the work of his/her trade.
 2. The apprentice is registered with the U.S. DOL Bureau of Apprenticeship and Training or MN/DLI Division of Voluntary Apprenticeship.
 3. The apprentice is compensated according to the rate specified in the program for the level of progress.

⁴⁵ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section IV, Subpart 2

⁴⁶ Minnesota Statute 177.44, Subdivision 1

⁴⁷ Minnesota Rules 5200.1100

⁴⁸ 29 CFR Part 5.2(o) and Minnesota Statute 177.41

⁴⁹ Minnesota Statute 177.44, Subdivision 7 and Minnesota Rules 5200.1106, Subpart 10

⁵⁰ Minnesota Statute 177.44, Subdivision 1

⁵¹ 29 CFR Part 5.2(m)

⁵² Minnesota Rules 5200.1070

4. The ratio of apprentices to journeyman workers on the project is not greater than the ratio permitted for the contractor's entire work force under the registered program.⁵³
- B. A trainee is not subject to the federal general decision incorporated into and found elsewhere in this contract, provided the contractor can demonstrate compliance with **Subparts (1 - 4)** of this section:⁵⁴
1. The trainee is performing the work of his/her trade.
 2. The trainee is registered with the U.S. DOL Employment and Training Administration.
 3. The trainee is compensated according to the rate specified in the program for the level of progress.
 4. The ratio of trainees to journeyman workers on the project is not greater than the ratio permitted under the program.
 5. All hours worked in excess of the prescribed hours allowed under the program and/or this contract shall be paid at the journeyman wage rate incorporated into and found elsewhere in this contract.
 6. A trainee is not exempt under state law; the contractor shall assign the trainee a job classification that is the "same or most similar"⁵⁵ and compensate the trainee for the actual work performed regardless of the trainee's skill level, unless the trainee is:⁵⁶
 - a. employed and registered in a bona-fide apprenticeship program; or
 - b. employed in the first 90 days of probationary employment as an apprentice, is not registered in the apprenticeship program, but has been certified by the proper government authorities to be eligible for probationary employment as an apprentice.
- C. A helper may perform work only if the helper classification is specified and defined in the federal general decision incorporated into and found elsewhere in this contract or is approved pursuant to the federal conformance procedure:⁵⁷
1. A helper is not exempt under state law; a contractor shall assign the helper a job classification that is the "same or most similar"⁵⁸ and compensate the helper for the actual work performed regardless of the helper's skill level.⁵⁹
- D. If a contractor fails to demonstrate compliance with the terms established in **Subparts A - C** of this section, the contractor shall compensate the worker not less than the applicable total prevailing wage rate for the actual work performed.⁶⁰

XI. SUBCONTRACTING PART OF THIS CONTRACT⁶¹

- A. If the prime contractor intends to sublet any portion of this contract, it shall complete and submit a **MN/DOT, TP-21834, Request To Sublet Form** to the project engineer 10 days prior to the first day of work for any subcontractor.
- B. The prime contractor shall not subcontract any portion of this contract without prior written consent from the project engineer.

⁵³ MN/DOLI Division of Apprenticeship – April 6, 1995 Memorandum from Jerry Briggs, Director

⁵⁴ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section IV, Subpart 4(b)

⁵⁵ Minnesota Statute 177.44, Subdivision 1

⁵⁶ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section IV, Subpart 1(a)

⁵⁷ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section IV, Subpart 4(c)

⁵⁸ Minnesota Statute 177.44, Subdivision 1

⁵⁹ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section IV, Subpart 1(a)

⁶⁰ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section IV, Subpart 4(a)(b)(c)

⁶¹ MN/DOT Standard Specifications for Construction, Section 1801

- C. The prime contractor's organization shall perform work amounting to not less than 40 percent of the total original contract cost. However, contracts with Disadvantaged Business Enterprise (DBE) or Targeted Group Business (TGB) established goals, or both, the contractor's organization shall perform work amounting to not less than 30 percent of the total original contract cost.
- D. A first tier subcontractor shall not subcontract any portion of its work under this contract unless approved by the prime contractor and the project engineer. In addition, a first tier subcontractor may only subcontract up to 50% of its original subcontract.
- E. A second tier subcontractor shall not subcontract any portion of its work under this contract.
- F. Written consent to subcontract any portion of this contract does not relieve the prime contractor of liabilities and obligations under the contract and bonds.
- G. Contractors shall not subcontract with or purchase materials or services from a debarred or suspended person.⁶²

XII. POSTER BOARDS

- A. The prime contractor shall construct and display a poster board, which contains all required posters, is legible and is accessible to all workers from the first day of work until the project is 100 percent complete.⁶³ The prime contractor is not allowed to place a poster board at an off-site location.
 1. The prime contractor can obtain the required posters by contacting MN/DOT at (651) 366-3091. The prime contractor will need to furnish its name, mailing address, the type of posters (federal-aid) and the quantity needed.

XIII. EMPLOYEE INTERVIEWS

- A. At any time the prime contractor shall permit representatives from the U.S. DOL, FHWA, MN/DLI, or the Department to interview its workers and those of any subcontractor during working hours on the project.⁶⁴

XIV. TRUCKING / OFF-SITE FACILITIES

- A. The prime contractor is responsible to ensure that its workers and those of all subcontractors are compensated in accordance with the federal wage decision incorporated into and found elsewhere in this contract for the following work duties:
 1. The processing or manufacturing of material, including the hauling of material to and from an immediately adjacent, dedicated off-site facility.⁶⁵
 2. The hauling of any or all stockpiled or excavated materials on the project work site to other locations on the same project.⁶⁶
- B. The prime contractor is responsible to ensure that its workers and those of all subcontractors, are compensated in accordance with the state wage determination incorporated into and found elsewhere in this contract for the following work duties:
 1. The processing or manufacturing of material, including the hauling of material to and from a prime contractor's material operation that is not a separate commercial establishment.⁶⁷

⁶² Minnesota Statute 161.315, Subdivision 3(3)

⁶³ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section IV, Subpart 1(a)

⁶⁴ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section V, Subpart 2(g)

⁶⁵ 29 CFR Part 5.2(l)(2)

⁶⁶ 29 CFR Part 5.2(j)(1)

⁶⁷ ALJ Findings of Fact, Conclusions of Law, and Recommendation, Conclusions (7), Case #12-3000-11993-2

2. The processing or manufacturing of material, including the hauling of material to and from an off-site material operation that is not considered a commercial establishment.⁶⁸
 3. The hauling of any or all stockpiled or excavated materials on the project work site to other locations on the same project even if the truck leaves the work site at some point.⁶⁹
 4. The delivery of materials from a non-commercial establishment to the project and the return haul.⁷⁰
 5. The delivery of materials from another construction project site to the public works project and the return haul, either empty or loaded. Construction projects are not considered commercial establishments.⁷¹
 6. The hauling required to remove any materials from the project to a location off the project site and the return haul, either empty or loaded from other than a commercial establishment.⁷²
 7. The delivery of mineral aggregate materials from a commercial establishment, which is deposited "substantially in place" and the return haul, either empty or loaded.⁷³
- C. The work duties prescribed in **Subpart A (1 - 2) and Subpart B (1 - 7)** of this section do not represent all possible hauling activities and/or other work duties that may be performed under this contract. It is the responsibility of the prime contractor to inform itself and all subcontractors about other applicable job duties that may be subject to this contract labor provisions.
- D. A contractor acquiring trucking services from an ITO, MTO and/or Truck Broker to perform and/or provide "covered" hauling activities shall comply with the payment of the certified state truck rental rates,⁷⁴ which are incorporated into and found elsewhere in this contract.
1. Each month, in which hauling activities were performed under this contract, the prime contractor and all subcontractors shall submit a **MN/DOT, TP-90550 - Month-End Trucking Report** and **MN/DOT, TP-90551 - Statement of Compliance Form**, along with each ITOs, MTOs and/or Truck Brokers reports to the department.⁷⁵ The specifications regarding the dates for submission can be found near the bottom of the **MN/DOT, TP-90551 - Statement of Compliance Form**.
- E. A Truck Broker contracting to provide trucking services in the construction industry may charge a reasonable broker fee to the provider of trucking services.⁷⁶ The prime contractor and any subcontractor contracting to receive trucking services shall not assess a broker fee.
- F. A contractor with employee truck drivers shall adhere to the requirements established in **Sections IV (PAYROLLS AND STATEMENTS); V (WAGE RATES); VI (FRINGE BENEFITS); VII (OVERTIME) and VIII (LABOR CLASSIFICATIONS)**.
- G. If after written notice, the prime contractor fails to submit its month-end trucking reports and certification forms and those of any subcontractor, MTO and/or Truck Broker, the department may take such actions as prescribed in section **XVI, (NON-COMPLIANCE AND ENFORCEMENT)**.

⁶⁸ Minnesota Rules 5200.1106, Subpart 3B(2)

⁶⁹ Minnesota Rules 5200.1106, Subpart 3B(1)

⁷⁰ Minnesota Rules 5200.1106, Subpart 3B(2)

⁷¹ Minnesota Rules 5200.1106, Subpart 3B(3)

⁷² Minnesota Rules 5200.1106, Subpart 3B(4)

⁷³ Minnesota Rules 5200.1106, Subpart 3B(5)(6)

⁷⁴ Minnesota Rules 5200.1106, Subpart 1

⁷⁵ Minnesota Rules 5200.1106, Subpart 10

⁷⁶ Minnesota Rules 5200.1106, Subpart 7(C)

XV. CHILD LABOR

- A. No worker under the age of 18 is allowed to perform work on construction projects.⁷⁷
- B. In accordance with state law, a worker under the age of 18, employed in a corporation totally owned by one or both parents that is supervised by the parent(s), may perform work on construction projects.⁷⁸ However, if this contractor is subject to the federal Fair Labor Standards Act, a worker under the age of 18 is not allowed to perform work in a hazardous occupation.⁷⁹
- C. To protect the interests of the department, the project engineer may remove a worker that appears to be under the age of 18 from the construction project until the contractor or worker can demonstrate proof of age⁸⁰ and compliance with all applicable federal and/or state regulations.⁸¹

XVI. NON-COMPLIANCE AND ENFORCEMENT

- A. The prime contractor shall be liable for any unpaid wages to its workers or those of any subcontractor, ITO, MTO and/or Truck Broker.⁸²
- B. If it is determined that a contractor has violated federal and/or state prevailing wage laws, or any portion of this contract, the department may implement, after written notice, one or more of the following sanctions:
 - 1. Withhold or cause to be withheld from the prime contractor under this contract, or any other federally funded contract with the same prime contractor, as much of the accrued payments or advances as may be considered necessary to pay workers employed by the prime contractor or any subcontractor the full amount of wages required by this contract.⁸³
 - 2. Withhold or cause to be withheld from the prime contractor such amounts in considerations or assessments against the prime contractor, whether arising from this contract or other contract with the department.⁸⁴
 - 3. The department may reject a bid from a prime contractor that has demonstrated continued or persistent noncompliance with the prevailing wage law on previous or current contracts with the department.⁸⁵
 - 4. The department may take the prosecution of the work out of the hands of the prime contractor, place the contractor in default and terminate this contract for failure to demonstrate compliance with these provisions.⁸⁶
- C. Any contractor who violates the state prevailing wage law is guilty of a misdemeanor and may be fined not more than \$300 or imprisoned not more than 90 days or both. Each day that the violation continues is a separate offense.⁸⁷
- D. All required documents and certification reports are legal documents; willful falsification of the documents may result in civil action and/or criminal prosecution⁸⁸ and may be grounds for debarment proceedings.⁸⁹

⁷⁷ Minnesota Rules 5200.0910, Subpart F

⁷⁸ Minnesota Rules 5200.0930, Subpart 4

⁷⁹ 29 CFR Part 570.2(a)(ii)

⁸⁰ Minnesota Statute 181A.06, Subdivision 4

⁸¹ MN/DOT Standard Specifications for Construction, Section 1701

⁸² MN/DOT Standard Specifications for Construction, Section 1801

⁸³ Required Contract Provisions Federal-Aid Construction Contracts Form-1273, Section IV, Subpart 6

⁸⁴ MN/DOT Standard Specifications for Construction, Section 1906

⁸⁵ Minnesota Statute 161.32, Subdivision 1(d)

⁸⁶ MN/DOT Standard Specifications for Construction, Section 1808

⁸⁷ Minnesota Statute 177.44, Subdivision 6

⁸⁸ Minnesota Statutes 16B, 161.315, Subdivision 2, 177.43, Subdivision 5 177.44, Subdivision 6, 609.63

⁸⁹ Minnesota Statute 161.315

"General Decision Number: MN20230063 01/06/2023

Superseded General Decision Number: MN20220063

State: Minnesota

Construction Type: Highway

Counties: Chippewa, Kandiyohi, Lac Qui Parle, Lincoln, Lyon, McLeod, Meeker, Murray, Pipestone, Redwood, Renville and Yellow Medicine Counties in Minnesota.

HIGHWAY CONSTRUCTION PROJECTS

Note: Contracts subject to the Davis-Bacon Act are generally required to pay at least the applicable minimum wage rate required under Executive Order 14026 or Executive Order 13658. Please note that these Executive Orders apply to covered contracts entered into by the federal government that are subject to the Davis-Bacon Act itself, but do not apply to contracts subject only to the Davis-Bacon Related Acts, including those set forth at 29 CFR 5.1(a)(2)-(60).

<p>If the contract is entered into on or after January 30, 2022, or the contract is renewed or extended (e.g., an option is exercised) on or after January 30, 2022:</p>	<ul style="list-style-type: none"> ◆ Executive Order 14026 generally applies to the contract. ◆ The contractor must pay all covered workers at least \$16.20 per hour (or the applicable wage rate listed on this wage determination, if it is higher) for all hours spent performing on the contract in 2023.
<p>If the contract was awarded on or between January 1, 2015 and January 29, 2022, and the contract is not renewed or extended on or after January 30, 2022:</p>	<ul style="list-style-type: none"> ◆ Executive Order 13658 generally applies to the contract. ◆ The contractor must pay all covered workers at least \$12.15 per hour (or the applicable wage rate listed on this wage determination, if it is higher) for all hours performing on that contract in 2023.

Taping of Pavement Markings).....\$ 17.50 0.00

PILEDRIVERMAN (Including
vibratory driver or extractor
for piling and sheeting
operations).....\$ 42.15 26.04

PLUMBER.....\$ 32.94 20.00

POWER EQUIPMENT OPERATOR:

GROUP 2.....\$ 42.14 23.45

GROUP 3.....\$ 41.59 23.45

GROUP 4.....\$ 41.29 23.45

GROUP 5.....\$ 38.25 23.45

GROUP 6.....\$ 37.04 23.45

Special Equipment

Articulated Hauler.....\$ 31.16 23.45

Boom Truck.....\$ 31.16 23.45

Landscaping Equipment,
includes hydro seeder or
mulcher, sod roller, farm
tractor with attachment
specifically seeding,
sodding, or plant, and
two-framed forklift
(excluding front, posit-
track, and skid steer
loaders) no earthwork or
grading for elevations.....\$ 20.00 0.00

Off-Road Truck.....\$ 41.29 23.45

Pavement Marking or
Marking Removal Equipment
(one or two person
operators); Self-
Propelled Truck or
Trailer Mounted Units.....\$ 35.00 2.86

OPERATING ENGINEER CLASSIFICATIONS

GROUP 2: Helicopter Pilot; Concrete Pump; All Cranes with over
135 ft boom excluding jib; Dragline, Crawler, Hydraulic
Backhoe (Track or Wheel Mounted) and/or other similar
equipment with shovel-type controls 3 cu yd & over
manufacturer's rated capacity including all attachments;
Grader or Motor Patrol; Pile Driving; Tugboat 100 H.P. and
over when license required

GROUP 3: Asphalt Bituminous Stabilizer Plant; Cableway;
Concrete Mixer, Stationary Plant; Derrick (guy or stiff
leg)(power)(skids or stationary); Dragline, Crawler, Hydraulic
Backhoe (Track or Wheel Mounted) and/or similar equipment with
shovel-type controls, up to 3 cubic yards manufacturer's rated
capacity including all attachments; Dredge or Engineers,
Dredge (Power) and Engineer; Front end loader 5 cu yd & over
including attachments; Locomotive Crane Operator; Mixer

(paving) concrete paving, Road Mole including Mucking operations, Conway or similar type; Mechanic, Welder on Power Equipment; Tractor, Boom type. Tandem Scraper; Truck Crane, Crawler Crane; Tugboat 100 H.P. & over.

GROUP 4: Air Track Rock Drill; Automatic Road Machine CMI or similar; Backfiller Operator; Concrete Batch Plant Operator; Bituminous Rollers, Rubber Tired or Steel Drummed (8 tons & over); Bituminous Spreader & Finishing Machine (power), including pavers, Macro Surfacing & Micro Surfacing or similar types (Operator & Screed person); Brokk or RTC remote control or similar type with attachments; Cat Challenger Tractor or similar types pulling Rock Wagons, Bulldozer & Scraper; Chip Harvester & Tree Cutter; Concrete Distributor & Spreader Finishing Machine, Longitudinal Float, Joint Machine, Spray Machine; Concrete Mixer on jobsite; Concrete Mobil; Crushing Plant (gravel, stone) or Gravel Washing, Crushing & Screening Plant; Curb Machine; Directional Boring Machine; Dope Machine; Drill Rigs, Heavy Rotary or Churn or Cable Drill; Dual Tractor; Elevating Grader; Fork Lift or Straddle Carrier; Fork Lift or Lumber Stacker; Front End, Skid Steer over 1 to 5 cu yd; GPS Remote Operating of equipment; Hoist Engineer (power); Hydraulic Tree Planter; Launcher Person (Tanker Person or Pilot License); Locomotive; Milling, Grinding, Planning, Fine Grade, or Trimmer Machine; Multiple Machines such as Air Compressors, Welding Machines, Generators, Pumps; Pavement Breaker or Tamping Machine (Power Driven), Mighty Mite or similar type; Pickup Sweeper 1 cu yd & over hopper capacity; Pipeline Wrapping, Cleaning or Bending Machine; Power Actuated Horizontal Boring Machine, over 6 inches; Pugmill; Pumpcrete; Rubber-Tired Farm Tractor with Backhoe including attachments; Scraper; Self-Propelled Soil Stabilizer; Slip Form (power driven) (paving); Tie Tamper and Ballast Machine; Tractor, Bulldozer; Tractor, Wheel type, over 50 hp with PTO Unrelated to Landscaping; Trenching Machine (Sewer, Water, Gas) excludes walk behind trencher; Tub Grinder, Morbark or similar type; Well Point Dismantling or Installation.

GROUP 5: Air Compressor 600 cfm or over; Bituminous Roller under 8 tons; Concrete Saw (multiple blade) (power operated); Form Trench Digger (power); Front End Skid Steer up to 1 cu yd; Gunit Gunall; Hydraulic Log Splitter; Loader (Barber Greene or Similar type); Post Hole Driving Machine/Post Hole Auger; Power Actuated Auger & Boring Machine; Power Actuated Jack; Pump; Self-Propelled Chip Spreader (Flaherty or similar); Sheep Foot Compactor with blade 200 hp & over; Shouldering Machine (Power) APSCO or similar type including self-propelled Sand and Chip Spreader; Stump Chipper and Tree Chipper; Tree Farmer (Machine).

GROUP 6: Cat, Challenger or similar type of tractors when pulling Disk or Roller; Conveyor; Dredge Deck Hand; Fire Person or Tank Car Heater; Gravel Screening Plant (portable, not crushing or washing); Greaser (tractor); Lever Person; Oiler (Power Shovel, Crane, Truck Crane, Dragline, Crushers,

and Milling Machines or other similar Heavy Equipment); Power Sweeper; Sheep Foot Roller & Rollers on Gravel Compaction including vibrating rollers; Tractor, Wheel Type, over 50 H.P., Unrelated to Landscaping.

SHEET METAL WORKER.....\$ 40.88 25.10

STEAMFITTER/PIPEFITTER.....\$ 41.97 25.92

Survey Field Technician (Operate total station, GPS receiver, Level, Rod or Range Poles, Steel Tape Measurement; Mark and Drive Stakes; Hand or Power Digging for and Identification of Markers or Monuments; Perform and Check Calculations; Review and Understand Construction Plans and Land Survey Materials).....\$ 31.00 7.50

TRAFFIC CONTROL (Temporary Signage).....\$ 21.49 14.80

TRUCK DRIVER GROUP 1.....\$ 28.00 7.50 GROUP 2.....\$ 28.45 6.91 GROUP 3.....\$ 25.25 6.91 GROUP 4.....\$ 23.70 6.91

TRUCK DRIVER CLASSIFICATIONS: GROUP 1: Mechanic, Welder; Tractor Trailer Driver; Truck Driver (hauling machinery including operation of hand and power operated winches). GROUP 2: Four or more axle unit straight body truck. GROUP 3: Bituminous Distributor Driver; Bituminous Distributor (one person operation); Three Axle units. GROUP 4: Bituminous Distributor Spray Operator (rear and oiler); Dump Person; Greaser; Pilot Car Driver; Rubber-Tired, Self-Propelled Packer under 8 tons; Two Axle unit; Slurry Operator; Tank Truck Helper (gas, oil, road oil, and water); Tractor Operator, under 50 HP.

Tunnel Miner.....\$ 33.51 22.39

WELDERS - Receive rate prescribed for craft performing operation to which welding is incidental.

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Note: Executive Order (EO) 13706, Establishing Paid Sick Leave

for Federal Contractors applies to all contracts subject to the Davis-Bacon Act for which the contract is awarded (and any solicitation was issued) on or after January 1, 2017. If this contract is covered by the EO, the contractor must provide employees with 1 hour of paid sick leave for every 30 hours they work, up to 56 hours of paid sick leave each year. Employees must be permitted to use paid sick leave for their own illness, injury or other health-related needs, including preventive care; to assist a family member (or person who is like family to the employee) who is ill, injured, or has other health-related needs, including preventive care; or for reasons resulting from, or to assist a family member (or person who is like family to the employee) who is a victim of, domestic violence, sexual assault, or stalking. Additional information on contractor requirements and worker protections under the EO is available at <https://www.dol.gov/agencies/whd/government-contracts>.

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29CFR 5.5 (a) (1) (ii)).

The body of each wage determination lists the classification and wage rates that have been found to be prevailing for the cited type(s) of construction in the area covered by the wage determination. The classifications are listed in alphabetical order of ""identifiers"" that indicate whether the particular rate is a union rate (current union negotiated rate for local), a survey rate (weighted average rate) or a union average rate (weighted union average rate).

Union Rate Identifiers

A four letter classification abbreviation identifier enclosed in dotted lines beginning with characters other than ""SU"" or ""UAVG"" denotes that the union classification and rate were prevailing for that classification in the survey. Example: PLUM0198-005 07/01/2014. PLUM is an abbreviation identifier of the union which prevailed in the survey for this classification, which in this example would be Plumbers. 0198 indicates the local union number or district council number where applicable, i.e., Plumbers Local 0198. The next number, 005 in the example, is an internal number used in processing the wage determination. 07/01/2014 is the effective date of the most current negotiated rate, which in this example is July 1, 2014.

Union prevailing wage rates are updated to reflect all rate changes in the collective bargaining agreement (CBA) governing this classification and rate.

Survey Rate Identifiers

Classifications listed under the ""SU"" identifier indicate that no one rate prevailed for this classification in the survey and the published rate is derived by computing a weighted average rate based on all the rates reported in the survey for that classification. As this weighted average rate includes all rates reported in the survey, it may include both union and non-union rates. Example: SULA2012-007 5/13/2014. SU indicates the rates are survey rates based on a weighted average calculation of rates and are not majority rates. LA indicates the State of Louisiana. 2012 is the year of survey on which these classifications and rates are based. The next number, 007 in the example, is an internal number used in producing the wage determination. 5/13/2014 indicates the survey completion date for the classifications and rates under that identifier.

Survey wage rates are not updated and remain in effect until a new survey is conducted.

Union Average Rate Identifiers

Classification(s) listed under the UAVG identifier indicate that no single majority rate prevailed for those classifications; however, 100% of the data reported for the classifications was union data. EXAMPLE: UAVG-OH-0010 08/29/2014. UAVG indicates that the rate is a weighted union average rate. OH indicates the state. The next number, 0010 in the example, is an internal number used in producing the wage determination. 08/29/2014 indicates the survey completion date for the classifications and rates under that identifier.

A UAVG rate will be updated once a year, usually in January of each year, to reflect a weighted average of the current negotiated/CBA rate of the union locals from which the rate is based.

WAGE DETERMINATION APPEALS PROCESS

1.) Has there been an initial decision in the matter? This can be:

- * an existing published wage determination
- * a survey underlying a wage determination

- * a Wage and Hour Division letter setting forth a position on a wage determination matter
- * a conformance (additional classification and rate) ruling

On survey related matters, initial contact, including requests for summaries of surveys, should be with the Wage and Hour National Office because National Office has responsibility for the Davis-Bacon survey program. If the response from this initial contact is not satisfactory, then the process described in 2.) and 3.) should be followed.

With regard to any other matter not yet ripe for the formal process described here, initial contact should be with the Branch of Construction Wage Determinations. Write to:

Branch of Construction Wage Determinations
 Wage and Hour Division
 U.S. Department of Labor
 200 Constitution Avenue, N.W.
 Washington, DC 20210

2.) If the answer to the question in 1.) is yes, then an interested party (those affected by the action) can request review and reconsideration from the Wage and Hour Administrator (See 29 CFR Part 1.8 and 29 CFR Part 7). Write to:

Wage and Hour Administrator
 U.S. Department of Labor
 200 Constitution Avenue, N.W.
 Washington, DC 20210

The request should be accompanied by a full statement of the interested party's position and by any information (wage payment data, project description, area practice material, etc.) that the requestor considers relevant to the issue.

3.) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board
 U.S. Department of Labor
 200 Constitution Avenue, N.W.
 Washington, DC 20210

4.) All decisions by the Administrative Review Board are final.

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END OF GENERAL DECISIO"

NOTICE TO BIDDERS

Minnesota Statutes require prompt payment to subcontractors:

Minn. Stat. § 471.425 PROMPT PAYMENT OF LOCAL GOVERNMENT BILLS.

Subdivision 1. **Definitions.** For the purposes of this section, the following terms have the meanings here given them.

. . . (d) "Municipality" means any home rule charter or statutory city, county, town, school district, political subdivision or agency of local government. "Municipality" means the Metropolitan Council or any board or agency created under chapter 473.

. . . Subd. 4a. **Prompt payment to subcontractors.** Each contract of a municipality must require the prime contractor to pay any subcontractor within ten days of the prime contractor's receipt of payment from the municipality for undisputed services provided by the subcontractor. The contract must require the prime contractor to pay interest of 1-1/2 percent per month or any part of a month to the subcontractor on any undisputed amount not paid on time to the subcontractor. The minimum monthly interest penalty payment for an unpaid balance of \$100 or more is \$10. For an unpaid balance of less than \$100, the prime contractor shall pay the actual penalty due to the subcontractor. A subcontractor who prevails in a civil action to collect interest penalties from a prime contractor must be awarded its costs and disbursements, including attorney's fees, incurred in bringing the action.

Minn. Stat. § 15.72 PROGRESS PAYMENTS ON PUBLIC CONTRACTS; RETAINAGE.

. . . Subd. 2. **Retainage.** . . . (c) A contractor on a public contract for a public improvement must pay all remaining retainage to its subcontractors no later than ten days after receiving payment of retainage from the public contracting agency, unless there is a dispute about the work under a subcontract. If there is a dispute about the work under a subcontract, the contractor must pay out retainage to any subcontractor whose work is not involved in the dispute, and must provide a written statement detailing the amount and reason for the withholding to the affected subcontractor.

MINNESOTA DEPARTMENT OF LABOR AND INDUSTRY PREVAILING WAGES FOR STATE FUNDED CONSTRUCTION PROJECTS



THIS NOTICE MUST BE POSTED ON THE JOBSITE IN A CONSPICUOUS PLACE

Construction Type: Highway and Heavy

Region Number: 08

Counties within region:

- CHIPPEWA-12
- KANDIYOHI-34
- LAC QUI PARLE-37
- LINCOLN-41
- LYON-42
- MCLEOD-46
- MEEKER-47
- MURRAY-51
- PIPESTONE-59
- REDWOOD-64
- RENVILLE-65
- YELLOW MEDICINE-87

Effective: 2022-11-14

This project is covered by Minnesota prevailing wage statutes. Wage rates listed below are the minimum hourly rates to be paid on this project.

All hours worked in excess of eight (8) hours per day or forty (40) hours per week shall be paid at a rate of one and one half (1 1/2) times the basic hourly rate. *Note: Overtime pay after eight (8) hours on the project must be paid even if the worker does not exceed forty (40) hours in the work week.*

Violations on MnDOT highways and road projects should be reported to:

Department of Transportation
Office of Construction
Transportation Building MS650
John Ireland Blvd
St. Paul, MN 55155
(651) 366-4209

All other prevailing wage violations and questions should be sent to:

Department of Labor and Industry
Prevailing Wage Section
443 Lafayette Road N
St Paul, MN 55155
(651) 284-5091
DLI.PrevWage@state.mn.us

LABOR CODE AND CLASS	EFFECT DATE	BASIC RATE	FRINGE RATE	TOTAL RATE	
LABORERS (101 - 112) (SPECIAL CRAFTS 701 - 730)					
101	LABORER, COMMON (GENERAL LABOR WORK)	2022-11-14	32.01	22.39	54.40
102	LABORER, SKILLED (ASSISTING SKILLED CRAFT JOURNEYMAN)	2022-11-14	32.01	22.39	54.40

LABOR CODE AND CLASS	EFFECT DATE	BASIC RATE	FRINGE RATE	TOTAL RATE	
103	LABORER, LANDSCAPING (GARDENER, SOD LAYER AND NURSERY OPERATOR)	2022-11-14	16.50	0.00	16.50
104	FLAG PERSON	2022-11-14	32.01	22.39	54.40
105	WATCH PERSON	2022-11-14	16.25	12.94	29.19
106	BLASTER	2022-11-14	24.39	14.90	39.29
107	PIPELAYER (WATER, SEWER AND GAS)	2022-11-14	35.51	22.39	57.90
108	TUNNEL MINER	2022-11-14	33.51	22.39	55.90
109	UNDERGROUND AND OPEN DITCH LABORER (EIGHT FEET BELOW STARTING GRADE LEVEL)	2022-11-14	33.51	22.39	55.90
110	SURVEY FIELD TECHNICIAN (OPERATE TOTAL STATION, GPS RECEIVER, LEVEL, ROD OR RANGE POLES, STEEL TAPE MEASUREMENT; MARK AND DRIVE STAKES; HAND OR POWER DIGGING FOR AND IDENTIFICATION OF MARKERS OR MONUMENTS; PERFORM AND CHECK CALCULATIONS; REVIEW AND UNDERSTAND CONSTRUCTION PLANS AND LAND SURVEY MATERIALS). THIS CLASSIFICATION DOES NOT APPLY TO THE WORK PERFORMED ON A PREVAILING WAGE PROJECT BY A LAND SURVEYOR WHO IS LICENSED PURSUANT TO MINNESOTA STATUTES, SECTIONS 326.02 TO 326.15.	2022-11-14	35.00	11.50	46.50
111	TRAFFIC CONTROL PERSON (TEMPORARY SIGNAGE)	2022-11-14	21.49	14.80	36.29
112	QUALITY CONTROL TESTER (FIELD AND COVERED OFF-SITE FACILITIES; TESTING OF AGGREGATE, ASPHALT, AND CONCRETE MATERIALS); LIMITED TO MN DOT HIGHWAY AND HEAVY CONSTRUCTION PROJECTS WHERE THE MN DOT HAS RETAINED QUALITY ASSURANCE	2022-11-14	16.04	0.00	16.04

LABOR CODE AND CLASS	EFFECT DATE	BASIC RATE	FRINGE RATE	TOTAL RATE	
PROFESSIONALS TO REVIEW AND INTERPRET THE RESULTS OF QUALITY CONTROL TESTERS. SERVICES PROVIDED BY THE CONTRACTOR.					
SPECIAL EQUIPMENT (201 - 204)					
201	ARTICULATED HAULER	2022-11-14	41.29	23.45	64.74
		2023-05-01	42.49	25.00	67.49
202	BOOM TRUCK	2022-11-14	31.16	23.45	54.61
203	LANDSCAPING EQUIPMENT, INCLUDES HYDRO SEEDER OR MULCHER, SOD ROLLER, FARM TRACTOR WITH ATTACHMENT SPECIFICALLY SEEDING, SODDING, OR PLANT, AND TWO-FRAMED FORKLIFT (EXCLUDING FRONT, POSIT-TRACK, AND SKID STEER LOADERS), NO EARTHWORK OR GRADING FOR ELEVATIONS	2022-11-14	20.00	0.00	20.00
204	OFF-ROAD TRUCK	2022-11-14	41.29	23.45	64.74
205	PAVEMENT MARKING OR MARKING REMOVAL EQUIPMENT (ONE OR TWO PERSON OPERATORS); SELF-PROPELLED TRUCK OR TRAILER MOUNTED UNITS.	2022-11-14	35.00	2.86	37.86
HIGHWAY/HEAVY POWER EQUIPMENT OPERATOR					
GROUP 2		2022-11-14	42.14	23.45	65.59
		2023-05-01	43.38	25.00	68.38
302	HELICOPTER PILOT (HIGHWAY AND HEAVY ONLY)				
303	CONCRETE PUMP (HIGHWAY AND HEAVY ONLY)				
304	ALL CRANES WITH OVER 135-FOOT BOOM, EXCLUDING JIB (HIGHWAY AND HEAVY ONLY)				
305	DRAGLINE, CRAWLER, HYDRAULIC BACKHOE (TRACK OR WHEEL MOUNTED) AND/OR OTHER SIMILAR EQUIPMENT WITH SHOVEL-TYPE CONTROLS THREE CUBIC YARDS AND OVER MANUFACTURER'S RATED CAPACITY INCLUDING ALL ATTACHMENTS. (HIGHWAY AND HEAVY ONLY)				
306	GRADER OR MOTOR PATROL				
307	PILE DRIVING (HIGHWAY AND HEAVY ONLY)				
308	TUGBOAT 100 H.P. AND OVER WHEN LICENSE REQUIRED (HIGHWAY AND HEAVY ONLY)				

LABOR CODE AND CLASS	EFFECT DATE	BASIC RATE	FRINGE RATE	TOTAL RATE
GROUP 3	2022-11-14	41.59	23.45	65.04
	2023-05-01	42.81	25.00	67.81
309				ASPHALT BITUMINOUS STABILIZER PLANT
310				CABLEWAY
311				CONCRETE MIXER, STATIONARY PLANT (HIGHWAY AND HEAVY ONLY)
312				DERRICK (GUY OR STIFFLEG)(POWER)(SKIDS OR STATIONARY) (HIGHWAY AND HEAVY ONLY)
313				DRAGLINE, CRAWLER, HYDRAULIC BACKHOE (TRACK OR WHEEL MOUNTED) AND/OR SIMILAR EQUIPMENT WITH SHOVEL-TYPE CONTROLS, UP TO THREE CUBIC YARDS MANUFACTURER.S RATED CAPACITY INCLUDING ALL ATTACHMENTS (HIGHWAY AND HEAVY ONLY)
314				DREDGE OR ENGINEERS, DREDGE (POWER) AND ENGINEER
315				FRONT END LOADER, FIVE CUBIC YARDS AND OVER INCLUDING ATTACHMENTS. (HIGHWAY AND HEAVY ONLY)
316				LOCOMOTIVE CRANE OPERATOR
317				MIXER (PAVING) CONCRETE PAVING, ROAD MOLE, INCLUDING MUCKING OPERATIONS, CONWAY OR SIMILAR TYPE
318				MECHANIC . WELDER ON POWER EQUIPMENT (HIGHWAY AND HEAVY ONLY)
319				TRACTOR . BOOM TYPE (HIGHWAY AND HEAVY ONLY)
320				TANDEM SCRAPER
321				TRUCK CRANE . CRAWLER CRANE (HIGHWAY AND HEAVY ONLY)
322				TUGBOAT 100 H.P AND OVER (HIGHWAY AND HEAVY ONLY)
GROUP 4	2022-11-14	41.29	23.45	64.74
	2023-05-01	42.49	25.00	67.49
323				AIR TRACK ROCK DRILL
324				AUTOMATIC ROAD MACHINE (CMI OR SIMILAR) (HIGHWAY AND HEAVY ONLY)
325				BACKFILLER OPERATOR
326				CONCRETE BATCH PLANT OPERATOR (HIGHWAY AND HEAVY ONLY)
327				BITUMINOUS ROLLERS, RUBBER TIRED OR STEEL DRUMMED (EIGHT TONS AND OVER)
328				BITUMINOUS SPREADER AND FINISHING MACHINES (POWER), INCLUDING PAVERS, MACRO SURFACING AND MICRO SURFACING, OR SIMILAR TYPES (OPERATOR AND SCREED PERSON)
329				BROKK OR R.T.C. REMOTE CONTROL OR SIMILAR TYPE WITH ALL ATTACHMENTS
330				CAT CHALLENGER TRACTORS OR SIMILAR TYPES PULLING ROCK WAGONS, BULLDOZERS AND SCRAPERS
331				CHIP HARVESTER AND TREE CUTTER
332				CONCRETE DISTRIBUTOR AND SPREADER FINISHING MACHINE, LONGITUDINAL FLOAT, JOINT MACHINE, AND SPRAY MACHINE
333				CONCRETE MIXER ON JOBSITE (HIGHWAY AND HEAVY ONLY)
334				CONCRETE MOBIL (HIGHWAY AND HEAVY ONLY)
335				CRUSHING PLANT (GRAVEL AND STONE) OR GRAVEL WASHING, CRUSHING AND SCREENING PLANT
336				CURB MACHINE
337				DIRECTIONAL BORING MACHINE
338				DOPE MACHINE (PIPELINE)

LABOR CODE AND CLASS	EFFECT DATE	BASIC RATE	FRINGE RATE	TOTAL RATE
339				
340				
341				
342				
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358				
359				
360				
361				
362				
363				
364				
365				
366				
367				
368				
GROUP 5				
	2022-11-14	38.25	23.45	61.70
	2023-05-01	39.33	25.00	64.33
369				
370				
371				
372				

LABOR CODE AND CLASS	EFFECT DATE	BASIC RATE	FRINGE RATE	TOTAL RATE
373				
374				
375				
376				
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378				
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382				
383				
384				
385				
GROUP 6	2022-11-14	37.04	23.45	60.49
	2023-05-01	38.06	25.00	63.06
387				
388				
389				
390				
391				
392				
393				
394				
395				
396				
397				
TRUCK DRIVERS				
GROUP 1	2022-11-14	36.00	11.50	47.50
601				
602				
603				
GROUP 2	2022-11-14	29.00	11.50	40.50
604				

LABOR CODE AND CLASS	EFFECT DATE	BASIC RATE	FRINGE RATE	TOTAL RATE
GROUP 3	2022-11-14	25.25	6.91	32.16
605				
606				
607				
GROUP 4	2022-11-14	23.70	6.91	30.61
608				
609				
610				
611				
612				
613				
614				
615				
616				
SPECIAL CRAFTS				
701	2022-11-14	17.50	2.79	20.29
702	2022-11-14	41.94	29.99	71.93
703				
704	2022-11-14	32.47	24.10	56.57
705				
706	2022-11-14	43.00	23.72	66.72
707	2022-11-14	43.57	20.99	64.56
711	2022-11-14	16.63	6.38	23.01
712	2022-11-14	41.00	33.11	74.11
	2023-05-01	44.00	33.11	77.11
713	2022-11-14	50.86	23.06	73.92

LABOR CODE AND CLASS	EFFECT DATE	BASIC RATE	FRINGE RATE	TOTAL RATE	
714	MILLWRIGHT	2022-11-14	38.23	29.18	67.41
715	PAINTERS (INCLUDING HAND BRUSHED, HAND SPRAYED, AND THE TAPING OF PAVEMENT MARKINGS)	2022-11-14	17.50	0.00	17.50
716	PILEDRIIVER (INCLUDING VIBRATORY DRIVER OR EXTRACTOR FOR PILING AND SHEETING OPERATIONS)	2022-11-14	41.14	27.05	68.19
717	PIPEFITTERS . STEAMFITTERS	2022-11-14	41.97	25.92	67.89
719	PLUMBERS	2022-11-14	32.94	20.00	52.94
721	SHEET METAL WORKERS	2022-11-14	40.88	25.10	65.98
723	TERRAZZO WORKERS	FOR RATE CALL 651-284-5091 OR EMAIL DLLPREVWAGE@STATE.MN.US			
724	TILE SETTERS	FOR RATE CALL 651-284-5091 OR EMAIL DLLPREVWAGE@STATE.MN.US			
725	TILE FINISHERS	FOR RATE CALL 651-284-5091 OR EMAIL DLLPREVWAGE@STATE.MN.US			
727	WIRING SYSTEM TECHNICIAN	2022-11-14	41.42	18.16	59.58
728	WIRING SYSTEMS INSTALLER	2022-11-14	29.02	16.46	45.48
729	ASBESTOS ABATEMENT WORKER	2022-11-14	30.08	16.46	46.54
730	SIGN ERECTOR	FOR RATE CALL 651-284-5091 OR EMAIL DLLPREVWAGE@STATE.MN.US			

NOTICE TO BIDDERS
TRAFFIC CONTROL
PREVAILING WAGE COVERAGE

The following defines the United States Department of Labor's interpretation of contract labor provision coverage for employees who work for traffic control companies and /or perform traffic control duties.

Non-covered Supplier Designated Duties:

Employees of bona fide "Material Persons/Suppliers" are not covered. A Material Person/Supplier is limited to supply, delivery, and routine maintenance (once a week) of barricades, cones, flashers, etc. to the job site.

The following functions, except as qualified in "6." below, do not come under the prevailing wage requirements of the contracts:

1. Supply and delivery of traffic control devices such as barricades, cones, barrels, flashers and signboards.
2. Routine and periodic maintenance service (usually once a week).
3. Removal of equipment from job site.
4. In connection with delivery, they may drop the equipment at a central stockpile location or at various locations along the project. Employees of company may set-up the equipment as long as such set-up is by dropping barrels and cones from the back of a moving truck.
5. Maintenance would consist of inspecting and cleaning the equipment, replacing broken or lost equipment, replacing barricades knocked down or out of line, and changing light bulbs and barricades.
6. If an employee spends more than 20% of their workweek performing the above duties on a Davis-Bacon (Federal-Aid) project or other Davis-Bacon (Federal-Aid) projects, prevailing wage rates would apply for the time so spent.

Covered Contractor or Subcontractor Duties:

The following functions are covered under the contract labor provisions. Any contractor performing these duties will need to be listed on a Request to Sublet form and their employees performing the duties will need to be listed on a Certified Payroll form and submitted following the appropriate procedures.

Related and continuing traffic control services such as, but not limited to:

1. Moving barricades and barriers as construction work progresses.
2. Moving barricades for lane closures and changes.
3. Painting traffic lines.
4. Sandblasting to remove traffic lines.
5. Applying and removing traffic tape.
6. Setting up barrels or barricades other than those dropped from the back of a moving truck.
7. Digging postholes to erect temporary warning signs (only).
8. Erection of advance temporary warning signs.
9. Placing temporary signboards.

On Federal-aid Projects (only) when there is no appropriate classification listed under either the state or federal wage determinations, a classification wage rate will be negotiated using the procedures under FHWA 1273, REQUIRED CONTRACT PROVISIONS FEDERAL-AID CONSTRUCTION CONTRACTS, Part IV. PAYMENT OF PREDETERMINED MINIMUM WAGE, Subp. 2. Classifications.

Notice of truck rental rate certification and effective date

The Department of Labor and Industry (DLI) commissioner has certified the minimum truck rental rates for state-funded highway projects effective Dec. 19, 2022. This certification follows the publication of the Notice of Truck Rental Rate Determination in the *State Register* on Nov. 21, 2022, and the informal conference held pursuant to Minnesota Rules, part 5200.1105 on Dec. 7, 2022.

According to Minnesota Rules, part 5200.1105, the purpose of the informal conference was for DLI to obtain further input regarding the determined rates prior to the certification. No written input regarding the determination was received by DLI prior to the informal conference.

The truck rental rate is determined for each equipment type by adding the average hourly cost of operating the vehicle to the certified prevailing wage rate for the driver. The average hourly operating costs are determined by voluntary survey of truck owner operators, trucking contractors and trucking firms.

The determination of the minimum truck rental rates by region are as follows.

