



## AASHTOWare Preconstruction Preliminary Investigation



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The AKDOT&PF Northern Region construction section has successfully implemented AASHTOWare SiteManager on all construction projects. This project is to investigate and test the AASHTOWare Preconstruction module for statewide implementation. This project researched the extraction and potential migration of AKDOT&PF data into AASHTOWare. In addition, a vendor populated the software with AKDOT&PF data and demonstrated its capabilities via webinar. The research concluded this was the product for the department to invest in to provide gains in departmental efficiency, transparency, and reliability through the AASHTOWare Preconstruction modules and online bidding.				
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# SI\* (MODERN METRIC) CONVERSION FACTORS

## APPROXIMATE CONVERSIONS TO SI UNITS

Symbol	When You Know	Multiply By	To Find	Symbol
<b>LENGTH</b>				
in	inches	25.4	millimeters	mm
ft	feet	0.305	meters	m
yd	yards	0.914	meters	m
mi	miles	1.61	kilometers	km
<b>AREA</b>				
in <sup>2</sup>	square inches	645.2	square millimeters	mm <sup>2</sup>
ft <sup>2</sup>	square feet	0.093	square meters	m <sup>2</sup>
yd <sup>2</sup>	square yard	0.836	square meters	m <sup>2</sup>
ac	acres	0.405	hectares	ha
mi <sup>2</sup>	square miles	2.59	square kilometers	km <sup>2</sup>
<b>VOLUME</b>				
fl oz	fluid ounces	29.57	milliliters	mL
gal	gallons	3.785	liters	L
ft <sup>3</sup>	cubic feet	0.028	cubic meters	m <sup>3</sup>
yd <sup>3</sup>	cubic yards	0.765	cubic meters	m <sup>3</sup>
NOTE: volumes greater than 1000 L shall be shown in m <sup>3</sup>				
<b>MASS</b>				
oz	ounces	28.35	grams	g
lb	pounds	0.454	kilograms	kg
T	short tons (2000 lb)	0.907	megagrams (or "metric ton")	Mg (or "t")
<b>TEMPERATURE (exact degrees)</b>				
°F	Fahrenheit	5 (F-32)/9 or (F-32)/1.8	Celsius	°C
<b>ILLUMINATION</b>				
fc	foot-candles	10.76	lux	lx
fl	foot-Lamberts	3.426	candela/m <sup>2</sup>	cd/m <sup>2</sup>
<b>FORCE and PRESSURE or STRESS</b>				
lbf	poundforce	4.45	newtons	N
lbf/in <sup>2</sup>	poundforce per square inch	6.89	kilopascals	kPa
<b>APPROXIMATE CONVERSIONS FROM SI UNITS</b>				
<b>LENGTH</b>				
mm	millimeters	0.039	inches	in
m	meters	3.28	feet	ft
m	meters	1.09	yards	yd
km	kilometers	0.621	miles	mi
<b>AREA</b>				
mm <sup>2</sup>	square millimeters	0.0016	square inches	in <sup>2</sup>
m <sup>2</sup>	square meters	10.764	square feet	ft <sup>2</sup>
m <sup>2</sup>	square meters	1.195	square yards	yd <sup>2</sup>
ha	hectares	2.47	acres	ac
km <sup>2</sup>	square kilometers	0.386	square miles	mi <sup>2</sup>
<b>VOLUME</b>				
mL	milliliters	0.034	fluid ounces	fl oz
L	liters	0.264	gallons	gal
m <sup>3</sup>	cubic meters	35.314	cubic feet	ft <sup>3</sup>
m <sup>3</sup>	cubic meters	1.307	cubic yards	yd <sup>3</sup>
<b>MASS</b>				
g	grams	0.035	ounces	oz
kg	kilograms	2.202	pounds	lb
Mg (or "t")	megagrams (or "metric ton")	1.103	short tons (2000 lb)	T
<b>TEMPERATURE (exact degrees)</b>				
°C	Celsius	1.8C+32	Fahrenheit	°F
<b>ILLUMINATION</b>				
lx	lux	0.0929	foot-candles	fc
cd/m <sup>2</sup>	candela/m <sup>2</sup>	0.2919	foot-Lamberts	fl
<b>FORCE and PRESSURE or STRESS</b>				
N	newtons	0.225	poundforce	lbf
kPa	kilopascals	0.145	poundforce per square inch	lbf/in <sup>2</sup>

\*SI is the symbol for the International System of Units. Appropriate rounding should be made to comply with Section 4 of ASTM E380.  
(Revised March 2003)

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## **Executive Summary**

This report outlines the investigative process employed for this research project and the results thereof. The Alaska Department of Transportation and Public Facilities (DOT&PF) research team tested AASHTOWare, conducted analysis, implemented the system and then did further analysis after implementation. This research concludes that the AASHTOWare Project Preconstruction module will streamline the preconstruction workflow, from the creation of a PS&E estimate through to contract award for DOT&PF. The module creates efficiencies within the preconstruction workflow and will integrate with the construction workflow. This will improve future project cost estimating and project organization. It allows quick data mining to answer questions on current or closed projects.

The project team began their investigation. Before all the steps had been completed, it was determined that the AASHTOWare Project Preconstruction module was, in addition to the Civil Rights & Labor module, Bids module, and BidExpress service, the right product to help Alaska DOT&PF optimally manage its federal program while providing many other benefits such as paper reduction, time savings, data storage and mining, and error minimization. The research project scope changed to support statewide system implementation efforts.

The results of both the preliminary investigation and analysis activities show that the AASHTOWare Project Preconstruction module has good functionality and will consolidate many different processes and eliminate some level of redundant reporting. However, preliminary investigation and analysis also revealed that the software requires significant customization in order to streamline DOT&PF business processes and workflows, and for ease of use by end users. The final recommendation of this project is that AASHTOWare Project Preconstruction be implemented by DOT&PF with necessary system customizations.

## **Introduction**

AASHTOWare Project is a suite of software consisting of several integrated modules. DOT&PF's use of AASHTOWare Project began with an experimental feature to implement the SiteManager construction management software module, including the Laboratory Information Management System (LIMS) in the Northern Region Construction Section (NR Construction). The success of this software in NR Construction created an interest in conducting a similar investigation into the AASHTOWare Project Preconstruction and online bidding modules.

A Preliminary Investigation Plan was created to evaluate the AASHTOWare Project Preconstruction Module (see Appendix A), outlining the steps to be taken during the research project. Analysis of current data, demonstrations of the software's functionality, and testing conducted by DOT&PF personnel assesses the suitability of the software for DOT&PF's needs.

The initial phase of the Preliminary Investigation Plan was completed. However, before all tasks were completed DOT&PF executive staff determined that several AASHTOWare modules, including the Project Preconstruction module would be adopted for Department-wide use.

Following that internal decision, the remainder of the research project was transferred to Northern Region to lead further analysis for implementation of the above-mentioned AASHTOWare Project modules.

## **Analysis of Current Data**

To analyze existing DOT&PF data, it first had to be extracted from the Department's BidTab system. BidTab is DOT&PF's customized Microsoft Access database that has been in use by the Department for more than 25 years. The database holds all of the Department's engineer's estimates and historical construction bids. This system needs to be replaced since the only system support is a retired DOT&PF staff. The historical project data was examined for compatibility with the AASHTOWare module. InfoTech, Inc. (ITI) was hired to study the feasibility of migrating historical BidTab data into a format suitable for use within the AASHTOWare Project Preconstruction module.

The data was successfully extracted from BidTab, but further analysis found that it was not feasible to transform the data into a useable format for further study (See Appendix B). The analysis found that BidTab database had a number of discrepancies including multiple entries for the same bid item and other non-standardization issues. It was determined that transferring the BidTab data held little to no historical value for newer projects. The BidTab database would be saved as a reference for designers for the first few years for AASHTOWare implementation but would be retired as soon as AASHTOWare has enough of its own historical bid pricing.

## **Demonstration of Software Functionality**

ITI conducted two demonstration sessions for DOT&PF employees of the AASHTOWare Project Preconstruction module in April 2016. A follow-up session was held later than month.

DOT&PF employees were shown how project data would interact with the new system and were given demonstrations of the functionality of the module, and offered feedback to ITI personnel. Participants reported generally that the system had good functionality, but some customization would be necessary to maximize its compatibility with Department practices. DOT&PF concluded that AASHTOWare Preconstruction would be an ideal replacement for the BidTab system and it would integrate easily with the AASHTOWare SiteManager Construction



Module already in use in Northern Region. As a follow up, regional DOT&PF participants were given access to AASHTOWare Project Preconstruction and directed to enter actual project data (two projects) into the software. Participants entered project information, built an estimate, created a proposal, and entered bidder and bid data. Participants were asked to determine specific instances where the software should be customized to fit the workflow, or whether current business processes could be modified to fit the module.

ITI conducted a group teleconference with the participants in June 2016 to discuss the results. From that teleconference a consensus opinion of participants showed that software functionality was good, but that customization would be required.

In addition, a series of DOT&PF teleconferences were conducted with transportation officials in Kentucky and Nebraska to further understand the field performance of the software. Both states are long-term AASHTOWare module users. Telephone interviews were conducted in December 2014 and January 2015. Results from those teleconferences are reported in Appendix C. These state interviews also revealed organizational efficiencies are realized by doing the web-based Preconstruction Module first instead of directing the regions to begin with SiteManager, which at the time was not web based. Without implementing the Preconstruction module all project information from the Design and Bid documents would need to be hand entered into SiteManager. There were additional best practices and lesson learned from these other states that were incorporated into the new research project scope, schedule and implementation. Demonstrations of AASHTOWare Project Preconstruction module revealed advantages to DOT&PF workflow by using a web-based software suite. Current DOT&PF processes and workflows include a lot of emails, memos, spreadsheets, and word documents that necessitate data being entered multiple times in separate steps during the life of a project. Consolidating project information in one database offers an efficiency the Department does not currently have.

The goal is to have information recorded only once, by the originator of that data. Once entered into AASHTOWare Project Preconstruction, that data is shared between several

functional areas, negating the need for multiple entries of the same data. This saves time, money and any tasks associated with correcting incorrect data transfer.

AASHTOWare users also reported satisfaction with the adaptability of the interface. While the module has more functionality than is needed by DOT&PF, turning off unneeded components of the system is not complicated and greatly increases system simplicity and ease of use for end users. Reports are also highly customizable. The system comes with a set of base reports that can be modified or custom reports created for specific reporting needs.

Based on the results of the Preliminary Investigation Plan through Summer 2016, executive management requested the rescoping of the AASHTOWare research project to focus on implementation of the AASHTOWare Project Preconstruction Module, the Civil Rights & Labor module, Bids Module and BidExpress service. The Federal Highway Administration concurred and approved the new scope and additional funding.

### **Project Implementation**

In May 2016, DOT&PF decided to field test the AASHTOWare Project Preconstruction Module in Northern Region Construction. Since Northern Region had experience implementing SiteManager they lead the efforts for the Preconstruction implementation. Northern Region coordinated with the other regions and Headquarters staff to implement statewide. .

Using results of the analysis across regions, Alaska DOT&PF Commissioner Mark Luiken concluded in Summer 2016 that AASHTOWare is the right comprehensive tool to help improve the department's efficiency, transparency, accuracy, and data management. A revised project scope was submitted in October 2016 to transition from investigation to software analysis. At this time, an analysis proposal was received from ITI and signed by the managers of the new project.

The analysis would study regional workflow and process differences and facilitate alignment with the AASHTOWare suite. An additional aim was to determine how DOT&PF's data would

optimally function within the software. Part of this analysis was conducted by the new project's managers and part with the assistance of ITI module experts.

### **Analysis Activities**

In November 2016, Project Management traveled to each region and conducted analysis sessions with regional subject matter experts in the areas of Project Control, Design, and Contracts. Sessions were also held with DOT&PF Headquarters personnel in these subject areas as well as the Statewide Civil Rights Office.

Process and workflow methods were documented as well as regional preconstruction reports, memoranda, spreadsheets and other documents. The results of this analysis are included in Appendix D.

An AASHTOWare Project Preconstruction Core Team consisting of two preconstruction subject matter experts from each region was formed. These individuals participated throughout the analysis project, offering input and expertise.

At the conclusion of the regional analysis sessions, project management compiled and consolidated the information for integration in the future implementation activities. These activities are further detailed in the Project Manager's Monthly reports included in Appendix E.

ITI module experts conducted teleconference and web meetings to begin aligning the regional processes.

In December 2016, an Analysis Workshop was held in Anchorage (the agenda for this meeting is Appendix E) to continue analyzing workflows for DOT&PF Preconstruction and Civil Rights Office. Project management, the regional Preconstruction Core Team members, staff from the Civil Rights Office, and staff from ITI attended. ITI documented the discussion.

From this workshop, ITI preconstruction module experts compared DOT&PF workflows with the functionality of the AASHTOWare software modules to propose what modifications would be appropriate in either the software or DOT&PF workflow. These modifications are detailed in

the ITI Analysis Study Report included in Appendix F. The ITI Analysis Study Report has been reviewed by DOT&PF project management and the document was finalized in May 2017.

### **Unit Costs**

According to the internal financial report, the costs for the preliminary investigation and analysis activities are as follows:

Travel	13,425.67
Licenses	90,000.00
Vendor (Hosted Services, Analysis Services, Precon/CRL Pre-Implementation Services)	288,000.00
Inter-Agency Federal Indirect Rate Allocation	26,796.01
DOT/PF Personal Services	195,755.34
	<b>613,977.02</b>

Project expenditures were more than allocated, and the overage will be covered by the AASHTOWare Project Implementation funding.

### **Conclusion/Recommendation**

The results of both the preliminary investigation and analysis activities are that the AASHTOWare Project Preconstruction module has good functionality and will consolidate many different processes and eliminate some level of redundant reporting. However, it also revealed that the software requires significant customization in order to streamline DOT&PF business processes and workflows, and for ease of use by end users. The final recommendation of this project is that AASHTOWare Project Preconstruction be implemented by DOT&PF with necessary system customizations.

## Appendices

## AASHTO Preconstruction & Contract Software Preliminary Investigation Plan

Research Project Manager-Carolyn Morehouse

Research Committee- Jeff Jenkins (SER), Sharon Smith (CR Rep), Barbie Tanner (NR), Chris Post (Design) and Jaclyn Elmes (technical lead).

Special Guests- Mike Crabb (HQ Program Dev), Pete Forsling (FHWA), Charlie Deininger (HQ Contracts), a Civil Rights rep, and the New Information System Director, other staff as needed.

Statewide Research submits this preliminary plan to investigate and test AASHTO Preconstruction Modules. This project is funded by FHWA research dollars. The steps outline below are interdependent and this plan will evolve as we learn more about AASHTO software.

Northern Region has successfully implemented AASHTO SiteManager on all new start projects for three construction seasons. The other two regions are beginning their implementation SiteManager. There is interest in conducting a similar investigation into the AASHTO Preconstruction and electronic bidding interface. The goal is to achieve further gains in department efficiency, transparency and reliability.

**Step 1. BidTab data extraction.** Certain BidTab data fields must be retrieved from the database for analysis by InfoTech. We propose to hire our current BidTab consultant for this task. \$5000 The BidTab extraction as quoted by Info-tech is 1.5 AASHTO units or \$20,250. Excluded in this price is the time and material needed to deal with data quality issues.

*Estimated Completion date is November 15, 2014.*

**Step 2. Preliminary Analysis of the extracted BidTab data by InfoTech.** This step is necessary to assess the cost and feasibility of migrating BidTab data to another format suitable for use with AASHTO BAMS/DSS and the Preconstruction Modules. The analysis will provide an in depth look at the current system and an estimation of the time and effort to replicate current functionality with AASHTO software. This analysis will help determine the scope of possibilities and the barriers to success. Cost: \$8000. *Estimated Completion date is November 30, 2014.*

**Step 3. Webinar of the AASHTO Trns-port Modules Utilizing Alaska Data.** InfoTech will present the data from one of the Department's construction projects completed using *SiteManager*, and populated the Preconstruction Modules with data that was relevant to the project and the Department. This will show how the modules function in a way that would be understandable to us since it was data that we were all familiar with. The research team needs to see the demonstrations utilizing our data to analyze the potential benefit the modules could have for streamlining or improving our processes. This demonstration will be conducted as a webinar for all interested parties. Cost: \$10,000.

*Present this webinar in conjunction with the Data Summit Early December, 2014.*

**Step 4. Hold a Four State Teleconference on AASHTO Trns-port Modules.** Research team will conduct a series of interviews with four key states identified as long term and new users of AASHTOWare Modules and InfoTech's Bid Express to identify strategies for implementation and assess the cost in terms of training, dedicated personnel and lessons learned. Idaho has experience integrating their preconstruction modules with the Advantage accounting software (IRIS). We will explore the system's

ability to do or assist in FHWA electronic funding transfer. Cost: minimal - participant salaries only. *Teleconference should be Held in December 2014.*

**Step 5.** Write of a testing plan based on the information gathered in **Steps 1 – 4**. The research team will determine the feasibility of properly investigating, training for and implementing each module after steps 1-4 are complete. Need to Select 12 projects to populate these systems. Need to include how we deal with individual permissions, specifications and special provisions. *Plan due January 15, 2015.*

**Step 6. Obtain evaluation copies of AASHTO Preconstruction Modules.** AASHTO will provide fully functional evaluation copies for free for 180 days. January 1-June 30, 2015 and most likely will need to purchase another 6 months to complete the testing. The single source waiver will have to be completed prior to obtaining the free copy. We will hold a Workshop to implement the software testing with the team and include additional staff to consult with such as IT resources; Iris transition team; Information Systems Director; Coordination with GIS/Mapping staff and others as needed. DOT&PF plans to evaluate the AASHTO (or Infotech) modules listed in the table below.

Name	Description/Functions	Annual License*
BAMS/DSS	Historical data warehouse, bid monitoring and evaluation, collusion detection	\$69,000
Cost Estimation	Cost Estimating System (web based)	\$53,000
Estimator	Cost Estimating System (client server)	\$42,500
Preconstruction	Proposal, Estimates, Letting and Award System	\$42,500
Expedite	Prepares Proposals	\$17,500
Civil Rights & Labor	Civil Rights & Labor Management System	\$42,500
	<b>Total</b>	<b>\$267,000</b>

\*Costs from FY15 E-member software request forms.

We anticipate that InfoTech on-site training will be necessary for efficient module testing. Estimation of the cost of modules and training is difficult. If we assume the costs of licensing, training & support and staff time are 50% of the cost of AASHTO SiteManager startup, costs over two years should be about \$250,000. This level of cost spread over 12 high priority research project would then be ~\$20,000 per project. Select up to 20 DOT&PF approved Bidders to create digital IDs for testing purposing and participate in at least four internet test lettings. Notify potential bidders at the Alaska General Contractor meeting.

Site Manager License costs \$206,500 annually plus the \$267,000 quoted above is \$473,500. We should purchase an AASHTOWare Project Site License that includes all the software packages at \$424,000.

**Step 7. Reporting and Timeline.** We estimate a testing period ending June 30, 2015. We will then write the detailed research proposal for testing selected modules (**Step 5**) Interim reports and the Final Report. The project manager will present results and make recommendations to ADOT&PF Management.

**\*Step 8. Implementation Plan.** If Management concurs, draft an implementation plan to fully populate AASHTOWare with all new project starts after Oct 1, 2015. This will include total costs for this implementation including training.

Areas that need to be addressed

- Need to figure out how this will work with Statewide Public Facilities & M&O contracts; and aviation; Marine Highways (via SER).
- Need to have planning estimates for Programming the STIP come from the BAMS/DSS database
- Promote the value of getting the construction costs back into the database for future estimates.
- Areas that are off road system may be flagged as bid rigging, only one contractor in the local area. We need to be prepared to explain.
- Unknown at this time how the Civil Rights Software may be utilized. It may help federal reporting. Other states find it helpful. Need to get someone from Civil Rights involved.
- Evaluate how this data can assist with Project Control electronic funding requests.



# Analysis of Alaska Department of Transportation and Public Facilities BIDTABIV Database

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January 2015



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# Executive Summary

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Info Tech, Inc. (Info Tech) was tasked to provide the Alaska Department of Transportation & Public Facilities (DOT&PF) with the services to provide a high-level review of the BIDTABSIV database. This document and attachments provide that analysis.

Info Tech analyzed the BIDTABSIV database for consistency between tables concerning the primary and foreign database keys. Info Tech also evaluated consistency between code table values and corresponding values in the related tables. Additionally Info Tech evaluated other potential database issues such as the total of item prices rolling-up to total values in corresponding tables.

The major issues discovered during this high-level review of the BIDTABSIV database are the following:

- The **CONTRACTOR** (vendor number) and **NAME** (vendor name) are very inconsistent. In the **BIDTOTALS** table it was observed that over **200** apparently same vendors had variations in the **NAME** column. There are also situations where the same vendor name is associated with multiple vendor numbers. The **PLANHOLDERS** table has these same issues. In a discussion with DOT&PF's consultant for the BIDTABIV database it was learned that the source of the **PLANHOLDERS** table is the **MRS.COMPANY** table. Our analysis of the **MRS.COMPANY** table also revealed inconsistencies with vendor name and vendor number, but to a lesser degree which lead us to assume that users can change these values in the BIDTABSIV database. This would appear to have contributed to the inconsistencies observed.
- In the **ESTIMATEITEMS** table, the **DESCRIPTION** (item description) column is not always unique for the associated **ITEMNUMBER** (item number) column. Almost **4,000** item numbers have different item descriptions for the individual items. In a conversation with DOT&PF's consultant for the BIDTABIV database it was learned that the source of the **ITEMNUMBER** is from the **STANDARDITEMS** table, however the users are allowed to change values. In the analysis of the **STANDARDITEMS** table, significantly fewer inconsistencies were observed, so the ability to change values has contributed to the inconsistencies in the **ESTIMATEITEMS** table.
- The **AWARDCONDITIONS** table has no data for the **AWARDDATE** (date contract was awarded) column. Without this information there is no way to report on awarded or rejected contracts.
- The **VERSIONS** tables contains almost **2,700** unique values for the **VERSIONDESCRIPTION** column. There is no consistent way to query this table to determine the version of the project for which actual bids were received without drilling down and evaluating the **BIDS**, **BIDSECTIONSECTIONS**, and **BIDTOTALS** tables.
- The **FACODESSUMMARY**, **FACODING**, and **FAIMPROVEMENTCODES** tables involving Federal-Aid have many inconsistencies that need correction to provide accurate database queries and reporting.
- All tables that involve regions have inconsistencies that need correction to provide accurate database queries and reporting.

Please see the **Recommendations** section at the end of this document for suggested changes.

# Analysis of DOT&PF BIDTABIV Database

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Note in this section, items that suggest DOT&PF action is shown in red text.

## ADDEDCOSTS Table

This table contains **686** rows.

**COMMENTS** column has no data.

This table is a child table to the **SECTIONS** table by the foreign key of the **SECTIONID** column. The **ADDEDCOSTS** table has **487** unique values for the **SECTIONID** column. The **SECTIONS** table has **7,139** unique values for the **SECTIONID** column. These two tables have **487** common values of the **SECTIONID** column (this appears correct).

## AWARDCONDITIONS Table

This table contains **3,495** rows.

1,769 rows have no values in **ADVERTISEDDATE** or **OPENEDDATE**, but some do have **FINALESTDESCRIPTION** data. Many columns in this group have no data.

Populated **OPENEDDATE** range 1990-03-01 to 2014-11-20 – **1,726** rows

**AWARDDATE** column has no data. Without this column it would appear no way to produce reports on awarded or rejected contracts.

This table is a child table of the **VERSIONS** table and is related by the foreign key of the **VERSIONID** column. The **AWARDCONDITIONS** table has **3,495** unique values of the **VERSIONID** column. The **VERSIONS** table has **5,923** unique values of the **VERSIONID** column. These two tables have **3,495** column value of the **VERSIONID** column (this appears correct).

## BIDS Table

This table contains **282,925** rows.

This table contains item bids.

This table is a child table of the **BIDSECTIONS** table and is related by the foreign key of the **BIDSECTIONID** column. The **BIDS** table has **8,862** unique values for the **BIDSECTIONID** column. The **BIDSECTIONS** table has **8,891** unique values for the **BIDSECTIONID** column. These two tables have **8,862** common values of the **BIDSECTIONID** column (this appears correct); however it should be noted that the **BIDSECTIONS** table has **29** values for the **BIDSECTIONID** column that are not included in the **BIDS** table. Analysis of these additional **29** rows in the **BIDSECTIONS** table shows that **25** rows only have the **BIDSECTIONID**, **SECTIONID**, **VERSIONID**, and **PLANHOLDERID** columns populated and appear to be orphan records. The remaining **4** rows have **BIDSECTIONID**, **SECTIONID**, **VERSIONID**, **PLANHOLDERID**, **ITEMSCOUNT**, **ITEMSSUBTOTAL**, **ENGINEERINGSUBTOTAL**, and **SECTIONTOTAL** columns populated. **DOT&PF should evaluate these 4 rows (BIDSECTIONID 268, 270, 274, and 272) to determine if these are valid records, and if so, should also populate the BIDS table accordingly.**

The **EXTENDEDPRICE (The Extended Price for this Bid Item)** column has **7** rows with a negative value as shown below.

ITEMID	UNITPRICE	EXTENDEDPRICE
293678	-\$82,000.00	-\$82,000.00
427001	-\$50,000.00	-\$50,000.00
56174	-\$30,000.00	-\$30,000.00
264311	-\$20,000.00	-\$20,000.00
88344	-\$10,000.00	-\$10,000.00
283053	-\$151.00	-\$604.00

Except for **ITEMID 28305**, all of the above are lump sum items. For all of the above items except **ITEMID 264311**, the **ESTIMATEITEMS** table has a positive value for the **EEUNITPRICE** and **EEEXTENDEDPRICE** columns. **DOT&PF should evaluate if the above values are valid and correct as necessary.**

The **UNITPRICE** and **EXTENDEDPRICE** columns have **9,010** rows with the value of **0** (zero). While it is recognized that zero is a valid bid, this number appears very high and above the normal as observed with other agencies' data. **DOT&PF should evaluate if these values are valid and correct as necessary.**

There are **56** rows of the **EXTENDEDPRICE** column that have a zero value while the **UNITPRICE** column contains a positive value. **DOT&PF should correct the EXTENDEDPRICE column for these occurrences.**

## **BIDS Table (cont.)**

The **EXTENDEDPRICE** column of the **BIDS** table corresponds to the **ITEMSSUBTOTAL** column of the **BIDSECTIONS** table. There are **77** occurrences where these values are different (see file **BIDS\_BIDSECTIONS Extended Price Diff.xlsx**). **DOT&PF should evaluate these values and correct as necessary.**

The **BIDS** table is a child table of the **ESTIMATEITEMS** table that is related by the foreign key of the **ITEMID** column. The **BIDS** table has **74,975** unique values of the **ITEMID** column. The **ESTIMATEITEMS** table has **267,940** unique values of the **ITEMID** column. These two tables have **74,974** common values for the **ITEMID** column. The difference is that the **ESTIMATEITEMS** table does not have a row containing the value **376050** for the **ITEMID** column. **DOT&PF should evaluate and correct as necessary.**

## **BIDSECTIONS Table**

This table contains **8,891** rows.

DOT&PF explanation of this table: “One record for each bidder and “section” in the estimate. Corresponds to the “SECTIONS” table but is for summarizing a bidder.”

This table is a child table of the **SECTIONS** table and is related by the foreign key of the **VERSIONID** column. The **BIDSECTIONS** table has **1,740** unique values for the **VERSIONID** column. The **SECTIONS** table has **5,888** unique values for the **VERSIONID** column. These two tables have **1,740** common values of the **VERSIONID** column (this appears correct).

This table is a child table of the **BIDTOTALS** table and is related by the foreign key of the **PLANHOLDERID** column. The **BIDTOTALS** table has **6,818** unique values for the **PLANHOLDERID** column. The **BIDTOTALS** table has **6,828** unique values for the **PLANHOLDERID** column. These two tables have **6,818** common values of the **PLANHOLDERID** column (this appears correct).

The **ITEMSSUBTOTAL** column of the **BIDSECTIONS** table corresponds to the **ITEMSSUBTOTAL** column of the **BIDTOTALS** table. There are **100** occurrences where these values are different (see file **BIDTOTALS\_BIDSECTION ITEMSSUBTOTAL Diff.xlsx**). **DOT&PF should evaluate these values and correct as necessary.**

## **BIDTOTALS Table**

This table contains **6,828** rows.

DOT&PF explanation for this table: “One record for each Bidder’s “Version” essentially it is the summation of all the **BIDSECTIONS** records for a bidders.”

## BIDTOTALS Table (cont.)

Columns **BIDENTEREDBY**, **BIDENTRYCHECKEDBY**, **BIDENTRYDATE**, and **BIDENTRYCHECKEDDATE** have no data in 4,001 rows. Column **BIDENTEREDBY** has 6 additional rows with no data (4,007 total). Column **BIDENTRYCHECKEDBY** has 2 additional rows with no data (4,003 total). Column **BIDENTRYCHECKEDDATE** has 2 additional rows with no data (4,003 total). Columns **BIDENTRYCHECKEDBY** and **BIDENTRYCHECKEDDATE** have missing data in the same rows.

The **PLANHOLDERID** column is unique for each contract vendor bid; it is not unique for each vendor (**CONTRACTOR** or **NAME**). There are no repeats of **PLANHOLDERID** values.

The columns **CONTRACTOR** and **NAME** were not defined in the table creation information provided, but are assumed to be the vendor number and vendor name respectfully. It appears that the **NAME** column is manually entered since entries have variations as shown with one example below:

<b>CONTRACTOR</b>	<b>NAME</b>
12	Wiilder Construction Company
12	WILDER CONSTRUCTION CO.

As shown in the example above, there is a question in the correct spelling of the vendor name. Typos like this are common with manually entered data and will produce incorrect results in database queries based on the **NAME** column of this table.

There are 223 groups of vendors with variations in names (involving 860 vendor name variations). See file “**BIDTOTALS Table\_Vendors with Different Names.xlsx**” for this list. This list was primarily compiled based on name structure differences, however some differences involved mixed-case names versus all uppercase names. It is possible that there are vendors with only mixed-case names versus all uppercase names that are not on this list.

The default value for the **CONTRACTOR** column is 0 (zero). 43 rows have this default value associated with 37 apparently different vendors (again there are variations in the names that make precise identification of unique vendors more difficult). This will produce incorrect results in database queries based on the **CONTRACTOR** column of this table.

In addition to the above with **CONTRACTOR = 0**; file “**BIDTOTALS Table\_CONTRACTOR Numbers Associated to Different NAME Entries.xlsx**” identifies 14 situations where a **CONTRACTOR** number is associated to apparently different vendors.

A third issue involving the **CONTRACTOR** and **NAME** column entries are situations where a **NAME** value is associated with more than one **CONTRACTOR** number. This can be observed in both of the previously mentioned Excel files, however it is probably easiest to spot in the file “**BIDTOTALS Table\_Vendors with Different Names.xlsx**.”

For reports and database queries purposes the **CONTRACTOR** and **NAME** values inconsistencies should be resolved to avoid inaccurate or misleading results. This database design suffers from not having a master vendor table that have unique values for **CONTRACTOR** and **NAME** and would allow users to only enter the **CONTRACTOR** value.

## CODESDISTRICTS and CODEREGIONS Tables

CODEDISTRICTS table has 9 rows. The CODEREGIONS table have 6 rows.

According to the information provided for the database, the **REGIONID** column of the **CODESDISTRICTS** table description is: “Refers to the codes regions table to identify which region this district is in”; however, there are only two unique values for the **REGIONID** field.

**DISTRICTID 1** through **4** have a **REGIONID** value of **1**, and **DISTRICTID 5** through **9** have a value of **5** as shown below.

DISTRICTID	REGIONID	DISTRICTNAME
1	1	Anchorage Bowl
2	1	Mat-Su Kenai
3	1	South West
4	1	Yukon-Kuskokwim
5	5	Dalton
6	5	Fairbanks
7	5	Interior
8	5	South Central
9	5	Western

The **CODEREGIONS** table entries are shown below.

REGIONID	REGIONNAME
1	Central
2	Headquarters
3	International Airports
4	Marine Highways
5	Northern
6	Southeast

The **CODESDISTRICTS** table indicates that all contracts are either in the **CENTRAL** region or the **NORTHERN** region. This appears incorrect since there are **6** regions defined in the **CODEREGIONS** table. Research on the DOT&PF web site indicates there are now **3** regions: **CENTRAL**, **NORTHERN**, and **SOUTHCOAST** (it would appear that the old **CENTRAL** and **SOUTHEAST** region boundaries were revised). **The **CODEREGIONS** table and the data involving **REGIONID** column need to be revised to avoid inconsistencies that will provide incorrect results in reports or database queries involving this data.**

The only other table to use the **DISTRICTID** column is the **VERSIONS** table. Of **5,923** rows of this table, **1,502** have the default value equal to **0** (zero); **164** rows have a **NULL** value.

In searching the DOT&PF web site, no source was found to check the districts to regions.



## CODESDISTRICTS and CODEREGIONS Tables (cont.)

For the **VERSIONS** table, 1 row has the database default value equal to 0 (zero). The other values are consistent with the **CODEREGIONS** table, however there is a low number for regions 2, 3, and 4 compared regions 1, 5 and 6 as shown below.

REGIONID	COUNT OF REGIONID
0	1
1	2,777
2	46
3	24
4	11
5	1,881
6	1,183

**VERSIONS Table**

DISTRICTID	REGIONID	COUNT OF REGIONID
0	0	1
0	1	229
0	2	43
0	3	9
0	4	9
0	5	185
0	6	1026
1	1	1156
1	3	14
2	1	814
3	1	382
3	3	1
4	1	196
5	5	123
6	5	634
7	5	397
8	5	147
9	5	393
NULL	2	3
NULL	4	2
NULL	5	2
NULL	6	157

**VERSIONS Table**

## CODESDISTRICTS and CODEREGIONS Tables (cont.)

In the previous table the yellow highlighted rows are inconsistent with the **CODEDISTRICTS** table, however as previously mentioned we question if the **CODEDISTRICTS** table is correct since it only has the values of **1** and **5** for the **REGIONID**.

Besides the **VERSIONS** table, other tables that use the **REGIONID** column are **CODESOFFICIALS**, **PROJECTCABINET**, and the **USERS** tables. The inconsistencies in with **REGIONID** are detailed in the individual sections of those tables, however each have **REGIONID** values of **1** through **6** which reinforce our suspicion that the **CODEDISTRICTS** table with only values of **1** and **5** for the **REGIONID** is incorrect.

## CODESMODES Table

This table contains **4** rows.

This table has the following values.

<b>MODEID</b>	<b>MODENAME</b>
1	Airports
2	Harbors
3	Facilities
4	Highways

Tables that use the **MODEID** column are the **CODESPROGRAMTYPES** and **VERSIONS** tables.

There are no inconsistencies in the **MODEID** column in the **CODESPROGRAMTYPES** table.

In the **VERSIONS** table there are **478** rows that have the database default value of **0** (zero) for the **MODEID** column. This will produce incorrect results for database queries or reports utilizing this column for this table.

## CODESOFFICIALS Table

This table contains 29 rows.

The **REGIONID** column has the values shown below.

REGIONID	COUNT of REGIONID
0	9
1	4
4	3
5	6
6	7

The database default for the **REGIONID** column is 0 (zero). There are 9 rows with this default value.

The **CODEREGIONS** table shows values for the **REGIONID** of 1 through 6. One would expect entries for **REGIONID** 2 and 3.

There are inconsistencies between the **NAME** and **REGIONID** columns as shown below.

REGIONID	NAME
0	Bob Saviers
4	Bob Saviers
0	Jim Elieff
1	Jim Elieff
6	Vanda Randolph
4	Vanda Randolph

There are inconsistencies between the **ADDRESS** and **REGIONID** columns as shown below.

REGIONID	ADDRESS
1	2301 Peger Rd
5	2301 Peger Rd
0	2301 Peger Road, Fairbanks Alaska 99709
6	6860 Glacier Hwy Juneau, AK 99801
4	6860 Glacier Hwy.
0	Fairbanks
5	Fairbanks, AK

## CODESPROGRAMTYPES Table

This table contains 9 rows.

This table has the following values.

PROGRAMID	MODEID	PROGRAMNAME
1	1	Aviation
2	2	Ports and Harbors
3	3	Public Facilities (Buildings)
4	4	Anchorage Metro Area Transportation System
5	4	Community Transportation Program
6	4	National Highway System
7	4	State Highway System
8	4	Trails and Recreational Access for Alaska
9	4	Ferry Terminal

This table is related to the **CODESMODES** table by the **MODEID** column. There are no inconsistencies in the **MODEID** column for these two tables.

The **VERSIONS** tables contains the **PROGRAMID** column. This table has **1,798** rows with the database default value of **0** (zero). **This will produce incorrect results for database queries or reports utilizing this column for this table and DOT&PF should correct these occurrences.**

## CONVERSIONFACTORS Table

This table contains 30 rows.

Most conversion factors only have a precision of two decimal places; five only have a decimal precision of one decimal place. This will only provide approximate conversions. It is unknown how the BIDTABIV database handles conversions between Metric and English unit systems, but to convert item unit prices from one system to another, this precision in quantity conversions will not produce accurate results. (It is assumed to do this that the original item price extension would be divided by the converted quantity.) **We recommend revising these conversion factors to at least five decimal places.**

**There is one conversion factor for converting M. Gallon to M. Liters that has a value of 0 (zero) which is obviously incorrect.**

## DBEGOALS Table

This table contains **1,869** rows.

The **DBEDATE**, **NAME**, **TITLE**, **ADDRESS**, **PHONENUMBER**, and **MAILSTOP** columns have many blank entries.

The number of populated columns of this table are shown below.

<b>COLUMN</b>	<b>No. Rows POPULATED</b>
VERSIONID	1,869
DBEGOAL	1,869
DBEDATE	848
NAME	743
TITLE	4
ADDRESS	7
PHONENUMBER	11
MAILSTOP	11

The **DBEGOAL** column has **1,181** rows with the database default value of **0** (zero).

- Of these, **181** rows have the **DBEDATE** column populated.
- Of these, **171** rows have the **NAME** column populated with the value of **UNKNOWN**.
- Of these, **1** row has all other columns populated.

The **VERSIONS** table has **5,923** rows for the **VERSIONID** column. It would appear incorrect that only **688** of these would have a DBE goal. **If this table is incomplete, database queries and reports on this data will be inaccurate.**

## ESTIMATEITEMS Table

This table contains **267,941** rows.

The **DESCRIPTION** column is not always unique for the associated **ITEMNUMBER** column. This table contains **12,407** unique **ITEMNUMBER** column values; however **3,938** of these **ITEMNUMBER** values have different values for the **DESCRIPTION** values for individual items. For those that have different values, the non-unique **DESCRIPTION** values range from **2** per **ITEMNUMBER** to **102**. Some of these different **DESCRIPTION** values are similar (e.g. **Culvert Marker Post** and **CULVERT MARKER POSTS**), but many are wildly different (e.g. **36" dia. X 1/2" wall Pipe Piles** and **Furnished with Afgggregate [sic] Base Course, Grading D-1**).

The same **DESCRIPTION** value is also used for multiple **ITEMNUMBER** values. **3,730** unique **DESCRIPTIONS** have multiple **ITEMNUMBER** values.

In a conversation with DOT&PF's consultant for the BIDTABIV database it was learned that the source of the **ITEMNUMBER** is from the **STANDARDITEMS** table, however the users are allowed to change values. This has contributed to the inconsistencies in this table. Note that the **STANDARDITEMS** table has considerably less unique values for the **ITEMNUMBER** and **DESCRIPTION** columns. While it is assumed that the users loved this flexibility to change values of the item number and item description, the resulting proliferation of item numbers and item descriptions is very detrimental for reporting and price analysis.

This table needs to be edited to collapse the **ITEMNUMBER** and **DESCRIPTION** values to agree with the **STANDARDITEMS** table and if absolutely necessary add values to the **STANDARDITEMS** table.

## STANDARDITEMS Table

This table contains **2,632** rows.

There are **1,470** distinct **ITEMNUMBER** values.

There are **1,181** distinct **DESCRIPTION** values.

The SQL database creation scripts comments indicate column **CHAPTER** is not used, however all rows are populated with **129** unique values.

The SQL database creation scripts comments indicate column **EDITDATE** is not used, however **887** rows are populated with a date.

The SQL database creation scripts comments indicate column **OLDSTANDARDBOOK** is not used, and all values for this column are populated with **NULL**.

Overall no significant issues are observed with this table; however this table would benefit with the addition of a supplemental description column to accumulate underscores in the description such as size or numbers. As noted above the **ESTIMATEITEMS** table should be edited to conform to the **STANDARDITEMS** table and if absolutely necessary add values to this table.

## FACODESUMMARY Table

This table contains 2,835 rows.

This table identifies Federal Aid. The following chart summarizes issues with the column **APPROPRIATIONCODE (Federal Aid Appropriation Code)** that has a corresponding non-zero value in the **RATIO (The Federal Ratio Applied to this Code)** and/or **EEFEDERALSHARE (The federal share for this Improvement Code)** columns.

Count	APPROPRIATIONCODE Value	RATIO Value
200	0	Non-zero
77	''''	Non-zero
6	-	Non-zero
14	---	Non-zero
1,036	----	Non-zero
2	-----	Non-zero
3	- - - - -	Non-zero
656	blank	Non-zero
Count	APPROPRIATIONCODE Value	EEFEDERALSHARE Value
208	0	Non-zero
77	''''	Non-zero
5	-	Non-zero
14	---	Non-zero
989	----	Non-zero
14	-----	Non-zero
646	blank	Non-zero

Overall there are 2,055 rows (72.5%) of apparent non-valid codes (0, symbols, or blank) for the **APPROPRIATIONCODE** column.

For the column **BIDAMT (The Sum of all Items, from the Lowest Responsive Bidder, that have been Coded to this Improvement Code)**, there are 1,453 values of 0 (zero).

For columns **BIDFEDERALSHARE (Using the Lowest Responsive Bid, the Federal Share that has been Coded to this Improvement Code)** and **BIDSTATESHARE (Using the Lowest Responsive Bid, the Sum of the State's Share Coded to this Improvement Code)**, there are 2,846 rows where both of these values are 0 (zero) where the **RATIO** column contains a non-zero value,

For the column **RATIO (The Federal Ratio Applied to this Code)**, 60 rows have the default value of 0 (zero). For all of these, the **EEFEDERALSHARE** and **BIDFEDERALSHARE** column values are 0 (zero), so these **Ratio** column values appear correct.

For the column **RATIO**, 1,865 rows (65.8%) have a value of 90.97. This seems like an odd value to be repeated so much, so **DOT&PF should evaluate if this is valid**. Of these occurrences, 1,007 rows have a value of 0 (zero) for the corresponding **BIDAMT** column (in all of these cases the **EEFEDERALSHARE** and **EESTATESHARE** columns were populated with a non-zero value).

## **FACODESUMMARY Table (cont.)**

The **FACODESUMMARY** table is a child table to the **VERSIONS** table and is related with the foreign key of the **VERSIONID** column. The **FACODESUMMARY** table has **559** unique values for the **VERSIONID** column. The **VERSIONS** table has **5,923** unique values for the **VERSIONID** column (one for each row of the table). These two tables have **559** common values for the **VERSIONID** column (this appears correct).

There would appear that a lot of data integrity work needs to be performed on this table prior to performing any accurate reporting and analysis concerning Federal Aid.

## **FACODING Table**

This table contains **24,148** rows.

This table identifies Federal Aid by item. This table appears to be related as a child table to the **FACODESUMMARY** table with the foreign keys of **FASUMMARYID** and **VERSIONID** columns.

This table has **2,672** unique values of the combination of the **FASUMMARYID** and **VERSIONID** columns.

For the **FACODESUMMARY** table there are **2,835** unique values of the combination of the **FASUMMARYID** and **VERSIONID** columns. This table has **163** more values of these combined columns than the **FACODING** table has. For these **163** combined columns of **FASUMMARYID** and **VERSIONID**, **5** values for the column **BIDAMT** have non-zero values as shown below.

<b>FASUMMARYID_VERSIONID</b>	<b>BIDAMT</b>
11570_38459	100000
5751_19692	129743
5651_19192	129743
5012_17092	410605
13317_39251	56669

For the above combined columns of **FASUMMARYID** and **VERSIONID**, the **BIDFEDERALSHARE** and **BIDSTATESHARE** columns are populated according to the **RATIO** column. It would appear that the above should have been included in the **FACODING** table.



## FACODING Table (cont.)

This table also appears to be a child table to the **ESTIMATEITEMS** table with the foreign keys of the **VERSIONID**, **SECTIONID**, and **ITEMID** columns.

The **ESTIMATEITEMS** table has **267,940** unique values of the combined columns of **VERSIONID**, **SECTIONID**, and **ITEMID**; however it has one value that is repeated, and for this repeated combined column value, and all other column values are repeated. **This repeated row appears incorrect and probably should be eliminated.** The pertinent information for this repeated row is shown below.

ITEMID	SECTIONID	VERSIONID	STANDARDITEMID
376049	39717	38451	1133
376049	39717	38451	1133

The **FACODING** table has **21,890** unique values of the combined columns of **VERSIONID**, **SECTIONID**, and **ITEMID**; however it has **1,954** combined values that repeat in the range of **8** times to **2** times. These repeating values appear to have different **FACODEID** and **FASUMMARYID** column values.

The **FACODING** and **ESTIMATEITEMS** tables have **21,104** common combined values of **VERSIONID**, **SECTIONID**, and **ITEMID**. At first blush, it would appear incorrect that the **FACODING** table would have **786** (21,890 - 21,104) more values for these combined columns than the **ESTIMATEITEMS** table. It would also seem incorrect that only **8.2%** (21,890 / 267,940) of the **ESTIMATEITEMS** table values would have Federal Aid.

This table also appears to be a child table to the **BIDS** table with the foreign keys of **VERSIONID**, **SECTIONID**, and **ITEMID**.

The **BIDS** table has **74,975** unique values of the combined columns of **VERSIONID**, **SECTIONID**, and **ITEMID**. Most values are repeated as would be expected with multiple bids per contract and multiple items per contract.

The **BIDS** and the **FACODING** table have **10,939** common combined values of **VERSIONID**, **SECTIONID**, and **ITEMID**. This is **10,165** (51.8%) less unique values for these combined columns than the **FACODING** table has, and would appear incorrect.

**Based on how the FACODING table relates to other tables in the BIDTABIV database it would appear that this table is incomplete.**

## FAIMPROVEMENTCODES Table

This table contains **29** rows.

The **BIDTABIV Model.pdf** diagram does not show any relations to the other tables of the **BIDTABIV** database for the **FAIMPROVEMENTCODES** table, however this table does have common columns with the **BOOKID** column for the **STANDARDBOOKS**, **STANDARDCHAPTERS**, and **STANDARDITEMS** tables, column **IMPROVEMENTCODE** for **FACODESUMMARY** table, and the column **IMPROVEMENTDESCRIPTION** for the **FACODESUMMARY** table.

The **FAIMPROVEMENTCODES** table has only one value for the **BOOKID** column (**1265**), but the **STANDARDBOOKS**, the **STANDARDCHAPTERS**, and **STANDARDITEMS** tables all have the same **9** different values of **2, 10, 74, 96, 175, 235, 276, 356, and 375**.

The **BOOKID** is an example of the same column name in different tables that represent different things in the **BIDTABIV** database (another example is the **NAME** column). The **BOOKID** column of the **FAIMPROVEMENTCODES** table represents “**Identifies which Book of Federal Aid Improvement Codes this Code belongs to**”, while the below shows what this column represents in the other tables.

<b>Table</b>	<b>BOOKID Description</b>
STANDARDBOOKS	A Unique Number Reviews {sic} to Identify this Standard Book of Pay Items
STANDARDCHAPTERS	Refers to a Record in the Standard Books Table
STANDARDITEMS	Refers to the Standard Book this Standard Item is Contained Within

It is apparent that the **BOOKID** column is related to the **STANDARDBOOKS**, the **STANDARDCHAPTERS**, and **STANDARDITEMS** tables, but not the **FAIMPROVEMENTCODES** table.

While having the same column name in different tables that represent different things is not technically a bad database design, it can lead to confusion for users and should be avoided.

## **FAIMPROVEMENTCODES Table (cont.)**

The **FAIMPROVEMENTCODES** table has **29** unique values for the **IMPROVEMENTCODE** column. The **FACODESUMMARY** table has **203** unique values for the **IMPROVEMENTCODE** column. These two tables only have **11** common values for the **IMPROVEMENTCODE** column (**01, 03, 04, 05-4R, 06-4R, 07-4R, 08, 17(CF), 17(ICAP), 17(SF), and Non-Par**).

The **FAIMPROVEMENTCODES** table does not appear to be complete for the **IMPROVEMENTCODE** column.

The **FAIMPROVEMENTCODES** table has **29** unique values for the **IMPROVEMENTDESCRIPTION** column. The **FACODESUMMARY** table has **293** unique values for the **IMPROVEMENTDESCRIPTION** column. These two tables have **24** common values for the **IMPROVEMENTDESCRIPTION** column.

For the **FACODESUMMARY** table, **26** values of the **IMPROVEMENTCODE** column have non-unique values for the **IMPROVEMENTDESCRIPTION** column.

The **FAIMPROVEMENTCODES** table is not complete and the **FACODESUMMARY** table should be revised to eliminate different **IMPROVEMENTDESCRIPTION** column values.

## **INSTRUCTIONS Table**

This table contains **4,400** rows.

This table provides instructions to bidders.

The **INSTRUCTION** column contains **1,787** rows with a value of **NULL**.

This table is a child table to the **VERSIONS** table by the foreign key of the **VERSIONID** column.

The **INSTRUCTIONS** table has **1,327** unique values for the **VERSIONID** column.

The **VERSIONS** table has **5,923** unique values for the **VERSIONID** column (one for each row of the table). All **1,327** unique values of the **VERSIONID** column of the **INSTRUCTIONS** table are contained in the **VERSIONS** table (this appears correct).

## PLANHOLDERS Table

This table contains **6, 828** rows.

This table identifies plan holders.

For the **LOCKED\_BY** column, all but **16** rows contain the **NULL** value.

Per communications with DOT&PF and their consultant that manages the **BIDTABIV** database, the source of the **COMPANY\_ID** and **NAME** columns of the **PLANHOLDERS** table are pulled from the **MRS.COMPANY** table. It is also assumed that the **PLANHOLDERS.ALASKABIDDER** is also pulled from **COMPANY.ALASKAN\_CONTRACTOR\_FLAG**.

This table has the same issues of the same vendor with multiple variations of name and vendor number as noted previously in the **BIDTOTALS** table. The **MRS.COMPANY** table also has these same issues.

For reports and database queries purposes the vendor number and vendor name values inconsistencies should be resolved to avoid inaccurate or misleading results. This database design suffers from not having a master vendor table that have unique values for vendor number and vendor name and would allow users to only enter the vendor number value (**PLANHOLDER.COMPANY\_ID** and **BIDTOTALS.CONTRACTOR**).

## PROJECTCABINET Table

This table contains **1,130** rows.

This table identifies project cabinets. Cabinets are a filing system used to store project versions.

This table is a parent table of the **VERSIONS** table and is related by the foreign keys of the **CABINETID** and **REGIONID** columns.

The **PROJECTCABINET** table has **1,130** unique values for the **CABINETID** column (one for each row of the table). The **VERSIONS** table has **901** unique values for the **CABINETID** column. These two tables share **900** values in the **CABINETID** column.

As discussed previously the **REGIONID** column should be revised to reflect the current three regions (**CENTRAL, NORTHERN, and SOUTHEAST**). Currently this table has the following values for the **REGIONID** column.

<b>REGIONID</b>	<b>Count of REGIONID</b>
0 (Default Value)	2
1 (CENTRAL)	538
2 (Headquarters)	23
3 (International Airports)	2
4 (Marine Highways)	6
5 (NORTHERN)	353
6 (SOUTHEAST)	206

## PROJECTCABINET Table (cont.)

Currently this table mostly has a unique **CABINETOWNER** column value associated with a unique **REGIONID** column value; however there are some exceptions as shown below.

<b>CABINETOWNER</b>	<b>REGIONID</b>
NULL	0 & 3
ARCHIVIST	1, 2, 3, 4, 5 & 6
JIM	1 & 5

The above **REGIONID** column values should be evaluated to determine if they are correct.

## SECTIONS Table

This table contains **7,139** rows.

This table identifies estimate sections.

This table is a child table of the **VERSIONS** table and is related by the foreign key of the **VERSIONID** column. The **SECTIONS** table has **5,888** unique values for the **VERSIONID** column. The **VERSIONS** table has **5,923** unique values for the **VERSIONID** column. These two tables have **5,888** common values of the **VERSIONID** column (this appears correct).

This table is a parent table of the **ESTIMATEITEMS** table and is related by the foreign key of the **SECTIONID** column. The **SECTIONS** table has **7,139** unique values of the **SECTIONID** column (one for each row of the table). The **ESTIMATEITEMS** table has **6,939** unique values of the **SECTIONID** column. These two tables have **6,939** common values of the **SECTIONID** column (this appears correct).

## STANDARDBOOKS Table

This table contains **9** rows.

This table identifies the standard book of the pay items. There appears to be no issues with this table.

## STANDARDCHAPTERS Table

This table contains **455** rows.

This table identifies a chapter in a Standard Book of pay items

This table is a child table of the **STANDARDBOOKS** table and is related by the foreign key of the **BOOKID** column. The **STANDARDBOOKS** table has **9** unique values for the **BOOKID** column (one for each row in the table). The **STANDARDCHAPTERS** table has the same **9** unique values for the **BOOKID** column (this appears correct).

## USERS Table

This table contains **491** rows.

The **BidtabIV Model.pdf** diagram identifies this table as a parent table of the **PROJECTCABINET** table, however there are no common columns between these two tables.

The **REGIONID** column has the following values.

REGIONID	Count of REGIONID
1	214
2	28
4	5
5	133
6	111

The **REGIONID** column needs to be revised to reflect the current three regions to avoid inconsistencies that will provide incorrect results in reports or database queries involving this data.

There are no multiple **USERNAME** column values by **REGIONID** column values (this appears correct); however there are some inconsistencies with the **INGROUP** column and **REGIONID** as shown below.

INGROUP	REGIONID	Count of REGIONID
CR - DOWL	1	7
CR - DOWL	6	1
CR - HIGHWAY DESIGN	1	55
CR - HIGHWAY DESIGN	5	1
NULL	1	46
NULL	2	15
NULL	4	5
NULL	5	26
NULL	6	32

## VERSIONS Table

This table contains **5,923** rows.

This table identifies project versions.

The **VERSIONDESCRIPTION** column contains **2,691** unique values. These values consist of numbers, symbols, text, and date. There is no consistent way to query this table to determine the version of the project that actual bids were received on. To demonstrate, the top **20** unique values are shown below.

<b>VERSIONDESCRIPTION</b>	<b>Count</b>
Preliminary Estimate	922
NULL	292
NEW VERSION	264
Final Estimate	189
Certified Bid Tabulation	126
In Design	99
FINAL PS&E	67
FINAL	60
PS&E	58
Addendum 1	45
COPY	42
PS&E Estimate	41
PIH Estimate	30
Review PS&E	28
Engineer's Estimate	25
Pre-PS&E	25
CERTIFICATION ESTIMATE	21
PIH	21
Engineers Estimate	20
Pre-PS&E Estimate	20

This database would greatly benefit from a table that represented the proposal of the project that was let for bids by the vendors. Due to the inconsistent values of the **VERSIONDESCRIPTION** column, it would appear that it would be very difficult to accurately report the contracts let per a specified period.

Related to the above, it was previously reported that the **AWARDCONDITIONS** table does not contain an award date value, so there is no way to report on awarded or rejected contracts.

# Recommendations

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The BIDTABSIV database has a lot of data that could be considerably more useful to DOT&PF with the following changes noted below.

1. Collapse the **COMPANY\_ID** and **NAME** columns in the **BIDTABSIV.PLANHOLDER** and **MRS.COMPANY** tables to have unique values and revise the BIDTABSIV to only allow the users to enter the **CONTRACTOR** column in table **BIDTOTALS** and **COMPANY\_ID** column in the **PLANHOLDER** table (making the **PLANHOLDER** table the master).
2. Collapse the **DESCRIPTION** and **ITEMNUMBER** columns in the **ESTIMATEITEMS** and **STANDARDITEMS** tables to have only unique values and revise the BIDTABSIV database to only allow users to enter the **ITEMNUMBER** column in the **ESTIMATEITEMS** table and the **STANDARDITEMS** table (making the **STANDARDITEMS** table the master). The **STANDARDITEMS** and **ESTIMATEITEMS** tables would benefit with the addition of a supplemental description column to accumulate underscores in the description such as size or numbers.
3. Populate the **AWARDDATE** (date contract was awarded) column of the **AWARDITIONS** table so that analysis can be performed on awarded or rejected contracts.
4. Revise and standardize entries in the **VERSIONDESCRIPTION** column of the **VERSIONS** table so that it is clear which version of the contract that actual bids were received on.
5. Revise entries in tables of **FACODESSUMMARY**, **FACODING**, and **FAIMPROVEMENTCODES** involving Federal-Aid to eliminate inconsistencies noted that prevent accurate database queries and reporting.
6. Revise entries in tables **CODEREGIONS**, **CODESDISTRICTS**, **CODESOFFICIALS**, **PROJECTCABINET**, **USERS**, and **VERSIONS** for columns **REGIONID** and **REGIONNAME** to reflect current regions and region names so that accurate database queries and reporting can be performed.
7. Increase the decimal precision of the **MULTIPLYBY** column of the **CONVERSIONFACTORS** table to five decimal places to perform accurate conversion between Metric and English units contracts.
8. For analysis purposes, this database would benefit from having:
  - County information in addition to the region data.
  - Map coordinates for the individual contracts.
  - Identification of affiliated vendors.
  - Vendor officer information.
  - Vendors that pulled plans for contracts.
  - Item and contract classifications for functional work types (asphalt paving, concrete paving, earthwork, etc.).
  - Work type that vendors are prequalified for.
  - Final item quantities and final items for contracts.
  - Facility information for asphalt plants, concrete plants, and aggregates plants.
  - Subcontract information (down to the item level) for contracts.



1. *Which AASHTOWare modules do you license? Which are implemented? Do you also use Bid Express?* Expedite, PES/LAS, Precon, SiteManager Construction & Materials, BAMS/DSS, Site Exchange, Civil Rights & Labor (not in production... process of implementing web precon, discussion to implement CR&L next), Bid Express (not AASHTOWare)
2. *How is your agency structured/organized (department, division, regions, etc... staff using AASHTOWare software)? How large is your agency (users, contracts awarded)?* All AASHTOWare admins have been switched to one division/section, used to be separate but worked together. AASHTOWare \$400 million/year about 200-250 contracts. 1000-1200 users total internal and external. Includes consultant engineers. SiteManager is only system with external users. Two sides, operations and project side. Total for NDOR is 2400. No designers in AASHTOWare (centralized design, even centralized designers don't enter info into precon, all sent through construction office where estimators are housed, construction does estimates for design, 4 guys build every project inside of AASHTOWare on top of estimating), only external users inside AASHTOWare consultant inspectors in construction. 8 administrators for ALL modules together. 8 districts total. Lee works for IT division (consultant, since 1998), works almost solely on AASHTOWare work. AASHTOWare in construction operated independent of IT for a long time, working on building relationships in IT so they're aware of what construction is doing and changes made more so than before. Sys Admins handle trouble shooting, getting in database, making sure things are installed, external folks can connect properly. IT staff handle all database/server upgrades and changes.
3. *Do you have any customizations to your AASHTOWare software? If so, to what extent? Were the customizations created in house or did you use InfoTech?* Only module customized is SiteManager, heavily. About 100-120 customizations, In House Lee has done all of them because they have the expertise. 3.13a-1. BAMS/DSS interface has 2 changes SiteManager to DSS (minor changes). Some to PES/LAS as well, UI/Label changes.
4. *When did you implement your various modules?* SiteManager since 2000-2001. Started in the 90s.
5. *We are looking for approximate costs of implementation that are not included in InfoTech's proposal (training, number of dedicated personnel, number of workshops, etc). Do you have any approximate figures?* Doing precon on their own for implementation. NDOR had their trainers go to Florida for training, then came back and did about a year of pilot testing then one person from each district so they're on site to train as SM rolled out. Basically district IT folks.
6. *Given the order you implemented your software, what would you do differently now if you were to do implementation over again? Are there any modules you feel must be implemented first before continuing with other modules?* Precon before SM because info starts in precon. Estimation would be before precon. Depends on vision of AASHTOWare Project. More people entering data the better so it can move through the phases of the project. Looking to get design division involved in entering/building projects as they're designing (items/quantities) so load of

data entry is spread across 40 people instead of only 4. Bid Express/Precon together recommended. Bid Express holds onto bid files until the magic time state can look at them and load them into precon. Interfaces with precon well. Can export a lot onto Bid Express and hold until awards. Don't think Bid Express would do any good without Precon. At 1:30 bids become available, hard copy printed, the hard copy is the "official" bid that gets read in front of a camera at a public forum. BidEx/downloading is just the avenue used to get to the point of printing (set up in auditorium where they have their lettings). BidEx gives option to print off all bids with one button. DOT doesn't actually pay for BidEx, contractors pay to use it on a yearly basis, about \$100/year for contractors to have an account with a digital ID. Saves a lot of time for our people to not have to manually enter the bid file, contracts office doesn't have to hand type all the bids on those items, time saver. BidExpress is not mandated, but all contractors must use Expedite program to fill out electronic bidding file. Paper bid submissions still allowed. A few contractors will save electronic bidding file onto CD or floppy disk and when mailed in or dropped off, the file could be corrupt or they may have forgotten to actually burn the CD so NDOR takes the paper bid. Paper bid overrides anything that is on the electronic file. Mandate that bids should be submitted electronically, but just means they must use Expedite (because it is free) although they can print out bid and bring it in and send .ebs file. Can set up a separate conference call with their Contracts section for more detail. BidEx allows you to have a demo website so you can have fake lettings and fake proposals for testing. No physical medium needed to be transferred. Each state assigns a specific Vendor ID. Digital and Vendor ID are two different things.

7. *How long from the time you signed your preconstruction proposal did it take before you completed all testing? How long until you completed production implementation? Did you do pilot projects using the 6 month trial period before proceeding with setting up your testing/production environments?* Precon implementation has taken years and strung out for one reason or another. Most progress in last year. With centralized estimation/design, only affecting about 30 users with the precon implementation and they're all central (headquarters). No need to reach out to districts because they don't do anything in precon.
8. *Did you have a testing and/or implementation plan? If so, would you be willing to share them? In general, what was your testing and/or implementation plan?* "kinda". Wasn't as well planned as it could have been in hindsight. Contracts had pretty good manuals put together for processes. Modified them and figured out how to do them in precon, once that was figured out then started reaching out to users and training. After up and running, users ran parallel. Intention was to run in full parallel (dual enter everything) but do to work load didn't happen. Chose just a handful of example projects to try out and entered those particular projects in both systems. Re-migrated info from PES/LAS to Precon so Contracts office can run through their full process for testing. Probably would just pick a couple contracts to run through the whole process since no existing system to worry about with just a handful of users who will be in the system. Work on adapting current non electronic workflows to what the electronic workflow can do. No one used to software working a certain way, no need to configure old software to "work like" the old

software. NDOR uses AASHTOWare as master list for vendors and pay items. Huge struggle to get whole department to agree on one master list of pay items, much smoother once a single master list.

9. *What are the most important lessons learned from your various implementations that you feel lead to more successful implementations? Do you have any recommended strategies when developing a testing and implementation plan?* See previous. Have a good plan in place to allow your users to test next to current process. Do a full parallel testing comparison if possible depending on work load. If able to pull off, can alleviate some issues. Find ways for your end user to benefit from the system so the “sell” is easier. Do as much front end work as possible (recreating any reports, understanding processes and work flows outside software, to help end users get through software and understand where everything needs to go). Work with small group of end users to understand work flows. Need core group of people who are willing to discuss processes and change processes to minimize customizations. Business can't be so stuck in how things work now, unwilling to change, if you're going to implement software without massive customization. Make sure anything done in precon software will work with everything downstream (construction). Happy medium for both sides to work together.
10. *Do you have an interface between your accounting system and your AASHTOWare software? (Kentucky and Idaho use Advantage: would KY be willing to share the interface they wrote with AK, understanding we would need to modify it as needed to interface with our configuration? Does Idaho have an interface?)* NDOR uses paper. Tried to interface with their accounting software for long time, hasn't worked out. Gearing up to try again in the next year or so.
11. *For Nebraska and Kentucky: Will you be implementing AASHTOWare Project 3.0 upon its release, or will you be waiting for a future release before upgrading in production?* Probably waiting for 3.01 before implementation. Currently implementing preconstruction 3.0 but waiting on construction/materials for 3.01 (Sept ish 2016)
12. *Please explain how you implemented BidExpress-i.e did you have a period of transition when bidders could bid either by paper or electronically? How did that work for your state?* Contractors that are not on location in headquarters don't have to travel and entire bid can be sent electronically
13. *What were the reactions from your Contractors? In Alaska, we are the Department of Transportation and Public Facilities and so we are bidding a variety of projects ranging from Under \$500,000 Facilities remodels to larger projects.* Table to conversation with the Contracts section.
14. *Do you have a similar circumstance with different sized Contractors-i.e. small local firms as well as large national firms?* Table to conversation with the Contracts section.
15. *Any lessons learned for us on outreach to the Contractors?* Table to conversation with the Contracts section.

## ALASKA DOT Questions for Kentucky DOT

1. Which AASHTOWare modules do you license? Which are implemented? Do you also use Bid Express? SiteMANAGER 3.13 a-1 first began SM in 2005 for Construction. 2006 for Materials 2007 for LMIS. Web Preconstruction 2.01.77 migrated from PCL in 2012 Began PLC in 2004. Use BAMS/DSS since early 1990's. Use SiteXchange for subcontract, Estimator to pass Projects to PreConstruction. All have been using BidX for about 5 years with all projects. Plan to update to 3.00 webPreConstruction next year, probably wait for 3.01 for construction & materials
2. How is your agency structured/organized (department, division, regions, etc... staff using AASHTOWare software)? How large is your agency (users, contracts awarded)? 12 Districts with 4-5 Section offices (53 in all). SiteManager in all 53 section office, all Districts and Central Office Construction & Materials. PreConstruction available in all Section offices, District Offices and Central Office Design, Maintenance, Rural Roads and Construction Procurement. 400+ users in SiteManager. 150+ in PreConstruction. Last several years about 700 contracts per year totally 1 billion. Includes Striping, Interstate mowing, resurfacing as well as Grade & Drain, Bridges, Bridge maintenance. Design/engineer's estimates primarily central office. Central sys admin support (Matt, Beth, Angela, Mark Higdon, Adam Franklin, Mark & John-IT, dba, Bob Lewis). Districts first line of defense answering questions. Online training, powerpoints.

<http://transportation.ky.gov/Construction-Procurement/Pages/default.aspx>

3. Do you have any customizations to your AASHTOWare software? If so, to what extent? Were the customizations created in house or did you use InfoTech? Info Tech help with initial implementation and screen customs and reporting. We have staff in house to so these functions as needed now. We tried to minimize customizations but for Preconstruction we have modified with ITI help the Vendor PreQual area (prequel info sent in every year and reviewed). Also, Screen labels and such for minor stuff in SM and PreConstruction. RTF reports in SiteManager.
4. When did you implement your various modules? See above
5. We are looking for approximate costs of implementation that are not included in InfoTech's proposal (training, number of dedicated personnel, number of workshops, etc). Do you have any approximate figures? Training for SM we had ITI train the trainers then those folks trained staff in District. Similar approach to PLC and update to Web Preconstruction. The web Preconstruction was not much different to PLC and training much easier. It did take some folks for initial training and now they are support in CO Construction. Will try and get cost.
6. Given the order you implemented your software, what would you do differently now if you were to do implementation over again? Are there any modules you feel must be implemented first before continuing with other modules? PLC (precursor to WebPreConstuction) with Expedite then SiteManager seemed to work well.

## ALASKA DOT Questions for Kentucky DOT

7. How long from the time you signed your preconstruction proposal did it take before you completed all testing? How long until you completed production implementation? Did you do pilot projects using the 6 month trial period before proceeding with setting up your testing/production environments? For PLC we started in Fall 2002 and implemented in 2004. Construction 2003 then implement 2005. Migration to web PreConstruction started in fall 2009 and implemented in 2011. We did have (and still have) test environment. Parallel testing with a handful of projects, then picked a letting for production switch. ITI came onsite for all implementations. Migration to precon KY was more involved but used ITI for some training and server setup.
8. Did you have a testing and/or implementation plan? If so, would you be willing to share them? In general, what was your testing and/or implementation plan? We can share Plans
9. What are the most important lessons learned from your various implementations that you feel lead to more successful implementations? Do you have any recommended strategies when developing a testing and implementation plan? We only migrated 3 years of data from PLC to PreConstruction rather than 15 years. Also when we implemented SiteManger we intended to use our legacy sytem for older projects but Statewide Accounting system came a year later and to reduce support on interfaces we had to convert a lot of ongoing old contracts. That was painful. Also the Material implementation we picked a date for test in new system. This meant data in two system for material certification. Not pretty sight. Do a lot of testing to make sure it works. Pick a letting date for all new contracts in new system, prior to that date using old system.
10. Do you have an interface between your accounting system and your AASHTOWare software? (Kentucky and Idaho use Advantage: would KY be willing to share the interface they wrote with AK, understanding we would need to modify it as needed to interface with our configuration? Does Idaho have an interface?) We can provide documentation for our interface. We are currently re-writing into DOTNET
11. For Nebraska and Kentucky: Will you be implementing AASHTOWare Project 3.0 upon its release, or will you be waiting for a future release before upgrading in production? 3.0 for PreConstuction Fall 2015 is hope.
12. Please explain how you implemented BidExpress – i.e. did you have a period of transition when bidders could bid either by paper or electronically? How did that work for your state? We had program similar to Expedite we required contractors to use and give us file on media with bid submission. We migrated to Expedite and following with all project in BidX. No problems. All submit using BidX, no exception. Some jobs let through purchases (mowing, etc) using a different system. Anything Construction Procurement through BidX. Some do paper bid bonds, must be in hand before (1-2/letting avg).

## ALASKA DOT Questions for Kentucky DOT

13. What were the reactions from Contractors? In Alaska, we are the Department of Transportation and Public Facilities and so we are bidding a variety of projects ranging from Under \$500,000 Facilities remodels to large Highway projects. No complaints to speak of. We bid Maintenance projects for \$20,000 to Lake Bridges for \$130,000,000
14. Do you have a similar circumstance with different sized Contractors – i.e. small local firms as well as Large national firms? All Contracts
15. Any lessons learned for us on outreach to the Contractors? Went statewide with training for legacy system and later Expedite. A lot of bigger contractors already using Expedite/BidX.

Some design/build jobs, but not let through BidX, using paper bids. Entered into the system after bidding. Ask for itemized quantity list (schedule of values) and put that in for testing purposes for SiteManager.

Legacy electronic bidding system (highway bid) started using about 10-15 years prior to BidX (interfaced with PES/LAS).

## *AASHTOWare Regional Analysis Focus Session Discussion Topics*

### **General Contracts – 2 Sessions**

#### Pay Items

1. Regional standard & non-standard item creation process
  - a. Any guidelines for creating supplemental descriptions?
2. How does your region handle multiple occurrences of the same item?
3. Do you have any means of “grouping” pay items besides funding?

#### Proposals

1. How does your region determine the primary project when multiple projects are included in one contract?
2. Is there a standardized process for proposal creation? Or is each proposal customized?
3. How are proposal numbers determined? (State & Federal numbers)
4. How are standard and special provisions added to proposals?
5. Is the standard text at the beginning of every contract specific to your region?
6. How do outside entities submit provision language for proposals? (ie AKRR, etc)
7. How are proposals distributed to the contracting community? Internally?
8. Does Alaska DOT&PF produce any proposals for outside entities?
9. Are atypical projects/proposals handled differently? (PF, ER projects) If so, how?
10. How are new project items added during the addenda process?
11. What is your region’s addenda process?
12. How close to bid opening are addenda allowed?
13. What is the process for notification & distribution for addenda/amendments?
14. How are planholder lists managed and updated? Whose responsibility?
15. How are purchases and charges for plans/specs tracked? Whose responsibility?
16. Do you use any means of advertising besides the SOA webpage?
17. Is there any situation in which the state would ever want to track subcontractor bids?
18. How many avenues are used for distributing proposal packages?
19. Who is responsible for determining DBE (internal) & OJT goals in your region? Describe the process.

#### Vendors

1. How do you maintain/update vendor information?
2. How are new vendors & vendor ID numbers created & coordinated?
3. Who is responsible for entering vendor/contractor data?
4. Does anyone external need access to vendor/contractor data?
5. How do you resolve duplicate vendors? (This may be resolved by online bidding.)
6. How are joint ventures handled? (multiple addresses, etc)
7. Do you track Insurance, Bonding & Surety vendors differently? If so, how?
8. What does the state require to become a contractor?

### **Contracts – Bidding – 1 session**

1. Are any criteria other than low bid used to evaluate bids? If so, what?
2. How do we keep track of bidders/bids submitted?
3. Are ER bid openings handled any differently than normal bid openings? If so, how?
4. Describe the bid process: Receiving, Opening, Organizing, Reading, Reviewing, etc.
5. Are negative/zero/empty item bids allowed?
6. Describe the bid analysis process
7. Besides Alaska bidder preference, are there any other bidding considerations specific to Alaska?
8. Describe the process for editing/correcting/modifying bids
9. Describe the award process

### **Project Control – 1 session**

1. Is there any default funding of items? If so, what?
2. What are funding determinations, allocations & breakouts?
3. Describe common funding setups/situations
4. Describe uncommon funding setups/situation

### **\*\*Deliverables (bring to sessions):**

- All reports & forms used (including memos, email communication examples, invoice/mailing label formats, etc)
- All current application outputs: spreadsheets or other tools used during any phase of Preconstruction
- Regional/Sectional RBA Performance Measures
- List of Regional Specials
- Regional Vendor List



# AKDOT AGENDA for AASHTOWare Project Preconstruction, Bids, and Civil Rights & Labor On-site Business Analysis Workshop

**December 5-13, 2016**

\*Core group of attendees:

AKDOT: Sara Jarvis, Jaclyn Elmes, Barbie Tanner, Jeff Jenkins, Kristin Keifer, Jenny Wright, Jon Weaver, Sharon Smith, Adam Marks, Dennis Good

ITI: John Oberdiek, Peggy Leight, Stan Silva

## **Preconstruction - Monday December 5th, 2016**

TOPIC	TIME	ATTENDEES
Prep meeting room and set-up	8:30 – 10:00	
Introductions, Review of Agenda. Discussion: AKDOT review of particular topics and General review of AASHTOWare Preconstruction and CRL – high level	10:00 – 10:15	Core Group
Current workflow (all 3 regions) – Long range planning / Project design and Estimation <ul style="list-style-type: none"> <li>• Import projects</li> <li>• Project general data</li> <li>• External Designers</li> </ul>	10:15-11:30	Core Group
Lunch	11:30 – 12:30	ALL
Current Workflow Overview - Project Details <ul style="list-style-type: none"> <li>• Categories</li> <li>• Items</li> <li>• Funding</li> </ul>	12:30 – 2:00	Core Group
Break	2:00 – 2:15	ALL
Current Workflow Overview - Proposal Details <ul style="list-style-type: none"> <li>• Preliminary estimates</li> <li>• Pricing / Second estimates</li> <li>• Proposal Generation</li> <li>• Special provisions</li> <li>• Sections and items</li> </ul>	2:15 – 4:15	Core Group
Questions from the day, Action Items, changes to agenda	4:15-4:30	Core Group

## **Preconstruction - Tuesday December 6th, 2016**

TOPIC	TIME	ATTENDEES
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Questions / Follow Up / Agenda Review	8:30 – 8:45	Core Group
<p>Current Workflow Overview - Proposal Bid Letting</p> <ul style="list-style-type: none"> <li>• Proposal Time <ul style="list-style-type: none"> <li>○ Cost Plus time</li> </ul> </li> <li>• Create Bid Letting</li> <li>• Advertising</li> <li>• Addenda creation and processing - add, change and delete items</li> <li>• Notifying and Selling Plans</li> </ul>	8:45 – 10:00	Core Group
Break	10:00 – 10:15	ALL
<p>Current Workflow Overview (cont.)</p> <p>Bid Letting and Award</p> <ul style="list-style-type: none"> <li>• Expedite file generation</li> <li>• Addenda distribution</li> <li>• Managing Purchase/bidders</li> </ul>	10:15 – 11:30	Core Group
Lunch	11:30-12:30	ALL
<p>Current Workflow Overview –</p> <ul style="list-style-type: none"> <li>• Load bid data from Bids</li> <li>• Proposal Vendor review</li> <li>• Award Proposal</li> </ul>	12:30 – 2:15	Core Group
Break	2:15 – 2:30	ALL
<p>Current Workflow Overview – specialty contracts</p> <ul style="list-style-type: none"> <li>• Design Build</li> <li>• Additive Bidding</li> <li>• Life Cycle Cost</li> <li>• Cost plus Time</li> <li>• Maintenance</li> </ul>	2:30 – 4:15	Core Group
Questions from the day, Action Items, changes to agenda	4:15-4:30	Core Group

## **Preconstruction - Wednesday December 7th, 2016**

<b>TOPIC</b>	<b>TIME</b>	<b>ATTENDEES</b>
Questions / Follow Up / Agenda Review	8:30 – 8:45	Core Group
FAA vs. FHWA responsibilities	8:45 – 10:00	Core Group
Break	10:00 – 10:15	ALL
Review Preconstruction Reports	10:15 – 11:30	Core Group
Lunch	11:30-12:30	ALL
Reports continued	12:30 – 2:15	Core Group
Break	2:15 – 2:30	ALL
Preconstruction Interfaces: <ul style="list-style-type: none"><li>• XML project load</li><li>• AKDOT web site</li><li>• Project Bids</li><li>• Long range planning applications</li><li>• Finance</li><li>• Construction</li><li>• Plans</li><li>• Vendor qualification</li><li>• Bid Tab data (AK)</li><li>• Other (DSS)</li></ul>	2:30 – 4:15	Core Group
Questions from the day, Action Items, changes to agenda	4:15-4:30	Core Group

**Bids – Agency Options – Reference Data - Thursday December 8th, 2016**

<b>TOPIC</b>	<b>TIME</b>	<b>ATTENDEES</b>
Questions / Follow Up / Agenda Review	8:30 – 8:45	Core Group
Bids and BIDX	8:45 – 10:00	Core Group and David Fillipps and Ozette Brown (webex)
Break	10:00 – 10:15	Core Group
Bids and BIDX continued	10:15-11:30	Core Group and David Fillipps and Ozette Brown (webex)
Lunch	11:30-12:30	All
<ul style="list-style-type: none"> <li>• Agency Options and settings</li> <li>• Workflows and roles</li> <li>• Users and roles</li> <li>• Vendor Management</li> </ul>	12:30- 2:15	Core Group
Break	2:15-2:30	ALL
Reference data and Code Table Review (focus listed below) <ul style="list-style-type: none"> <li>• Code Tables</li> <li>• Districts and Counties</li> <li>• Special Provisions</li> <li>• Pay Items</li> <li>• Funds</li> <li>• Vendor</li> </ul>	2:30-3:15	Core Group
UI Configurations <ul style="list-style-type: none"> <li>• Entity level xml</li> <li>• Component level xml</li> </ul>	3:15 - 4:15	Core Group
Questions from the day, Action Items, changes to agenda	4:15 - 4:30	Core Group

## **Civil Rights & Labor - Friday December 9th, 2016**

<b>TOPIC</b>	<b>TIME</b>	<b>ATTENDEES</b>
Questions / Follow Up / Agenda Review	8:30 – 9:00	Core Group
Current Workflow Overview – CR&L <ul style="list-style-type: none"><li>• DBE Certification</li><li>• Bidder/Quoter</li></ul>	9:00 – 10:00	Core Group
Break	10:00 – 10:15	All
Current Workflow Overview – CR&L <ul style="list-style-type: none"><li>• DBE Goals</li><li>• SBE/WBE/MBE Goals</li></ul>	10:15-11:30	Core Group
Lunch	11:30-12:30	All
Current Workflow Overview – CR&L <ul style="list-style-type: none"><li>• Aspirational Goals</li><li>• DBE Commitments</li><li>• Good Faith Effort</li></ul>	12:30- 2:15	Core Group
Break	2:15-2:30	All
Current Workflow Overview – CR&L <ul style="list-style-type: none"><li>• Subcontracts</li><li>• Subcontract Payments (Prompt Pay)</li></ul>	2:30-4:15	Core Group
Questions from the day, Action Items	4:15-4:30	Core Group

## **Civil Rights & Labor - Monday December 12th, 2016**

<b>TOPIC</b>	<b>TIME</b>	<b>ATTENDEES</b>
Questions / Follow Up / Agenda Review	8:30 – 9:00	Core Group
Current Workflow Overview – CR&L <ul style="list-style-type: none"><li>• Contract Compliance</li><li>• Commercially Useful Function (CUF)</li><li>• Supportive Services (DBE and OJT)</li></ul>	9:00 – 10:00	Core Group
Break	10:00 – 10:15	All
Current and Future Workflow Overview – CR&L <ul style="list-style-type: none"><li>• Disparity Study needs</li><li>• TERO</li><li>• FAA, FHWA Requirements</li></ul>	10:15-11:30	Core Group
Lunch	11:30-12:30	All
Current Workflow Overview – CR&L <ul style="list-style-type: none"><li>• Payrolls</li></ul>	12:30- 2:15	Core Group
Break	2:15-2:30	All
Current Workflow Overview – CR&L <ul style="list-style-type: none"><li>• Wage Decisions</li></ul>	2:30-4:15	Core Group
Questions from the day, Action Items	4:15-4:30	Core Group

## **Civil Rights & Labor - Tuesday December 13th, 2016**

<b>TOPIC</b>	<b>TIME</b>	<b>ATTENDEES</b>
Questions / Follow Up / Agenda Review	8:30 – 9:00	Core Group
Current Workflow Overview – CR&L <ul style="list-style-type: none"><li>• OJT</li><li>• OJT goals</li></ul>	9:00 – 10:00	Core Group
Break	10:00 – 10:15	All
Required Reports Review	10:15-11:30	Core Group
Lunch	11:30-12:30	All
Required Interface Review Training Needs	12:30- 2:15	Core Group
Break	2:15-2:30	All
Wrap up, final questions, action item review, schedule review, next steps	2:30-4:30	Core Group

## **AASHTOWare Update – December 2016**

The AASHTOWare Analysis Workshop was held December 5<sup>th</sup> – 12<sup>th</sup> in Anchorage. Software experts from InfoTech, Inc. met with Alaska DOT Core Team members to determine the ways in which AASHTOWare will be modified to fit Alaska's business processes and data needs or how DOT can use this change opportunity to adjust business processes in accordance with the software functionality to further increase efficiencies and align with industry standards.

AASHTOWare can be modified in two ways. The first is through configurations. Configurations consist of moving, adding, deleting, or renaming data fields or changing the type of data field. The second is through customization. Customization is a change to the functionality of the program. Configurations are easy, and as they can be done by AASHTOWare Project Management, are relatively inexpensive. Additionally, any modifications transfer without cost to later system upgrades. Customizations require modification of system code and are costly since the work must be done by InfoTech staff and must be redone whenever the system is upgraded.

Significant effort was made during the Analysis Workshop to cleverly configure the software to maximize the available functionality while keeping customizations minimal or even non-existent. The Workshop helped identify underutilized functional areas of AASHTOWare that Alaska DOT can re-purpose for Alaska-specific data needs without requiring expensive customization. Discussions of current and potential future reports needs were held, especially in the area of Civil Rights and the CRO's need to report wide-ranging data to federal entities. Following the Analysis Workshop, AASHTOWare Project Management contacted appropriate Statewide personnel to address questions that arose during the Workshop.

With the information gathered through the Analysis Workshop, InfoTech is currently preparing an extensive Analysis Report to be delivered to DOT AASHTOWare Project Management in chapters over the next 6 to 8 weeks with bi-weekly phone discussions of the reports. The final result of the report and discussions will be recommendations for implementation and an implementation proposal tailored for Alaska DOT's unique needs.

Although DOT is still in the Analysis phase of the first set of modules to be implemented and the Preconstruction, Civil Rights & Labor, and Bids modules will not be launched for another year, AASHTOWare Project Management has decided to take a proactive stance regarding Change Management – providing information to and preparing those affected by the upcoming software launch. Because of this, AASHTOWare Project Management is using the expertise of the NR DOT Public Information Office to help devise a plan and content to be published on the Department's external website. DOT employees will not be the only people affected by the implementation of AASHTOWare. Information on the website will have the aim of educating both the contracting community about online bidding and DOT employees about the upcoming changes. In addition, the website will provide general project information and basic updates for any members of the public



or legislature interested in the project or its progress. AASHTOWare Project Management will also be begin contractor outreach by contacting AGC (Association of General Contractors) in the New Year regarding a presentation on AASHTOWare followed by a Q & A session.

In addition to bridging gaps between sections within DOT, AASHTOWare is also helping bridge gaps between Departments. Recently, AASHTOWare Project Management met with representatives from the DOL Labor Standards and Safety section to discuss information sharing. DOT has extremely limited access to the DOL certified payroll system. Because of this, contractors are forced to dual submit their certified payrolls to both DOT and DOL with varying levels of information. DOL has agreed that an interface between their electronic LSS system and AASHTOWare would be a huge benefit to both Departments. This interface will allow AASHTOWare to pull specific information from LSS, giving DOT staff easy access to the redacted certified payrolls of DOT contractors and subcontractors. Furthermore, the interface will resolve the difficulty contractors have been dealing with of providing the DOL statement of compliance to DOT along with their certified payrolls.

AASHTOWare Project funding is still awaiting IT Spend Review. ISSD assures AASHTOWare Project Management that it will be reviewed immediately following the New Year's holiday.

## **AASHTOWare Update – January 2017**

Bi-weekly meetings have begun between AASHTOWare Project Management and InfoTech, Inc. (ITI) to discuss the Analysis Report Chapters in preparation for an implementation proposal. During the latest meeting, AASHTOWare Project Management requested the project plan analysis chapter to be expedited. This chapter covers the implementation component activities and remaining analysis component activities, and includes a timeline with milestones and associated tasks. With this as a guide, AASHTOWare Project Management can ensure the project remains on schedule for a January 1, 2018 launch of the Phase 1 modules (Preconstruction, Civil Rights & Labor, Bids/Bid Express). AASHTOWare Project Management aims to have this plan, mapping out the rest of Phase 1 implementation, formulated by the end of February.

Final decisions regarding terminology changes within AASHTOWare Project Preconstruction have been made in collaboration with Statewide personnel and AASHTOWare Project Management has nearly completed the first round of configurations for the Preconstruction module. Reference data lists that will populate the software with Alaska DOT&PF data have also been started. A member of the Attorney General's office has been chosen as a point of contact for AASHTOWare Project Management to address questions, as needed, throughout all phases of the software implementation.

Communication has been coordinated between ISSD AASHTOWare Infrastructure personnel and ITI technical staff to discuss details relating to infrastructure and the transition from paid hosting to internal hosting on Alaska DOT&PF servers. An offer from AASHTO for free hosting for pre-implementation activities was made to all agencies and AASHTOWare Project Management submitted a request for this offer. However, due to a misunderstanding between AASHTO and ITI regarding the terms of the offer, Alaska DOT&PF has received one year of paid hosting services for free (for both pre- and post-implementation activities). The goal is to have Alaska internally hosting well before the Phase 1 launch date to make sure all is running smoothly, but the free extended hosting service will allow the implementation and launch to continue unhindered in the event that Alaska DOT&PF infrastructure and ISSD personnel need more time before taking on internal hosting.

AASHTOWare Project Management met with a Wage & Hour Investigator from DOL to discuss interface details more in depth. The formerly cumbersome electronic certified payroll submission process has been recently reworked and contractors are required to submit CPs electronically via the new, user friendly process starting February 1<sup>st</sup>. The new DOL CP submission tools have been shared with ITI so that a detailed plan for an interface between AASHTOWare and DOL's LSS system is included in the implementation proposal along with other interfaces required. DOL has offered

to let DOT add more informational requirements to their CP submission spreadsheet if there is a need.

Contact has been made with the AGC regarding AASHTOWare. Online bidding and presentations about AASHTOWare were on the agenda at the DOT/AGC Leadership meeting. As implementation continues, AASHTOWare Project Management will prepare and provide information, and give presentations when appropriate, to educate the contracting community about the software and online bidding. Content for DOT&PF's external website has been created and is currently being reviewed by the NR Public Information Office before posting to the site. Initial website content is general and high-level. However, the site will be updated monthly and more specific information added as the implementation progresses.

Funding for AASHTOWare Project for FY17 has received IT Spend Review approval and the Unbudgeted ICAP Request Memo is currently receiving final signatures.

## **AASHTOWare Update – February 2017**

AASHTOWare Project Management continues to hold bi-weekly meetings with Preconstruction and Civil Rights & Labor personnel from InfoTech, Inc. (ITI). Analysis Chapters focused on Reports and Preconstruction Processes have been received and reviewed. Chapters received, yet awaiting final review are Training, Systems Interfaces, and Scheduling. By the end of March, the Analysis Component of Phase 1 modules will be completed and an Implementation Proposal should be ready for AASHTOWare Project Management's review and approval.

Configurations to the Preconstruction module have been completed. AASHTOWare Project Management held several meetings with Civil Rights Office personnel to determine necessary software modifications. Those configurations to the Civil Rights & Labor module are well under way. Reference data for the Preconstruction module, including the statewide Highways item master are nearly complete. Reference data population for the Civil Rights & Labor module continues.

Weekly meetings between AASHTOWare Project Management and ISSD management began in February to ensure that ISSD resources are available when needed during implementation and also that any assistance ISSD may need from ITI regarding hardware or application support is coordinated and timely.

Alaska DOT&PF received official notification of the year of free extended hosting services from AASHTO.

AASHTOWare content for the DOT&PF external website has been reviewed by the NR Public Information Office and submitted to the Department Webmaster for posting.

Inquiries were made to AASHTOWare Project Management regarding the possible configuration of AASHTOWare to assist Project Control in creating PDAs. Also, though AASHTOWare does not track PSAs, DOT&PF management would like to use the data warehousing aspect of the software to help reduce paper and redundancies in gathering information for PSA reports/forms. AASHTOWare Project Management is currently exploring how AASHTOWare may help facilitate these needs.

AASHTOWare Project Management continues to complete remaining Action Items from the December Analysis Workshop in preparation for the Implementation component.

IT Spend Review approval has been received as well as all other necessary signatures and approvals and the RSA submitted. However, now that funding has been secured, there is confusion as to whom purchase orders must be submitted for approval and signatures before AASHTO invoices can be paid. AASHTOWare Project Management is currently attempting to clarify this process.

The project is currently on schedule to begin the Phase 1 Implementation component in early April.

## **AASHTOWare Update – March 2017**

The analysis component of the AASHTOWare Phase 1 modules is complete. The last Analysis Chapters were reviewed by AASHTOWare Project Management and returned to InfoTech, Inc. (ITI). The Final Analysis Document was received from ITI, reviewed, and returned. AASHTOWare Project Management expects to receive and sign an Implementation Proposal mid-April.

Preconstruction configurations continue to be evaluated and refined. Civil Rights & Labor configurations are 95% complete. First draft of Highways Item Master has been loaded into AASHTOWare Project and sent out to Core Team members for review and comment. Reference data tables have been exported for population of the Vendor Master list and the Airports Item Master and work continues on both tables.

The AASHTOWare Project web page has been launched and can be viewed at:

<http://www.dot.alaska.gov/aashtoware/>

Since this page is on the external website, anyone interested can visit. There is an area specifically for Contractors and it is likely that AASHTOWare Project Management will use this as a main avenue for Contractor outreach. Now that the site is ready and visible, AASHTOWare Project Management is creating a proactive plan, with the help of the NR Public Information Office, to send out information and updates about AASHTOWare and BidExpress to the contracting community as the implementation progresses. A notice about the website has been included in the latest AGC newsletter. An email has been drafted to introduce the site to DOT employees and will be sent in April.

AASHTOWare Project Management is in the process of coordinating with ISSD to make sure resources are available to assist in custom report creation and interfaces. Meetings are scheduled to begin discussions of details, timeframe, and the amount of resources necessary to complete the tasks required.

An area of AASHTOWare has been identified to house initial PDA information. A meeting is scheduled in early April to discuss screen configurations to capture the information that Project Control needs tracked within the system.

Because data entered into the Phase 1 modules of AASHTOWare Project must function properly in the Phase 2 modules, Project Management is beginning to think ahead. Phase 2 will consist of the Construction and Materials modules. A demo of the Stormwater functionality of the Construction module has been requested and basic functionality of the two upcoming modules is being explored. This is to ensure that any data that will be transitioned from the Preconstruction module to the Construction module after Award is considered from both perspectives.

The RSA has received signatures and been sent to OMB. However, a date when the funds will be available for use is unknown. Unless the FY17 funds become accessible and service units purchased from AASHTO by the time the implementation proposal is signed by AASHTOWare Project Management, implementation may be delayed resulting in the project falling behind schedule.

## **AASHTOWare Update – April 2017**

The Analysis Document comments are complete and the final details of the AASHTOWare Project (AWP) Implementation Proposal are being determined before signing. However, implementation tasks have already begun. AASHTOWare Project Management met with IT staff for application and infrastructure updates. The AWP interfaces with IRIS, the procurement website, and DOL's electronic certified payroll system require a Security Plan to be completed and submitted to the State Security Office. This task will be completed in May. A 60-90 day turnaround is expected for the Security Plan's review. An ISSD/IT Technical Specialist has been assigned to the project to assist with the many IT-related tasks remaining in the implementation.

To enhance system configurations, AASHTOWare Project Management requested and received from InfoTech, Inc. advanced-level applications (XML) training. Security Roles for users are 90% complete. Further testing of software access for the roles and refining security will complete the task. More roles with different levels of security will be created if found necessary.

More major code tables for system reference data have been loaded, especially for the Civil Rights & Labor module. Work continues on refining the Highways item master. Through discussions with regional personnel, AASHTOWare Project Management discovered DOT&PF is currently in the middle of re-writing/reorganizing the Airport specs. In order to incorporate the changes being made, the Airports item master will be loaded into AWP after the item list has been finalized.

System Administration and Reports System training has been scheduled. An InfoTech, Inc. expert will be in Fairbanks in early June to conduct a 6-day training session with AASHTOWare Project Management and the project's ISSD/IT Technical Specialist. However, in advance of this training, AASHTOWare Project Management received a half-day web training in the creation of System Events, which are the automatic email notifications the system generates when action is required, attention is needed, or to just notify when a certain step has occurred. System Events will be created in May.

Work on the Bids module and BidExpress has begun. An initial meeting was held between AASHTOWare Project Management and the Bids/BidExpress experts to explore the full functionality of that portion of the software. A meeting is scheduled for early May to set a schedule and tasks for the implementation of online bidding. Once more details of Alaska DOT&PF's specific use of that area, AASHTOWare Project Management will create a video introducing the software which will be posted to the Contractors area of the project's website. With the help of the NR PIO, a GovDelivery service has been set up for the website so Contractors, DOT&PF employee, or interested member of the public can subscribe and be notified every time new information is added to the site. An initial email will be sent out to all contractors in the DOT&PF system notifying them about the site and how to subscribe for updates.

The Commissioner's email to DOT&PF employees about the website has started many conversations and has led to many questions. Now that the actual Implementation has started, AASHTOWare Project Management will begin writing updates similar to the executive updates to

be sent to the regional Core Team members each month. These representatives are responsible for disseminating information to their respective regions. Any requests for information or discussions about the software or the implementation should be directed to these individuals. The Core Team members for Preconstruction/Civil Rights & Labor/Bids/BidExpress are:

- Southcoast Region: Jeff Jenkins & Jonathan Weaver
- Central Region: Kristen Keifer & Sharon Smith
- Northern Region: Barbie Tanner & Jenny Wright

These people have participated in this project since Analysis began in October 2016. They will be the primary testers of the software as needed during Implementation and will attend a “Train the Trainer” training in September 2017 in preparation for scheduling and conducting the Regional End User Training Sessions in the months leading up to the January 2018 launch. These individuals will also serve as the ongoing help desk for their respective regions after the launch. (Phase 2 implementation will have a different Core Team made up of regional subject matter experts in Construction & Materials).

InfoTech, Inc. held a demo of the Stormwater functionality of the Construction module and AASHTOWare Project Management will continue to investigate the functionality of the Construction module. Understanding how the data that will be entered into the Precon and Civil Rights & Labor modules will function in the Construction module will help AASHTOWare Project Management make data decisions now that will make the Phase 2 implementation smoother.

Travel has been arranged for the two AASHTOWare Project Managers to attend WASHTO this June in Juneau. TAs and Training Requests for the Alaska representatives to the 2017 AASHTO PUG (Project User Group) Conference are being gathered for consolidation with one memo for approval. 2017 PUG attendees will be part of the Core Team for Phase 2 as last year’s attendees are all members of the Phase 1 Core Team.

FY17 funding has been received. The FY17 money is for Phase 1 of AASHTOWare. Though Phase 1 Implementation is still ongoing, AASHTOWare Project Management is looking ahead to Phase 2 (Construction & Materials). Preliminary discussions with InfoTech, Inc. regarding the Analysis Component of Phase 2 have begun, since considerations of data flow from module to module is an essential part of the overall picture. An Analysis Proposal for Phase 2 could be received as early as late summer. AASHTOWare Project Management will be submitting an Unbudgeted ICAP Request Memo for the promised FY18 funding as soon as is allowable to ensure there is no lag between Phase 1 and Phase 2 implementation work.

## **AASHTOWare Update – May 2017**

Implementation proposals for AASHTOWare Preconstruction, Civil Rights & Labor, and Bids/BidExpress have been finalized, reviewed, and signed.

All necessary information required to complete the AASHTOWare Security Plan has been gathered. The project's Infrastructure Technical Specialist is compiling the information for submission to the State Security Office. AASHTOWare Project Management has further coordinated with ISSD for additional support. Specific ISSD employees have been assigned to participate in the project as needed, during implementation and beyond. Part of the implementation plan includes creating a Post-Implementation Maintenance and Support Plan to establish procedures for technical and business support once the software is launched.

Testing of the software occurred throughout the month of May and will continue through the summer. Security roles for users have been thoroughly tested and are being further refined to allow for the slight differences in business processes between regions. Roles and access limitations have been identified for consultant design users as well. The first round of testing for the Preconstruction module is 95% complete. The second round of testing for the Preconstruction module will be performed by members of the Core Team in early July. The first round of Civil Rights & Labor testing will occur in June.

AASHTOWare Project Management received a detailed demonstration of the full functionality of the Bids software and the BidExpress service and some configurations have been completed. Configurations will be completed in June as well as the first round of testing.

Alaska is unique in its application of Bidder Preferences and a configuration solution has been identified to allow for this data to be included in the bid consideration. Code tables continue to be built and loaded to populate functional areas of the software, including the Professional Licenses area of the Civil Rights & Labor module. AASHTOWare Project Management received a suggestion to incorporate Maintenance District information in the Preconstruction module. A code table will populate a field residing within the "Region" area of the software for design staff to identify which Maintenance District the project falls within. This will allow for custom reports with information based on Maintenance District and could also help facilitate the future transferal of data from the AWP Construction module to Agile Assets, should that software identify Maintenance Districts. Project Management has determined that System Events (auto-generated email notifications) will be added when testing is nearly complete. Any configuration changes that result from testing may affect any System Events already in place.

AASHTOWare Project Management requested a modification to the planned System Administration and Reports System training. Rather than a six-day in-person training session with an InfoTech employee, there will be two short web trainings for the few system administration areas not already familiar to the project team, followed by a 3-day in-person reports creation workshop. A



self-administered ActiveReports tutorial will prepare Project Management for the reports workshop. This format is much more cost-effective and efficient.

Travel authorizations and training request paperwork for attendees to the 2017 AASHTOWare PUG Conference are nearly complete and will be submitted under one memo for approval in early June.

AASHTOWare Project Management has submitted an Unbudgeted ICAP Request Memo for FY18 funds to be used for Phase 2. This has been processed and received all necessary signatures. As soon as is allowed, an RSA will be submitted for the FY18 funds.

## **AASHTOWare Update – June 2017**

AASHTOWare Project Management and ISSD technical support assigned to the project received System Administration training from InfoTech via webinar. The most anticipated topic in System Admin training was OData. OData is a powerful query tool that can be used to mine data not pulled regularly in reports. A few select individuals will receive OData access to the Alaska DOT&PF AASHTOWare database. These users should be contacted if a specialized query is needed. If a specific specialized query is requested often, a report that users can run themselves will be created. In addition to System Admin training, Project Management participated in a Reports Workshop with an on-site InfoTech reports expert. The workshop consisted of building a report from scratch as well as modifying AASHTOWare base reports. A temporary database has been set up to allow for work on reports to begin. Now that the reports to be created have been identified and the amount of time and effort to create each of them known, reports work will take longer than initially anticipated.

In preparation for Core Team testing of the Preconstruction module taking place in early July, a demo of the module in its current iteration was given to Core Team members and Preconstruction Engineers. This was to show what had been accomplished so far and to give the testers an idea of what the system's processes are. In early July, the Core Team will participate in joint web testing sessions, entering in information, progressing projects from beginning through the advertising stage. Project Management met with the Civil Rights Office personnel to hold a testing workshop of the Civil Rights & Labor module and to identify all reports needed and letters issued by the CRO. AWP will automatically generate and email DBE certification renewal letters a set number of days before their certification expires. All Civil Rights Office processes that are linked to the Preconstruction module were tested. The result of this testing will be another round of configuration refining.

Project Management met with the Bids/BidExpress team to confirm the AKDOT bidding process and to make sure all necessary bidding documents are incorporated.

AASHTOWare Project will eventually replace Bid Tab. Therefore all processes carried out within and documents produced by Bid Tab must be replicated within AWP. A NR designer provided a full demo of Bid Tab functions so Project Management could confirm that AWP will replace all Bid Tab processes. Documents are also generated by Bid Tab. The Project Agreement Estimate for FHWA projects is generated from Bid Tab, and will be replaced by a report generated from AWP.

The information entered into the Preconstruction module will eventually transition to the Construction module once that is launched. The goal is to have contractor payments generated by the Construction module push into IRIS. However, that funding information must first be entered in the Preconstruction module. Project Management met with Finance personnel to discuss what information IRIS requires for contractor payments so that the Preconstruction module can be configured to accommodate this data (and eventually transition it to Construction and back to IRIS). The Finance employee contacted believes that pushing contractor payment data from AWP Construction into IRIS through an interface will be difficult. However, Project Management is beginning the work and discussion now, so there will be plenty of time for this interface to be planned and tested before the Construction module is launched.

In an effort to further understanding of how information, funding information in particular, transitions from the Preconstruction to the Construction module, AWP Project Management has

requested InfoTech give a demo of the Construction module's functionality relating to funding areas. A demo will be scheduled for mid-July. This will help prepare for planning an interface between Construction and IRIS for payments to contractors.

A request/suggestion was made to AWP Project Management to investigate whether or not AASHTOWare could help facilitate and speed up the FHWA Project Certification (Authority to Advertise) process. Some regional staff feel that this process should be faster and easier to track. Analysis was performed and much information gathered. In conducting analysis, contact was made with Liz Balstad in SW Program Development. While attending the WASHTO Conference in Juneau, AWP Project Management met with Liz to discuss the ATA process. Recently, the PID (Project Information Document) was standardized and incorporated electronically into DOT's FAAM program (Federal Aid Agreement Manager). There is an effort to enhance the FAAM program to fulfil its potential. The electronic PID is the first step. Through discussion with Liz, it was determined that it makes more sense to incorporate the ATA routing process into FAAM, rather than in AWP. FAAM has "notes", similar to AWP System Events (system-generated email notifications). These are currently not being used within FAAM, but can be created to notify Project Certification approvers when a project is ready for their approval. Also at WASHTO, AWP Project Management met with representatives from MicroSystems, the company that built FAAM, maintains it, and is assisting with enhancements. Resulting from these meetings, it is likely an interface will be built between FAAM and AWP for information sharing purposes.

Also while in Juneau, AASHTOWare Project Management was approached by a STIP Planner. SW is looking for a software solution to manage the STIP and the STIP Planner wanted to know if AASHTOWare could be that solution. Due to time constraints, only a short discussion of AWP capabilities was possible. Contact information was exchanged and a meeting is tentatively scheduled for this fall for Project Management to learn more about the STIP, its processes and data needs.

The ISSD Infrastructure Specialist working on the new Data Center in Anchorage has received FBI clearance and has begun work on the infrastructure that will eventually take over hosting AASHTOWare from InfoTech.

There is a meeting scheduled in early July for the AASHTOWare Project team to assess the amount of time and effort that will be required to complete and thoroughly test interfaces (now with FAAM included). Though the AASHTOWare Security Plan has been submitted to the State Security Office, no actual work on the interfaces can begin until that plan receives approval.

Now that the initial configurations of AASHTOWare have been completed and the refining and fine-tuning are beginning, business process alignment amongst the regions is proving to be a bigger challenge than expected. There are some regional differences that must remain, these are considered Unique Regional Requirements (URRs) and will be accommodated by AASHTOWare. The difficulty lies in distinguishing URRs from Regional Process Preferences (RPPs). RPPs can and should be aligned. However, nearly all RPPs are of such long-standing and so deeply-rooted within regional cultures, regional personnel insist that RPPs are URRs and as such, these regional differences must also be accommodated by AASHTOWare. It is taking significantly more time and effort to distinguish URRs from RPPs and then create alignment, while continuing to maintain a positive, productive working relationship with regional personnel who feel the alignment to be unwarranted. This is also the case with reports. Regions are insisting on three versions of reports

in some cases, claiming that their reporting needs (for the same purpose) are different than those of the other regions. These examples lead to a bigger issue recognized recently by Project Management.

In seeking information from Core Team members and regional Subject Matter Experts, responses to inquiries reveal an alarmingly high level of anxiety about the Department's transition to AASHTOWare. The magnitude of this change within the Department should not be underestimated. Though there are those who are excited about the benefits AASHTOWare will bring, the majority of employees' appear to have feelings of anxiety, ranging from wariness to outright antipathy. Although the ultimate business of DOT will continue, the switch to electronic data collection and business processes will replace processes that have been in place for decades, longer than most employees' tenure at DOT. Because of this, AASHTOWare Project Management feels that a longer training/transition period than originally planned is appropriate. This could include more training, more demos, a larger number of regional personnel participating in future rounds of testing, and an extended time when employees can log into the Test (or practice) version of Alaska DOT&PF AASHTOWare Project to explore and familiarize themselves with the software. In this way, anxiety will substantially decrease with greater exposure to AWP before it is launched into production. AASHTOWare is the future of DOT and will facilitate the Department's business for many years to come. It is worth taking the time to adequately train and prepare employees for the change to AASHTOWare. A successful launch and user acceptance of the Phase 1 modules will significantly reduce anxiety and aversion to change when future AASHTOWare modules are launched.

AASHTOWare Project Management created a logo for the Department's AASHTOWare site. A second version (all in gray) was created for reports.



## **AASHTOWare Update – July 2017**

The 2<sup>nd</sup> round of testing of the Preconstruction module was completed in early July by Project Management and Core Team members. Notes from testing were consolidated, assessed, and configuration decisions made. The 2<sup>nd</sup> round of system configurations resulting from the Core Team testing and of the Civil Rights Office/CRL module testing workshop held in June are 90% complete.

Extensive attention is being given to the project and item funding area of AWP. It is crucial that the funding in the Preconstruction module is set up accurately so as to transition to the Construction module in such a way that contractor payments will be formatted to push directly into IRIS through an interface. Project Management requested and received a demonstration from InfoTech of the portion of the Construction module that contains the funding information for contractor payments. Several past projects with complex funding situations were used to test potential processes. The funding process within AWP will be finalized after another meeting or two with regional funding Subject Matter Experts. Project Management is confident that the configurations to the funding area of AWP will be able to handle even the most challenging project funding scenarios.

Configuration of the Bids module is nearly complete. The Bids file has been sent to the Chief Contracts Officer for review and comment. Once his input is received, final configurations will be made and work on that module will be finished. Some configuration of the Alaska DOT&PF BidExpress site is necessary. However, changes to BidExpress are minimal and will be made in the next few months.

Creation of reports is in full swing and approximately 20% of necessary reports have been created. Reports creation will continue for several months.

The Anchorage Data Center which houses the servers that will host AASHTOWare Project is operational. The significance of this is that DOT&PF will be able to begin hosting sooner than expected (possibly August). Rather than create interfaces with the InfoTech hosted site, which would then need to be modified with the switch to DOT hosting, actual interface building will wait until DOT takes over hosting. Interface analysis and planning is ongoing. After more analysis by the project's ISSD technical specialist of the FAAM (Federal Aid Agreement Manager) program, it has been decided that the interface between FAAM and AASHTOWare will be replaced by an interface between the planning information in MRS and AASHTOWare. FAAM currently pulls the info needed for AASHTOWare from MRS, and it is better to interface with the primary source.

Due to the project's ISSD interface resource being busy with setting up the Anchorage Data Center, additional ISSD personnel are in the process of being assigned to the project to help complete the tasks necessary to begin the actual interface work.

Project Management is in the process of establishing a new schedule for the remainder of the Phase 1 implementation. Once the date is set for DOT&PF to take over hosting AASHTOWare Project, the

time required to build, test, and finalize the interfaces will be known. This, in addition to time required to satisfy reports needs and the extended training/transition time will determine the new launch date. Project Management plans to visit each of the regions later in the year to hold demonstration/testing sessions. Though the actual launch date for the Phase 1 modules will be moved forward to accommodate interfaces, reports and training, the majority of the work of building and testing the software continues as planned. Because of this, the adjustment of the launch date for Phase 1 will have minimal impact to the planned schedule for Phase 2. It just means there will be more overlap. Therefore, included in the new schedule will be tasks associated with the analysis component of the Phase 2 modules.

Travel arrangements have been made for all attendees of the 2017 AASHTOWare PUG Conference in September. Following this, Project Management expects to sign a proposal for analysis of the AASHTOWare Project Construction & Materials modules. InfoTech Construction & Materials modules experts will be assigned to the project and a detailed schedule for analysis tasks established. Project Management will also begin analysis on the portion of the Civil Rights & Labor module that interact with the Construction module.

Though there has been focus, recently, on the high level of anxiety of some employees regarding the significant change that AASHTOWare will bring to the department, it is also important to recognize that there are those who are excited for the change and are eager to begin seeing the benefits. Project Management was contacted by Matthew Iskra, a member of the Geotechnical section of the Department, at the recommendation of Barry Benko. Matthew was seeking information on retaining walls constructed in the state so they could be added to the Geotechnical Asset Management Database. Project Management was able to query the SiteManager database and quickly provide the necessary information for Northern Region. Matthew was extremely pleased with the amount of time this saved him and expressed his eagerness for a system that will make his job much faster and efficient. This is one small example of the power of data being electronic, organized, and easily accessible. Once the full AASHTOWare Project implementation is complete, data from all sections and processes, for all regions, will be housed in one comprehensive database. The benefits of ease of access to so much data and the massive querying capabilities one unified database provides are incalculable. Though it may take some time, all DOT&PF employees will come to see AASHTOWare for the remarkably powerful tool it is and begin to consider the ways in which it will change their jobs, and the Department, for the better.

## **AASHTOWare Update – August 2017**

Configurations to the AWP Preconstruction and Civil Rights and Labor modules are 100% complete. One final meeting with the Civil Rights Office to walk through the AWP CRL module is necessary to be certain that all reports, planned system events (auto-generated email notifications), and role configurations are correct. This meeting is scheduled for early October.

Reports creation is ongoing. Nearly 50% of reports have been created. To keep project efficiency high, Project Management has identified the most complex and labor-intensive reports and requested assistance from InfoTech reports experts in creating these.

Project Management is still waiting on input from the Chief Contracts Officer regarding the AWP Bids file. This module cannot be completed until input has been received.

The AASHTOWare Project technical team is set:

- Phil Kvapil, Technical Lead (interfaces, reports & hosting)
- Drew Nelson, Primary Database/System Administrator (hosting & interfaces)
- Adam Rolfe, Secondary Database/System Administrator (hosting & interfaces, as needed)
- Jeremy Arnold, Infrastructure/Anchorage Data Center (hosting assistance)
- Christine Langley, Special Tasks (Security Plan finalization, submittal & follow up)

The AWP Technical Team has begun the process of transitioning from InfoTech hosting to AKDOT&PF hosting. To make sure the transition is as smooth and quick as possible, Project Management has requested InfoTech assign staff to assist with the transition as needed by DOT. The transition is expected to be complete in late September or early October. Once AKDOT&PF has assumed hosting duties, work on creating interfaces will begin. Project Management has begun prep work for interface creation by mapping data fields in AWP that will be part of the interfaces.

Contact has been made with IRIS reps in preparation for the AWP/IRIS VSS interface. The challenge is to somehow identify on the vendor record that the vendor is a construction contractor (so all IRIS vendors do not populate the AWP Vendor list). With the help of the NR Budget Analyst/IRIS Subject Matter Expert, Project Management has identified a field on the IRIS VSS record that is currently not in use. A unique numerical identifier can be added to this field to designate construction contractors. Project Management has shared this idea with the RBA Project Assistant who is looking to identify construction consultant vendors and design consultant vendors in IRIS VSS for RBA purposes. Hopefully, a joint effort on the part of Project Management and RBA personnel will see this solution through to realization.

After meeting with the Technical Team regarding interfaces and hosting, Project Management has created a new schedule for the remainder of the Phase 1 implementation. Launch of the Phase 1 modules will occur in early May. A meeting to review the new schedule with the Core Team is set

for early September. At that time, the initial Core Team's involvement will begin to lessen. Though Subject Matter Experts were essential during the analysis/building/configuration process, their responsibilities lie with their current job duties. It would be impractical for them to take on the duties of the Regional Module Administrators/Trainers.

The RMA/T Team will be vital to the success of AWP. These individuals will receive extensive training and preparation and will be the AWP Preconstruction and Bids/BidExpress experts in their respective regions. They will plan, organize, and facilitate all end user training; answer user questions; and lead their regions' transition to AWP Preconstruction and online bidding. Two individuals from each region need to be selected as RMA/Ts by regional Preconstruction management. Training and preparation for the chosen RMA/Ts will begin in early October. A detailed month-to-month plan with approximate time commitment has been created. This information can be requested from AWP Project Management to help Preconstruction management make their selections. Regional Preconstruction management can also contact AWP Project Management with any other questions regarding RMA/T selection.

Analysis for Phase 2 AWP CaM (Construction & Materials) implementation has begun. Project Management has reviewed demos of the functional areas of the Construction module and has arranged for a Q & A session with an InfoTech Construction module expert. This session, combined with a full demo of the Material module functionality, is scheduled for early September.

Regional analysis sessions for CaM have been scheduled and will take place as follows:

- CR = Mon, Oct 2<sup>nd</sup> & Tues, Oct 3<sup>rd</sup>
- NR = Tues, Oct 10<sup>th</sup> & Weds, Oct 11<sup>th</sup>
- AMHS = Tues, Oct 17<sup>th</sup>
- SR = Tues, Oct 24<sup>th</sup> & Weds, Oct 25<sup>th</sup>
- SW = Thurs, Oct 26<sup>th</sup>

The T2 research project money that has been providing a financial fallback while waiting for the FY17 and FY18 AASHTOWare Project funding to process has been depleted. The FY18 RSA is currently with OMB pending approval. It is critical that this approval occur quickly, as there is no money to process timesheets, travel costs, or to pay FY18 AASHTOWare license fees. Work has begun to officially closeout the T2 research project.



## **AASHTOWare Update – September 2017**

The AASHTOWare Project software and database have been installed on the new servers in the Anchorage Data Center. The software is working as intended and the Alaska AWP Technical Team wants to configure the server to use the existing SOA LDAP system for adding AWP users to the database. However, this setup was proving difficult and after requesting assistance from InfoTech technical staff, it was discovered that the problem was with the AASHTOWare module and InfoTech is working to fix the issue on their end. The benefit of using the SOA LDAP system for AWP users is that the user logins for AWP will be the same as for their state email. AASHTOWare Project version 4.0 was released on Monday, September 25<sup>th</sup> and will be installed on Alaska servers the first week of October (before this, AWP Project Management had been working in version 3.01). Version 4.0 comes with several enhancements that AWP Project Management assessed prior to release and will be able to leverage for Alaska DOT&PF's benefit.

Reports creation is ongoing. In total, three very complex reports have been handed off to InfoTech for creation. Nearly all reports required by the Civil Rights Office are finished and a majority of the Preconstruction reports are likewise completed.

During September, full demonstrations of the AWP Construction & Materials modules were conducted, in addition to follow up Q & A sessions. These sessions provided Alaska AASHTOWare Project Management with knowledge of the full range of functionality within those modules and will help with the initial analysis of current Construction & Materials business processes. The Regional Analysis sessions for Construction & Materials will take place throughout October.

A meeting was held with the Statewide Facilities Engineer and staff from the Central Region Contracts Office to discuss the needs and requirements of Facilities projects. AWP Project Management did not uncover any needs that would complicate putting Facilities projects into AWP. The attendees of this meeting will be consulted if any issues relating to Facilities projects within AWP arise.

AWP Project Management received review comments on the Bids file from the Chief Contracts Officer and have discussed them with and passed them onto the Bids team at InfoTech. Once AWP Project Management and the InfoTech Bids team determine the best way to handle Bidder Preferences on Additive Alternates for state-funded projects, the Bids file should be complete.

The original AWP Preconstruction Core Team met early in the month to discuss their remaining tasks and the transition to a Module Administrator/Trainer Team. The Core Team will still participate as needed as Subject Matter Experts for the duration of the implementation. Regional management was given until the end of September to choose two representatives to participate as members of the Preconstruction MA/T Team. The new team members are:

- CR = Kristen Keifer & Ralph Kiehl
- SR = Phil White & Danielle Ryder
- NR = Jenny Wright & Tom Hughes

In the spirit of OneDOT, these regional representatives will form one cohesive group that will be responsible for training and supporting all DOT end users of the Preconstruction module as well as contractors using Bids/BidExpress. These six individuals will also help and support each other as they seek to provide the best service possible to DOT employees using the AASHTOWare Project software. Though each region will have two support personnel on site, once the Phase 1 modules are launched, users from any region will be able to contact any of the six MA/Ts for assistance. Training for this team will begin in early October and continue for several months.

The RSA for the FY18 funding finally received OMB approval and the funds are available for use. AASHTOWare Project Management is modifying the IT Spend Review to include work on the Construction & Materials modules and this will be submitted in early October. AWP Project Management is also working with AASHTO for license requests and payments for the fiscal year.

Finally, representatives from Alaska DOT&PF attended the 2017 AASHTOWare Project User Group (PUG) Conference in Kalispell, Montana from Sept 23<sup>rd</sup> – Sept 27<sup>th</sup>. In addition to the two AASHTOWare Project Managers, attendees were Adam Marks (Civil Rights Office) and a Construction & Materials rep from each region: Danielle Ryder (SR), Carolyn Deskins (NR) & Brian Braeutigam (CR). Attended sessions included general presentations on e-Construction topics given to all conference attendees and smaller break-out sessions focusing on specific functional areas.

As a result of attending the PUG, Alaska has been able to put forth recommendations for software enhancements and also make contact with states similar in size and complexity that are about a year ahead of Alaska in implementing. Alaska can use the agencies as resources during implementation to learn from their experiences and innovations which will help AKDOT&PF implement more efficiently.

Though Alaska is relatively new compared to other AASHTOWare agencies and is still in the early stages of implementation of the suite of software, Alaska's PUG participants have already made a name for themselves as innovators. Adam Marks from the AKDOT&PF Civil Rights Office made Alaska one of three states to collaborate and officially request the addition of electronic capture of Commercially Useful Function (CUF) data required for all DBEs on construction projects. Alaska AASHTOWare Project Management routinely submits Ticketed Modification Requests (TMRs) to InfoTech for software enhancements to improve or add functionality useful for all agencies. At this year's PUG conference, Alaska AASHTOWare PM Sara Jarvis was elected as Vice Chair of the AASHTOWare Project User Group. After serving in this capacity for one year, the Vice Chair automatically becomes PUG Chair for the following year.

One PUG presentation that was of particular interest to the Alaska attendees was that given by the head of e-Construction at FHWA. FHWA has an initiative called Every Day Counts 4 (EDC4) in which money is made available to state agencies to help them adopt or further e-Construction practices. The total EDC4 funding available to each state agency each fiscal year is \$1.1 M. Alaska DOT&PF is in the middle of adopting many e-Construction programs and practices and should do whatever it can to leverage this federal program to investigate or try out new technology to supplement the implemented programs or to fill gaps in Alaska DOT&PF's e-Construction program.

## **AASHTOWare Update - October 2017**

A final meeting was held in early October with the Civil Rights Office and all AWP Civil Rights & Labor processes that work with the Preconstruction module have been finalized. As a result of this meeting, some fields were added for design staff to easily provide information on ADA compliance that the CRO will use to report to FHWA and other federal agencies. A few additional reports needs were identified during the final meeting and those, as well as all the rest of the Civil Rights Office AWP reports, have been completed. Other reports work continues.

AASHTOWare Project 4.0 has been installed on Alaska DOT&PF servers. Testing of the new version is nearly complete. Once testing is finished, Project Management will begin transferring reference data and configuration coding. Interface work is ongoing. The MRS/AWP interface has been created and will be complete after thorough testing. Contact was made with DOL regarding an interface for pushing Award information to the DOL system to trigger the creation of Notice of Work. Final testing for this interface is scheduled for December. Discussion and planning have also begun with DOL regarding upcoming interface between DOL's electronic Certified Payroll system and the AWP Construction module. This interface will allow DOT&PF access to the necessary information on Certified Payrolls without requiring the contractor to dual submit to both DOL and DOT&PF. AWP Tech Team work on the security plan continues and planning for post-implementation maintenance and support has begun.

Initial training for the six regional Preconstruction Module Administrators and Trainers has started. Three meetings/training sessions were conducted in October. The goal of the initial training is to prepare the MA/Ts for presenting the basic introductory demonstrations of the AWP Phase 1 modules to regional staff. Two more training sessions will take place in November.

This initial demonstration to DOT staff is not a training session. The purpose is to show end users the look and feel of AASHTOWare. The schedule for the introductory demos is as follows:

- CR = Weds, Nov 29<sup>th</sup> and Thurs, Nov 30<sup>th</sup>
- NR = Thurs, Dec 7<sup>th</sup> and Fri, Dec 8<sup>th</sup>
- SR = Mon, Dec 11<sup>th</sup> and Tues, Dec 12<sup>th</sup>
- SW = Weds, Dec 13<sup>th</sup>

The regional MA/Ts are responsible for scheduling the demo sessions and informing regional staff. Please contact your regional MA/T for more information or AWP Project Management for information regarding the SW demo.

- CR = Kristin Keifer & Ralph Kiehl
- NR = Jenny Wright & Tom Hughes
- SR = Phil White & Danielle Ryder

Formal, intensive training for the Module Administrators/Trainers has been scheduled and will occur in Anchorage January 8<sup>th</sup> - 11<sup>th</sup>. InfoTech staff will be onsite to conduct the training. This training will prepare the attendees for their ongoing role as Module Administrators as well as Trainers. They will acquire in depth knowledge of every functional aspect of the Preconstruction and Bidding modules as well as receive instruction on how to effectively train their coworkers and

facilitate change management within their region. The Civil Rights Office staff will receive their initial end user training on Friday, January 12<sup>th</sup>. Training for regional staff (end users) will occur in two phases: late February 2018 (system overview training) and April 2018 (function-specific training). MA/Ts will be responsible for planning, organizing, and conducting all end user training.

The adoption of AASHTOWare and online bidding will require some revision to current manuals and P&Ps. Planning for this task has begun. A meeting is scheduled in November to begin the process by identifying any parts of manuals or P&Ps that will need revision.

AWP Project Management met with the Chief Contracts Officer to discuss topics specifically relating to online bidding. As a result, Project Management submitted questions to the AASHTOWare User Group via the Cloverleaf forum site to get examples of how other states handle bidding (electronic or paper) and what are their instructions to contractors to make the bidding processes or requirements clear. The letting/bidding/award process will be finalized in November. Information for contractors regarding the launch of online bidding will be posted on the DOT Procurement site beginning in late November/early December and will direct them to the DOT AWP website for more information. Contractors can subscribe to the site to receive notifications when the site is added to or updated. Project Management will also begin posting announcements in the AGC newsletters. Outreach and information push to contractors will continue through the winter and increase as launch approaches.

AASHTOWare Project Management traveled to each region to conduct regional analysis for Phase 2 implementation (Construction & Materials) and had a web session with AMHS staff. This initial analysis is to discuss and document current regional business processes and identify needs. Construction Administration topics including daily work reports, change orders, and pay estimate processes were discussed. Materials topics discussed include stationary lab, field lab, and field testing processes as well as material certifications.



# Analysis and Recommendations for the Alaska Department of Transportation and Public Facilities

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**AASHTOWare Project Preconstruction™  
AASHTOWare Project Civil Rights & Labor™  
AASHTOWare Project Bids™**

*Version 3.01*

*March 2017*

Prepared by



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# 1. Executive Summary

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The AASHTOWare Project Preconstruction™ and AASHTOWare Project Civil Rights & Labor™ software are modules in a unified web-based environment for managing project information and automating processes during the pre-award and construction phases of a project. Functionality included in the AASHTOWare Project Preconstruction software includes project definition, proposal preparation, estimating, managing and processing bid lettings, funding, and addenda. It also aids in advertisement of bids, tracking of plan and proposal holders, evaluation of bids, and support for award decisions.

AASHTOWare Project Civil Rights & Labor functionality includes receiving and processing the data required to meet federal and state requirements for Civil Rights & Labor compliance activities. This system allows more effective administration of an agency's Civil Rights & Labor compliance activities, such as management of contractor and subcontractor data. Agencies and contractors can save time and effort on jobs with certified payroll submission, which includes automatic error checking. Agencies will also see a substantial reduction in efforts in gathering data for the semiannual Uniform Report of DBE Commitments/Awards and Payments.

The AASHTOWare Project Bids™ software streamlines the bidding process, providing transportation agencies with control over the bid letting process while facilitating bid submittal for contractors. Bidders can receive proposal item schedules and to submit and withdraw item bids in a secure, electronic environment. Electronic bidding can greatly reduce the time and expense associated with data entry, bid revisions, bid tabulations, and finalization.

This section summarizes the analysis and potential implementation plan. It includes a high-level summary of the maximum support from Info Tech, Inc. (Info Tech) assumed appropriate based on discussions between the Alaska Department of Transportation & Public Facilities (AKDOT&PF) and Info Tech.

AKDOT&PF can implement the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software with limited configuration or modifications. As Alaska has not used AASHTOWare Project™ modules previously, much of the reference data will need to be entered or loaded from custom systems. This can be a cumbersome task and should involve all the stakeholders using AASHTOWare Project

Preconstruction and AASHTOWare Project Civil Rights & Labor software. There will be no migration of existing data from existing systems.

The decision to create new Reference Item numbers and Reference Vendor IDs will affect other AKDOT&PF systems which utilize the same data, as well as the vendor community. Getting the reference data loaded into the AASHTOWare Project software is just one step, documentation and communication are key to making sure all respective areas are aware of this change.

The AASHTOWare Project Preconstruction software can be configured with agency fields that can accommodate most if not all MRS system project-level data. The BIDTAB and BizTrack systems can be eliminated by using the AASHTOWare Project Preconstruction software.

Interfaces may be built to Department of Labor's LSS, PETS/COGNOS, On-line Public Notice (OPN), the AKDOT&PF website and possibly FEMIS/FAM.

AASHTOWare Project has been designed to allow agencies to configure the User Interface (UI) screens to accommodate agency-specific terminology, formatting, and data capture. These agency-custom configurations are maintained and stored separately from the base configurations, so that updates and new release do not interfere with or overwrite any modifications in place by AKDOT&PF.

AKDOT&PF has already begun modifying the business and component xml based on the processing and functionality determined during the on-site review and internal meetings as well as accommodate and incorporate Alaska specific functionality.

AASHTOWare Project standard reports have been designed in Active Reports (ActiveReports 10.0 by Grape City, Inc.). Chapter 5 contains a list of reports produced by AKDOT&PF regions and provided to Info Tech. Each report has been reviewed and an analysis performed if the report can be replicated by a standard base report or would need to be a custom report or some other option (such as a view within AASHTOWare Project or a query). Examples of each report is listed in Appendix A of this document.

## 2. Introduction

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### 2.1 On-site Preconstruction and Civil Rights & Labor Business/Technical Analysis Workshop

At the request of the Alaska Department of Transportation and Public Facilities (henceforth called AKDOT&PF), Info Tech, conducted an analysis to identify requirements, issues, and recommendations for the agency to successfully implement AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor and AASHTOWare Project Bids software. To this end, Info Tech conducted an analysis session on December 5-13, 2016 with AKDOT&PF Personnel in Anchorage, Alaska. Existing AKDOT&PF applications, interfaces, reports, systems and current business practices were discussed. Info Tech defined and reviewed current AKDOT&PF preconstruction and civil rights phase processes, including project initiation, proposal creation, funding, letting creation and addenda processing, estimating, bid processing, postponement of proposals and prequalification.

The scope of the on-site business and technical analysis workshop and subsequent analysis and recommendations document for the AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor implementation effort include:

- **On-site Preconstruction and Civil Rights Business/Technical Analysis Workshop**
  - Two (2) Info Tech analysts, Peggy Leight and John Oberdiek were on site at AKDOT&PF for seven (7) days to conduct data gathering meetings with appropriate AKDOT&PF personnel related to AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids functionality. Meeting topics included the following:
    - Current processes flow for regions: Northern, Central, and Southern Coast
    - Specific Bidding and Procurement requirements
    - Data migration potential

- Review types of configurations and customizations
- Desired Interfaces to AASHTOWare Project
- Roles, workflows and user security
- Agency options and settings
- High-level Reports analysis
- Internet Bidding
- Training requirements
- DBE Certification
- Bidder / Quoter
- DBE Goals
- OJT & Aspirational Goals
- DBE Commitments
- Good Faith Effort
- Subcontracts
- Prompt Payments

**AASHTOWare Project Analysis and Recommendations** – Subsequent to the Business and Technical Analysis workshop, Info Tech has created this document, an Analysis and Implementation Plan report for AKDOT&PF’s implementation of AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software.

This document contains the results and recommendations of the preliminary analysis completed by Info Tech staff and will serve as a planning tool during the implementation of the AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor software. It focuses on current AKDOT&PF Preconstruction and Civil Rights & Labor processes, and then on recommendations for a proposed AASHTOWare Project software implementation at AKDOT&PF, addressing business processes, interfaces, reports, training, implementation planning, and impacts to the organization’s business processes. The analysis was produced using information obtained during the on-site visit, documentation, and follow-up communications.



## 2.2 Proposed Approach

Chapter 10. Implementation and Project Planning provides tasks and descriptions proposed by Info Tech to provide maximum support to AKDOT&PF during the AASHTOWare Project AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor software implementation.

The Analysis report will be a guide that AKDOT&PF can use to help make decisions for the next phase of implementing AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids: decisions such as which tasks AKDOT&PF wants included in an implementation support scope and price agreement, which tasks AKDOT&PF will perform, when implementation activities should begin, and when AKDOT&PF wants to use the software in production.

The purpose of the Info Tech on-site sessions was to conduct an analysis of AKDOT&PF's processes and to review the operations and business systems currently in place relative to the proposed system. Production applications, interfaces with other applications, current business practices, and potential implementation strategies were discussed with AKDOT&PF personnel. AKDOT&PF provided examples of current report specifications, discussed the current business processes, security, and network specifications. During the Preconstruction and Civil Rights & Labor workshop, system interface information and user interface customizations were discussed.

Info Tech's goal is to assist AKDOT&PF with the design of an efficient AASHTOWare Project implementation with agency-requested customizations of the software to meet the business needs of the organization. The results and recommendations from this analysis effort are documented in this report.

Info Tech understands the agency would like to proceed with the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids migration and implementation soon and on a reasonably fast implementation schedule, with a target date of being in production by January 2018. A final target date will need to be discussed as these efforts historically have an 18-month implementation timetable.

Info Tech can provide the necessary support resources for AKDOT&PF to proceed with implementing both modules at the same time, but Info Tech does recommend that AKDOT&PF clean up and implement data related tasks as soon as possible. One such example, Reference Item numbering changes will have a significant impact on entering AASHTOWare Project data, but associated applications, documentation, specification references, as well as training for staff and vendors. Additionally, defining new Vendor IDs will have a major impact on users, the contracting community and applications such as prequalification, finance, and bidding.

The analysis and recommendations provided in this document assume that AKDOT&PF is implementing AASHTOWare Project 3.01, which was released in September 2016.

## 2.3 Migration and Implementation Project Team Members

The AKDOT&PF core team members are:

- Sara Jarvis (Northern Region, Project Administrator)
- Jaclyn Elmes (Central Region)
- Barbie Tanner (Northern Region)
- Jeff Jenkins (South Coast Region)
- Kristin Keifer (Central Region)
- Jenny Wright (Northern Region)
- Jon Weaver (South Coast Region)
- Sharon Smith (South Coast Region)
- Adam Marks (CRL)
- Dennis Good (CRL)
- Brian Braeutigam (contracts, Central Region)

The Info Tech team members are:

- John Oberdiek
- Peggy Leight
- Ozette Brown
- David Phillipps

## 2.4 High Level Implementation Plan

Every implementation is unique as no two transportation agencies conduct business the same way. However, based on AASHTOWare Project functionality, Info Tech recommends using one of these primary implementation methods:

1. Implement complete AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids functionality at one time.
2. Implement AASHTOWare Project Preconstruction first, then implement AASHTOWare Project Civil Rights & Labor, and then AASHTOWare Project Bids.

The recommendation for AKDOT&PF's implementation method has several mitigating factors as follows:

- Implementing both modules at the same time is the most chosen method. It is the most expedient implementation with less cost, rework and re-training than the other methods.
- Implementing AASHTOWare Project Preconstruction software first allows the agency to focus on the specific functionality, make sure all the data flows and reference data are in place before expanding to the AASHTOWare Project Civil Rights & Labor software. This option extends the implementation timeframe and requires documentation and training to occur at different times.
- Defining reference data prior to implementation. This includes Reference Item number and Reference Vendor number. Reference data is needed for both AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor testing, implementation and interfaces. AKDOT&PF is considering new numbering schemes for both items and vendors. This requires coordination and cooperation with numerous departments within AKDOT&PF and other agencies (FAA, FHWA, DOL).

As a result, Info Tech, Inc. recommends the all-at-once implementation method, with business process workshops for both Preconstruction functionality and Civil Rights & Labor functionality ongoing at the same time, but not in the same weeks.

Implementation of AASHTOWare Project Bids software and Bid Express® should go hand in hand with AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor software. The AASHTOWare Project Preconstruction system supplies the files needed for electronic bidding. It is recommended that working with the contracting community about online bidding begin immediately.

## 2.5 Decision Making

This analysis document provides options for choices to support and/or modify the proposed approach. For example, the Training chapter outlines specific approaches for delivery of training (trainers, training materials, and data) for AKDOT&PF to consider.

The remainder of the document is divided into chapters addressing these areas:

**Chapter 1**     Executive Summary

**Chapter 2**     Introduction

- Chapter 3** The Current and Proposed AKDOT&PF Preconstruction, Civil Rights & Labor, and Bids Business Processes chapter documents the current processes at AKDOT&PF, as well as an analysis of the proposed processes at AKDOT&PF with AASHTOWare Project software in place. This chapter is clarified with documentation, diagrams, and tables. User Interface (UI) decisions which are unique to ADKOT are also discussed.
- Chapter 4** The Data Population, Data Migration, and Interfaces chapter lists all systems that may be impacted by the implementation project, and recommendations for which data from those systems may require a migration activity
- Chapter 5** The Reports, Forms, and Manuals chapter provides tables of current AKDOT&PF reports with associated comments, standard reports available in AASHTOWare Project Preconstruction, and information related to attachments and agency fields.
- Chapter 6** The Hardware and Software Infrastructure chapter provides a table of current AKDOT&PF systems/interfaces, and the plan for these interfaces after the implementation of AASHTOWare Project.
- Chapter 7** The System Security chapter provides information to assist with the development of Roles, Users, and Workflows within AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software.
- Chapter 8** The Training, Support, and Change and Transition Management chapter assesses AKDOT&PF's training environment and needs. Descriptions of Info Tech's training classes and recommendations have also been included for AKDOT&PF to use in its decision concerning the overall training approach
- Chapter 9** The Implementation Considerations, Risks, and Opportunities chapter discusses the implementation in context of risks and opportunities.
- Chapter 10** The Implementation and Project Planning chapter provides tasks, descriptions, and a Work Breakdown Structure (WBS) proposed by Info Tech to provide appropriate support to AKDOT&PF during the implementation of AASHTOWare Project Preconstruction, Civil Rights & Labor and Bids.
- Appendix A** The AKDOT&PF Reports and Forms chapter contains reports and forms provided by AKDOT&PF. The reports and forms are used by AKDOT&PF in their current preconstruction business processes.

## 2.6 Analysis Glossary

Acronym / Abbreviation	Definition
AASHTO	American Association of State Highway and Transportation Officials
AC-PA	Awarded Contracts and Project Authorizations (report)
AKDOT&PF	Alaska Department of Transportation & Public Facilities
ATA	Authority to Advertise
ATP	Authority to Proceed
BizTrack	System to track DBE Certification and Prompt Pay information
COGNOS	Cognos/IBM Metric Management System
CPT	Cost Plus Time <proposals>
CRO	Civil Rights Office
DOL-LSS	Department of Labor-Labor Standards & Safety
DBE	Disadvantaged Business Enterprise
EEO	Equal Employment Opportunity
EBSX	Electronic Billing System file
FAA	Federal Aviation Administration
FAM	Alaska's version of FEMIS
FEMIS	Federal Emergency Management Information System
FHWA	Federal Highway Administration
Final PS&E	The final plans, specifications, and estimate assembly, with corrections made from the PS&E review, ready for advertisement.
FIN/PROC	Financial/Procurement Systems
FMIS	Financial Management Information System
HRM	Human Resource Management System
IRIS	Integrated Resource Information System
MRS	Management Reporting System
NOI	Notice of Intent to Award
NOC	Notice of Cancellation
OPN	On-line Public Network
PDA	Project Development Authorization
PE	Preliminary Engineering
PS&E	Plans, Specifications & Estimates
PID	Project Information Document
PIH	Plans in Hand
STIP	Statewide Transportation Improvement Program
STIP-FP	Statewide Transportation Improvement Program – Financial Plan
TAS	Tentative Advertisement Schedule
VSS	Vendor Self Services website

Table 2-1. Analysis Glossary

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### **3. Current and Proposed AKDOT&PF Preconstruction, Civil Rights & Labor, and Bids Business Processes**

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This chapter defines and describes the current Preconstruction, Civil Rights & Labor, and Bids procedures and processes utilized by the Alaska Department of Transportation (AKDOT&PF) personnel to perform their business functions. This section serves as documentation of the current Preconstruction, Civil Rights & Labor, and Bids systems and processes at AKDOT&PF, as well as an analysis of the proposed systems and processes at AKDOT&PF with AASHTOWare Project in place. Reference tables are discussed at the end of the chapter.

Additional text, diagrams and tables are provided to clarify the processes. Some text has been gathered from the Alaska Highway Preconstruction Manual Chapter 4, Project Development Process (November 2013) to clarify the steps and approval processes currently in place.

<http://www.dot.alaska.gov/stwddes/dcsprecon/assets/pdf/preconhwy/chapters/chapter4.pdf>

Figure 3-1 describes the types of entities used in the workflow diagrams.

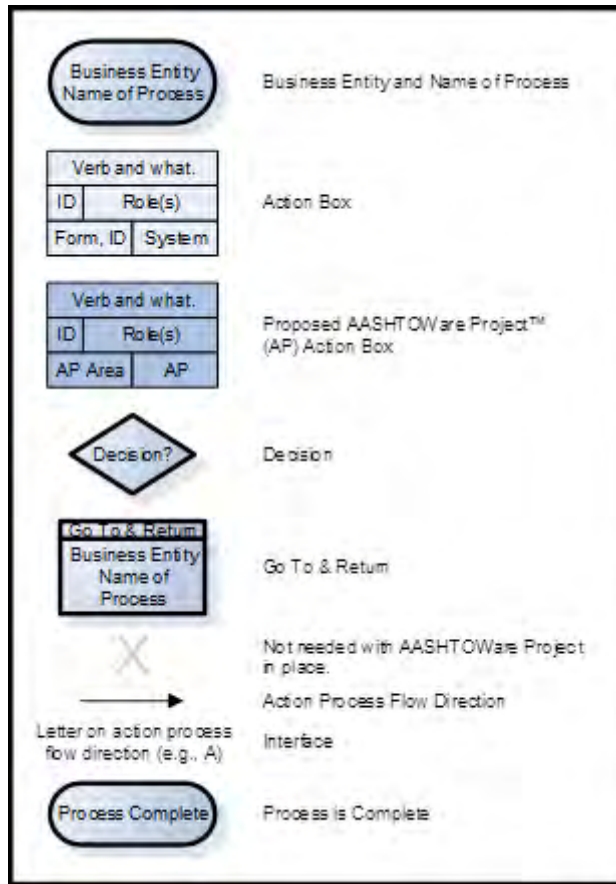


Figure 3-1

### 3.1 Current and Proposed AKDOT&PF Preconstruction Business Processes

#### 3.1.1 Project Initiation

Once a project is advanced and assigned to a Project Manager the Project Authorization Process begins. Scoping, proposed budgets, a Project Management Plan, and various other information is gathered depending on the project. Project Control initiates projects in IRIS to obtain a project number.

The Integrated Resource Information System (IRIS) Project is a statewide effort to implement a new accounting, financial, procurement, payroll and human resource management software solution for the State of Alaska. Project data is also entered in the Management Reporting System (MRS) as well as numerous word documents and e-mails

State funded projects follow similar but not the exact workflow as federally funded projects. For example, there is no requirement for FHWA funding approvals on state projects, nor are they



usually included in the STIP. Bidders are not required to meet minority business recruitment goals on state-funded projects

### ***Current AKDOT&PF Project Initiation Process***

Requests are made via e-mail from the Design Project Manager to Project Control and the Project ID (Project Number) is created in IRIS. Additional data such as the project structure, funding and budget are also updated in IRIS. The project ID from IRIS is needed to start the project in MRS. Word documents are created for the Project Information Document (PID) and the Project Development Authorization (PDA).

The initial project PDA request is based on input from various support sections (Bridge Design, Planning, Geotechnical, Hydraulics/Hydrology, Right-of-Way, Traffic and Safety, Design, Environmental, etc.). Planning generally provides an explanation of the nature and extent of the project, project purpose, vicinity map, and the funding source funding information.

AKDOT&PF must obtain an authorization from FHWA to proceed before beginning any work on a federal-aid project, and the project must be in the federally-approved STIP. Thus, approval from FHWA is required in multiple phases of the project's progression.

Estimates are prepared by the engineering design staff and checked by the Design Project Manager. The items, estimated prices and quantities are entered in the BIDTAB software, where a preliminary and final estimate can be produced. The BIDTAB program gets the project data ready for advertisement and award and generates a bid schedule, DBE goal, and a compilation of bids.

The current Project Initiation process is illustrated in the following diagram.

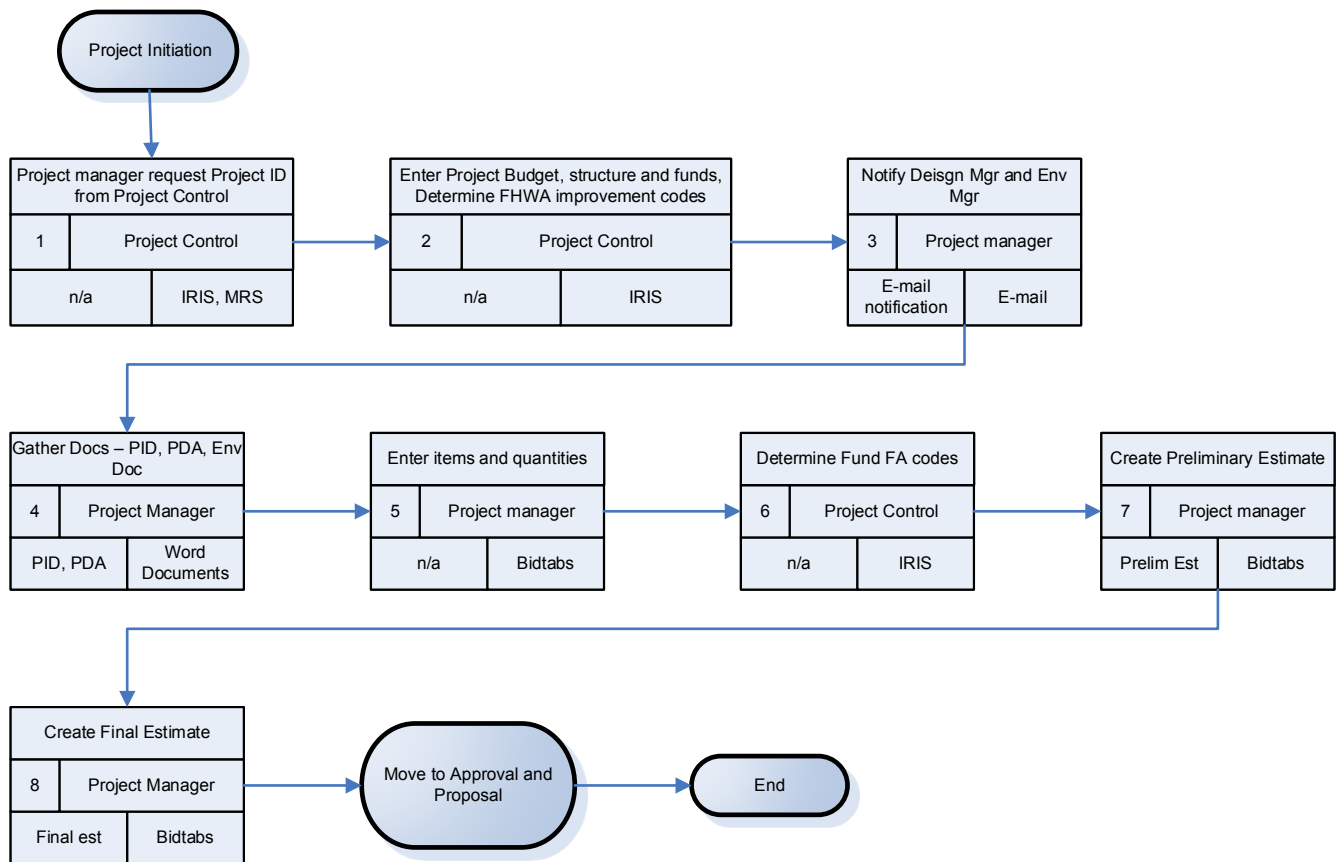


Figure 3-2

### ***Proposed AKDOT&PF Project Initiation Process***

To translate the project initiation process to the AASHTOWare Project Preconstruction environment, there are processes in use that will need to be replaced. A goal of AASHTOWare Project is to store the information when it is first available and reduce any redundant entries or duplication of function.

The Project Manager will still be required to complete the project scoping. A Project ID will need to be received from IRIS. A system event could be used to notify the Project Control that the design is ready and an ID is needed. Alternatively, Project Control could initiate the Project in Preconstruction, all that is needed to enter and save a new project in AASHTOWare Project is:

- Project ID
- Description (Scope)
- Spec Book (which can be defaulted to current spec year)
- Unit System (which can be defaulted to English)

All project data, dates, locations, funding, items, quantities and prices will be added in Preconstruction by the departments responsible for that information. A Plan, Spec, & Estimate Package report can be generated for review by external agencies (such as FHWA) and internal departments can review on-line. Additional review by Right of Way (ROW), Utilities, Planning, Construction, etc. can be notified by a system event e-mail that the project is ready for their review.

Funding must be entered and assigned to project items before the Preliminary Detail Estimate (PDE) can be generated. There is an agency option related to automatic assignment of funding for new items added to a project. This option *Funding Assignment Method* should be set to *Category Level*. This will ensure that any items added to the project after the funding package has been assigned will inherit the same funding package as assigned to all categories in the project. In the event a new category is added, then the funding assignment will need to be revisited for that category.

In AASHTOWare Project Preconstruction, there are entities called Fund Packages which can be defined as Reference Fund Packages that can then be associated with projects as necessary. This is an efficient manner of reducing data entry when there are fund packages that are utilized repeatedly. It is also possible to create Fund Packages that are unique to a given project. These funding packages should align with the STIP and Need ID.

As an example, reference fund packages might be created as follows:

- Fund Package 1: 90% Interstate Maintenance, 10% state
- Fund Package 2: 80% Safety, 20% Local
- Fund Package 3: 80% Federal, 10% earmark, 10% state
- Fund Package 4: 100% state maintenance funds

These fund packages are presented as choices when assigning funds to individual projects. If there are no reference fund packages that are appropriate to the specific funding scenario, the user can simply create a fund package on-the-fly to represent the unique funding necessary to cover the project at hand.

Initial fund packages can be assigned to the project from the reference fund packages when appropriate, and updated throughout the workflow.

Once the Final Preliminary Estimate is complete, if a workflow phase has been set to lock the project, the phase will need to be changed to allow editing by appropriate roles.

The proposed Project Initiation process is illustrated in the following diagram. Although information will still be received from IRIS, there would be no need for MRS or BIDTAB system entry. Word or Excel documents could be generated via AASHTOWare Project Active Reports, or e-mails sent for notification via system events.

AKDOT&PF can add an unlimited number of agency fields (AKA generic fields) to any entity in the system. Info Tech recommends adding appropriate fields to the Project and Proposal entities

and creating custom reports and forms to replace the functionality of the numerous applications currently being used.

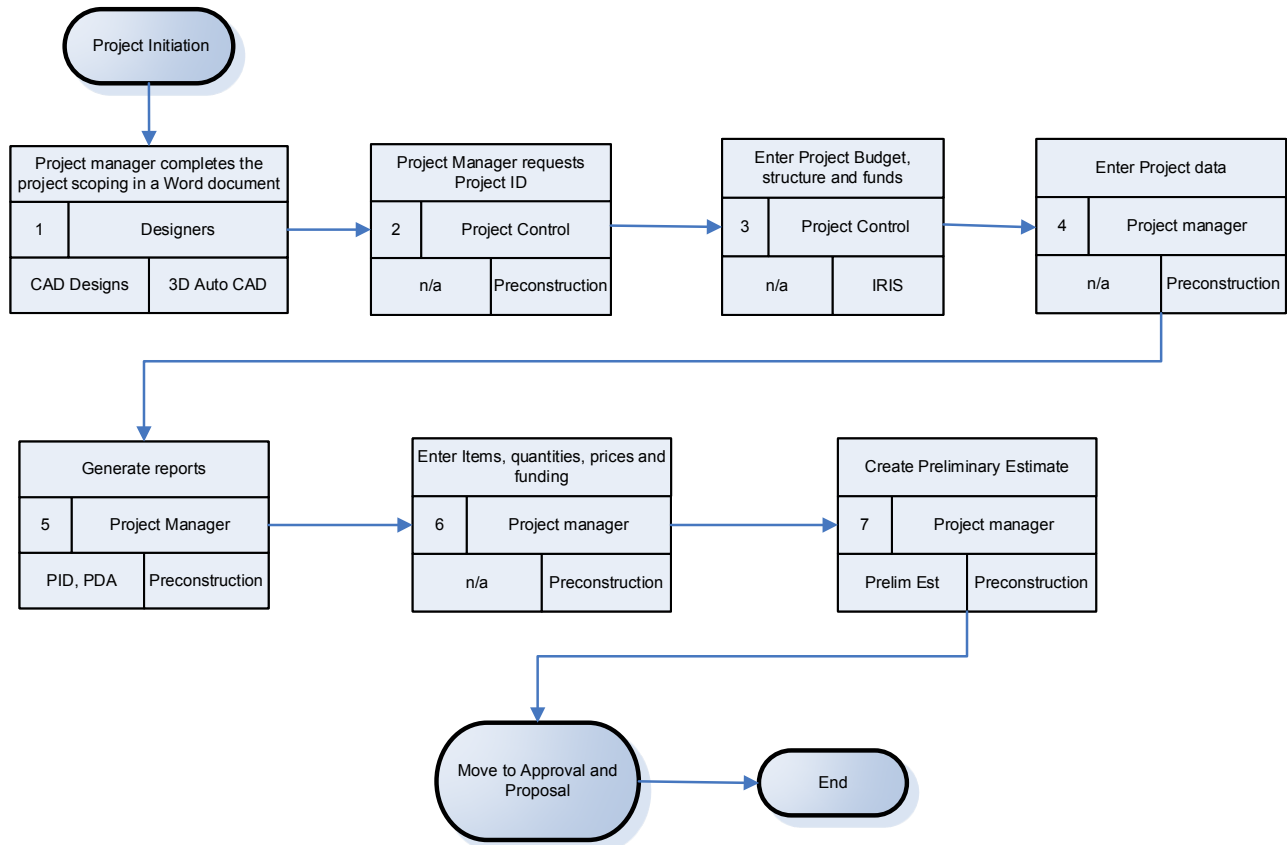


Figure 3-3

### 3.1.2 Project Approval and Proposal Process

#### ***Current AKDOT&PF Project Approval and Proposal Process***

Several reviews are conducted prior to creating the proposal. The Preliminary Engineering through Final PS&E stage begins after approval of the environmental document and receipt of the Authority to Proceed with Preliminary Engineering through Final PS&E. Environmental, ROW, Utilities, and other support groups all do a preliminary engineering review, as well as Civil Rights, Regional Project Control. Generally, there is a Plans, Specifications, and Estimate (PS&E) Review on all projects along with a Plans In Hand (PIH) review. The Engineer's Estimate is the final estimate used for contract bidding and programming of construction funding, and is submitted to the regional project control staff at the time of certification.

For federally funded projects, the Design section with the Construction Section will prepare the DBE Goals Worksheet and submit it to the Civil Rights Office (CRO) for approval.

This is the final review of the completed PS&E, packaged in a format to include the Bid Schedule, Invitation for Bids, and other project specific contract documents.

An Authority to Proceed (ATP) through Construction and Utility Relocation is requested and sent to FHWA. After FHWA approves the ATP for Construction, Project Control will confirm that authorization has been received. The preconstruction engineer will then grant approval for Authority to Advertise (ATA). Much of this communication is by e-mail and word documents.

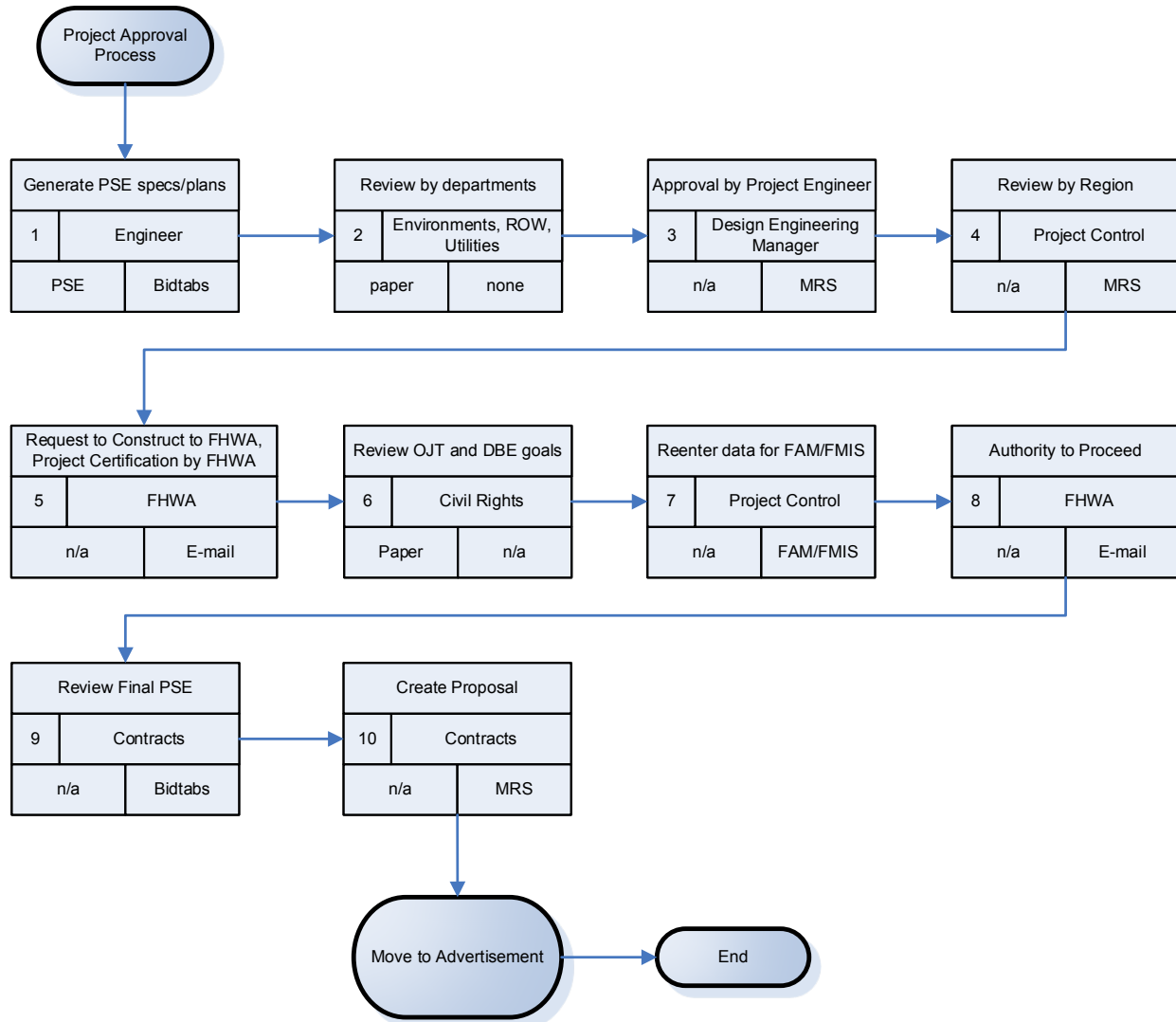


Figure 3-4

### ***Proposed AKDOT&PF Project Approval and Proposal Process***

Once the Final PS&E has been generated, the Project goes through numerous reviews and sign-offs from within the agency and outside, such as FHWA approvals. All Project data can be stored in Preconstruction. This would include data in BIDENTAB, MRS, IRIS as well as e-mails and word documents. System events can notify FHWA and the other departments that the project is ready for review. Each reviewer can be given access to AASHTOWare Project Preconstruction

software with or without update rights. It is up to AKDOT&PF to determine if each reviewer updates AASHTOWare Project Preconstruction software with their approval or uses e-mail or other form of communication. Project-level agency fields can be added to capture multiple levels of approval. The same can be done at the proposal level, if approvals need to be done at that level or workflow process.

The AASHTOWare Project Preconstruction process *Create Proposal* can be used to create the proposal header from the project header information, eliminating the need for manual creation of the proposal header and duplication of project information. This process takes shared fields from the project and inserts them into the appropriate proposal-level field. Additionally, an agency can map fields on the Project Mapping tab of the Agency Options component to designate specifically how fields in Project map to Proposal. This will allow AKDOT&PF to map fields such as the project description to the appropriate field in the proposal to facilitate reporting.

If there is a need to lock the project from editing in AASHTOWare Project software while the estimate is in progress, Info Tech recommends implementation of workflow/phase to meet this need. Implementation of a specific phase to indicate the Project is in progress, and assigning rights to the security roles specific to the phase in question can dictate that the various pieces of data related to the project are read-only while that phase is active.

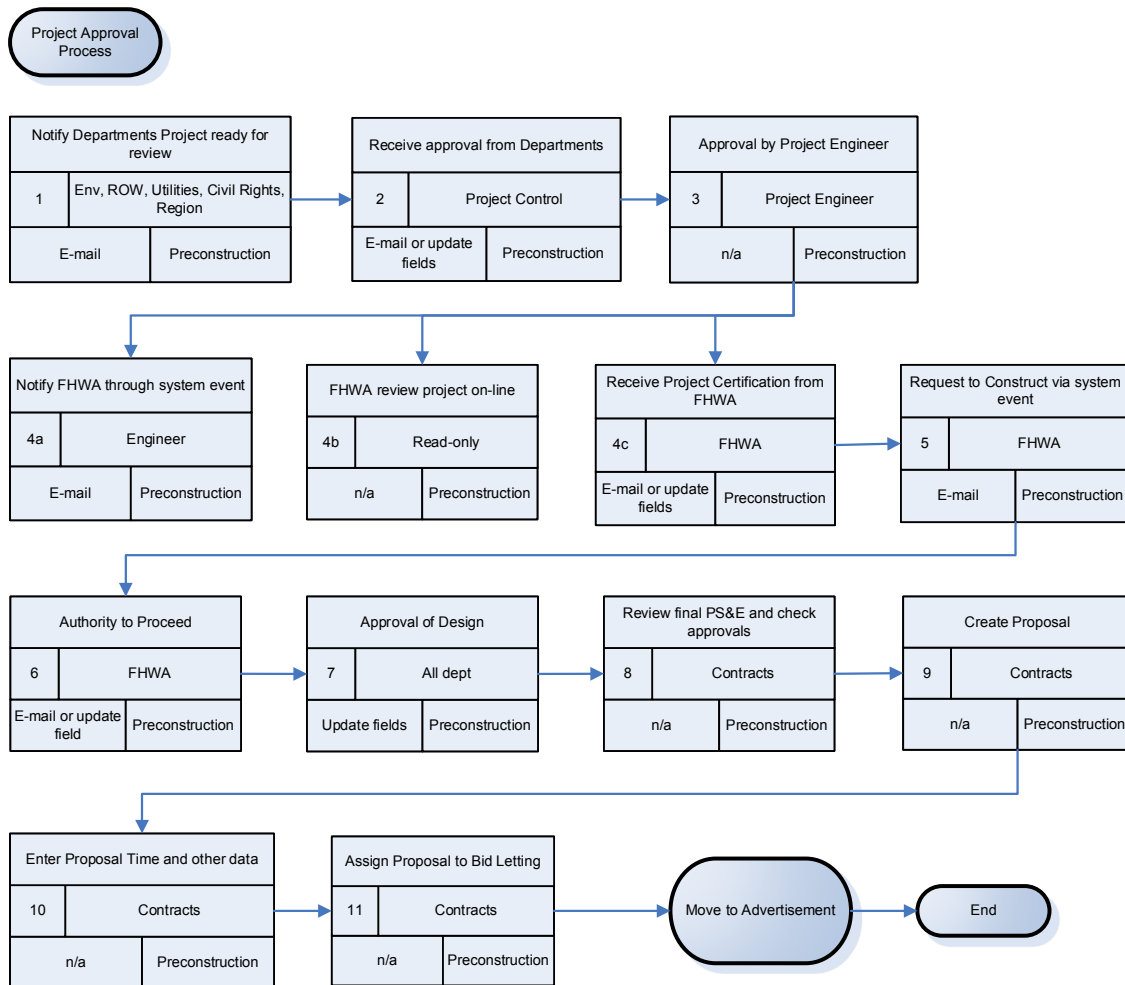


Figure 3-5

### 3.1.3 Advertisement Process

#### ***Current AKDOT&PF Advertisement Process***

The bid advertising period (usually 21 days) is established after receiving the ATA. The Contracts Section prepares and posts the invitation to bid, and compiles and distributes plan review sets. They also complete the final PS&E and incorporate it into a proposal bid package that goes out for advertisement.

A Tentative Advertisement Schedule regarding upcoming projects is posted to the state Procurement and Contracting website, but is not advertised through the TAS. A proposal is then advertised on the state Procurement and Contracting web site, and Online Public Notice (OPN) system. Vendors interested in bidding are encouraged to self-register on AKDOT&PF's Procurement website (VSS). Contracts then sends a bid package to the potential bidders. Additionally, contractors will request bid packages directly from the Contracts office. Information about the purchase of plans is manually entered into IRIS to generate an invoice for the bid package

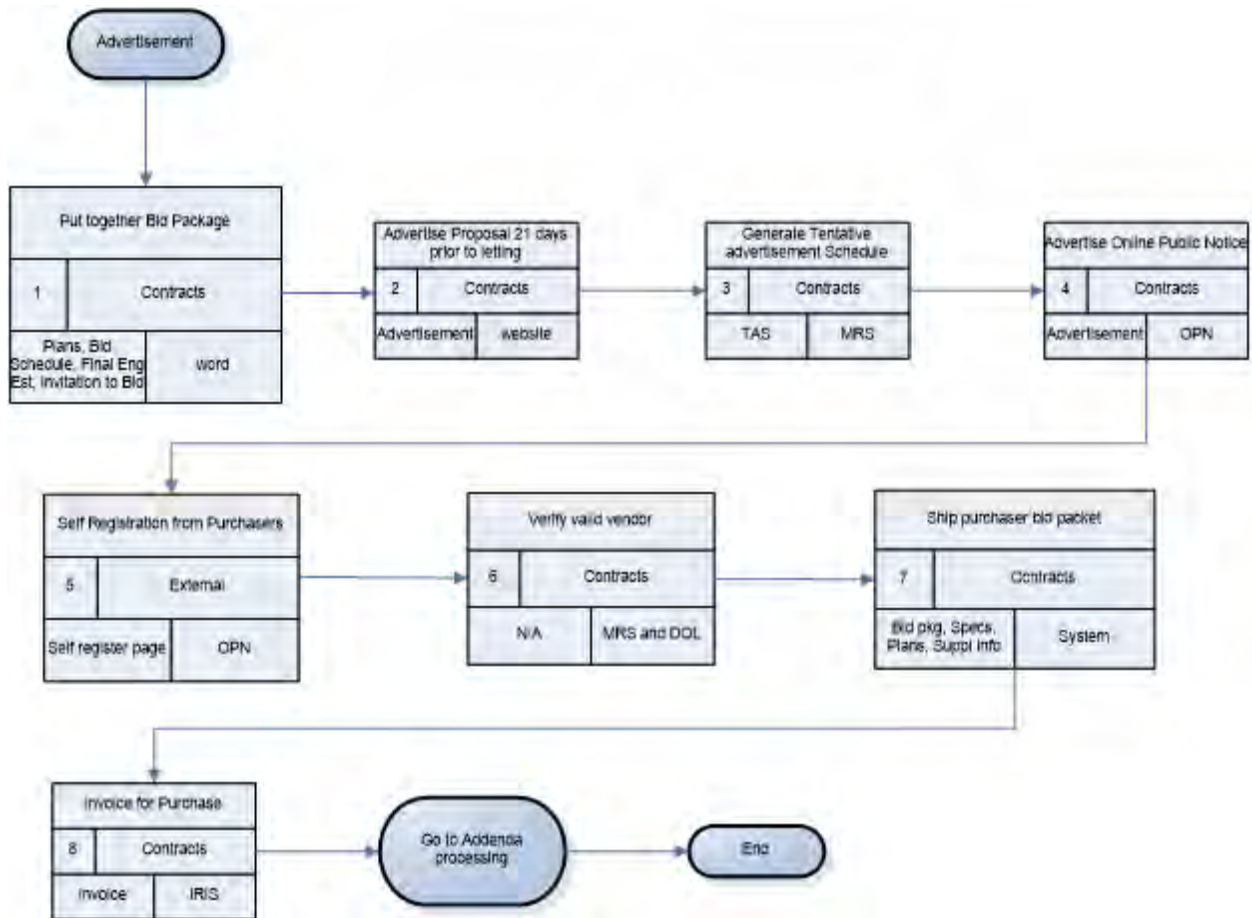


Figure 3-6

### **Proposed AKDOT&PF Advertisement Process**

AKDOT&PF prefers a single proposal per bid letting. The contracts sections will create the bid letting with an ID matching the Proposal ID. The advertisement and use of the state web site should continue. Self-registration for bidders should also continue on AKDOT&PF's website. There is potential for a link from the state Procurement and Contracting website to Bid Express for access to plans and specs and other documentation about the proposal. All plans and schedule would be kept in a single location, on Bid Express, which would be accessible to all bidders.

Preconstruction has the Proposal Price Schedule report which contains the DBE Interest report as well as the manual bidding document (Proposal Schedule of Items, which does not include the Engineer's Estimate). Additionally, a PASS2EBS, electronic bidding file, and encrypted EBSX file can be generated. This is the bid file used by those vendors bidding electronically.

By keeping the proposal documentation on Bid Express, electronic and manual bidders can all access the same information, and it gets located in a single place. For electronic bidders, an electronic file (EBSX) will be placed on Bid Express for the vendors to download and bid. For manual bidders, a Proposal Schedule of Items document will be available for download.



Preconstruction contains a purchase and invoicing function that AKDOT&PF can utilize to create a list of bidders as well as invoices for the purchase of hardcopy plans. If AKDOT&PF wishes to continue invoicing with IRIS, then an interface can be created to pass the purchase data to that system, and eliminate the manual entry.

Creation of hardcopy bid documents should continue in the same manner.

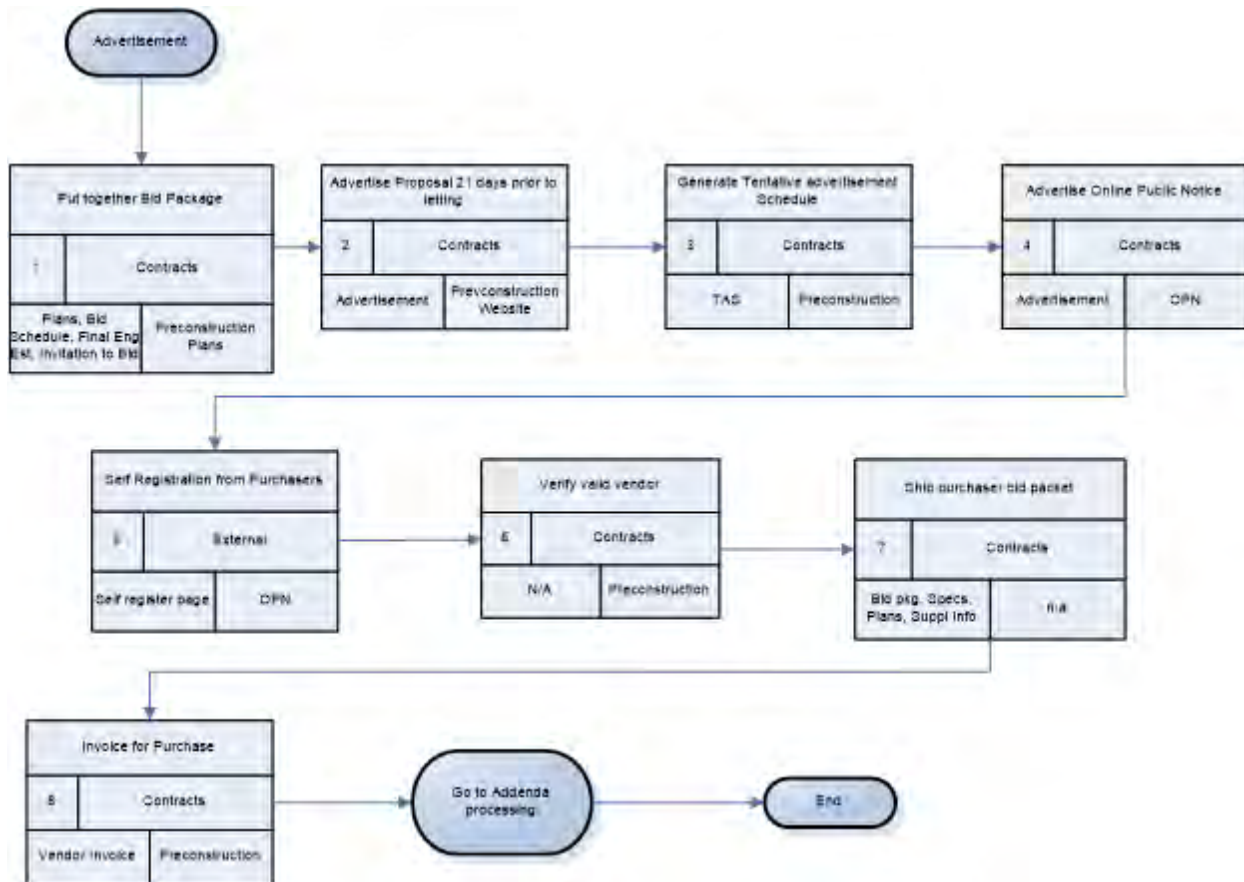


Figure 3-7

### 3.1.4 Addendum Process

#### **Current AKDOT&PF Addendum Process**

Addenda are used to make changes to the contract documents or to advise all bidders of pertinent information after a contract is advertised for bid. Changes to the bid proposal, bid schedule, bid bond, specifications, plan sheets, or appendices require an addendum.

Addenda are posted on the state Procurement and Contracting website through MRS as well as direct notification to all plan holders via e-mail. The Contracts Section keeps hard copies of the addenda in the plans room.

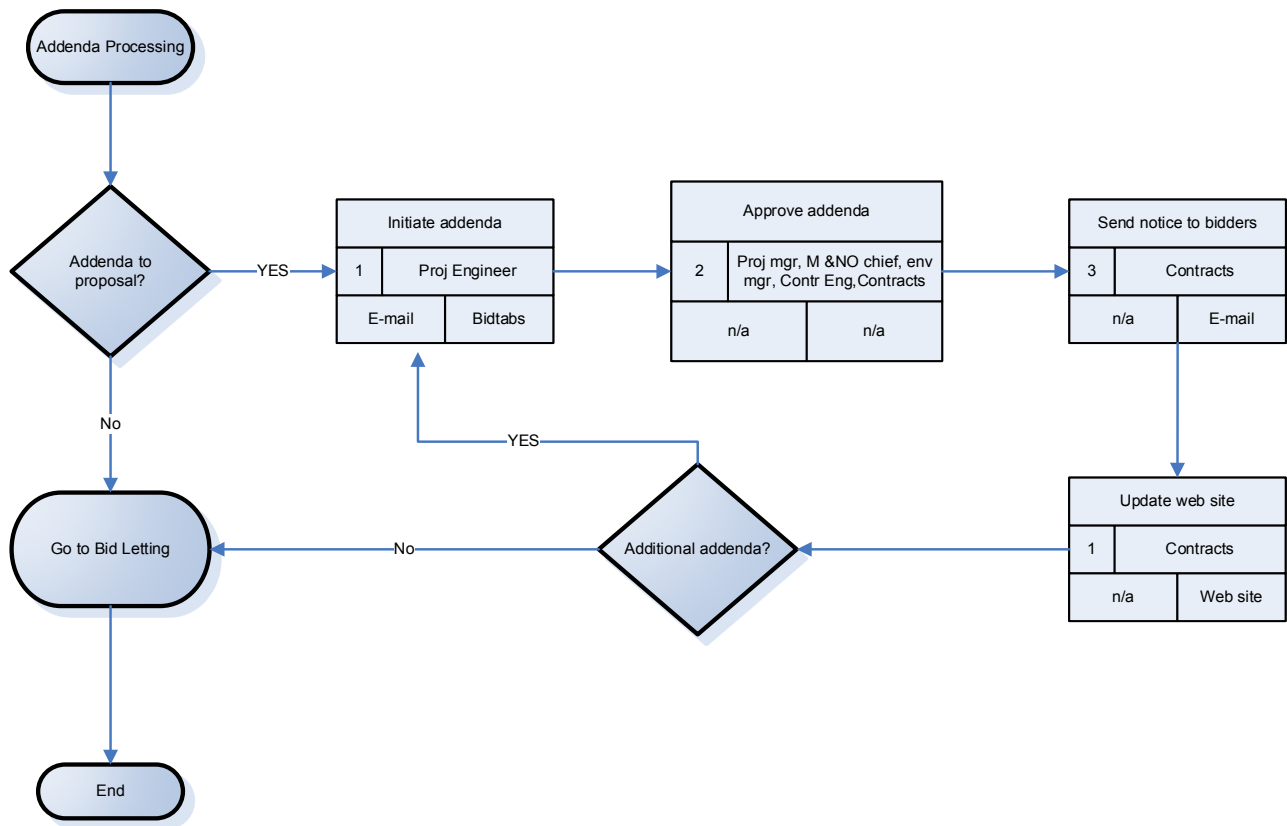


Figure 3-8

### 3Proposed AKDOT&PF Addendum Process

Info Tech recommends that AKDOT&PF utilize the more robust addendum functionality available in web-based AASHTOWare Project Preconstruction, thereby eliminating the need for several small steps in the existing process. Info Tech believes the existing addendum functionality will cover AKDOT&PF’s needs without impacting bidders, whether they are using electronic bidding or submitting bids manually. Approval fields can be added to the addenda header record in Preconstruction. Once final approval is complete, the addendum can be closed and approved. This approval process can be limited to selected users.

Updated bidding documentation and the PASS2EBS file are updated as a result of the addendum. The adjusted documentation and the bidding files can be loaded to the Bid Express website with links on the OPN and agency website.

Significant testing between AKDOT&PF and contractors should be conducted to ensure no negative impact to the bidding community by re-engineering this process.

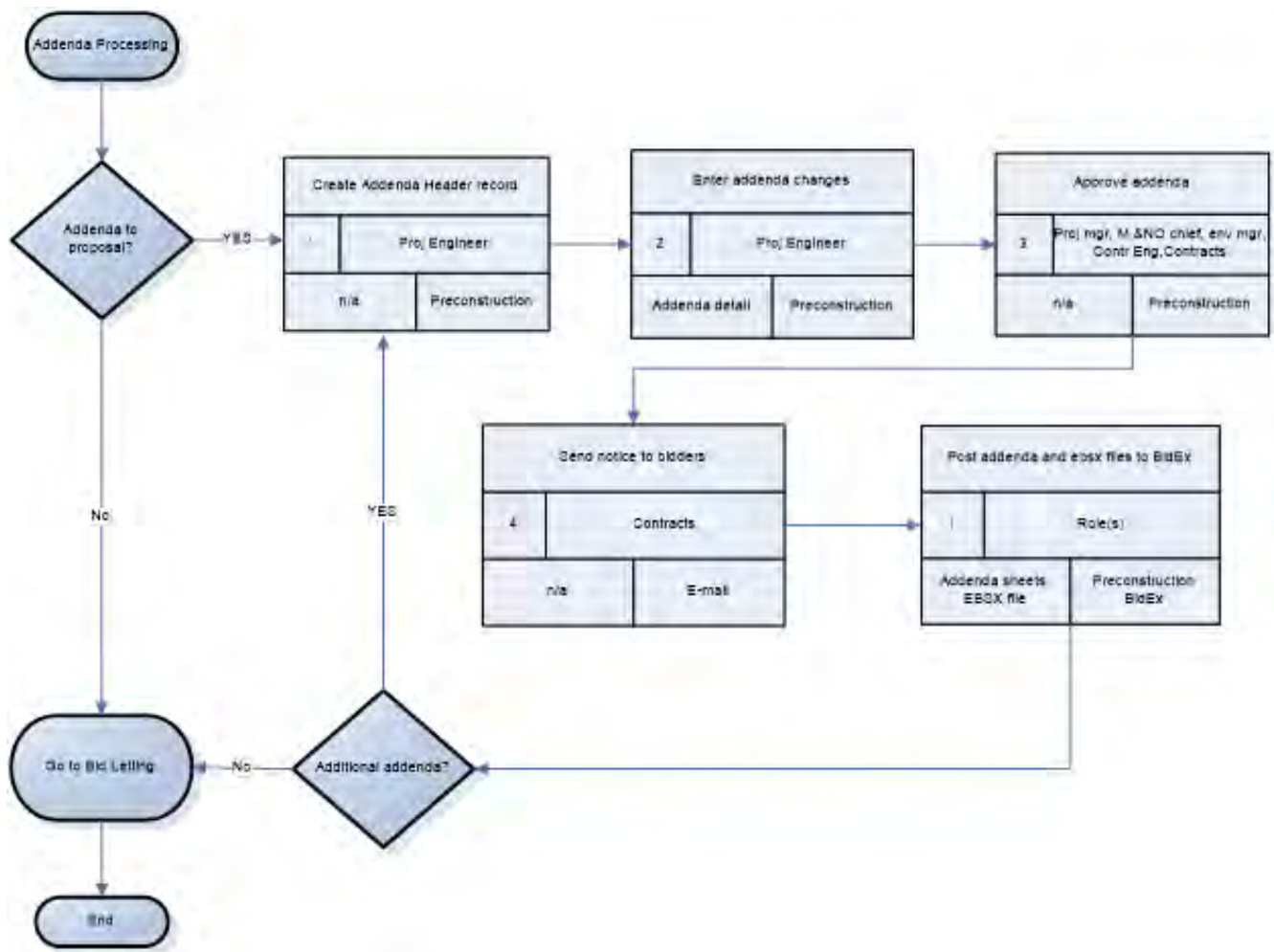


Figure 3-9

### 3.1.5 Bid Letting Process

#### ***Current AKDOT&PF Bid Letting Process***

Bid Lettings occur within each region, and there may be multiple bid lettings per day. The Contracts Section prepares an Unchecked Bids list and post it on the AKDOT&PF Procurement and Contracting website by 4:00pm on the day of the letting.

After bid opening, Contracts examines the low bid tabulation, conduct a bid evaluation and analysis, and the engineering manager prepares a recommendation memo to submit to the contracts officer.

Currently all bids are manual bids. The Contracts sections must enter all bids by hand into the BIDTAB system. Often, Contract receives updates to the bids, called Bid Modifications. These modifications must be manually entered and the bid total reevaluated and re-entered based on the changes.

AKDOT&PF has several bidder preferences, which allows the agency to accept higher bids from certified Alaska bidders, veterans and on certain Alaskan-made bid items. All analysis is done by hand prior to award recommendation.

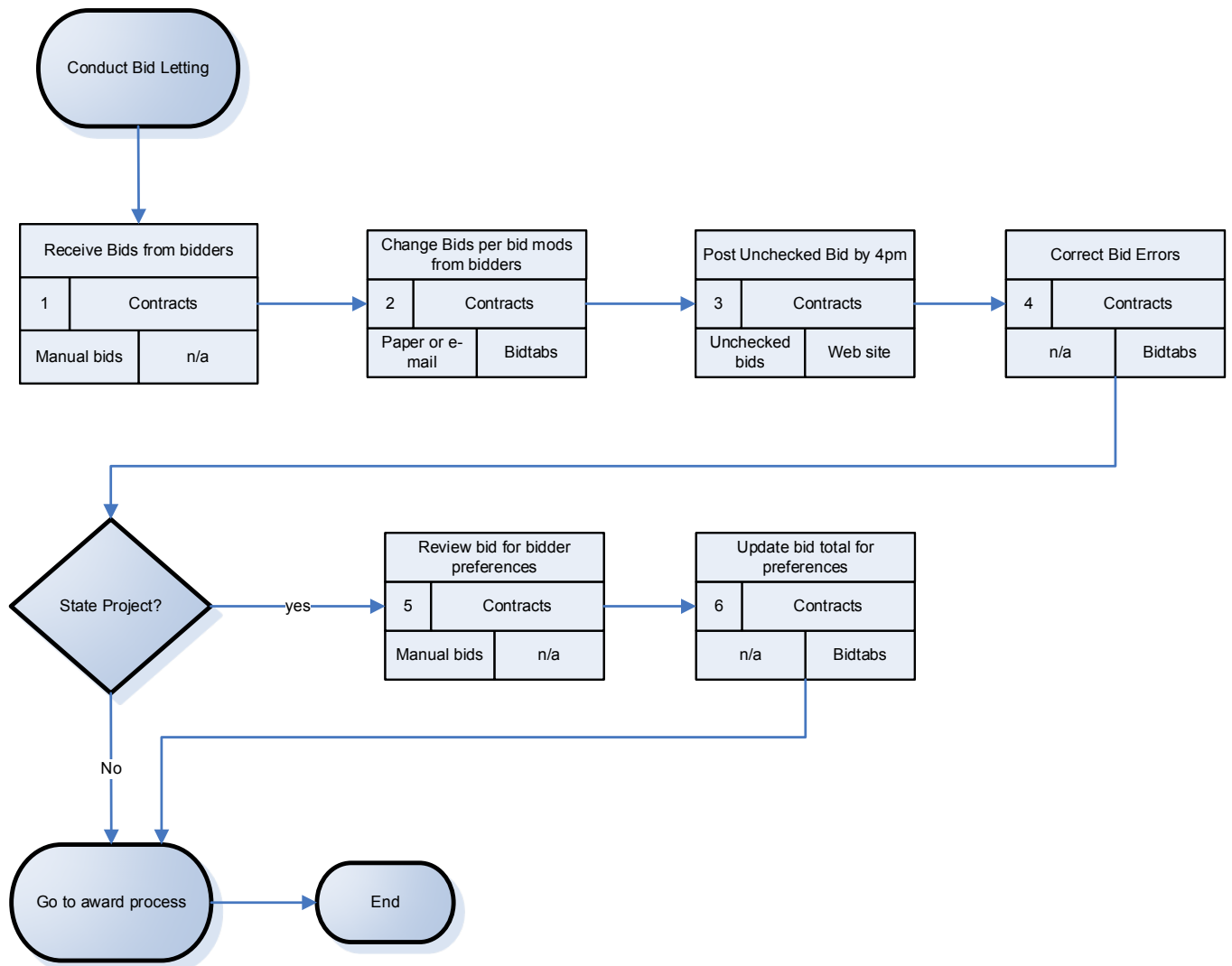


Figure 3-10

### ***Proposed AKDOT&PF Bid Letting Process***

Bids will continue to be received in both paper and electronic format. The paper bids are entered via the Bids Entry program, which allows for quick data entry. AKDOT&PF can optionally define Entry to enter only the estimated unit price and the extended amount will be calculated, or the user can enter unit price and extended amount which is validated. Entry program creates the flat XTABDAT file which is in the format to load directly into AASHTOWare Project Preconstruction software.

Bids submitted electronically, can be via Bid Express, or on an electronic format such as disc, jump drive, etc. Electronic bids can be converted to the XTABDAT file format and loaded into AASHTOWare Project Preconstruction software. All bid validations are done as soon as the load occurs.

Contracts section will conduct their initial review and validation of the bids and identify a responsive low bidder. All proposal vendor bid and summary information is available via the UI Proposal Vendor Summary, or can be generated in report form by executing the Bid Tab Analysis reports, which include Low Bid Summary, Tabulation of Bids and Vendor Summary.

For bidder preferences, it was discussed and recommended that AKDOT&PF use the proposal time Cost Plus Time (CPT) function. On the Proposal Time tab, AKDOT&PF would enter a negative 1.0 (-1.0) in the Road User Cost Per Time (RUCPT) field. The time description would indicate the type of bidder preference per CPT record. By entering a value in the RUPCT field, the vendor is required to bid on that time record. The bidder would enter their preference discount amount. The bid item total would be discounted or dropped by the discount amount when determining the vendor ranking.

At this time, there is no recommendation on handling Alaska bid item preferences, thus those adjustments will still have to be calculated manually.

Specifics on the types of preferences and wording need to be analyzed and tested for both manual and electronic bidders.

In some instances, if bids are not acceptable or other technicalities warrant, the proposal will be rejected and trigger the process of re-letting the proposal. This process is greatly simplified in AASHTOWare Project Preconstruction by a single action on the Letting Status Summary called 'relet'. During the relet process, the system will create a new proposal identical to the proposal being relet, inclusive of the associated project. During the relet, either the new or the old proposal must receive a new name, as dictated by an agency option. The version number of the associated project will automatically be incremented by 1, and the version date will be set to the current date. The copy includes the proposal purchase records (i.e., plan holders). Once the copy and versioning are done, the system then marks the re-let proposal as *rejected* in the current bid letting.

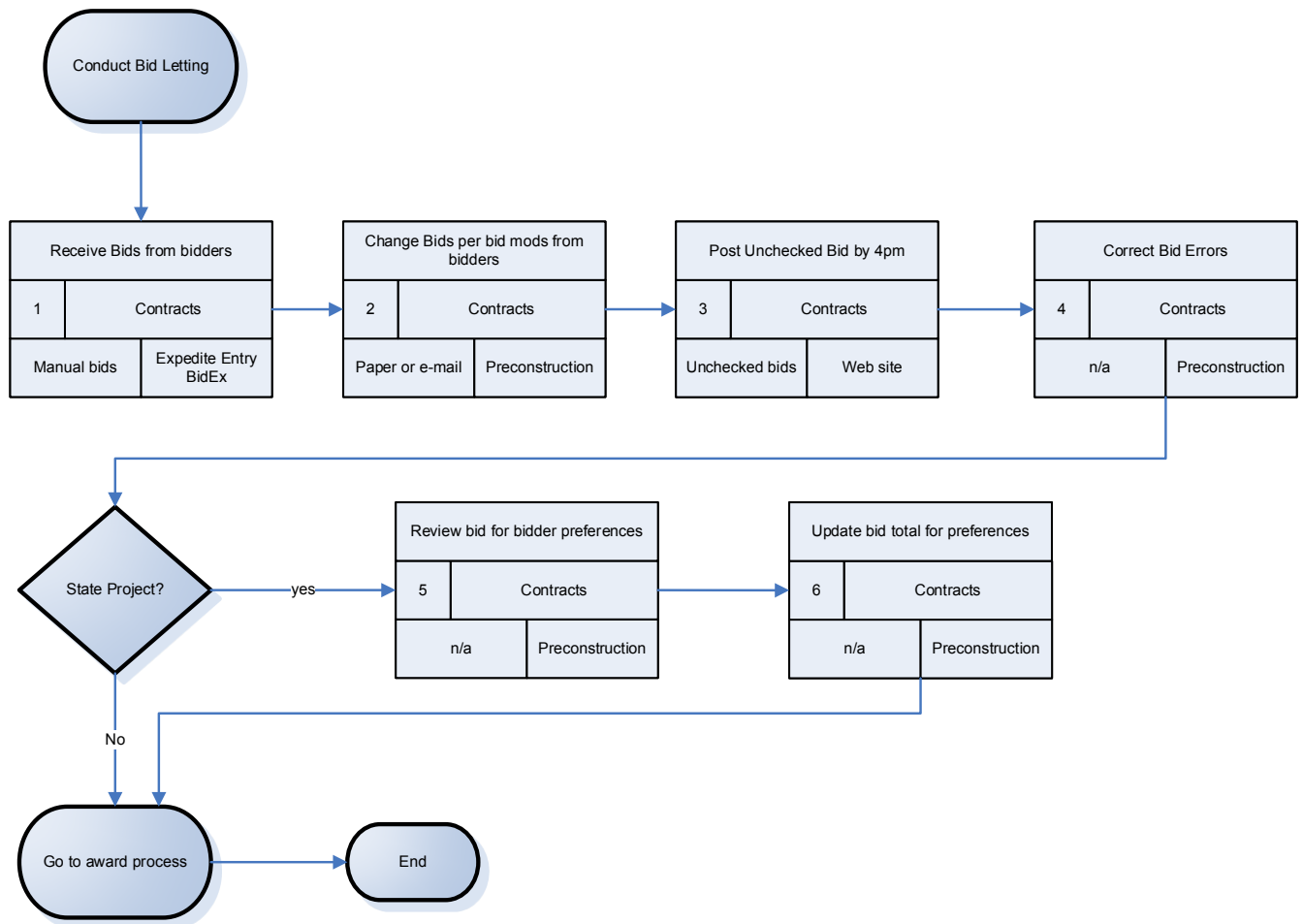


Figure 3-11

### 3.1.6 Award Process

#### ***Current AKDOT&PF Award Process***

The engineering manager’s recommendation memo can recommend awarding the contract to the low bidder or rejecting all bids. The engineering manager will submit the recommendation memo to the Contracts Section and send a copy to the preconstruction engineer. The Contracts Section will issue either a Notice of Intent to Award (NOI) or a Notice of Cancellation (NOC) to all bidders. An NOI will be sent to all bidders. Final bid tabulations are posted to the website.

On federally supported projects, FHWA receives documentation on the apparent low bid, the engineer’s estimate, DBE goals and certifications. Much of this is conducted via hardcopy memorandums and e-mails.

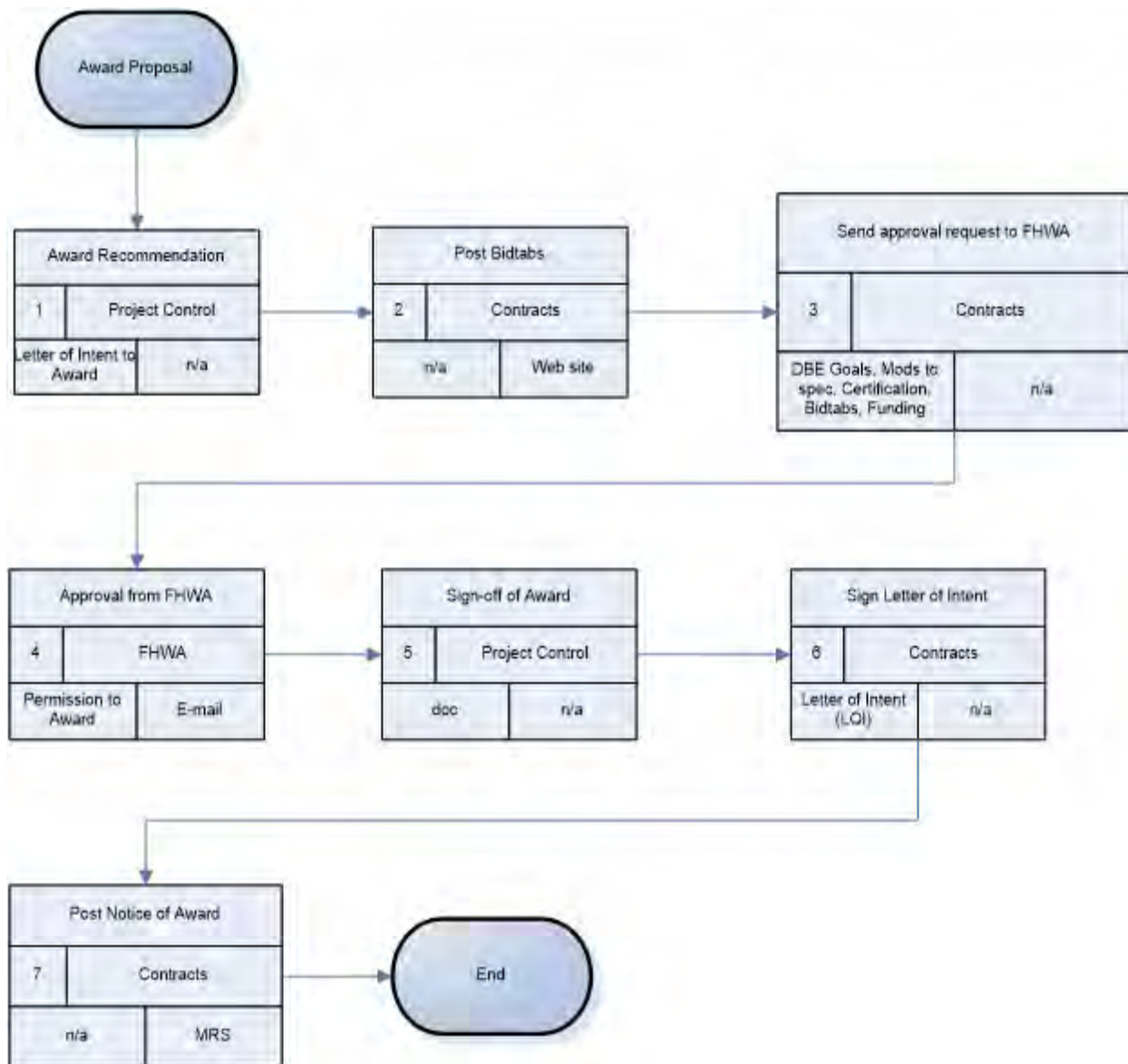


Figure 3-12

### ***Proposed AKDOT&PF Award Process***

AKDOT&PF will continue the processing of the bids to award after the recommendations from the various departments and agencies are received. Evaluation of the bid data involves generation of multiple reports in AASHTOWare Project Preconstruction and approval can be documented via system events.

Use of Proposal CPT records for bidder preferences does not require a manual change to bid totals as the CPT costs are not part of the actual award amount.

Once awarded, AASHTOWare Project Preconstruction has contract-level documentation and reports. Existing interfaces transition the data to construction AASHTOWare Project Civil

Rights & Labor software, as well as a flat file interface to AASHTOWare Project SiteManager software. Use of workflow/phase rules can lock the AASHTOWare Project Preconstruction data, making it accessible but read-only.

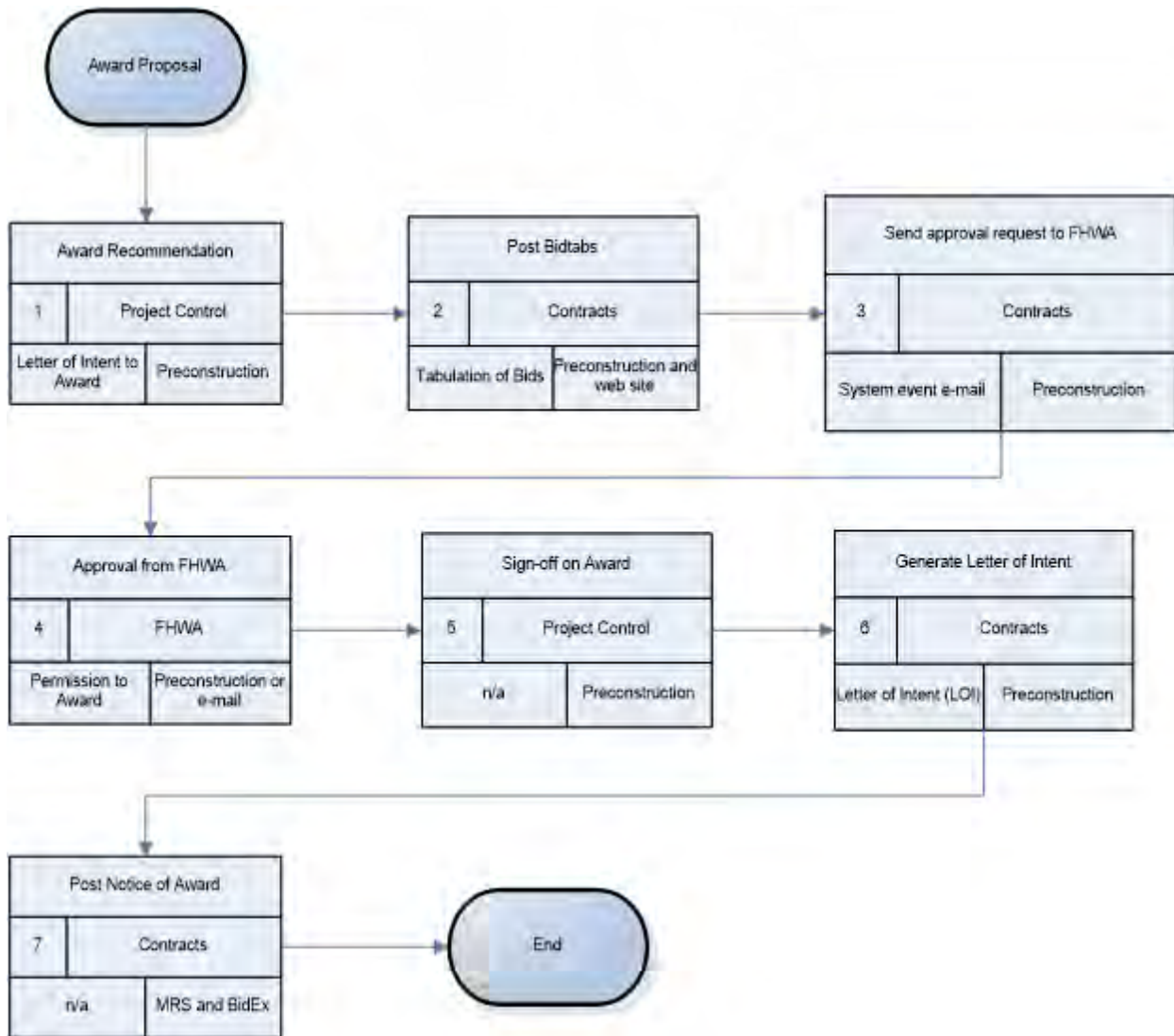


Figure 3-13



## 3.2 Current and Proposed AKDOT&PF Civil Rights & Labor Business Processes

### 3.2.1 Project Goals

#### 3Current AKDOT&PF Setting Project DBE and OJT Goals Process

Project goal setting begins with the completed Engineer’s Estimate and a request for the RCCL to create goals as necessary. If the Engineer’s Estimate changes at any time, the process is repeated. The process includes those goals for Race Conscious and Race Neutral projects, as well as Project OJT Goals.

Goals are set with concurrence from the Civil Right Office, Design Manager, and Contracts Unit.

The current Project Goal Setting process is illustrated in the following diagram.

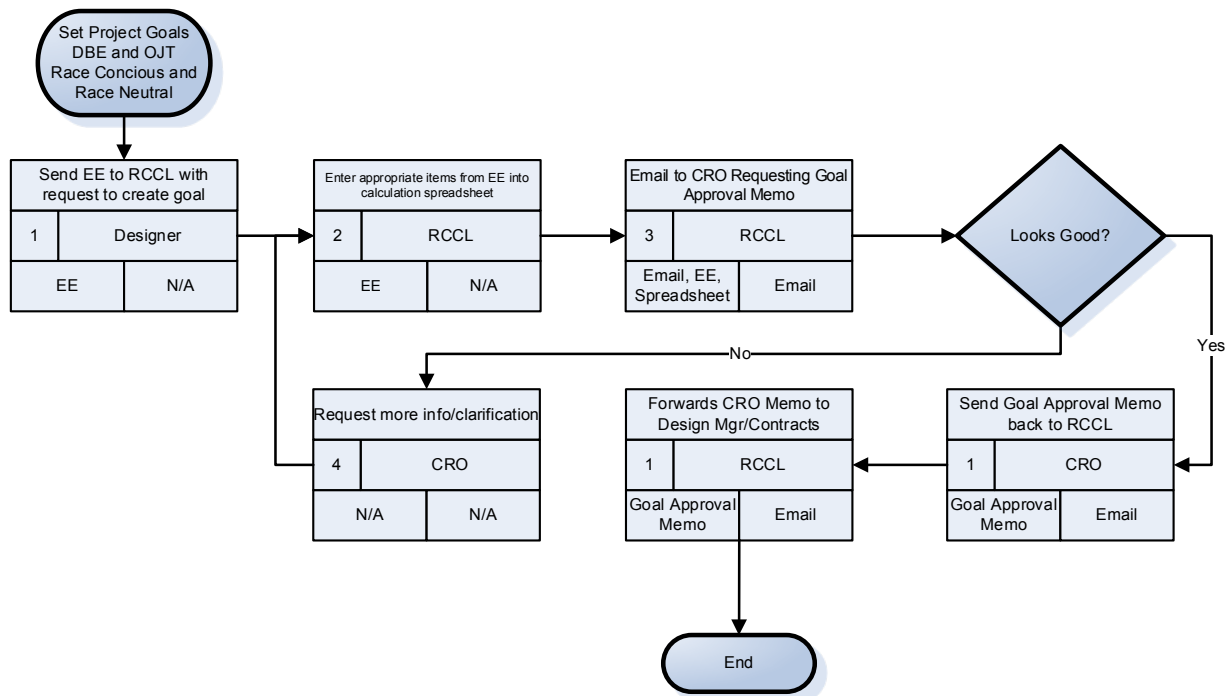


Figure 3-14

#### Proposed AKDOT&PF Project DBE and OJT Goal Setting Process

The proposed process uses AASHTOWare Project standard functionality, combined with a custom report. The Goal-setting report defined in Step 2 of the process diagram would utilize historical data from past project goals, items, and project location to provide a suggested goal. The RCCL could then modify that goal based on requirements not associated with historical data. To prevent the project from moving forward without appropriate goal setting, it is suggested that a Workflow Phase, specifically for Goal Setting, be used.

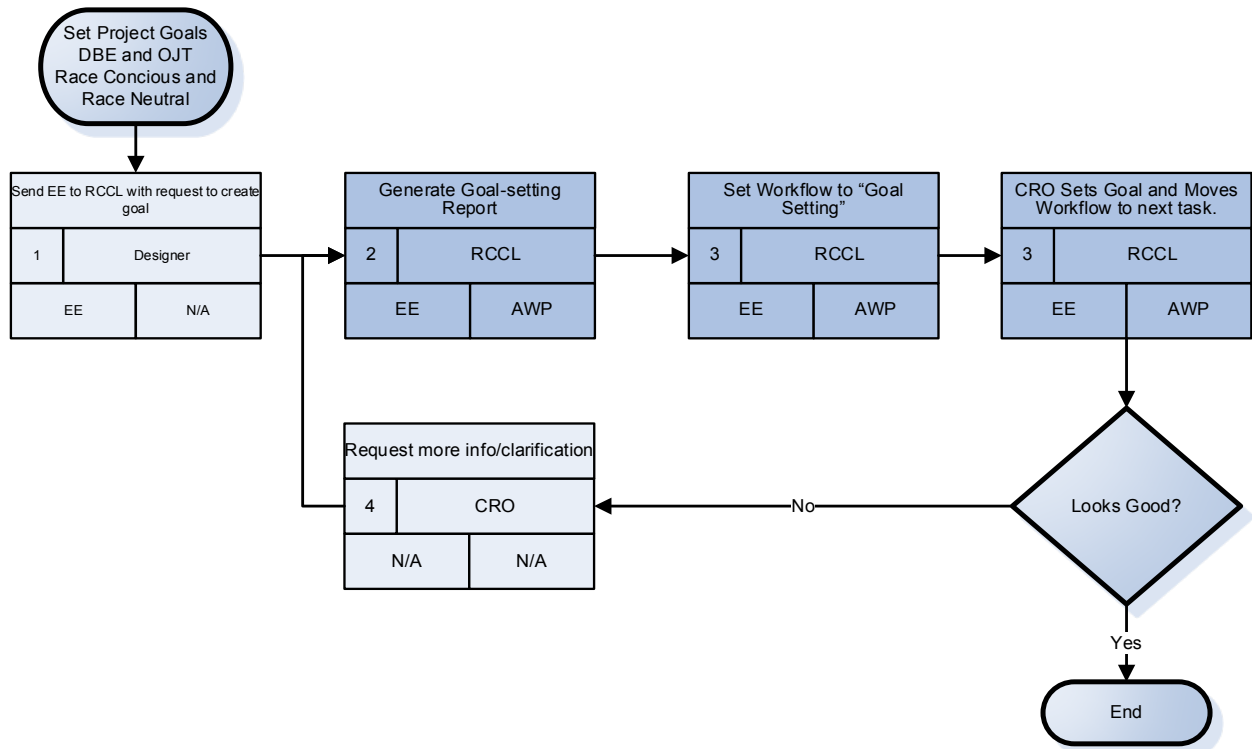


Figure 3-15

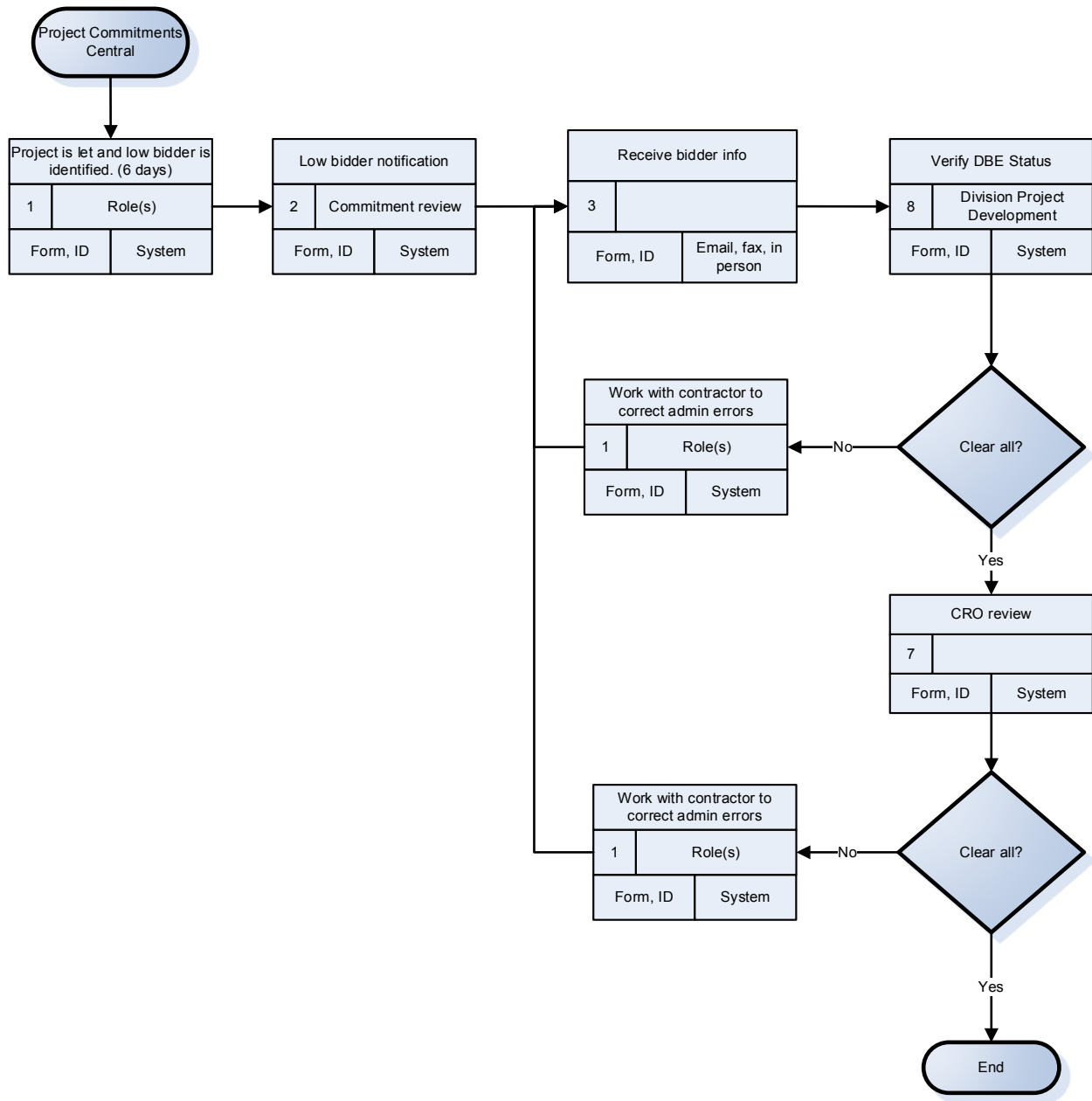


Figure 3-16

### 3.2.2 Project DBE Commitments Process

#### ***Current AKDOT&PF Project DBE Commitments Process***

The DBE Commitments process begins with Project Letting and the identification of the apparent low bidder. The low bidder then has five working days to complete and submit their Subcontractor List, DBE Utilization, and Good Faith Effort information. After the required information is submitted, DOT staff review a DBE Utilization report, verify licenses, compare categories of work to ensure certification in the subcontract area of work, and check calculations.

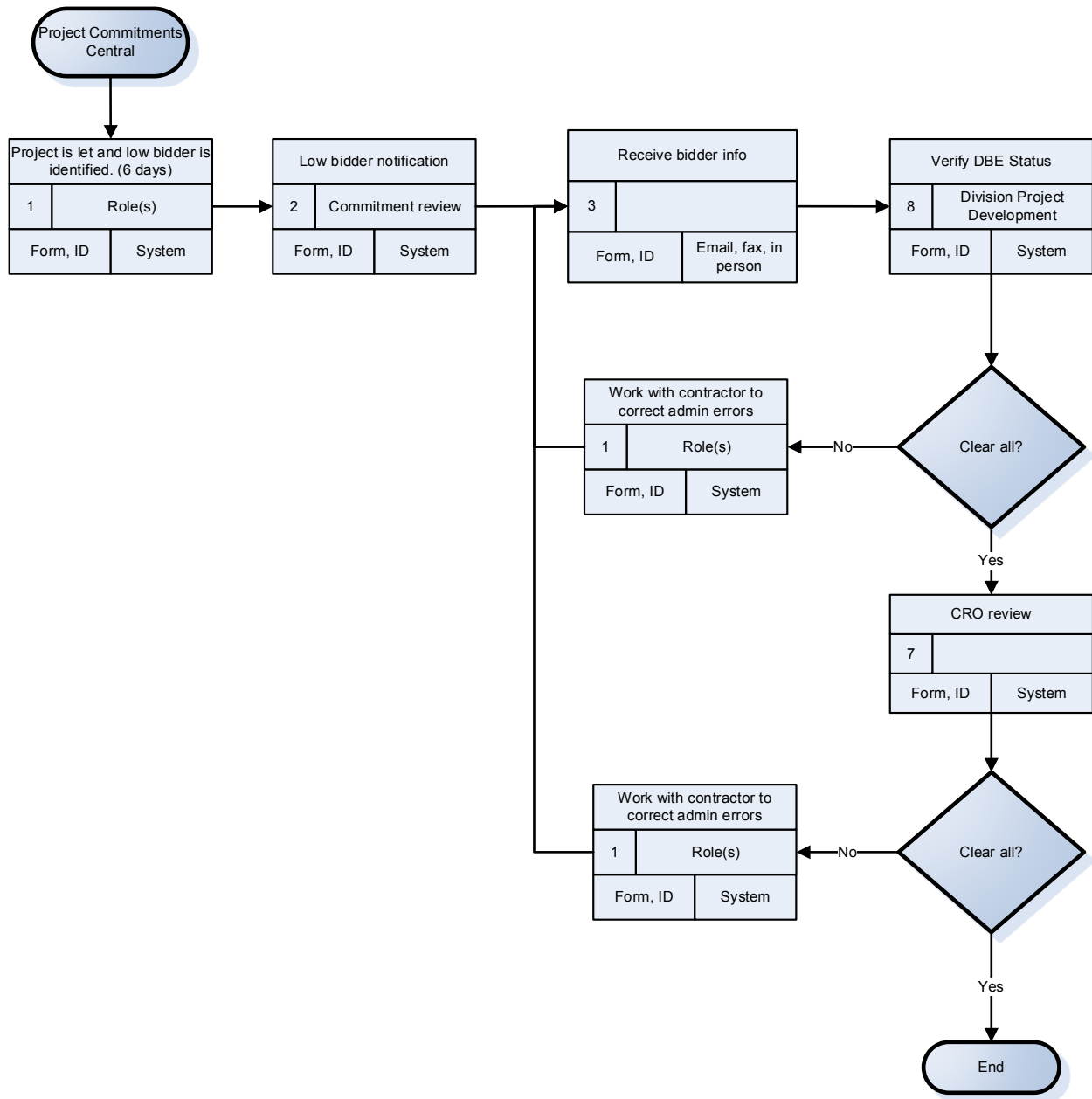


Figure 3-17

### **Proposed AKDOT&PF Project DBE Commitments Process**

The proposed process is very similar to the current process, except that the contractor can enter commitment information directly to the system, allowing DOT staff the opportunity to validate and approve commitments in the software.

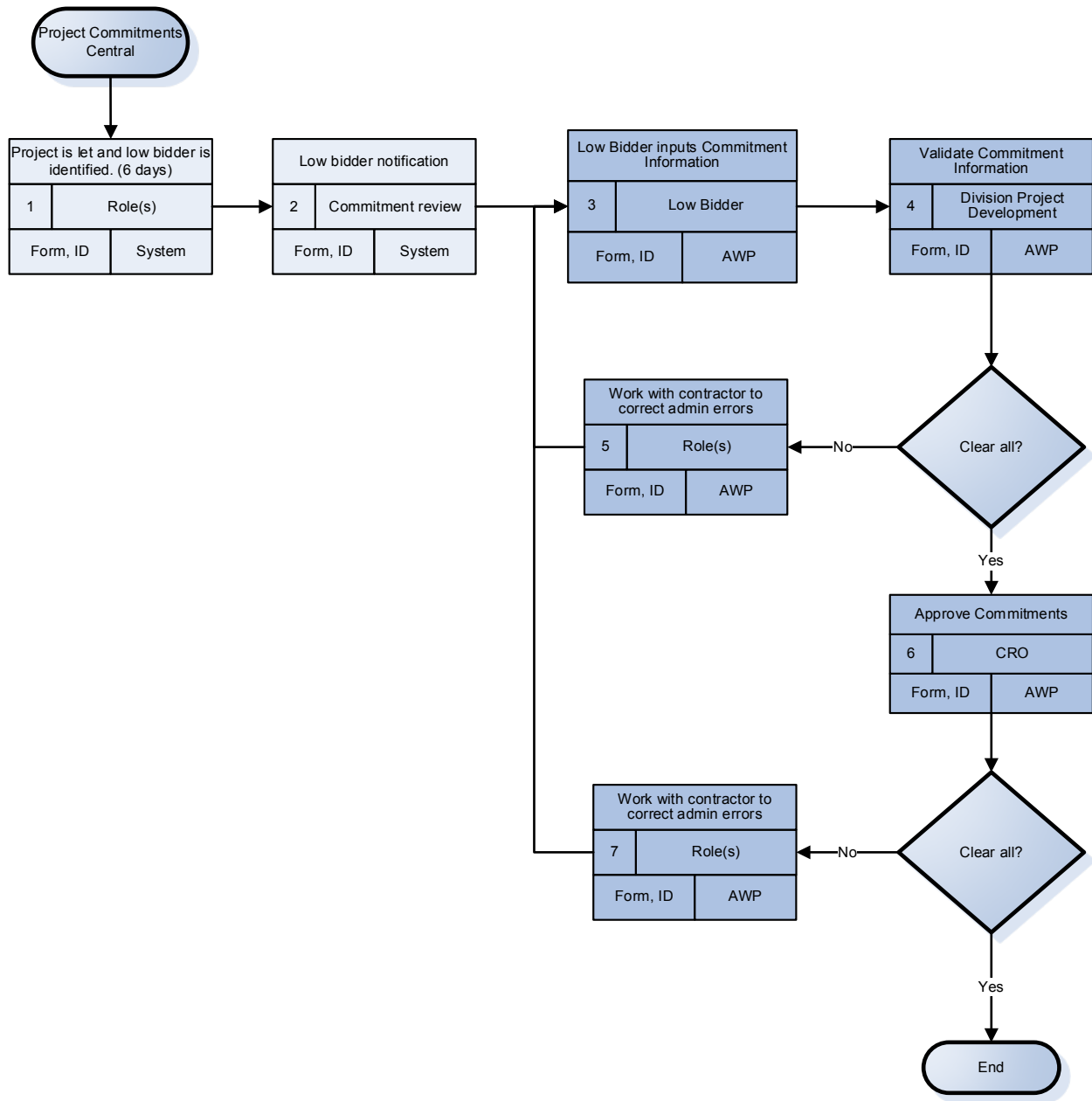


Figure 3-18

### 3.2.3 DBE Certification Process

#### **Current AKDOT&PF DBE Certification Process**

The DBE and ACDBE certification process is controlled by time limits for processing of the application. On receipt, the agency has 90 days to decide on DBE or ACDBE status. If the vendor is denied certification, they have 90 days to appeal. If they choose not to appeal, or if the appeal is denied, they are ineligible to reapply for one year.

On-site visits are completed only for new applicants or those with work category changes, or if they have received complaints.

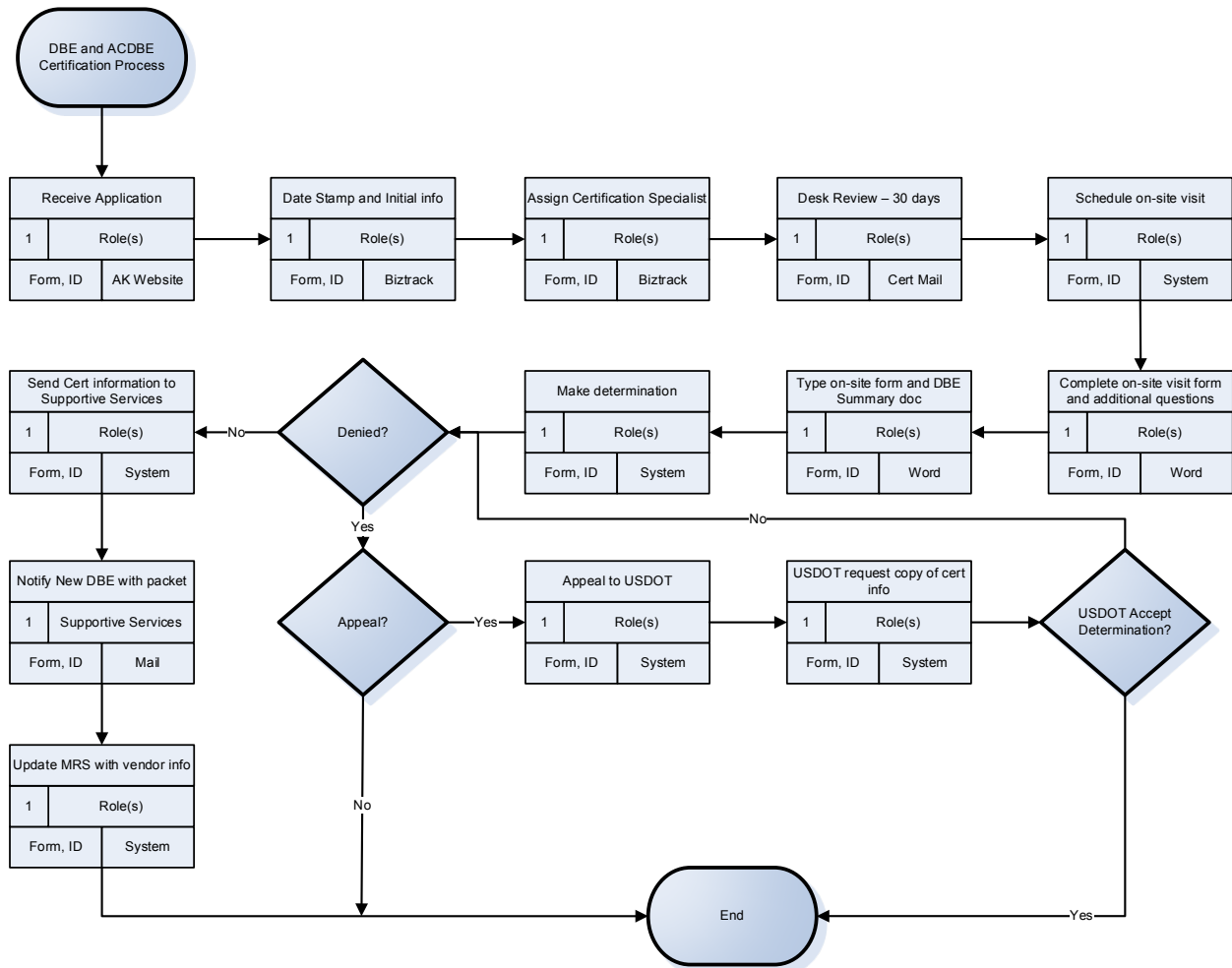


Figure 3-19

### **Proposed AKDOT&PF DBE Certification Process**

The proposed process is similar to the current process. AKDOT&PF should consider utilizing the AASHTOWare Project software’s Vendor > DBE > Events functionality. With Events functionality and a custom report or System Events, AKDOT&PF could track the schedule and staff assignments associated with the certification process. It is also suggested that the application form and certification or denial information be attached to that vendor record. This process will require a vendor record be in place prior to entering information related to the application. The creation of a vendor record will need to be reviewed to accommodate this process.

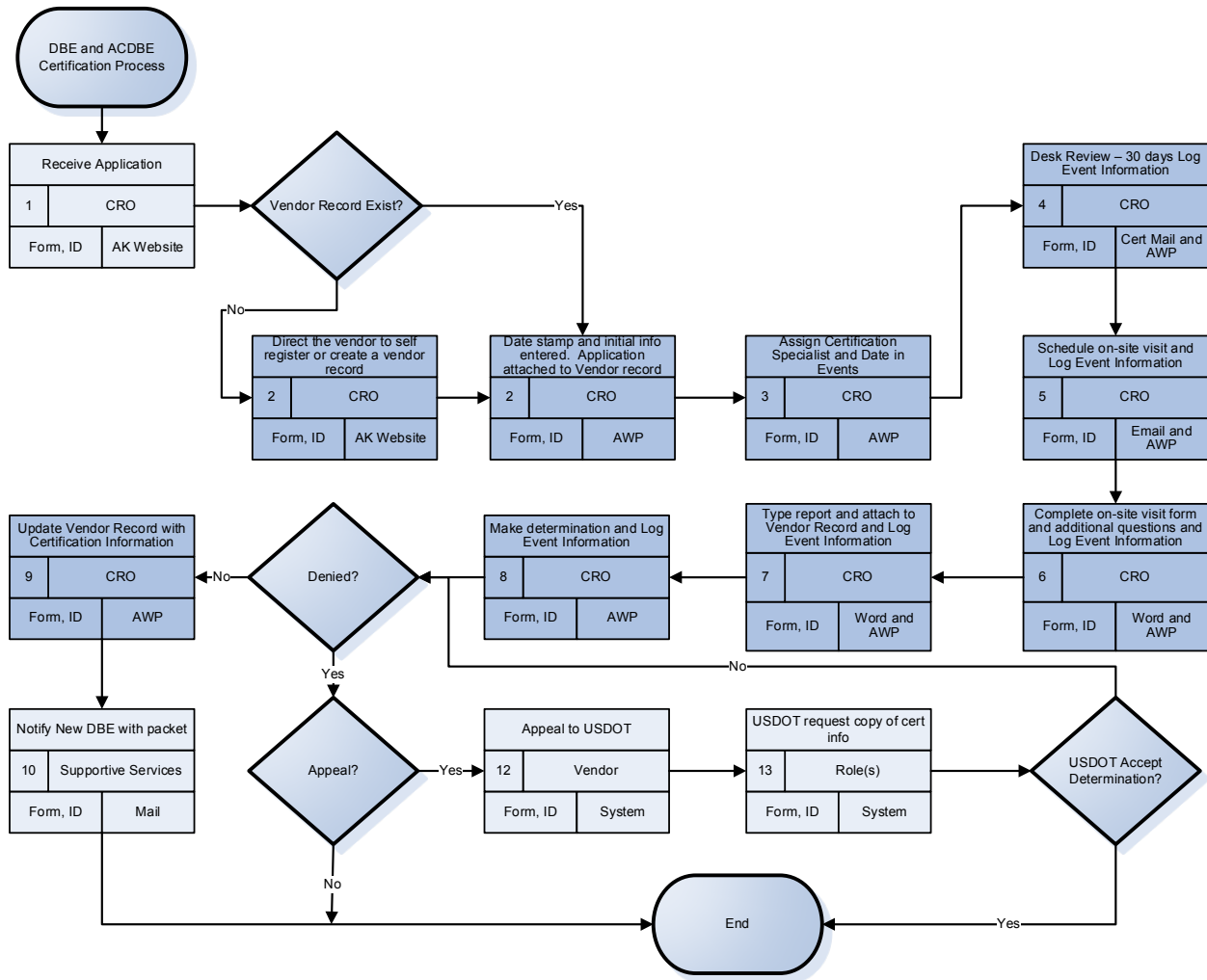


Figure 3-20

### 3.2.4 SBE Certification Process

#### **Current AKDOT&PF SBE Certification Process**

The current SBE Certification is a self-certification process. However, if a contract is awarded to an SBE firm, additional verification is completed during the award process. This includes SBE submission of an SBE Affidavit of Certification Ability, financial statements, and tax returns (three years).

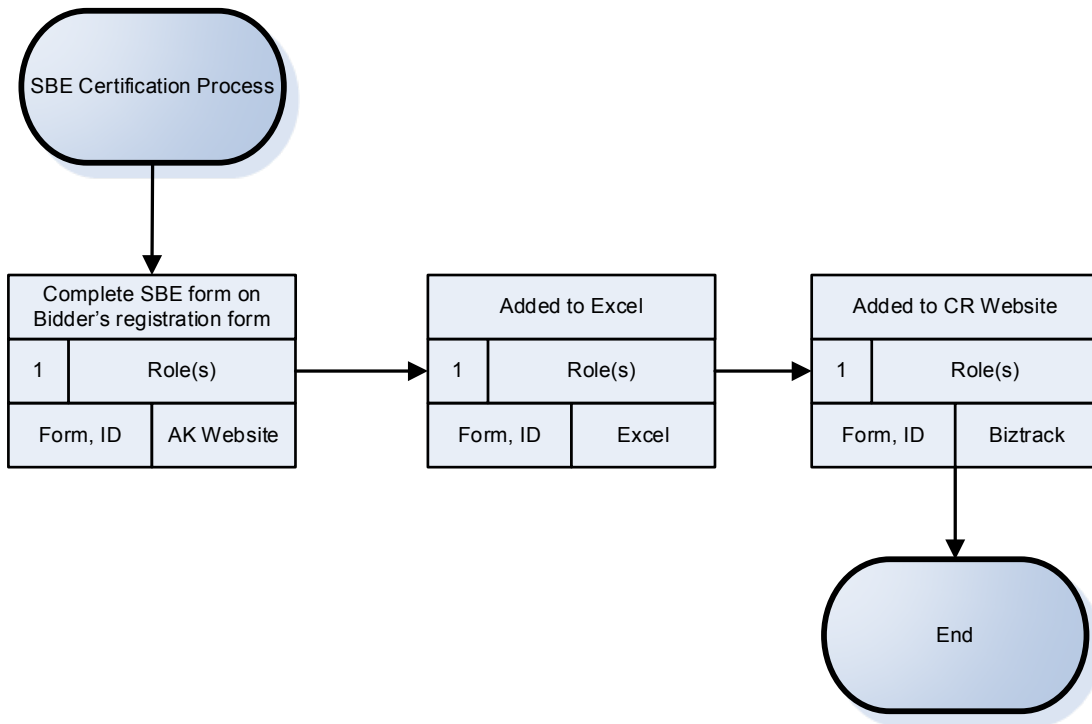


Figure 3-21

***Proposed AKDOT&PF SBE Certification Process***

The proposed SBE Certification process contains the same process steps, but the entries are made in the AASHTOWare Project software, rather than in Excel and BizTrack.



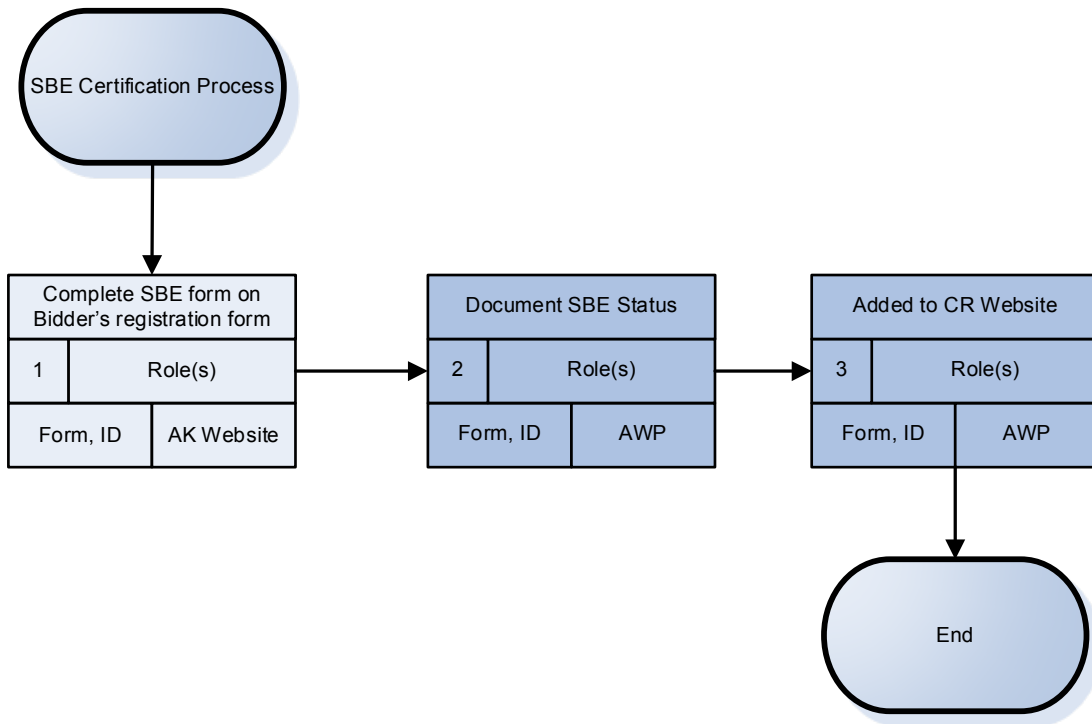


Figure 3-22

### 3.2.5 Good Faith Effort Process

#### ***Current AKDOT&PF Good Faith Effort Process***

Race Conscious and Race Neutral contracts have different processes, with Race Conscious contracts having more rigorous checks of the Good Faith Effort information provided by the contractor. Most work is completed manually, by an experienced analyst.

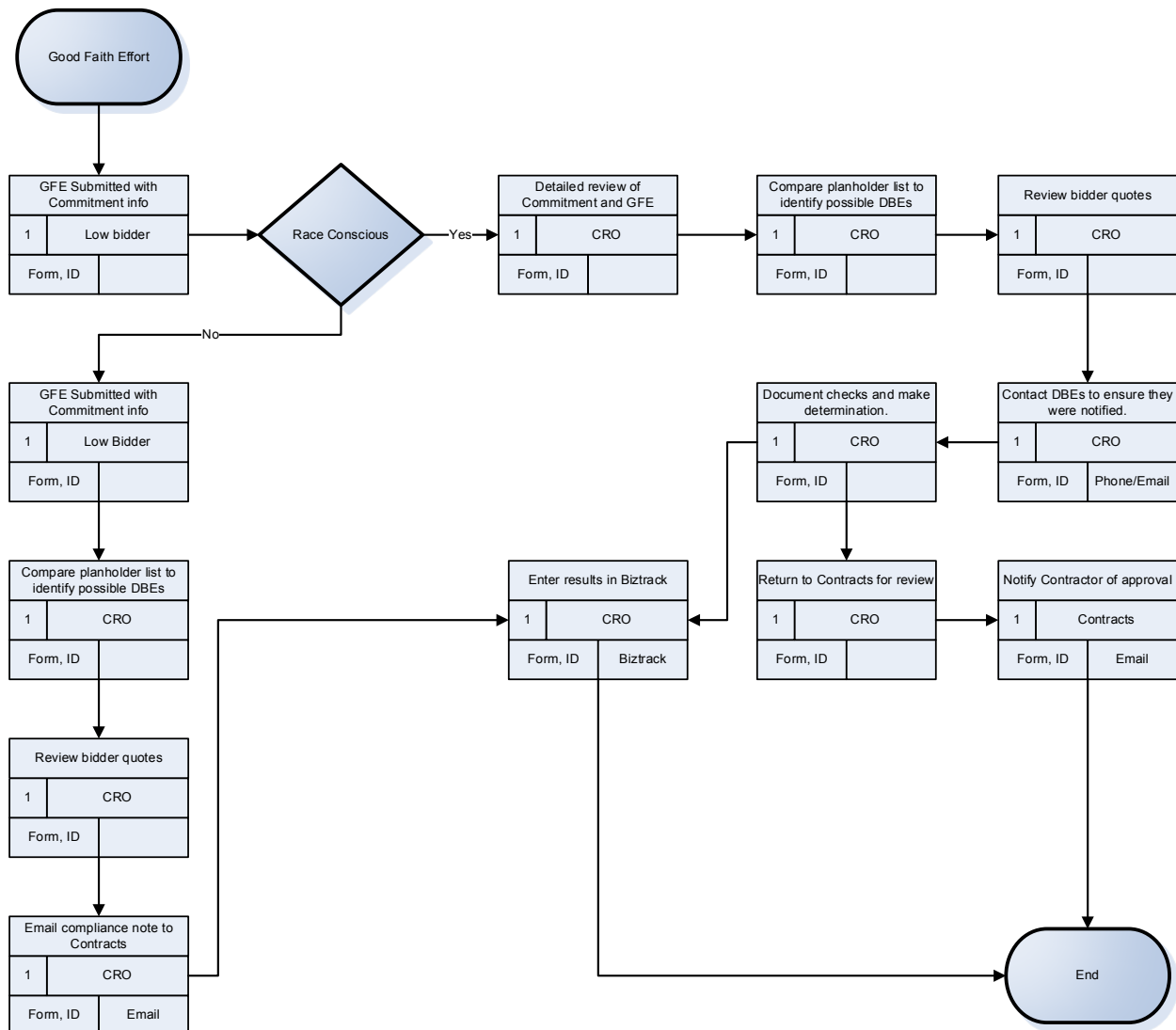


Figure 3-23

### ***Proposed AKDOT&PF Good Faith Effort Process***

The proposed Good Faith Effort process follows much of the same process, but the contractor enters their GFE data into the AASHTOWare Project software as part of their DBE Commitment, and much of the supporting data will be found in the system as well. Custom reports should be considered for future design to assist the analyst in determining GFE.

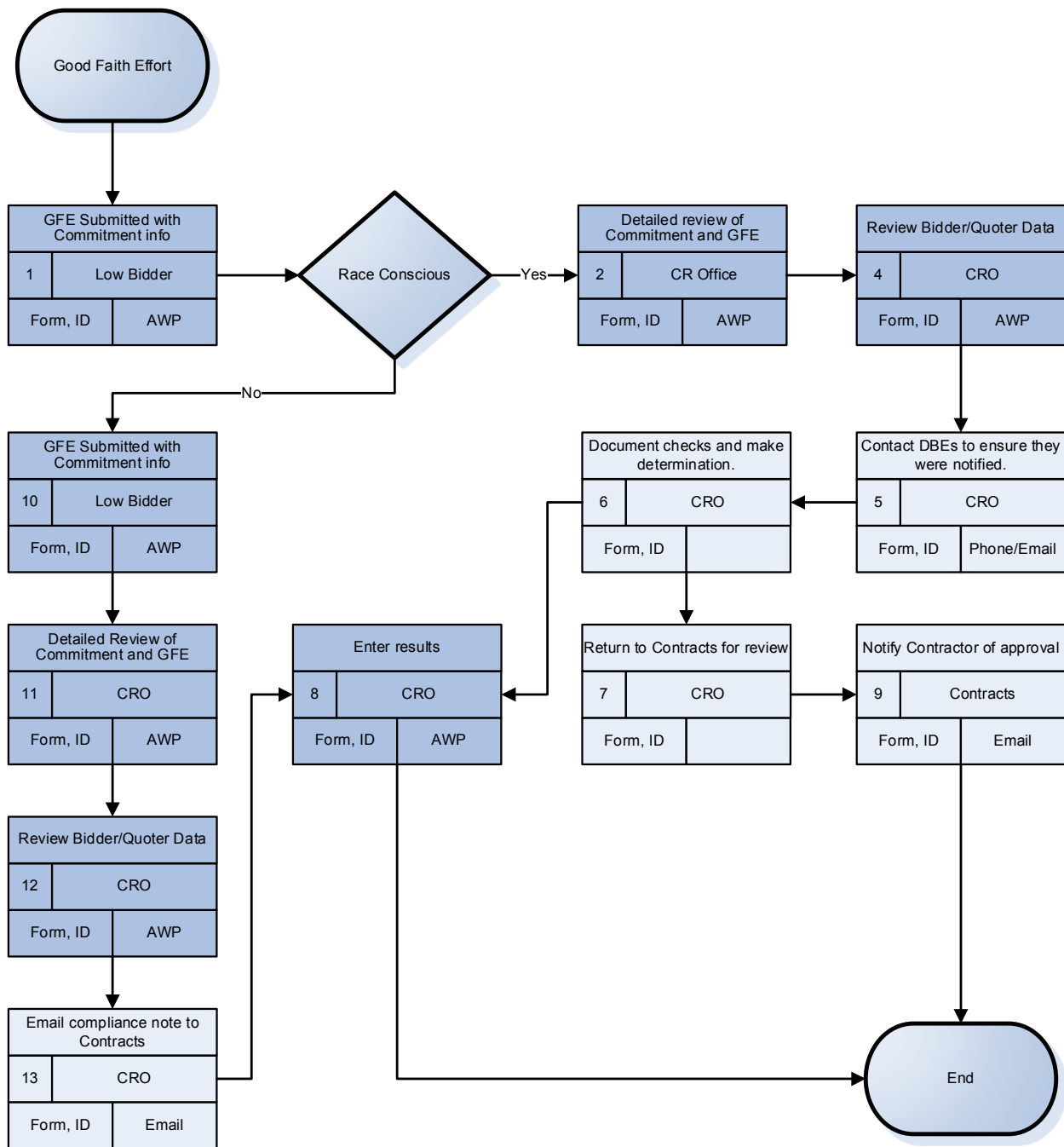


Figure 3-24

### 3.2.6 Subcontracts Process

#### Current AKDOT&PF Subcontracts Process

The current Subcontracts process uses or provides data to several systems, including MRS, BizTrack, the AASHTOWare Project SiteManager software, Excel, and e-mail. The MRS system provides data to the AKDOL.

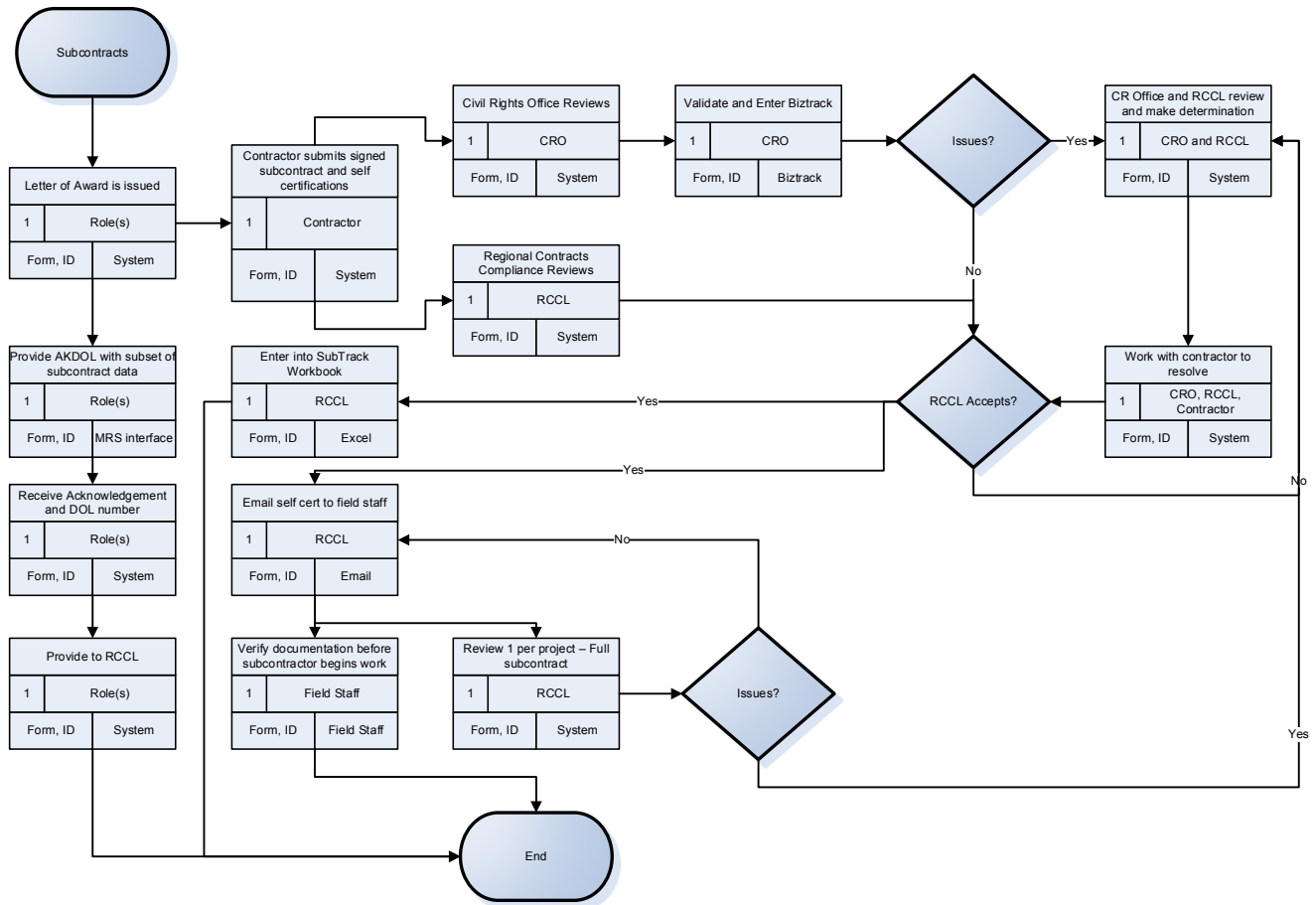


Figure 3-25

#### Proposed AKDOT&PF Subcontracts Process

The proposed process includes data entry to the AASHTOWare Project software, removing the need for multiple entry points to MRS, BizTrack, and Excel. Either AKDOL can be provided with a custom report, or an interface with their system may be created to share project information. Custom reports should be considered to assist the RCCL and CRO in validation of the subcontracts.