Three-axle units

Region	Effective date	607 driver rate	Operating cost	Truck rental rate
Region 1	Certification date	\$55.95	\$37.35	\$93.30
Region 2	Certification date	\$46.75	\$37.35	\$84.10
Region 3	Certification date	\$45.02	\$37.35	\$82.37
Region 4	Certification date	\$52.79	\$37.35	\$90.14
Region 5	Certification date	\$43.60	\$37.35	\$80.95
Region 6	Certification date	\$54.15	\$37.35	\$91.50
Region 7	Certification date	\$46.10	\$37.35	\$83.45
Region	Effective date	607 driver rate	Operating cost	Truck rental rate

Region 8	Certification date	\$32.16	\$37.35	\$69.51
Region 9	Certification date	\$56.35	\$37.35	\$93.70
Region 10	Certification date	\$37.00	\$37.35	\$74.35

Four or more axle units

Region	Effective date	604 driver rate	Operating cost	Truck rental rate
Region 1	Certification date	\$56.05	\$51.50	\$107.55
Region 2	Certification date	\$41.51	\$51.50	\$93.01
Region 3	Certification date	\$38.51	\$51.50	\$90.01
Region 4	Certification date	\$41.30	\$51.50	\$92.80
Region 5	Certification date	\$21.00	\$51.50	\$72.50
Region 6	Certification date	\$54.25	\$51.50	\$105.75
Region 7	Certification date	\$42.15	\$51.50	\$93.65
Region 8	Certification date	\$40.50	\$51.50	\$92.00
Region 9	Certification date	\$56.45	\$51.50	\$107.95
Region 10	Certification date	\$40.40	\$51.50	\$91.90

Tractor

Region	Effective date	602 driver rate	Operating cost	Tractor-only truck rental rate	Plus trailer operating cost	Tractor trailer rental rate
Region 1	Certification date	\$56.60	\$54.96	\$111.56	\$11.46	\$123.02
Region 2	Certification date	\$42.02	\$54.96	\$96.98	\$11.46	\$108.44
Region 3	Certification date	\$48.35	\$54.96	\$103.31	\$11.46	\$114.77
Region 4	Certification date	\$50.27	\$54.96	\$105.23	\$11.46	\$116.69
Region 5	Certification date	\$23.90	\$54.96	\$78.86	\$11.46	\$90.32
Region 6	Certification date	\$54.80	\$54.96	\$109.76	\$11.46	\$121.22
Region 7	Certification date	\$48.00	\$54.96	\$102.96	\$11.46	\$114.42
Region 8	Certification date	\$47.50	\$54.96	\$102.46	\$11.46	\$113.92
Region 9	Certification date	\$48.75	\$54.96	\$103.71	\$11.46	\$115.17
Region 10	Certification date	\$37.00	\$54.96	\$91.96	\$11.46	\$103.42

The current operating costs and truck rental rates may be reviewed by accessing DLI's website at dli.mn.gov. Questions about the truck rental rates or the informal conference notice below can be answered by calling 651-284-5091.

The minimum truck rental rate for these four types of trucks in the state's 10 highway and heavy construction areas will be effective for all Minnesota Department of Transportation (MnDOT) highway construction work financed in whole or part with state funds advertised for bid on or after the day the notice of certification is published in the *State Register*.

Nicole Blissenbach,
Temporary commissioner

SPECIAL PROVISIONS

DIVISION S

SPECIAL REQUIREMENTS

S-1 **CONTACT INFORMATION**

Direct questions about this Project, including pre-bid questions, shall be directed to the following:

Joseph Wilson, County Engineer, Ph. 507-694-1124, email jwilson@co.lincoln.mn.us

*Lincoln County Highway Dept.
221 N Wallace
P.O. Box 97
Ivanhoe, Minnesota 56142
Phone (507) 694-1464
Fax (507)694-1101*

S-2 **GOVERNING SPECIFICATIONS**

The 2020 Edition of the Minnesota Department of Transportation “Standard Specifications for Construction” and the Supplemental Specifications dated September 2022, shall apply on this Contract except as modified or altered in the following Special Provisions.

S-3 **COMPLIANCE WITH COUNTY ZONING ORDINANCE**

All bidders shall familiarize themselves and shall comply with the County’s zoning ordinance for conditional use of land pertaining to gravel and borrow pits. Copies of the ordinance may be examined at the County Zoning Office, located at 221 N Wallace, Ivanhoe, MN 56142, PH # (507) 694-1344 or at <http://www.lincolncounty-mn.us/Departments/Environmental.htm>

S-4 **SPECIAL PROVISIONS RELATING TO TRIBAL EMPLOYMENT**
REVISED 06/30/22

The Department promotes and encourages Indian employment on transportation Projects on or near reservations, consistent with 23 USC §140 (d).

S-4.1 This Project is on or near a reservation. The Contractor must work with the tribal government to use Indian labor in performing Contract Work. The Contractor must contact the Tribal employment rights officer, Amy Hastings, from the Upper Sioux, at 320-226-0238 or amyh@uppersiouxcommunity-nsn.gov to identify Indian employment opportunities.

S-4.2 The Department advises the Contractor to consider Indians for designated On-the-Job Training (OJT) positions. OJT positions can be in Highway heavy trades classifications (such as heavy Equipment operators, truck drivers, carpenters, laborers, cement masons, iron workers, electricians, painters, pipefitters and plumbers).

See S-37 (2041) ON-THE-JOB TRAINING PROGRAM for OJT goals.

S-4.3 If the Contractor or Subcontractor is not in compliance with these Special Provisions, the Department will address the noncompliance with the Contractor or Subcontractor and the Tribal employment rights officer. The Contractor must meet with the Tribal employment rights officer to discuss Indian employment issues if requested by the tribe.

The Contractor must submit the Indian Employment Tracking Form, <http://www.dot.state.mn.us/civilrights/indian-employment.html>, to the Department's Office of Civil Rights no later than 90 Calendar Days after receipt of the semi-final estimate as defined in MnDOT 1908.2 and as per 1516.3(7) Completion of Work. If the Contractor fails to submit the form, the Engineer may assess a Monetary Deduction, in accordance with the Contract. The form must list all Indians who were hired for the Project, by the Contractor or a Subcontractor, after being referred by one of the federally-recognized tribal TERO offices in Minnesota.

S-4.4 If the Contractor is considering suspending or terminating an employee referred by the Tribal employment rights officer, the Contractor must notify the Tribal employment rights officer to seek assistance in resolving the problem prior to releasing the employee. Nothing in these Special Provisions is intended to interfere with the Contractor's ability to dismiss any employee for cause including, but not limited to, lack of adequate skills or training, inability to perform because of State or Federal law, or breach of the Contractor's safety standards or other standards of conduct.

S-4.5 Indian employment requirements supplement, but do not replace, other equal opportunity requirements

S-5 **WORKFORCE CERTIFICATE**

The local agency cannot execute a contract for goods or services in excess of \$250,000 with a business that has 40 or more full-time employees in this state or a state where the business has its primary place of business on a single day during the prior 12 months, unless the business has a workforce certificate from the commissioner of human rights or has certified in writing that it is exempt. Bidders may find more information on the Workforce Certificate Requirement at Minnesota Statutes Section 363A.36 or at this website:

<https://mn.gov/mdhr/certificates/workforce-certificate/>

S-6 **PROTECTION OF FISH AND WILDLIFE RESOURCES (PROTECTED SPECIES)** **REVISED 04/14/23**

A BAT PROTECTION

The Project is located in a County inhabited by protected bat species. The Contractor must ensure all operators, employees, and Contractors working in areas of known or presumed bat habitat are aware of environmental commitments and avoidance and minimization measures (AMMs) to protect both bats and their habitat. The Contractor must notify Project Subcontractors during the preconstruction meeting.

Contractor must direct temporary lighting, if used, away from wooded areas during the bat active season (April 1 to Oct 31, inclusive).

Contractor must immediately report (within 24 hrs) all bat sightings, live or dead, to the Department's wildlife ecologist, <https://www.dot.state.mn.us/environment/wildlife.html>.

A.1 Tree Clearing Requirements

Restrict all activities to avoid tree clearing. No tree clearing allowed.

B PURPLE MARTIN

The Natural Heritage Review indicated the presence of Purple Martin located in the vicinity of Ivanhoe. This is brought to the contractor's attention to avoid potential habitat and minimize impact.

C GREAT PLAINS TOAD

The Natural Heritage Review indicated the presence of Great Plains Toad located in the vicinity of Tyler. This is brought to the contractor's attention to avoid potential habitat and minimize impact.

D TOPEKA SHINER, DAKOTA SKIPPER, AND RARE NATURAL FEATURES

The Natural Heritage Review indicated the presence of Topeka Shiner, Dakota Skipper, and Rare Natural Features located in the vicinity of Lake Benton. This is brought to the contractor's attention to avoid potential habitat and minimize impact.

E MONARCH BUTTERFLY

The Natural Heritage Review indicated the presence of Monarch Butterfly located in the vicinity of project. This is brought to the contractor's attention to avoid potential habitat and minimize impact.

S-7 **(1203) ACCESS TO PROPOSAL PACKAGE**
REVISED 10/2013

MnDOT 1203 is hereby deleted from the MnDOT Standard Specifications.

S-8 **(1206) PREPARATION OF PROPOSAL**
REVISED 10/2022

The provisions of MnDOT 1206 are supplemented and/or modified with the following:

MnDOT 1206.1 is hereby deleted from the MnDOT Supplemental Specifications.

MnDOT 1206.2 is hereby deleted from the MnDOT Standard Specifications and replaced with the following:

1206.2 ALLOWABLE SUBSTITUTIONS

For all Proposals the Bidder shall use the following method:

- (1) Submit a Proposal on the Bid Schedule forms provided by the Department. The Bidder shall:
 - (1.1) Submit a Unit Price in numeric figures for each Pay Item for which a quantity is shown. Assume a numeric quantity of "1" for each "Lump Sum" Pay Item, except as not required in the case of alternate Pay Items,
 - (1.2) Show the extensions resulting from Unit Prices multiplied by the shown quantities in the specified column, and
 - (1.3) Add the extended Pay Item amounts to show the total amount of the Proposal.

The Bidder shall write the figures in ink or provide typed or computer printed figures. In the case of a discrepancy between a Unit Price and extension in a Proposal, the Unit Price will govern.

If a Bidder fails to provide a Unit Price for any Pay Item on the Bid Schedule, except for "Lump Sum" Pay Items, the Department will reject the Proposal.

If a Pay Item in the Proposal requires the Bidder to choose an alternate Pay Item, the Bidder shall indicate its choice in accordance with the Specifications for that Pay Item.

An authorized representative of the Bidder must sign the Proposal.

S-9 **(1208) PROPOSAL GUARANTY**

(Supplemental Specifications September, 2022)

The provisions of MnDOT 1208 are supplemented and/or modified with the following:

MnDOT 1208 is hereby deleted from the MnDOT Supplemental Specifications and replaced with the following:

The Bidder shall include with its Proposal a Proposal Guaranty that meets the following requirements:

- (1) Equal to 5 percent of the total amount of the Proposal
- (2) Made payable to the Lincoln County Treasurer
- (3) In the form of a bond

A Proposal Guaranty in the form of a bond must meet the following requirements:

- (1) Issued by a corporation authorized by the Minnesota Department of Commerce to contract as a Surety in the State of Minnesota
- (2) Conditioned on execution of the Contract in accordance with 1306, "Execution and Approval of Contract"

S-10

(1209) DELIVERY OF PROPOSALS
REVISED 10/2015

The provisions of MnDOT 1209 are modified with the following:

When submitting a Proposal in accordance with 1206.2, "Allowable Substitutions," of these Special Provisions, the Bidder shall deliver the Proposal and the Proposal Guaranty in a sealed envelope. The Bidder shall mark the sealed envelope with the name of the Bidder, the Project number, and the letting date. The Bidder shall deliver the sealed envelope to the Department as specified in the Advertisement for Bids as follows:

- (1) To the address specified,
- (2) In care of the official receiving the Proposals, and
- (3) By the date and time for opening Proposals.

Proposals shall be submitted in their entirety to be considered as an acceptable bid.

If the Department receives a Proposal after the date and time for opening Proposals, the Department will return the Proposal to the Bidder unopened.

S-11

(1210) REVISION OF PROPOSAL PACKAGE OR WITHDRAWAL OF PROPOSALS
REVISED 10/2015

The provisions of MnDOT 1210 are deleted and replaced with the following:

When submitting a Proposal in accordance with 1206.2, "Allowable Substitutions," of these Special Provisions, the Bidder may revise or withdraw its Proposal after delivery to the Department if the Department receives the Bidder's written request for withdrawal or revision before the date and time for opening Proposals.

The Department reserves the right to revise the Proposal Package at any time before the date and time for opening Proposals. The Department will issue a numbered and dated Addendum for any revision of the Proposal Package. The Department will post each Addendum as announced in an e-mail or other method of notification to each Bidder on the Department's list of Bidders.

The Department will include each Addendum with all Proposal Forms issued to the Bidder after the date of the Addendum.

If revisions made by an Addendum require change to Proposals or reconsideration by the Bidder, the Department may postpone opening Proposals. If the Department postpones opening Proposals, the Department will specify the new date and time for opening Proposals in the Addendum.

The Bidder shall acknowledge receipt of each Addendum in the proposal.

S-12 **(1212) OPENING OF PROPOSALS**
REVISED 10/2014

The provisions of MnDOT 1212 are modified with the following:

MnDOT 1212 is hereby deleted from the MnDOT Standard Specifications and replaced with the following:

1212 OPENING OF PROPOSALS

The Department will open Proposals at the time, date, and place defined in the Proposal Package and the Advertisement for Bids.

S-13 **(1401) PREPARATION OF PROPOSAL**
REVISED 10/2022

The provisions of MnDOT 1401 are supplemented and/or modified with the following:

MnDOT 1401.1 is hereby deleted from the MnDOT Supplemental Specifications.

S-14 **(1404) MAINTENANCE OF TRAFFIC, (1707) PUBLIC SAFETY, AND**
(2563) TRAFFIC CONTROL
REVISED 2/2008

The provisions of 1404 are supplemented as follows:

The Contractor shall furnish, install, maintain, and remove all traffic control devices required to provide safe movement of vehicular and/or pedestrian traffic passing through the work zone during the life of the Contract from the start of Contract operations to the final completion thereof. The Engineer will have the right to modify the requirements for traffic control as deemed necessary due to existing field conditions.

Traffic control devices include, but are not limited to, barricades, warning signs, trailers, flashers, cones, drums, pavement markings and flaggers as required and sufficient barricade weights to maintain barricade stability.

The Contractor shall furnish names, addresses, and phone numbers of at least three (3) individuals responsible for the placement and maintenance of traffic control devices. At least one of these individuals shall be "on call" 24 hours per day, seven days per week during the times any traffic control devices, furnished and installed by the Contractor, are in place. The required information shall be submitted to the Engineer at the Pre-construction Conference. The Contractor shall also furnish the names, addresses, and phone numbers of those individuals to the following:

- | | | |
|----|--|---------------|
| 1. | Lincoln County Highway Department | (507)694-1464 |
| 2. | Lincoln County Sheriff's Department | (507)694-1664 |
| 3. | Local Fire Departments | 911 |
| 4. | City of Hendricks Administrator (David Blee) | (507)275-3192 |
| 5. | City of Ivanhoe Administrator (Carol Renken) | (507)694-1738 |
| 6. | City of Lake Benton Administrator (Eileen Christensen) | (507)368-4641 |
| 7. | City of Tyler Administrator (Vacant) | (507)247-5556 |

The Contractor shall, at the pre-construction conference, designate a Work Zone Safety Coordinator who shall be responsible for safety and traffic control management in the Project work zone. The Work Zone Safety Coordinator shall be either an employee of the Contractor such as a superintendent or a foreman, or an employee of a firm which has a subcontract for overall work zone safety and traffic control management for the Project. The responsibilities of the Work Zone Safety Coordinator shall include, but not be limited to:

- Coordinating all work zone traffic control operations of the Project, including those of the Contractor, subcontractors and suppliers.
- Establishing contact with local school district, government, law enforcement, and emergency response agencies affected by construction before work begins.
- Maintaining a record of all known crashes within a work zone. This record should include all available information, such as: time of day, probable cause, location, pictures, sketches, weather conditions, interferences to traffic, etc. These records shall be made available to the Engineer upon request.

The Contractor shall inspect, on a daily basis, all traffic control devices, which the Contractor has furnished and installed, and verify that the devices are placed in accordance with the Traffic Control Layouts, these Special Provisions, and/or the MN MUTCD. Any discrepancy between the placement and the required placement shall be immediately corrected. The person performing the inspection shall be required to make a daily log. This log shall also include the date and time any changes in the stages, phases, or portions thereof go into effect. The log shall identify the location and verify that the devices are placed as directed or corrected in accordance with the Plan. All entries in the log shall include the date and time of the entry and be signed by the person making the inspection. The Engineer reserves the right to request copies of the logs as he deems necessary.

Measurement and Payment:

Item 2563 "Traffic Control" is exempt from the overrun/underrun provision 1903.

No measurement will be made of the various Items that constitute Traffic Control but all such work will be construed to be included in the single Lump Sum payment under Item 2563.601 (Traffic Control).

Partial payments for traffic control of the various stages will be made as follows: 50% will be paid for at the time of placement of traffic control devices for each project or phase. The remaining 50% will be paid upon the removal of the traffic control devices for each project or phase.

S-15

(1505) COOPERATION BY CONTRACTORS

The Contractor shall coordinate their work and cooperate with all other agencies and forces as may be performing concurrent work within the limits of this project, or on sections of roadway adjacent thereto, in a manner consistent with the Provisions of MN/DOT 1505. No additional compensation will be made to the Contractor for any costs incurred, or because of any delays to forces or equipment that may be caused by the operations of the other Contractors. This includes coordination with home building contractors and farm activities that may begin work during this Contract. The Contractor shall cooperate with businesses, residents, and property owners on the project to maintain access as needed.

The Contractor is also hereby made aware of the following projects:

- **A contractor will be completing paving on the following roads in Lincoln County in the summer and fall of 2023: CSAH 7, CSAH 13, CSAH 20, CSAH 21M, and CSAH 22M (Lake Benton).**
- **A contractor will be completing paving on the following roads in Lincoln County in the summer and fall of 2024: CSAH 7, CSAH 20, CSAH 7M (Tyler)**

- A contractor will be completing culvert work on the following roads in Lincoln County in the summer and fall of 2023: CSAH 7 and CSAH 20.
- The Contractor shall not perform any work without the approval of the Engineer in the following cities, during the following, events and dates listed below:
 - City of Lake Benton: Saddle Horse Days -- June 16th to June 18th, 2023 and June 21st to June 23rd, 2024
 - City of Lake Benton: Lake Benton Freemont Days/Te Tonka Ha -- August 4th to August 6th, 2023 and August 2nd to August 4th, 2024
 - City of Tyler: Aebleskiver Days -- July 21st to July 23rd, 2023 and July 19th to July 21st, 2024
 - City of Tyler: Lincoln County Fair -- July 27th to July 30th, 2023 and July 25th to July 28th, 2024
 - City of Ivanhoe: Polish Days -- August 10th to 13th, 2023 and August 8th to 11th, 2024
 - City of Hendricks: Summer Fest -- June 30th to July 4th, 2023 and July 4th to July 7th, 2024

S-16 **(1506) SUPERVISION BY CONTRACTOR**

The provisions of MnDOT 1506 are supplemented as follows:

The Contractor will be subject to an hourly charge for failure to comply with the requirements of MnDOT 1506. Non-Compliance charges, for each incident, will be assessed at a rate of \$100 per hour, for each hour or portion thereof, during which the Engineer determines that the Contractor has not complied. No charge will be made if the deficiency is corrected within one (1) hour of notification.

An incident of Non-Compliance will be defined as the receipt of a written notice by the Contractor with instructions to correct a deficiency.

S-17 **(1507) UTILITY PROPERTY AND SERVICE**

Construction operations in the proximity of utility properties shall be performed in accordance with the provisions of Mn/DOT 1507, except as modified below:

All utilities that relate to this Project are classified as "Level D," unless the Plans specifically state otherwise. This utility quality level was determined according to the guidelines of CI/ASCE 38-02, entitled "Standard Guidelines for the Collection and depiction of existing subsurface utility data." The Contractor is responsible for contacting all utilities within the project limits by way of the "Gopher State One-Call" service, 1-800-252-1166.

The Contractor shall notify the Owner and Engineer in advance of the date he/she intends to start work and he/she shall furnish information as may be necessary to permit the responsible authorities to make suitable arrangements relative thereto.

The Contractor shall coordinate his/her work and cooperate with existing utility owners and their forces in a manner consistent with the provisions of Mn/DOT 1507 and the applicable provisions of Mn/DOT 1505.

S-18 **(1508) CONSTRUCTION STAKES, LINES, AND GRADES**

The provisions of MnDOT 1508 are hereby supplemented and modified as follows:

The following is added to the first paragraph of MnDOT 1508:

The Engineer will set temporary easement stakes in Lake Benton, Tyler, Ivanhoe, and Hendricks and grading stakes for the small grading area in Lake Benton. The Engineer will set no additional stakes.

S-19

(1515) CONTROL OF HAUL ROADS

Control of haul roads shall be in accordance with the provisions of 1515 except as modified below:

The Contractor shall make all necessary arrangements concerning the use of all roads and shall be fully responsible to the road authority in control for any damages caused by hauling operations, as well as for any other conditions created or imposed. The Contractor shall provide a list of all haul roads to the Department prior to work commencing.

The Contractor shall safely maintain all public and private accesses affected by work on the Contract.

The Engineer can require the Contractor to furnish any material or equipment the Engineer determines is needed for the safe use of haul roads, both on or off the project. This shall include dust control at the expense of the Contractor.

Dust control of haul roads will be incidental work and no direct compensation will be made therefore.

Failure to promptly control dust may result in the project being placed under (1512) Unacceptable and Unauthorized Work.

S-20

(1601) SOURCE OF SUPPLY AND QUALITY

REVISED 11/10/22

Add the following to MnDOT 1601:

The provisions of the Build America, Buy America (BABA) Act, Public Law No.117-58 §§ 70901-70952, the Buy America law, 23 U.S.C. § 313 and 23 CFR § 635.410 require the Contractor to furnish iron and steel materials (including miscellaneous items such as fasteners, nuts, bolts, and washers) and construction materials which will be permanently incorporated on projects funded at least partly with federal funds to be produced in the United States.

1. **Iron and Steel.** In the case of iron and steel materials, produced in the United States means that all manufactured processes from the initial melting stage through the application of coatings, occur in the United States. Foreign source materials are any domestic products taken out of the United States for any process (e.g., change of chemical content, permanent shape or size, or final finish of product).

All bids must be based on furnishing domestic iron and steel, which includes the application of the coatings.

Prior to performing Work, the Contractor shall submit to the Engineer a certification stating that all iron and steel materials supplied are produced in the United States.

Raw materials such as iron ore, pig iron, processed, pelletized, and reduced iron ore, waste products (including scrap, iron or steel no longer useful in its present form from old automobiles, machinery, pipe, railroad rail, and steel trimmings from mills or product manufacturing) and other raw materials used in the production of iron or steel products may be imported from outside of the United States. Extracting, handling, or crushing the raw materials which are inherent to the transporting of these Materials for later use in the manufacturing process are exempt from the BABA Act.

2. **Construction Materials.** In the case of construction materials, produced in the United States means that the final two manufacturing processes for the construction materials occurred in the United States.

Construction materials include any article, material, or supply that is or consists primarily of:

- a) Non-ferrous metals,

- b) Plastic and polymer-based products (including polyvinylchloride, composite building materials, and polymers used in fiber optic cables),
- c) Glass (including fiber optic glass),
- d) Lumber; or
- e) Drywall.

Should any of the listed construction materials be combined through a manufacturing process with a second listed material or with a non-listed item, then BABA Act does not apply to those items unless the construction material is combined with iron or steel. If the construction material is combined with iron or steel, the iron and steel material provisions apply.

The BABA Act does not apply to: cement, cementitious materials, aggregates such as stone, sand, or gravel, aggregate binding agents or additives, or asphalt.

The process of receiving a waiver is provided in the BABA Act and any federal regulation adopted in accordance with this law. The Contractor shall not anticipate that any of these provisions will be waived.

The Contractor is required to submit a Certificate of Compliance prior to incorporating any Materials into the Project containing iron or steel, or construction materials. This shall be accomplished by the Contractor submitting the appropriate Certificate of Compliance to the Department when the Materials are delivered to the project site. The Certifications of Compliance for iron and steel will certify the Materials are considered produced in the United States. The Certifications of Compliance for construction materials will certify that the final two manufacturing processes for the construction materials occurred in the United States. The certificate must be signed and dated by the Prime Contractor's authorized representative, include a BABA Act submittal number, and a statement: The Materials herein referenced are produced in the United States and comply with the requirements of 23 CFR § 635.410, and Public Law No.117-58 §§ 70901-70952, and 23 U.S.C. § 31.

Supporting documentation to demonstrate compliance with BABA Act provisions (such as mill test reports, manufacturer/supplier certifications, etc.) shall be organized and maintained by the Contractor from the date of delivery until six years after 1516.4, "Final Contract Acceptance".

The Department may review the Contractor's supporting documentation to verify compliance with the BABA Act provisions at any time upon request. The burden of proof to meet the BABA Act provisions rest with the Contractor. If the supporting documentation does not demonstrate to the Department that the iron or steel and construction Materials identified in the Certificates of Compliance were produced in the United States, then the iron, steel, or construction materials will be considered unauthorized Work and must be removed and replaced according to 1512.2, "Unauthorized Work".

S-21

(1603.2) SAMPLING AND TESTING

Sampling and Testing of material shall be in accordance with the provisions of specification 1603.2 Sampling and Testing and the following:

The first paragraph of specification 1603.2 Sampling and Testing is hereby deleted and replaced with the following:

Sampling and testing of materials for this project will be in accordance with the State Aid for Local Transportation (SALT) "Schedule of Materials Control – Local Government Agency" (SMC-LGA). This schedule establishes the size of samples and the minimum rate of testing, but in no way affects Specification requirements for the material.

If material is deemed unacceptable by these tests and additional tests are needed, Lincoln County shall charge the Contractor the cost incurred to do so plus \$100.00 per additional sample that is tested.

S-22 **(1701) LAWS TO BE OBSERVED – (CARGO PREFERENCE ACT, USE OF UNITED STATES – FLAGGED VESSELS)**

REVISED 07/23/2021

The provisions of 1701 are supplemented with the following:

S-22.1 The Contractor must comply with requirements of the Cargo Preference Act (46 USC §55305) and its implementing regulations (46 CFR §381).

The requirements of 46 CFR § 381.7 (a) and (b) are incorporated into this Contract by reference. The Contractor must include or incorporate this provision in all subcontracts.

S-22.2 MnDOT 1701.6 is hereby deleted from the MnDOT Supplemental Specifications and replaced with the following:

1701.6 EQUAL PAY

REVISED 10/2022

The local agency cannot execute a contract for goods or services or an agreement for goods or services in excess of \$1,000,000 with a business that has 40 or more full-time employees in this state or a state where the business has its primary place of business on a single day during the prior 12 months, unless the business has an equal pay certificate or it has certified in writing that it is exempt. Bidders may find more information on the Equal Pay Certificate Requirement at Minnesota Statutes Section 363A.44 or at this website:

<https://mn.gov/mdhr/certificates/equalpay/>

S-23 **(1705) FEDERAL-AID PROVISIONS (FORM 1273)**

REVISED 08/08/22

Add the following to MnDOT 1705:

Federal Form 1273. Pursuant to 23 CFR Section 633.102, the required contract provisions contained in FHWA Form 1273 apply to all work performed under this contract by the Contractor’s own organization or by a subcontractor at any tier. The Contractor must insert FHWA Form 1273 in each subcontract. The Contractor must also require each subcontractor to include FHWA Form 1273 in its lower-tier subcontracts. FHWA Form 1273 must not be “incorporated by reference” in any tier of subcontract. The Contractor is responsible for compliance with this requirement in any subcontract or lower tier subcontract. The form, entitled *Required Contract Provisions Federal Aid Construction Contracts*, is attached.

S-24 **(1708) RAILROAD HIGHWAY PROVISIONS**

Railroad Highway Provisions shall be in accordance with the provisions of 1708 except modified below:

Railroad highway provisions to include insurance will be required for this project. A flagging agreement with Rapid City, Pierre & Eastern Railroad Inc. shall be acquired by the Contractor prior to starting work. The Contractor shall allow for adequate time to obtain the necessary permission from the Railroad prior to the start of work.

All costs necessary for flagging, railway fees, other protective services, and devices required to protect Railway facilities, personnel, equipment, and traffic shall be included in the bid items for: 2021.601 Railroad Protective Liability Insurance and 2021.601 Railroad Protective Services.

S-25

(1712) PROTECTION AND RESTORATION OF PROPERTY

Protection and restoration of property will be performed in accordance with the provisions of 1712, except as modified below:

The County will not be held responsible for damages done by the Contractor to property located below the ground surface within the Right of Way, even though the existence of such property is not shown on the plans, indicated in the Special Provisions or otherwise brought to his/her attention before the damage is done.

S-26

(1803) PROGRESS SCHEDULES

Section 1803.2 and 1803.3 (pertaining to bar chart and critical path diagram requirements) is hereby deleted.

The Contractor shall give the Engineer definite written notice of their intention to start work at least 7 calendar days in advance of beginning construction and at least 48 hours in advance of beginning each subsequent major construction operation.

S-27

(1804) PROSECUTION OF WORK (ADA)
REVISED 01/21/22

Add the following to MnDOT 1804:

1804.3 ADA REQUIREMENTS

Pedestrian facilities on this Project must be constructed according to Public Right of Way Accessibility Guidelines (PROWAG) <http://www.dot.state.mn.us/ada/pdf/PROWAG.pdf>. The appropriate pedestrian ramp details for each quadrant are included in the Plan. The Engineer may provide additional details to those provided in the Plan that meet PROWAG and MnDOT ADA Standards (<http://www.dot.state.mn.us/ada/pdf/MnDOT-ada-standards.pdf>) as the need arises and field conditions dictate.

- A) Designate a certified person to assess proposed sidewalk layouts at each site at the preconstruction meeting. Certification is obtained by passing MnDOT's ADA Construction Certification Course, with in the past 3 years. For class dates and locations please refer to the following link at: <http://www.dot.state.mn.us/ada/training.html>.

A minimum of one person per project must possess a valid ADA Construction Certification card anytime ADA work is being performed on the project. If work on electrical components is the only ADA work taking place on the project the electrician must have in their possession a current MnDOT Signals and Lighting Certification.

ADA work includes: assessment of proposed sidewalk layouts at each site before work begins, determining and marking removal limits for work pertaining to pedestrian facilities, ADA related removals and grading, forming and finishing of concrete at pedestrian facilities, paving pedestrian crossings, placing bituminous pedestrian facilities, final grading, and pavement markings. Any ADA work not listed above can be added at the discretion of the Engineer. An ADA Certified person is not required on site if the only work being performed concerns electrical components such as traffic signals and Accessible Pedestrian Signal (APS) push button installations.

- B) Pedestrian facilities must be constructed to meet the following criteria:

- (1) Pedestrian Access Routes (PAR) must be constructed to meet the following:
- (a) Minimum 4 feet width.
 - (b) A maximum cross slope of 2.0%.
 - (c) Vertical discontinuities must be less than 1/4 inches.

- (d) Must provide positive drainage without allowing any ponding and maintain existing drainage flow patterns unless indicated otherwise in the Plan.
 - (e) All grade breaks shall be constructed perpendicular to the path of travel.
 - (f) Maximum 5% running slope unless adjacent roadway profile exceeds 5%.
 - (2) Landings are part of the PAR and must be constructed to meet the following:
 - (a) 4 feet by 4 feet minimum width and shall match full width of incoming PAR.
 - (b) Maximum slope of 2.0% in all directions.
 - (c) Required at all locations where the PAR changes directions or inverse running slopes are greater than 2.0%.
 - (d) Must be connected to the PAR.
 - (e) Shall be constructed as a single plane surface having no grade breaks.
 - (3) Ramps are part of the PAR and must be constructed to meet either of the following criteria:
 - (a) Longitudinal slopes less than 5% in the direction of travel requires no landing at the top of the ramp (unless the PAR changes direction).
 - (b) Longitudinal slopes between 5 - 8.3% in the direction of travel require a landing at the top of the ramp.
- C) The Contractor and the Engineer shall work together to construct all pedestrian facilities set forth in the plans and in 1804.3B above.

Before any ADA construction begins the Project Engineer will schedule and facilitate an onsite pre-activity meeting that shall consist of a project walk through with the Prime Contractor and the Concrete Flatwork Contractor's MNDOT ADA Construction Certified person. This pre-activity meeting should discuss and document potential issues, any known plan changes, potential discrepancies, and any modifications to the construction plan. The project team should discuss the ADA construction schedule and incorporate into the requirements of MnDOT 1803 (Progress Schedules) including the 2-week look ahead meetings for ADA activities. The discussion should include the sequence of removals and grading, utility placement and relocations, concrete curb and gutter, curb ramp, sidewalk, driveway placements, signals and lighting, temporary pedestrian access including both commercial and residential access, Temporary Pedestrian Access Routes/Alternate Pedestrian Access Routes, and traffic control staging. The Contractor should discuss what equipment, formwork, and materials are to be utilized on the project and how the pedestrian facilities will be constructed.

Notify the Engineer if the plan or site conditions do not allow PROWAAG and MnDOT ADA standards to be met, the Contractor shall consult with the Engineer to determine a resolution. The Engineer shall respond to the Contractor, in a timely manner (up to 24 hours), with a solution on how to proceed. The Contractor shall mitigate any potential delays by progressing other available work on the project.

Pedestrian facilities constructed that are not in accordance with the Plan, do not meet requirements in 1804.3B above, or do not follow the agreed upon resolution with the Engineer, will be corrected by the Contractor at no expense to the Department.

The following Hold Points will be utilized in the construction of pedestrian facilities:

(1) Removal Limits

The Contractor and the Engineer shall use the appropriate ramp, sidewalk, and driveway details in the Plan, and calculate the removal limits for the sidewalk and curb and gutter. If it is determined that the removal limits will exceed the plan removal limits by more than 10 feet and the plan removal limits are not adequate to meet PROWAG and MnDOT ADA Standards the Contractor shall consult with the Engineer to determine a solution. Once the Engineer and the Contractor reach an agreement on how to proceed, the Contractor may finish the removals.

(2) Curb and Gutter at Quadrants

Prior to pouring the curb and gutter at curb ramps the Contractor and the Engineer must verify:

- (a) that the curb and gutter will work with any vertical constraints (doorways, steps, bus stops, outwalks and landing areas).
- (b) zero height curb, and curb transitions will be located as shown in the Plans and will provide an adequate detectable edge as shown on Standard Plan 5-297.250 (Sheet 4 of 6).
- (c) verify curb tapers are constructed at correct heights so that positive boulevard slopes and drainage is maintained away from landings and sidewalks, to the newly constructed curb and gutter sections.
- (d) gutter flow lines shall provide positive drainage, maintain existing drainage patterns including existing gutter inflows/outflows. The curb and gutter shall be constructed as detailed in the Plan with a defined flow line and have no vertical discontinuities over 1/4 inch. For required flow line corrections including curb line raises and curb ramp cross slope “tabling”, see Standard Plan 5-297.250 (Sheet 6 of 6). Curb shall be poured at 3 percent inflow around the radius or at a minimum distance of 10 feet from any zero height curb section when machine placed. The Contractor shall consult with the Engineer to determine a resolution if any of these conditions cannot be met. Once the Engineer and the Contractor reach an agreement on how to proceed, the Contractor may proceed with pouring the curb and gutter.

(3) Curb and Gutter at Roadway Sections

Prior to pouring curb and gutter at roadway sections the Contractor must verify:

- (a) proposed curb and gutter heights will work with existing roadway and shoulder slopes.
- (b) The Contractor shall verify prior to placing the pedestrian facilities that positive drainage is maintained. within public Right of Way (RW), as well as maintaining existing off RW drainage. The Contractor shall check to ensure all top back of curb elevations will allow for adequate boulevard slopes, PAR slopes, and widths as shown on Standard Plan 5-297.254 (Sheet 4 of 4) while maintaining vertically constrained match points (doorways, steps, bus stops, outwalks and landing areas).
- (c) The Contractor shall check all driveway locations and widths and conform to construction plans, Sidewalk & Driveway Standard Plan 5-297.254 and Driveway Table for all driveway details including curb heights and curb tapers. Driveway curb sections and aprons shall be constructed to minimize changes in the sidewalk width, alignment, and profile. The Contractor shall consult with the Engineer to determine a resolution if any of these conditions cannot be met. Once the Engineer and the Contractor reach agreement on how to proceed, the Contractor may proceed with pouring the curb and gutter.
- (d) When curb ramps are adjacent to bituminous roadways the concrete curb and gutter and curb ramps including concrete flares shall be tied. Drill and grout of tie bars will be required as per MNDOT 2321 and in accordance with the details shown in Standard Plan 5-297.250 (Sheet 6 of 6).

(4) Grading, Forming and Finishing

Foundation Preparation work shall consist of constructing all necessary Subgrade Preparation, Aggregate Base, and Grading as indicated in MNDOT 2106, 2112, 2211, MNDOT Standard Plans 5-297.250 (Sheet 6 of 6), and project plans. The testing for

pedestrian facilities grading shall be in accordance with the Schedule of Materials Control.

After the curb and gutter has been correctly poured, and the Contractor has set the sidewalk forms, the Contractor shall verify prior to placing the curb ramps and sidewalks that positive drainage is maintained within public RW, as well as maintaining existing off RW drainage, and that all the requirements in 1804.3B above will be achieved.

(a) Ramps

In addition, the longitudinal slopes shown in the Construction Plans and the Standard Plan shall be utilized unless these conditions cannot be met. The starting point for setting the forms on the controlling ramp leg, landing, and sidewalk slopes should be the following:

Steep (S) = 7%

Flat (F) = 4%

Landing = 1%

Sidewalk Cross Slope = 1.5%

If any of these requirements cannot be met the Contractor shall meet with the Engineer to determine the best solution. Once the Engineer and the Contractor reach an agreement on how to proceed, the Contractor may proceed with the curb ramp and sidewalk pour.

(b) Landings

An initial landing is the first required landing of a pedestrian ramp. All initial landings required at the top of a ramped sloped surface (greater than 2% longitudinal slope), shall be formed and placed separately in an independent concrete pour. This does not include initial landings placed at roadway grade such as depressed corners, parallel ramps, rural flat landings, or flat cut-throughs. Secondary landings consist of all landings beyond the initial landing. These secondary landings do not require a separate landing pour. The Contractor shall verify initial landing alignments and elevations to ensure ramp slopes are correct prior to placing curb and gutter. At a minimum this must include string line verification or the setting of landing forms

(c) Driveways

Driveways with concrete aprons matching into concrete sidewalks shall form and place the apron independent of the concrete sidewalk placement. The Contractor shall consult with the Engineer if separate concrete placements for specific driveway locations must be placed monolithic to maintain project schedule or maintain usage of commercial driveways.

All subgrade preparation and grading for the driveways, including placement of select grading materials and aggregate base, shall be completed prior to constructing any concrete driveway flatwork including both concrete walk sections and concrete apron sections.

All necessary subgrade preparation and aggregate base placement for the entire ramp construction limit shall be done before the initial landing is constructed at each location.

- D) It shall be the responsibility of the Contractor, or Contractor's Surveyor if applicable, to lay out all proposed work at each intersection in accordance with the Plan and requirements listed in this Special Provision. The Contractor may confer with the Engineer for guidance in laying out the proposed work, but it will be the Contractor's responsibility to ensure the proposed work meets all the requirements of this Special Provision. This layout includes, but is not limited to placement of grade breaks, curb transitions, gutter flow lines, truncated dome placement, crosswalk marking placement, flares, landing limits, removal limits, driveway tie in limits, and ramp limits. It is important that the Contractor lay out this work properly to achieve the construction of a compliant pedestrian facility. The Department's surveyor will only stake points and elevations provided in the Plan. For custom

designs, other than specific dimensions provided in the Plan, the Contractor shall be expected to scale dimensions from the Plan as needed to construct the facility. If scaled dimensions do not allow for a facility to be constructed to meet the requirements of this Special Provision, the Contractor shall follow the process listed in 1804.3C above. This layout work shall be incidental.

- E) The Contractor shall utilize measures and methods when working near existing buildings that will avoid damaging the building's face or structure. The contractor will be responsible for any damage to the building's face or structure, both below and above ground. Any damage resulting from Contractor's operations will be repaired at the Contractor's expense to the satisfaction of the Engineer.
- F) The Contractor shall sawcut all concrete curb ramp, sidewalk, and driveway contraction joints. The only exception to the saw cutting contraction joints requirements will be for tooling relief joints on large driveway placements, and long sidewalk placements to prevent random cracks, and for tooling joints on minor repairs.

The Contractor shall snap chalk lines for contraction joint layouts and discuss with the Engineer the locations of all saw cutting, tooled contraction relief joints, and any modifications to Standard Plans. The Contractor and Engineer shall coordinate and agree on all expansion joint layouts before any concrete placements.

The Contractor shall saw cut curb and gutter contraction joints within the PAR including contraction joints at zero-inch height curb locations.

- G) The Contractor will round all joints and edges with a 1/4 inch radius grooving or edging tool within the PAR where minor tooling is permitted. This requirement includes all curb and gutter joints at zero inch height curb sections at curb ramps. Contraction joints shall extend to at least 30 percent of walk thickness. The Contractor shall also have the option of providing saw cuts to construct the sidewalk joints. If saw cutting, provide 1/8 inch wide contraction joints within the PAR, including all curb and gutter joints at zero inch height curb sections. When greater than 50 feet of continuous sidewalk runs are constructed the Contractor shall saw cut all joints. This work shall be incidental.

The top grade break of walkable flares needs a visual joint to indicate a change in grade. To eliminate the use of excessive contraction joints in the quadrant the visual joint shall meet MnDOT 2521.3D.2, except the depth requirement is reduced to 1/4 inch.

All saw cutting, tooling, expansion joint material, and separation joint material shall be incidental to payment of curb and gutter, sidewalks, driveways, curb ramps, and landings.

The Contractor shall use an approved 1/4 inch Separation Material Type F at back of curb in sections where there is concrete boulevard or driveways as per Standard Plans 5-297.254 (Sheet 3 of 4). Separation material shall match the full height dimension of adjacent concrete.

The Contractor shall use an approved 1/2 inch expansion material meeting MNDOT Specification 3702 type A- E between the outside edge of sidewalk and existing building or structures. No expansion or separation material shall not be placed in the longitudinal joint between the sidewalk and boulevard joint, unless it is necessary to provide expansion at fixed structures.

At locations where sidewalk is adjacent to existing buildings, extend walk up to the edge of building and place 1/2 inch preformed joint filler 1/2 inch lower than top of walk whenever possible. Furnish and install Backer Rod of appropriate diameter when joints are 1/4 inch wide or greater, clean surfaces and apply approved Silicone Joint Sealant to flush with top of walk. If the transverse sidewalk and boulevard joint layouts cannot be aligned, use approved preformed joint filler with a maximum 1/8 inch width and place between the sidewalk and boulevard to prevent contraction joints from migrating into the adjacent concrete panels.

- H) The minimum continuous and unobstructed clear width of a Pedestrian Access Route shall be 4.0 feet. All new or reconstructed sidewalk widths shall match or exceed in place sidewalk and in no case shall it be less than 5.0 feet in width except at locations where obstructions cannot be moved or at driveways where slopes exceed the maximum allowable grades. The cross slope of the sidewalk or shared use path shall not exceed 2%, and shall be measured perpendicular to the path of travel across

the entire surface width of the sidewalk or shared use path. Curb ramps should match proposed sidewalk PAR width and shall match full shared use path widths. Whenever possible, the entire landings should be placed in a single concrete placement. If this is not possible due to construction staging, follow requirements for reinforcement bar placement and tie adjacent landings together.

In areas where the sidewalk is to be constructed around fixed structures and the grade has been changed, the sidewalk shall be finished around these structures to the satisfaction of the Engineer at no additional cost.

- I) Longitudinal joint reinforcement- Concrete sidewalks and trails with one or more unrestricted edges that are greater than 7 ft. wide for 4-inch concrete walk, and greater than 10 ft. wide for 6-inch concrete walk shall be constructed according to Concrete Walk Adjacent to Turf detail per Standard Plan 5-297.254 (Sheet 3 of 4).

4-inch concrete walk that requires longitudinal joint reinforcement shall be constructed monolithic as a full width concrete placement using cast in place tie bars.

6-inch concrete walk that requires longitudinal joint reinforcement may use drill and grout or cast in-place tie bars for multiple adjacent concrete placements.

Place tie bar steel to the depth and location shown on the plans. Do not place tie bars within 1' of transverse joint over transverse contraction joints.

Architectural elements such as brick pavers, concrete stamping, and multiple colored concrete placements shall be kept outside the curb ramps and landing areas. Any architectural elements that do not maintain a consistent flat smooth surface shall not be used within the PAR.

S-28

(1806) DETERMINATION AND EXTENSION OF CONTRACT TIME

REVISED 2/2018

The Contract Time will be determined in accordance with the provisions of MnDOT 1806 and the following:

Construction operations shall not commence prior to contract approval. Contractor shall determine their own construction starting date.

Contractor must complete all work in the City of Lake Benton prior to moving to any other city to comply with the County's project phasing needs in regards to SAP's 041-621-008 and 041-622-005.

Contractor must complete all required work in each city (Lake Benton, Tyler, Ivanhoe, and Hendricks) prior to beginning work in any other city unless otherwise approved by the Engineer.

Contract time will be assessed by work in each city as follows:

City of Lake Benton ADA Curb Ramps and Driveways

All work required in the City of Hendricks under this Contract shall be **completed within 48 Working Days**. Working Days will begin upon commencement of removal activities.