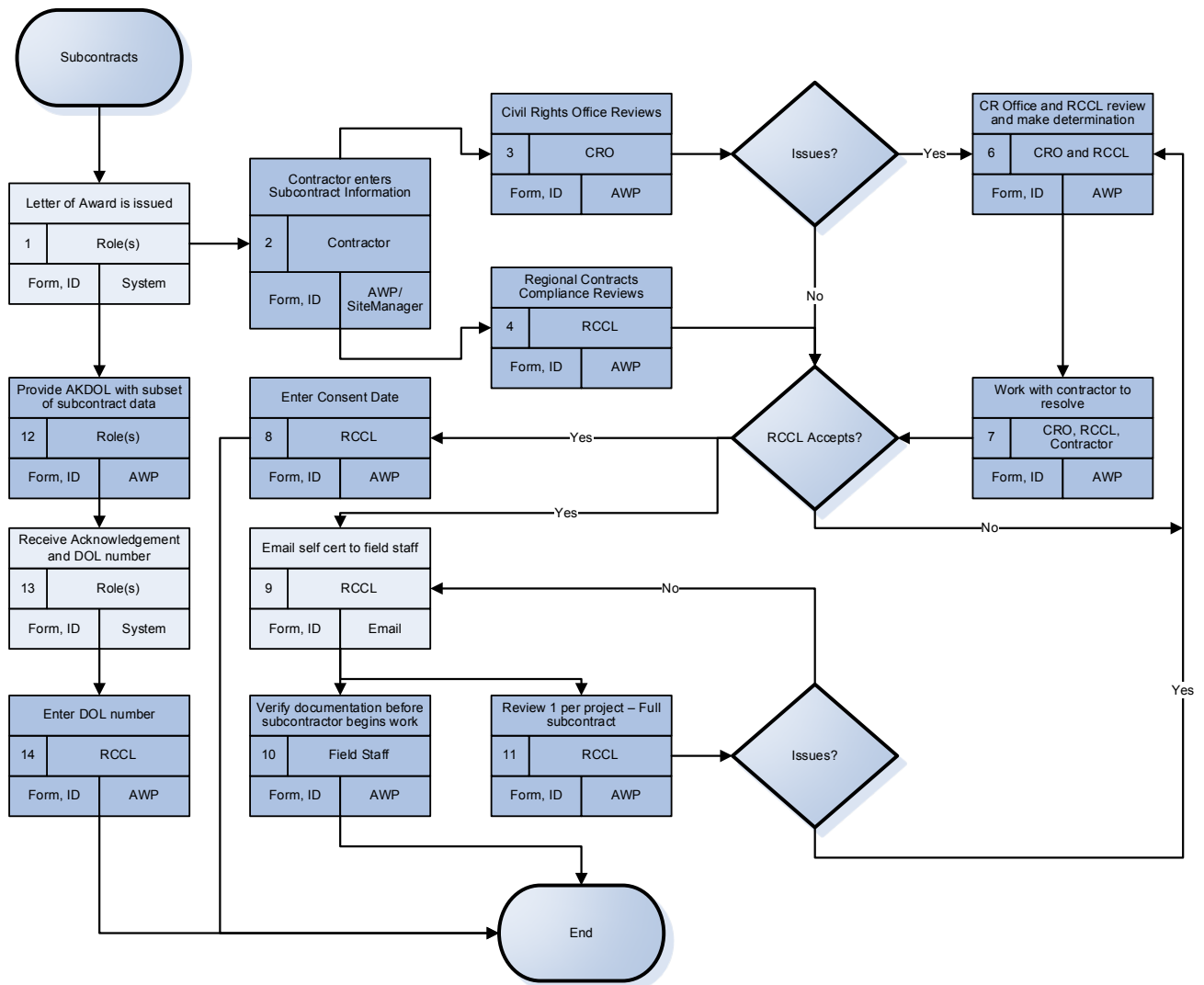


Figure 3-26

### 3.2.7 Prompt Pay Process

#### ***Current AKDOT&PF Prompt Pay Process***

AKDOT&PF currently addresses Prompt Payment issues if there is a complaint and does a thorough review of 10 contracts per year.

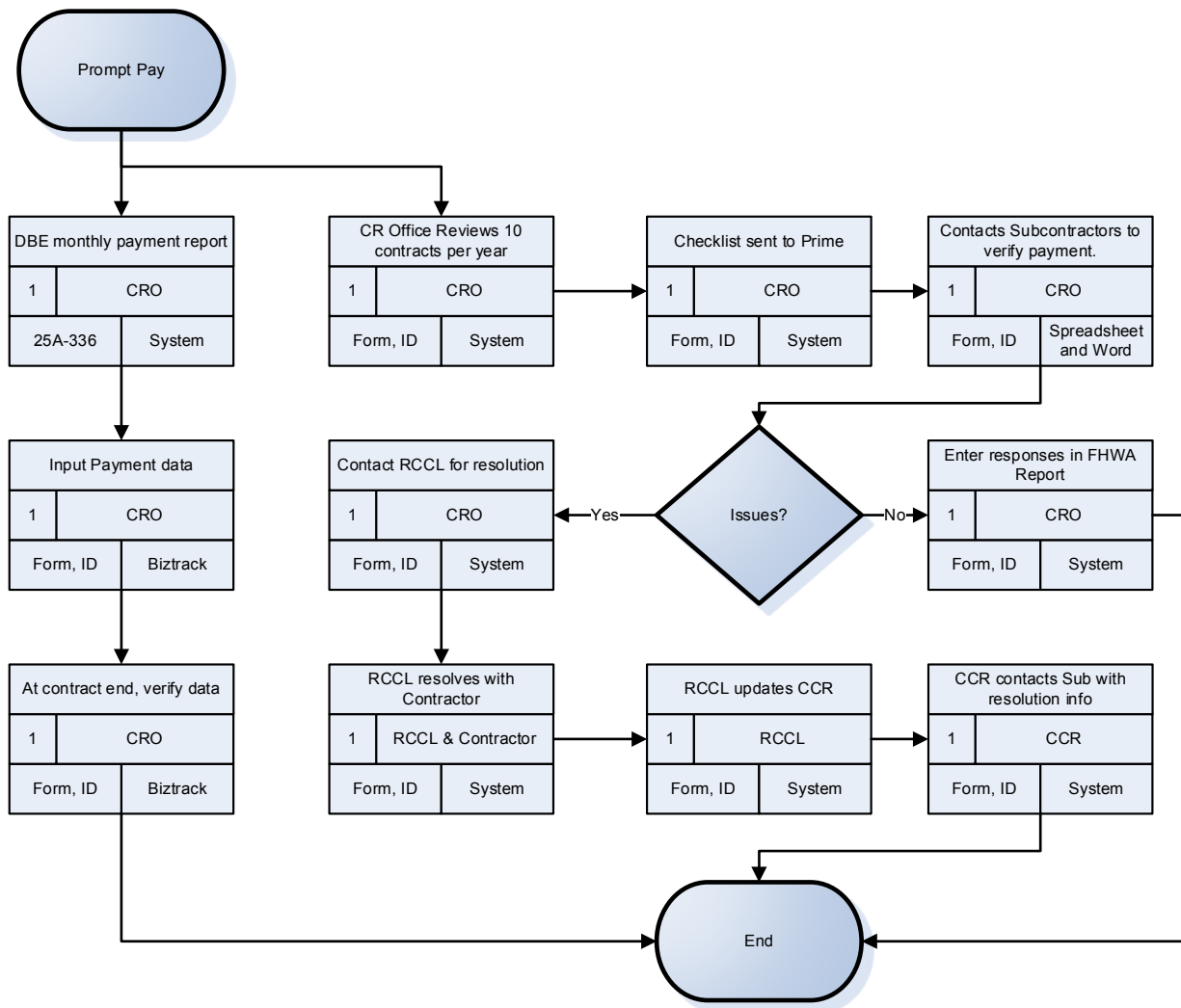


Figure 3-27

### ***Proposed AKDOT&PF Prompt Pay Process***

The proposed process will provide a more proactive approach to prompt pay and will provide data for every contract and payment. The process will require a policy change to require the contractor and subcontractor to submit and validate each payment in the AASHTOWare Project software. The verification at contract end could be supplemented with a custom report designed to highlight anomalies in the payments, such as a missed payment or no subcontractor confirmation of payment. Additionally, System Events could be employed to notify DOT staff if a subcontractor indicates they were not paid or not paid what was expected. This will allow staff to proactively follow up.

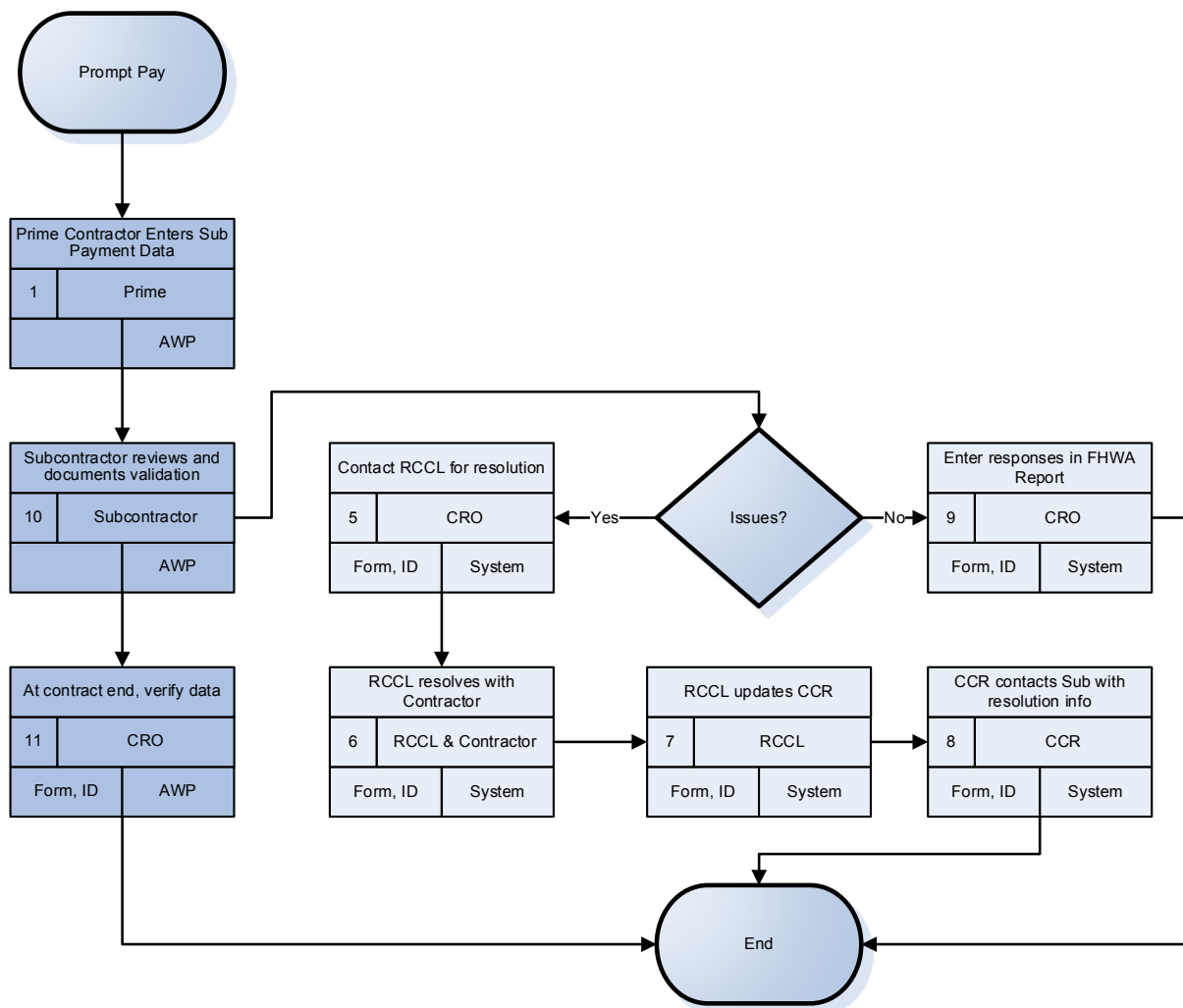


Figure 3-28

### 3.2.8 Contract Compliance Process

#### ***Current AKDOT&PF Contract Compliance Process***

Each year, Contract Compliance reviews are completed on select projects using the following criteria:

- Largest dollar value FHWA assisted contracts
- Largest number of FHWA assisted contracts
- Contracts which are the type, size, and duration to provide the contractor with maximum hiring and promotional opportunities
- Contractors who have past reporting data that indicates regularly underutilizing women and minorities in their workforce

- Contracts that contain Special Provision Section 645, OJT training program
- Contractors FHWA specifically requests to have reviewed
- Contractors who have complaints filed against them regarding employment practices
- Contractors who were found in non-compliance the previous construction season, and are working on FHWA-assisted contracts in the upcoming season, are automatically selected for a follow-up review regardless of size or duration of the project involved.

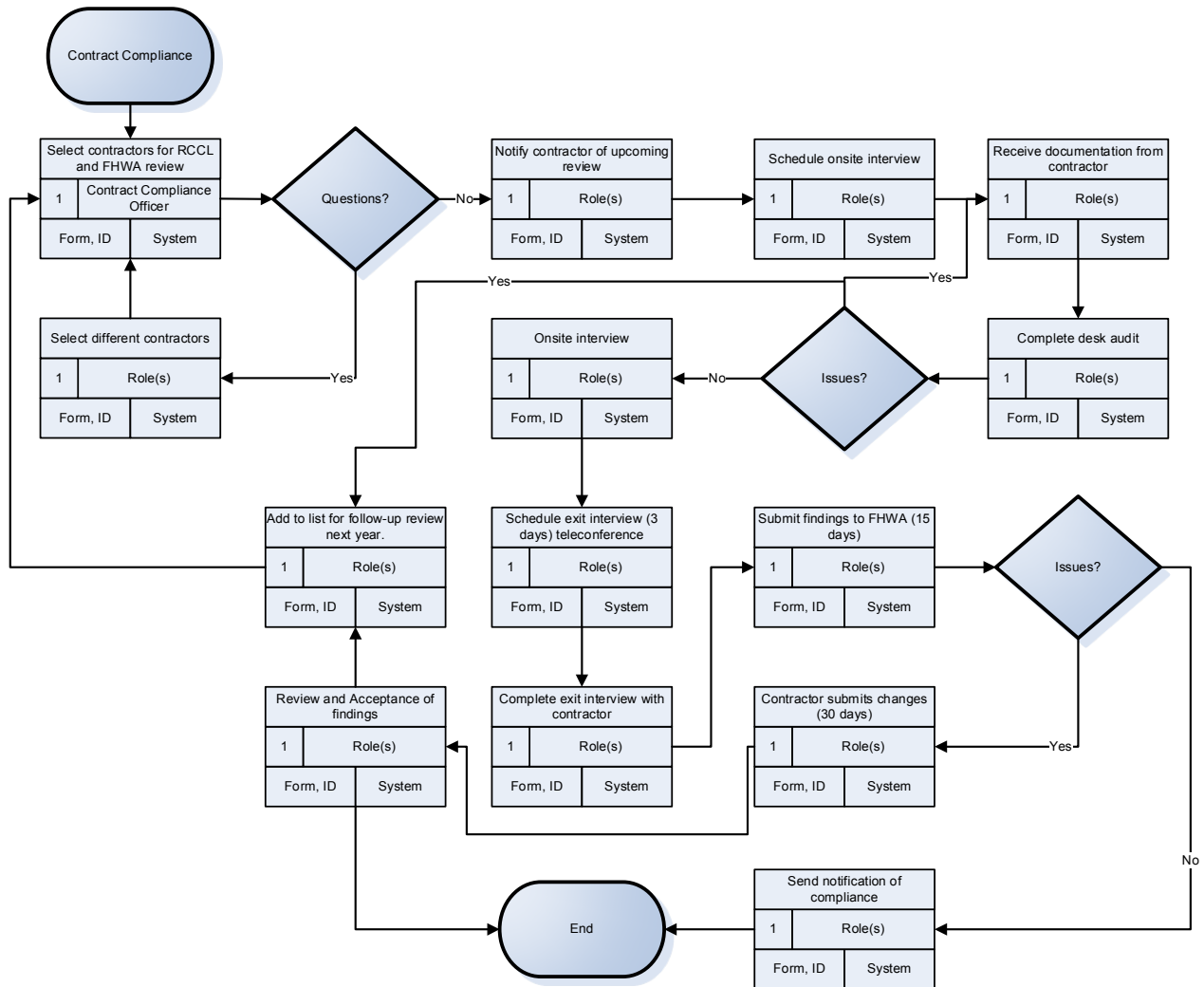


Figure 3-29

### **Proposed AKDOT&PF Contract Compliance Process**

AKDOT&PF has a very thorough compliance review process. The AASHTOWare Project software does not contain all functionality covered by AKDOT&PF compliance process.



However, much of the process could be addressed by utilizing Agency Fields and creating configured screens within the Contract Compliance area. Alternately, AKDOT&PF could utilize the Compliance area by creating a basic record, and then attaching appropriate documentation or links where needed. This option would provide a record and a placeholder for Contract Compliance documentation by Contractor or by Contract, but it would reduce the ability to provide a report with details or the ability to search on details.

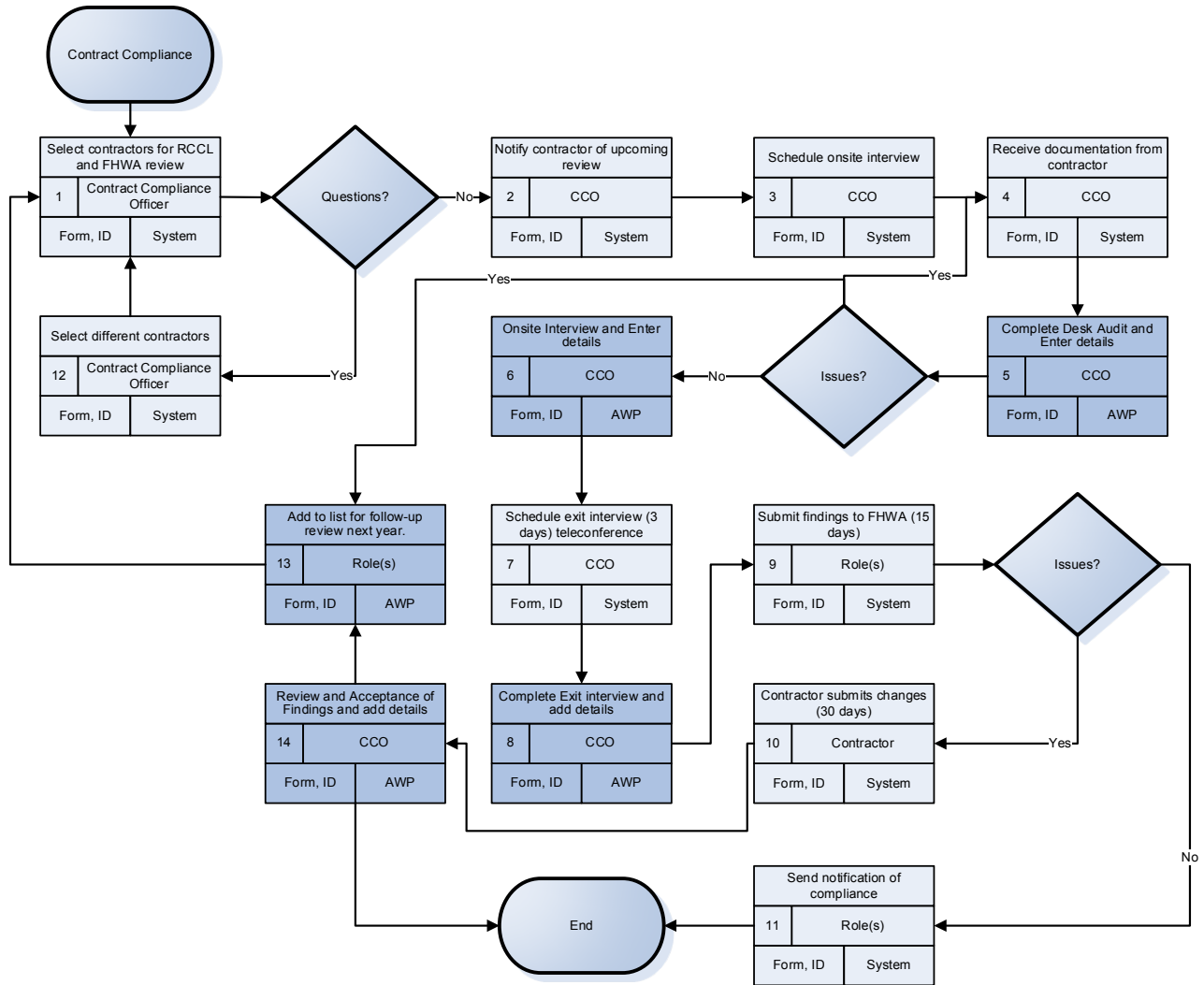


Figure 3-30

### 3.2.9 Commercially Useful Function (CUF) Process

#### **Current AKDOT&PF Commercially Useful Function Process**

CUF reviews are currently completed as soon as the DBE starts work on a project. Additionally, during the Preconstruction Conference, plans and the need for waivers are discussed.

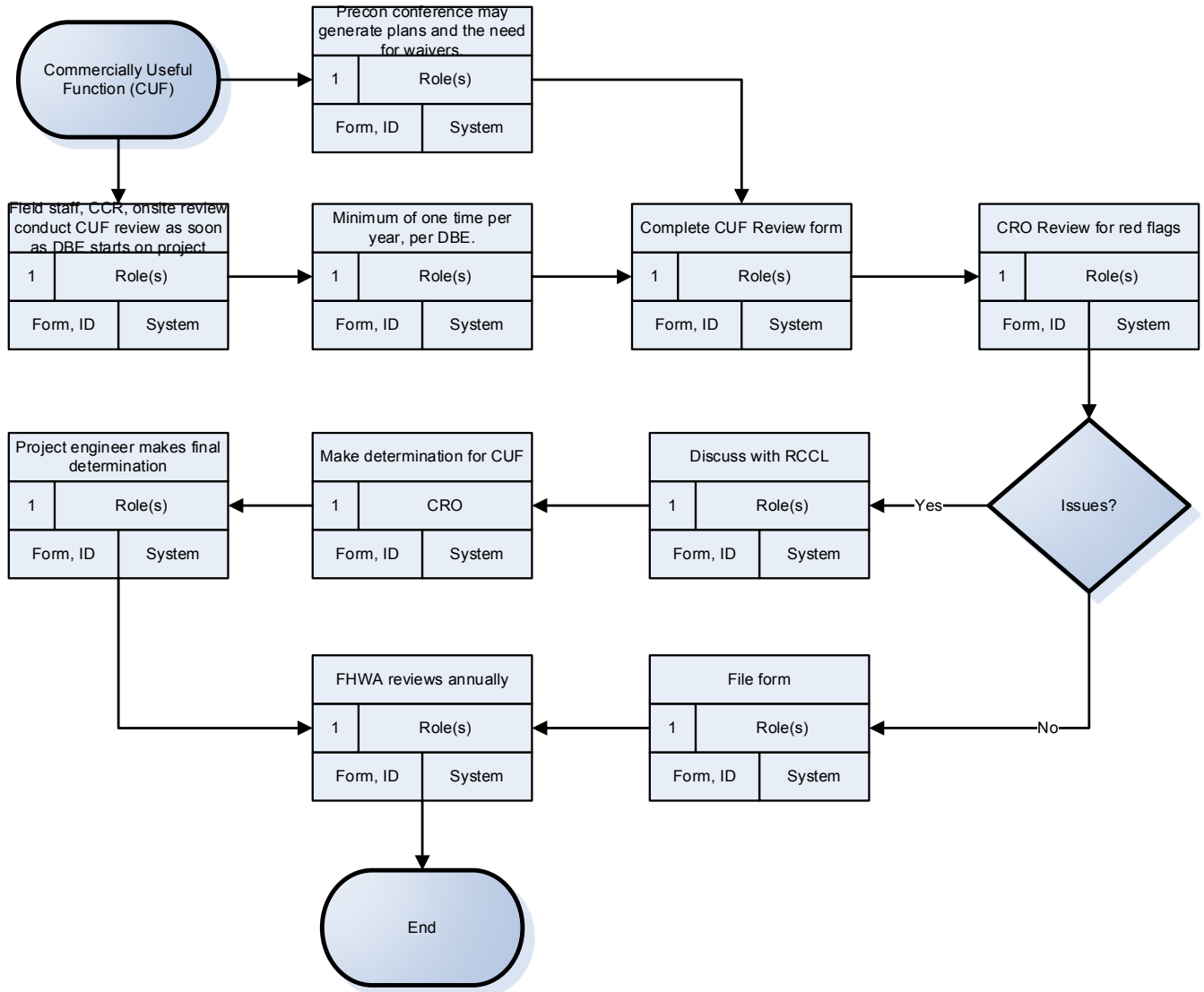


Figure 3-31

### ***Proposed AKDOT&PF Commercially Useful Function Process***

The proposed processes utilize the same steps, but now allow for documentation in the AASHTOWare Project software. AKDOT&PF should consider utilizing Agency Fields to emulate the current CUF review form in Contract Compliance. Alternately, the completed form could be attached to a Contract Compliance record or to the Vendor Record. Also, consider creating a Custom Report to cover FHWA review needs.

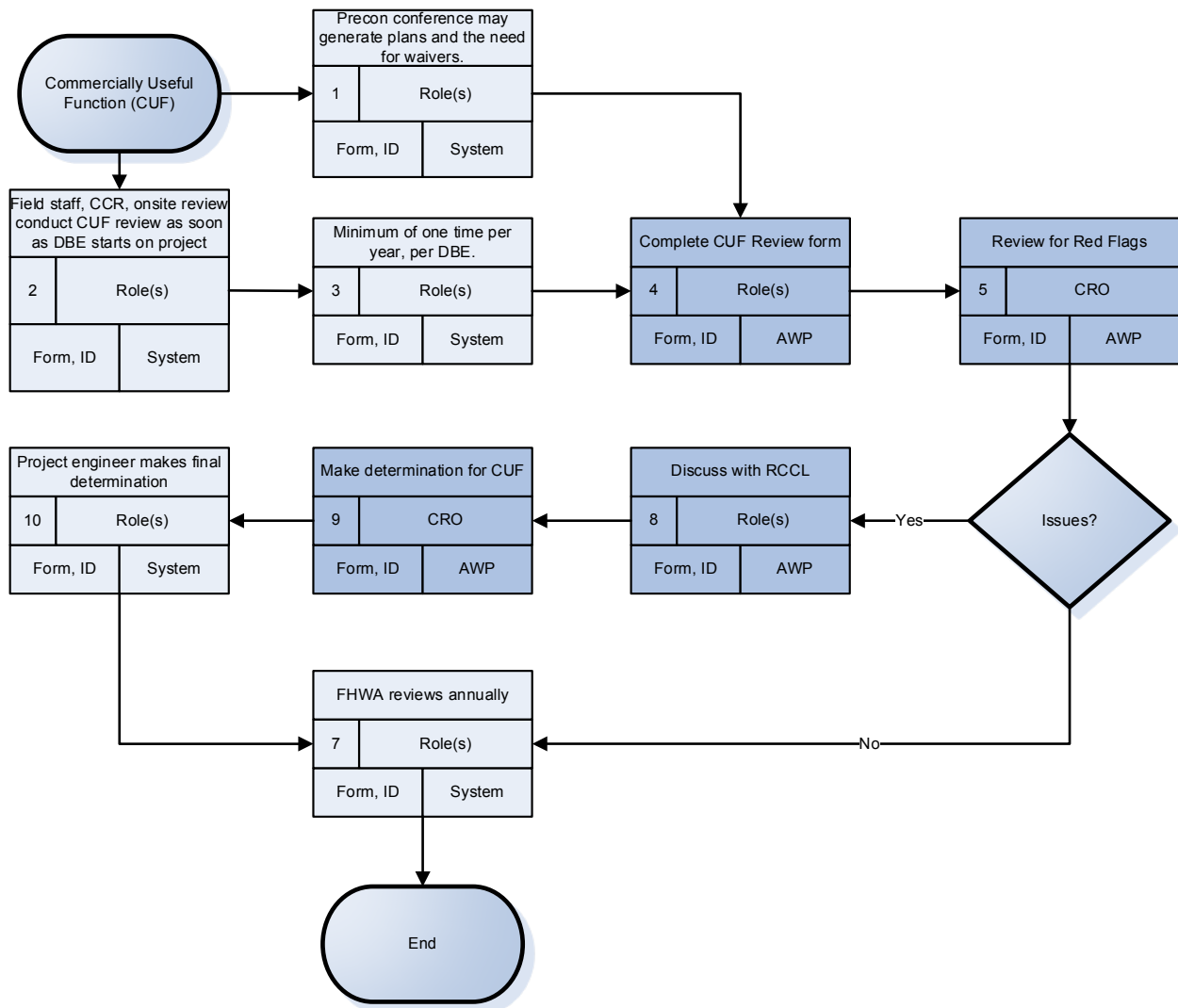


Figure 3-32

### 3.2.10 Contract Closeout Process

#### ***Current AKDOT&PF Contract Closeout Process***

The contract closeout process creates a final determination of goal attainment.

During project closeout, goal attainment is calculated, with CUF issues used to adjust attainment.	
1	Role(s)
Form, ID	System

Figure 3-33

### ***Proposed AKDOT&PF Contract Closeout Process***

A custom report is suggested to calculate and validate goal attainment and any extenuating circumstances, such as Good Faith Effort, Contract Compliance, or Commercially Useful Function issues.

During project closeout, goal attainment is calculated, with CUF issues used to adjust attainment.	
1	Role(s)
Form, ID	AWP

Figure 3-34

### **3.2.11 Supportive Services Process**

#### ***Current AKDOT&PF Supportive Services Process***

Each year, a Statement of Work is submitted to FHWA. This includes information on plans and how funding will be used. Baselines are established to track growth over time. The Statement of Work is usually submitted five months in advance of the construction season. No programs are associated with FAA or FTA.

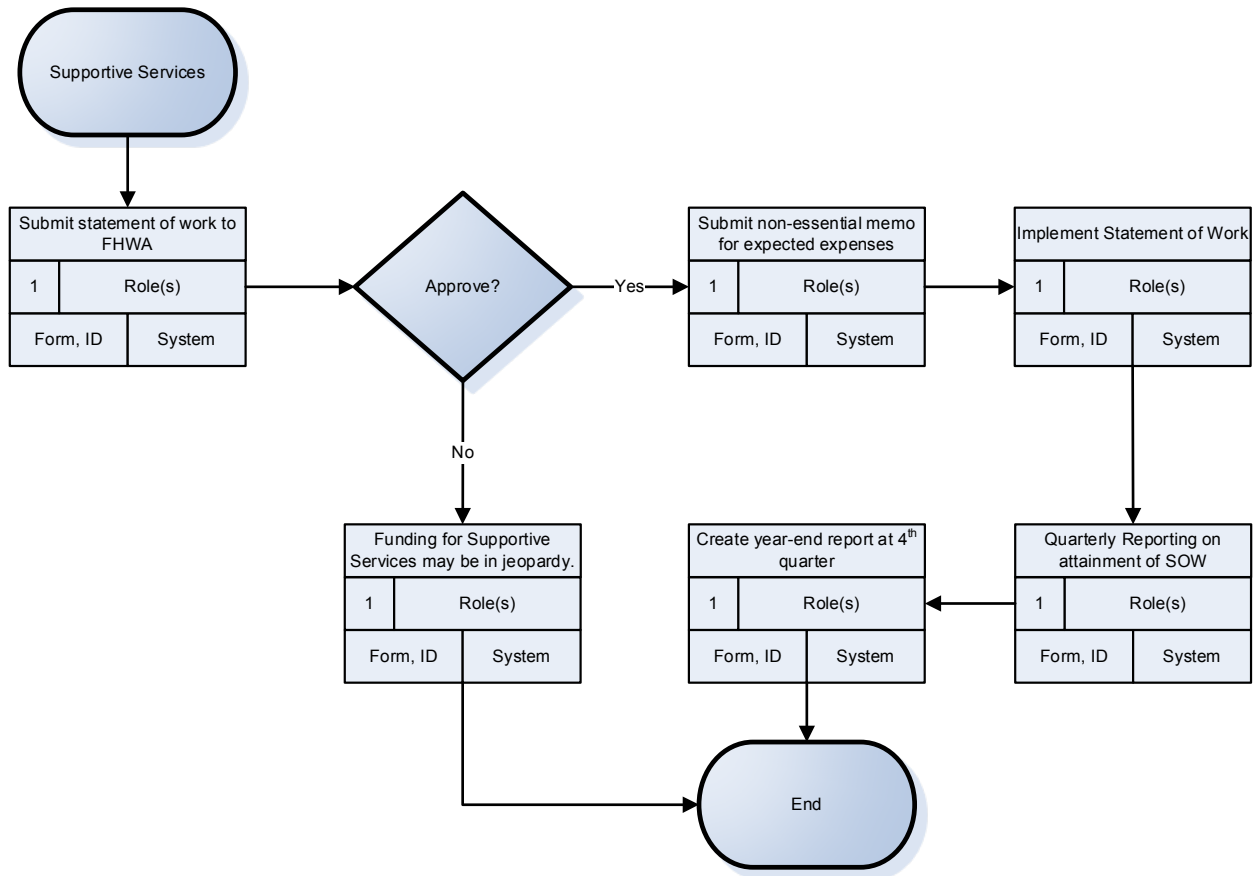


Figure 3-35

### ***Proposed AKDOT&PF Supportive Services Process***

The AASHTOWare Project software does not currently contain functionality related to Supportive Services other than a dropdown field in Reference Vendor record. No process changes are suggested at this time.

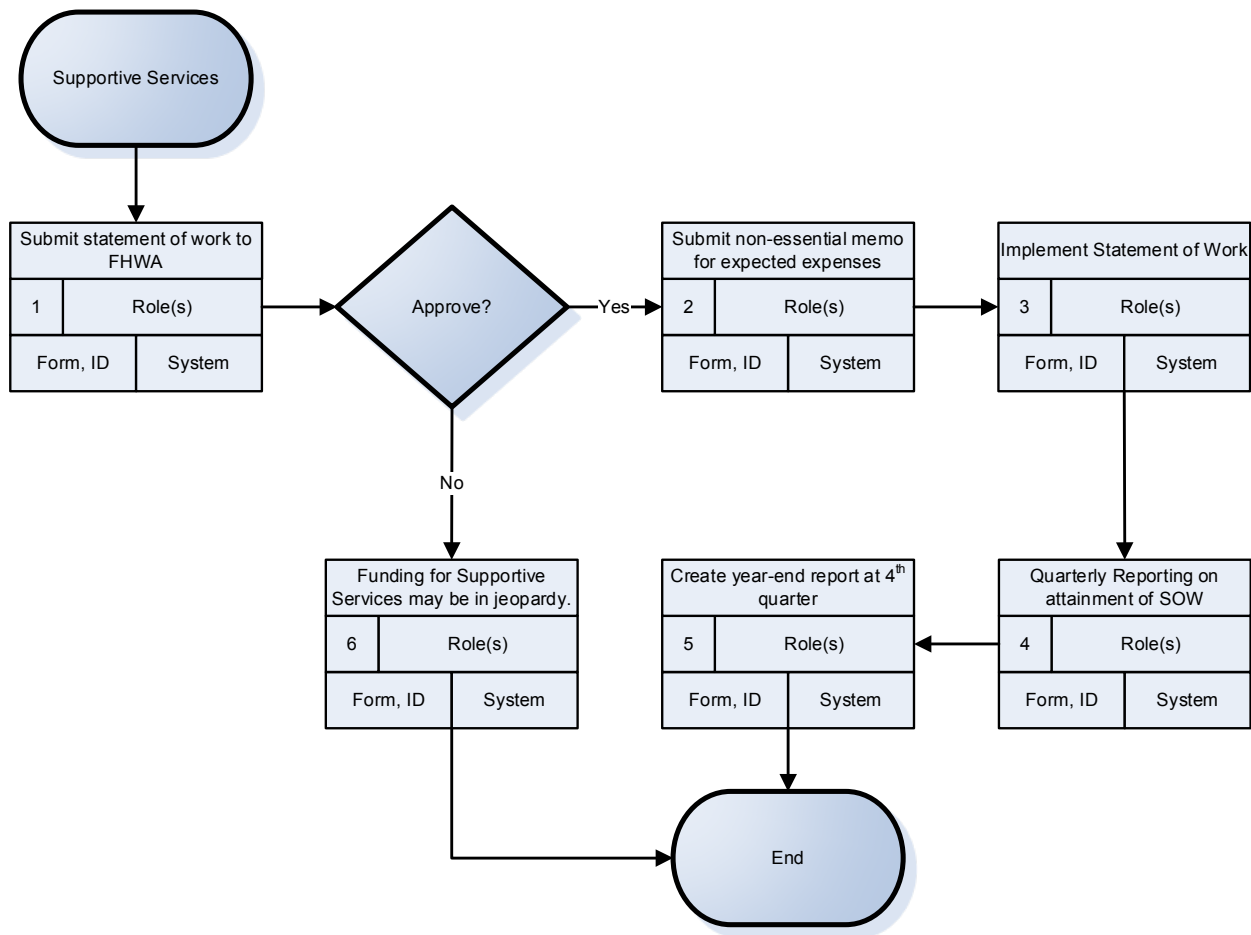


Figure 3-36

### 3.2.12 OJT Compliance Process

#### **Current AKDOT&PF OJT Compliance Process**

OJT Goals are defined during the estimation of the contract. Once goals are defined and the project is defined, the Low Bidder submits either a Form 310 or Form 311, depending on the type of OJT program they are proposing. If it is an accepted USDOL-sponsored program (Form 311), the program is a simple review. If it is an in-house DOT training program (Form 310), it is subject to a more detailed review.

If the OJT program requirements are not met, AKDOT&PF will work with contractor to address issues and decide on Good Faith Effort, if there is time to correct. If requirements are not met at the end of a project, there may be financial penalties.

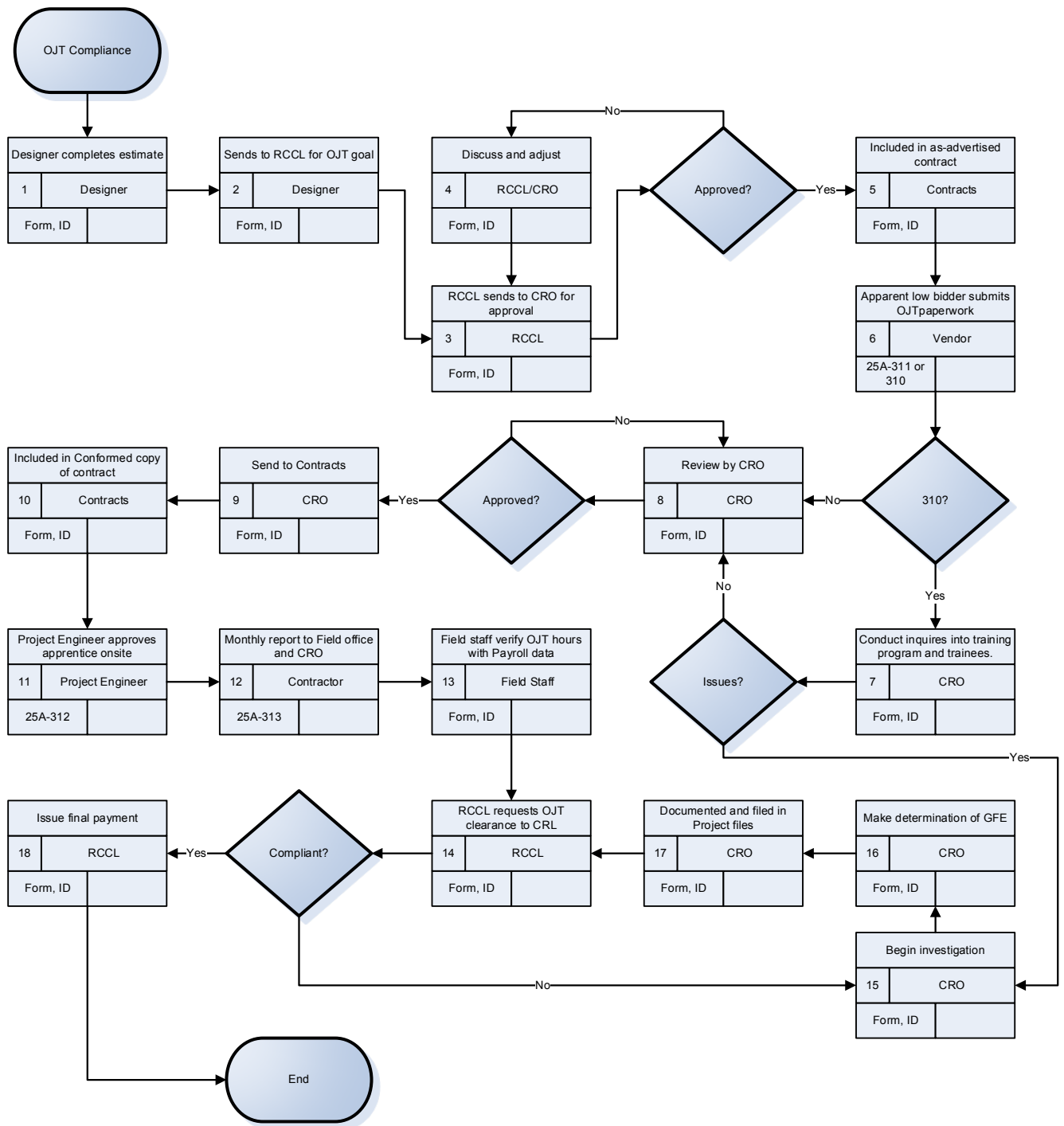


Figure 3-37

### Proposed AKDOT&PF OJT Compliance Process

The proposed process follows much the same workflow, but uses entry to the AASHTOWare Project software where appropriate. It is suggested that goal setting be included as part of the

Preconstruction Workflow, and that DBE Goals and OJT Goals be set at the same time in the Workflow. Consider creating a custom report describing project items and recent goals for those items and location. For those parts of the process without AASHTOWare Project entry, consider attaching appropriate documents as necessary, such as copies of Forms 310 and 311 and any follow-up inquiry documentation. Note that if Payroll data is imported, AKDOT&PF could create a report comparing OJT Hours to Payroll data. Alternately, with imported Payroll data, AKDOT&PF could utilize the AASHTOWare Project software's automatic OJT Tracking, extracting OJT information from payroll data.



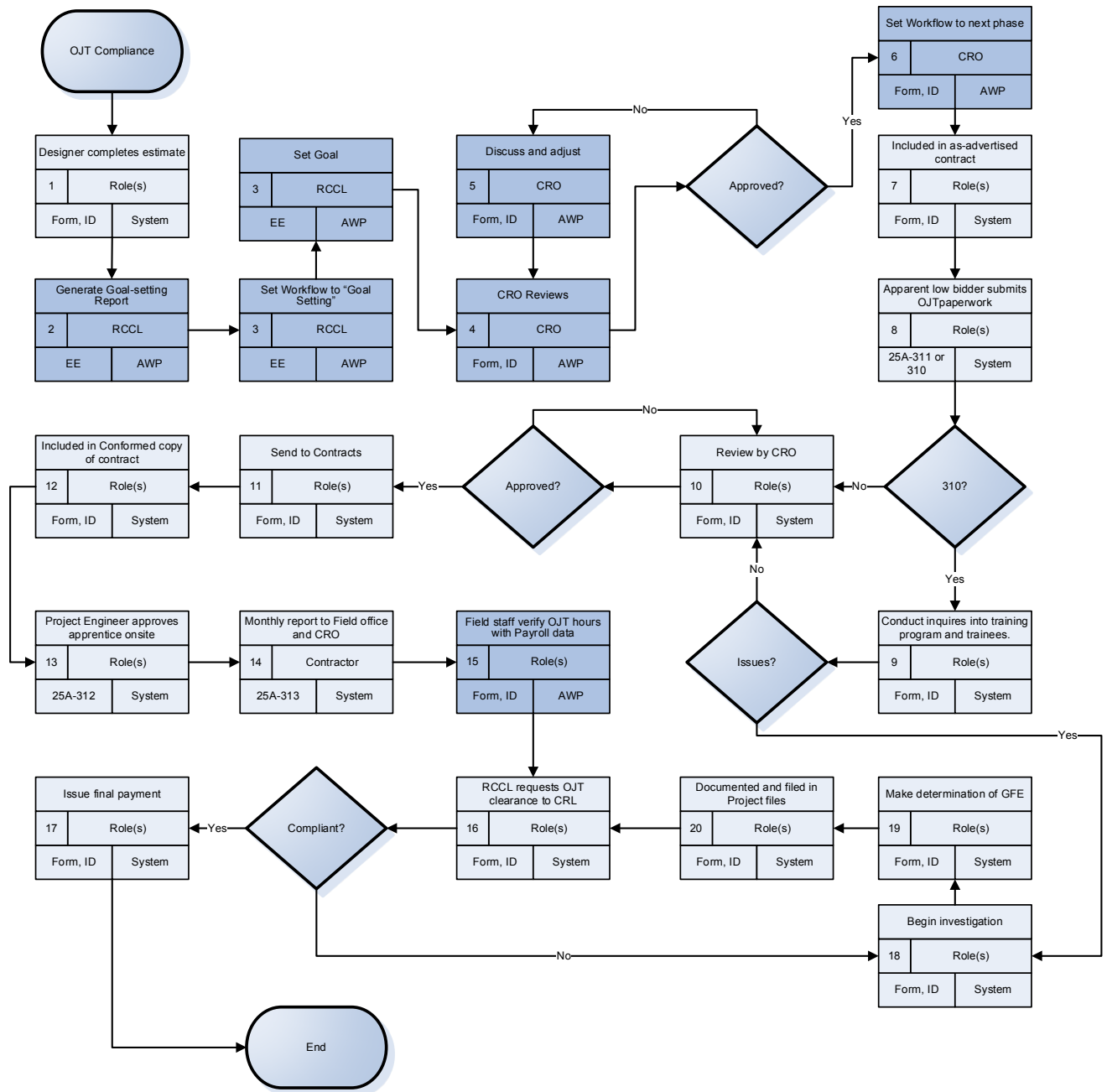


Figure 3-38

### 3.2.13 Payrolls and Wage Decisions Process

#### ***Current AKDOT&PF Payrolls and Wage Decisions Process***

There are currently no processes within AKDOT&PF regarding Payrolls. AKDOL currently completes all review and approval of Certified Payrolls, but it now allows online submission of Payrolls. DOT is considering how to capitalize on the existing contract data and create an import

file to bring wage decision and payroll data into the AASHTOWare Project software to allow automated cross-checking between contract data and payroll data.

### ***Proposed AKDOT&PF Payrolls and Wage Decisions Process***

AKDOT&PF should consider creation of an interface to import the electronic Payroll files AKDOL is now implementing. This import would include both Wage Decisions and Payroll data. This would allow any additional validation or checks AKDOT&PF would like to do and provide data for comparison to Daily Diary information and automatic OJT tracking at the employee level.

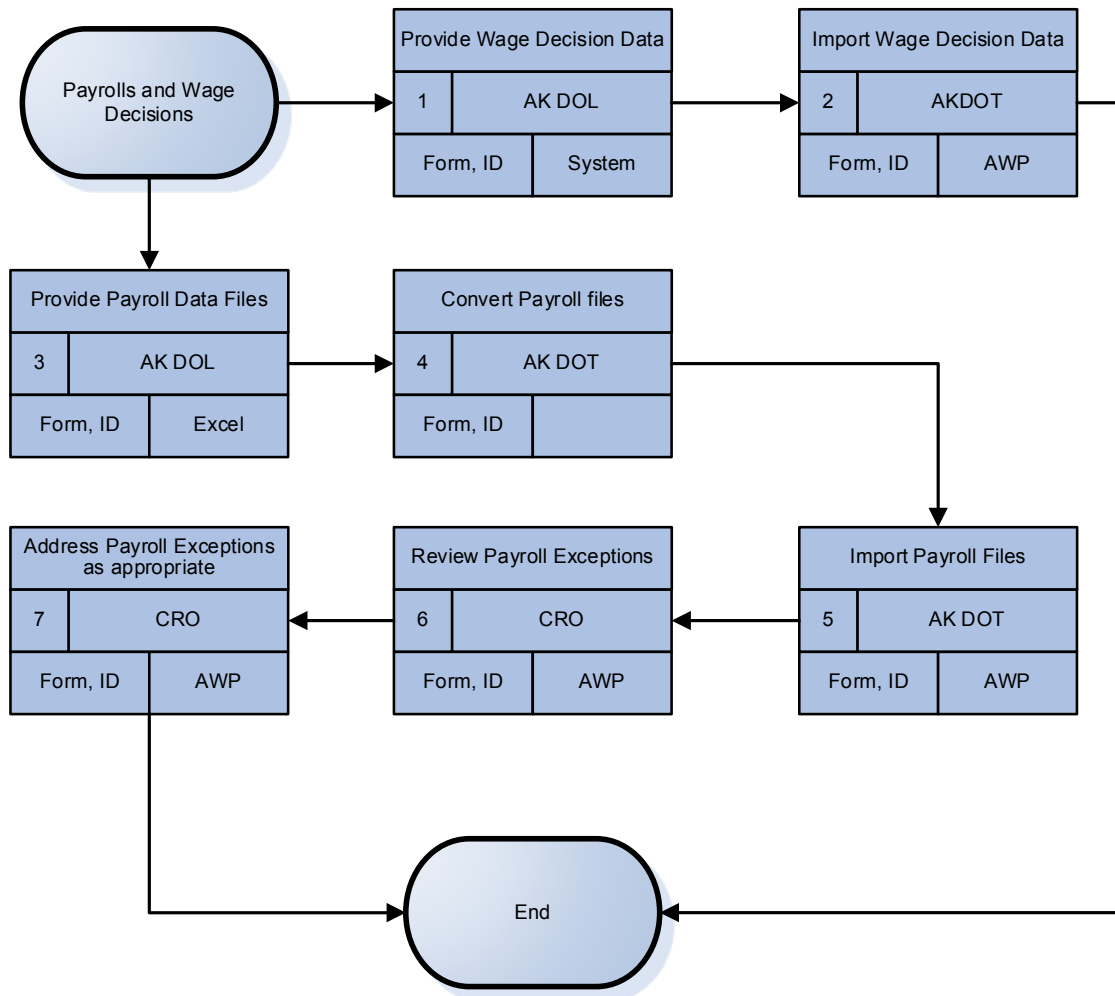


Figure 3-39

### **3.3 Reference Data**

The AASHTOWare Project software contains numerous reference tables that are used throughout the application and modules. The use of shared reference data allows data to flow

from AASHTOWare Project Preconstruction software to AASHTOWare Project Civil Rights & Labor, AASHTOWare Project Bids, and AASHTOWare Project SiteManager software without integrity issues. This is true for all the AASHTOWare Project modules.

### **3.3.1 Reference Items**

In the AASHTOWare Project Preconstruction software, items represent the smallest unit of work that can be identified within a transportation-related construction project. You can define groups of items to represent alternate design possibilities and you can divide the quantity of work for an item across multiple categories within a project. An item may comprise biddable work (for example, Bituminous asphalt, Guard Rail, or Structure Excavation) or non-biddable work (for example, Quality Incentives, Contract Revisions, or Force Accounts).

The Reference Item List contains all the items in the AASHTOWare Project software that may be associated with an agency project. No item can be added to a project that does not exist in the Reference Item list.

AKDOT&PF plans to utilize a new item ID numbering scheme for the AASHTOWare Project software. The new items will be in the format: XXX.XXXX.XXXX This format would remove all the dashes and parentheses currently being used. The first three characters are the spec book section, the second four are for sequential numbers (0000-1999 are for standard items, 2000-8999 are for special items, 9000-9999 are for generic change order items), and the last four are for item identifiers (dimensions, type, etc.).

By using a unique spec year (other than 2004 or 2015), the original data or any new test data may remain in the database without hindering the implementation of the new item numbers.

By using a new numbering scheme, this means all related applications and any system interfaces or users of item data will need to be updated. This includes CAD systems, consultants, bidders, and financial systems – all must be coordinated and using the same item numbers. The Reference item table does contain an alternate item ID where AKDOT&PF can store the old item number for reference and possible interfaces.

If new items are added to the Reference Item table, a system event could generate an e-mail to notify selected personnel.

### **3.3.2 Reference Vendors**

Preconstruction vendors include many different types of organizations that play a role in transportation construction. Vendors may be contractors, subcontractors, surety companies, insurance agents, escrow agents, major suppliers, utility companies, and DBE suppliers. Some transportation agencies also treat counties or municipalities as vendors to manage work they perform themselves.

The Reference Vendor List contains all the vendors in Preconstruction that may be associated with an agency project. Additional information stored in reference vendor tables includes the following types:

- Addresses – The Address List page displays all addresses currently on record for the vendor. Addresses are sorted by Address ID.
- Work Classifications – Work classifications designate all the types of work a vendor is qualified to perform. This could include pre-qualifications, certifications, and all types of work for construction services and supplies.
- Officers – Officers are persons who are authorized to sign for a contractor or hold some office of authority in the vendor’s company.
- Affiliates – Affiliates are two vendors who have an ongoing legal relationship, for example, a parent company and its subsidiary or two vendors who are substantial owners of each other’s stock. Two vendors who engage in a single joint venture are not considered affiliates.
- Insurance – The AASHTOWare Project Preconstruction software allows you to store insurance policy data required for all contractors bidding on a proposal, as well as specific policies required for contract award.
- Vendor Annual Data list – To determine a vendor's continuing eligibility for participation in Federal DBE programs, the DBE Administrator must maintain a record of the vendor's submitted annual information, including gross receipt affidavits and employee information.
- Vendor OJT Goal List – Each year, the transportation agency can maintain goals for the participation of vendors in the agency's OJT programs and tracks the individual vendor's performance in meeting those goals.
- DBE Net Worth – The transportation agency is responsible for determining which individuals can be classified as economically disadvantaged and are therefore qualified to benefit from participation in Federal DBE programs. To carry out this responsibility, the DBE Administrator maintains personal net worth records for each qualifying person whose ownership and control is relied upon for DBE certification.

AKDOT&PF plans to utilize a new Vendor ID for all vendors. Currently, they have a C and a 5-digit sequential number. The plan is to move to using the Federal Employment Identification Number (FEIN). This would have to tie to numerous other AKDOT&PF systems, such as IRIS for vendor payment. IRIS is used for a separate vendor self-registration (Vendor Self Service-VSS).

It is recommended that the original vendor IDs be retained in the AASHTOWare Project Preconstruction reference record in fields such as alternate vendor number or a generic field.

### **3.3.3 Code Tables**

In the AASHTOWare Project Preconstruction software, code tables are used to provide the options in choice lists or selection boxes. Code tables minimize user error by providing choices in fields that a user must pick rather than allow a user to enter a value in a field providing an

opportunity for error. Code tables also eliminate confusion by not allowing various users to represent a value using abbreviations or values in mixed case (upper and lower case letters).

### **3.3.4 Reference Funds and Fund Packages**

Agency projects are paid for by a variety of revenue sources, called funds. Funds are provided at the federal, state and local levels of government and the fund package for a project can include any number of different funds.

The Reference Fund List contains all the funds in the AASHTOWare Project Preconstruction software that may be associated with an agency project.

A Reference Fund Package is used to group multiple funding sources and to define that grouping with an identity or name. It is a method for identifying complete funding allocations for items within a single grouping. These are pre-defined fund packages that can then be imported into any project with the funding already set up. Once imported into a project, they are editable.

### **3.3.5 Counties/Boroughs**

The Reference County List contains all the counties in your state and therefore is unique to AKDOT&PF. AKDOT&PF may enter the boroughs for this reference table.

### **3.3.6 Districts/Regions**

A district is a division of territory within a state marked off for administrative purposes. AKDOT&PF may enter regions for this reference table and the system allows the definition of counties (boroughs) that apply to the region.



## 4. Data Population, Data Migration, and Interfaces

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Info Tech personnel performed a high-level analysis on AKDOT&PF's current systems that are used for Preconstruction, Civil Rights & Labor, and Bids processes. The summary of the analysis results is presented in this chapter, including information regarding the current systems that are in use by AKDOT&PF, as well as recommended actions, taking into consideration the implementation of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software.

Based on the analysis of the individual systems listed in the next section, 4.1 AKDOT&PF Preconstruction, Civil Rights & Labor, and Bids Systems and Interface Recommendations, the following tables summarize the recommended actions for the various systems.

System Recommended Action	Number of Systems
Retain current system	(5) IRIS, DOL, e-docs, FEMIS, Docs/Excel/Access
Eliminate current system*	(3) MRS, BIDTAB, BizTrack
Create a custom interface	(4) PETS/COGNOS, AKDOT website, Bids, Bid Express
<b>Total</b>	<b>12</b>

Table 4-1. AKDOT&PF Preconstruction System Recommended Action Summary

Level of Effort	Estimated Hours to Perform, Test, and Install Changes for the Level	Number
Minor	25 hours or less	AASHTOWare Project Bids, Bid Express
Medium	Between 26 and 50 hours	AKDOT website
Major	Between 50 and 100 hours	PETS/COGNOS
<b>Total</b>		<b>5</b>

Table 4-2. Estimated Effort for AKDOT&PF Preconstruction Interfaces

## 4.1 AKDOT&PF Preconstruction, Civil Rights & Labor, and Bids Systems and Interface Recommendations

The AKDOT&PF Preconstruction, Civil Rights & Labor, and Bids systems listed and described below have been identified as systems that may impact or be impacted by the implementation of the AASHTOWare Project software.

Any systems that were not provided to and/or discussed with Info Tech could not be included in the analysis.

During implementation, additional interfaces will be considered where business requirements dictate their necessity.

The systems discussed in this chapter include:

1. IRIS
  - a. VSS
2. OPN
3. MRS
4. BIDTAB
5. DOL
6. PETS/COGNOS
7. AKDOT&PF website
8. e-docs Alaska
9. FEMIS/FAM
10. BizTrack
11. Excel, Word and Access documents
12. AASHTOWare Project Bids



## 13. Bid Express

### 4.1.1 IRIS – Integrated Resource Information System

<b>Name</b>	<p>IRIS – Integrated Resource Information System</p> <p>The IRIS Project is a statewide effort to implement a new accounting, financial, procurement, payroll and human resource management software. The website is located at: <a href="http://doa.alaska.gov/dof/iris/index.html">http://doa.alaska.gov/dof/iris/index.html</a>.</p>
<b>Primary Purpose / Function</b>	<p>IRIS is Alaska Department of Administration’s Integrated Resource Information System, which includes a Financial Procurement (FIN/PROC) and a Human Resource Mgmt. (HRM) piece. These portions of IRIS are internal AKDOT&amp;PF systems accessible by state employees.</p>
<b>Users</b>	<p>Internal</p> <ul style="list-style-type: none"> <li>• FIN/PROC – Financial and Procurement</li> <li>• HRM – Payroll/Human Resources</li> <li>• Agency IRIS VSS: The agency’s IRIS (VSS) Vendor Self Service allows a payee/vendor to manage their account information and view financial transactions for contractor payment.</li> <li>• The statewide OPN (Office of Public Notice) website requires the agency to post notices</li> </ul> <p>Each of these systems are separate and have no interfaces between them.</p> <p>External</p> <ul style="list-style-type: none"> <li>• VSS (Vendor Self Service) is available for vendors. The state’s Vendor Self Services (VSS) website allows vendors to easily manage account information, track payments, and respond to procurements electronically.</li> <li>• VSS contains statewide public information such as Project Name, Description, and contact information. Validation of vendor’s identification and a potential interface to create Preconstruction Purchase records is a potential Phase 2 interface. Coordination between the two systems will be required to invoice vendors for proposals and plans.</li> <li>• The agency’s Procurement &amp; Contracting website vendor self-registration is for bidder registration.</li> </ul>
<b>Data Being Tracked</b>	<p>The data being tracked in this system includes:</p> <ul style="list-style-type: none"> <li>▪ Accounting</li> <li>▪ Financial</li> <li>▪ Payroll</li> <li>▪ Vendor registration</li> </ul>
<b>Interfaces</b>	<p>There is no anticipated interface to AASHTOWare Project from IRIS. Financial information is retained in IRIS and will need to be the source of funding allocation in the AASHTOWare Project Preconstruction software.</p>

<b>Reports</b>	n/a
<b>Retention</b>	permanent
<b>Level of Effort</b>	n/a
<b>Recommended Action</b>	Retain

#### 4.1.2 MRS – Management Reporting System

<b>Name</b>	MRS – Management Reporting System
<b>Primary Purpose / Function</b>	MRS is the Management Reporting System, which manages and tracks Contract activities. The MRS database is the source for all the Contracting data that is displayed on the AKDOT&PF website.
<b>Users</b>	Only Internal agency users
<b>Data Being Tracked</b>	<p>The data being tracked in this system includes:</p> <ul style="list-style-type: none"> <li>• Oracle Forms for Contracts is used to establish a contract in MRS. These forms are used for all pre-bid opening activities; scheduling bid openings, identifying plan-holders, issuing addenda, changing estimate amounts, identifying Bidders, and inputting the uncheck bid results</li> </ul>
<b>Interfaces</b>	<ul style="list-style-type: none"> <li>• All project development activities in MRS will be replaced with AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights &amp; Labor modules. No interface to MRS is required. Departments currently entering or accessing data in MRS will use the AASHTOWare Project software.</li> <li>• MRS updates other systems such as BIDTAB and the public website.</li> </ul>
<b>Reports</b>	<ul style="list-style-type: none"> <li>• Tentative Advertising Schedule</li> <li>• Current Bid Calendar</li> <li>• Planholder lists</li> <li>• Addenda</li> <li>• Bid Opening Results</li> <li>• Contract Award Status</li> </ul>
<b>Retention</b>	AKDOT&PF action item
<b>Level of Effort</b>	Minimal

<b>Recommended Action</b>	Eliminate – Replace with the AASHTOWare Project software Mapping of the MRS fields used for project development to the AASHTOWare Project software should be performed to validate no data is missing or misidentified. The AASHTOWare Project software allows for the addition of agency fields if not enough base fields are available. Maintaining the history of project development and the PDA tracker, which tracks dates to and from FHWA, can be added as identified fields to the project or proposal entity within the AASHTOWare Project Preconstruction software.
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**4.1.3 BIDTAB**

<b>Name</b>	BIDTAB – Bidders Tabulation AKDOT&PF deployed a computer program, BIDTAB, that is used to prepare Engineer's Estimates for future construction projects.
<b>Primary Purpose / Function</b>	<ul style="list-style-type: none"> <li>• Estimating – prepare an estimate, use standard items, researching historical costs</li> <li>• Contracts – bid entry, bid schedules, archive final bid results</li> <li>• Specialty Forms – DBE Goals worksheet, Federal Aid Coding form</li> <li>• Data Conformance – create and maintain Standard Item Books</li> </ul>
<b>Users</b>	<p>Internal</p> <ul style="list-style-type: none"> <li>• AKDOT&amp;PF agency users</li> </ul> <p>External</p> <ul style="list-style-type: none"> <li>• The public website interface includes monthly updates, addenda, and milestone dates for proposals.</li> </ul>
<b>Data Being Tracked</b>	<p>The data being tracked in this system includes:</p> <ul style="list-style-type: none"> <li>• Monthly updates</li> <li>• Addenda</li> <li>• Milestone dates for proposals</li> </ul>
<b>Interfaces</b>	<ul style="list-style-type: none"> <li>• The BIDTAB program uses the list of bidders in MRS to create the detailed bid entry records used by BIDTAB.</li> </ul>
<b>Reports</b>	Specific forms and reports should be reviewed for applicability and any modifications needed. These reports can be duplicated in the AASHTOWare Project software as custom reports.
<b>Retention</b>	ADKOT&PF action item
<b>Level of Effort</b>	Minimal
<b>Recommended Action</b>	Eliminate - All the functions and activities performed by BIDTAB will be performed by AASHTOWare Project, and no interface to BIDTAB will be required.

#### 4.1.4 LSS – Department of Labor’s Labor Standard and Safety System

<b>Name</b>	DOL LSS Department of Labor’s Labor Standards and Safety System
<b>Primary Purpose / Function</b>	LSS, among other types of enforcement, lets users file notice of work, search contractors for submitted payroll, submit certified payroll, file notice of completion, and pay filing fees electronically.
<b>Users</b>	Internal <ul style="list-style-type: none"> <li>Agency can file notice of award and search notice of work and notice of completion. The web site for this system is: <a href="https://certpay.dol.alaska.gov/portal.aspx">https://certpay.dol.alaska.gov/portal.aspx</a>.</li> </ul>
<b>Data Being Tracked</b>	The data being tracked in this system includes: <ul style="list-style-type: none"> <li>The Wage and Hour Administration enforces the payment of wages to workers and construction contractor licensing.</li> <li>A new feature is the filing of certified payrolls online, including a bulk format. The system is web-based and can be accessed via the Internet given authenticated access and permissions.</li> </ul>
<b>Interfaces</b>	Unknown
<b>Reports</b>	Unknown
<b>Retention</b>	DOL maintenance of data
<b>Level of Effort</b>	n/a
<b>Recommended Action</b>	<p>Future Interface – AASHTOWare Project Civil Rights &amp; Labor also allows for electronic submittal of certified payrolls and process the data required to meet federal and state requirements for Civil Rights &amp; Labor compliance activities. The system can perform important tasks, such as wage decision entry, federal reporting, disparity studies, and data analysis on things like payrolls.</p> <p>Since both LSS and the AASHTOWare Project software maintain certified payroll data, there should be a determination of which system the data gets entered or loaded, and to eliminate duplicate entry, an interface should be considered. As the LSS payroll system is new, an analysis of the electronic submittal and data required by both LSS and AASHTOWare Project should be performed.</p> <p>In the beginning of AASHTOWare Project implementation, certified payrolls can be a manual entry, until an interface to LSS can be better defined.</p>

#### 4.1.5 PETS/COGNOS - Cognos/IBM Metric Management System (PETS) Performance Electronic Tracking System

<b>Name</b>	<ul style="list-style-type: none"> <li>• PETS – Performance Electronic Tracking System</li> <li>• COGNOS/IBM Metric Management System</li> </ul>
<b>Primary Purpose / Function</b>	PETS (Performance Electronic Tracking System) is the Alaska version of COGNOS for tracking metrics
<b>Users</b>	Unknown
<b>Data Being Tracked</b>	To be determined
<b>Interfaces</b>	Unknown
<b>Reports</b>	Unknown
<b>Retention</b>	Will be retained by AKDOT&PF
<b>Level of Effort</b>	Interface - AASHTOWare Project contains project, contract and funding data that PETS can harvest and utilize in its metrics. PETS will be responsible for defining and pulling the necessary data from the AASHTOWare Project software.
<b>Recommended Action</b>	PETS will determine which AASHTOWare data is needed

#### 4.1.6 Alaska DOT&PF Procurement and Contracting Website

<b>Name</b>	Alaska Procurement Website The website URL is <a href="http://www.dot.alaska.gov/procurement/">http://www.dot.alaska.gov/procurement/</a> .
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<p><b>Primary Purpose / Function</b></p>	<ul style="list-style-type: none"> <li>• The Alaska Procurement website services three (3) areas of procurement and contracting: <ul style="list-style-type: none"> <li>▫ Supply &amp; Services</li> <li>▫ State Equipment Fleet</li> <li>▫ Construction &amp; Maintenance Contracting</li> </ul> </li> <li>• The Construction &amp; Maintenance Contracting web site lists RFPs (Request for Proposals), and</li> <li>• Four construction bidding reports for each region, the state and ferry system: <ul style="list-style-type: none"> <li>▫ Tentative Advertising Schedule</li> <li>▫ Current Bid Calendar</li> <li>▫ Bid Opening Results</li> <li>▫ Contract Award Status</li> </ul> </li> </ul>
<p><b>Users</b></p>	<p>Internal</p> <ul style="list-style-type: none"> <li>• Agency personnel maintain and update the web site</li> </ul> <p>External</p> <ul style="list-style-type: none"> <li>• Open web site</li> </ul>
<p><b>Data Being Tracked</b></p>	<p>The data being tracked in this system includes:</p> <ul style="list-style-type: none"> <li>• This data is gathered from MRS. Much of this data is being replaced with AASHTOWare Project. There is some question as to where the PDFs will be stored.</li> <li>• Optionally this data can be stored on the Bid Express Secure Internet Bidding website (<a href="http://www.bidx.com">www.bidx.com</a>) with links from the procurement website.</li> </ul>
<p><b>Interfaces</b></p>	<p>As an interim solution, the Reference Vendor table in the AASHTOWare Project Preconstruction software contains several e-mail address fields that could crosswalk with the Procurement &amp; Contracting website's vendor e-mail address until an interface could be developed for all applications to use the same vendor primary e-mail address and FEIN identification combination.</p>
<p><b>Reports</b></p>	<p>AKDOT&amp;PF will need to create equivalent custom reports from the AASHTOWare Project software and decide where the reports will be stored and where links to those reports should be displayed.</p>
<p><b>Retention</b></p>	<p>Maintain the website</p>
<p><b>Level of Effort</b></p>	<p>Medium effort to interface</p>
<p><b>Recommended Action</b></p>	<p>Use the AASHTOWare Project software and Bid Express.</p>

#### 4.1.7 E-DOCS -Electronic Document Storage System

<b>Name</b>	E-DOCS Electronic Document Storage System
<b>Primary Purpose / Function</b>	E-DOCS is an electronic document management system to help locate, retrieve, and share documents easily. There is a different e-docs server and site for each Alaska region.
<b>Users</b>	Agency personnel
<b>Data Being Tracked</b>	Currently, it stores contract documents, with the option to have some of those documents public facing.
<b>Interfaces</b>	None
<b>Reports</b>	All report types
<b>Retention</b>	Permanent
<b>Level of Effort</b>	n/a
<b>Recommended Action</b>	Retain - At this time, any documents stored on e-docs will need to be manually loaded, as no interface from AASHTOWare Project is planned.

#### 4.1.8 FEMIS/FAM - Federal Emergency Management Information System

<b>Name</b>	FEMIS Federal Emergency Management Information System
<b>Primary Purpose / Function</b>	FEMIS is the Federal Emergency Management Information System and FAM is the Alaska version of FEMIS.
<b>Users</b>	Agency personnel
<b>Data Being Tracked</b>	Unknown
<b>Data Entry Method</b>	Unknown
<b>Interfaces</b>	Unknown

<b>Reports</b>	Unknown
<b>Retention</b>	Unknown
<b>Level of Effort</b>	Unknown
<b>Recommended Action</b>	Retain - At this time, there is no planned interface to FAM, but one might be possible in the future. Analysis should be performed to determine which data or reports would be beneficial to the FAM system.

#### 4.1.9 BizTrack – DBE Certification

<b>Name</b>	BizTrack
<b>Primary Purpose / Function</b>	BizTrack is used by the Alaska Civil Rights office to certify DBEs and to track Prompt Pay information.
<b>Users</b>	Civil Rights personnel
<b>Data Being Tracked</b>	The data being tracked in this system includes: <ul style="list-style-type: none"> <li>• DBE Certifications</li> <li>• Prompt Payments</li> </ul>
<b>Interfaces</b>	Unknown
<b>Reports</b>	Unknown
<b>Retention</b>	AKDOT&PF action item
<b>Level of Effort</b>	Minimal
<b>Recommended Action</b>	Eliminate - BizTrack certification data will need to be migrated to the AASHTOWare Project software. Because the AK Civil Rights office completes all certifications for UCP partners, it is suggested that BizTrack be sunset after migration is complete and the AASHTOWare Project DBE Certification has been tested placed in production.

#### 4.1.10 Excel, Word, and Access

<b>Name</b>	Microsoft Excel, Microsoft Word, and Microsoft Access
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<b>Primary Purpose / Function</b>	Alaska Civil Rights office manages multiple spreadsheets, documents, and databases for various tracking needs.
<b>Users</b>	Civil Rights Division
<b>Data Being Tracked</b>	Forms and databases to assist in the documentation of Projects and Civil Rights
<b>Interfaces</b>	Unknown
<b>Reports</b>	Unknown
<b>Retention</b>	AKDOT&PF action item
<b>Level of Effort</b>	Medium
<b>Recommended Action</b>	It is recommended that each file be considered on a case-by-case need for migration. Note that in many cases, these files may have bad data. A data quality review should be completed before considering migration for each file.

**4.1.11 AASHTOWare Project Bids**

<b>Name</b>	AASHTOWare Project Bids
<b>Primary Purpose / Function</b>	<ul style="list-style-type: none"> <li>• AASHTOWare Project Bids is used by agencies and vendors to enter and submit bids electronically. This system streamlines the bidding process, providing transportation agencies with control over the bid letting process while facilitating bid submittal for contractors.</li> <li>• Bidders can receive proposal item schedules and submit and withdraw item bids in a secure, electronic environment. Electronic bidding can greatly reduce the time and expense associated with data entry, bid revisions, bid tabulations, and finalization.</li> </ul>
<b>Users</b>	<p>Internal</p> <ul style="list-style-type: none"> <li>• Bid Letting and/or Proposal administrators</li> </ul> <p>External</p> <ul style="list-style-type: none"> <li>• Vendors participating in the AASHTOWare Project Bids software and/or Bid Express</li> </ul>
<b>Data Being Tracked</b>	<p>The data being tracked in this system includes:</p> <ul style="list-style-type: none"> <li>• Lettings, proposals, proposal item schedules, addenda</li> </ul>
<b>Interfaces</b>	As the interfaces are already in place within the AASHTOWare Project software, using AASHTOWare Project Bids will help AKDOT&PF's commitment to electronic bidding.

<b>Reports</b>	Numerous bid reports and agency specified reporting as needed
<b>Retention</b>	Permanent
<b>Level of Effort</b>	Minimal
<b>Recommended Action</b>	New System - The AASHTOWare Project Bids software is designed to exchange data with the AASHTOWare Project Preconstruction software, which can export the encrypted bid files as well as import the bids and DBE commitments from the AASHTOWare Project Bids software. Systems are available for vendor's bid entry, as well as to AKDOT&PF for entering manual bids.

#### 4.1.12 Bid Express

<b>Name</b>	Bid Express ( <a href="https://www.bidx.com/">https://www.bidx.com/</a> )
<b>Primary Purpose / Function</b>	Sealed, secure Internet bidding and solicitation management service for construction, commodities and general procurement.
<b>Users</b>	Internal <ul style="list-style-type: none"> <li>• Bid Letting Administrators</li> </ul> External <ul style="list-style-type: none"> <li>• Vendors participating in Bid Express for online bidding</li> <li>• Subs and suppliers</li> </ul>
<b>Data Being Tracked</b>	The data being tracked in this system includes: <ul style="list-style-type: none"> <li>• Lettings, proposals, proposal item schedules, addenda, plan sheets, bid tabs, reporting</li> </ul>
<b>Interfaces</b>	Web site can be linked on any web page
<b>Reports</b>	Numerous reports available to users, agency can post files to web site
<b>Retention</b>	Permanent
<b>Level of Effort</b>	Minimal
<b>Recommended Action</b>	Implement the Bid Express service and set up agency specific Bid Express web site, store bidding documents on web site. Contractors have option to join.

## 5. Reports, Forms, and Manuals

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
This chapter describes various reports in the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software. This chapter also analyzes AKDOT&PF's current Preconstruction and Civil Rights reports and forms, taking into consideration the planned implementation of the AASHTOWare Project software.

### 5.1 AASHTOWare Project Reports

Several functions in the AASHTOWare Project software produce reports or are related to producing reports. These functions include standard reports, customized reports, attachments, and agency fields.

#### 5.1.1 Standard Reports

AASHTOWare Project reports are designed in ActiveReports 10.0 by Grape City, Inc.

 **Note:** For more information about ActiveReports, refer to the ActiveReports online help: <http://arhelp.grapecity.com/>

Two new report-related enhancements are available in AASHTOWare Project 3.01. The first is the ability to generate available data output when executing a report. If you select that option, instead of showing the report itself, the output will list all data that is gathered as part of the specified report generation process. Because the system often gathers more data than is displayed in a report to make the report models more useful, this is a method of determining which report model might contain the data you need to build a custom report. The output is a simple listing displaying the field name, data type, value, and references to subsections within the report. This will be very helpful for report authors, aiding in discovery and troubleshooting which fields are available for a given report model.

The other report-related enhancement is the integration with Crystal Reports and the ability to add run-time parameters to any custom process (not specific to Crystal Reports). Addition of these run-time parameters allows an agency more latitude in defining custom processes where

dates or other inputs can vary by execution. The enhancement also includes creation of an executable file CrystalReportClients.exe which resides on the application server. It references the runtime executable, manages the passing of parameters and handles the database connection. An agency may choose to use ActiveReports, Crystal Reports, or a combination of both methods for report generation.

The following sections describe the current standard reports available in the AASHTOWare Project Preconstruction software.

### ***Additive Sections***

The Additive Sections report lists the totals for each vendor's bid for the base sections and all selected additive sections in a proposal. Invalid bids are not included. You can generate this report for a single proposal from the Actions menu on the Proposal Summary component header, or from the row Actions menu on the Proposal Overview, Bid Letting Status Summary, or the Proposals tab on the Bid Letting Summary.

### ***Bid Letting Summary***

The Bid Letting Summary is a group of reports that summarizes information for a bid letting. The Bid Letting Summary is comprised of five individual reports:

- Proposal Addenda Detail
- Bid Letting History
- Letting Award Summary
- Bid Letting Comparison Form
- Bid Letting Prequalification

When you generate the Bid Letting Summary, you can choose to include one, several, or all reports. You can generate the Bid Letting Summary for a single proposal from the Actions menu on the Proposal Summary component header, or from the row Actions menu on the Proposal Overview, Bid Letting Status Summary, or the Proposals tab on the Bid Letting Summary.

### ***Proposal Addenda Detail***

The Proposal Addenda Detail report identifies the changes made to a proposal during the addenda phase by comparing virtual copies (called snapshots) of the proposal at the time each addendum was created, and comparing the last addendum snapshot to the current state of the proposal.

For example, if a proposal has two addenda, the report determines and outputs all the changes between Addenda 1 and Addenda 2 (labeled as Addenda 1), and the changes between Addenda 2 and the current state of the proposal (labeled as Addenda 2's changes). It outputs in Descending Addendum ID order (Addenda 2's changes, then Addenda 1's).

### ***Bid Letting History***

The Bid Letting History report lists current letting information and summary information about the low bidder contract if it was previously let and rejected.

### ***Letting Award Summary***

The Letting Award Summary lists information about the winning vendor in a bid letting.

### ***Bid Letting Comparison Form***

The Bid Letting Comparison form lists the proposals by Proposal ID and includes selected proposal information and blank fields for manual entry at the bid letting.

For Cost Plus Time proposals, this report includes the Cost-Plus-Time Total in the Corrected Low Bid column. The Apparent Low Bid column contains a notation that the proposal is a Cost-Plus Time proposal.

### ***Bid Letting Prequalification***

The Bid Letting Prequalification report lists all vendors who are prequalified for a particular proposal on a bid letting.

### ***Bid Tab Analysis Report***

The Bid Tab Analysis process uses proposal vendor bid information for selected proposals to produce these reports:

- Tabulation of Bids
- Vendor Ranking
- Low Bid Item Analysis
- Low Bid Summary

### ***Tabulation of Bids***

The Tabulation of Bids report uses bid information received from proposal vendors to produce a listing of item bid information in a cross-tab format to make it easy to compare bids from different vendors. Bidders are listed by their vendor bid ranking, with the highest ranked bidder listed first.

## ***Vendor Ranking***

The Vendor Ranking report is a list of bidders ranked by bid total for each selected proposal in the selected bid letting. For Cost Plus Time proposals, the vendor ranking is based on the Cost-Plus Time amount rather than the calculated item total.

If you want, you can include the engineer's estimate in the report by choosing the Include Engineer's Estimate option in the parameters window when you run the report. When included, the engineer's estimate receives a zero ranking, but is ordered in the list by the total bid amount.

## ***Low Bid Item Analysis***

The Low Bid Item Analysis is used to compare the item prices from the low bidder to those in the Engineer's estimate for each selected proposal in the bid letting. The last row of the report displays contract totals, which includes the time bid for Cost Plus Time proposals.

## ***Low Bid Summary***

The Low Bid Summary report lists bid letting totals, including the time bid for Cost Plus Time proposals, and is used to identify the low bidder and compare the corrected low bid value to the Engineer's estimate. The report calculates the low bid as a percentage of the Engineer's estimate and shows how much the bid is over or under the Engineer's estimate.

## ***Bid Tab Edit Report***

The Bid Tab Edit report analyzes individual line item bids for numerical accuracy and identifies irregular bids. After you generate the report and correct the identified errors, you can regenerate the report to verify your corrections. The Bid Tab Edit report produces information in two sections:

- Bid Summary and Ranking
- Bid Summary

## ***Bid Summary and Ranking***

The Bid Summary and Ranking section of the Bid Tab Edit report ranks each bidder by the calculated bid total. These rankings are apparent and the system only considers them to be true rankings if Sections 1 through 4 of the report list no errors.

## ***Bid Summary***

The Bid Summary section of the Bid Tab Edit report lists errors with proposal bid tabs, such as invalid extended amounts, extended amounts that do not add up to the section or proposal totals.

## ***Contract Price Schedule***

The Contract Price Schedule report can be generated after either of the following:

- The valid low bidder has been determined for a proposal in a bid letting.
- A contract has been awarded to the winning bidder.

The name of the report does not change when it is generated on a proposal before it is awarded; it is still the Contract Price Schedule report. The Contract Price Schedule report uses unit price values from the awarded bidder or the valid low bidder to produce contract-level reports in the following sections:

- Contract Schedule Cover Sheet
- Contract Schedule of Items
- Contract DBE Interest Report

### ***Contract Schedule Cover Sheet***

The first section of the Contract Price Schedule is the Contract Schedule Cover Sheet, a two-page report containing a variety of information about the contract.

The first page of the Cover Sheet lists the projects, counties, and districts associated with the contract. The second page of the Cover Sheet includes the date the report is run, a description of the contract, alternate category and alternate item information, and (for cost plus time bidding) contract time information.

### ***Contract Schedule of Items***

The second section of the Contract Price Schedule report is the Contract Schedule of Items, which lists the winning bidder's unit prices and extended amounts for each item in the contract. If generated on a proposal before it is awarded, the report lists prices for the valid low bidder.

The report is subdivided by sections and shows section totals. For cost plus time proposals, a section containing proposal time information is included. For alternate sections, if an agency has selected a non-low-cost alternate, the report will reflect that selection.

### ***Contract DBE Interest Report***

The Contract DBE Interest Report lists contract line items you flagged as likely candidates for DBE participation in the Item list. The report shows the estimated quantity and awarded price for each item. If generated on a proposal before it is awarded, the report lists quantities and prices for the valid low bidder.

For a contract item to be included in the Contract DBE Interest Report, the following information must have been recorded for the reference item:

- DBE Interest Required = DBEInterest (this field must have a value of True)
- DBE Percent to Apply = DBEPercentToApply (this field must have a value greater than zero)

### ***Final Detail Estimate Report***

The Final Detail Estimate is a group of reports that uses bid prices from either the awarded vendor or the valid low bidder to provide a project, prime project, or proposal view of costs, including add-on percentages and funding breakdowns.

The Final Detail Estimate is comprised of six individual reports:

- Final Detail Estimate Cover Page
- Final Detail Estimate Cost Summary
- Final Detail Cost Estimate
- Final Detail Estimate Funding Summary
- Final Detail Estimate Funding Summary by Fund
- Final Detail Estimate Funding Summary by Unit

Note that the Final Detail Estimate Report will include the appropriate alternates and additive sections to reflect the choices and resulting configuration of the proposal based on the agency's award decisions.

### ***Final Detail Estimate Cover Page***

The Final Detail Estimate Cover Page lists the organization, date, project numbers in the proposal, and other general information about the Final Detail Estimate report. For prime projects, the cover page lists each associated project and its price source, either Vendor Price for awarded proposals or Engineer Price for non-bid projects.

### ***Final Detail Estimate Cost Summary***

The Final Detail Estimate Cost Summary report can be generated at three levels: project, prime project, and proposal.

The project-level report provides information about how the project costs are distributed over the different funds in the project's fund packages. The awarded vendor's or valid low bidder's bid prices are organized by project for each funding source, and any funding limits that were set when the project was defined are shown.



The prime project-level report provides information about how the project costs are distributed over the different funds in the project's fund packages. The awarded vendor's or valid low bidder's bid prices are organized by project for each funding source, and any funding limits that were set when the project was defined are shown. The prime project total is printed at the end of the report.

The proposal-level report provides information about how the project costs are distributed over the different funds in the project's fund packages. The awarded vendor's or valid low bidder's bid prices are organized by proposal for each funding source, and any funding limits that were set when the project was defined are shown. A proposal total is displayed at the end of the report.

### ***Final Detail Cost Estimate***

The Final Detail Cost Estimate report can be generated at three levels: project, prime project, and proposal.

The project-level report lists the quantity, price, and extended amount for each item in the project, based on bid prices from the awarded vendor or valid low bidder. The engineer's estimated price is used for non-bid items. Items are grouped by category and listed in order by line number. The report identifies alternate categories, alternate items, and items that are fixed price, bid lump sum, non-bid, and low cost contributors. The report also includes information about funding source and participation, work classifications, construction classifications, and category length and width. The project total is printed at the end of each project.

The project-level report lists the quantity, price, and extended amount for each item in the project, based on bid prices from the awarded vendor or valid low bidder. The engineer's estimated price is used for non-bid items. Items are grouped by category and listed in order by line number. The report identifies alternate categories, alternate items, and items that are fixed price, bid lump sum, non-bid, and low cost contributors. The report also includes information about funding source and participation, work classifications, construction classifications, and category length and width. The project total is printed at the end of each project. The prime project total is printed after the total for the last project.

The proposal-level report lists the quantity, price, and extended amount for each item in the project, based on bid prices from the awarded vendor or valid low bidder. Items are grouped by category and listed in order by line number. The report identifies alternate categories, alternate items, and items that are fixed price, bid lump sum, non-bid, and low cost contributors. The report also includes information about funding source and participation, work classifications, construction classifications, and category length and width. The project total and the proposal total are printed at the end of the report.

### ***Final Detail Estimate Funding Summary***

The Final Detail Estimate Funding Summary report can be generated at three levels: project, prime project, and proposal.

The project-level report lists all funding sources for a proposal. Funds are grouped by category, and the total dollar amount for each category in the proposal is shown.

The prime project-level report lists all funding sources for a proposal. Funds are grouped by category, and the total dollar amount for each category in the proposal is shown. The prime project total is printed at the end of the report.

The proposal-level report lists all funding sources for a proposal. Funds are grouped by category, and the total dollar amount for each category in the proposal is shown. A proposal total is printed at the end of the report.

### ***Final Detail Estimate Funding Summary by Fund***

The Final Detail Estimate Funding Summary by Fund report can be generated at two levels: project and proposal.

The project-level report shows the total dollar amount allocated to each category of work from each fund in each project.

The proposal-level report shows the total dollar amount allocated to each category of work from each fund in each project. A proposal total is printed at the end of the report.

### ***Final Detail Estimate Funding Summary by Unit***

The Final Detail Estimate Funding Summary by Unit report can be generated at two levels: project and proposal.

The project-level report shows the total dollar amount for each unit of work in the project by funding source. Unit numbers are assigned to categories to form groups of categories when project-level funding is added to each project. If no unit number is assigned, the unit number shown on the Funding Summary report is None.

The proposal-level report shows the total dollar amount for each unit of work in the project by funding source. Unit numbers are assigned to categories to form groups of categories when project-level funding is added to each project. If no unit number is assigned, the unit number shown on the Funding Summary report is None. A proposal total is printed at the end of the report.

### ***Proposal Fiscal Year Completion Schedule***

The Fiscal Year Completion Schedule report shows what percentage of work should be completed in each fiscal year of a proposal. It lists the Percent Time Elapsed and Percent Funds Expended for each fiscal year and ends with a row of totals.

### ***Generate Reference Vendor, Proposal Vendor, Awarded Vendor Mailing Labels***

You can generate and print mailing labels when you need to mail documents or correspondence to a vendor or group of vendors. You can print one, two, three, or a whole sheet of labels at a time for each vendor you select. Default settings accommodate the standard Avery 5160 peel-off self-adhesive label paper; however, your agency can modify these settings to use another label paper stock if desired.

### ***Generate Planholder Mailing Labels***

You can generate and print mailing labels when you need to mail plan documents, addendum information, or correspondence to the planholders in a bid letting. You can print one or three labels at a time for each planholder. Default settings accommodate the standard Avery 5160 peel-off self-adhesive label paper, but your agency can modify these settings to use another label paper stock if needed.

### ***Notice to Contractors***

The Notice to Contractors report serves as a legal notice to the public that proposals are available for bid and is submitted to the media for publication. The report contains two parts: a cover page and a proposal item quantities list. For Cost Plus Time proposals, each Cost-Plus-Time site is displayed along with the Road User Cost Per Day amount.

### ***Preliminary Detail Estimate Report***

Also, referred to as the PS&E Estimate, the Preliminary Detail Estimate is a group of reports that uses the Engineer's estimated prices to provide a project, proposal, or prime project view of costs, including add-on engineering and contingency percentages and funding breakdowns. The Preliminary Detail Estimate report comprises six individual reports:

- Preliminary Detail Estimate Cover Page
- Preliminary Detail Estimate Cost Summary
- Preliminary Detail Estimate Cost Estimate
- Preliminary Detail Estimate Funding Summary
- Preliminary Detail Estimate Funding Summary by Fund
- Preliminary Detail Estimate Funding Summary by Unit

When you generate the Preliminary Detail Estimate, you can choose to include one, several, or all reports.

### ***Preliminary Detail Estimate Cover Page***

The Preliminary Detail Estimate Cover Page can be generated at three levels: project, proposal, and prime project.

When the Detail Estimate is generated at the project level, the Cover Page lists the organization, date, project number, and other general information about the Detail Estimate report.

When the Detail Estimate is generated at the proposal level, the Cover Page lists the organization, date, project numbers in the proposal, and other general information about the Detail Estimate report.

When the Detail Estimate is generated at the prime project level, the Cover Page lists the organization, date, project numbers associated with the prime project, and other general information about the Detail Estimate report.

### ***Preliminary Detail Estimate Cost Summary***

The Preliminary Detail Estimate Cost Summary can be generated at three levels: project, proposal, and prime project. Although these reports contain the same information, the data is organized and totaled by project, proposal, or prime project, as appropriate.

The project-level report provides information about how the estimated project costs are distributed over the different funds in the project's fund packages. Separate reports are generated for each project you select to include. The reports include funding sources and any funding limits that were set when the project funding was defined, along with project total amounts.

The proposal-level report provides information about how the estimated project costs are distributed over the different funds in the project's fund packages. Separate reports are generated for each proposal you select to include. The reports include funding sources and any funding limits that were set when the project funding was defined, along with project and proposal totals.

The prime project-level report provides information about how the estimated project costs are distributed over the different funds in the project's fund packages. Separate reports are generated for each prime project you select to include. The reports include funding sources and any funding limits that were set when the project funding was defined, along with project and prime project totals.

### ***Preliminary Detail Cost Estimate***

The Preliminary Detail Cost Estimate can be generated at three levels: project, proposal, and prime project. Although these reports contain the same information, the data is organized and totaled by project, proposal, or prime project, as appropriate.

For each level, items are grouped by category and listed in order by line number. Alternate categories and alternate items are identified. Items with special qualities are identified with these flags:

- F - fixed price
- L - low cost contributor (for alternate items and categories)
- N - non-bid item
- B - bid as lump sum

The project-level report lists the quantity, price, and extended amount for each item in the project. The report includes information about funding source and participation, work classifications, construction classifications, and category length and width. The estimate total is printed at the end of the report.

The proposal-level report lists the quantity, price, and extended amount for each item in the proposal. The report includes information about funding source and participation, work classifications, construction classifications, and category length and width. The project total is printed at the end of each project in the proposal, and the proposal total is printed at the end of the report.

The prime project-level report lists the quantity, price, and extended amount for each item in the prime project. The report includes information about funding source and participation, work classifications, construction classifications, and category length and width. The project total is printed at the end of each project associated with the prime project, and the prime project total is printed at the end of the report.

### ***Preliminary Detail Estimate Funding Summary***

The Preliminary Detail Estimate Funding Summary can be generated at three levels: project, proposal, and prime project. Although these reports contain the same information, the data is organized and totaled by project, proposal, or prime project, as appropriate.

The project-level report lists all funding sources for a project. Funds are grouped by category, and the total dollar amount for each category in the project is shown.

The proposal-level report lists all funding sources for a proposal. Funds are grouped by category, and the total dollar amount for each category in the proposal is shown.

The prime project-level report lists all funding sources for a prime project. Funds are grouped by category, and the total dollar amount for each category in the prime project is shown.

### ***Preliminary Detail Estimate Funding Summary by Fund***

The Preliminary Detail Estimate Funding Summary by Fund report can be generated at three levels: project, proposal, and prime project. Although these reports contain the same

information, the data is organized and totaled by project, proposal, or prime project, as appropriate.

The project-level report shows the total dollar amount allocated to each category of work from each fund in the project.

The proposal-level report shows the total dollar amount allocated to each category of work from each fund in each project in the proposal, along with totals for the proposal.

The prime project-level report shows the total dollar amount allocated to each category of work from each fund in the prime project, along with totals for the prime project.

### ***Preliminary Detail Estimate Funding Summary by Unit***

The Preliminary Detail Estimate Funding Summary by Unit report can be generated at three levels: project, proposal, and prime project. Although these reports contain the same information, the data is organized and totaled by project, proposal, or prime project, as appropriate.

The project-level report shows the total dollar amount for each unit of work in the project by funding source. Unit numbers are assigned to categories to form groups of categories when project-level funding is added to the project record. If no unit number is assigned, the unit number shown on the Funding Summary report is None. Data is totaled by project.

The proposal-level report shows the total dollar amount for each unit of work in the proposal by funding source. Unit numbers are assigned to categories to form groups of categories when project-level funding is added to each project in the proposal. If no unit number is assigned, the unit number shown on the Funding Summary report is None. Data is totaled by project and proposal.

The prime project-level report shows the total dollar amount for each unit of work in the prime project by funding source. Unit numbers are assigned to categories to form groups of categories when project-level funding is added to each project associated with the prime project. If no unit number is assigned, the unit number shown on the Funding Summary report is None. Data is totaled by project and prime project.

### ***Proposal Addenda***

The Proposal Addenda report lists all the addenda for one or more proposals. Proposals are listed in ascending order, one proposal per page. Addenda header information is listed in descending order for each proposal.

### ***Proposal Price Schedule***

Generating the Proposal Price Schedule report uses the engineer's estimated values to produce these four reports:

- Proposal Cover Sheet

- Proposal Schedule of Items
- Proposal Estimate
- Proposal DBE Interest Report

### ***Proposal Cover Sheet***

The Proposal Cover Sheet is the first section of the Proposal Price Schedule group report. The Proposal Cover Sheet provides two pages of general information about the proposal and the projects associated with it.

The first page of the Proposal Cover Sheet lists the projects, counties, and districts associated with the proposal. The second page includes the date the report was run, a description of the proposal, alternate category information, alternate item information, and, for cost plus time bidding, proposal time information.

### ***Proposal Schedule of Items***

The Proposal Schedule of Items is part of the Proposal Price Schedule group report and contains a listing of biddable proposal items similar to the listing displayed on the Proposal Item List page. The report is subdivided by sections and shows section totals. For cost plus time proposals, a section containing proposal time information is included.

### ***Proposal Estimate***

The Proposal Estimate is part of the Proposal Price Schedule group report and is similar to the Schedule of Items Report, but with these differences:

The Unit Price field for each proposal item is populated with the Proposal Item Unit Price for the corresponding proposal item.

The Unit Price for lump sums, hybrid lump sums, and fractional lump sum items remains LUMP SUM.

The Extended Amount field for each proposal item is populated with the Proposal Item Extended Amount for the corresponding proposal item.

The Total Bid value for the proposal is replaced by the Estimated Total, which is the estimated low cost total proposal cost taking design alternates into consideration.

### ***Proposal DBE Interest Report***

The Proposal DBE Interest Report is part of the Proposal Price Schedule group. The report lists proposal line items you flagged as likely candidates for DBE participation, and it shows the estimated quantity and estimated price for each item. This report can be used as a beginning guide for setting DBE participation goals.

For a proposal item to be included in the Proposal DBE Interest Report, the following information must have been recorded for the reference item:

- DBE Interest Required = DBEInterest (this field must have a value of True)
- DBE Percent to Apply = DBEPercentToApply (this field must have a value greater than zero)

### ***Quantity Sheet Summary***

The Quantity Sheet Summary is part of the Proposal Price Schedule group report and provides breakdown Item ID and Breakdown Item Quantity information by Proposal Section and Project Item ID.

### ***Vendor Invoice***

Vendor Invoices are generated for each planholder in a proposal and used in billing for the purchase of proposal plans in a bid letting. The invoices are generated by Invoice Number.

### ***Bidder Quoter Report***

The Bidder Quoter report shows the bidder followed by the quoter information with associated NAICS codes. You can run this report for one or more bidders. The report lists the quoters and quoter proposals for each bidder for a specified letting date range. If the agency option to associate quoter information with proposal line items is set to True, the report also includes quoter proposal items.

### ***Bidder Quoter Verification Report***

The Bidder Quoter Verification report shows the legal language to be utilized during the signing process and included as an attachment to the Bidder record when a user with Vendor Authority for the Ref Vendor on the Bidder record and the Can Sign indicator set. The text is maintained in the Text Documents area under System Administration. The Verification report has some header information to identify the Bidder and Name (Ref Vendor and Name), date, and logged on user's Name.

### ***Contract Clearance DBE Participation Report***

The Contract Clearance DBE Participation report presents DBE participation information for a selected contract, including DBE contractors, subcontractors, suppliers and truckers, commitment amounts, and work types. You can choose to generate information for all subcontractors or DBE firms only.



## ***Contract Employment Data Report***

The Contract Employment Data Report summarizes the project employment data required by the federal government from contractors working on state projects that receive federal and non-federal aid.

This report includes information for all the vendors working on the selected contract and includes the job category, total employment, total minorities, breakdown of ethnic group, apprentices, and on-the-job trainees. You can choose to organize the resulting detail by hour count or person count.

- 📄 **Note:** To generate this report, complete information must have been recorded for Reference Federal Ethnic Group, Federal Job Class ID, and at least one Approved Certified Payroll within the report parameter time period.

## ***Contract Payments Report***

The Contract Payments Report lists all the payments that have been made for a contract, but can be generated before any payments have been made. Information in this report includes: payments made by the agency to the prime contractor; payments made by the prime contractor to subcontractors, suppliers and other vendors; and payments made by subcontractors to other subcontractors, suppliers and other vendors.

### ***Data Requirements for this Report***

For information to be included in a report, it must first be recorded in the system. Different transportation agencies require different information to be recorded in the system. Therefore, if your agency does not require that information be recorded for a specified field, that field will not be included in the generated report.

To produce a complete Contract Payments Report, information must have been recorded for these fields and options:

### ***Agencyoption Table***

- Prompt Payment Days = PROMPT\_PAYMENT\_DAYS
- Retainage Released by Prime = RETAINAGERELEASEDDAYS

### ***Contract Table***

- Awarded Date = Awarded\_Dt
- Awarded Contract Amount = Awardedamount
- Contract ID = Contract\_ID
- Closed for Civil Rights & Labor Date = Contractclosedforcrllms\_dt

- Current Contract Amount = Currentcontractamount
- Description = Descr
- Federal Project No. = Fedprojectnum
- Overall Fed. Funding Percent % = Overallfedfundingpercent
- Prime Contractor = Primevendor\_ID and Primevendorname
- Percent Complete = Rpt\_percentcomplete (calculated)
- Total Paid To Date Amount = Rpt\_Totalpaidtodate (calculated)
- State Project No. = Stateprojectnum

***Contractpayment Table***

- Estimate Number = Estimatenum
- Estimate Type = Estimatetype
- Date Payment was Made = Paid\_dt
- Paid Amount = Paidamount
- Contract Payment Period Start Date = Paymentstart\_Dt
- Contract Payment Period End Date = Paymentend\_Dt

***Contractpaymentitem Table***

- Item Line # = Contractitem\_linenum
- Ref. Item ID = Refitem\_ID
- Ref. Item Description = Descr
- Supp Description = Suppdscr
- Quantity Paid = Paidqty
- Unit of Measurement = Unit
- Unit Price = Unitprice
- Ext. Amount Paid = Extendedamountpaid

### ***Subcontractorpayment Table***

- Paying Vendor = Payer\_ID and Payername
- Payee Payment Number = Payeepaymentnumber
- Payee ID = Payee\_ID
- Payee Name = Payeename
- DBE Firm = Dbefirm
- DBE Commitment = Dbecommittment
- Payment Date = Paid\_DT
- Payment Type = Paymenttype
- Paid Amount = Paidamount
- Retainage Dollars Held = Retainagedollarsheld
- Retainage Released = Retainagereleased
- Payee Work Complete Indicator = Payeeworkcomplete
- Payment or Partial Amount Withheld = Paymentorpartialamountwithheld
- Payer Comments = Payer Comments


The following fields contain data that would be provided by the Payee:

- Amount Received = Amountreceived
- Payment Received = Paymentreceived
- Date Received = Received\_DT
- Payee Comments = Payeecomments

### ***Contract Vendor Employment Data Report***

The Contract Vendor Employment Data Report summarizes the project employment data required by the federal government from contractors working on state projects that receive federal and non-federal aid.

Information in the report includes the job category, total employment, total minorities, breakdown of ethnic group, apprentices, and on-the-job trainees. You can choose to organize the resulting detail by hour count or person count.

-  **Note:** To generate this report, complete information must have been recorded for Reference Federal Ethnic Group, Federal Job Class ID, and at least one Approved Certified Payroll within the report parameter time period.

This report includes information from all the projects on which the selected contractor works.

### ***DBE Directory Report***

The DBE Directory is a listing of all the active vendors in the system that have been certified as a Disadvantaged Business Enterprises (DBEs). The report includes contact information, work locations, and work classifications for each firm listed in the directory.


### ***Data Requirements for this Report***

This report uses all the fields from the following reference tables, depending on agency customizations and is typically customized by each agency:

- Refvendor
- Refvendoraddress (agency can change which address number is used for selection)
- Refvendorofficer (contact information) (agency can change which officer type is used for selection)
- Refvendorcounty, Refvendordistrict, Refcendorregion, Refvendorstatewideindicator (work location information)
- Refvendornaics, Refvendorsiccode, Refvendorspecialtycode, and Refvendorworkclass (agency can change which table contains the vendors certified work codes)

### ***Federal 1392 Report - 2010 Revision***

The Federal 1392 Report 2010 (Federal-Aid Highway Construction Employment Summary) summarizes the employment data required by the federal government from contractors working on state projects that receive federal funding. This report is required if the Overall Federal Funding Percent on the contract is greater than zero. The report includes the total number of workers employed and a breakdown by job category of all minorities, apprentices, and on-the-job trainees.

-  **Note:** The Federal 1392 Report 2010 should be used for current data reporting needs. The Federal 1392 Report 2010 includes the latest revisions made by the FHWA in 2010, and it uses the latest federal ethnicity and job classifications. The system retains the previous Federal 1392 Report to allow your agency to access data reported during prior years.

When you generate the report, you enter a Start Date for the report on the Set Parameters page of the Generate Report guided process. The reporting period spans the start date entered plus six

days. If multiple certified payrolls exist during the reporting period, the report includes data only for those days that fall within the specified reporting period.

The system generates the report as either a PDF or HTML file depending on your selection, and it also creates the report as an Excel spreadsheet. You can access the Excel file on the Process History Overview. After you save the Excel file, you can use it to record additional data not collected by the system, including counts for Officials, Supervisors, Foremen/Women, and Clerical workers.

### ***Data Requirements for this Report***

To produce a complete Federal 1392 Report 2010, the following information is required:

- Your system administrator must ensure that the text document that contains legal language required for the report is updated if needed (see Maintaining Text Documents). The legal language is stored and updated in a text document with a text document type of Federal 1392 Report Legal Text. Because FHWA requirements for this language can change every two years, check for new requirements and perform any necessary updates before running the report.
- Your system administrator must ensure that the system includes the latest federal DBE ethnic groups, labor ethnic groups, and job classifications. These federal codes must be mapped to the appropriate state codes used by contractors and your agency.
- Your system administrator can specify the agency's name as it should appear on the report by entering it in the agency option for Name of Agency.
- At least one Approved Certified Payroll must occur within the reporting period. If multiple payrolls are included in the date range for the report, only those days that fall within the specified time period are included on the report.

### ***Month End Trucking Report***

The Month End Trucking Report presents information related to the trucks hired to haul materials to and from other facilities. The information provided includes the associated contracts and vendors, dates, trucks, employees, rates, funds, hauling capacity, and more. You can generate the Month End Trucking Report for one or more End of Month Trucking records.

### ***OJT by Contract and Trade Category***

The OJT by Contract and Trade Category report provides information about trainees that have been approved on projects or to contractors, and is used to evaluate trainees' progression within the OJT program. Information in the report is sorted by project and the trade in which the trainee worked.

## ***OJT Employment Information Report***

The OJT Employment Information Report presents general and work history information for an employee for determining whether he or she is qualified for enrollment in an OJT program. The report also lists any other OJT programs in which the employee is currently enrolled.

## ***Payroll Exceptions Report***

The Payroll Exceptions report lists any issues discovered on a contractor's certified payroll that caused the system to generate a payroll exception. You can include the exception comments in the report if you wish.

This report can be supplied to a vendor to document problems with a payroll. It can also be used as the foundation for an ad hoc report.

When generating this report, you must select the exceptions you want included in the report by choosing Select Data from the Settings menu on the Generate Report component.

## ***Payroll Summary Report***

The Payroll Summary Report lists all the details of a certified payroll, including labor information, craft and classification codes, and a description of any attachments to the payroll. This is a two-part report that includes a Summary Page for the entire payroll and a summary page for each employee included in the payroll. You can generate the report for one or more payrolls at a time.

### ***Data Requirements for this Report***

To produce a complete Payroll Summary Report, information must have been recorded in all fields for these database tables:

#### ***Payroll Summary Report (complete payroll)***

- Certifiedpayroll
- Certifiedpayrollattachment

#### ***Payroll Summary Report (employee)***

- Payrollemployee
- Payrollempfringebenefexcept
- Payrollemployeeotherdeductions
- Payrollemployeelabor
- Payrollemployeelaborhour

- Payrolltransitioncomment
- Rpt\_emp\_labor\_tbl
- Rpt\_weeklytotal\_tbl

### ***Prompt Payment Discrepancy Report***

The Prompt Payment Discrepancy Report provides a listing of payments made by Prime contractors to subcontractors that were not made within the number of days allowed by the agency for prompt payment and retainage release payment.

The system compares the contract payment date payment was made (by the agency) to the subcontractor payment paid date (by the prime). When the difference between these two dates is more than the number of days indicated in the Prompt Payment Days agency option, the subcontractor payment data is listed on this report. The report also displays data when subcontractor payment data by the prime contractor has not been received, based on the contract payment date payment was made (by the agency).

When this report is generated, the system also checks subcontractor payments where the subcontractor payment Retainage Amount Withheld field is populated (payment 1) and subsequent subcontractor payments to the vendor where the Retainage Released check box is selected and the Payee Work Complete Indicator is checked (payment 2). When the subcontractor payment Date Paid minus the subcontractor payment (payment 2) Date Paid (payment 1) is greater than the number of days in the Retainage Released by Prime agency option, the payment data is listed on this report.

The report also includes data when subcontractor payment data by the prime contractor has not been received, who have made subcontractor payments where the Retainage Amount Withheld field is populated, the Retainage Released and the Payee Work Complete Indicators are checked, and the subcontractor payment Date Paid for that payment exceeds the number of days in the Retainage Released by Prime agency option and no subsequent subcontractor payment records have the Retainage Released check box selected.

Information in the report is sorted by Prime Contractor, then by Contract, then by payments made to the Prime with details of subcontractor payments made by the prime.

When generating this report, you must select the date range for which information is gathered for the report by choosing Set Parameters from the Settings menu on the Generate Report component.

### ***Subcontract Listing***

The Subcontract Listing report lists all the subcontracts and subcontract items for a selected contract. You can generate the Subcontract Listing Report from the Contract Overview or Contract Summary.

## ***Wage Decision Modification Report***

The Wage Decision Modification Report lists all the information currently on record for one or more wage decisions, including crafts, union identification, zone areas, counties, and job classification minimum wage rates. The report is typically used to validate the information entered for a wage decision record or to verify wages reported as payroll exceptions.

## ***Uniform Report of DBE Commitments/Awards and Payments***

The Uniform Report of DBE Commitments/Awards and Payments tracks DBE commitments by federal funds, including data collected at the beginning and completion of the contract. This report meets the US Department of Transportation regulations 49 CFR, part 26 requirements.

### ***Data Requirements for this Report***

Before you can generate a complete Uniform Report of DBE Commitments/Awards and Payments, the following data requirements must be satisfied in the system:

- To be included on the report as a subcontractor, a vendor must be designated as a subcontractor in the contract record. To designate a vendor as a subcontractor in the contract record, the vendor must have been in the vendor reference table, with an active status (that is, the Obsolete check box cannot be selected). DBEs must have "certified" status in the vendor table, as well as work classification and work codes information, depending on the agency's setting for the DBE Commitment Work Type agency option.
- Vendors must be recorded in the contract's DBE Commitments to be included on the report as a DBE Commitment.
- Reference data for Federal Ethnic Groups must be completed so that the Ethnic Code Table values can be mapped to the Ethnicity column on the standard report.
- Contracts (and their subcontracts, commitments and payments) are included in this report only if the Contract Overall Federal Funding Percent is greater than zero.
- All dollar amounts included in this report are calculated by applying the Overall Federal funding Percent times the amount stored in the database.
- Contracts are included in this report based on one or more of these dates:
  - Award Date
  - Approved Date (DBE Commitments Approved Date)
  - Contract Closed for Civil Rights & Labor Date
- Contracts are included in this report based on the Contract Modal Agency
- Subcontracts are included based on the Consent Date.
- If Subcontract DBE Certified = True, include in the DBE Dollars.
- If Subcontract.DBE Commitment = True, compare to DBE Commitment and include the difference of the dollars.



- Reference Vendors must be DBE Certified to be included in the DBE Totals in this report.

The system analyzes all the vendors recorded in the Subcontracts and DBE Commitments tables to determine the values for these columns on the report:

- Total Subcontracted Work
- Subcontracted Work to DBE Certified Firms
- Subcontracted Work to DBE Commitment Vendors
- Firms Included in the DBE Commitments that Do Not Have Subcontracted Work

The following table provides the requirements for completing each line in the report.

Line #	Requirements
1	Comes from report parameter choice (the value in the contract "Modal Agency" attribute).
2	Must be recorded manually or the agency can customize the report to automatically enter a value.
3	Based on end date selected in the Report Parameters.
4	Must be recorded manually or the agency can customize the report to automatically enter a value.
5	Checked based on the Modal Agency value and the dates in the Report Parameters.
6	This field represents the name of the Agency. Agency can customize the report to automatically enter a value.
7	These are filled in based on the values in the DBE Aspirational Goals that match Report Parameters (End Date and Modal Agency). Based on value used in Line 3 and Modal Agency.
8A	Total Dollars Awarded for all contracts that meet the criteria. The Awarded Contract amount is used here (based on Contract Award Date and/or Contract Approved Commitment Date for the report time frame).
8B	Total number of contracts used in 8A.
8C	Total Dollars of Contract Approved DBE Commitments when the prime is a Certified DBE for the report time frame. The Dollar amount comes from the Contract Approved DBE Commitment record for the Prime. Uses the Commitment Amount or Revised Commitment Amount (if greater than null.)
8D	Total number of Contracts used in 8C.
8E	Total Race Conscious dollars from Contract Approved DBE Commitment for the DBE Prime.
8F	Total number of 8Es.
8G	Total Race Neutral dollars from Contract Approved Commitment for the DBE Prime.
8H	Total number of 8Ds.
8I	Total percent 8C divided by 8A.

Line #	Requirements
9A	Total Dollars of Total Subcontract Amount for all Subcontracts plus Total Dollars of Commitment Amounts (or Revised Commitment if greater than null) for Contract Approved DBE Commitments (not including Prime DBE Commitments). (If Subcontract.DBE Commitment equals True, subtract Contract Approved DBE Commitment.Commitment Amount (or Revised Commitment if greater than null) from Total Subcontract Amount).
9B	Total Number of Subcontracts and Commitments used in 9A.
9C	Total Dollars of Total Subcontract Amount for DBE Subcontracts plus Total Dollars of Commitment Amounts (or Revised Commitment if greater than null) for Contract Approved DBE Commitments (not including Prime DBE Commitments). (If Subcontract.DBE Commitment equals True, subtract the Contract Approved DBE Commitment.Commitment Amount (or Revised Commitment if greater than null) from Total Subcontract Amount.)
9D	Total Number of Subcontracts and Commitments used in 9C.
9E	The Total Dollars used for 9C are included in this column if they are determined to be Race Conscious (Race Conscious for DBE Commitments is found in the Race Conscious attribute. Race Conscious for Subcontracts (where the DBE Commitment = True) is determined by subtracting the DBE Commitment Amount (or Revised Commitment Amount if not null) from the Total Subcontract Amount. If it is a negative number, it is subtracted from the Race Conscious Amount.)
9F	Total Number of Subcontracts and Commitments used in 9E.
9G	The Total Dollars used for 9C are included in this column if they are determined to be Race Neutral (Race Neutral for DBE Commitments is found in the Race Neutral attribute. Race Neutral for Subcontracts (where the DBE Commitment = True) is determined by subtracting the related DBE Commitment Amount (or Revised Commitment Amount if not null) from the Total Subcontract Amount. If it is a positive number, it is considered Race Neutral). Subcontracts where DBE Commitment = False are considered Race Neutral.
9H	Total Number of Subcontracts and Commitments used in 9G.
9I	Total percent 9C divided by 9A.
TOTAL C	Total of 8C plus 9C
TOTAL D	Total of 8D plus 9D
TOTAL E	Total of 8E plus 9E
TOTAL F	Total of 8F plus 9F
TOTAL G	Total of 8G plus 9G
TOTAL H	Total of 8H plus 9H
TOTAL I	Total percent C (8C plus 9C) divided by 8A
10A	Total Number of Contracts (Prime and Sub): The sum of 8D plus 9D where the Vendor's Ethnic Group is Black American.
10B	Total Number of Contracts (Prime and Sub): The sum of 8D plus 9D where the Vendor's Ethnic Group is Hispanic American.
10C	Total Number of Contracts (Prime and Sub): The sum of 8D plus 9D where the Vendor's Ethnic Group is Native American.
10D	Total Number of Contracts (Prime and Sub): The sum of 8D plus 9D where the Vendor's Ethnic Group is Subcont. Asian American.
10E	Total Number of Contracts (Prime and Sub): The sum of 8D plus 9D where the Vendor's Ethnic Group is Asian-Pacific American.

Line #	Requirements
10F	Total Number of Contracts (Prime and Sub): The sum of 8D plus 9D where the Vendor's Ethnic Group is Non-Minority Women.
10G	Total Number of Contracts (Prime and Sub): The sum of 8D plus 9D where the Vendor's Ethnic Group is Other.
10H	Total Number of Contracts (Prime and Sub): The sum of 8D and 9D.
11A	Total Dollar Value: The sum of 8C plus 9C where the Vendor's Ethnic Group is Black American.
11B	Total Dollar Value: The sum of 8C plus 9C where the Vendor's Ethnic Group is Hispanic American.
11C	Total Dollar Value: The sum of 8C plus 9C where the Vendor's Ethnic Group is Native American.
11D	Total Dollar Value: The sum of 8C plus 9C where the Vendor's Ethnic Group is Subcont. Asian American.
11E	Total Dollar Value: The sum of 8C plus 9C where the Vendor's Ethnic Group is Asian-Pacific American.
11F	Total Dollar Value: The sum of 8C plus 9C where the Vendor's Ethnic Group is Non-Minority Women.
11G	Total Dollar Value: The sum of 8C plus 9C where the Vendor's Ethnic Group is Other.
11H	Total Dollar Value: The sum of 8C and 9C.
12A	The number of contracts that had a DBE Goal. (Contract Closed for Civil Rights & Labor Date and if the Contract Approved DBE Commitment DBE Goal is greater than zero and the Revised Goal is null.)
12B	The Total Paid to Date Amount (this is the amount paid to the prime contractor). Based on Contract Payments, Total Paid to Date Amount for the last estimate paid.
12C	Sum of the calculation for DBE Commitment Goal (or Revised Goal is not null) times the Awarded Contract Amount).
12D	The sum of the Subcontractor Payment (Paid Amounts where the DBE Firm Indicator equals True).
12E	Total percent 12D/12B.
13A	The number of contracts that did not have a DBE Goal. (Contract Closed for Civil Rights & Labor Date and if the Contract Approved DBE Commitment Revised Goal equals zero.)
13B	The Total Paid to Date Amount (this is the amount paid to the prime contractor). Based on Contract Payments, Total Paid to Date Amount for the last estimate paid.
13D	The sum of the Subcontractor Payment paid amounts where the DBE Firm Indicator equals True.
13E	Total percent 13D/13B.
14A	The sum of 12A and 13A.
14B	The sum of 12B and 13B.
14D	The sum of 12D and 13D.
14E	14D/14B * 100.
15	Must be recorded manually or the agency can customize the report to automatically enter a value.

Line #	Requirements
16	Insert electronic signature or the agency can customize the report to automatically enter the signature.
17	Must be recorded manually or the agency can customize the report to automatically enter a value.
18	Must be recorded manually or the agency can customize the report to automatically enter a value.

Table 5-1. Uniform Report of DBE Commitments/Awards and Payments Report Requirements by Line

### 5.1.2 Customized Reports

The AASHTOWare Project software includes ActiveReports Standard Edition to allow the agency to modify existing reports and create new reports with limited capabilities. The agency may elect to purchase the ActiveReports Professional Edition or another third-party compliant reporting tool if additional capability is required.

### 5.1.3 Attachments

The Attachments functionality in AASHTOWare Project allows URL links, plug-in executable programs, and OLE (Object Linking and Embedding) documents to be attached to specific records within certain functions, such as cost estimates, DBE commitments, projects, proposals, payrolls, and lettings.

AASHTOWare Project includes an Application Program Interface (API) for programming a plug-in to handle attachments in the manner stipulated by the agency. An API specifies how software components should interact.

### 5.1.4 Agency Fields

The AASHTOWare Project software has agency fields attached to all key components that can be used to capture long and short string text, numeric values, codes, dates, and indicators. These agency fields can be used to maintain data that is unique to AKDOT&PF and their field labels can be modified as appropriate. The ability to add additional agency fields is also available.

## 5.2 AKDOT&PF Reports and Forms Analysis

Info Tech personnel performed a high-level analysis on AKDOT&PF's current reports and forms that are used for the Preconstruction, Civil Rights & Labor, and bidding processes. The summary of the analysis results is presented in this section, including information regarding the current reports and forms that are in use by AKDOT&PF as well as recommended actions, taking into consideration the implementation of the AASHTOWare Project software. The list of reports and sample output received from AKDOT&PF is provided in Appendix A, AKDOT&PF Reports and Forms.

Any reports that were not provided to Info Tech could not be included in the analysis.

Note that many custom reports can be accomplished with either an Active Report or by retrieving data in Microsoft Excel via an OData feed using Power Query. AKDOT&PF will need to consider the end user in each of these cases and determine the best delivery method for the data being retrieved by the report. In instances where the end-user needs are met by visually displaying data in Excel and not creating a paper or electronic copy of existing data, the OData feed is preferred.

Several of the reports provided to Info Tech are similar in nature and the data displayed on the report. Each region may have slightly different layouts for the same purpose. AKDOT&PF needs to review these reports to determine which reports could be consolidated and obsoleted or combined into a single version used by all regions. Until a decision is made for obsolescence, this document includes all reports in the list along with recommendations on recreating the reports or data.

Several of the reports are boiler plate descriptions or standard forms. In many cases, we recommend that the word document be maintained, since no project data is reflected on the document. A centralized location for all documentation and forms should be maintained by AKDOT&PF for consistency of use by all regions.

Based on the analysis of the individual reports listed in Section 5.2.1 AKDOT&PF Preconstruction and Civil Rights & Labor Reports, the following tables summarize the recommended actions and level of effort required to provide customizations (when appropriate) for the various reports and forms. If multiple actions are recommended for specific reports, the first action listed in the table is used for the summarization totals below.