City of Tyler ADA Curb Ramps and Driveways

All work required in the City of Hendricks under this Contract shall be **completed within 43 Working Days**. Working Days will begin upon commencement of grubbing activities.

City of Ivanhoe ADA Curb Ramps and Driveways

All work required in the City of Hendricks under this Contract shall be **completed within 24 Working Days**. Working Days will begin upon commencement of removal activities.

City of Hendricks ADA Curb Ramps and Driveways

All work required in the City of Hendricks under this Contract shall be **completed within 28 Working Days**. Working Days will begin upon commencement of grubbing activities.

Contractor must complete all Work to meet the requirements of 1516.2 (Project Acceptance) under this Contract before November 8th, 2024. No credit will be allowed for remaining Working Days after this date.

FINAL CLEANUP

Upon completion of all major items of the Contract, the Engineer will furnish the Contractor with a "Punch List." **The "Punch List" shall be completed within 10 Working Days or the Contractor shall be subject to a daily charge assessed at a rate of \$100.00 per Calendar Day.**

**S-29 (1807) FAILURE TO COMPLETE THE WORK ON TIME
REVISED 2/2018**

The provisions of MnDOT 1807 are supplemented as follows:

The Department will deduct liquidated damages from money due the Contractor for each calendar day that the Work remains incomplete after expiration of the Contract Time, according to the completion requirements of 1516.2 (Project Acceptance). The Engineer will deduct liquidated damages based on the original Contract Amount and Table 1807-1.

The Department may reduce the daily liquidated damages \$100.00 when the only remaining items are maintenance or Final Cleanup.

S-30 (1809) TERMINATION OF CONTRACT

The first paragraph of 1809 is revised to read:

The Department may, by written notice, terminate the Contract or any portion thereof when it is deemed in the best public, County, State, or national interest to do so; or after finding that for reasons beyond the Contractor's control they are prevented from proceeding with or completing the Contract work within a reasonable period of time.

S-31 (1901) MEASUREMENT OF QUANTITIES

The following shall be added to MnDOT 1901:

For pay items to be paid on a tonnage basis, the Contractor shall:

- 1) Have automated weighing equipment integrated with a ticket printer. The ticket shall contain the date, project number, pay item number, truck or tractor trailer identification, truck tare and net mass (weight). The Contractor shall provide the truck driver with a copy of the weight ticket. The truck driver shall give the ticket to the inspector on the project.
- 2) All trucks used to haul material on the project shall have a tare weight from a certified scale that is to be given to the project inspector prior to that truck hauling any material onto the project. Any material hauled without a tare weight from a certified scale will be subject to a 10% pay reduction of materials hauled.
- 3) Interlock scales to eliminate load manipulation.
- 4) A certified platform scale shall be used for all aggregates with pay item quantities exceeding 10,000 tons.
- 5) **A weigh-in-motion loader scale may be used by the Contractor for aggregates with pay item quantities under 10,000 ton. When a loader scale is used, the Contractor shall have a "calibration weight" that the loader may use to calibrate the loader scale in the pit. The "calibration weight" shall be weighed at a certified scale and the ticket shall be given to the Engineer prior to use. The "calibration weight" shall weigh a minimum of 12,000**

pounds. A smaller weight may be used if the weight exceeds the loaders lifting capacity with permission from the Engineer. The Loader Operator shall calibrate the loader scale at the start of each day and as requested by the Engineer in the field. The Engineer may request that the Contractor check the calibrated loader scale by getting a loaded and a tare weight of trucks at a certified scale. Said verification checks shall be at no cost to the County.

ALLOWABLE LEGAL GROSS WEIGHT

The allowable legal gross weight is defined as the vehicle license gross weight plus the tolerance provided in Minnesota Statutes 168.013 or the gross legal weight provided by Minnesota Statutes 169.825, whichever is less. In no case will the allowable legal gross weight exceed 80,000 pounds. No payment will be made for any material in excess of the allowable legal gross weight.

The Contractor shall be familiar with weight restricted bridges in Lincoln County. A map of restricted bridges is located in the attachments for the Proposal.

S-32 **(1905) COMPENSATION FOR ELIMINATED ITEMS**

Work shall be accomplished in accordance with the Provisions of 1905, except as modified below:

Lincoln County has the right to delete all or part of the Contract Items with no adjustment in Contract Price.

S-33 **(1906) PARTIAL PAYMENTS**

Partial payments will be made in accordance with the Provisions of 1906, except as modified below:

From the amounts ascertained as payable on each partial payment, five (5) percent retainage for in-state contractors and eight (8) percent retainage for out-state contractors until all work is completed and accepted.

Payment for materials on hand will not be made under this contract.

By signing the Proposal, The Contractor authorizes the Lincoln County Highway Department to make partial payments without the Contractor's signature. The Contractor will receive a copy of the payment voucher at the time the payment is issued. The Contractor may submit a written request to sign the Partial Estimate Payment Vouchers prior to payment.

S-34 **(1908) FINAL ESTIMATE AND FINAL PAYMENT-CONDITIONS AND PROCESS**

The following provisions shall apply to preparation of the Final Estimate and execution of Final Payment under this Contract:

Before final payment is made for this project, the Contractor and all Sub-Contractors shall make a satisfactory showing that they have complied with the Provisions of Minnesota Statutes 290.92, requiring the withholding of State Income Tax for wages paid employees on this project. Receipt of a certificate of compliance from the Commissioner of Taxation an affidavit that they have complied with the Provisions of 290.92. The required affidavit form will be supplied by the Commissioner of Taxation, Centennial Building, St. Paul, MN, on request.

S-35 **(2041) ON-THE-JOB-TRAINING PROGRAM**
REVISED 9/2022

Delete and replace Section II. 6.b of the "Required Contract Provisions-Federal-Aid Contracts" set forth in the Equal Employment Opportunity Special Provision with the following:
 As part of the Contractor's equal employment opportunity (EEO) affirmative action program, on-the-job training (OJT) must be provided in accordance with these Special Provisions and 23 C.F.R. Part 230.

S-35.1 **PURPOSE**

The primary objective of the MnDOT OJT Program is to create a diverse workforce through the training and upgrading of minorities, women and disadvantaged people in highway heavy construction. The program seeks to improve access for people to reach journey level positions.

S-35.2 **OJT GOAL**

The OJT goal for this project is:

Trainees: 1
 Hours: 250

S-35.3 **TRAINEE ELIGIBILITY**

- B** A trainee must be a minority, woman or disadvantaged person. MnDOT’s Office of Civil Rights will review the OJT Trainee Application for disadvantaged persons on a case-by-case basis. It is the Contractor’s responsibility to provide information and documentation illustrating the OJT applicant is a disadvantaged person.
- C** A person is not eligible to be a trainee in any trade in which the person is considered a journey person or is otherwise skilled.
- D** A trainee is eligible to be in the OJT program up to the following hours:

Trade	Hours
Carpenter	7,000
Cement Mason	6,000
Crane Operator	8,000
Electrician	8,000
Iron Worker	6,000
Laborer	4,000
Operating Engineer	4,000
Painter	6,000
Pile Driver	8,000
Pipefitter	8,750
Truck Driver	2,000

- E** A trainee may work on various projects or for different Contractors. However, the Contractor will only receive OJT credit for trainee hours worked on a Project with an OJT goal. Moving employees strictly to meet an OJT goal is a violation of affirmative action under 41 C.F.R. § 60-4.

S-35.4 **OJT PROGRAM PROPOSAL**

- A** The Contractor must complete the OJT Program Proposal within five (5) business days of the bid opening. The OJT Program Proposal can be found here: mndot.gov/civilrights/ojt-proposal.html.

- B Approval of the OJT Program Proposal is a condition of Contract award. If approved, the Contractor will receive an email notification from MnDOT's Office of Civil Rights. Failure to submit the OJT Program Proposal will result in the bid being rejected for failure to meet a condition precedent.
- C The OJT Program Proposal must include the 1) number of trainees, 2) selected trades and 3) the planned training program. The number of trainees must be distributed amongst the trades on the basis of the Contractor's needs and the availability of journeypersons in the various trades within a reasonable area of recruitment. This section does not apply if the Contractor is an approved participant in the OJT Alternative Program.
 - 1. The Contractor does not need to attach a training plan to the OJT Program Proposal if it has an apprenticeship program registered with the U.S. Department of Labor, Bureau of Apprenticeship and Training, or with a State apprenticeship agency recognized by the Bureau and training programs approved but not necessarily sponsored by the U.S. Department of Labor, Manpower Administration, Bureau of Apprenticeship. The apprenticeship program must be administered in a manner consistent with the equal employment obligations of Federal-aid highway construction contracts.
- D MnDOT's Office of Civil Rights and the Federal Highway Administration will approve a program if it is reasonably calculated to:
 - 1. meet the equal employment opportunity obligations of the Contractor; and
 - 2. qualify the average trainee for journey-level status in the classification concerned by the end of the training period.
- F If the Contractor does not commit to meeting the OJT goal stated in this Proposal, then MnDOT's Office of Civil Rights may choose to perform a compliance review. The purpose of the compliance review will be to analyze the Contractor's employment practices and to facilitate good faith efforts to reach the OJT goal.

S-35.5 OJT TRAINEE APPLICATION

- A The Contractor must submit an OJT Trainee Application prior to the start of construction or within 30 business days of the trainee's start date on this project. The OJT Trainee Application can be found here: mndot.gov/civilrights/ojt-application.html.
 - 1. The Contractor must submit an OJT Trainee Application each calendar year until the trainee reaches journey level status or the Project ends.
- B If a trainee indicates to the Contractor that the trainee is a graduate of a MnDOT OJT Supportive Services Program, the Contractor must confirm this by requesting a Certificate of Completion from the trainee or by contacting MnDOT's Office of Civil Rights.
- C At the time the Contractor submits the OJT Trainee Application, the Contractor must provide the trainee with a copy of the training program.
- D Trainee eligibility approval is not established until the Contractor receives the OJT Trainee Approval Letter from MnDOT's Office of Civil Rights.
- E The Contractor will only receive credit and reimbursement for work performed by a trainee on or after the effective reimbursement date, which is specified in the OJT Trainee Approval Letter.
 - 1. Retroactive reimbursement: The Contractor will only receive credit or reimbursement for work performed by the trainee 30 business days prior to submission of the OJT Trainee Application.

S-35.6 OJT MENTORSHIP AGREEMENT

- A For the trainee to be eligible for the mentor assignment reimbursement rate outlined in the OJT Request for Reimbursement section of these Special Provisions, the Contractor must submit an OJT Mentorship Agreement and a training plan. The OJT Mentorship Agreement and training plan must be approved by MnDOT's Office of Civil Rights. The OJT Mentorship Agreement can be found here: mndot.gov/civilrights/ojt-mentor.html.
- B Mentorship renewal: An OJT Mentorship Agreement and training plan must be submitted each calendar year. The Contractor will only receive credit or reimbursement for work performed by the trainee 30 business days prior to submission of the OJT Mentorship Agreement.
- C The maximum mentorship ratio is two (2) trainees to one (1) mentor.

S-35.7 OJT TRAINEE DEPARTURE

If a trainee voluntarily or involuntarily departs from the company, the Contractor must complete and submit the OJT Trainee Departure Form within 15 business days to MnDOT's Office of Civil Rights. The OJT Trainee Departure form can be found here: mndot.gov/civilrights/ojt-departure.html. The OJT Trainee Departure form is not required for seasonal layoffs.

S-35.8 OJT CERTIFICATE OF COMPLETION

The Contractor must provide the trainee and MnDOT's Office of Civil Rights with an OJT Certificate of Completion indicating the type and length of training the trainee satisfactorily completed. The OJT Certificate of Completion template can be found here: mndot.gov/civilrights/forms.html.

S-35.9 OJT REQUEST FOR REIMBURSEMENT

- A The Contractor may be reimbursed at one of the following rates for each trainee:
 - 1. \$1.00 per hour worked;
 - 2. \$5.00 per hour worked by a graduate of a MnDOT OJT Supportive Services Program;
 - 3. \$10.00 per hour worked by a graduate of a MnDOT OJT Supportive Services Program and who is assigned a mentor by the Contractor.
- B The Contractor must submit an OJT Request for Reimbursement to the Engineer at a time determined by the Engineer, but no later than Completion of the Work as provided in 1516.3. The OJT Request for Reimbursement can be here: mndot.gov/civilrights/forms.html.
- C The Contractor must maintain records and, upon request from the Office of Civil Rights, provide periodic reports documenting the Contractor's performance under these Special Provisions.
- D The Contractor will only be reimbursed for trainee hours worked:
 - 1. on projects with an OJT goal,
 - 2. in the trade that the trainee was approved in, and
 - 3. on or after the effective reimbursement date indicated on the OJT Trainee Approval Letter.
- E The Contractor will receive reimbursement for any Subcontractor contributing trainee hours to the OJT goal. It is at the Contractor's discretion to reimburse a Subcontractor for any hours contributed to the OJT goal.

G Upon approval, some offsite training is permissible as long as the training is an integral part of an approved training program and does not comprise a substantial part of the overall training. Reimbursement for offsite training may only be made where the trainee is concurrently employed on a Federal-aid Project and the Contractor does one or more of the following;

1. contributes to the cost of the training;
2. provides the instruction to the trainee; or
3. pays the trainee's wages during the offsite training period.

Prior to offsite training, the Contractor must submit an offsite training plan to MnDOT's Office of Civil Rights for review and approval.

G Engineer will not reimburse the Contractor if either 1) the failure to provide the required training, or 2) the failure to hire the trainee as a journey person, is caused by the Contractor and demonstrates the Contractor's lack of good faith to meet the requirements of this Special Provision.

H Payment for OJT hours will be paid under item number 2041.610, description Trainees, unit by the Hour. This item shall be shown on the Contractor's Bid Schedule at the fixed rate amount of \$1.00 per hour. Actual OJT reimbursement will be paid as described in the OJT Request for Reimbursement section.

S-35.10 FINAL CLEARANCE

Pursuant to MnDOT Standard Specifications for Construction, Section 1516.3, "Completion of the Work", note (7), the Contractor must notify the Engineer and MnDOT's Office of Civil Rights when the OJT goal is met and/or work is complete. MnDOT's Office of Civil Rights will issue a Final Clearance letter under MnDOT Standard Specifications for Construction, Section 1516.3, "Completion of the Work", note (7).

S-35.11 GOOD FAITH EFFORTS REVIEW

If the Contractor is unable to meet the OJT goal, the Contractor must provide documentation demonstrating good faith efforts. The following standards apply to the review of a Contractor's good faith efforts to meet the OJT goal:

- A The Contractor must demonstrate that it made every effort to employ minorities, women and disadvantaged persons by conducting systematic and direct recruitment through public and private sources likely to yield minorities, women and disadvantaged persons.
- B The Contractor is responsible for demonstrating the actions it took to recruit minorities, women and disadvantaged persons as trainees prior to a determination as to whether the Contractor is in compliance with these requirements.
- C This training commitment is not intended and must not be used to discriminate against any applicant for training, whether a member of a minority group or not.
- D MnDOT's Office of Civil Rights may perform a compliance review if the Contractor fails to demonstrate good faith efforts. The purpose of this review will be to analyze the Contractor's employment practices and facilitate good faith efforts to reach future OJT goals.

S-35.12 TRAINING PROGRAM STANDARDS

H The Contractor will receive credit for each trainee employed on the Project who is currently enrolled or becomes enrolled in an approved program. The Contractor will be reimbursed for such trainees as outlined in the OJT Request for Reimbursement section of these Special Provisions.

- I Training must be provided for construction trades rather than clerical positions. Training is permissible in entry-level management positions, such as office engineers, estimators, etc., where the training is oriented toward construction applications. If approved, the Contractor must provide documentation of hours worked by the trainee (e.g., payroll, timesheets) in a format approved by MnDOT's Office of Civil Rights.
- J It is expected that a trainee will begin training on the Project as soon as feasible after start of work in the trainee's trade and remain on the Project as long as training opportunities exist in the trainee's trade or until the trainee has completed an approved training program.
- K It is not required that a trainee work on the Project for the entire length of the Contract.
- L All training provided by the Contractor to meet the obligations in these Special Provisions must provide a significant and meaningful training experience for the trainee.
- M The Contractor will have fulfilled its responsibilities under this Special Provision if it has provided a significant, meaningful training experience and/or acceptable training to the number of trainees specified. The number trained shall be determined on the basis of the total number enrolled on the Contract for a significant period.
- N In the event the Contractor subcontracts a portion of the work, the Contractor must determine how much of the training requirement will be fulfilled by the Subcontractor. Despite a subcontract, the Contractor remains responsible for meeting the OJT training requirements. The Contractor must ensure that the On-the-Job Training Program special provisions are incorporated into its subcontracts.
- O Where feasible, 25 percent of apprentices or trainees in each trade must be in their first year of apprenticeship or training.
- P The language established in subpart (A) and (A)(I) of this section replaces the language established in the February 1, 2006 FEDERALLY FUNDED CONSTRUCTION CONTRACTS SPECIAL PROVISIONS DIVISION A – LABOR, Subpart X(B)(3) or the May 17, 2006 FEDERALLY FUNDED "ONLY" CONSTRUCTION CONTRACTS SPECIAL PROVISIONS DIVISION A – LABOR, Subpart X(B)(3).
 - 1. The trainee must be paid at not less than the rate specified in the program for the level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable federal wage decision.
 - i. The level of progress, expressed as a percentage requires the Contractor to pay the trainee at least 60 percent of the appropriate minimum journeyman's rate specified in the applicable federal wage decision for the first half of the training period, 75 percent for the third quarter of the training period, and 90 percent for the last quarter of the training period.

S-35.13

OJT ALTERNATIVE PROGRAM

Contractors participating in the OJT Alternative Program must receive written approval from MnDOT's Office of Civil Rights. An approved Contractor in the alternative program must submit their annual, company-wide training plan in accordance with specified timeframes. The trainees approved under the OJT Alternative Program must be utilized in accordance with the OJT Special Provisions. Approved Contractors participating in the OJT Alternative Program are subject to an annual goal rather than Project specific goals. Joint ventures are subject to Project specific goals.

S-36

(2051) MAINTENANCE AND RESTORATION OF HAUL ROADS

The bidder's attention is directed to the Provisions of 2051, 1515 and 1404, pertaining to haul roads. Since these roads may not be under the jurisdiction of the contracting agency, the Contractor should be aware that maintenance and restoration is generally expected by the appropriate road authorities.

The County will require the Contractor to contact and obtain approval from the proper jurisdictional agency (Township or County) for haul roads to be used for this work. This must be accomplished through documentation submitted to the Engineer prior to the use of any haul road. A standard form for this procedure may be obtained from the office of the County Engineer. The Contractor must also submit a written release of haul roads to the County Engineer before final payment.

Maintenance and restoration of haul roads shall be paid by the contractor with no compensation from the County.

S-37

(2101) CLEARING AND GRUBBING

All clearing operations will be completed by County forces prior to the start of the project.

The Contractor shall dispose of all grubbing material outside of the County right-of-way.

The Contractor is responsible for making and maintaining any agreements to dispose of grubbing material outside of the County right-of-way.

Contractor shall not bury the materials at the project site. A \$500 deduct will be applied per site for any buried materials from this contract found and the buried material shall be removed at the Contractors expense.

Removed grubbing, bituminous, and concrete without rebar may be hauled and disposed of at the Sook Pit, located at 2607 County Road 126, Arco, MN 56113 (Section 15-T111N-R44W).

S-38

(2104) REMOVING PAVEMENT AND MISCELLANEOUS STRUCTURES

REVISED 4/2017

Abandoned structures and other obstructions shall be removed from the Right of Way and disposed of in accordance with the provisions of Mn/DOT 2104, except as modified below:

Measurement and payment for the removal and disposal of materials will be made only for those Items of removal work specifically included for payment as such in the Proposal and as listed in the Plans. The removal of any unforeseen obstruction requiring in the opinion of the Engineer equipment or handling substantially different from that employed in excavation operations, will be paid for as Extra Work as provided in MnDOT 1402.5.

All removals shall be disposed of by the Contractor outside the Right of Way in accordance with MnDOT 2104.3D3 to the satisfaction of the Engineer.

Sawing of sidewalks, curb and gutter, and pavement needed for removal shall be incidental.

S-39

(2211) AGGREGATE BASE

REVISED 1/2014

Aggregate base courses shall be constructed in accordance with the provisions of MnDOT 2211 except as modified below:

Compaction shall be achieved by the "Quality Compaction Method" described in MnDOT 2211.3D2.

S-40 **(2357) BITUMINOUS TACK COAT**
2357.5 BASIS OF PAYMENT
All costs of furnishing and applying bituminous tack coat will be incidental with no direct compensation being made therefore.

S-41 **(2360) PLANT MIXED ASPHALT PAVEMENT**
MnDot 2360 is modified and/or supplemented with the following:

Mix Designation Numbers for the bituminous mixtures on this Project are as follows:
Type SP 12.5 Wearing Course SPWEB240B

Certification of the pant shall be included in the bid price for 2360 Plant Mixed Asphalt.

S-42 **(2521) CONCRETE CURB RAMP WALK (ADA)**
REVISED 7/12/2022

S-42.1 DESCRIPTION
This Work consists of constructing Concrete Curb Ramp Walk, including necessary Subgrade Preparation, and Grading in accordance with the Plan, Standard Plan Sheet No.5-297.250, MnDOT 2112, MnDOT 2211 and MnDOT 2521.

S-42.2 MATERIALS – See Standard Specifications for Construction
S-42.3 CONSTRUCTION REQUIREMENTS

- A Concrete Walk
Construct 4.0' minimum continuous and unobstructed clear width of Pedestrian Access Route (PAR). Match or exceed proposed sidewalk widths and must be at least 5.0 feet in width except at locations where obstructions cannot be moved or at driveways where slopes exceed the maximum allowable grades. The cross slope of the sidewalk is not to exceed 2%, and to be measured across the entire surface width of the sidewalk. Construct curb ramps to meet or exceed existing sidewalk widths. Maintain a consistent flat smooth surface within the PAR. Where sidewalk grade changes adjacent to fixed structures, finish the sidewalk around these structures to the satisfaction of the Engineer.
Sawcut concrete curb ramp, sidewalk, and driveway contraction joints. The Engineer may allow tooling relief joints for large driveway placements, long sidewalk placements to prevent random cracks, and minor repairs.
Sawcut curb and gutter contraction joints within the PAR including contraction joints at zero-inch height curb locations.
Sawcut a visual joint at the top grade break of walkable flares to indicate a change in grade meeting MnDOT 2521.3.D, except the depth requirement is reduced to 1/4 inch.
To avoid corner breaks, form and construct walk edges perpendicular to the back of curb and gutter sections and concrete structures for a 1 foot minimum distance.
Salvage and reinstall existing signs as indicated in the Plan or directed by the Engineer.

- B Grading
Flush grade fill sections with the top of walk for a minimum 24 inches from the edge of walk at 2% slope and then down at a maximum 1:4 slope to existing terrain unless otherwise detailed in the Plan. Blend in the toe of fill slope and adjacent areas so as not to adversely affect drainage.

- C Landings
An initial landing is the first required landing of a pedestrian ramp. Form and place initial landings at the top of a ramped sloped surface (>2% longitudinal slope), with an independent concrete pour, unless the initial landing is located at roadway grade such as depressed corners,

parallel ramps, rural flat landings, or flat cut-throughs. Secondary landings consist of all landings beyond the initial landing. These secondary landings do not require a separate landing pour. Construct initial landings in a single concrete placement as a single plane surface, having no grade breaks. If single concrete placement is not possible, follow the requirements for tie bar placement in accordance with the details shown in Standard Plan 5-297.250 Sheet 6 of 6 and tie adjacent landings together. Keep Architectural elements such as brick pavers or concrete stamping outside the curb ramps and curb ramp landings.

Cast in-place or drill and grout tie bars will be required in accordance with the details shown in Standard Plan 5-297.250 Sheet 6 of 6. If cast in place, install tie bars through holes in the forms, with a form height at least equal to the walk thickness of the formed concrete shown in the Plans. Install deformed tie bars and provide 2” minimum concrete cover.

Prior to initial landing construction ensure the subgrade is prepared and aggregate base is placed for the entire ramp construction area.

S-42.4 METHOD OF MEASUREMENT

The Engineer will measure Concrete Curb Ramp Walk by top surface area, including the area under the truncated domes.

In areas where directional curb is constructed, the triangular area that is behind the projected back of curb line will be measured as Concrete Curb Ramp Walk.

S-42.5 BASIS OF PAYMENT

The contract unit price for Concrete Curb Ramp Walk is compensation in full for equipment, materials and labor required to complete the work.

No payment will be made for excavation or borrow, including hauling or disposal, that is necessary to meet the walk grades unless specifically provided for in the Plan.

If the Plan calls for other Grading items for a pedestrian facility, then payment will be made for the locations specifically provided for in the Plan.

No payment will be made for salvaging and reinstalling signs as a result of concrete Walk construction, unless specifically provided for in the Plan.

No additional payment will be made in areas where the Concrete Curb Ramp Walk is to be constructed around fixed structures and the grade has been changed.

The Department will pay Concrete Curb Ramp Walk on the basis of the following schedule:

<u>Item No</u>	<u>Item</u>	<u>Unit</u>
2521.618	Concrete Curb Ramp Walk.....	square foot

S-43 **(2521) CONCRETE WALK (ADA)**
REVISED 7/12/2022

S-43.1 DESCRIPTION

This Work consists of constructing Concrete Walk, including necessary Subgrade Preparation, Aggregate Base and Grading in accordance with the Plan, Standard Plan Sheet No.5-297.250, MnDOT 2112, MnDOT 2211, and MnDOT 2521.

S-43.2 MATERIALS

Aggregate Surface and Base Course.....3138

S-43.3 CONSTRUCTION REQUIREMENTS

A Concrete Walk
Construct 4.0’ minimum continuous and unobstructed clear width of Pedestrian Access Route (PAR). Match or exceed proposed sidewalk widths and must be at least 5.0 feet in width except at locations where obstructions cannot be moved or at driveways where slopes exceed the maximum allowable grades. The cross slope of the sidewalk is not to exceed 2%, and to be

measured across the entire surface width of the sidewalk. Construct curb ramps to meet or exceed existing sidewalk widths. Maintain a consistent flat smooth surface within the PAR.

Where sidewalk grade changes adjacent to fixed structures, the sidewalk shall be finished around these structures to the satisfaction of the Engineer.

Sawcut concrete curb ramp, sidewalk, and driveway contraction joints. The Engineer may allow tooling relief joints for large driveway placements, long sidewalk placements to prevent random cracks, and minor repairs.

Sawcut curb and gutter contraction joints within the PAR including contraction joints at zero-inch height curb locations.

Sawcut a visual joint at the top grade break of walkable flares to indicate a change in grade meeting MnDOT 2521.3.D, except the depth requirement is reduced to 1/4 inch.

To avoid corner breaks, form and construct walk edges perpendicular to the back of curb and gutter sections and concrete structures for a 1 foot minimum distance.

Salvage and reinstall existing signs as indicated in the Plan or directed by the Engineer.

B Grading

Flush grade fill sections with the top of walk for a minimum 24 inches from the edge of walk at 2% slope and then down at a maximum 1:4 slope to existing terrain unless otherwise detailed in the Plan. Blend in the toe of fill slope and adjacent areas so as not to adversely affect drainage.

C Landings

An initial landing is the first required landing of a pedestrian ramp. Form and place initial landings at the top of a ramped sloped surface (>2% longitudinal slope), with an independent concrete pour unless the initial landing is located at roadway grade such as depressed corners, parallel ramps, rural flat landings, or flat cut-throughs. Secondary landings consist of all landings beyond the initial landing. These secondary landings do not require a separate landing pour.

Construct initial landings in a single concrete placement, whenever possible, as a single plane surface having no grade breaks. If single concrete placement is not possible, follow the requirements for tie bar placement in accordance with the details shown in Standard Plan 5-297.250 Sheet 6 of 6 and tie adjacent landings together. Keep architectural elements such as brick pavers or concrete stamping outside the curb ramps and curb ramp landings.

Cast in-place or drill and grout tie bars will be required in accordance with the details shown in Standard Plan 5-297.250 Sheet 6 of 6. If cast in place, install tie bars through holes in the forms, with a form height at least equal to the walk thickness of the formed concrete shown in the Plans. Install deformed tie bars and provide 2" minimum concrete cover.

All necessary subgrade preparation and aggregate base placement for the entire ramp construction limit shall be done before the initial landing is constructed.

S-43.4 METHOD OF MEASUREMENT

The Engineer will measure Concrete Walk by top surface area, including the area under the truncated domes.

In areas where directional curb is constructed, the triangular area that is behind the projected back of curb line will be measured as Concrete Walk.

S-43.5 BASIS OF PAYMENT

The contract unit price for Concrete Walk is compensation in full for equipment, materials and labor required to complete the work.

No payment will be made for excavation or borrow, including hauling or disposal, that is necessary to meet the walk grades unless specifically provided for in the Plan.

If the Plan calls for payment of Aggregate Base and/or other Grading items for a pedestrian facility, then payment will only be made for the locations specifically provided for in the Plan.

No payment will be made for salvaging and reinstalling signs as a result of concrete Walk construction, unless specifically provided for in the Plan.

No additional payment will be made in areas where the Concrete Walk is to be constructed around fixed structures and the grade has been changed.

The Department will pay Concrete Walk on the basis of the following schedule:

<u>Item No.</u>	<u>Item</u>	<u>Unit</u>
2521.618.I	Concrete Walk.....	square foot

S-44 **(2531) CONCRETE CURB AND GUTTER (ADA)**
REVISED 7/12/2022

S-44.1 **DESCRIPTION**
This Work consists of constructing Concrete Curb and Gutter and the Aggregate Base in accordance with MnDOT 2211, MnDOT 2521, MnDOT 2531, and the Plans.

S-44.2 **MATERIALS**
Aggregate for Surface and Base Courses..... 3138

S-44.3 **CONSTRUCTION REQUIREMENTS**
Construct curb and gutter to meet the details in the Plan. When machine placed, the gutter inslope is poured at 3% inflow around the radius or at a minimum distance of 10 feet from any zero-height curb section. Construct the gutter inslope and transitions as detailed in the Plans. Modify the proposed gutter width to not protrude into the adjacent travel.
Leave a minimum 3 feet of in place curb and gutter between an existing joint and the saw cut. If the 3-foot minimum cannot be maintained, place the saw cut over the existing joint. Install epoxy coated reinforcement bars per Standard Plans 5-297.250 (Sheet 6 of 6) if construction joints are utilized within a quadrant radius.
Form, at a minimum, the top 1.5 inches of the gutter face (front of gutter). The existing roadway edge is not to be used as a form for the top 1.5 inches of the gutter face unless approved by the Engineer.
If the gutter flow line in front of the proposed curb ramp exceeds 2.0% slope, adjust the flow line to 2% or less if feasible while following the roadway criteria as per Standard Plans 5-297.250 (Sheet 6 of 6). The bituminous patch in front of the truncated domes should be 1% minimum to 5% maximum slope measured perpendicular to the flow line. In no case shall a newly constructed curb and gutter flow line exceed 8% unless the roadway profile exceeds 8%.
Drainage patterns shall not be altered unless called for in the Plans or approved by the Engineer.
Construct a contraction joint through the curb and gutter section where the curb height equals zero inches. If any curb and gutter joints fall within the Pedestrian Access Route (PAR), meet MnDOT 2521.3C.
When constructing directional curb where truncated domes are perpendicular to the path of travel, the triangular concrete area between the grade break/edge of truncated domes and the gutter face (front face of gutter) shall be constructed integral.

S-44.4 **METHOD OF MEASUREMENT**
The Engineer will measure Concrete Curb and Gutter (ADA) by the linear foot measured at the face of the curb.

S-44.5 **BASIS OF PAYMENT**
The contract unit price for Concrete Curb and Gutter shall be compensation in full equipment, materials and labor required to complete the Work.

<u>Item No.</u>	<u>Item</u>	<u>Unit</u>
2531.60	Concrete Curb and Gutter.....	linear foot

S-45 **(2521 & 2531) DRILL AND GROUT REINF BAR (ADA)**
REVISED 7/12/2022

S-45.1 DESCRIPTION
This Work consists of furnishing, drilling, grouting, and inserting No. 4 reinforcement bars as shown on the details in the Plan in accordance with the provisions of MnDOT 2301.

S-45.2 MATERIALS
Reinforcement bars 3301

S-45.3 CONSTRUCTION REQUIREMENTS
Anchor the reinforcement bars to the in place concrete by utilizing either a non-shrink grout or epoxy adhesive from the Approved Products List. The Contractor may use vibratory drilling tools 24 hours after placing the concrete or to avoid subjecting the concrete to damaging stresses in cooler weather after the concrete has reached a compressive strength of at least 2,000 psi.
Reinforcement bars may be cast-in-place in accordance with the details shown on Standard Plan 5- 297.250 (Sheet 6 of 6).

Cast in-place or drill and grout tie bars will be required in accordance with the details shown in Standard Plan 5-297.250 (Sheet 6 of 6). If cast in place, install tie bars through holes in the forms, with a form height at least equal to the walk thickness of the formed concrete shown in the Plans. Install deformed tie bars and provide 2” minimum concrete cover.

S-45.4 METHOD OF MEASUREMENT
The Engineer will verify that reinforcement bars are placed in conformance with Standard Plan 5-297.250 (Sheet 3 of 6), Standard Plan 5-297.250 (Sheet 4 of 6) Standard Plan 5-297.250 (Sheet 6 of 6), Standard Plan 5-297.254 (Sheet 3 of 4), and Standard Plan 5-297.254 (Sheet 4 of 4).

S-45.5 BASIS OF PAYMENT
Reinforcement bars shall be incidental to the following bid items:

<u>Item No.</u>	<u>Item</u>
2521.518	4” Concrete Walk
2521.518	6” Concrete Walk
2521.618	Curb Ramp Walk
2531.503	Concrete Curb & Gutter Design B618
2531.503	Concrete Curb & Gutter Design B624
2531.503	Concrete Curb & Gutter Design D418
2531.504	6” Concrete Driveway Pavement
2531.504	8” Concrete Driveway Pavement
2531.604	7” Concrete Valley Gutter

S-46 **(2531) CONCRETE CURB DESIGN V (ADA)**

S-46.1 DESCRIPTION
This Work consists of constructing Concrete Curb Design V of varying heights up to 8 inches as detailed in the Plan and in accordance with the provisions of MnDOT 2531 and MnDOT 2521.

S-46.2 MATERIALS – See Standard Specifications for Construction

S-46.3 CONSTRUCTION REQUIREMENTS
Concrete Curb Design V may be constructed independent of, or integral to, the adjacent sidewalk. Match the bottom elevation of the Concrete Curb Design V to the bottom elevation of the adjacent sidewalk slab.

When the Concrete Curb Design V is constructed independent of the sidewalk, clean the joint to maximize the bond between the walk and Concrete Curb Design V. Align the joint locations in the curb with the joint locations in the adjacent concrete walk.

The locations requiring the use of Concrete Curb Design V will solely be determined in the Plans or in the field by the Engineer. Before the Concrete Curb Design V is constructed, the height and length determined by the Contractor and approved by the Engineer. Engineer's approval is required for any additional Concrete Curb Design V that is placed on the project.

S-46.4 METHOD OF MEASUREMENT

The Engineer will measure the square foot of Concrete Curb Design V from a top down view, length x width. Pedestrian concrete approach noses adjacent to the pedestrian ramp will be measured and included in the quantity of Concrete Curb Ramp Walk. No measurement will be made for pedestrian concrete approach nose adjacent the roadway curb and gutter when included in linear foot measurement of Concrete Curb and Gutter Design XXXX.

S-46.5 BASIS OF PAYMENT

The contract unit price for Concrete Curb Design V shall be compensation in full for equipment, materials and labor required to complete the Work and shall be included in the cost of Concrete Curb Ramp Walk.

The Department will pay for Concrete Curb Design V on the basis of the following schedule:

<u>Item No.</u>	<u>Item</u>	<u>Unit</u>
2521.618	Concrete Curb Ramp Walk.....	Square foot

S-47 **(2531) TRUNCATED DOMES**

S-47.1 DESCRIPTION

This Work consists of furnishing and installing Truncated Dome Systems at pedestrian curb ramps in accordance with the Public Rights-of-Way Accessibility Guidelines (PROWAG), MnDOT 2521 and special provision (2521) Concrete Walk ADA.

S-47.2 MATERIALS

Truncated Domes Approved Products List

S-47.3 CONSTRUCTION REQUIREMENTS

Firmly press truncated domes into concrete filling the vent holes on the truncated dome plates.

Obtain Engineer's approval prior to cutting truncated domes Minimum cut section surface area is two square feet. Grind cut edges smooth. A maximum of one cut section is allowed per pedestrian ramp. Coated colored truncated domes shall not be cut.

Screed the surrounding concrete finishing flush with the truncated dome plate edge. The maximum surface deviation is 3/16 inches. Provide a 3-inch minimum concrete border around the edges of the truncated domes.

Contractor shall modify the curb line radius in accordance with Standard Plan 5-297.250 and may adjust the zero-inch height curb locations up to 6 inches laterally if radial dome sections are used.

S-47.4 METHOD OF MEASUREMENT

The Engineer will measure the area of square or rectangular truncated domes along the edge and radial truncated domes along the long cord multiplied by two.

S-47.5

BASIS OF PAYMENT

The contract unit prices for Truncated Domes shall be compensation in full for equipment, labor and materials required to complete the Work.

The Department will pay for Truncated Domes on the basis of the following schedule:

Item No.	Item	Unit
2531.618	Truncated Domes	square foot

S-48

(2573) EROSION CONTROL SUPERVISOR

Section 2573.5G is deleted and replaced by the following:

S-48.1

G Erosion Control Supervisor

Providing the Erosion Control Supervisor for this Contract shall be considered incidental work for which no direct payment will be made.

S-49

(2575) SITE RESTORATION (ADA)

S-49.1

DESCRIPTION

This Work consists of site grading and establishment of a perennial vegetative cover in accordance with MnDOT 1717, MnDOT 2574, MnDOT 2575 and the Plan. Site restoration includes the re-establishment of turf in all areas disturbed by Contractor operations and cleanup of eroded soil.

S-49.2

MATERIALS – See Standard Specifications for Construction

S-49.3

CONSTRUCTION REQUIREMENTS

Q

Site Grading

Grade disturbed areas flush with the top of walk, top of curb, driveways or utilities while maintaining positive drainage. Exclude areas where damage to tree roots may occur and protect trees from Contractor operations.

Stockpiled topsoil must be placed within the same area where it was stripped. Supplement the stockpiled topsoil with common topsoil borrow to provide a minimum depth of topsoil.

Grade cut section side slopes flush from the top of concrete surface at a maximum 1:6 slope up to 5 feet from the edge of walk or back of curb. With Engineer’s approval Concrete Curb Design V may be utilized along with the above stated grading techniques to reduce excessive ground slopes and better match adjacent surface terrain within the 5-foot grading area.

All sites shall be restored to as good or better condition than the pre-construction condition.

R

Turf Establishment

Seed disturbed areas in accordance with the Plans. Stabilize each site in accordance with MnDOT 1717. Seed bed preparation shall be performed in accordance with MnDOT 2574.

S-49.4

METHOD OF MEASUREMENT

The Engineer will measure each site that is disturbed as a result of the adjacent walk, trail and/or curb and gutter construction.

S-49.5

BASIS OF PAYMENT

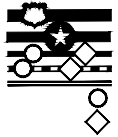
The contract unit price for Site Restoration shall be compensation in full for equipment, materials and labor required to complete the Work.

S Schedule

The Department will pay for Site Restoration on the basis of the following schedule:

Item No.	Item	Unit
2580.602	Site Restoration.....	each
2580.618	Site Restoration.....	square foot

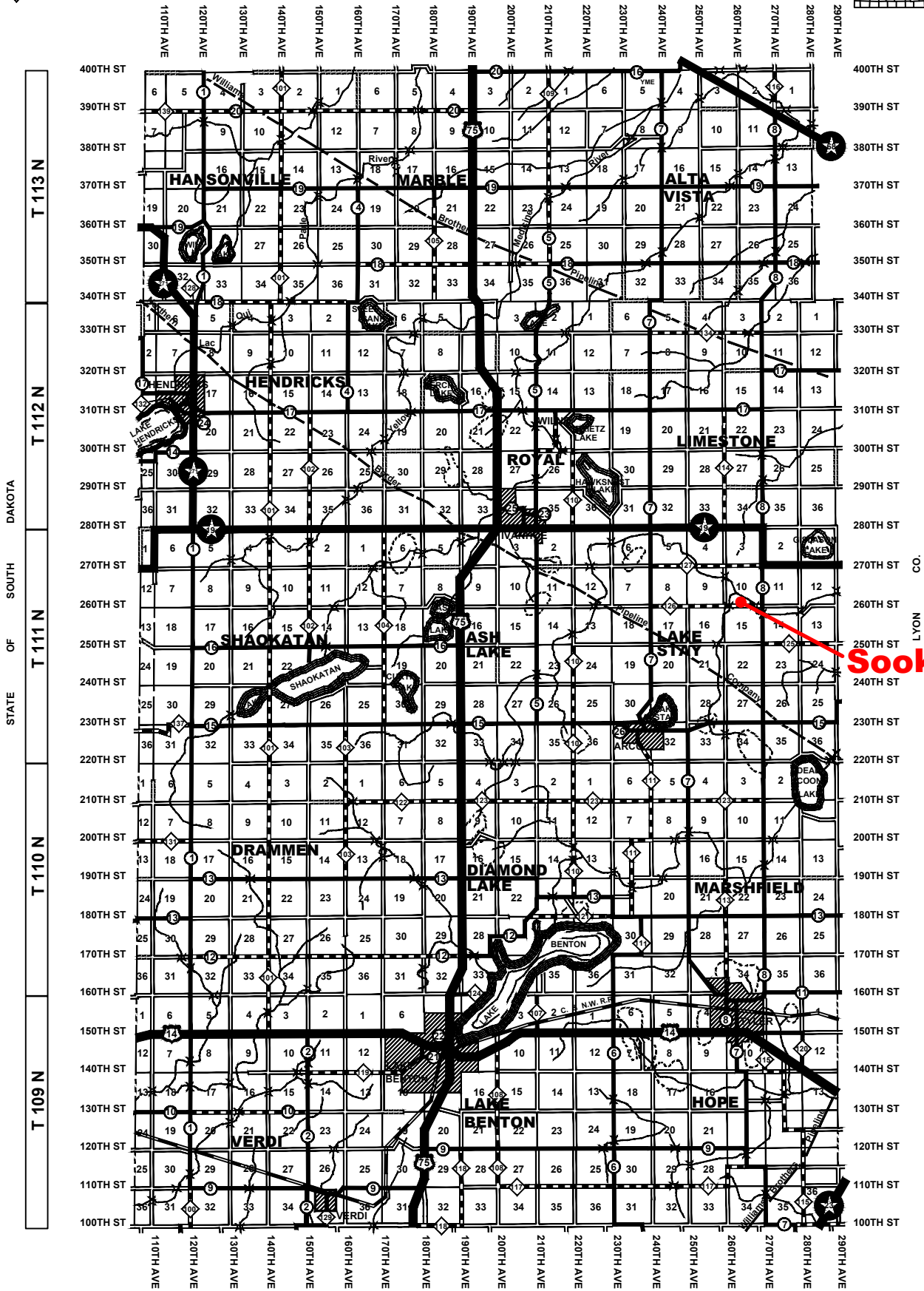
S-50 **FINAL CLEANUP**
All disturbed areas shall be worked to a reasonably smooth surface. All rocks and debris shall be disposed of in accordance with governing specifications. All final cleanup shall be completed within 10 working days.



U.S. HIGHWAYS
 STATE TRUNK HIGHWAYS
 STATE AID OR COUNTY - HARD SURFACED ROADS
 STATE AID OR COUNTY - GRAVEL SURFACED ROADS
 TOWNSHIP ROADS
 COUNTY STATE AID ROAD SYMBOL
 COUNTY ROAD SYMBOL

LINCOLN COUNTY MN PIT LOCATION MAP

YELLOW MEDICINE CO.



Sook Pit

R 47 W R 46 W R 45 W 78 R 44 W

PIPESTONE CO.