<b>Report Recommended Action</b>	<b>Number of Reports</b>
Retain current report/form	19
Eliminate report/form	TBD
Create a custom report	10
Customize standard AASHTOWare Project Preconstruction report	5
Use standard AASHTOWare Project Preconstruction report	40
<b>Total</b>	<b>74</b>

Table 5-2. AKDOT&PF Preconstruction Report Recommended Action Summary

<b>Level of Effort</b>	<b>Estimated Hours to Perform, Test, and Install Changes for the Level</b>	<b>Number of Reports</b>
Minor	25 hours or less	42
Medium	Between 26 and 50 hours	28
Major	Between 50 and 100 hours	4
<b>Total</b>		<b>74</b>

Table 5-3. Estimated Effort for AKDOT&PF Preconstruction Reports Requiring Customization

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### 5.2.1 AKDOT&PF Preconstruction and Civil Rights & Labor Reports

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-1	FAA New Project Start Package (Northern Region)	Aggregation of memo containing sponsors certification paperwork for Federal Aviation airport projects: selection of consultants, project plan and specifications, real property acquisition, equipment and construction contracts, certification and disclosure of potential conflicts of interest, construction project final acceptance, drug-free workplace.	Word document or Adobe fillable form / manual	Project Summary	Proposal Fiscal Year Schedule	Custom report aggregating project information that could be exported for integration with IRIS	Major
AKDOT &PF-2	FHWA New Project Start Package (Northern Region)	Aggregation of memo containing initial planning metrics, scope/schedule/estimation confirmation, highway design budget, preliminary milestone schedule, planning level estimate, work plan, project background report, aerial topo of route alignment	Word document templates, Excel spreadsheet documents / IRIS and manual	Project Summary	Proposal Fiscal Year Schedule	Custom report aggregating project information that could be exported for integration with IRIS	Major

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-3	Current Project Status	Listing of tabular project information's' key dates and personnel	Excel spreadsheet document / MS Project and manual	Project Summary, Contract Administration (Construction)	N/A	OData query for applicable information to be pulled into a report or a custom Active Report	Minor
AKDOT &PF-4	Project Request/ Registration Form	Form request for vendors' ordering of a project's plans/specs, or, request to be included on Plan Holders List	Word document Template / manual	Proposal Vendor, Letting-Purchases, Bid Letting Prequalification	Vendor Invoices / Plan holder Mailing Labels /	Custom request/purchasing application or web form to integrate with AASHTOWare Project	Major
AKDOT &PF-5	Construction Status Report	Formal monthly report of Regions' Construction Branch (Aviation & Highways) documents: Active projects, Actual vs. Projected Contractor Payments, running total Comparison by Year, Current Contractor Payments by Mode, Cumulative Contractor Payments by mode, Contractor Payments by Year, Project by Project Manager (full lifecycle status of projects)	Word document	Projects-Proposals, Cost Estimates, Contractor Payments, Contract Administration (Construction)	N/A	OData queries to aggregate information from various table to pull into a report managed by the agency, or a custom report integrating data as indicated	Medium



Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-6	Highway & Aviation Design Project Status Report	Formal monthly report of Design department's Project Status: Aviation and Highway program/project high-level summaries and associated personnel assignment	Word document / IRIS system, and manual	Project summary	N/A	OData query for applicable information to be pulled into a report	Minor
AKDOT &PF-7	Contract Status Detail Report	Breakdown of contracts' status by type: Competitive Sealed Bid and Small Procurement; by detailed Bid Letting dates and Contract dollar amount	Excel spreadsheet document / MRS, manual	Bid Letting-Award	Bid Letting History, Letting Award Summary	Use AASHTOWare Project Bid Letting History and Letting Award Summary Reports	Minor
AKDOT &PF-8	Contract Status Summary Report	Summary of contracts' status by Letting/Award date and Contract dollar amount	Excel spreadsheet document / MRS, manual	Bid Letting-Award	Letting Award Summary	Use AASHTOWare Project Letting Award Summary report	Minor
AKDOT &PF-9	Letter of Award	Memo template of official Letter of Award to contractor	Word document Template / manual	Bid Letting-Award	N/A	Keep current or system event if signature not required	Minor
AKDOT &PF-10	Memo of Addendum	Memo of scope of new contract addendum and applicable changes by section	Word document / manual	Proposal-Addenda	Proposal Addenda, Proposal Addenda Detail	Use AASHTOWare Project Proposal Addenda Reports	Minor
AKDOT &PF-11	Memo Notice to Bidders	Memo Notice-To-Bidders to contractors announcing published addendum for a project	Word document / manual	Proposal-Addenda	Notice to Contractors Proposal Addenda	Use AASHTOWare Project Notice to Contractors and Proposal Addenda Reports	Minor

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-12	Bid Tab Analysis & Recommendation to Award	Memo letter of intent to award with supporting project's Bid Tab Analysis documentation	Word document / manual	Bid Letting-Award	Bid Tab Analysis	Use AASHTOWare Project Bid Tab Analysis Report	Minor
AKDOT &PF-13	Transmittal Memo to Construction	Formal memo of project summary and applicable documentation being transferred from Design Division to Construction division	Word document / manual	Environmental, Right-Of-Way, and other preliminary engineering sign off for Construction Project assignment	N/A	Custom report leveraging AASHTOWare Project data and a System Event trigger to notify Construction Division	Minor
AKDOT &PF-14	PS&E Final Transmittal Memo	Formal memo letter(s) of final Project Specification & Engineering to internal Contracts division	Word document / manual	Transitioning project readiness for proposal creation	N/A	Keep current or system event if signature not required	Minor
AKDOT &PF-15	DBE & OJT Goals Request	Formal memo from Civil Rights Office to Construction Division requesting applicable DBE and/or OJT Goals for a project	Word document / manual	Proposal-DBE & OJT Goals, Proposal-Vendor DBE Commitment Summary	DBE Commitment Verification	System event trigger notifying CRO of report when Construction completes information and modification of report	Minor

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-16, 1 of 12	Bid Schedules, #1 of 12	Itemization of (a) Cost Coefficients, (b) Estimate Without Execution of Task Orders, (c) Alaska Bidder Preference, (d) Special Employment Programs to get Total Bid Price computation: a+b-c-d	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Bids and Bid Express and Proposal Schedule of Items Report. Consider combining all Bid Schedule Reports into single report layout.	Medium
AKDOT &PF-16, 2 of 12	Bid Schedules, #2 of 12	Itemization of (a) Fixed Price/Lump Sum Bid, (b) Alaska Bidder Preference, (c) Alaska Veteran-Owned Business Preference, (d) Alaska Products Preference to get Total Bid computation: a-b-c-d	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Bids and Bid Express and Proposal Schedule of Items Report. Consider combining all Bid Schedule Reports into single report layout.	Medium
AKDOT &PF-16, 3 of 12	Bid Schedules, #3 of 12	Itemization of Basic Bid work in three (3) segments: Segment 1+Segment2+Segment 3; Only Segment 1 Basic Bid work will be awarded; the other segments will be Change Orders if funding and legislative authority are achieved.	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Bids and Bid Express and Proposal Schedule of Items Report. Consider combining all Bid Schedule Reports into single report layout.	Medium

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-16, 4 of 12	Bid Schedules, #4 of 12	Itemization of (a) Design Build Basic Bid Scope (Lump Sum), (b) Alaska Bidder's Preference, (c) Alaska Veteran-Owned Business Preference, (d) Alaska Products Preference, to get a total bid computation of a-b-c-d	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Bids and Bid Express and Proposal Schedule of Items Report. Consider combining all Bid Schedule Reports into single report layout.	Medium
AKDOT &PF-16, 5 of 12	Bid Schedules, #5 of 12	These are for budgeted amount projects to be announced prior to Bid Opening. Award will be based on the budget considering the Basic Bid plus additive Alternate(s) provided: (a) Basic Bid Lump Sum, (b) Alaska Bidder's Preference, (c) Alaska Veteran-Owned Business, (d) Alaska Products Preference= (a-b-c-d); Additive Alternative 1 (f) Basic Bid Lump Sum, (g) Alaska Bidder's Preference, (h) Alaska Products Preference= (f-g-h), etc.	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Bids and Bid Express and Proposal Schedule of Items Report. Consider combining all Bid Schedule Reports into single report layout.	Medium

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF 16, 6 of 12	Bid Schedules, #6 of 12	This schedule is for Property Management Bid Items and are exempt from David-Bacon. Specialty items will be reimbursed at cost plus markup: Area A Items-Unit Price (\$ per parcel/month) + Area B Items (\$ per parcel/month), Totals for Area A+Area B, etc.	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Bids and Bid Express Proposal Schedule of Items Report. Consider combining all Bid Schedule Reports into single report layout.	Medium
AKDOT &PF-16, 7 of 12	Bid Schedules, #7 of 12	Design Build at Fixed Price, itemization of (a) Basic bid lump sum, (b) Electrical Service Contingent Sum = Total Basic Bid Lump Sum (a+b), (d) Alaska Bidder's Preference, (e) Alaska Veteran-Owned Business Preference, (f) Alaska Products Preference, (g) Adjusted Bid amount= (c-d-e-f)	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Bids and Bid Express and Proposal Schedule of Items Report. Consider combining all Bid Schedule Reports into single report layout.	Medium

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-16, 8 of 12	Bid Schedules, #8 of 12	These are for Fixed Fee for Construction Services in time/dollar amounts for labor hours. (a) Fixed Fee for construction services, + (b) Prime and Pool Subcontractor's Staff labor hours/rates ("General conditions") = (c), (d) Alaska Bidder's Preference, (e) Alaska Veteran-Owner Business Preference = (f): c-d-e	Excel spreadsheet document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Bids and Bid Express and Proposal Schedule of Items Report. Consider combining all Bid Schedule Reports into single report layout.	Medium
AKDOT &PF-16, 9 of 12	Bid Schedules, #9 of 12	Design Build schedule itemizing: (a) Phase I Basic Bid Lump Sum, (b) Phase I Workers' Meals/Lodging per diem, (c) Phase II Basic Bid Lump Sum, (d) Phase II Workers' Meals/Lodging per diem = (e) Total Basic Bid (a+b+c+d), (f) Alaska Bidder's Preference, (g) Alaska Veteran-Owned Business Preference, (h) Alaska Products Preference = (i) Adjusted Bid amount (e-f-g-h)	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Bids and Bid Express and Proposal Schedule of Items Report. Consider combining all Bid Schedule Reports into single report layout.	Medium

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-16, 10 of 12	Bid Schedules, #10 of 12	Construction items will be added by Change Order; maintenance items are exempt from Davis-Bacon (fixed price): (a) Total Basic Bid, (b) Alaska Bidder's Preference, (c) Alaska Product Preference = (d) Adjusted Bid Amount (a-b-c); (e) Hourly rate for extra services	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Bids and Bid Express and Proposal Schedule of Items Report. Consider combining all Bid Schedule Reports into single report layout.	Medium
AKDOT &PF-16, 11 of 12	Bid Schedules, #11 of 12	These are for Dust Palliative items by quantity of material and total amounts in dollars. Bids are evaluated by two criteria: 1) Takotna Palliative Weighted Bid = greatest Bid Quantity (this location, this product) x Total Amount / Bidder's Bid Quantity; 1) McGrath Palliative Weighted Bid = greatest Bid Quantity (this location, this product) x Total Amount / Bidder's Bid Quantity	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Proposal Schedule of Items report. Consider combining all Bid Schedule Reports into single report layout.	Minor
AKDOT &PF-16, 12 of 12	Bid Schedules, #12 of 12	This is the basic schedule for capturing Quantities and Proposed Cost for each item	Word document / manual	AASHTOWare Project Expedite and Bid Express's Schedule of Bids gen.config file	Proposal Schedule of Items Report	Use AASHTOWare Project Proposal Schedule of Items report. Consider combining all Bid Schedule Reports into single report layout.	Minor

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-17	Federal EEO Bid Conditions, Form 25A-301	Standard federal equal employment opportunity construction contract specifications for all non-exempt federal and federally-assisted construction contracts to be awards in the state of AK.	Word document	N/A	N/A	Keep current	Minor
AKDOT &PF-18	EEO-1 Certification, Form 25A-304	Form template capturing qualifying information whether a Bidder or Proposed Subcontractor is exempt from submitting the federal Standard Report form 100.	Word document template / manual	Vendor General Summary, Vendor DBE Summary	N/A	Keep current	Minor
AKDOT &PF-19	Training Program Request, Form 25A-310	Form template for capturing required Training on a project: required skills needed, level of competency for starting trainees, training to be provided by skill set/estimated training hours, and level of competency for trainees at the end of the Training program. This form includes OJT Wages.	Word document template / manual	Proposal-OJT Goal & Goal Units, Proposal-Wage Decisions, CRL-OJT Trainee Goal, CRL Ref tables for OJT	OJT By Contract and Trade Category Report	Use AASHTOWare Project OJT By Contract and Trade Category Report	Medium



Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-20	Training Utilization Report, Form 25A-311	Form template to capture scope of Training program(s) hours, craft codes needed, job classification, and number of trainees approved for the project	Word document template / manual	Proposal-OJT Goal & Goal Units, Proposal-Wage Decisions, CRL-OJT Trainee Goal, CRL Ref tables for OJT	OJT By Contract and Trade Category Report, OJT Employment Information Report	Use AASHTOWare Project OJT Reports	Minor
AKDOT &PF-21	Contract Report, Form 25A-321A	Form template for contractors to capture response communications from a potential DBE vendor to arrange subcontract work on a project	Word document template / manual	N/A	N/A	Keep current	Minor
AKDOT &PF-22	DBE Subcontractable Items, Form 25A-324	Form template breakdown of each Bid Item, item description, and category to be subcontracted to a DBE on a project	Word document template / manual	Proposal-Vendor-DBE Commitments, RefItem-DBE Interest Required	Proposal DBE Interest Report	Use AASHTOWare Project Proposal DBE Interest Report	Medium

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-23	DBE Utilization Report, Federal Aid, Form 25A-325C	Form template for contractors to list their anticipated work by each DBEs on a project, the assigned Item/Work, subcontracted dollar amount, type of credit, and creditable dollar amount. The totals in dollars and percentages are documented against the project's DBE goal.	Word document template / manual	Proposal-Vendor-DBE Commitments	DBE Commitment Verification Report	Use AASHTOWare Project DBE Commitment Verification Report	Minor
AKDOT &PF-24	Prime Contractor's Written DBE Commitment, Form 25A-326	Form template for contractors and each of their committed DBE subcontractors' information regarding work to be outsourced by dollar amount for a project.	Word document template / manual	Proposal-Vendor-DBE Commitments-Work Items	Proposal DBE Commitment Report	Use AASHTOWare Project DBE Commitments Reports	Medium
AKDOT &PF-25	Summary of Good Faith Effort, Form 25A-332A Required documents, State Aid, Form 25D-4	Form template for contractors to illustrate their good faith efforts to obtain DBE firms to complete subcontracted work on a project as required by participation goal. The listing includes each DBE submitting quotes, qualifications to do specific Pay Item work, and other metrics to illustrate compliance to obtain DBE participation.	Word document template / manual	CRL-Bidder/Quoter Summary, Proposal-Vendor-DBE Commitments-Work Items, Proposal-Vendor-DBE Commitments Good Faith Efforts	Proposal DBE Commitments Reports	Custom report to extract Proposal DBE Commitment and Good Faith Effort for a proposal/project, cross-walked with Work Items and other DBE Vendor data fields	Medium

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-26	Required documents, State Aid, Form 25D-4	Memo outlining required documents for Bid, After Notice of Apparent Low Bidder, and Required for Award per State Contracts	Word document	AASHTOWare Project Expedite or AASHTOWare Project Bids, Bid Express	N/A	Use AASHTOWare Project Bids, customize instructions and links on Agency's Bid Express website	Medium
AKDOT &PF-27	Required documents, Federal aid, Form 25D-4A	Memo outlining required documents for Bid, After Notice of Apparent Low Bidder, and Required for Award per Federal Aid Contracts	Word document	AASHTOWare Project Expedite or AASHTOWare Project Bids, Bid Express	N/A	Use AASHTOWare Project Bids, customize instructions and links on Agency's Bid Express website. Consider combining reports	Medium
AKDOT &PF-28	Subcontractor List, Form 25D-5	Form template for contractors to itemize each Subcontractor and their scope of work to be performed on a project.	Word document template / manual	Proposal-Vendors-Bidder/Quoter	Proposal DBE Commitments Reports	Modify Proposal DBE Commitments Reports or Contracts DBE Commitments Reports	Medium
AKDOT &PF-29	Bidder Registration, Form 25D-6	Form template annual registration for all contractors to complete (prime, subs, DBE, SB, etc.) to bid/work on projects. Entries are aggregated for an online Bidder Registration Directory.	Word document template / manual		N/A	Create online web form to integrate with AASHTOWare Project RefVendor for validation and subsequent interface to online directory	Major
AKDOT &PF-30	Invitation to Bid, Form 25D-7	Form template to capture overarching project scope information inviting contractors to Bid.	Word document template / manual	Letting-Proposals	Notice to Contractors	Use AASHTOWare Project Letting-Proposals Notice to Contractors report	Minor

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-31	Contractor's Questionnaire, Form 25D-8	Form template to capture screening questions from a contractor regarding financial contract performance issues, itemization of intended equipment to be used, and experience working with other contractors/subs in AK.	Word document template / manual	Letting-Proposals, Cost Estimate Summary, Bid Letting Summary-Bid Letting Prequalification Prequalification Work Type Report	N/A	Keep current	Minor
AKDOT &PF-32	Bid Form, Form 25D-9	Form template for prime contractors to complete to acknowledge submitting of their Bid/applicable addenda, and non-collusion declaration for a project.	Word document template / manual	AASHTOWare Project Expedite, Bid Express confirmation screen	Confirmation screen and #, receipt	Use of AASHTOWare Project Bids, Bid Express, and Proposal Schedule reports for manual bids. Consider combining these 2 reports into single form.	Medium
AKDOT &PF-33	Building Proposal, Form 25D-9A	Form identical to the Bid Form above, except for a Building Proposal (not in a template format)	Word document / manual	AASHTOWare Project Expedite, Bid Express confirmation screen	Confirmation screen and #, receipt	Use of AASHTOWare Project Bids, Bid Express, and Proposal Schedule reports for manual bids. Consider combining these 2 reports into single form.	Medium

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-34	Construction Contract (Aviation), Form 25D-10A	Formal contract template binding a contractor to an aviation construction contract.	Word document template / manual	Contract Administration Summary	N/A	Keep current	Minor
AKDOT &PF-35	Construction Contract (Highway), Form 25D-10H	Formal contract template binding a contractor to a highway construction contract.	Word document template / manual	Contract Administration Summary	N/A	Keep current	Minor
AKDOT &PF-36	Payment Bond, Form 25D-12	Form template capturing payment bond information for a contract: principle, surety, dollar amount, contact information.	Word document template / manual	Contract Administration Summary, AASHTOWare Project Expedite / Bid Express	Bid Express Setup of Vendor screen	Use of AASHTOWare Project Bids, Bid Express and existing form for manual bids	Minor
AKDOT &PF-37	Performance Bond, Form 25D-13	Form template capturing performance bond information for a contract: principle, surety, dollar amount, contact information.	Word document template / manual	Contract Administration Summary, AASHTOWare Project Expedite / Bid Express	Bid Express Setup of Vendor Screen	Use AASHTOWare Project Bids, Bid Express and existing form for manual bids	Minor
AKDOT &PF-38	Bid Bond, Form 25D-14	Form template for contractors to complete their Principal and Surety contact information when submitting a Bid.	Word document template / manual	AASHTOWare Project Expedite / Bid Express	Bid Express Setup of Vendor Screen	Use AASHTOWare Project Bids, Bid Express and existing form for manual bids	Minor

<b>Report ID</b>	<b>Report Name</b>	<b>Report Description</b>	<b>Document Type / Generation Method</b>	<b>Related Business Process</b>	<b>Standard Report</b>	<b>AASHTOWare Project Recommended Action</b>	<b>Level of Effort</b>
AKDOT &PF-39	Affidavit of Individual Surety, Form 25D-15	Form template for a contractor's Surety to complete regarding their financial profile and certification of sufficiency.	Word document template / manual	AASHTOWare Project Expedite / Bid Express	Bid Express Setup of Vendor Screen	Use AASHTOWare Project Bids, Bid Express and existing form for manual bids	Minor
AKDOT &PF-40	Bid Modification, Form 25D-16	Form template for contractors to make itemized changes to their Bid by Pay Item Number: revision by quantity and dollar amount.	Word document template / manual	AASHTOWare Project Expedite / Bid Express	AASHTOWare Project Expedite / Bid Express edit Bid screen	Use AASHTOWare Project Bids, Bid Express and existing form for manual bids	Minor

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-41	Required Contract Provisions for Federal-Aid Construction Contracts, Form 25D-55A	Requirements outlined for Federal-Aid Construction Contracts (FAA): 1) General, 2) Civil Rights Act Title VI, 3) Buy American Preferences, 4) David-Bacon Labor Provisions, 5) Contract Work Hours and Safety Standards Act, 6) Subletting or Assigning the Contract, 7) Access to Records and Reports, 8) Certification of Nonsegregated Facilities, 9) Clean Air and Water Pollution Control, 10) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion, 11) Lobbying and Influencing Federal Employees, 12) Equal Employment Opportunity, 13) Disadvantaged Business Enterprise, 14) Rights to Inventions, 15) Trade Restriction Clause, 16) Veteran's Preference, 17) Termination of Contract	Word document	Proposal-Special Provisions	N/A	Create required special provisions entries in AASHTOWare Project Reference Data-Special Provisions for use in Proposals or use existing form.	Medium

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-42	Required Contract Provisions for Federal-Aid (FHWA) Construction Contracts, Form 25D-55H	Requirements outlined for Federal-Aid Construction Contracts (FHWA): 1) General, 2) Nondiscrimination, 3) Nonsegregated Facilities, 4) Davis-Bacon and Related Act Provisions, 5) Contract Work Hours and Safety Standards Act Provisions, 6) Subletting or assigning the Contract, 7) Safety: Accident Prevention, 8) False Statement Concerning Highway Projects, 9) Implementation of Clean Air act and Federal Water Pollution Control Act, 10) Compliance with Government wide Suspension and Debarment Requirements, 11) Certification Regarding Use of Contract Funds for Lobbying	Word document	Proposal-Special Provisions	N/A	Create required special provisions entries in AASHTOWare Project Reference Data-Special Provisions for use in Proposals or use existing form.	Medium



Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-43	Required Contract Provisions for Federal-Aid (FTA) Construction Contracts, Form 25D-55T	Requirements outlined for Federal-aid Construction Contracts (FTA): 1) General, 2) Fly American Requirements, 3) Buy American Requirements, 4) Charter Buss and School Bus Requirements, 5) Cargo Preference Requirements, 6) Seismic Safety Requirements, 7) Energy Conservation Requirements, 8) Clean Water Requirements, 9) Bus Testing, 10) Pre-Award and Post Delivery Audit Requirements, 11) Lobbying, 12) access to Records and Reports, 13) Federal Changes, 14) Bonding Requirements, 15) Clean Air, 16) Recycled Products, 17) Davis-Bacon and Copeland Anti-Kickback Acts, 18) Contract work Hours and Safety Standards Act, 19) Reserved, 20) No Government Obligation to Third Parties, 21) Program Fraud and False or Fraudulent Statements and Related Acts,	Word document	Proposal-Special Provisions	N/A	Create required special provisions entries in AASHTOWare Project Reference Data-Special Provisions for use in Proposals or use existing form	Medium

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
		22) Termination, 23) Government-wide Debarment and Suspension (Nonprocurement), 24) Privacy act, 25) Civil Rights Requirements, 26) Breaches and Dispute Resolution, 27) Patent and Rights in Data, 28) Transit Employee Protective Agreements, 29) Disadvantaged Business Enterprise (DBE), 30) Reserved, 31) Incorporation of Federal Transit Administration (FTA) Terms, 32) Drug and Alcohol Testing, 33) Appendix	Word document	Proposal-Special Provisions	N/A	Create required special provisions entries in AASHTOWare Project Reference Data-Special Provisions for use in Proposals or use existing form.	Medium
AKDOT &PF-44	Materials Origin Certificate, Form 25D-60	Form template for contractors to complete stating compliance of project materials being manufactured in the US; Area to indicate excluded product(s) used by country of origin and cost.	Word document template / manual	Materials-Sample Records-Buy American code table	N/A	Use current form, attach to Contract Materials and Acceptance Actions window	Minor

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-45	Buy American Certificate, Form 25D-61	Form template for contractors to complete stating compliance of buying American products for project materials; Area to indicate excluded product(s) used by country of origin.	Word document template / manual	Materials-Sample Records-Buy American code table	N/A	Use current form, attach to Contract Materials and Acceptance Actions window	Minor
AKDOT &PF-46	Monthly Employment Report, Form 25D-1589	Excel spreadsheet report for capturing monthly ARRA (American Recovery and Reinvestment Act) employees, hours, and payroll by project.	Excel spreadsheet document / manual	Contractor Payments, CRL Payrolls	Contract Vendor Data Employment Report, Federal 1392 Report, Payment estimate for Contractor, Payment Estimate Summary by Project Report	Use AASHTOWare Project Contractor Payments and CRL Payrolls reports	Medium
AKDOT &PF-47	CRO ACDBE Welcome Letter	Formal memo to Airport Concession Disadvantaged Business Enterprise vendor of their inclusion into eligible certification/directory listing. Summary of vendor fields illustrated.	Word document	Vendor DBE Summary	N/A	Use current letter, attach to Vendor DBE window or URL to document management system/repository	Minor

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-48	CRO Annual Letter Approved	Formal memo to a DBE vendor confirming 'No Change Affidavit' of their qualifications, thereby continuing their eligible certification/directory listing. Summary of vendor fields illustrated.	Word document	Vendor DBE Summary	N/A	Use current letter, attach to Vendor DBE window or URL to document management system/repository	Minor
AKDOT &PF-49	CRO Annual Review Letter	Formal memo to a DBE vendor requesting required Annual Review documentation for eligibility.	Word document	Vendor DBE Summary, DBE Directory	N/A	Use current letter, attach to Vendor DBE window or URL to document management system/repository	Minor
AKDOT &PF-50	CRO DBE Welcome Letter	Formal memo to Disadvantaged Business Enterprise vendor of their inclusion into eligible certification/directory listing. Summary of vendor fields illustrated.	Word document	Vendor DBE Summary, DBE Directory	N/A	Use current letter, attach to Vendor DBE window or URL to document management system/repository	Minor
AKDOT &PF-51	CRO Final Decertification Letter	Formal memo to a DBE vendor alerting they have not provided the necessary information/ documentation for continued DBE qualifications	Word document	Vendor DBE Summary	N/A	Use current letter, attach to Vendor DBE window or URL to document management system/repository	Minor

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-52	CRO Notice of Intent to Remove Eligibility	Formal memo to a DBE vendor alerting they removal of eligibility and listing in the DBE directory due to non-compliance/no action regarding required qualifying documentation.	Word document	Vendor DBE Summary, DBE Directory	N/A	Use current letter, attach to Vendor DBE window or URL to document management system/repository	Minor
AKDOT &PF-53	Compilation of Bids	Official document of table indicating engineer's estimate and comparison of three lowest bidders	Word document / manual	Bis Tab Analysis, Vendor Ranking	Bid Tab Analysis	Use AASHTOWare Project Letting-Bid Tab Analysis Report	Minor
AKDOT &PF-54	Contact Report	Form punch list capturing DBE vendors contacted soliciting quotes to sub-bid on items for a project; Results of contact efforts are documented (dates, faxes, letters, results of contact)	Word document / manual		N/A	Keep current form	Minor
AKDOT &PF-55	Disadvantaged Business Enterprise Utilization Report	Official document outlining certified DBEs to work on a project, their work items and dollar amount value, and other percentages	Word document / manual	Proposal- DBE Commitments, Contract-DBE Commitment	DBE Commitment Verification Report, Contract DBE Interest Report	Modify slightly current DBE Commitment Reports to include department's goal data fields (not just the contract's goal)	Minor
AKDOT &PF-56	Subcontractor Summary	Excel spreadsheet with formulas computing each (DBE) subcontractors' work items, dollar amount, and other applicable tracking dates	Excel document with formulas, macros / Manual	CRL- Subcontract Overview, Contracts- Subcontracts	Subcontract Listing, Contract Clearance DBE Participation Report	Use AASHTOWare Project Subcontractors reports	Medium

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-57	Engineer's Estimate	System generated report of Engineer's estimate for project items, including sections identifying: "prepared by" and "checked by" signatures/date	Report printout / system	Projects, Prime Projects, Proposals	Preliminary Detail Cost Estimate	Use AASHTOWare Project Preliminary Detail Cost Estimate	Medium
AKDOT &PF-58	OJT Goals	Excel workbook with four worksheets and formulas/ calculations that compute data from the first worksheet to populate additional cells on the other worksheets to determine OJT goals, number of positions, and hours, to include on-labor items	Excel document with formulas, macros / Manual	On the Job Trainee Program Summary-Wage Rate Progressions Skill Sets	Proposal DBE Interest Report, OJT by Contract & Trade Category Report	Use AASHTOWare Project Proposal DBE Interest Report for determining goals, and the other report for historical reference/forecasting. Consider combining these reports.	Minor
AKDOT &PF-59	OJT Goals Set	Excel workbook with formulas, calculations of OJT goal value determination on one worksheet driven by pay items' quantities/ estimation value on another worksheet	Excel document with formulas, macros / Manual	Refltem: DBE Interest Required Flag, DBE Interest to Apply Flag	Proposal DBE Interest Report	Use AASHTOWare Project Proposal DBE Interest Report. Consider combining these reports.	Minor
AKDOT &PF-60	Contractor Self-Certification for Subcontractors, Form 25D-042	Word template document for contractors' verification of their subcontractors' qualifying characteristics, agreement to terms and conditions as prime.	Word template document / Manual		N/A	Keep current form	Minor

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-61	FAA Memo Email of Concurrence to Advertise	Email memo to FAA requesting permission to advertise a project	Email / Manual	System event trigger on a proposal to email distribution list	N/A	Create system event on a proposal ready for advertisement to email FAA with custom message	Minor
AKDOT &PF-62	FAA Authority to Advertise	Formal memo letter authorizing advertisement of a project, signature sign-off from applicable agents	Word document / Manual		N/A	Keep current letter or system event if FAA is user in AASHTOWare Project	Minor
AKDOT &PF-63	Design Status Report	Word document with various tables capturing over-arching information about a project in Design phase: scope, summary, phase estimates, funding and expenditures, milestones and dates, status by Design department with comments	Word document / Manual	Project Summary Fund Packages	N/A	OData query for applicable information to be pulled into a report or custom Active Report	Medium
AKDOT &PF-64	00 SubTrack Workbook 60921	Excel worksheet one is the Subcontractor Summary, worksheet two is the Subcontract Self Cert Checklist	Excel spreadsheet	RefVendor, Subcontract Summary window	N/A	Create subcontractors in RefVendor Table, Use Contract Administration – Subcontract window and fields	

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-65	17 01 09 Weekly Certified Payroll	Excel workbook containing a Weekly Payroll Tab for capturing data, and Employee List Tab for cataloguing employees to be captured on payrolls, and a Do Not Edit Tab for code values and version control	Excel spreadsheet / Manual	Payrolls spreadsheet and Converter Utility on Cloverleaf, Contract Payrolls, Certified Payrolls	Payrolls spreadsheet on Cloverleaf	Use Payrolls spreadsheet and Converter Utility on Cloverleaf, Contract Payrolls, Certified Payrolls	
AKDOT &PF-66	10 01 10 Biweekly Certified Payroll	Same as above Weekly Payrolls file (including Tabs) but configured for Biweekly schedule	Excel spreadsheet / Manual	Payrolls spreadsheet and Converter Utility on Cloverleaf, Contract Payrolls, Certified Payrolls	Payrolls spreadsheet on Cloverleaf	Use Payrolls spreadsheet and Converter Utility on Cloverleaf, Contract Payrolls, Certified Payrolls	
AKDOT &PF-67	25A-321A Contact Report MASTER 1-02	Federal-aid projects' form for contractors to complete details regarding communication efforts to contact subcontractors/vendors to participate towards DBE.	Word document template / Manual	Bid Letting Summary - Bidder/Quoter	Bidder/Quoter Report, Bidder/Quoter Certification Report	Use Bidder/Quoter Report, Bidder/Quoter Certification Report	
AKDOT &PF-68	59120 FAA ATA Request	FAA Form 5100-134 (1/16) PDF document memo from agency illustrating summary information from Airport Improvement Program Sponsor Certification	PDF / Manual	Prequalification of vendors, email notification to FAA	Bid Letting Prequalification Report (Bid Letting Summary – Prequalified vendors)	Create this form into a custom report and incorporate into the prequalification process for vendors	High



Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-69	60262 DBE Goal	Official memo from Construction to Civil Rights & Compliance Division notifying DBE and OJT goals set for a project	Word document / Manual	Proposal Summary-DBE and OJT goal setting for subcontractors	N/A	Create a system event on the two fields on Proposal Summary indicating the DBE and OJT goals'	
AKDOT &PF-70	63017 Certified Bidtab OCR	PDF document of signed and certified compilation of Bids	PDF file / generated from Excel or another program	Bid Letting/Bid Tab analysis	Bid Tab Analysis – Tabulation of Bids	Use Bid Tab Analysis – Tabulation of Bids	
AKDOT &PF-71	63017 Contract Reports and Quotes	Contact MASTER Report and attached documentation audit trail of all correspondence related to project	Word document template / Scanned emails, faxes, correspondence	Bid Letting Summary - Bidder/Quoter	Bidder/Quoter Report, Bidder/Quoter Certification Report	Use Bidder/Quoter Report, Bidder/Quoter Certification Report, create links to accompanying attachments/ documentation in Document Management system	

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-72	63017 GFE Summary	Summary of Good Faith Effort Documentation form contractors complete and attach to Contact report	Word document template / manual	Vendor DBE Commitments, Approved DBE Commitments	Review DBE Commitments Report, Review Contract Current DBE Commitment Report (includes Good Faith Efforts), Contract Clearance DBE Participation Report, Subcontract Listing report	Use Review DBE Commitments Report, Review Contract Current DBE Commitment Report (includes Good Faith Efforts), Contract Clearance DBE Participation Report, Subcontract Listing report	
AKDOT &PF-73	63017 Prime Commit	Form 25A325 (6/01) Prime Contractor's Written DBE Commitment indicating DBE firm, description of work, and dollar amount	Word document template / manual	Proposal DBE Commitments	DBE Commitment Verification Report	Use DBE Commitment Verification Report	
AKDOT &PF-74	63017 Subcontractable Items	Form 25A-324 (12/14) Prime Contractor's DBE Subcontractable Items for a project by Bid Item Number, Description, and Category	Word document template / manual	Bidder/Quoter Proposal Summary	Bidder/Quoter Report	Use Bidder/Quoter Report with some customizations to include Category	
AKDOT &PF-75	63017 Sublist & DBE Report	Form 25D (10/12) for Prime Contractor's to list each subcontracting vendor, address, and phone for a project	Word document template / manual	Subcontractors	N/A (not on PreCon side, only active contracts)	ODATA Query from RefVendor and Bidder/Quoter Proposal Items	

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-76	63017 GFE Memo to CRO	Formal memo from Construction to Contract Compliance requesting a review of the Good Faith Effort for a contractor on a project; Memo includes listing of all applicable documents	Word document / Manual	Proposal DBE Commitments/ Good Faith Efforts	N/A	Keep current	
AKDOT &PF-77	64252 Dalton Elliot Steese Hwy Signs and Striping OJT Goal	Excel workbook with formulas to capture each Subcontractable item on a project, its estimate value, % of total, an indicator towards DBE goal, and recommended category	Excel workbook with formulas / manual	Proposal DBE Commitments	N/A	Create a custom report pulling data from Proposal-DBE Vendor – Work Items Tab, or ODATA Query	
AKDOT &PF-78	64252 Dalton Elliot Steese Hwy Signs and Striping OJT Goal Set	Excel workbook with formulas on the following Tabs: Enter Info, Minimum Number of Positions, Minimum Number of Hours, and Non-Labor Items. This workbook is completed in order to derive and set the OJT Goal for a project	Excel workbook with formulas / manual	Proposal DBE Commitments	N/A	Create a custom report pulling data from Proposal-DBE Vendor – Work Items Tab, or ODATA Query	

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-79	64252 and 64257 Engineers' Estimate	Two examples of the agency's Engineering Estimates (Bid Item Number, Description, Quantity, Unit of Measure, Unit Price, and dollar amount computed.	Word document, system generated Estimate	Project Estimates, Proposal Estimates	Preliminary Project Detail Estimate, Final Project Detail Estimate, Preliminary Proposal Detail Estimate, Final Proposal Detail Estimate	Use either or both: Preliminary Project Detail Estimate, Final Project Detail Estimate, Preliminary Proposal Detail Estimate, Final Proposal Detail Estimate	
AKDOT &PF-80	Form 25D-042 (10/09) Required Contract Provisions	Form 25D-042 (10/09), Contractor Self Certification for Subcontractors and Lower Tier Subcontractors. Contractor certification checklist of total agreement amounts, subcontractors' information	Word form template / manual	Subcontractors, Bidder/Quoter, DBE Commitments	Bidder/Quoter Verification Report	Customize slightly the Bidder/quoter Verification Report	
AKDOT &PF-81	ANC B Gates FAA Approval Email	FAA email correspondence of approval to advertise requested project	Email / manual	Letting – advertisement of proposals (projects)	N/A	A system event driven off workflow phase/Issue steps for a proposal/project could send an email to FAA for their review: external access would allow approval of Step Issues and flag the record for advertisement	High

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-82	ATA_ ANC Gates B1, B3, & B5 Reconstruction	Formal memo for FAA Authority to Advertise project, including Project Certification page with signatures	Word document / manual	This process is a subsequent, follow up step in the item above - #81	N/A	Continue system event email triggers from above process and indicate FAA concurrence to advertise	High
AKDOT &PF-83	CUF	Commercially Useful Function (CUF) Monitoring Report: Questionnaire completed by Prime Contractor on the performance of a DBE working on their project	Word document template / Manual	Construction – Contractor Evaluation, Ratings Tab	Contractor Evaluation Report	Customize Contractor evaluation report to match AKDOT&PF's CUF form	
AKDOT &PF-84	DBE Plan Attachment 2-1	AKDOT&PF's DBE Program Plan document outlining all policies, procedures, forms, and reporting requirements	Word document /	Proposal DBE Commitments, Contract DBE Commitments, DBE Revisions per projects	N/A	Keep current	
AKDOT &PF-85	DBE Plan attachment 3-2	Inclusive document of forms/questionnaire for DBEs to complete for participation, vetting, compliance, and other terms of engagement	Word document / Manual	Proposal DBE Commitments, Contract DBE Commitments, DBE Revisions per projects	N/A	Keep current	
AKDOT &PF-86	Pinnacle 20171227 Financial-OB Status Report	Project obligation status report of projects of estimated dollar and date values and Need ID. Report stored in Pinnacle.	Word document/ IRIS	Engineer's Estimate, Projects	N/A (Estimation module only: Project Cost Estimates)	Create a custom report pulling project data, dates, new Need ID code Table/values, and Engineer's Estimate, or ODATA query	

Report ID	Report Name	Report Description	Document Type / Generation Method	Related Business Process	Standard Report	AASHTOWare Project Recommended Action	Level of Effort
AKDOT &PF-87	Pinnacle ATA_ANC Gates B1, B3, & B5 Reconstruction Design Status Report	System generated Project Design Status Report encapsulating financial details of project, key dates, comments/ remarks, and other updates	System?	Projects	N/A	Keep current	

Table 5-4. AKDOT&PF Preconstruction and Civil Rights Reports

The AASHTOWare Project Bids software does not contain any reports, only the option to print out a paper bid in various formats.

## 6. Hardware and Software Infrastructure

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One of the steps required for a successful implementation is ensuring the correct hardware and software infrastructure is in place to support the new software. The following section documents the recommendations as to how best prepare for the new environment.

Note that the references to Cloverleaf documentation and release information contained therein reflect the most recent production release of the AASHTOWare Project software. The Cloverleaf website (<https://www.cloverleaf.net>) is a useful resource for AASHTOWare Project support, status, and planning activities. After logging in to Cloverleaf, the agency can select the Support link that is available on the home page. The Status and Planning page provides links to AASHTOWare Project Hardware and Software Specifications.

For AASHTOWare Project 3.01 three documents are available on Cloverleaf:

- [Release Test Platform Plan](#)
- [Web-based AASHTOWare Project Platform Component Status](#)
- [Web-based AASHTOWare Project Environment Considerations](#)

### 6.1 Installation Environment(s)

In addition to performing analysis of current business processes, AKDOT&PF needs to prepare their hardware, software, and network environments. For reference, this chapter provides links to the current release tested hardware, software, and network configurations for the web-based AASHTOWare Project software.

The following sections describe the necessary AKDOT&PF infrastructure for information technology, relative to the architecture and infrastructure requirements for web-based AASHTOWare Project implementation.

### 6.1.1 AKDOT&PF Network Architecture

The requirements for web-based AASHTOWare Project hardware are discussed in the sections that follow.

### 6.1.2 Client Hardware and Software

Client hardware refers to the computers used to access web-based AASHTOWare Project software. Cloverleaf provides hardware configurations on which all required release tests successfully passed during release testing by Info Tech.

Client software refers to the software operating system and applications installed on the computers used to access web-based AASHTOWare Project software.

AKDOT&PF needs to determine if there will be any issues with the required settings for Internet Explorer for the AASHTOWare Project modules to display properly. For example, the AASHTOWare Project Preconstruction module requires that in Internet Explorer in the Compatibility View Settings window, the **Display intranet sites in Compatibility View** check box be cleared for components to be displayed properly. The browser should also be set to refresh previously viewed pages, and the browser security must enable DOM (Document Object Module) storage. For further details on these IE settings refer to section *1.5.7 Web Browsers* of the *Installation Instructions*. AASHTOWare Preconstruction 3.01 is supported with Internet Explorer version 11 (IE11) and Chrome. AASHTOWare Project 3.01 is supported on Microsoft Edge as well.

The detailed hardware and software release tested configurations for client computers accessing web-based AASHTOWare Project software can be found in the *Release Test Platform Plan* available on Cloverleaf: [https://www.cloverleaf.net/sys\\_arch/wt/index.shtml](https://www.cloverleaf.net/sys_arch/wt/index.shtml)

**Note:** Hardware and software specifications reflect those on which all required release tests successfully passed during release testing by Info Tech. Note that these are not recommended minimum specifications for an agency's environment. For best performance, consider your organization's unique factors, such as number of users and network traffic, when determining hardware/software configurations.

- If you purchase new client computers as part of implementing AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software, Info Tech recommends purchasing the maximum processor and RAM allowable by the agency budget. Four (4) GB RAM is recommended for client computers accessing the web-based AASHTOWare Project software.
- Info Tech also recommends using the *Web-Based AASHTOWare Project Platform Component Status by Year* document available on Cloverleaf. The document provides details of AASHTO's two fiscal year planned release test platforms, supported, and unsupported platforms. The document can be found by logging in to Cloverleaf, navigating to the Support page, and selecting the file listed under Supported Products & Platforms.



AASHTOWare Project system managers can review detailed information on configuring the browser for optimization by referring to the Internet Explorer section of the *Web-Based AASHTOWare Project Installation Instructions*. To access this document on Cloverleaf, you must log in using an account that is either an end-user designee or a shipping designee for the agency. After logging in, select Software Downloads from the left-hand menu.

IT Support staff can refer to section 1.5.8 *Internet Explorer* of the *Web-Based AASHTOWare Project Installation Instructions* contained in the Installation ZIP file. You do not need to perform an installation to view this PDF. During the implementation, the project team will work with IT to determine if there will be any issues with the required settings for Internet Explorer that allow the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software to display properly.

### **6.1.3 Web/Application Database Servers Hardware and Software**

The recommended configuration for web-based AASHTOWare Project server software is a two-tier setup. The configuration should consist of the web and application server combined on one server, which provides better support for load balancing. The web server is lightweight, and separating it from the application server does not provide any benefit and potentially introduces network latency between the application and web servers. The second tier is the database server.

#### **Web Server**

Web server hardware is the computer used to host the AASHTOWare Project website and which contains the AASHTOWare Project user interface. Cloverleaf provides hardware configurations on which all required release tests successfully passed during release testing by Info Tech.

Web server software is the software operating system and applications installed on the computer used by AASHTOWare Project software.

The detailed hardware and software configurations for web servers can be found in the *Release Test Platform Plan* available on Cloverleaf: [https://www.cloverleaf.net/sys\\_arch/wt/index.shtml](https://www.cloverleaf.net/sys_arch/wt/index.shtml)

**Note:** Hardware and software specifications reflect those on which all required release tests successfully passed during release testing by Info Tech. Note that these are not recommended minimum specifications for an agency's environment. For best performance, consider your organization's unique factors, such as number of users and network traffic, when determining hardware/software configurations. If AKDOT&PF is purchasing new servers as part of implementing AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software, Info Tech recommends purchasing the maximum processor and RAM allowable by the agency budget. Regarding the web server, the number of processors is more impactful than the amount of RAM. Info Tech recommends a server with two quad core processors and no less than 8 GB of RAM. This hardware configuration has proven to perform well in Info Tech's experience with implementations.

#### **Application Server**

Application server hardware is the computer used to host the application and which contains the business layer. Cloverleaf provides hardware configurations on which all required release tests successfully passed during release testing by Info Tech.

Application server software refers to the software operating system and applications installed on the computer used by web-based AASHTOWare Project software.

The tested hardware and software configurations for application servers can be found in the *Release Test Platform Plan* available on Cloverleaf:  
[https://www.cloverleaf.net/sys\\_arch/wt/index.shtml](https://www.cloverleaf.net/sys_arch/wt/index.shtml)

**Note:** Hardware and software specifications reflect those on which all required release tests successfully passed during release testing by Info Tech. Note that these are not recommended minimum specifications for an agency's environment. For best performance, consider your organization's unique factors, such as number of users and network traffic, when determining hardware/software configurations. If purchasing new servers as part of implementing AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids, Info Tech recommends purchasing the maximum processor and RAM allowable by the agency budget. As with the web server, the number of processors on the application server is more impactful than the amount of RAM. Info Tech recommends a server with two quad core processors and no less than 8GB of RAM.

## **Database Server**

Database server hardware is the computer used to host the database used by the web-based AASHTOWare Project application. Cloverleaf provides hardware configurations on which all required release tests successfully passed during release testing by Info Tech.

Database server software refers to the software operating system and applications installed on the database computer used by web-based AASHTOWare Project software.

The tested hardware and software configurations for database computers can be found in the *Release Test Platform Plan* available on Cloverleaf:  
[https://www.cloverleaf.net/sys\\_arch/wt/index.shtml](https://www.cloverleaf.net/sys_arch/wt/index.shtml)

**Note:** Hardware and software specifications reflect those on which all required release tests successfully passed during release testing by Info Tech. Note that these are not recommended minimum specifications for an agency's environment. For best performance, consider your organization's unique factors, such as number of users and network traffic, when determining hardware/software configurations.

If purchasing new servers as part of implementing AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software, Info Tech recommends purchasing the maximum processor and RAM allowable by the agency budget.

The agency can also find detailed information on database setup in the Installing the Database section of the document *Web-Based AASHTOWare Project Installation Instructions*.

The agency can customize the database scripts manually or automatically using the Replace utility. For detailed information on database script customization, refer to the Customizing the Database Scripts section of the *Web-Based AASHTOWare Project Installation Instructions*.

To access the *Web-Based AASHTOWare Project Installation Instructions* on Cloverleaf, you must log in using an account that is either an end-user designee or a shipping designee for the agency. After logging in, select Support, and select AASHTOWare Project Software Downloads.

The following table shows the current database servers present at AKDOT&PF.

<b>Current AKDOT&amp;PF Database Servers</b>	
<b>Information</b>	<b>Description</b>
Number of Database Servers	
Database Server Operating Systems	Windows
Preferred Database Server Operating System	Windows
Preferred Database Management System	Microsoft SQL Server

Table 6-1. Current AKDOT&PF Database Server Hardware and Software

#### **6.1.4 AKDOT&PF Internal AASHTOWare Project Application Support**

The state of Alaska has a centralized Data Center which provides network, server hardware, and some software to most of the state’s agencies. Servers are housed in the Data Center, including the servers for the current AASHTOWare Project applications. The Data Center builds the servers at the request of AKDOT&PF.

Info Tech recommends there is at least one DBA (Database Administrator) within AKDOT&PF, and a System Administrator for the AASHTOWare Project products as well as other related applications. Info Tech also recommends there be at least two Application Administrators who handle business-side configurations and processes within AKDOT&PF. The Application Administrators are super-users with knowledge of most of the functional areas of the software itself as well as the business flows within AKDOT&PF that encompass the Preconstruction, Civil Rights & Labor, and Bids processes. Info Tech recommends redundancy in these three areas, having multiple system administrators and multiple application administrators with clearly defined roles and responsibilities.

## 6.2 Web-Based AASHTOWare Project Architecture

This section describes the architecture for web-based AASHTOWare Project software.

The multi-layered application consists of a combination of multiple servers and client machines. This means that application functionality is partitioned between several different components, rather than completely residing on either the database server or the client personal computers. The following layers are required for optimal performance of web-based AASHTOWare Project applications:

- Client Layer** The client layer represents external clients that are responsible for submitting requests to web-based AASHTOWare Project and processing the responses. The client layer consists of two components: External Systems and Web Clients.
- An External System is an external software system that directly accesses web-based AASHTOWare Project functionality exposed through public AASHTOWare Project web services. For example, a design system could use a web service to transfer a project into AASHTOWare Project for estimation. Such web service requests are submitted to the Presentation Layer using standard web service protocols.
- A Web Client is a web browser that translates user actions into AASHTOWare Project requests and displays the results to the user. The interactions with the Presentation Layer utilize standard web protocols.
- Presentation Layer** The Presentation Layer is responsible for receiving a client request, invoking the appropriate Business Layer components to service the request, transforming the Business Layer response as needed, and delivering the response to the client.
- Business Layer** The Business Layer is responsible for business data, rules, and functions, for report generation, and for custom process execution. Business Layer clients access business data and functions through Models, invoke report generation through Report Handlers, and invoke custom processes through the Custom Process Handler. Models and Report Handlers utilize business objects to access business data, rules, and functions. Business Objects utilize the Data Validator to perform common data validations. The Custom Process Handler does not interact with Business Objects.
- Data Layer** The Data Layer is responsible for transaction management and execution, object/relational translation, and data persistence, logically through the Relational Database Management System (Relational DBMS). Business Objects make transaction requests to Entity Storage which utilizes the Data Handler to perform the low-level interactions with the Relational DBMS.

**Report Layer**

The Report Layer is responsible for generating reports in various formats using business data. Report Layer clients access report generation functions through services exposed by the Report Layer. These services allow for the specification of the business data over which to generate the report, as well as the desired output format.

### **6.3 Network/Bandwidth Requirements and Recommendations**

For communication protocols between clients and AASHTOWare Project servers and other information related to the agency's network environment, please see the *External Access Implementation Guide* that is available with the AASHTOWare Project installation and the *AASHTOWare Project Installation Instructions* available by logging in to Cloverleaf and selecting Status & Planning.

For information on ports used by the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software (application, web, and database servers), refer to the *Web-Based AASHTOWare Project Installation Instructions*, available from Cloverleaf and with the web-based AASHTOWare Project installation.

HTTP protocol is used for communication between the web browser installed locally on the client machine and the AASHTOWare Project IIS web server hosting the application. Agencies can also implement SSL with the HTTPS protocol.

### **6.4 Remote Communications for Info Tech Support**

Agencies often request remote support during implementation and sometimes on a continuing basis. Giving Info Tech staff access to AASHTOWare Project servers is highly recommended during the implementation to ensure the highest level of support. This will allow Info Tech's second-level support team to work directly on AKDOT&PF servers to pinpoint and resolve problems and make recommendations.

Info Tech subject matter experts (SMEs), using the current hosted site, will provide a large portion of the services offsite. This approach will not only reduce the travel time and expenses required to support the project, but will also ensure the AKDOT&PF project receives the most effective attention and effort from the appropriate resources for support and issue resolution.

This hosted connection will allow for faster responses and real-time problem diagnosis by Info Tech's support staff. If AKDOT&PF chooses to have an internal system set up and grant remote access during implementation, Info Tech will work with AKDOT&PF to establish the required VPN access in accordance with AKDOT&PF policies for security and network access.



## 7. System Security

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### 7.1 Security Overview

To protect the agency's system and the confidentiality of the information contained therein, web-based AASHTOWare Project displays only the information and actions for which a logged-on user has been assigned access rights by means of user roles. User roles combine the permissions needed for several related tasks and allow AKDOT&PF to more efficiently provide agency and non-agency users with access to the parts of the system they need.

When setting up the security system, there are questions AKDOT&PF needs to ask. Think about how the organization is structured, how people can be grouped together, and how work flows through the system. Once a general structure setup is defined, start configuring the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids applications accordingly.

This section only discusses security as it relates to internal agency users. AKDOT&PF has stated that they currently have no desire to pursue access by non-agency personnel.

## 7.2 User Roles

This section describes various details regarding security/role configuration that should be considered during implementation of AASHTOWare Project Preconstruction, Civil Rights & Labor, and Bids. For additional information about configuring and maintaining roles, please refer to the web-based AASHTOWare Project online Help Topic *Managing Security Roles* under **System Administration**.

User roles provide pre-established security parameters and accessibility rights for individual users. Each user must have at least one role to access the system. Upon logon, a user's role determines which components he/she will be able to access and which functions he/she will be able to perform. Users with multiple roles can switch between their designated roles from the Menu Bar by clicking the **Home** drop-down arrow and selecting the desired role.

User roles control:

- When a user has access based on the assigned workflow and phase;
- To what components and to which records a user has access, based on criteria within the records;
- Allowed resources, including: restricted fields, base and custom reports, imports, interfaces, processes, and services;
- Which dashboard components the role may access.

For example, permissions for proposals are given based on what component and at what time during the workflow a user should have access. Access can also be controlled based on specific proposals. Specific permissions can also be set at the individual field level.

AKDOT&PF can find detailed information on creating and customizing user roles in the web-based AASHTOWare Project Online Help, under System Administration/Roles. For additional information, see the Person/User Security Customization/Roles chapter of the *Web-Based AASHTOWare Project System Administration Customization Guide*. This document is provided when the agency licenses software and downloads the installation .zip file.

When defining access rights for a role, the following areas can be defined:

- **Role Summary** – This area is used to specify the dashboard components the role can access. These are the components the user will see when logging on to the system with this role. Select the highest-level component you wish the role to have.
- **Assign Rights: Components** – This area is used to specify what components and which records a role can access based on criteria within the records.
- **Assign Role Access Rights** – This area is used to assign access rights to the associated role for a variety of elements and features available in the system. Resources include restricted fields, selection criteria, base reports, custom reports, processes, custom processes, interfaces, file imports, and services.



- **Assign Rights: Workflow** – This area is used to define when a role has access based on the assigned workflow and phase. The workflow and phase can change during the lifecycle of an entity.
- **Assign Role to User** – This area is used to assign the selected role to particular users. Each user can be assigned multiple roles as needed.

### 7.2.1 Sample Roles

The following sample roles are included in the AASHTOWare Project Preconstruction application:

- ADMIN – Administrator Access
- PRECONUSER – Preconstruction User
- REFDATAUSER – Reference Data User
- SYSMANUSER – System Management

Sample roles are not typically suited for use out-of-the box, and are included for testing purposes only. Agencies often find it beneficial to create agency-specific roles by copying a sample role and editing it as necessary to meet agency role specifications.

The following sample roles are included in the AASHTOWare Project Civil Rights & Labor application:

- ADMIN – Administrator User
- CONTRACTS – Contracts User
- DBEUSER – Disadvantaged Business Enterprise User
- LABORUSER – Labor User
- NONAGESUBPAYMENT – Non-agency Subcontractor Payment User
- NONAGEBIDDER – Non-agency Bidder User
- NONAGEDBECOMMIT – Non-agency DBE Commitment User
- NONAGEPRIMEPAYROLL – Non-agency Prime Contractor Payroll User
- NONAGESUBPAYROLL – Non-agency Subcontractor Payroll User
- NONAGEUSER – Non-agency User
- CONTRACTOR – Contractor User
- REFDATAUSER – Reference Data User

- SYSMANUSER – System Management

The AASHTOWare Project Bids software inherently is for external contractor vendors to submit electronic bids, and therefore contains no specific Role that determines process-driven features.

## 7.3 AASHTOWare Project Component Access

This section provides general information about assigning component access rights to roles that should be considered during the AASHTOWare Project Preconstruction implementation.

### 7.3.1 Assign Component Access Rights

The Assign Rights: Components function allows an agency to assign and change the system components to which a user role is allowed access.

After selecting the components you want the system to display on the role's dashboard, the system lists these components on the Assign Rights: Components component. For example, if the Proposal Overview component is displayed on a role's dashboard, the Proposal Summary component, the Add Proposal component, and all other Proposal-related components would be listed on the Assign Rights: Components area.

For additional information about assigning component access rights, please refer to the AASHTOWare Project online Help Topic *Assigning Component Access Rights to a Role* under **System Administration**.

## 7.4 AASHTOWare Project Resource Access

This section provides general information about assigning resource access rights to roles that should be considered during implementation of the AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor software.

### 7.4.1 Assign Role Access Rights

The Assign Role Access Rights component allows an agency to assign access rights to a role for a variety of elements and features available in the system. Types of access rights are grouped into the following sections:

- **Resources** – This area is used to assign resources to a role and to assign the access level for resources (e.g. View, Add, Update, and Delete permissions for specific fields).
- **Restricted Fields** – This area is used to assign and change the rights of a role to access restricted fields (e.g. an employee's partial social security number, a vendor's maximum capacity, fields related to estimated price).

- **Selection Criteria** – This area is used to set limitations on the resources a role can access; “provide access where” a specific condition exists.
- **Reports** – This area is used to define which reports a role is allowed to view and generate (e.g. GenerateBidTabAnalysis, ProposalPriceSchedule).
- **Custom Reports** – This area is used to define which custom reports a role is allowed to view and generate.
- **Processes** – This area is used to define which processes a role is allowed to execute (e.g. ExportProjecttoEstimator, CopyItems).
- **Custom Processes** – This area is used to define which custom processes a role is allowed to execute.
- **Interfaces** – This area is used to define which interfaces a role is allowed to access (e.g. ExportEntityData).
- **File Imports** – This area is used to define which file imports a role is allowed to execute (e.g. ImportProjectFromEstimator, ImportDataLoader).
- **Services** – This area is used to define which services a role is allowed to access (e.g. AwardProposal, ReletProposal, RejectProposal).

For additional information about assigning resource access rights, please refer to the web-based AASHTOWare Project online Help Topic *Assigning Resource Access Rights to a Role* under **System Administration**.

## 7.5 AASHTOWare Project Workflows and Phases

This section describes general workflow and phase information that should be considered during implementation of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software.

### 7.5.1 Assign Workflows and Phases

A workflow is a set of relationships between tasks and the order in which those tasks are performed throughout the lifecycle of an agency project and proposal. The different activities, steps, and milestones contained in a workflow are separated into logical parts called phases. Each phase occupies a relative position in a workflow’s sequence of activities.

To determine how to set this up, consider how access to the entity will change over time as the life cycle progresses. Workflow phase access rights are used when there are different people who are in control during these stages or if the level of rights (for example, View, Update, or Delete) changes as the entity progresses.

Workflow rights are used to control access to an entity as it progresses through its life cycle. The Assign Workflow Rights component lists all the workflows in the system. You can assign workflow rights if the agency wants to control access to an entity as it progresses through its life cycle. For example, to prevent editing of a project record while the project is being estimated, a read-only phase could be implemented. To control the access as the project switches from one phase to another, access rights can be modified for each group. The following table illustrates this example.

Phase 1	Phase 2	Phase 3
Project Development	Estimate in Progress	Estimate Complete

Table 7-1. Sample Project and Estimate Workflow Phases

During phase 2, all roles could be set to have View Only access to the project record to prevent changes from occurring while it is being estimated. When the phase is switched to Phase 3, access would be restored to the appropriate roles.

It is possible to create a blank workflow if AKDOT&PF wants to provide access rights for records that do not have an assigned workflow. Records assigned a blank workflow can be used by all roles.

For additional information regarding workflows and phases, please refer to the AASHTOWare Project online Help Topic *Managing Workflows* under **System Administration**.

### 7.5.2 Workflow Phase Rules

Workflow phase rules can be used to define when certain business rules need to be applied during the lifecycle of an entity. These rules apply to any phase order greater than or equal to the phase associated with the rule.

Agencies can define workflows and phases, but are not currently able to create new business rules. Existing business rules (shown below) can be assigned to any phase the agency deems appropriate in any of their custom workflows.

The following table illustrates the rules that are available to be associated to a workflow phase. Rules are listed in the table in the order in which they appear in the default workflow. When you define a custom workflow, and decide to use one or more of the workflow phase rules, apply the rules to phases in the order in which they appear in this table. For example, a phase with the Addenda rule should come before a phase with the rule to FixBidCalculations.

Rule Name	Type	Description
FixPropItemLineNum	Current and Future	<p>This rule is intended to be used once a proposal has gone out for bid, primarily to prevent changes to existing proposal line numbers. An error in the roll up of proposal items prevents a proposal from entering a phase with this rule.</p> <p>When a proposal is in a phase with the FixPropItemLineNum rule or in any subsequent phase, the proposal line numbers cannot be changed. Biddable items cannot be added to a project without a proposal line number; therefore, importing a project can only be used to change items, not to add new items.</p>
Addenda	Current	<p>This rule is intended to be used to prevent changes that affect the published proposal unless an addendum is open. Any data exported to Expedite is locked, unless allowed by an open addendum.</p> <p>When a proposal is in a phase with the Addenda rule, users with permission can open, close, and approve addenda until the phase is changed to one that does not have the Addenda rule. The system displays a banner on the project and proposal related pages alerting the user that the addenda phase is in place for that proposal and whether an open addendum exists.</p> <p>All changes that affect the published proposal are tracked during phases with this rule. Different fields in the published information become read-only depending on the user's access level and whether an addendum is open.</p> <p>If an addendum is open, published information can only be modified by users with Addenda Change access.</p> <p>If no addendum is open, the published information for the proposal is read-only.</p> <p>Because non-bid project items are not considered part of the published information, they can be added or deleted.</p> <p>If the proposal has an unapproved addendum, the proposal cannot be exported to Expedite.</p> <p><b>Note:</b> When the addenda rule is applied to a phase, the FixPropItemLineNum rule is also automatically applied.</p>

Rule Name	Type	Description
FixProposalItem	Current and Future	<p>This rule is intended to be used once bids have been received to prevent any changes that would impact the proposal structure on which the bid is based. If a warning is generated in the roll up of proposal items, the proposal is prevented from entering a phase with this rule.</p> <p>When a proposal enters a phase with the FixProposalItem rule, the final calculation of low cost totals is performed.</p> <p>For this phase and any subsequent phase:</p> <ul style="list-style-type: none"> <li>▪ Categories, proposal sections, project items, proposal items, and breakdown items can no longer be added, changed, or deleted; therefore, generating proposal sections and importing projects are not allowed.</li> <li>▪ Associating a project to proposal and removing a project from proposal are not allowed.</li> </ul>
FixBidCalculations	Current and Future	<p>This rule is intended to be used once all bid information is entered in the system and complete. A proposal should not enter a workflow phase with the FixBidCalculations rule until all bids have been entered and adjusted as needed.</p> <p>When a proposal enters a workflow phase with the FixBidCalculations rule, the final calculation of bid item, section, time, and vendor amounts is performed. Bid validation is performed, and bid sections are validated against proposal section.</p> <p>For this phase and any subsequent phase, bid, bid section, and bid time can no longer be changed or deleted.</p> <p>A proposal must be in a workflow phase with the FixBidCalculations rule in order to use innovative bidding features, including additive section, alternate section, and life cycle cost analysis.</p>
PreConstrHasEnded	Current and Future	<p>This rule is intended to be used once all the work on an awarded proposal is completed and the proposal is ready to become a contract.</p> <p>A proposal must be in a workflow phase with the PreConstrHasEnded rule in order to transition to construction.</p>
ActiveContract	Current and Future	<p>This rule is intended to be used once a proposal becomes a contract.</p> <p>The system automatically sets the phase of the proposal to the workflow phase with the ActiveContract rule when the contract is initially created, regardless of whether the contract is created manually or by transition.</p>

Rule Name	Type	Description
ClosedContract	Current and Future	<p>This rule is intended to be used once work on a contract is finished. When a contract is closed, the contract and any subcontract records are locked and cannot be modified except to reopen the contract or to approve or rejected payment estimates for the contract.</p> <p>AKDOT&amp;PF will not be using this rule until AASHTOWare Construction &amp;Materials is implemented</p>
ArchivedContract	Current and Future	<p>This rule is intended to be used once all tasks related to a closed contract have been completed. When a contract is archived, the contract and any subcontract records are locked and cannot be modified except to change the contract's status back to <i>Closed</i>.</p> <p>AKDOT&amp;PF will not be using this rule until AASHTOWare Construction &amp;Materials is implemented.</p>
MigratedContract	Current	<p>This rule is used only for contracts that have been migrated from another system. When the contract is initially migrated, it is assigned the Migrated Contract workflow phase with the MigratedContract workflow phase rule.</p> <p>Contracts in this workflow phase are only visible on the Contract Migration Overview component, which by default can be viewed only by users with the ContMigrUser role. Contracts remain in this phase until they are marked as Migration Complete. Contracts marked as Migration Complete then move to the Active Contract phase.</p> <p>AKDOT&amp;PF will not be using this rule until AASHTOWare Construction &amp;Materials is implemented</p>

Table 7-2. AASHTOWare Project Workflow Phase Rules

When setting up roles for managing proposal addenda and controlling proposal line numbering, you must assign those roles access to the workflow phase of the type Proposal-Project-Contract with the rule Addenda. This rule is intended to be used to prevent changes that affect the published proposal unless an addendum is open. Any data exported to Expedite is locked, unless allowed by an open addendum.

For further information, see the web-based AASHTOWare Project online Help, under System Administration/Workflows, including Workflow Phase Rules; or see the Person/User Security Customization/Roles chapter of the *Web-Based AASHTOWare Project System Administration Customization Guide*.

### 7.6 Security for AKDOT&PF

In summary, web-based AASHTOWare Project can accommodate complex security configurations and should provide the controls required by AKDOT&PF.

When planning security roles, AKDOT&PF should consider the best role configurations to meet the objectives of each business function being accomplished by specific groups or individuals and tailor the roles accordingly. From the user perspective, they should be presented with only the things needed to perform those specific functions. If some users are involved with multiple functions, consider assigning multiple roles to those users and using the Switch Roles action in order for each session to be a role-based workflow experience. Over time, if roles become obsolete they should be deleted.

When AKDOT&PF sets up their workflow(s) and phases, it is best to limit them to only what is necessary for security and system processing. Workflow/phases are not subject to regular maintenance like roles. However, in our experience, if there are too many phases, users may neglect to change them when needed. Phase changes should be used where specific phase rules need to be enacted (such as the Addenda rule), or access to entities needs to be controlled (such as the project during the estimating phase).




## 8. Training

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This chapter provides an assessment of AKDOT&PF's existing training environment and their anticipated training needs. Descriptions of Info Tech's training classes, customization options, and recommendations have also been included for AKDOT&PF to use in its decision process concerning the overall training approach. Descriptions of the various training activities in this section are based upon generic training standards such as the number of agency trainees and the number of training days. AKDOT&PF specific training requirements will be determined during implementation planning, prior to these training activities.

Information is provided in the chapter for the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids products.

 **Note:** During the workshop, AKDOT&PF indicated that they are interested in implementing an internet bidding solution, such as Bid Express. AKDOT&PF should consider whether any of the training considerations outlined below are also applicable to AKDOT&PF's selected internet bidding solution. If AKDOT&PF has questions, AKDOT&PF can reach Bid Express service customer support at (888) 352-BIDX (2439) or send an email to [customer.support@bidx.com](mailto:customer.support@bidx.com).

### 8.1 Training Needs Assessment

This section provides recommendations regarding the identification of the groups and numbers of potential AKDOT&PF users and non-agency users requiring training in the Preconstruction, Civil Rights & Labor, and Bids products, and recommendations regarding the identification of appropriate AKDOT&PF training facilities.

#### 8.1.1 Trainee Assessment

Info Tech recommends that AKDOT&PF complete a Training Assessment to identify a preliminary set of users that will need unique training based on their responsibilities. All users of the Preconstruction, Civil Rights & Labor, and Bids products should be identified by role; both AKDOT&PF staff, consultant staff contracted by AKDOT&PF, external agency users such as

the Department of Labor (DOL) or FHWA, and contractor staff. AKDOT&PF will need to identify a training approach for non-agency staff who perform similar tasks to AKDOT&PF staff; will they be trained together or not?

See the spreadsheet provided by Info Tech named *Training\_Analysis\_Inventory.xlsx*. AKDOT&PF can use this spreadsheet to gather information about the approximate number of AKDOT&PF agency users, other agency users (DOL, FHWA), consultant users, and contractor users requiring training by role for each of the Preconstruction, Civil Rights & Labor, and Bids products.

More specific trainee information for personnel requiring training and the content of the training that is required will be determined by AKDOT&PF and Info Tech during implementation discussions and planning, based on the results of the AKDOT&PF Training Assessment.

<b>AKDOT&amp;PF Product</b>	<b>Projected Number of Participants</b>	<b>Participant Subtotals</b>
Preconstruction	<i>TBD by AKDOT&amp;PF</i>	AKDOT&PF: <i>TBD</i> DOL, FHWA: <i>TBD</i> Consultant: <i>TBD</i> Contractor: <i>TBD</i>
Civil Rights & Labor	<i>TBD by AKDOT&amp;PF</i>	AKDOT&PF: <i>TBD</i> DOL, FHWA: <i>TBD</i> Consultant: <i>TBD</i> Contractor: <i>TBD</i>
Bids	<i>TBD by AKDOT&amp;PF</i>	AKDOT&PF: <i>TBD</i> DOL, FHWA: <i>TBD</i> Consultant: <i>TBD</i> Contractor: <i>TBD</i>
<b>Total:</b>	<i>TBD by AKDOT&amp;PF</i>	AKDOT&PF: <i>TBD</i> DOL, FHWA: <i>TBD</i> Consultant: <i>TBD</i> Contractor: <i>TBD</i>

Table 8-1. Summary of AKDOT&PF Trainee Assessment

For each product, it may be helpful to consider the following:

- List each unique business unit/department or entity
- List the general roles within the business units
- List the general tasks of each roles (these will be mapped to a Role in the system)
- Identify any shared or overlapping tasks within – or in between – department or roles. (This will help identify certain content that should be taught to more than one group of individuals or Role)
- Indicate any consultants or external users for the product

### **8.1.2 Training Facilities**

Info Tech recommends that AKDOT&PF complete a Training Assessment to identify the available AKDOT&PF training facilities and training computers. See the spreadsheet provided by Info Tech named *Training\_Analysis\_Inventory.xlsx*. AKDOT&PF can use this spreadsheet to gather the information.

AKDOT&PF should confirm that all training computers meet application specifications. Info Tech recommends using locations that have a computer workstation and projector and projection screen available for instructor use. Info Tech recommends limiting class size to a maximum of 16 students to best meet student needs.

More specific information regarding training facilities and training computers will be discussed by AKDOT&PF and Info Tech during implementation discussions and planning, based on the results of the AKDOT&PF Training Assessment.

**Training Facilities & Computers - Inventory:**

HQ or Region ID	District Training Facility Name	Room Type	Projector Available	Temporary or Permanent Computers	Temp: Name/ID of Computer Group	Temp: Responsible Role/Person	IT Support Availability	Number of Student Computers	Separate Instructor Computer Availability	Instructor Computer Compatible with Projector	All Computers Network Connected	Hard Wired/ WiFi/ Both	Currently Installed Internet Browser(s)	Version of Internet Browser	Training Facility Address	Additional Notes (e.g. parking, restricted building or room access, Wi-Fi access, food/ beverage/ breakroom, etc.)

***AKDOT&PF Roles Overall- Inventory***

Roles/Titles	Brief Description of Role/Title	Location	Agency, Consultant, and/or Contractor	Area of Primary Role (e.g. Preconstruction, CRL, Bids, etc.)	Describe (If Other)	Total Number of Staff in this Role	Estimated Number of Staff (Yes/No)	Number of Staff in this Role in Headquarters Office	Number of Staff in this Role in Central Region

**Roles Preconstruction – Inventory**

Roles/ Titles	Brief Description of Role/ Title	Location	Agency, Consultant, and/or Contractor	Area of Primary Role (e.g. Preconstruction, CRL, Bids, etc.)	Describe (If Other)	Total Number of Staff in this Role	Estimated Number of Staff (Yes/No)	Number of Staff in this Role in Headquarters Office	Number of Staff in this Role in Central Region	Number of Staff in this Role in Northern Region	Number of Staff in this Role in South- coast Region

**Roles CRL – Inventory**

Roles/Titles	Brief Description of Role/Title	Location	Agency, Consultant, and/or Contractor	Area of Primary Role (e.g. Preconstruction, CRL, Bids, etc.)	Describe (If Other)	Total Number of Staff in this Role	Estimated Number of Staff (Yes/No)	Number of Staff in this Role in Headquarters Office	Number of Staff in this Role in Central Region

**Roles Bids – Inventory**

Roles/Titles	Brief Description of Role/Title	Location	Agency, Consultant, and/or Contractor	Area of Primary Role (e.g. Preconstruction, CRL, Bids, etc.)	Describe (If Other)	Total Number of Staff in this Role	Estimated Number of Staff (Yes/No)	Number of Staff in this Role in Headquarters Office	Number of Staff in this Role in Central Region

## 8.2 Training Approach

The specifics of the training approach will be identified by AKDOT&PF and Info Tech during implementation discussions and planning. In this section, initial recommendations are presented for AKDOT&PF to consider.

During the implementation of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids products, Info Tech recommends that AKDOT&PF form core implementation teams comprised of members from various functional areas. From these teams, Info Tech also recommends that AKDOT&PF designate staff members from each business area who will be prepared to become experts in the functionality of one or more of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids products. These designated staff will serve as the first level of support for their business area and assist in training the user population.

AKDOT&PF has three regions and may want to consider having core team members for each AASHTOWare Project module in each region. Users are more likely to contact and communicate with members of their own region. Once training is complete, statewide support can be set up. Although the express intent of implementing AASHTOWare Project is to have the entire state using the same application and being more consistent, each region has its own methodology and workflow. Therefore, the trainers and support staff need to understand each region's specific procedures to guide the users through the new processes.

These designated AKDOT&PF trainers and subject matter experts (SMEs) have a significant role to play in the implementation of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids products. To ensure success and a smoother transition for users of each product, these AKDOT&PF staff members must possess a strong knowledge of the application functionality and how it relates to AKDOT&PF workflows and processes, as well as excellent communication and interpersonal skills, and ideally a basic understanding of training delivery and adult learning.

To best prepare the AKDOT&PF trainers & SMEs, Info Tech recommends that these staff members receive regular and repeated exposure to the application and training materials prior to the start of training. Recommended activities for the AKDOT&PF trainers & SMEs are described in more detail in this chapter. AKDOT&PF needs to ensure that the trainers & SMEs have the necessary availability for all needed classes and activities.

AKDOT&PF should also consider the location of the users who will receive training as compared to the location of the AKDOT&PF trainers & SMEs. Questions to consider include:

- Will training occur throughout the state?
- Will each region be trained at the same time?
- Will trainers & SMEs travel to other locations/regions in the state to provide training?
- Will users travel to training locations to receive training?



- Will training occur in multiple locations simultaneously?

Other questions to consider as part of the AKDOT&PF Training Assessment include the following:

- How does AKDOT&PF currently conduct training for their end users?
- Are there dedicated AKDOT&PF trainers?
  - If there are dedicated AKDOT&PF trainers, where are the trainers located?
  - If there are not dedicated AKDOT&PF trainers, are there people from the business units who can train end users, if provided with the necessary support?
- How does AKDOT&PF currently support their end users with business process questions and assistance?
- Does AKDOT&PF currently have SMEs who assist users with business process questions and needs?

### **8.2.1 AKDOT&PF Trainers & SMEs – Change and Transition Management Activities**

As described in the recommended *Change and Transition Management* section below, communicating with your organization’s stakeholders is one of the key components of a successful transition. The AKDOT&PF trainers & SMEs can be a strong part of the AKDOT&PF change and transition management plan and activities. AKDOT&PF is relying on these staff members to help train and support agency users, so let’s make them the champions of the change.

Empower the AKDOT&PF trainers & SMEs with information about the status of the implementation and about the functionality of the application, and work with these staff members to communicate the appropriate information at the appropriate times to the appropriate stakeholders. This also provides the trainers & SMEs with early exposure to the application, an important aspect of their understanding of the software.

AKDOT&PF should ensure that each of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids products is addressed in the change and transition management plan and activities.

### **8.2.2 AKDOT&PF Trainers & SMEs – Application Testing Activities**

Another opportunity for the AKDOT&PF trainers & SMEs to gain exposure to the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids products is to assist with testing activities. The AKDOT&PF implementation team will work with Info Tech to determine whether and in what capacity the AKDOT&PF trainers & SMEs may be able to assist with testing activities.

AKDOT&PF should ensure that each of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids products are addressed in the planned testing activities.


### **8.2.3 AKDOT&PF Trainers & SMEs – Custom Training Development**

Info Tech recommends that the AKDOT&PF trainers & SMEs be involved with aspects of the development of training materials for the products, including the initial discussions and planning, as well as AKDOT&PF review and testing of the AKDOT&PF training database(s) and any other custom training materials selected by AKDOT&PF. This activity will provide further exposure to the products, and will familiarize the trainers & SMEs with the training materials that they will be using to conduct training classes.

AKDOT&PF should identify for each of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids products whether custom training materials will be developed, and address each of these products in initial discussions and planning.

### **8.2.4 AKDOT&PF Trainers & SMEs – Train the Trainer Sessions**

Info Tech trainers can conduct Train the Trainer sessions for designated AKDOT&PF trainers & SMEs for the AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor products. The Train the Trainer sessions consists of hands-on training of the software, using the training materials selected by AKDOT&PF, as outlined in the *Training Materials* section of this chapter. The sessions will also touch on adult learning methodologies and techniques to aid the trainers & SMEs to better assist the users in training classes and support the users on the project or in the office.

 **Note:** The content in this section is applicable to AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor. AKDOT&PF should identify whether any elements of this approach are applicable for AKDOT&PF's implementations of the AASHTOWare Project Bids software. Typically, Info Tech would not expect this to be applicable for the AASHTOWare Project Bids software.

### **8.2.5 AKDOT&PF Trainers & SMEs – Paired Training Classes with Info Tech Trainer**

To support AKDOT&PF trainers & SMEs in agency efforts to begin the training process, Info Tech recommends a team training approach for the user training classes for the AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor software. This approach pairs an Info Tech trainer with AKDOT&PF trainers & SMEs for a specified number of classes, using the training materials selected by AKDOT&PF, as outlined in the *Training Materials* section of this chapter.

This approach provides additional exposure to the application and training, and an opportunity for AKDOT&PF trainers & SMEs to leverage the knowledge of the Info Tech trainer, and provides increased benefits for the students. Info Tech trainers have strong training backgrounds


and expertise in the applications, while the AKDOT&PF trainers & SMEs are experts in the agency business processes and policy and procedures. Below, two options are presented:

### ***One Paired Training Class Per Product***

Info Tech suggests that AKDOT&PF consider the approach above for the first user training class for the AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor (both agency and non-agency courses).

### ***Multiple Paired Training Classes Per Product***

If desired, over a specified number of training classes, an Info Tech trainer could initially lead the training, with AKDOT&PF trainers & SMEs assisting students during the class, and discussing issues and answering questions related to the AKDOT&PF policies, procedures, and its implementation of the product. Over the course of the paired training sessions, the AKDOT&PF trainers & SMEs would have the opportunity to lead sections of the training with the Info Tech trainer there to assist. AKDOT&PF trainers & SMEs would transition into leading the training classes until the Info Tech trainer is no longer needed, and AKDOT&PF trainers & SMEs would train the remainder of the agency's user population.

 **Note:** The content in this section is applicable to the AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor software. AKDOT&PF should identify whether any elements of this approach are applicable for AKDOT&PF's implementations of the AASHTOWare Project Bids software. Typically, Info Tech would not expect this to be applicable for the AASHTOWare Project Bids software.

## **8.3 Training Materials**

In this section, several options are described for training materials for the Preconstruction, Civil Rights & Labor, and Bids products. For each product, AKDOT&PF can select the options that will best meet AKDOT&PF needs. For selected options, Info Tech will work with the AKDOT&PF implementation team to determine training material planning and development activities and logistics, AKDOT&PF review cycles, and deliverable schedules.

The training materials discussed herein may contain the intellectual property of AASHTO, the use of which is governed by the terms of AKDOT&PF's agreements with AASHTO. AKDOT&PF will ensure that the location of all training materials is secure. For questions regarding security or access to the training materials, please review AKDOT&PF's agreements with AASHTO.

AKDOT&PF is considering making reference and training materials available to users within their internal Pinnacle Series software. Pinnacle is a learning content portal / customizable corporate platform that contains learning media for its users. During implementation discussions and planning, AKDOT&PF and Info Tech will identify any technical interfaces or links needed between AASHTOWare Project and Pinnacle. If Pinnacle's capabilities will have any impact on

the requirements of any training materials, AKDOT&PF will provide the relevant information to Info Tech in advance of the development of training materials.

AKDOT&PF should carefully consider the need for training materials for each of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids products. Each product may need a different approach to best meet the needs of the AKDOT&PF user population.

### **8.3.1 Generic Training Materials for AASHTOWare Project**

Generic training guides are included with the AASHTOWare Project software. The generic training guides are available for download on the Cloverleaf website on the Software Downloads page. The training guides contains generic business process workflows and generic steps showing how to perform tasks within the application.

Available training guides for AASHTOWare Project 3.01 include:

- *AASHTOWare Project 3.01: Business Planning and Training Guide for Preconstruction*
- *AASHTOWare Project 3.01: Business Planning and Training Guide for Civil Rights & Labor*
- *AASHTOWare Project 3.01: Non-Agency Business Planning and Training Guide for Civil Rights & Labor*

Technical training guides are also available for AASHTOWare Project 3.01, which include:

- *AASHTOWare Project 3.01: Training Guide for ActiveReports*
- *AASHTOWare Project 3.01: Training Guide for System Events and Issue Tracking*
- *AASHTOWare Project 3.01: Training Guide for System Administration*

The generic training guides can be used with a customized training database to conduct user training classes; however, there are several caveats to consider:

- There is only one generic training guide for each area of functionality; all users and roles would have to use the same training guide.
- The generic training guides contains sections on software functionality that the DOT may not use.
- The generic training guides do not contain data values to select for the exercise steps; exercise data values must be documented for the students prior to any training classes.
- The generic training guides do not contain screen captures.
- The generic training guides do not reflect any screen configurations or customized roles that AKDOT&PF may develop.

### 8.3.2 Generic Training Materials for AASHTOWare Project Bids

There are several resources available to AKDOT&PF for the AASHTOWare Project Bids software.

On the Cloverleaf Software Downloads page, AKDOT&PF can access the following resource:

- *AASHTOWare Project Bids: Migration & Implementation Planning Guide.*

With the software download, in the Documentation folder, AKDOT&PF can access the following resources:

- *AASHTOWare Project Bids: Bid User's Guide*
- *AASHTOWare Project Bids: Entry User's Guide*
- *AASHTOWare Project Bids: GEN and LOAD Component Configuration Guide*
- *AASHTOWare Project Bids: GEN, LOAD, and Entry Installation Guide*
- *AASHTOWare Project Bids: Bid Quick Start Guide*
- *AASHTOWare Project Bids: Online Help*

### 8.3.3 Customized Training Guides for AASHTOWare Project (Optional)

A series of training guides can be developed based on user roles and customized for AKDOT&PF's business process workflows as defined during the implementation activities. Using the generic training guide as a base, inapplicable sections of the training guide can be deleted, and the sections can be reorganized to be more specific to AKDOT&PF's policies and procedures. The customized training guides would work with the AKDOT&PF training database, would include the data values to select to perform the exercise steps, and can include screen captures containing the agency data.

If selected, Info Tech will work with the AKDOT&PF implementation team during the implementation activities to determine which training guides to develop, and to review and test the training materials. Descriptions of customized training guides that have typically been developed for other agencies are included in the *Training Courses* section of this document, however these may not be the exact guides developed for AKDOT&PF.

If AKDOT&PF creates their own custom training guides, Info Tech recommends using the generic training guides listed below as a base. To obtain the Microsoft Word files for each of the desired generic training guides, AKDOT&PF should request a source code license from AASHTO.

- *AASHTOWare Project 3.01: Business Planning and Training Guide for Preconstruction*
- *AASHTOWare Project 3.01: Business Planning and Training Guide for Civil Rights & Labor*
- *AASHTOWare Project 3.01: Non-Agency Business Planning and Training Guide for Civil Rights & Labor*

### **8.3.4 Customized Training Guides for Bids (Optional)**

If AKDOT&PF creates their own custom training guides for Bids, Info Tech recommends using applicable generic training materials as a base. To obtain the Microsoft Word files for the desired generic training materials, AKDOT&PF should request a source code license from AASHTO. See the section above, *Generic Training Materials for AASHTOWare Project Bids*, for a list of documents.

### **8.3.5 Customized Computer-Based Training Simulations (Optional)**

Computer-based training modules (CBTs) are interactive simulations of the application that allow users to perform exercises to learn the functions and tasks in the AASHTOWare Project software. CBTs can be used in instructor-led classroom settings and for refresher training. CBTs can be used in place of a traditional training guide and training database. However, as CBTs are simulations of the applications, the exercises are predefined and users cannot deviate from those exercises and steps. The CBTs are used on computers where minimum versions of Flash Player and Adobe Reader are installed.

Using either the generic training guide or a customized training guides as a base, and your agency's custom training database and exercises, Info Tech can develop a series of CBTs based on the functions and workflows used by AKDOT&PF users. If selected, Info Tech will work with the AKDOT&PF implementation team to determine the tasks and exercise data to use for the CBTs, and to review and test the training materials.

CBTs can be a part of AKDOT&PF's training approach; in particular, AKDOT&PF may want to consider this approach for any contractor training needed, including:

- Non-agency functionality in Bids
- Non-agency functionality in Preconstruction
- Non-agency functionality in Civil Rights & Labor

### **8.3.6 Customized Quick Reference Guides (Optional)**


Quick Reference Guides (QRGs) are brief documents that outline the steps to perform the functions and tasks within the AASHTOWare Project software. QRGs are used in training classes and as a reference when using the application after training. Using either the generic training guides or customized AKDOT&PF training guides as a base, Info Tech can develop a series of QRGs based on the functions and workflows used by AKDOT&PF users. If selected, Info Tech will work with the AKDOT&PF implementation team to review the custom QRGs.

QRGs can be a part of AKDOT&PF's training approach for AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software; in particular, AKDOT&PF may want to consider this approach for any contractor training needed, including:

- Non-agency functionality in Bids
- Non-agency functionality in Preconstruction

- Non-agency functionality in Civil Rights & Labor

### 8.3.7 Customized Training Database – AASHTOWare Project

 **Note:** The content in this section is applicable to AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor.

To conduct interactive hands-on user training, an AASHTOWare Project database must be created. If used in training classes, the training database must be refreshed after every training class for students attending the next training class to be able to perform the exercises. Prior to creation, it needs to be determined whether the training for the AASHTOWare Project Preconstruction functionality must occur in a unique training environment and database separate from the training for the AASHTOWare Project Civil Rights & Labor functionality. The training database must be refreshed after every training class, for students attending the next training class to be able to perform the exercises.


Info Tech recommends the following approach. Info Tech will create an environment, containing AKDOT&PF's data, to emulate AKDOT&PF's business processes and configurations identified during the implementation activities. AKDOT&PF's data will be obfuscated so that sensitive data is not available in the training environment. Specific training exercises will be developed using the customized database.

Certain underlying reference data and unique copies of certain data records must exist in the training database to be able to perform the exercises properly. Info Tech will work with AKDOT&PF trainers and support staff and implementation team members to analyze the AKDOT&PF data, determine the data values to use to project realistic scenarios to use in the training exercises, identify any missing data necessary to perform the exercises, and document all data that needs to be seeded or pre-populated for the training exercises. Info Tech will populate the customized training database with the records and data values identified to be seeded, and will work with AKDOT&PF to review and test the training database.


### 8.3.8 Customized Training Database – Bids (Not Applicable)

AKDOT&PF should identify how AASHTOWare Project Bids training will be addressed, however, a customized training database is not applicable. See the following AASHTOWare Project Preconstruction online help topics for information about distributing and receiving electronic files between the AASHTOWare Project Preconstruction and AASHTOWare Project Bids software.

- *Exporting a Proposal to Expedite or Bids*
- *Importing a Proposal from Expedite or Bids*

 **Note:** If AKDOT&PF has questions, please call Bid Express service customer support at (888) 352-BIDX (2439) or send an email to [customer.support@bidx.com](mailto:customer.support@bidx.com).

### 8.3.9 Customized Training Site – Hosted Environment for AASHTOWare Project (Optional)

 **Note:** The content in this section is applicable to AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor.

Info Tech recommends utilizing a cloud-based training environment to develop the training materials and to conduct all AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor training classes. This would reduce the training environment setup time, the reliance on AKDOT&PF technical resources, and the potential for issues during training classes.

If selected, Info Tech will build and host a training site in the cloud utilizing Amazon Web Services (AWS). The training site will contain the customized training database described in the previous section. AKDOT&PF's data will be obfuscated so that sensitive data is not available in the cloud training environment.

The training database must be refreshed after every training class for students attending the next training class to be able to perform the exercises.

If selected, during the implementation activities, Info Tech can review the training site options with the AKDOT&PF implementation team.

## 8.4 Training Courses

Info Tech recommends interactive training classes based on AKDOT&PF user roles and business processes. Typical training activities and classes are described below. User training classes are usually based on roles and the activities performed by the roles, and may also be adjusted based on agency users, consultant users, and contractor users if applicable. If selected, Info Tech can work with the AKDOT&PF implementation team to determine the exact courses and content to develop, and to determine training schedules, assignments, and logistics for the training classes.

The timeframe for conducting training classes will be discussed during the implementation activities, and is usually based on the rollout plan identified for the application. Info Tech recommends just-in-time training, scheduling training classes for users just prior to when they will begin using the software. This method of scheduling training maximizes knowledge retention and minimizes the need for retraining.

AKDOT&PF should carefully consider the timelines for the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids training to ensure that each training course has the needed staff and resource availability and to prevent conflicts.



### 8.4.1 Prerequisites

Before taking a software training class, users must possess certain prerequisite knowledge and skill to maximize learning and knowledge retention. The following basic computer skills are required to successfully complete the training classes:

- Navigating a computer using a mouse
- Understanding the concepts of opening, closing, and viewing a window
- Saving, creating, and deleting documents and files
- Sending and receiving emails
- Understanding how to use electronic attachments
- Familiarity with web browser functionality

AKDOT&PF should confirm users possess these basic computer skills before assigning them to take a software training class.

### 8.4.2 Implementation Team System Overview Demonstrations

- 📄 **Note:** The content in this section is applicable to AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor. AKDOT&PF should identify whether any elements of this approach are applicable for AKDOT&PF's implementations of the AASHTOWare Project Bids software.

#### ***AASHTOWare Project Preconstruction***

These demonstrations are provided to familiarize the AKDOT&PF implementation team members with the AASHTOWare Project Preconstruction application and its functionality, so that they may make informed decisions as to how to incorporate the software's functionality into AKDOT&PF's business processes, policies, and procedures, and to be advocates for the AKDOT&PF user community during this transition. A demonstration session will be conducted for the implementation team for Preconstruction functionality. The overview reviews the functionality and navigation of AASHTOWare Project Preconstruction software.

The implementation team overview demonstration should occur early in the implementation project schedule, and is often conducted as part of the project kickoff meetings. Info Tech staff will demonstrate and discuss the functionality of the application. The demonstrations and discussions typically last approximately three - four days in duration, depending on the level of detail and discussion.

#### ***AASHTOWare Project Civil Rights & Labor***

These demonstrations are provided to familiarize the AKDOT&PF implementation team members with the AASHTOWare Project Civil Rights & Labor application and its functionality, so that they may make informed decisions as to how to incorporate the software's functionality into AKDOT&PF's business processes, policies, and procedures, and to be advocates for the

AKDOT&PF user community during this transition. A demonstration session will be conducted for the implementation team for Civil Rights & Labor functionality. The overview reviews the functionality and navigation of AASHTOWare Project Civil Rights & Labor software.

The implementation team overview demonstration should occur early in the implementation project schedule, and is often conducted as part of the project kickoff meetings. Info Tech staff will demonstrate and discuss the functionality of the application. The demonstrations and discussions typically last approximately three to four days in duration, depending on the level of detail and discussion.

### **8.4.3 System Administration Training**

System Administration training for AASHTOWare Project is a three-day interactive class for up to six technical agency staff covering system architecture, installations, security, base data maintenance, code and reference tables, configuration, interfaces, and report development. The training class is usually conducted during the early stages of the implementation process.

### **8.4.4 System Events and Issue Tracking Training**

System Events and Issue Tracking training for AASHTOWare Project is a three-day interactive class for up to six technical agency staff covering system events, reference issues, tracked issues, cases, helpful tools, and examples of system event and reference issue solutions. Select members of the AKDOT&PF implementation team may be recommended to attend this class. The training class is likely to be conducted during the early stages of the implementation process.

### **8.4.5 ActiveReports Training**

The ActiveReports training for AASHTOWare Project is typically a three-day class for up to six technical agency staff. ActiveReports training prepares the technical support staff to make custom configurations to existing reports if needed. It also allows them to develop new custom reports for reporting needs not covered by the standard reports available in the AASHTOWare Project software. This class is likely to be conducted during the early stages of the implementation process.

### **8.4.6 Train the Trainer Session for Preconstruction**

The Train the Trainer session for AASHTOWare Project Preconstruction software is a three- to five-day class for designated AKDOT&PF trainers & SMEs and support staff who will lead training classes and support activities for AKDOT&PF end users. This should include the staff who will be supporting users and will be assisting in the training classes.

The Train the Trainer session will provide AKDOT&PF trainers & SMEs with hands-on training in the functionality of the AASHTOWare Project Preconstruction software. The session will also provide AKDOT&PF trainers & SMEs with instruction in adult learning methodologies to prepare them to assist with training and support of AKDOT&PF's end user population. The

session will use the training materials selected by AKDOT&PF as outlined in the *Training Materials* section of this chapter.

#### **8.4.7 End User Training for Preconstruction**

The number of AASHTOWare Project Preconstruction courses to be developed and their content and duration will be determined by AKDOT&PF and Info Tech during implementation discussions and planning, incorporating the results of the AKDOT&PF Training Assessment.

AKDOT&PF has indicated the AKDOT&PF Application Administrator will deliver all AASHTOWare Project Preconstruction training courses.


#### **8.4.8 Train the Trainer Session for Civil Rights & Labor**

The Train the Trainer session for AASHTOWare Project Civil Rights & Labor software is a four- to five-day class for designated AKDOT&PF trainers & SMEs and support staff who will lead training classes and support activities for AKDOT&PF end users. This should include the staff who will be supporting users and will be assisting in the training classes.

The Train the Trainer session will provide AKDOT&PF trainers & SMEs with hands-on training in the functionality of the AASHTOWare Project Civil Rights & Labor software. The session will also provide AKDOT&PF trainers & SMEs with instruction in adult learning methodologies to prepare them to assist with training and support of AKDOT&PF's end user population. The session will use the training materials selected by AKDOT&PF as outlined in the *Training Materials* section of this chapter.

#### **8.4.9 End User Training for Civil Rights & Labor**

The number of AASHTOWare Project Civil Rights & Labor courses for agency users to be developed and their content and duration will be determined by AKDOT&PF and Info Tech during implementation discussions and planning, incorporating the results of the AKDOT&PF Training Assessment.


 **Note:** Agency and non-agency users of Civil Rights & Labor will need separate training courses.

#### **8.4.10 Training Courses for Bids**

AKDOT&PF should consider AASHTOWare Project Bids training courses for the following:


- Agency Training
- Non-Agency Training

Info Tech recommends that Info Tech lead these training courses.

 **Note:** If AKDOT&PF has questions, please call Bid Express service customer support at (888) 352-BIDX (2439) or send an email to [customer.support@bidx.com](mailto:customer.support@bidx.com).

## 8.5 Support

For each region or office, for each of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids products, AKDOT&PF should identify at least one subject matter expert who will be the first level of business process support for users, and identify the staff who will provide second-level business process support for users. AKDOT&PF should also determine the communication process to be used, as these staff members may not be available in each region.

 **Note:** AKDOT&PF has indicated that the AKDOT&PF Application Administrator will be the first line of business process support for all users.

The recommendations outlined in the *Training Approach* section of this chapter will ensure that AKDOT&PF trainers & SMEs receive the exposure and training needed to be able to support the AKDOT&PF users. Info Tech recommends that AKDOT&PF trainers & SMEs be involved in application testing activities, assist with planning and testing of training materials, attend the Train the Trainer sessions, and attend paired training classes if selected. AKDOT&PF trainers & SMEs should also be involved with change and transition management activities and communication with agency stakeholders, as described below, throughout the life of the project.

## 8.6 Change and Transition Management

Change and Transition Management (CTM) is used to introduce or facilitate a change within the organization. Change and Transition Management is the process and tools (for example, communication, sponsorship, and coaching) used to help accommodate the psychological needs of those experiencing the change. Communication and training are key components of successfully navigating changes within an organization.

### 8.6.1 Current Change and Transition Management Activities

AKDOT&PF should identify the change and transition management techniques currently in use within their organization. AKDOT&PF should also identify available tools at their disposal. Elements to consider include:

- How does the AKDOT&PF currently get buy-in from staff and stakeholders on projects and activities that will affect change, such as a large software implementation?
- How does AKDOT&PF currently communicate organizational or procedural/policy changes?
- Does AKDOT&PF have a Public Relations, or other entity, to communicate with the organization? If so, do they work with internal projects and teams?
- What high-level methods of interaction are available to AKDOT&PF to communicate to staff and stakeholders? Such as newsletters, email, relevant conferences or management meetings (such as monthly/quarterly/annual for the business unit or department), agency website, agency YouTube channel, etc.?

### **8.6.2 Proposed Change and Transition Management Activities**

Info Tech recommends that AKDOT&PF create a change and transition management plan. Info Tech recommends that AKDOT&PF ensure that each of the Preconstruction, Civil Rights & Labor, and Bids products is addressed in the change and transition management plan and activities.

This change and transition management plan will empower AKDOT&PF trainers and SMEs with information about the status of the project implementation and the functionality of the applications, and assist staff members to communicate the appropriate information at the appropriate times to the appropriate stakeholders. Info Tech recommends a lead Change Agent to have oversight in CTM activities for consistency and uniformity in its overall message and endorsement.

Info Tech recommends AKDOT&PF trainers & SMEs integrate CTM activities into training for all users since acceptance, buy-in, and managing the user community's concerns and fears is vital to the success of a software implementation project and the productive use of that software.

Info Tech can assist AKDOT&PF as requested with change and transition management, including the development of a change and transition management plan and assisting with communication activities.

### **8.6.3 Change and Transition Management Workshop (Optional)**

Info Tech can conduct a two-day Change and Transition Management workshop at an AKDOT&PF facility for AKDOT&PF implementation team members and stakeholders who may be participating in ongoing CTM activities. During the workshop, AKDOT&PF staff will learn about the stages of change, identify the stakeholders and their needs for the software implementation project, identify the best communication pathways to reach the stakeholders, and the messages to send.

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## **9. Implementation Issues and Considerations Summary**

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This chapter is provided to assist both AKDOT&PF and Info Tech prior to and during the implementation of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software. Below are implementation considerations, risks, and opportunities captured from workshop sessions and subsequent interactions with AKDOT&PF staff and Info Tech staff. These risks and opportunities should be reviewed and expanded regularly during implementation.

### **9.1 Implementation Considerations**

This section describes the recommended strategy for the implementation of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software at AKDOT&PF.

#### **9.1.1 Implementation Work**

Much effort is put into implementing the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software, especially the front-end setup work. Given the user population of the software, the following implementation work strategy is recommended to empower the implementation team in making decisions regarding their use of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software.

An AKDOT&PF Implementation Team composed of representatives from various AKDOT&PF AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor internal user groups should be formed to work with Info Tech to implement the software. The team will be divided into a Project Management team and the individual topical groups of users. The Project Management team will ensure consistency of decisions across the entire system and will participate in all workshops. Each topical group of users will participate in the

implementation workshop(s) dealing with its use of the system to assist in the decision making that will affect its use of the system.

### **9.1.2 AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids Enhancement Considerations**

There are opportunities for enhancements to the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software. Following are enhancement considerations.

#### ***Future AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids Enhancements***

It is anticipated the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software will continue to grow as technology advances and as more transportation agencies implement AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software. Info Tech encourages AKDOT&PF to become active in AASHTO user groups, AASHTOWare Project Technical Review Team (TRT) events, and AASHTOWare Project Task Force (PTF) events to continue the growth of AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software in a direction that will benefit AKDOT&PF.

#### ***Joint Development of AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids Software***

If AKDOT&PF determines an enhancement is required for AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, or AASHTOWare Project Bids software to meet its needs, it must consider that AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software is developed through a process of joint development. AKDOT&PF must take several considerations into account with this approach:

- Agencies share in the cost of developing, maintaining, supporting, and enhancing the products.
- AASHTO is the owner of AASHTOWare Project products and is responsible for their continued growth and maintenance.
- Agencies contract with AASHTO for the licensing of the products. AASHTO is responsible for contractor management for ongoing maintenance, support, and enhancements to the products.



- Product development is driven by the needs of the user community. Enhancements and maintenance of the products are governed by the AASHTOWare Project Task Force (PTF), which is made up of representatives from licensing transportation agencies and AASHTO. The AASHTOWare Project Users Group (PUG) meets annually to vote on enhancements to the products and provide input to the PTF on product direction and user satisfaction.
- AKDOT&PF can also solicit other interested agencies to pool funding for specific enhancements that may be a higher priority for these agencies.
- If AKDOT&PF has a specific enhancement, it must go through a prioritizing, approval, and budgeting process to be adopted into the generic product. This process can be time-consuming, depending on the type of enhancement.
- AKDOT&PF can also make changes to the product directly. However, these changes must then be maintained and supported separately by AKDOT&PF and retrofitted with each new installed release of the product.

## 9.2 Implementation Risks and Opportunities

Implementing AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software requires a substantial number of decisions to be made prior to using the application. Below are a few of the main tasks that must be addressed by the implementation team during the implementation process.

The details of each bullet item will be covered during risk management planning of project initiation activities upon implementation.

### 9.2.1 Data

Working with data has the following risks and opportunities:

- Import/entry of historical data.
- Must maintain referential integrity in historical data across ALL related databases.
  - AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, AASHTOWare Project BAMS/DSS, etc.
- Data import of reference data and code tables. This includes reference vendors, reference items, wage decisions, code tables etc.
  - Data should be cleaned and validated before imported to the AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor applications.
  - Initial import should be a subset of data.
  - Data issues appear in layers. Must resolve the issues in one layer before continuing.
  - Incorrect and outdated data.

- Quality of data.
- Data Retention
  - During the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids implementation analysis project, no data retention or state archiving rules were identified. Info Tech recommends AKDOT&PF perform data archiving on a regular schedule, so will keep those per regulations, but has not identified additional needs specific to data migration.
  - As part of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids implementation, AKDOT&PF should draft guidelines regarding deleting data in the application. Data retention requirements apply to AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids; therefore, System Administrators and/or users with any *Delete* privileges should be aware of any data retention rules.
  - Info Tech recommends using the obsolete date fields as much as possible in the AASHTOWare Project applications in lieu of deleting historical records. The obsolete date allows reference data to be preserved while not presenting that reference data to end users as a choice when building new records. For example, reference items that are no longer relevant can be preserved in the system but not available for selection as project items. This ensures the agency data history is retained. Providing the delete function to roles should be discussed in detail during the implementation.
- During the analysis project, the below data considerations were raised in relation to the processes and workflows documented in Chapter 3. Current and Proposed AKDOT&PF Preconstruction, Civil Rights & Labor, and Bids Business Processes. This list is not all-inclusive and will need to be further analyzed in additional detail during the implementation project.
- Vendor Creation and Prequalification – via AASHTOWare Project Preconstruction / AASHTOWare Project Civil Rights & Labor custom interface.
- Funding data; enter funding data at the appropriate level of detail so that detail estimate reports can be generated.
- Project field mapping for Proposal creation process.
- Creation of a single letting per proposal and documentation of this change for user community.
- Locking of data at various points in the lifecycle using workflow and phase.
- Modified addenda process and impact to AKDOT&PF’s bidding community of electronic bidding

- In AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor software, AKDOT&PF should consider adding additional security around sensitive data (e.g., engineer's estimate).

### 9.2.2 Software/Hardware

- Software and hardware have the following risks and opportunities:
  - Access to data (Info Tech to agency systems/data).
    - Consider multiple instances.
  - Degrading performance over time (must constantly monitor performance as users and data are added).
  - Agency and state firewalls, security policies, proxy rules, etc.

### 9.2.3 Resources

Certain resources may provide risks or opportunities.

- IT – New skills are required for the web-based AASHTOWare Project application (cannot expect traditional AASHTOWare Project support with old skills to help).
  - AKDOT&PF will need to identify technical resources to assist with the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids implementation.
  - IIS – Internet Information Server (Web server tool).
  - XML – Customized business and presentation metadata.
  - ActiveReports – AKDOT&PF will use ActiveReports for report development. Note also that while ActiveReports is the standard, Crystal Report integration is possible in AASHTOWare Project 3.01. See Section 5.1.1 Standard Reports for additional information.
  - OData queries through Authorization Manager Services. This feature is available in AASHTOWare Project 3.01. Query building should be limited to those with the technical expertise needed to ensure minimal performance impact. For example, don't return all rows of a table and then filter; filter first and then return the necessary rows.
- Use Preview AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor sites.
- Use Cloverleaf, [www.cloverleaf.net](http://www.cloverleaf.net), to keep up to date on product updates and new releases.
  - Upcoming release schedule is posted under the *Status and Planning* link on Cloverleaf. All enhancement and warranty Ticketed Modification Requests (TMRs)

associated with the product update are included along with the anticipated release date.

- Resources external to AKDOT&PF.
  - Join or connect with the AASHTOWare Project Preconstruction Technical Review Team (TRT), AASHTOWare Project Civil Rights & Labor Technical Review Team (TRT), and AASHTOWare Project Bids Technical Review Team (TRT) to keep abreast of AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids activities.
  - Beta agencies – Wealth of information available. Connect with AASHTOWare Project beta agencies for learning curve and lessons learned.
  - Info Tech Support – First line of support for AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids users is AKDOT&PF's AASHTOWare Project System Administrators. If the System Administrators are unable to assist the end users, then they contact Info Tech Support for assistance.

#### **9.2.4 Agency**

- Educate the experts.
- Educate the new users.
- Implementation staffing.
- Availability of staff may change based on circumstances out of AKDOT&PF control (political, organizational, budgetary, etc.).

#### **9.2.5 Schedule**

- Info Tech recommends scheduling time for parallel testing activities to allow for adequate testing and comparing of the old and new systems.

#### **9.2.6 Training**

- To best prepare the AKDOT&PF trainers/SMEs, Info Tech recommends these staff members receive regular and repeated exposure to the application and training materials prior to the start of training. AKDOT&PF needs to ensure the AKDOT&PF trainers/SMEs have the necessary availability for all needed classes and activities.
- Ensure end users are adequately trained and prepared prior to production roll-out.

#### **9.2.7 Process**

- Opportunities to review and improve processes.

### **9.2.8 Configuration / Customization**

AKDOT&PF is configuring / customizing xml changes to some components (screens/fields) as well as adding fields to entities so that the User Interface be more meaningful for AKDOT&PF processes and procedures. Info Tech recommends a system of tracking and controlling all XML changes that occur.

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## 10. Implementation and Project Planning

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This chapter provides tasks, descriptions, and a Work Breakdown Structure (WBS) proposed by Info Tech to provide appropriate support to AKDOT&PF during the implementation of AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software.

AKDOT&PF and Info Tech discussions have defined the overall project structure. Upon acknowledgment of receipt of this document by AKDOT&PF, Info Tech will provide a proposal for the implementation of AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software.

### 10.1 Project Approach

The project approach recommended by Info Tech is based on its knowledge of AKDOT&PF's organization and processes. Info Tech proposes to provide services to help AKDOT&PF use the system while minimizing the demands made on the agency. AKDOT&PF has indicated it would like to implement internal business practice adjustments, where possible, to conform to AASHTOWare Project standards to minimize customization of the software, while still meeting the functional requirements of its business processes. This decision will help reduce the time needed to implement AASHTOWare Project modules and provide an efficient basis for ongoing maintenance of the AASHTOWare Project modules within the agency while allowing AKDOT&PF to maximize the benefits derived through use of the system. The project plan presented herein is designed to reflect these requirements and to achieve the most efficient implementation possible.

The participation in the project activities by key members of AKDOT&PF and targeted preconstruction and civil rights users will be necessary throughout the project period. This includes the following areas:

- Participation in project planning sessions;
- Participation in progress status and steering committee meetings;
- Participation in work sessions to derive and populate system data;
- Execution of system testing and simulation processing with existing systems; and
- Individual consultation with Info Tech project staff.

Section 10.2 Project Structure provides details about work activities and steps for identifying project team members. In addition, AKDOT&PF will be required to perform those specific tasks it chooses to perform in-house. These tasks are an integral part of the project plan and task performance must adhere to the project schedule for it to progress on time. Info Tech can provide additional support to ensure these tasks are completed on time if AKDOT&PF determines such additional support is warranted. If AKDOT&PF resource availability requires a change to the scope of work it can complete, a change order will be created to redistribute the activities to Info Tech resources. This may impact the cost and delivery date of the project.



## 10.2 Project Structure

### 10.2.1 Project Management Team

A project management team should be formed to provide oversight and to ensure the project is meeting AKDOT&PF organizational requirements. This group should meet regularly to discuss project issues, ask questions, and provide direction where necessary. The AKDOT&PF End User Designee (EUD), the Project Sponsor/Project Manager, and the Info Tech Project Manager should be standing members of the Project Management Team. Other members should be middle- to high-level managers with a clear understanding of AKDOT&PF organizational needs and AASHTOWare Project Preconstruction / AASHTOWare Project Civil Rights & Labor / AASHTOWare Project Bids recordkeeping and reporting requirements.

Project responsibilities may include but are not limited to: implementation planning, scheduling; risk management, change management, resource management, phase coordination, project tracking, deliverable tracking, cost control, quality control, and documenting lessons learned.

Roles and responsibilities will need to be well defined prior to the start of the project and reviewed often to ensure efficient management of the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids implementation.

Member	Role	Representing (Unit)
Sara Jarvis	Co-Project Manager and AKDOT&PF AASHTOWare Project End User Designee (EUD)	
Jaclyn Elmes	Co-Project Manager	
	Project Management Team Member	
	Project Management Team Member	
	Project Management Team Member	
	Project Management Team Member	
	Project Management Team Member	
	Project Management Team Member	
Stan Silva	Account Manager	Info Tech, Inc.
TBD	Project Manager	Info Tech, Inc.

Table 10-1. AKDOT&PF AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids Project Management Team

## 10.2.2 Implementation Team

An implementation team should be formed of subject matter experts (SMEs) for each of the business functions in AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software, as well as Training, Support, and Technical SMEs and the Project Management team.

Project Phase	Leader and Team Members	Responsibilities
Project Initiation	Info Tech PM, AKDOT&PF PMs	Overall project management
Implementation Resources		Implementation resource coordination
Training		Training coordination, delivery, etc.
Installation		Installation coordination
Production		System preparation
Security		Access definition and setup
Interfaces		Interface definition and creation
Custom Interfaces		Custom interface definition and creation
Data Migration and Clean-up		Provide database expertise, perform data migration, clean up data as needed
Project Initiation and Proposal Creation		Workflow and process analysis participation
Funding		Workflow and process analysis participation
Letting / Addenda Creation and Management		Workflow and process analysis participation
Civil Rights		Workflow and process analysis participation
Bid Processing		Workflow and process analysis participation
Postpone Proposals		Workflow and process analysis participation
Prequalification		Workflow and process analysis participation
Payroll		
Reports		Report definition, report development and oversight
Parallel Testing		Test and compare old and new systems
Project Close		Overall project management

Table 10-2. AKDOT&PF AASHTOWare Project Preconstruction, Civil Rights & Labor, and Bids Implementation Team

### 10.2.3 Contractor Staff

Info Tech roles and responsibilities may include:

Role	Responsibilities
Project Manager	<p>Work with AKDOT&amp;PF staff on the creation and maintenance of AKDOT&amp;PF scope, schedules, plans, project documentation, risk management, change management, project tracking, resource management, deliverable tracking, cost control, team building, and quality control.</p> <p>Available to lead teams, meetings, and presentations. Provide overall AASHTOWare Project expertise to ensure continuity with other AKDOT&amp;PF AASHTOWare Project systems and national best practices. Will be a regular Implementation Steering Committee member.</p>
Business Analyst	<p>Subject Matter Experts meeting the approval of the AKDOT&amp;PF Project Sponsor and Project Manager will liaise with each workshop group. The liaison will provide best practice information and assist with research about specific “what if” or “can we” questions that will arise in each workshop. The liaison will be knowledgeable and available for help with project management methodology for each workshop. The liaison will ensure appropriate documentation and track deliverables for the workshop.</p>
Technical Services	<p>Subject Matter Experts meeting the approval of the AKDOT&amp;PF Project Sponsor and Project Manager will provide installation support; upgrade support; consulting for hardware, software, and infrastructure needs; and database administration support.</p>
Programming Services	<p>Subject Matter Experts meeting the approval of the AKDOT&amp;PF Project Sponsor and Project Manager will direct or assist with any required software configuration and customization or interfaces with AASHTOWare Project Preconstruction software. The programmer will provide ActiveReports skills for the creation of reports and will assist AKDOT&amp;PF staff to become proficient in AASHTOWare Project Preconstruction ActiveReports creation.</p>
Trainer/Training Coordinator	<p>Subject Matter Experts meeting the approval of the AKDOT&amp;PF Project Sponsor and Project Manager will provide end user training and training expertise. The trainer will assist in the coordination, planning, and preparation of training activities. The trainer will assist with the preparation of training materials and configuration of the training database.</p>

Table 10-3. AKDOT&PF AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids Implementation Info Tech Roles and Responsibilities

### 10.3 Work Breakdown: Task Descriptions

The following sections describe the general tasks to be performed by Info Tech as part of the AKDOT&PF AASHTOWare Project implementation.

Task ID and Task Name
10.3.1 Project Management and Administration
10.3.2 AASHTOWare Project Project Kickoff and Project Closeout
10.3.3 Training
10.3.4 Business Process and Configuration Workshops
10.3.5 System and Business Process Testing Workshop
10.3.6 Pre-production Installation and Data Validation and Environment Testing

Table 10-4. Task Summary

#### 10.3.1 Project Management and Administration

The Info Tech Project Manager will maintain the Project Plan Work Breakdown Structure (WBS) in Microsoft Project. The WBS will be delivered electronically as a PDF to AKDOT&PF at the project implementation outset. The implementation plan will be finalized and approved by both Info Tech and AKDOT&PF based on a mutually agreed upon schedule.

The Info Tech Project Manager will maintain a Change Control form on project tasks. The AKDOT&PF Project Sponsor will review the form and finalize decisions regarding change control management and direction.

The Info Tech Project Manager will create a status report that includes project budget information and indicates the percent complete on the project, what was completed in the prior month, what is planned for the current month, and any issues and risk mitigation task efforts. Status reports will be delivered electronically to AKDOT&PF on a mutually agreed upon schedule.

The Info Tech Project Manager will hold regular conference calls with the Project Management team to discuss project status and any major issues. The Info Tech Project team will hold additional conference calls as required.

#### ***Implementation Planning***

The Info Tech Project Manager, AKDOT&PF Project Sponsor, and AKDOT&PF Project Manager will discuss implementation strategies that will be included in the implementation plan. Info Tech will present the implementation plan to the implementation team prior to the Implementation Kickoff meeting for their sign-off. One of the implementation planning tasks will include finalizing the proposed schedule of workshops.

## ***Implementation Activities***

It is estimated there will be a number of on-site trips by Info Tech staff during the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids implementation. The AKDOT&PF Implementation Team will meet monthly with Info Tech to review implementation updates, issues, and schedules. These meetings may be held while Info Tech staff is on site, or they may be done via webinar/phone conference, as applicable.

On-site trips and webinars by appropriate Info Tech staff are planned for the following activities:

- System Administration
- ActiveReports Training
- Implementation Kickoff Meeting and AASHTOWare Project Implementation Team Overview Demonstrations/Training
- AASHTOWare Project Preconstruction Business Process and Configuration Workshop – Project Initiation, Funding and Proposal Creation
- AASHTOWare Project Preconstruction Business Process and Configuration Workshop – Letting / Addenda Creation and Management, and Bid Processing
- AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor Business Process and Configuration Workshop – Vendor Master and DBE Certifications
- AASHTOWare Project Preconstruction and AASHTOWare Project Civil Rights & Labor Business Process and Configuration Workshop – DBE Commitments and Vendor Prequalifications
- AASHTOWare Project Civil Rights & Labor Business Process and Configuration Workshop – Payrolls and Wage Decisions
- AASHTOWare Project Civil Rights & Labor Business Process and Configuration Workshop – OJT, Contract Compliance, Subcontracts and Subcontractor Payments
- AASHTOWare Project Preconstruction Business Process and Configuration Workshop – Bids, OPN, LSS and other Custom Interfaces (Requirements Definition)
- AASHTOWare Project System and Business Process Testing Workshop
- Pre-production Installation and Data Validation and Environment Testing

Prior to production, two Info Tech staff members will be on site to assist AKDOT&PF with the validation of the production installation, data, interfaces, and reports. The session will include appropriate preparation, travel, and follow-up work as required off-site for Info Tech staff members. Info Tech will provide meeting leadership, an agenda, and meeting minutes for on-site meetings.

### **10.3.2 Project Kickoff and Project Closeout**

The AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids implementation project will start with a project kickoff meeting that will include all project stakeholders and implementation team members. The purpose of this meeting is to review the project scope and schedule and ensure all parties agree on the project scope and schedule. As part of this task, Info Tech will also provide demonstrations of the AASHTOWare Project hosted application and its functionality to familiarize the AKDOT&PF implementation team members so they may make informed decisions as to how to incorporate the software's functionality into AKDOT&PF's business processes, policies, and procedures, and to be advocates for the AKDOT&PF user community during this transition.

The AASHTOWare Project implementation project will conclude with a project closeout meeting that will include all project stakeholders and implementation team members. The purpose of this meeting is to review the project scope and schedule and ensure all parties agree that the project objectives have been accomplished as well as recognize the implementation team accomplishments. This meeting will also include a Lessons Learned session. Any outstanding tasks that were out of scope during the implementation project will be reviewed and documented.

### **10.3.3 Training**

Throughout various stages of implementing the AASHTOWare Project software, Info Tech will deliver the following training classes to AKDOT&PF users:

- AASHTOWare Project Implementation Team Overview Demonstrations
- System Administration and ActiveReports Training

It is assumed AKDOT&PF trainers and subject matter experts (SMEs) will deliver additional end user training.

For additional information on each of the above referenced training classes, please refer to Chapter 8. Training.

### **10.3.4 System and Business Process Testing Workshop**

The Info Tech and AKDOT&PF Implementation Team will develop Use Cases to allow complete testing of all business functions as defined by the team.

The testing will take place as a structured event, with two Info Tech staff on site to assist and provide guidance where necessary. The workshop will include developing documentation, appropriate preparation, travel, and follow-up work as required off-site for Info Tech staff members.

### **10.3.5 Pre-production Installation, Data Validation, and Environment Testing**

Prior to production, two Info Tech staff members will be on site to assist AKDOT&PF with the validation of the production installation, data, interfaces, and reports. The session will include appropriate preparation, travel, and follow-up work as required off-site for Info Tech staff members.

## **10.4 Proposed Schedule**

The proposed project schedule estimates the activities to implement the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids software to span approximately twelve (12) months, meeting the proposed schedule to be in production by January 2018. As part of the implementation planning, the project team will identify a detailed plan outlining the functional areas of AASHTOWare Project that will be implemented.

Table 10-5 lists high-level, general tasks to be performed by both Info Tech and AKDOT&PF as part of the AKDOT&PF AASHTOWare Project implementation. This proposed schedule also lists the responsible party assigned for each task. The schedule reflects relative dates by month number. AKDOT&PF and Info Tech will agree on an actual start date. AASHTOWare Project implementation tasks are highly interdependent. Work not completed accurately or on time for any task will negatively impact the completion of subsequent tasks. Both Info Tech and AKDOT&PF will need to make every effort to ensure their assigned tasks are completed on time to stay on the final agreed-upon schedule.

**PLACEHOLDER FOR NEW SCHEDULE/TIMELINE**

Table 10-5. Work Breakdown and Proposed Schedule

### **10.4.1 Project Schedule Assumptions**

To develop this estimated schedule, several assumptions were made based on task durations, level of effort, etc.

If AKDOT&PF and Info Tech mutually determine that implementation activities can be completed in less time than estimated in the assumptions, the estimated project schedule may be compressed accordingly.

#### ***Report Development Assumptions***

- Although 81 reports were identified by AKDOT&PF, a certain number of those will be obsolete or incorporated into existing reports. Custom reports will need to be developed for the remaining documents. The number of custom reports is to be determined, as well as designation of the team responsible for report development and implementation - AKDOT&PF or Info Tech. (**Note:** Please refer to section 5.2.1 AKDOT&PF Preconstruction and Civil Rights & Labor Reports for the list of specific reports.)
- Standard AASHTOWare Project Preconstruction reports can be customized.
- It is assumed both AKDOT&PF and Info Tech technical staff will develop any needed custom reports or reconfiguration of existing reports. Specific report development assignments will be determined during implementation.

#### ***Data Migration Assumptions***

- During the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids implementation analysis workshop, no existing data from in-house applications was identified for migration of data to the AASHTOWare Project software.
- It is assumed AKDOT&PF technical staff will create any necessary custom scripts to migrate and import any additional data. Info Tech staff will assist with data mapping and technical questions related to the AASHTOWare Project software.

#### ***Interface Assumptions***

- During the AASHTOWare Project Preconstruction, AASHTOWare Project Civil Rights & Labor, and AASHTOWare Project Bids implementation analysis workshop, four (4) applications were identified requiring an ongoing interface with the AASHTOWare Project Preconstruction software.
  - Two (2) applications were identified as requiring Minimal effort (less than 25 hours).
    - AASHTOWare Project Bids
    - Bid Express



- One (1) application was identified as requiring Medium effort (fewer than 50 hours).
      - AKDOT&PF website
    - One (1) application was identified as requiring Major effort (fewer than 100 hours).
      - PET/COGNOS
  - It is assumed AKDOT&PF technical staff will implement the needed interfaces, network and security needed for AASHTOWare Project Bids and Bid Express. Info Tech staff will assist with data mapping and technical questions related to the AASHTOWare Project software in assisting with the development of interfaces to the AKDOT&PF web site and PET.

### ***Screen Configurations/Customizations Assumptions***

- Since AKDOT&PF is anticipating using the AASHTOWare Project software to replace some existing applications, it is assumed AKDOT&PF will require agency-specific fields to be added to the AASHTOWare Project software. Screen configurations/customizations can be performed by the AKDOT&PF implementation team adding to the customizations currently being performed by AKDOT&PF on the hosted site.
- It is assumed AKDOT&PF technical staff will complete any needed screen configurations/customizations. Info Tech staff will provide technical assistance (as needed) related to the AASHTOWare Project Preconstruction software.

### ***End User Training Assumptions***

- It is assumed AKDOT&PF trainers/SMEs will deliver end user training.
- Internal AKDOT&PF End Users
  - Approximately twenty-six (26) internal end users need to be trained.
  - Each class will last for two (2) days. There will be a maximum of twelve (12) trainees per class with two (2) instructors.
  - Approximately two (2) training classes are required.
  - Approximately one (1) month will be required to deliver two (2) internal end user training classes.
- External End Users
  - AKDOT&PF has indicated no external users will be part of this initial implementation project.



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## **Appendix A. AKDOT&PF Reports and Forms**

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Appendix A contains excerpts of the reports, forms, spreadsheets, etc. that were described in Chapter 5. Reports, Forms, and Manuals.

## AKDOT&PF-1 FAA New Project Start Package (Northern Region)

<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: center;">  <p>THE STATE of <b>ALASKA</b> GOVERNOR BILL WALKER</p> </div> <div style="text-align: center;"> <p><b>Department of Transportation and Public Facilities</b></p> <p><small>CENTRAL REGION Division of Design &amp; Construction Contracts Section</small></p> <p><small>4111 Aviation Avenue P.O. Box 196900 Anchorage, AK 99519-6900 Main: 907.269.0400 Fax: 907.269.0425 TTY: 907.269.0473 Web Site: dot.alaska.gov</small></p> </div> </div> <p style="text-align: right; margin-top: 20px;">November 21, 2016</p> <p style="text-align: right; margin-top: 10px;">RE: ANC Gates B1, B3 &amp; B5 Reconstruction AIP 3-02-0122-180-2017/ Z591200000 Sponsor Certifications</p> <p style="margin-top: 20px;">Patrick Zettler, P.E., Project Manager Airports Division, AAL-622 Federal Aviation Administration 222 West 7th Avenue M/S #14 Anchorage, AK 99513-7587</p> <p style="margin-top: 10px;">Dear Mr. Zettler:</p> <p style="margin-top: 10px;">Attached are the sponsor certifications for the referenced project. We request your concurrence to advertise the invitation for bids for this project on or about November 23, 2016, with a bid opening on or about December 14, 2016. The as-advertised DBE Goal for this project is 0%.</p> <p style="text-align: right; margin-top: 20px;">Sincerely,  Ralph Kiehl, P.E. Aviation Review Engineer Central Region Tel: 269-0422</p> <p style="margin-top: 10px;">RK</p> <p style="margin-top: 10px;">Sponsor Certification Attachments: Selection of Consultants Project Plans and Specifications Real Property Acquisition Equipment and Construction Contracts Certification and Disclosure Regarding Potential Conflicts of Interest Construction Project Final Acceptance Drug Free Workplace</p> <p style="margin-top: 10px;">ecc: Aaron Hughes, P.E., Project Manager Kristi Warden, Deputy Division Manager Joel G. St. Aubin, P.E., Chief, Aviation Design</p> <p style="text-align: center; margin-top: 20px;"><i>"Keep Alaska Moving through service and infrastructure."</i></p>	<div style="text-align: center; border-bottom: 1px solid black; margin-bottom: 10px;"> <p><b>Selection of Consultants</b> <b>Airport Improvement Program Sponsor Certification</b></p> </div> <p>Sponsor: Alaska Department of Transportation and Public Facilities</p> <p>Airport: Ted Stevens Anchorage International Airport</p> <p>Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000</p> <p>Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.</p> <p style="margin-top: 10px;"><b>Application</b> 49 USC § 47105(d) authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program (AIP). General requirements for selection of consultant services within federal grant programs are described in 2 CFR §§ 200.317-200.326. Sponsors may use other qualifications-based procedures provided they are equivalent to standards of Title 40 chapter 11 and FAA Advisory Circular 150/5100-14, Architectural, Engineering, and Planning Consultant Services for Airport Grant Projects.</p> <p style="margin-top: 10px;"><b>Certification Statements</b> Except for certification statements below marked as not applicable (N/A), this list includes major requirements of the construction project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards. The source of the requirement is referenced within parenthesis.</p> <ol style="list-style-type: none"> <li style="margin-bottom: 10px;">1. Sponsor acknowledges their responsibility for the settlement of all contractual and administrative issues arising out of their procurement actions (2 CFR § 200.318(k)). <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</li> <li style="margin-bottom: 10px;">2. Sponsor procurement actions ensure or will ensure full and open competition that does not unduly limit competition (2 CFR § 200.319). <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</li> <li style="margin-bottom: 10px;">3. Sponsor has excluded or will exclude any entity that develops or drafts specifications, requirements, or statements of work associated with the development of a request-for-qualifications (RFQ) from competing for the advertised services (2 CFR § 200.319). <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</li> <li style="margin-bottom: 10px;">4. The advertisement describes or will describe specific project statements-of-work that provide clear detail of required services without unduly restricting competition (2 CFR § 200.319). <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</li> </ol> <p style="font-size: small; display: flex; justify-content: space-between;"> <span>FAA Form 5100-134 (1/16)</span> <span>Page 1 of 3</span> </p>
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5. Sponsor has publicized or will publicize a RFQ that:
- Solicits an adequate number of qualified sources (2 CFR § 200.320(d)); and
  - Identifies all evaluation criteria and relative importance (2 CFR § 200.320(d)).
- Yes  No  N/A
6. Sponsor has based or will base selection on qualifications, experience, and disadvantaged business enterprise participation with price not being a selection factor (2 CFR § 200.320(d)).
- Yes  No  N/A
7. Sponsor has verified or will verify that agreements exceeding \$25,000 are not awarded to individuals or firms suspended, debarred or otherwise excluded from participating in federally assisted projects (2 CFR §180.300).
- Yes  No  N/A
8. A/E services covering multiple projects: Sponsor has agreed to or will agree to:
- Refrain from initiating work covered by this procurement beyond five years from the date of selection (AC 150/5100-14); and
  - Retain the right to conduct new procurement actions for projects identified or not identified in the RFQ (AC 150/5100-14).
- Yes  No  N/A
9. Sponsor has negotiated or will negotiate a fair and reasonable fee with the firm they select as most qualified for the services identified in the RFQ (2 CFR § 200.323).
- Yes  No  N/A
10. The Sponsor's contract identifies or will identify costs associated with ineligible work separately from costs associated with eligible work (2 CFR § 200.302).
- Yes  No  N/A
11. Sponsor has prepared or will prepare a record of negotiations detailing the history of the procurement action, rationale for contract type and basis for contract fees (2 CFR §200.318(i)).
- Yes  No  N/A
12. Sponsor has incorporated or will incorporate mandatory contract provisions in the consultant contract for AIP-assisted work (49 U.S.C. Chapter 471 and 2 CFR part 200 Appendix II)
- Yes  No  N/A
13. For contracts that apply a time-and-material payment provision (also known as hourly rates, specific rates of compensation, and labor rates), the Sponsor has established or will establish:
- Justification that there is no other suitable contract method for the services (2 CFR §200.318(j));
  - A ceiling price that the consultant exceeds at their risk (2 CFR §200.318(j)); and
  - A high degree of oversight that assures consultant is performing work in an efficient manner with effective cost controls in place (2 CFR §200.318(j)).
- Yes  No  N/A

14. Sponsor is not using or will not use the prohibited cost-plus-percentage-of-cost (CPPC) contract method. (2 CFR § 200.323(d)).

Yes  No  N/A

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**

I certify, for the project identified herein, responses to the forgoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

Executed on this 17<sup>th</sup> day of November, 2016

Name of Sponsor: Alaska Department of Transportation and Public Facilities

Name of Sponsor's Authorized Official: Joel G. St. Aubin, P.E.

Title of Sponsor's Authorized Official: Aviation Design Section Chief

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

**Project Plans and Specifications**  
**Airport Improvement Program Sponsor Certification**

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

**Application**

49 USC § 47105(d) authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program (AIP). Labor and civil rights standards applicable to AIP are established by the Department of Labor (www.dol.gov). AIP Grant Assurance C.1—General Federal Requirements identifies applicable federal laws, regulations, executive orders, policies, guidelines and requirements for assistance under AIP. A list of current advisory circulars with specific standards for procurement, design or construction of airports, and installation of equipment and facilities is referenced in standard airport sponsor Grant Assurance 34 contained in the grant agreement.

**Certification Statements**

Except for certification statements below marked as not applicable (N/A), this list includes major requirements of the construction project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards. The source of the requirement is referenced within parenthesis.

1. The plans and specifications were or will be prepared in accordance with applicable federal standards and requirements, so that no deviation or modification to standards set forth in the advisory circulars, or FAA-accepted state standard, is necessary other than those explicitly approved by the Federal Aviation Administration (FAA) (14 USC § 47105).  
 Yes  No  N/A
2. Specifications incorporate or will incorporate a clear and accurate description of the technical requirement for the material or product that does not contain limiting or proprietary features that unduly restrict competition (2 CFR §200.319).  
 Yes  No  N/A
3. The development that is included or will be included in the plans is depicted on the current airport layout plan as approved by the FAA (14 USC § 47107).  
 Yes  No  N/A

4. Development and features that are ineligible or unallowable for AIP funding have been or will be omitted from the plans and specifications (FAA Order 5100.38, par. 3-43).  
 Yes  No  N/A
5. The specification does not use or will not use "brand name" or equal to convey requirements unless sponsor requests and receives approval from the FAA to use brand name (FAA Order 5100.38, Table U-5).  
 Yes  No  N/A
6. The specification does not impose or will not impose geographical preference in their procurement requirements (2 CFR §200.319(b) and FAA Order 5100.38, Table U-5).  
 Yes  No  N/A
7. The use of prequalified lists of individuals, firms or products include or will include sufficient qualified sources that ensure open and free competition and that does not preclude potential entities from qualifying during the solicitation period (2 CFR §319(d)).  
 Yes  No  N/A
8. Solicitations with bid alternates include or will include explicit information that establish a basis for award of contract that is free of arbitrary decisions by the sponsor (2 CFR § 200.319(a)(7)).  
 Yes  No  N/A
9. Concurrence was or will be obtained from the FAA if Sponsor incorporates a value engineering clause into the contract (FAA Order 5100.38, par. 3-57).  
 Yes  No  N/A
10. The plans and specifications incorporate or will incorporate applicable requirements and recommendations set forth in the federally approved environmental finding (49 USC §47105(c)).  
 Yes  No  N/A
11. The design of all buildings comply or will comply with the seismic design requirements of 49 CFR § 41.120. (FAA Order 5100.38d, par. 3-92)  
 Yes  No  N/A
12. The project specification include or will include process control and acceptance tests required for the project by as per the applicable standard:
  - a. Construction and installation as contained in Advisory Circular (AC) 150/5370-10.  
 Yes  No  N/A
  - b. Snow Removal Equipment as contained in AC 150/5220-20.  
 Yes  No  N/A
  - c. Aircraft Rescue and Fire Fighting (ARFF) vehicles as contained in AC 150/5220-10.  
 Yes  No  N/A

13. For construction activities within or near aircraft operational areas(AOA):

- a. The Sponsor has or will prepare a construction safety and phasing plan (CSPP) conforming to Advisory Circular 150/5370-2.
- b. Compliance with CSPP safety provisions has been or will be incorporated into the plans and specifications as a contractor requirement.
- c. Sponsor will not initiate work until receiving FAA's concurrence with the CSPP (FAA Order 5100.38, Par. 5-29).

Yes  No  N/A

14. The project was or will be physically completed without federal participation in costs due to errors and omissions in the plans and specifications that were foreseeable at the time of project design (49 USC §47110(b)(1) and FAA Order 5100.38d, par. 3-100).

Yes  No  N/A

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**

I certify, for the project identified herein, responses to the forgoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 17<sup>th</sup> day of November, 2016

Name of Sponsor: Alaska Department of Transportation and Public Facilities

Name of Sponsor's Authorized Official: Joel G. St. Aubin, P.E.

Title of Sponsor's Authorized Official: Aviation Design Section Chief

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

**Real Property Acquisition  
Airport Improvement Program Sponsor Certification**

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

**Application**

49 USC § 47105(d) authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program (AIP). General requirements on real property acquisition and relocation assistance are in 49 CFR part 24. The AIP project grant agreement contains specific requirements and assurances on the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act), as amended.

**Certification Statements**

Except for certification statements below marked not applicable (N/A), this list includes major requirements of the real property acquisition project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards.

1. The sponsor's attorney or other official has or will have good and sufficient title as well as title evidence on property in the project.  
 Yes  No  N/A
2. If defects and/or encumbrances exist in the title that adversely impact the sponsor's intended use of property in the project, they have been or will be extinguished, modified, or subordinated.  
 Yes  No  N/A
3. If property for airport development is or will be leased, the following conditions have been met:
  - a. The term is for 20 years or the useful life of the project;
  - b. The lessor is a public agency; and
  - c. The lease contains no provisions that prevent full compliance with the grant agreement.

Yes  No  N/A

4. Property in the project is or will be in conformance with the current Exhibit A property map, which is based on deeds, title opinions, land surveys, the approved airport layout plan, and project documentation.  
 Yes  No  N/A
5. For any acquisition of property interest in noise sensitive approach zones and related areas, property interest was or will be obtained to ensure land is used for purposes compatible with noise levels associated with operation of the airport.  
 Yes  No  N/A
6. For any acquisition of property interest in runway protection zones and areas related to 14 CFR 77 surfaces or to clear other airport surfaces, property interest was or will be obtained for the following:  
 a. The right of flight;  
 b. The right of ingress and egress to remove obstructions; and  
 c. The right to restrict the establishment of future obstructions.  
 Yes  No  N/A
7. Appraisals prepared by qualified real estate appraisers hired by the sponsor include or will include the following:  
 a. Valuation data to estimate the current market value for the property interest acquired on each parcel; and  
 b. Verification that an opportunity has been provided to the property owner or representative to accompany appraisers during inspections.  
 Yes  No  N/A
8. Each appraisal has been or will be reviewed by a qualified review appraiser to recommend an amount for the offer of just compensation, and the written appraisals as well as review appraisal are available to Federal Aviation Administration (FAA) for review.  
 Yes  No  N/A
9. A written offer to acquire each parcel was or will be presented to the property owner for not less than the approved amount of just compensation.  
 Yes  No  N/A
10. Effort was or will be made to acquire each property through the following negotiation procedures:  
 a. No coercive action to induce agreement; and  
 b. Supporting documents for settlements included in the project files.  
 Yes  No  N/A

11. If a negotiated settlement is not reached, the following procedures were or will be used:  
 a. Condemnation initiated and a court deposit not less than the just compensation made prior to possession of the property; and  
 b. Supporting documents for awards included in the project files.  
 Yes  No  N/A
12. If displacement of persons, businesses, farm operations, or non-profit organizations is involved, a relocation assistance program was or will be established, with displaced parties receiving general information on the program in writing, including relocation eligibility, and a 90-day notice to vacate.  
 Yes  No  N/A
13. Relocation assistance services, comparable replacement housing, and payment of necessary relocation expenses were or will be provided within a reasonable time period for each displaced occupant in accordance with the Uniform Act.  
 Yes  No  N/A

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**


I certify, for the project identified herein, responses to the foregoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 15<sup>th</sup> day of November, 2016.

Name of Sponsor: Alaska Department of Transportation and Public Facilities

Name of Sponsor's Authorized Official: John R. Linnell, P.E.

Title of Sponsor's Authorized Official: Right of Way Chief

Signature of Sponsor's Designated Official Representative: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.



### Equipment and Construction Contracts Airport Improvement Sponsor Certification

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-180-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

#### Application

49 USC § 47105(d) authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program (AIP). General procurement standards for equipment and construction contracts within Federal grant programs are described in 2 CFR §§ 200.317-200.326. Labor and Civil Rights Standards applicable to the AIP are established by the Department of Labor ([www.dol.gov](http://www.dol.gov)) AIP Grant Assurance C.1—General Federal Requirements identifies all applicable Federal Laws, regulations, executive orders, policies, guidelines and requirements for assistance under the AIP. Sponsors may use state and local procedures provided the procurement conforms to these federal standards.

This certification applies to all equipment and construction projects. Equipment projects may or may not employ laborers and mechanics that qualify the project as a "covered contract" under requirements established by the Department of Labor requirements. Sponsor shall provide appropriate responses to the certification statements that reflect the character of the project regardless of whether the contract is for a construction project or an equipment project.

#### Certification Statements

Except for certification statements below marked as not applicable (N/A), this list includes major requirements of the construction project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards. The source of the requirement is referenced within parenthesis.

1. A written code or standard of conduct is or will be in effect prior to commencement of the project that governs the performance of the sponsor's officers, employees, or agents in soliciting, awarding and administering procurement contracts (2 CFR § 200.318).

Yes  No  N/A

2. For all contracts, qualified and competent personnel are or will be engaged to perform contract administration, engineering supervision, construction inspection, and testing (Grant Assurance C.17).  
 Yes  No  N/A
3. Sponsors that are required to have a Disadvantage Business Enterprise (DBE) program on file with the FAA have included or will include clauses required by Title VI of the Civil Rights Act and 49 CFR part 26 for Disadvantaged Business Enterprises in all contracts and subcontracts.  
 Yes  No  N/A
4. Sponsors required to have a DBE program on file with the FAA have implemented or will implement monitoring and enforcement measures that:
  - a. Ensure work committed to Disadvantaged Business Enterprises at contract award is actually performed by the named DBEs (49 CFR § 26.37(b));
  - b. Include written certification that the sponsor has reviewed contract records and has monitored work sites for performance by DBE firms (49 CFR § 26.37(b)); and
  - c. Provides for a running tally of payments made to DBE firms and a means for comparing actual attainments (i.e. payments) to original commitments (49 CFR § 26.37(c)). Yes  No  N/A
5. Sponsor procurement actions using the competitive sealed bid method (2 CFR § 200.320(c)) was or will be:
  - a. Publicly advertised, allowing a sufficient response time to solicit an adequate number of interested contractors or vendors;
  - b. Prepared to include a complete, adequate and realistic specification that defines the items or services in sufficient detail to allow prospective bidders to respond;
  - c. Publicly opened at a time and place prescribed in the invitation for bids; and
  - d. Prepared in a manner that result in a firm fixed price contract award to the lowest responsive and responsible bidder. Yes  No  N/A
6. For projects the Sponsor proposes to use the competitive proposal procurement method (2 CFR § 200.320(d)), Sponsor has requested or will request FAA approval prior to proceeding with a competitive proposal procurement by submitting to the FAA the following:
  - a. Written justification that supports use of competitive proposal method in lieu of the preferred sealed bid procurement method;
  - b. Plan for publicizing and soliciting an adequate number of qualified sources; and
  - c. Listing of evaluation factors along with relative importance of the factors. Yes  No  N/A
7. For construction and equipment installation projects, the bid solicitation includes or will include the current federal wage rate schedule(s) for the appropriate type of work classifications (2 CFR Part 200, Appendix II).  
 Yes  No  N/A

8. Concurrence was or will be obtained from the Federal Aviation Administration (FAA) prior to contract award under any of the following circumstances (Order 5100.38D):

- a. Only one qualified person/firm submits a responsive bid;
- b. Award is to be made to other than the lowest responsible bidder; and
- c. Life cycle costing is a factor in selecting the lowest responsive bidder.

Yes  No  N/A

9. All construction and equipment installation contracts contain or will contain provisions for:

- a. Access to Records (§ 200.336)
- b. Buy American Preferences (Title 49 U.S.C. § 50101)
- c. Civil Rights - General Provisions and Title VI Assurances( 41 CFR part 60)
- d. Federal Fair Labor Standards (29 U.S.C. § 201, et seq)
- e. Occupational Safety and Health Act requirements (20 CFR part 1920)
- f. Seismic Safety – building construction (49 CFR part 41)
- g. State Energy Conservation Requirements - as applicable(2 CFR part 200, Appendix II)
- h. U.S. Trade Restriction (49 CFR part 30)
- i. Veterans Preference (49 USC § 47112(c))

Yes  No  N/A

10. All construction and equipment installation contracts exceeding \$2,000 contain or will contain the provisions established by:

- a. Davis-Bacon and Related Acts (29 CFR part 5)
- b. Copeland "Anti-Kickback" Act (29 CFR parts 3 and 5)

Yes  No  N/A

11. All construction and equipment installation contracts exceeding \$3,000 contain or will contain a contract provision that discourages distracted driving (E.O. 13513).

Yes  No  N/A

12. All contracts exceeding \$10,000 contain or will contain the following provisions as applicable:

- a. Construction and equipment installation projects - Applicable clauses from 41 CFR Part 60 for compliance with Executive Orders 11246 and 11375 on Equal Employment Opportunity;
- b. Construction and equipment installation - Contract Clause prohibiting segregated facilities in accordance with 41 CFR part 60-1.8;
- c. Requirement to maximize use of products containing recovered materials in accordance with 2 CFR § 200.322 and 40 CFR part 247; and
- d. Provisions that address termination for cause and termination for convenience (2 CFR part 200, Appendix II).

Yes  No  N/A

13. All contracts and subcontracts exceeding \$25,000: Measures are in place or will be in place (e.g. checking the System for Award Management) that ensure contracts and subcontracts are not awarded to individuals or firms suspended, debarred, or excluded from participating in federally assisted projects (2 CFR parts 180 and 1200).

Yes  No  N/A

14. Contracts exceeding the simplified acquisition threshold (currently \$150,000) include or will include provisions, as applicable, that address the following:

- a. Construction and equipment installation contracts - a bid guarantee of 5%, a performance bond of 100%, and a payment bond of 100% (2 CFR § 200.325);
- b. Construction and equipment installation contracts - requirements of the Contract Work Hours and Safety Standards Act (40 USC 3701-3708, Sections 103 and 107);
- c. Restrictions on Lobbying and Influencing (2 CFR part 200, Appendix II);
- d. Conditions specifying administrative, contractual and legal remedies for instances where contractor of vendor violate or breach the terms and conditions of the contract (2 CFR §200, Appendix II); and
- e. All Contracts - Applicable standards and requirements issued under Section 306 of the Clean Air Act (42 USC 7401-7671q), Section 508 of the Clean Water Act (33 USC 1251-1387, and Executive Order 11738.

Yes  No  N/A

Attach documentation clarifying any above item marked with "no" response.

#### Sponsor's Certification

I certify, for the project identified herein, responses to the forgoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 21<sup>st</sup> day of November, 2016

Name of Sponsor: Alaska Department of Transportation and Public Facilities

Name of Sponsor's Authorized Official: Sharon Smith, P.E.

Title of Sponsor's Authorized Official: Chief of Contracts, Central Region

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

14.a. 50% performance and payment bonds are required for all ADOT&PF construction contracts exceeding \$100,000. This bonding meets or exceeds the requirements of AS36.25.010 and was approved for use by FAA letter dated March 6, 1991, as adequately protecting the government's interest.

### Certification and Disclosure Regarding Potential Conflicts of Interest Airport Improvement Program Sponsor Certification

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

#### Application

Title 2 CFR § 200.112 and § 1201.112 address Federal Aviation Administration (FAA) requirements for conflict of interest. As a condition of eligibility under the Airport Improvement Program (AIP), sponsors must comply with FAA policy on conflict of interest. Such a conflict would arise when any of the following have a financial or other interest in the firm selected for award:

- a) The employee, officer or agent,
- b) Any member of his immediate family,
- c) His or her partner, or
- d) An organization which employs, or is about to employ, any of the above.

Selecting "yes" represents sponsor or sub-recipient acknowledgement and confirmation of the certification statement. Selecting "No" represents sponsor or sub-recipient disclosure that it cannot fully comply with the certification statement. If "No" is selected, provide support information explaining the negative response as an attachment to this form. This includes whether the sponsor has established standards for financial interest that are not substantial or unsolicited gifts are of nominal value (2 CFR § 200.318(c)). The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance.

#### Certification Statements

1. The sponsor or sub-recipient maintains a written standards of conduct governing conflict of interest and the performance of their employees engaged in the award and administration of contracts (2 CFR § 200.318(c)). To the extent permitted by state or local law or regulations, such standards of conduct provide for penalties, sanctions, or other disciplinary actions for violations of such standards by the sponsor's and sub-recipient's officers, employees, or agents, or by contractors or their agents.

Yes  No

2. The sponsor's or sub-recipient's officers, employees or agents have not and will not solicit or accept gratuities, favors or anything of monetary value from contractors, potential contractors, or parties to sub-agreements (2 CFR § 200.318(c)).

Yes  No

3. The sponsor or sub-recipient certifies that it has disclosed and will disclose to the FAA any known potential conflict of interest (2 CFR § 1200.112).

Yes  No

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**


I certify, for the project identified herein, responses to the forgoing items are accurate as marked and have the explanation for any item marked "no" is correct and complete.

Executed on this 11<sup>th</sup> day of November, 2016

Name of Sponsor: Alaska Department of Transportation and Public Facilities

Name of Sponsor's Authorized Official: Joel G. St. Aubin, P.E.

Title of Sponsor's Authorized Official: Aviation Design Section Chief

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

**Construction Project Final Acceptance  
Airport Improvement Program Sponsor Certification**

Sponsor: Alaska Department of Transportation & Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

**Application**

49 USC § 47105(d), authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program. General standards for final acceptance and close out of federally funded construction projects are in 2 CFR § 200.343 – Closeout and supplemented by FAA Order 5100.38. The sponsor must determine that project costs are accurate and proper in accordance with specific requirements of the grant agreement and contract documents.

**Certification Statements**

Except for certification statements below marked not applicable (N/A), this list includes major requirements of the construction project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards. The source of the requirement is referenced within parenthesis.

1. The personnel engaged in project administration, engineering supervision, project inspection and acceptance testing were or will be determined to be qualified and competent to perform the work (Grant Assurance).  
 Yes  No  N/A
2. Construction records, including daily logs, were or will be kept by the resident engineer/construction inspector that fully document contractor's performance in complying with:
  - a. Technical standards (Advisory Circular (AC) 150/5370-12);
  - b. Contract requirements (2 CFR part 200 and FAA Order 5100.38); and
  - c. Construction safety and phasing plan measures (AC 150/5370-2). Yes  No  N/A
3. All acceptance tests specified in the project specifications were or will be performed and documented. (AC 150/5370-12).  
 Yes  No  N/A

4. Sponsor has taken or will take appropriate corrective action for any test result outside of allowable tolerances (AC 150/5370-12).  
 Yes  No  N/A
5. Pay reduction factors required by the specifications were applied or will be applied in computing final payments with a summary made available to the FAA (AC 150/5370-10).  
 Yes  No  N/A
6. Sponsor has notified, or will promptly notify the Federal Aviation Administration (FAA) of the following occurrences:
- a. Violations of any federal requirements set forth or included by reference in the contract documents (2 CFR part 200);
  - b. Disputes or complaints concerning federal labor standards (29 CFR part 5); and
  - c. Violations of or complaints addressing conformance with Equal Employment Opportunity or Disadvantaged Business Enterprise requirements (41 CFR Chapter 60 and 49 CFR part 26).
- 
- Yes
- 
- No
- 
- N/A
7. Weekly payroll records and statements of compliance were or will be submitted by the prime contractor and reviewed by the sponsor for conformance with federal labor and civil rights requirements as required by FAA and U.S. Department of Labor (29 CFR Part 5).  
 Yes  No  N/A
8. Payments to the contractor were or will be made in conformance with federal requirements and contract provisions using sponsor internal controls that include:
- a. Retaining source documentation of payments and verifying contractor billing statements against actual performance (2 CFR § 200.302 and FAA Order 5100.38);
  - b. Prompt payment of subcontractors for satisfactory performance of work (49 CFR § 26.29);
  - c. Release of applicable retainage upon satisfactory performance of work (49 CFR § 26.29); and
  - d. Verification that payments to DBEs represent work the DBE performed by carrying out a commercially useful function (49 CFR §26.55).
- 
- Yes
- 
- No
- 
- N/A
9. A final project inspection was or will be conducted with representatives of the sponsor and the contractor present that ensure:
- a. Physical completion of project work in conformance with approved plans and specifications (Order 5100.38);
  - b. Necessary actions to correct punch list items identified during final inspection are complete (Order 5100.38); and
  - c. Preparation of a record of final inspection and distribution to parties to the contract (Order 5100.38);
- 
- Yes
- 
- No
- 
- N/A

10. The project was or will be accomplished without material deviations, changes, or modifications from approved plans and specifications, except as approved by the FAA (Order 5100.38).  
 Yes  No  N/A
11. The construction of all buildings have complied or will comply with the seismic construction requirements of 49 CFR § 41.120.  
 Yes  No  N/A
12. For development projects, sponsor has taken or will take the following close-out actions:
- a) Submit to the FAA a final test and quality assurance report summarizing acceptance test results, as applicable (Grant Condition);
  - b) Complete all environmental requirements as established within the project environmental determination (Order 5100.38); and
  - c) Prepare and retain as-built plans (Order 5100.38).
- 
- Yes
- 
- No
- 
- N/A
13. Sponsor has revised or will revise their airport layout plan (ALP) that reflects improvements made and has submitted or will submit an updated ALP to the FAA no later than 90 days from the period of performance end date. (49 USC § 47107 and Order 5100.38).  
 Yes  No  N/A

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**

I certify, for the project identified herein, responses to the forgoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 17<sup>th</sup> day of November, 2016.

Name of Sponsor: Alaska Department of Transportation & Public Facilities

Name of Sponsor's Authorized Official: Joel G. St. Aubin, P.E.

Title of Sponsor's Authorized Official: Aviation Design Section Chief

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

**Drug-Free Workplace  
Airport Improvement Program Sponsor Certification**

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

**Application**

49 USC § 47105(d) authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program (AIP). General requirements on the drug-free workplace within federal grant programs are described in 2 CFR part 182. Sponsors are required to certify they will be, or will continue to provide, a drug-free workplace in accordance with the regulation. The AIP project grant agreement contains specific assurances on the Drug-Free Workplace Act of 1988.

**Certification Statements**

Except for certification statements below marked as not applicable (N/A), this list includes major requirements of the construction project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards. The source of the requirement is referenced within parenthesis.

1. A statement has been or will be published prior to commencement of project notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the sponsor's workplace, and specifying the actions to be taken against employees for violation of such prohibition (2 CFR § 182.205).

Yes  No  N/A

2. An ongoing drug-free awareness program (2 CFR § 182.215) has been or will be established prior to commencement of project to inform employees about:

- a. The dangers of drug abuse in the workplace;
- b. The sponsor's policy of maintaining a drug-free workplace;
- c. Any available drug counseling, rehabilitation, and employee assistance programs; and
- d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

Yes  No  N/A

3. Each employee to be engaged in the performance of the work has been or will be given a copy of the statement required within item 1 above prior to commencement of project (2 CFR § 182.210).

Yes  No  N/A

4. Employees have been or will be notified in the statement required by item 1 above that, as a condition employment under the grant (2 CFR § 182.205(c)), the employee will:

- a. Abide by the terms of the statement; and
- b. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.

Yes  No  N/A

5. The Federal Aviation Administration (FAA) will be notified in writing within 10 calendar days after receiving notice under item 4b above from an employee or otherwise receiving actual notice of such conviction (2 CFR § 182.225). Employers of convicted employees must provide notice, including position title of the employee, to the FAA (2 CFR § 182.300).

Yes  No  N/A

6. One of the following actions (2 CFR § 182.225(b)) will be taken within 30 calendar days of receiving a notice under item 4b above with respect to any employee who is so convicted:

- a. Take appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; and
- b. Require such employee to participate satisfactorily in drug abuse assistance or rehabilitation programs approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

Yes  No  N/A

7. A good faith effort will be made, on a continuous basis, to maintain a drug-free workplace through implementation of items 1 through 6 above (2 CFR § 182.200).

Yes  No  N/A

Site(s) of performance of work (2 CFR § 182.230):

**Location 1**

Name of Location: Alaska DOT&PF, Design and Engineering Services Division, Central Region

Address: 4111 Aviation Dr, Anchorage, AK 99502

**Location 2 (if applicable)**

Name of Location:

Address:

**Location 3 (if applicable)**

Name of Location:

Address:

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**

I certify, for the project identified herein, responses to the forgoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 17<sup>th</sup> day of November, 2016.

Name of Sponsor: Alaska Department of Transportation & Public Facilities

Name of Sponsor's Authorized Official: Joel G. St. Aubin, P.E.

Title of Sponsor's Authorized Official: Aviation Design Section Chief

Signature of Sponsor's Authorized Official:  \_\_\_\_\_

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

## AKDOT&PF-2 FHWA New Project Start Package (Northern Region)

<p><b>MEMORANDUM</b> <span style="float: right;"><b>State of Alaska</b> Department of Transportation &amp; Public Facilities</span></p> <p><b>TO:</b> Shelley Dykema, Chief Project Control</p> <p><b>DATE:</b> October 13, 2016</p> <p><b>FILE NO:</b></p> <p><b>TELEPHONE NO:</b> (907) 451-5151</p> <p><b>FAX:</b> (907) 451-2313</p> <p><b>FROM:</b> <i>JMC</i> Judy Chapman, Chief Planning &amp; Support Services</p> <p><b>SUBJECT:</b> Project Start Request</p> <p>Please initiate the following new project:</p> <ul style="list-style-type: none"> <li>▪ <b>Richardson Highway MP 18-24 Resurfacing, NID 18923</b></li> </ul> <p>This will be funded through the Preventive Maintenance program. We have initiated the project record in MRS (as a proposed project), Project ID 70397. Thank you.</p> <p><b>Attachments:</b></p> <ul style="list-style-type: none"> <li>▪ Planning Project Start Information</li> <li>▪ PM Budget</li> <li>▪ SSE</li> <li>▪ Detailed Design Budget</li> <li>▪ Preliminary Milestone Schedule</li> <li>▪ Project Map</li> <li>▪ Project Background Report</li> <li>▪ RIP CDS info</li> </ul> <p><b>cc:</b> Sarah Schacher, P.E., Preconstruction Engineer, Preconstruction Robert Dunning, Valdez District Superintendent, Maintenance &amp; Operations Linda Mahlen, Regional Program Development Planner, Planning Duane Hoskins, Eastern Area Planner, Planning</p> <p style="text-align: center; font-size: small;">"Keep Alaska Moving through service and infrastructure."</p>	<div style="text-align: center;"> <p><b>Project Start Information</b> Northern Region Planning Section</p> </div> <p><b>Project Name:</b> <b>RICHARDSON HWY MP 18-24 RESURFACING</b></p> <p><b>Need ID:</b> <b>18923</b>    <b>MPO Status:</b> non-MPO</p> <p style="text-align: center;"><b>STIP / TIP / AIP Schedule</b></p> <p>Which Spending Plan are these figures are from: <input type="text" value="NR Prev Maint Program Budget as of 8/8/16"/></p> <table border="1" style="width: 100%; border-collapse: collapse; font-size: small;"> <tr> <td>FFY</td> <td style="text-align: center;">2017</td> <td>PH</td> <td style="text-align: center;">2</td> <td>Amount</td> <td style="text-align: right;">\$297,000</td> </tr> <tr> <td>FFY</td> <td style="text-align: center;">2018</td> <td>PH</td> <td style="text-align: center;">2</td> <td>Amount</td> <td style="text-align: right;">\$261,000</td> </tr> <tr> <td>FFY</td> <td style="text-align: center;">2019</td> <td>PH</td> <td style="text-align: center;">4</td> <td>Amount</td> <td style="text-align: right;">\$6,200,000</td> </tr> <tr> <td>FFY</td> <td style="text-align: center;"></td> <td>PH</td> <td style="text-align: center;"></td> <td>Amount</td> <td></td> </tr> <tr> <td>FFY</td> <td style="text-align: center;"></td> <td>PH</td> <td style="text-align: center;"></td> <td>Amount</td> <td></td> </tr> </table> <p style="text-align: center;"><b>Preconstruction Scope Schedule &amp; Estimate</b></p> <p>Date of Latest SSE: <input type="text" value="10/3/2016"/></p> <table border="1" style="width: 100%; border-collapse: collapse; font-size: small;"> <tr> <td>FFY</td> <td style="text-align: center;">2017</td> <td>PH</td> <td style="text-align: center;">2</td> <td>Amount</td> <td style="text-align: right;">\$297,000</td> </tr> <tr> <td>FFY</td> <td style="text-align: center;">2018</td> <td>PH</td> <td style="text-align: center;">2</td> <td>Amount</td> <td style="text-align: right;">\$261,000</td> </tr> <tr> <td>FFY</td> <td style="text-align: center;">2019</td> <td>PH</td> <td style="text-align: center;">4</td> <td>Amount</td> <td style="text-align: right;">\$6,200,000</td> </tr> <tr> <td>FFY</td> <td style="text-align: center;"></td> <td>PH</td> <td style="text-align: center;"></td> <td>Amount</td> <td></td> </tr> <tr> <td>FFY</td> <td style="text-align: center;"></td> <td>PH</td> <td style="text-align: center;"></td> <td>Amount</td> <td></td> </tr> </table> <hr/> <p><b>Fund Source Type (Federal / GF / GO Bond):</b> Federal - Prev Maint <b>Match Source:</b> State Match <b>Local Match Agency (if applicable):</b> N/A</p> <p><b>Highway Name &amp; CDS Route Number:</b> Richardson Hwy-19000 <b>CDS Milepoints (BOP/EOP):</b> 21.705-27.676 <b>Bridge Number(s):</b> N/A <b>Functional Class:</b> Principal Arterial <b>Agency Responsible for Maintenance:</b> State</p> <hr/> <p><b>Scope of Work:</b> Resurface the Richardson Highway from milepost 18 to 24. Project will also include signs, striping, culverts and guardrail.</p> <p><b>Project Justification:</b> This will extend the service life of the facility and improve safety. Areas along the corridor have experienced uneven settling and heaving. Some areas are in need of drainage improvements to eliminate standing water in ditches. Robert Dunning has provided a list of issues with culverts along this stretch of roadway.</p> <p><b>General Comments:</b> This project was identified at the 8/8/16 Preventive Maintenance meeting.</p> <p><b>M&amp;O Comments:</b> See attached list from Robert Dunning, M&amp;O Superintendent.</p> <p><b>Contacts:</b> Linda Mahlen, 451-2385, Preventive Maintenance Program Planner Duane Hoskins, 451-2382, Area Planner Judy Chapman, 451-5150, Planning Chief Daniel Adameczak, 451-2294, M&amp;O Robert Dunning, 834-1039, M&amp;O</p> <hr/> <p style="font-size: x-small; color: yellow;">Project Control use only - Planning, do not use this ID number for anything.    <b>MRS Project ID: 70397</b></p> <p style="font-size: x-small;">Thursday, October 13, 2016</p>	FFY	2017	PH	2	Amount	\$297,000	FFY	2018	PH	2	Amount	\$261,000	FFY	2019	PH	4	Amount	\$6,200,000	FFY		PH		Amount		FFY		PH		Amount		FFY	2017	PH	2	Amount	\$297,000	FFY	2018	PH	2	Amount	\$261,000	FFY	2019	PH	4	Amount	\$6,200,000	FFY		PH		Amount		FFY		PH		Amount	
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**Scope, Schedule & Estimate Confirmation**  
Date Established: October 3, 2016

**PLANNING SECTION**

**Project Name:** Richardson Highway MP 18-24 Resurfacing

**Project Need ID:** 18923

**Description of Need & Purpose of Project:** The pavement on this stretch of roadway is at the end of its useful life and rehabilitation of the asphalt surface is needed to extend the life of the roadway. There are many rusted and damaged culverts and lengths of falling guardrail.

**Type of Estimate Being Requested:**

- Preliminary estimate (for planning level use)       Full design estimate (to be used to initiate a project start)

**Estimated total funding available for project:** Based on a Planning level estimate of approximately \$500K-\$650K per mile for a preventive maintenance level fix, the estimated construction cost ranges between \$3M-\$4M.

**Funding Source:**  FHWA     Prev Maint.     FMATS     FAA     Bond or other GF

- The project scope is defined by the description of need.  
 The project scope is limited by funding availability.  
 Please provide a range of estimates for prioritized scope items. (If box is checked see additional page for second estimate.)  
 Other:

**PRECONSTRUCTION SECTION**

**Confirmed Scope:** Resurface the Richardson Highway from milepost 18 to 24. Project will also include signs, striping, culverts and guardrail.

Confirmed Project Estimate:	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	TOTAL
Preliminary Engineering	297,000	261,000					558,000
Right of Way							0
Utilities							0
Construction			6,200,000				6,200,000
Planning (Recon studies)							0
<b>Total</b>	<b>297,000</b>	<b>261,000</b>	<b>6,200,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>6,758,000</b>

*Estimates are based on year 2015 dollars.*

**The above estimate was based on the following considerations and assumptions (optional):**

Existing pavement width to remain, possible relocation of north bound guardrail to provide more offset than current configuration.

*H:\Projects\_Start\_Up\Rich Hwy MP 18-24 Resurfacing 2016\SSE form Richardson MP 18-24 Resurfacing.doc*  
Planners please save a copy to the shared drive at the above mentioned location

- **Estimate based on:**     System Averages     Itemized Approximation     Detailed Estimate
- **Includes field review:**     Yes     No
- **One-Step process:** (See 420.1.2 of the AHPM for guidance)     Yes     No
- **Special traffic data needs required:** (Describe the type of traffic data reports you may need.)
- **Environmental considerations:**
  - > Type of document anticipated:     PCE     CE     EA     EIS     Re-Eval
  - > 4(f) Involvement:     Yes     No
  - > Time to prepare environmental document: 12 months
  - > Permits required:
    - > SHPO Concurrence
    - > USFWS Migratory Bird Documentation (Potential)
    - > DEC Concurrence (Potential)
- **Right of Way considerations:** All work will be done within the ROW
- **Utility considerations:** there are no anticipated effects to utilities.

Prepared by:

 \_\_\_\_\_ Date: 10/3/2016  
David K. Fischer, P.E.

Approved by:

 \_\_\_\_\_ Date: 10/4/2016  
Preconstruction Engineer

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Planners please save a copy to the shared drive at the above mentioned location

**HIGHWAY DESIGN BUDGET**

Project Name: **Richardson Hwy MP 18-24 Resurfacing**  
 AKSAS/Federal #: **TBD**

Activity		Previous Budget	Requested Change	New Budget
<b>Surveying</b>	Pre Env.		+145,000	145,000
	Post Env.			
<b>Environmental</b>	Pre Env.		+45,000	45,000
	Post Env.			
<b>Traffic</b>	Pre Env.			
	Post Env.			
<b>Materials</b>	Pre Env.			
	Post Env.			
<b>Foundations</b>	Pre Env.			
	Post Env.			
<b>Bridge Design</b>	Pre Env.			
	Post Env.			
<b>Design</b>	Pre Env.		+90,000	90,000
	Post Env.			
<b>Review/Contracts</b>	Pre Env.			
	Post Env.			
<b>ROW Titles &amp; Plans</b>	Pre Env.		+1,500	1,500
	Post Env.			
<b>Utilities</b>	Pre Env.		+1,000	1,000
	Post Env.			
<b>ICAP @ 4.96%</b>			+14,012	14,012
Subtotal Non-Par		0	+296,512	296,512
<b>GRAND TOTAL</b>		0	+296,512	296,512

Justification:

**Preliminary Milestone Schedule**

*FHWA requires a project schedule and a phase end date as part of initiating a new project. The dates provided here should reflect a general idea of when you anticipate reaching your major ATP level milestones. These dates will be used by Project Control to establish the "ATP End Date" for this new project.*

Project Name: Richardson Highway MP 18-24 Resurfacing

**Instructions:**

- 1) When do you anticipate **completing** this activity? That is the date you fill in below, in red field.
- 2) The blue cell will automatically populate by adding 6 months to your completion date.

Estimated Date to Accomplish Activity	Estimated End Date (Automatically calculated to add 3-5 months)
12/15/17	06/13/18

When do you estimate your Environmental Document being approved?

Is your project for a planning type study? Or some other action that won't result in a construction phase? Then list the date you anticipate finalizing your study?

PHASE 4 PLANNING LEVEL ESTIMATE

INSTRUCTION: Enter information into YELLOW fields. Insert new rows for additional/special items. Do not change print area.

Project Name: Richardson Highway MP 15-24 PM Project  
IRIS #: Z33783009

Estimated By: MJB  
Date: 8/30/2018

General Reference

Project Length (M):	31.630
Project Length (mi):	9.00

Data for Asphalt Percent Estimation

% Oil for AC:	5.5%
% Oil for ATB:	4.5%

Data for Automatic CSP Estimation

Crossings: 38" - 48" CSP		
Approx No.	Avg Length	Total L/F
36	50	1,800

Crossings: 18" - 24" CSP

Approx No.	Avg Length	Total L/F
20	50	1,000

Standard Estimating Factors

Storm	2.0	ton/ty
Subbase	2.0	ton/ty
D-1	2.0	ton/ty
ATB	2.0	ton/ty
Asphalt Concrete	115	lb/ty-in
Double AST Agg	60	lb/ty
High Float Agg	75	lb/ty
Prime/Tack	0.2	gal/ton
Asphalt Oil	6.2	lb/ton
CRS2 Oil	0.80	gal/ton
HFMS Oil	0.75	gal/ton

Item	Avg Width	Avg Depth	Avg Length	Quantity	Unit	Unit Price*	Cost	Design Comments
Remove Structures & Obstructions					LB	\$0	\$0	
Cleaning & Grubbing	20 ft		31,680 ft	14.3	ACRE	\$8,200	\$87,273	
Excavation	3 ft	2.0 ft	31,680 ft	0	CY	\$11.00	\$0	
Borrow	0 ft	3.0 ft	31,680 ft	0	TON	\$19.00	\$0	
Geotextile	0 ft		31,680 ft	0	SY	\$3	\$0	
Recon/Working				0	STA	\$700	\$0	
Aggregate Base Course, Grading D-1	38 ft	2.0 in	31,680 ft	14,862	TON	\$25	\$371,556	
Crushed Asphalt Base course	38 ft	6.0 in	31,680 ft	133,760	SY	\$2	\$267,520	
Asphalt Cem PO 52-28					TON	\$750	\$0	
Temporary Pavement					LB	\$0	\$0	
Prime/Tack Coat	38 ft		31,680 ft	110	TON	\$1,000	\$109,583	
Asphalt Concrete	35 ft	2.0 in	31,680 ft	14,862	TON	\$70	\$1,040,340	
Asphalt Cem PO 52-28				817	TON	\$880	\$984,788	
Asphalt Price Adjustment					CB	\$5,124	\$5,124	
18" - 24" CSP				1,000	L/F	\$200	\$200,000	
20" - 48" CSP				1,000	L/F	\$250	\$480,000	
Final CSP, Complete				0	EA	\$900,000	\$0	
Stormwater System, Complete					LB	\$0	\$0	
OVSediment Separator				0	EA	\$70,000	\$0	
Bridge, Complete	0 ft		0 ft		RF	\$0	\$0	
Bridge Detour					LB	\$0	\$0	
Guardrail				18,900	L/F	\$30	\$504,000	
End Treatments				18	EA	\$4,500	\$72,000	
Concrete Sidewalk				0	BY	\$80	\$0	
Curb Ramps				0	EA	\$2,000	\$0	
Curb & Gutter				0	L/F	\$20	\$0	
Concrete Barrier				0	L/F	\$70	\$0	
New Traffic Signal				0	EA	\$378,000	\$0	
Modify Traffic Signal				0	EA	\$178,000	\$0	
Luminaires				0	EA	\$10,000	\$0	
Striping, Paint			31,680 ft	117,216	L/F	\$0.25	\$29,304	
Striping, Marking				0	L/F	\$1.75	\$0	
Special Urban Traffic Markings				0	LB	\$0	\$0	

PHASE 4 PLANNING LEVEL ESTIMATE

Item	Avg Width	Avg Depth	Avg Length	Quantity	Unit	Unit Price*	Cost	Design Comments
Driveway Approach				11	EA	\$1,800	\$19,800	
Rebuild RR Crossing				0	EA	\$350,000	\$0	
Permanent Sealing	10 ft		3,000 ft	0.5	ACRE	\$1,500	\$888	
Landscaping					LB	\$0	\$0	
Erosion & Pollution Control Admin					LB	\$10,000	\$10,000	
Temporary Erosion & Pollution Control					LB	\$20,000	\$20,000	
SWPPP Manager					LB	\$10,000	\$10,000	
Utility Relocate (WFA, ACS, BCI, etc.)					LB	\$0	\$0	
Construction Surveying				10	Crowday	\$2,500	\$48,000	
Camp					LB	\$0	\$0	
Lodging / Perdiem					LB	\$100,000	\$100,000	
					Subtotal		\$4,028,787	
Traffic Maintenance & Traffic Control (per PH 4 and PH 4B notes)				5%	of Subtotal		\$322,903	
Macadamous Items (concrete curbs, base, base, base, riprap, drainage, etc.)				10%	of Subtotal		\$602,878	
					Subtotal		\$4,753,688	
Mob/Demob				0%	of Subtotal		\$380,317	
					Subtotal		\$5,134,006	
Construction Engineering (CEN)				10%	of Subtotal		\$778,142	
					Subtotal		\$5,912,148	
ICAP				4.36%	of Subtotal		\$282,860	
					Total Phase 4 Cost		\$6,195,008	

**WORK PLAN  
PHASE 2 PLANNING LEVEL ESTIMATE**

**Project Name: Richardson Highway MP 18-24 Resurfacing  
AKSAS #:**

**Estimated By: dkf  
Date: 9/29/2016**

<u>Section</u>	<u>Quantity</u>	<u>Unit</u>	<u>Unit Price</u>	<u>Cost</u>	<u>Design Comments</u>
<b><u>Design</u></b>					
Designer	100	Mandays	\$595	\$59,500	
Assistant Designer	80	Mandays	\$500	\$40,000	
Drafting	45	Mandays	\$420	\$18,900	
Manager	50	Mandays	\$725	\$36,250	
			<b>subtotal</b>	<b>\$154,650</b>	
<b><u>Environmental</u></b>					
Impact Analyst consultant	60	Mandays	\$550	\$33,000	
				\$30,000	106/wetlands
			<b>subtotal</b>	<b>\$63,000</b>	
<b><u>Location Surveying</u></b>					
Perdiem Fieldwork	34	Crewdays	\$3,080	\$104,720	
Non-Perdiem Fieldwork	0	Crewdays	\$2,090	\$0	
Data / Designer / Manager	34	Officedays	\$1,100	\$37,400	
			<b>subtotal</b>	<b>\$142,120</b>	
<b><u>Geology</u></b>					
Perdiem Fieldwork	7	Crewdays	\$6,920	\$48,440	
Non-Perdiem Fieldwork	0	Crewdays	\$6,500	\$0	
Lab	5	Labdays	\$1,650	\$8,250	
Findings Report	7	Officedays	\$1,750	\$12,250	
			<b>subtotal</b>	<b>\$68,940</b>	
<b><u>Traffic</u></b>					
Designer	20	Mandays	\$535	\$10,700	
Manager	5	Mandays	\$630	\$3,150	
			<b>subtotal</b>	<b>\$13,850</b>	
<b><u>Hydrology</u></b>					
Technical Engineer	45	Mandays	\$790	\$35,550	Assistance on culvert design
Assistant	25	Mandays	\$620	\$15,500	
			<b>subtotal</b>	<b>\$51,050</b>	
<b><u>Geotechnical</u></b>					
Technical Engineer	0	Mandays	\$680	\$0	
Assistant	0	Mandays	\$500	\$0	
			<b>subtotal</b>	<b>\$0</b>	

**WORK PLAN  
PHASE 2 PLANNING LEVEL ESTIMATE**

<u>Section</u>	<u>Quantity</u>	<u>Unit</u>	<u>Unit Price</u>	<u>Cost</u>	<u>Design Comments</u>
<b><u>Statewide Foundations</u></b>					
Perdiem Fieldwork	0	Crewdays	\$6,920	\$0	
Report / Manager	0	Mandays	\$1,650	\$0	
Lab	0	Labdays	\$1,750	\$0	
Technical Engineer	0	Mandays	\$705	\$0	
			<b>subtotal</b>	<b>\$0</b>	
<b><u>Bridge Design</u></b>					
Technical Engineer	0	Mandays	\$735	\$0	
Drafting	0	Mandays	\$415	\$0	
			<b>subtotal</b>	<b>\$0</b>	
<b><u>ROW Title &amp; Plans</u></b>					
Data / Designer	10	Mandays	\$570	\$5,700	Material sites
Manager	0	Mandays	\$650	\$0	
In-House ROW Survey	0	Crewdays	\$2,500	\$0	
Contract ROW Survey / Certification		Lump Sum	\$0	\$0	
			<b>subtotal</b>	<b>\$5,700</b>	
<b><u>Utilities</u></b>					
Designer	0	Mandays	\$510	\$0	
Utilities Associate	0	Mandays	\$525	\$0	
Manager	4	Mandays	\$665	\$2,660	minimal utilities
			<b>subtotal</b>	<b>\$2,660</b>	
<b><u>Construction Review</u></b>					
Project Review					
		For Approx. Phase 4 Cost		Use	
		Under \$1.0 Million		\$10,000	
		\$1.0 Million to \$5.0 Million		\$15,000	
		Over \$5.0 Million		\$20,000	
		Lump Sum	\$20,000	\$20,000	
			<b>subtotal</b>	<b>\$20,000</b>	
<b><u>Contracts / Review</u></b>					
Review Engineer	15	Mandays	\$655	\$9,825	
			<b>subtotal</b>	<b>\$9,825</b>	
<b><u>ICAP</u></b>					
		4.96%		<b>\$26,377</b>	
<b><u>Travel</u></b>					
		0.0%		<b>\$0</b>	
				<b>Total Phase 2 Cost</b>	<b>\$558,000</b>

## Project Background Report

Planning Level Project Development Information for Preconstruction

**Proposed Project Title:** Richardson Highway MP 18-24 Resurfacing

### Problem Statement / Reason for Project

This section of the Richardson Highway pavement was identified at the 8/8/16 Preventive Maintenance meeting as being at the end of its useful life and needing to be resurfaced. This project may include crack sealing, surface treatment, drainage, signage, guardrail, illumination and other refurbishments to prolong the life of the road pavement consistent with preventive maintenance. See notes from Hydrology and the list of issues sent by Robert Dunning.

### Proposed Funding Source:

- |                               |   |
|-------------------------------|---|
| <input type="checkbox"/> FHWA | <input checked="" type="checkbox"/> FHWA – Preventive Maintenance |
| <input type="checkbox"/> FAA  | <input type="checkbox"/> General Funds                            |
| <input type="checkbox"/> Bond | <input type="checkbox"/> FMATS                                    |

### List of potential problems identified (check all boxes that apply)

*This is not intended to be a complete list of needs.*

- |   |  |   |
|---|--|---|
| <input checked="" type="checkbox"/> Drainage Improvements | <input checked="" type="checkbox"/> Safety                   |   |
| <input checked="" type="checkbox"/> Rehabilitation        | <input checked="" type="checkbox"/> Culvert Replacement      |   |
| <input type="checkbox"/> New Construction                 | <input checked="" type="checkbox"/> Embankment Stabilization |   |
| Pedestrian Facilities:                                    | <input type="checkbox"/> Installation of new facility        | <input type="checkbox"/> Improvements to existing |
| Bicycle Facilities:                                       | <input type="checkbox"/> Installation of new facility        | <input type="checkbox"/> Improvements to existing |

### Bridge Information

Sheep Creek Bridge # 0559

### MRS Project History Related to Current Termini:

RICHARDSON HWY MP 14-26 EROSION REPAIR-Project # 67034 – 2005

RICHARDSON HWY MP 18 SHEEP CREEK BRIDGE SURFACE REPAIRS-Project # 62381 – 2013

### Traffic Data

- The termini for this project does not contain any Permanent Traffic Recorders (PTR)
- PTR's exist at the following MP: \_\_\_\_\_
- Temperature data probes exist at the following MP: \_\_\_\_\_
- AADT information: Provided by the RIP report, attached
- Safety and crash data: Attached
- Urban projects - Turning movements:

Revised 2/6/15

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### Maintenance & Operations

Robert Dunning, M&O Superintendent, Valdez 834-1059  
Emailed requesting information 8/19/2016. No response yet.

### Hydrology / Culvert Information

Jeff Stutzke and Jason Sakalaskas are coordinating on this project. There may be some river encroachment issues at or near MP 8.5.

Jeff's email 8/22/2016-Did a quick assessment of these projects from our recent trip as outlined below.

Rich 18-24 - We looked at a few culverts thru here to get a feel for their condition. There is an existing 48" culvert at approx. MP 19 that should be replaced as the outlet end is falling. Didn't talk to Robert as to the nature of asphalt issues over this culvert but appears the surface has been patched above it. The culvert is at a steep gradient and is deep. Perhaps could look at a rehab. There are numerous other smaller diameter culverts. The one representative that we looked at was in fair condition. This section includes the steep grade up to Thompson Pass and ends near Blueberry Lake. We didn't check but, there could be a culvert that connects into the Lake or what condition it could be in. The main issue here I think are the narrow NB lanes climbing up to Thompson Pass, we have an 11.5' and a 10' lane. The existing guardrail is only 1-foot off the fog line along the 10-foot lane. I'm sure numerous vehicles and equipment have scraped the guardrail as evidence by its condition. Vehicles in the this lane tend to 'shy away' from the guardrail and cross into the other NB lane. Did a quick measurement and we have approx. 11,000 feet of guardrail that I would think should be moved and replaced and the 10' lane widened. We have approx. 10-12 feet of embankment behind the existing guardrail before it falls off down a very steep and deep slope.

### MPO and Local Government Status

- Project is within the FMATS boundary and will be funded by FMATS.
- Project is within the FMATS boundary, but will not be funded by FMATS.
- This project requires local match. Coordination with Planning regarding changes to estimates will be critical throughout the life of the project.
- Resolutions of support (Attached)

### Local Planning Authority (state statute Sec. 35.30.010)

- Project is located in a municipality that requires approval by a planning commission.
- Project is located within two miles of a village that requires review and comment by the village council.
- Project is located within one-half mile of the boundary of an area represented by a community council established by municipal charter or ordinance that requires submitting the plans to the community council for review and comment.

Revised 2/6/15

Page 2

**Stakeholders**

City of Valdez  
Valdez City Council

**Legislative**

House District 9:  
Representative Jim Colver, 888-465-4859, email: [representative\\_jim\\_colver@akleg.gov](mailto:representative_jim_colver@akleg.gov)  
Senate District E:  
Senator Mike Dunleavy, 877-465-6601, email: [senator\\_mike\\_dunleavy@akleg.gov](mailto:senator_mike_dunleavy@akleg.gov)

**ROW and Materials Sites**

Available ROW map for the general area is attached.  
A list of materials sites is attached.

**Maps, Drawings & Reports to Potentially Include**

- Location maps (i.e., Google, Duane or Ping)
- Borough property information
- General land status or state/federal plats
- IRI data (International Roughness Index)

**Transportation Plans**

**Project Scoring History**

- PEB: (date, score & name of nominator)
- N/A

**Resource Contact Information**

Jason Sakalaskas, 451-2214  
Robert Dunning, 834-1039

Prepared by:

Linda Mahlen  
Planner Name

9/9/2016  
Date

The table contains multiple columns of data. The first column appears to list project or site identifiers. Subsequent columns contain descriptive text, possibly including dates, scores, and names of nominators as mentioned in the 'Project Scoring History' section. The table is densely packed with information and is oriented vertically on the page.



## Richardson Highway MP 18-24 Resurfacing

# AKDOT&PF-3 Current Project Status

Current Project Status <span style="float: right;">NR Contracts Jenny/Lauren</span>																						
Active	Priority	Project Title	IRIS Number	Federal Number	Federal Obligations in Year	Plans in Hand			Review PS&E			Final		ATA Rec'd		Advertising				Review Engr	Engineering Manager	Remarks
						Rec'd	Start Review	End Review	Rec'd	Start Review	End Review	Rec'd	Distributed	Federal	State	Rec'd	Advertised	Sched. Bid Opening	Actual Bid Opening			
Active		Fairbanks Noble Street Upgrade	261750000	0005413	FFY16				12/10/16 A	1/14/17 A	2/17/17 A	7/20/16 A	8/1/16 A	9/9/16 A	10/1/16 A	10/7/16	11/1/16	11/29/16	Lauren	Johnson	Revised Final expected per DSII meeting	
Active		HSP- Dalton, Elliott, Steese Highways Signing and Striping	264252000	0002817	FFY16				3/2/16 A	3/14/16 A	3/28/16 A	6/23/16 A	8/24/16 A	7/14/16 A	7/29/16 A	9/29/16 A	10/17/16 A	11/30/16	Jenny	Little	Revised Final Received 9/29/16	
Active		HSP- Eastern Alaska Named Highways Signing and Striping	264257000	0002310	FFY16				3/2/16 A	3/15/16 A	3/28/16 A	6/23/16 A	8/28/16 A	7/21/16 A	7/29/16 A	9/29/16 A	10/29/16	11/15/16	Jenny	Little	Revised Final Received 9/29/16	
Active		Northern Region Traffic and Operations Center	NHFW00000	0002381	FFY16				4/29/16 A	5/4/16 A	5/18/16 A	7/20/16 A	7/21/16 A	9/23/16 A	9/23/16 A	10/4/16 A	10/25/16		Jenny	Helm	2517630000 Planned Project	
Active		Tok Cutoff MP 0-24 Culvert Replacement	263013000	0613032	FFY16				5/20/16 A	5/27/16 A	6/17/16 A	7/7/16 A	7/18/16 A	8/9/16 A	8/16/16 A	8/31/16 A	9/13/16 A	10/4/16	Lauren	Johnson		
Active		HMATS Area Surface Upgrades FFY2017	NHFW000127		FFY17				9/13/16 A	9/26/16 A	10/17/16 A								Lauren	Organeck	Designed under NHFW00000	
Active	Priority	Farmer Loop Resurfacing	260740000	0002344	FFY17	8/2/16 A	8/25/16 A	9/28/16 A	10/14/16										Jenny	Johnson		
Active		Dalton Hwy MP 216-222 Reconstruction	NHFW000144		Pending							10/25/16 A	11/4/16 A			1/15/17			Lauren	Organeck	60949 Permit. Splitoff of 80763 final. 05/06/2016	
		Renov Airport Apron Expansion	265435000		Pending							8/25/16 A	7/9/16 A	7/8/16 A	3/1/16 *				Lauren	Johnson	* 3/2/16 is anticipated ATP through construction. Pending funding.	
		Nenana Little Goldstream Bridge	263573000	0002343	FFY17				2/17/16 A	2/18/16 A	3/30/16 A	8/4/16 A	8/9/16 A						Lauren	Little		
		September 2012 and May 2013 ER Detail Hwy Corridor Flood Repairs	262090000	0657067	Pending				3/8/16 A	3/23/16 A	4/13/16 A	11/1/16							Jenny	Fischer	Revised Final PS&E executed. Will also likely have to go back to FHWA.	
		Nor Reg Deep Culverts Stage II	262194000	0644037	FFY17				3/18/16 A	03/23/16 A	4/18/16 A	2/15/17 *							Lauren	Little	* 2/15/17 is anticipated ATP through construction. Anticipated to advertise with Farmers Loop	
		Richardson Hwy MP 353-357 Access	266148000	0474019	FFY17				4/19/16 A	4/22/16 A	5/19/16 A	12/1/16 *							Lauren	Little	* 12/1/16 is anticipated ATP through construction	
		Dalton Hwy MP 205-219 Reconstruction	260761000		Pending	10/21/15 A	10/23/15 A	11/19/15 A	5/2/16 A	5/6/16 A	5/17/16 A	11/2/16							Lauren	Organeck		
		Dalton Hwy MP 256-Route Aboussonee Creek	262704000	0653014	FFY17				5/20/16 A	5/27/16 A	6/17/16 A	8/9/16 A	8/11/16 A						Jenny	Organeck		
		Galena Campion Road Beaver Creek Culvert	264266000	PA-10-AK-4122	FFY17				6/3/16 A	6/6/16 A	6/13/16 A								Jenny	Hutchinson		
		Steese Hwy to Front Street Bicycle/Pedestrian Path	262886000	0621030	FFY16				6/25/16 A	6/21/16 A	7/29/16 A	7/27/16 A	8/4/16 A	8/30/16 A					Jenny	Schachter	Initial Final PS&E Received 7/25/16 but EDC and EE not correct.	
Priority		Fairbanks Area Signal Upgrade - Stage I	NHFW00146	0002383	FFY16				7/8/16 A	7/14/16 A	7/28/16 A	8/9/16 A	8/11/16 A	8/23/16 A					Lauren	Helm	Shortened Review Period - 54 days.	
Priority		Chena Highway MP 103-107 and 107-111	NHFW00102		Pending				7/16/16 A	7/16/16 A	7/16/16 A	7/16/16 A	7/16/16 A						Jenny	Fanning	Revised final expected due to permits	
		Brook Hill Bicycle and Pedestrian Facility	263780000	0002347	FFY17				7/28/16 A	7/28/16 A	8/11/16 A								Jenny	Helm		
		Chena Ridge Grapple Creek Culvert	260624000	0645013	FFY17				10/1/16										Jenny	Johnson	10/1/16 Review PS&E estimated during 5/16 DSII	
		Wendell Avenue Bridge	263291000	N/A	FFY17				11/1/16										Jenny	Little		
		Farmer Loop Interconnect	NHFW000371						11/4/16 A											Helm		
		Dalton Hwy MP 0-9 Reconstruction	265910000	0662016	FFY18				11/15/16										Jenny	Little		
		University Ave Rehabilitation & Widening	265213000	0617083	FFY17	10/23/15 A	10/29/15 A	12/9/15 A	11/21/16										Lauren	Little		
		University Ave Rehabilitation & Widening Segment 2	265213000	0617003	FFY17	3/23/16 A	3/9/16 A	4/16/16 A	11/15/16										Lauren	Little		
		Chena Hill Springs Rd MP 30 Jenny M Creek Bridge Replacement	260630000	0660028	FFY17				11/28/16										Jenny	Organeck		
		Kotzebue to Cape Blossom Road	278880000	0002204	FFY18				12/1/16										Lauren	Fahrig		
		Nor Reg Radar Sites for Non-Intrusive	NHFW00002	0002346	FFY17				1/3/17										Jenny	Hutchinson		
		Nor Reg Automated Vehicle Classifier Lippesles & Construction	NHFW00005	0106081	FFY17				1/5/17										Jenny	Helm	Combine w/ NHFW00005	
		Kovalev Airport Erosion Control	263872000		Pending				1/25/17										Lauren	Hutchinson		
		HSP- Fox Intersection Constability	NHFW00099	0651033	FFY18				2/1/17										Lauren	Helm	likely to be combined with NHFW00132 and	
		Elliot Hwy MP 0-12 Rehabilitation	261090000	0651029	FFY17				2/8/17										Lauren	Organeck		
		Gambell Airport Pavement Rehab & Lighting Replacement	260385000		Pending				2/1/17										Lauren	Hutchinson		
		Chena Highway MP 103-107 and 107-111	264266000		Pending				2/15/17										Jenny	Fanning	*Anticipates ATP through Final PS&E	
		Nor Reg Deep Culverts Stage III	267196000		Pending				2/15/17										Lauren	Hutchinson	This Stage III project is located in Cordova at MP	
		Motorcycle Road Upgrade	267818000	0002300	FFY18				2/15/17										Lauren	Little		



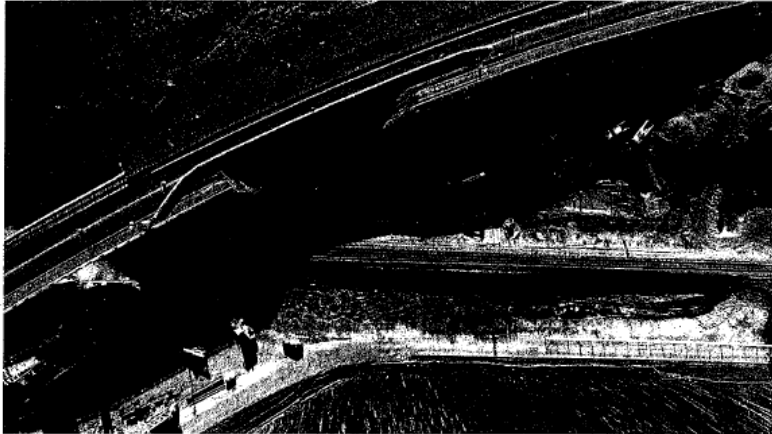
## AKDOT&PF-4 Project Request/Registration Form

<b>Project Request/Registration Form</b>	
<b>PLEASE PRINT LEGIBLY &amp; FILL OUT ALL highlighted fields</b> (be sure to include any "special" instructions, ie plans/spec sent to one address, invoice sent to another)	
<b>Project No.:</b> _____	<b>Project Name:</b> _____
Date of request: _____ How was contact made? (check one): <input type="checkbox"/> Phone <input type="checkbox"/> Walk-In <input type="checkbox"/> Mail	
(check one of the following)	
<input type="checkbox"/> <b>PLANS/SPECS Order</b>	
(check one) <input type="checkbox"/> Picked-up <input type="checkbox"/> Mailed out	Number of Sets requested: _____
Plan Fee: \$ _____	
(check one) <input type="checkbox"/> Invoice required <input type="checkbox"/> Receipt issued	Receipt # (if applicable) _____
<b>OR</b>	
<input type="checkbox"/> <b>PLANS HOLDER REGISTRATION ONLY</b>	
*****	
Contractor Type (check one): <input type="checkbox"/> General Contractor <input type="checkbox"/> Subcontractor <input type="checkbox"/> Supplier <input type="checkbox"/> Plan Center <input type="checkbox"/> Consultant	
Company Name: _____	
Address: _____	
_____	
_____	
Telephone Number: ( ) _____	Fax Number: ( ) _____
Picked up/Ordered by: _____	
*****	
<b>Complete for PLANS/SPEC Orders:</b>	
Addendum/Addenda No(s) _____	<input type="checkbox"/> Yes <input type="checkbox"/> N/A
NTB No(s) _____	<input type="checkbox"/> Yes <input type="checkbox"/> N/A
FOR GENERAL CONTRACTOR-Bidding Docs & Envelopes:	<input type="checkbox"/> Yes <input type="checkbox"/> N/A
*****	
Order Taken By (REQUIRED): _____	Filled By: _____
*****	
If invoice is required, email scanned copy of this form to Finance	Date sent to Finance _____
Check MRS to see if Contractor self-registered, if not register them. MRS Contract #: _____	
Tracking No. _____	Total Postage \$ _____
*****	
L:\Master Docs\Project Request-Registration Form Working copy.doc	UPDATED 5/16


## AKDOT&PF-5 Construction Status Report

<b>HIGHWAY / AVIATION CONSTRUCTION BRANCH DISTRIBUTION LIST</b>	
8:00 AM October 27, 2016 – DOT Main Conference Room	
<b>Regional Director</b> .....	Dave Kemp, Regional Director, Central Region Jill Reese, Public Information Officer Shannon McCarthy, Legislative & Media Liason
<b>Design &amp; Construction</b> .....	Diana Rotkis, P.E. Director, Design & Construction
<b>Preconstruction</b> .....	Wolfgang Junge, P.E. Preconstruction Engineer
<b>Aviation Design</b> .....	Joel St. Aubin, Chief, Aviation Design Barb Beaton, P.E., Project Manager Luke Bowland, P.E., Project Manager Morgan Merritt, P.E., Project Manager Aaron Hughes, P.E., Project Manager
<b>Highway Design</b> .....	Jim Amundsen, P.E., Chief, Highway Design
<b>Right Of Way</b> .....	John Linnell, P.E., Group Chief
<b>Traffic &amp; Utilities</b> .....	Scott Thomas, P.E., Traffic Engineer EC –Jonathan Knowles, Engineering Associate
<b>Regional Planning</b> .....	Todd VanHove, Chief, Planning & Administrative Services Aaron Jongenelen, AMATS Coordinator David Post, Planning Manager Todd VanHove, Planning Manager Melanie Nichols, Area Planner Don Fancher, Planner III James Starzec, Area Planner
<b>Preliminary Design &amp; Environmental</b> .....	Eric Miyashiro, P.E., PD&E Chief Brian Elliott, Environmental Coordinator (+4 copies)
<b>Leasing</b> .....	Jamie Brooks, Chief of Leasing
<b>Civil Rights</b> .....	Dennis Good, Office Manager
<b>Construction</b> .....	Tom Dougherty, P.E., Regional Construction Engineer Steve Frey, P.E., Construction Group Chief Tony Sprague, P.E., Construction Group Chief Dave Lee, Construction Office Engineer Alan Drake, P.E., Project Manager Steve Jochens, P.E., Project Manager Ericka Moore, P.E., Project Manager Matt Morrow, P.E., Project Manager Laura Paul, P.E., Project Manager Brian Schumacher, P.E., Project Manager Ron Searcy, P.E., Project Manager Mary Nan Cunningham, Erosion & Sediment Control Advisor Ken Thomas, Construction Traffic Control Engineer
<b>Contracts</b> .....	Sharon Smith, Contracts Chief
<b>Project Control</b> .....	Cynthia Morales, Project Control Chief Karen Dunlap, Highway CIP Karen Kristy, Aviation CIP
<b>Concurrent Review</b> .....	Therese Stokes, Quality Assurance Engineer
<b>Maintenance &amp; Operations</b> .....	Bob Anderson, Chief, Maintenance & Operations Burrell Nickeson, Maintenance & Operations Specialist Michael Cook, Maintenance & Operations Specialist
<b>STWD Aviation, MS 2500</b> .....	Roger Maggard, Airport Development Manager Linda Bustamante, Project Assistant Meg Jones, Regional Safety & Airport Security Officer
<b>STWD Design &amp; Engineering MS 2500</b> .....	Mark Neidhold, Chief Design & Construction Standards
<b>Region Material, MS 2526</b> .....	Newt Bingham, Regional Materials Engineer
<b>STWD Materials, MS 2538</b> .....	Mike San Angelo, State Materials Engineer
<b>STWD Environmental, MS 2538</b> .....	Taylor Horne, Statewide Environmental Manager
<b>FWWA (mailbox in constr. Admin)</b> .....	Austin Armstrong, Area Engineer AJ Fletcher, Field Operations Engineer
<b>FAA</b> .....	EC - Matt Freeman, Lead Civil Engineer for Airports GIS EC - Patrick Zettler, Lead Civil Engineer EC - Krisjon Tabisola, PM/Regional Closeout Manager

### CENTRAL REGION CONSTRUCTION BRANCH (AVIATION & HIGHWAYS)



Parks Highway MP 44.5-48.8 Reconstruction: Church Road to Pittman Road



### October 2016 Status Report

Construction Status Meeting Report

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Information includes: PJ Number, PJ Manager, PJ Engineer, Contact numbers, Contractor, and charge codes.	
List Heading: All contact information for Construction Chief, Group Chiefs, and Project Managers.	
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Individual project information: includes all active projects (from bid opening to project completion and filing of Notice of Termination).	

PROJECT ASSIGNMENT SHEET

November 2016

Tom Dougherty, PE, CONSTRUCTION ENGINEER 269-0401 / Fax: 243-5092											
Construction Group Chief	Project Manager	Proj. No.	Est. No.	Construction Group Chief	Project Manager	Proj. No.	Est. No.	Proj. No.	Est. No.	Contractor	
Steve Pegg, P.E. 269-0664	Lincha Moore 269-0464 Mack Morrow 269-0464 Laura Paul 269-0634 Ron Searcy	269-4590	269-0671	Tony Sprague, P.E. 269-0446	Bob Anderson Alan Drake Steve Lockman Brian Schumacher	269-0452	243-5092	269-0665 269-0659 269-0832	243-5092 243-5092 243-5092	Davis Constructors & Engineers	
PI Mgr	State #	Federal #	Project Name	Program	Phase	Activity Code	Project Engineer	Const. Office Phone No.	Cell No.	Contractor	
Drake	59766	0001512	Olympic Mountain Up Improvements Girardwood	Z597660000	TC4000	143P	Eric Acosta-Hendrickson Brian Hall/RBM	770-5677 522-1707	c 242-5355 f 522-3403	Davis Constructors & Engineers	
Drake	54277	0A33024	Sterling Hwy: Soldotna Urban Pavement Preservation	Z542770000	T04017	143P	Marcus Forner	269-0467	252-5599	Prulis Construction	
Drake	58524	0501067	Alpexka Hwy Reconstructing: Seward Hwy to Arlberg Ave & Alpexka Hwy: Pathway Rehab (CF)	Z585240000	T04XON T04017	143N 143P	Kevin Handrickson	522-5055	c 903-7207 f 522-5057	Granite Construction	
Drake	58536	N/A	Homer Beluga Float Plane Facilities Improvements	Z577770000	TBD	TSD	Pat Harvey	376-9001	350-7262	Southcentral Construction	
Drake	58570	0221017	Kenai Spur Hwy MP 8-12.4 PP, Kenai Spur Hwy MP 9.8-10.2 Culvert Replacement & Bicycle Pedestrian Facilities Rehabilitation and Improvements	Z585700002 Z585700000 Z591090000	T04017 T04017 T04017	143P	Marcus Forner	269-0469	252-5599	QAP	
Drake	56698	0211063	Sterling Hwy MP 11+ 133 Pavement Preservation	Z566980000	T04017	143P	Shawn Combs	262-0849	242-7761	Prulis Construction	
Joehens	35130	0506005	AMATE: Abbott Rd. Rehab Phase I	Z351300000	T04017	143P	Jason Basker	644-0431	242-4889	QAP	
Joehens	56699	0001496	Chulalak Hwy: MP 10-16 Pavement Preservation & HSIP Kotlak Bridge Rail Upgrades	Z566990000 Z570900000	T04017 T04017	143P	Merle Senn	512-0528	632-9130	QAP	
Joehens	56727	0001545	Raspberry Rd: Jewel Lk-Rainseena Dr PP HSIP: Jewel Lk Rd at Raspberry Rd East-West Turn Lanes	Z567270000 CFHWY00036 CFHWY00019	T04017 T04017	143P 150P	Nash King	929-7244	717-5034	Granite Construction	
Joehens	59065	0527026	C Street Paving & Anchorage Curb Ramps	CFHWY00090 CFHWY00009 CFHWY00008	T04017	143P	Lang Nguyen	334-1944	632-9129	QAP	
Joehens	57836	0527027		CFHWY00008 Z581540000	T04017	143P					
Joehens	56120	0001515		CFHWY00010	T04000	143P					
Joehens	57866	0A31058			T04000	143P					
Joehens	58496	0540010	N. Lights Blvd: Forest Park Dr to Lake Ous Ekyw	Z584960000	TC4000	143P	Chong Kim	770-2612	c 244-8521 f 770-2620	QAP	
Joehens	58197	0540011	Benson Blvd: Lake Dr to La Touche St PP	Z581970000	TC4000	143P					
Moore	53598	3-02-0016-171-2014	ALA Railway TL-25R Rehabilitation	Z535980000	TC4000	143P	James Raul/EMC	243-4169	830-1835	Granite	
Moore	54599	0001457	HSIP: Johns Road and Rlat Road Intersection Improvements, Klat Rd Sight Distance & HSIP Bridge Street @ 16th Ave Channelization	Z521200000 Z545990000	T04017 TC4000	143P 143P	Steve Raul/HDL Mike Gault/BIC	720-9810 929-7244	230-6400	QAP	
Moore	57587	0001511	HSIP: CR Sign Assembly Improvements 2015	Z575870000	T04017	143P	Mike Edwards/Wood	887-3665		Joint Construction	
Moore	57590	3-02-0016-177-2016	ANIC Taxiway R Improvements & ANIC Taxiway T Improvements	Z575900000 Z576060000	T04000	143P	Mahar AbouBid	243-4169	350-6777	Granite Construction	

Chief, Personnel; Holiday and Annual Leave Activity Code 262


Training Overhead Code: TCR08

## AKDOT&PF-6 Highway & Aviation Design Project Status Report

Alaska Department of Transportation & Public Facilities  
Central Region

# HIGHWAY & AVIATION DESIGN

## PROJECT STATUS MEETING



2013 Scammon Bay Airport Flood Permanent Repair

# July 2016

Design Status Report					
Program #: Z581220000	Federal Project #:	Design Manager: BEATON, BARBARA J			
AKSAS #: 58122	Ledger Code: 30496322	Construction Manager: DRAKE, ALAN L			
Need ID:	End Date:	Area Planner:			
Project Name: <b>CROOKED CREEK AIRPORT IMPROVEMENTS</b>					
Remarks:					
Project Scope	12/29/2004	The project includes a runway extension, a new taxiway and apron, new access roads, Medium Intensity Runway Lighting, a double bay Snow Removal Equipment Building, other related improvements, and land acquisition.			
Program Summary					
Latest Estimates for Future Obligations					
Project Phase	Expected Date	Participating	Non-Participating	Estimate Date	Comment
Construction	07/15/2017	21,700.0	0.0	12/07/2011	PS&E Est. On hold pending ROW acquisition. (E-18)
Utilities	07/15/2017	65.0	0.0	12/07/2011	Line Extension
Project Funding and Expenditure Summary					
Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Design	513,335	259,295	0	0	254,040
Right of Way	480,665	0	0	0	480,665
Design Development Milestones					
Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date		
Project Management Plan Completed			10/26/2009		
In-House Scoping Meeting					
ATP through Reconnaissance Study					
ATP through Environmental Document					
Document to FHWA/Statewide					
Document Approved		08/01/2010	02/17/2011		
ATP through Final PS&E					
Design Study Report Approved		12/15/2016			
Local Review					
Plans In Hand Review			05/31/2007		
PS&E Review			01/22/2010		
ATP through Appraisal & Acquisitions		10/05/2011			
ATP through Utility Relocation					
Signed Agreements		11/19/2016			
Right Of Way Certification		07/17/2017			
ATP through Construction		07/17/2017			
<b>Estimated Advertise Date:</b>					
Project Status					
Project Information		Designer: PDC Inc. Engineers			
Project Progress	07/12/2016	<b>PROGRESS:</b> --Native Allotment subdivision plat signed by BIA Director. Plat is being recorded at BIA's title plant.  <b>CURRENT TASKS:</b> --Obtain ADNIR signature. Record plat at ADNIR. -- Re-initiate acquisitions upon receipt of recorded plat.			
Environmental Information		Contact: BOYDSTON, MARK A			
Document Type:	Supplemental EA/FONSI for FAA projects				
Environmental Progress	07/14/2016	Current tasks: Draft new ACCOE wetlands permit for new design Consult with FAA on new project scope for updating environmental document. Completed tasks: None Issues: None.			
Permit #	Permit Type	Appl Date	Issue Date	Expr Date	
FH-07-II-0035	Corps of Engineers 404 Individual Wetland Permit DNR Title 41	02/13/2007	02/28/2007	05/01/2007	
Right of Way Information		Contact: MUELLER, JOHANN P			
ROW Progress	06/14/2016	Survey is planned for early June. Once approved by BIA acquisitions will resume.			
7/14/16 12:45 PM		Project ID: 40540			

**CENTRAL REGION HIGHWAYS / AVIATION DESIGN PROJECTS**

Project Name	IRIS #	Project Manager	Est Adv.
2013 SCAMMON BAY AIRPORT FLOOD PERMANENT REPAIR DMVA/FEMA	Z583570000	BOWLAND, LUKE S	7/29/2016
5TH AND 6TH AVE RESURFACING, L ST TO INGRA (PARENT)	Z597830000	HUBER, CHRISTINA A	
5TH AND 6TH AVENUE PH 2, CURB RAMPS, L STREET TO INGRA	CFHWY00009	HUBER, CHRISTINA A	8/8/2016
A ST RESURFACING: N LIGHTS BLVD TO 6TH AVE	Z534810000	JACKSON, KEVIN L	
A ST RESURFACING: 9TH AVE TO 6TH AVE	CFHWY00008	JACKSON, KEVIN L	6/29/2016
AERONAUTICAL SURVEYS 2013	Z568510000	MERRITT, MORGAN	
AIA CONCRETE KEEL REPAIRS 2017	Z584630000	BOWLAND, LUKE S	
AIA RUNWAY 15/33 REHABILITATION	Z590490000	BOWLAND, LUKE S	
AIA RUNWAY 25R EAST RSA DRAINAGE IMPROVEMENTS	Z592300000	BOWLAND, LUKE S	
AKUTAN AIRPORT MARINE LINK	CSAPT00150	HOLLAND, SEAN L	
ALASKA PENINSULA HIGHWAY BRIDGES (ERMK)	Z537850000	BOWLAND, LUKE S	
ALEKNAGIK LAKE ROAD MP 0-5 PAVEMENT PRESERVATION	CFHWY00169	HUGHES, AARON C	2/15/2017
ALEKNAGIK WOOD RIVER BRIDGE DESIGN (1702) AK124	Z535810000	BASKI, SEAN M	
ALEKNAGIK WOOD RIVER BRIDGE PHASE II	CFHWY00107	BASKI, SEAN M	3/15/2017
AMATS: RABBIT CREEK ROAD PAVEMENT PRESERVATION PROJECT	Z588110000	BASKI, SEAN M	12/1/2016
AMATS: ABBOTT RD REHAB - LAKE OTIS TO BIRCH	Z539420000	SMITH, CARLA J	
AMATS: ABBOTT RD REHAB - PHASE II	CFHWY00091	SMITH, CARLA J	
AMATS: ANCHORAGE AREAWIDE TRAILS REHAB - FISH CREEK TRAIL	Z584840000	JACKSON, KEVIN L	5/1/2017
AMATS: ANCHORAGE AREAWIDE TRAILS REHAB: BENSON PATH REHAB	CFHWY00172	JACKSON, KEVIN L	
AMATS: BICYCLE PLAN IMPLEMENTATION (DOT & PF OWNED), PARENT	Z560830000	JACKSON, KEVIN L	
AMATS: BICYCLE PLAN IMPLEMENTATION (DOT&PF OWNED - GROUP 1)	CFHWY00022	JACKSON, KEVIN L	6/1/2016
AMATS: BICYCLE PLAN IMPLEMENTATION (MOA OWNED - GROUP 1)	CFHWY00023	JACKSON, KEVIN L	6/1/2016
AMATS: BICYCLE PLAN IMPLEMENTATION (MOA OWNED - GROUP 2)	CFHWY00028	JACKSON, KEVIN L	3/1/2017
AMATS: BICYCLE PLAN IMPLEMENTATION (MOA OWNED) - PARENT	Z560920000	JACKSON, KEVIN L	
AMATS: BICYCLE PLAN IMPLEMENTATION, C ST: 10TH-40TH	CFHWY00019	JACKSON, KEVIN L	6/8/2016
AMATS: BICYCLE PLAN IMPLEMENTATION, EAGLE RIVER ROAD	CFHWY00026	JACKSON, KEVIN L	2/1/2017
AMATS: BICYCLE PLAN IMPLEMENTATION, PETERKIN ST, MEYER-BUNN	CFHWY00105	JACKSON, KEVIN L	3/1/2017
AMATS: BRAYTON DR: DEARMOUN RD - O'MALLEY RD PAVEMENT PRES.	Z585750000	MORTON, ANDREA K	
AMATS: MINNESOTA DRIVE STUDY-WESTCHESTER LAGOON - SEWARD	Z587580000	MCKEE, EDITH J M	
AMATS: O'MALLEY RD RECONST: NEW SEWARD TO HILLSIDE (PARENT)	Z538350000	FERGUSON, CYNTHIA	
AMATS: O'MALLEY RD RECONST: PH 1, NEW SEWARD TO LIVINGSTON	Z538040000	FERGUSON, CYNTHIA	10/1/2016
AMATS: O'MALLEY RD RECONST: PH II, LIVINGSTON-HILLSIDE (GO)	Z550980000	FERGUSON, CYNTHIA	
AMATS: O'MALLEY RD RECONST: PH II, NORTH SIDE PATHWAY (GF)	Z591000000	FERGUSON, CYNTHIA	
AMATS: PEDESTRIAN PLAN - BONIFACE PKWY: DEBARR RD-CARRS DR	CFHWY00125	JACKSON, KEVIN L	10/15/2016

Thursday, July 14, 2016

**HIGHWAYS / AVIATION DESIGN PROJECTS**

BEATON, BARBARA J	IRIS #
CROOKED CREEK AIRPORT IMPROVEMENTS	Z581220000
DILLINGHAM AIRPORT RUNWAY SHIFT	CFAPT00143
KWIGILLINGOK AIRPORT IMPROVEMENTS	Z525710000
MAT-SU AREA ROADS PAVEMENT PRESERVATION (GROUP C)	Z589770000
NORTH FORK RD: GRAVEL TO PAVEMENT	CFHWY00141
NORTH FORK ROAD BRIDGE EROSION REPAIR	Z579080000
SEWARD AIRPORT IMPROVEMENTS	Z548570000

# AKDOT&PF-7 Contract Status Detail Report

**Contract Status Detail Report**

Letter of Award Date Period: 10/01/2016 to 10/31/2016  
Procurement Method(s): Competitive Sealed Bid

Region(s): Central

*not verified*

*MSZ*

*constant*

*CP*

**Central Region - Competitive Sealed Bid**

Contract ID	Contract #	DBE Goal	Bid Ad. Date	Contract Name	Contractor	Engineer's Est. Low Bid Amt.	Award Amt.	Address # and Date
44829	RSA0601114	0	08/17/2016	ALCANTRA ARMORY COMPLEX WELL HOUSE REPLACEMENT	COLLINS CONSTRUCTION INC. * PO BOX 871827 WASILLA, AK 99687	\$ 345,600.00	\$ 345,600.00	1 08/17/2016 2 08/25/2016 3 09/02/2016 4 09/02/2016
44824	Z552500000	0	08/12/2016	KING SALMON AIRPORT SAND STORAGE BUILDING	SWALLING GENERAL CONTRACTORS, LLC * 235 F STREET ANCHORAGE, AK 99501	\$ 1,915,000.00	\$ 1,915,000.00	1 08/12/2016 2 08/29/2016 3 08/29/2016 4 08/30/2016 5 09/01/2016
63907	Z552500000	32	09/02/2016	FAA (Federal Airport) 3-02-0148-013-2016	ANCHORAGE, AK 99501	\$ 1,776,000.00	\$ 1,776,000.00	1 08/12/2016 2 07/28/2016 3 08/10/2016 4 08/10/2016 5 08/15/2016
44775	CFAPT00056	0	07/27/2016	ANC CCTV UPGRADES 2016	ALCAN ELECTRICAL & ENGINEERING INC. * 6670 ARCTIC SPUR RD ANCHORAGE, AK 99518	\$ 3,072,868.00	\$ 3,072,868.00	1 07/27/2016 2 07/28/2016 3 08/10/2016 4 08/10/2016 5 08/15/2016

10/31/16 3:15 PM Page 1 of 4

**Contract Status Detail Report**

Letter of Award Date Period: 10/01/2016 to 10/31/2016  
Procurement Method(s): Competitive Sealed Bid

Region(s): Central

*not verified*

*MSZ*

*constant*

*CP*

**Central Region - Competitive Sealed Bid**

Contract ID	Contract #	DBE Goal	Bid Ad. Date	Contract Name	Contractor	Engineer's Est. Low Bid Amt.	Award Amt.	Address # and Date
44832	Z577770000	0	08/24/2016	HOMER BELUGA FLOAT PLANE FACILITIES IMPROVEMENTS	SOUTH CENTRAL CONSTRUCTION, INC. * 205 E. DIMOND BLVD, PMB 565 ANCHORAGE, AK 99515	\$ 2,338,295.00	\$ 2,338,295.00	1 08/24/2016 2 09/09/2016 3 09/09/2016
44827	Z580990000	0	08/17/2016	HSP: EK LUTNA OVERPASS BRIDGE WARNING 2015	ROGER HICKEL CONTRACTING, INC. * 11001 CALASKA CIRCLE ANCHORAGE, AK 99515-2933	\$ 609,622.00	\$ 609,622.00	1 08/17/2016 2 09/02/2016 3 09/13/2016 4 09/13/2016
44844	Z543730000A	0	09/14/2016	PARKS HIGHWAY MP 48.8-52.3 STRUCTURES REMOVAL	ALASKA DEMOLITION, LLC * 2817 RAMPART DRIVE ANCHORAGE, AK 99501	\$ 750,000.00	\$ 750,000.00	1 08/14/2016 2 10/03/2016
Method Subtotal							\$ 6,321,059.00	Awarded

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**Central Region - Competitive Sealed Proposal**

Contract ID / Project ID / Funding / Federal Project #	Contract # / Program #	Contract Name	DBE Goal	Bid Ad. Date	Bid Op. Date	Contractor	Engineer's Est. Low Bid Amt.	Award Amt.	Addenda # and Date
44816	RSA0560707	APK BUILDING - COLLECTIONS VAULT MEZZANINE	51	08/03/2016	08/31/2016	ORION CONSTRUCTION, INC. * 3038 NORTH CARIBOU ST WASILLA, AK 99654	\$ 505,000.00	\$ 619,000.00	1 08/03/2016 2 08/16/2016 3 08/19/2016 4 08/22/2016 5 08/26/2016
44964	79813D	CMGC MT. EDGECLIMBE HIGH SCHOOL AQUATIC CENTER CHANGE ORDER 2		10/27/2016		CORNERSTONE GENERAL CONTRACTORS INC. * 4040 B STREET, SUITE 200 ANCHORAGE, AK 99503	\$ 1,433,448.00		
Method Subtotal							2 Contracts	\$ 2,052,448.00	Awarded

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Contract Status Detail Report

Page 3 of 4

**Central Region - Small Procurement**

Contract ID / Project ID / Funding / Federal Project #	Contract # / Program #	Contract Name	DBE Goal	Bid Ad. Date	Bid Op. Date	Contractor	Engineer's Est. Low Bid Amt.	Award Amt.	Addenda # and Date
44904	SPC2572-003	AMYA BUILDING 60720 WORK STATIONS		10/07/2016		FRAWNER CORPORATION * 8123 HARTZELL ROAD ANCHORAGE, AK 99507	\$ 14,250.00	\$ 15,500.00	
44903	SPC2572-005	STERLING HIGHWAY; MP 157-169 RECONSTRUCTION - ANCHOR POINT TO BAYCREST HILL DRILLING SERVICES		10/07/2016		GEOTEK ALASKA, INC. * P.O. BOX 111155 ANCHORAGE, AK 99511-1155	\$ 102,760.00	\$ 101,245.00	
Method Subtotal							2 Contracts	\$ 116,745.00	Awarded
Region Subtotal							10 Contracts	\$ 8,490,252.00	Awarded

Total

10 Contracts

\$ 8,490,252.00 Awarded

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Contract Status Detail Report



# AKDOT&PF-8 Contract Status Summary Report

**Contract Status Summary Report**

Letter of Award Date Period: 10/01/2016 to 10/31/2016

Procurement Method(s): Competitive Sealed Bid  
Design-Build Bid  
Emergency Procurement  
Limited Competition  
Multiple Award Bid  
Sole Source Procurement  
Two-Step Bid

Region(s): Central

*WPS -  
Refer to contract  
supplement to contract  
of 8/8*

**Central Region - Competitive Sealed Bid**

Contract ID Contract #	Contract Name	Federal Aid?	Contractor Indicates Alaska Contractor	LOA Date	Award Amt.
44829 RSA0901114	ALCANTRA ARMORY COMPLEX WELL HOUSE REPLACEMENT	Y	COLLINS CONSTRUCTION INC. *	10/03/2016	\$ 253,100.00
44824 Z552500000	KING SALMON AIRPORT SAND STORAGE BUILDING	Y	SWALLING GENERAL CONTRACTORS, LLC *	10/04/2016	\$ 1,776,000.00
44775 CFAPT000056	ANC CCTV UPGRADES 2016	Y	ALCAN ELECTRICAL & ENGINEERING INC. *	10/05/2016	\$ 1,928,300.00
44832 Z57770000	HOMER BELUGA FLOAT PLANE FACILITIES IMPROVEMENTS	Y	SOUTHCENTRAL CONSTRUCTION, INC. *	10/07/2016	\$ 1,754,971.00
44827 Z580990000	HSIP: EKLUTNA OVERPASS BRIDGE WARNING 2015	Y	ROGER HICKEL CONTRACTING, INC. *	10/14/2016	\$ 412,688.00
44844 Z543730000A	PARKS HIGHWAY MP 48.8-52.3 STRUCTURES REMOVAL	Y	ALASKA DEMOLITION, LLC *	10/28/2016	\$ 196,000.00
Method Subtotal					\$ 6,321,059.00

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**Central Region - Competitive Sealed Proposal**

Contract ID Contract #	Contract Name	Federal Aid?	Contractor Indicates Alaska Contractor	LOA Date	Award Amt.
44816 RSA0580707	APK BUILDING: COLLECTIONS VAULT MEZZANINE	N	ORION CONSTRUCTION, INC. *	10/21/2016	\$ 619,000.00
44964 78913D	CM3C MT. EDGE CUMBE HIGH SCHOOL AQUATIC CENTER CHANGE ORDER 2	N	CORNERSTONE GENERAL CONTRACTORS INC. *	10/27/2016	\$ 1,433,448.00
Method Subtotal					\$ 2,052,448.00

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**Central Region - Small Procurement**

Contract ID Contract #	Contract Name	Federal Aid?	Contractor <small>* indicates Alaska Contractor</small>	LOA Date	Award Amt.
44904 SPC2572-003	AMYA BUILDING 60720 WORK STATIONS	N	FRAWNER CORPORATION *	10/07/2016	\$ 15,500.00
44903 SPC2572-005	STERLING HIGHWAY: MP 157-169 RECONSTRUCTION - ANCHOR POINT TO BAYCREST HILL DRILLING SERVICES	Y	GEOTEK ALASKA, INC. *	10/07/2016	\$ 101,245.00
Method Subtotal	2 Contracts				\$ 116,745.00
Region Subtotal	10 Contracts				\$ 8,490,252.00

Total 10 Contracts \$ 8,490,252.00

## AKDOT&PF-9 Letter of Award

<p style="text-align: center;">(Contract Date)</p> <p>Re: Project No.:</p> <p>Bid Opening Date:</p> <p style="text-align: center;"><b>Letter of Award</b></p> <p>Contractor Address Address</p> <p>Gentlemen:</p> <p>We acknowledge receipt of the Contract and other documents required by the Letter of Intent to Award. These documents are accepted and approved. You are hereby awarded the contract for construction of the above referenced project in the amount of \$ (INSERT Basic and Alternates Separately) Total Basic Bid.</p> <p><b>Example:</b> You are hereby awarded the contract for construction of the above referenced project in the amount of \$629,574.00 Total Basic Bid, Additive Alternate 1 Bid - \$117,748.00; Additive Alternate 2 Bid \$114,636.00; Additive Alternate 3 Bid - \$120,612.00; and Additive Alternate 4 Bid - \$122,558.00, for a Total Award Amount of \$1,105,128.00.</p> <p><b>(If not required for Highways Delete Next Paragraph)</b> Please be reminded that pursuant to the Contract Provisions and Specifications and prior to commencement of work, you must submit evidence of insurance showing the Alaska Railroad as an additional insured for the required ARRC coverages. These insurance requirements can be found in <b>Appendix B/C?</b> of the Specifications.</p> <p><b>(Ck Special Provisions &amp; Addenda Delete Next Paragraph if not required for Public Facilities)</b> Please be reminded that per the General Conditions, Article 5, Section 5.4.2d and as may be modified by the Supplementary Conditions, the Contractor shall submit evidence of the necessary Builder's Risk Insurance.</p>	<p style="text-align: right;">Contractor <span style="margin-left: 150px;">Page 2 of 2</span> <span style="float: right;">January xx, 2016</span></p> <p>(Select one of the next two paragraphs) The contract shall be complete by <u>      DATE      </u>.</p> <p>The contract shall be complete within <u>      NUMBER      </u> calendar days after the effective date of the Notice to Proceed.</p> <p>The Manager having oversight for this contract is (Select one of the next five choices to finish the paragraph)</p> <p><b>For public facilities - Joel G. St. Aubin, P.E., Director of Statewide Public Facilities, 4111 Aviation Avenue, Anchorage, Alaska 99502, telephone 269-0619.</b></p> <p><b>Stephen Frey, P.E., Construction Group Chief, 4111 Aviation Avenue, Anchorage, Alaska 99502, telephone 269-0664.</b> or <b>Tony Sprague, P.E., Construction Group Chief, 4111 Aviation Avenue, Anchorage, Alaska 99502, telephone 269-0446.</b></p> <p><b>Bob Anderson, P.E., Chief, Maintenance and Operations, 4111 Aviation Avenue, Anchorage, Alaska 99502, telephone (907) 269-0760.</b></p> <p><b>Newt Bingham, P.E., Regional Materials Engineer, 5750 Tudor East Tudor Road, Anchorage, Alaska 99507, telephone 269-6203.</b></p> <p>The Project Manager for this contract will be <u>      NAME      </u>, telephone <u>      NO      </u>.</p> <p>A copy of the list of subcontractors you submitted for this project is included in the conformed copy. Please be advised that <b>(SELECT ONE AND FORMAT INTO A PARAGRAPH)</b> [Section 103-1.02 of the Standard Specifications for Highway Construction] [Section 30-02 of the General Contract Provisions – Aviation] [the Supplementary Information to Bidders – Building &amp; M&amp;O] and AS 36.30.115 prohibit the use of additional subcontractors by the Prime Contractor unless approved by the Contracting Officer. Replacement of any of the listed subcontractors is also prohibited unless the specific contract criteria have been met.</p> <p>The Department of Labor has specific notice requirements and fees for contractors working on public construction projects. Please be aware that you must comply with these requirements.</p> <p>All contacts regarding operation of the project and technical matters, including issuance of Notice to Proceed, should be with the Project Manager or his designee.</p> <p style="text-align: right;">Sincerely,</p>
---	---

Sharon L. Smith, P.E.  
Chief of Contracts  
Central Region

Attachment: Conformed Copy & Plans

cc: All Participating Bidders (without attachments)

bcc: Vacant, P.E., Utilities Engineer (remove if for Fac.)  
Cynthia Morales, Project Control Chief, Central Region  
RoxAnn Dowd, Regional Director's Office  
Wolfgang Junge, P.E., Preconstruction Engineer, Central Region (remove if for Fac.)  
Diana Rotkis, Deputy Director, Central Region  
Shannon McCarthy, Public Information Officer  
Jill Reese, Special Asst. to the Regional Director/Media Liaison  
Central Files w/ Conformed Contract (spec book only) (remove if for Fac.)  
Geri Hendricksen, Finance Supervisor, Administrative Services Div. (MS 2500)  
Sharon L. Smith, P.E., Chief of Contracts  
Therese Stokes, P.E., Concurrent Review, w/Conformed Contract (remove if for State Funded Facilities)  
Tom Dougherty, P.E., Regional Construction Engineer (remove if for Fac.)  
Office Assistant II, Construction (remove if for Fac.)

(for construction use one of the following:  
Stephen Frey, P.E., Construction Group Chief  
((( \_\_\_\_\_ ))) P.E. Project Manager, Construction w/Conformed Contract Copies;  
(Extra copies to Office Assistant II: 2 copies need to be unbound and 3 hole-punched, the rest of them - bound)

Tony Sprague, P.E., Construction Group Chief  
((( \_\_\_\_\_ ))) P.E., Project Manager, Construction w/Conformed Contract Copies;  
(Extra copies to Office Assistant II: 2 copies need to be unbound and 3 hole-punched, the rest of them - bound)

Hank Rettinger, Area Liaison – FHWA w/Conformed Contract (MS 2500) (leave on for FHWA contract)

(( \_\_\_\_\_ )), P.E., Project Manager – FAA w/Conformed Contract (leave on for FAA contract)

Joel G. St. Aubin, P.E., Chief of Aviation Design w/Conformed Contract (leave on only for CR Aviation Design project)

Dave Lee, Highway Construction Office Engineer, just Spec. Book  
place unbound copy of specs w/ plans on desk outside his office

**PUBLIC FACILITIES**  
Joel G. St. Aubin, P.E., Director of Statewide Public Facilities w/Conformed Contract  
Sandy Barzilay, Statewide Public Facilities, w/Conformed Contract (MS 2530)  
((( \_\_\_\_\_ ))) Project Manager, Statewide Public Facilities, w/Conformed Copies (MS 2530)


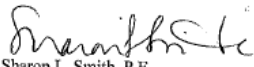
Kerry Kirkpatrick, Planning (MS 2500)

Civil Rights Office, w/MBE & EEO Documents (MS 2530)  
Regional Accounting, w/copy of Contract and Bid Tab (MS 2530)  
Dept. of Labor, Wage & Hour, Anchorage, w/Sub List (only if **not** being awarded through MRS system, 9/22/2011)

**MRS #**

Original Contract – Contract File  
One Conformed Contract – Contractor w/Original Letter of Award & 1 unbound set  
Read File Letter  
PLUS FAX a copy to each bidder  
Plans Room

## AKDOT&PF-10 Memo of Addendum

 <p style="margin: 0;">THE STATE of <b>ALASKA</b> GOVERNOR BILL WALKER</p>	<p><b>Department of Transportation and Public Facilities</b></p> <p>CENTRAL REGION Division of Design &amp; Construction Contracts Section</p> <p>4111 Avialon Avenue P.O. Box 196900 Anchorage, AK 99519-6900 Main: 907.269.0400 Fax: 907.269.0425 TTY: 907.269.0473 Web Site: dot.alaska.gov</p>
<p><b>Date:</b> October 25, 2016</p> <p><b>Project:</b> Seward Highway: Dimond Boulevard to Dowling Road Reconstruction, Phase I</p> <p><b>Project No.:</b> 0A31(057)/CFHWY00162</p> <p><b>Addendum No. ONE</b></p>	
<p>TO ALL PLANHOLDERS:</p> <p>The enclosed addendum amends the bidding documents for the above referenced Project.</p> <p>Acknowledgment of this addendum is required on the Bid Proposal. Failure to do so may subject the bidder to disqualification.</p>	
<p>Sincerely,</p>  <p>Sharon L. Smith, P.E. Chief of Contracts</p>	
<p><i>"Keep Alaska Moving through service and infrastructure."</i></p>	

ADDENDUM TO THE CONTRACT DOCUMENTS	Page Number	No. of Pages
Addendum No. One	1	2
Issuing Office Thomas J. Dougherty, P.E., Construction Engineer Central Region PO Box 196900, Anchorage, AK 99519-6900 Phone: (907) 269-0400 Fax: (907) 269-0425	Date Addendum Issued: October 25, 2016	
Project: Seward Highway: Dimond Boulevard to Dowling Road Reconstruction, Phase I Project No.: 0A31(057)/CFHWY00162	Previous Addenda Issued  None	
Date and Hour of Bid Opening: November 16, 2016 at 2:00 p.m., prevailing Anchorage time.		

**NOTICE TO BIDDERS:**

**Bidders must acknowledge receipt of this addendum prior to the hour and date set for bid opening by one of the following methods:**

(a) By acknowledging receipt of this addendum on the bid submitted.  
(b) By telegram or telefacsimile which includes a reference to the project and addendum number.

The bid documents require acknowledgment individually of all addenda to the drawings and/or specifications. This is a mandatory requirement and any bid received without acknowledgment of receipt of addenda may be classified as not being a responsive bid. If, by virtue of this addendum it is desired to modify a bid already submitted, such modification may be made by telegram or telefacsimile provided such a telegram or telefacsimile makes reference to this addendum and is received prior to the opening hour and date specified above.

\*\*\*\*\*  
The Contract Documents for the above project are amended as follows (All other terms and conditions remain unchanged):

**NOTICE TO BIDDERS**

- 1) Bidders are hereby notified that the bid opening date is changed to November 16, 2016, at 2:00 p.m., prevailing Anchorage time.
- 2) The Contracting Officer is changed to Thomas J. Dougherty, P.E., Central Region Construction Engineer.

**PLANS**

Volume 1 of 5

- 3) Remove and replace Sheets C01, C02, C03, D01, D05, D06, D07, D08, D09, D13, and D20 with **Attachment No. 1.**

Volume 3 of 5

- 4) Remove and replace Sheets H02, H12, H27, H51, and H54 with **Attachment No. 2.**
- 5) Duplicate Sheet H50 drawings were included in error. Delete the Sheet H50 with the Professional Engineer stamp dated August 1, 2016.

Volume 4 of 5

- 6) Remove and replace Sheets HE02, HE10, HE11, HE17, and HE29 with **Attachment No. 3.**

**PART 3 - FORMS**

- 7) **BID SCHEDULE.** Remove and replace with **Attachment No. 4.**


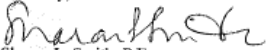
**PART 4 - CONTRACT PROVISIONS AND SPECIFICATIONS**

- 8) **TABLE OF CONTENTS.** Remove and replace pages I and II with **Attachment No. 5.**
- 9) **SECTION 511 MECHANICALLY STABILIZED EARTH (MSE) WALL.** Remove and replace pages 153 and 154 with **Attachment No. 6.**

- 10) **SECTION 603 CULVERTS AND STORM DRAINS.** Remove and replace pages 171 and 172 with **Attachment No. 7.**
- 11) **SECTION 614 CONCRETE BARRIER.** Remove and replace pages 193 and 194 with **Attachment No. 8.**
- 12) **SECTION 621 PLANTING TREES AND SHRUBS.** Remove and replace pages 211 and 212 with **Attachment No. 9.**
- 13) **SECTION 627 WATER SYSTEM.** Remove and replace pages 241 and 242 with **Attachment No. 10.**
- 14) **SECTION 660 SIGNALS AND LIGHTING.** Remove and replace pages 323 through 336 with **Attachment No. 11** (323 through 336, 336A, and 336B).
- 15) **SECTION 662 SIGNAL INTERCONNECT.** Insert new section with **Attachment No. 12** (pages 338A and 339B).

**END OF ADDENDUM**

## AKDOT&PF-11 Memo Notice to Bidders

 <p style="margin: 0;">THE STATE <b>of ALASKA</b> GOVERNOR BILL WALKER</p> <p style="text-align: center; margin: 10px 0;"><b>Department of Transportation and Public Facilities</b></p> <p style="text-align: center; margin: 0;">CENTRAL REGION Division of Design &amp; Construction Contracts Section</p> <p style="text-align: center; margin: 0;">4111 Aviation Avenue P.O. Box 196900 Anchorage, AK 99519-6900 Main: 907.269.0400 Fax: 907.269.0425 TTY: 907.269.0473 Web Site: dot.alaska.gov</p> <p style="margin: 20px 0;"><b>Date:</b> October 25, 2016</p> <p style="margin: 5px 0;"><b>Project:</b> Seward Highway: Dimond Boulevard to Dowling Road Reconstruction, Phase I</p> <p style="margin: 5px 0;"><b>Project No.:</b> 0A31(057)/CFHWY00162</p> <p style="text-align: center; margin: 10px 0;"><b>Notice to Bidders</b></p> <p style="margin: 10px 0;"><b>TO ALL PLANHOLDERS:</b></p> <p style="margin: 5px 0;">Enclosed is an informational Notice to Bidders – no acknowledgement is required.</p> <p style="margin: 10px 0;">Sincerely,  Sharon L. Smith, P.E. Chief, Contracts Section</p> <p style="text-align: center; margin: 20px 0;"><i>"Keep Alaska Moving through service and infrastructure."</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: left; padding: 5px;"><b>NOTICE TO BIDDERS</b></th> <th style="text-align: center; padding: 5px;">Page Number 1</th> <th style="text-align: center; padding: 5px;">No. of Pages 1</th> </tr> <tr> <td style="padding: 5px;"><b>Issuing Office</b> Thomas J. Dougherty, P.E., Construction Engineer Central Region PO Box 196900, Anchorage, AK 99519-6900 Phone: (907) 269-0400 Fax: (907) 269-0425</td> <td colspan="2" style="padding: 5px;"><b>Date Issued:</b> October 25, 2016</td> </tr> <tr> <td style="padding: 5px;"><b>Project:</b> Seward Highway: Dimond to Dowling Road Reconstruction, Phase I <b>Project No.:</b> 0A31(057)/CFHWY00162</td> <td colspan="2" style="padding: 5px;"><b>Previous Addenda Issued</b>  One, dated October 25, 2016</td> </tr> <tr> <td colspan="2" style="padding: 5px;"><b>Date and Hour of Bid Opening:</b> November 16, 2016 at 2:00 p.m., prevailing Anchorage time.</td> <td></td> </tr> </table> <p style="margin: 5px 0;"><u>This is an informational Notice to Bidders, not an addendum; therefore no acknowledgement is required.</u></p> <p style="margin: 10px 0;">Addendum One has been posted in its entirety on our website under "Procurement" at: <a href="http://www.dot.state.ak.us">http://www.dot.state.ak.us</a></p> <p style="text-align: center; margin: 20px 0;"><b>END OF NOTICE TO BIDDERS</b></p>	<b>NOTICE TO BIDDERS</b>	Page Number 1	No. of Pages 1	<b>Issuing Office</b> Thomas J. Dougherty, P.E., Construction Engineer Central Region PO Box 196900, Anchorage, AK 99519-6900 Phone: (907) 269-0400 Fax: (907) 269-0425	<b>Date Issued:</b> October 25, 2016		<b>Project:</b> Seward Highway: Dimond to Dowling Road Reconstruction, Phase I <b>Project No.:</b> 0A31(057)/CFHWY00162	<b>Previous Addenda Issued</b>  One, dated October 25, 2016		<b>Date and Hour of Bid Opening:</b> November 16, 2016 at 2:00 p.m., prevailing Anchorage time.		
<b>NOTICE TO BIDDERS</b>	Page Number 1	No. of Pages 1											
<b>Issuing Office</b> Thomas J. Dougherty, P.E., Construction Engineer Central Region PO Box 196900, Anchorage, AK 99519-6900 Phone: (907) 269-0400 Fax: (907) 269-0425	<b>Date Issued:</b> October 25, 2016												
<b>Project:</b> Seward Highway: Dimond to Dowling Road Reconstruction, Phase I <b>Project No.:</b> 0A31(057)/CFHWY00162	<b>Previous Addenda Issued</b>  One, dated October 25, 2016												
<b>Date and Hour of Bid Opening:</b> November 16, 2016 at 2:00 p.m., prevailing Anchorage time.													



## AKDOT&PF-12 Bid Tab Analysis & Recommendation to Award

<p style="text-align: center;"><b>MEMORANDUM</b>      <b>State of Alaska</b>  <small>Department of Transportation and Public Facilities</small></p> <p><b>DATE:</b> December 14, 2015</p> <p><b>TO:</b> James E. Amundsen, P.E., Highway Design Group Chief</p> <p><b>THRU:</b> <i>CS</i> Carla Smith, P.E., Highway Design Project Manager</p> <p><b>FROM:</b> <i>SL</i> Sharon L. Smith, P.E., Chief of Contracts</p> <p><b>SUBJECT:</b> Bid Tab Analysis &amp; Recommendation to Proceed with Intent to Award – Sterling Highway: Soldotna Urban Pavement Preservation / OA33024/Z5852400002</p> <p>Attached is the Certified Bid Compilation indicating the low bidder for the above referenced project. The Project Manager is responsible for review and analysis of the bid tab and for marking your recommendation(s) for proceeding with the Intent to Award by initialing below.</p> <p><b>Bid Tab Analysis:</b> See attached Bid Analysis Guidance.          Did any unit bid prices differ significantly from the estimate? <u>Yes</u> If so, list the major items (at least 10% of the contract amount) <u>4c1 (1H), 4c8 (4)</u>          Was any obvious unbalancing of the low bid identified? If so, describe <u>No</u></p> <p>Additional Notes/Findings (attach additional information if required): <u>See attached findings</u></p> <p><b>Recommendation:</b> The Project Manager is responsible for obtaining Project Control's verification of adequate funding and legislative authority below. Once complete, obtain Section Chief's signature and return to me as soon as possible.</p> <p><input checked="" type="checkbox"/> Award to Low Bidder</p> <p><input type="checkbox"/> Reject All Bids (Explain below; i.e., lack of finding, may be re-bid, etc.)</p> <p><input type="checkbox"/> Multiple Award (Specify below; i.e., primary, primary &amp; secondary, etc.)</p> <p><input type="checkbox"/> Additive Alternates (List as appropriate; i.e., no alternates, Alt. 1 &amp; 2, etc.)</p> <p><input type="checkbox"/> Other (Explain below; i.e., hold for further instructions, etc.)</p> <p>*****Verification of adequate funding and legislative authority for this action:*****</p> <p><u><i>Dt Lt</i></u> _____ <u>12-16-15</u> _____          Destin Heintzelman, Chief of Project Control Date</p> <p>*****</p> <p><u><i>JA</i></u> _____ <u>12-16-15</u> _____          James E. Amundsen, P.E., Highway Design Group Chief Date</p> <p>_____ _____          Sharon L. Smith, P.E., Chief of Contracts Date</p> <p style="text-align: center;"><small>"Keep Alaska Moving through service and infrastructure"</small></p>	<p style="text-align: center;"><u><b>BID ANALYSIS GUIDANCE</b></u></p> <p>23CFR 635.114 c</p> <p>Following the opening of bids, the State Transportation Department shall examine the unit bid prices of the apparent low bid for reasonable conformance with the engineer's estimated prices. A bid with extreme variations from the engineer's estimate, or where obvious unbalancing of unit prices has occurred, shall be thoroughly evaluated.</p> <p>23CFR 635.114d</p> <p>Where obvious unbalanced bid items exist, the State Transportation Department's decision to award or reject a bid shall be supported by written justification. A bid found to be mathematically unbalanced, but not found to be materially unbalanced may be awarded.</p> <p><b>MATHEMATICALLY UNBALANCED BID</b></p> <p>A bid (a) where each pay item fails to carry its share of the cost of the work plus the bidder's overhead and profit, or (b) based on nominal prices for some pay items and enhanced prices for other pay items.</p> <p><b>MATERIALLY UNBALANCED BID</b></p> <p>A mathematically unbalanced bid that either (a) gives rise to a reasonable doubt that it will ultimately result in the lowest overall cost to the Department, even though it may be the lowest bid or (b) is so unbalanced as to be tantamount to allowing a significant advance payment.</p>
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 SOA DOT&PF CH  
 CONTRACTS  
 2015 DEC 16 11:17

# MEMORANDUM

## State of Alaska

Department of Transportation & Public Facilities  
Design and Engineering Services – Central Region  
Highway Design

TO: Jim Amundsen, P.E. *JA*  
Highway Design Chief

DATE: December 16, 2015

PROJECT: Sterling Highway: Soldotna Urban  
Pavement Preservation  
Z585240000

TEL/FAX: 269-0544 / 269-0654

SUBJECT: **Bid Tab Analysis & Recommendation to  
Proceed with Intent to Award**

*CS*  
FROM: Carla Smith, P.E.  
Project Manager

Analysis of the bid tab revealed that items 306(2), 401(4), 408(4) and 408(14) were bid at \$0.01 by the low bidder and appear mathematically unbalanced. However, the remaining asphalt items 306(1), 401(12) and 408(1H) appeared to include those items bid at \$0.01. When comparing all the above asphalt items between the engineer's estimate and the low bidder there was a difference of 4%; therefore these items should not be considered mathematically unbalanced.

The bid item 516(4) in the low bidder's estimate differed by more than 100% when compared to the engineer's estimate. All the bidders had similar unit prices which were much higher than the engineer's estimate; it appears that the engineer's estimate may not have accounted for the real costs associated with this item.

The bid items 670(10C), 670(10D), 670(10E) and 670(10F) in the low bidder's estimate differed by more than 100% when compared to the engineer's estimate. These items appear to be mathematically unbalanced, but due to the fact that all the bidders had similar unit prices which were much lower than the engineer's estimate, it appears that the engineer's estimate may have inaccurately anticipated the costs associated with these items.

The bid analysis also revealed other items that were significantly different from the engineer's estimate. However these other items were of less significance in cost when compared to the entire project cost and therefore were not included in this analysis.

### Conclusion:

Although there were several items identified in the Bid Tab Analysis that appear to be mathematically unbalanced, the apparent low bid does not give rise to within reasonable doubt that it will result in the lowest overall cost to the Department. Furthermore, it does not appear that the mathematical unbalancing will result in a significant advanced payment and thus a materially unbalanced bid. Recommend award to the Low Bidder.

"Keep Alaska Moving through service and infrastructure."

1



Federal Job: 0A33024  
AKSAS No: 58724  
Program No: Z585240000  
Project Name: Sterling Highway: Soldotna Urban Pavement Preservation  
Project Location: Subotna

STATE OF ALASKA – DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES – CENTRAL REGION  
Compiled By: *Carla Smith, P.E.*  
DATE: 12/16/15  
Checked By: *Jim Amundsen*

Opened at: Anchorage  
Date: Friday, December 11, 2015  
By: *Stacy L. Smith, P.E.*

### COMPILATION OF BIDS

STATE OF ALASKA – DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES – CENTRAL REGION

Page 1 of 8

Item No.	Description	Qty/Unit	Unit Price	Amount	ENGINEER'S ESTIMATE		LOW BIDDER		BIDDER 2		BIDDER 3			
					Unit Price	Amount	Unit Price	Amount	Unit Price	Amount	Unit Price	Amount		
306(2)	Removal of Pavement 1,302 Square Yards		6.00	7,812.00		11,652.00		2.00	3,684.00		9,210.00		23.00	46,050.00
306(3)	Removal of Subgrade 333 Square Yards		15.00	4,995.00		5,295.00		25.00	8,325.00		6,354.00		21.00	8,354.00
306(4)	Removal of Culvert Pipe 85 Linear Feet		109.00	9,265.00		8,310.00		50.00	4,250.00		1,943.00		38.00	3,250.00
306(7)	Removal of Junction Box 2 Each		50.00	100.00		100.00		500.00	1,000.00		1,000.00		500.00	1,000.00
306(8)	Removal of Base 1 Each		508.00	508.00		500.00		2,000.00	2,000.00		1,000.00		1,000.00	1,000.00
306(9)	Removal of Curb and Gutter 1,310 Linear Feet		10.00	13,100.00		13,100.00		3.00	6,550.00		6,250.00		14.00	18,340.00
306(15)	Pavement Finishing 72,000 Square Yards		3.00	216,000.00		216,000.00		2.50	180,000.00		180,000.00		3.25	234,000.00
306(AA)	Barrows, Type-A 580 Ton		20.00	11,600.00		11,600.00		25.00	14,500.00		13,250.00		9.00	4,920.00
														8,230.00

Order of Bidders Based on: Inside Bid

State of Alaska DOT & PF Design Section Central Region	FRICHE CONSTRUCTION COMPANY, LLC 2193 VIKING DRIVE ANCHORAGE, AK 99501 Phone: 907-279-1020 Fax: 907-279-1089	GRANITE CONSTRUCTION COMPANY, INC. 6400 SOUTH AIRPARK PLACE, STE 1 ANCHORAGE, AK 99502 Phone: 907-344-2208 Fax: 907-344-2291	GRANITE CONSTRUCTION COMPANY 1481 LANG STREET ANCHORAGE, AK 99515 Phone: 907-344-2291 Fax: 907-344-1862
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8/17/15  
Version ID: 43776, Channel ID: 44988

14-Dec-15 11:45 AM



COMPILATION OF BIDS

STATE OF ALASKA - DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES - CENTRAL REGION

Federal No: 0A33024
ASAS No: 5823
Program No: 2A8554000
Project Name: Sterling Highway, Seldovia Urban Pavement Preservation
Project Location: Seldovia

Opened #:
Date:
By:
Antelope:
Printed: December 11, 2015
Shown: L. Smith, P.E.

Table with columns: Bid Item, Quantity, Description, Pay Unit, Unit Price, Amount, Engineer's Estimate, State of Alaska, Low Bidder, Bidder 1, Bidder 2, Bidder 3. Includes items like 20A271, 20A23, 20(1), 20K(1), 20K(2), 20K(3), 20K(4), 20K(5), 20K(6), 20K(7), 20K(8), 20K(9), 20K(10), 20K(11), 20K(12), 20K(13), 20K(14), 20K(15).

RTV Version ID: 45376, Contract ID: 4498

14-Dec-15 11:45 AM



COMPILATION OF BIDS

STATE OF ALASKA - DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES - CENTRAL REGION

Federal No: 0A33024
ASAS No: 5823
Program No: 2A8554000
Project Name: Sterling Highway, Seldovia Urban Pavement Preservation
Project Location: Seldovia

Opened #:
Date:
By:
Antelope:
Printed: December 11, 2015
Shown: L. Smith, P.E.

Table with columns: Bid Item, Quantity, Description, Pay Unit, Unit Price, Amount, Engineer's Estimate, State of Alaska, Low Bidder, Bidder 1, Bidder 2, Bidder 3. Includes items like 51A(1), 600(17-18), 600(17-24), 604(3), 604(4), 604(5), 604(6), 608(1A), 608(5), 608(6), 608(1B), 608(1C).

RTV Version ID: 45376, Contract ID: 4498

14-Dec-15 11:45 AM



**COMPILATION OF BIDS**

STATE OF ALASKA - DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES - CENTRAL REGION

Federal No: 0A33024  
 AKSAS No: 58524  
 Program No: Z38520000  
 Project Name: Sterling Highway, Solutions Urban Pavement Preservation  
 Project Location: Seldovia

Opened at: Anchorage  
 Date: Friday, December 11, 2015  
 By: Sharon L. Smith, P.E.

Base Bid Item No	Description	Qty/Unit	ENGINEER'S ESTIMATE		BIDDER 1		BIDDER 2		BIDDER 3	
			Low Price	Amount	Low Price	Amount	Low Price	Amount	Low Price	Amount
604(1)	Curb, Type 1 68 Linear Foot		80.00	2,220.00	90.00	6,120.00	80.00	5,440.00	100.00	6,800.00
604(2)	Curbs and Lanes, Type 1 1,377 Linear Foot		35.00	46,795.00	51.00	68,187.00	30.00	66,850.00	60.00	80,220.00
613(2)	Ditch Lining 250' Lin		101.00	25,250.00	80.00	20,000.00	27.00	8,750.00	45.60	11,200.00
613(1)	Semaphore Sign 55.8 Square Foot		160.00	5,540.00	114.00	6,361.20	162.00	9,207.00	125.60	6,975.60
616(3)	Thin Wire Installation 2,390 Linear Foot		10.00	25,400.00	33.00	83,820.00	30.00	76,200.00	50.00	76,200.00
623(10)	Adjustment of Vane Bin 8 Each		680.00	4,880.00	330.00	2,640.00	75.00	660.00	1,000.00	8,000.00
623(1)	Bird Spikes 6 Each		500.00	3,000.00	900.00	5,400.00	800.00	4,800.00	900.00	5,400.00
637(6)	Approach 27 Each		1,510.00	40,260.00	1,800.00	48,600.00	1,200.00	40,200.00	2,500.00	67,500.00
640(1)	Rehabilitation And Demolition All Required Lump Sum		L.S.	338,591.00	L.S.	200,000.00	L.S.	375,000.00	L.S.	100,000.00
640(4)	Worker Meals and Lodging, at Post Point All Required Lump Sum		L.S.	53,000.00	L.S.	80,000.00	L.S.	6,000.00	L.S.	75,000.00
641(1)	Excavate, Sidewalk and Footcure Curing Administration All Required Lump Sum		L.S.	50,000.00	L.S.	5,000.00	L.S.	6,000.00	L.S.	5,000.00
641(2)	Temporary Erosion, Sediment and Pollution Control All Required Contingent Sum		C.S.	50,000.00	C.S.	50,000.00	C.S.	50,000.00	C.S.	50,000.00

BTIV Version ID: 45376, Contract ID: 44948

14-Dec-15 11:45 AM



**COMPILATION OF BIDS**

STATE OF ALASKA - DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES - CENTRAL REGION

Federal No: 0A33024  
 AKSAS No: 58524  
 Program No: Z38520000  
 Project Name: Sterling Highway, Solutions Urban Pavement Preservation  
 Project Location: Seldovia

Opened at: Anchorage  
 Date: Friday, December 11, 2015  
 By: Sharon L. Smith, P.E.