OCT 2019 - JMW



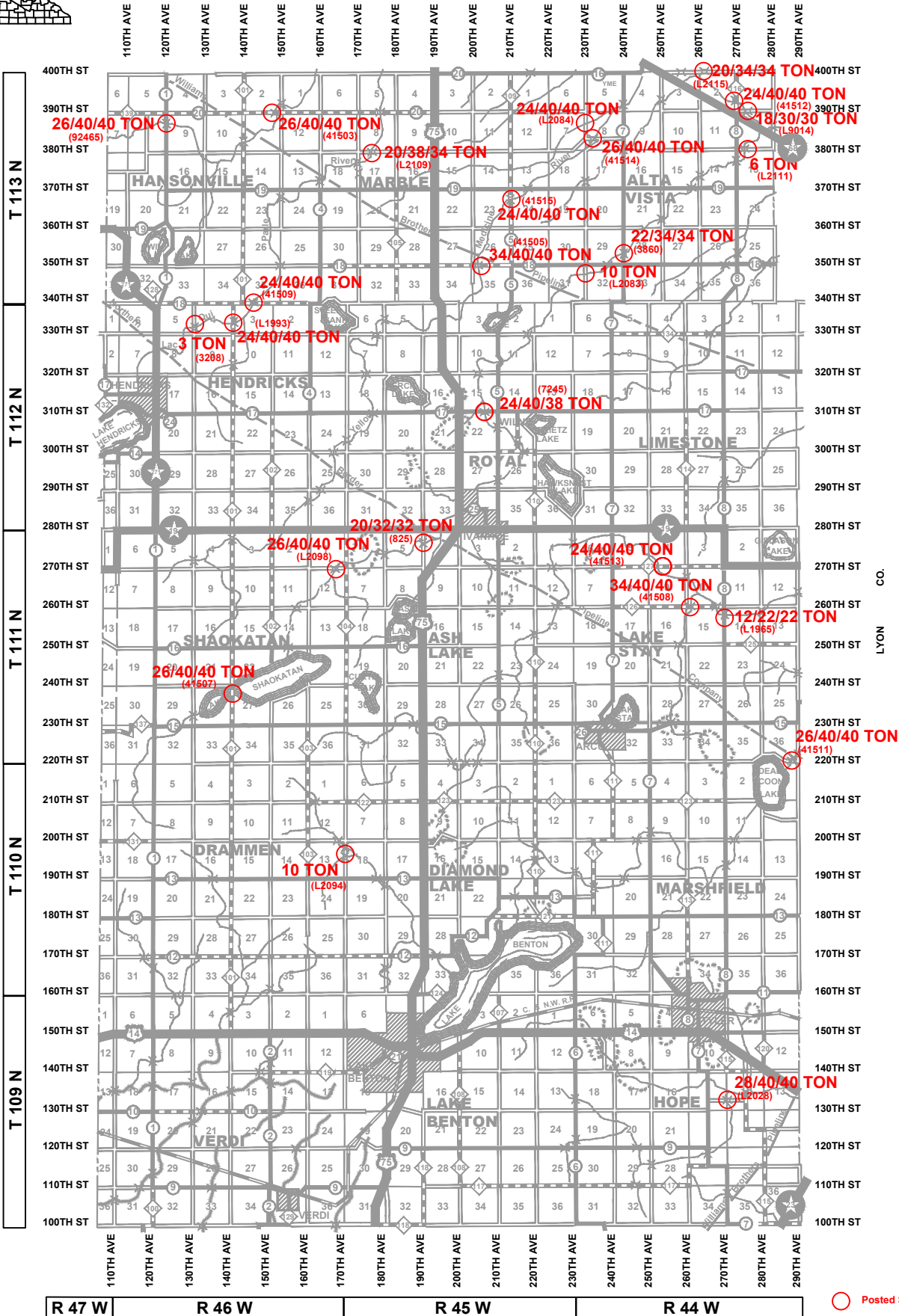
LINCOLN COUNTY MN

BRIDGES RESTRICTED FOR OVERWEIGHT LOADS



U.S. HIGHWAYS
 STATE TRUNK HIGHWAYS
 STATE AID OR COUNTY - HARD SURFACED ROADS
 STATE AID OR COUNTY - GRAVEL SURFACED ROADS
 TOWNSHIP ROADS
 COUNTY STATE AID ROAD SYMBOL
 COUNTY ROAD SYMBOL

YELLOW MEDICINE CO.



○ Posted Structures

STATE OF SOUTH DAKOTA

LYON CO.

PIPESTONE CO.

STIPULATION FOR FOREIGN IRON OR STEEL MATERIALS

The attached form is for use when the Contractor plans on using and/or supplying ANY foreign iron or steel materials on a Federal Aid Project. The Contractor is directed to the Proposal to determine if this Stipulation is required for a specific project.

S.P. _____

STIPULATION FOR FOREIGN IRON OR STEEL MATERIALS

In accordance with 1601 of these Special Provisions, the Contractor must submit a bid based on supplying material(s) that have been melted and manufactured in the United States, except where the cost of the iron and steel products incorporated in the work does not exceed one tenth of one percent of the total project cost, or \$2,500.00, whichever is greater. The Contractor **must** submit a stipulation for supplying **ANY** foreign iron or steel materials in accordance with the U.S. Code of Regulations 23CFR635.410 and the requirements of 1601.

The line entry must show the pay item number, a description of the foreign steel product, the estimated quantity, and the estimated invoice price.

Total Estimated Invoice Price = _____

Percent of Total Bid Price = _____

Contractor Name: _____

Vendor Number: _____

If Applicable: This form must be submitted to the Department by the Contractor before the bid opening, as indicated in the Special Provisions.

2022

SALT Schedule of Materials Control



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Introduction

This Schedule of Materials Control (SMC) outlines the **MINIMUM** testing requirements for State Aid Funded and/or Federal Aid Projects off the National Highway and Trunk Highway System. Optional to this SMC is the MnDOT Materials Control Schedule. Usage of either schedule must be defined in the project proposal.

The SMC - LGA serves as a guide for material testing with allowable acceptance "as directed by the Engineer" detailed in Specification 1501.1(1) - Authority of the Engineer. These testing rates are a minimum and additional test may be taken at the Engineer's discretion. A minimal testing rate does not always ensure a quality product; field observations and attention to detail is crucial. Materials not listed on an approved products list may be sampled and tested as directed by the Engineer. Materials listed on a Qualified Products list may be accepted or tested at the discretion of the Engineer.

Federal Aid projects require Independent Assurance Inspection. Contact the MnDOT District IA Inspector when the job starts to provide the proper servicing of your project.

*****Agencies using MnDOT Metro Inspection Services will be sampled at the current MnDOT Schedule of Materials Control rates and will be billed accordingly.**

*****Contact the MnDOT District IA Inspector to provide servicing for your federal aid project.**

Definitions

[Schedule of Materials Control](#)

Schedule of Materials Control (SMC) are inserted into project proposals to direct how materials are to be sampled and tested. The SMC is updated yearly. Each SMC is project specific. Therefore, one needs to refer to their specific proposal.

[Approved/ Qualified Products List](#)

Products are "approved" when they have been found to routinely meet all applicable standards and specifications. The product is placed on the list based upon established successful manufacturer's quality control and warranties, but the listing may expire or require periodic renewal to verify the product has not changed over time. The approval process for the individual product should specify any expiration requirement. Testing may still be on at the Engineers discretion.

[Certified Sources](#)

Certified Sources must comply with each individual product's defined "certification procedure". Acceptance of products from certified sources follows the same sampling and testing as "approved/ qualified" products.

Quality control (QC): The activities performed by the **Contractor/Producer** that have to do with making sure the quality of a product or process meets the relevant contract requirements. All testing shall be performed by a certified tester.

Quality assurance (QA): The activities performed by the **Department/Agency** that have to do with making sure the quality of a product or process meets the relevant contract requirements. All testing shall be performed by a certified tester.

Verification Testing: Sampling and testing performed by the Department/Agency to validate the quality of the product per Title 23-Highways, Code of Federal Regulation 637.203. **Part of QA.**

Material Acceptance Summary Instructions



SP/SAP(s)

Bid Item/ Spec No.	Item Description	Approved/ Qualified Product List (date checked)	Certificate of Compliance (date rec'd)	Accepted by Engineer* (date)
2105.604	Geotextile Fabric	5/26/18	5/26/18	6/6/18
2105.604	Soil Stabilized Geogrid	5/30/18	5/30/18	6/6/18
2357.506	Bituminous Material for Tack Coat	6/6/18	6/6/18	6/6/18
2573.503	Silt Fence, Type MS	5/14/18	5/14/18	6/6/18
2582.503	Epoxy Pavement Marking	7/30/18	7/30/18	7/31/18
3592	Drop-on Glass Beads	7/30/18	7/30/18	7/31/18
2574.508	Fertilizer Type 3	---	8/6/18	8/6/18
2575.508	Seed Mixture 22-111	8/6/18	8/6/18	8/6/18

Example Project

Date checked the Approved/Qualified product list. Print and file copy of approved list on acceptance date.

Date the certification was received. See specification 1603.3

Date accepted by the engineer.

* This item is hereby accepted by the Engineer as materially compliant for use on this project per the terms of specification 1501.1, subset (1).

Approved by Project Engineer: _____ Date: _____
Print Name: _____

Material Acceptance Summary

SP/SAP(s)

Bid Item/ Spec No.	Item Description	Approved/ Qualified Product List (date checked)	Certificate of Compliance (date rec'd)	Accepted by Engineer* (date)

* This item is hereby accepted by the Engineer as materially compliant for use on this project per the terms of specification 1501.1, subset (1).

Approved by Project Engineer: _____ Date: _____
 Print Name: _____ Phone: _____

For an electronic Word version of this form, please visit the State Aid Construction webpage at <http://www.dot.state.mn.us/stateaid/construction/materials-ac-summary.doc>.

Bituminous Quality Management

The Contractor shall provide and maintain a quality control program as detailed in Specification 2360.2.G. The Engineer shall review the quality control program for compliance.

	Type of Test	Spec Section (1)	Contractor / Producer - QC Testing Rates	Agency - QA Testing Rates	
Start-Up Testing Rates for the 1st 2000 tons (2)	Bulk Specific Gravity	2360.2.G.7.b	1 test per 500 tons 55 lb. sample 3 full cylinder molds (7)	(3) (10) 1 Verification Mixture Sample test per day, all Verification samples are from a split (QC/QA) sample.	
	Maximum Specific Gravity	2360.2.G.7.c			
	Air Voids (calculated)	2360.2.G.7.d			
	Asphalt Content	2360.2.G.7.a			
	Adj. Asphalt Film Thickness (AFT)	2360.2.E.7.e			
	Gradation	2360.2.G.7.f			
	Fines to Effective Asphalt Ratio (calculated)	2360.2.G.7.a/f	1 test per 1000 tons (4) (5) (6) (7)		
	Coarse Aggregate Angularity (CAA)	2360.2.G.7.g			
Production Testing Rates	Fine Aggregate Angularity (FAA)	2360.2.G.7.h	1 test per 1000 tons 55 lb. sample 3 full cylinder molds (7)	(3) (10) Verification Mixture Sample test per day/ mix type, submit companion to the QC - CAA & FAA test results.	
	Added AC/Total AC Ratio (calculated)	2360.2.G.7.a			
	Bulk Specific Gravity	2360.2.G.7.b			
	Maximum Specific Gravity	2360.2.G.7.c			
	Air Voids (calculated)	2360.2.G.7.d			
	Asphalt Content	2360.2.G.7.a			
	Adj. Asphalt Film Thickness (AFT)	2360.2.E.7.e			
	Gradation (minimum of 1 per day)	2360.2.G.7.f			
	Added AC/Total AC Ratio (calculated)	2360.2.G.7.a			
	Coarse Aggregate Angularity (CAA)	2360.2.G.7.g			(4) (5) (7)
	Fine Aggregate Angularity (FAA)	2360.2.G.7.h	(4) (6) (7)		
	TSR	2360.2.G.7.i	When directed by the Engineer		
	Aggregate Specific Gravity	2360.2.G.7.j	As directed by the Engineer		
	Mixture Moisture Content	2360.2.G.7.k			
Asphalt Binder (QA ONLY)	2360	(8) 1 qt. steel container for asphalt binder			
Asphalt Emulsion (QA ONLY)	2357	(9) ½ gal plastic container for asphalt emulsion. (Tack)			
Compaction / Density Requirements	2360.3.D	Review special provisions			
Small Quantity Requirements	< 500 tons per day may be accepted by the Engineer without testing.				

NOTES: Testing rates are minimum rates; additional testing is encouraged to ensure a quality product.

- (1)** Review Special Provisions & 2360.2.G Mixture Quality Management.
- (2)** The testing rates apply only to mixtures that have not been tested on previous projects in the current year.
- (3)** The Agency will witness a minimum of 1 (one) QC mixture sampling and splitting. The Agency will take possession of all QA-Verification split samples at the end of each day. The Agency will randomly submit one QA-Verification split to the District Lab for testing. Additional verification samples can be taken at any time or location. When additional verification samples are taken, the contractor must test the Verification companion split of this sample and include the results in the QC program.
- (4)** The Contractor will retain the extracted gradation samples in containers with field identification numbers for a period of 10 calendar days. The Engineer will identify which extracted gradation sample is the Verification Companion Sample and whether it is to be tested for coarse and fine aggregate angularity.
- (5) At start-up or new Mix Design:** 2 tests/ day for a minimum of 2 days, then 1/day if CAA is met. If CAA > 8% of requirement, 1 sample/ day but test 1/ week. No testing required for Class A and B Aggregates.

- (6) At start-up or new Mix Design:** 2 tests per day for a minimum of 2 days, then 1/day if FAA is met. If FAA > 5% of requirement, 1 sample/ day but test 1/week.
- (7)** Random number generation and determination of random sample location shall be consistent with Section 5 of ASTM D3665. The Engineer may approve alternate methods of random number generation.
- (8) During Asphalt Mixture Production (Field Verification):** Shall be from a certified supplier. Obtain asphalt binder samples from a sampling valve located between the pump and the drum. Contractor personnel will obtain samples, under the observation of a Department representative, by random selection from shipments of material at the project site. The samples shall be taken from the first load and subsequently 1 per 1000 tons of liquid asphalt binder for each supplier and grade of asphalt binder per contract. For contracts with less than approximately 25 tons (one truck transport) of asphalt binder, sampling may be waived. A minimum of 1 gallon of binder must be drawn and wasted from the sampling valve before the actual sample is drawn. Sample shall be sent in for verification testing.
- (9) During Mixture Production (Field Verification):** Shall be from a certified supplier. The Contractor will sample first shipment, then submit 1 per 50,000 gallons. Sample emulsified asphalt in clean ½ gallon plastic container with wide screw top and send to MnDOT Chemical Lab within 7 days of sampling. Sample all emulsified asphalt from the distributor. Sample shall be sent in for verification testing. No Samples required unless directed by the Engineer.
- (10)** Conduct random belt samples and test for aggregate quality as directed by the Engineer.

Bituminous Specialty Items

Type of Test	Spec	Contractor/Producer – QC Testing Rates	Agency- QA Testing Rates
Gradation	2363	1 per 1,000 Ton with a minimum 1 per day.	1 per day. 35 lbs.
PASSRC & PASB	3139.3		
Micro-Surfacing	2354 3139.5	Stockpile: 1/1,500 Tons (min 1/day) Machine Hopper: 1/500 Ton (min 1/day)	Machine Hopper: 1/day, 30 lbs.
Seal Coat, Underseal & Otta Seal	2356 3137.2B	Stockpile: 1/1,500 Tons (min 1/day) Chip Spreader Hopper: 1/day	1/day from Hopper. 30 lbs.
% Crushing - CAA	2363	1 per 1,000 Ton with a minimum 1 per day.	1 per day from gradation test. 35 lbs.
PASSRC & PASB	3139.3		
Moisture / Aggregate	2354	Machine Hopper: 1/500 Tons (min 3/day)	1/day 2lbs
Micro-Surfacing	3139.5		
Sand Equivalence	2354	1/day	Test at Engineer discretion, 25 lbs.
Micro-Surfacing			
Flakiness Index	2356	Sample taken from first load on first day, submit to Agency: 30 lbs.	Agency will test at their discretion, see Lab Manual 1223
Bituminous Seal Coat & Bituminous Underseal			
Bituminous Mixture	2353	1/500 Tons, min 1/day. %AC, Gradation, Max SpG, Adj.AFT	1/day, 20 lbs. 1 cylinder from truck box.
UTBWC	3151.2G		
PASSRC & PASB	3151 2363	Asphalt spot check: min 1/day	-
Stone Matrix Asphalt - SMA Lab Manual 1203, 1204, 1205, 1211, 1214, 1806, 1807, 1808, 1813, 1853, 1854, 1855, AI SP-2 AASHTO T305	2365	Tests , %AC, gradation, Gmm, Gmb, Voids, VMA, CAA, Draindown, VCA, fines/effective asphalt. Rate, (1/1000 tons, min.1/day) Agg SpG, mix moisture, TSR to be tested as directed by Engineer. Submit companion 1 per day to agency: 3 full 6" by 12" cylinders	Tests: %AC, Gradation, Gmm, Gmb, Voids, VMA, CAA, VCA, fines/effective asphalt. Agency is not required to do draindown. Copy MDR to Project Engineer and Grading & Base Engineer.
Asphalt Binder Tests		<u>Asphalt Emulsion List</u>	<u>Asphalt Binder List</u>
UTBWC	2353 3151	Asphalt Binder: Sample first load, then 1/250,000 gallons. Sample size of 1 quart metal container. Emulsified Asphalt: Sample first load, then 1/50,000 gallons. Sample size of 1/2 gallon wide screw top plastic container.	
Micro-Surfacing	2354		
Seal Coat, Underseal & Otta Seal	2356		
Tack Coat	2357		
PASSRC & PASB	3151		
Asphalt Binder Rate	2354	Verify Application Rate 3/day	Verify Application Rate 1/day
Micro-Surfacing			
Fog Seal	2355	Verify Application Rate 1/day	Verify Application Rate 1/day
Seal Coat, Underseal & Otta Seal	2356		
Bit Tack Coat	2357		

Specification 2215 - Cold Inplace Recycling (CIR), Stabilized Full Depth Reclamation (SFDR) and Cold Central Plant Recycling Bituminous (CCPR)

Test Type	Contractor/Producer QC Testing Rates	Agency QA Testing Rates	Grading & Base Manual/Form
Gradation SFDR (Simple) Pre-ground un-stabilized material	1 per mile - report sieves 2" & 3"	Run gradation at the discretion of the Engineer	.215 / 101 report sieve 2" & 3"
Gradation (Entire) (Material to be stabilized)	One per day, give split sample to the Engineer	Run gradation at the discretion of the Engineer	.215 / 101 report sieve 2", 1.5", 1.25", 1", 3/4", 3/8", #4, #10, #30.
Gradation (Simple) (Material to be stabilized)	1 per mile for SFDR & CIR. 1 per 2,000 ton for CCPR.	Run gradation at the discretion of the Engineer	.215 & .293 / 101 report sieve 2" & 1.5" for SFDR, 1.5" and 1.25" for CIR
CIR & SFDR Depth Check - Unstabilized and Stabilized	None	1 per day	.284 / 401
SFDR & CCPR Moisture – before injecting with bituminous.	1 per mile of anticipated daily production and after rain. 1 per mile for SFDR after mechanical drying.	Run moisture at the discretion of the Engineer	.245 Speedy tester not allowed.
Penetration Index (DCP) - SFDR only Unstabilized.	2 per mile	1 per mile	.255 / 205
Calibrate: mineral stabilizing agent application rate.	Once using design rate per vane feeder.	Observe contractor calibration	.286 or .287
Moisture: before injecting liquid bituminous material	1 per mile of daily anticipated SFDR & one after rain or mechanical drying out (disking, etc.).	none	.281 / 105
Yield: Mineral Stabilizing Agent and/or Liquid Bituminous Material	1 per transport load each type	1 per day each type	.286 & .287 / 402 & 403
Compaction: Nuclear density for SFDR stabilized and CIR	10 per lane mile, (see note below).	Observe the Contractor.	.282
Control Strip: SFDR Stabilized and CIR	Minimum of once per project	Observe the Contractor.	
Bituminous Material Samples		. 1 per 50,000 gallons; sample first load	1 quart each sample
Mineral Stabilizing Agent Samples	none	1 sample	none
Foaming asphalt checks expansion ratio & half life	1 per load	Observe the Contractor.	.285
Moisture (stabilized) - before placement of next layer during curing.	2 per day until moisture stabilizes & placement of HMA.	none	Grading & Base Manual

Note: The Engineer may require a Contractor to perform additional nuclear density tests in areas that the Engineer believes are failing density requirements.

Grading and Base Construction Items (1 of 3)

		Material Type	Spec.	Contractor / Producer QC Testing Rates	Minimum Required Agency QA Testing Rates	Verification Testing Sample
Gradation Testing (2) (3)	Aggregate Surfacing	3138	1 / 1,000 CY (CV) stockpile gradation only required for material on hand.	> 250 yd ³ (CV) or 500 Tons and < 2000 yd ³ (CV) or 4000 tons. Material is a minimum of one lot (5) . Test two random samples from each lot and average. > 2000 yd ³ (CV) or 4000 Tons. Divide into lots with lot size (5) no greater than 2000 yd ³ (CV) or 4000 Tons. Test two random samples from each lot and average.	1/source 30 lb.	
	Aggregate Base	3138				
	Shoulder Base Aggregate	3138				
	Drainable Aggregate Base (OGAB & DSB)	3136				
	Granular and Select Granular Material (borrow/embankment)	3149.2B	1/10,000 CY (CV) only required for material on hand.	1/40,000 yd ³ (CV)	1/source 30 lb.	
	Stabilizing Aggregate	3149.2C				
	Reclamation FDR	3135.2B	None	Test at Engineer's discretion. Inspect for oversize chunks (+3"), after the motor grader has overturned the material	None	
	Granular Filter	3601.2B	1/source - before delivery on the project. Only required for materials on hand. Spec 1906.2	1/ source	1/source 30 lb.	
	Backfill Materials	3149.2D				
	Granular Bedding	3149.2F				
	Aggregate Bedding	3149.2G				
	Coarse Filter Agg.	3149.2H				
	Filter Aggregate	3149.2J				
	Sand Cover	3149.2K				
Proctor	Non-Granular Material Used to determine optimum moisture & maximum density.		None	1 per major soil, subgrade prep specified density requires 100% of proctor density.	1 sample 25 lb.	
Sand Cone, Nuclear Density or LWD	Specified Density * (6)	Non-Granular Material For non-granular material, i.e., material that does not meet 3149.2B.1	2106 3149	<p>AGENCY TESTING: Roadway Embankment: One test per 4,000 yd³ (CV) <u>or if test rolled, One test per 10,000 yd³ (CV)</u></p> <p>Transverse culverts & abutments: 1 test per every 2 feet of fill.</p> <p>Structures and Longitudinal Trenches Including Sidewalk and Trails, ie water-main, storm sewer, sanitary sewer and retaining walls: 1 test per 500 feet of each structure length per every 2 feet of fill.</p> <p>Subgrade Preparation: One per 25 road stations.</p>		

Grading and Base Construction Items (2 of 3)

Material Type	Spec.	Contractor / Producer QC Testing Rates	Minimum Required Agency QA Testing Rates	Verification Testing Sample	
Penetration Index Method (DCP) or LWD * (6)	Aggregate Base	3138	None	None	
	Shoulder Base Aggregate	2211.3C			
	Reclamation FDR	3135.2B 2215.2C			
	Walks & Trails	2521	1 per 500 feet of Sidewalk or Trail		
	Granular Materials Subgrade Preparation (for materials meeting 3149.2B1)	3149.2B	AGENCY TESTING: Roadway Embankment: One test per 2,000 yd ³ (CV) <u>or if test rolled, One test per 6,000 yd³ (CV)</u> Transverse culverts & abutments: 1 test per every 2 feet of fill. Structures and Longitudinal Trenches: One test per 500 feet of each structure per 2 feet per fill. Sidewalks and Trails: 1 per 500 feet. Subgrade Preparation: One per 25 road stations.		
Moisture Content Test During All Compaction Methods (4) (6)	Aggregate Base, Shoulder, Surfacing & Walks	3138	None	None	
	Drainable Aggregate Base (OGAB & DSB)				
	Reclamation FDR	3135.2B	None		1 / 20,000 yd ³
	All Embankment Materials	2106 3149	None		1/10,000 yd ³ up to 10 Maximum For Quality Compaction: Test as directed by Engineer.
	Subgrade Preparation	2106 3149			1 per 25 road stations For Quality Compaction: Test as directed by Engineer.
Percent Crushing	Particle Count (1)	1906.2	1 required for Material on hand	1/source unless directed by Engineer, (required for 3138.2B & C, 3149.2C & G1, 3136.2B).	
Quality	Aggregate Quality Tests	3138 3149 3601	1 required for material on hand, Spec 1906.2	1/ source unless directed by Engineer 1 / source 30lb	
Depth Check	Reclamation FDR	3135.2B	1/Mile.	1 per day unless directed by Engineer	

	Material Type	Spec.	Contractor / Producer QC Testing Rates	Minimum Required Agency QA Testing Rates	Verification Testing Sample
Test Rolling	Test Rolling (as directed in the special provisions)	2111	As directed by the Engineer the contractor will perform test rolling at the top of all <ul style="list-style-type: none"> • Subgrade • Base layers (2211) • Non-Stabilized FDR (2215) • Granular layers not meeting the requirements of 3149.2B2 (2105 & 2106) • Minimum 12' width and 300' length. Agency to observe test rolling. 		

Verification Testing Samples are companion split samples to the QA sample:

- Companion gradation, proctor, QA crushing, aggregate quality samples not required 1,000 tons or less.
- Include the laboratory companion with the first field sample.
- Include the field sample results with the laboratory sample.
- Laboratories with AMRL Accreditation are not required to submit laboratory companion samples.
- Carbonate aggregate materials require 50 lb. samples for the laboratory testing.

NOTES:

(1) Percent crushing test is not required when the material is crushed from a quarry or contains 25% or greater recycled materials.

(2) Submit a laboratory companion to the first Acceptance Gradation sample for a bituminous extraction, see 3138.2C. Full Depth Reclamation samples are not required.

(3) The Certification of Aggregates and Granular Materials procedure and documentation of testing locations is at the discretion of the Engineer.

(4) For quality compaction per spec 2105.3F2, test at Engineer's discretion.

(5) Lot sizes may be adjusted by the Engineer. This may be good practice if parts of the project are taking place in separate areas or at separate times, such as many turn lane or excavation areas or separate project stages.

(6) Testing rates for the use of 2105 shall be the same as 2106.

* Review the Special Provisions. The Grading and Base Manual allows the nuclear density gauge, see pages 60 and 65.

NOTES:

Conversions: 1 ton = 0.55 yd³ (CV), 1 ton = 0.7 yd³ (LV), 1 yd³ (CV) = 1.8 tons.

Contact the MnDOT District IA Inspector to provide servicing of your Federal Aid Project.

Less than 500 tons (250 CY) may be accepted by the Engineer without testing.

Grading and Base Construction Items (3 of 3)

Guidelines for Required Crushing & Aggregate Quality Tests

	3149 Granular Materials	3138 Aggregate for Surface and Base	3136 Drainable Bases
Crushing	Yes, for Stabilizing Aggregate, Fine Aggregate Bedding and Medium Filter Aggregate. Test waived if material contains recycled at twice the minimum crushing requirement. Not required for quarried sources.	Yes , for Class 5, 5Q & 6. Test waived if material contains recycled at twice the minimum crushing requirement. Not required for quarried sources. Class 2 must contain 100% crushed quarry rock.	Yes . Not required for quarried sources.
Bitumen Content	At the discretion of the Engineer	At the discretion of the Engineer	Not applicable
LAR	Not applicable	Yes , if source is carbonate quarry and does not contain bitumen.	Yes
Insoluble Residue	Yes , if source is carbonate quarry and does not contain bitumen.	Yes , if source is carbonate quarry and does not contain bitumen.	Yes , if source is carbonate quarry.
Litho Exam & Shale Float Test	Yes , for Medium Filter Aggregate	Yes , for Class 3, 4, 5, 5Q & 6, when not from quarried rock, and does not contain bitumen.	Yes , when not from a quarried source.

Testing procedures in the [Grading & Base Manual](#).

Forms and worksheets at the [Grading & Base website](#).

Gradation worksheets at the [SALT Construction website](#).

****MAKE SURE TO FILL OUT THE REQUIRED PRELIMINARY AND FINAL GRADING AND BASE REPORTS AND SUBMIT TO PROJECT ENGINEER.****

http://www.dot.state.mn.us/materials/gradingandbasedocs/Forms/form001_08_043019.xlsx

Certified Ready-Mix Concrete (1 of 3)

The Prime Contractor is responsible to assure that all ready-mix concrete used is produced by an annually Certified Ready-Mix plant as detailed in Specification 2461.3F.

Material Spec.	Test Type (Concrete Manual)	Contractor / Producer QC Testing Rates				Form		
bridge 2406.2 2411.2 2461.2 2461.3 general 2301** 2452.2 2461.2 2461.3 2506.2 2511.2 2514.2 2520.2 2521.2 2531.2 2533.2 2545.2 2554.2 2557.2 2564.2 2565.2	Concrete Plant Production Testing Rates *	Gradation (5-694.145) (5-694.148) 3126, 3131, 3137	For all JMF's & Bridge Deck Mix Designs Daily Concrete Quantity: 1 per fraction per source per day between 20 – 400 yd³ . If over 400 yd ³ per day, take a second gradation after the DAILY total exceeds 400 yd ³ . Bridge Deck Concrete must have passing gradations prior to mixing.				Concrete Agg. Work sheet, Agg. Grad. Control Charts, R-M Plant QC workbook. R-M Plant QA Workbook	
			For all other mix designs, Weekly Concrete Quantity: 1 per fraction per source per week between 20 – 400 yd³ . If over 400 yd ³ produced per week, take a second gradation after the WEEKLY total exceeds 400yd ³ .					
			Department Plant Monitor Testing Rates: Verification only Verification Sample: When weekly concrete quantity is ≥ 20 yd ³ : 1 per fraction per source per week, split and tested by both Agency and Contractor					
		Moisture Content (5-694.142)	QC rates:	1 every 4 hours When Daily Concrete Quantity ≥ 20 yd ³	QA rates:	None		
		Test Type	Agency QA Testing Rates (1)					
		Aggregate Quality (5-694.146)	Minimum of 1 per each fraction - use of MnDOT test results for the same 30-day time period is acceptable. <u>For all bridge deck concrete poured during the month:</u> Test monthly quality to 3137.2D2 for each coarse aggregate fraction. Designate 3137.2D2 on the sample card. Gradation results will be included with the monthly quality tests.					
		Coarse Aggregate (% Passing 200) (5-694.146)						
		Minimum Aggregate Sample Size All Aggregate Gradation and Quality samples require companions, double sample size						2410 Sample ID Card
		Aggregate Size	Gradation	Quality	Moisture	% -200 Course.Agg.		
		3/4" Plus, #4	30 lb.	50 lb.	2000 g	5000 g		
		3/4" Minus, #67	10 lb.	30 lb.	2000 g	2500 g		
		#7, CA-70	6 lb.	20 lb.	2000 g	2500 g		
		CIA to meet #67	6 lb.	20 lb.	500 g	500 g		
		CIA to meet JMF, FIA, CS, FS	500 g	20 lb.	500 g	500 g		
		CA-80, #89	1.1 lb. (500 g)	20 lb.	500 g	500 g		
Fine Aggregate	1.1 lb. (500 g)	20 lb.	500 g	-				

Certified Ready-Mix Concrete (2 of 3)

Spec.	Test Type	Agency QA Testing Rates (1)	Form	
bridge 2406.2 2411.2 2461.2 2461.3	<u>Sampling Locations for Air, Slump (when required), Temperature and Cylinder Testing</u> First load each day per mix - Take sample after discharging approximately 1/4 yd3, stop further discharge until both slump and air content test are completed. The first load of concrete <u>must have passing air content and slump prior to placement.</u> Cast strength specimens from the same load as the air content and slump test. Test whenever adjustments are made to the mix. Take all tests at the point of placement. Subsequent tests - Sample from the middle portion of the load.			
	Air Content - Type 3 Concrete (5-694.541)	1 test per 100 yd3. Test first load each day per mix. Test when adjustments are made to the mix.		
	Slump (5-694.531)	Test first load each day per mix, then as necessary to verify passing slump. For Bridge Concrete: 1 test per 100 yd3. No testing required for slip form placement.		
	Air and Concrete Temperature (5-694.550)	Record temperature each time air content, slump or compressive strength specimen is performed/fabricated.		
general 2301** 2452.2 2461.2 2461.3 2506.2 2511.2 2514.2 2520.2 2521.2 2531.2 2533.2 2545.2 2554.2 2557.2 2564.2 2565.2	Concrete Field-Testing Rates	<u>General Concrete Grades F, G, M, P, and R:</u> 1 set of 3 cylinders per 300 yd3 per mix per day.	2409 Concrete Cylinder ID Card	
		Compressive Strength (5-694.511) Standard cylinder size is 4 x 8, use 6 x 12 with aggregate greater than 1 1/4". Review 2461.3G.5 Test Methods and Specimens.		<u>Bridge Concrete Grades B, S, and Y:</u> 1 set of 3 cylinders per 100 yd3, then 1 set of 3 cylinders per 300 yd3 per mix per day
		Agency will break 1 set of 3 cylinders at 28 days. Agency will cast up to 3 control cylinders, any additional control cylinders are the responsibility of the Contractor.		
		Cellular Concrete: 1 set of 4 cylinders (28 days) per day, fill in 2 equal lifts, <u>do not rod</u> , lightly tap the sides, cover and move to area with no vibration. Do not disturb for 24 hours.		

NOTES:

(1) Review the requirements of 2461.3F Certified Ready-Mix Concrete, 2461.3G Concrete Placement and 5-694.010 Inspector’s Checklist in the Concrete Manual.

***Small Quantity Requirements** are for less than 20 yd3 per day, Plant Monitoring is not required but **Concrete Field Testing is required.**

****Concrete Pavement:** Use Certified Ready-Mix Concrete testing rates when: a) The entire concrete paving project is less than 3,500 cu. yd. b) When a secondary plant is used to provide minor work.

Certified Ready-Mix Concrete (3 of 3)

The Prime Contractor is responsible to assure that all ready-mix concrete used is produced by an annually Certified Ready-Mix plant as detailed in Specification 2461.3F.

Guidelines

- The testing rates shown in this Schedule of Materials Control are minimums. Take as many tests as necessary to ensure quality concrete. Should circumstances arise on a project which makes the testing rate impractical, contact the Concrete Engineering Unit.
- All samples shall be taken in a random manner using an appropriate number generator.
- The first load of concrete for any pour must have passing air content and slump results, prior to placing.
- If batching or field adjustments are made, test the adjusted load for air content and if suspect, slump, before it gets into the work. The Engineer will determine if additional testing is required after each water adjustment made during slip form placement. Continue to test for air content and slump, if suspect, when test results are inconsistent or marginal.
- If any field test fails, reject the concrete or if the Producer makes adjustments to the load to meet requirements, record the adjustments on the Certificate of Compliance. Retest the air content of the load, slump if required, and record the adjusted test results. Test the next load for air content and slump, if required, before it gets into the work.
- Material not meeting requirements shall not knowingly be placed in the work. If failing concrete inadvertently gets placed in the work, review either the MnDOT Standard Specifications for Construction or contact the Concrete Engineering Unit for monetary deduction recommendations.

Best practices

- It is recommended that the Agency Plant Monitor be present during critical pours, such as superstructure or paving concrete (i.e., 3A21, S mixes, JMF mixes).
- It is recommended that the Agency representative continually monitor the progress of all concrete pours in the field and review Certificate of Compliances. It is not a recommended practice to only perform minimum testing requirements and leave the pour.
- It is recommended to make standard strength cylinders after the first load of concrete unless that is the only load of concrete for that mix that day.
- The Agency is responsible for verification sampling. For safety and consistency in sampling and splitting of the sample, it is recommended that the agency and the producer/contractor obtain the verification sample in tandem. This will allow the producer/contractor to witness the sampling process and take possession of the verification companion.

Concrete Plant and Field Materials

All materials must come from certified or qualified sources. All certified sources must state so on the delivery invoices. The most current list of certified/approved sources can be found at MnDOT Material website. Materials listed on the Approved/Certified Products List are not required to be sampled but need to be listed on the Material Acceptance Summary detailed in the SALT SMC. Samples can be submitted as directed by the Engineer.

	Material	Spec. No.	Agency QA Field Sampling Rate	Form No.
Concrete Plant Batching Materials	Portland Cement	3101	Shall be a Certified Supplier - For certified ready-mix and concrete paving sample rates: 1 sample when the plant is certified. Take additional samples if the plant changes sources or as the contract requires. The producer obtains a 5 lb. sample and stores the sample in a sealed container provided by the Agency and includes the supplier's delivery invoice from which the sample is obtained.	24300 ID Card Cement Samples
	Slag	3102		
	Blended Cement	3103		
	Fly Ash	3115		24308 Fly Ash
	Admixtures (Acceleration, Retarding, Water-Reducing, Air-Entraining, etc.)	3113	For all concrete: 1 sample of Air Entrainment and Type A Water Reducer in a 1/2-pint plastic container provided by the Agency when the plant is certified. Take additional samples if the plant changes sources or as the contract requires. The Producer should agitate the admixture tank prior to obtaining samples from dispensing tubes and store the samples in sealed plastic containers provided by the Agency.	2410 Sample ID Card
	Water	3906	1 Non-Potable Water sample in a 1-gallon clean glass or plastic container from a questionable source. Clarified Water: 1 per month during Department production	
Concrete Field Materials	Preformed Joint Filler	3702	Visual Inspection	2410 Sample ID Card
	Preformed Elastomeric Type	3721	1 per lot. Only materials from a qualified source. Link to Approved Products List.	
	Silicone Joint Sealer	3722		
	Hot Poured Elastomeric Type	3723 3725		
	Burlap	3751	Visual Inspection	
	Colored Concrete Membrane Curing Compound	3752	Visual Inspection - Use only from qualified source.	
	Membrane Curing Compound	3753 3754 3755	Visual Inspection - Use only pre-approved curing compounds.	
	Plastic	3756	Visual Inspection - Must be white opaque and free from holes.	
	Refer to the "Metals" schedule for sampling requirements for concrete reinforcement.			

Concrete Pavement – Agency (1 of 2)

Test Type (concrete manual)	Spec.	Concrete Paving Batch Plant Agency QA Testing	Certified Ready-Mix Plant Agency QA Testing	Form
Gradation (1) (5-694.145) (5-694.148)	3126 3131 3137	Daily Concrete Quantity ≥ 500 Agency QA Testing Rates: Verification only Verification Sample: -, *1 per fraction per source per day, split and tested by both Agency and Contractor	Daily Concrete Quantity ≥ 100 yd ³ Agency QA Testing Rates: Verification only Verification Sample: -, *1 per fraction per source per week, split and tested by both Agency and Contractor	JMF Concrete Aggregate Workbook
Aggregate Moisture - QC Verification (2) (5-694.142)	2301	If w/c incentives apply: 1 per 1000 yd ³ or every 4 hours, whichever is greater. Take initial sample within the first 250 yd ³ .	If w/c incentives apply: 1 per 200 yd ³ or every 4 hours, whichever is greater. Take initial sample within the first 100 yd ³ .	Concrete W/C Ratio Work sheet
Water Content, Microwave Oven Verification (3) (5-694.532)	2301	Take initial sample within the first 250 yd ³ . At least one additional verification test should be taken if more than 1000 yd ³ is produced in a day.	Take initial sample within the first 100 yd ³ . At least one additional verification test should be taken if more than 400 yd ³ is produced in a day.	
Coarse Aggregate, -200 sieve (5-694.146)	3131 3137	Test Verification sample on the first day of production and each time the Contractor mobilizes the plant, changes the aggregate sources, or the cleanliness of the coarse aggregate is in question, then 1 per week randomly thereafter. -200 test may be performed at the lab instead at the plant at the discretion of the Engineer.		JMF Concrete Aggregate Workbook
Coarse and Fine Aggregate Quality (4)	3126 3131 3137	During concrete production: 1 randomly selected test each fraction every 20,000 yd ³ of production. Split the Quality sample 4 ways: 1) Provide 2 quarters of the sample to the producer/contractor. 2) Submit the remaining sample to the lab for quality testing including testing the -200 sieve on the coarse aggregate.		2410 Sample ID Card
Alkali Silica Reactivity (ASR) Testing	2301	1 per paving project per sand source. Provide one 5 lb. sample of: cement, supplementary cementitious material (fly ash or slag), and sand. Write "Project Specific ASR Testing" on all 3 sample cards. ASR Testing is not required if the entire project is less than 3,500 cubic yards.		2410 24300 24308
Coarse Aggregate Quality Testing of Incentive / Disincentive	3137	If coarse aggregate quality incentives apply: Test the Class B aggregates for % absorption and Class C aggregates for % carbonate including any other test necessary to make those determinations. Sample the 2 largest fractions in accordance with the following table and 2301:		Coarse Agg Quality Incentive / Disincentive Work sheet 2410 Sample ID Card
		Coarse Aggregate Quality Incentive/Disincentive Sampling Rates		
		Plan Concrete Cubic Yards	Samples per fraction	
		3,500 - 7,500	3	
		7,501 - 10,000	5	
		10,001 - 25,000	10	
25,001 - 50,000	15			
50,001 +	20			

*Use Certified Ready-Mix Concrete testing rates when: a) The entire concrete paving project is less than 3,500 cu. yd. b) When a secondary plant is used to provide minor work.

Concrete Pavement – Agency (2 of 2)

Test Type	Spec.	Concrete Field Testing - Agency QA Testing	Form
Air Content before consolidation	Review Concrete Manual Website	1 correlation air test per day	
Concrete Temperature		Record temperature each time air content, slump or strength test specimen is performed/fabricated by the Agency.	
Flexural Strength		Supply beam boxes or cylinder molds. Cure and test beams and cylinders MnDOT standard beam box size is 6" x 6" x 20" unless others are approved by the Concrete Engineer.	2162 Test Beam Data
Opening to Traffic Strength		Supply beam boxes or cylinder molds for field control testing. Cure and test beams and cylinders.	
Concrete Pavement Texture		Determine texture testing locations using random numbers. Observe Contractor Testing when possible.	Probing, Coring, Texture and MIT-Scan T2 Report
Thickness		Determine probing and coring locations using random numbers. Initial pavement at core locations and re-initial the sides of specimens after coring to clearly verify their authenticity. Field measure cores to the nearest 1/8". Transport to the MnDOT Office of Materials and Road Research for final thickness determination	
Surface Smoothness/ Dowel and Tie Bar Steel Location		Observe Contractor Testing when possible	

NOTES:

(1) All gradation samples shall be taken in the presence of the Agency, unless otherwise authorized by the Engineer. All samples shall be taken off the belt leading to the weigh hopper unless otherwise approved by the Engineer. **All gradations and quality tests require companion samples.** If Coarse Aggregate Quality Incentive / Disincentives apply: The Agency may also use the QA samples for incentive / disincentive testing. Notify the Contractor/Producer to double the QC/QA sample size. If well-graded aggregate incentives apply: Use the Contractor's gradation results for well-graded aggregate incentive calculations as verified by Agency testing. Use the Well-graded Concrete Agg. Worksheet.

(2) If w/c incentives apply: Use aggregate moisture results for determining the water content to calculate the w/c incentive/disincentive. Use the Concrete W/C Ratio Calculation Worksheet and do not leave sample unattended. Microwave oven verification testing to verify the w/c ratio is completed in conjunction with Agency aggregate moisture testing. Do not leave samples unattended.

(3) If w/c incentives apply: Microwave oven verification testing to verify the w/c ratio is completed in conjunction with Agency aggregate moisture testing. Do not leave samples unattended.

(4) Prior to concrete production: Obtain pre-production samples for quality testing at least 16 hours prior to concrete production. Samples may be taken from the stockpile and -200 test may be performed at the lab instead at the plant at the discretion of the Engineer. If the entire project is <3,500 yd³, pre-production sampling is not required.

Minimum Aggregate Sample Size				
*companion required, double sample				
Aggregate Size	Gradation*	Quality*	Moisture	% -200 C.Agg
3/4" Plus, #4	30 lb.	50 lb.	2000 g	5000 g
3/4" Minus, #67	10 lb.	30 lb.	2000 g	2500 g
#7, CA-70	6 lb.	20 lb.	2000 g	2500 g
CIA to meet #67	6 lb.	20 lb.	500 g	500 g
CIA to meet JMF	500 g	20 lb.	500 g	500 g
FIA, CS, FS	500 g	20 lb.	500 g	-
CA-80, #89	500 g	20 lb.	500 g	500 g
Fine Aggregate	500 g	20 lb.	500 g	-

Concrete Pavement – Producer/Contractor (1 of 2)

Test Type (concrete manual)	Spec.	Concrete Paving Batch Plant Contractor/Producer QC Testing	Certified Ready-Mix Plant Contractor/Producer QC Testing
Gradation (1) (5-694.145) (5-694.148)	3126 3131 3137	When > 250 yd ³ produced/ day: 1 per 2500 yd ³ per fraction per source. Take initial samples for aggregate gradation testing within the first 500 yd ³ . Test the verification companion sample on the day the sample was taken.	When 20-400yd ³ produced/ day: 1 per fraction per source. If over 400 yd ³ per day, take a second gradation after the total exceeds 400 yd ³ . Test the verification companion sample on the day the sample was taken.
Coarse Aggregate -200 sieve (5-694.146)	3131 3137	Test the verification companion sample. Test these samples at the plant.	
Aggregate Moisture QC Verification (2) (5-694.142)	2301	If w/c incentives do not apply: 1 per 1000 yd ³ , or 1 completed every 4 hours, whichever is the higher sampling rate.	If w/c incentives do not apply: 1 completed every 4 hours.
Water Content, Microwave Oven Verification	Review Concrete Manual 2301	If w/c incentives apply: Obtain the plastic concrete sample at the plant. See Concrete Manual (5-694.532)	
Unit Weight QC		Test one load of concrete per day at the plant. See Concrete Manual (5-694.542)	
Air Content QC (5-694.541)		Test the first load of concrete at the plant	
Coarse Aggregate Quality	3126 3131 3137	Test at Producer/Contractor Discretion	
Unit Weight		Test 1 load of concrete per day at the plant.	
Air Content for Type 3 Concrete (QC)		Test the first load of concrete at the plant.	
Coarse Aggregate Quality Testing for Incentive / Disincentive	3137	Test at the Contractor's discretion.	