Base Bid Item No	Description	Qty/Unit	ENGINEER'S ESTIMATE		BIDDER 1		BIDDER 2		BIDDER 3	
			Low Price	Amount	Low Price	Amount	Low Price	Amount	Low Price	Amount
641(6)	Wholesaling All Required Contingent Sum		C.S.	0.00	C.S.	0.00	C.S.	0.00	C.S.	0.00
641(7)	SMP/PP Manager All Required Lump Sum		L.S.	15,000.00	L.S.	8,000.00	L.S.	12,000.00	L.S.	5,000.00
642(1)	Classroom Surveys All Required Lump Sum		L.S.	60,000.00	L.S.	28,000.00	L.S.	26,000.00	L.S.	35,500.00
642(2)	Three Phase Survey Party 50' Hour		350.00	17,500.00	160.00	8,000.00	350.00	12,250.00	300.00	15,000.00
643(1)	Adjust Existing Measurement Cuts 9 Each		350.00	3,150.00	300.00	4,500.00	420.00	3,780.00	300.00	4,500.00
643(2)	Traffic Microwave All Required Lump Sum		L.S.	120,000.00	L.S.	100,000.00	L.S.	70,000.00	L.S.	200,000.00
643(3)	Permit/est Construction Signage All Required Lump Sum		L.S.	20,000.00	L.S.	50,000.00	L.S.	40,000.00	L.S.	30,000.00
643(3A)	Flagging All Required Contingent Sum		C.S.	100,000.00	C.S.	100,000.00	C.S.	100,000.00	C.S.	100,000.00
643(3Z)	Traffic Price Adjustment All Required Contingent Sum		C.S.	0.00	C.S.	0.00	C.S.	0.00	C.S.	0.00
643(3E)	Traffic Control All Required Contingent Sum		C.S.	200,000.00	C.S.	200,000.00	C.S.	200,000.00	C.S.	200,000.00
644(1)	Field Office All Required Lump Sum		L.S.	40,000.00	L.S.	13,000.00	L.S.	10,000.00	L.S.	15,000.00
644(7)	Field Laboratory All Required Lump Sum		L.S.	10,000.00	L.S.	10,000.00	L.S.	10,000.00	L.S.	5,000.00

BTIV Version ID: 45376, Contract ID: 44948

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**COMPILATION OF BIDS**

STATE OF ALASKA – DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES – CENTRAL REGION

Federal No: UA23024  
 AKSAS No: 88524  
 Program No: 2385740000  
 Project Name: Sterling Highway - Sidkous Urban Pavement Preservation  
 Project Location: Sidkous

Contract #: ANCHORAGE  
 Date: Friday, December 11, 2015  
 By: Sharon L. Smith, I.E.

Item No	Quantity	Description	UoM	ENGBIDERS ESTIMATE		PRUUS CONSTRUCTION COMPANY, LLC		KNSK CONSTRUCTION COMPANY, INC.		BIDDER 2		BIDDER 3	
				Unit Price	Amount	Unit Price	Amount	Unit Price	Amount	Unit Price	Amount	Unit Price	Amount
644(10)		Engineering Communications-CPW Scheduling	Day/Unit		7,000.00								
646(1)		All Required Lump Sum			4,000.00								
649(1)		Blacktop, 400, 1 CY Depth, 75 rpm, 15' Radius											
660(11)		All Required, Conington Sign 59 Each			20,000.00								
660(11)		Traffic Loop											
660(11)		59 Each			137,700.00								
660(18)		All Required, Junction Box											
660(18)		7 Each			2,200.00								
660(19A)		Junction Box, Type 1A											
660(19)		11 Each			16,200.00								
660(2)		Local Curb, Type 2											
660(2)		1 Each			10,000.00								
660(3)		Monthly Excavating Load Cures											
660(3)		1 Each			300.00								
660(4A1)		All Required, Numerical Traffic Recorder S&H											
660(4A1)		All Required, Lump Sum											
660(4A2)		All Required, Numerical Traffic Recorder S&H											
660(4A2)		All Required, Lump Sum											
660(4A3)		All Required, Numerical Traffic Recorder S&H											
660(4A3)		All Required, Lump Sum											
660(4A4)		All Required, Numerical Traffic Recorder S&H											
660(4A4)		All Required, Lump Sum											

DTV Vendor ID: 4278, Contact ID: 4498

14-Dec-15 11:45 AM



**COMPILATION OF BIDS**

STATE OF ALASKA – DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES – CENTRAL REGION

Federal No: UA23024  
 AKSAS No: 88524  
 Program No: 2385740000  
 Project Name: Sterling Highway - Sidkous Urban Pavement Preservation  
 Project Location: Sidkous

Contract #: ANCHORAGE  
 Date: Friday, December 11, 2015  
 By: Sharon L. Smith, P.E.

Item No	Quantity	Description	UoM	ENGBIDERS ESTIMATE		PRUUS CONSTRUCTION COMPANY, LLC		KNSK CONSTRUCTION COMPANY, INC.		BIDDER 2		BIDDER 3	
				Unit Price	Amount	Unit Price	Amount	Unit Price	Amount	Unit Price	Amount		
670(0C)		MMA Pavement Markings, Core Surface Applied											
670(0C)		4,750 Linear Foot			112,500.00								
670(0D)		MMA Pavement Markings, Longitudinal Inlay											
670(0D)		37,000 Linear Foot			187,500.00								
670(0E)		MMA Pavement Markings Symbols and Arrows Inlay											
670(0E)		72 Each			68,400.00								
670(0F)		MMA Pavement Markings, Transverse Inlay											
670(0F)		16,000 Linear Foot			118,500.00								
682(1)		Vue-Traffic Station											
682(1)		All Required, Conington Sign			10,000.00								
Total Base Bid					4,062,012.00								

DTV Vendor ID: 4578, Contact ID: 4498

14-Dec-15 11:45 AM



STATE OF ALASKA—DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES—CENTRAL REGION

Federal File: 0633029  
 AKSAS No: J8324  
 Program No: 25832A000  
 Project Name: Sterling Highway - Seldovia Urban Pavement Preservation Seldovia  
 Project Location:

Opened:   
 Date:   
 By:   
 Approval:   
 Date: December 11, 2015  
 By: Sharon L. Smith, P.E.

Other Address Involved Basic Bid:

GNP  
 240 W. 44TH AVE  
 ANCHORAGE, AK 99518  
 Phone:907-522-2311  
 Fax:907-544-7233

Bid Total:

4,391,239.00

BID: VENDOR: 45376, CONTRACT ID: 48906

11/18/2015 11:45 AM

Sched No	Pay Item	Quantity	Unit	Estimated Amount	The Lowest Bidder				Page 1 of 8
					PRUHS CONSTRUCTION COMPANY, LLC	KNIK CONSTRUCTION COMPANY, INC.	GRANITE CONSTRUCTION COMPANY	4th Lowest Bidder	
Sterling Highway, Seldovia Urban Pavement Preservation, 12/14/2015 2:30:53 PM									
Pay Items for Sterling Highway, Seldovia Urban Pavement Preservation, Opened: 12/11/2015									
Basic Bid Ch 202	Removal of Pavement	1,842	Square Yard	6.00	2.00	5.00	25.00	1.00	
				11,052.00	3,684.00	9,210.00	46,050.00	1,842.00	
					-67%	-17%	317%	-63%	
Basic Bid Ch 202	Removal of Sidewalk	353	Square Yard	15.00	25.00	18.00	25.00	50.00	
				5,295.00	8,825.00	6,354.00	8,825.00	17,650.00	
					67%	20%	67%	233%	
Basic Bid Ch 202	Removal of Culvert Pipe	85	Linear Foot	100.00	50.00	17.00	30.00	1.00	
				8,500.00	4,250.00	1,445.00	2,550.00	85.00	
					-56%	-83%	-70%	-96%	
Basic Bid Ch 202	Removal Of Junction Box	2	Each	50.00	500.00	500.00	500.00	500.00	
				100.00	1,000.00	1,000.00	1,000.00	1,000.00	
					906%	906%	906%	906%	
Basic Bid Ch 202	Removal of Inlet	1	Each	500.00	2,000.00	1,100.00	1,000.00	2,000.00	
				500.00	2,000.00	1,100.00	1,000.00	2,000.00	
					-30%	120%	180%	300%	
Basic Bid Ch 202	Removal Of Curb And Gutter	1,310	Linear Foot	10.00	5.00	5.00	14.00	20.00	
				13,100.00	6,550.00	6,550.00	18,340.00	26,200.00	
					-50%	-50%	40%	100%	
Basic Bid Ch 202	Pavement Planning	72,000	Square Yard	3.00	2.50	2.50	3.25	2.00	
				216,000.00	180,000.00	180,000.00	234,000.00	144,000.00	
					-17%	-17%	8%	-33%	
Basic Bid Ch 203	Borrow, Type A	550	Ton	20.00	25.00	9.00	15.00	30.00	
				11,000.00	13,750.00	4,950.00	8,250.00	16,500.00	
					25%	-55%	-25%	50%	
Basic Bid Ch 203	Ditch Linear Grading	1,17	Station	2,000.00	1,000.00	2,000.00	4,800.00	2,400.00	
				2,340.00	1,170.00	2,340.00	4,800.00	2,400.00	
					-50%	0%	100%	0%	
Basic Bid Ch 204	Contaminated Material Handling	1	Contingent Sum	20,000.00	20,000.00	20,000.00	20,000.00	20,000.00	
				20,000.00	20,000.00	20,000.00	20,000.00	20,000.00	
					0%	0%	0%	0%	
Basic Bid Ch 301	Aggregate Base Course, Grading D-1	188	Ton	35.00	45.00	22.00	100.00	150.00	
				6,580.00	8,460.00	4,136.00	18,800.00	28,200.00	
					29%	-37%	186%	329%	

Item No.	Description	Quantity	Unit	Pay Items for Sterling Highway: Soldotna Urban Pavement Preservation		The Lowest Bidder		4th Lowest Bidder	
				Unit Price & Estimated Amount	PRUHS CONSTRUCTION COMPANY, LLC	KNIK CONSTRUCTION COMPANY, INC.	GRANITE CONSTRUCTION COMPANY	OAP	
Basic Bid	306(1) ATB	221	Ton	150.00	33,150.00	150.00	175.00	350.00	175.00
Ch 306				0%	0%	0%	17%	77,350.00	36,675.00
Basic Bid	306(2) Asphalt Binder, Grade	12	Ton	1,000.00	12,000.00	0.01	1.00	950.00	1.00
Ch 306				-100%	-100%	-100%	-100%	11,400.00	12.00
Basic Bid	401(6) Asphalt Binder, Grade	28	Ton	1,000.00	28,000.00	0.28	1.00	950.00	1.00
Ch 401				-100%	-100%	-100%	-100%	26,600.00	28.00
Basic Bid	401(7) HMA, Driveway, Type	520	Ton	100.00	52,000.00	150.00	125.00	175.00	200.00
Ch 401				36%	78,000.00	78,000.00	70,200.00	91,000.00	104,000.00
Basic Bid	408(11) HMA, Type VH	7,550	Ton	125.00	943,750.00	122.00	100.00	112.50	200.00
Ch 408				3%	1,298,600.00	1,298,600.00	755,000.00	843,375.00	1,510,000.00
Basic Bid	408(4) Asphalt Binder, Grade	401	Ton	1,000.00	401,000.00	0.01	715.00	950.00	1.00
Ch 408				-100%	4.01	-100%	-29%	360,950.00	401.00
Basic Bid	408(8) HMA Price	1	Contingent/Sum	75,000.00	75,000.00	75,000.00	75,000.00	75,000.00	75,000.00
Ch 408				0%	75,000.00	75,000.00	75,000.00	75,000.00	75,000.00
Basic Bid	408(14) Joint Adhesive	37,300	Linear Foot	0.75	27,975.00	0.01	0.25	0.50	0.50
Ch 408				-99%	373.00	-99%	-57%	18,650.00	18,650.00
Basic Bid	408(15) Asphalt Material Price	1	Contingent/Sum	0.00	0.00				-33%
Ch 408					0.00				
Basic Bid	516(4) Replace Expansion Joint	191	Linear Foot	150.00	28,650.00	1,140.00	2,500.00	2,100.00	3,015.00
Ch 516					217,740.00	477,500.00	477,500.00	401,100.00	384,863.00
Basic Bid	603(17-18) 18 Inch Pipe	63	Linear Foot	153.00	9,639.00	170.00	130.00	130.00	200.00
Ch 603					10,710.00	10,710.00	8,190.00	11,025.00	12,500.00

Item No.	Description	Quantity	Unit	Pay Items for Sterling Highway: Soldotna Urban Pavement Preservation		The Lowest Bidder		4th Lowest Bidder	
				Unit Price & Estimated Amount	PRUHS CONSTRUCTION COMPANY, LLC	KNIK CONSTRUCTION COMPANY, INC.	GRANITE CONSTRUCTION COMPANY	OAP	
Basic Bid	603(17-24) 24 inch Pipe	125	Linear Foot	185.00	23,125.00	240.00	140.00	185.00	300.00
Ch 603					30,000.00	17,500.00	23,125.00	23,125.00	37,500.00
Basic Bid	604(3) Reconstruct Existing Manhole	1	Each	3,000.00	3,000.00	3,600.00	2,500.00	2,000.00	2,200.00
Ch 604					3,000.00	2,500.00	2,500.00	2,000.00	2,200.00
Basic Bid	604(4) Adjust Existing Manhole	26	Each	1,000.00	26,000.00	1,000.00	450.00	1,500.00	1,000.00
Ch 604					26,000.00	11,700.00	38,000.00	26,000.00	26,000.00
Basic Bid	604(5) Inlet, Type A	2	Each	4,000.00	8,000.00	3,000.00	4,650.00	7,000.00	4,000.00
Ch 604					8,000.00	6,000.00	9,300.00	14,000.00	8,000.00
Basic Bid	604(8) Adjust Existing Inlet	1	Each	1,200.00	1,200.00	1,000.00	750.00	1,500.00	1,000.00
Ch 604					1,200.00	1,000.00	750.00	1,500.00	1,000.00
Basic Bid	605(1A) Concrete Sidewalk, 4 inches thick	434	Square Yard	70.00	30,380.00	70.00	32,650.00	65.00	45.00
Ch 608					25.00	21.00	35.00	50.00	100.00
Basic Bid	606(3) Asphalt Sidewalk	372	Square Yard	9,300.00	3,462,000.00	7,812.00	13,020.00	18,600.00	37,200.00
Ch 608					2,500,000.00	4,300,000.00	4,000,000.00	4,500,000.00	6,000,000.00
Basic Bid	606(6) Curb Ramp	32	Each	80,000.00	2,560,000.00	137,600.00	128,000.00	144,000.00	192,000.00
Ch 608					100.00	95.00	85.00	100.00	80.00
Basic Bid	608(10) Detachable Warning Tiles	273	Square Foot	27,300.00	7,431,000.00	25,935.00	23,205.00	27,300.00	21,840.00
Ch 608					80.00	170.00	200.00	150.00	120.00
Basic Bid	608(13E) Concrete, Type V, 4 inches thick, Colored and Pattern Imprinted	43	Square Yard	3,440.00	148,120.00	7,310.00	8,600.00	6,450.00	5,160.00
Ch 608					40.00	90.00	80.00	100.00	70.00
Basic Bid	608(17) Curb, Type 1	69	Linear Foot	2,720.00	187,680.00	6,120.00	5,440.00	6,800.00	4,760.00
Ch 608					125%	100%	100%	150%	75%

Sterling Highway: Soldotna Urban Pavement Preservation 12/14/2015 2:30:53 PM		Unit Price & Estimated Amount		The Lowest Bidder		2nd Lowest Bidder		3rd Lowest Bidder		4th Lowest Bidder	
Item	Description	Quantity & Unit	Estimated Amount	PRUHS CONSTRUCTION COMPANY, LLC	KNIK CONSTRUCTION COMPANY, INC.	KNIK CONSTRUCTION COMPANY, INC.	KNIK CONSTRUCTION COMPANY, INC.	GRANITE CONSTRUCTION COMPANY	GRANITE CONSTRUCTION COMPANY	OAP	OAP
Basic Bid	609(2) Curbs and Gutters, Type 1	1,337 Linear Foot	35.00	51.00	50.00	50.00	60.00	60.00	36.00		
Ch 609			46,795.00	68,187.00	66,850.00	66,850.00	80,220.00	80,220.00	48,132.00		
Basic Bid	610(2) Ditch Lining	260 Ton	101.00	40.00	27.00	45.00	45.00	75.00	75.00		
Ch 610			25,250.00	10,000.00	6,750.00	11,250.00	11,250.00	18,750.00	18,750.00		
Basic Bid	615(1) Standard Sign	55.8 Square Foot	100.00	114.00	165.00	100.00	125.00	100.00	100.00		
Ch 615			5,580.00	6,361.20	9,207.00	6,975.00	6,975.00	5,580.00	5,580.00		
Basic Bid	616(3) Thaw Wire Installation	2,540 Linear Foot	10.00	32.00	30.00	30.00	30.00	30.00	35.00		
Ch 616			25,400.00	83,820.00	76,200.00	76,200.00	76,200.00	76,200.00	88,900.00		
Basic Bid	627(10) Adjustment of Valve Box	8 Each	600.00	330.00	75.00	1,000.00	1,000.00	500.00	500.00		
Ch 627			4,800.00	2,640.00	600.00	8,000.00	8,000.00	4,000.00	4,000.00		
Basic Bid	628(1) Bird Spikes	6 Each	500.00	900.00	800.00	900.00	900.00	750.00	750.00		
Ch 628			3,000.00	5,400.00	4,800.00	5,400.00	5,400.00	4,500.00	4,500.00		
Basic Bid	638(6) Approach	27 Each	1,500.00	1,800.00	1,500.00	2,500.00	2,500.00	2,000.00	2,000.00		
Ch 638			40,500.00	48,600.00	40,500.00	67,500.00	67,500.00	54,000.00	54,000.00		
Basic Bid	640(1) Mobilization And Demobilization	1 Lump Sum	338,591.00	200,000.00	200,000.00	375,000.00	375,000.00	400,000.00	400,000.00		
Ch 640			338,591.00	200,000.00	200,000.00	375,000.00	375,000.00	400,000.00	400,000.00		
Basic Bid	640(4) Worker Meals and Lodging, or Per Diem	1 Lump Sum	55,000.00	80,000.00	80,000.00	80,000.00	75,000.00	75,000.00	275,000.00		
Ch 640			55,000.00	80,000.00	80,000.00	80,000.00	75,000.00	75,000.00	275,000.00		
Basic Bid	641(1) Erosion, Sediment and Pollution Control Administration	1 Lump Sum	20,000.00	5,000.00	6,000.00	6,000.00	5,000.00	4,000.00	10,000.00		
Ch 641			20,000.00	5,000.00	6,000.00	6,000.00	5,000.00	4,000.00	10,000.00		
Basic Bid	641(2) Temporary Erosion, Sediment and Pollution Control	1 Contingent Sum	50,000.00	50,000.00	50,000.00	50,000.00	50,000.00	50,000.00	50,000.00		
Ch 641			50,000.00	50,000.00	50,000.00	50,000.00	50,000.00	50,000.00	50,000.00		

Sterling Highway: Soldotna Urban Pavement Preservation 12/14/2015 2:30:53 PM		Unit Price & Estimated Amount		The Lowest Bidder		2nd Lowest Bidder		3rd Lowest Bidder		4th Lowest Bidder	
Item	Description	Quantity & Unit	Estimated Amount	PRUHS CONSTRUCTION COMPANY, LLC	KNIK CONSTRUCTION COMPANY, INC.	KNIK CONSTRUCTION COMPANY, INC.	KNIK CONSTRUCTION COMPANY, INC.	GRANITE CONSTRUCTION COMPANY	GRANITE CONSTRUCTION COMPANY	OAP	OAP
Basic Bid	641(6) Withholding	1 Contingent Sum	0.00								
Ch 641			0.00								
Basic Bid	641(7) SWPPP Manager	1 Lump Sum	15,000.00	8,000.00	12,000.00	12,000.00	5,000.00	5,000.00	5,000.00		
Ch 641			15,000.00	8,000.00	12,000.00	12,000.00	5,000.00	5,000.00	5,000.00		
Basic Bid	642(1) Construction Surveying	1 Lump Sum	60,000.00	28,000.00	30,000.00	30,000.00	35,500.00	25,000.00	25,000.00		
Ch 642			60,000.00	28,000.00	30,000.00	30,000.00	35,500.00	25,000.00	25,000.00		
Basic Bid	642(3) Three Person Survey Party	50 Hour	250.00	160.00	350.00	350.00	300.00	310.00	310.00		
Ch 642			12,500.00	8,000.00	17,500.00	17,500.00	15,000.00	15,500.00	15,500.00		
Basic Bid	642(11) Adjust Existing Monument Case	9 Each	350.00	500.00	420.00	420.00	500.00	400.00	400.00		
Ch 642			3,150.00	4,500.00	3,780.00	3,780.00	4,500.00	3,600.00	3,600.00		
Basic Bid	643(2) Traffic Maintenance	1 Lump Sum	120,000.00	100,000.00	70,000.00	70,000.00	200,000.00	100,000.00	100,000.00		
Ch 643			120,000.00	100,000.00	70,000.00	70,000.00	200,000.00	100,000.00	100,000.00		
Basic Bid	643(3) Permanent Construction Signs	1 Lump Sum	30,000.00	50,000.00	40,000.00	40,000.00	30,000.00	60,000.00	60,000.00		
Ch 643			30,000.00	50,000.00	40,000.00	40,000.00	30,000.00	60,000.00	60,000.00		
Basic Bid	643(15A) Paving	1 Contingent Sum	100,000.00	100,000.00	100,000.00	100,000.00	100,000.00	100,000.00	100,000.00		
Ch 643			100,000.00	100,000.00	100,000.00	100,000.00	100,000.00	100,000.00	100,000.00		
Basic Bid	643(23) Traffic Price Adjustment	1 Contingent Sum	0.00								
Ch 643			0.00								
Basic Bid	643(25) Traffic Control	1 Contingent Sum	200,000.00	200,000.00	200,000.00	200,000.00	200,000.00	200,000.00	200,000.00		
Ch 643			200,000.00	200,000.00	200,000.00	200,000.00	200,000.00	200,000.00	200,000.00		



(Acronym)	Pay Item for: Sterling Highway, Soldotna Urban Pavement Preservation	Quantity & Unit	Unit Price & Estimated Amount	The Lowest Bidder PRUHS CONSTRUCTION COMPANY, LLC	2nd Lowest Bidder KNK CONSTRUCTION COMPANY, INC.	3rd Lowest Bidder GRANITE CONSTRUCTION COMPANY	4th Lowest Bidder OAP
Basic Bid Ch 644 CF	644(1) Field Office	1 Lump Sum	40,000.00	13,000.00 -68%	10,000.00 -75%	15,000.00 -63%	20,000.00 -50%
Basic Bid Ch 644 CF	644(2) Field Laboratory	1 Lump Sum	10,000.00	10,000.00 0%	10,000.00 0%	5,000.00 -50%	10,000.00 0%
Basic Bid Ch 644 CF	644(10) Engineering Communications	1 Contingent Sum	7,000.00	7,000.00 0%	7,000.00 0%	7,000.00 0%	7,000.00 0%
Basic Bid Ch 646	646(1) CPM Scheduling	1 Lump Sum	4,000.00	2,500.00 -38%	1,350.00 -66%	5,000.00 25%	1,000.00 -75%
Basic Bid Ch 647	647(5) Backhoe, 4WD, 1 CY Bucket, 75 hp min, 15 ft depth	1 Contingent Sum	20,000.00	20,000.00 0%	20,000.00 0%	20,000.00 0%	20,000.00 0%
Basic Bid Ch 660	660(17) Traffic Loop	59 Each	2,300.00 135,700.00	1,300.00 76,700.00 -43%	1,425.00 84,075.00 -38%	1,500.00 86,500.00 -32%	1,100.00 64,900.00 -52%
Basic Bid Ch 680	680(18) Adjust Junction Box	2 Each	1,100.00	2,600.00 138%	250.00 -77%	350.00 -68%	225.00 -80%
Basic Bid Ch 680	680(19A) Junction Box, Type 1A	11 Each	1,500.00	1,500.00 0%	625.00 -58%	650.00 -57%	560.00 -63%
Basic Bid Ch 680	680(19) Junction Box, Type 1A	11 Each	16,500.00	16,500.00 0%	6,875.00 -58%	7,150.00 -57%	6,160.00 -63%
Basic Bid Ch 681	681(3) Load Center, Type 2	1 Each	10,000.00	5,200.00 -48%	18,000.00 80%	20,000.00 100%	17,000.00 70%

(Acronym)	Pay Item for: Sterling Highway, Soldotna Urban Pavement Preservation	Quantity & Unit	Unit Price & Estimated Amount	The Lowest Bidder PRUHS CONSTRUCTION COMPANY, LLC	2nd Lowest Bidder KNK CONSTRUCTION COMPANY, INC.	3rd Lowest Bidder GRANITE CONSTRUCTION COMPANY	4th Lowest Bidder OAP
Basic Bid Ch 661	661(5) Modify Existing Load Center	1 Each	500.00	2,000.00 300%	1,750.00 250%	2,000.00 300%	1,500.00 200%
Basic Bid Ch 670	669(4-H1) Automated Traffic Recorder, Site H1	1 Lump Sum	20,000.00	13,000.00 -35%	17,500.00 -13%	15,000.00 -25%	10,900.00 -46%
Basic Bid Ch 670	669(4-H2) Automated Traffic Recorder, Site H2	1 Lump Sum	20,000.00	13,000.00 -35%	17,500.00 -13%	15,000.00 -28%	10,900.00 -46%
Basic Bid Ch 670	669(4-H3) Automated Traffic Recorder, Site H3	1 Lump Sum	20,000.00	13,000.00 -35%	17,500.00 -13%	15,000.00 -25%	10,900.00 -46%
Basic Bid Ch 670	669(4-H4) Automated Traffic Recorder, Site H4	1 Lump Sum	20,000.00	13,000.00 -35%	17,500.00 -13%	15,000.00 -25%	10,900.00 -46%
Basic Bid Ch 670	670(10C) MMA Pavement Markings, Gore Surface Applied	4,750 Linear Foot	3.00	1.60 -47%	1.50 -50%	5.225.00 -63%	1.00 -67%
Basic Bid Ch 670	670(10D) MMA Pavement Markings, Longitudinal	37,900 Linear Foot	5.00	1.60 -68%	1.75 -65%	1.40 -72%	1.75 -68%
Basic Bid Ch 670	670(10E) MMA Pavement Markings, Symbols and Arrow(s) Inlaid	72 Each	955.00 68,400.00	970.00 69,840.00 2%	1,000.00 72,000.00 5%	850.00 61,200.00 -11%	800.00 57,600.00 -16%
Basic Bid Ch 670	670(10F) MMA Pavement Markings, Transverse Inlaid	16,900 Linear Foot	7.00	1.60 -77%	1.50 -77%	1.40 -80%	2.00 -71%
Basic Bid Ch 682	682(1) Vac-Truck Pothole	1 Contingent Sum	10,000.00	10,000.00 0%	10,000.00 0%	10,000.00 0%	10,000.00 0%

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Sterling Highway: Solidotna Urban Pavement Preservation 12/14/2015 2:30:53 PM

(Adv. Estimate Worksheet)	Pay Items for: Sterling Highway: Solidotna Urban Pavement Preservation Opened: 12/11/2015	Quantity & Unit	Unit Price & Estimated Amount	The Lowest Bidder PRUHS CONSTRUCTION COMPANY, LLC	2nd Lowest Bidder KNIK CONSTRUCTION COMPANY, INC.	3rd Lowest Bidder GRANITE CONSTRUCTION COMPANY	4th Lowest Bidder QAP
Basic Bid	Pay Item Subtotal	73 Items	4,002,012.00	3,688,651.61	3,737,422.00	4,165,970.00	4,591,285.00

## AKDOT&PF-13 Transmittal Memo to Construction

<b>MEMORANDUM</b>	<b>State of Alaska</b> Department of Transportation & Public Facilities Design and Engineering Services – Central Region Highway Design
<b>TO:</b> Thomas Dougherty, P.E. Regional Construction Engineer Distribution (see below)	<b>DATE:</b> December 14, 2015
<b>THRU:</b> James Amundsen, P.E. Highway Design Chief	<b>TELEPHONE NO:</b> 269-0544
<b>FROM:</b> Carla Smith, P.E. Project Manager Highway Design	<b>FAX NO:</b> 243-4409
	<b>SUBJECT:</b> Project Transfer to Construction Sterling Highway Soldotna Urban Pavement Preservation

This memo is a summary of project issues and documents completing the transfer of project administration from the Highway Design Section to the Construction Section.

**A. Project Number(s)**  
Project Name: Sterling Highway Soldotna Urban Pavement Preservation  
Project No.: 0A33024/Z585240000

**B. Project ATP(s) End Dates**  
Phase 2: 04/01/2018  
Phase 3: N/A  
Phase 4: 04/01/2018  
Phase 7: 04/01/2018

**C. Project Background**  
**Scope:** This is a Preventative Maintenance (PM) Project for resurfacing the Sterling Highway in Soldotna, Alaska from approximately one third of a mile south of the intersection with Kalifornsky Beach Road to Devin Drive. It will also include, as necessary; drainage, signalization, ADA curb ramp improvements, signing and striping.  
**Purpose & Need:** The purpose of this project is to resurface the Sterling Highway in Soldotna, Alaska to extend the service life of the roadway and reduce maintenance costs.

**D. Key personnel**  
Key personnel associated with the project development include:

- o Carla Smith, P.E., Project Manager, Highway Design
- o Kristen Keifer, P.E., Project Engineer/Consultant Coordinator, Highway Design
- o Aaron Hunting, P.E., Consultant Coordinator, Highway Design
- o Kimberly Campo-Allen, Environmental Analyst, PD&E
- o Alban Burton, Right-of-Way Agent, Right-of-Way

*"Keep Alaska Moving through service and infrastructure."*


 - o John Turley, P.E. Utilities Lead, Utilities - o Newt Bingham, P.E., Geotechnical Engineer, Materials - o Jesse Escamilla III, P.E., Bridge Engineer, Bridge   **E. PSA Info** The project was designed by WHPacific, Inc. under the Innovative Term Contract. Assistance during Construction was included in the contract under Task 8.  **F. Financial** This project construction funding is currently programmed as follows:   - Construction, Phase 4 – \$4,753,063.00 - Low bidder is Pruhs Construction Co. at \$3,688,651.61   **G. Utilities** Utility agreements were executed with ENSTAR Natural Gas Company, Homer Electric Association and Alaska Communications for minor relocations. Potholing should refine the conflicts identified. Relocations may be eliminated once actual depths are collected. The Vac-Truck Pothole item has been added to the contract.  The agreement scope will be modified with Homer Electric Association to account for the disconnect/reconnect to the new load center "ATA". And a new line extension agreement will be drafted with HEA to upgrade the service to the new load center "ATA".  **H. ROW and/or Materials Sales Agreements** Temporary Construction Permit 3 (TCP-3) was difficult to obtain. The landowner uses this land for rental property and was concerned that the TCP area and surrounding grassy area will not be returned to its original condition following the construction of the adjacent curb ramp. Please ensure that the TCP-3 area and surrounding grass landscaping is returned to its original condition following construction.  **I. Environmental** Three active contaminated sites are located within the vicinity of the project. If encountered, section 204 of the special provisions covers the testing and handling of contaminated soils.  **J. Public Involvement** Kyle Kornelis, P.E., City of Soldotna Engineer, (907) 262-9107 Max Best, Kenai Peninsula Borough Planning Director, (907) 714-2200 The project was presented to the Soldotna Chamber of Commerce on March 31, 2015 during the design phase. No commitments were made.  **K. Unique Features** None.  **L. Attachments** The following attachments are included for your use:   1. Latest Project Development Authorization (PDA)   **M. Other documents available but not transmitted**   1. Environmental Document 2. Design Study Report (DSR)   *"Keep Alaska Moving through service and infrastructure."* |

- 3. Adjudicated Comments
- 4. Quantity Calculations
- 5. Erosion and Sediment Control Plan
- 6. Traffic Control Plan
- 7. Electronic archive of all design files

cc: (all without attachments)  
 Dustin Heintzelman, Project Control Chief  
 Ken Morton, P.E., Regional Preconstruction Engineer  
 Jim Amundsen, P.E., Chief of Highway Design  
 Eric Miyashiro, P.E., Chief of PD&E  
 Brian Elliott, Regional Environmental Manager, PD&E

"Keep Alaska Moving through service and infrastructure."

ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
 PROJECT DEVELOPMENT AUTHORIZATION (PDA)

PROGRAM #:	Z585240000	PROGRAM NAME:	STERLING HWY. SOLOOTNA URBAN PAVEMENT PRESERVATION	MANAGER:	CAROL SMITH																				
FEDERAL #:	0433024	MAJOR PROGRAM:	FWYS - Federal Highways	POA #:	1																				
STP Need ID #:	18924	MAJOR PROGRAM GRP:	HWYS - Highways	DATE:	8/27/15																				
CFDA #:	20.205	PROGRAM TYPE:	CRCS - Central Region	BY:	KLD																				
PROGRAM SCOPE: This is a Pavement Maintenance (PM) Project for resurfacing the Sterling highway in Solikona, Alaska from approximately one third of a mile south of the intersection with Hallorsney Beach Road to River Drive. It will also include, as necessary, drainage, stabilization, rock curbs and improvements, signs, and striping.																									
ACTION REQUESTED: Request to FHWA for authority to proceed with construction and utility relocation.																									
<table border="1"> <tr> <th rowspan="2">FHWA PROJECTS AUTHORITY TO PROCEED DATES (ATP)</th> <th colspan="2">RIGHT-OF-WAY</th> <th colspan="2">CONSTRUCTION</th> <th colspan="2">UTILITIES</th> </tr> <tr> <td>Reconnaissance Study:</td> <td>Appraisal &amp; Acquisition:</td> <td>Construction:</td> <td>Utilities:</td> <td></td> <td></td> </tr> <tr> <td>Final P&amp;E:</td> <td>30/55/21/1</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>						FHWA PROJECTS AUTHORITY TO PROCEED DATES (ATP)	RIGHT-OF-WAY		CONSTRUCTION		UTILITIES		Reconnaissance Study:	Appraisal & Acquisition:	Construction:	Utilities:			Final P&E:	30/55/21/1					
FHWA PROJECTS AUTHORITY TO PROCEED DATES (ATP)	RIGHT-OF-WAY		CONSTRUCTION		UTILITIES																				
	Reconnaissance Study:	Appraisal & Acquisition:	Construction:	Utilities:																					
Final P&E:	30/55/21/1																								
BUDGET SUMMARY AND PERIOD OF PERFORMANCE BY PHASE																									
PHASE 2		PHASE 3		PHASE 4		PHASE 7																			
Start Date	8/05/2014	Start Date		Start Date		Start Date	5/01/2018																		
End Date	04/01/2018	End Date		End Date	4/02/218	End Date																			
Federal Ratio(s)	93.6% & 90.97%	Federal Ratio(s)		Federal Ratio(s)	30.74% & 90.97%	Federal Ratio(s)	93.6% & 90.97%																		
PARTICIPATING	NON PAR	PARTICIPATING	NON PAR	PARTICIPATING	NON PAR	PARTICIPATING	NON PAR																		
\$700,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00																		
CHANGE:	\$0.00	\$0.00	\$0.00	\$4,753,000.00	\$0.00	\$154,000.00	\$0.00																		
TOTAL:	\$700,000.00	\$0.00	\$0.00	\$4,753,000.00	\$0.00	\$154,000.00	\$0.00																		
PHASE 2 TOTAL:	\$700,000.00	PHASE 3 TOTAL:	\$0.00	PHASE 4 TOTAL:	\$4,753,000.00	PHASE 7 TOTAL:	\$154,000.00																		
PHASE 1 TOTAL:		PHASE 5 TOTAL:		PHASE 6 TOTAL:																					
TOTAL AUTH:		EMPF (M) ID:																							
 PROJECT CONTROL CHIEF Date: 8/27/15				STATE / FEDERAL APPROVAL HEADQUARTERS FINANCE REVIEW Date: 8/28/15																					

ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
PROJECT DEVELOPMENT AUTHORIZATION (PDA)

PROGRAM NAME: STERLING HWY: SOLIDING URBAN PAVEMENT PRESERVATION  
PROGRAM #: 208330088

PHASE	PROFILE	PROF. NO.	FUNDING INFORMATION				SESION	LAW DEC.	MATCH CHANGE	PARTICIPATING		NON-PARTICIPATING		
			CUSTOMER ID	BILLING APPR	UNIT	AMB %				PROGR	PROGR CHANGE	PROGR	PROGR CHANGE	TOTAL
Phase 1 Total														
1														
2	1C2000	235642	PH40200	COBT	2018AWYMA	93.40%	140-0307262		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
2	1C2000	235642	PH40200	COBT	2018AWYMA	6.60%	140-0306433		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
2	1C2000	235642	PH40200	COBT	2018AWYMA	90.00%	140-0307979		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
2	1C2000	235642	PH40200	COBT	2018AWYMA	93.20%	140-0306433		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Phase 2 Total														
3														
4	104005	PC0130	PH40200	COBT	2018AWYMA	93.40%	103-301427		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
4	104005	PC0130	PH40200	COBT	2018AWYMA	6.60%	103-300713		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
4	104017	PC0130	PH40200	COBT	2018AWYMA	93.40%	103-301427		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
4	104017	PC0130	PH40200	COBT	2018AWYMA	6.60%	103-300713		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
4	104042	PC0130	PH40200	COBT	2018AWYMA	93.40%	103-301427		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
4	104042	PC0130	PH40200	COBT	2018AWYMA	6.60%	103-300713		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
4	104043	PC0130	PH40200	COBT	2018AWYMA	93.40%	103-301427		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
4	104043	PC0130	PH40200	COBT	2018AWYMA	6.60%	103-300713		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Phase 3 Total														
5														
6	104005	PC0130	PH40200	COBT	2018AWYMA	93.40%	103-301427		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
6	104005	PC0130	PH40200	COBT	2018AWYMA	6.60%	103-300713		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
6	104017	PC0130	PH40200	COBT	2018AWYMA	93.40%	103-301427		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
6	104017	PC0130	PH40200	COBT	2018AWYMA	6.60%	103-300713		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
6	104042	PC0130	PH40200	COBT	2018AWYMA	93.40%	103-301427		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
6	104042	PC0130	PH40200	COBT	2018AWYMA	6.60%	103-300713		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
6	104043	PC0130	PH40200	COBT	2018AWYMA	93.40%	103-301427		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
6	104043	PC0130	PH40200	COBT	2018AWYMA	6.60%	103-300713		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Phase 4 Total														
7														
7	101043	PC0140	PH40200	COBT	2018AWYMA	93.40%	140-0307308		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
7	101043	PC0140	PH40200	COBT	2018AWYMA	6.60%	0700N10017		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
7	103043	PC0140	PH40200	COBT	2018AWYMA	93.40%	144-0307308		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
7	103043	PC0140	PH40200	COBT	2018AWYMA	6.60%	0700N10017		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Phase 5 Total														
TOTAL														

## AKDOT&PF-14 PS&E Final Transmittal Memo

<p style="text-align: center;"><b>MEMORANDUM</b></p> <p style="text-align: center;"><b>State of Alaska</b> Department of Transportation &amp; Public Facilities Design and Engineering Services – Central Region Highway Design</p> <p><b>TO:</b> Ryan N Norkoli, P.E. Review Engineer Contracts</p> <p><b>DATE:</b> November 9, 2015</p> <p><b>FROM:</b> Carla Smith, P.E.  Project Manager</p> <p><b>TELEPHONE:</b> 907-269-0544</p> <p><b>SUBJECT:</b> Final PS&amp;E Contract Package</p> <p><b>PROJECT NAME:</b> Sterling Highway: Soldotna Urban Pavement Preservation</p> <p>FEDERAL PROJECT NO.: 0A33024      LOCATION: Soldotna, Alaska          IRIS PROGRAM NO.: Z585240000          IRIS ACTIVITY TEMPLATE: TP1001          IRIS PHASE: TC2000          IRIS ACTIVITY CODE: 062P</p> <p><b>DESCRIPTION OF WORK:</b> This is a Preventative Maintenance (PM) Project for resurfacing the Sterling Highway in Soldotna, Alaska from approximately one third of a mile south of the intersection with Kalifornsky Beach Road to Devin Drive. It will also include, as necessary: guardrail, drainage, signalization, ADA curb ramp improvements, signs, and striping.</p> <p style="text-align: center;"><b>BASIC BID COST BRACKET:</b> \$2,500,000 - \$5,000,000</p> <p style="text-align: center;"><b>ADVERTISING PERIOD:</b> 3 weeks</p> <p style="text-align: center;"><b>PROJECT MGR.:</b> Carla Smith, P.E.      <b>PHONE NO:</b> 269-0544  <b>CONSTRUCTION MGR:</b> Alan Drake, P.E.      <b>PHONE NO:</b> 269-0655</p> <p><b>ALL WORK SHALL BE COMPLETED BY:</b> October 1, 2016</p> <p><u>ADDITIONAL NOTICES:</u></p> <p style="text-align: center; font-size: small;"><i>"Keep Alaska Moving through services and infrastructure"      Updated: 10/1/15</i></p>	<p style="text-align: center;"><b>MEMORANDUM</b></p> <p style="text-align: center;"><b>WHPacific</b></p> <p><b>TO:</b> Carla Smith, P.E. Project Manager</p> <p><b>DATE:</b> October 23, 2015</p> <p><b>TELEPHONE NO:</b> 907-269-0544  <b>E-MAIL:</b> <a href="mailto:carla.smith@alaska.gov">carla.smith@alaska.gov</a></p> <p><b>FROM:</b> Louis Bassler, P.E. Project Engineer</p> <p><b>SUBJECT:</b> Quality Assurance Memo Sterling Highway; Soldotna Urban Pavement Preservation 0A33024/Z585240000</p> <hr/> <p>The following items are being submitted to the DOT&amp;PF Project Manager in accordance with DOT&amp;PF policy and design procedures:</p> <ul style="list-style-type: none"> <li>• As-Advertised PS&amp;E package for advertisement             <ul style="list-style-type: none"> <li>○ Plans</li> <li>○ Specifications</li> <li>○ Estimate</li> </ul> </li> <li>• Traffic Control Plan</li> <li>• Highway Design Checklist</li> <li>• Checklist for FHWA Funded Projects</li> <li>• ESCP with Appendices</li> <li>• Quantity Calculations</li> </ul> <p>I certify the attached documents have received Quality Control and Quality Assurance reviews by myself and staff working under my supervision.</p> <p style="text-align: center;">          _____ <b>DATE:</b> October 23, 2015</p> <p>Louis Bassler, P.E. Project Engineer</p> <hr/> <p style="font-size: x-small;">Sterling Highway; Soldotna Urban Pavement Preservation 0A33024/Z585240000 <span style="float: right;">Submittal Memo</span></p>
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AKDOT&PF-15 DBE & OJT Goals Request

**MEMORANDUM**

**State of Alaska**

Department of Transportation & Public Facilities  
Design and Engineering Services – Central Region  
Enter Section Here

**TO:** Winnie Cichosz  
Contract Compliance Officer  
Civil Rights Office

**DATE:** Enter Date

**THRU:** David Lee  
Construction

**FROM:** Enter Name  
Enter Title

**PHONE NO.:** 269-XXXX

**SUBJECT:** Project Name  
DBE & OJT Goals Request

Could you please provide DBE & OJT Goals for the subject project? We hope to advertise by Date.

You can charge your time to the following coding:

FEDERAL PROJECT NO.: Federal #  
IRIS PROJECT NO.: IRIS Program #  
IRIS ACTIVITY TEMPLATE: TPJ001  
IRIS PHASE: Choose an item.

**Attachments:** Engineer's Estimate  
Sub-contractible Items List

*"Keep Alaska Moving through service and infrastructure"*

Updated: 9/2/15





## AKDOT&PF-16 Bid Schedules, #2 of 12

### BID SCHEDULE

**Spring Creek Correctional Center APS Building  
And House 1 Security System Replacement  
Project No. 80082A**

Bidders Please Note: Before preparing this bid schedule, read carefully, "Information to Bidders", "Supplementary Information to Bidders", and the following:

The Bidder shall insert a fixed price in figures opposite each pay item that appears in the bid schedule to furnish all labor, material, equipment, supervision and provide all work for each item listed. No price is to be entered or tendered for any item not appearing in the bid schedule.

Conditioned or qualified bids will be considered non-responsive.

**NOTICE:** Bids will be compared on the Adjusted Total Bid Amount (e) and will be evaluated in accordance with Section 00023. Contract award will be made in the amount of the unadjusted amount (a).

PAY ITEM	DESCRIPTION OF PAY ITEM	TOTAL BID PRICE, IN FIGURES
Total Bid	All work described in the Basic Bid description in Section 01010, Paragraph 1.02.A and Project Plans. This Lump Sum Price also includes Enhancement 1 when it is offered in the Offeror's Technical Proposal (See Section 00023 Criterion 6):	(a)\$ _____
	Alaska Bidder's Preference: (5% of a.)	(b)\$ _____
	Alaska Veteran-Owned Business Preference: (5% of a. Not To Exceed \$5,000.00)	(c)\$ _____
	Alaska Products Preference: (Attach worksheet(s))	(d)\$ _____
	Adjusted Total Bid Amount: (a - b - c - d)	(e)\$ _____

\_\_\_\_\_  
Contractor's Name (Printed)

\_\_\_\_\_  
Alaska Contractor's Registration # Expires

\_\_\_\_\_  
Alaska Business License # Expires

Spring Creek Correctional Center APS Building and House 1 Security System Replacement Project No. 80082A

00312-1

## AKDOT&PF-16 Bid Schedules, #3 of 12

<u>BID SCHEDULE</u>					
<p><b>Bethel Airport Snow Removal Equipment Building</b> AIP 3-02-0029-023-2015 / 52579</p>					
<p>Bidders Please Note: Before preparing this bid schedule, read carefully, "Information to Bidders", "Supplementary Information to Bidders", and the following:</p>					
<p>The Bidder shall insert a fixed price in figures opposite each pay item that appears in the bid schedule. No price is to be entered or tendered for any item not appearing in the bid schedule.</p>					
<p>Conditioned or qualified bids will be considered non-responsive.</p>					
<p>The DBE Utilization Goal for this project is 0% of the total contract award amount. See Section 00120 for details.</p>					
<p><b>NOTICE:</b> The Basic Bid work is divided into three segments, Basic Bid Items 1, 2, and 3, as described in Section 01 11 13. Bid award will be based on the mathematical sum of the bid price for Basic Bid Item 1, Basic Bid Item 2 and Basic Bid Item 3, however, contract award will be made for Basic Bid Item 1 only. Subject to legislative authority and federal funding, Basic Bid Item 2 and Basic Bid Item 3 work will be added to the contract by Change Order, at the price indicated on the Bid Schedule. The maximum amount of award for Basic Bid Item 1 is Four Million, Six Hundred and Fifty Thousand Dollars and no cents (\$4,650,000.00). The Department will not award the bid to any bidder whose Basic Bid for Item 1 work exceeds this amount. Bidders are cautioned that the Department cannot guarantee that funding for Basic Bid Item 2 and Basic Bid Item 3 will become available. If funding does not become available for Basic Bid Items 2 and 3 work, non-award of this work will not be considered a termination and will not be the basis for an adjustment to the contract price for Basic Bid Item 1 work. By submission of a bid for Basic Bid Item 1, each bidder is ensuring that it can complete the Pay Item 1 work for the Basic Bid Item 1 price, even if Basic Bid Item 2 and Basic Bid Item 3 are not awarded.</p>					
<p>Basic Bid Item Two payments will be limited per Section 00700.13.5 Stored Materials and Equipment unless incorporated into the completed work.</p>					
PAY ITEM	DESCRIPTION OF PAY ITEM	TOTAL BID PRICE, IN FIGURES			
1	<u>BASIC BID ITEM ONE</u> Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in Section 01 11 13, Paragraph 1.02.B, for the lump sum price of:	\$ _____			
2	<u>BASIC BID ITEM TWO</u> Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in Section 01 11 13, Paragraph 1.02.C, for the lump sum price of:	\$ _____			
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%; text-align: center;">3</td> <td style="width: 75%;"> <u>BASIC BID ITEM THREE</u>                      Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in Section 01 11 13, Paragraph 1.02.D, for the lump sum price of:                 </td> <td style="width: 20%; text-align: center;">\$ _____</td> </tr> </table>			3	<u>BASIC BID ITEM THREE</u> Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in Section 01 11 13, Paragraph 1.02.D, for the lump sum price of:	\$ _____
3	<u>BASIC BID ITEM THREE</u> Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in Section 01 11 13, Paragraph 1.02.D, for the lump sum price of:	\$ _____			
Total Basic Bid: (Pay Item 1 + Pay Item 2 + Pay Item 3)		\$ _____			
_____ Name of Bidding Firm (printed)					
<table style="width: 100%;"> <tr> <td style="width: 50%; text-align: left; font-size: small;">                             Bethel Airport Snow Removal Equipment Building                              AIP 3-02-0029-02X-201X/52579                              00312-1                         </td> <td style="width: 50%; text-align: right; font-size: small;">                             Bethel Airport Snow Removal Equipment Building                              AIP 3-02-0029-02X-201X/52579                              00312-2                         </td> </tr> </table>			Bethel Airport Snow Removal Equipment Building AIP 3-02-0029-02X-201X/52579 00312-1	Bethel Airport Snow Removal Equipment Building AIP 3-02-0029-02X-201X/52579 00312-2	
Bethel Airport Snow Removal Equipment Building AIP 3-02-0029-02X-201X/52579 00312-1	Bethel Airport Snow Removal Equipment Building AIP 3-02-0029-02X-201X/52579 00312-2				

**AKDOT&PF-16 Bid Schedules, #4 of 12**

**DESIGN BUILD (DB)  
BID SCHEDULE**

Competitive Sealed Proposals – Design/Build – AS 36.30.200(c)

**Project: Petersburg Scow Bay Shop Envelope Upgrades  
Design-Build**

**Program No.: Z686040000**

Offerors, please read the following carefully before preparing this bid schedule:

The Offeror shall insert a fixed price in figures opposite each pay item which appears in the bid schedule. No price is to be entered or tendered for any item not appearing in the bid schedule.

Conditioned or qualified proposals will be considered non-responsive.

**NOTICE:** Price Proposals will be evaluated as described in the Evaluation Criteria under "Price."

- a. **TOTAL BID: All work described in the Basic Bid Scope of Work in Section 00 10 00.1.01.B. This Lump Sum Price also includes those Enhancements described in Sections 00 10 00.1.01.C and 00 10 00.1.01.D if specifically offered in the Offeror's Technical Proposal (See Section 00022 Criterion 4):** \$ \_\_\_\_\_
  
- b. **Alaska Bidder's Preference:** \$ \_\_\_\_\_  
(5% of a.)
  
- c. **Alaska Veteran-Owned Business Preference:** \$ \_\_\_\_\_  
(5% of a. Not To Exceed \$5,000.00)
  
- d. **Alaska Products Preference:** \$ \_\_\_\_\_  
(Attach worksheet(s))
  
- e. **Adjusted TOTAL BID Amount:** \$ \_\_\_\_\_  
(a – b – c – d)

\_\_\_\_\_  
Contractor's Name (Printed)

\_\_\_\_\_  
Business License Number,      \_\_\_\_\_  
Expiration Date

\_\_\_\_\_  
Contractor's Registration Number,      \_\_\_\_\_  
Expiration Date

## AKDOT&PF-16 Bid Schedules, #5 of 12

BID SCHEDULE		
DEC Laboratory Humidification System Upgrades Project No. 81118		
<p>Bidders Please Note: Before preparing this bid schedule, read carefully, "Information to Bidders", "Supplementary Information to Bidders", and the following:</p> <p>The Bidder shall insert a fixed price in figures opposite each pay item appearing in the bid schedule. No price is to be entered or tendered for any item not appearing in the bid schedule.</p> <p>Conditioned or qualified bids will be considered non-responsive.</p> <p><b>NOTICE:</b> In order to establish a clear and definitive basis of award, the State has established a budgeted project amount from which the order of bidders will be determined. The amount will be announced just prior to opening bids. The low bid will be determined by considering the basic bid and additive alternate(s) in the order listed on the bid schedule up to a total not to exceed the budgeted amount less the low bidder's preferences. The State reserves the right to reject all bids. The State also reserves the right to award the contract above or below the budgeted amount to the low bidder based on any combination of alternate(s) or no alternate(s), providing that the low bidder remains unchanged. The final contract amount will be for the unadjusted amount(s).</p>		
PAY ITEM	DESCRIPTION OF PAY ITEM	TOTAL BID PRICE, IN FIGURES
Basic Bid	Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Base Bid Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:	(a) \$ _____
	Alaska Bidder's Preference: (5% of a.)	(b) \$ _____
	Alaska Veteran-Owned Business Preference: (c) \$ _____ (5% of a. Not To Exceed \$5,000.00)	(c) \$ _____
	Alaska Products Preference: (Attach worksheet(s))	(d) \$ _____
	Adjusted Basic Bid Amount: (a - b - c - d)	(e) \$ _____

Add Alt 1	Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Additive Alternate Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:	(f) \$ _____
	Alaska Bidder's Preference: (5% of f.)	(g) \$ _____
	Alaska Products Preference: (Attach worksheet(s))	(h) \$ _____
	Adjusted Add Alt 1 Bid Amount: (f - g - h)	(i) \$ _____
Add Alt 2	Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Additive Alternate Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:	(j) \$ _____
	Alaska Bidder's Preference: (5% of j.)	(k) \$ _____
	Alaska Products Preference: (Attach worksheet(s))	(l) \$ _____
	Adjusted Add Alt 2 Bid Amount: (j - k - l)	(m) \$ _____
Add Alt 3	Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Additive Alternate Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:	(n) \$ _____
	Alaska Bidder's Preference: (5% of n.)	(o) \$ _____
	Alaska Products Preference: (Attach worksheet(s))	(p) \$ _____
	Adjusted Add Alt 3 Bid Amount: (n - o - p)	(q) \$ _____

<p>Add Alt 4</p>	<p>Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Additive Alternate Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:</p>	<p>(r) \$ _____</p>
	<p>Alaska Bidder's Preference: (5% of r.)</p>	<p>(s) \$ _____</p>
	<p>Alaska Products Preference: (Attach worksheet(s))</p>	<p>(t) \$ _____</p>
	<p>Adjusted Add Alt 4 Bid Amount: (r - s - t)</p>	<p>(u) \$ _____</p>
<p>Add Alt 5</p>	<p>Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Additive Alternate Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:</p>	<p>(v) \$ _____</p>
	<p>Alaska Bidder's Preference: (5% of v.)</p>	<p>(w) \$ _____</p>
	<p>Alaska Products Preference: (Attach worksheet(s))</p>	<p>(x) \$ _____</p>
	<p>Adjusted Add Alt 5 Bid Amount: (v - w - x)</p>	<p>(y) \$ _____</p>
<p>Add Alt 6</p>	<p>Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Additive Alternate Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:</p>	<p>(z) \$ _____</p>
	<p>Alaska Bidder's Preference: (5% of z.)</p>	<p>(aa) \$ _____</p>
	<p>Alaska Products Preference: (Attach worksheet(s))</p>	<p>(bb) \$ _____</p>
	<p>Adjusted Add Alt 6 Bid Amount: (z - aa - bb)</p>	<p>(cc) \$ _____</p>

<p>Add Alt 7</p>	<p>Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Additive Alternate Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:</p>	<p>(dd) \$ _____</p>
	<p>Alaska Bidder's Preference: (5% of dd.)</p>	<p>(ee) \$ _____</p>
	<p>Alaska Products Preference: (Attach worksheet(s))</p>	<p>(ff) \$ _____</p>
	<p>Adjusted Add Alt 7 Bid Amount: (dd - ee - ff)</p>	<p>(gg) \$ _____</p>
<p>Add Alt 8</p>	<p>Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Additive Alternate Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:</p>	<p>(hh) \$ _____</p>
	<p>Alaska Bidder's Preference: (5% of hh.)</p>	<p>(ii) \$ _____</p>
	<p>Alaska Products Preference: (Attach worksheet(s))</p>	<p>(jj) \$ _____</p>
	<p>Adjusted Add Alt 8 Bid Amount: (hh - ii - jj)</p>	<p>(kk) \$ _____</p>
<p>Add Alt 9</p>	<p>Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Additive Alternate Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:</p>	<p>(ll) \$ _____</p>
	<p>Alaska Bidder's Preference: (5% of ll.)</p>	<p>(mm) \$ _____</p>
	<p>Alaska Products Preference: (Attach worksheet(s))</p>	<p>(nn) \$ _____</p>
	<p>Adjusted Add Alt 9 Bid Amount: (ll - mm - nn)</p>	<p>(oo) \$ _____</p>

Add Alt 10 Furnish all labor, material, equipment, supervision, and provide all work to complete the scope of work as described in the Additive Alternate Work description in Section 01 11 13 Paragraph 1.03.B and Drawings, for the lump sum price of:

(pp) \$ \_\_\_\_\_

Alaska Bidder's Preference:  
(5% of pp.)

(qq) \$ \_\_\_\_\_

Alaska Products Preference:  
(Attach worksheet(s))

(rr) \$ \_\_\_\_\_

Adjusted Add Alt 10 Bid Amount:  
(pp - qq - rr)

(ss) \$ \_\_\_\_\_

\_\_\_\_\_  
Contractor's Name (Printed)

\_\_\_\_\_  
Alaska Contractor's Registration #

\_\_\_\_\_  
Expires

\_\_\_\_\_  
Alaska Business License #

\_\_\_\_\_  
Expires

## AKDOT&PF-16 Bid Schedules, #6 of 12

<u>BID SCHEDULE</u>			<u>AREA B- KENAI PENINSULA DISTRICT</u>		
CENTRAL REGION PROPERTY MANAGEMENT CONTRACT REBID RW-002			<u>ITEM</u>	<u>DESCRIPTION</u>	<u>UNIT PRICE</u>
<p>Bidders Please Note: Before preparing this bid schedule, read carefully the "Information to Bidders" and the following:</p> <p>Davis-Bacon provisions for minimum wage rules <u>do not apply</u> to any of the following Property Management bid items (maintenance items) for this contract (M items) which are itemized here on the bid schedule.</p> <p>Davis Bacon provisions for minimum wage rules do apply to construction items of this contract (C items are not shown in the bid schedule, they will be paid for as described under paragraph 3.2 of the Technical Specifications). However, the construction items are under this contract are specialty items to be performed under the contract. A Specialty Item is a work item that requires highly specialized knowledge, abilities, or equipment not ordinarily available in the type of contracting organizations qualified and expected to bid on the contract. These specialty construction items will be reimbursed at cost plus markup.</p> <p>In the space provided below, list the amount of your bid to furnish all necessary labor, equipment, tools, and to perform all the work required per specifications. The amount of the work required at any given time will depend on the need as determined by the designated DOT/PF representative</p> <p>You are [x] are not [ ] required to bid on all items. If you do not bid on all items, your bid will be declared unresponsive.</p> <p>By filling out and signing this Bid Schedule, the prospective bidder hereby agrees to accept an award for any or all items of equipment on the Bid Schedule.</p> <p>Conditioned or qualified bids will be considered non-responsive.</p> <p>BASIS OF AWARD:</p>			<p>(B1.0M) Single Family Home Occupied \$ _____ per parcel/month</p> <p>(B2.0M) Single Family Home Vacant \$ _____ per parcel/month</p> <p>(B3.0M) Multiple Family Residences Occupied \$ _____ per parcel/month</p> <p>(B4.0M) Multiple Family Residences Vacant \$ _____ per parcel/month</p> <p>(B5.0M) One Commercial Building Occupied \$ _____ per parcel/month</p> <p>(B6.0M) One Commercial Building Vacant \$ _____ per parcel/month</p> <p>(B7.0M) Multiple unit Commercial Building Occupied \$ _____ per parcel/month</p> <p>(B8.0M) Multiple unit Commercial Building Vacant \$ _____ per parcel/month</p>		
<u>AREA A- ANCHORAGE DISTRICT</u>			<u>AREA C- MAT-SU DISTRICT</u>		
<u>ITEM</u>	<u>DESCRIPTION</u>	<u>UNIT PRICE</u>	<u>ITEM</u>	<u>DESCRIPTION</u>	<u>UNIT PRICE</u>
(A1.0M)	Single Family Home Occupied	\$ _____ per parcel/month	(C1.0M)	Single Family Home Occupied	\$ _____ per parcel/month
(A2.0M)	Single Family Home Vacant	\$ _____ per parcel/month	(C2.0M)	Single Family Home Vacant	\$ _____ per parcel/month
(A3.0M)	Multiple Family Residences Occupied	\$ _____ per parcel/month	(C3.0M)	Multiple Family Residences Occupied	\$ _____ per parcel/month
(A4.0M)	Multiple Family Residences Vacant	\$ _____ per parcel/month	(C4.0M)	Multiple Family Residences Vacant	\$ _____ per parcel/month
(A5.0M)	One Commercial Building Occupied	\$ _____ per parcel/month	(C5.0M)	One Commercial Building Occupied	\$ _____ per parcel/month
(A6.0M)	One Commercial Building Vacant	\$ _____ per parcel/month	(C6.0M)	One Commercial Building Vacant	\$ _____ per parcel/month
(A7.0M)	Multiple unit Commercial Building Occupied	\$ _____ per parcel/month	(C7.0M)	Multiple unit Commercial Building Occupied	\$ _____ per parcel/month
(A8.0M)	Multiple unit Commercial Building Vacant	\$ _____ per parcel/month	(C8.0M)	Multiple unit Commercial Building Vacant	\$ _____ per parcel/month

**Area D – Other Areas**

<u>ITEM</u>	<u>DESCRIPTION</u>	<u>UNIT PRICE</u>
(D1.0M)	Single Family Home Occupied	\$ _____ per parcel/month
(D2.0M)	Single Family Home Vacant	\$ _____ per parcel/month
(D3.0M)	Multiple Family Residences Occupied	\$ _____ per parcel/month
(D4.0M)	Multiple Family Residences Vacant	\$ _____ per parcel/month
(D5.0M)	One Commercial Building Occupied	\$ _____ per parcel/month
(D6.0M)	One Commercial Building Vacant	\$ _____ per parcel/month
(D7.0M)	Multiple unit Commercial Building Occupied	\$ _____ per parcel/month
(D8.0M)	Multiple unit Commercial Building Vacant	\$ _____ per parcel/month
<b>A)</b>	<b>TOTAL BASIC BID PRICE:</b>	<b>\$ _____</b>

**Basis of Award:** Bids will be compared on the basis of the Total Basic Bid Price (A). The low bidder, thus determined, will be awarded the contract in the amount of the unit bid prices.

=====

\_\_\_\_\_  
Contractor's Name Telephone No. Fax No.

\_\_\_\_\_  
Mailing Address Business Location (if different)

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

**END OF BID SCHEDULE**



**AKDOT&PF-16 Bid Schedules, #7 of 12**

**DESIGN BUILD (DB)  
BID SCHEDULE**

Competitive Sealed Proposals - Design Build - AS 36.30.200(c)

**Project: Seward Maintenance Station at Crown Point Design/Build**      **Project No.: 51523**

Offerors, please read the following carefully before preparing this bid schedule:

The Offeror shall insert a fixed price in figures opposite each pay item which appears in the bid schedule. No price is to be entered or tendered for any item not appearing in the bid schedule.

Conditioned or qualified proposals will be considered non-responsive.

**NOTICE:** Price Proposals will be evaluated as described in the Evaluation Criteria under "Price." Proposers are advised that important award information including maximum contract award amounts are described in Section 00022 Evaluation Criteria.

- a. Basic Bid, Lump Sum: \$ \_\_\_\_\_
- b. Electrical Service, Contingent Sum: \$ 75,000.00
- c. Total Basic Bid, Lump Sum: \$ \_\_\_\_\_  
(a + b)
- d. Alaska Bidder's Preference: \$ \_\_\_\_\_  
(5% of c.)
- e. Alaska Veteran-Owned Business Preference: \$ \_\_\_\_\_  
(5% of c. Not To Exceed \$5,000.00)
- f. Alaska Products Preference: \$ \_\_\_\_\_  
(Attach worksheet(s))
- g. Adjusted Bid Amount: \$ \_\_\_\_\_  
(c - d - e - f)

\_\_\_\_\_  
Contractor's Name (Printed)

\_\_\_\_\_  
Business License Number,

\_\_\_\_\_  
Expiration Date

\_\_\_\_\_  
Contractor's Registration Number,

\_\_\_\_\_  
Expiration Date

### AKDOT&PF-16 Bid Schedules, #8 of 12

**Billing Rates and Price Proposal**

PART  
**C**

Proposers shall enter the Subtotals for Schedules A and B and combine to equal the Total Price Proposal.

**Schedule A. CM/GC Fixed Fee for Construction Services**

Fixed Fee Proposal for Construction Services (Subtotal Schedule A).....  (a)  
 The Fixed Fee is to be based on an Estimated Maximum Allowable Construction Cost (MACC) of \$18,500,000

**Schedule B. Specified General Conditions**

Labor Category	Team Member	Estimated Regular Time (Hours)	Estimated Overtime (Hours)	Burdened Rate for Regular Hours (\$/hr)	Burdened Rate for Overtime Hours (\$/hr)	Regular Hour Extension	Overtime Hour Extension	Total Extension
a	b	c	d	e	f	g	h	i
						(g=c*e)	(h=d*f)	(i=g+h)
<b>PRIME CONTRACTOR'S STAFF</b>								
Project Executive		210	0					
Project Manager		2550	360					
Project Superintendent		3640	180					
Cost Estimator		1820	90					
Scheduler		1820	120					
Quality Control Mgr		1820	0					
Admin Assistant		3640	90					
<b>POOL SUBCONTRACTOR'S STAFF</b>								
Project Manager		1360	90					
Project Superintendent		1820	120					
<b>Subtotal Schedule B</b>								(b)

<b>TOTAL PRICE PROPOSAL</b>		
SUBTOTAL FIXED FEE = (a)		
SUBTOTAL GEN CONDITIONS = (b)		
<b>TOTAL PRICE PROPOSAL FOR FIXED FEE AND GENERAL CONDITIONS = (a) + (b)</b>		(c)
Alaska Bidder's Preference (5% of c.)		(d)
Alaska Veteran Owned Business Preference (5% of c. Not To Exceed \$5,000.00)		(e)
<b>Adjusted Total Price Proposal for Fixed Fee and General Conditions = (c) - (d) - (e)</b>		(f)

<sup>1</sup> Hours are estimated based on the total amount of hours projected for the pre-construction and construction activities.

Printed Name and Signature of Authorized Company Representative \_\_\_\_\_ Company Name \_\_\_\_\_

**AKDOT&PF-16 Bid Schedules, #9 of 12**

**DESIGN BUILD (DB)  
BID SCHEDULE**

Competitive Sealed Proposals – Design/Build – AS 36.30.200(c)

**Project: AVTEC Applied Tech Campus: Diesel and Heavy  
Equipment Shop Replacement Design/Build**

**Project No.: 81221**

Offerors, please read the following carefully before preparing this bid schedule:

The Offeror shall insert a fixed price in figures opposite each pay item which appears in the bid schedule. No price is to be entered or tendered for any item not appearing in the bid schedule.

Conditioned or qualified proposals will be considered non-responsive.

**NOTICE:** Price Proposals will be evaluated as described in the Evaluation Criteria under "Price."

- a. Phase I Basic Bid, Lump Sum: \$ \_\_\_\_\_
- b. Phase I Worker' Meals, Lodging, or Per Diem (See Section 00115), lump Sum: \$ \_\_\_\_\_
- c. Phase II Basic Bid, Lump Sum: \$ \_\_\_\_\_
- d. Phase II Worker' Meals, Lodging, or Per Diem (See Section 00115), lump Sum: \$ \_\_\_\_\_
- e. Total Basic Bid, Lump Sum: \$ \_\_\_\_\_  
(a + b + c + d)
- f. Alaska Bidder's Preference: \$ \_\_\_\_\_  
(5% of e.)
- g. Alaska Veteran-Owned Business Preference: \$ \_\_\_\_\_  
(5% of e. Not To Exceed \$5,000.00)
- h. Alaska Products Preference: \$ \_\_\_\_\_  
(Attach worksheet(s))
- i. Adjusted Bid Amount: \$ \_\_\_\_\_  
(e – f – g – h)

\_\_\_\_\_  
Contractor's Name (Printed)

\_\_\_\_\_  
Business License Number,

\_\_\_\_\_  
Expiration Date

\_\_\_\_\_  
Contractor's Registration Number,

\_\_\_\_\_  
Expiration Date

dbos

(Central Region 5/95), DB Bid Schedule  
00312

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## AKDOT&PF-16 Bid Schedules, #10 of 12

### BID SCHEDULE

#### ANC Fire Alarm System Maintenance Project No. 07-ANC-001

Bidders Please Note: Before preparing this bid schedule, read carefully, "Special Notice to Bidders", "Information to Bidders", and the following:

Davis-Bacon provisions for minimum wage rules do not apply to any of the following bid items (maintenance items) for this contract which are itemized here on the bid schedule.

Davis Bacon provisions for minimum wage rules do apply to construction items of this contract. However, the construction items under this contract will be added by change order. These specialty construction items will be reimbursed at cost plus markup.

The Bidder shall insert a fixed price in figures opposite each pay item that appears in the bid schedule. No price is to be entered or tendered for any item not appearing in the bid schedule.

Conditioned or qualified bids will be considered non-responsive.

**NOTICE:** Bids will be compared on the basis of the Adjusted Bid Amount (d) for the determination of the low bidder. Contract award will be made in the amount of the Total Basic Bid (a).

PAY ITEM	DESCRIPTION OF PAY ITEM	PAY UNIT	TOTAL BID PRICE, IN FIGURES
1	Furnish all labor, material, equipment, training, software upgrades, supervision, and provide all work to complete the scope of work as described in the Technical Specifications, for the price of:		
	a. Total Basic Bid	Year	\$ _____
	b. Alaska Bidder's Preference: (5% of a.)		\$ _____
	c. Alaska Products Preference: (Attach Worksheet(s))		\$ _____
	d. Adjusted Bid Amount: (a-b-c)		\$ _____
2	Provide hourly rate for extra services (the Department reserves right to negotiate this rate)	Hour	\$ _____

\_\_\_\_\_  
Contractor's Name (Printed)

\_\_\_\_\_  
Alaska Contractor's Registration #

\_\_\_\_\_  
Expires

\_\_\_\_\_  
Alaska Business License #

\_\_\_\_\_  
Expires

## AKDOT&PF-16 Bid Schedules, #11 of 12

<u>BID SCHEDULE</u>			
Takotna Airport Dust Control & McGrath Airport Surface Treatment Contract No. 14-25-1-023 AIP 3-02-0200-093-2013/AKSAS 55896 & AIP 3-02-0200-079-2011/AKSAS 54032			
Bidders Please Note: Before preparing this bid schedule, read carefully Section 20 of the General Contract Provisions and the following: Davis-Bacon provisions for minimum wage rules <u>do</u> apply under this contract.			
In the spaces provided below, list the total amount of square feet of Dust Palliative that you will supply, deliver and apply in accordance with the contract documents.			
You <input checked="" type="checkbox"/> are not <input type="checkbox"/> required to bid on all items.			
By filling out and signing this Bid Schedule, the prospective bidder hereby agrees to accept an award for all items on the Bid Schedule.			
Conditioned or qualified bids will be considered non-responsive. In addition, a zero bid in column (a) for any bid item shall result in the bidder being declared non-responsive.			
NOTE: If the state determines that the number of square feet are too low for the specified contract amount, the state reserves the right to reject all bids.			
BASIS OF AWARD: The Contract award will be made to the Bidder with the lowest total weighted bid as calculated in accordance with the Bid Evaluation Procedure Section, see page 2 of this document. The Contract award will be for the number of square feet of the bid item(s) for each location.			
BASIC BID:			
ITEM	DESCRIPTION	TOTAL AMOUNT	QUANTITY OF MATERIAL
P-167a(1)	Takotna Airport Dust Palliative	<u>\$160,000.00</u>	_____(a) Number of Square Feet
P-167a(2)	McGrath Airport Dust Palliative	<u>\$85,000.00</u>	_____(a) Number of Square Feet
_____ CONTRACTOR'S NAME		_____ TELEPHONE NO.	
_____ MAILING ADDRESS		_____ BUSINESS LOCATION (IF DIFFERENT)	
_____ ALASKA BUSINESS LICENSE NUMBER		_____ EXPIRATION DATE	
_____ EMAIL ADDRESS		_____ FAX NUMBER	
_____ SIGNATURE		_____ DATE	
«Location» Airport «Project_Name»		Page 1 of 2	Bid Schedule
<u>BID EVALUATION PROCEDURE</u>			
Bids will be evaluated as follows:			
Takotna Palliative Weighted Bid =	=	$\frac{\text{Greatest Bid Quantity (this location, this product)} \times \text{Total Amount}}{\text{Bidder's Bid Quantity}}$	
McGrath Palliative Weighted Bid =	=	$\frac{\text{Greatest Bid Quantity (this location, this product)} \times \text{Total Amount}}{\text{Bidder's Bid Quantity}}$	
Wherein: For purpose of evaluation, the Greatest Bid Quantity is the largest Bid Quantity (column a) from all bidders for that item, the Total Amount is the Contract price amount for each item as predetermined by the Contracting Agency, and the Bidder's Bid Quantity is the Quantity of Material as stated on the Bidder's Bid Schedule (column a) for that item.			
The Contract award will be based on the lowest Total Weighted Bid as follows:			
Total Weighted Bid = Takotna Palliative Weighted Bid + McGrath Palliative Weighted Bid			
_____ CONTRACTOR'S NAME		_____ TELEPHONE NO.	
_____ MAILING ADDRESS		_____ BUSINESS LOCATION (IF DIFFERENT)	
_____ ALASKA BUSINESS LICENSE NUMBER		_____ EXPIRATION DATE	
_____ EMAIL ADDRESS		_____ FAX NUMBER	
_____ SIGNATURE		_____ DATE	
«Location» Airport «Project_Name»		Page 2 of 2	Bid Schedule

## AKDOT&PF-16 Bid Schedules, #12 of 12

BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

The Bidder shall insert, as called for, a unit price or a lump sum price in figures opposite each pay item for which an estimated quantity appears in the bid schedule to furnish all labor, material, equipment, supervision, and provide all work for each item listed. A unit price or lump sum price is not to be entered or tendered for any pay item not appearing in the bid schedule. The estimated quantity of work for payment on a lump sum basis will be "All Required" and as further specified in the contract.

Conditioned or qualified bids will be considered non-responsive.

Award will be made on the basis of the total basic bid.

The DBE Utilization Goal for this project is 0.0% of the total contract award amount. See Section 00120.

**Basic Work Items:**

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
1	626	ABBOTT LOOP SOCIAL SERVICES INC- 801 W 57TH AVE General Construction	All Req'd	LS	Lump Sum	
2	626	ABBOTT LOOP SOCIAL SERVICES INC- 801 W 57TH AVE HVAC	All Req'd	LS	Lump Sum	
3	626	ABBOTT LOOP SOCIAL SERVICES INC- 801 W 57TH AVE Electrical	All Req'd	LS	Lump Sum	
4	473	ANDREWS- 6842 SERENITY DR General Construction	All Req'd	LS	Lump Sum	
5	473	ANDREWS- 6842 SERENITY DR HVAC	All Req'd	LS	Lump Sum	
6	473	ANDREWS- 6842 SERENITY DR Electrical	All Req'd	LS	Lump Sum	

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BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
7	26	BAILEY- 5604 ARCTIC BLVD General Construction	All Req'd	LS	Lump Sum	
8	26	BAILEY- 5604 ARCTIC BLVD HVAC	All Req'd	LS	Lump Sum	
9	26	BAILEY- 5604 ARCTIC BLVD Electrical	All Req'd	LS	Lump Sum	
10	217	BARRON- 5424 DORBRANDT ST General Construction	All Req'd	LS	Lump Sum	
11	217	BARRON- 5424 DORBRANDT ST HVAC	All Req'd	LS	Lump Sum	
12	217	BARRON- 5424 DORBRANDT ST Electrical	All Req'd	LS	Lump Sum	
13	512	BAUM- 818 W 56TH AVE General Construction	All Req'd	LS	Lump Sum	
14	512	BAUM- 818 W 56TH AVE HVAC	All Req'd	LS	Lump Sum	
15	512	BAUM- 818 W 56TH AVE Electrical	All Req'd	LS	Lump Sum	
16	537	BEATTY- 902 W 57TH AVE General Construction	All Req'd	LS	Lump Sum	
17	537	BEATTY- 902 W 57TH AVE HVAC	All Req'd	LS	Lump Sum	
18	537	BEATTY- 902 W 57TH AVE Electrical	All Req'd	LS	Lump Sum	
19	504	BRAHAM- 2724 W 64TH AVE General Construction	All Req'd	LS	Lump Sum	
20	504	BRAHAM- 2724 W 64TH AVE HVAC	All Req'd	LS	Lump Sum	
21	504	BRAHAM- 2724 W 64TH AVE Electrical	All Req'd	LS	Lump Sum	
22	239	BROWN- 6500 IMLACH DR General Construction	All Req'd	LS	Lump Sum	
23	239	BROWN- 6500 IMLACH DR HVAC	All Req'd	LS	Lump Sum	
24	239	BROWN- 6500 IMLACH DR Electrical	All Req'd	LS	Lump Sum	

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BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
25	24	BUDD- 6500 AIR GUARD RD General Construction	All Req'd	LS	Lump Sum	
26	24	BUDD- 6500 AIR GUARD RD HVAC	All Req'd	LS	Lump Sum	
27	24	BUDD- 6500 AIR GUARD RD Electrical	All Req'd	LS	Lump Sum	
28	27	CHURCHILL- 5808 ARCTIC BLVD General Construction	All Req'd	LS	Lump Sum	
29	27	CHURCHILL- 5808 ARCTIC BLVD HVAC	All Req'd	LS	Lump Sum	
30	27	CHURCHILL- 5808 ARCTIC BLVD Electrical	All Req'd	LS	Lump Sum	
31	196	CONSTANT-PORTER- 4440 DELONG DR General Construction	All Req'd	LS	Lump Sum	
32	196	CONSTANT-PORTER- 4440 DELONG DR HVAC	All Req'd	LS	Lump Sum	
33	196	CONSTANT-PORTER- 4440 DELONG DR Electrical	All Req'd	LS	Lump Sum	
34	556	FLAR- 908 W 58TH AVE General Construction	All Req'd	LS	Lump Sum	
35	556	FLAR- 908 W 58TH AVE HVAC	All Req'd	LS	Lump Sum	
36	556	FLAR- 908 W 58TH AVE Electrical	All Req'd	LS	Lump Sum	
37	237	FLOTHE- 6434 IMLACH DR General Construction	All Req'd	LS	Lump Sum	
38	237	FLOTHE- 6434 IMLACH DR HVAC	All Req'd	LS	Lump Sum	
39	237	FLOTHE- 6434 IMLACH DR Electrical	All Req'd	LS	Lump Sum	
40	508	GALUS- 3815 W 44TH AVE General Construction	All Req'd	LS	Lump Sum	
41	508	GALUS- 3815 W 44TH AVE HVAC	All Req'd	LS	Lump Sum	
42	508	GALUS- 3815 W 44TH AVE Electrical	All Req'd	LS	Lump Sum	

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BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
43	478	GOODRUM- 6913 SERENITY DR General Construction	All Req'd	LS	Lump Sum	
44	478	GOODRUM- 6913 SERENITY DR HVAC	All Req'd	LS	Lump Sum	
45	478	GOODRUM- 6913 SERENITY DR Electrical	All Req'd	LS	Lump Sum	
46	213	GRUNWALDT- 5403 DORBRANDT ST General Construction	All Req'd	LS	Lump Sum	
47	213	GRUNWALDT- 5403 DORBRANDT ST HVAC	All Req'd	LS	Lump Sum	
48	213	GRUNWALDT- 5403 DORBRANDT ST Electrical	All Req'd	LS	Lump Sum	
49	476	HARKELRODE- 6907 SERENITY DR General Construction	All Req'd	LS	Lump Sum	
50	476	HARKELRODE- 6907 SERENITY DR HVAC	All Req'd	LS	Lump Sum	
51	476	HARKELRODE- 6907 SERENITY DR Electrical	All Req'd	LS	Lump Sum	
52	234	HITCHCOCK- 6418 IMLACH DR General Construction	All Req'd	LS	Lump Sum	
53	234	HITCHCOCK- 6418 IMLACH DR HVAC	All Req'd	LS	Lump Sum	
54	234	HITCHCOCK- 6418 IMLACH DR Electrical	All Req'd	LS	Lump Sum	
55	518	HUNISON- 838 W 56TH AVE General Construction	All Req'd	LS	Lump Sum	
56	518	HUNISON- 838 W 56TH AVE HVAC	All Req'd	LS	Lump Sum	
57	518	HUNISON- 838 W 56TH AVE Electrical	All Req'd	LS	Lump Sum	
58	46	JORGENSEN- 6442 BLACKBERRY ST General Construction	All Req'd	LS	Lump Sum	
59	46	JORGENSEN- 6442 BLACKBERRY ST HVAC	All Req'd	LS	Lump Sum	
60	46	JORGENSEN- 6442 BLACKBERRY ST Electrical	All Req'd	LS	Lump Sum	

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BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
61	155	KIBALA- 6305 CONNORS TRAIL CIR General Construction	All Req'd	LS	Lump Sum	
62	155	KIBALA- 6305 CONNORS TRAIL CIR HVAC	All Req'd	LS	Lump Sum	
63	155	KIBALA- 6305 CONNORS TRAIL CIR Electrical	All Req'd	LS	Lump Sum	
64	95	KITTLE- 6442 CHEVIGNY ST General Construction	All Req'd	LS	Lump Sum	
65	95	KITTLE- 6442 CHEVIGNY ST HVAC	All Req'd	LS	Lump Sum	
66	95	KITTLE- 6442 CHEVIGNY ST Electrical	All Req'd	LS	Lump Sum	
67	73	KURTZ- 6421 BRIDGET DR General Construction	All Req'd	LS	Lump Sum	
68	73	KURTZ- 6421 BRIDGET DR HVAC	All Req'd	LS	Lump Sum	
69	73	KURTZ- 6421 BRIDGET DR Electrical	All Req'd	LS	Lump Sum	
70	46	LAGSTROM- 6419 BLACKBERRY ST General Construction	All Req'd	LS	Lump Sum	
71	46	LAGSTROM- 6419 BLACKBERRY ST HVAC	All Req'd	LS	Lump Sum	
72	46	LAGSTROM- 6419 BLACKBERRY ST Electrical	All Req'd	LS	Lump Sum	
73	372	LORENTZ- 3450 NOVA CIR General Construction	All Req'd	LS	Lump Sum	
74	372	LORENTZ- 3450 NOVA CIR HVAC	All Req'd	LS	Lump Sum	
75	372	LORENTZ- 3450 NOVA CIR Electrical	All Req'd	LS	Lump Sum	

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BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
76	26	MARASIGAN- 5702 ARCTIC BLVD General Construction	All Req'd	LS	Lump Sum	
77	26	MARASIGAN- 5702 ARCTIC BLVD HVAC	All Req'd	LS	Lump Sum	
78	26	MARASIGAN- 5702 ARCTIC BLVD Electrical	All Req'd	LS	Lump Sum	
79	808	MARTIN- 3730 W 64TH AVE General Construction	All Req'd	LS	Lump Sum	
80	808	MARTIN- 3730 W 64TH AVE HVAC	All Req'd	LS	Lump Sum	
81	808	MARTIN- 3730 W 64TH AVE Electrical	All Req'd	LS	Lump Sum	
82	168	MCDANIEL- 5514 COPE ST General Construction	All Req'd	LS	Lump Sum	
83	168	MCDANIEL- 5514 COPE ST HVAC	All Req'd	LS	Lump Sum	
84	168	MCDANIEL- 5514 COPE ST Electrical	All Req'd	LS	Lump Sum	
85	236	MC FALL- 6433 IMLACH DR General Construction	All Req'd	LS	Lump Sum	
86	236	MC FALL- 6433 IMLACH DR HVAC	All Req'd	LS	Lump Sum	
87	236	MC FALL- 6433 IMLACH DR Electrical	All Req'd	LS	Lump Sum	
88	448	MICHELSSEN- 6931 SERENITY CIR General Construction	All Req'd	LS	Lump Sum	
89	448	MICHELSSEN- 6931 SERENITY CIR HVAC	All Req'd	LS	Lump Sum	
90	448	MICHELSSEN- 6931 SERENITY CIR Electrical	All Req'd	LS	Lump Sum	
91	477	MINCKS- 6909 SERENITY DR General Construction	All Req'd	LS	Lump Sum	
92	477	MINCKS- 6909 SERENITY DR HVAC	All Req'd	LS	Lump Sum	
93	477	MINCKS- 6909 SERENITY DR Electrical	All Req'd	LS	Lump Sum	

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BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
94	519	PADUA- 848 W 56TH AVE General Construction	All Req'd	LS	Lump Sum	
95	519	PADUA- 848 W 56TH AVE HVAC	All Req'd	LS	Lump Sum	
96	519	PADUA- 848 W 56TH AVE Electrical	All Req'd	LS	Lump Sum	
97	214	RAUTH- 5405 DORBRANDT ST General Construction	All Req'd	LS	Lump Sum	
98	214	RAUTH- 5405 DORBRANDT ST HVAC	All Req'd	LS	Lump Sum	
99	214	RAUTH- 5405 DORBRANDT ST Electrical	All Req'd	LS	Lump Sum	
100	535	RHODE- 900 W 57TH AVE General Construction	All Req'd	LS	Lump Sum	
101	535	RHODE- 900 W 57TH AVE HVAC	All Req'd	LS	Lump Sum	
102	535	RHODE- 900 W 57TH AVE Electrical	All Req'd	LS	Lump Sum	
103	514	SCHUYLER- 800 W 56TH AVE General Construction	All Req'd	LS	Lump Sum	
104	514	SCHUYLER- 800 W 56TH AVE HVAC	All Req'd	LS	Lump Sum	
105	514	SCHUYLER- 800 W 56TH AVE Electrical	All Req'd	LS	Lump Sum	
106	515	SIHAKHOTH- 827 W 56TH AVE General Construction	All Req'd	LS	Lump Sum	
107	515	SIHAKHOTH- 827 W 56TH AVE HVAC	All Req'd	LS	Lump Sum	
108	515	SIHAKHOTH- 827 W 56TH AVE Electrical	All Req'd	LS	Lump Sum	
109	509	STUBBS- 3829 W 44TH AVE General Construction	All Req'd	LS	Lump Sum	
110	509	STUBBS- 3829 W 44TH AVE HVAC	All Req'd	LS	Lump Sum	
111	509	STUBBS- 3829 W 44TH AVE Electrical	All Req'd	LS	Lump Sum	

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BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
112	475	THIELE- 6901 SERENITY DR General Construction	All Req'd	LS	Lump Sum	
113	475	THIELE- 6901 SERENITY DR HVAC	All Req'd	LS	Lump Sum	
114	475	THIELE- 6901 SERENITY DR Electrical	All Req'd	LS	Lump Sum	
115	212	TOVSEN- 5401 DORBRANDT ST General Construction	All Req'd	LS	Lump Sum	
116	212	TOVSEN- 5401 DORBRANDT ST HVAC	All Req'd	LS	Lump Sum	
117	212	TOVSEN- 5401 DORBRANDT ST Electrical	All Req'd	LS	Lump Sum	
118	218	VAUGHT- 5436 DORBRANDT ST General Construction	All Req'd	LS	Lump Sum	
119	218	VAUGHT- 5436 DORBRANDT ST HVAC	All Req'd	LS	Lump Sum	
120	218	VAUGHT- 5436 DORBRANDT ST Electrical	All Req'd	LS	Lump Sum	

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BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
<i>Contingency Unit Price Items:</i>						
01000-01		MOA Construction Directives	All Req'd	CS	CS	\$40,000.00
02080-01		Asbestos Survey	30	EA		
02080-02		Mobilize/Demobilize for Asbestos Removal	30	EA		
02080-03		Asbestos Removal	1500	SF		
02080-04		Seal Asbestos Containing Material to Remain	1000	SF		
04500-01		Enlarge Opening Masonry Wall	2	EA		
06100-01		Enlarge Opening Wood Frame Wall	2	EA		
06100-02		Enlarge Opening Stucco Wall	2	EA		
06100-03		Repairs to Window Openings	8	EA		
06100-04		Repairs to Door Openings	8	EA		
07217-01		Attic Insulation	2000	SF		
08200-01		Enlarge Attic Access Opening	2	EA		
08200-02		Replace Attic Access Panel	2	EA		
08200-03		Cut New Opening, Frame, Install, Flash New Vent	2	EA		
08390-01		Storm Door	2	EA		
08580-01		Window Well	2	EA		
08580-02		Additional Non-Acoustic Vinyl Window	2	EA		
09250-01		Cutting and Patching of Walls and Ceiling	1000	SF		

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BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
09900-01		Paint Walls- Prime and Finish	2000	SF		
09900-02		Paint Ceilings-Prime and Finish	2000	SF		
15050-01		Heat -Auto -Vent Furnace Thermostat	1	EA		
15050-02		Combustion Air Openings and Ductwork Systems	1	EA		
15050-03		Exhaust Fan	1	EA		
15050-04		Outside Air Intake	1	EA		
15050-05		Raising of Fuel Burning Appliance	2	EA		
15050-06		Cut, Add, Remove, Install Copper Pipe & Fittings	50	LF		
15550-01		Hydronic Boiler	2	EA		
15622-01		Forced Air Furnace	2	EA		
15800-01		Heat Recovery Ventilator	1	EA		
15810-01		Blending Ventilator	1	EA		
15890-01		Supply/Return Ductwork	100	LF		
16050-01		20 Amp, 120 Volt Circuit (in conduit or raceway)	200	LF		
16050-02		Disconnect/Reconnect Existing Wiring	50	LF		
16060-01		Relocation of Electrical Fixtures	6	EA		
16421-01		100A Service Entrance	1	EA		
16421-02		200A Service Entrance	1	EA		
16421-03		Utility Company Fee for Connection	1	EA		
16441-01		Additional AFCI Breaker	40	EA		
16450-01		Additional Service Grounding	5	EA		

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BID SCHEDULE  
 Ted Stevens Anchorage International Airport  
 Residential Sound Insulation Program-Bid Pack 12  
 Project No. AIP 3-02-0016-127-2010/52387

	PPN	Bid Items	Qty.	Unit	Unit Price (in figures)	Cost (in figures) (Quantity x Unit Price)
16470-01		100A Load Center (40 circuits)	2	EA		
16470-02		200A Load Center (40 Circuits)	2	EA		
16470-03		Extend Existing Electrical Circuits (up to 40 Circuits)	100	LF		

Bidder: \_\_\_\_\_

**TOTAL BASIC BID:** \_\_\_\_\_  
 (Sum, all items)

## AKDOT&PF-17 Federal EEO Bid Conditions, Form 25A-301



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**FEDERAL EEO BID CONDITIONS**

STANDARD FEDERAL EQUAL EMPLOYMENT OPPORTUNITY CONSTRUCTION CONTRACT  
SPECIFICATIONS FOR ALL NON-EXEMPT FEDERAL AND FEDERALLY-ASSISTED CONSTRUCTION  
CONTRACTS TO BE AWARDED IN THE STATE OF ALASKA

Authority and Guidelines.

The Alaska Department of Transportation & Public Facilities (Department), as a State Transportation Agency (STA), has authority under 23 U.S.C. 140 and its implementing regulations to conduct a compliance program addressing Equal Employment Opportunity (EEO) and Affirmative Action (AA) in employment on non-exempt federal and federally-assisted construction contracts that are awarded in the State of Alaska. The STA's authority to administer a contract compliance with Nondiscrimination, EEO and AA programs are authorized under 23 U.S.C., 49 U.S.C., Title VI of the Civil Rights Act of 1964, MAP-21 and implementing regulations. The provisions of 23 CFR 200 and 49 CFR 21 provide authority to determine, and where necessary obtain compliance with the nondiscrimination provisions of Title VI. Under the provisions of Title VI 23 USC and related regulations, including 49 CFR 21 and 26, and 23 CFR Part 200, 230 and 633, it is the STA's responsibility to ensure compliance with and to enforce on all projects of Federal-aid contractors and subcontractors, whether a particular contract or work-site involves Federal-aid funds or not.

These citations confirm the requirement for contractors to provide, and States to obtain information that ensure non-discrimination in employment on all of Federal and federally-assisted projects, and through these provisions, provide for EEO for minorities and women in all terms and conditions of their employment at all of their facilities and on all projects.

1. **Definitions.** As used in these specifications:
  - a. "Covered area" means the geographical area described in the solicitation from which this contract resulted;
  - b. "Employer identification number" means the Federal Social Security number used on the Employer's Quarterly Federal Tax Return, U.S. Treasury Department Form 941.
  - c. "Minority" includes:
    - (1) Black (all persons having origins in any of the Black African racial groups not of Hispanic origin);
    - (2) Hispanic (all persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race);
    - (3) 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
    - (4) American Indian or Alaska 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 the provisions of these specifications 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 DOL in the covered area, either individually or through an association, its affirmative action obligations on all work in the Plan area shall be in accordance with that Plan for those trades that 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 good faith effort to achieve an equal representation of minority and female employment under the Plan in each trade in which it has employees. The overall good faith performance by other Contractors or subcontractors in an approved Plan does not excuse any covered Contractor's or subcontractor's failure to make good faith efforts to achieve the Plan.
4. The Contractor shall implement the specific affirmative action standards provided in paragraphs 5(a) through 5(p) of these specifications.
5. The Contractor shall take specific affirmative actions to ensure equal employment opportunity. The evaluation of the Contractor's compliance with these specifications shall 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:
  - a. Ensure and 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. The Contractor shall specifically ensure that all foremen, superintendents, and other on-site supervisory personnel are aware of and carry out the Contractor's obligations to maintain such a working environment, with specific attention to minority or female individuals working at such sites or in such facilities.
  - b. Establish and maintain a current list of minority and female recruitment sources, provide written notification to minority and female 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 female off-the-street applicant and minority or female referral from a union, a recruitment source or community organization and of what action was taken with respect to each such individual. If such 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 therefor, along with whatever additional actions the Contractor may have taken.
  - d. Provide immediate written notification to the Civil Rights Office's Contract Compliance Officer 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 area 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 Department of Labor. The Contractor shall provide notice of these programs to the sources compiled under 5(b) above.
  - f. Disseminate the Contractor's EEO policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the Contractor in meeting its EEO 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 female employees at least once a year; and by posting the company EEO policy on bulletin boards accessible to all employees at each location where construction work is performed.


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- g. Review, at least annually, the company's EEO 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 on-site supervisory personnel such as Superintendent, general foreman, etc., prior to the initiation 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 dispositions of the subject matter.
  - h. Disseminate the Contractor's EEO policy externally by including it in any advertising in the news media, specifically including minority and female news media, and providing written notification to and discussing the Contractor's EEO 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, female and community organizations, to schools with minority and female students and to minority and female 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 female employees to recruit other minority persons and women and, where reasonable, provide after school, summer and vacation employment to minority and female youth both on the site and in other areas of a Contractor's workforce.
  - k. Validate all tests and other selection requirements where there is an obligation to do so under 41 CFR Part 60-3.
  - l. Conduct, at least annually, an inventory and evaluation of all minority and female personnel for promotional opportunities and encourage these employees to seek or to prepare for, through appropriate training, etc., such opportunities.
  - 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 EEO policy and the Contractor's obligations under these specifications are being carried out.
  - n. Ensure that all facilities and company activities are nonsegregated except that separate or single-use<sup>4</sup> toilet, necessary changing facilities and necessary sleeping facilities shall be provided to assure privacy between the sexes.
  - o. Document and maintain a record of all solicitations of offers for subcontractors from minority and female construction contractors and suppliers, including circulations of solicitations to minority and female contractor associations and other business associations.
  - p. Conduct a review, at least annually, of all supervisors' adherence to and performance under the Contractor's EEO policies and affirmative action obligations.
6. Contractors are encouraged to participate in voluntary associations which assist in fulfilling one or more of their affirmative action obligations 5(a) through 5(p). 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 or more of its obligations under 5(a) through 5(p) 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 female work force participation, makes a good faith effort to meet its

- individual EEO obligations, 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 a defense for the Contractor's noncompliance.
- 7. The Contractor 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 if a particular group is employed in a substantially disparate manner.
  - 8. The Contractor shall not use the equal employment or affirmative action standards to discriminate against any person because of race, color, religion, sex, or national origin.
  - 9. The Contractor shall not enter into any subcontract with any person or firm debarred from government contracts.
  - 10. The Contractor, in fulfilling its obligations under these specifications, shall implement specific affirmative action steps, at least as extensive as those standards prescribed in item 5(a-p) above, so as to achieve maximum results from its efforts to ensure equal employment opportunities.
  - 11. The Contractor shall designate a responsible official to monitor all employment related activity to ensure that the company EEO policy is being carried out, to submit reports relating to the provisions hereof as may be required by 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 (e.g., mechanic apprentice, trainees, 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 the existing records satisfy this requirement, Contractors shall not be required to maintain separate records.
  - 12. Nothing herein provided shall be construed as a limitation upon the application of other laws that establish different standards of compliance or upon the application of requirements for the hiring of local or other area residents (e.g., those under the Public Works Employment Act of 1977 and the Community Development Block Grant Programs).
  - 13. The Bidder's attention is called to the "Equal Opportunity Clause" and the "Standard Federal Equal Employment Opportunity Construction Contract Specifications" set forth herein.
  - 14. EEO/AA obligations are applicable to all of the Contractor's construction work (whether or not it is federal or federally-assisted) performed in the covered area. The hours on minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the Contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor to Contractor or from project to project for the sole purpose of equalizing minority and female employment percentages shall be a violation of the contract. Compliance with equal minority and female employment utilization will be measured against the total work hours performed.
  - 15. The Contractor shall provide written notification to the Department, for all subcontracts documents as follows: the name, address and telephone number of subcontractors and their employer identification number; the estimated dollar amount of the subcontracts; estimated starting and completion dates of the subcontracts; and the geographical area in which the contract is to be performed.  
  
This written notification shall be required for all construction subcontracts in excess of \$10,000 at any tier for construction work under the contract resulting from this project's solicitation.
  - 16. As used in the Bid Notice, and in the contract resulting from this project's solicitation, the "covered area" is the State of Alaska.

**AKDOT&PF-18 EEO-1 Certification, Form 25A-304**

	STATE OF ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES
<b>EEO-1 CERTIFICATION</b> Federal-Aid Contracts	
_____	
<b>Project Name and Number</b>	
This certification is required by the Equal Employment Opportunity Regulations of the Secretary of Labor [41 CFR 60-1.7 (b) (1)] and must be completed by the successful Bidder and each proposed Subcontractor participating in this contract.	
<b>PLEASE CHECK APPROPRIATE BOXES</b>	
The <input type="checkbox"/> Bidder <input type="checkbox"/> Proposed Subcontractor hereby CERTIFIES:	
<b>PART A.</b> Bidders and proposed Subcontractors with 50 or more year-round employees and a federal contract amounting to \$50,000 or more are required to submit one federal Standard Report Form 100 during each year that the two conditions exist (50 employees and a \$50,000 federal contract).	
The company named below (Part C) is exempt from the requirements of submitting the Standard Report Form 100 this year.	
<input type="radio"/> NO (go to PART B) <input type="radio"/> YES (go to PART C)	
Instructions and blank Standard Report Form 100's may be obtained from a local U.S. Department of Labor office, or by writing to:	
The Joint Reporting Committee P.O. Box 779 Norfolk, Virginia 23501	
Telephone number: (757) 461-1213	
<b>PART B.</b> The company named below has submitted the Standard Report Form 100 this year.	
<input type="radio"/> NO <input type="radio"/> YES	
Note: Bidders and proposed Subcontractors who have not filed the required Standard Report Form 100 and are not exempt from filing requirements will not be awarded this contract or subcontract until Form 100 has been filed for the current year ending June 30.	
<b>PART C.</b>	
_____	_____
Signature of Authorized Company Representative	Title
_____	_____
Company Name	Company Address (Street or PO Box, City, State, Zip)
_____	_____
Date	Phone Number

## AKDOT&PF-19 Training Program Request, Form 25A-310



**STATE OF ALASKA**  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**DOT&PF TRAINING PROGRAM REQUEST**  
Federal-Aid Contracts

**Project Name:** \_\_\_\_\_

**Project Number:** \_\_\_\_\_

**Project Hours -** \_\_\_\_\_

Section 645, entitled "Training Program" in the Special Provisions, specifies the number of minorities and/or woman to be trained and the number of hours of training provided under the term of this contract. Contractors desiring to use DOT&PF OJT approved training program(s) (instead of those approved by USDOL/OA) must:

- Complete Sections 1(A) through 5; use additional sheets, if necessary and reference appropriately
- Must provide training in skilled construction trades
- Contractors complete OJT form
- Contractors are encouraged to contact the DOT&PF Civil Rights Office for assistance with developing approvable training programs prior to bid opening

**Section 1: Contractor Information**

**Contractor Name:** \_\_\_\_\_ **Contact Person:** \_\_\_\_\_

**Telephone #** \_\_\_\_\_ **E-mail** \_\_\_\_\_

**Section 1A: Trainee Minimum Qualifications**

**Minimum Starting Age:** \_\_\_\_\_

High School Diploma Yes  No

**Other Level of Education and/or Experience:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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**Section 2: Job Classification Information**

Job Classification (Title): \_\_\_\_\_

REQUIRED SKILLS FOR POSITION	STARTING CAPABILITY DATE MEASURED
1. JOB SKILL NEEDED	NOT SKILLED: <input type="checkbox"/> SOME SKILL: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
2. JOB SKILL NEEDED	NOT SKILLED: <input type="checkbox"/> SOME SKILL: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
3. JOB SKILL NEEDED	NOT SKILLED: <input type="checkbox"/> SOME SKILL: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
4. JOB SKILL NEEDED	NOT SKILLED: <input type="checkbox"/> SOME SKILL: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
5. JOB SKILL NEEDED	NOT SKILLED: <input type="checkbox"/> SOME SKILL: <input type="checkbox"/> SKILLED: <input type="checkbox"/>

\*ATTACH JOB DESCRIPTION

**Section 3: Employer Training Information**

Complete the training outline and estimated time for each skill.

TRAINING TO BE PROVIDED	ESTIMATED TRAINING HOURS	END CAPABILITY DATE MEASURED
1. SKILL TO BE ACQUIRED	ESTIMATED TRAINING HOURS	BEGINNING: <input type="checkbox"/> INTERMEDIATE: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
2. SKILL TO BE ACQUIRED	ESTIMATED TRAINING HOURS	BEGINNING: <input type="checkbox"/> INTERMEDIATE: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
3. SKILL TO BE ACQUIRED	ESTIMATED TRAINING HOURS	BEGINNING: <input type="checkbox"/> INTERMEDIATE: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
4. SKILL TO BE ACQUIRED	ESTIMATED TRAINING HOURS	BEGINNING: <input type="checkbox"/> INTERMEDIATE: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
5. SKILL TO BE ACQUIRED	ESTIMATED TRAINING HOURS	BEGINNING: <input type="checkbox"/> INTERMEDIATE: <input type="checkbox"/> SKILLED: <input type="checkbox"/>

LIST EQUIPMENT AND TOOLS NEEDED FOR TRAINING RELATED TO THE POSITION:

\_\_\_\_\_

Form 25A-310 (5/13) Page 2 of 5

**Section 4: Third-Party Related Instruction**

Complete the training outline and estimated time for each skill.

SKILLS TO BE LEARNED:	ESTIMATED TRAINING HOURS	END CAPABILITY DATE MEASURED
1. SKILL TO BE LEARNED	ESTIMATED TRAINING HOURS	BEGINNING: <input type="checkbox"/> INTERMEDIATE: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
2. SKILL TO BE LEARNED	ESTIMATED TRAINING HOURS	BEGINNING: <input type="checkbox"/> INTERMEDIATE: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
3. SKILL TO BE LEARNED	ESTIMATED TRAINING HOURS	BEGINNING: <input type="checkbox"/> INTERMEDIATE: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
4. SKILL TO BE LEARNED	ESTIMATED TRAINING HOURS	BEGINNING: <input type="checkbox"/> INTERMEDIATE: <input type="checkbox"/> SKILLED: <input type="checkbox"/>
5. SKILL TO BE LEARNED	ESTIMATED TRAINING HOURS	BEGINNING: <input type="checkbox"/> INTERMEDIATE: <input type="checkbox"/> SKILLED: <input type="checkbox"/>

LIST EQUIPMENT AND TOOLS NEEDED FOR TRAINING RELATED TO THE POSITION:

**Section 5: Required Certifications for the Position**

The Contractor shall actively assist the Trainee with getting certification(s) in order to gain marketable skills.

OSHA 10  CPR/First Aid/AED  Fork Lift

Fitness Card  CDL A  Fast Track CDL

Department of Labor National Career Readiness Certificate (where feasible)

Other Certificates Provided by Employer: \_\_\_\_\_  
 \* Contractor will provide copies of the certifications received no later than the completion of project to the Civil Rights Office.

**Section 6: OJT Wages**

Trainee Wages shall be paid prevailing Davis-Bacon fringes, plus the following during their training (See Section 645 wage requirements).

1<sup>st</sup> Half: \$ \_\_\_\_\_ = \_\_\_\_\_ % journey scale

3<sup>rd</sup> Quarter: \$ \_\_\_\_\_ = \_\_\_\_\_ % journey scale

4<sup>th</sup> Quarter: \$ \_\_\_\_\_ = \_\_\_\_\_ % journey scale

This OJT Training Program has been developed and approval is hereby requested for use on the above referenced project.

\_\_\_\_\_  
 Signature of Authorized Company Representative Title

\_\_\_\_\_  
 Phone E-mail Date



Approved  Disapproved

Remarks: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 ADOT&PF Civil Rights Office OJT Coordinator

\_\_\_\_\_  
 Date

**Section 7: Contractor Responsibility**

1. It is the responsibility of the Contractor to provide each Trainee with a copy of the OJT Training Program, Job Description and Training Timeline prior to the start of the project.
2. Each Trainee will be reviewed upon completion of each section of training. The review shall be in writing and indicate the number of hours of training received.
3. The Trainee shall participate in the review, sign and receive a copy of the review.
4. The close out evaluation should indicate capability level reached.
5. The area in which the Trainee did not advance in level from its initial starting capability, the Contractor will attach documentation as part of the close out evaluation which explains the reason(s) a higher capability was not reached.
6. If the Contractor fails to comply with their OJT approved training program the ADOT&PF will enforce the measures outlined in the Spec 645-5.01


**Section 8: DOT & PF Civil Rights Office (CRO) Monitoring**

1. The CRO will conduct an on-site visit to assess the OJT Training program at the project hour's half-way mark when feasible.
2. The CRO will coordinate the on-site with the Project Engineer

**Section 9: Trainee Assistance**

1. On a case-by-case basis the CRO may be able to assist with partial funding for the Trainee to receive certification(s).
2. The CRO upon completion of the Trainee OJT Training Program will issue a "DOT&PF Civil Rights Office" Certificate of On-the-Job Completion for FHWA funded Projects" that will reflect completed hours.
3. The Trainee will go on a list that will be posted on the CRO website for Primes to solicit for future employment opportunities
4. The Trainee will be eligible for the OJT 50% Reimbursement Program not to exceed \$500 dollars which administer through the CRO. The dollar amount may change due to FHWA grant monies received per fiscal year.

## AKDOT&PF-20 Training Utilization Report, Form 25A-311



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### TRAINING UTILIZATION REPORT

Federal-Aid Highway Contracts

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**Project Name and Number**

Training Program Special Provision, Section 645 specifies the number of minorities and/or women to be trained and the number of hours of training to be provided under this Contract, the Contractor may train non-minority males in compliance with Section 645, but only if documentation of good faith efforts has been submitted to, and approved by, the Engineer, prior to the employment of such non-minority male(s). Good faith efforts, at a minimum, must be as extensive as the recruitment efforts listed in the EEO Bid Conditions (Form 25A-301).

The number of individuals to be trained under this Contract is \_\_\_\_\_.

The number of hours of training to be provided is \_\_\_\_\_.

This Training Special Provision implements 23CFR 230, Subpart A, Appendix B. Contractors can use either training programs approved by the U.S. Department of Labor, Office of Apprenticeship (USDOL/OA), or training programs approved by DOT&PF. The Contractor must complete this form indicating the type of training to be provided, the number of individuals to be trained in each trade or job classification, the number of hours of training to be provided,<sup>3</sup> and the anticipated training start date.

1. To be completed by Contractors using USDOL/OA Training Programs: Indicate below the number of apprentices, total number of hours, type of training, and anticipated start dates for each craft selected:

**APPROVED CRAFTS, CERTIFICATION NUMBERS AND JURISDICTIONAL AREAS**

STATEWIDE JURISDICTION				SOUTH OF THE 63° PARALLEL			
Craft/Cert Number	No. of Appr.	No. of Hrs.	Start Date	Craft/Cert Number	No. of Appr.	No. of Hrs.	Start Date
Asbestos Worker #90032				Carpenter #74032			
Bricklayer #85040				Painter #72820			
Cement Mason & Plasterer #78533				Pipefitter #72586			
Electrician #81299				Plumber #83534 <sup>1</sup>			
Ironworker #76779				Sheetmetal Worker #74072			
Op. Engineer #X90349				Other # _____			
Roofer #X90317				<b>NORTH OF THE 63° PARALLEL</b>			
Piledriver <sup>2</sup> (3/30/75)				Carpenter #47990			
Camp Culinary <sup>1</sup> (4/25/74)				Painter #77750			
Laborer #XAK92T017				Fitter/Plumber #75055			
Other # _____				Sheetmetal #76781			
Other # _____				Other # _____			
				Other # _____			

1. Juneau Jurisdictional area is #83534 and Anchorage area is #72586.  
 2. U.S. DOL does not assign Certification numbers to these training programs. Only approval dates.  
 3. The total number of hours of training shall equal the hours of training shown in the Bid Schedule, Pay Item 645(1).

Form 25A-311 (1/16) Page 1 of 2

2. To be completed by Contractors using DOT&PF training programs: Indicate below the type of training, number of trainees, number of hours of training (500 hours per trainee), and anticipated start dates.

Job Classification	No. Trainees	Total No. Hrs.	Anticipated Start Date(s)

3. To be completed by all Contractors as part of the Contractor's EEO affirmative action program, the Contractor certifies that all training will be provided by the Contractor as stated in items 1 OR 2 above, in accordance with Training Program Special Provision, Section 645.

Company Name \_\_\_\_\_ Company Address \_\_\_\_\_

Point of Contact \_\_\_\_\_ E-mail / Phone Number \_\_\_\_\_

Signature of Authorized Company Representative \_\_\_\_\_ Date \_\_\_\_\_


**To be completed by the DOT&PF OJT Coordinator prior to contract award:**  
 Training Program(s) approve for this Project and Date Approved:

Training Program	Trainee (s) / Apprentice (s)	Hours	Date Approved

Signature of DOT&PF OJT Coordinator \_\_\_\_\_ Date \_\_\_\_\_

Form 25A-311 (1/16) Page 2 of 2

## AKDOT&PF-21 Contract Report, Form 25A-321A



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### CONTACT REPORT

Federal-Aid Contracts

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**Project Name and Number**

Specific Work or Materials (by pay item): \_\_\_\_\_

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

Name	Address	Phone Number

**A. INITIAL CONTACT:** (See important contact information on instruction sheet)

1. Date \_\_\_\_\_ Method:  Phone  Mail  FAX  Other

2. Person Contacted \_\_\_\_\_

Name	Title

3. DBE's Response: Date: \_\_\_\_\_ Method:  Phone  Mail  FAX  Other

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)

Not interested: Indicate Reason(s) \_\_\_\_\_

Needs more information: Date Prime provided requested information \_\_\_\_\_

Will provide quote by: Date \_\_\_\_\_

Received unacceptable sub-bid (complete Section C)

**B. FOLLOW-UP CONTACT**

1. Date \_\_\_\_\_ Method:  Phone  Mail  FAX  Other

2. Person Contacted \_\_\_\_\_

Name	Title

3. DBE's Response: Date: \_\_\_\_\_ Method:  Phone  Mail  FAX  Other

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)

Received unacceptable sub-bid (complete Section C)

Other result: \_\_\_\_\_

**C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:**

1. Were the following required efforts made?

a.  Yes  No Identified specific items of work, products, materials, etc. when asking for quote(s).

b.  Yes  No Offered assistance in acquiring necessary bonding & insurance.

c.  Yes  No Provided all appropriate information concerning the specific work items or materials.

2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)?  Yes  No

3. Was the DBE unable to perform in some capacity?  Yes  No If "Yes", explain: \_\_\_\_\_

**D. CERTIFICATION:** I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.

Signature of Company Representative	Title	Date
Name of DOT&PF Reviewer	Title	Date

Form 25A-321A (1/02) Page 1 of 2

### INSTRUCTIONS

**Project Name and Number:** Enter project name and number as they appear on bid documents.

**Work or Materials:** Identify the specific work item or material that you requested this firm to furnish.

**Firm Contacted:** Enter name of firm as it appears in the current DOT&PF DBE directory.

**Address:** Enter address of firm contacted. **Phone Number:** Enter phone number of firm contacted.

**A. INITIAL CONTACT** (Must be made at least seven calendar days prior to bid opening)

- Date and Method of Initial Contact:** Indicate the method and date that actual contact was made or the date correspondence was postmarked. Leaving a "please call me" message does not constitute a contact. Attach a copy of dated letter or fax.
- Name and Title of Person Contacted:** Enter name and title of company representative with whom you corresponded or discussed submitting a sub-bid.
- DBE's Response:** Indicate one or more of the responses listed. If a firm bid was received and accepted, skip to section D.

**B. FOLLOW-UP CONTACT**

If no response or an inconclusive response was received from the initial contact, a follow-up contact is required to determine for a certainty that the firm does not intend to submit a sub-bid or to conclude discussions with a sub-bid submittal.

- Date and Method of Follow-up Contact:** Indicate the method and date that actual contact was made or the date correspondence was postmarked. Leaving a "please call me" message does not constitute a contact. Attach a copy of dated letter or fax.
- Name and Title of Person Contacted:** Enter name and title of company representative with whom you corresponded or discussed submitting a sub-bid.
- DBE's Response:** Indicate one or more of the responses listed. If a firm bid was received and accepted, skip to section D.

**C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID**


- A NO response to items 1a., b., or c. will result in rejection of this contact. Be specific on results of discussions.
- A YES answer to item 2. is grounds for rejecting a DBE sub-bid.
- A YES answer to item 3. is grounds for rejecting a DBE sub-bid, only if the inability to perform is in an area of work specifically identified as a sub-item under the applicable bid item.

**D. CERTIFICATION**

This certification of accuracy and good faith by the Contractor will be verified by contact with the listed firm. Falsification of information on the DBE Contact Report is grounds for debarment action under AS 36.30.640(4).

Form 25A-321A (1/02) Page 2 of 2

## AKDOT&PF-22 DBE Subcontractable Items, Form 25A-324

 <p style="font-size: small;">STATE OF ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES</p> <p style="font-weight: bold;">DISADVANTAGED BUSINESS ENTERPRISE (DBE) SUBCONTRACTABLE ITEMS</p> <p style="font-size: x-small;">Federal-Aid Contracts</p>		
Project Name and Number		
The original DBE Utilization Goal for this project is: _____ % of the basic bid amount.		
The following is the list of subcontractable items by category/subcategory that shall be considered under Section 120, DBE Program, Good Faith Effort Criteria. If the bidder cannot achieve the DBE Utilization Goal, then the bidder should also consider other items not listed that could be subcontracted to DBEs.		
BID ITEM NO.	DESCRIPTION OF WORK OR PORTION OF WORK	CATEGORY
(Continued on Reverse Side)		

Form 25A-324 (12/14) Page 1 of 2

BID ITEM NO.	DESCRIPTION OF WORK OR PORTION OF WORK	CATEGORY

Form 25A-324 (12/14) Page 2 of 2

**AKDOT&PF-23 DBE Utilization Report, Federal Aid, Form 25A-325C**



STATE OF ALASKA  
 DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
**DISADVANTAGED BUSINESS ENTERPRISE**  
**UTILIZATION REPORT**  
 Federal-Aid Contracts

Project Name and Number

The undersigned hereby certifies on behalf of the bidder that:

- A. It  is  is not a DOT & PF certified DBE or DBE joint venture.
- B. It  has  has not met the DBE Goal for the project. If it has not met the goal, the required documentation of sufficient good faith efforts  is  is not attached hereto.
- C. Listed below are the certified DBEs to be used in meeting the DBE goal. Included are the firm name, bid items or portions of work to be performed by the item number, type of DBE credit claimed, and the credible dollar amount to be counted toward the goal.

FIRM NAME	BID ITEM, WORK, OR PRODUCT	SUBCONTRACT AMOUNT*	TYPE OF CREDIT	CREDITABLE DOLLAR AMOUNT**

\*or expenditure amount or fee/commission amount \*\* (Subcontract amount \* Goal Participation %)  
 If more room is necessary, submit additional, signed copies of this form.

Total Creditable DBE Utilization amount      \$ \_\_\_\_\_  
 Basic Bid Amount      \$ \_\_\_\_\_  
 DBE Utilization % of Basic Bid Amount      \_\_\_\_\_ %  
 DBE Project Goal      \_\_\_\_\_ %

Signature of Authorized Company Representative \_\_\_\_\_ Title \_\_\_\_\_  
 Company Name \_\_\_\_\_ Company Address (Street or PO Box, City, State, Zip) \_\_\_\_\_  
 Date \_\_\_\_\_ Phone Number \_\_\_\_\_

**AKDOT&PF-24 Prime Contractor's Written DBE Commitment, Form 25A-326**



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
Civil Rights Office – DBE Program

**PRIME CONTRACTOR'S WRITTEN DBE COMMITMENT**  
Federal-Aid Contracts

Project Name and Number

All firms bidding on Alaska Department of Transportation and Public Facilities (DOT&PF) projects must have a written commitment from each DBE firm to be subcontracted. Please complete this form for each DBE firm and submit to the DOT&PF Regional Compliance Officer.

If you have any questions, please call (907) 269-0851.

Name of DBE Firm: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_ City: \_\_\_\_\_  
State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
Telephone Number: \_\_\_\_\_ Fax number: \_\_\_\_\_

Description of the work that DBE firm will perform: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Please provide additional information on a separate sheet of paper.

The dollar amount of participation by the DBE firm: \$ \_\_\_\_\_


Signatures of Authorized representatives of the Prime Contractor and the DBE firm below represent the written commitment by the Prime Contractor to subcontract with the DBE firm as described above and a written commitment by the DBE firm to subcontract for the work described above:

_____	_____	_____	_____
Prime Contractor Signature	Date	DBE Firm Signature	Date

Prime Contractor Firm: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Telephone Number: \_\_\_\_\_ Fax number: \_\_\_\_\_

# AKDOT&PF-25 Summary of Good Faith Effort, Form 25A-32A

Form 25A-32A (001)



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

SUMMARY OF GOOD FAITH EFFORT DOCUMENTATION

Federal-Aid Contracts

Project Name and Number

Contractor:

List all items considered for DBE utilization. GFE requires at a minimum that the Contractor consider all items identified on Form 25A-32A.

a. MATERIAL OR SPECIFIC ITEM OF WORK (SPECIFY PAY ITEM)	b. ACCEPTABLE DBE QUOTE RECEIVED <sup>1</sup>	c. # OF DBEs CONTACTED IN DBE DIRECTORY	d. # OF DBEs THAT RESPONDED <sup>2</sup>	e. # OF DBE QUOTES RECEIVED
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				

1. Check if acceptable DBE quote was received (if so, skip c, d, and e)

2. Attach completed Contact Reports, Form 25A-321A

LIST ADDITIONAL ITEMS ON REVERSE SIDE

Page 1 of 2

Form 25A-32A (001)

a. MATERIAL OR SPECIFIC ITEM OF WORK (SPECIFY PAY ITEM)	b. ACCEPTABLE DBE QUOTE RECEIVED <sup>1</sup>	c. # OF DBEs CONTACTED IN DBE DIRECTORY	d. # OF DBEs THAT RESPONDED <sup>2</sup>	e. # OF DBE QUOTES RECEIVED
9.				
10.				
11.				
12.				
13.				
14.				
15.				

1. Check if acceptable DBE quote was received (if so, skip c, d, and e)

2. Attach completed Contact Reports, Form 25A-321A

Comments:

Page 2 of 2

## AKDOT&PF-26 Required Documents, State Aid, Form 25D-4



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### REQUIRED DOCUMENTS State Funded Contracts

**REQUIRED FOR BID.** Bids will not be considered if the following documents are not completely filled out and submitted at the time of bidding:

1. Bid Form (Form 25D-9)
2. Bid Schedule
3. Bid Security
4. Any bid revisions must be submitted by the bidder prior to bid opening on the following form:  
Bid Modification (Form 25D-16)

**REQUIRED AFTER NOTICE OF APPARENT LOW BIDDER.** The apparent low bidder is required to complete and submit the following document within 5 working days after receipt of written notification:

1. Subcontractor List (Form 25D-5)

**REQUIRED FOR AWARD.** In order to be awarded the contract, the successful bidder must completely fill out and submit the following documents within the time specified in the intent to award letter:

1. Construction Contract (Form 25D-10A)
2. Payment Bond (Form 25D-12)
3. Performance Bond (Form 25D-13)
4. Contractor's Questionnaire (Form 25D-8)
5. Certificate of Insurance (from carrier)
6. Bidders must register annually with the Civil Rights Office in order to be eligible for award. If not registered, or if unsure, submit the following: Bidder Registration (Form 25D-6)



## AKDOT&PF-27 Required Documents, Federal Aid, Form 25D-4A



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### REQUIRED DOCUMENTS Federal-Aid Contracts

**REQUIRED FOR BID.** Bids will not be considered if the following documents are not completely filled out and submitted at the time of bidding:

1. Bid Form (Form 25D-9)
2. Bid Schedule
3. Bid Security
4. Any bid revisions must be submitted by the bidder prior to bid opening on the following form:  
Bid Modification (Form 25D-16)

**REQUIRED AFTER NOTICE OF APPARENT LOW BIDDER.** The apparent low bidder is required to complete and submit the following documents within 5 working days after receipt of written notification:


1. Subcontractor List (Form 25D-5)
2. DBE Utilization Report (Form 25A-325C)
3. When Form 25A-325C indicates less than the stated goal for the project, the successful bidder shall submit documentation of efforts in meeting the goal by submitting the following:  
Summary of Good Faith Effort Documentation (Form 25A-332A), and  
Contact Reports (Form 25A-321A), as required the initial contact must be made within 7 calendar days prior to bid opening.
4. For each DBE to be used on the project, submit a DBE Commitment (Form 25A-326)

**REQUIRED FOR AWARD.** In order to be awarded the contract, the successful bidder must completely fill out and submit the following documents within the time specified in the intent to award letter:

1. Construction Contract (Form 25D-10A)
2. Payment Bond (Form 25D-12)
3. Performance Bond (Form 25D-13)
4. Contractor's Questionnaire (25D-8)
5. Certificate of Insurance (from carrier)
6. EEO-1 Certification (Form 25A-304)
7. On projects that include bid item 645, Training Program, the successful bidder shall submit the following:  
Training Utilization Report (Form 25A-311), and/or  
DOT&PF Training Program Request (Form 25A-310), if required
8. On Federal-aid highway projects: Material Origin Certificate (Form 25D-60)
9. On Federal-aid airport projects: Buy American Certificate (Form 25D-61)
10. Bidders must register annually with the Civil Rights Office in order to be eligible for award. If not registered, or if unsure, submit the following: Bidder Registration (Form 25D-6)



## AKDOT&PF-29 Bidder Registration, Form 25D-6



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
Civil Rights Office – DBE Program

### BIDDER REGISTRATION

All firms are required to submit a Bidder's Registration form before an Alaska Department of Transportation and Public Facilities (DOT&PF) project can be awarded. The Bidder Registration form must be submitted to the Civil Rights Officer (CRO) on an annual basis by January 1 and is valid thru December 31. Complete this form for each contractor and subcontractor. Firms will be listed on the bidder registration online directory <http://www.dot.state.ak.us/cvirts/bidreg.shtml>.

Name of Firm: \_\_\_\_\_  
 Street Address: \_\_\_\_\_  
 Mailing Address: \_\_\_\_\_  
 Contact Name: \_\_\_\_\_  
 Telephone Number: \_\_\_\_\_  
 Fax number: \_\_\_\_\_  
 E-mail Address: \_\_\_\_\_  
 Date Firm was Established: \_\_\_\_\_

The firm listed above is a (check all that apply):

Prime Contractor?	<input type="checkbox"/>	Identify specialty: _____
Subcontractor?	<input type="checkbox"/>	Identify service: _____
Service Provider?	<input type="checkbox"/>	Identify material: _____
Material Supplier?	<input type="checkbox"/>	Identify product: _____
Manufacturer?	<input type="checkbox"/>	
Certified DBE? *	<input type="checkbox"/>	*DBE - Disadvantaged Business Enterprise
Self-Certified SBE? *	<input type="checkbox"/>	*SBE - Small Business Enterprise (Complete page 2 of this form.)

Firm's gross annual receipts:

< \$500,000  
 \$500,000- \$999,999  
 \$1,000,000- \$4,999,999  
 \$5,000,000- \$9,999,999  
 \$10,000,000- \$16,999,999  
 > \$17,000,000

Type of contracts/proposals: bid by the firm (check all that apply):

Highways  Airports  Transit  AMHS

Signature of Company Representative	Title	Date

Send this completed form to: *OR* You may fax your completed form to:  
 ADOT&PF Civil Rights Office (907) 269-0847  
 PO Box 196900  
 Anchorage, Alaska 99519-6900

If you have any questions, please call (907) 269-0851.

Form 25D-6 (1/16)

### SMALL BUSINESS ENTERPRISE PROGRAM (SBE) SELF-REGISTRATION

Fostering Small Business Participation (SBE) (49 CFR 26.39):  
 To meet the requirements of 49 CFR 26.39, DOT&PF has implemented a Small Business Enterprise Program. This component is only applicable to federally funded projects.

*[Complete the Section below only if you are a Self-Certified SBE Firm]* All businesses wishing to be eligible as a SBE are required to submit a SBE Self-Registration form. The SBE Self-Registration form must be submitted on an annual basis by January 1 and is valid thru December 31.

In order to verify your firm's compliance with business size standards under 49 CFR 26.67(2)(i) and 26.65(b), *at the time of award* you will be required to submit the following documents:

- SBE Affidavit of Certification Eligibility
- Personal Financial Statement
- Past three years of your corporations and/or individual tax returns
- If not a certified DBE, please provide documentation that you are self-certified as a small business (please contact Procurement Technical Assistance Center (PTAC) at 907-274-7232 if you require assistance on becoming a self-certified small business)

At time of award send required documentation to:

DOT&PF Civil Rights Office  
 Attn: Certification  
 PO Box 196900  
 Anchorage, Alaska 99519-690  
 Phone: (907) 269-0851  
 Fax: (907) 269-0847

#### A. SBE Directory Information


1. Can you verify at time of award that your firm (including affiliates) does not exceed the small business size standards as described by the Small Business Administration (SBA) for the last three years of gross annual receipts per 49 CFR 26.65(a)? To find more information about the SBA size standards, visit the SBA website <https://www.sba.gov/content/small-business-size-standards>.  Yes  No\*
- \*If you marked "No" you do not qualify for the SBE Program*
2. Can you verify at time of award that your firm (including affiliates) does not exceed the personal net worth standards of \$1.32 million per 49 CFR 26.67(2)(i)?  Yes  No\*
- \*If you marked "No" you do not qualify for the SBE Program*
3. Can you verify at time of award that each individual owner of your firm does not exceed the personal net worth standards of \$1.32 million per 49 CFR 26.67(2)(i)?  Yes  No\*
- \*If you marked "No" you do not qualify for the SBE Program*

4. Contact Info:

Name of Firm	Contact Name
Telephone Number	Fax Number
Email Address	Company Website

Form 25D-6 (1/16)

## AKDOT&PF-30 Invitation to Bid, Form 25D-7



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### INVITATION TO BID

for Construction Contract

Date \_\_\_\_\_

---

**Project Name and Number**

Location of Project: \_\_\_\_\_

Contracting Officer: \_\_\_\_\_

Issuing Office: \_\_\_\_\_

State Funded  Federal Aid

Description of Work: \_\_\_\_\_

---

The Engineer's Estimate is:  Less than \$100,000       Between \$1,000,000 and \$2,500,000  
 Between \$100,000 and \$250,000       Between \$2,500,000 and \$5,000,000  
 Between \$250,000 and \$500,000       Greater than \$5,000,000  
 Between \$500,000 and \$1,000,000

All work shall be completed in \_\_\_\_\_ Calendar Days, or by \_\_\_\_\_  
 Interim Completion dates, if applicable, will be shown in the Special Provisions.

Bidders are invited to submit sealed bids, in single copy, for furnishing all labor, equipment, and materials and for performing all work for the project described above. Bids will be opened publicly at \_\_\_\_\_ local time, at \_\_\_\_\_ on the \_\_\_\_\_ of \_\_\_\_\_ 20\_\_\_\_.

**SUBMISSION OF BIDS**

ALL BIDS INCLUDING ANY AMENDMENTS OR WITHDRAWALS MUST BE RECEIVED PRIOR TO BID OPENING. BIDS SHALL BE SUBMITTED ON THE FORMS FURNISHED AND MUST BE IN A SEALED ENVELOPE MARKED AS FOLLOWS:

Bid for Project: _____	ATTN: State of Alaska Department of Transportation & Public Facilities
------------------------	--

Bids, amendments or withdrawals transmitted by mail must be received in the above specified post office box no later than 30 minutes prior to the scheduled time of bid opening. Hand-delivered bids, amendments or withdrawals must be received by \_\_\_\_\_ at \_\_\_\_\_ prior to the scheduled time of bid opening. Faxed bid amendments must be addressed to \_\_\_\_\_  
 Fax number: \_\_\_\_\_

*A bid guaranty is required with each bid in the amount of 5% of the amount bid. (Alternate bid items as well as supplemental bid items appearing on the bid schedule shall be included as part of the total amount bid when determining the amount of bid guaranty required for the project.)*

The Department hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this Invitation, Disadvantaged Business Enterprises (DBEs) will be afforded full opportunity to submit bids and will not be discriminated against on the grounds of race, color, national origin, or sex in consideration for an award.

Form 25D-7 (7/03) Page 1 of 2

### NOTICE TO BIDDERS

Bidders are hereby notified that data to assist in preparing bids is available as follows:

\_\_\_\_\_

---

Plans and Specifications may be ordered, for the price of \$ \_\_\_\_\_, from:

\_\_\_\_\_

---

Phone: (\_\_\_\_) \_\_\_\_\_

---

All questions relating to design features, constructability, quantities, or other technical aspects of the project should be directed to the following. Bidders requesting assistance in viewing the project must make arrangements at least 48 hours in advance with:

\_\_\_\_\_

---

Fax: (\_\_\_\_) \_\_\_\_\_ Phone: (\_\_\_\_) \_\_\_\_\_

---

All questions concerning bidding procedures should be directed to:

\_\_\_\_\_

---

Phone: (\_\_\_\_) \_\_\_\_\_

---


Other Information:

\_\_\_\_\_

Form 25D-7 (7/03) Page 2 of 2



## AKDOT&PF-32 Bid Form, Form 25D-9



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**BID FORM**

for

\_\_\_\_\_

Project Name and Number

by

\_\_\_\_\_

Company Name

\_\_\_\_\_

Company Address (Street or PO Box, City, State, Zip)

\_\_\_\_\_

**TO THE CONTRACTING OFFICER,  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES:**

In compliance with your Invitation to Bid dated \_\_\_\_\_, the Undersigned proposes to furnish and deliver all the materials and do all the work and labor required in the construction of the above-referenced Project, located at or near \_\_\_\_\_, Alaska, according to the plans and specifications and for the amount and prices named herein as indicated on the Bid Schedule consisting of \_\_\_\_\_ sheets, which is made a part of this Bid.

The Undersigned declares that he has carefully examined the contract requirements and that he has made a personal examination of the site of the work; that he understands that the quantities, where such are specified in the Bid Schedule or on the plans for this project, are approximate only and subject to increase or decrease, and that he is willing to perform increased or decreased quantities of work at unit prices bid under the conditions set forth in the Contract Documents.

The Undersigned hereby agrees to execute the said contract and bonds within fifteen calendar days, or such further time as may be allowed in writing by the Contracting Officer, after receiving notification of the acceptance of this bid, and it is hereby mutually understood and agreed that in case the Undersigned does not, the accompanying bid guarantee shall be forfeited to the State of Alaska, Department of Transportation and Public Facilities as liquidated damages, and the said Contracting officer may proceed to award the contract to others.

The Undersigned agrees to commence the work within 10 calendar days, and to complete the work within \_\_\_\_\_ calendar days, after the effective date of the Notice to Proceed, or by \_\_\_\_\_, unless extended in writing by the Contracting Officer.

The Undersigned proposes to furnish Payment Bond in the amount of 50% (of the contract) and Performance Bond in the amount of 50% (of the contract), as surety conditioned for the full, complete and faithful performance of this contract.

Form 25D-9 (7/03) Page 1 of 2

The Undersigned acknowledges receipt of the following addenda to the drawings and/or specifications (give number and date of each).

Addenda Number	Date Issued	Addenda Number	Date Issued	Addenda Number	Date Issued

---

**NON-COLLUSION DECLARATION**

The Undersigned declares, under penalty of perjury under the laws of the United States, that neither he nor the firm, association, or corporation of which he is a member, has, either directly or indirectly, entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with this bid.

---

The Undersigned has read the foregoing and hereby agrees to the conditions stated therein by affixing his signature below:

\_\_\_\_\_

Signature of Authorized Company Representative

\_\_\_\_\_

Typed Name and Title

( ) \_\_\_\_\_


Phone Number

( ) \_\_\_\_\_

Fax Number

Form 25D-9 (7/03) Page 2 of 2

## AKDOT&PF-33 Building Proposal, Form 25D-9A



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### PROPOSAL

of

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

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

\_\_\_\_\_

**To the CONTRACTING OFFICER, DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES:**

In compliance with your Invitation to Bid dated \_\_\_\_\_, the Undersigned proposes to furnish and deliver all the materials and do all the work and labor required in the construction of Project:

Located at or near \_\_\_\_\_, Alaska, according to the plans and specifications and for the amount and prices named herein as indicated on the Bid Schedule consisting of \_\_\_ sheet(s), which is made a part of this Bid.

The Undersigned declares that he has carefully examined the contract requirements and that he has made a personal examination of the site of the work; that he understands that the quantities, where such are specified in the Bid Schedule or on the plans for this project, are approximate only and subject to increase or decrease, and that he is willing to perform increased or decreased quantities of work at unit prices bid under the conditions set forth in the Contract Documents.

The Undersigned hereby agrees to execute the said contract and bonds within fifteen calendar days, or such further time as may be allowed in writing by the Contracting Officer, after receiving notification of the acceptance of this proposal, and it is hereby mutually understood and agreed that in case the Undersigned does not, the accompanying bid guarantee shall be forfeited to the State of Alaska, Department of Transportation and Public Facilities as liquidated damages, and the said Contracting officer may proceed to award the contract to others.

The Undersigned agrees to commence the work within 10 calendar days and to complete the work within \_\_\_ calendar days after the effective date of Notice to Proceed, unless extended in writing by the Contracting Officer.

The Undersigned proposes to furnish Payment Bond in the amount of 50% and Performance Bond in the amount of 50% (of the contract), as surety conditioned for the full, complete and faithful performance of this contract.

Form 25D-9A (07/03)
00310
Page 1 of 2

The Undersigned acknowledges receipt of the following addenda to the drawings and/or specifications (give number and date of each).

Addenda Number	Date Issued	Addenda Number	Date Issued	Addenda Number	Date Issued

**NON-COLLUSION AFFIDAVIT**

The Undersigned declares, under penalty of perjury under the laws of the United States, that neither he nor the firm, association, or corporation of which he is a member, has, either directly or indirectly, entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with this bid.

The Undersigned has read the foregoing proposal and hereby agrees to the conditions stated therein by affixing his signature below:

\_\_\_\_\_

Signature

\_\_\_\_\_


Name and Title of Person Signing

Telephone Number \_\_\_\_\_

Fax Number \_\_\_\_\_

Form 25D-9A (07/03)
00310
Page 2 of 2

## AKDOT&PF-34 Construction Contract (Aviation), Form 25D-10A



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### CONSTRUCTION CONTRACT

Project Name and Number

---

This CONTRACT, between the STATE OF ALASKA, DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES, herein called the Department, acting by and through its Contracting Officer, and

Company Name

---

Company Address (Street or PO Box, City, State, Zip)

---

s/an  Individual  Partnership  Joint Venture  Sole Proprietorship  Corporation incorporated under the laws of the State of \_\_\_\_\_ its successors and assigns, herein called the Contractor, is effective the date of the signature of the Contracting Officer on this document.

WITNESSETH: That the Contractor, for and in consideration of the payment or payments herein specified and agreed to by the Department, hereby covenants and agrees to furnish and deliver all the materials and to do and perform all the work and labor required in the construction of the above-referenced project at the prices bid by the Contractor for the respective estimated quantities aggregating approximately the sum of \_\_\_\_\_ Dollars (\$ \_\_\_\_\_), and such other items as are mentioned in the original Bid, which Bid and prices named, together with the Contract Documents are made a part of this Contract and accepted as such.

It is distinctly understood and agreed that no claims for additional work or materials, done or furnished by the Contractor and not specifically herein provided for, will be allowed by the Department, nor shall the Contractor do any work or furnish any material not covered by this Contract, unless such work is ordered in writing by the Department. In no event shall the Department be liable for any materials furnished or used, or for any work or labor done, unless the materials, work, or labor are required by the Contract or on written order furnished by the Department. Any such work or materials which may be done or furnished by the Contractor without written order first being given shall be at the Contractor's own risk, cost, and expense and the Contractor hereby covenants and agrees to make no claim for compensation for work or materials done or furnished without such written order.

The Contractor further covenants and agrees that all materials shall be furnished and delivered and all labor shall be done and performed, in every respect, to the satisfaction of the Department, on or before \_\_\_\_\_ or within \_\_\_\_\_ calendar days. It is expressly understood and agreed that in case of the failure on the part of the Contractor, for any reason, except with the written consent of the Department, to complete the furnishing and delivery of materials and the doing and performance of the work before the aforesaid date, the Department shall have the right to deduct from any money due or which may become due the Contractor, or if no money shall be due, the Department shall have the right to recover \_\_\_\_\_ dollars (\$ \_\_\_\_\_) per day for each calendar day elapsing between the time stipulated for the completion and the actual date of completion in accordance with the terms hereof, such deduction to be made, or sum to be recovered, not as a penalty but as liquidated damages.

Form 25D-10A (8/01)

Page 1 of 2

The bonds given by the Contractor in the sum of \$ \_\_\_\_\_ Payment Bond, and \$ \_\_\_\_\_ Performance Bond, to secure the proper compliance with the terms and provisions of this Contract, are submitted herewith and made a part hereof.

IN WITNESS WHEREOF, the parties hereto have executed this Contract and hereby agree to its terms and conditions.

### CONTRACTOR

Company Name

---

Signature of Authorized Company Representative

---

Typed Name and Title

---

Date

---

(Corporate Seal)

STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION  
AND PUBLIC FACILITIES

Signature of Contracting Officer

---

Typed Name

---

Date


---

Form 25D-10A (8/01)

Page 2 of 2



## AKDOT&PF-35 Construction Contract (Highway), Form 25D-10H



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### CONSTRUCTION CONTRACT

---

Project Name and Number

---

This CONTRACT, between the STATE OF ALASKA, DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES, herein called the Department, acting by and through its Contracting Officer, and

---

Company Name

---

Company Address: (Street or PO Box, City, State, Zip)

---

a/an  Individual  Partnership  Joint Venture  Sole Proprietorship  Corporation incorporated under the laws of the State of \_\_\_\_\_, its successors and assigns, herein called the Contractor, is effective the date of the signature of the Contracting Officer on this document.

WITNESSETH: That the Contractor, for and in consideration of the payment or payments herein specified and agreed to by the Department, hereby covenants and agrees to furnish and deliver all the materials and to do and perform all the work and labor required in the construction of the above-referenced project at the prices bid by the Contractor for the respective estimated quantities aggregating approximately the sum of \_\_\_\_\_ Dollars (\$ \_\_\_\_\_), and such other items as are mentioned in the original Bid, which Bid and prices named, together with the Contract Documents are made a part of this Contract and accepted as such. *The Alaska Standard Specifications for Highway Construction, \_\_\_\_\_ Edition* is incorporated by reference and made a part hereof as if set forth in full. *The Alaska Standard Specifications for Highway Construction* can be downloaded at <http://www.dot.state.ak.us/stwddes/dcsspec/index.html>.

It is distinctly understood and agreed that no claim for additional work or materials, done or furnished by the Contractor and not specifically herein provided for, will be allowed by the Department, nor shall the Contractor do any work or furnish any material not covered by this Contract, unless such work is ordered in writing by the Department. In no event shall the Department be liable for any materials furnished or used, or for any work or labor done, unless the materials, work, or labor are required by the Contract or on written order furnished by the Department. Any such work or materials which may be done or furnished by the Contractor without written order first being given shall be at the Contractor's own risk, cost, and expense and the Contractor hereby covenants and agrees to make no claim for compensation for work or materials done or furnished without such written order.

The Contractor further covenants and agrees that all materials shall be furnished and delivered and all labor shall be done and performed, in every respect, to the satisfaction of the Department, on or before: \_\_\_\_\_ or within \_\_\_\_\_ calendar days. It is expressly understood and agreed that in case of the failure on the part of the Contractor, for any reason, except with the written consent of the Department, to complete the furnishing and delivery of materials and the doing and performance of the work before the aforesaid date, the Department shall have the right to deduct from any money due or which may become due the Contractor, or if no money shall be due, the Department shall have the right to recover \_\_\_\_\_ dollars (\$ \_\_\_\_\_) per day for each calendar day elapsing between the time stipulated for the completion and the actual date of completion in accordance with the terms hereof, such deduction to be made, or sum to be recovered, not as a penalty but as liquidated damages.

Form 25D-10H (1/15)
Page 1 of 2

The bonds given by the Contractor in the sum of \$ \_\_\_\_\_ Payment Bond, and \$ \_\_\_\_\_ Performance Bond, to secure the proper compliance with the terms and provisions of this Contract, are submitted herewith and made a part hereof.

IN WITNESS WHEREOF, the parties hereto have executed this Contract and hereby agree to its terms and conditions.

---

### CONTRACTOR

---

Company Name

---

Signature of Authorized Company Representative

---

Typed Name and Title

---

Date

---

(Corporate Seal)

---

### STATE OF ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

---

Signature of Contracting Officer

---

Typed Name


---

Date

---

Form 25D-10H (1/15)
Page 2 of 2

## AKDOT&PF-36 Payment Bond, Form 25D-12



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### PAYMENT BOND

Bond No. \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

For  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
**Project Name and Number**

KNOW ALL WHO SHALL SEE THESE PRESENTS:

That \_\_\_\_\_  
 of \_\_\_\_\_ as Principal,  
 and \_\_\_\_\_  
 of \_\_\_\_\_ as Surety,  
 firmly bound and held unto the State of Alaska in the penal sum of \_\_\_\_\_ Dollars  
 (\$ \_\_\_\_\_) good and lawful money of the United States of America for the payment whereof,  
 well and truly to be paid to the State of Alaska, we bind ourselves, our heirs, successors, executors, administrators, and assigns,  
 jointly and severally, firmly by these presents.

WHEREAS, the said Principal has entered into a written contract with said State of Alaska, on the \_\_\_\_\_ of \_\_\_\_\_  
 A.D., 20\_\_\_\_, for construction of the above-referenced project, said work to be done according to the terms of said contract.

Now, THEREFORE, the conditions of the foregoing obligation are such that if the said Principal shall comply with all requirements  
 of law and pay, as they become due, all just claims for labor performed and materials and supplies furnished upon or for the work  
 under said contract, whether said labor be performed and said materials and supplies be furnished under the original contract, any  
 subcontract, or any and all duly authorized modifications thereto, then these presents shall become null and void; otherwise they  
 shall remain in full force and effect.

IN WITNESS WHEREOF, we have hereunto set our hands and seals at \_\_\_\_\_  
 this \_\_\_\_\_ day of \_\_\_\_\_ A.D., 20\_\_\_\_.

**Principal:** \_\_\_\_\_  
**Address:** \_\_\_\_\_  
**By:** \_\_\_\_\_  
**Contact Name:** \_\_\_\_\_  
**Phone:** \_\_\_\_\_

**Surety:** \_\_\_\_\_  
**Address:** \_\_\_\_\_  
**By:** \_\_\_\_\_  
**Contact Name:** \_\_\_\_\_  
**Phone:** \_\_\_\_\_

The offered bond has been checked for adequacy under the applicable statutes and regulations:

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

Alaska Department of Transportation & Public Facilities Authorized Representative
Date

See Instructions on Reverse

Form 25D-12 (8/01)

Page 1 of 2


### INSTRUCTIONS

1. This form, for the protection of persons supplying labor and material, shall be used whenever a payment bond is required. There shall be no deviation from this form without approval from the Contracting Officer.
2. The full legal name, business address, phone number, and point of contact of the Principal and Surety shall be typed on the face of the form. Where more than a single surety is involved, a separate form shall be executed for each surety.
3. The penal amount of the bond, or in the case of more than one surety the amount of obligation, shall be typed in words and in figures.
4. Where individual sureties are involved, a completed Affidavit of Individual Surety shall accompany the bond. Such forms are available upon request from the Contracting Officer.
5. The bond shall be signed by authorized persons. Where such persons are signing in a representative capacity (e.g., an attorney-in-fact), but is not a member of the firm, partnership, or joint venture, or an officer of the corporation involved, evidence of authority must be furnished.

Form 25D-12 (8/01)

Page 2 of 2

## AKDOT&PF-37 Performance Bond, Form 25D-13



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### PERFORMANCE BOND

Bond No. \_\_\_\_\_

For \_\_\_\_\_

Project Name and Number \_\_\_\_\_

KNOW ALL WHO SHALL SEE THESE PRESENTS:

That \_\_\_\_\_  
of \_\_\_\_\_ as Principal,  
and \_\_\_\_\_  
of \_\_\_\_\_ as Surety,  
firmly bound and held unto the State of Alaska in the penal sum of \_\_\_\_\_ Dollars  
(\$ \_\_\_\_\_) good and lawful money of the United States of America for the payment whereof,  
well and truly to be paid to the State of Alaska, we bind ourselves, our heirs, successors, executors, administrators, and assigns,  
jointly and severally, firmly by these presents.

WHEREAS, the said Principal has entered into a written contract with said State of Alaska, on the \_\_\_\_\_ of \_\_\_\_\_  
A.D., 20\_\_\_\_, for construction of the above-named project, said work to be done according to the terms of said contract.

Now, THEREFORE, the conditions of the foregoing obligation are such that if the said Principal shall well and truly perform and  
complete all obligations: and work under said contract and if the Principal shall reimburse upon demand of the Department of  
Transportation and Public Facilities: any sums paid him which exceed the final payment determined to be due upon completion of the  
project, then these presents shall become null and void; otherwise they shall remain in full force and effect.

IN WITNESS WHEREOF, we have hereunto set our hands and seals at \_\_\_\_\_  
this \_\_\_\_\_ day of \_\_\_\_\_ A.D., 20\_\_\_\_.

**Principal:** \_\_\_\_\_  
**Address:** \_\_\_\_\_  
**By:** \_\_\_\_\_  
**Contact Name:** \_\_\_\_\_  
**Phone:** \_\_\_\_\_

**Surety:** \_\_\_\_\_  
**Address:** \_\_\_\_\_  
**By:** \_\_\_\_\_  
**Contact Name:** \_\_\_\_\_  
**Phone:** \_\_\_\_\_

The offered bond has been checked for adequacy under the applicable statutes and regulations:

\_\_\_\_\_  
Alaska Department of Transportation & Public Facilities: Authorized Representative      Date

See Instructions on Reverse


Form 25D-13 (8/01) Page 1 of 2

### INSTRUCTIONS

1. This form shall be used whenever a performance bond is required. There shall be no deviation from this form without approval from the Contracting Officer.
2. The full legal name, business address, phone number, and point of contact of the Principal and Surety shall be typed on the face of the form. Where more than a single surety is involved, a separate form shall be executed for each surety.
3. The penal amount of the bond, or in the case of more than one surety the amount of obligation, shall be typed in words and in figures.
4. Where individual sureties are involved, a completed Affidavit of Individual Surety shall accompany the bond. Such forms are available upon request from the Contracting Officer.
5. The bond shall be signed by authorized persons. Where such person is signing in a representative capacity (e.g., an attorney-in-fact), but is not a member of the firm, partnership, or joint venture, or an officer of the corporation involved, evidence of authority must be furnished.


Form 25D-13 (8/01) Page 2 of 2

## AKDOT&PF-38 Bid Bond, Form 25D-14

 <p style="text-align: center;">STATE OF ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES</p>																	
<p><b>BID BOND</b></p> <p>For</p> <p style="border: 1px solid black; height: 20px; width: 100%;"></p>																	
<p>Project Name and Number</p> <p>DATE BOND EXECUTED:</p>																	
<p>PRINCIPAL (Legal name and business address):</p> <p style="border: 1px solid black; height: 30px; width: 100%;"></p>																	
<p>TYPE OF ORGANIZATION:</p> <p> <input type="checkbox"/> Individual      <input type="checkbox"/> Partnership  <input type="checkbox"/> Joint Venture      <input type="checkbox"/> Corporation         </p>																	
<p>STATE OF INCORPORATION:</p> <p style="border: 1px solid black; height: 20px; width: 100%;"></p>																	
<p>SURETY(IES) (Name and business address):</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">A.</td> <td style="width: 33%;">B.</td> <td style="width: 33%;">C.</td> </tr> <tr> <td style="border: 1px solid black; height: 30px;"></td> <td style="border: 1px solid black; height: 30px;"></td> <td style="border: 1px solid black; height: 30px;"></td> </tr> </table>		A.	B.	C.													
A.	B.	C.															
<p>PENAL SUM OF BOND:</p> <p style="border: 1px solid black; height: 20px; width: 100%;"></p>																	
<p>DATE OF BID:</p> <p style="border: 1px solid black; height: 20px; width: 100%;"></p>																	
<p>We, the PRINCIPAL and SURETY above named, are held and firmly bound to the State (State of Alaska), in the penal sum of the amount stated above, for the payment of which sum will be made, we bind ourselves and our legal representatives and successors, jointly and severally, by this instrument.</p> <p>THE CONDITION OF THE FOREGOING OBLIGATION is that the Principal has submitted the accompanying bid in writing, date as shown above, on the above-referenced Project in accordance with contract documents filed in the office of the Contracting Officer, and under the Invitation for Bids therefor, and is required to furnish a bond in the amount stated above.</p> <p>If the Principal's bid is accepted and he is offered the proposed contract for award, and if the Principal fails to enter into the contract, then the obligation to the State created by this bond shall be in full force and effect.</p> <p>If the Principal enters into the contract, then the foregoing obligation is null and void.</p>																	
<p>PRINCIPAL</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Signature(s)</td> <td style="width: 25%;">1.</td> <td style="width: 25%;">2.</td> <td style="width: 25%;">3.</td> </tr> <tr> <td style="border: 1px solid black; height: 30px;"></td> <td style="border: 1px solid black; height: 30px;"></td> <td style="border: 1px solid black; height: 30px;"></td> <td style="border: 1px solid black; height: 30px;"></td> </tr> <tr> <td>Name(s) &amp; Title(s) (Typed)</td> <td>1.</td> <td>2.</td> <td>3.</td> </tr> <tr> <td style="border: 1px solid black; height: 30px;"></td> <td style="border: 1px solid black; height: 30px;"></td> <td style="border: 1px solid black; height: 30px;"></td> <td style="border: 1px solid black; height: 30px;"></td> </tr> </table> <p style="text-align: center; margin-top: 20px;">See Instructions on Reverse</p>		Signature(s)	1.	2.	3.					Name(s) & Title(s) (Typed)	1.	2.	3.				
Signature(s)	1.	2.	3.														
Name(s) & Title(s) (Typed)	1.	2.	3.														
<p>Corporate Seal</p> <p style="border: 1px solid black; width: 100px; height: 50px; margin: auto;"></p>																	
<p style="text-align: center;">Form 25D-14 (8/01) <span style="float: right;">Page 1 of 2</span></p>																	

CORPORATE SURETY(IES)			
Surety A	Name of Corporation	State of Incorporation	Liability Limit \$
Signature(s)	1.	2.	Corporate Seal
Name(s) & Titles (Typed)	1.	2.	
Surety B	Name of Corporation	State of Incorporation	Liability Limit \$
Signature(s)	1.	2.	Corporate Seal
Name(s) & Titles (Typed)	1.	2.	
Surety C	Name of Corporation	State of Incorporation	Liability Limit \$
Signature(s)	1.	2.	Corporate Seal
Name(s) & Titles (Typed)	1.	2.	
<p><b>INSTRUCTIONS</b></p> <ol style="list-style-type: none"> <li>1. This form shall be used whenever a bid bond is submitted.</li> <li>2. Insert the full legal name and business address of the Principal in the space designated. If the Principal is a partnership or joint venture, the names of all principal parties must be included (e.g., "Smith Construction, Inc. and Jones Contracting, Inc. DBA Smith/Jones Builders, a joint venture"). If the Principal is a corporation, the name of the state in which incorporated shall be inserted in the space provided.</li> <li>3. Insert the full legal name and business address of the Surety in the space designated. The Surety on the bond may be any corporation or partnership authorized to do business in Alaska as an insurer under AS 21.09. Individual sureties will not be accepted.</li> <li>4. The penal amount of the bond may be shown either as an amount (in words and figures) or as a percent of the contract bid price (a not-to-exceed amount may be included).</li> <li>5. The scheduled bid opening date shall be entered in the space marked Date of Bid.</li> <li>6. The bond shall be executed by authorized representatives of the Principal and Surety. Corporations executing the bond shall also affix their corporate seal.</li> <li>7. Any person signing in a representative capacity (e.g., an attorney-in-fact) must furnish evidence of authority if that representative is not a member of the firm, partnership, or joint venture, or an officer of the corporation involved.</li> <li>8. The states of incorporation and the limits of liability of each surety shall be indicated in the spaces provided.</li> <li>9. The date that bond is executed must not be later than the bid opening date.</li> </ol>			
<p style="text-align: center;">Form 25D-14 (8/01) <span style="float: right;">Page 2 of 2</span></p>			

## AKDOT&PF-39 Affidavit of Individual Surety, Form 25D-15

 <p style="text-align: center;">STATE OF ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES</p> <p style="text-align: center;"><b>AFFIDAVIT OF INDIVIDUAL SURETY</b></p>			
STATE OF _____ SS.			
COUNTY OF _____			
<p>I, the undersigned, being duly sworn, depose and say that I am one of the sureties to the attached bond; that I am a citizen of the United States of America and of full age and legally competent; that I am not a partner in any business of the principal on the bond or bonds on which I appear as surety; that the information herein below furnished is true and complete to the best of my knowledge. This affidavit is made to induce the Department to accept me as surety on the attached bond.</p>			
NAME:	HOME ADDRESS:		
TYPE AND DURATION OF OCCUPATION:	NAME OF EMPLOYER:		
BUSINESS ADDRESS:	TELEPHONE NO.:		
	HOME ( ) _____		
	BUSINESS ( ) _____		
<p>The following is a true representation of my present assets, liabilities, and net worth and does not include any financial interest I have in the assets of the principal on the attached bond:</p>			
a. Fair market value of solely owned real estate*	a. \$ _____		
b. All mortgages or other encumbrances on the real estate included in line a	b. \$ _____		
c. Real estate equity (subtract line b from line a)	c. \$ _____		
d. Fair market value of all solely owned property other than real estate*	d. \$ _____		
e. Total of the amounts on lines c and d	e. \$ _____		
f. All other liabilities owing or incurred not included in line b	f. \$ _____		
g. Net worth (subtract line f from line e)	g. \$ _____		
*Do not include property exempt from execution and sale for any reason. Assets must be located in Alaska.			
LOCATION & DESCRIPTION OF REAL ESTATE WHICH I AM SOLE OWNER. (The value of which is included in line a, above)			
ASSESSED VALUE OF REAL ESTATE FOR TAXATION PURPOSES: \$ _____			
DESCRIPTION OF PROPERTY INCLUDED IN LINE d, ABOVE (List the value of each category of property separately)			
ALL OTHER BONDS ON WHICH I AM SURETY (State character & amount of each bond. If none, so state)			
SIGNATURE	BOND AND CONTRACT TO WHICH THIS AFFIDAVIT RELATES		
SUBSCRIBED AND SWORN TO BEFORE ME AS FOLLOWS:			
DATE OATH ADMINISTERED	CITY	STATE	<i>Official Seal</i>
MONTH DAY YEAR			
NAME AND TITLE OF OFFICIAL ADMINISTERING OATH	SIGNATURE	MY COMMISSION EXPIRES	
See Instructions on Reverse			


Form 25D-15 (8/01) Page 1 of 2

CERTIFICATE OF SUFFICIENCY	
<p>I hereby certify that the surety named herein is personally known to me; that, in my judgement, said surety is responsible and qualified to act as such; and that, to the best of my knowledge, the facts stated by said surety in the foregoing affidavit are true.</p>	
NAME	SIGNATURE
OFFICIAL TITLE	STATE IN WHICH LICENSED AS A PUBLIC ACCOUNTANT
ADDRESS	
<p><b>INSTRUCTIONS</b></p> <ol style="list-style-type: none"> <li>This form shall be used whenever sureties on bonds to be executed in connection with Alaska Department of Transportation and Public Facilities' contracts are individual sureties.</li> <li>A corporation, partnership, or other business association or firm, as such, will not be accepted as an individual surety, nor will a partner be accepted as a surety for co-partners or for a firm of which he is a member.</li> <li>An individual surety shall be a citizen of the United States.</li> <li>The net worth and the total value of the assets located in the State of Alaska of each individual surety must be not less than the penal amount of the bond. The information required on the face hereof must be supplied under oath before a notary public or some other official having authority to administer oaths generally. If the officer has an official seal, it must be affixed, otherwise the proper certificate as to his official character shall be furnished.</li> <li>The Certificate of Sufficiency shall be signed by a Certified Public Accountant. Further certificates showing additional assets may be required to assure protection of the Alaska Department of Transportation and Public Facilities' interest. Such certificates must be based on the personal investigation of the certifying officer at the time of the making thereof, and not upon prior certifications.</li> </ol>	

Form 25D-15 (8/01) Page 2 of 2



# AKDOT&PF-41 Required Contract Provisions for Federal-Aid (FAA) Construction Contracts, Form 25D-55A



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

## REQUIRED CONTRACT PROVISIONS for FEDERAL-AID (FAA) CONSTRUCTION CONTRACTS

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**I. GENERAL**

Procurement made under the Airport Improvement Program, AIP, must adhere to the provisions outlined in Title 49 CFR Part 18.36. This regulation provides for policies and procedures to be applied to typical procurement actions under the AIP, such as construction development, equipment purchases, and selection for professional services (engineering consultants etc.)

The Federal Aviation Administration, FAA, is not a party to the contracts, the Alaska Department of Transportation and Public Facilities, DOT&PF, executes in support of the AIP. The DOT&PF is the contractual authority for establishing and administering the contract agreements and is responsible for all contractual matters, including evaluation and award of contract, resolution of claims and disputes, and settlement of litigation issues.

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 DOT&PF and FAA.

and shall set forth what efforts it has made to obtain the information.

**1.5 Sanctions for Noncompliance.** In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, the sponsor shall impose such contract sanctions as it or the FAA may determine to be appropriate, including, but not limited to:

- a. Withholding of payments to the contractor under the contract until the contractor complies, and/or
- b. Cancellation, termination, or suspension of the contract, in whole or in part.

**1.6 Incorporation of Provisions.** The contractor shall include the provisions of paragraphs 1 through 5 in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations or directives issued pursuant thereto. The contractor shall take such action with respect to any subcontract or procurement as the DOT&PF or the FAA may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, however, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request the DOT&PF to enter into such litigation to protect the interests of the DOT&PF and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

**1.7 Airport and Airway Improvement Act of 1982.** The contractor assures that it will comply with pertinent statutes, Executive orders and such rules as are promulgated to assure that no person shall, on the grounds of race, creed, color, national origin, sex, age, or handicap be excluded from participating in any activity conducted with or benefiting from Federal assistance. This provision obligates the tenant/concessionaire/lessee or its transferee for the period during which Federal assistance is extended to the airport a program, except where Federal assistance is to provide, or is in the form of personal property or real property or interest therein or structures or improvements thereon. In these cases the provision obligates the party or any transferee for the longer of the following periods: (a) the period during which the property is used by the DOT&PF or any transferee for a purpose for which Federal assistance is extended, or for another purpose involving the provision of similar services or benefits or (b) the period during which the DOT&PF or any transferee retains ownership or possession of the property. In the case of contractors, this provision binds the contractors from the bid solicitation period through the completion of the contract. This provision is in addition to that required of Title VI of the Civil Rights Act of 1964.

**III. BUY AMERICAN PREFERENCES**  
(Required in all contracts and subcontracts)

In accepting AIP funding, the DOT&PF is certifying that they will not acquire (or permit any contractor or subcontractor) to use any steel or manufactured products produced outside the United States on any portion of the project for which funds are provided, unless otherwise approved by the FAA. Therefore, for the AIP funded portion of a project, contractor must either:

1. Certify, in writing, all products are wholly produced in the US of US materials, or
2. Request a waiver to use non-US produced products, or
3. Certify that all equipment that is being used on the project is on the Nationwide Buy American conformance list.

The AIP funded portion of a project includes the grant recipient's local share.

Under 49 U.S.C. § 50101(b), the FAA has the authority to waive these Buy American Preferences if certain market or product conditions exist. These are:

1. Applying the Buy American Preferences would be inconsistent with the public interest;
2. The steel or goods produced in the U.S. are not produced in a sufficient and reasonably available amount or are not of a satisfactory quality;
3. When the cost of components and subcomponents produced in the U.S. is more than 60 percent of the cost of all components of the facility or equipment procured and final assembly occurs in the United States; or
4. Including domestic material will increase the cost of the overall project by more than 25 percent.

**IV. DAVIS-BACON LABOR PROVISIONS**  
(Incorporate into all construction contracts and subcontracts that exceed \$2,000 and are financed under the AIP program.)

**1. Minimum Wages**

(i) 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 the Secretary of Labor under the Copeland Act (29 CFR Part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalent 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)(iv) 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 Part 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 (1)(ii) 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 easily be seen by the workers.

(ii)(A) 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:

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

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

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(B) 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, Employment Standards

Administration, U.S. Department of Labor, Washington, D.C. 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.

(C) 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.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to subparagraphs (1)(ii) (B) or (C) of this paragraph, 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.

(iii) 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.

(iv) 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.

The FAA or the DOT&PF 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 work, all or part of the wages required by the contract, the FAA may, after

written notice to the contractor, DOT&PF, applicant, or owner, 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.

(i) 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 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 costs 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 program.

(ii)(A) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the FAA, if the agency is a party to the contract, but if the agency is not such a party, the contractor will submit the payrolls to the applicant, DOT&PF, or owner, as the case may be, for transmission to the FAA. 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 at <http://www.dol.gov/esa/whd/forms/wh347mtr.htm> or its successor 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 FAA, if the agency is a party to the contract, but if the agency is not such a party, the contractor will submit them to the applicant, DOT&PF, or owner, as the case may be, for transmission to the FAA, the contractor, 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 DOT&PF (or the applicant, sponsor, or owner).

(B) 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:

(1) That the payroll for the payroll period contains the information required to be provided under § 5.5(a)(3)(ii) of Regulations, 29 CFR part 5, the appropriate information is being maintained under § 5.5(a)(3)(i) of Regulations, 29 CFR part 5, and that such information is correct and complete;

(2) That each laborer and 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 Regulations 29 CFR Part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rate and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

(C) 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)(ii)(B) of this section.

(D) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under Section 1001 of Title 18 and Section 231 of Title 31 of the United States Code.

(ii) The contractor or subcontractor shall make the records required under paragraph (3)(i) of this section available for inspection, copying or transcription by authorized representatives of the Sponsor, the FAA 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 Federal agency may, after written notice to the contractor, DOT&PF, applicant or owner, 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.

(i) **Apprentices.** 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, Bureau of Apprenticeship and Training, or with a State Apprenticeship Agency recognized by the Bureau, 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 Bureau of Apprenticeship and Training 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 Bureau of Apprenticeship and Training, or a State Apprenticeship Agency recognized by the Bureau, 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.

(ii) **Trainees.** 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.

(iii) **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.

#### 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.

#### 6. Subcontracts.

The contractor or subcontractor shall insert in any subcontracts the clauses contained in 29 CFR Part 5.5(a)(1) through (10) and such other clauses as the FAA may by appropriate instructions require, and also a clause requiring the subcontractors to include these clauses 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 Part 5.5.

#### 7. Contract Termination; Debarment.

A breach of the contract clauses in paragraph 1 through 10 of this section 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.

#### 9. Disputes Concerning Labor Standards.

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 DOT&PF, the U.S. Department of Labor, or the employees or their representatives.

#### 10. Certification of Eligibility.

(i) 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).

(ii) 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).

(iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

#### V. CONTRACT WORKHOURS AND SAFETY STANDARDS ACT REQUIREMENTS, 29 CFR PART 5

(Incorporate into all construction contracts and subcontracts that exceed \$100,000 and are financed under the AIP program.)

#### 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, including watchmen and guards, 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.

#### 2. Violation; Liability for Unpaid Wages; Liquidated Damages.

In the event of any violation of the clause set forth in paragraph (1) above, 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 above, in the sum of \$10 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 above.

#### 3. Withholding for Unpaid Wages and Liquidated Damages.

The FAA or the DOT&PF 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 monies 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 above.

#### 4. Subcontractors.

The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraphs 1 through 4 and also a clause requiring the subcontractor 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.

**VI. SUBLETTING OR ASSIGNING THE CONTRACT**

(Incorporate into all procurement contracts that are funded by AIP funds)

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 DOT&PF. 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" 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:

- (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 remains 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.

2. 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. 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 DOT&PF has assured that each subcontract is evidenced in writing and that it contains all pertinent provisions and requirements of the prime contract.

5. The 30% self-performance requirement of paragraph (1) is not applicable to design-build contracts; however, DOT&PF may establish their own self-performance requirements.

**VII. ACCESS TO RECORDS AND REPORTS**

(Incorporate into all procurement contracts that are funded by AIP funds)

The Contractor shall maintain an acceptable cost accounting system. The Contractor agrees to provide the DOT&PF, the FAA and the Comptroller General of the United States; or any of their duly authorized representatives access to any books, documents, papers, and records of the contractor which are directly pertinent to the specific contract for the purpose of making audit, examination, excerpts and transcriptions. The Contractor agrees to maintain all books, records and reports required under this contract for a period of not less than three years after final payment is made and all pending matters are closed.

**VIII. CERTIFICATION OF NONSEGREGATED FACILITIES**

(Incorporate in all construction contracts and subcontracts that exceed \$10,000. The notices should be placed within the solicitation for proposals. The actual certification should be incorporated in the contract agreement.)

The federally-assisted construction contractor certifies that she or he does not maintain or provide, for his employees, any segregated facilities at any of his establishments and that she or he does not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The federally-assisted construction contractor certifies that she or he will not maintain or provide, for his employees, segregated facilities at any of his establishments and that she or he will not permit his

employees to perform their services at any location under his control where segregated facilities are maintained. The federally-assisted construction contractor agrees that a breach of this certification is a violation of the Equal Opportunity Clause in this contract.

As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, restrooms, and washrooms, restaurants and other eating areas, timeclocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directives or are, in fact, segregated on the basis of race, color, religion, or national origin because of habit, local custom, or any other reason. The federally-assisted construction contractor agrees that (except where she or he has obtained identical certifications from proposed subcontractors for specific time periods) she or he will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity Clause and that she or he will retain such certifications in his files.

**IX. CLEAN AIR AND WATER POLLUTION CONTROL**

(Incorporate in all contracts and subcontracts that exceed \$100,000.)

Contractors and subcontractors agree:

a. That any facility to be used in the performance of the contract or subcontract or to benefit from the contract is not listed on the Environmental Protection Agency (EPA) List of Violating Facilities;

b. To comply with all the requirements of Section 114 of the Clean Air Act, as amended, 42 U.S.C. 1857 et seq. and Section 308 of the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq. relating to inspection, monitoring, entry, reports, and information, as well as all other requirements specified in Section 114 and Section 308 of the Acts, respectively, and all other regulations and guidelines issued thereunder;

c. That, as a condition for the award of this contract, the contractor or subcontractor will notify the awarding official of the receipt of any communication from the EPA indicating that a facility to be used for the performance of or benefit from the contract is under consideration to be listed on the EPA List of Violating Facilities;

d. To include or cause to be included in any construction contract or subcontract which exceeds \$ 100,000 the aforementioned criteria and requirements.

**X. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION**

(Incorporate into all contracts that exceed \$25,000, which funded under the AIP. Incorporate in all contracts for auditing services regardless of the contract amount.)

The bidder/offeror certifies, by submission of this proposal or acceptance of this contract, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. It further agrees by submitting this proposal that it will include this clause without modification in all lower tier transactions, solicitations, proposals, contracts, and subcontracts. Where the bidder/offeror/contractor or any lower tier participant is unable to certify to this statement, it shall attach an explanation to this solicitation/proposal.

**XI. LOBBYING AND INFLUENCING FEDERAL EMPLOYEES**

(Required in all contracts and subcontracts.)

(1) No Federal appropriated funds shall be paid, by or on behalf of the contractor, to 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 the making of any Federal grant and the amendment or modification of any Federal grant.

(2) 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 agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any Federal grant, the contractor shall complete and submit Standard Form-LLL, "Disclosure of Lobby Activities," in accordance with its instructions.

**XII. EQUAL EMPLOYMENT OPPORTUNITY**

(Incorporate in all construction contracts and subcontracts that exceed \$10,000.)

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

- 1. 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; layoff 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 setting forth the provisions of this nondiscrimination clause.

2. 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 considerations for employment without regard to race, color, religion, sex, or national origin.

3. The contractor will send to each labor union or representative of workers with which she/he has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representatives 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.

4. The contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, as amended, and of the rules, regulations, and relevant orders of the Secretary of Labor.

5. The contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the administering agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.

6. In the event of the contractor's noncompliance with the nondiscrimination clauses of this contract or with any of the said 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 procedure authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.

7. The contractor will include the portion of the sentence immediately preceding paragraph (1) and the provisions of paragraphs (1) through (7) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provision, including sanctions for noncompliance: *Provided, however*, that in the event a contractor

becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the administering agency the contractor may request the United States to enter into such litigation to protect the interests of the United States.

#### XIII. DISADVANTAGED BUSINESS ENTERPRISES

(The contract assurance clause shall be incorporated verbatim. The prompt payment clause represents sample language that meets the requirements of 49 CFR Part 26.29.)

**Contract Assurance** - The contractor 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.

**Prompt Payment** - The prime contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than eight working days from the receipt of each payment the prime contractor receives from DOT&PF. The prime contractor agrees further to return retainage payments to each subcontractor within eight working days after the subcontractor's work is satisfactorily completed. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of the DOT&PF. This clause applies to both DBE and non-DBE subcontractors.

#### XIV. RIGHTS TO INVENTIONS

(Incorporate into all procurement contracts that funded by AIP funds.)

All rights to inventions and materials generated under this contract are subject to regulations issued by the FAA and the DOT&PF under which this contract is executed.

#### XV. TRADE RESTRICTION CLAUSE

(Incorporate into all contracts funded by AIP.)

The contractor or subcontractor, by submission of an offer and/or execution of a contract, certifies that it:

a. is not owned or controlled by one or more citizens of a foreign country included in the list of countries that discriminate against U.S. firms published by the Office of the United States Trade Representative (USTR);

b. has not knowingly entered into any contract or subcontract for this project with a person that is a citizen or national of a foreign country on said list, or is owned or controlled directly or indirectly by one or more citizens or nationals of a foreign country on said list;

c. has not procured any product nor subcontracted for the supply of any product for use on the project that is produced in a foreign country on said list.

Unless the restrictions of this clause are waived by the Secretary of Transportation in accordance with 49 CFR 30.17, no contract shall be awarded to a contractor or subcontractor who is unable to certify to the above. If the contractor knowingly procures or subcontracts for the supply of any product or service of a foreign country on said list for use on the project, the Federal Aviation Administration may direct through the Sponsor cancellation of the contract at no cost to the Government.

Further, the contractor agrees that, if awarded a contract resulting from this solicitation, it will incorporate this provision for certification without modification in each contract and in all lower tier subcontracts. The contractor may rely on the certification of a prospective subcontractor unless it has knowledge that the certification is erroneous.

The contractor shall provide immediate written notice to the sponsor if the contractor learns that its certification or that of a subcontractor was erroneous when submitted or has become erroneous by reason of changed circumstances. The subcontractor agrees to provide written notice to the contractor if at any time it learns that its certification was erroneous by reason of changed circumstances.

This certification is a material representation of fact upon which reliance was placed when making the award. If it is later determined that the contractor or subcontractor knowingly rendered an erroneous certification, the FAA may direct through the DOT&PF cancellation of the contract or subcontract for default at no cost to the Government.

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 provision. The knowledge and information of a contractor is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

This certification concerns a matter within the jurisdiction of an agency of the United States of America and the making of a false, fictitious, or fraudulent certification may render the maker subject to prosecution under Title 18, United States Code, Section 1001.

#### XVI. VETERAN'S PREFERENCE

(Incorporate into all construction contracts financed under the AIP program.)

In the employment of labor (except in executive, administrative, and supervisory positions), preference shall be given to Veterans of the Vietnam era and disabled veterans as defined in Section 515(e)(1) and (2) of the Airport and Airway Improvement Act of 1982. However, this preference shall apply only where the individuals are available and qualified to perform the work to which the employment relates.

#### XVII. TERMINATION OF CONTRACT

(Incorporate into all procurement contracts that funded by AIP funds that exceed \$10,000.)

a. The DOT&PF may, by written notice, terminate this contract in whole or in part at any time, either for the DOT&PF's convenience or because of failure to fulfill the contract obligations. Upon receipt of such notice services shall be immediately discontinued (unless the notice directs otherwise) and all materials as may have been accumulated in performing this contract, whether completed or in progress, delivered to the DOT&PF.


b. If the termination is for the convenience of the DOT&PF, an equitable adjustment in the contract price shall be made, but no amount shall be allowed for anticipated profit on unperformed services.

c. If the termination is due to failure to fulfill the contractor's obligations, the DOT&PF may take over the work and prosecute the same to completion by contract or otherwise. In such case, the contractor shall be liable to the DOT&PF for any additional cost occasioned to the DOT&PF thereby.

d. If after notice of termination for failure to fulfill contract obligations, it is determined that the contractor had not so failed, the termination shall be deemed to have been effected for the convenience of the DOT&PF. In such event, adjustment in the contract price shall be made as provided in paragraph 2 of this clause.

e. The rights and remedies of the DOT&PF provided in this clause are in addition to any other rights and remedies provided by law or under this contract.

# AKDOT&PF-42 Required Contract Provisions for Federal-Aid (FHWA) Construction Contracts, Form 25D-55H



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
**REQUIRED CONTRACT PROVISIONS**  
for  
**FEDERAL-AID (FHWA) CONSTRUCTION CONTRACTS**

FHWA-1273 -- Revised May 1, 2012  
Supplement 1, Cargo Preference Act -- Effective February 15, 2016

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

I. General  
II. Nondiscrimination  
III. Nonsegregated 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. Compliance with Governmentwide Suspension and Debarment Requirements  
XI. Certification Regarding Use of Contract Funds for Lobbying

**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 (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).

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.

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). 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 bid proposal or request for proposal 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).

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.

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. The term Federal-aid highway does not include roadways functionally classified as local roads or rural minor collectors.

**II. NONDISCRIMINATION**

The provisions of this section related to 23 CFR Part 230 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 60, 29 CFR 1625-1627, Title 23 USC Section 140, the Rehabilitation Act of 1973, as amended (29 USC 794), Title VI of the Civil Rights Act of 1964, as amended, 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 60, and 29 CFR 1625-1627. The contracting agency and the FHWA have the authority and the responsibility to ensure compliance with Title 23 USC Section 140, the Rehabilitation Act of 1973, as amended (29 USC 794), and Title VI of the Civil Rights Act of 1964, as amended, 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 230, 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 (29 CFR 35, 29 CFR 1630, 29 CFR 1625-1627, 41 CFR 60 and 49 CFR 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 35 and 29 CFR 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.

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, 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 who 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.

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, national origin, age or disability. 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 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. 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, 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, national origin, age or disability; making full efforts to obtain qualified and/or qualified 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 there under. 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, 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 and 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. Assurance Required by 49 CFR 26.13(b):

a. The requirements of 49 CFR Part 26 and the State DOT's U.S. DOT-approved DBE program are incorporated by reference.

b. The contractor 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 contracting agency deems appropriate.

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-1321. 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 \$10,000 or more.

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, 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). The requirements apply to all projects located within the right-of-way of a roadway that is functionally classified as Federal-aid highway. This excludes roadways functionally classified as local roads or rural minor collectors, which are exempt. Contracting agencies may elect to apply these requirements to other projects.

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

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, Employment Standards Administration, 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 Wage and Hour Administrator for

determination. The Wage and Hour 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

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

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)(v) 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 at <http://www.dol.gov/esd/whd/forms/wh347inst.htm> or its successor 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 §5.5(a)(3)(i) of Regulations, 29 CFR part 5, the appropriate information is being maintained under §5.5(a)(3)(i) of Regulations, 29 CFR part 5, 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 Regulations, 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 section 1001 of title 18 and section 2311 of title 31 of the United States Code.

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

### 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 journeyman 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. 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.

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.

9. Disputes concerning labor standards. 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.

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

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.

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 of \$10 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.

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.

4. Subcontracts. The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraph (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.

VI. SUBLETTING OR ASSIGNING THE CONTRACT

This provision is applicable to all Federal-aid construction contracts on the National Highway System.

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" 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:

- (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.

2. 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. 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.

5. The 30% self-performance requirement of paragraph (1) is not applicable to design-build contracts; however, contracting agencies may establish their own self-performance requirements.

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 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.

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 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).

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 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 1, 1916, (30 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

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

By submission of this bid/proposal or the execution of this contract, or subcontract, as appropriate, the bidder, proposer, Federal-aid construction contractor, or subcontractor, as appropriate, will be deemed to have stipulated as follows:

1. That any person who is or will be utilized in the performance of this contract is not prohibited from receiving an award due to a violation of Section 508 of the Clean Water Act or Section 306 of the Clean Air Act.
2. That the contractor agrees to include or cause to be included the requirements of paragraph (1) of this Section X in every subcontract, and further agrees to take such action as the contracting agency may direct as a means of enforcing such requirements.

#### 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.

##### 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.

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.

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.

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 and 1200. "First Tier Covered Transactions" refers to any covered transaction between a grantee or subgrantee 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 grantee or subgrantee of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers to 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.

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.

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. 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 Excluded Parties List System website (<https://www.epls.gov/>), which is compiled by the General Services Administration.

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. 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) 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;
- (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; 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.

b. Where the prospective participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

#### 2. 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)

a. By signing and submitting this proposal, the prospective lower tier 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.

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 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 grantee or subgrantee 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 grantee or subgrantee of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers to 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.

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.

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 Excluded Parties List System website (<https://www.epls.gov/>), which is compiled by the General Services Administration.

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.

\*\*\*\*\*

**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 is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall 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 20).

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.

**ATTACHMENT A - EMPLOYMENT AND MATERIALS PREFERENCE FOR APPALACHIAN DEVELOPMENT HIGHWAY SYSTEM OR APPALACHIAN LOCAL ACCESS ROAD CONTRACTS**

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.

**SUPPLEMENT to Form FHWA-1273  
CARGO PREFERENCE ACT REQUIREMENTS**

This provision requires compliance with the Cargo Preference Act (CPA) and its implementing regulations in 46 CFR 381 for all Federal Aid Projects awarded after February 15, 2016.

In accordance with 46 CFR 381.7, the following language must be physically incorporated in each construction contract funded under Title 23 (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).

The applicable requirements of 46 CFR 381.7 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.

**(a) Agreement Clauses. Use of United States-flag vessels:**

(1) Pursuant to Pub. L. 664 (43 U.S.C. 1241(b)) at least 50 percent of any equipment, materials or commodities procured, contracted for or otherwise obtained with funds granted, guaranteed, loaned, or advanced by the U.S. Government under this agreement, and which may be transported by ocean vessel, shall be transported on privately owned United States-flag commercial vessels, if available.

(2) 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 (a)(1) of this section shall be furnished to both the Contracting Officer (through the prime contractor in the case of subcontractor bills-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590.\*


**(b) Contractor and Subcontractor Clauses. Use of United States-flag vessels: The contractor 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.

(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 Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590.

(3) To insert the substance of the provisions of this clause in all subcontracts issued pursuant to this contract.\*

# AKDOT&PF-43 Required Contract Provisions for Federal-Aid (FTA) Construction Contracts, Form 25D-55T



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

## REQUIRED CONTRACT PROVISIONS for FEDERAL-AID (FTA) CONSTRUCTION CONTRACTS

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I. General	1	Contract Provisions and further require their inclusion in any lower tier subcontract or purchase order that may in turn be made. The Required Contract Provisions shall not be incorporated by reference in any case. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with these Required Contract Provisions.
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I. GENERAL		3. A breach of any of the stipulations contained in these Required Contract Provisions shall be sufficient grounds for termination of the contract.
1. These contract provisions shall apply to all work performed on the contract.		
2. Except as otherwise provided for in each section, the contractor shall insert in each subcontract all of the stipulations contained in these Required		4. In this contract, <i>Grantor and FTA</i> means Federal Transit Administration; <i>Alaska DOT&amp;PF and agency</i> means the Alaska Department of Transportation and Public Facilities; <i>AMHS</i> means Alaska Marine Highway System.
<b>II. FLY AMERICA REQUIREMENTS</b>		
The Fly America requirements apply to the transportation of persons or property, by air, between a place in the U.S. and a place outside the U.S., or between places outside the U.S., when the FTA will participate in the costs of such air transportation.		
The Fly America requirements flow down from the Alaska DOT&PF to first tier contractors, who are responsible for ensuring that lower tier contractors and subcontractors are in compliance.		
The Contractor agrees to comply with 49 U.S.C. 40118 (the "Fly America" act) in accordance with the General Services Administration's regulations at 41 CFR Part 301-10, which provide that the Alaska DOT&PF receipt of Federal funds and their contractors are required to use U.S. flag air carriers for U.S. Government-financed international air travel and transportation of their personal effects or property, to the extent such service is available, unless travel by foreign air carrier is a matter of necessity, as defined by the Fly America Act. The Contractor shall submit, if a foreign air carrier was used, an appropriate certification or memorandum adequately explaining why service by U.S. flag air carrier was not available or why it was necessary to use a foreign air carrier and shall, in any event, provide a certificate of compliance with the Fly America requirements. The Contractor agrees to include the requirements of this section in all subcontracts that may involve international air transportation.		

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<p><b>III. BUY AMERICA REQUIREMENTS</b></p> <p>The Buy America requirements apply to the following types of contracts: Construction Contracts and Acquisition of Goods or Rolling Stock (valued at more than \$100,000).</p> <p>The Buy America requirements flow down from the Alaska DOT&amp;PF to first tier contractors, who are responsible for ensuring that lower tier contractors and subcontractors are in compliance. The \$100,000 threshold applies only to the grantee contract, subcontracts under that amount are subject to Buy America.</p> <p>The contractor agrees to comply with 49 U.S.C. 5323(j) and 49 C.F.R. Part 661, which provide that Federal funds may not be obligated unless steel, iron, and manufactured products used in FTA-funded projects are produced in the United States, unless a waiver has been granted by FTA or the product is subject to a general waiver. General waivers are listed in 49 C.F.R. 661.7, and include final assembly in the United States for 15 passenger vans and 15 passenger wagons produced by Chrysler Corporation, and microcomputer equipment and software. Separate requirements for rolling stock are set out at 49 C.F.R. 5323(j)(2)(C) and 49 C.F.R. 661.11. Rolling stock must be assembled in the United States and have a 60 percent domestic content.</p> <p>A bidder or offeror must submit to the Alaska DOT&amp;PF the appropriate Buy America certification with all bids or offers on FTA-funded contracts, except those subject to a general waiver. Bids or offers that are not accompanied by a completed Buy America certification must be rejected as nonresponsive. This requirement does not apply to lower tier subcontractors.</p> <p><b>IV. CHARTER BUS AND SCHOOL BUS REQUIREMENTS</b></p> <p>The Charter Bus and School Bus requirements apply to the following type of contract: Operational Service Contracts.</p> <p>The Charter Bus requirements flow down from the Alaska DOT&amp;PF to first tier service contractors.</p> <p>Charter Service Operations – The contractor agrees to comply with 49 U.S.C. 5323 (d) and 49 CFR Part 604, which provides the Alaska DOT&amp;PF of FTA assistance are prohibited from providing charter service using federally funded equipment or facilities if there is at least one private charter operator willing and able to provide the service, except under one of the exceptions at 49 CFR 604.9. Any charter service provided under one of the exceptions must be "incidental," i.e., it must not interfere with or detract from the provision of mass transportation.</p> <p>The School Bus Requirements flow down from the Alaska DOT&amp;PF to first tier service contractors.</p>	<p>School Bus Operations – Pursuant to 49 U.S.C. 5323(f) and 49 CFR Part 605, the Alaska DOT&amp;PF in receipt of FTA assistance may not engage in school bus operations exclusively for the transportation of students and school personnel in competition with private school bus operators unless qualified under specified exemptions. When operating exclusive school bus service under an allowable exemption, the Alaska DOT&amp;PF may not use federally funded equipment, vehicles, or facilities.</p> <p><b>V. CARGO PREFERENCE REQUIREMENTS</b></p> <p>The Cargo Preference requirements apply to all contracts involving equipment, materials, or commodities which may be transported by ocean vessels.</p> <p>The Cargo Preference requirements apply to all subcontracts when the subcontract may be involved with the transport of equipment, material, or commodities by ocean vessel.</p> <p>Cargo Preference – Use of United States-Flag Vessels – The Contractor agrees:</p> <p>a. to use 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 the underlying contract to the extent such vessels are available at fair and reasonable rates for United States-Flag commercial vessels;</p> <p>b. to furnish within 20 working 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 the preceding paragraph to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590 and the Alaska DOT&amp;PF (through the contractor in the case of a subcontractors bill-of-lading)</p> <p>c. to include these requirements in all subcontracts issued pursuant to this contract when the subcontract may involve the transport of equipment, material, or commodities by ocean vessel.</p> <p><b>VI. SEISMIC SAFETY REQUIREMENTS</b></p> <p>The Seismic Safety requirements apply only to contracts for the construction of new buildings or additions to existing buildings.</p> <p>The Seismic Safety requirements flow down from the Alaska DOT&amp;PF to first tier contractors to assure compliance, with the applicable building standards for Seismic Safety, including work performed by all subcontractors.</p> <p>Seismic Safety – The contractor agrees that any new building or addition to an existing building will be designed and</p>
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constructed in accordance with the standards for Seismic Safety required in Department of Transportation Seismic Safety Regulations 49 CFR Part 41 and will certify to compliance to the extent required by the regulation. The contractor also agrees to ensure that all work performed under this contract including work performed by a subcontractor is in compliance with the standards required by the Seismic Safety Regulations and the certification of compliance issued on the project.

#### VII. ENERGY CONSERVATION REQUIREMENTS

The Energy Conservation requirements are applicable to all contracts.

The Energy Conservation requirements extend to all third party contractors and their contracts at every tier and subrecipients and their subagreements at every tier.

Energy Conservation – The contractor agrees to comply with mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act.

#### VIII. CLEAN WATER REQUIREMENTS

The Clean Water requirements apply to each contract and subcontract which exceeds \$100,000.

The Clean Water requirements flow down to FTA recipients and subrecipients at every tier.

Clean Water:

1. The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq. The Contractor agrees to report each violation to the Alaska DOT&PF and understands and agrees that the Alaska DOT&PF will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.
2. The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.

#### IX. BUS TESTING

The Bus Testing requirements pertain only to the acquisition of Rolling Stock/Turkey.

The Bus Testing requirements should not flow down, except to the turkey contractor as stated in the Master Agreement.

Bus Testing – The Contractor (Manufacturer) agrees to comply with 49 U.S.C. A 5323(c) and FTA's implementing regulation at 49 CFR Part 665 and shall perform the following:

- 1) A manufacturer of a new bus model or a bus produced with a major change in components or configuration shall provide a copy of the final test report to the Alaska DOT&PF at a point in the procurement process specified by the Alaska DOT&PF which will be prior to the Alaska DOT&PF's final acceptance of the first vehicle.
- 2) A manufacturer who releases a report under paragraph 1 above shall provide notice to the operator of the testing facility that the report is available to the public.
- 3) If the manufacturer represents that the vehicle was previously tested, the vehicle being sold should have the identical configuration and major components as the vehicle in the test report, which must be provided to the Alaska DOT&PF prior to Alaska DOT&PF's final acceptance of the first vehicle. If the configuration or components are not identical, the manufacturer shall provide a description of the change and the manufacturer's basis for concluding that it is not a major change requiring additional testing.
- 4) If the manufacturer represents that the vehicle is "grandfathered" (has been used in mass transit service in the United States before October 1, 1988, and is currently being produced without a major change in configuration or components), the manufacturer shall provide the name and address of the recipient of such a vehicle and the details of that vehicle's configuration and major components.

#### X. PRE-AWARD AND POST DELIVERY AUDITS REQUIREMENTS

These requirements apply only to the acquisition of Rolling Stock/Turkey.

These requirements should not flow down, except to the turkey contractor as stated in the Master Agreement.

The Contractor agrees to comply with 49 U.S.C. § 5323(1) and FTA's implementing regulation at 49 CFR Part 663 and to submit the following certifications:

- (1) Buy America Requirements: The Contractor shall complete and submit a declaration certifying either compliance or noncompliance with Buy America. If the Bidder/Officer certifies compliance with Buy America, it shall submit documentation which lists 1) component and subcomponent parts of the rolling stock to be purchased identified by manufacturer of the parts, their country of origin and cost; and 2) the location of the final assembly point for the rolling

stock, including a description of the activities that will take place at the final assembly point and the cost of final assembly.

- (2) Solicitation Specification Requirements: The Contractor shall submit evidence that it will be capable of meeting the bid specifications.
- (3) Federal Motor Vehicle Safety Standards (FMVSS): The Contractor shall submit 1) manufacturer's FMVSS self-certification sticker information that the vehicle complies with relevant FMVSS or 2) manufacturer's certified statement that the contracted buses will not be subject to FMVSS regulations.

#### XI. LOBBYING

The Lobbying requirements apply to Construction/Architectural and Engineering/Acquisition of Rolling Stock/Professional Service Contract/Operational Service Contract/Turkey contracts.

The Lobbying requirements mandate the maximum flow down pursuant to Byrd Anti-Lobbying Amendment, 31 USC 1352(b)(5) and 49 CFR Part 19, Appendix A, Section 7.

Lobbying Certification and Disclosure of Lobbying Activities for third party contractors are mandated by 31 USC 1352(b)(5), as amended by Section 10 of the Lobbying Disclosure Act of 1995, and DOT implementing regulation, "New Restrictions on Lobbying," at 49 CFR § 20.110(d).

Language in Lobbying Certification is mandated by 49 CFR Part 19, Appendix A, Section 7, which provides that contractors file the certification required by 49 CFR Part 20, Appendix A.

Modifications have been made to the Lobbying Certification pursuant to Section 10 of the Lobbying Disclosure Act of 1995.

Use of "Disclosure of Lobbying Activities" Standard Form-LLL set forth in Appendix B of 49 CFR Part 20, as amended by "Government wide Guidance For New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96) is mandated by 49 CFR Part 20, Appendix A.

Byrd Anti-Lobbying Amendment, 31 USC 1352, as amended by the Lobbying Disclosure Act of 1995, P.L. 104-65 [to be codified at 2 USC § 1601, et seq.] Contractors who apply or bid for an award of \$100,000 or more shall file the certification required by 49 CFR part 20, "New Restrictions on Lobbying." Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of

Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on its behalf with non-Federal funds with respect to that Federal contract, grant or award covered by 31 U.S.C. 1352. Such disclosures are forwarded from tier to tier up to the Alaska DOT&PF.

#### XII. ACCESS TO RECORDS AND REPORTS

Reference Chart "Requirements for Access to Records and Reports by Type of Contracts" in the appendix.

FTA does not require the inclusion of these requirements in subcontracts.

Access to Records – The following access to records requirements apply to this Contract:

1. Where the Purchaser is not the Alaska DOT&PF but a local government and is the FTA Recipient or a subgrantee of the FTA Recipient in accordance with 49 CFR 18.36(g), the Contractor agrees to provide the Purchaser, the FTA Administrator, the Comptroller General of the United States or any of their authorized representatives access to any books, documents, paper and records of the Contractor which are directly pertinent to this contract for the purposes of making audits, examinations, excerpts and transcriptions. Contractor also agrees, pursuant to 49 CFR 633.17 to provide the FTA Administrator or his authorized representatives including any PMO Contractor access to Contractor's records and construction sites pertaining to a major capital project, defined at 49 USC 5302(a)1, which is receiving federal financial assistance through the programs described at 49 USC 5307, 5309 or 5311.
2. Where the Purchaser is the Alaska DOT&PF and is the FTA Recipient or a subgrantee of the FTA Recipient in accordance with 49 CFR 633.17, Contractor agrees to provide the Purchaser, the FTA Administrator or his authorized representatives, including any PMO Contractor, access to the Contractor's records and construction sites pertaining to a major capital project, defined at 49 U.S.C. 5302(a)1, which is receiving federal financial assistance through the programs described at 49 U.S.C. 5307, 5309, or 5311. By definition, a major capital project excludes contracts of less than the simplified acquisition threshold currently set at \$100,000.
3. Where the Purchaser enters into a negotiated contract for other than a small purchase or under the simplified acquisition threshold and is an institution of higher education, a hospital or other non-profit organization and is the FTA Recipient or a

subgrantee of the FTA Recipient in accordance with 49 C.F.R. 19.48. Contractor agrees to provide the Purchaser, FTA Administrator, the Comptroller General of the United States or any of their duly authorized representatives with access to any books, documents, papers and record of the Contractor which are directly pertinent to this contract for the purposes of making audits, examinations, excerpts and transcriptions.

4. Where any Purchaser which is the Alaska DOT&PF or a subgrantee of the Alaska DOT&PF in accordance with 49 U.S.C. 5325(a) enters into a contract for a capital project or improvement (defined at 49 U.S.C. 5302(a)1) through other than competitive bidding, the Contractor shall make available records related to the contract to the Purchaser, the Secretary of Transportation and the Comptroller General or any authorized officer or employee of any of them for the purposes of conducting an audit and inspection.
5. The Contractor agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed.
6. The Contractor agrees to maintain all books, records, accounts and reports required under this contract for a period of not less than three years after the date of termination or expiration of this contract, except in the event of litigation or settlement of claims arising from the performance of this contract, in which case Contractor agrees to maintain same until the Purchaser, the FTA Administrator, the Comptroller General, or any of their duly authorized representatives, have disposed of all such litigation, appeals, claims or exceptions related thereto. Reference 49 CFR 18.39(i)(11).
7. FTA does not require the inclusion of these requirements in subcontracts.

### XIII. FEDERAL CHANGES

The Federal Changes requirement applies to all contracts.

The Federal Changes requirement flows down appropriately to each applicable changed requirement.

**Federal Changes** - Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Master Agreement between Purchaser and FTA, as they may be amended or promulgated from time to time during the

term of this contract. Contractor's failure to so comply shall constitute a material breach of this contract.

### XIV. BONDING REQUIREMENTS

For those construction or facility improvement contracts or subcontracts exceeding \$100,000, FTA may accept the bonding policy and requirements of the Alaska DOT&PF, provided that they meet the minimum requirements for construction contracts as follows:

- a. A bid guarantee from each bidder equivalent to five (5) percent of the bid price. The "bid guarantees" shall consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying a bid as assurance that the bidder will, upon acceptance of his bid, execute such contractual documents as may be required within the time specified.
- b. A performance bond on the part to the Contractor for 100 percent of the contract price. A "performance bond" is one executed in connection with a contract to secure fulfillment of all the contractor's obligations under such contract.
- c. A payment bond on the part of the contractor for 100 percent of the contract price. A "payment bond" is one executed in connection with a contract to assure payment, as required by law, of all persons supplying labor and material in the execution of the work provided for in the contract. Payment bond amounts required from Contractors are as follows:
  - (1) 50% of the contract price if the contract price is not more than \$1 million;
  - (2) 40% of the contract price if the contract price is more than \$1 million but not more than \$5 million; or
  - (3) \$2.5 million if the contract price is more than \$5 million.
- d. A cash deposit, certified check or other negotiable instrument may be accepted by a grantee in lieu of performance and payment bonds, provided the grantee has established a procedure to assure that the interest of FTA is adequately protected. An irrevocable letter of credit would also satisfy the requirement for a bond.

Bonding requirements flow down to the first tier contractors.

#### Bid Bond Requirements (Construction)

##### (a) Bid Security

A Bid Bond must be issued by a fully qualified surety company acceptable to Alaska DOT&PF and listed as a company currently authorized under 31 CFR, Part 223 as possessing a Certificate of Authority as described thereunder.

##### (b) Rights Reserved

In submitting this Bid, it is understood and agreed by bidder that the right is reserved by Alaska DOT&PF to reject any and all bids, or part of any bid, and it is agreed that the Bid may not be withdrawn for a period of [ninety (90)] days subsequent to the opening of bids, without the written consent of Alaska DOT&PF.

It is also understood and agreed that if the undersigned bidder should withdraw any part or all of his bid within [ninety (90)] days after the bid opening without the written consent of Alaska DOT&PF, shall refuse or be unable to enter into this Contract, as provided above, or refuse or be unable to furnish adequate and acceptable Performance Bonds and Labor and Material Payments Bonds, as provided above, or refuse or be unable to furnish adequate and acceptable insurance, as provided above, he shall forfeit his bid security to the extent of Alaska DOT&PF's damages occasioned by such withdrawal, or refusal, or inability to enter into an agreement, or provide adequate security therefor.

It is further understood and agreed that to the extent the defaulting bidder's Bid Bond, Certified Check, Cashier's Check, Treasurer's Check, and/or Official Bank Check (excluding any income generated thereby which has been retained by Alaska DOT&PF as provided in [Item x "Bid Security" of the Instructions to Bidders]) shall prove inadequate to fully recompense Alaska DOT&PF for the damages occasioned by default, then the undersigned bidder agrees to indemnify Alaska DOT&PF and pay over to Alaska DOT&PF the difference between the bid security and Alaska DOT&PF's total damages, so as to make Alaska DOT&PF whole.

The undersigned understands that any material alteration of any of the above or any of the material contained on this form, other than that requested, will render the bid unresponsive.

#### Performance and Payment Bonding Requirements (Construction)

The Contractor shall be required to obtain performance and payment bonds as follows:

##### (a) Performance bonds

1. The penal amount of performance bonds shall be 100 percent of the original contract price, unless the Alaska DOT&PF determines that a lesser amount would be adequate for the protection of the Alaska DOT&PF.

2. The Alaska DOT&PF may require additional performance bond protection when a contract price is increased. The increase in protection shall generally equal 100 percent of the increase in contract price. The Alaska DOT&PF may secure additional protection by directing the Contractor to increase the penal amount of the existing bond or to obtain an additional bond.

##### (b) Payment bonds

1. The penal amount of the payment bonds shall equal:

- (i) Fifty percent of the contract price if the contract price is not more than \$1 million.
- (ii) Forty percent of the contract price if the contract price is more than \$1 million but not more than \$5 million; or
- (iii) Two and one half million if the contract price is more than \$5 million.

2. If the original contract price is \$5 million or less, the Alaska DOT&PF may require additional protection as required by subparagraph 1 if the contract price is increased.

#### Performance and Payment Bonding Requirements (Non-Construction)

The Contractor may be required to obtain performance and payment bonds when necessary to protect the Alaska DOT&PF's interest.

(a) The following situations may warrant a performance bond:

1. Alaska DOT&PF property or funds are to be provided to the contractor for use in performing the contract or as partial compensation (as in retention of salvaged material).
2. A contractor sells assets to or merges with another concern, and the Alaska DOT&PF, after recognizing the latter concern as the successor in interest, desires assurance that it is financially capable.
3. Substantial progress payments are made before delivery of end items starts.
4. Contracts are for dismantling, demolition, or removal of improvement.

(b) When it is determined that a performance bond is required, the Contractor shall be required to obtain performance bonds as follows:

1. The penal amount of performance bonds shall be 100 percent of the original contract price, unless the Alaska DOT&PF determines that a lesser amount would be adequate for the protection of the Alaska DOT&PF.

2. The Alaska DOT&PF may require additional performance bond protection when a contract price is increased. The increase in protection shall generally equal 100 percent of the increase in contract price. The Alaska DOT&PF may secure additional protection by directing the Contractor to increase the penal amount of the existing bond or to obtain an additional bond.

(c) A payment bond is required only when a performance bond is required, and if the use of payment bond is in the Alaska DOT&PF's interest.

(d) When it is determined that a payment bond is required, the Contractor shall be required to obtain payment bonds as follows:

1. The penal amount of payment bonds shall equal:

(i) Fifty percent of the contract price if the contract price is not more than \$1 million;

(ii) Forty percent of the contract price if the contract price is more than \$1 million but not more than \$5 million; or

(iii) Two and one half million if the contract price is increased.

#### Advance Payment Bonding Requirements

The Contractor may be required to obtain an advance payment bond if the contract contains an advance provision and a performance bond is not furnished. The Alaska DOT&PF shall determine the amount of the advance payment bond necessary to protect the Alaska DOT&PF.

#### Patent Infringement Bonding Requirements (Patent Indemnity)

The Contractor may be required to obtain a patent indemnity bond if a performance bond is not furnished and the financial responsibility of the Contractor is unknown or doubtful. The Alaska DOT&PF shall determine the amount of the patent indemnity to protect the Alaska DOT&PF.

#### Warranty of the Work and Maintenance Bonds

1. The Contractor warrants to Alaska DOT&PF, the Architect and/or Engineer that all materials and equipment furnished under this Contract will be of highest quality and new unless otherwise specified by Alaska DOT&PF, free from faults and defects and in conformance with the Contract Documents. All work not so conforming to these standards shall be considered defective. If required by the Engineer, the Contractor shall furnish satisfactory evidence as to the kind and quality of materials and equipment.

2. The Work furnished must be of first quality and the workmanship must be the best obtainable in the various trades. The Work must be of safe, substantial and durable construction in all respects. The Contractor hereby guarantees the Work against defective materials or faulty workmanship for a minimum period of one (1) year after Final Payment by Alaska DOT&PF and shall replace or repair any defective materials or equipment or faulty workmanship during the period of the

guarantee at no cost to Alaska DOT&PF. As additional security for these guarantees, the Contractor shall, prior to the release of Final Payment, furnish separate Maintenance (or Guarantee) Bonds in form acceptable to Alaska DOT&PF written by the same corporate surety that provides the Performance Bond and Labor and Material Payment Bond for this Contract. These bonds shall secure the Contractor's obligation to replace or repair defective materials and faulty workmanship for a minimum period of one (1) year after Final Payment and shall be written in an amount equal to ONE HUNDRED PERCENT (100%) of the CONTRACT SUM, as adjusted (if at all).

#### XV. CLEAN AIR

The Clean Air requirements apply to all contracts exceeding \$100,000, including indefinite quantities where the amount is expected to exceed \$100,000 in any year.

The Clean Air requirements flow down to all subcontracts which exceed \$100,000.

Clean Air - (1) The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. §§ 7401 et seq. The Contractor agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

(2) The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.

#### XVI. RECYCLED PRODUCTS

The Recycled Products requirements apply to all contracts for items designated by the EPA, when the purchaser or contractor procures \$10,000 or more of one of these items during the fiscal year, or has procured \$10,000 or more of such items in the previous fiscal year, using Federal funds. New requirements for "recovered materials" will become effective May 1, 1996. These new regulations apply to all procurement actions involving items designated by the EPA, where the procuring agency purchases \$10,000 or more of one of these items in a fiscal year, or when the cost of such items purchased during the previous fiscal year was \$10,000.

These requirements flow down to all contractor and subcontractor tiers.

Recovered Materials - The contractor agrees to comply with all the requirements of Section 6002 of the Resource Conservation and Recovery Act (RCRA), as amended (42 U.S.C. 6962), including but not limited to the regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 CFR Part 247.

#### XVII. DAVIS-BACON AND COPELAND ANTI-KICKBACK ACTS

The Davis-Bacon and Copeland Acts are codified at 40 USC 3141, et seq. and 18 USC 874. The Acts apply to grantee construction contracts and subcontracts that "at least partly are financed by a loan or grant from the Federal Government." 40 USC 3145(a), 29 CFR 5.2(h), 49 CFR 18.36(i)(5). The Acts apply to any construction contract over \$2,000. 40 USC 3142(a), 29 CFR 5.5(a). "Construction," for purposes of the Acts, includes "actual construction, alteration and/or repair, including painting and decorating." 29 CFR 5.5(a). The requirements of both Acts are incorporated into a single clause (see 29 CFR 3.11) enumerated at 29 CFR 5.5(a) and reproduced below.

#### Davis-Bacon and Copeland Anti-Kickback Acts

(1) Minimum wages - (i) All laborers and mechanics employed or working upon the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), 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)(iv) 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 Part 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 classifications and wage rates conformed under paragraph (1)(ii) 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.

(ii)(A) 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:

(1) Except with respect to helpers as defined as 29 CFR 5.2(n)(4), the work to be performed by the classification requested is not performed by a classification in the wage determination; and

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

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination; and

(4) With respect to helpers as defined in 29 CFR 5.2(n)(4), such a classification prevails in the area in which the work is performed.

(B) 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, Employment Standards Administration, 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.

(C) 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.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(ii) (B) or (C) 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.

(iii) 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.

(iv) 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.

(v)(A) The contracting officer shall require that any class of laborers or mechanics 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 therefor only when the following criteria have been met:

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

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

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(B) 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, Employment Standards Administration, 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.

(C) 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 question, 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.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(v) (B) or (C) 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.

(2) **Withholding** - The Alaska DOT&PF 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 (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), all or part of the wages required by the contract, the Alaska DOT&PF may, after written notice to the contractor, sponsor, applicant, or owner, 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** - (i) 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 (or under the United States Housing Act of 1937, or under the Housing Act of 1949, in the construction or development of the project). 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)(v) 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.

(ii)(A) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the Alaska DOT&PF. 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 at <http://www.dol.gov/esa/whd/forms/wh347instr.htm> or its successor 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 Alaska DOT&PF for transmission to the FTA 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 Alaska DOT&PF.

(B) 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:

(1) That the payroll for the payroll period contains the information required to be maintained under section 5.5(a)(3)(i) of Regulations, 29 CFR part 5 and that such information is correct and complete;

(2) 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 Regulations, 29 CFR part 3;

(3) 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.

(C) 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 (a)(3)(ii)(B) of this section.

(D) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 231 of title 51 of the United States Code.

(iii) The contractor or subcontractor shall make the records required under paragraph (a)(3)(i) of this section available for inspection, copying, or transcription by authorized representatives of the Federal Transit Administration 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 Federal agency may, after written notice to the contractor, Alaska DOT&PF, applicant, or owner, 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** - (i) **Apprentices** - 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, Bureau of Apprenticeship and Training, or with a State Apprenticeship Agency recognized by the Bureau, 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 Bureau of Apprenticeship and Training 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 journeyman 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 of the Wage and Hour Division of the U.S. Department of Labor determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Bureau of Apprenticeship and Training, or a State Apprenticeship Agency recognized by the Bureau, 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.

(ii) Trainees - 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.

(iii) 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.

(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.

(6) Subcontracts - The contractor or subcontractor shall insert in any subcontracts the clauses contained in 29 CFR 5.5(a)(1) through (10) and such other clauses as the Federal Transit Administration may by appropriate instructions require, and also a clause requiring the subcontractors to include these clauses 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.

(9) Disputes concerning labor standards - 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 Alaska DOT&PF, the U.S. Department of Labor, or the employees or their representatives.

(10) Certification of eligibility - (i) 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).

(ii) 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).

(iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

#### XVIII CONTRACT WORK HOURS AND SAFETY STANDARDS ACT

The Contract Work Hours and Safety Standards Act is codified at 40 USC 3701, *et seq.* The Act applies to grantee contracts and subcontracts "financed at least in part by loans or grants from ... the Federal Government." 40 USC 3701(b)(1)(B)(iii) and (b)(2), 29 CFR 5.2(h), 49 CFR 18.36(j)(6). Although the original Act required its application in any construction contract over \$2,000 or non-construction contract to which the Act applied over \$2,500 (and language to that effect is still found in 49 CFR 18.36(j)(6)), the Act no longer applies to any "contract in an amount that is not greater than \$100,000." 40 USC 3701(b)(3)(A)(iii).

The Act applies to construction contracts and, in very limited circumstances, non-construction projects that employ "laborers or mechanics on a public work." These non-construction applications do not generally apply to transit procurements because transit procurements (to include rail cars and buses) are deemed "commercial items." 40 USC 3707, 41 USC 403 (12). A grantee that contemplates entering into a contract to procure a developmental or unique item should consult counsel to determine if the Act applies to that procurement and that additional language required by 29 CFR 5.5(c) must be added to the basic clause below.

#### Contract Work Hours and Safety Standards

(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.

(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 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 of \$10 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.

(3) Withholding for unpaid wages and liquidated damages - The Alaska DOT&PF 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.

(4) Subcontracts - The contractor or subcontractor shall insert in any subcontract 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.

#### XIX. RESERVED

#### XX. NO GOVERNMENT OBLIGATION TO THIRD PARTIES

Applicable to all contracts.

Not required by statute or regulation for either primary contractors or subcontractors, this concept should flow down to all levels to clarify, to all parties to the contract, that the Federal Government does not have contractual liability to third parties, absent specific written consent.

#### No Obligation by the Federal Government.

(1) The Purchaser and Contractor acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this contract and shall not be subject to any obligations or liabilities to the Alaska DOT&PF, Contractor, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.

(2) The Contractor agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

#### XXI. PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS AND RELATED ACTS

These requirements are applicable to all contracts.



These requirements flow down to contractors and subcontractors who make, present, or submit covered claims and statements.

#### Program Fraud and False or Fraudulent Statements or Related Acts.

(1) The Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § 3801 et seq. and U.S. DOT regulations, "Program Fraud Civil Remedies," 49 C.F.R. Part 31, apply to its actions pertaining to this Project. Upon execution of the underlying contract, the Contractor certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the underlying contract or the FTA assisted project for which this contract work is being performed. In addition to other penalties that may be applicable, the Contractor further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Contractor to the extent the Federal Government deems appropriate.

(2) The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1) on the Contractor, to the extent the Federal Government deems appropriate.

(3) The Contractor agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

#### XXII. TERMINATION

All contracts (with the exception of contracts with nonprofit organizations and institutions of higher education) in excess of \$10,000 shall contain suitable provisions for termination by the Alaska DOT&PF including the manner by which it will be effected and the basis for settlement. (For contracts with nonprofit organizations and institutions of higher education the threshold is \$100,000.) In addition, such contracts shall describe conditions under which the contract may be terminated for default as well as conditions where the contract may be terminated because of circumstances beyond the control of the contractor.

The termination requirements flow down to all contracts in excess of \$10,000, with the exception of contracts with nonprofit organizations and institutions of higher learning.

a. **Termination for Convenience (General Provision)** The Alaska DOT&PF may terminate this contract, in whole or in part, at any time by written notice to the Contractor when it is in the Government's best interest. The Contractor shall be paid its costs, including contract close-out costs, and profit on work performed up to the time of termination. The Contractor shall promptly submit its termination claim to Alaska DOT&PF to be paid the Contractor. If the Contractor has any property in its possession belonging to the Alaska DOT&PF, the Contractor will account for the same, and dispose of it in the manner the Alaska DOT&PF directs.

b. **Termination for Default [Breach or Cause] (General Provision)** If the Contractor does not deliver supplies in accordance with the contract delivery schedule, or, if the contract is for services, the Contractor fails to perform in the manner called for in the contract, or if the Contractor fails to comply with any other provisions of the contract, the Alaska DOT&PF may terminate this contract for default. Termination shall be effected by serving a notice of termination on the contractor setting forth the manner in which the Contractor is in default. The contractor will only be paid the contract price for supplies delivered and accepted, or services performed in accordance with the manner of performance set forth in the contract.

If it is later determined by the Alaska DOT&PF that the Contractor had an excusable reason for not performing, such as a strike, fire, or flood, events which are not the fault of or are beyond the control of the Contractor, the Alaska DOT&PF, after setting up a new delivery of performance schedule, may allow the Contractor to continue work, or treat the termination as a termination for convenience.

c. **Opportunity to Cure (General Provision)** The Alaska DOT&PF in its sole discretion may, in the case of a termination for breach or default, allow the Contractor [an appropriately short period of time] in which to cure the defect. In such case, the notice of termination will state the time period in which cure is permitted and other appropriate conditions.

If Contractor fails to remedy to Alaska DOT&PF's satisfaction the breach or default of any of the terms, covenants, or conditions of this Contract within [ten (10) days] after receipt by Contractor of written notice from Alaska DOT&PF setting forth the nature of said breach or default, Alaska DOT&PF shall have the right to terminate the Contract without any further obligation to Contractor. Any such termination for default shall not in any way operate to preclude Alaska DOT&PF from also pursuing all available remedies against Contractor and its sureties for said breach or default.

d. **Waiver of Remedies for any Breach** In the event that Alaska DOT&PF elects to waive its remedies for any breach by Contractor of any covenant, term or condition of this

Contract, such waiver by Alaska DOT&PF shall not limit Alaska DOT&PF's remedies for any succeeding breach of that or of any other term, covenant, or condition of this Contract.

e. **Termination for Convenience (Professional or Transit Service Contracts)** The Alaska DOT&PF, by written notice, may terminate this contract, in whole or in part, when it is in the Government's interest. If this contract is terminated, the Alaska DOT&PF shall be liable only for payment under the payment provisions of this contract for services rendered before the effective date of termination.

f. **Termination for Default (Supplies and Service)** If the Contractor fails to deliver supplies or to perform the services within the time specified in this contract or any extension or if the Contractor fails to comply with any other provisions of this contract, the Alaska DOT&PF may terminate this contract for default. The Alaska DOT&PF shall terminate by delivering to the Contractor a Notice of Termination specifying the nature of the default. The Contractor will only be paid the contract price for supplies delivered and accepted, or services performed in accordance with the manner or performance set forth in this contract.

If, after termination for failure to fulfill contract obligations, it is determined that the Contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of the Alaska DOT&PF.

g. **Termination for Default (Transportation Services)** If the Contractor fails to pick up the commodities or to perform the services, including delivery services, within the time specified in this contract or any extension or if the Contractor fails to comply with any other provisions of this contract, the Alaska DOT&PF may terminate this contract for default. The Alaska DOT&PF shall terminate by delivering to the Contractor a Notice of Termination specifying the nature of default. The Contractor will only be paid the contract price for services performed in accordance with the manner of performance set forth in this contract.

If this contract is terminated while the Contractor has possession of Alaska DOT&PF goods, the Contractor shall, upon direction of the Alaska DOT&PF, protect and preserve the goods until surrendered to the Alaska DOT&PF or its agent. The Contractor and Alaska DOT&PF shall agree on payment for the preservation and protection of goods. Failure to agree on an amount will be resolved under the Dispute clause.

If, after termination for failure to fulfill contract obligations, it is determined that the Contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of the Alaska DOT&PF.

h. **Termination for Default (Construction)** If the Contractor refuses or fails to prosecute the work or any separable part, with the diligence that will insure its completion within the time specified in this contract or any extension or fails to complete the work within this time, or if the Contractor fails to comply with any other provisions of this contract, the Alaska DOT&PF may terminate this contract for default. The Alaska DOT&PF shall terminate by delivering to the Contractor a Notice of Termination specifying the nature of the default. In this event, the Alaska DOT&PF may take over the work and complete it by contract or otherwise, and may take possession of and use any materials, appliances, and plant on the work site necessary for completing the work. The Contractor and its sureties shall be liable for any damage to the Alaska DOT&PF resulting from the Contractor's refusal or failure to complete the work within specified time, whether or not the Contractor's right to proceed with the work is terminated. This liability includes any increased costs incurred by the Alaska DOT&PF in completing the work.

The Contractor's right to proceed shall not be terminated nor the Contractor charged with damages under this clause if:

1. the delay in completing the work arises from unforeseeable causes beyond the control and without the fault or negligence of the Contractor. Examples of such causes include: acts of God, acts of the Alaska DOT&PF, acts of another Contractor in the performance of a contract with the Alaska DOT&PF, epidemics, quarantine restrictions, strikes, freight embargoes; and

2. the contractor, within [10] days from the beginning of any delay, notifies the Alaska DOT&PF in writing of the causes of delay. If in the judgment of the Alaska DOT&PF, the delay is excusable, the time for completing the work shall be extended. The judgment of the Alaska DOT&PF shall be final and conclusive on the parties, but subject to appeal under the Disputes clauses.

If, after termination of the Contractor's right to proceed, it is determined that the Contractor was not in default, or that the delay was excusable, the rights and obligations of the parties will be the same as if the termination had been issued for the convenience of the Alaska DOT&PF.

i. **Termination for Convenience or Default (Architect and Engineering)** The Alaska DOT&PF may terminate this contract in whole or in part, for the Alaska DOT&PF's convenience or because of the failure of the Contractor to fulfill the contract obligations. The Alaska DOT&PF shall terminate by delivering to the Contractor a Notice of Termination specifying the nature, extent, and effective date of the termination. Upon receipt of the notice, the Contractor shall (1) immediately discontinue all services affected (unless the notice directs otherwise), and (2) deliver to the Contracting Officer all data, drawings, specifications, reports, estimates, summaries, and other information and materials accumulated in performing this contract, whether completed or in process.

If the termination is for the convenience of the Alaska DOT&PF, the Contracting Officer shall make an equitable adjustment in the contract price but shall allow no anticipated profit on unperformed services.

If the termination is for failure of the Contractor to fulfill the contract obligations, the Alaska DOT&PF may complete the work by contract or otherwise and the Contractor shall be liable for any additional cost incurred by the Alaska DOT&PF.

If, after termination for failure to fulfill contract obligations, it is determined that the Contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of the Alaska DOT&PF.

**j. Termination for Convenience of Default (Cost-Type Contracts)** The Alaska DOT&PF may terminate this contract, or any portion of it, by serving a notice of termination on the Contractor. The notice shall state whether the termination is for convenience of the Alaska DOT&PF or for the default of the Contractor. If the termination is for default, the notice shall state the manner in which the contractor has failed to perform the requirements of the contract. The Contractor shall account for any property in its possession paid for from funds received from the Alaska DOT&PF, or property supplied to the Contractor by the Alaska DOT&PF. If the termination is for default, the Alaska DOT&PF may fix the fee, if the contract provides for a fee, to be paid the contractor in proportion to the value, if any, of work performed up to the time of termination. The Contractor shall promptly submit its termination claim to the Alaska DOT&PF and the parties shall negotiate the termination settlement to be paid the Contractor.

If the termination is for the convenience of the Alaska DOT&PF, the Contractor shall be paid its contract close-out costs, and a fee, if the contract provided for payment of a fee, in proportion to the work performed up to the time of termination.

If, after serving a notice of termination for default, the Alaska DOT&PF determines that the Contractor has an excusable reason for not performing, such as strike, fire, flood, events which are not the fault of and are beyond the control of the contractor, the Alaska DOT&PF, after setting up a new work schedule, may allow the Contractor to continue work, or treat the termination as a termination for convenience.

#### XXIII. GOVERNMENT-WIDE DEBARMENT AND SUSPENSION (NONPROCUREMENT)

In conjunction with the Office of Management and Budget and other affected Federal agencies, DOT published an update to 49 CFR Part 29 on November 26, 2003. This government-wide regulation implements Executive Order 12549, *Debarment and Suspension*, Executive Order 12689, *Debarment and Suspension*,

and 31 U.S.C. 6101 note (Section 2455, Public Law 103-355, 108 Stat. 3327).

The provisions of Part 29 apply to all grantee contracts and subcontracts at any level expected to equal or exceed \$25,000 as well as any contract or subcontract (at any level) for Federally required auditing services. 49 CFR 29.220(b). This represents a change from prior practice in that the dollar threshold for application of these rules has been lowered from \$100,000 to \$25,000. These are contracts and subcontracts referred to in the regulation as "covered transactions."

Grantees, contractors, and subcontractors (at any level) that enter into covered transactions are required to verify that the entity (as well as its principals and affiliates) they propose to contract or subcontract with is not excluded or disqualified. They do this by (a) Checking the Excluded Parties List System, (b) Collecting a certification from that person, or (c) Adding a clause or condition to the contract or subcontract. This represents a change from prior practice in that certification is still acceptable but is no longer required. 49 CFR 29.300.

Grantees, contractors, and subcontractors who enter into covered transactions also must require the entities they contract with to comply with 49 CFR 29, subpart C and include this requirement in their own subsequent covered transactions (i.e., the requirement flows down to subcontracts at all levels).

#### 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 Alaska DOT&PF. If it is later determined that the bidder or proposer knowingly rendered an erroneous certification, in addition to remedies available to the Alaska DOT&PF, 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.

#### XXIV. PRIVACY ACT

When a grantee maintains files on drug and alcohol enforcement activities for FTA, and those files are organized so that information could be retrieved by personal identifier, the Privacy Act requirements apply to all contracts.

The Federal Privacy Act requirements flow down to each third party contractor and their contracts at every tier.

**Contracts Involving Federal Privacy Act Requirements** - The following requirements apply to the Contractor and its employees that administer any system of records on behalf of the Federal Government under any contract:

(1) The Contractor agrees to comply with, and assure the compliance of its employees with, the information restrictions and other applicable requirements of the Privacy Act of 1974, 5 U.S.C. § 552a. Among other things, the Contractor agrees to obtain the express consent of the Federal Government before the Contractor or its employees operate a system of records on behalf of the Federal Government. The Contractor understands that the requirements of the Privacy Act, including the civil and criminal penalties for violation of that Act, apply to those individuals involved, and that failure to comply with the terms of the Privacy Act may result in termination of the underlying contract.

(2) The Contractor also agrees to include these requirements in each subcontract to administer any system of records on behalf of the Federal Government financed in whole or in part with Federal assistance provided by FTA.

#### XXV. CIVIL RIGHTS REQUIREMENTS

The Civil Rights Requirements apply to all contracts.

The Civil Rights requirements flow down to all third party contractors and their contracts at every tier.

**Civil Rights** - The following requirements apply to the underlying contract:

(1) **Nondiscrimination** - In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, section 202 of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12132, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.

(2) **Equal Employment Opportunity** - The following equal employment opportunity requirements apply to the underlying contract:

(a) **Race, Color, Creed, National Origin, Sex** - In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal transit laws at 49 U.S.C. § 5332, the Contractor agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 C.F.R. Parts 60 *et seq.*, (which implement Executive Order No. 11246, "Equal Employment Opportunity," as amended by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of the Project. The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, or age. Such action shall include, but not be limited to, the following: 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. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(b) **Age** - In accordance with section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § 623 and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(c) **Disabilities** - In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. § 12112, the Contractor agrees that it will comply with the requirements of U.S. Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630, pertaining to employment of persons with disabilities. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(3) The Contractor also agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

#### XXVI. BREACHES AND DISPUTE RESOLUTION

All contracts in excess of \$100,000 shall contain provisions or conditions which will allow for administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as may be appropriate. This may include provisions:

for bonding, penalties for late or inadequate performance, retained earnings, liquidated damages or other appropriate measures.

The Breaches and Dispute Resolutions requirement flow down to all tiers.

**Disputes** - Disputes arising in the performance of this Contract which are not resolved by agreement of the parties shall be decided in writing by the authorized representative of Alaska DOT&PF's [Contracting Officer]. This decision shall be final and conclusive unless within [ten (10)] days from the date of receipt of its copy, the Contractor mails or otherwise furnishes a written appeal to the [Contracting Officer]. In connection with any such appeal, the Contractor shall be afforded an opportunity to be heard and to offer evidence in support of its position. The decision of the [Contracting Officer] shall be binding upon the Contractor and the Contractor shall abide by the decision.

**Performance During Dispute** - Unless otherwise directed by Alaska DOT&PF, Contractor shall continue performance under this Contract while matters in dispute are being resolved.

**Claims for Damages** - Should either party to the Contract suffer injury or damage to person or property because of any act or omission of the party or of any of his employees, agents or others for whose acts he is legally liable, a claim for damages therefor shall be made in writing to such other party within a reasonable time after the first observance of such injury of damage.

**Remedies** - Unless this contract provides otherwise, all claims, counterclaims, disputes and other matters in question between the Alaska DOT&PF and the Contractor arising out of or relating to this agreement or its breach will be decided by arbitration if the parties mutually agree, or in a court of competent jurisdiction within the State in which the Alaska DOT&PF is located.

**Right and Remedies** - The duties and obligations imposed by the Contract Documents and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law. No action or failure to act by the Alaska DOT&PF, (Architect) or Contractor shall constitute a waiver of any right or duty afforded any of them under the Contract, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.

#### XXVII. PATENT AND RIGHTS IN DATA

Patent and rights in data requirements for federally assisted projects ONLY apply to research projects in which FTA finances the purpose of the grant is to

finance the development of a product or information. These patent and data rights requirements do not apply to capital projects or operating projects, even though a small portion of the sales price may cover the cost of product development or writing the user's manual.

The patent and Rights in Data requirements apply to all contractors and their contracts at every tier.

The FTA patent clause is substantially similar to the text of 49 CFR Part 19, Appendix A, Section 5, but the rights in data clause reflects FTA objectives. For patent rights, FTA is governed by Federal law and regulation. For data rights, the text on copyrights is insufficient to meet FTA's purposes for awarding research grants. This clause, with larger rights as a standard, is proposed with the understanding that this standard could be modified to FTA's needs.

#### CONTRACTS INVOLVING EXPERIMENTAL, DEVELOPMENTAL, OR RESEARCH WORK

**A. Rights in Data** - This following requirements apply to each contract involving experimental, developmental or research work:

(1) The term "subject data" used in this clause means recorded information, whether or not copyrighted, that is delivered or specified to be delivered under the contract. The term includes graphic or pictorial delineation in media such as drawings or photographs; text in specifications or related performance or design-type documents; machine forms such as punched cards, magnetic tape, or computer memory printouts; and information retained in computer memory. Examples include, but are not limited to: computer software, engineering drawings and associated lists, specifications, standards, process sheets, manuals, technical reports, catalog item identifications, and related information. The term "subject data" does not include financial reports, cost analyses, and similar information incidental to contract administration.

(2) The following restrictions apply to all subject data first produced in the performance of the contract to which this Attachment has been added:

(a) Except for its own internal use, the Alaska DOT&PF or Contractor may not publish or reproduce subject data in whole or in part, or in any manner or form, nor may the Alaska DOT&PF or Contractor authorize others to do so, without the written consent of the Federal Government, until such time as the Federal Government may have either released or approved the release of such data to the public; this restriction on publication, however, does not apply to any contract with an academic institution.

(b) In accordance with 49 C.F.R. § 18.34 and 49 C.F.R. § 19.36, the Federal Government reserves a royalty-free, non-exclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, for "Federal Government purposes," any subject data or copyright described in subsections 2)(b)1 and 2)(b)2 of this clause

below. As used in the previous sentence, "for Federal Government purposes," means use only for the direct purposes of the Federal Government. Without the copyright owner's consent, the Federal Government may not extend its Federal license to any other party.

1. Any subject data developed under that contract, whether or not a copyright has been obtained; and

2. Any rights of copyright purchased by the Alaska DOT&PF or Contractor using Federal assistance in whole or in part provided by FTA.

(c) When FTA awards Federal assistance for experimental, developmental, or research work, it is FTA's general intention to increase transportation knowledge available to the public, rather than to restrict the benefits resulting from the work to participants in that work. Therefore, unless FTA determines otherwise, the Alaska DOT&PF and the Contractor performing experimental, developmental, or research work required by the underlying contract to which this Attachment is added agrees to permit FTA to make available to the public, either FTA's license in the copyright to any subject data developed in the course of that contract, or a copy of the subject data first produced under the contract for which a copyright has not been obtained. If the experimental, developmental, or research work, which is the subject of the underlying contract, is not completed for any reason whatsoever, all data developed under that contract shall become subject data as defined in subsection (a) of this clause and shall be delivered as the Federal Government may direct. This subsection (c), however, does not apply to adaptations of automatic data processing equipment or programs for the Alaska DOT&PF or Contractor's use whose costs are financed in whole or in part with Federal assistance provided by FTA for transportation capital projects.

(d) Unless prohibited by state law, upon request by the Federal Government, the Purchaser and the Contractor agree to indemnify, save, and hold harmless the Federal Government, its officers, agents, and employees acting within the scope of their official duties against any liability, including costs and expenses, resulting from any willful or intentional violation by the Alaska DOT&PF or Contractor of proprietary rights, copyrights, or right of privacy, arising out of the publication, translation, reproduction, delivery, use, or disposition of any data furnished under that contract. Neither the Alaska DOT&PF nor the Contractor shall be required to indemnify the Federal Government for any such liability arising out of the wrongful act of any employee, official, or agents of the Federal Government.

(e) Nothing contained in this clause on rights in data shall imply a license to the Federal Government under any patent or be construed as affecting the scope of any

license or other right otherwise granted to the Federal Government under any patent.

(f) Data developed by the Alaska DOT&PF or Contractor and financed entirely without using Federal assistance provided by the Federal Government that has been incorporated into work required by the underlying contract to which this Attachment has been added is exempt from the requirements of subsections (b), (c), and (d) of this clause, provided that the Alaska DOT&PF or Contractor identifies that data in writing at the time of delivery of the contract work.

(g) Unless FTA determines otherwise, the Contractor agrees to include these requirements in each subcontract for experimental, developmental, or research work financed in whole or in part with Federal assistance provided by FTA.

(3) Unless the Federal Government later makes a contrary determination in writing, irrespective of the Contractor's status (i.e., a large business, small business, state government or state instrumentality, local government, nonprofit organization, institution of higher education, individual, etc.), the Alaska DOT&PF and the Contractor agree to take the necessary actions to provide, through FTA, those rights in that invention due the Federal Government as described in

U.S. Department of Commerce regulations, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," 37 C.F.R. Part 401.

(4) The Contractor also agrees to include these requirements in each subcontract for experimental, developmental, or research work financed in whole or in part with Federal assistance provided by FTA.

**B. Patent Rights** - The following requirements apply to each contract involving experimental, developmental, or research work:

(1) **General** - If any invention, improvement, or discovery is conceived or first actually reduced to practice in the course of or under the contract to which this Attachment has been added, and that invention, improvement, or discovery is patentable under the laws of the United States of America or any foreign country, the Alaska DOT&PF and Contractor agree to take actions necessary to provide immediate notice and a detailed report to the party at a higher tier until FTA is ultimately notified.

(2) Unless the Federal Government later makes a contrary determination in writing, irrespective of the Contractor's status (a large business, small business, state government or state instrumentality, local government, nonprofit organization, institution of higher education, individual), the Alaska DOT&PF and the Contractor agree to take the necessary actions to provide, through FTA, those rights in that invention due the Federal Government as described in U.S. Department of Commerce regulations, "Rights to Inventions Made by Nonprofit Organizations and Small

Business Firms Under Government Grants, Contracts and Cooperative Agreements," 37 C.F.R. Part 401.

(3) The Contractor also agrees to include the requirements of this clause in each subcontract for experimental, developmental, or research work financed in whole or in part with Federal assistance provided by FTA.

### XXVIII. TRANSIT EMPLOYEE PROTECTIVE AGREEMENTS

The Transit Employee Protective Provisions apply to each contract for transit operations performed by employees of a Contractor recognized by FTA to be a transit operator. (Because transit operations involve many activities apart from directly driving or operating transit vehicles, FTA determines which activities constitute transit "operations" for purposes of this clause.)

These provisions are applicable to all contracts and subcontracts at every tier.

**Transit Employee Protective Provisions.** (1) The Contractor agrees to the comply with applicable transit employee protective requirements as follows:

(a) **General Transit Employee Protective Requirements** - To the extent that FTA determines that transit operations are involved, the Contractor agrees to carry out the transit operations work on the underlying contract in compliance with terms and conditions determined by the U.S. Secretary of Labor to be fair and equitable to protect the interests of employees employed under this contract and to meet the employee protective requirements of 49 U.S.C. A 5333(b), and U.S. DOL guidelines at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in the letter of certification from the U.S. DOL to FTA applicable to the FTA Alaska DOT&PF's project from which Federal assistance is provided to support work on the underlying contract. The Contractor agrees to carry out that work in compliance with the conditions stated in that U.S. DOL letter. The requirements of this subsection (1), however, do not apply to any contract financed with Federal assistance provided by FTA either for projects for elderly individuals and individuals with disabilities authorized by 49 U.S.C. § 5310(a)(2), or for projects for nonurbanized areas authorized by 49 U.S.C. § 5311. Alternate provisions for those projects are set forth in subsections (b) and (c) of this clause.

(b) **Transit Employee Protective Requirements for Projects Authorized by 49 U.S.C. § 5310(a)(2) for Elderly Individuals and Individuals with Disabilities** - If the contract involves transit operations financed in whole or in part with Federal assistance authorized by 49 U.S.C. § 5310(a)(2), and if the U.S. Secretary of Transportation has determined or determines in the

future that the employee protective requirements of 49 U.S.C. § 5333(b) are necessary or appropriate for the Alaska DOT&PF and the public body subrecipient for which work is performed on the underlying contract, the Contractor agrees to carry out the Project in compliance with the terms and conditions determined by the U.S. Secretary of Labor to meet the requirements of 49 U.S.C. § 5333(b), U.S. DOL guidelines at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in the U.S. DOL's letter of certification to FTA, the date of which is set forth Grant Agreement or Cooperative Agreement with the state. The Contractor agrees to perform transit operations in connection with the underlying contract in compliance with the conditions stated in that U.S. DOL letter.

(c) **Transit Employee Protective Requirements for Projects Authorized by 49 U.S.C. § 5311 in Nonurbanized Areas** - If the contract involves transit operations financed in whole or in part with Federal assistance authorized by 49 U.S.C. § 5311, the Contractor agrees to comply with the terms and conditions of the Special Warranty for the Nonurbanized Area Program agreed to by the U.S. Secretaries of Transportation and Labor, dated May 31, 1979, and the procedures implemented by U.S. DOL or any revision thereto.

(2) The Contractor also agrees to include any applicable requirements in each subcontract involving transit operations financed in whole or in part with Federal assistance provided by FTA.

### XXIX. DISADVANTAGED BUSINESS ENTERPRISE (DBE)

The newest version on the Department of Transportation's Disadvantaged Business Enterprise (DBE) program became effective July 16, 2003. The rule provides guidance to grantees on the use of overall and contract goals, requirement to include DBE provisions in subcontracts, evaluating DBE participation where specific contract goals have been set, reporting requirements, and replacement of DBE subcontractors. Additionally, the DBE program dictates payment terms and conditions (including limitations on retainage) applicable to all subcontractors regardless of whether they are DBE firms or not.

See the Special Provision Section 120 Disadvantaged Business Enterprise (DBE) Program for the requirements of the Alaska DOT&PF for DBE.

### XXX. RESERVED

### XXXI. INCORPORATION OF FEDERAL TRANSIT ADMINISTRATION (FTA) TERMS

The incorporation of FTA terms applies to all contracts.

The incorporation of FTA terms has unlimited flow down.

**Incorporation of Federal Transit Administration (FTA) Terms** - The preceding provisions include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the preceding contract provisions. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1E, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Contractor shall not perform any act, fail to perform any act, or refuse to comply with any Alaska DOT&PF requests which would cause Alaska DOT&PF to be in violation of the FTA terms and conditions.

### XXXII. DRUG AND ALCOHOL TESTING

The Drug and Alcohol testing provisions apply to Operational Service Contracts.

Anyone who performs a safety-sensitive function for the Alaska DOT&PF or subrecipient is required to comply with 49 CFR 653 and 654, with certain exceptions for contracts involving maintenance services. Maintenance contractors for non-urbanized

area formula program grantees are not subject to the rules. Also, the rules do not apply to maintenance subcontractors.

### Drug and Alcohol Testing

The contractor agrees to establish and implement a drug and alcohol testing program that complies with 49 CFR Parts 653 and 654, produce any documentation necessary to establish its compliance with Parts 653 and 654, and permit any authorized representative of the United States Department of Transportation or its operating administrations, the State Oversight Agency of Alaska, or the Alaska DOT&PF, to inspect the facilities and records associated with the implementation of the drug and alcohol testing program as required under 49 CFR Parts 653 and 654 and review the testing process. The contractor agrees further to certify annually its compliance with Parts 653 and 654 before April 15 and to submit the Management Information System (MIS) reports before before March 15 to the Contracting Officer. To certify compliance the contractor shall use the "Substance Abuse Certifications" in the "Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements," which is published annually in the Federal Register.

XXXII. APPENDIX

Requirements for Access to Records and Reports by Types of Contract

Contract Characteristics	Operational Service Contract	Turnkey	Construction	Architectural Engineering	Acquisition of Rolling Stock	Professional Services
<u>I State Grantees:</u>						
a. Contracts below SAT (\$100,000)	None	Those imposed on state pass thru to Contractor	None	None	None	None
b. Contracts above \$100,000/Capital Projects	None unless <sup>1</sup> non-competitive award		Yes, if non-competitive award or if funded thru <sup>2</sup> 5307/5309/5311	None unless non-competitive award	None unless non-competitive award	None unless non-competitive award
<u>II Non State Grantees:</u>						
a. Contracts below SAT (\$100,000)	Yes <sup>3</sup>	Those imposed on non-state Grantee pass thru to Contractor	Yes	Yes	Yes	Yes
b. Contracts above \$100,000/Capital Projects	Yes <sup>3</sup>		Yes	Yes	Yes	Yes

Sources of Authority:  
<sup>1</sup>49 USC 5325 (a)  
<sup>2</sup>49 CFR 633.17  
<sup>3</sup>18 CFR 18.36 (i)

# AKDOT&PF-44 Materials Origin Certificate, Form 25D-60



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

## MATERIAL ORIGIN CERTIFICATE Federal-Aid Highway Contracts

---

**Project Name and Number**

By signing this Material Origin Certificate, the offeror certifies that all steel and iron products to be furnished under this project are manufactured in the United States and comply with Subsection 106-1.01, Buy America Provision, of the Contract Special Provisions, except for those items listed by the offeror below or on a separate and clearly identified attachment.<sup>1</sup>

PRODUCT <sup>1</sup>	COUNTRY OF ORIGIN	COST <sup>3</sup>

**THE FOLLOWING ITEMS ARE CONSIDERED TO BE MANUFACTURING PROCESSES<sup>4</sup>:**

- a. Modifying the chemical content.
- b. Initial rolling into plates, shapes, rods, and bars. Structural steel completed at this point.
- c. Rolling into sheets, corrugating, and rolling into culverts, guardrail, etc.
- d. Processing and drawing into wire, spinning wire into cable or strand, forming wire fabric, fencing, etc.
- e. The action of coating iron or steel. Coating includes epoxy coating, galvanizing, painting, and any other coating that protects or enhances the value of the product.

---

**Contractor**

---


**Signature of Contractor's Representative**

---

**Date**

1. The Contractor may amend this certificate after award only by a signed statement and only up to the limit specified in the contract.
2. Enter "NONE" on the first line if there are no exceptions.
3. Invoice cost as delivered to the project including freight.
4. There is a Nationwide waiver to Buy America for pig iron and processed, pelletized and reduced iron ore.

### AKDOT&PF-45 Buy American Certificate, Form 25D-61



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**BUY AMERICAN CERTIFICATE**  
Federal-Aid Airport Contracts

---

Project Name and Number

By submitting a bid under this solicitation, except for those items listed by the offeror below or on a separate and clearly identified attachment, the offeror certifies that steel and each manufactured product is produced in the United States (as defined in Subsection 60-09, Buy American Steel and Manufactured Products for Construction Contracts) and that components of unknown origin are considered to have been produced or manufactured outside the United States.

Attach manufacturer's mill test reports with the Buy American Certification signed by the manufacturer.

Articles, materials, and supplies excepted from this provision are listed on the reverse of this form.

PRODUCT <sup>1</sup>	COUNTRY OF ORIGIN

Contractor

Signature of Contractor's Representative

---

Date

1. Enter "NONE" on the first line if there are no exceptions.

Form 25D-61 (10/01) Page 1 of 3

- List of supplies and materials that the U.S. Government has determined are not produced in the United States in sufficient and reasonably available quantities and of sufficient quality. (Jan 1991)
- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>Acetylene, black</li> <li>Agar, bulk</li> <li>Amise</li> <li>Antimony, as metal or oxide</li> <li>Asbestos, amosite, chrysotile, and Crocidolite</li> <li>Bananas</li> <li>Bauxite</li> <li>Beef, corned, canned</li> <li>Beef extract</li> <li>Bephenium Hydroxynaphthoate</li> <li>Bismuth</li> <li>Books, trade, text, technical, or scientific; newspapers; pamphlets; magazines; periodicals; printed briefs and films; not printed in the United States and for which domestic editions are not available.</li> <li>Brazil nuts, unroasted</li> <li>Cadmium, ores and fine dust</li> <li>Calcium cyanamide</li> <li>Capers</li> <li>Cashew nuts</li> <li>Castor beans and castor oil</li> <li>Chalk, English</li> <li>Chestnuts</li> <li>Chicle</li> <li>Chrome ore or chromite</li> <li>Cinchona bark</li> <li>Cobalt, in cathodes, rondelles, or other primary ore and metal forms.</li> <li>Cocoa beans</li> <li>Coconut and coconut meat, unsweetened, in shredded, desiccated or similarly prepared form.</li> <li>Coffee, raw or green bean</li> <li>Colchicine alkaloid, raw</li> <li>Copra</li> <li>Cork, wood or bark and waste</li> <li>Cover glass, microscope slide</li> <li>Cryolite, natural</li> <li>Dammar gum</li> <li>Diamonds, industrial, stones and abrasives</li> <li>Emetine, bulk</li> <li>Ergot, crude</li> <li>Erythryl tetranitrate</li> <li>Fair linen, altar</li> <li>Fibers of the following types: abaca, abaca, agave, coir, flax, jute, jute burlaps, palmyra and sisal.</li> <li>Goat and kidskins</li> <li>Graphite, natural, crystalline, crucible grade</li> <li>Handsewing needles</li> <li>Hemp yarn</li> <li>Hogbristles for brushes</li> <li>Hyoscine, bulk</li> <li>Ipecac, root</li> <li>Iodine, crude</li> <li>Kaurigum</li> <li>Lac</li> <li>Leather, sheepskin, hair type</li> <li>Lavender oil</li> </ul> | <ul style="list-style-type: none"> <li>Manganese</li> <li>Menthol, natural bulk</li> <li>Mica</li> <li>Microprocessor chips (brought onto a construction site as separate units for incorporation into building systems during construction or repair and alteration of real property.)</li> <li>Nickel, primary, in ingots, pigs, shots, cathodes, or similar forms; nickel oxide and nickel salts.</li> <li>Nitroguanidine (also known as picric)</li> <li>Nux vomica, crude</li> <li>Oiticica oil</li> <li>Olive oil Olives (green), pitted or unpitted, or stuffed, in bulk.</li> <li>Opium, crude</li> <li>Oranges, mandarin, canned</li> <li>Petroleum, crude oil, unfinished oils, and finished products (see definitions at the end)</li> <li>Pine needle oil</li> <li>Platinum and related group metals, refined as sponge, powder, ingots, or cast bars.</li> <li>Pyrethrum flowers</li> <li>Quartz crystals</li> <li>Quebracho</li> <li>Quinidine</li> <li>Quinine</li> <li>Rabbit fur felt</li> <li>Radium salts, source and special nuclear materials</li> <li>Rosettes</li> <li>Rubber, crude and latex</li> <li>Rumle</li> <li>Santonin, crude</li> <li>Secretin</li> <li>Shellac</li> <li>Silk, raw and unmanufactured</li> <li>Spare and replacement parts for equipment of foreign manufacture, and for which domestic parts are not available.</li> <li>Spices and herbs, in bulk</li> <li>Sugars, raw</li> <li>Swords and scabbards</li> <li>Talc, block, steatite</li> <li>Tantalum</li> <li>Tapioca flour and cassava</li> <li>Tartar, crude; tartaric acid and cream of tartar in bulk.</li> <li>Tea in bulk</li> <li>Thread, metallic (gold)</li> <li>Thyme oil</li> <li>Tin in bars, blocks, and pigs</li> <li>Triprolidine hydrochloride</li> <li>Tungsten</li> <li>Vanilla beans</li> <li>Venom, cobra</li> <li>Wax, canauba</li> <li>Woods; logs, veneer, and lumber of the following species:<br/>Alaskan yellow cedar, angelique, balsa, ekki greenhart, lignum vitae, mahogany, and teak</li> <li>Yarn, 50 Denier rayon</li> </ul> |
|---|---|
- Form 25D-61 (10/01) Page 2 of 3

**List of Supplies/Materials that the U.S. Government Has Determined Are Not Produced in the United States in Sufficient and Reasonably Available Quantities And of Sufficient Quality (Jan 1991) (CONTINUED)**

Petroleum terms are used as follows:

"Crude oil" means crude petroleum, as it is produced at the wellhead, and liquids (under atmospheric conditions) that have been recovered from mixtures of hydrocarbons that existed in a vaporous phase in a reservoir and that are not natural gas products.