* Use Certified Ready-Mix Concrete testing rates when: a) The entire concrete paving project is less than 3,500 cu. yd. b) When a secondary plant is used to provide minor work.

Concrete Pavement – Producer/Contractor (2 of 2)

NOTES:

(1) Performing testing on representative material at the end of the most recent day of production is allowed. If well-graded aggregate incentives apply: Use the Contractor's gradation results for well-graded aggregate incentive calculations as verified by Agency testing. Washing the fine aggregate gradation (QC) sample is not required when the result on the #200 sieve of the unwashed sample is less than 1.0%. Wash all fine aggregate Verification Companion samples.

(2) Complete the initial moisture content and adjust the batch water prior to the start of concrete production each day. If weather conditions allow, performing moisture testing on representative material at the end of production the prior evening is allowed. Enter results into the batching system in real time.

Test Type	Spec.	Concrete Field Testing - Contractor QC Testing
Air Content before consolidation for Type 3 concrete	Review Concrete Manual Website	1 per 300 yd ³ or 1 per hour, whichever is less. Test first load each day per mix.
Slump		Test slump if concrete is suspected to be outside of required slump range as directed by the Engineer.
Concrete Temperature		Record temperature each time air content, slump or strength test specimen is performed/fabricated by the Contractor.
Flexural Strength		For information only: 1 beam (28-day) per week per mix. 1 cylinder (28-day) per week per mix may be substituted at the discretion of the Engineer. Provide moist curing environments, fabricate beams or cylinders, deliver to curing site, and clean beam boxes
Opening to Traffic		For opening to traffic: Make field control beams within the last hour of concrete poured each day. Substitute field control cylinders for field control beams at the discretion of the Engineer. Maturity testing is allowed in lieu of field control cylinders or beams. Fabricate beams or cylinders, deliver to curing site, and clean beam boxes.
Concrete Pavement Texture		Perform texture testing at locations determined by the Engineer in accordance with the Contract
Thickness		Probe, scan and core at locations determined by the Engineer in accordance with the Contract
Surface Smoothness		Measure smoothness of the final concrete as required by the Contract. Perform all profiling in the presence of the Engineer unless otherwise approved by the Engineer.
Dowel Bar and Tie Bar Steel Location		For Concrete projects greater than 3500 yd ³ . On the first day and each day of slip form pavement: (1) Verify the adequacy of the dowel bar anchoring by scanning seven random doweled contraction joints in each subplot. (2) Verify the presence and alignment of tie bar steel by scanning 75 lin. Ft. in each subplot. If the Engineer determines the first day's dowel bar anchoring and tie bar placement processes are acceptable, the Engineer may allow a reduction in scanned joints in each subplot as follows: (1) Verify the adequacy of the dowel bar anchoring by scanning four random doweled contraction joints per subplot. (2) Verify the presence and alignment of tie bar steel by scanning 25 lin. ft. out of every subplot.

Concrete Wearing Course for Bridges

Test Type (concrete manual)	Spec.	Contractor/Producer QC Testing	Agency QA Testing	Form
Gradation, Quality, Coarse Agg -200 QC/Verification (5-694.145) (5-694.146) (5-694.148)	3126 3137	<p>Prior to production: The Contractor shall provide the Agency with: Aggregate pit numbers, 1 passing gradation result per fraction per source. Test Agency companion samples are Contractor's discretion.</p> <p>No quality tests are required.</p>	<p>Prior to production and each time aggregate is delivered to site: 1 gradation and quality per fraction prior to concrete production and each time aggregate is delivered to the site.</p> <p>Identify quality samples with a "Q" on the Sample ID Card and the Quality companion sample.</p>	2410 Sample ID Card
Air Content - Type 3 Concrete (Verification) (5-694.541)	2431	None	1 per 15 yd ³ , Test at beginning of pour each day.	Weekly Report of Low Slump Concrete
Slump (Verification) (5-694.531)		None	1 per 15 yd ³ Test at beginning of pour each day. For concrete from a concrete mobil, allow mix to hydrate 5 minutes before slump test to assure all cement is saturated.	
Compressive Strength (5-694.511)		None	1 cylinder (28 day) per 30 yd ³ , standard cylinder mold size is 4 x 8 inch.	
Cement	3101	None	Each time cement is delivered to site. Obtain a 5 lb. sample. Store sample in a sealed container and include the supplier's delivery invoice from which the sample is obtained.	2430 Sample ID Card
Admixtures	3113	None	Each time new lot/batch admixture is delivered to site: Obtain a ½ pint sample. Store the sample in a sealed plastic container.	2410 Sample ID Card
Test	Minimum Sample Size All gradation and aggregate quality tests require companion samples, double sample size. Samples taken at location identified on Contact Report located at plant.			
Gradation	6 lb. for # 7, 500 g for CA-80		500 g for Sand	
Quality	30 lb. for Coarse Aggregate		20 lb. Fine Aggregate	

Concrete Pavement Repair – CPR for 3U18

Test Type	Spec.	Contractor/Producer QC Testing	Agency QA Testing For volumetric batching only.	Forms
Gradation, Quality, Coarse Agg -200	3126 3137	<p>Prior to production: The Contractor shall provide the Agency with: Aggregate pit numbers, 1 passing gradation result per fraction per source.</p> <p>No quality test results are required. Test companion samples at Contractor's discretion.</p>	<p>Gradation: Prior to concrete production and each time aggregate is delivered to the site. 1 per aggregate fraction prior to production and each time aggregate is delivered to the site.</p> <p>Quality Testing & Coarse Agg -200: 1 test per aggregate fraction per source. The Agency may use the gradation results for the Quality Samples as a substitute for 1 required field gradation. Identify quality samples with a "Q" on the Sample ID Card and the Quality companion sample.</p>	2410 Sample ID Card
Air Content - Type 3 Concrete (Verification)	Review Concrete Manual Website	None	1 per 15 yd ³ or 1 per 4 hours whichever results in the highest sampling rate. Test at beginning of pour each day.	21412 Weekly Report of Low Slump Concrete
Slump (Verification)		None	1 per 15 yd ³ , Test at beginning of pour each day. Allow mix to hydrate 5 minutes before slump test to assure all cement is saturated. Test slump if concrete is suspected to be outside of required slump range.	
Compressive Strength		None	1 set of 3 cylinders (28 day) per 30 yd ³ . The Agency will cast up to three (3) field control cylinders, standard cylinder mold size is 4 x 8 inch.	
Type 1 Cement	3101	None	For Volumetric batching only: Each time cement is delivered to site. Obtain a 5 lb. sample. Store sample in a sealed container and include the supplier's delivery invoice from which the sample is obtained.	2430 Sample ID Card
Admixtures	3113	None	Each time new lot/batch admixture is delivered to site: Obtain a ½ pint sample. Store the sample in a sealed plastic container.	2430 Sample ID Card
Test	Minimum Sample Size All gradation and aggregate quality tests require companion samples, double sample size. Samples taken at location identified on Contact Report located at plant.			
Gradation	6 lb. for # 7, 500 g for CA-80		500 g for Sand	
Quality	30 lb. for Coarse Aggregate		20 lb. Fine Aggregate	

Dowel Bar Retrofit – (DBR)

Test Type	Spec.	Contractor/Producer QC Testing	Agency QA Testing	Form
Gradation Testing (Verification), Quality Testing including, Coarse Agg -200	3137	<p>Prior to production: The Contractor shall provide the Agency with: Aggregate pit numbers, 1 passing gradation result per fraction per source.</p> <p>No quality test results are required. Test companion samples are Contractor's discretion.</p>	<p>Gradation: Prior to concrete production and each time aggregate is delivered to the site. 1 per aggregate fraction prior to production and each time aggregate is delivered to the site.</p> <p>Quality Testing & Coarse Agg -200: 1 test per aggregate fraction per source. The Agency may use the gradation results for the Quality Samples as a substitute for 1 required field gradation. Identify quality samples with a "Q" on the Sample ID Card and the Quality companion sample.</p>	2410 Sample ID Card
Test Type	Spec.	Agency QA Testing		Form
DBR Material Compressive Strength	Review Concrete Manual	<p>Contractor Testing: Any additional field control cylinders are the responsibility of the Contractor.</p> <hr/> <p>Agency Testing: 1 set of 3 cylinders (28 day) The Agency will cast up to three (3) field control cylinders, standard cylinder mold size is 4 x 8 inch.</p>		2409 Cylinder ID Card
Test	Minimum Sample Size			
	All gradation and quality tests require companion samples, double sample size. Samples taken at location identified on Contact Report locates at plant.			
Gradation	500 g for # 89 & Sand			
Quality	30 lb. Coarse Aggregate		20 lb. Fine Aggregate	

Landscaping and Erosion Control Items

Kind of Material	Spec. #	Minimum Required Agency QA Acceptance Testing (Field Testing Rate)
Manufactured Topsoil Borrow, Salvaged Topsoil (stockpiled)	3877.2	As directed by the Engineer
Plant Stock & Landscape Materials	3861 and 2571.2A1	Materials must be in accordance with the Inspection and Contract Administration Guidelines for MnDOT Landscape Projects of which determines the minimum and maximum criteria thresholds. Certificate of Compliance, Nursery stock certificate registered with MN Dept. of Agriculture. Out of state products subject to pest quarantines must be accompanied by documentation certifying all products are free of regulated pests.
Erosion Control Blanket	3885	Visual Inspection and Check approved products or approved vendors list - As directed by the Engineer.
Erosion Control Netting	3885	
Silt Fence	3886	
Erosion Stabilization Mat	3885	
Flotation Silt Curtain	3887	Accepted, based on manufacturers certification of compliance. Check weight of fabric.
Filter Logs	3897	Visual Inspection
Flocculants	3898	Obtain copy of Certificate of Compliance and MSDS
Fertilizer	3881	Obtain copy of invoice of blended material stating analysis.
Agricultural Lime	3879	Contractor must supply amount of ENP (Equivalent Neutralizing Power) for each shipment.
Mulch - Type 3	3882	Certified Weed Free (Certified sources only) Check for Certified Vendor tag from Minnesota Crop Improvement Association (MCIA).
Mulch - Type 6 - Woodchips		All wood chips supplied by a supplier outside the Emerald Ash Borer quarantine area or have an Emerald Ash Borer Compliance Agreement with the MDA
Seeds	3876	(Certified Vendors Only) (Mixes 100-299) Check for Certified Vendor tag from Minnesota Crop Improvement Association (MCIA).
Native Seed		(Mixes 300-399) certified seed only. Check for Certified Vendor tag from Minnesota Crop Improvement Association (MCIA).
Sod	3878	Visual Inspection - Check approved products list - As directed by the Engineer. Check for Certified Vendor tag from Minnesota Crop Improvement Association (MCIA) for salt tolerant sod.
Compost (from Certified Source)	3890	
Compost (from Non-Certified Source)		
Hydraulic Soil Stabilizer	3884	Check Approved/Qualified Products List - As directed by the Engineer.

Chemical Items

Kind of Material	Spec. No.	Minimum Required Agency QA Acceptance Testing (Field Testing Rate)
Asphalt Plank	3204	Visual Inspection - As directed by the Engineer.
Calcium Chloride	3911	Review the percentage required as per specification. Check for listing on Qualified Products website.
Magnesium Chloride	3912	
Hot-Pour Crack Sealant (for Crack Sealing/Filling)	3719 3723 3725	Retain Certification of Compliance. Check for listing on Qualified Products website.
Pavement Joint Adhesive	Special Provisions	Retain Certification of Compliance
Waterproofing Materials		
Membrane Waterproofing System	3757	Visual Inspection - Check qualified products list.
Waterproofing Materials - Three Ply System		
Asphalt Primer	3165	Verify supplied material meets ASTM D 41
Waterproofing Asphalt	3166	Verify supplied material meets ASTM D 449
Fabric	3201	Verify supplied material meets ASTM D 41
Paints		
Waterborne Latex - Traffic Paint	3591	Visual Inspection - Check qualified products list - retain Certificate of Compliance.
Epoxy Traffic Paint	3590	
Traffic Marking Paint	Special Provisions	
Non-Traffic Striping Paints	3500 Series	Retain Certification of Compliance
Bridge Structural Steel Paint	3520	Visual Inspection - Check approved products list - retain Certificate of Compliance.
Exterior Masonry Paint	3584	
Noise Wall Stain	Special Provisions	
Drop-on Glass Beads	3592	Visual Inspection - Check qualified products list. Retain Certificate of Compliance.
Pavement Marking Tape	3354 3355 Special Provisions	Visual Inspection - Check qualified products list. Retain Certificate of Compliance.
Signs and Markers	3352	Visual Inspection - Check qualified products list.

Metals (1 of 2)

Kind of Material	Spec. No.	Minimum Required Agency QA Acceptance Testing (Field Testing Rate) *
Guard Rail		
Fittings - Splicers, Bolts, Posts etc.	3381	Visual Inspection - Materials shall be approved before use. Call MnDOT inspector at 218-846-3613 to see if material has been approved.
Structural Plate Beam	3382	
Non-High Tension Guard Rail Cable	3381	
High Tension Guard Rail Cable	Special Provisions	
Steel Posts		
Steel Signposts	3401	Visual Inspection - As directed by the Engineer. Retain Certificate of Compliance in Project file.
Fence Posts, Brace Bars, Rails and others	3403	Visual Inspection - As directed by the Engineer. Retain Certificate of Compliance and certified mill analysis in project file.
	3406	
	3379	
Fence		
Barbed Wire	3376	Visual Inspection Retain Certification of Compliance, As directed by the Engineer.
Woven Wire		
Chain Link Fabric		
Components: cup, cap, nut, bolt, end clamp, tension band, truss rod tightener, hog ring, tie wire, tension stretcher bar, truss rod, clamp & tension wire		
Gates	3379	
Pipe		
Water Pipe and other Piping Materials	3364, 3365, 3366 & Special Provisions	Visual Inspection - As directed by the Engineer.
Reinforcing Steel - Inspected by MnDOT & will be charged back to the Local Agency.		
Uncoated Bars	3301	Retain Certificate of Compliance & Certified Mill Analysis
Epoxy Coated Bars	3301	For Epoxy-Coated bars, steel will be tagged "Inspected" when it has been sampled and tested by Mn/DOT prior to shipment, & it will be tagged "Sampled" when testing has not been completed prior to shipment. If the Epoxy-Coated bars are not tagged "Sampled" or "Inspected", submit samples (1 bar 3ft long for each size for each day's coating production), Certificate of Compliance, & Certified Mill Analysis for testing. Maintain original Cert. of Compliance & Certified Mill Analysis in project file.
Spirals	3305	
Stainless Steel Bars	Special Provisions	Visual Inspection Testing as directed by the Engineer (2 bars 3 ft. long per heat per bar size). Certified Mill Test Reports to be filed.

Metals (2 of 2)

Kind of Material	Spec. No.	Minimum Required Agency QA Acceptance Testing (Field Testing Rate) *	
Reinforcing Steel - Inspected by MnDOT & will be charged back to the Local Agency.			
Steel Fabric	3303	2 sq. ft. if epoxy coated.	Visual Inspection - Retain Certificate of Compliance.
Dowel Bars	3302	One dowel bar and basket from each shipment.	
Prestress/Post Tension Strands	3348 Spec Prov	One sample of 2 strands by 6 ft. from each heat/production lot.	
Castings			
Drainage Castings	3321 2471	Visual Inspection - Check approved / qualified list.	
Electrical	2565		
Anchor Rods (Cast in Place) and Structural Fasteners	3385 3391	Visual Inspection - Check approved / qualified list. Testing as directed by the Engineer (see notes below)	
<p>Notes: Manufacturer must have one yearly passing test from the Department for each anchor rod or bolt type. Prior to installation, obtain copy of MnDOT passing test report from supplier. Specs 3385.2 A, B, & C require anchor rod markings per ASTM F 1554 S3. The end of each anchor bolt intended to project from the concrete must be die stamped with the grade identification as follows: Grade 36 = AB36, Grade 55 = AB55, Grade 105 = AB105.</p>			
Anchorages (Drilled In)	Special Provisions	Visual Inspection - Check qualified products list.	
Structural Steel	Inspected by MnDOT & will be charged back to the Local Agency.		
Steel Bridge - Beams, Girders, Diaphragms, etc.	2471	Structural Metals Inspection Tag and field inspection for damage/defects, check dimensions for contract compliance. Review approved products list as directed by the Engineer. Note: Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag. An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office website .	
Concrete Girders- Diaphragms and sole plates			
Expansion Joints			
Steel Bearings			
Railing-Structural tube and ornamental			
Drainage Systems			
Protection Angles			
Overhead Sign structures	2564 2471		
High Mast Lighting Structures	2545 2471		
Monotube Signal Structures	2565 2471		

*Check domestic steel requirement under 1601 Special Provision.

Geosynthetics, Pipe, Tile, Precast/ Prestressed Concrete

Kind of Material	Spec. No.	Minimum Required Agency QA Acceptance Testing (Field Testing Rate)
Corrugated Metal Products		
Culvert Pipe Under drains Erosion control Structures	3225 thru 3229, 3351, 3399	Make certain pipe is Certified on Invoice, retain certificate of compliance and certified mill analysis in project file.
Structural Plate	3231	
Aluminum Structural Plate	3233	Retain the Certificate of Compliance and mill analysis in project file.
Pipe		
Clay Pipe	3251	Visual Inspection
Reinforced Concrete Pipe and Arches, Precast Cattle Pass Units, Sectional Manhole Units	3236	Field Inspection: Check for damage and defects. Check dimensions and class as required.
Non-Reinforced Concrete Pipe	3253	
Drain Tile (Clay or Concrete)	3276	Visual Inspection - Acceptance as directed by the Engineer.
Thermoplastic (TP) Pipe ABS and PVC	3245	Obtain Certificate of compliance. Check for approved marking printed on pipe. Field Inspect for damage or defects.
Corrugated Polyethylene Pipe	3278	Check for markings (AASHTO M 252) Certificate of Compliance. Field Inspect for damage or defects.
Corrugated Polyethylene Pipe - Dual Wall 12"-48"	3247	Visual Inspection - Check approved products list. Obtain Certificate of Compliance.
Precast/Prestressed Concrete Structures - Inspected by MnDOT & will be charged back to the Local Agency.		
Reinforced Precast Box Culvert	3238	Field Inspection: Check for damage and defects. Check dimensions as required. Check for the "MnDOT" stamp and signature on the certification document.
Precast/Prestressed Concrete Structure (beams, posts, etc.)	2405	
Manholes and Catch Basins	2506 3622	
Sewer Joint Sealing Compound	3724	Visual Inspection - Acceptance as directed by the Engineer.
Preformed Plastic Sealer for Pipe	3726 Type b	Visual Inspection - Acceptance as directed by the Engineer.
Bituminous Mastic Joint Sealer for Pipe	3728	
EPS Geofoam	Special Provisions	Visual Inspection - Acceptance as directed by the Engineer. Check for yellow aged material, uniformity and dimensions.
Geotextile Fabric and Geogrid Reinforcement	3733 and Special Provisions	Obtain Certificate of Compliance stating minimum average roll values (MARV). MARV must meet Project requirements. Fabric must be listed on Geotextile Small Quantity Acceptance List .
Geotextile Small Quantity Acceptance List		
Silt Fence	3886	Visual Inspection - Check approved products list.

Electrical and Signal Equipment Items (1 of 2)

Kind of Material	Spec. No.	Minimum Required Agency QA Acceptance Testing (Field Testing Rate)
Lighting Standards (Aluminum or Steel)	3811	Visual Inspection - Obtain Certificate of Compliance. The Fabricator will submit "Certificate of Compliance," on a per project basis, to the Project Engineer.
Hand Holes (Precast, PVC, and LLDPE)	2545	Visual Inspection - Check approved/qualified products list. Traffic signal and street lighting projects require hand holes to be listed on the MnDOT Signals Approved Products List (APL). For cast iron frame and cover: see Metals - Drainage and Electrical Castings
	2550	
	2565	
Foundation	2545	Slump as needed, 1 cylinder per 25 cu. yds. Rebar is required in concrete foundations as specified in the Contract documents for all traffic control signals and roadway lighting projects.
Steel Screw In Foundations	2545 2565	See Approved/Qualified Products List for Roadway Lighting and Signals.
Conduit and Fittings		
Metallic	3801	Visual Inspection - Conduit shall be labeled as being listed by a National Recognized Testing Laboratory (NRTL). For traffic signal and street lighting projects, specific requirements are contained in the Special Provisions for each project.
	3802	
Non-Metallic (Rigid and HDPE)	3803	
	Special Provisions	
Anchor Rods and Bolts (Cast in Place)	3385	
Anchorages (Drilled In)	Special Provision	Visual Inspection - Check qualified products list.
Miscellaneous Hardware	2545 2565	Visual Inspection - Check approved products list. Will carry "Inspected" tag if sampled and tested prior to shipment. No sample necessary if "Inspected". Do not use if not tested. Field sample at sampling rate for laboratory testing. For traffic signal and street light lighting projects, various miscellaneous hardware is required to be listed on the MnDOT Signals and Lighting Approved Products Lists (APL). The Contract documents indicate, which items must be on the Signals and/or Lighting APL.

Electrical and Signal Equipment Items (2 of 2)

Kind of Material	Spec. No.	Minimum Required Agency QA Acceptance Testing (Field Testing Rate)
Cable and Conductors		
Power Conductors	3815.2B1	Visual Inspection - Make certain the conductors are the type specified. Submit Field Inspection report showing type and quantities used. Shall be labeled as being listed by a National Recognized Testing Laboratory (NRTL) and type where applicable.
Loop Detector Conductors (No Tubing)	3815.2B2 (a)	
Electrical Cables and Single Conductors with Jacket	3815.2B2(b) 3815.2B3	Visual Inspection - Usually inspected at the distributor. Documentation showing project number, reel number(s), & MnDOT test number(s) will be included with each project shipment. If such documentation is not received from Contractor, submit sample for testing along with material certification from manufacturer. Do not use if not tested. Pre-inspected materials will not be tagged; an inspection report will be sent by the MnDOT inspector for each shipment. Project inspectors should verify that the shipping documents agree with this inspection report. Call Steve Grover at 651-366-5540 or Cindy Schellack at 651-366-5543 with questions. For traffic signal and street lighting projects, the Special Provisions for each project contain electrical cable and conductor specifications.
	3815.2B5	
	3815.2C1 thru .2C8	
	3815.2C14	
Fiber Optic Cables	3815.2C13	Visual Inspection - Check approved products list for Traffic Management Systems.
Ground Rods	2545	Visual Inspection - Check approved products list. Shall be labeled as being listed by a National Recognized Testing Laboratory (NRTL). Detail materials on Materials Acceptance Summary.
	2565	
Luminaires and Lamps	3810	Visual Inspection - Check approved products list. Traffic signal and street lighting projects require luminaires and lamps to be listed on the MnDOT Lighting Approved/Qualified Products List (APL). The conductors shall be labeled as being listed by a National Recognized Testing Laboratory (NRTL) and type, where applicable.
Electrical Systems	2565	Electrical Systems are to be reported as a "System" using the LIGHTING, SIGNAL AND TRAFFIC RECORDER INSPECTION REPORT. To be certified by the Project Engineer.
Traffic Signal Systems	2565	Traffic Signal Systems are to be reported as a "System" using the LIGHTING, SIGNAL AND TRAFFIC RECORDER INSPECTION REPORT. To be certified by the Project Engineer.

Brick, Stone and Masonry Units

Kind of Material	Spec. No.	Minimum Required Agency QA Acceptance Testing (Field Testing Rate)
Brick		
Sewer (clay) and Building	3612 to 3615	Visual Inspection - Acceptance as directed by the Engineer.
Sewer (Concrete)	3616	Visual Inspection - Acceptance as directed by the Engineer. Air entrainment required. Obtain air content statement from supplier.
Concrete Masonry Units		
Sewer Construction	3621	Visual Inspection - Acceptance as directed by the Engineer. Air entrainment required. Obtain air content statement from supplier.
Modular Block Retaining Walls	Review Current Special Provisions	Visual Inspection - Note: All lots of block upon delivery shall have Manufacturer or Independent laboratory test results to verify passing both compression and freeze-thaw requirements. * Wall units and cap units are considered separate block types.
Reinforced Concrete Cribbing	3661	Visual Inspection - Acceptance as directed by the Engineer. Will be stamped when inspected prior to shipment.
Stone for Masonry or Rip-Rap	2511, 3601 and Special Provisions	Visual Inspection - Acceptance as directed by the Engineer.

Remarks: each source shall be approved by Project Engineer or supervisor for quality, prior to use. For questions on quality, contact District Materials or Geology Unit.

Miscellaneous Materials

Kind of Material	Spec. No.	Minimum Required Agency QA Acceptance Testing (Field Testing Rate)
Timber, Lumber Piling & Posts	3412 to 3471 & 3491	Visual Inspection - Acceptance as directed by the Engineer. Untreated materials shall be inspected in the field. Treated materials shall be Certified on the Invoice or Shipping Ticket. Material is inspected and stamped by an Independent Agency as per Specification 3491. Contact Laboratory for additional information.
Miscellaneous pieces and Hardware (Galvanized)	3392 3394	Visual Inspection - Acceptance as directed by the Engineer.
Insulation Board	3760	
Elastomeric Bearing Pads - Plain or Laminated	3741 and Special Provisions	Check dimensions. Check repair of tested pad. Obtain copy of Certificate of Compliance. DO NOT USE ANY PADS THAT ARE NOT CERTIFIED.
Cotton Duck Bearing Pads		

Approved/Qualified Products & Resources

Approved/Qualified Products

- [Asphalt Products](#)
- [Bridge Products](#)
- [Concrete Products](#)
- [Crack and Joint Material Products](#)
- [Drainage](#)
- [Erosion Control and Landscaping Products](#)
- [Geosynthetic](#)
- [Maintenance Shop Supplies](#)
- [Paint/Stain/Coating Systems \(Non-Pavement\)](#)
- [Pavement Markings](#)
- [Precast Concrete](#)
- [Roadside Barriers](#)
- [Roadway Lighting Products](#)
- [Signals Products](#)
- [Signing Products](#)
- [Snow and Ice Chemical Products](#)
- [Temporary Traffic Control Devices](#)
- [Traffic Management Systems/ITS](#)
- [Truncated Domes](#)
- [Vehicle Safety Lighting](#)
- [Walls \(Retaining/Noise\)](#)

Additional Resources

- [SALT Construction webpage](#)
- [Bituminous Engineering](#)
 - [Asphalt Binder Certified Supplier](#)
 - [Asphalt Emulsion Certified Supplier](#)
- [Concrete Engineering](#)
 - [MnDOT Concrete Manual](#)
 - [QC & QA RM Plant Workbooks](#)
 - [MnDOT Certified Ready-Mix Program](#)
- [Grading & Base Engineering](#)
 - Testing procedures in the [Grading & Base Manual](#)
 - Forms and worksheets at the [Grading & Base website](#)
 - Gradation worksheets on the [SALT Construction website](#)

Contacts

MnDOT Construction and Materials State Aid Contacts

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Deb Evans	Bituminous Engineer Specialist	651-366-5574
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*See website for the contact list by topic

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Brad Swenson brad.swenson@state.mn.us	Concrete Engineering Specialist	218-232-1012
Gordy Bruhn gordon.bruhn@state.mn.us	Concrete Field Eng. Specialist	651-366-5523

*See website for the contact list by topic

Contacts for other materials can be found on the [Materials and Road Research Contacts webpage](#).

Contacts for Approved Products can be found at the [Approved/Qualified Products Contact webpage](#).

Materials Lab. Contacts	Independent Assurance
<p>District 1, Duluth</p> <p>Leila DeLuca, Wyatt Driskell, Cody Desmond Phone: 218-725-2738 D1.duluth.lab.dot@state.mn.us</p>	<p>Nadine Miller Phone: 218-725-2737 Cell: 218-348-6297 nadine.miller@state.mn.us</p>
<p>District 2, Bemidji</p> <p>Jason Kissel Phone: 218-755-6542 Jason.kissel@state.mn.us Fax: 218-755-6540</p>	<p>Ray Wesley Cell: 218-766-6949 raymond.wesley@state.mn.us</p>
<p>District 3A, Baxter</p> <p>Tom Boser Phone: 218-828-5755 tom.boser@state.mn.us Fax: 218-828-5816</p>	<p>Matt Miles Phone: 218-828-5759 Cell: 218-232-6748 Matt.miles@state.mn.us</p>
<p>District 3B, Saint Cloud</p> <p>Teresa Mertens Phone: 320-223-6555 Cell: 320-241-6290 teresa.mertens@state.mn.us Fax: 320-223-6582</p>	
<p>District 4, Detroit Lakes</p> <p>Bruce Bryngelson Phone: 218-846-3614 bruce.bryngelson@state.mn.us</p> <p>Wayne Koons Phone: 218-846-3617 wayne.koons@state.mn.us Fax: 218-846-0744</p>	<p>Casey Clarke Phone 218-846-7693</p> <p>Cell: 218-849-7393</p> <p>casey.clarke@state.mn.us</p>
<p>Metro District, Maplewood Lab</p> <p>Mike Evans Phone 651-366-5409 michael.evans@state.mn.us</p> <p>Brent Scolley</p>	<p>Waters Edge Phone: 651-234-7356</p> <p>Steve Reinardy Phone: 651-755-1581 Steve.reinardy@state.mn.us</p> <p>West Mike Amiot</p>

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<p>Phone 651-366-5410 brent.scolley@state.mn.us Mike Skurdalsvold Phone 651-366-5424 michael.skurddalsvold@state.mn.us Fax: 651-366-5408</p>	<p>Phone: 651-755-1042 mike.amiot@state.mn.us Greg Bohmert Phone: 651-755-1005 greg.bohmert@state.mn.us Kaleb Kollmann Phone: 651-478-0339 kaleb.kollmann@state.mn.us</p>
<p>District 6, Rochester Scott Swanson Phone: 507-286-7580 scott.swanson@state.mn.us Jeff Bale (Aggregates) Phone: 507-286-7586 jeff.bale@state.mn.us Joe Drees (Bituminous) Phone: 507-286-7582 Joe.drees@state.mn.us Fax: 507-285-7112</p>	<p style="text-align: center;">Dennis Hayes</p> <p>Cell: 507-251-0138 dennis.hayes@state.mn.us</p>
<p>District 7, Mankato Lee McLaughlin Phone: 507-304-6186 mark.schoeb@state.mn.us Phone: 507-304-6189 Fax: 507-304-6191</p>	<p>Mitch Jordahl Cell:507-380-9619 Mitch.jordahl@state.mn.us</p>
<p>District 8A, Willmar Jon Vlaminck Phone: 320-214-6348 Fax: 320-214-6306</p> <p>District 8B, Marshall Phone: 507-537-2068 Fax: 507-537-3802</p>	<p>Paul Janke</p> <p>Cell: 320-212-5739 Jon.vlaminck@state.mn.us</p>

Sample Sizes

Lbs.

Bituminous	35	Aggregate for Gradation QC/QA
	80	for each plus #4 Aggregate Type for Quality Testing
	35	for each minus #4 Aggregate Type for Quality Testing
	80	for each RAP material for Quality Testing
	10	RAS (shingles) for Processed Gradation and Quality Testing
	65	for Mix Properties (QC/QA) 3 full 6" by 12"-cylinder molds for QA
	90	for TSR (QC/QA) 4 full 6" by 12"-cylinder molds for QA
	90	for Aggregate Specific Gravity QC/QA
	-	1 quart of Asphalt Binder QA
	-	1/2 gallon for Asphalt Emulsion QA
Grading & Base	30	Aggregate for Gradation (Companion sample from 60 lb. split).
	25	Moisture Density Test – Proctor (Companion from 50 lb. split).
	30	Aggregate Quality/Percent Crushing Test - 1 per source
Ready-Mix Concrete	25	Gradation 3/4" plus
	10	Gradation 3/4" minus
	6	Gradation CA 70 & #7
	1	Gradation - Sand (500 g), CA 80, #89.
	4.4	Moisture Test Coarse Aggregate (2000 g)
	1.1	Moisture Test Fine Aggregate (500 g)
	50	Quality 3/4" plus - lab sample
	30	Quality 3/4" minus - lab sample
	30	Fine Aggregate - lab sample
	10	3/4" Plus for the -200 Coarse Aggregate Test (5000 grams)
	6	3/4" Minus for the -200 Coarse Aggregate Test (2500 grams)
	5	Cement, Blended Cement, Fly Ash
	-	1/2-pint plastic container for admixtures.

Equal Employment Opportunity (EEO) State and Federal Laws, Policies and Rules

Minnesota Affirmative Action Requirements

Minn. Stat. § 363A.36, Minn. R. 5000.3520 - .3530

General

- A. The Contractor agrees that Minn. Stat. § 363A.36 and its accompanying rules are incorporated into any Contract executed with the Minnesota Department of Transportation (MnDOT) based on these specifications or any modification thereof. Upon request, MnDOT will provide the Contractor with a copy of Minn. Stat. § 363A.36 and its accompanying rules.
- B. MnDOT intends to execute its responsibility to require affirmative action by the Contractor. This includes providing the Minnesota Department of Human Rights (MDHR) with information indicating that the Contractor is not in compliance with Minn. Stat. § 363A.36 and its accompanying rules.

Contractor Responsibilities

- A. The Contractor must take affirmative action to employ and advance in employment qualified minorities and women at all levels of employment, including the executive level. This applies to all employment practices, including, but not limited to, the following:
 1. Hiring, upgrading, demotion, or transfer
 2. Recruitment, or recruitment advertising
 3. Layoff, or termination
 4. Rates of pay, or other forms of compensation; and selection for training, including apprenticeship
- B. The Contractor must demonstrate that specific and significant actions to recruit, hire, and retain minorities and/or women are being taken if the applicable workforce participation goals will not be met.
- C. The Contractor must comply with the affirmative action requirements of Minn. Stat. § 363A.36 and its accompanying rules, as well as any subsequent rules and relevant orders issued by MDHR pursuant to this same law.

Notice

1. The Contractor must post notices in a form stipulated by the Commissioner of MDHR in conspicuous places. These notices must outline the following:
 1. The rights of employees and applicants
 2. The legal obligation to take affirmative action to employ and advance in employment employees and applicants who are minorities and women. The notices can be found here:
<http://www.dot.state.mn.us/const/labor/posterboards.html>

Noncompliance

- A. The Contractor's failure to implement or make a good faith effort to implement an affirmative action plan approved under Minn. Stat. § 363A.36 and its accompanying rules may result in the suspension or revocation of its certificate of compliance. Should either of these consequences occur, MnDOT may abridge or terminate the Contract awarded.
- B. The Contractor's failure to take specific and significant actions to recruit, hire, and retain minorities and/or women if the workforce participation goals will not be met may result in the suspension or revocation of its certificate of

compliance. Should either of these consequences occur, MnDOT may abridge or terminate the Contract awarded.



VIOLENCE-FREE AND RESPECTFUL WORKPLACE

(INCLUDES GENERAL HARASSMENT, RETALIATION, AND WEAPONS)

POLICY HR014, EFFECTIVE 2015-07-17

POLICY STATEMENT

The Minnesota Department of Transportation (MnDOT) is committed to providing a safe and respectful workplace free from inappropriate behaviors for all employees. MnDOT employees, contractors and vendors (third parties) conducting business with MnDOT must:

- Understand the [Workplace Violence Continuum](#) and the behaviors that constitute a violation of this policy;
- Report any persons who violate this policy;
- Take appropriate action in situations that involve policy violation.

MnDOT fully adopts the [MMB Respectful Workplace](#) policy, to build and maintain a workplace that is respectful and professional toward all employees and third parties.

MnDOT’s Violence-Free and Respectful Workplace policy addresses only behavior and communication that do not involve protected class status. The [MnDOT Discrimination Policy](#) addresses harassment based on race, color, creed, religion, national origin, sex, marital status, disability, sexual orientation, age, genetic information, or status with regard to public assistance.

REASON FOR POLICY

- Identify the types of behavior that constitute workplace violence
- Define roles and responsibilities of all MnDOT employees and third parties
- Clarify reporting procedure for policy violation.

WHO NEEDS TO KNOW THIS POLICY?

- All MnDOT employees
- All third parties conducting business with MnDOT

DEFINITIONS

Formal Complaint

A formal complaint is a written statement of workplace concern that alleges violation of this policy by an employee or third party.

SENIOR OFFICER

Tracy Hatch

Deputy Commissioner/CFO/COO

POLICY OWNER

Karin van Dyck

Director, Office of Human Resources

POLICY CONTACT

Jodi Mathiason

Labor Relations Manager

Office of Human Resources

Jodi.Mathiason@state.mn.us

651-366-3404

POLICY HISTORY

2015-07-17, Established

[MnDOT Policy Website](#)

General Harassment

Conduct that has the effect of unreasonably interfering with the employee's work performance, behavior made with the intent to cause fear, or creating an intimidating, hostile, or offensive work environment. Legitimate job-related efforts of a supervisor to direct or evaluate an employee or to have the employee improve his or her performance are not general harassment.

Professionalism

Professionalism is a display of good judgment and proper behavior expected in the workplace from employees and third parties.

Respectful Behavior

Positive interactions with employees and third parties, in a manner that a reasonable person finds appropriate.

Retaliation

Adverse action response to an employee's participation in a complaint, report, investigation, or lawsuit about workplace violence (protected activity).

Third Party

A third party is a contractor or vendor conducting business with MnDOT.

Weapon

Weapon is anything intended to harm or intimidate another person. Examples may include, but are not limited to, all firearms, non-firearms such as knives, martial arts devices, explosives, combustible devices, and chemical substances.

Workplace Violence Continuum

Violence or inappropriate behaviors that range from bullying, verbal abuse, arguments, property damage, vandalism, sabotage, pushing, theft, physical assaults, rape, and arson, to murder. Workplace violence can occur while on state property or while performing work for MnDOT at any location, by a state employee, third party, or the public.

PROCEDURES

Obligation to Report Workplace Violence

In a life-threatening situation, call 9-1-1 or other emergency contact at the work location, if making the call does not pose a risk to the well-being of the employee.

Any employee who is the subject of, or who witnesses workplace violence must immediately report the incident in one or all of the following ways:

- Report the behavior to his/her supervisor, manager or Human Resources office;
- Submit a completed [Violent Incident Report Form](#) to the Human Resources Office;
- Report by using the [Report Wrongdoing/Questionable Activity Form](#); the information reported must include the details of the situation.

Any employee who violates this policy or is found to have witnessed an act of workplace violence and did not report it may be subject to discipline, up to and including discharge. Violation of this policy by third parties conducting business for MnDOT may jeopardize their contractual relationship with the agency.

Informal Resolution

Any employee can choose to explore options with Human Resources to address concerns.

- The employee subjected to inappropriate behavior should have a conversation with the other individual(s) involved whenever possible, if it does not pose a risk to the well-being of the employee;
- The employee is encouraged to speak with his/her supervisor, Human Resources, union representative, or Employee Assistance Program (EAP) for assistance or guidance on how to resolve the situation;
- If the concern is about a supervisor or manager, employees may contact Human Resources, union representative or EAP to discuss options for resolution.

Formal Complaints

A formal complaint must be submitted in writing to Human Resources and include the details of the situation. As with all investigations alleging employee misconduct, investigations related to this policy will occur in a timely, fair, and objective manner. ***This process does not supersede any applicable grievance or dispute resolution process under a collective bargaining agreement or plan.***

- Complaints must be submitted to the Human Resources Office, and include the details of the situation;
- The person receiving a complaint must acknowledge receipt of the complaint in writing;
- A prompt review of the complaint will be conducted and addressed;
- All data associated with a complaint, including any investigation and any outcome is government data, [Minnesota Statutes Chapter 13](#), Government Data Practices Act governs the release or non-release of data.

Retaliation

Any employee who perceives retaliation because he or she filed a complaint about workplace violence should immediately contact the Human Resources Office, Labor Relations.

RESPONSIBILITIES

Employees

- Conduct one's self in a manner that demonstrates professionalism and respect for all others while working for and representing MnDOT;
- Be familiar with this policy and understand the meanings and definitions included;
- Document and report all behaviors or incidents that may violate this policy to a manager, supervisor, or Human Resources Office;
- Fulfill all mandatory training requirements:
 - Respectful Workplace (*MnDOT employees*)
 - Workplace Violence Prevention (*MnDOT employees*)
- Cooperate in investigations of alleged violations of this policy, including investigations of general harassment, inappropriate behaviors, weapons, and retaliation.

Managers/Supervisors *In addition to the responsibilities of Employees (as described above)*

- Be familiar with this policy to achieve and maintain compliance with this policy;
- Document and take timely and appropriate action when a complaint is made alleging violations of this policy and collaborate with Human Resources in the process;
- Ensure employees fulfill mandatory training requirements:
 - Respectful Workplace (*MnDOT employees*)
 - Workplace Violence Prevention (*MnDOT employees*)

Human Resources Offices

- Assist with the resolution and investigation of inappropriate behaviors that may violate this policy;
- Provide consultation to employees, supervisors, and managers on options and the appropriate course of action, to including guidance regarding resources for alternative solutions;
- Provide consultation to employees, supervisors, and managers on applicable rules, policies, procedures, and learning opportunities;
- Design and provide mandatory training, offer resources and/or training to assist employees in dealing with situations that may lead to potential violence.

Third Parties (contractor or vendor)

- Conduct one's self in a manner that demonstrates professionalism and respect for all others while working with MnDOT and the public;
- Refer to the [MnDOT Policies](#) webpage to become familiar with all of MnDOT policies;
- Document and report all behaviors or incidents that may violate this policy;
- Cooperate in investigations of alleged violations of this policy including investigations of general harassment, inappropriate behaviors, weapons, and retaliation.

FORMS/INSTRUCTIONS

[Violent Incident Report Form](#)

[Report Wrongdoing/Questionable Activity Form](#)

RELATED INFORMATION

[MnDOT Violent Incident Advisory Team \(VIAT\)](#)

[MnDOT Discrimination Policy](#)

[Minnesota Statutes §609.02, Subd.6](#) *Dangerous Weapons*

[Employee Assistance Program \(EAP\)](#)

POLICY OWNERSHIP AND AUTHORIZATION


Policy Owner

Karin van Dyck, Director, Office of Human Resources


Signature and Date Signed 7-9-15

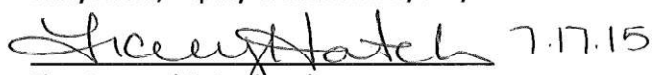
Governance Council

Sue Stein, Director, Corporate Services Division


Signature and Date Signed 7-16-15

Responsible Senior Officer

Tracy Hatch, Deputy Commissioner/CFO/COO


Signature and Date Signed 7.17.15

SPECIFIC FEDERAL EQUAL OPPORTUNITY RESPONSIBILITIES

(23 CFR 230, Subpart A, Appendix A, FAPG June 6, 1996)

1. General.

- a. Equal employment opportunity requirements not to discriminate and to take affirmative action to assure equal opportunity as required by Executive Order 11246 and Executive Order 11375 are set forth in Required contract Provisions (Form PR-1273 or 1316, as appropriate) and these Special Provisions which are imposed pursuant to Section 140 of title 23, U.S.C., as established by Section 22 of the Federal-Aid Highway Act of 1968. The requirements set forth in these Special Provisions shall constitute the specific affirmative action requirements for project activities under this contract and supplement the equal employment opportunity requirements set forth in the Required Contract Provisions.
- b. The contractor will work with the State highway agencies and the Federal Government in carrying out equal employment opportunity obligations and in their review of his/her activities under the contract.
- c. The contractor and all his/her subcontractors holding subcontracts not including material suppliers, of \$10,000 or more, will comply with the following minimum specific requirement activities of equal employment Opportunity: (The equal employment opportunity requirements of Executive Order 11246, as set forth in volume 6, Chapter 4, Section 1, Subsection 1 of the Federal-Aid Highway program Manual, are applicable to material suppliers as well as contractors and subcontractors.) The contractor will include these requirements in every subcontract of \$10,000 or more with such modification of language as is necessary to make them binding on the subcontractor.

2. Equal Employment Opportunity Policy.

The contractor will accept as his operating policy the following statement which is designed to further the provision of equal employment opportunity to all persons without regard to their race, color, religion, sex, or national origin, and to promote their full realization of equal employment through a positive continuing program:

It is the policy of this Company to assure that applicants are employed, and that employees are treated during employment, without regard to their race, religion, sex, color, or national origin. Such action shall include: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship, pre apprenticeship, and/or on-the-job training.

3. Equal Employment Opportunity Officer.

The contractor will designate and make known to State highway agency contracting officers an equal employment opportunity officer (hereinafter referred to as the EEO Officer) who will have the responsibility for and must be capable of effectively administering and promoting an active contractor program of equal employment opportunity and who must be assigned adequate authority and responsibility to do so.

4. Dissemination of Policy.

- a. All members of the contractor's staff who are authorized to hire, supervise, promote, and discharge employees, or who recommend such action, or who are substantially involved in such action will be made fully cognizant of, and will implement, the contractor's equal employment opportunity policy and contractual responsibilities to provide EEO in each grade and classification of employment. To ensure that the above agreement will be met, the following actions will be taken as a minimum:
 - (1) Periodic meetings of supervisory and personnel office staff will be conducted before the start of work and then not less often than once every six months, at which time the contractor's equal employment opportunity policy and its implementation will be reviewed and explained. The meetings will be conducted by the EEO Officer or other knowledgeable company official.
 - (2) All new supervisory or personnel office employees will be given a thorough indoctrination by the EEO Officer or other knowledgeable company official, covering all major aspects of the contractor's equal employment opportunity obligations within thirty days following their reporting for duty with the contractor.

- (3) All personnel who are engaged in direct recruitment for the project will be instructed by the EEO officer or appropriate company official in the contractor's procedures for locating and hiring minority group employees.
- b. In order to make the contractor's equal employment policy known to all employees, prospective employees and potential sources of employees, i.e., schools, employment agencies, labor unions (where appropriate), college placement officers, etc., the contractor will take the following actions:
 - (1) Notices and posters setting forth the contractor's equal employment opportunity policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.
 - (2) The contractor's equal employment opportunity policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.

5. Recruitment.

- a. When advertising for employees, the contractor will include in all advertisements for employees the notation "An Equal Opportunity Employer." All such advertisements will be published in newspapers or other publications having a large circulation among minority groups in the area from which the project work force would normally be derived.
- b. The contractor will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minority group applicants, including, but not limited to, State employment agencies, schools, colleges and minority group organizations. To meet this requirement, the contractor will, through their EEO Officer, identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority group applicants may be referred to the contractor for employment consideration. In the event the contractor has a valid bargaining agreement providing for exclusive hiring hall referrals, he is expected to observe the provisions of that agreement to the extent that the system permits the contractor's compliance with equal employment opportunity contract provisions. (The U.S. Department of Labor has held that where the implementation of such agreements have the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Executive Order 11246, as amended.)
- c. The contractor will encourage his present employees to refer minority group applicants for employment by posting appropriate notices or bulletins in areas accessible to all such employees. In addition, information and procedures with regard to referring minority group applicants will be discussed with employees.

6. Personnel Actions. Wages, working conditions, and employee benefits shall be established and administered, and personnel actions of every type, including hiring, upgrading, promotion, transfer, demotion, layoff, and termination, shall be taken without regard to race, color, religion, sex, or national origin. The following procedures shall be followed:

- a. The contractor will conduct periodic inspections of project sites to insure that working conditions and employee facilities do not indicate discriminatory treatment of project site personnel.
- b. The contractor will periodically evaluate the spread of wages paid within each classification to determine any evidence of discriminatory wage practices.
- c. The contractor will periodically review selected personnel actions in depth to determine whether there is evidence of discrimination. Where evidence is found, the contractor will promptly take corrective action. If the review indicates that the discrimination may extend beyond the actions reviewed, such corrective action shall include all affected persons.
- d. The contractor will promptly investigate all complaints of alleged discrimination made to the contractor in connection with his/her obligations under this contract, will attempt to resolve such complaints, and will take appropriate corrective action within a reasonable time. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the contractor will inform every complainant of all his avenues of appeal.

7. Training and Promotion.

- a. The contractor will assist in locating, qualifying, and increasing the skills of minority group and women employees and applicants for employment.
- b. Consistent with the contractor's work force requirements and as permissible under Federal and State regulations, the contractor must make full use of training programs, i.e. apprenticeship, and on-the- job training programs for the geographical area of contract performance. Where feasible, 25 percent of apprentices or trainees in each occupation shall be in their first year of apprenticeship or training. In the event the Training Special Provision is provided under this contract, this subparagraph will be superseded as indicated in Attachment 2.
- c. The contractor will advise employees and applicants for employment of available training programs and entrance requirements for each.
- d. The Contractor will periodically review the training and promotion potential of minority group and women employees and will encourage eligible employees to apply for such training and promotion.

8. Unions.

If a contractor relies in whole or in part upon unions as a source of employees, the contractor will use his/her best efforts to obtain the cooperation of such unions to increase opportunities for minority groups and women within the unions, and to effect referrals by such unions of minority and female employees. Actions by the contractor either directly or through a contractor's association acting as agent will include the procedures set forth below:

- a. The contractor will use best efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minority group members and women for membership in the unions and increasing the skills of minority group members and women so that they may qualify for higher paying employment.
- b. The contractor will use best efforts to incorporate an equal employment opportunity clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to their race, color, religion, sex, or national origin.
- c. The contractor is to obtain information as to the referral practices and policies of the labor union except that to the extent such information is within the exclusive possession of the labor union and such labor union refuses to furnish such information to the contractor, the contractor shall so certify to the State highway department and shall set forth what efforts have been made to obtain such information.
- d. In the event the union is unable to provide the contractor with a reasonable flow of minority and women referrals within the time limit set forth in the collective bargaining agreement, the contractor will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, or national origin; making full efforts to obtain qualified and/or qualifiable minority group persons and women. (The U.S. Department of Labor has held that it shall be no excuse that the union with which the contractor has a collective bargaining agreement providing for exclusive referral failed to refer minority employees.) In the event the union referral practice prevents the contractor from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such contractor shall immediately notify the State highway agency.

9. Subcontracting.

- a. The contractor will use his best efforts to solicit bids from and to utilize minority group subcontractors or subcontractors with meaningful minority group and female representation among their employees. Contractors shall obtain lists of minority-owned construction firms from State highway agency personnel.
- b. The contractor will use his best efforts to ensure subcontractor compliance with their equal employment opportunity obligations.

10. Records and Reports.

- a. The contractor shall keep such records as necessary to determine compliance with the contractor's equal employment opportunity obligations. The records kept by the contractor will be designed to indicate:
 - (1) The number of minority and non minority group members and women employed in each work classification on the project.

- (2) The progress and efforts being made in cooperation with unions to increase employment opportunities for minorities and women (applicable only to contractor's who rely in whole or in part on unions as a source of their work force),
 - (3) The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minority and female employees, and
 - (4) The progress and efforts being made in securing the services of minority group subcontractors with meaningful minority and female representation among their employees.
- b. All such records must be retained for a period of three years following completion of the contract work and shall be available at reasonable times and places for inspection by authorized representatives of the State highway agency and the FHWA.
- c. The contractors will submit an annual report to the State highway agency each July for the duration of the project, indicating the number of minority, women, and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on Form PR-1391. If on-the-job training is being required by a "Training Special Provision", the contractor will be required to furnish Form FHWA 1409.

STANDARD FEDERAL AND STATE EQUAL EMPLOYMENT OPPORTUNITY CONSTRUCTION CONTRACT SPECIFICATIONS

(41 CFR 60-4.3 and Minnesota Statute §363A.36)

Unless noted, the following apply to both Federal/federally assisted projects and State/state assisted projects. Item 3 applies to Federal/federally assisted projects only.

1. As used in these specifications:
 - (a) "Covered area" means the geographical area described in the solicitation from which this contract resulted;
 - (b) "Director" means Director, Office of Federal Contract Compliance Programs, United States Department of Labor, or any person to whom the Director delegates authority;
 - (c) "Employer Identification number" means the Federal Social Security number used on the Employer's Quarterly Federal Tax Return, U.S. Treasury Department Form 941.
 - (d) "Minority" includes:
 - (i) Black (all persons having origins in any of the Black African racial groups not of Hispanic origin);
 - (ii) Hispanic (all persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race);
 - (iii) Asian and Pacific Islander (all persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands); and
 - (iv) American Indian or Alaskan Native (all persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification).
2. Whenever the Contractor, or any Subcontractor at any tier, subcontracts a portion of the work involving any construction trade, it shall physically include in each subcontract in excess of \$10,000 (\$100,000 for State projects) the provisions of these specifications and the Notice which contains the applicable goals for minority and women participation and which is set forth in the solicitations from which this contract resulted.
3. If the Contractor is participating (pursuant to 41 CFR 60-4, 5) in a Hometown Plan approved by the U.S. Department of Labor in the covered area either individually or through an association, its affirmative action obligations on all work on the Plan area (including goals and timetables) shall be in accordance with that Plan for those trades which have unions participating in the Plan. Contractors must be able to demonstrate their participation in and compliance with the provisions of any such Hometown Plan. Each Contractor or Subcontractor participating in an approved Plan is individually required to comply with its obligations under the EEO clause, and to make a good faith effort to achieve each goal under the Plan in each trade in which it has employees. The overall good faith performance by other Contractors or Subcontractors toward a goal in an approved Plan does not excuse any covered contractor's or subcontractor's failure to take good faith efforts to achieve the Plan goals and timetables.
4. The Contractor shall implement the specific affirmative action standards provided in paragraphs 7(a) to (p) of these specifications (itemized as 4 [a] to [o], Minnesota Rules 5000.3535). The goals set forth in the solicitation from which this contract resulted are expressed as percentages of the total hours of employment and training of minorities and utilization the Contractor should (shall, for State or state assisted projects) reasonably be able to achieve in each construction trade in which it has employees in the covered area. The Contractor shall make substantially uniform progress toward its goals in each craft during the period specified. Covered construction contractors performing construction work in geographical areas where they do not have a Federal or federally assisted construction contract shall apply the minority and female goals established for the geographical area where the work is being performed. Federal goals are published periodically in the Federal Register in notice form, and such notices may be obtained from any office of Federal Contract Compliance programs or from Federal procurement contracting officers. State goals are published periodically in the State Register in notice form, and may be obtained from the Minnesota Department of Human Rights or the Minnesota Department of Transportation Office of Civil Rights. The Contractor is expected to

make substantially uniform progress toward its goals in each craft during the period specified.

5. Neither the provisions of any collective bargaining agreement nor the failure by a union, with whom the Contractor has a collective bargaining agreement, to refer either minorities or women shall excuse the Contractor's obligations under these specifications and Executive Order 11246 and its associated rules and regulations for Federal or federally assisted projects, and Minnesota Statutes, Section §363A.36 of the Minnesota Human Rights Act, or the rules adopted under the Act for State or state assisted projects.
6. In order for the nonworking training hours of apprentices and trainees to be counted in meeting the goals, such apprentices and trainees shall be employed by the Contractor during the training period, and the Contractor must have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Trainees shall be trained according to training programs approved by the Minnesota Department of Human Rights, the Minnesota Department of Labor and Industry, or the United States Department of Labor.
7. The Contractor shall take specific affirmative actions to ensure equal employment opportunity. The evaluation of the Contractor's compliance with these specifications must be based upon its effort to achieve maximum results from its actions. The Contractor shall document these efforts fully, and shall implement affirmative action steps at least as extensive as the following (referred to in Minnesota Rules 5000.3535 as items 4(a) to (o)):
 - (a) Ensure and maintain, or for State or state assisted projects make a good faith effort to maintain, a working environment free of harassment, intimidation, and coercion at all sites and in all facilities at which the Contractor's employees are assigned to work. For Federal or federally assisted projects, the Contractor, where possible, will assign two or more women to each construction project. The Contractor shall specifically ensure that all foremen, superintendents, and other on-site supervisory personnel are aware of and carry out the Contractor's obligation to maintain such a working environment, with specific attention to minority or women individuals working at such sites or in such facilities.
 - (b) Establish and maintain a current list of minority and women recruitment sources, provide written notification to minority and women recruitment sources and to community organizations when the Contractor or its unions have employment opportunities available, and maintain a record of the organizations' responses.
 - (c) Maintain a current file of the names, addresses, and telephone numbers of each minority and woman off-the-street applicant and minority or woman referral from a union, a recruitment source, or community organization and of what action was taken with respect to each individual. If the individual was sent to the union hiring hall for referral and was not referred back to the Contractor by the union or, if referred, not employed by the Contractor, this shall be documented in the file with the reason therefore along with whatever additional actions the Contractor may have taken.
 - (d) Provide immediate written notification to the commissioner of the Minnesota Department of Human Rights for State or state assisted projects, or the director of the Office of Federal Contract Compliance for Federal or federally assisted projects, when the union, or unions with which the Contractor has a collective bargaining agreement, has not referred to the Contractor a minority person or woman sent by the Contractor, or when the Contractor has other information that the union referral process has impeded the Contractor's efforts to meet its obligations.
 - (e) Develop on-the-job training opportunities and/or participate in training programs for the areas which expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the Contractor's employment needs, especially those programs funded or approved by the State of Minnesota for State or state assisted projects or the Department of Labor, for Federal or federally assisted projects. The Contractor shall provide notice of these programs to the sources compiled under (b).
 - (f) Disseminate the Contractor's equal employment opportunity policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the Contractor in meeting its equal employment opportunity obligations; by including it in any policy manual and collective bargaining agreement;

by publicizing it in the company newspaper, annual report, etc.; by specific review of the policy with all management personnel and with all minority and women employees at least once a year; and by posting the company equal employment opportunity policy on bulletin boards accessible to all employees at each location where construction work is performed.

- (g) Review, at least annually, the company's equal employment opportunity policy and affirmative action obligations under these specifications with all employees having any responsibility for hiring, assignment, layoff, termination, or other employment decisions; including specific review of these items with onsite supervisory personnel such as superintendents, general foremen, etc., prior to the first day of construction work at any job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.
 - (h) Disseminate the Contractor's equal employment opportunity policy externally by including it in any advertising in the news media, specifically including minority and women news media, and providing written notification to and discussing the Contractor's equal employment opportunity policy with other contractors and subcontractors with whom the Contractor does or anticipates doing business.
 - (i) Direct its recruitment efforts, both oral and written, to minority, women, and community organizations; to schools with minority and women students; and to minority and women recruitment and training organizations serving the Contractor's recruitment area and employment needs. Not later than one month prior to the date for the acceptance of applications for apprenticeship or other training by any recruitment source, the Contractor shall send written notification to organizations, such as the above, describing the openings, screening procedures, and tests to be used in the selection process.
 - (j) Encourage present minority and women employees to recruit other minority persons and women and, where reasonable, provide after school, summer and vacation employment to minority and women youth, both on the site and in other areas of a Contractor's work force.
 - (k) Validate all tests and other selection requirements where there is an obligation to do so under 41 CFR Part 60-3. (This requirement applies only to Federal and federally assisted projects.)
 - (l) Conduct, at least annually, an inventory and evaluation at least of all minority and women personnel for promotional opportunities; and encourage these employees to seek or to prepare for, through appropriate training, such opportunities. (This is Item 4(k) in Minnesota Rules.)
 - (m) Ensure that seniority practices, job classifications, work assignments, and other personnel practices do not have a discriminatory effect by continually monitoring all personnel and employment-related activities to ensure that the equal employment opportunity policy and the Contractor's obligations under these specifications are being carried out. (This is item 4(l) in Minnesota Rules.)
 - (n) Ensure that all facilities and company activities are non segregated except that separate or single-user toilet and necessary changing facilities shall be provided to assure privacy between the sexes. (This is item 4(m) in Minnesota Rules.)
 - (o) Document and maintain a record of all solicitations or offers for subcontracts from minority and women construction contractors and suppliers, including circulation of solicitations to minority and women contractor associations and other business associations. (This is item 4(n) in Minnesota Rules.)
 - (p) Conduct a review, at least annually, of all supervisors' adherence to and performance under the Contractor's equal employment opportunity policies and affirmative action obligations. (This is item 4(o) in Minnesota Rules.)
8. Contractors are encouraged to participate in voluntary associations which assist in fulfilling one or more of their affirmative action obligations (7(a) to (p) for Federal or federally assisted projects, and 4(a)-(o) for State or state assisted projects). The efforts of a contractor association, joint contractor-union, contractor-community, or other similar group of which the Contractor is a member and participant, may be asserted as fulfilling any one or more of its obligations under 7(a) to (p) or 4(a) to (o) of these specifications provided that the Contractor actively participates in the group, makes every effort to assure that the group has a positive impact on the employment of minorities and women in the industry, ensures that the concrete benefits of the program are reflected in the Contractor's minority and women work force participation, makes a good faith effort to meet its individual goals and timetables, and can

provide access to documentation which demonstrates the effectiveness of actions taken on behalf of the Contractor. The obligation to comply, however, is the Contractor's and failure of such a group to fulfill an obligation shall not be defense for the Contractor's noncompliance.

9. A single goal for minorities and a separate single goal for women have been established. The Contractor however, is required to provide equal employment opportunity and to take affirmative action for all minority groups both male and female, and all women both minority and non-minority. Consequently, the Contractor may be in violation of the Executive Order for Federal or federally assisted projects, or Minnesota Rules for State or state assisted projects, if a particular group is employed in a substantially disparate manner (for example, even though the Contractor has achieved its goals for women generally, the Contractor may be in violation of the Executive Order or Minnesota Rules part 5000.3520 if a specific minority group is under-utilized).
10. The Contractor shall not use the goals and timetables or affirmative action standards to discriminate against any person because of race, color, creed, religion, sex, or national origin. Minnesota Statutes §363A.36, part 5000.3535 (Subp. 7) also prohibits discrimination with regard to marital status, status with regard to public assistance, disability, age, or sexual orientation.
11. The Contractor shall not enter into any subcontract with any person or firm debarred from government contracts under the federal Executive Order 11246 or a local human rights ordinance, or whose certificate of compliance has been suspended or revoked pursuant to Minnesota Statutes, Section §363A.36.
12. The Contractor shall carry out such sanctions for violation of these specifications and of the equal opportunity clause, including suspension, termination, and cancellation of existing contracts as may be imposed or ordered pursuant to Minnesota Statutes, Section §363A.36, and its implementing rules for State or state assisted projects, or Executive Order 11246, as amended, and its implementing regulations, by the Office of Federal Contract Compliance Programs for Federal or federally assisted projects. Any contractor who fails to carry out such sanctions shall be in violation of these specifications and Minnesota Statutes, Section §363A.36, or Executive Order 11246 as amended.
13. The Contractor, in fulfilling its obligations under these specifications, shall implement specific affirmative action steps, at least as extensive as those standards prescribed in paragraph 7 of these specifications (paragraph 4 in Minnesota Rules 5000.3535), so as to achieve maximum results from its efforts to ensure equal employment opportunity. If the Contractor fails to comply with the requirements of these Specifications or Minnesota Statutes, Section §363A.36 and its implementing rules, or Executive Order 11246 and its regulations, the commissioner or the director shall proceed in accordance with Minnesota Rules part 5000.3570 for State or state assisted projects, or 41 CFR 60-4.8 for Federal or federally assisted projects.
14. The Contractor shall designate a responsible official to monitor all employment-related activity to ensure that the company equal employment opportunity policy is being carried out, to submit reports relating to the provisions hereof as may be required by the Minnesota Department of Human Rights or the Government, and to keep records. Records shall at least include for each employee the name, address, telephone numbers, construction trade, union affiliation if any, employee identification number when assigned, social security number, race, sex, status (for example, mechanic, apprentice trainee, helper, or laborer), dates of changes in status, hours worked per week in the indicated trade, rate of pay, and locations at which the work was performed. Records shall be maintained in an easily understandable and retrievable form; however, to the degree that existing records satisfy this requirement, contractors shall not be required to maintain separate records.
15. Nothing provided in this part shall be construed as a limitation upon the application of other state or federal laws which establish different standards of compliance or upon the application of requirements for the hiring of local or other area residents.

EQUAL OPPORTUNITY CLAUSE
(41 CFR Part 60-1.4 b, 7-1-96 Edition)

The applicant hereby agrees that it will incorporate or cause to be incorporated into any contract for construction work, or modification thereof, as defined in the regulations of the Secretary of Labor at 41 CFR Chapter 60, which is paid for in whole or in part with funds obtained from the Federal Government or borrowed on the credit of the Federal Government pursuant to a grant, contract, loan, insurance, or guarantee, the following equal opportunity clause:

During the performance of this contract, the Contractor agrees as follows:

- a. The Contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The Contractor will take affirmative action to ensure that applicants are employed and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoffs or termination; rates of pay or other forms of compensation; and, selection for training, including apprenticeship. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the State Highway Agency (SHA) setting forth the provisions of this nondiscrimination clause.
- b. The Contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
- c. The Contractor will send to each labor union or representative of workers with which the Contractor has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representative of the Contractor's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- d. The Contractor will comply with all provisions of Executive Order 11246, Equal Employment Opportunity, dated September 24, 1965, and of the rules, regulations (41 CFR Part 60), and relevant orders of the Secretary of Labor.
- e. The Contractor will furnish all information and reports required by Executive Order 11246 and by rules, regulations, and orders of the Secretary of Labor, pursuant thereto, and will permit access to its books, records, and accounts by the Federal Highway Administration (FHWA) and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- f. In the event of the Contractor's noncompliance with the nondiscrimination clauses of this contract, or with any of such rules, regulations, or orders, this contract may be canceled, terminated, or suspended in whole or in part, and the Contractor may be declared ineligible for further Government contracts or federally-assisted construction contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions as may be imposed and remedies invoked as provided in Executive Order 11246 or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
- g. The Contractor will include the portion of the sentence immediately preceding paragraph (1) and the provisions of paragraph (1) through (7) in every subcontract or purchase order so that such provisions will be binding upon each subcontractor or vendor, unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order 11246. The Contractor will take such action with respect to any subcontract or purchase order as the Secretary of Labor, SHA, or the Federal Highway Administration (FHWA) may direct as a means of enforcing such provisions, including sanctions for noncompliance. In the event a contractor becomes a party to litigation by a subcontractor or vendor as a result of such direction, the contractor may request the SHA to enter into such litigation to protect the interest of the State. In addition, the Contractor may request the United States to enter into such litigation to protect the interests of the United States.

The applicant further agrees that it will be bound by the above equal opportunity clause with respect to its own employment practices when it participates in federally assisted construction work: Provided, that if the applicant so

participating is a State or local government, the above equal opportunity clause is not applicable to any agency, instrumentality or subdivision of such government which does not participate in work on or under the contract.

The applicant agrees that it will assist and cooperate actively with the administering agency and the Secretary of Labor in obtaining the compliance of contractors and subcontractors with the equal opportunity clause and the rules, regulations, and relevant orders of the Secretary of Labor, that it will furnish the administering agency and the Secretary of Labor such information as they may require for the supervision of such compliance, and that it will otherwise assist the administering agency in the discharge of the agency's primary responsibility for securing compliance.

The applicant further agrees that it will refrain from entering into any contract or contract modification subject to Executive Order 11246 of September 24, 1965, with a contractor debarred from, or who has not demonstrated eligibility for, Government contracts and federally assisted construction contracts pursuant to the Executive order and will carry out such sanctions and penalties for violation of the equal opportunity clause as may be imposed upon contractors and subcontractors by the administering agency or the Secretary of Labor pursuant to Part II, Subpart D of the Executive order. In addition, the applicant agrees that if it fails or refuses to comply with these undertakings, the administering agency may take any or all of the following actions: Cancel, terminate, or suspend in whole or in part this grant (contract, loan, insurance, guarantee); refrain from extending any further assistance to the applicant under the program with respect to which the failure or refund occurred until satisfactory assurance of future compliance has been received from such applicant; and refer the case to the Department of Justice for appropriate legal proceedings.

**REQUIRED CONTRACT PROVISIONS
FEDERAL-AID CONSTRUCTION CONTRACTS**

- I. General
- II. Nondiscrimination
- III. Non-segregated Facilities
- IV. Davis-Bacon and Related Act Provisions
- V. Contract Work Hours and Safety Standards Act Provisions
- VI. Subletting or Assigning the Contract
- VII. Safety: Accident Prevention
- VIII. False Statements Concerning Highway Projects
- IX. Implementation of Clean Air Act and Federal Water Pollution Control Act
- X. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
- XI. Certification Regarding Use of Contract Funds for Lobbying
- XII. Use of United States-Flag Vessels:

ATTACHMENTS

A. Employment and Materials Preference for Appalachian Development Highway System or Appalachian Local Access Road Contracts (included in Appalachian contracts only)

I. GENERAL

1. Form FHWA-1273 must be physically incorporated in each construction contract funded under title 23, United States Code, as required in 23 CFR 633.102(b) (excluding emergency contracts solely intended for debris removal). The contractor (or subcontractor) must insert this form in each subcontract and further require its inclusion in all lower tier subcontracts (excluding purchase orders, rental agreements and other agreements for supplies or services). 23 CFR 633.102(e).

The applicable requirements of Form FHWA-1273 are incorporated by reference for work done under any purchase order, rental agreement or agreement for other services. The prime contractor shall be responsible for compliance by any subcontractor, lower-tier subcontractor or service provider. 23 CFR 633.102(e).

Form FHWA-1273 must be included in all Federal-aid design-build contracts, in all subcontracts and in lower tier subcontracts (excluding subcontracts for design services, purchase orders, rental agreements and other agreements for supplies or services) in accordance with 23 CFR 633.102. The design-builder shall be responsible for compliance by any subcontractor, lower-tier subcontractor or service provider.

Contracting agencies may reference Form FHWA-1273 in solicitation-for-bids or request-for-proposals documents, however, the Form FHWA-1273 must be physically incorporated (not referenced) in all contracts, subcontracts and lower-tier subcontracts (excluding purchase orders, rental agreements and other agreements for supplies or services related to a construction contract). 23 CFR 633.102(b).

2. Subject to the applicability criteria noted in the following sections, these contract provisions shall apply to all work

performed on the contract by the contractor's own organization and with the assistance of workers under the contractor's immediate superintendence and to all work performed on the contract by piecework, station work, or by subcontract. 23 CFR 633.102(d).

3. A breach of any of the stipulations contained in these Required Contract Provisions may be sufficient grounds for withholding of progress payments, withholding of final payment, termination of the contract, suspension / debarment or any other action determined to be appropriate by the contracting agency and FHWA.

4. Selection of Labor: During the performance of this contract, the contractor shall not use convict labor for any purpose within the limits of a construction project on a Federal-aid highway unless it is labor performed by convicts who are on parole, supervised release, or probation. 23 U.S.C. 114(b). The term Federal-aid highway does not include roadways functionally classified as local roads or rural minor collectors. 23 U.S.C. 101(a).

II. NONDISCRIMINATION (23 CFR 230.107(a); 23 CFR Part 230, Subpart A, Appendix A; EO 11246)

The provisions of this section related to 23 CFR Part 230, Subpart A, Appendix A are applicable to all Federal-aid construction contracts and to all related construction subcontracts of \$10,000 or more. The provisions of 23 CFR Part 230 are not applicable to material supply, engineering, or architectural service contracts.

In addition, the contractor and all subcontractors must comply with the following policies: Executive Order 11246, 41 CFR Part 60, 29 CFR Parts 1625-1627, 23 U.S.C. 140, Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d et seq.), and related regulations including 49 CFR Parts 21, 26, and 27; and 23 CFR Parts 200, 230, and 633.

The contractor and all subcontractors must comply with: the requirements of the Equal Opportunity Clause in 41 CFR 60-1.4(b) and, for all construction contracts exceeding \$10,000, the Standard Federal Equal Employment Opportunity Construction Contract Specifications in 41 CFR 60-4.3.

Note: The U.S. Department of Labor has exclusive authority to determine compliance with Executive Order 11246 and the policies of the Secretary of Labor including 41 CFR Part 60, and 29 CFR Parts 1625-1627. The contracting agency and the FHWA have the authority and the responsibility to ensure compliance with 23 U.S.C. 140, Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), and Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d et seq.), and related regulations including 49 CFR Parts 21, 26, and 27; and 23 CFR Parts 200, 230, and 633.

The following provision is adopted from 23 CFR Part 230, Subpart A, Appendix A, with appropriate revisions to conform to the U.S. Department of Labor (US DOL) and FHWA requirements.

1. Equal Employment Opportunity: Equal Employment Opportunity (EEO) requirements not to discriminate and to take affirmative action to assure equal opportunity as set forth under laws, executive orders, rules, regulations (see 28 CFR Part 35, 29 CFR Part 1630, 29 CFR Parts 1625-1627, 41 CFR Part 60 and 49 CFR Part 27) and orders of the Secretary of Labor as modified by the provisions prescribed herein, and imposed pursuant to 23 U.S.C. 140, shall constitute the EEO and specific affirmative action standards for the contractor's project activities under this contract. The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) set forth under 28 CFR Part 35 and 29 CFR Part 1630 are incorporated by reference in this contract. In the execution of this contract, the contractor agrees to comply with the following minimum specific requirement activities of EEO:

a. The contractor will work with the contracting agency and the Federal Government to ensure that it has made every good faith effort to provide equal opportunity with respect to all of its terms and conditions of employment and in their review of activities under the contract. 23 CFR 230.409 (g)(4) & (5).

b. The contractor will accept as its operating policy the following statement:

"It is the policy of this Company to assure that applicants are employed, and that employees are treated during employment, without regard to their race, religion, sex, sexual orientation, gender identity, color, national origin, age or disability. Such action shall include: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship, pre-apprenticeship, and/or on-the-job training."

2. EEO Officer: The contractor will designate and make known to the contracting officers an EEO Officer who will have the responsibility for and must be capable of effectively administering and promoting an active EEO program and who must be assigned adequate authority and responsibility to do so.

3. Dissemination of Policy: All members of the contractor's staff who are authorized to hire, supervise, promote, and discharge employees, or who recommend such action or are substantially involved in such action, will be made fully cognizant of and will implement the contractor's EEO policy and contractual responsibilities to provide EEO in each grade and classification of employment. To ensure that the above agreement will be met, the following actions will be taken as a minimum:

a. Periodic meetings of supervisory and personnel office employees will be conducted before the start of work and then not less often than once every six months, at which time the contractor's EEO policy and its implementation will be reviewed and explained. The meetings will be conducted by the EEO Officer or other knowledgeable company official.

b. All new supervisory or personnel office employees will be given a thorough indoctrination by the EEO Officer, covering all major aspects of the contractor's EEO obligations within thirty days following their reporting for duty with the contractor.

c. All personnel who are engaged in direct recruitment for the project will be instructed by the EEO Officer in the contractor's procedures for locating and hiring minorities and women.

d. Notices and posters setting forth the contractor's EEO policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.

e. The contractor's EEO policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.

4. Recruitment: When advertising for employees, the contractor will include in all advertisements for employees the notation: "An Equal Opportunity Employer." All such advertisements will be placed in publications having a large circulation among minorities and women in the area from which the project work force would normally be derived.

a. The contractor will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minorities and women. To meet this requirement, the contractor will identify sources of potential minority group employees and establish with such identified sources procedures whereby minority and women applicants may be referred to the contractor for employment consideration.

b. In the event the contractor has a valid bargaining agreement providing for exclusive hiring hall referrals, the contractor is expected to observe the provisions of that agreement to the extent that the system meets the contractor's compliance with EEO contract provisions. Where implementation of such an agreement has the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Federal nondiscrimination provisions.

c. The contractor will encourage its present employees to refer minorities and women as applicants for employment. Information and procedures with regard to referring such applicants will be discussed with employees.

5. Personnel Actions: Wages, working conditions, and employee benefits shall be established and administered, and personnel actions of every type, including hiring, upgrading, promotion, transfer, demotion, layoff, and termination, shall be taken without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, age or disability. The following procedures shall be followed:

a. The contractor will conduct periodic inspections of project sites to ensure that working conditions and employee facilities do not indicate discriminatory treatment of project site personnel.

b. The contractor will periodically evaluate the spread of wages paid within each classification to determine any evidence of discriminatory wage practices.

c. The contractor will periodically review selected personnel actions in depth to determine whether there is evidence of discrimination. Where evidence is found, the contractor will promptly take corrective action. If the review indicates that the discrimination may extend beyond the actions reviewed, such corrective action shall include all affected persons.

d. The contractor will promptly investigate all complaints of alleged discrimination made to the contractor in connection with its obligations under this contract, will attempt to resolve such complaints, and will take appropriate corrective action

within a reasonable time. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the contractor will inform every complainant of all of their avenues of appeal.

6. Training and Promotion:

a. The contractor will assist in locating, qualifying, and increasing the skills of minorities and women who are applicants for employment or current employees. Such efforts should be aimed at developing full journey level status employees in the type of trade or job classification involved.

b. Consistent with the contractor's work force requirements and as permissible under Federal and State regulations, the contractor shall make full use of training programs (i.e., apprenticeship and on-the-job training programs for the geographical area of contract performance). In the event a special provision for training is provided under this contract, this subparagraph will be superseded as indicated in the special provision. The contracting agency may reserve training positions for persons who receive welfare assistance in accordance with 23 U.S.C. 140(a).

c. The contractor will advise employees and applicants for employment of available training programs and entrance requirements for each.

d. The contractor will periodically review the training and promotion potential of employees who are minorities and women and will encourage eligible employees to apply for such training and promotion.

7. Unions: If the contractor relies in whole or in part upon unions as a source of employees, the contractor will use good faith efforts to obtain the cooperation of such unions to increase opportunities for minorities and women. 23 CFR 230.409. Actions by the contractor, either directly or through a contractor's association acting as agent, will include the procedures set forth below:

a. The contractor will use good faith efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minorities and women for membership in the unions and increasing the skills of minorities and women so that they may qualify for higher paying employment.

b. The contractor will use good faith efforts to incorporate an EEO clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to their race, color, religion, sex, sexual orientation, gender identity, national origin, age, or disability.

c. The contractor is to obtain information as to the referral practices and policies of the labor union except that to the extent such information is within the exclusive possession of the labor union and such labor union refuses to furnish such information to the contractor, the contractor shall so certify to the contracting agency and shall set forth what efforts have been made to obtain such information.

d. In the event the union is unable to provide the contractor with a reasonable flow of referrals within the time limit set forth in the collective bargaining agreement, the contractor will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, age, or disability; making full efforts to obtain qualified and/or qualifiable minorities and women. The failure of a union to provide

sufficient referrals (even though it is obligated to provide exclusive referrals under the terms of a collective bargaining agreement) does not relieve the contractor from the requirements of this paragraph. In the event the union referral practice prevents the contractor from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such contractor shall immediately notify the contracting agency.

8. Reasonable Accommodation for Applicants / Employees with Disabilities: The contractor must be familiar with the requirements for and comply with the Americans with Disabilities Act and all rules and regulations established thereunder. Employers must provide reasonable accommodation in all employment activities unless to do so would cause an undue hardship.

9. Selection of Subcontractors, Procurement of Materials and Leasing of Equipment: The contractor shall not discriminate on the grounds of race, color, religion, sex, sexual orientation, gender identity, national origin, age, or disability in the selection and retention of subcontractors, including procurement of materials and leases of equipment. The contractor shall take all necessary and reasonable steps to ensure nondiscrimination in the administration of this contract.

a. The contractor shall notify all potential subcontractors, suppliers, and lessors of their EEO obligations under this contract.

b. The contractor will use good faith efforts to ensure subcontractor compliance with their EEO obligations.

10. Assurances Required:

a. The requirements of 49 CFR Part 26 and the State DOT's FHWA-approved Disadvantaged Business Enterprise (DBE) program are incorporated by reference.

b. The contractor, subrecipient or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate, which may include, but is not limited to:

- (1) Withholding monthly progress payments;
- (2) Assessing sanctions;
- (3) Liquidated damages; and/or
- (4) Disqualifying the contractor from future bidding as non-responsible.

c. The Title VI and nondiscrimination provisions of U.S. DOT Order 1050.2A at Appendixes A and E are incorporated by reference. 49 CFR Part 21.

11. Records and Reports: The contractor shall keep such records as necessary to document compliance with the EEO requirements. Such records shall be retained for a period of three years following the date of the final payment to the contractor for all contract work and shall be available at reasonable times and places for inspection by authorized representatives of the contracting agency and the FHWA.

a. The records kept by the contractor shall document the following:

(1) The number and work hours of minority and non-minority group members and women employed in each work classification on the project;

(2) The progress and efforts being made in cooperation with unions, when applicable, to increase employment opportunities for minorities and women; and

(3) The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minorities and women.

b. The contractors and subcontractors will submit an annual report to the contracting agency each July for the duration of the project indicating the number of minority, women, and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on [Form FHWA-1391](#). The staffing data should represent the project work force on board in all or any part of the last payroll period preceding the end of July. If on-the-job training is being required by special provision, the contractor will be required to collect and report training data. The employment data should reflect the work force on board during all or any part of the last payroll period preceding the end of July.

III. NONSEGREGATED FACILITIES

This provision is applicable to all Federal-aid construction contracts and to all related construction subcontracts of more than \$10,000. 41 CFR 60-1.5.

As prescribed by 41 CFR 60-1.8, the contractor must ensure that facilities provided for employees are provided in such a manner that segregation on the basis of race, color, religion, sex, sexual orientation, gender identity, or national origin cannot result. The contractor may neither require such segregated use by written or oral policies nor tolerate such use by employee custom. The contractor's obligation extends further to ensure that its employees are not assigned to perform their services at any location under the contractor's control where the facilities are segregated. The term "facilities" includes waiting rooms, work areas, restaurants and other eating areas, time clocks, restrooms, washrooms, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing provided for employees. The contractor shall provide separate or single-user restrooms and necessary dressing or sleeping areas to assure privacy between sexes.

IV. DAVIS-BACON AND RELATED ACT PROVISIONS

This section is applicable to all Federal-aid construction projects exceeding \$2,000 and to all related subcontracts and lower-tier subcontracts (regardless of subcontract size), in accordance with 29 CFR 5.5. The requirements apply to all projects located within the right-of-way of a roadway that is functionally classified as Federal-aid highway. 23 U.S.C. 113. This excludes roadways functionally classified as local roads or rural minor collectors, which are exempt. 23 U.S.C. 101. Where applicable law requires that projects be treated as a project on a Federal-aid highway, the provisions of this subpart will apply regardless of the location of the project. Examples include: Surface Transportation Block Grant Program projects funded under 23 U.S.C. 133 [excluding recreational trails projects], the Nationally Significant Freight and Highway

Projects funded under 23 U.S.C. 117, and National Highway Freight Program projects funded under 23 U.S.C. 167.

The following provisions are from the U.S. Department of Labor regulations in 29 CFR 5.5 "Contract provisions and related matters" with minor revisions to conform to the FHWA-1273 format and FHWA program requirements.

1. Minimum wages (29 CFR 5.5)

a. All laborers and mechanics employed or working upon the site of the work, will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph 1.d. of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: Provided, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under paragraph 1.b. of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

b.(1) The contracting officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

(i) The work to be performed by the classification requested is not performed by a classification in the wage determination; and

(ii) The classification is utilized in the area by the construction industry; and

(iii) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(2) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, U.S. Department of Labor, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(3) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(4) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs 1.b.(2) or 1.b.(3) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

c. Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

d. If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, Provided, That the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

2. Withholding (29 CFR 5.5)

The contracting agency shall upon its own action or upon written request of an authorized representative of the Department of Labor, withhold or cause to be withheld from the contractor under this contract, or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics,

including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the contract, the contracting agency may, after written notice to the contractor, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

3. Payrolls and basic records (29 CFR 5.5)

a. Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

b.(1) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the contracting agency. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i), except that full social security numbers and home addresses shall not be included on weekly transmittals. Instead the payrolls shall only need to include an individually identifying number for each employee (e.g., the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division Web site. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to the contracting agency for transmission to the State DOT, the FHWA or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. It is not a violation of this section for a prime contractor to require a subcontractor to provide addresses and social security numbers to the prime contractor for its own records, without weekly submission to the contracting agency.

(2) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or

subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:

(i) That the payroll for the payroll period contains the information required to be provided under 29 CFR 5.5(a)(3)(ii), the appropriate information is being maintained under 29 CFR 5.5(a)(3)(i), and that such information is correct and complete;

(ii) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in 29 CFR part 3;

(iii) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

(3) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph 3.b.(2) of this section.

(4) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under 18 U.S.C. 1001 and 31 U.S.C. 231.

c. The contractor or subcontractor shall make the records required under paragraph 3.a. of this section available for inspection, copying, or transcription by authorized representatives of the contracting agency, the State DOT, the FHWA, or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the FHWA may, after written notice to the contractor, the contracting agency or the State DOT, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

4. Apprentices and trainees (29 CFR 5.5)

a. Apprentices (programs of the USDOL).

Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Office of Apprenticeship Training, Employer and Labor Services or a State

Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice.

The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed.

Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination.

In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency recognized by the Office, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

b. Trainees (programs of the USDOL).

Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration.

The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration.

Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the

corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed.

In the event the Employment and Training Administration withdraws approval of a training program, the contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

c. Equal employment opportunity. The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR part 30.

d. Apprentices and Trainees (programs of the U.S. DOT).

Apprentices and trainees working under apprenticeship and skill training programs which have been certified by the Secretary of Transportation as promoting EEO in connection with Federal-aid highway construction programs are not subject to the requirements of paragraph 4 of this Section IV. 23 CFR 230.111(e)(2). The straight time hourly wage rates for apprentices and trainees under such programs will be established by the particular programs. The ratio of apprentices and trainees to journeymen shall not be greater than permitted by the terms of the particular program.

5. Compliance with Copeland Act requirements. The contractor shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this contract as provided in 29 CFR 5.5.

6. Subcontracts. The contractor or subcontractor shall insert Form FHWA-1273 in any subcontracts and also require the subcontractors to include Form FHWA-1273 in any lower tier subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 CFR 5.5.

7. Contract termination: debarment. A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

8. Compliance with Davis-Bacon and Related Act requirements. All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this contract as provided in 29 CFR 5.5.

9. Disputes concerning labor standards. As provided in 29 CFR 5.5, disputes arising out of the labor standards provisions of this contract shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor

set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.

10. Certification of eligibility (29 CFR 5.5)

a. By entering into this contract, the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

b. No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

c. The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

V. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT

Pursuant to 29 CFR 5.5(b), the following clauses apply to any Federal-aid construction contract in an amount in excess of \$100,000 and subject to the overtime provisions of the Contract Work Hours and Safety Standards Act. These clauses shall be inserted in addition to the clauses required by 29 CFR 5.5(a) or 29 CFR 4.6. As used in this paragraph, the terms laborers and mechanics include watchmen and guards.

1. Overtime requirements. No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek. 29 CFR 5.5.

2. Violation; liability for unpaid wages; liquidated damages. In the event of any violation of the clause set forth in paragraph 1 of this section, the contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph 1 of this section, in the sum currently provided in 29 CFR 5.5(b)(2)* for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph 1 of this section. 29 CFR 5.5.

* \$27 as of January 23, 2019 (See 84 FR 213-01, 218) as may be adjusted annually by the Department of Labor; pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990).

3. Withholding for unpaid wages and liquidated damages.

The FHWA or the contracting agency shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph 2 of this section. 29 CFR 5.5.

4. Subcontracts. The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraphs 1 through 4 of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs 1 through 4 of this section. 29 CFR 5.5.

VI. SUBLETTING OR ASSIGNING THE CONTRACT

This provision is applicable to all Federal-aid construction contracts on the National Highway System pursuant to 23 CFR 635.116.

1. The contractor shall perform with its own organization contract work amounting to not less than 30 percent (or a greater percentage if specified elsewhere in the contract) of the total original contract price, excluding any specialty items designated by the contracting agency. Specialty items may be performed by subcontract and the amount of any such specialty items performed may be deducted from the total original contract price before computing the amount of work required to be performed by the contractor's own organization (23 CFR 635.116).

a. The term "perform work with its own organization" in paragraph 1 of Section VI refers to workers employed or leased by the prime contractor, and equipment owned or rented by the prime contractor, with or without operators. Such term does not include employees or equipment of a subcontractor or lower tier subcontractor, agents of the prime contractor, or any other assignees. The term may include payments for the costs of hiring leased employees from an employee leasing firm meeting all relevant Federal and State regulatory requirements. Leased employees may only be included in this term if the prime contractor meets all of the following conditions: (based on longstanding interpretation)

- (1) the prime contractor maintains control over the supervision of the day-to-day activities of the leased employees;
- (2) the prime contractor remains responsible for the quality of the work of the leased employees;
- (3) the prime contractor retains all power to accept or exclude individual employees from work on the project; and
- (4) the prime contractor remains ultimately responsible for the payment of predetermined minimum wages, the submission of payrolls, statements of compliance and all other Federal regulatory requirements.

b. "Specialty Items" shall be construed to be limited to work that requires highly specialized knowledge, abilities, or

equipment not ordinarily available in the type of contracting organizations qualified and expected to bid or propose on the contract as a whole and in general are to be limited to minor components of the overall contract. 23 CFR 635.102.

2. Pursuant to 23 CFR 635.116(a), the contract amount upon which the requirements set forth in paragraph (1) of Section VI is computed includes the cost of material and manufactured products which are to be purchased or produced by the contractor under the contract provisions.

3. Pursuant to 23 CFR 635.116(c), the contractor shall furnish (a) a competent superintendent or supervisor who is employed by the firm, has full authority to direct performance of the work in accordance with the contract requirements, and is in charge of all construction operations (regardless of who performs the work) and (b) such other of its own organizational resources (supervision, management, and engineering services) as the contracting officer determines is necessary to assure the performance of the contract.

4. No portion of the contract shall be sublet, assigned or otherwise disposed of except with the written consent of the contracting officer, or authorized representative, and such consent when given shall not be construed to relieve the contractor of any responsibility for the fulfillment of the contract. Written consent will be given only after the contracting agency has assured that each subcontract is evidenced in writing and that it contains all pertinent provisions and requirements of the prime contract. (based on longstanding interpretation of 23 CFR 635.116).

5. The 30-percent self-performance requirement of paragraph (1) is not applicable to design-build contracts; however, contracting agencies may establish their own self-performance requirements. 23 CFR 635.116(d).

VII. SAFETY: ACCIDENT PREVENTION

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

1. In the performance of this contract the contractor shall comply with all applicable Federal, State, and local laws governing safety, health, and sanitation (23 CFR Part 635). The contractor shall provide all safeguards, safety devices and protective equipment and take any other needed actions as it determines, or as the contracting officer may determine, to be reasonably necessary to protect the life and health of employees on the job and the safety of the public and to protect property in connection with the performance of the work covered by the contract. 23 CFR 635.108.

2. It is a condition of this contract, and shall be made a condition of each subcontract, which the contractor enters into pursuant to this contract, that the contractor and any subcontractor shall not permit any employee, in performance of the contract, to work in surroundings or under conditions which are unsanitary, hazardous or dangerous to his/her health or safety, as determined under construction safety and health standards (29 CFR Part 1926) promulgated by the Secretary of Labor, in accordance with Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 3704). 29 CFR 1926.10.

3. Pursuant to 29 CFR 1926.3, it is a condition of this contract that the Secretary of Labor or authorized representative thereof, shall have right of entry to any site of contract performance to inspect or investigate the matter of compliance

with the construction safety and health standards and to carry out the duties of the Secretary under Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 3704).

VIII. FALSE STATEMENTS CONCERNING HIGHWAY PROJECTS

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

In order to assure high quality and durable construction in conformity with approved plans and specifications and a high degree of reliability on statements and representations made by engineers, contractors, suppliers, and workers on Federal-aid highway projects, it is essential that all persons concerned with the project perform their functions as carefully, thoroughly, and honestly as possible. Willful falsification, distortion, or misrepresentation with respect to any facts related to the project is a violation of Federal law. To prevent any misunderstanding regarding the seriousness of these and similar acts, Form FHWA-1022 shall be posted on each Federal-aid highway project (23 CFR Part 635) in one or more places where it is readily available to all persons concerned with the project:

18 U.S.C. 1020 reads as follows:

"Whoever, being an officer, agent, or employee of the United States, or of any State or Territory, or whoever, whether a person, association, firm, or corporation, knowingly makes any false statement, false representation, or false report as to the character, quality, quantity, or cost of the material used or to be used, or the quantity or quality of the work performed or to be performed, or the cost thereof in connection with the submission of plans, maps, specifications, contracts, or costs of construction on any highway or related project submitted for approval to the Secretary of Transportation; or

Whoever knowingly makes any false statement, false representation, false report or false claim with respect to the character, quality, quantity, or cost of any work performed or to be performed, or materials furnished or to be furnished, in connection with the construction of any highway or related project approved by the Secretary of Transportation; or

Whoever knowingly makes any false statement or false representation as to material fact in any statement, certificate, or report submitted pursuant to provisions of the Federal-aid Roads Act approved July 11, 1916, (39 Stat. 355), as amended and supplemented;

Shall be fined under this title or imprisoned not more than 5 years or both."

IX. IMPLEMENTATION OF CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT (42 U.S.C. 7606; 2 CFR 200.88; EO 11738)

This provision is applicable to all Federal-aid construction contracts in excess of \$150,000 and to all related subcontracts. 48 CFR 2.101; 2 CFR 200.326.

By submission of this bid/proposal or the execution of this contract or subcontract, as appropriate, the bidder, proposer, Federal-aid construction contractor, subcontractor, supplier, or vendor agrees to comply with all applicable standards, orders

or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act, as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal Highway Administration and the Regional Office of the Environmental Protection Agency. 2 CFR Part 200, Appendix II.

The contractor agrees to include or cause to be included the requirements of this Section in every subcontract, and further agrees to take such action as the contracting agency may direct as a means of enforcing such requirements. 2 CFR 200.326.

X. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

This provision is applicable to all Federal-aid construction contracts, design-build contracts, subcontracts, lower-tier subcontracts, purchase orders, lease agreements, consultant contracts or any other covered transaction requiring FHWA approval or that is estimated to cost \$25,000 or more – as defined in 2 CFR Parts 180 and 1200. 2 CFR 180.220 and 1200.220.

1. Instructions for Certification – First Tier Participants:

a. By signing and submitting this proposal, the prospective first tier participant is providing the certification set out below.

b. The inability of a person to provide the certification set out below will not necessarily result in denial of participation in this covered transaction. The prospective first tier participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective first tier participant to furnish a certification or an explanation shall disqualify such a person from participation in this transaction. 2 CFR 180.320.

c. The certification in this clause is a material representation of fact upon which reliance was placed when the contracting agency determined to enter into this transaction. If it is later determined that the prospective participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the contracting agency may terminate this transaction for cause of default. 2 CFR 180.325.

d. The prospective first tier participant shall provide immediate written notice to the contracting agency to whom this proposal is submitted if any time the prospective first tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances. 2 CFR 180.345 and 180.350.

e. The terms "covered transaction," "debarred," "suspended," "ineligible," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180, Subpart I, 180.900-180.1020, and 1200. "First Tier Covered Transactions" refers to any covered transaction between a recipient or subrecipient of Federal funds and a participant (such as the prime or general contract). "Lower Tier Covered Transactions" refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). "First Tier Participant" refers to the participant

who has entered into a covered transaction with a recipient or subrecipient of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).

f. The prospective first tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction. 2 CFR 180.330.

g. The prospective first tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions," provided by the department or contracting agency, entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the \$25,000 threshold. 2 CFR 180.220 and 180.300.

h. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. 2 CFR 180.300; 180.320, and 180.325. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. 2 CFR 180.335. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the System for Award Management website (<https://www.sam.gov/>). 2 CFR 180.300, 180.320, and 180.325.

i. Nothing contained in the foregoing shall be construed to require the establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of the prospective participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

j. Except for transactions authorized under paragraph (f) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default. 2 CFR 180.325.

* * * * *

2. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – First Tier Participants:

a. The prospective first tier participant certifies to the best of its knowledge and belief, that it and its principals:

(1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency, 2 CFR 180.335;.

(2) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property, 2 CFR 180.800;

(3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (a)(2) of this certification, 2 CFR 180.700 and 180.800; and

(4) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default. 2 CFR 180.335(d).

(5) Are not a corporation that has been convicted of a felony violation under any Federal law within the two-year period preceding this proposal (USDOT Order 4200.6 implementing appropriations act requirements); and

(6) Are not a corporation with any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted, or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability (USDOT Order 4200.6 implementing appropriations act requirements).

b. Where the prospective participant is unable to certify to any of the statements in this certification, such prospective participant should attach an explanation to this proposal. 2 CFR 180.335 and 180.340.

3. Instructions for Certification - Lower Tier Participants:

(Applicable to all subcontracts, purchase orders, and other lower tier transactions requiring prior FHWA approval or estimated to cost \$25,000 or more - 2 CFR Parts 180 and 1200). 2 CFR 180.220 and 1200.220.

a. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

b. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department, or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

c. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous by reason of changed circumstances. 2 CFR 180.365.

d. The terms "covered transaction," "debarred," "suspended," "ineligible," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180, Subpart I, 180.900 – 180.1020, and 1200. You may contact the person to which this proposal is

submitted for assistance in obtaining a copy of those regulations. "First Tier Covered Transactions" refers to any covered transaction between a recipient or subrecipient of Federal funds and a participant (such as the prime or general contractor). "Lower Tier Covered Transactions" refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). "First Tier Participant" refers to the participant who has entered into a covered transaction with a recipient or subrecipient of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).

e. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated. 2 CFR 1200.220 and 1200.332.

f. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the \$25,000 threshold. 2 CFR 180.220 and 1200.220.

g. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the System for Award Management website (<https://www.sam.gov/>), which is compiled by the General Services Administration. 2 CFR 180.300, 180.320, 180.330, and 180.335.

h. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

i. Except for transactions authorized under paragraph e of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment. 2 CFR 180.325.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Participants:

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals:

(a) is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency, 2 CFR 180.355;

(b) is a corporation that has been convicted of a felony violation under any Federal law within the two-year period preceding this proposal (USDOT Order 4200.6 implementing appropriations act requirements); and

(c) is a corporation with any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted, or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability. (USDOT Order 4200.6 implementing appropriations act requirements)

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant should attach an explanation to this proposal.

XI. CERTIFICATION REGARDING USE OF CONTRACT FUNDS FOR LOBBYING

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts which exceed \$100,000. 49 CFR Part 20, App. A.

1. The prospective participant certifies, by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that:

a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

2. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. The prospective participant also agrees by submitting its bid or proposal that the participant shall require that the language of this certification be included in all lower tier

subcontracts, which exceed \$100,000 and that all such recipients shall certify and disclose accordingly.

XII. USE OF UNITED STATES-FLAG VESSELS:

This provision is applicable to all Federal-aid construction contracts, design-build contracts, subcontracts, lower-tier subcontracts, purchase orders, lease agreements, or any other covered transaction. 46 CFR Part 381.

This requirement applies to material or equipment that is acquired for a specific Federal-aid highway project. 46 CFR 381.7. It is not applicable to goods or materials that come into inventories independent of an FHWA funded-contract.

When oceanic shipments (or shipments across the Great Lakes) are necessary for materials or equipment acquired for a specific Federal-aid construction project, the bidder, proposer, contractor, subcontractor, or vendor agrees:

1. To utilize privately owned United States-flag commercial vessels to ship at least 50 percent of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, material, or commodities pursuant to this contract, to the extent such vessels are available at fair and reasonable rates for United States-flag commercial vessels. 46 CFR 381.7.
2. To furnish within 20 days following the date of loading for shipments originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, 'on-board' commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph (b)(1) of this section to both the Contracting Officer (through the prime contractor in the case of subcontractor bills-of-lading) and to the Office of Cargo and Commercial Sealift (MAR-620), Maritime Administration, Washington, DC 20590. (MARAD requires copies of the ocean carrier's (master) bills of lading, certified onboard, dated, with rates and charges. These bills of lading may contain business sensitive information and therefore may be submitted directly to MARAD by the Ocean Transportation Intermediary on behalf of the contractor). 46 CFR 381.7.

**ATTACHMENT A - EMPLOYMENT AND MATERIALS
PREFERENCE FOR APPALACHIAN DEVELOPMENT
HIGHWAY SYSTEM OR APPALACHIAN LOCAL ACCESS
ROAD CONTRACTS (23 CFR 633, Subpart B, Appendix B)**

This provision is applicable to all Federal-aid projects funded under the Appalachian Regional Development Act of 1965.

1. During the performance of this contract, the contractor undertaking to do work which is, or reasonably may be, done as on-site work, shall give preference to qualified persons who regularly reside in the labor area as designated by the DOL wherein the contract work is situated, or the subregion, or the Appalachian counties of the State wherein the contract work is situated, except:

a. To the extent that qualified persons regularly residing in the area are not available.

b. For the reasonable needs of the contractor to employ supervisory or specially experienced personnel necessary to assure an efficient execution of the contract work.

c. For the obligation of the contractor to offer employment to present or former employees as the result of a lawful collective bargaining contract, provided that the number of nonresident persons employed under this subparagraph (1c) shall not exceed 20 percent of the total number of employees employed by the contractor on the contract work, except as provided in subparagraph (4) below.

2. The contractor shall place a job order with the State Employment Service indicating (a) the classifications of the laborers, mechanics and other employees required to perform the contract work, (b) the number of employees required in each classification, (c) the date on which the participant estimates such employees will be required, and (d) any other pertinent information required by the State Employment Service to complete the job order form. The job order may be placed with the State Employment Service in writing or by telephone. If during the course of the contract work, the information submitted by the contractor in the original job order is substantially modified, the participant shall promptly notify the State Employment Service.

3. The contractor shall give full consideration to all qualified job applicants referred to him by the State Employment Service. The contractor is not required to grant employment to any job applicants who, in his opinion, are not qualified to perform the classification of work required.

4. If, within one week following the placing of a job order by the contractor with the State Employment Service, the State Employment Service is unable to refer any qualified job applicants to the contractor, or less than the number requested, the State Employment Service will forward a certificate to the contractor indicating the unavailability of applicants. Such certificate shall be made a part of the contractor's permanent project records. Upon receipt of this certificate, the contractor may employ persons who do not normally reside in the labor area to fill positions covered by the certificate, notwithstanding the provisions of subparagraph (1c) above.

5. The provisions of 23 CFR 633.207(e) allow the contracting agency to provide a contractual preference for the use of mineral resource materials native to the Appalachian region.

6. The contractor shall include the provisions of Sections 1 through 4 of this Attachment A in every subcontract for work which is, or reasonably may be, done as on-site work.

Disadvantaged Business Enterprise (DBE) Special Provisions

Project Information	
State Project Number: 041-030-013	This contract uses the following project delivery method:
This contract will be solicited and administered by: <input type="checkbox"/> The Minnesota Department of Transportation (MnDOT) <input checked="" type="checkbox"/> A local governmental unit	<input checked="" type="checkbox"/> Design-bid-build (DBB) <input type="checkbox"/> Design-build (DB) <input type="checkbox"/> Construction Manager/General Contractor (CM/GC) <p style="text-align: center;">OR</p> <input type="checkbox"/> This is a professional-technical (PT) services contract

Introduction

Federal Regulations Govern. Some or all of the funds for this contract will come from the U.S. Department of Transportation (USDOT). Therefore, the federal Disadvantaged Business Enterprise (DBE) program described at Title 49, Part 26 of the Code of Federal Regulations (CFR) applies to this contract. The responder is responsible for understanding and following the requirements of 49 CFR Part 26.

Purpose. These special provisions (1) outline the responder’s obligations under the federal DBE program, (2) explain the process MnDOT Office of Civil Rights (OCR) will follow to evaluate the responder’s compliance with DBE program requirements, and (3) identify sanctions for failing to comply with DBE program requirements. These provisions apply *in addition to* any other requirements applicable to award of this contract.

Policy Statement. MnDOT must ensure nondiscrimination in the award and administration of federally eligible highway projects. The DBE program seeks to:

- Create a level playing field on which DBEs can compete fairly for federally eligible highway projects,
- Ensure that the DBE program is narrowly tailored,
- Ensure that only eligible firms are permitted to participate as DBEs,
- Help remove barriers to the participation of DBEs in federally eligible highway projects, and
- Provide flexibility in establishing and providing opportunities for DBEs.

Contract Assurance. The USDOT requires MnDOT, as a recipient of federal funds, to include the following paragraph in contracts for federally funded projects. It applies to the responder, and the responder must also include it in subcontracts the responder executes for this project.

The contractor, sub recipient or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate, which may include, but is not limited to, (1) withholding monthly progress payments, (2) assessing sanctions, (3) liquidated damages, and/or (4) disqualifying the contractor from future bidding as non-responsible.

Application and Interpretation. Terms must be interpreted as follows:

- “Responder” refers to the bidder, apparent low bidder, proposer, or apparent successful proposer.
- “Proposal” includes a bid, proposal or price proposal.

- “CRL” refers to AASHTOWare Project Civil Rights and Labor. For additional information about CRL, see **Attachment 5**.

DBE Directory. A directory of all certified DBEs in the state of Minnesota is available at the following link:

<http://mnucp.metc.state.mn.us/Default.aspx>

The Minnesota Unified Certification Program (MnUCP) maintains this directory. It is the definitive source of information regarding the DBE certification status of firms in Minnesota. A firm must be certified prior to contract execution in order to qualify for credit toward the DBE goal.

False Claims. The Federal False Claims Act (31 USC §§ 3729-3733) and Minnesota False Claims Act (Minn. Stat. § 15C.02) apply to statements and certifications the responder makes in connection with the DBE program.

Before Contract Award

DBE Goal

The DBE goal for this project is 2.8%. or Race/Gender Neutral

To be eligible for award of this contract, the responder must demonstrate that the responder has (1) obtained sufficient DBE participation to meet the DBE goal or (2) made adequate good faith efforts (GFE) to meet the DBE goal. The responder must submit the information specified in **Table A** in the time specified in **Table B**. If the contract has a specific numerical DBE participation goal, all responders must include their DBE commitment for the contract at the time the proposal is submitted. If the responder does not properly document the responder’s efforts or submit timely and complete documentation to MnDOT OCR, MnDOT must reject the responder’s bid.

Race/Gender Neutral Goal

If the DBE goal is Race/Gender Neutral (RGN), all responders are encouraged to include their anticipated DBE utilization for the contract in their proposals. **Each responder will still be required to submit a bidders list of all subcontractors and suppliers (both DBE and non-DBE) on projects with an RGN goal.** While DBE participation is encouraged on proposals with an RGN goal, responders are not required to submit GFE documentation specified in **Table A, other than a bidders list (parts D and E of Exhibit B, the GFE Consolidated form)**. Payment information described in **Table C** is required on **all projects**.

DBE Credit

DBE work may be counted toward the DBE goal for any of the following activities:

- hiring a DBE as a subcontractor or consultant to do project work,
- purchasing materials from a DBE (typically sixty percent of the supplier’s contracted amount will count toward the goal),
- leasing equipment from a DBE,
- entering into a joint venture with a DBE (this requires approval from OCR before bid opening), or
- using DBEs for other services specifically approved by OCR before bid opening.
- If the responder is an eligible DBE, the responder may count all work being self-performed towards the subcontractor goals on this project.

DBE credit is counted for work actually performed by a DBE. The DBE must perform a commercially useful function. **Attachment 1** describes how MnDOT will count DBE credit and how MnDOT will determine whether a DBE performs a commercially useful function.

Table A – What to Submit to MnDOT	
<input type="checkbox"/> Design-bid-build administered by MnDOT <input type="checkbox"/> Construction Manager/General Contractor administered by MnDOT <input type="checkbox"/> Design-build administered by MnDOT	<input checked="" type="checkbox"/> Construction Contract administered by local governmental unit <input type="checkbox"/> PT contract administered by MnDOT or local governmental unit
IF THE DBE GOAL IS MET	IF THE DBE GOAL IS MET
<ul style="list-style-type: none"> • Exhibit A for each DBE participating on the project • Parts A, B, C, D, and I of the GFE consolidated form • The responder must submit their bidders list or bidder/quoter information electronically via CRL. For this reason, the responder does not need to fill out parts E of the GFE consolidated form. 	<ul style="list-style-type: none"> • Exhibit A for each DBE participating on the project • Parts A, B, C, D, E, and I of the GFE consolidated form
IF THE DBE GOAL IS NOT MET	IF THE DBE GOAL IS NOT MET
<ul style="list-style-type: none"> • Exhibit A for each DBE participating on the project • Parts A, B, C, D, F, G, H and I of the GFE consolidated form • The responder must submit the bidders list or bidder/quoter information electronically via CRL. For this reason, the responder does not need to fill out part E of the GFE consolidated form. • Any additional information that will help explain the responder's efforts to obtain DBE participation (ONLY IF the responder does not meet the DBE goal) 	<ul style="list-style-type: none"> • Exhibit A for each DBE participating on the project • Parts A, B, C, D, E, F, G, H and I of the GFE consolidated form • Any additional information that will help explain the responder's efforts to obtain DBE participation (ONLY IF the responder does not meet the DBE goal)

Table B – When and How to Submit Information to MnDOT	
<input checked="" type="checkbox"/> Design-bid-build	<input type="checkbox"/> Professional-technical
<p><u>Date and Time</u> The submission due date is the 5th calendar day after the bid due date. Documentation is due before 4:30 PM Central Time on the 5th calendar day after the bids are due.</p> <p><u>Format and Location</u> The responder can submit documents via email, fax, hand delivery, or U.S. mail. Submit to MnDOT OCR as follows:</p> <p>Email: ocrformsubmissions.DOT@state.mn.us</p> <p>Fax: 651-366-3129.</p> <p>To hand-deliver or submit by U.S. mail, address printed documents to MnDOT Office of Civil Rights, 395 John Ireland Boulevard, Mail Stop 170, St. Paul, MN 55155. Submissions by U.S. mail will satisfy the timing requirement if <u>postmarked</u> by the time specified in the “Date and Time” section above.</p>	<p><u>Date and Time</u> The submission due date is the 5th calendar day after the successful responder is notified by MnDOT. Documentation is due before 4:30 PM Central Time on the 5th calendar day after the date of the successful responder letter/email issued by MnDOT.</p> <p><u>Format and Location</u> The responder can submit documents via email, fax, hand delivery, or U.S. mail. Submit to MnDOT OCR as follows:</p> <p>Email: ocrformsubmissions.DOT@state.mn.us</p> <p>Fax: 651-366-3129.</p> <p>To hand-deliver or submit by U.S. mail, address printed documents to MnDOT Office of Civil Rights, 395 John Ireland Boulevard, Mail Stop 170, St. Paul, MN 55155. Submissions by U.S. mail will satisfy the timing requirement if <u>postmarked</u> by the time specified in the “Date and Time” section above.</p>
<input type="checkbox"/> Construction Manager/General Contractor	<input type="checkbox"/> Design-build
<p><u>Date and Time</u> The submission due date is the letting date. Documentation is due before 4:30 PM Central Time on the letting date. Subsequent bid packages are due no later than 4:30 PM on the fifth calendar day following the letting of that bid package.</p> <p><u>Format and Location</u> The responder can submit documents via email, fax, hand delivery, or U.S. mail. Submit to MnDOT OCR as follows:</p> <p>Email: ocrformsubmissions.DOT@state.mn.us</p> <p>Fax: 651-366-3129.</p> <p>To hand-deliver or submit by U.S. mail, address printed documents to MnDOT Office of Civil Rights, 395 John Ireland Boulevard, Mail Stop 170, St. Paul, MN 55155. Submissions by U.S. mail will satisfy the timing requirement if <u>postmarked</u> by the time specified in the “Date and Time” section above.</p>	<p><u>Date and Time</u> The submission due date is 9:30AM on the Price Proposal due date. Documentation is due no later than 9:30AM on the Price Proposal due date.</p> <p><u>Format and Location</u> See the Design-Build “Instructions to Proposers” for format and location delivery specifics.</p>
On All Projects	
If the date the responder’s submission is due is a Saturday, Sunday, federal holiday, or Minnesota state holiday, the documentation is due on the next calendar day that is not a Saturday, Sunday, federal holiday, or Minnesota state holiday.	
The responder may submit a written request for an extension from the Director of MnDOT Office of Civil Rights for good cause shown. However, until the responder receives written approval of their request, the due date for its submission remains as specified above.	

If the responder does not meet the DBE goal, MnDOT OCR will conduct a Good Faith Efforts (GFE) review to determine whether the responder made adequate GFE to meet the goal based on the documentation the responder has provided by the submission due date. The standards MnDOT OCR will use to evaluate GFE are described in **Attachment 2**. Also, if MnDOT OCR determines that the responder did not make adequate GFE to meet the goal, the responder will be deemed non-responsible. The responder may request an administrative reconsideration of that determination. The process for administrative reconsideration is described in **Attachment 3**.

After Contract Award

DBE Commitments, Termination, and Replacement

The DBE Description of Work and Field Monitoring Report (Exhibit A) commits the responder to using the specified DBEs to perform work or supply materials. This commitment is binding on the responder unless the responder requests and is granted written approval from MnDOT OCR. If the responder fails to use a specified DBE for the amount of compensation the responder has specified in the Exhibit A form, without requesting and receiving written approval from MnDOT OCR, the responder has materially breached this contract and may not be entitled to payment for the work or materials that were committed to be performed by the DBE.

MnDOT OCR will not approve the responder's request to terminate a DBE unless the responder (1) gives written notice to the DBE, with a copy to MnDOT OCR, of the responder's intent to request to terminate the DBE's subcontract, (2) allow at least five business days for the DBE to advise the responder and MnDOT OCR of the reasons, if any, it objects to the proposed request to terminate, (3) demonstrate good cause to terminate the DBE as described in **Attachment 4**, and (4) either replace the DBE with another DBE for at least as much compensation as the initially specified DBE or make GFE to do so. MnDOT OCR will use the GFE standards described in **Attachment 2** to determine whether the responder made GFE. MnDOT OCR may shorten the five-day DBE response period if there is a public necessity. The responder may request assistance from MnDOT OCR to identify available replacement DBEs.

If the responder is involved in a negotiated procurement with MnDOT, the responder must obtain written approval from MnDOT as described in this section before deleting or substituting a DBE the responder has identified as part of a negotiation package. The responder must notify MnDOT OCR of any changes or substitutions to DBE participation, including changes occurring during the negotiation phase of the contract.

Continuing Good Faith Efforts

After contract award, the Contractor has a continuing obligation to make adequate good faith efforts to meet the DBE goal for the duration of the contract. Good faith efforts are explained in **Attachment 2**. To receive credit for DBE participation added after award, the responder must report the participation to MnDOT OCR and submit a DBE Description of Work and Field Monitoring Report (Exhibit A).

Prompt Payment to Subcontractors

The responder must pay each subcontractor no later than 10 business days of receiving payment for undisputed services provided by the subcontractor. This applies to all subcontractors. The responder must pay the subcontractor interest charges of 1.5 percent per month, or any part of a month, on any undisputed amount not paid within 10 days. The responder must make prompt and full payment of any retainage kept by the prime contractor to the subcontractor within 10 days after the subcontractor's work is satisfactorily completed "Satisfactorily completed" means all tasks identified in the subcontract have been accomplished and documented as required by MnDOT. If MnDOT has incrementally accepted a portion of a prime contract, the work of a subcontractor covered by that acceptance is deemed to be satisfactorily completed.

The responder must report payment information as specified in **Table C**. **If the responder fails to comply with prompt payment requirements, including reporting requirements, the responder has materially breached this contract.**

Furthermore, verification of the responder’s final payment to each subcontractor is a condition of final clearance from MnDOT OCR and final payment from MnDOT.

Table C – Required Payment Submissions	
<input type="checkbox"/> Design-bid-build administered by MnDOT <input type="checkbox"/> Construction Manager/General Contractor administered by MnDOT <input type="checkbox"/> Design-build administered by MnDOT	<input checked="" type="checkbox"/> Construction Contract administered by local gov’t unit <input type="checkbox"/> PT contract administered by MnDOT
<p>Within 10 business days of the responder’s receipt of MnDOT payment:</p> <ul style="list-style-type: none"> the responder must submit information about individual payments to subcontractors via CRL. <p>When final payment has been made to subcontractors:</p> <ul style="list-style-type: none"> the responder must submit information about the responder’s final payment to each subcontractor via CRL. the responder must submit a Total Payment Affidavit to MnDOT OCR after final payment to all DBE subcontractors. <p>To fax your submission, use 651-366-3129.</p> <p>To email your submission, attach documents as PDFs and send to ocrformsubmissions.dot@state.mn.us</p> <p>To submit by U.S. mail, address printed documents to MnDOT Office of Civil Rights, 395 John Ireland Boulevard, Mail Stop 170, St. Paul, MN 55155.</p>	<p>Within 10 business days of the responder’s receipt of MnDOT or Local Government Unit payment:</p> <ul style="list-style-type: none"> the responder must submit a Contractor Payment Form to MnDOT after each payment to a subcontractor. <p>When final payment has been made to all subcontractors:</p> <ul style="list-style-type: none"> the responder must submit a Total Payment Affidavit to MnDOT OCR after final payment to all DBE subcontractors. <p>To fax your submission, use 651-366-3129.</p> <p>To email your submission, attach documents as PDFs and send to ocrformsubmissions.dot@state.mn.us</p> <p>To submit by U.S. mail, address printed documents to MnDOT Office of Civil Rights, 395 John Ireland Boulevard, Mail Stop 170, St. Paul, MN 55155.</p>

Appendices

Explanatory Attachments

- Attachment 1 – Counting and Commercially Useful Function
- Attachment 2 – Good Faith Efforts Documentation and Standards
- Attachment 3 – Administrative Reconsideration
- Attachment 4 – Good Cause to Terminate a DBE
- Attachment 5 – Information about AASHTOWare Project CRL

Forms

- Exhibit A – DBE Description of Work and Field Monitoring Report
- Exhibit B – GFE Consolidated Form (Parts A-I)
- Exhibit C – Contractor Payment Form
- Exhibit D – Total Payment Affidavit

Attachment 1 – Counting and Commercially Useful Function

DBE Counting – Generally

- (a) When a DBE participates in a contract, MnDOT will only count the value of the work actually performed by the DBE toward DBE goals.
1. The entire amount of the portion of a construction contract (or other contract not covered by paragraph 49 C.F.R. § 26.55(a)(2)) that is performed by the DBE's own forces. Include the cost of supplies and materials obtained by the DBE for the work of the contract, including supplies purchased or equipment leased by the DBE (except supplies, and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate).
 2. The entire amount of fees or commissions charged by a DBE firm for providing a bona fide service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of a DOT-assisted contract, counts toward DBE goals, provided that MnDOT determines the fee to be reasonable and not excessive as compared with fees customarily allowed for similar services.
 3. When a DBE subcontracts part of the work of its contract to another firm, the value of the subcontract work may be counted toward DBE goals only if the DBE's subcontractor is itself a DBE. Work that a DBE subcontracts to a non-DBE firm will not count toward DBE goals.
- (b) When a DBE performs as a participant in a joint venture, MnDOT will count a portion of the total dollar value of the contract equal to the distinct, clearly defined portion of the work of the contract that the DBE performs with its own forces toward DBE goals.
- (c) If a firm is not currently certified as a DBE in accordance with the standards of 49 CFR Part 26 subpart D at the time of execution of the contract, MnDOT will not count the firm's participation toward any DBE goals.
- (d) The dollar value of the work performed under a contract with a firm after it has ceased to be certified will not be counted toward the overall goal.
- (e) MnDOT will not count the participation of a DBE subcontractor toward the responder's final compliance with the responder's DBE obligations on a contract until the responder has paid the amount to the DBE.

DBE Counting – Materials and Supplies

- (f) MnDOT will count the responder's expenditures with DBEs for materials or supplies toward DBE goals as follows.
1. MnDOT will count 100% of the cost of the materials or supplies toward DBE goals if the responder obtains the materials or supplies from a DBE manufacturer.
 2. For purposes of this section (f), a manufacturer is a firm that operates or maintains a factory or establishment that produces, on the premises, the materials, supplies, articles, or equipment required under the contract and of the general character described in the specifications.
 3. If the responder purchases the materials or supplies from a DBE regular dealer, MnDOT will count 60% of the cost of the materials or supplies toward DBE goals.
 4. For purposes of this section (f), a regular dealer is a firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the

specifications and required under the contract are bought, kept in stock, and regularly sold to or leased to the public in the usual course of business.

- A. To be a regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question.
- B. A person may be a regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating, or maintaining a place of business as provided in 49 C.F.R. §26.55(e)(2)(ii) if the person both owns and operates distribution equipment for the products. Any supplementing of regular dealers' own distribution equipment shall be by a long -term lease agreement and not on an ad hoc or contract-by-contract basis.
- C. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not regular dealers within the meaning of this section (e).
- D. If a DBE firm is supplying bulk materials such as petroleum products, steel, cement, gravel, stone or asphalt which are delivered to the project site or a commercial establishment for processing or storage prior to reaching the project site, the firm will receive 60% credit only for the total cost of materials and associated hauling used on this contract.

(g) With respect to materials or supplies the responder purchases from a DBE which is neither a manufacturer nor a regular dealer, MnDOT will count the entire amount of fees or commissions the responder pays for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on a job site, toward DBE goals, provided MnDOT determines the fees to be reasonable and not excessive as compared with fees customarily allowed for similar services. MnDOT, however, will not count any portion of the cost of the materials or supplies themselves toward DBE goals.

Commercially Useful Function – Generally

(h) MnDOT will count expenditures of a DBE toward DBE goals only if the DBE performs a commercially useful function on the contract.

- 1. A DBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the DBE must also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the materials, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a commercially useful function, MnDOT will evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing and DBE credit claimed for its performance of the work, and other relevant factors.
- 2. A DBE does not perform a commercially useful function if its role is limited to that of an extra participant in a transaction, contract, or project through which the funds are passed in order to obtain the appearance of DBE participation. In determining whether a DBE is such an extra participant, MnDOT must examine similar transactions, particularly those in which DBEs do not participate.
- 3. If a DBE does not perform or exercise responsibility for at least 30 percent of the total cost of its contract with its own work force, or the DBE subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practice for the type of work involved, MnDOT must presume that it is not performing a commercially useful function.

4. When a DBE is presumed not to be performing a commercially useful function as provided in the preceding paragraph, the DBE may present evidence to rebut this presumption. MnDOT may determine that the firm is performing a commercially useful function given the type of work involved and normal industry practices.
5. MnDOT decisions regarding commercially useful function are subject to review by the concerned operating administration but are not administratively appealable to DOT.

Commercially Useful Function – Trucking

(i) MnDOT will use the following factors to determine whether a DBE trucking company performs a commercially useful function.

1. The DBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible on a particular contract, and there cannot be a contrived arrangement for the purpose of the meeting DBE goals.
2. The DBE must itself own and operate at least one fully licensed, insured, and operational truck used on the contract.
3. The 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.
4. 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 another DBE receives credit for the total value of the transportation services the lessee DBE provides on the contract.
5. The DBE may lease trucks equipped with drivers from a non-DBE firm. In such a case, the DBE is entitled to credit for the total value of transportation services provided by the non-DBE firm not to exceed the value of transportation services provided by DBE-owned trucks or leased trucks with DBE employees. Additional participation by trucks and drivers from non-DBE firms will receive credit only for the fee or commission paid to the non-DBE firm as a result of the lease arrangement.
6. The DBE may also lease trucks without drivers from a non-DBE firm. If the DBE firm uses its own employees to drive the leased trucks, the DBE firm is entitled to credit for the full value of the transportation services.
7. For purposes of this section, a lease must indicate that the DBE has exclusive use of and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, so long as the lease gives the DBE absolute priority for the use of the leased truck. Leased trucks must display the name and identification number of the DBE.

Attachment 2 – Good Faith Efforts Documentation and Standards

If the responder's DBE commitment falls short of the DBE goal, the responder must demonstrate adequate good faith efforts (GFE) in order to be eligible for contract award (49 CFR § 26.53). To demonstrate that the responder made adequate GFE, the responder must show documentation that the responder took all necessary and reasonable steps to achieve the DBE goal which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if the responder were not fully successful.

The efforts employed by the responder should be those that one could reasonably expect the responder to take if the responder were actively and aggressively trying to obtain DBE participation sufficient to meet the DBE contract goal. Mere *pro forma* efforts are not good faith efforts to meet the contract requirements. The GFE consolidated form, attached to these provisions as Exhibit B, provides a helpful start to the responder's documentation, **but the responder is not limited to the information specified in the consolidated form.**

When the responder submits GFE documentation, the responder must explain the relevance of any documents the responder submits that are not mentioned in these special provisions or the related forms. **Responder is encouraged to submit ALL information that supports good faith efforts with an explanatory narrative.** Only documentation provided to MnDOT OCR by the submission due date can be considered by MnDOT to determine GFEs.

Good Faith Efforts Evaluation

MnDOT will consider the actions listed below when evaluating the responder's GFE documentation. This list closely resembles a list in 49 CFR Part 26, Appendix A. The listed actions are consistent with GFE, but the list is not a mandatory checklist, nor is it intended to be exclusive or exhaustive. MnDOT will also consider the performance of other bidders relative to the DBE goal. Other factors or types of efforts may be relevant in appropriate cases. MnDOT will make GFE determinations on a case-by-case basis.

- (a) **Conducting market research to identify small business contractors and suppliers and soliciting through all reasonable and available means the interest of all certified DBEs that have the capability to perform the work of the contract.** This may include attendance at pre-bid and business matchmaking meetings and events, advertising and/or written notices, posting of Notices of Sources Sought and/or Requests for Proposals, written notices or emails to DBEs that specialize in the areas of work desired (as noted in the DBE directory) and which are located in the area or surrounding areas of the project. The bidder should solicit this interest as early as practicable to allow the DBEs to respond to the solicitation and submit a timely offer for the subcontract. The bidder should determine with certainty if the DBEs are interested by taking appropriate steps to follow up on initial solicitations.
- (b) **Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved.** This includes, where appropriate, breaking out contract work items into economically feasible units (for example, smaller tasks or quantities) to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces. This may include, where possible, establishing flexible timeframes for performance and delivery schedules in a manner that encourages and facilitates DBE participation.
- (c) **Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation with their offer for the subcontract.**
- (d) **Negotiating in good faith with interested DBEs.** It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBEs to perform the work. A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a bidder's failure to meet the contract DBE

goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Prime contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.

(e) Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor's efforts to meet the project goal. Another practice considered an insufficient good faith effort is the rejection of the DBE because its quotation for the work was not the lowest received. However, nothing in this paragraph shall be construed to require the bidder or prime contractor to accept unreasonable quotes in order to satisfy contract goals. A prime contractor's inability to find a replacement DBE at the original price is not alone sufficient to support a finding that good faith efforts have been made to replace the original DBE. The fact that the contractor has the ability to perform the contract work with its own forces does not relieve the contractor of the obligation to make good faith efforts to find a replacement DBE, and it is not a sound basis for rejecting a prospective replacement DBE's reasonable quote.

(f) Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.

(g) Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.

(h) Effectively using the services of available minority/women community organizations; minority/women contractors' groups; local, State, and Federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.

Notification of MnDOT Decision

After reviewing the responder's GFE documentation and the performance of other bidders relative to the DBE goal, the Director of MnDOT OCR, or his or her designee, will determine whether the responder met the DBE goal or made adequate GFE. MnDOT OCR will mail the Director's determination to the responder approximately 15 business days after the responder's submittals are received. If the Director determines that the responder failed to meet the DBE goal or make adequate GFE, MnDOT OCR will send the notice by certified U.S. mail.

Attachment 3 – Administrative Reconsideration

If the Director determines that the responder failed to make adequate good faith efforts (GFE), the responder may request administrative reconsideration of that determination (49 CFR §26.53(d)).

Requesting Reconsideration

The responder's request for reconsideration must be written and timely. Otherwise, the responder will be deemed to have waived the right to reconsideration.

If the responder sends the request by fax or personal delivery, MnDOT must **receive** it no later than 4:30 PM on the fifth business day after the responder receives notice of the Director's determination. If the responder sends the responder's request by U.S. mail, it must be postmarked no later than the fifth business day after the responder receives notice of the Director's determination. The responder is deemed to have notice as of the date indicated on the certified mail receipt signed by the responder or the responder's representative at the time of delivery.

The responder's written request must be submitted to the attention of:

MnDOT Deputy Commissioner at: MnDOT, 395 John Ireland Blvd., St. Paul, MN 55155; or by fax at 651-366-4795.

A copy of the same request must be sent to the Director of the MnDOT Office of Civil Rights at 395 John Ireland Blvd., St. Paul, MN 55155 or by fax at 651-366-3129.

Reconsideration Process

The Commissioner of MnDOT will designate officials to serve as Reconsideration Officials. The Reconsideration Officials shall not have any role in the original determination that the responder failed to meet the DBE goal or make adequate GFE to do so.

As part of the reconsideration process, the responder will have the opportunity to:

- Provide the Reconsideration Officials written documentation and arguments as to why the responder believe the responder met the DBE goal or made adequate GFE to do so (49 CFR § 26.53(d)(1)).
- Meet in person with the Reconsideration Officials to explain why the responder believes the responder met the DBE goal or made adequate GFE to do so (49 CFR § 26.53(d)(3)).

The Reconsideration Officials will reconsider the record documenting the GFE the responder made. The reconsideration process is a review of only the GFE the responder made as of the submission due date specified in **Table B**. GFE made after that date will not be considered.

MnDOT will provide the responder with a written decision **within 5 business days following the date the responder is scheduled to meet with the Reconsideration Officials**. The written decision will include an explanation of reasons for the decision. The decision is not subject to administrative appeal to the U.S. Department of Transportation (49 CFR § 26.53(d)(5)).

Attachment 4 – Good Cause to Terminate a DBE

The responder may not, without written approval from MnDOT OCR, terminate or replace a DBE whose participation the responder represented in the original DBE commitment. MnDOT OCR will not approve a request to terminate or replace a DBE unless the responder demonstrates good cause to do so. In accordance with 49 CFR § 26.53(f), good cause includes the following circumstances.

- (a) The DBE subcontractor fails or refuses to execute a written contract;
- (b) The DBE subcontractor fails or refuses to perform the work of its subcontract in a way consistent with normal industry standards. Provided, however, that good cause does not exist if the failure or refusal of the DBE subcontractor to perform its work in the subcontract results from the bad faith or discriminatory action of the prime contractor;
- (c) The DBE subcontractor fails or refuses to meet the prime contractor's reasonable, nondiscriminatory bond requirements;
- (d) The DBE subcontractor becomes bankrupt, insolvent, or exhibits credit unworthiness;
- (e) The DBE subcontractor is ineligible to work on public works projects because of suspension and debarment proceedings pursuant to 2 CFR parts 180, 215 and 1,200 or applicable state law;
- (f) OCR has determined that the DBE subcontractor is not a responsible contractor;
- (g) The DBE subcontractor voluntarily withdraws from the project and provides to OCR written notice of its withdrawal;
- (h) The DBE is ineligible to receive DBE credit for the type of work required;
- (i) A DBE owner dies or becomes disabled with the result that the DBE contractor is unable to complete its work on the contract; or
- (j) Other documented good cause that MnDOT OCR determines compels the termination of the DBE subcontractor.

Good cause does not exist if the responder seeks to terminate a DBE represented in the responder's DBE commitment so the responder can self-perform or transfer to another subcontractor work originally committed to the DBE.

Attachment 5 – Information about AASHTOWARE Project CRL

General Information

AASHTOWare Project Civil Rights Labor (CRL) is a web-based system that currently allows contractors to submit electronic payroll, subcontract and subcontractor payment information, and Bidder/Quoter submittals.

Design-bid-build construction contracts let by MnDOT, advertised after July 1, 2013, report information through the CRL system.

More information regarding CRL requirements can be found in the MnDOT Standard Specifications for Construction: *Electronic Submission of Payrolls and Statements and Bidders Lists for Federally Funded Projects*.

Registration and Training

Information on annual contractor training, vendor and user registration, system support, forms, and manuals can be found at:

<https://www.dot.state.mn.us/const/labor/civil-rights-labor.html>

MnDOT also provides access to a CRL Interactive E-learning Tool at:

<https://www.dot.state.mn.us/onlinelearning/lcu/crl/>



Exhibit A - DBE Description of Work and Field Monitoring Report

A contract will not be awarded to the Prime Contractor unless this form is submitted with a signed subcontract, purchase order, or affidavit for each DBE participating in the contract. This form is complete when the DBE subcontractor has filled in **all of the applicable information in sections A through D and signed in section E.**

PLEASE PRINT CLEARLY OR TYPE.

Section (A): (All DBE subcontractors, including trucking firms, must complete this section.)

MUST BE COMPLETED BY THE DBE PRINCIPAL

Letting Date: _____	State Project Number: _____
Prime Contractor: _____	Phone #: _____
DBE Subcontractor: _____	Phone #: _____
DBE Principal Name: _____	Total Subcontract \$: _____
DBE Participation Claimed: Percent _____% Amount \$ _____	

Section (B): (All DBE subcontractors, including trucking firms and suppliers, must complete this section.)

1. Did you bid and sign a subcontract agreement with the above-named prime contractor? _____
2. List the line items to be performed and the associated North American Industry Classification System (NAICS) codes for each item:

Scope of Work	Associated NAICS Code

3. If equipment to be used is not owned by your firm, please provide the following information:
 - a. Will you be renting or leasing any of the following: (Attach a copy of the lease or rental agreement(s).
Equipment _____ Insurance _____ Operator _____ or Maintenance _____
 - b. Lessor's name: _____
Amount to be paid: _____ Number of days to be used: _____
4. Will there be any other firm(s) providing work listed in your (DBE) subcontract?
If yes, answer the following: Firm's Name: _____ \$ amount of the work: _____
5. What is the name of the person supervising your work on this project? _____
Is this your employee? _____
6. Is your firm purchasing materials (including Bulk Materials such as AC Oil, Cement, Gravel, etc.) to be supplied or installed on the project?
YES _____ NO _____ (If "Yes" Complete **Section C** below)

Section (C) (DBE firms purchasing or supplying materials on the project complete this section.)

Please submit Purchase Agreement, Materials Invoice, or Purchase Order from manufacturer(s) or primary material supplier(s).

1. What material(s) are you supplying? _____
2. Total dollar amount of materials to be supplied? _____
3. Who are you purchasing the materials from? _____
4. What is the quantity of material to be purchased? _____
5. Where are the materials being delivered? (ie. project site or plant) _____
6. Is the delivery equipment owned and operated by your firm? YES _____ NO _____
If not, who owns and operates the equipment? _____

Section (D) TO BE COMPLETED ONLY BY DBE TRUCKING FIRMS AND MATERIAL HAULERS

1. The number of hours contracted or quantities to be hauled on this project? _____
2. How many fully operational units will be used on this Project? _____ (Tractor/trailers: _____ Dump trucks: _____)
3. How many fully operational units will be yours? _____ (Dump trucks: _____ Tractors/trailers: _____)
4. How many other units will be yours? _____ (Tractors: _____ Trailers: _____)
5. How many ITOs will be used on this project? _____ (Tractors: _____ Trailers _____ Dump Trucks _____)

	Name of DBE ITOs (add a list if necessary)	Dollar Amount of Contract/Agreement	Number of Dump Trucks, Tractors/Trailers (specify)
1.			
2.			
3.			
4.			

Section (E): (All DBE subcontractors, including trucking firms, must complete this section.)

I hereby certify that the information presented above is correct. I agree to inform the Office of Civil Rights in writing of any change within 10 days of the change.

DBE Company: _____

DBE Principal: _____
 Signature Title Date

Section (F): TO BE COMPLETED BY MnDOT OFFICE OF CIVIL RIGHTS STAFF PERSON

Reviewed by OCR: _____ OCR Main Phone No: 651-366-3073

Email for OCR Forms: OCRFormSubmissions.DOT@state.mn.us

Section (G): TO BE COMPLETED BY PROJECT ENGINEER WHEN THE DBE'S PORTION OF WORK IS 1/3 TO 1/2 COMPLETED

1. Does it appear that the DBE firm is performing the work specified in (Exhibit "A") description of work?
 Yes _____ No _____
2. Does it appear that the DBE contractor is managing their portion of the project and using their own company employees?
 Yes _____ No _____
3. Does it appear that the DBE contractor is providing the equipment for their items of work or other work specified?
 Yes _____ No _____
4. Does it appear that the quality of the DBE contractor's performance, scheduling and project management are meeting industry standards?
 Yes _____ No _____
5. If the DBE is supplying materials, are the quantities proportionate for what is required on the project (refer to **Section C** above)?
 Yes ____ No ____
6. Comments: _____

NOTE: If you, as the Project Engineer, have checked "NO" to any of the above questions or have any other comments, it is important that you contact the MnDOT Office of Civil Rights Staff Person assigned to this project.

Project Engineer: _____ Date: _____



Exhibit B - Office of Civil Rights - Good Faith Efforts Consolidated Form

(Includes Parts A-I)

This form will assist you in demonstrating that you met the DBE goal or made adequate good faith efforts to meet the goal. You must provide this form and all supporting GFE documentation to the MnDOT Office of Civil Rights prior to the submission due date identified in **Table B** of the DBE Special Provisions.

PART A – PRIME CONTRACTOR’S INFORMATION (You must complete this part.)				
COMPANY NAME				
ADDRESS	STREET	CITY	STATE	ZIP CODE
PHONE #	FAX #		EMAIL ADDRESS	
CONTACT PERSON			TITLE	

PART B - PROJECT DESCRIPTION (You must complete this part.)			
STATE PROJECT #		CONTRACT # (If Applicable)	<input type="checkbox"/> Attach copy of MnDOT Advertisement
ANTICIPATED START DATE (Based on progress schedule)		EXPECTED COMPLETION DATE (Based on progress schedule)	
DBE GOAL	%	VS	DBE COMMITMENT % (Type of GFE Information – Check one only) <input type="checkbox"/> Pre-award <input type="checkbox"/> Post-award/Execution
TOTAL DBE PARTICIPATION DOLLARS BASED ON ADVERTISED DBE GOAL (Total prime bid \$ * DBE % Goal)			

PART C – PROJECT SUMMARY AMOUNTS (You must complete this part.)	
TOTAL PRIME BID	\$
TOTAL DOLLARS COMMITTED TO NON-DBE’S (Not including suppliers)	\$
TOTAL DOLLARS COMMITTED TO DBE’S (Not including suppliers)	\$
TOTAL DOLLARS COMMITTED TO DBE SUPPLIERS (Total paid to DBE suppliers 60%)	\$
WORKED PERFORMED BY PRIME	\$
PERCENT OF WORK PERFORMED BY PRIME	%
TOTAL DBE PARTICIPATION REMAINING (Difference between DBE goal \$ and DBE commitment \$)	\$

State Project Number:

Contractor:

PART D – BIDDERS LIST - DBE QUOTES SUBMITTED (You must complete this part. If the project is let by MnDOT, you must submit information through the AASHTOWare Project CRL about all bids/quotes you have received and enter your DBE Commitments on this form.)

DBE COMMITMENTS				Description of Work	Dollar Amount Of Bid/Proposal.	Will Firm Be Used?
List all DBE firms who provided quotes or bid proposals. Indicate whether the quotes were accepted. Please include a copy of their quote(s).						
DBE Contractor Information _____						
1.	DBE Contractor Name					Yes
	Contact Name					
	Address					
	Federal Tax #	E-mail				
	Phone	Fax:				
2.	DBE Contractor Name					Yes
	Contact Name					
	Address					
	Federal Tax #	E-mail				
	Phone	Fax				
3.	DBE Contractor Name					Yes
	Contact Name					
	Address					
	Federal Tax #	E-mail				
	Phone	Fax				
4.	DBE Contractor Name					Yes
	Contact Name					
	Address:					
	Federal Tax #	E-mail				
	Phone	Fax				

Make additional copies of this page as necessary

State Project Number:

Contractor:

PART E- BIDDERS LIST - NON-DBE QUOTES SUBMITTED (Complete this part only if the project is let by a local governmental unit. If the project is let by MnDOT, you must submit information about bids/quotes you have received through the AASHTOWare Project CRL online system rather than on this form.)							
NON-DBE COMMITMENTS List all non-DBE firms who provided quotes or bid proposals. Indicate whether the quotes were accepted. Please include a copy of their quote(s).							
<u>NON-DBE Contractor Information</u>			Description of Work	Dollar Amount Of Bid/Proposal.	Will Firm Be Used?		
1.	NON-DBE Contractor Name					Yes	
	Contact Name						
	Address						No
	Federal Tax #	E-mail					
	Phone	Fax:					
NON-DBE Contractor Name					Yes		
Contact Name							
Address						No	
Federal Tax #	E-mail						
Phone	Fax						
NON-DBE Contractor Name					Yes		
Contact Name							
Address						No	
Federal Tax #	E-mail						
Phone	Fax						
NON-DBE Contractor Name					Yes		
Contact Name							
Address:						No	
Federal Tax #	E-mail						
Phone	Fax						

Make additional copies of this page as necessary



State Project Number:

Contractor:

PART F – SOLICITATION OF SUBCONTRACTORS, SUPPLIERS, AND SERVICE PROVIDERS (Complete this part only if DBE goal is not met.)

List all subcontractors solicited, both DBE and non-DBE contractors, truckers and suppliers for this specific project. Include initial contact and follow-up dates, as well as methods of contact (Phone, Fax, Email, etc.).

The good faith effort submission should include evidence of the solicitation effort such as; copies of request for bids sent to DBE firms with the name of the DBE firms clearly identified; fax confirmation sheets showing the date, fax number, name of DBE firm, confirmation the fax was sent; list of all DBE firms called time of call, person contacted and response; or email lists with time/day sent clearly indicated etc.

Subcontractor/Supplier/Service provider	DBE?		Phone #	Dates, Method of Contact		Description of Work	Dollar Amount of Quote
	Yes	No		DATES	METHOD		
1	<input type="checkbox"/>	<input type="checkbox"/>					
2	<input type="checkbox"/>	<input type="checkbox"/>					
3	<input type="checkbox"/>	<input type="checkbox"/>					
4	<input type="checkbox"/>	<input type="checkbox"/>					
5	<input type="checkbox"/>	<input type="checkbox"/>					
6	<input type="checkbox"/>	<input type="checkbox"/>					
7	<input type="checkbox"/>	<input type="checkbox"/>					
8	<input type="checkbox"/>	<input type="checkbox"/>					
9	<input type="checkbox"/>	<input type="checkbox"/>					
10	<input type="checkbox"/>	<input type="checkbox"/>					
11	<input type="checkbox"/>	<input type="checkbox"/>					
12	<input type="checkbox"/>	<input type="checkbox"/>					

Make additional copies of this page as necessary



State Project Number:

Contractor:

PART G - DBEs QUOTED BUT NOT SELECTED (Complete this part only if DBE goal is not met.)

If DBE quotes were rejected, if necessary, attach a separate sheet of paper explaining the specific basis for rejecting any DBE quote.

Note: Additional cost is not in itself sufficient reason for rejecting a DBE quote. However, prime contractors need not accept excessive or unreasonable DBE quotes. The contractor's standing within its industry or memberships in specific groups (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of a quote in the contractor's efforts to meet the project goal. Please include a copy of the quote(s) received.

DBE QUOTE	DBE FIRMS WHO QUOTED, BUT WERE NOT SELECTED	TYPE OF WORK QUOTED	FIRM SELECTED FOR SCOPE QUOTED	REASON NOT SELECTED
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				

Make additional copies of this page as necessary

State Project Number:

Contractor:

PART H – DESCRIPTION OF GOOD FAITH EFFORTS (Complete this part only if DBE goal is not met. Use additional sheets if necessary.)

Please describe below or in a separate letter any aspects of your efforts to obtain DBE participation that are not already apparent from the information provided in parts A-G. This is an opportunity to “tell the story” of your GFE. Please give special attention to the factors identified in **Attachment 2** of the DBE special provisions and 49 CFR Part 26, Appendix A. The following questions may help you organize your description. **The questions below are not intended to be a checklist or an exhaustive list of what is considered in evaluating GFE.** Information not submitted will not be considered in making a finding of Good Faith Efforts.

Questions to consider:

- Did you use the current DBE directory to identify DBEs?
- Did you break out work into units that small businesses such as DBEs could reasonably perform?
- Did you solicit DBE participation for work you could have self-performed?
- Did you overlook any DBEs whose business operations are geographically close to the project?
- Did you host any DBE informational workshops or attend any MnDOT sponsored DBE events?
- Did you contact minority business organizations about DBE opportunities?
- Did you send timely written (fax, e-mail, etc.) solicitation notices to certified DBEs?
- Did your solicitation notice include the following information? *name and location of project, bid date, scope of work requested, location where DBEs can review plans and specifications, date and time to submit quote, contact name for technical assistance, any special requirements*
- Did you provide any contacts for possible bonding, insurance, or lines of credit?
- Did you provide any technical assistance relative to bonding, insurance, or lines of credit?
- Did you maintain a follow-up log to track responses to your initial solicitations?
- Did you track the following information after initial solicitation? *name of DBE firm, type of contact (fax, telephone, e-mail, etc.), date and time DBE contacted, name of contact person, response received, reason for DBE not bidding (if applicable)*
- Did you receive bids from DBE’s that you did not accept? If so, what were your reasons?

Type Response Below:



Exhibit B – Good Faith Efforts Consolidated Form

PART I – CERTIFICATION / GOOD FAITH EFFORTS AFFIDAVIT (You must complete this part.)

STATE OF MINNESOTA
COUNTY OF _____

I, _____, being first duly sworn, state as follows:
(Full Name)

1. I am the _____ of _____
(Title) (Name of Individual, Company, Partnership, or Corporation)

that has submitted a bid for State Project _____.

2. I have the authority to make this affidavit for and on behalf of the apparent low bidder.

3. The information provided in the attached Good Faith Efforts Consolidated Form is true and accurate to the best of my belief.

Table with 3 columns: SIGNATURE (Bidder or Authorized Representative), TITLE, DATE

Subscribed and sworn to before me this _____ day of _____, 20_____

Notary Public

My commission expires _____, 20_____

Pursuant to 49 CFR § 26.107, if any person or firm has willfully and knowingly provided incorrect information or made false statements in connection with the Federal DBE program, the USDOT may initiate suspension or debarment proceedings against such person or firm under 49 CFR Part 29, take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, and/or refer the matter to the Department of Justice for criminal prosecution under 18 U.S.C. 1001, which prohibits false statements in Federal programs.



**Minnesota Department of Transportation
Office of Civil Rights**

Contractor Payment Form

State Project Number: _____ **Prime Contractor:** _____ **1st Tier Sub-Contractor:** _____

Payment Reporting Period: From: _____ To: _____

Instructions: All Contractors making payments to Contractors/Subcontractors/Suppliers/Service Providers, regardless of their tier or DBE status, are required to complete and submit this form to the MnDOT Office of Civil Rights (OCR), each time payments are made to sub-contractors until final payment is made. Failure to comply with this form and Minnesota's prompt payment law may cause progress payments to be withheld. Submit one copy of this form to MnDOT OCR and one copy to the Project Engineer, no later than ten (10) days after receiving payment from MnDOT. Some projects require that payment information be entered into AASHTOWare Project CRL. See Table C of the DBE Special Provisions for payment submission requirements.

Contractor Information		Original Contract Amount	Committed DBE %	Actual DBE % to Date
Name:				
Address:				
Phone:				
Name of Subcontractor/Supplier	DBE? (Check if Yes)	Description of Work	Subcontract Amount	
1.	<input type="checkbox"/>	1.	1.	
2.	<input type="checkbox"/>	2.	2.	
3.	<input type="checkbox"/>	3.	3.	
4.	<input type="checkbox"/>	4.	4.	
5.	<input type="checkbox"/>	5.	5.	
6.	<input type="checkbox"/>	6.	6.	
Amount of Current Payment	Total Sub-Contractor Payment-To-Date	% Paid to date	Final Payment? Yes/No	
1.	1.	1.	1.	
2.	2.	2.	2.	
3.	3.	3.	3.	
4.	4.	4.	4.	
5.	5.	5.	5.	
6.	6.	6.	6.	
Company Officials Signature & Title		Date Signed	Name & Title of Individual Completing Report (Type or Print Clearly)	
Title:		Title:		
Phone:	Fax:	Phone:	Fax:	



DBE Total Payment Affidavit

Pursuant to MnDOT Standard Specifications for Construction, Section 1516.3, the following DBE Total Payment Affidavit shall be executed by the Prime Contractor after all work contracted to be performed by DBEs has been satisfactorily completed. This Affidavit is required prior to MnDOT Office of Civil Rights issuing final clearance on the project. Identify each DBE firm that worked on the project and the dollar amount of the subcontract. If the dollar value of a DBE firm's total work is less than the DBE's original subcontract, please attach an explanation.

State Project Number: _____

STATE OF MINNESOTA

COUNTY OF _____

I, _____, being first duly sworn, state as follows:
(Full Name)

1. I am the authorized representative of _____
(Name of Individual, Company, Partnership or Corporation)

and I have the authority to make this affidavit for and on behalf of said Prime Contractor.

2. The following DBE Subcontractors/Suppliers/Service Providers/Sub-Consultants have performed work on the above project with a total dollar value of:

	Name of DBE Firm	Dollar Amount of Subcontract	Total Dollar Amount Paid
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

3. I have fully informed myself regarding the accuracy of the statements made in this Affidavit.

Signed: _____
(Prime Contractor or Authorized Representative)

Subscribed and sworn to before me

This _____ day of _____, 20____

(Notary Public)

My commission expires _____, 20____

Prepare affidavit in duplicate. Submit one affidavit to the Project Engineer, and one to:
MnDOT's Office of Civil Rights, 395 John Ireland Blvd., MS 170, St. Paul, MN 55155
or email completed form to: ocrformsubmissions.dot@state.mn.us

No. 1516.3 – Standard Specifications for Construction
Unless the Contractor has presented an Affidavit showing the total dollar amounts of work performed by Disadvantaged Business Enterprises (DBE), a final clearance letter will not be issued.

NOTICE TO BIDDERS

This project has a Disadvantaged Business Enterprise (DBE) requirement.

If you are the apparent low bidder, you will be required to submit certain DBE documents to the Office of Civil Rights at the Minnesota Department of Transportation **within five (5) business days after the bid opening date** (the five day period starts the next business day after the bid opening date). Failure to do so could result in **disqualification** as the lowest responsible bidder and award proceedings may then be initiated with the next lowest responsible bidder.

The local agency will attempt to notify the apparent low bidder as soon as possible after the bids are opened and examined. To ensure that the apparent low bidder is notified in a timely manner it is required to have the contact information for at least one responsible party and an alternate party – at least one of whom must be available immediately after the bids have been examined – capable of commencing the DBE document submittal.

Fill in the contact information in the spaces provided.

Responsible party:

Name: _____

Telephone: _____

Fax: _____

Email address: _____

Postal address: _____

Alternate party:

Name: _____

Telephone: _____

Fax: _____

Email address: _____

Postal address: _____

THE FOLLOWING CERTIFICATION WITH REGARD TO THE PERFORMANCE OF PREVIOUS CONTRACTS OR SUBCONTRACTS SUBJECT TO THE EQUAL OPPORTUNITY CLAUSE AND THE FILING OF REQUIRED REPORTS SHALL BE EXECUTED BY THE BIDDER.

The bidder hereby certifies the he/she has _____, has not _____, participated in a previous contract or subcontract subject to the equal opportunity clause, as required by Executive Orders 10925, 11114 or 11246, and that he/she has _____, has not _____, filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

(Company)

By: _____

(Title)

Date: _____

Note: The above certification is required by the Equal Employment Opportunity Regulations of the Secretary of Labor (41CFR 60-1.7(b)(1)), and must be submitted by bidders and proposed subcontractors only in connection with contracts and subcontracts which are exempt from the equal opportunity clause. Contracts and subcontracts which are exempt from the equal opportunity clause are set forth in 41 CFR 60-1.5. (Generally only contracts or subcontracts of \$10,000 or under are exempt.)

Currently, Standard Form 100 (EEO-1) is the only report required by Executive Orders or their implementing regulations.

Proposed prime contractors and subcontractors who have participated in a previous contract or subcontract subject to the Executive Orders and have not filed the required reports should note that 41 CFR 60-1.7(b)(1) prevents the award of contracts and subcontracts unless such contractor submits a report covering the delinquent period or such other period specified by the Federal Highway Administration or by the Director, Office of Federal Contract Compliance, U.S. Department of Labor.

AFFIRMATIVE ACTION STATEMENT

I, we, fully intend to comply with the standards of equal employment and anti-discrimination as cited in the Civil Rights Act of 1964, as amended in 1972 by the Equal Employment Opportunity Report.

Signed: _____

Title: _____

EQUAL EMPLOYMENT OPPORTUNITY POLICY

This is to affirm _____ 's policy of providing Equal Opportunity to all employees and applicants
Employer's Name

for employment in accordance with all applicable Equal Employment Opportunity/Affirmative Action laws, directives and regulations of Federal, State and Local governing bodies or agencies thereof, specifically Minnesota statutes 363.

_____ will not discriminate against or harass any employee or applicant for employment
Employer's Name

because of race, color, creed, religion, national origin, sex, sexual orientation, disability, age, marital status, or status with regard to public assistance.

_____ will take Affirmative Action to ensure that all employment practices are free of such
Employer's Name
discrimination. Such employment practices include, but are not limited to, the following: hiring, upgrading, demotion, transfer, recruitment or recruitment advertising, selection, layoff, disciplinary action, termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.

_____ will commit the necessary time and resources, both financial and human, to achieve
Employer's Name
the goals of Equal employment Opportunity and Affirmative Action.

_____ fully supports incorporation of non-discrimination and Affirmative Action rules and
Employer's Name
regulations into contracts.

_____ will evaluate the performance of its management and supervisory personnel on the basis
Employer's Name
of their involvement in achieving these Affirmative Action objectives as well as other established criteria. Any employee of this organization, or subcontractor to this employer, who does not comply with the Equal Employment Opportunity Policies and Procedures as set forth in this statement and Plan will be subject to disciplinary action. Any subcontractor not complying with all applicable Equal Employment Opportunity/Affirmative Action laws, directives and regulations of the Federal, state and Local governing bodies or agencies thereof, specifically Minnesota Statutes 363 will be subject to appropriate legal sanctions.

_____ has appointed _____ to manage the Equal Employment Opportunity Program.
Employer's Name Name

His/Her responsibilities will include monitoring all Equal employment Opportunity activities and reporting the effectiveness of this Affirmative Action Program, are required by Federal, State and Local agencies. The Chief Executive Officer of _____ will receive and review reports on the progress of the program.
Employer's Name

If any employee or applicant for employment believes he/she has been discriminated against, please contact
_____, _____ ; or call _____.
Name Address Phone

Name, Title of CEO

Date

**I DO HEREBY CERTIFY THAT I AM IN COMPLIANCE
MINNESOTA STATUTES SECTION 363, AS AMENDED BY
LAWS OF 1969.**

DATE _____

SIGNED _____

REPRESENTING _____

TELEPHONE NO. _____

APPENDIX A

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the “contractor”) agrees as follows:

1. **Compliance with Regulations:** The contractor (hereinafter includes consultants) will comply with the Acts and the Regulations relative to Non-discrimination in Federally-assisted programs of the U.S. Department of Transportation, **Federal Highway Administration (FHWA)**, as they may be amended from time to time, which are herein incorporated by reference and made a part of this contract.
2. **Non-discrimination:** The contractor, with regard to the work performed by it during the contract, will not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor will not participate directly or indirectly in the discrimination prohibited by the Acts and the Regulations, including employment practices when the contract covers any activity, project, or program set forth in Appendix B of 49 CFR Part 21. *[Include Modal Operating Administration specific program requirements.]*
3. **Solicitations for Subcontracts, Including Procurements of Materials and Equipment:** In all solicitations, either by competitive bidding, or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials, or leases of equipment, each potential subcontractor or supplier will be notified by the contractor of the contractor’s obligations under this contract and the Acts and the Regulations relative to Non-discrimination on the grounds of race, color, or national origin. *[Include Modal Operating Administration specific program requirements.]*
4. **Information and Reports:** The contractor will provide all information and reports required by the Acts, the Regulations, and directives issued pursuant thereto and will permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Recipient or the **FHWA** to be pertinent to ascertain compliance with such Acts, Regulations, and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish the information, the contractor will so certify to the Recipient or the **FHWA**, as appropriate, and will set forth what efforts it has made to obtain the information.
5. **Sanctions for Noncompliance:** In the event of a contractor’s noncompliance with the Non-discrimination provisions of this contract, the Recipient will impose such contract sanctions as it or the **FHWA** may determine to be appropriate, including, but not limited to:
 - a. withholding payments to the contractor under the contract until the contractor complies; and/or
 - b. cancelling, terminating, or suspending a contract, in whole or in part.
6. **Incorporation of Provisions:** The contractor will include the provisions of paragraphs one through six in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Acts, the Regulations and directives issued pursuant thereto. The contractor will take action with respect to any subcontract or procurement as the Recipient or the **FHWA** may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, that if the contractor becomes involved in, or is threatened with litigation by a subcontractor, or supplier because of such direction, the contractor may request the Recipient to enter into any litigation to protect the interests of the Recipient. In addition, the contractor may request the United States to enter into the litigation to protect the interests of the United States.

APPENDIX E

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the “contractor”) agrees to comply with the following non-discrimination statutes and authorities; including but not limited to:

Pertinent Non-Discrimination Authorities:

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*, 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin); and 49 CFR Part 21.
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 *et seq.*), (prohibits discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 *et seq.*), as amended, (prohibits discrimination on the basis of disability); and 49 CFR Part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 *et seq.*), (prohibits discrimination on the basis of age);
- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms “programs or activities” to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- Titles II and III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131 – 12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;
- The Federal Aviation Administration’s Non-discrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1681 *et seq.*).

NON-COLLUSION AFFIDAVIT

The following Non-Collusion Affidavit shall be executed by the bidder:

State Project No. _____

Federal Project No. _____

State of Minnesota _____)

) ss

County of _____)

I, _____, do state under penalty of
(name of person signing this affidavit)

perjury under 28 U.S.C. 1746 of the laws of the United States:

(1) that I am the authorized representative of _____

(name of person, partnership or corporation submitting this proposal)

and that I have the authority to make this affidavit for and on behalf of said bidder;

(2) that, in connection with this proposal, the said bidder has not either directly or indirectly entered into any agreement, participated in any collusion or otherwise taken any action in restraint of free competitive bidding;

(3) that, to the best of my knowledge and belief, the contents of this proposal have not been communicated by the bidder or by any of his/her employees or agents to any person who is not an employee or agent of the bidder or of the surety on any bond furnished with the proposal and will not be communicated to any person who is not an employee or agent of the bidder or of said surety prior to the official opening of the proposal, and

(4) that I have fully informed myself regarding the accuracy of the statements made in this affidavit.

Signed: _____
(bidder or his authorized representative)

**ATTACHMENT A
PRIME CONTRACTOR RESPONSE**

RESPONSIBLE CONTRACTOR VERIFICATION AND CERTIFICATION OF COMPLIANCE

STATE PROJECT NUMBER: _____

This form includes changes by statutory references from the Laws of Minnesota 2015, chapter 64, sections 1-9. This form must be submitted with the response to this solicitation. A response received without this form, will be rejected.

Minn. Stat. § 16C.285, Subd. 7. **IMPLEMENTATION.** ... any prime contractor or subcontractor or motor carrier that does not meet the minimum criteria in subdivision 3 or fails to verify that it meets those criteria is not a responsible contractor and is not eligible to be awarded a construction contract for the project or to perform work on the project...

Minn. Stat. § 16C.285, Subd. 3. **RESPONSIBLE CONTRACTOR, MINIMUM CRITERIA.** "Responsible contractor" means a contractor that conforms to the responsibility requirements in the solicitation document for its portion of the work on the project and verifies that it meets the following minimum criteria:

- | | |
|-----|---|
| (1) | <p>The Contractor:</p> <ul style="list-style-type: none">(i) is in compliance with workers' compensation and unemployment insurance requirements;(ii) is in compliance with Department of Revenue and Department of Employment and Economic Development registration requirements if it has employees;(iii) has a valid federal tax identification number or a valid Social Security number if an individual; and(iv) has filed a certificate of authority to transact business in Minnesota with the Secretary of State if a foreign corporation or cooperative. |
| (2) | <p>The contractor or related entity is in compliance with and, during the three-year period before submitting the verification, has not violated section 177.24, 177.25, 177.41 to 177.44, 181.03, 181.101, 181.13, 181.14, or 181.722, and has not violated United States Code, title 29, sections 201 to 219, or United States Code, title 40, sections 3141 to 3148. For purposes of this clause, a violation occurs when a contractor or related entity:</p> <ul style="list-style-type: none">(i) repeatedly fails to pay statutorily required wages or penalties on one or more separate projects for a total underpayment of \$25,000 or more within the three-year period, provided that a failure to pay is "repeated" only if it involves two or more separate and distinct occurrences of underpayment during the three-year period;(ii) has been issued an order to comply by the commissioner of Labor and Industry that has become final;(iii) has been issued at least two determination letters within the three-year period by the Department of Transportation finding an underpayment by the contractor or related entity to its own employees;(iv) has been found by the commissioner of Labor and Industry to have repeatedly or willfully violated any of the sections referenced in this clause pursuant to section 177.27;(v) has been issued a ruling or findings of underpayment by the administrator of the Wage and Hour Division of the United States Department of Labor that have become final or have been upheld by an administrative law judge or the Administrative Review Board; or(vi) has been found liable for underpayment of wages or penalties or misrepresenting a construction worker as an independent contractor in an action brought in a court having jurisdiction. Provided that, if the contractor or related entity contests a determination of underpayment by the Department of Transportation in a contested case proceeding, a violation does not occur until the contested case proceeding has concluded with a determination that the contractor or related entity underpaid wages or penalties;* |

(3)	The contractor or related entity is in compliance with and, during the three-year period before submitting the verification, has not violated section 181.723 or chapter 326B. For purposes of this clause, a violation occurs when a contractor or related entity has been issued a final administrative or licensing order;*
(4)	The contractor or related entity has not, more than twice during the three-year period before submitting the verification, had a certificate of compliance under section 363A.36 revoked or suspended based on the provisions of section 363A.36, with the revocation or suspension becoming final because it was upheld by the Office of Administrative Hearings or was not appealed to the office;*
(5)	The contractor or related entity has not received a final determination assessing a monetary sanction from the Department of Administration or Transportation for failure to meet targeted group business, disadvantaged business enterprise, or veteran-owned business goals, due to a lack of good faith effort, more than once during the three-year period before submitting the verification;*
	* Any violations, suspensions, revocations, or sanctions, as defined in clauses (2) to (5), occurring prior to July 1, 2014, shall not be considered in determining whether a contractor or related entity meets the minimum criteria.
(6)	The contractor or related entity is not currently suspended or debarred by the federal government or the state of Minnesota or any of its departments, commissions, agencies, or political subdivisions that have authority to debar a contractor; and
(7)	All subcontractors and motor carriers that the contractor intends to use to perform project work have verified to the contractor through a signed statement under oath by an owner or officer that they meet the minimum criteria listed in clauses (1) to (6).

<p>Minn. Stat. § 16C.285, Subd. 5. SUBCONTRACTOR VERIFICATION.</p>
<p>A prime contractor or subcontractor shall include in its verification of compliance under subdivision 4 a list of all of its first-tier subcontractors that it intends to retain for work on the project. Prior to execution of a construction contract, and as a condition precedent to the execution of a construction contract, the apparent successful prime contractor shall submit to the contracting authority a supplemental verification under oath confirming compliance with subdivision 3, clause (7). Each contractor or subcontractor shall obtain from all subcontractors with which it will have a direct contractual relationship a signed statement under oath by an owner or officer verifying that they meet all of the minimum criteria in subdivision 3 prior to execution of a construction contract with each subcontractor.</p> <p>If a prime contractor or any subcontractor retains additional subcontractors on the project after submitting its verification of compliance, the prime contractor or subcontractor shall obtain verifications of compliance from each additional subcontractor with which it has a direct contractual relationship and shall submit a supplemental verification confirming compliance with subdivision 3, clause (7), within 14 days of retaining the additional subcontractors.</p> <p>A prime contractor shall submit to the contracting authority upon request copies of the signed verifications of compliance from all subcontractors of any tier pursuant to subdivision 3, clause (7). A prime contractor and subcontractors shall not be responsible for the false statements of any subcontractor with which they do not have a direct contractual relationship. A prime contractor and subcontractors shall be responsible for false statements by their first-tier subcontractors with which they have a direct contractual relationship only if they accept the verification of compliance with actual knowledge that it contains a false statement.</p> <p>Subd. 5a. Motor carrier verification. A prime contractor or subcontractor shall obtain annually from all motor carriers with which it will have a direct contractual relationship a signed statement under oath by an owner or officer verifying that they meet all of the minimum criteria in subdivision 3 prior to execution of a construction contract with each motor carrier. A prime contractor or subcontractor shall require each such motor carrier to provide it with immediate written notification in the event that the motor carrier no longer meets one or more of the minimum criteria in subdivision 3 after submitting its annual verification. A motor carrier shall be ineligible to perform work on a project covered by this section if it does not meet all the minimum criteria in subdivision 3. Upon request, a prime contractor or subcontractor shall submit to the contracting authority the signed verifications of compliance from all motor carriers providing for-hire transportation of materials, equipment, or supplies for a project.</p>

Minn. Stat. § 16C.285, Subd. 4. **VERIFICATION OF COMPLIANCE.**

A contractor responding to a solicitation document of a contracting authority shall submit to the contracting authority a signed statement under oath by an owner or officer verifying compliance with each of the minimum criteria in subdivision 3, with the exception of clause (7), at the time that it responds to the solicitation document.

A contracting authority may accept a signed statement under oath as sufficient to demonstrate that a contractor is a responsible contractor and shall not be held liable for awarding a contract in reasonable reliance on that statement. A prime contractor, subcontractor, or motor carrier that fails to verify compliance with any one of the required minimum criteria or makes a false statement under oath in a verification of compliance shall be ineligible to be awarded a construction contract on the project for which the verification was submitted.

A false statement under oath verifying compliance with any of the minimum criteria may result in termination of a construction contract that has already been awarded to a prime contractor or subcontractor or motor carrier that submits a false statement. A contracting authority shall not be liable for declining to award a contract or terminating a contract based on a reasonable determination that the contractor failed to verify compliance with the minimum criteria or falsely stated that it meets the minimum criteria. A verification of compliance need not be notarized. An electronic verification of compliance made and submitted as part of an electronic bid shall be an acceptable verification of compliance under this section provided that it contains an electronic signature as defined in section 325L.02, paragraph (h).

CERTIFICATION

By signing this document I certify that I am an owner or officer of the company, and I certify under oath that:

- 1) My company meets each of the Minimum Criteria to be a responsible contractor as defined herein and is in compliance with Minn. Stat. § 16C.285, and**
- 2) if my company is awarded a contract, I will submit Attachment A-1 prior to contract execution, and**
- 3) if my company is awarded a contract, I will also submit Attachment A-2 as required.**

Authorized Signature of Owner or Officer:

Printed Name:

Title:

Date:

Company Name:

NOTE: Minn. Stat. § 16C.285, Subd. 2, (c) If only one prime contractor responds to a solicitation document, a contracting authority may award a construction contract to the responding prime contractor even if the minimum criteria in subdivision 3 are not met.

ATTACHMENT A-1

FIRST-TIER SUBCONTRACTORS LIST

SUBMIT PRIOR TO EXECUTION OF A CONSTRUCTION CONTRACT

STATE PROJECT NUMBER: _____

Minn. Stat. § 16C.285, Subd. 5. A prime contractor or subcontractor shall include in its verification of compliance under subdivision 4 a list of all of its first-tier subcontractors that it intends to retain for work on the project. Prior to execution of a construction contract, and as a condition precedent to the execution of a construction contract, the apparent successful prime contractor shall submit to the contracting authority a supplemental verification under oath confirming compliance with subdivision 3, clause (7). Each contractor or subcontractor shall obtain from all subcontractors with which it will have a direct contractual relationship a signed statement under oath by an owner or officer verifying that they meet all of the minimum criteria in subdivision 3 prior to execution of a construction contract with each subcontractor.

FIRST TIER SUBCONTRACTOR NAMES* (Legal name of company as registered with the Secretary of State)	Name of city where company home office is located

*Attach additional sheets as needed for submission of all first-tier subcontractors.

SUPPLEMENTAL CERTIFICATION FOR ATTACHMENT A-1	
By signing this document I certify that I am an owner or officer of the company, and I certify under oath that: All first-tier subcontractors listed on attachment A-1 have verified through a signed statement under oath by an owner or officer that they meet the minimum criteria to be a responsible contractor as defined in Minn. Stat. § 16C.285.	
Authorized Signature of Owner or Officer:	Printed Name:
Title:	Date:
Company Name:	

ATTACHMENT A-2

ADDITIONAL SUBCONTRACTORS LIST

PRIME CONTRACTOR TO SUBMIT AS SUBCONTRACTORS ARE ADDED TO THE PROJECT

STATE PROJECT NUMBER: _____

This form must be submitted to the Project Manager or individual as identified in the solicitation document.

Minn. Stat. § 16C.285, Subd. 5. ... If a prime contractor or any subcontractor retains additional subcontractors on the project after submitting its verification of compliance, the prime contractor or subcontractor shall obtain verifications of compliance from each additional subcontractor with which it has a direct contractual relationship and shall submit a supplemental verification confirming compliance with subdivision 3, clause (7), within 14 days of retaining the additional subcontractors. ...

ADDITIONAL SUBCONTRACTOR NAMES* (Legal name of company as registered with the Secretary of State)	Name of city where company home office is located

*Attach additional sheets as needed for submission of all additional subcontractors.

SUPPLEMENTAL CERTIFICATION FOR ATTACHMENT A-2	
By signing this document I certify that I am an owner or officer of the company, and I certify under oath that: All additional subcontractors listed on Attachment A-2 have verified through a signed statement under oath by an owner or officer that they meet the minimum criteria to be a responsible contractor as defined in Minn. Stat. § 16C.285.	
Authorized Signature of Owner or Officer:	Printed Name:
Title:	Date:
Company Name:	



Minnesota Department of Transportation
Request to Sublet Form (Standard Specification 1801)

Prime Contractor / Project Information

Prime Contractor:	State Project Number:
Contact Person:	Contract Number (if applicable):
Telephone Number:	Project Location:

Important Notices and Instructions

1. The prime contractor must complete this form, acquire all applicable signatures and submit it to the project engineer (P.E.) **10 days** prior to the first day of work by the subcontractor.
2. The prime contractor must ensure that each subcontractor is included in MnDOT’s vendor system. The search engine is located at: <http://transport.dot.state.mn.us/reference/refvendor.aspx>
3. If the subcontractor is not included in MnDOT’s vendor system, the prime contractor must have the subcontractor complete and submit a contractor vendor form to lcusupport.dot@state.mn.us prior to the completion and submission of this form. The form is located at: <http://www.dot.state.mn.us/const/labor/documents/forms/contractorform2016.pdf>
4. The prime contractor must demonstrate that it has complied with the subcontracting percentages established in the [MnDOT Standard Specifications for Construction, Section 1801](#). To determine this, a Request to Sublet Summary Form is available at: <http://www.dot.state.mn.us/const/labor/documents/contractdocs/rtsummary.xls>
5. Upon request, the prime contractor will provide a copy of its written subcontracts to the P.E.
6. Each subcontractor that is subject to the contract must submit a certified payroll report pursuant with **Special Provisions Division A – LABOR** incorporated into the contract.
7. Each subcontractor must submit an [IC-134 form](#) to the prime contractor upon completion of the work.
8. Upon approval, the P.E. will sign the form and provide a copy to the prime contractor.

First Tier Subcontractor Information

First Tier Subcontractor:	SWIFT Vendor I.D.:
Street Address:	Federal Tax I.D. Number:
City, State, Zip Code:	State Tax I.D. Number:
Telephone Number:	Email:
Is this subcontractor replacing work that was previously committed to a DBE, TGB or Veteran firm? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, you must contact the Office of Civil Rights at (651) 366-3073 or ocrformsubmissions@state.mn.us before proceeding.	

Contract Item Line Number	Contract Item Description	Actual or Estimated Quantity	Unit of Measurement	Unit Price	Amount

A first-tier subcontractor may sublet up to 50% of its contract with the prime contractor.					Total \$
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Second Tier Subcontractor Information

Second Tier Subcontractor:		SWIFT Vendor I.D.:			
Street Address:		Federal Tax I.D. Number:			
City, State, Zip Code:		State Tax I.D. Number:			
Telephone Number:		Email:			
Is this subcontractor replacing work that was previously committed to a DBE, TGB or Veteran firm? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, you must contact the Office of Civil Rights at (651) 366-3073 or ocrformsubmissions@state.mn.us before proceeding.					
Contract Item Line Number	Contract Item Description	Actual or Estimated Quantity	Unit of Measurement	Unit Price	Amount
A second-tier subcontractor may not sublet any portion its contract.					<u>Total</u> \$

CONTRACTOR'S STATEMENT OF COMPLIANCE

<u>Print Name and Title of Prime Contractor Representative</u>	<u>Signature</u>	<u>Date</u>
As a representative of the prime contractor, I certify that the information provided on this form is truthful and accurate to the best of my knowledge. I certify that all written subcontracts, executed by the prime contractor contain at a minimum the Federal and/or State Special Provisions Division A, Federal-Aid Construction Contracts Form-1273 (if federally funded), Federal and/or State certified prevailing wage decisions and the state certified truck rental rates. I will ensure that all subcontractors demonstrate compliance with all contract specifications, laws and regulations, which includes 16C.285 (Responsible Contractor). I further understand that prior written consent to sublet any portion of the contract does not relieve the prime contractor of liabilities and obligations under the contract and bonds.		
<u>Print Name and Title of First Tier Subcontractor Representative</u>	<u>Signature</u>	<u>Date</u>
As a representative of the first tier subcontractor, I certify that the information provided on this form is truthful and accurate to the best of my knowledge and that the company has contracted to perform the work prescribed in the above-mentioned specifications/item descriptions. I've reviewed and understand all applicable contract specifications, laws and regulations that were provided to me by the prime contractor and I will provide these specifications to any potential second tier subcontractors.		
<u>Print Name and Title of Second Tier Subcontractor Representative</u>	<u>Signature</u>	<u>Date</u>
As a representative of the second tier subcontractor, I hereby certify that the information provided on this form is truthful and accurate to the best of my knowledge and that the company has contracted to perform the work prescribed in the above-mentioned specifications/item descriptions. I've reviewed and understand all applicable contract specifications, laws and regulations that were provided to me by the first tier subcontractor.		
<u>Print Name and Title of Project Engineer</u>	<u>Signature</u>	<u>Date</u>
As a representative of the department, I approve the prime contractor's utilization of the above-mentioned subcontractors. Additionally, the prime contractor has complied with the terms established in Mn/DOT Standard Specifications for Construction, Section 1801.		

All persons signing this form understand that willful falsification of this document may result in civil and/or criminal prosecution under federal and/or state law. See Minnesota Statutes 16B, 161.315, Subdivision 2, 177.43, Subdivision 5, 177.44, Subdivision 6, 609.63; or the United States Code 18 U.S.C. 1001, 31 U.S.C. 231, CFR 5.12.

For information, visit the Labor Compliance website at: <http://www.dot.state.mn.us/const/labor/> or call (651) 366-4238.

221 North Wallace Ave
PO Box 97
Ivanhoe MN 56142
Phone 507.694.1464 Fax 507.694.1101

Haul Road/Detour Request

Project No. _____

The Township of _____ hereby agrees to allow the Contractor _____ to utilize Township roads as a haul road or detour. The Contractor shall be obligated to restore the roads as obligated by Minnesota Statute 161.25.

Date

Township Officer

Date

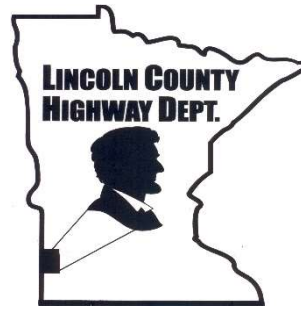
Township Officer

The County of _____ hereby agrees to allow the Contractor _____ to utilize County roads as a haul road or detour. The Contractor shall be obligated to restore the roads as obligated by Minnesota Statute 161.25.

Date

County Engineer

Lincoln County Highway Department
221 North Wallace Ave
PO Box 97
Ivanhoe MN 56142
Phone 507.694.1464 Fax 507.694.1101



Haul Road/Detour Maintenance Release

Project No. _____

The Township of _____ hereby releases the Contractor _____ of any further obligation pursuant to Minnesota Statute 161.25 for any further restoration of the Township roads utilized as a haul road or detour.

Date

Township Officer

Date

Township Officer

The County of _____ hereby releases the Contractor _____ of any further obligation pursuant to Minnesota Statute 161.25 for any further restoration of the County roads utilized as a haul road or detour.

Date

County Engineer

SWPPP (All Projects)

SWPPP Narrative

1. The Contractor shall identify an Erosion Control Supervisor who will oversee the SWPPP in accordance with 1506 Supervision by Contractor.
2. The Erosion Control Supervisor shall be responsible for implementation of the SWPPP for all operators on site in accordance with 1717.2 Erosion control A1. during construction
3. The installation timing for all Erosion and Sediment Control (ESC) Best Management Practices (BMPs) as necessary for site conditions shall be in accordance with 2573.3 Construction requirements and MPCA rules.
4. The Contractor shall contact the Engineer in the field prior to the establishment of additional temporary ESC BMPs necessary for site conditions.

Permanent Stormwater Management

Grassed Swales will be used for permanent stormwater management.

Construction Activities Requirements:

1. SAP 041-608-035 crosses the Yellow Medicine River which has been identified as an impaired water for mercury in fish tissue, turbidity, Escherichia coli, aquatic consumption, aquatic life, and aquatic recreation, the receiving water for this project is River ID 07020004-763.
2. All exposed soil of the project that drains to a point that is within 1 mile of an impaired water must be stabilized as soon as possible to limit soil erosion but in no case later than seven (7) days after the construction activity in that portion of the site has temporarily or permanently ceased. All other exposed soil must be stabilized within 14 days.
3. The wetted perimeters of ditches within 200 ft of surface water will be stabilized within 24 hrs.

Sediment Control Measures:

1. Slopes with a 3:1 grade will be broken up into lengths less than 75 feet.
2. Stockpiles shall have sediment control and placed in areas away from surface waters.

Inspections and Maintenance:

1. The Erosion Control will oversee the BMP inspection and maintenance.
 - Inspections will be performed once every 7 days
 - Inspections will be performed within 24 hrs of a rain event greater than 0.5 in/24 hr
 - The inspection and Maintenance records will include
 - Date and time of inspection
 - Name of person(s) conducting inspections
 - Finding of inspections and recommendations for corrective actions
 - Date and amount of rainfall events greater than 0.5 in 24 hr
3. Silt fences will be repaired/replaced/supplemented when nonfunctional or 1/3 full; within 24 hours in accordance with 2573.3 Construction Requirements M2
4. Please either specify that sediment will be removed from surface waters within 7 days in accordance with 1717.2 Erosion Control A4 Sediment Removal

Pollution Prevention:

1. Solid waste shall be disposed properly; in compliance with MPCA requirements.
2. Hazardous waste shall be stored (secondary containment, restricted access) and disposed in compliance with MPCA requirements
3. External washing of vehicles will be limited so that runoff is contained and waste is properly disposed of.
4. No engine degreasing will be allowed on site.

Final stabilization:

All temporary synthetic and structural BMPs will be removed as directed in 1717.2 Stormwater Management and Erosion Control and 2573.3 Construction Requirements

THE SCHEDULE OF PRICES AND BACK COVER SHEET HAS BEEN INTENTIONALLY LEFT OUT OF THE “PDF” PRINT OF THIS PROPOSAL. PLEASE VISIT OUR WEBSITE AT, WWW.CO.LINCOLN.MN.US, OR CONTACT THE LINCOLN COUNTY HIGHWAY DEPARTMENT AT 507-694-1464 FOR INSTRUCTIONS ON HOW TO REQUEST THE SCHEDULE OF PRICES AND BACK COVER SHEET. THESE SHEETS WILL BE EMAILED TO YOU FOR INSERTION INTO THE PROPOSAL TO MAKE IT COMPLETE.