"Finished products" means any one or more of the following petroleum oils, or a mixture or combination of these oils, to be used without further processing except blending by mechanical means:

- (A) "Asphalt" - a solid or semi-solid cementitious material that (1) gradually liquefies when heated, (2) has bitumens as its predominating constituents, and (3) is obtained in refining crude oil.
- (B) "Fuel oil" - a liquid or liquefiable petroleum product burned for lighting or for the generation of heat or power and derived directly or indirectly from crude oil, such as kerosene, range oil, distillate fuel oils, gas oil, diesel fuel, topped crude oil, or residues.
- (C) "Gasoline" - a refined petroleum distillate that, by its consumption, is suitable for use as a carburant in internal combustion engines.
- (D) "Jet fuel" - a refined petroleum distillate used to fuel jet propulsion engines.
- (E) "Liquefied gases" - hydrocarbon gases recovered from natural gas or produced from petroleum refining and kept under pressure to maintain a liquid state at ambient temperatures.
- (F) "Lubricating oil" - a refined petroleum distillate or specially treated petroleum residue used to lessen friction between surfaces.
- (G) "Naphtha" - a refined petroleum distillate falling within a distillation range overlapping the higher gasoline and the lower kerosenes.
- (H) "Natural gas products" - liquids (under atmospheric conditions) including natural gasoline, that -
  - (1) are recovered by a process of absorption, adsorption, compression, refrigeration, cycling, or a combination of these processes, from mixtures of hydrocarbons that existed in a vaporous phase in a reservoir, and
  - (2) when recovered and without processing in a refinery, definitions of products contained in subdivision (B), (C), and (G) above.
- (I) "Residual fuel oil" - a topped crude oil or viscous residuum that, as obtained in refining or after blending with other fuel oil, meets or is the equivalent of MILSPEC Mil-F-859 for Navy Special Fuel Oil and any more viscous fuel oil, such as No. 5 or Bunker C.

"Unfinished oils" means one or more of the petroleum oils listed under "Finished products" above, or a mixture or combination of these oils, that are to be further processed other than by blending by mechanical means.



## AKDOT&PF-46 Monthly Employment Report, Form 25D-1589

MONTHLY EMPLOYMENT REPORT, FORM 25D-1589 AMERICAN RECOVERY AND REINVESTMENT ACT			
1. Report Month: (mm/yyyy)		2. Contracting Agency	
3. Federal-Aid Project Number		4. State Project Number or ID Number	5. Project Location: State, County, or Federal Region
6. CONTRACTOR NAME AND ADDRESS			
Name:			
Address:			
City:		State:	Zip:
7. Contractor/Subcontractor DUNS Number:			
8. Employment Data			
	EMPLOYEES	HOURS	PAYROLL
Prime Contractor Direct, On-Project Jobs (see guidance for definitions)			
Subcontractor Direct, On-Project Jobs			
Subcontractor Name			
<b>Prime and Subcontractor Totals</b>	0	0	0.00
9. PREPARED BY CEO or Payroll Official:			
Any intentional misrepresentation or omission made in connection with the attached Monthly Employment Report may be cause for suspension, a determination of non-responsibility on future bids, and may be cause for revocation of award, default, or debarment. The person or entity making the false statement or omission is subject to any and all civil and criminal penalties available pursuant to applicable state and federal law.			
I certify the information contained in the attached Monthly Employment Report is true, correct, and complete.			
Signature:		Title:	
Name:		Date:	
Form 25D-1589 (Rev. 4/09)			

**AKDOT&PF-47 CRO ACDBE Welcome Letter**



THE STATE  
of **ALASKA**  
GOVERNOR BILL WALKER

**Department of Transportation  
and Public Facilities**

**CIVIL RIGHTS OFFICE**

2200 East 42nd Avenue  
P.O. Box 196  
Anchorage, Alaska 99519-6  
Statewide toll free: 800.770.6  
Main: 907.269.0  
Fax: 907.269.0

October 31, 2016

Patricia Eckert  
UPLIFT CONSULTING  
3981 W 37th Court  
Anchorage, AK 99517-2353

Dear Patricia Eckert:

We are pleased to inform you that effective the date of this letter, your firm meets the eligibility requirements for certification as a Airport Concession Disadvantaged Business Enterprise (ACDBE). Your firm will be located in our DBE Directory on our website:

<http://www.dot.state.ak.us/cvlrts/directory.shtml>

<b>UPLIFT CONSULTING</b>			
Contact:	Patricia Eckert	Email:	patricia.eckert@alaskan.com
Address:	3981 W 37th Court	WebPage:	
City:	Anchorage	Certification #:	9900770
State:	AK	Bond Limit:	
Zip Code:	99517-2353	Minority-Owned?	No
Phone #:	(907) 360-2147	Woman-owned?	Yes
Fax #:		Licenses:	
Cell #:			
<b>Work Category Description</b>		<b>Required GFE Contact</b>	
BUSINESS SERVICE-CONSULTANTS		Yes	
NON-CONSTRUCTION CONSULTANT			
<b>NAICS Code and Description:</b>		<b>Work Area(s)</b>	
541611	Administrative Management and General Management Consulting Services	NR	CR SR
541613	Marketing Consulting Services	Yes	Yes Yes
<b>Brief Description of Work:</b>		<b>FAA Concessionaire?:</b> No	
Consulting and marketing services to identify marketing opportunities, and to develop and manage programs and projects that enhance commercial transportation activities.			

*"Keep Alaska Moving through service and infrastructure."*

**AKDOT&PF-48 CRO Annual Letter Approved**



THE STATE  
of **ALASKA**  
GOVERNOR BILL WALKER

**Department of Transportation  
and Public Facilities**

**CIVIL RIGHTS OFFICE**

2200 East 42nd Avenue  
P.O. Box 196900  
Anchorage, Alaska 99519-6900  
Statewide toll free: 800.770.6236  
Main: 907.269.0851  
Fax: 907.269.0847

October 31, 2016

James B Strong  
J & J HYDROSEEDING, LLC  
PO Box 1234  
Haines, AK 99827-1234

Dear James B Strong:

We have reviewed the documents submitted with your annual 'No Change Affidavit' and are pleased to inform you that your firm continues to meet the eligibility requirements for certification as a Disadvantaged Business Enterprise (DBE). Your firm will be located in our DBE Directory on our website:

<http://www.dot.state.ak.us/cvlrts/directory.shtml>.

Your firm will remain in our DBE Directory under the following business categories:

<b>J &amp; J HYDROSEEDING, LLC</b>			
Contact:	James B Strong	Email:	jimbstrong@gmail.com
Address:	PO Box 1234	WebPage:	jstronghydroseeding.com
City:	Haines	Certification #:	9900570
State:	AK	Bond Limit:	
Zip Code:	99827-1234	Minority-Owned?	Yes
Phone #:	(907) 787-5415	Woman-owned?	No
Fax #:		Licenses:	SC
Cell #:		Required GFE Contact	Yes
<b>Work Category Description</b>		Work Area(s)	
HYDROSEEDING-CONSTRUCTION		NR CR SR	
<b>NAICS Code and Description:</b>		Yes Yes Yes	
56173 Landscaping Services		FAA Concessionaire?: No	
<b>Brief Description of Work:</b>			
PROVIDES HYDROSEEDING SERVICES FOR LAWN DEVELOPMENT			

If you are a DBE, you must inform the AUCP in writing of any change in circumstances affecting your ability to meet size, disadvantaged status, ownership, or control requirements of this part or any material change in the information provided in your application form.

*"Keep Alaska Moving through service and infrastructure."*

**AKDOT&PF-49 CRO Annual Review Letter**



THE STATE  
of **ALASKA**  
GOVERNOR BILL WALKER

**Department of Transportation  
and Public Facilities**

**CIVIL RIGHTS OFFICE**

2200 East 42nd Avenue  
P.O. Box 196900  
Anchorage, Alaska 99519-6900  
Statewide toll free: 800.770.6236  
Main: 907.269.0851  
Fax: 907.269.0847

45 DAYS

October 1, 2016  
October 31, 2016

Amparo Manuel, Manager  
ALL WIRE ELECTRIC LLC  
3530 Perenosa Bay Dr.  
Anchorage, AK 99515-2352

October  
Annual mailed 10/1 Due: 11/15  
Notice of Intent: 11/16 Due 11/30  
Hearing date: 12/15  
Final Letter 12/16 sent 12/16

**RE: Annual Review**

Dear Amparo Manuel, Manager:

On an annual basis, all firms certified under the Disadvantaged Business Enterprises (DBE) program are required to sign an affidavit and provide supporting documentation (Federal tax returns) to affirm that there have been no material changes in the firm's circumstances affecting its ability to meet the DBE eligibility requirements concerning size, disadvantaged status, ownership, or control requirements of 49 CFR, Part 26 and/or Part 23, and 13 CFR Part 121.

Please complete and return the following documents:

- Annual "No Change" Affidavit
- Complete copy of business Federal tax returns and its affiliates (or requests for extensions filed by the firm). A complete return includes all forms, schedules and statements filed with the Internal Revenue Service.  
NOTE: If the personal tax return includes business taxes, then a complete copy (including all schedules/attachments) of the personal tax must be submitted.
- Current Business Information Form

If you fail to provide this affidavit and the supporting documents in a timely manner, you will be deemed to have failed to cooperate under 26.109(c).

Please return the requested documents by October 31, 2016.

November 15, 2016

Sincerely,

Winnie Cichosz, Civil Rights & Compliance Specialist II

Enclosures

*"Keep Alaska Moving through service and infrastructure."*

**AKDOT&PF-50 CRO DBE Welcome Letter**



THE STATE  
of **ALASKA**  
GOVERNOR BILL WALKER

**Department of Transportatic  
and Public Faciliti**

**CIVIL RIGHTS OFFI**

2200 East 42nd Aver  
P.O. Box 1961  
Anchorage, Alaska 99519-61  
Statewide toll free: 800.770.61  
Main: 907.269.08  
Fax: 907.269.0847

October 31, 2016

Patricia Eckert  
UPLIFT CONSULTING  
3981 W 37th Court  
Anchorage, AK 99517-2353

Dear Patricia Eckert:

We are pleased to inform you that effective the date of this letter, your firm meets the eligibility requirements for certification as a Disadvantaged Business Enterprise (DBE). Your firm will be located in our DBE Directory on our website:

<http://www.dot.state.ak.us/cvlrts/directory.shtml>.

<b>UPLIFT CONSULTING</b>			
Contact:	Patricia Eckert	Email:	patricia.eckert@alaskan.com
Address:	3981 W 37th Court	WebPage:	
City:	Anchorage	Certification #:	9900770
State:	AK	Bond Limit:	
Zip Code:	99517-2353	Minority-Owned?	No
Phone #:	(807) 360-2147	Woman-owned?	Yes
Fax #:		Licenses:	
Cell #:			
<b>Work Category Description</b>		Required GFE Contact	
BUSINESS SERVICE-CONSULTANTS		Yes	
NON-CONSTRUCTION CONSULTANT		Work Area(s)	
		NR CR SR	
		Yes Yes Yes	
		FAA Concessionaire?: No	
<b>NAICS Code and Description:</b>			
541611	Administrative Management and General Management Consulting Services		
541613	Marketing Consulting Services		
<b>Brief Description of Work:</b>			
Consulting and marketing services to identify marketing opportunities, and to develop and manage programs and projects that enhance commercial transportation activities.			

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**AKDOT&PF-51 CRO Final Decertification Letter**



THE STATE  
of **ALASKA**  
GOVERNOR BILL WALKER

**Department of Transportation  
and Public Facilities**

**CIVIL RIGHTS OFFICE**

2200 East 42nd Avenue  
P.O. Box 196900  
Anchorage, Alaska 99519-6900  
Statewide toll free: 800.770.6236  
Main: 907.269.0851  
Fax: 907.269.0847

December 16, 2016  
~~October 31, 2016~~

Sarah Henson  
AEROSTAR SES LLC  
1006 Floyd Culler Court  
Oak Ridge, TN 37830-8022

RE: FINAL LETTER

Dear Sarah Henson:

On October 31, 2016, you were provided a final opportunity to return information to this office before a final determination could be made regarding your continued certification as a Disadvantaged Business Enterprise (DBE). You were given until October 31, 2016 to provide the information or to request an informal hearing. However, to date, you have not responded to our request.

FINAL  
(Decertification)  
(corrected mail)

Code of Federal Regulations 49, Part 26.73 (c) and 26.109 (c) state:

**Sec. 26.73 Other Rules Affecting Certification:**

- (c) DBE firms and firms seeking DBE certification shall cooperate fully with your requests (and DOT requests) for information relevant to the certification process. Failure or refusal to provide such information is a ground for denial or removal of certification.

**Sec. 26.109 (c) Cooperation:**

- (c) All participants in the Department's DBE program (including, but not limited to, recipients, DBE firms and applicants for DBE certification, complainants and appellants, and contractors using DBE firms to meet contract goals) are required to cooperate fully and promptly with DOT recipient compliance reviews, certification reviews, investigations, and other requests for information. Failure to do so shall be a ground for appropriate action against the party involved (e.g., with respect to recipients, a finding of noncompliance; with respect to DBE firms, denial of certification or removal of eligibility and/or suspension and debarment; with respect to a complainant or appellant, dismissal of the complaint or appeal; with respect to a contractor which uses DBE firms to meet goals, findings of non-responsibility for future contracts and/or suspension and debarment.

"Keep Alaska Moving through service and infrastructure."

**AKDOT&PF-52 CRO Notice of Intent to Remove Eligibility**

*Davis*



THE STATE  
of **ALASKA**  
GOVERNOR BILL WALKER

**Department of Transportation  
and Public Facilities**

**CIVIL RIGHTS OFFICE**

2200 East 42nd Avenue  
P.O. Box 196900  
Anchorage, Alaska 99519-6900  
Statewide toll free: 800.770.6236  
Main: 907.269.0851  
Fax: 907.269.0847

*November 16, 2016*

~~October 31, 2016~~

Alita Davis  
A & D DRILLING LLC  
9312 Campbell Terrace Dr  
Anchorage, AK 995021550

*10/31/16  
mail*

**RE: NOTICE OF INTENT TO REMOVE ELIGIBILITY**

Dear Alita Davis:

On October ~~31~~, 2016, you were sent Annual Affidavit paperwork for the Disadvantaged Business (DBE) program. The letter accompanying the paperwork gave you until ~~October 31, 2016~~ *NOVEMBER 15, 2016* to return the completed paperwork. To date we have not received your Annual Affidavit paperwork.

Because you have not provided the Annual Affidavit paperwork needed for this office to determine your continued eligibility with the DBE program, we will be initiating the proceedings to remove your business from the DBE program.

Code of Federal Regulations 49, Part 26.73(c), Part 26.87(d), and Part 26.109(c) state:

**Section 27.73 Other Rules Affecting Certification:**

(c) DBE firms and firms seeking DBE certification shall cooperate fully with your requests (and DOT requests) for information relevant to the certification process. Failure or refusal to provide such information is a ground for a denial or removal of certification.

**Section 26.109 Cooperation:**

(c) All participants in the Department's DBE program (including, but not limited to, recipients, DBE firms and applicants for DBE certification, complainants and appellants, and contractors using DBE firms to meet contract goals) are required to cooperate fully and promptly with DOT recipient compliance reviews, certification reviews, investigations, and other requests for information. Failure to do so shall be a ground for appropriate action against the party involved (e.g., with respect to recipients, a finding on noncompliance; with respect to DBE firms, denial of certification or removal of eligibility and/or suspension and debarment; with respect to a complainant or appellant, dismissal of the complaint or appeal; with respect to a contractor which uses DBE firms to meet goals, findings of non-responsibility for future contracts and/or suspension and debarment).

*"Keep Alaska Moving through service and infrastructure."*







COMPILATION OF BIDS

STATE OF ALASKA - DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES - NORTHERN REGION

Federal No: 0A13017
AKSAS No: 63017
Program No: Z630170000
Project Name: Tok Cutoff Mp 0 - 24 Culvert Replacement
Project Location: Gakona, AK

Opened at: Fairbanks, AK
Date: Tuesday, November 22, 2016
By: Barbara L. Tanner, P.E.

Table with columns: Item No., Description, Quantity, Pay Unit, Unit Price, Amount, and columns for ENGINEER'S ESTIMATE, LOW BIDDER, BIDDER 2, and BIDDER 3.



COMPILATION OF BIDS

STATE OF ALASKA - DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES - NORTHERN REGION

Federal No: 0A13017
AKSAS No: 63017
Program No: Z630170000
Project Name: Tok Cutoff Mp 0 - 24 Culvert Replacement
Project Location: Gakona, AK

Opened at: Fairbanks, AK
Date: Tuesday, November 22, 2016
By: Barbara L. Tanner, P.E.


Summary table with columns: State of Alaska, ENGINEER'S ESTIMATE, LOW BIDDER, BIDDER 2, and BIDDER 3. Includes Total Basic Bid values.

Project Summary: Includes Basic Bid table with columns: ENGINEER'S ESTIMATE, LOW BIDDER, BIDDER 2, and BIDDER 3.

Other Bidders: Includes Basic Bid table listing GRANITE CONSTRUCTION COMPANY, GREAT NORTHWEST, INC., and QAP with contact information.

Other Bidders: Includes Basic Bid table listing MASS EXCAVATION, INC., OSBORNE CONSTRUCTION COMPANY, and HC CONTRACTORS, INC. with contact information.

## AKDOT&PF-54 Contact Report



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**CONTACT REPORT**  
Federal-Aid Contracts

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Project Name and Number

Specific Work or Materials (by pay item): \_\_\_\_\_

**DBE Firm Contacted:**

Nezger Consulting                      3303 W. 82nd Avenue Anchorage, AK 99502                      (907) 244-1880  
Name    Address    Phone Number

**A. INITIAL CONTACT:** (See important contact information on instruction sheet)

1. Date                      9/24/2016                      Method:  Phone     Mail     FAX     Other

2. Person                      Elaine Nezger                      Consultant  
Contacted                      Name    Title

3. DBE's Response: Date: 9/24/2016                      Method:  Phone     Mail     FAX     Other  
 Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)  
 Not interested: Indicate Reason(s) \_\_\_\_\_  
 Needs more information: Date Prime provided requested information \_\_\_\_\_  
 Will provide quote by: Date \_\_\_\_\_  
 Received unacceptable sub-bid (complete Section C)

**B. FOLLOW-UP CONTACT**

1. Date                      \_\_\_\_\_                      Method:  Phone     Mail     FAX     Other

2. Person                      \_\_\_\_\_  
Contacted                      Name    Title

3. DBE's Response: Date: \_\_\_\_\_                      Method:  Phone     Mail     FAX     Other  
 Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)  
 Received unacceptable sub-bid (complete Section C)  
 Other result: \_\_\_\_\_

**C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:**

1. Were the following required efforts made?

a.  Yes  No    Identified specific items of work, products, materials, etc. when asking for quote(s).


b.  Yes  No    Offered assistance in acquiring necessary bonding & insurance.

c.  Yes  No    Provided all appropriate information concerning the specific work items or materials.

2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)?  Yes  No

3. Was the DBE unable to perform in some capacity?  Yes  No    If "Yes", explain: \_\_\_\_\_

**D. CERTIFICATION:** I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.

                      Project Engineer                      11/28/2016  
Signature of Company Representative                      Title    Date

\_\_\_\_\_  
Name of DOT&PF Reviewer                      Title    Date

Form 25A-321A (1/02)

Page 1 of 2

**Blake Anderson**

**From:** Elaine Nezger <alasekn@gci.net>  
**Sent:** Monday, September 26, 2016 2:40 PM  
**To:** Elaine Nezger  
**Subject:** TOK CUTOFF MP 0-24 CULVERT REPLACEMENT SWPPP/HMCP QUOTE

Nezger Consulting is pleased to offer a quote of \$5,400.00 for the preparation of the SWPPP/HMCP for the Tok Cutoff MP 0-24 Culvert Replacement Project. Deliverables include up to 5 printed manuals in 3-ring binder and 2 CDs of the entire manual in pdf format.

A draft will be provided for review and approval. The final version will incorporate resolutions to comments from the review.

The project schedule is an essential element for SWPPP development and must be provided by you. One site visit will be necessary with your project representative to discuss the most appropriate BMPs based on your work methods and the environment.

SWPPP inspections and records maintenance during construction is not included. Ongoing support via telephone and email is included.

The quote does not include a separate SWPPP that may be required for dedicated support sites.

Thank you for this opportunity,

Elaine Nezger, AK-CESCL; CISEC

Nezger Consulting

907-244-1880

Date/Time: Nov. 10. 2016 10:51AM

File No.	Mode	Destination	Pg(s)	Result	Page Not Sent
3510	Memory TX	18889796431	P. 7	OK	

Reason for error  
 E: 1) Hang up or line fail  
 E: 2) No answer  
 E: 3) Exceeded max. E-mail size  
 E: 2) Busy  
 E: 4) No facsimile connection

**Charge**

November 18, 2016

To: Pristine Consulting & Inspection, Inc.  
 Attn: Crystal Wilson  
 7 Pages (including cover)

From: STATE OF ALASKA  
 Project No. 16000000000000000000

**Bids: TOX CUTOFF REP & 24 CULVERT REPLACEMENT**

Project No. 16000000000000000000

Dear Construction, you will be bidding the subject project as a prime contractor on November 18, 2016. Following the request, please find a contact report, and the current bid schedule from the job posted. Please let me know if you need any assistance obtaining information about bonding, insurance, bonding requirements, regulations, contracts, or other assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5577) within as by completing the following:

\_\_\_\_ Yes, our company will not be bidding this project. (Please provide a short explanation why).

\_\_\_\_ Yes, our company will be bidding the following bid items (please check the box in the list of the bid item No.). If you intend to bid other items, please write them into the blank space provided.

Bid Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-751-6911 or email b.anderson@dot.alaska.gov.

Sincerely,  
 Blake Anderson  
 Project Engineer



STATE OF ALASKA  
 DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**CONTACT REPORT**  
 Federal-Aid Contracts

Project Name and Number \_\_\_\_\_

Specific Work or Materials (by pay item): \_\_\_\_\_

DBE Firm Contacted:  
Pristine Consulting & Inspection, P.O. Box 1874 Kenai, AK (907) 548-1305  
 Name Address Phone Number

**A. INITIAL CONTACT:** (See important contact information on instruction sheet)

1. Date 11/10/2016 Method:  Phone  Mail  FAX  Other

2. Person Contacted Crystal Wilson President  
 Name Title

3. DBE's Response: Date: \_\_\_\_\_ Method:  Phone  Mail  FAX  Other  
 Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)  
 Not interested. Indicate Reason(s) \_\_\_\_\_  
 Needs more information: Date Prime provided requested information \_\_\_\_\_  
 Will provide quote by: Date \_\_\_\_\_  
 Received unacceptable sub-bid (complete Section C)

**B. FOLLOW-UP CONTACT**

1. Date \_\_\_\_\_ Method:  Phone  Mail  FAX  Other

2. Person Contacted \_\_\_\_\_  
 Name Title

3. DBE's Response: Date: \_\_\_\_\_ Method:  Phone  Mail  FAX  Other  
 Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)  
 Received unacceptable sub-bid (complete Section C)  
 Other result: \_\_\_\_\_

**C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:**

1. Were the following required efforts made?  
 a.  Yes  No Identified specific items of work, products, materials, etc. when asking for quote(s).  
 b.  Yes  No Offered assistance in acquiring necessary bonding & insurance.  
 c.  Yes  No Provided all appropriate information concerning the specific work items or materials.

2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)?  Yes  No

3. Was the DBE unable to perform in some capacity?  Yes  No If "Yes", explain: \_\_\_\_\_

**D. CERTIFICATION:** I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.

[Signature] Project Engineer 11/28/2016  
 Signature of Company Representative Title Date

\_\_\_\_\_  
 Name of DOT&PF Reviewer Title Date

**Pristine Consulting & Inspections, Inc.**

P.O. Box 1874 Kenai, AK 99611

Phone: (907) 395-0455

Fax: (888) 979-6431

[www.pcialaska.com](http://www.pcialaska.com)

**Quote**

November 22, 2016

Client: Cruz Construction, Inc.

From: Crystal Wilson

Project: **Tok Cutoff MP 0-24 Culvert Replacement**  
Contract#: 63017  
IRIS Program# / Federal#: Z630170000/0A13017  
Addendum(s): 1 - 5  
Erosion, Sediment and Pollution Control Plan Preparation Services  
1 page


We would like to offer this quote to provide Erosion, Sediment and Pollution Control Plan Preparation Services for Tok Cutoff MP 0-24 Culvert Replacement. Services Include:

- |                |   |                                 |
|----------------|---|---------------------------------|
| <b>641 (1)</b> | <b>Erosion Sediment Pollution Control Plan</b>  | <b><u>\$11,500 Lump Sum</u></b> |
|                | <ul style="list-style-type: none"><li>• Preparation of (1) One SWPPP to be implemented by client</li><li>• (1) One site visit, as part of SWPPP Preparation</li><li>• Electronic Submittal to ADEC, including (1) One ADEC fee</li><li>• Electronic Copies of SWPPP for Submittal to AKDOT&amp;PF and Subcontractors</li><li>• (5) Five Hard Copies of SWPPP<ul style="list-style-type: none"><li>▪ (2) Two copies of SWPPP for Contractor</li><li>▪ (3) Three copies of SWPPP for AKDOT&amp;PF</li></ul></li></ul> |                                 |

Client will provide list of subcontractors, phases of construction, current project schedule, project specifications and drawings and any additional information needed to complete plan. Changes made to services will incur additional charges. Management, installation, maintenance, repairs, removal and material supply of Best Management Practices are not included. Services will be provided by a Certified Inspector of Sediment and Erosion Control (CISEC) and/or Alaska Certified Erosion Sediment Control Lead (AK-CESCL).

Please contact us for any questions or concerns.

# AKDOT&PF-55 Disadvantaged Business Enterprise Utilization Report



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

## DISADVANTAGED BUSINESS ENTERPRISE UTILIZATION REPORT

Federal-Aid Contracts

**Tok Cutoff MP 0-24 Culvert Replacement, 0A13017/Z630170000**

Project Name and Number

The undersigned hereby certifies on behalf of the bidder that:

A. It  is  is not a DOT&PF certified DBE or DBE joint venture.

B. The required good faith efforts (GFE) documentation is attached.

C. Listed below are the certified DBEs to be used in this contract. Included are the firm name, bid items or portions of work to be performed by the item number, type of DBE credit claimed, and the creditable dollar amount to be counted toward the Department's overall DBE Utilization Goal.

FIRM NAME	BID ITEM, WORK, OR PRODUCT	SUBCONTRACT AMOUNT*	TYPE OF CREDIT	CREDITABLE DOLLAR AMOUNT**
Netzger Consulting	6A1 - SWPPP	\$5,400.00		\$ 5,400.00
				\$
				\$
				\$
				\$
				\$

\*or expenditure amount or fee/commission amount. \*\* (Subcontract amount x Creditable CUF % per 120-4.01).  
If more room necessary, submit additional, signed copies of this form.

Total creditable DBE Utilization Amount	\$ 5,400.00
Basic Bid Amount	\$ 6,367,192.00
DBE Utilization as % of Basic Bid Amount	0.08 %
Department's Overall DBE Utilization Goal***	8.46 %

\*\*\*This is the overall goal of the Department and is not a set DBE Goal specific to this contract.

*[Signature]*  
Signature of Authorized Company Representative

Project Engineer  
Title

Cruz Construction, Inc.  
Company Name

7000 E. Palmer-Wasilla Hwy, Palmer, AK, 99645  
Company Address (Street or PO Box, City, State, Zip)

11/30/2016  
Date

(907) 746-3144  
Phone Number

Form 25A-325C\_RN (07/2015)

Page 1 of 1

## AKDOT&PF-56 Subcontractor Summary

SUBCONTRACT SUMMARY										
Project Name: Airport Way Preventative Maintenance, Stage I						Advertised: 9/17/2013				
Project Number: NHS-0610(006)60921						Bids Opened: 10/8/2013				
Contractor: Exclusive Paving						LIA: 10/14/2013				
Address: PO Box 60750						LOA: 10/29/2013				
Fairbanks, AK 99706						Original Completion Date: 8/15/2014		9/15/2014		CO#9
645 Training: 0						NTP Eff Date: 11/14/2013				
Advertised DBE Goal: 22.50% (Awarded 24.80%)						Precon Date: 3/21/2014				
Award Amount: \$5,388,088.84						Date Contract Time Stopped: 10/9/2014				
1/2 of 1%: \$26,940.44						CROs DBE Participation: 30.35%				
DBE Clearance Date: 10/22/2015										
#	Subcontractor & Items	VALUE % OF TOTAL CONTRACT	DBE \$\$ COMMITMENT AS AWARDED	DBE WORK COMMITMENT AS AWARDED	DBE \$\$ & WORK PER CERTIFICATION	SELF CERT REC'D	*ACCEPTED? REVIEWED? DATE	Anticipated Start Date	CUF	Scanned & Distributed
			<b>\$1,336,499.72</b>							
1	Arctic Surveys 642(6) Surveying	0.28%				3/21/014	Accepted 3/25/2014	4/1/2014		3/25/2014
9	Becker Trucking hauling 201(2B), 202(15), 301(1), 401(1)	2.96%		NONE	Hauling \$159,500 5% & 100% credit	3/22/2014	Accepted 3/23/2014	5/22/2014	3/2/2015	5/23/2014
2	Emulsion Products 402(1) Distributor Truck	0.80%		NONE		3/21/2014	Accepted 5/20/2014* Subcontract Complies 5/23/2014	May-14		5/23/2014
		4.04%								
3	Hot Wire Electric 660(1) A-H, 660(30)	21.10%	\$1,136,792.00	\$1,136,792.00	\$1,136,762.00	3/21/2014	Accepted 3/25/2014	4/1/2014	3/2/2015	3/25/2014
		25.14%	\$1,136,792.00	660(1) A-H items, 660(30)	SAME					
11	Jolt Construction 615(1)	3.71%	\$199,707.72	\$199,707.72	SAME	5/28/2014	Accepted 5/29/2014	5/29/2014	3/2/2015	5/29/2014
		28.85%	\$1,336,499.72	615(1) items	SAME					
8	KJ Enterprises 643(108)	0.28%				5/22/2014	Accepted	6/1/2014		5/23/2014
		29.12%								
4	MAPPA, Inc. 401(1) Testing	0.08%				3/21/2014	Accepted 3/25/2014	4/1/2014		3/25/2014
		29.21%								
5	Northwest Barriers 606(1), 607(3)	4.40%				3/21/2014	Accepted 3/25/2014	4/1/2014		3/25/2014
		33.61%								
6	Pacific Asphalt 670(108)	5.38%				3/21/2014	Accepted 3/25/2014	4/1/2014		3/25/2014
		38.99%								
10	PFK Enterprises hauling: 201(2B), 202(15), 301(1), 401(1)	0.72%		NONE	Hauling	5/22/2014	Accepted 5/23/2014	5/22/2014	3/2/2015	5/23/2014
		39.71%		NONE	\$1,947.00					
7	Rady Concrete 608(1a), 609(2)	0.17%				3/21/2014	Accepted 3/20/2014* Subcontract Complies 5/23/2014	May-14		5/23/2014
		39.89%								
12	Big Horn Enterprises (9A) (Sub to Becker)	0.00%				6/6/2014	Accepted 6/6/2014	6/2/2014		6/6/2014
		39.89%								
13	FW Scott	0.15%				7/30/2014	Accepted	Jul-14		7/31/2014
		40.04%								
14	Alaska ITS (3A) (Sub to Hotwire)	0.00%				8/26/2014	Accepted 8/27/2014	Aug-14		8/27/2014
		40.04%					No			
<b>Designation</b>						<b>*Cert Accepted as Complete</b>				
Travis Donovan, Project Engineer, 10/13										
M. Carey, Project Manager, 10/13										
Nancy Birkholtz, Office Engineer										
						EEO Officer: Sarah Lefebvre Dated: 2/19/2014 To CRO: 3/19/2014				
<b>Notes:</b>										
5/20/14 Approved Rady and Emulsion Contractor Self Certs. Sarah will send over full subcontracts for review this week.										
5/23/14 Rec'd subcontracts for Rady and Emulsion Products.										

SUBCONTRACT SELF CERT CHECKLIST									
Project Name		Airport Way Preventative Maintenance, Stage I							
Project Number		NHS-0610(006)/60921							
Prime Contractor:		Exclusive Paving							
Contract Award Amount:		\$5,388,088.84				1/2 of 1%:		\$26,940.44	
Subcontractor Name:		Rady Concrete							
Address:		PO Box 60750 Fairbanks AK 99706							
XX	Named on 25D-5?	Work Listed: 608(1a) Concrete Sidwalk, 609(2) Curb and Gutter Type 1							
		Work in Subcontract: 608(1a) Concrete Sidwalk, 609(2) Curb & Gutter Type 1							
XX	Subcontract Value Less than 1/2 of 1%?	1/2 of 1%: \$26,940.44							
XX	Self Cert Complete & Signed?	Alaska Statute Pay Requirements				XX			
XX	Project Named?	Subcontract Executed?				XX			
XX	Main Contract Incorporated?	Registered Bidder?				XX			
XX	25A302/EEO Designation (if >\$10,000)	SAM Check →							
XX	Business License #	925795				Exp. Date:		12/31/2014	
	Business Name	Rady Concrete Construction LLC							
XX	Contractor License #:	34476				Exp. Date:		12/31/2015	
	Business Name:	Rady Concrete Construction							
	General / Specialties:	Specialty: Concrete & Paving, Landscaping, Tile & Terrazzo							
	Occupational License #:	PLS / MA / EA / Auth. Corp.				Exp. Date:			
	Licensee Name:								
	Activity/Assigned To:								
	Cert Rec'd:	3/21/2014				Package Requested:		3/22/2014	
	Subcontract Amount:	\$9,316.65							
	Item Bid Values	608(1a) Concrete Sidwalk, 4 inches thick \$4,110.75							
		609(2) Curb and Gutter, Type 1 \$5,205.90							
	Subcontract Value:	\$9,317				0.17%			
<b>DBE</b>	Advertised Goal:	22.50%				DBE As Awarded:		<b>\$1,336,499.72</b>	
		(Utilization Commitment)							
<b>25A325 DBE Commitment or Non Comp Quote</b>					<b>DBE Categories:</b>				
		N/A				N/A			
<b>POTENTIALLY CREDITABLE AMOUNT: \$</b>									
XX	<b>Subcontract Compliance Confirmed in accordance with CED 07-02</b>								
	Erin Anderson, Contract Compliance							Date	

## AKDOT&PF-57 Engineers Estimate

<b>ENGINEER'S ESTIMATE</b>  <b>State of Alaska</b> <b>Department of Transportation</b> <b>&amp; Public Facilities</b> <b>Northern Region</b>	HSIP: Dalton, Elliott and Steese Highways Signing and Striping PS&E AKSAS No.: Z842520000 Program No.: Federal No.: 0002317 Version ID: 45586 Printed: 6/13/2016 12:12:28 PM
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**Basic Bid**

Item Number	Description	Quantity	Unit	Unit Price	Amount
615(1)	Standard Sign	8,258.25	Square Foot	100.00	825,825.00
615(6)	Salvage Sign	253	Each	150.00	37,950.00
615(116)	Signpost Extension	70	Each	150.00	10,500.00
615(117)	Rock Sign Installation	5	Each	2,000.00	10,000.00
640(1)	Mobilization And Demobilization	All required	Lump Sum	170,000.00	170,000.00
640(4)	Worker Meals and Lodging, or Per Diem	All required	Lump Sum	200,000.00	200,000.00
641(108)	Pollution Control	All required	Lump Sum	30,000.00	30,000.00
642(1)	Construction Surveying	All required	Lump Sum	100,000.00	100,000.00
643(2)	Traffic Maintenance	All required	Lump Sum	360,000.00	360,000.00
643(23)	Traffic Price Adjustment	All required	Contingent Sum	0.00	0.00
644(1)	Field Office	All required	Lump Sum	40,000.00	40,000.00 (CF-CENG)
644(6)	Vehicles	All required	Lump Sum	20,000.00	20,000.00 (CF-CENG)
670(1)	Painted Traffic Markings	All required	Lump Sum	35,000.00	35,000.00
<b>PROJECT Summary</b>	Pay Items:	13 Items		Subtotal:	1,839,275.00
	Minus Contractor Furnished CENG Items			Exc Subtotal:	-80,000.00
	Construction Engineering (Percentage)	20%		CENG Subtotal:	356,856.00
	Indirect Cost Allocation Plan (ICAP)	4.65%			99,283.55
	<b>TOTAL PARTICIPATING</b>				<b>2,234,413.55</b>
	<b>ADDED COSTS (Not part of the Contract)</b>				
	<b>PROJECT TOTAL</b>				<b>2,234,413.55</b>

J. Miranda

Prepared By: Jessi Miranda

Ron Martindale

Checked By: Ron Martindale

6/6/2016

Page 1 of 1



## AKDOT&PF-58 OJT Goals

6/20/2016 S. Jarvis/E. Anderson					
Please include the following information from the project:					
Project Number:	64257	HSIP: Eastern AK Named Highways Signs and Striping			
Basic Bid Amount:	\$2,083,825.00				
Non-Labor Cost:	\$1,436,883.25				
Minimum # of Positions	0.32	Round up only if over .75			
Minimum # of Hours	155.27	Round to 500 hours per position			
<b><i>If the basic bid amount is below \$1.5M there will be no 645 OJT goal.</i></b>					
Goal: 0 Position 0 Hours					
> <span style="background-color: #e0e0e0; padding: 2px;">Enter Info</span> Minimum # of Positions   Minimum # of Hours   Non-Labor Items   ⊕ : ◀					

AB	C	D	E	F	G	H	I	J	K
	Project Number:		64257						
{ (	\$2,083,825.00	-	\$1,436,883.25	)*	0.3	}/	\$100,000.00	=	1.94
	Basic Bid Amount		Non-Labor Cost		Labor Factor		EE Average Cost		Total # of Positions
	1.94	/	6	=	0.32				
	Total # of Positions		~16% of Workforce		Minimum number of apprentices for 645 Item				
> <span style="background-color: #e0e0e0; padding: 2px;">Enter Info</span> <span style="background-color: #e0e0e0; padding: 2px; border: 1px solid green;">Minimum # of Positions</span>   Minimum # of Hours   Non-Labor Items   ⊕									

A	B	C	D	E	F	G	H	I	J	K	
		Project Number:		64257							
{		\$2,083,825.00	-	\$1,436,883.25	) *	0.3	}	/	\$75	=	2,587.77
		Basic Bid Amount		Non-Labor Cost		Labor Factor			Average Cost per Worker Hour		Total # of worker hours
		2,587.77	/	5	=	517.55					
		Total # of worker hours		1-5 apprentice ratio		Total # of Apprentice Hours					
		517.55	*	0.3	=	155.27					
		Total # of Apprentice Hours		30% of Apprentice Hours		Total # of Item 645 Apprentice Hours					

64257	Project Number	TOTAL	\$1,436,883.25	Include all 640, 641, 644, 645, & 646 bid items Also include any contingent sum items
Item #	Item Description		Unit Price	
640(1)	Mob/Demob		\$190,000.00	
640(4)	Worker Meals and Lodging, or Per Diem		\$140,000.00	
641(108)	Pollution Control		\$35,000.00	
643(23)	Traffic Price Adjustment		\$0.00	
644(1)	Field Office		\$40,000.00	
644(6)	Vehicles		\$20,000.00	
	Less cost of construction materials (40%)		\$663,530.00	\$425,000.00
	Less profit and overhead (35%)		\$348,353.25	\$1,088,530.00

## AKDOT&PF-59 OJT Goals Set

	A	B	C	D	E	F
1	ICTL	ITMDESC		ITMUNIT	ITMQUAN	ENGPRI
2	200b.1	CLEARING	\$15,000	LUMP SUM	1.00	15000.00
3	330g.1	BORROW EMBANKMENT	\$388,800	CUBIC YARD	32400.00	12.00
4	540.1	AGGREGATE SURFACE COURSE	\$105,000	CUBIC YARD	4200.00	25.00
5	550a.1	GEOTEXTILE, SEPARATION	\$39,600	SQUARE YARD	19800.00	2.00
6	730.1	REFLECTIVE MARKERS	\$500	EACH	10.00	50.00
7	1000.1	AIRPORT LIGHTING	\$95,000	LUMP SUM	1.00	95000.00
8	1020a.1	AIRPORT BEACON POLE	\$8,000	LUMP SUM	1.00	8000.00
9	100	MOBILIZATION AND DEMOBILIZATION	\$250,000	LUMP SUM	1.00	250000.00
10	120	DBE ADJUSTMENT	\$5,000	CONTINGENT SUM	1.00	5000.00
11	125	ENGINEERING TRANSPORTATION	\$10,000	LUMP SUM	1.00	10000.00
12	131	ENGINEER'S FIELD OFFICE	\$10,000	LUMP SUM	1.00	10000.00
13	330g	BORROW EMBANKMENT	\$98,400	CUBIC YARD	8200.00	12.00
14	330h	SILT BORROW	\$35,000	LUMP SUM	1.00	35000.00
15	540	AGGREGATE SURFACE COURSE	\$215,500	CUBIC YARD	8620.00	25.00
16	550a	GEOTEXTILE, SEPARATION	\$143,000	SQUARE YARD	71500.00	2.00
17	730	REFLECTIVE MARKERS	\$3,150	EACH	63.00	50.00
18	821	TIE-DOWN ANCHORS, DUCKBILL	\$1,800	EACH	12.00	150.00
19	900d	SEEDING	\$10,000	LUMP SUM	1.00	10000.00
20			\$0			
21			\$0			
22			\$0			\$438,328
23			#VALUE!			

Form to be completed as established by Regional policy.						
Project Name:		HSIP: Dalton, Elliot, and Steese Highways Signing & Striping				
Project Location (relative to nearest large community):		Fairbanks				
Project No:		64252				
Estimated Contract Amount:		\$1,839,275.00				
Estimated Total Subcontract Percentage:		5.44%		Region	Mail Stop	Phone No.
Prepared By:	Sara Jarvis/Erin Anderson	Date:	6/20/2016	Northern	2550	451-3055
SUBCONTRACTABLE ITEMS				3 DBE's in Region and/or Statewide		Recommended Category
Bid Item No.	Description of Work or Portion of Work	Estimated Value	% of Total	YES	NO	
642(1)	Construction Surveying	\$100,000	5.44%	X		Surveying Licensed-Construction

## AKDOT&PF-60 Contractor Self-Certification for Subcontractors

<b>Alaska Department of Transportation &amp; Public Facilities</b>	
Contractor Self Certification for Subcontractors and Lower Tier Subcontractors (Form 25D-042)	
Project Name: [REDACTED]	
Project Number: [REDACTED]	Federal-Aid Number: [REDACTED]
Submission Number: [REDACTED]	
Subcontractor or Lower Tier Subcontractor: [REDACTED]	
<p><b>Contractor Certification</b></p> <p>Agreement as included herein refers to the legally binding written contract between the Contractor and Subcontractor or between the Subcontractor and Lower Tier Subcontractor and identified in items 1 or 2 below.</p> <p>1. <input type="checkbox"/> A written agreement has been executed between Contractor and the above listed subcontractor.</p> <p>2. <input type="checkbox"/> A written Agreement has been executed between [REDACTED] (Subcontractor) and the above listed Lower Tier Subcontractor</p> <ul style="list-style-type: none"> <li>• All Subcontractors are qualified to perform the work.</li> <li>• All Subcontractors have adequate insurance as required by the Contract, or the Contractor has adequate insurance for the Subcontractor(s) as required by the contract.</li> <li>• All subcontractors are included on the Bidder's Registration List.</li> <li>• The "Prompt Payment" clauses (AS 36.90.210) are included in the Agreement language.</li> <li>• All requirements and pertinent provisions of the Contract, including but not limited to, Form 25D-55 (included in the contract), Required Contract Provisions for Federal Aid Construction Contracts, DBE provisions, and minimum wage rates, are included in the agreement.</li> <li>• All agreements with Subcontractors and with Lower Tier Subcontractors will be in continued compliance with all provisions of the Contract.</li> <li>• The Contractor remains responsible for all quality control and proper performance of all requirements of the Contract.</li> <li>• The Contractor will continue to perform at least thirty percent (30%) of the Contract work with his own organization.</li> <li>• This Contractor Self Certification does not relieve the Contractor and his surety, or either the Contractor or surety from any liability or responsibility under the Contract.</li> <li>• The Contractor certifies firms or individuals debarred or suspended by the Department, FAA, or FHWA are not employed or subcontracted under this construction project.</li> </ul>	
Total Agreement Amount: [REDACTED]	
Total Agreement Amount is [REDACTED] % of the Total Contract Award Amount.	
Total cumulative subcontracts (including this Agreement) are [REDACTED] % of the Total Contract Award Amount.	
Form 25D-042 (10/09)	

<p><b>Subcontractor or Lower Tier Subcontractor</b></p> <p>Federal I.D. No. (if no Federal I.D. No., use owner SSN): [REDACTED]</p> <p>Business License Number: [REDACTED]</p> <p>Contractor's License Number: [REDACTED]</p> <p>Electrical/Mechanical Administrator's License Number (if applicable): [REDACTED]</p> <p>Surveyor's License Number (if applicable): [REDACTED]</p> <p>Phone Number: [REDACTED]</p> <p>Address: [REDACTED]</p> <p>City: [REDACTED] State: [REDACTED]</p> <p>Estimated Starting Date: [REDACTED]</p>
<p><b>Department's Request for Information</b> – If the Department at any time makes written request for the Agreement, licenses, proof of insurance, or any other information relating to the certifications contained herein, the Contractor will deliver an executed copy of the Agreement and/or other requested information to the Department within five calendar days. If the Contractor fails to provide the requested information within five calendar days, or if the Contractor fails to include required language and conditions in the Agreement, the Department may suspend all work relating to the Agreement. The Contractor shall not be due any additional compensation or contract time if the Department suspends work due to the Contractor's failure to provide requested information or failure to include required language and conditions in the Agreement.</p>
<p><b>False Statement or Omission</b> – If a false statement or omission is made in connection with this Contractor Self Certification the Contractor will be excluded from participating in the self-certification process for the remainder of this Contract and for the following construction season. Contractors excluded from the self-certification process will be required to submit all necessary information for the Department's approval of proposed Subcontractors or Lower Tier Subcontractors.</p> <p>Any false statement or omission made in connection with this Contractor Self Certification may be cause for suspension, a determination of non-responsibility on future bids, and may be cause for revocation of award, default, or debarment. The person or entity making the false statement or omission is subject to any and all civil and criminal penalties available pursuant to applicable state and federal law.</p>
<p>I certify the above information and statements are true, correct, and complete.</p> <p>Contractor: [REDACTED]</p> <p>By: _____ Date: [REDACTED]</p> <p>Title: [REDACTED]</p>
Form 25D-042 (10/09)

## AKDOT&PF-61 FAA Memo E-mail of Concurrence to Advertise

**From:** [Hughes, Aaron C \(DOT\)](#)  
**To:** [McLean, Julie F \(DOT\)](#)  
**Subject:** FW: ANC Gates B1, B3 & B5 Reconstruction request approval to advertise  
**Date:** Wednesday, December 07, 2016 10:31:52 AM

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**From:** [Patrick.Zettler@faa.gov](mailto:Patrick.Zettler@faa.gov) [mailto:[Patrick.Zettler@faa.gov](mailto:Patrick.Zettler@faa.gov)]  
**Sent:** Monday, November 21, 2016 3:55 PM  
**To:** Kiehl, Ralph W (DOT)  
**Cc:** St Aubin, Joel G (DOT); Smith, Sharon L (DOT); Hughes, Aaron C (DOT); [Kristi.Warden@faa.gov](mailto:Kristi.Warden@faa.gov)  
**Subject:** RE: ANC Gates B1, B3 & B5 Reconstruction request approval to advertise

Ralph:

The FAA concurs with advertising the subject project.

Thanks

Pat Zettler P.E.  
Alaska Region Airports Division  
AAL-622  
907-271-5446

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**From:** [Kiehl, Ralph W \(DOT\)](#) [mailto:[ralph.kiehl@alaska.gov](mailto:ralph.kiehl@alaska.gov)]  
**Sent:** Monday, November 21, 2016 2:29 PM  
**To:** Zettler, Patrick (FAA)  
**Cc:** St Aubin, Joel G (DOT); Smith, Sharon L (DOT); [aaron.hughes@alaska.gov](mailto:aaron.hughes@alaska.gov); Warden, Kristi (FAA)  
**Subject:** ANC Gates B1, B3 & B5 Reconstruction request approval to advertise

Hello Pat,

Attached is a request to advertise the subject project. Please let me know if you have any questions or comments. Thanks.

## AKDOT&PF-62 FAA Authority to Advertise

### MEMORANDUM

### State of Alaska

Department of Transportation & Public Facilities  
Construction – Central Region  
Aviation Design

**TO:** Wolfgang E. Junge, P.E.  
Preconstruction Engineer  
Central region

**DATE:** November 22, 2016

**THRU:** Cynthia Morales  
Project Control Chief

**TELEPHONE NO:** 907-269-0414  
**E-MAIL:** sharon.smith@alaska.gov

**FROM:** Sharon Smith, P.E.  
Chief of Contracts

**SUBJECT:** ANC Gates B1, B3 & B5  
Reconstruction  
Project No. Z591200000  
AIP No. 3-02-0122-180-2017


#### AUTHORITY TO ADVERTISE

The referenced project is complete and ready for advertising.

FAA Authority to Advertise received November 21, 2016.

#### Sufficient Legislative Authority has been received

Construction funding is as follows: Phase 4 Engineer's Estimate: \$7,254,972  
(Basic Bid + CE + ICAP)

  
Cynthia Morales  
Project Control Chief

Date 11/22/16

On the basis of this certification, I grant approval and authority to advertise the above referenced project.

  
Wolfgang E. Junge, P.E.  
Preconstruction Engineer

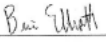

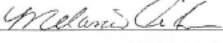
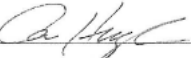
Date 11/22/16

Attachments: Project Certification  
Engineer's Estimate  
FAA Approval to Advertise

cc: Wolfgang E. Junge, Preconstruction Engineer  
Joel G. St. Aubin, P.E., Aviation Design Section Chief

### PROJECT CERTIFICATION for FAA and State-Funded

Project No.: Z591200000  
Federal Project No.: 3-02-0016-XXX-2017  
Project Name: ANC Gates B1, B3, B5 and L+ Reconstruction  
Phase 4 Engineer's Estimate:  
(Basic Bid + CE + ICAP)

Certification	Title
All environmental commitments are included in the PS&E. All regulatory permits necessary for the construction of this project have been obtained.	Regional Environmental Manager
Brian Elliot	
Signature 	Date <u>11/10/16</u>
Certification	Title
Right-of-way has been certified.	Regional Right-of-Way Chief
John Linnell, P.E.	
Signature 	Date <u>11/15/16</u>
Certification	Title
All necessary utility agreements are in place.	Utilities Manager
Melanie Arnold, P.E. Bid opening cont. on signed Utility Agreements	
Signature 	Date <u>11/15/16</u>
Certification	Title
The PS&E is complete and has been developed in accordance with the appropriate standards.	Engineering Manager
Aaron Hughes, P.E.	
Signature 	Date <u>11/15/16</u>

The Final PS&E is complete and approved:

  
Wolfgang E. Junge, P.E.  
Regional Preconstruction Engineer

Date 11/14/16

# AKDOT&PF-63 Design Status Report

## Design Status Report

Program #: Z580130000	Federal Project #: 0A15025	Design Manager: KEIFER, KRISTEN E
AKSAS #: 58013	Ledger Code: 30511822	Construction Manager: SCHUMACHER, BRIAN J
Need ID: 2320	End Date: 12/31/2019	Area Planner:
Project Name: GLENN HWY: MP 53 TO 56 RECONST-MOOSE CK CANYON		
Remarks:		
Project Scope	10/12/2004	Reconstruct Glenn Hwy from MP 53 to 56 to include roadway realignment, replacement of the Moose Creek Bridge #0541, paving and drainage improvements, Reconstruct Evaluate erosion at MP 49 and construct needed improvements.
Project Scope	12/31/2009	Revise scope to delete the MP 49 scope of work.

### Program Summary

STIP / TIP Information			
Project Phase	2017	2018	2019
Right of Way	3,000.0	0.0	0.0
Construction	0.0	0.0	0.0
Utilities	0.0	0.0	0.0

Latest Estimates for Future Obligations					
Project Phase	Expected Date	Participating	Non-Participating	Estimate Date	Comment
Right of Way	06/15/2017	3,000.0	0.0	02/17/2015	ATP App & Aq Req. Date depended on 106 MOA resolution.
Construction	01/15/2019	60,000.0	0.0	02/17/2015	ATP Const Req PIH Review
Utilities	01/15/2019	1,000.0	0.0	08/01/2014	Utility Relo Req

### Project Funding and Expenditure Summary

Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Design	2,353,305	806,442	-24,375	112,641	1,634,222

### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			
In-House Scoping Meeting			
ATP through Reconnaissance Study			
ATP through Environmental Document			09/26/2005
Document to FHWA/Statewide			
Document Approved			08/13/2012
ATP through Final PS&E			09/13/2012
Design Study Report Approved			10/27/2015
Local Review			08/26/2014
Plans In Hand Review			03/16/2015
PS&E Review		10/15/2018	
ATP through Appraisals & Acquisitions		07/15/2017	
ATP through Utility Relocation		02/15/2019	
Signed Agreements		12/15/2018	
Right Of Way Certification		12/15/2018	
ATP through Construction		02/15/2019	

Estimated Advertise Date:

### Project Status

Project Information	Designer: HDR (Sherk)
Project Progress	11/01/2016 PM Related: We are working with DOT&PF Tribal Relations Liaison, FHWA, and DOL regarding the existing Moose Creek Bridge. The time extension request through February 2016 has been approved. Design: Mainly support role. Working with Materials on final recommendations and getting volumes. ROW: Mapping/parcel plats draft sent and reviewed. Preliminary ROW mapping products are scheduled to be submitted to the Borough soon. Eklutna is steering conversation with BLM regarding the 17b easement. ROW is reaching out to BLM too. PI: E-newsletter and public meeting scheduled for later this year. Hosted a booth at the Mat-Su Transportation Fair. Enviro: The findings letter was submitted to all consulting parties. There is a finding of adverse effects to historic properties, negotiations will occur for a memorandum of agreement, MOA. The MOA will mitigate the project impacts on cultural resources. Utilities: MEA has delivered their design and tentatively. Materials: Materials provided draft recommendations to design. Bridge: Drilling was pushed back to next winter since the cultural resource findings of effect is required to include the drilling and access areas. Bridge section is aware of the new drilling schedule for winter 2016-2017. A seismic survey by Statewide is scheduled for November. This work will not disturb original ground or vegetation.

12/27/16 1:38 PM

Project ID: 40424

## Design Status Report

Program #: Z580130000	Federal Project #: 0A15025	Design Manager: KEIFER, KRISTEN E
AKSAS #: 58013	Ledger Code: 30511822	Construction Manager: SCHUMACHER, BRIAN J
Need ID: 2320	End Date: 12/31/2019	Area Planner:
Project Name: GLENN HWY: MP 53 TO 56 RECONST-MOOSE CK CANYON		
Remarks:		
Document Type:	Environmental Assessment Re-evaluation	Contact: DIETRICK, MATTHEW V
Environmental Progress	10/26/2016	CURRENT TASKS: DOT&PF Central Region cultural resource specialist resolving concerns from consulting parties, specifically SHPO, in regards to the finding of adverse effect letter. Completion of EA reevaluation dependent on completion of Section 106 (including memorandum of agreement to resolve adverse effects) and 4(f) consultations.

COMPLETED TASKS: Section 106 finding of adverse effect letters delivered to consulting parties on 5/26/2016. SHPO responded with several concerns requiring resolution prior to their concurrence. FHWA concurred that there will no 4(f) use of the 17(b) easement on 4/29/2016. ADFG fish habitat permit for geotech investigation received on 1/14/2016, expires on 4/15/2018. Agency project update delivered on 10/5/2015, no comments received. Section 106 consultation meetings with consulting parties completed on 9/17/2015, additional survey work is required prior to submission of finding of effect letters. Wetland and noise reports complete, noise abatement measures are not recommended. Public open house completed 9/10/2014, general sentiment from attendees was in support of the project. FHWA confirmed that a reevaluation of the 1993 EA/FONSI is the appropriate level of documentation, 11/25/2013. Re-evaluation #1 of 1993 EA/FONSI approved by FHWA on 8/13/2012. Original EA/FONSI was approved by FHWA January 1993.

ISSUES/PROBLEMS: None

Right of Way Information	ROW Progress	Contact:
	05/14/2016	Preparing SSB for PDA request.
Utility Information		Contact: BARKSHIRE, BRITTANY D
	11/01/2016	MEA provided an updated design on 2/8/16. No information has been received from AT&T or MTA. ARRC provided a letter approving the road alignment on 8/29/15. PE Authorization will be provided to AT&T and MTA once updated F Sheets are provided.
Materials Geotech Information		Contact: PAVEY, ANDREW
	05/10/2012	Preliminary field work and recommendations complete.
Bridge Information		Contact: MARX, ELMER E
	Bridge #: 541	Bridge Name: MOOSE CREEK
	Bridge Scope	10/04/2007 Replace the existing bridge on new alignment.
	Bridge Progress	10/27/2016 See Br. No. 2223
Bridge Information		Contact: MARX, ELMER E
	Bridge #: 2223	Bridge Name: MOOSE CREEK
	Bridge Scope	05/08/2015 New bridge replacing existing Br. No. 541.
	Bridge Progress	10/27/2016 Sent Prelim. Plans 2/5/2015. Foundation drilling expected winter of 2016 / 2017.

12/27/16 1:38 PM

Project ID: 40424


## AKDOT&PF- 64 00 SubTrack Workbook 60921

SUBCONTRACT SUMMARY										
Project Name: Airport Way Preventative Maintenance, Stage I				Advised: 9/17/2013						
Project Number: NHS-0610(006)/60921				Bids Opened: 10/8/2013						
Contractor: Exclusive Paving				LIA: 10/14/2013						
Address: PO Box 60750				LOA: 10/29/2013						
Fairbanks, AK 99706				Original Completion Date: 8/15/2014		9/15/2014 CO#9				
645 Training: 0				NTP Eff Date: 11/14/2013						
Advised DBE Goal: 22.50% (Awarded 24.80%)				Precon Date: 3/21/2014						
Award Amount: \$5,388,088.84				Date Contract Time Stopped: 10/9/2014						
1/2 of 1%: \$26,940.44				DBE Clearance Date: 10/22/2015		CROs DBE Participation: 30.35%				
#	Subcontractor & Items	VALUE % OF TOTAL CONTRACT	DBE \$\$ COMMITMENT AS AWARDED	DBE WORK COMMITMENT AS AWARDED	DBE \$\$ & WORK PER CERTIFICATION	SELF CERT RECD	*ACCEPTED? REVIEWED? DATE	Anticipated Start Date	CUF	Scanned & Distributed
1	Arctic Surveys 642(6) Surveying	0.28%	\$1,336,499.72			3/21/2014	Accepted 3/25/2014	4/1/2014		3/25/2014
9	Becker Trucking hauling 201(2B), 202(15), 301(1), 401(1)	2.96%		NONE	Hauling \$159,500 5% & 100% credit	3/22/2014	Accepted 3/23/2014	5/22/2014	3/2/2015	5/23/2014
2	Emulsion Products 402(1) Distributor Truck	0.80%		NONE		3/21/2014	Accepted 5/20/2014* Subcontract Completes 5/23/2014	May-14		5/23/2014
3	Hot Wire Electric 660(1) A-H, 660(30)	21.10%	\$1,136,792.00	\$1,136,792.00	\$1,136,762.00	3/21/2014	Accepted 3/25/2014	4/1/2014	3/2/2015	3/25/2014
11	Jolt Construction 615(1)	25.14%	\$1,136,792.00	660(1) A-H Items, 660(30)	SAME	5/28/2014	Accepted 5/29/2014	5/29/2014	3/2/2015	5/29/2014
8	KJ Enterprises 643(108)	3.71%	\$199,707.72	\$199,707.72	SAME	5/22/2014	Accepted 6/1/2014	6/1/2014		5/23/2014
4	MAPPA, Inc. 401(1) Testing	28.85%	\$1,336,499.72	615(1) Items	SAME	3/21/2014	Accepted 3/25/2014	4/1/2014		3/25/2014
5	Northwest Barriers 606(1), 607(3)	0.28%				3/21/2014	Accepted 3/25/2014	4/1/2014		3/25/2014
6	Pacific Asphalt 670(108)	29.12%				3/21/2014	Accepted 3/25/2014	4/1/2014		3/25/2014
10	PFK Enterprises hauling: 201(2B), 202(15), 301(1), 401(1)	4.40%		NONE	Hauling \$1,947.00	5/22/2014	Accepted 5/23/2014	5/22/2014	3/2/2015	5/23/2014
7	Rady Concrete 608(1a), 609(2)	33.61%				3/21/2014	Accepted 3/20/2014* Subcontract Completes 5/23/2014	May-14		5/23/2014
12	Big Horn Enterprises (Sub to Becker)	38.99%				6/6/2014	Accepted 6/6/2014	6/2/2014		6/6/2014
13	FW Scott	0.08%				7/30/2014	Accepted 7/31/2014	Jul-14		7/31/2014
14	Alaska ITS (Sub to Hotwire)	29.12%				8/26/2014	Accepted 8/27/2014	Aug-14		8/27/2014
		40.04%					No			
Designation						*Cert Accepted as Complete				
Travis Donovan, Project Engineer, 10/13						EEO Officer: Sarah Lefebvre Dated: 2/19/2014 To CRO: 3/19/2014				
M. Carey, Project Manager, 10/13										
Nancy Birkholtz, Office Engineer										
Notes:										
5/20/14 Approved Rady and Emulsion Contractor Self Certs. Sarah will send over full subcontracts for review this week.										
5/23/14 Rec'd subcontracts for Rady and Emulsion Products.										

SUBCONTRACT SELF CERT CHECKLIST										
Project Name: Airport Way Preventative Maintenance, Stage I										
Project Number: NHS-0610(006)/60921										
Prime Contractor: Exclusive Paving										
Contract Award Amount: \$5,388,088.84		1/2 of 1%:		\$26,940.44						
Subcontractor Name: Rady Concrete										
Address: PO Box 60750 Fairbanks AK 99706										
XX	Named on 25D-5?		Work Listed: 608(1a) Concrete Sidwalk, 609(2) Curb and Gutter Type 1							
		Work in Subcontract: 608(1a) Concrete Sidwalk, 609(2) Curb & Gutter Type 1								
XX	Subcontract Value Less than 1/2 of 1%?		1/2 of 1%:		\$26,940.44					
XX	Self Cert Complete & Signed?		Alaska Statute Pay Requirements		XX					
XX	Project Named?		Subcontract Executed?		XX					
XX	Main Contract Incorporated?		Registered Bidder?		XX					
XX	25A302/EEO Designation (if >\$10,000)		SAM Check →							
XX	Business License #		925795		Exp. Date:		12/31/2014			
		Business Name: Rady Concrete Construction LLC								
XX	Contractor License #		34476		Exp. Date:		12/31/2015			
		Business Name: Rady Concrete Construction								
		General / Specialties: Specialty: Concrete & Paving, Landscaping, Tile & Terrazzo								
		Occupational License #:		PLS / MA / EA / Auth. Corp.			Exp. Date:			
		Licensee Name:								
		Activity/Assigned To:								
		Cert Rec'd:		3/21/2014		Package Requested:		3/22/2014		
		Subcontract Amount:		\$9,316.65						
		Item Bid Values		608(1a) Concrete Sidwalk, 4 inches thick \$4,110.75 609(2) Curb and Gutter, Type 1 \$5,205.90						
		Subcontract Value:		\$9,317		0.17%				
DBE	Advised Goal:		22.50%		DBE As Awarded:		\$1,336,499.72 (Utilization Commitment)			
		25A325 DBE Commitment or Non Comp Quote		DBE Categories:						
		N/A		N/A						
POTENTIALLY CREDITABLE AMOUNT: \$										
XX	Subcontract Compliance Confirmed in accordance with CED 07-02									
		Erin Anderson, Contract Compliance							Date	



## AKDOT&PF-65 17 01 09 Weekly Certified Payroll

		Alaska Department of Labor and Workforce Development Labor Standards and Safety Division Wage and Hour Administration		<h3 style="margin: 0;">WEEKLY CERTIFIED PAYROLL</h3>																											
		505 Number of Entries for this week																													
Contractor Name:				Contractor:				Subcontractor:				Address:																			
Phone:				Contracting Agency Project #:				DOLWD Project #:				Project Name and Location:																			
Contractor License No.:				Payroll No.:				Contract Amount:				Date Work Started:																			
Week Ending:				11/2/2016								Est. Completion Date:																			
Enter Social Security # below Do not add/change employee information here. Edit on "Employee List" Sheet only!				Alaska Classification Information		HOURS WORKED						EARNED			DEDUCTIONS					TOTALS											
				ST OT FB		Date																									
						10/27 10/28 10/29 10/30 10/31 11/1 11/2																									
						Thu Fri Sat Sun Mon Tue Wed																									
Social Security #:		First Name		Union Status		Classification		Hours Worked per Classification		Hourly Rate Paid		Gross Amount Earned per Classification		FICA		FED W/H TAX		ESD		Union Dues		Other (EXPLAIN) Garnish or Medical Insurance		Total Deductions		Total Gross		Net Amount Paid		Check No. Issued	
222-22-2222		Billy		None																											
M.I.		Last Name:		Suffix:		Skill Level Code		Class Code		ST																					
B		Bob		3rd		A																									
Address Line 1				Apprentice %												Explanation															
222 2 Ave				22																											
Address Line 2				Truck License												Check if OT weighted average was used															
Suite 2				N/A																											
City		State		Zip		Certificate #																									
Kaktovik		AK		99222		N/A																									
Social Security #:		First Name		Union Status		Classification		Hours Worked per Class		Rate Paid		Gross Earned per Class		FICA		Fed W/H Tax		ESD		Union Dues		Other		Total Deduct		Gross Amt.		Net Amt. Paid		Check # Issued	
123-45-6789		John		Troublemakers 101																											
M.I.		Last Name:		Suffix:		Skill Level Code		Class Code		ST																					
M		Doe		Jr		T																									
Address Line 1				Apprentice %												Explanation															
1234 abc Street				60																											
Address Line 2				Truck License												Check if OT weighted average was used															
0				654321																											
City		State		Zip		Certificate #																									
Anchorage		AK		99515		111																									

First Name	Middle Initial	Last Name	Suffix	Social Security No.	Physical Address Line 1	Physical Address Line 2	City	State	Zip	Mailing Address (if different) Line 1	Mailing Address Line 2	City	State	Zip	Skill Level Code	Apprentice %	Union Membership	Certificate #	Truck License #	Owner/Operator ? Y/N	Progress Payment Date mm/dd/yyyy	Progress Payment Amount	Hire Date mm/dd/yyyy	Rehire Date mm/dd/yyyy	Termination Date mm/dd/yyyy	Race Code (DOT)	Gender Code (DOT)	
John	M	Doe	Jr	123-45-6789	1234 abc Street	apartment 3	Anchorage	AK	99515	Address line 1 john	address line 2 john	city john	AK	99501	T	60	Troublemakers 10	111	654321	N								
Jane	L	Smith	Sr	012-34-5678	7890 xyz way	Suite 2	Juneau	AK	98719			Unalakleet	AK	99333	A		Janes union	222	123456	N								
Billy	B	Bob	3rd	222-22-2222	222 2 Ave		Kaktovik	AK	99222	223 3rd Ave						22	None	N/A	N/A	N								
Firstn	M	Lastn	Jr	098-76-5432	999 9 st		City	ST	99999																			



## AKDOT&PF-66 17 01 10 Biweekly Certified Payroll



Alaska Department of Labor and Workforce Development  
Labor Standards and Safety Division  
Wage and Hour Administration

### BIWEEKLY CERTIFIED PAYROLL

Employees must be paid weekly regardless of biweekly certified payroll submission.

520 Number of Entries for this week

Contractor Name:				Contractor:		Subcontractor:		Address																																								
Phone				Contractor License No.		2-Week Period Ending		Payroll No.		Contracting Agency Project #		Dept. Labor Project #		Project Name and Location		Contract Amount		Date Work Started		Est. Completion Date																												
						11/2/2016																																										
Enter Social Security # below Do not add/change employee information here. Edit on "Employee List" Sheet only!!				Alaska Classification Information		HOURS WORKED							EARNED		DEDUCTIONS					TOTALS																												
Social Security #: 0						First Name				Union Member				Classification				Date							Hours Worked per Classification		Hourly Rate Paid		Gross Amount Earned per Classification		FICA		FED W/H TAX		ESD		Union Dues		Other (EXPLAIN Garnish or Medical Insurance)		Total Deductions		Total Gross		Net Amount Paid		Check No. Issued	
																		10/20 10/21 10/22 10/23 10/24 10/25 10/26																														
M.I. 0						Last Name: 0				Suffix: 0				Skill Level 0				Class Code											ST																			
Address Line 1						Apprentice %																			OT																							
Address Line 2				Truck License																			FB																									
City				State				Zip				Certificate #																																				
0				0				0				0																																				


  

Date of the Month														WEEK 2																							
10/27 10/28 10/29 10/30 10/31 11/1 11/2														Hours Worked		Rate Paid		Gross Earned per Class		FICA		Fed W/H Tax		ESD		Union Dues		Other		Total Deduct		Gross Amt.		Net Amt. Paid		Check # Issued	
ST																																					
OT																																					
FB																																					

First Name	Middle Initial	Last Name	Suffix	Social Security No.	Physical Address Line 1	Physical Address Line 2	City	State	Zip	Mailing Address (if different) Line 1	Mailing Address Line 2	City	State	Zip	Skill Level Code	Apprentice %	Union Member? Y/N	Certificate #	Truck License #	Owner/Operator? Y/N	Progress Payment Date mm/dd/yyyy	Progress Payment Amount	Hire Date mm/dd/yyyy	Rehire Date mm/dd/yyyy	Termination Date mm/dd/yyyy	Race Code (DOT)	Gender Code (DOT)	
John	M	Doe	Jr	123-45-6789	1234 abc Street		Anchorage	AK	99515	Address line 1 john	address line 2 john	city john	AK	99501	T	60	N	111	654321	N								
Jane	L	Smith	Sr	789-45-6123	7890 xyz way	apartment 3	Juneau	AK	99719						J	N/A	Y	222	123456	N								
Billy	B	Bob		222-22-2222	222 2 Ave	Suite 2	Kaktovik	AK	99222	223 3rd Ave	N/A	Unalakleet	AK	99333	A	22	N	N/A	N/A	N								
Firstn	M	Lastn		012-34-5678	101 Address st	Add Line 2	Cityplace	ST	99999						A	20	N	123	99999	n								
Amy	A	Allen	3rd	098-76-5432	101 A Street		Anchorage	AL	90001						T	80	Y	321	8888	n								



## AKDOT&PF-67 25A-321A Contract Report MASTER 1-02

	STATE OF ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  <b>CONTACT REPORT</b> Federal-Aid Contracts
Project Name and Number _____	
Specific Work or Materials (by pay item): _____	
<b>DBE Firm Contacted:</b>	
Name _____	Address _____
Phone Number _____	
<b>A. INITIAL CONTACT:</b> (See important contact information on instruction sheet)	
1. Date _____	Method: <input type="checkbox"/> Phone <input type="checkbox"/> Mail <input type="checkbox"/> FAX <input type="checkbox"/> Other
2. Person Contacted _____	Name _____ Title _____
3. DBE's Response: Date _____ Method: <input type="checkbox"/> Phone <input type="checkbox"/> Mail <input type="checkbox"/> FAX <input type="checkbox"/> Other	
<input type="checkbox"/> Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D) <input type="checkbox"/> Not interested. Indicate Reason(s) _____ <input type="checkbox"/> Needs more information: Date Prime provided requested information _____ <input type="checkbox"/> Will provide quote by: Date _____ <input type="checkbox"/> Received unacceptable sub-bid (complete Section C)	
<b>B. FOLLOW-UP CONTACT</b>	
1. Date _____	Method: <input type="checkbox"/> Phone <input type="checkbox"/> Mail <input type="checkbox"/> FAX <input type="checkbox"/> Other
2. Person Contacted _____	Name _____ Title _____
3. DBE's Response: Date _____ Method: <input type="checkbox"/> Phone <input type="checkbox"/> Mail <input type="checkbox"/> FAX <input type="checkbox"/> Other	
<input type="checkbox"/> Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D) <input type="checkbox"/> Received unacceptable sub-bid (complete Section C) <input type="checkbox"/> Other result: _____	
<b>C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:</b>	
1. Were the following required efforts made?	
a. <input type="checkbox"/> Yes <input type="checkbox"/> No	Identified specific items of work, products, materials, etc. when asking for quote(s).
b. <input type="checkbox"/> Yes <input type="checkbox"/> No	Offered assistance in acquiring necessary bonding & insurance.
c. <input type="checkbox"/> Yes <input type="checkbox"/> No	Provided all appropriate information concerning the specific work items or materials.
2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)? <input type="checkbox"/> Yes <input type="checkbox"/> No	
3. Was the DBE unable to perform in some capacity? <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes", explain: _____	
<b>D. CERTIFICATION:</b> I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.	
Signature of Company Representative _____	Title _____ Date _____
Name of DOT&PF Reviewer _____	Title _____ Date _____

Form 25A-321A (1/02)

Page 1 of 2

<b>INSTRUCTIONS</b>
<b>Project Name and Number:</b> Enter project name and number as they appear on bid documents.
<b>Work or Materials:</b> Identify the specific work item or material that you requested this firm to furnish.
<b>Firm Contacted:</b> Enter name of firm as it appears in the current DOT&PF DBE directory.
<b>Address:</b> Enter address of firm contacted. <b>Phone Number:</b> Enter phone number of firm contacted.
<b>A. INITIAL CONTACT</b> (Must be made at least seven calendar days prior to bid opening.)
1. <b>Date and Method of Initial Contact:</b> Indicate the method and date that actual contact was made or the date correspondence was postmarked. Leaving a "please call me" message does not constitute a contact. Attach a copy of dated letter or fax.
2. <b>Name and Title of Person Contacted.</b> Enter name and title of company representative with whom you corresponded or discussed submitting a sub-bid.
3. <b>DBE's Response:</b> Indicate one or more of the responses listed. If a firm bid was received and accepted, skip to section D.
<b>B. FOLLOW-UP CONTACT</b>
If no response or an inconclusive response was received from the initial contact, a follow-up contact is required to determine for a certainty that the firm does not intend to submit a sub-bid or to conclude discussions with a sub-bid submittal.
1. <b>Date and Method of Follow-up Contact:</b> Indicate the method and date that actual contact was made or the date correspondence was postmarked. Leaving a "please call me" message does not constitute a contact. Attach a copy of dated letter or fax.
2. <b>Name and Title of Person Contacted.</b> Enter name and title of company representative with whom you corresponded or discussed submitting a sub-bid.
3. <b>DBE's Response:</b> Indicate one or more of the responses listed. If a firm bid was received and accepted, skip to section D.
<b>C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID</b>
1. A NO response to items 1a., b., or c. will result in rejection of this contact. Be specific on results of discussions.
2. A YES answer to item 2. is grounds for rejecting a DBE sub-bid.
3. A YES answer to item 3. is grounds for rejecting a DBE sub-bid, only if the inability to perform is in an area of work specifically identified as a sub-item under the applicable bid item.
<b>D. CERTIFICATION</b>
This certification of accuracy and good faith by the Contractor will be verified by contact with the listed firm. Falsification of information on the DBE Contract Report is grounds for debarment action under AS 36.30.640(4).

Form 25A-321A (1/02)

Page 2 of 2

# AKDOT&PF-68 59120 FAA ATA Request



THE STATE  
of **ALASKA**  
GOVERNOR BILL WALKER

## Department of Transportation and Public Facilities

CENTRAL REGION  
Division of Design & Construction  
Contracts Section

4111 Aviation Avenue  
P.O. Box 194900  
Anchorage, AK 99519-4900  
Mgm: 907.269.0400  
Fax: 907.269.0425  
TTY: 907.269.0473  
Web Site: dot.alaska.gov

November 21, 2016

RE: ANC Gates B1, B3 & B5  
Reconstruction  
AIP 3-02-0122-180-2017/  
Z591200000  
Sponsor Certifications

Patrick Zettler, P.E., Project Manager  
Airports Division, AAL-622  
Federal Aviation Administration  
222 West 7th Avenue M/S #14  
Anchorage, AK 99513-7587

Dear Mr. Zettler:

Attached are the sponsor certifications for the referenced project. We request your concurrence to advertise the invitation for bids for this project on or about November 23, 2016, with a bid opening on or about December 14, 2016. The as-advertised DBE Goal for this project is 0%.

Sincerely,

Ralph Kiehl, P.E.  
Aviation Review Engineer  
Central Region Tel: 269-0422

RK

Sponsor Certification Attachments:

Selection of Consultants  
Project Plans and Specifications  
Real Property Acquisition  
Equipment and Construction Contracts  
Certification and Disclosure Regarding Potential Conflicts of Interest  
Construction Project Final Acceptance  
Drug Free Workplace

ecc: Aaron Hughes, P.E., Project Manager  
Kristi Warden, Deputy Division Manager  
Joel G. St. Aubin, P.E., Chief, Aviation Design

*"Keep Alaska Moving through service and infrastructure."*

### Selection of Consultants Airport Improvement Program Sponsor Certification

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

#### Application

49 USC § 47105(d) authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program (AIP). General requirements for selection of consultant services within federal grant programs are described in 2 CFR §§ 200.317-200.326. Sponsors may use other qualifications-based procedures provided they are equivalent to standards of Title 40 chapter 11 and FAA Advisory Circular 150/5100-14, Architectural, Engineering, and Planning Consultant Services for Airport Grant Projects.

#### Certification Statements

Except for certification statements below marked as not applicable (N/A), this list includes major requirements of the construction project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards. The source of the requirement is referenced within parenthesis.

1. Sponsor acknowledges their responsibility for the settlement of all contractual and administrative issues arising out of their procurement actions (2 CFR § 200.318(k)).  
 Yes  No  N/A
2. Sponsor procurement actions ensure or will ensure full and open competition that does not unduly limit competition (2 CFR § 200.319).  
 Yes  No  N/A
3. Sponsor has excluded or will exclude any entity that develops or drafts specifications, requirements, or statements of work associated with the development of a request-for-qualifications (RFQ) from competing for the advertised services (2 CFR § 200.319).  
 Yes  No  N/A
4. The advertisement describes or will describe specific project statements-of-work that provide clear detail of required services without unduly restricting competition (2 CFR § 200.319).  
 Yes  No  N/A

FAA Form 5100-134 (1/16)

Page 1 of 3

5. Sponsor has publicized or will publicize a RFQ that:
- Solicits an adequate number of qualified sources (2 CFR § 200.320(d)); and
  - Identifies all evaluation criteria and relative importance (2 CFR § 200.320(d)).
- Yes  No  N/A
6. Sponsor has based or will base selection on qualifications, experience, and disadvantaged business enterprise participation with price not being a selection factor (2 CFR § 200.320(d)).
- Yes  No  N/A
7. Sponsor has verified or will verify that agreements exceeding \$25,000 are not awarded to individuals or firms suspended, debarred or otherwise excluded from participating in federally assisted projects (2 CFR § 180.300).
- Yes  No  N/A
8. A/E services covering multiple projects: Sponsor has agreed to or will agree to:
- Refrain from initiating work covered by this procurement beyond five years from the date of selection (AC 150/5100-14); and
  - Retain the right to conduct new procurement actions for projects identified or not identified in the RFQ (AC 150/5100-14).
- Yes  No  N/A
9. Sponsor has negotiated or will negotiate a fair and reasonable fee with the firm they select as most qualified for the services identified in the RFQ (2 CFR § 200.323).
- Yes  No  N/A
10. The Sponsor's contract identifies or will identify costs associated with ineligible work separately from costs associated with eligible work (2 CFR § 200.302).
- Yes  No  N/A
11. Sponsor has prepared or will prepare a record of negotiations detailing the history of the procurement action, rationale for contract type and basis for contract fees (2 CFR § 200.318(i)).
- Yes  No  N/A
12. Sponsor has incorporated or will incorporate mandatory contract provisions in the consultant contract for AIP-assisted work (49 U.S.C. Chapter 471 and 2 CFR part 200 Appendix II)
- Yes  No  N/A
13. For contracts that apply a time-and-material payment provision (also known as hourly rates, specific rates of compensation, and labor rates), the Sponsor has established or will establish:
- Justification that there is no other suitable contract method for the services (2 CFR § 200.318(j));
  - A ceiling price that the consultant exceeds at their risk (2 CFR § 200.318(j)); and
  - A high degree of oversight that assures consultant is performing work in an efficient manner with effective cost controls in place (2 CFR § 200.318(j)).
- Yes  No  N/A

14. Sponsor is not using or will not use the prohibited cost-plus-percentage-of-cost (CPPC) contract method. (2 CFR § 200.323(d)).

Yes  No  N/A

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**

I certify, for the project identified herein, responses to the foregoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

Executed on this 17 day of November, 2016.

Name of Sponsor: Alaska Department of Transportation and Public Facilities

Name of Sponsor's Authorized Official: Joel G. St. Aubin, P.E.

Title of Sponsor's Authorized Official: Aviation Design Section Chief

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

**Project Plans and Specifications**  
**Airport Improvement Program Sponsor Certification**

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

**Application**

49 USC § 47105(d) authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program (AIP). Labor and civil rights standards applicable to AIP are established by the Department of Labor (www.dol.gov). AIP Grant Assurance C.1—General Federal Requirements identifies applicable federal laws, regulations, executive orders, policies, guidelines and requirements for assistance under AIP. A list of current advisory circulars with specific standards for procurement, design or construction of airports, and installation of equipment and facilities is referenced in standard airport sponsor Grant Assurance 34 contained in the grant agreement.

**Certification Statements**

Except for certification statements below marked as not applicable (N/A), this list includes major requirements of the construction project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards. The source of the requirement is referenced within parenthesis.

1. The plans and specifications were or will be prepared in accordance with applicable federal standards and requirements, so that no deviation or modification to standards set forth in the advisory circulars, or FAA-accepted state standard, is necessary other than those explicitly approved by the Federal Aviation Administration (FAA) (14 USC § 47105).  
 Yes  No  N/A
2. Specifications incorporate or will incorporate a clear and accurate description of the technical requirement for the material or product that does not contain limiting or proprietary features that unduly restrict competition (2 CFR §200.319).  
 Yes  No  N/A
3. The development that is included or will be included in the plans is depicted on the current airport layout plan as approved by the FAA (14 USC § 47107).  
 Yes  No  N/A

4. Development and features that are ineligible or unallowable for AIP funding have been or will be omitted from the plans and specifications (FAA Order 5100.38, par. 3-43).  
 Yes  No  N/A
5. The specification does not use or will not use "brand name" or equal to convey requirements unless sponsor requests and receives approval from the FAA to use brand name (FAA Order 5100.38, Table U-5).  
 Yes  No  N/A
6. The specification does not impose or will not impose geographical preference in their procurement requirements (2 CFR §200.319(b) and FAA Order 5100.38, Table U-5).  
 Yes  No  N/A
7. The use of prequalified lists of individuals, firms or products include or will include sufficient qualified sources that ensure open and free competition and that does not preclude potential entities from qualifying during the solicitation period (2 CFR §319(d)).  
 Yes  No  N/A
8. Solicitations with bid alternates include or will include explicit information that establish a basis for award of contract that is free of arbitrary decisions by the sponsor (2 CFR § 200.319(a)(7)).  
 Yes  No  N/A
9. Concurrence was or will be obtained from the FAA if Sponsor incorporates a value engineering clause into the contract (FAA Order 5100.38, par. 3-57).  
 Yes  No  N/A
10. The plans and specifications incorporate or will incorporate applicable requirements and recommendations set forth in the federally approved environmental finding (49 USC §47106(c)).  
 Yes  No  N/A
11. The design of all buildings comply or will comply with the seismic design requirements of 49 CFR § 41.120. (FAA Order 5100.38d, par. 3-92)  
 Yes  No  N/A
12. The project specification include or will include process control and acceptance tests required for the project by as per the applicable standard:
  - a. Construction and installation as contained in Advisory Circular (AC) 150/5370-10.  
 Yes  No  N/A
  - b. Snow Removal Equipment as contained in AC 150/5220-20.  
 Yes  No  N/A
  - c. Aircraft Rescue and Fire Fighting (ARFF) vehicles as contained in AC 150/5220-10.  
 Yes  No  N/A



13. For construction activities within or near aircraft operational areas(AOA):
- The Sponsor has or will prepare a construction safety and phasing plan (CSPP) conforming to Advisory Circular 150/5370-2.
  - Compliance with CSPP safety provisions has been or will be incorporated into the plans and specifications as a contractor requirement.
  - Sponsor will not initiate work until receiving FAA's concurrence with the CSPP (FAA Order 5100.38, Par. 5-29).

Yes  No  N/A

14. The project was or will be physically completed without federal participation in costs due to errors and omissions in the plans and specifications that were foreseeable at the time of project design (49 USC §47110(b)(1) and FAA Order 5100.38d, par. 3-100).

Yes  No  N/A

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**

I certify, for the project identified herein, responses to the foregoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 17<sup>th</sup> day of November, 2016.

Name of Sponsor: Alaska Department of Transportation and Public Facilities

Name of Sponsor's Authorized Official: Joel G. St. Aubin, P.E.

Title of Sponsor's Authorized Official: Aviation Design Section Chief

Signature of Sponsor's Authorized Official:  \_\_\_\_\_

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

**Real Property Acquisition  
Airport Improvement Program Sponsor Certification**

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

**Application**

49 USC § 47105(d) authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program (AIP). General requirements on real property acquisition and relocation assistance are in 49 CFR part 24. The AIP project grant agreement contains specific requirements and assurances on the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act), as amended.

**Certification Statements**

Except for certification statements below marked not applicable (N/A), this list includes major requirements of the real property acquisition project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards.

- The sponsor's attorney or other official has or will have good and sufficient title as well as title evidence on property in the project.  
 Yes  No  N/A
- If defects and/or encumbrances exist in the title that adversely impact the sponsor's intended use of property in the project, they have been or will be extinguished, modified, or subordinated.  
 Yes  No  N/A
- If property for airport development is or will be leased, the following conditions have been met:
  - The term is for 20 years or the useful life of the project;
  - The lessor is a public agency; and
  - The lease contains no provisions that prevent full compliance with the grant agreement. Yes  No  N/A

4. Property in the project is or will be in conformance with the current Exhibit A property map, which is based on deeds, title opinions, land surveys, the approved airport layout plan, and project documentation.

Yes  No  N/A

5. For any acquisition of property interest in noise sensitive approach zones and related areas, property interest was or will be obtained to ensure land is used for purposes compatible with noise levels associated with operation of the airport.

Yes  No  N/A

6. For any acquisition of property interest in runway protection zones and areas related to 14 CFR 77 surfaces or to clear other airport surfaces, property interest was or will be obtained for the following:

- a. The right of flight;
- b. The right of ingress and egress to remove obstructions; and
- c. The right to restrict the establishment of future obstructions.

Yes  No  N/A

7. Appraisals prepared by qualified real estate appraisers hired by the sponsor include or will include the following:

- a. Valuation data to estimate the current market value for the property interest acquired on each parcel; and
- b. Verification that an opportunity has been provided to the property owner or representative to accompany appraisers during inspections.

Yes  No  N/A

8. Each appraisal has been or will be reviewed by a qualified review appraiser to recommend an amount for the offer of just compensation, and the written appraisals as well as review appraisal are available to Federal Aviation Administration (FAA) for review.

Yes  No  N/A

9. A written offer to acquire each parcel was or will be presented to the property owner for not less than the approved amount of just compensation.

Yes  No  N/A

10. Effort was or will be made to acquire each property through the following negotiation procedures:

- a. No coercive action to induce agreement; and
- b. Supporting documents for settlements included in the project files.

Yes  No  N/A

11. If a negotiated settlement is not reached, the following procedures were or will be used:

- a. Condemnation initiated and a court deposit not less than the just compensation made prior to possession of the property; and
- b. Supporting documents for awards included in the project files.

Yes  No  N/A

12. If displacement of persons, businesses, farm operations, or non-profit organizations is involved, a relocation assistance program was or will be established, with displaced parties receiving general information on the program in writing, including relocation eligibility, and a 90-day notice to vacate.

Yes  No  N/A

13. Relocation assistance services, comparable replacement housing, and payment of necessary relocation expenses were or will be provided within a reasonable time period for each displaced occupant in accordance with the Uniform Act.

Yes  No  N/A

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**

I certify, for the project identified herein, responses to the foregoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 15<sup>th</sup> day of November, 2016.

Name of Sponsor: Alaska Department of Transportation and Public Facilities

Name of Sponsor's Authorized Official: John R. Linnell, P.E.

Title of Sponsor's Authorized Official: Right of Way Chief

Signature of Sponsor's Designated Official Representative: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

**Equipment and Construction Contracts  
Airport Improvement Sponsor Certification**

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-180-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

**Application**

49 USC § 47105(d) authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program (AIP). General procurement standards for equipment and construction contracts within Federal grant programs are described in 2 CFR §§ 200.317-200.326. Labor and Civil Rights Standards applicable to the AIP are established by the Department of Labor (www.dol.gov) AIP Grant Assurance C.1—General Federal Requirements identifies all applicable Federal Laws, regulations, executive orders, policies, guidelines and requirements for assistance under the AIP. Sponsors may use state and local procedures provided the procurement conforms to these federal standards.

This certification applies to all equipment and construction projects. Equipment projects may or may not employ laborers and mechanics that qualify the project as a "covered contract" under requirements established by the Department of Labor requirements. Sponsor shall provide appropriate responses to the certification statements that reflect the character of the project regardless of whether the contract is for a construction project or an equipment project.

**Certification Statements**

Except for certification statements below marked as not applicable (N/A), this list includes major requirements of the construction project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards. The source of the requirement is referenced within parenthesis.

1. A written code or standard of conduct is or will be in effect prior to commencement of the project that governs the performance of the sponsor's officers, employees, or agents in soliciting, awarding and administering procurement contracts (2 CFR § 200.318).

Yes  No  N/A

8. Concurrence was or will be obtained from the Federal Aviation Administration (FAA) prior to contract award under any of the following circumstances (Order 5100.38D):

- a. Only one qualified person/firm submits a responsive bid;
- b. Award is to be made to other than the lowest responsible bidder; and
- c. Life cycle costing is a factor in selecting the lowest responsive bidder.

Yes  No  N/A

9. All construction and equipment installation contracts contain or will contain provisions for:

- a. Access to Records (§ 200.336)
- b. Buy American Preferences (Title 49 U.S.C. § 50101)
- c. Civil Rights - General Provisions and Title VI Assurances( 41 CFR part 60)
- d. Federal Fair Labor Standards (29 U.S.C. § 201, et seq)
- e. Occupational Safety and Health Act requirements (20 CFR part 1920)
- f. Seismic Safety – building construction (49 CFR part 41)
- g. State Energy Conservation Requirements - as applicable(2 CFR part 200, Appendix II)
- h. U.S. Trade Restriction (49 CFR part 30)
- i. Veterans Preference (49 USC § 47112(c))

Yes  No  N/A

10. All construction and equipment installation contracts exceeding \$2,000 contain or will contain the provisions established by:

- a. Davis-Bacon and Related Acts (29 CFR part 5)
- b. Copeland "Anti-Kickback" Act (29 CFR parts 3 and 5)

Yes  No  N/A

11. All construction and equipment installation contracts exceeding \$3,000 contain or will contain a contract provision that discourages distracted driving (E.O. 13513).

Yes  No  N/A

12. All contracts exceeding \$10,000 contain or will contain the following provisions as applicable:

- a. Construction and equipment installation projects - Applicable clauses from 41 CFR Part 60 for compliance with Executive Orders 11246 and 11375 on Equal Employment Opportunity;
- b. Construction and equipment installation - Contract Clause prohibiting segregated facilities in accordance with 41 CFR part 60-1.8;
- c. Requirement to maximize use of products containing recovered materials in accordance with 2 CFR § 200.322 and 40 CFR part 247, and
- d. Provisions that address termination for cause and termination for convenience (2 CFR part 200, Appendix II).

Yes  No  N/A

13. All contracts and subcontracts exceeding \$25,000: Measures are in place or will be in place (e.g. checking the System for Award Management) that ensure contracts and subcontracts are not awarded to individuals or firms suspended, debarred, or excluded from participating in federally assisted projects (2 CFR parts 180 and 1200).

Yes  No  N/A

14. Contracts exceeding the simplified acquisition threshold (currently \$150,000) include or will include provisions, as applicable, that address the following:

- a. Construction and equipment installation contracts - a bid guarantee of 5%, a performance bond of 100%, and a payment bond of 100% (2 CFR § 200.325);
- b. Construction and equipment installation contracts - requirements of the Contract Work Hours and Safety Standards Act (40 USC 3701-3708, Sections 103 and 107);
- c. Restrictions on Lobbying and Influencing (2 CFR part 200, Appendix II);
- d. Conditions specifying administrative, contractual and legal remedies for instances where contractor or vendor violate or breach the terms and conditions of the contract (2 CFR §200, Appendix II); and
- e. All Contracts - Applicable standards and requirements issued under Section 306 of the Clean Air Act (42 USC 7401-7671q), Section 508 of the Clean Water Act (33 USC 1251-1387, and Executive Order 11738.

Yes  No  N/A

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**

I certify, for the project identified herein, responses to the forgoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 21<sup>st</sup> day of November, 2016

Name of Sponsor: Alaska Department of Transportation and Public Facilities

Name of Sponsor's Authorized Official: Sharon Smith, P.E.

Title of Sponsor's Authorized Official: Chief of Contracts, Central Region

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

14. a. 50% performance and payment bonds are required for all ADOT&PF construction contracts exceeding \$100,000. This bonding meets or exceeds the requirements of AS36.25.010 and was approved for use by FAA letter dated March 6, 1991, as adequately protecting the government's interest.

**Certification and Disclosure Regarding Potential Conflicts of Interest  
Airport Improvement Program Sponsor Certification**

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

**Application**

Title 2 CFR § 200.112 and § 1201.112 address Federal Aviation Administration (FAA) requirements for conflict of interest. As a condition of eligibility under the Airport Improvement Program (AIP), sponsors must comply with FAA policy on conflict of interest. Such a conflict would arise when any of the following have a financial or other interest in the firm selected for award:

- a) The employee, officer or agent,
- b) Any member of his immediate family,
- c) His or her partner, or
- d) An organization which employs, or is about to employ, any of the above.

Selecting "yes" represents sponsor or sub-recipient acknowledgement and confirmation of the certification statement. Selecting "No" represents sponsor or sub-recipient disclosure that it cannot fully comply with the certification statement. If "No" is selected, provide support information explaining the negative response as an attachment to this form. This includes whether the sponsor has established standards for financial interest that are not substantial or unsolicited gifts are of nominal value (2 CFR § 200.318(c)). The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance.

**Certification Statements**

1. The sponsor or sub-recipient maintains a written standards of conduct governing conflict of interest and the performance of their employees engaged in the award and administration of contracts (2 CFR § 200.318(c)). To the extent permitted by state or local law or regulations, such standards of conduct provide for penalties, sanctions, or other disciplinary actions for violations of such standards by the sponsor's and sub-recipient's officers, employees, or agents, or by contractors or their agents.

Yes  No

2. The sponsor's or sub-recipient's officers, employees or agents have not and will not solicit or accept gratuities, favors or anything of monetary value from contractors, potential contractors, or parties to sub-agreements (2 CFR § 200.318(c)).

Yes  No

3. The sponsor or sub-recipient certifies that it has disclosed and will disclose to the FAA any known potential conflict of interest (2 CFR § 1200.112).

Yes  No

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**

I certify, for the project identified herein, responses to the forgoing items are accurate as marked and have the explanation for any item marked "no" is correct and complete.

Executed on this 11 day of November, 2016

Name of Sponsor: Alaska Department of Transportation and Public Facilities

Name of Sponsor's Authorized Official: Joel G. St. Aubin, P.E.

Title of Sponsor's Authorized Official: Aviation Design Section Chief

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

**Construction Project Final Acceptance  
Airport Improvement Program Sponsor Certification**

Sponsor: Alaska Department of Transportation & Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

**Application**

49 USC § 47105(d), authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program. General standards for final acceptance and close out of federally funded construction projects are in 2 CFR § 200.343 – Closeout and supplemented by FAA Order 5100.38. The sponsor must determine that project costs are accurate and proper in accordance with specific requirements of the grant agreement and contract documents.

**Certification Statements**

Except for certification statements below marked not applicable (N/A), this list includes major requirements of the construction project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards. The source of the requirement is referenced within parenthesis.

1. The personnel engaged in project administration, engineering supervision, project inspection and acceptance testing were or will be determined to be qualified and competent to perform the work (Grant Assurance).  
 Yes  No  N/A
2. Construction records, including daily logs, were or will be kept by the resident engineer/construction inspector that fully document contractor's performance in complying with:
  - a. Technical standards (Advisory Circular (AC) 150/5370-12);
  - b. Contract requirements (2 CFR part 200 and FAA Order 5100.38); and
  - c. Construction safety and phasing plan measures (AC 150/5370-2). Yes  No  N/A
3. All acceptance tests specified in the project specifications were or will be performed and documented. (AC 150/5370-12).  
 Yes  No  N/A

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4. Sponsor has taken or will take appropriate corrective action for any test result outside of allowable tolerances (AC 150/5370-12).  
 Yes  No  N/A
5. Pay reduction factors required by the specifications were applied or will be applied in computing final payments with a summary made available to the FAA (AC 150/5370-10).  
 Yes  No  N/A
6. Sponsor has notified, or will promptly notify the Federal Aviation Administration (FAA) of the following occurrences:
  - a. Violations of any federal requirements set forth or included by reference in the contract documents (2 CFR part 200);
  - b. Disputes or complaints concerning federal labor standards (29 CFR part 5); and
  - c. Violations of or complaints addressing conformance with Equal Employment Opportunity or Disadvantaged Business Enterprise requirements (41 CFR Chapter 60 and 49 CFR part 26). Yes  No  N/A
7. Weekly payroll records and statements of compliance were or will be submitted by the prime contractor and reviewed by the sponsor for conformance with federal labor and civil rights requirements as required by FAA and U.S. Department of Labor (29 CFR Part 5).  
 Yes  No  N/A
8. Payments to the contractor were or will be made in conformance with federal requirements and contract provisions using sponsor internal controls that include:
  - a. Retaining source documentation of payments and verifying contractor billing statements against actual performance (2 CFR § 200.302 and FAA Order 5100.38);
  - b. Prompt payment of subcontractors for satisfactory performance of work (49 CFR § 26.29);
  - c. Release of applicable retainage upon satisfactory performance of work (49 CFR § 26.29); and
  - d. Verification that payments to DBEs represent work the DBE performed by carrying out a commercially useful function (49 CFR §26.55). Yes  No  N/A
9. A final project inspection was or will be conducted with representatives of the sponsor and the contractor present that ensure:
  - a. Physical completion of project work in conformance with approved plans and specifications (Order 5100.38);
  - b. Necessary actions to correct punch list items identified during final inspection are complete (Order 5100.38); and
  - c. Preparation of a record of final inspection and distribution to parties to the contract (Order 5100.38). Yes  No  N/A

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10. The project was or will be accomplished without material deviations, changes, or modifications from approved plans and specifications, except as approved by the FAA (Order 5100.38).

Yes  No  N/A

11. The construction of all buildings have complied or will comply with the seismic construction requirements of 49 CFR § 41.120.

Yes  No  N/A

12. For development projects, sponsor has taken or will take the following close-out actions:

- a) Submit to the FAA a final test and quality assurance report summarizing acceptance test results, as applicable (Grant Condition);
- b) Complete all environmental requirements as established within the project environmental determination (Order 5100.38); and
- c) Prepare and retain as-built plans (Order 5100.38).

Yes  No  N/A

13. Sponsor has revised or will revise their airport layout plan (ALP) that reflects improvements made and has submitted or will submit an updated ALP to the FAA no later than 90 days from the period of performance end date. (49 USC § 47107 and Order 5100.38).

Yes  No  N/A

Attach documentation clarifying any above item marked with "no" response.

#### Sponsor's Certification


I certify, for the project identified herein, responses to the forgoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 17<sup>th</sup> day of November, 2016

Name of Sponsor: Alaska Department of Transportation & Public Facilities

Name of Sponsor's Authorized Official: Joel G. St. Aubin, P.E.

Title of Sponsor's Authorized Official: Aviation Design Section Chief

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

### Drug-Free Workplace Airport Improvement Program Sponsor Certification

Sponsor: Alaska Department of Transportation and Public Facilities

Airport: Ted Stevens Anchorage International Airport

Project Number: AIP 3-02-0016-XXX-2017 / IRIS# Z591200000

Description of Work: This federally funded project will reconstruct the apron pavement for the gates on the south side of the B concourse. The project will also include water system, storm drain, and fuel system repairs.

#### Application

49 USC § 47105(d) authorizes the Secretary to require certification from the sponsor that it will comply with the statutory and administrative requirements in carrying out a project under the Airport Improvement Program (AIP). General requirements on the drug-free workplace within federal grant programs are described in 2 CFR part 182. Sponsors are required to certify they will be, or will continue to provide, a drug-free workplace in accordance with the regulation. The AIP project grant agreement contains specific assurances on the Drug-Free Workplace Act of 1988.

#### Certification Statements

Except for certification statements below marked as not applicable (N/A), this list includes major requirements of the construction project. Selecting "yes" represents sponsor acknowledgement and confirmation of the certification statement. The term "will" means Sponsor action taken at appropriate time based on the certification statement focus area, but no later than the end of the project period of performance. This list is not comprehensive and does not relieve the sponsor from fully complying with all applicable statutory and administrative standards. The source of the requirement is referenced within parenthesis.

1. A statement has been or will be published prior to commencement of project notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the sponsor's workplace, and specifying the actions to be taken against employees for violation of such prohibition (2 CFR § 182.205).

Yes  No  N/A

2. An ongoing drug-free awareness program (2 CFR § 182.215) has been or will be established prior to commencement of project to inform employees about:

- a. The dangers of drug abuse in the workplace;
- b. The sponsor's policy of maintaining a drug-free workplace;
- c. Any available drug counseling, rehabilitation, and employee assistance programs; and
- d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

Yes  No  N/A

3. Each employee to be engaged in the performance of the work has been or will be given a copy of the statement required within item 1 above prior to commencement of project (2 CFR § 182.210).  
 Yes  No  N/A
4. Employees have been or will be notified in the statement required by item 1 above that, as a condition employment under the grant (2 CFR § 182.205(c)), the employee will:
- Abide by the terms of the statement; and
  - Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.
- Yes  No  N/A
5. The Federal Aviation Administration (FAA) will be notified in writing within 10 calendar days after receiving notice under item 4b above from an employee or otherwise receiving actual notice of such conviction (2 CFR § 182.225). Employers of convicted employees must provide notice, including position title of the employee, to the FAA (2 CFR § 182.300).  
 Yes  No  N/A
6. One of the following actions (2 CFR § 182.225(b)) will be taken within 30 calendar days of receiving a notice under item 4b above with respect to any employee who is so convicted:
- Take appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; and
  - Require such employee to participate satisfactorily in drug abuse assistance or rehabilitation programs approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.
- Yes  No  N/A
7. A good faith effort will be made, on a continuous basis, to maintain a drug-free workplace through implementation of items 1 through 6 above (2 CFR § 182.200).  
 Yes  No  N/A

Site(s) of performance of work (2 CFR § 182.230):

**Location 1**  
 Name of Location: Alaska DOT&PF, Design and Engineering Services Division, Central Region  
 Address: 4111 Aviation Dr, Anchorage, AK 99502

**Location 2 (if applicable)**  
 Name of Location:  
 Address:

**Location 3 (if applicable)**  
 Name of Location:  
 Address:

Attach documentation clarifying any above item marked with "no" response.

**Sponsor's Certification**

I certify, for the project identified herein, responses to the forgoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 17<sup>th</sup> day of November, 2016

Name of Sponsor: Alaska Department of Transportation & Public Facilities

Name of Sponsor's Authorized Official: Joel G. St. Aubin, P.E.

Title of Sponsor's Authorized Official: Aviation Design Section Chief

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.







STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**DISADVANTAGED BUSINESS ENTERPRISE (DBE)  
SUBCONTRACTABLE ITEMS**

Federal-Aid Contracts

071023/60262, Richardson Highway MP 235 Ruby Creek Bridge #0594

Project Name and Number


The original DBE Utilization Goal for this project is:  0.0%  of the basic bid amount.

The following is the list of subcontractable items by category/subcategory that shall be considered under Section 120, DBE Program, Good Faith Effort Criteria. If the bidder cannot achieve the DBE Utilization Goal, then the bidder should also consider other items not listed that could be subcontracted to DBEs.

BID ITEM NO.	DESCRIPTION OF WORK OR PORTION OF WORK	CATEGORY

Form 25A-324 (12/14)

# AKDOT&PF-70 63017 Certified Bidtab OCR



## COMPILATION OF BIDS

STATE OF ALASKA—DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES—NORTHERN REGION

Page 1 of 4

Federal No: 0A13017  
AKSAS No: 63017  
Program No: Z630170000  
Project Name: Tuk Cutoff Mp 0 - 24 Culvert Replacement  
Project Location: Gakona, AK

Opened At: Fairbanks, AK  
Date: Tuesday, November 22, 2016  
By: Barbara L. Tanner, P.E.

Certified True and Correct: Barbara L. Tanner 11/23/2016, Chief of Contract & I/P A Design  
Barbara L. Tanner, P.E. DATE


Compiled By: SM Checked By: DS 11/23

**Order of Bidders based on: Basic Bid**

State of Alaska DOT & PF Design Section Northern Region	CRUZ CONSTRUCTION, INC. 7900 E PALMER-WASILLA HWY PALMER, AK 99645 Phone: 907-746-1144 Fax: 907-746-5337	AHTNA CONSTRUCTION PRIMARY PRODUCTS CORPORATION 110 WEST 48TH AVENUE, SUITE 100 ANCHORAGE, AK 99503 Phone: 907-929-9411 Fax: 907-929-5712	D & L CONSTRUCTION COMPANY, INC. PO Box 800 COOPER LANDING, AK 99572 Phone: 907-203-6160 Fax: 907-262-6163
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Basic Bid	ENGINEER'S ESTIMATE	LOW BIDDER	BIDDER 2	BIDDER 3
Item No. Description Quantity Pay Unit	Unit Price Amount	Unit Price Amount	Unit Price Amount	Unit Price Amount
201(1B) Clearing All Required Lump Sum	L.S. 72,000.00	L.S. 15,000.00	L.S. 60,000.00	L.S. 75,000.00
300(10) Removal of Culvert Pipe 14 Each	3,800.00 53,200.00	2,000.00 28,000.00	1,550.00 21,700.00	2,500.00 35,000.00
301(6) Bitum 10,890 Ton	31.00 338,000.00	8.30 90,300.00	10.00 108,900.00	9.00 98,010.00
301(1) Aggregate Base Course, Grading D-1 14,774 Ton	20.00 295,500.00	22.00 325,000.00	17.15 253,391.25	26.00 384,150.00
304(1) Subbase, Grading F 16,285 Ton	16.00 260,560.00	12.00 195,480.00	13.40 218,251.00	11.00 179,135.00
308(1) Crushed Asphalt Base Course 16,279 Square Yard	5.00 81,350.00	3.50 56,945.00	6.00 97,620.00	13.00 211,510.00
401(15) Asphalt Material Price Adjustment All Required Contingent Sum	C.S. 25,000.00	C.S. 25,000.00	C.S. 25,000.00	C.S. 25,000.00
405(101) Double B/Wi Clay AS1 87,516 Square Yard	8.50 743,835.00	6.00 525,000.00	12.10 1,058,871.00	9.50 831,345.00
601(1) Metal Hume Downdrum 78 Linear Foot	120.00 9,360.00	100.00 7,800.00	257.50 19,822.50	600.00 46,800.00
602(140) Structural Plate Pipe 60" Diameter, 10 Gauge 738 Linear Foot	1,000.00 738,000.00	1,060.00 803,480.00	975.00 739,050.00	1,300.00 985,400.00
602(157) Structural Plate Pipe 72" Diameter, 10 Gauge 134 Linear Foot	1,250.00 167,500.00	860.00 114,880.00	493.00 68,034.00	1,330.00 186,300.00
603(1) 36 402 Linear Foot	220.00 88,000.00	400.00 176,000.00	250.00 90,000.00	900.00 324,000.00
603(1) 48 489 Linear Foot	500.00 244,500.00	580.00 279,840.00	334.00 163,752.00	1,250.00 611,250.00
603(17) 36 114 Linear Foot	400.00 45,600.00	1,210.00 138,180.00	644.50 73,473.00	900.00 102,600.00
603(151) Anti-Slope Wall All Required Lump Sum	L.S. 80,000.00	L.S. 11,000.00	L.S. 75,735.00	L.S. 31,000.00
606(1) W-Beam (Guardrail) 4,750 Linear Foot	33.00 156,750.00	27.00 128,250.00	28.50 135,375.00	28.00 133,000.00

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## COMPILATION OF BIDS

STATE OF ALASKA—DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES—NORTHERN REGION

Page 2 of 4

Federal No: 0A13017  
AKSAS No: 63017  
Program No: Z630170000  
Project Name: Tuk Cutoff Mp 0 - 24 Culvert Replacement  
Project Location: Gakona, AK

Opened at: Fairbanks, AK  
Date: Tuesday, November 22, 2016  
By: Barbara L. Tanner, P.E.

Basic Bid	ENGINEER'S ESTIMATE	LOW BIDDER	BIDDER 2	BIDDER 3
Item No. Description Quantity Pay Unit	Unit Price Amount	Unit Price Amount	Unit Price Amount	Unit Price Amount
606(6) Removing and Disposing of Guardrail 4,833 Linear Foot	4.00 19,332.00	3.00 14,499.00	2.80 13,532.40	4.00 19,332.00
606(9) Controlled Release Terminal (CRT) 2 Each	4,000.00 8,000.00	3,250.00 6,500.00	4,225.00 8,450.00	4,000.00 8,000.00
606(13) Parallel Guardrail Terminal 9 Each	4,500.00 40,500.00	3,650.00 32,850.00	4,000.00 36,000.00	4,000.00 36,000.00
606(101) Guardrail Mounted Wood Curb 3,150 Linear Foot	12.00 37,800.00	6.00 18,900.00	6.20 19,530.00	6.50 20,475.00
610(1) Ditch Lining 483 Cubic Yard	40.00 19,320.00	115.00 55,545.00	56.00 27,048.00	40.00 19,320.00
611(1) Riprap, Class I 1,050 Cubic Yard	80.00 84,000.00	125.00 131,250.00	33.50 35,175.00	100.00 105,000.00
613(2) Culvert Marker Post 34 Each	140.00 4,760.00	150.00 5,100.00	225.00 7,650.00	100.00 3,400.00
616(2) 1/2 Inch Diameter Thaw Pipe 15 Each	1,500.00 22,500.00	1,970.00 29,550.00	2,160.00 32,400.00	3,000.00 45,000.00
618(2) Seeding 758 Pound	80.00 60,640.00	130.00 98,540.00	82.25 62,345.50	100.00 75,800.00
619(2) Matting 31,830 Square Yard	6.00 190,980.00	1.50 47,745.00	1.75 55,702.50	3.50 111,405.00
630(2) Geotextile, Stabilization 34,550 Square Yard	3.00 103,650.00	1.70 58,735.00	3.00 103,650.00	4.00 138,200.00
630(100) Geotextile, Reinforcement, Type 2 2,253 Square Yard	3.00 6,759.00	4.00 9,012.00	4.75 10,701.75	3.00 6,759.00
631(2) Geotextile, Erosion Control, Class I 1,896 Square Yard	3.00 5,688.00	1.75 3,318.00	3.00 5,688.00	4.00 7,584.00
640(1) Mobilization and Demobilization All Required Lump Sum	L.S. 450,000.00	L.S. 250,000.00	L.S. 271,203.00	L.S. 400,000.00
640(4) Worker Meals and Lodging, or Per Diem All Required Lump Sum	L.S. 150,000.00	L.S. 245,000.00	L.S. 252,300.00	L.S. 200,000.00
641(1) Erosion, Sediment and Pollution Control Administration All Required Lump Sum	L.S. 10,000.00	L.S. 13,500.00	L.S. 7,764.00	L.S. 30,000.00
641(3) Temporary Erosion, Sediment and Pollution Control All Required Lump Sum	L.S. 30,000.00	L.S. 47,500.00	L.S. 101,066.00	L.S. 80,000.00
641(4) Temporary Erosion, Sediment and Pollution Control Addition All Required Contingent Sum	C.S. 35,000.00	C.S. 35,000.00	C.S. 35,000.00	C.S. 35,000.00
641(6) Withholding All Required Contingent Sum	C.S. 0.00	C.S. 0.00	C.S. 0.00	C.S. 0.00
641(7) SWPPP Manager All Required Lump Sum	L.S. 20,000.00	L.S. 9,000.00	L.S. 6,800.00	L.S. 30,000.00

BTIV Version ID: 45784, Contract ID: 44840 23-Nov-16 12:28 PM



### COMPILATION OF BIDS

STATE OF ALASKA – DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES – NORTHERN REGION

Federal No: 0A13017  
 AKSAS No: 63017  
 Program No: 2630170000  
 Project Name: Tok Cutoff Mp 0 - 24 Culvert Replacement  
 Project Location: Gakona, Ak

Opened at: Fairbanks, AK  
 Date: Tuesday, November 22, 2016  
 By: Barbara L. Tanner, P.E.

Item No.	Description	ENGINEER'S ESTIMATE		LOW BIDDER		BIDDER 2		BIDDER 3		
		Quantity	Pay Unit	Unit Price	Amount	Unit Price	Amount	Unit Price	Amount	
642(1)	Construction Surveying									
	All Required Lump Sum		L.S.	75,000.00	L.S.	75,000.00	L.S.	93,500.00	L.S.	100,000.00
642(3A)	Three Person Survey Party									
	All Required Contingent Sum		C.S.	20,000.00	C.S.	20,000.00	C.S.	20,000.00	C.S.	20,000.00
643(2)	Traffic Maintenance									
	All Required Lump Sum		L.S.	100,000.00	L.S.	300,000.00	L.S.	270,700.00	L.S.	100,000.00
643(23)	Traffic Price Adjustment									
	All Required Contingent Sum		C.S.	0.00	C.S.	0.00	C.S.	0.00	C.S.	0.00
643(25)	Traffic Control									
	All Required Contingent Sum		C.S.	240,000.00	C.S.	240,000.00	C.S.	240,000.00	C.S.	240,000.00
643(120)-2	Roadway Diversion, MP 5.6									
	All Required Lump Sum		L.S.	150,000.00	L.S.	60,000.00	L.S.	115,000.00	L.S.	50,000.00
643(120)-3	Roadway Diversion, MP 7.33									
	All Required Lump Sum		L.S.	190,000.00	L.S.	102,000.00	L.S.	181,000.00	L.S.	60,000.00
643(120)-4	Roadway Diversion, MP 7.57									
	All Required Lump Sum		L.S.	160,000.00	L.S.	88,000.00	L.S.	150,600.00	L.S.	60,000.00
643(120)-5	Roadway Diversion, MP 8.13									
	All Required Lump Sum		L.S.	190,000.00	L.S.	87,000.00	L.S.	170,900.00	L.S.	75,000.00
643(120)-6	Roadway Diversion, MP 8.8									
	All Required Lump Sum		L.S.	160,000.00	L.S.	83,000.00	L.S.	158,600.00	L.S.	70,000.00
643(120)-7	Roadway Diversion, MP 10.1									
	All Required Lump Sum		L.S.	160,000.00	L.S.	117,000.00	L.S.	238,250.00	L.S.	205,000.00
643(120)-8	Roadway Diversion, MP 10.8									
	All Required Lump Sum		L.S.	150,000.00	L.S.	58,000.00	L.S.	116,750.00	L.S.	70,000.00
643(120)-9	Roadway Diversion, MP 11.3									
	All Required Lump Sum		L.S.	150,000.00	L.S.	60,000.00	L.S.	134,200.00	L.S.	125,000.00
643(120)-10	Roadway Diversion, MP 12.4									
	All Required Lump Sum		L.S.	150,000.00	L.S.	46,000.00	L.S.	161,500.00	L.S.	50,000.00
643(120)-11	Roadway Diversion, MP 12.7									
	All Required Lump Sum		L.S.	165,000.00	L.S.	109,000.00	L.S.	259,250.00	L.S.	150,000.00
643(120)-13	Roadway Diversion, MP 21.8									
	All Required Lump Sum		L.S.	150,000.00	L.S.	72,000.00	L.S.	161,200.00	L.S.	85,000.00
643(120)-14	Roadway Diversion, MP 22.2									
	All Required Lump Sum		L.S.	150,000.00	L.S.	305,000.00	L.S.	169,000.00	L.S.	85,000.00
644(1)	Field Office									
	All Required Lump Sum		L.S.	30,000.00	L.S.	29,000.00	L.S.	20,000.00	L.S.	50,000.00
644(2)	Field Laboratory									
	All Required Lump Sum		L.S.	10,000.00	L.S.	17,000.00	L.S.	15,000.00	L.S.	30,000.00
645(1)	Training Program, 1 Trainees/Apprentices									
	500 Labor Hour		3.00	1,500.00	1.00	500.00	70.50	35,250.00	10.00	5,000.00
646(1)	CPM Scheduling									
	All Required Lump Sum		L.S.	12,000.00	L.S.	3,500.00	L.S.	20,000.00	L.S.	10,000.00



### COMPILATION OF BIDS

STATE OF ALASKA – DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES – NORTHERN REGION

Federal No: 0A13017  
 AKSAS No: 63017  
 Program No: 2630170000  
 Project Name: Tok Cutoff Mp 0 - 24 Culvert Replacement  
 Project Location: Gakona, Ak

Opened at: Fairbanks, AK  
 Date: Tuesday, November 22, 2016  
 By: Barbara L. Tanner, P.E.

Item No.	Description	ENGINEER'S ESTIMATE		LOW BIDDER		BIDDER 2		BIDDER 3		
		Quantity	Pay Unit	Unit Price	Amount	Unit Price	Amount	Unit Price	Amount	
670(1)	Painted Traffic Markings									
	All Required Lump Sum		L.S.	15,000.00	L.S.	24,000.00	L.S.	41,500.00	L.S.	30,000.00
<b>Total Basic Bid</b>				<b>7,253,394.00</b>		<b>6,367,197.00</b>		<b>7,583,047.40</b>		<b>7,954,645.00</b>

Project Summary: Includes Basic Bid				
	ENGINEER'S ESTIMATE	LOW BIDDER	BIDDER 2	BIDDER 3
<b>Bid Total:</b>	<b>7,253,394.00</b>	<b>6,367,197.00</b>	<b>7,583,047.40</b>	<b>7,954,645.00</b>

Other Bidders: Includes Basic Bid				
	GRANITE CONSTRUCTION COMPANY 11471 LANG STREET ANCHORAGE, AK 99515 Phone:907-344-2593 Fax:907-344-1562	GREAT NORTHWEST, INC. PO BOX 74646 FAIRBANKS, AK 99707 Phone:907-452-5617 Fax:907-456-7779	QAP 240 W. 68TH AVE. ANCHORAGE, AK 99518 Phone:907-522-2211 Fax:907-344-7723	
<b>Bid Total:</b>		7,996,001.25	8,045,198.00	8,793,956.50

Other Bidders: Includes Basic Bid				
	MASS EXCAVATION, INC PO BOX 241093 ANCHORAGE, AK 99524 Phone:907-771-0272 Fax:907-770-7752	OSBORNE CONSTRUCTION COMPANY P.O. BOX 97010 KIRKLAND, WA 98083-7010 Phone:425-827-4221 Fax:877-485-4077	HC CONTRACTORS, INC P.O. BOX 80688 FAIRBANKS, AK 99708 Phone:907-488-4983 Fax:907-488-9830	
<b>Bid Total:</b>		8,856,926.50	9,790,641.88	10,449,782.00

## AKDOT&PF-71 63017 Contact Reports and Quotes

STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**CONTACT REPORT**  
Federal-Aid Contracts

Project Name and Number \_\_\_\_\_

Specific Work or Materials (by pay item): \_\_\_\_\_

DBE Firm Contacted:

Nefzger Consulting                      3303 W. 82nd Avenue Anchorage, AK 99502                      (907) 244-1880  
Name    Address    Phone Number

**A. INITIAL CONTACT:** (See important contact information on instruction sheet)

1. Date: 9/24/2016    Method:  Phone     Mail     FAX     Other

2. Person Contacted: Elaine Nefzger    Consultant  
Name    Title

3. DBE's Response: Date: 9/24/2016                      Method:  Phone     Mail     FAX     Other - email

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)  
 Not interested: Indicate Reason(s) \_\_\_\_\_  
 Needs more information: Date Prime provided requested information \_\_\_\_\_  
 Will provide quote by: Date \_\_\_\_\_  
 Received unacceptable sub-bid (complete Section C)

**B. FOLLOW-UP CONTACT**

1. Date: \_\_\_\_\_    Method:  Phone     Mail     FAX     Other

2. Person Contacted: \_\_\_\_\_  
Name    Title

3. DBE's Response: Date: \_\_\_\_\_                      Method:  Phone     Mail     FAX     Other

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)  
 Received unacceptable sub-bid (complete Section C)  
 Other result: \_\_\_\_\_

**C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:**

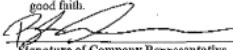
1. Were the following required efforts made?

a.  Yes  No    Identified specific items of work, products, materials, etc. when asking for quote(s).  
b.  Yes  No    Offered assistance in acquiring necessary bonding & insurance.  
c.  Yes  No    Provided all appropriate information concerning the specific work items or materials.

2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)?  Yes  No

3. Was the DBE unable to perform in some capacity?  Yes  No    If "Yes", explain: \_\_\_\_\_

**D. CERTIFICATION:** I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.

                      Project Engineer                      11/28/2016  
Signature of Company Representative                      Title                      Date

\_\_\_\_\_  
Name of DOT&PF Reviewer                      Title                      Date

Form 25A-321A (1/02) Page 1 of 2

No. 3624 P. 6

**Blake Anderson**

**From:** Elaine Nefzger <alasekn@gcl.net>  
**Sent:** Monday, September 26, 2016 2:40 PM  
**To:** Elaine Nefzger  
**Subject:** TOK CUTOFF MP 0-24 CULVERT REPLACEMENT SWPPP/HMCP QUOTE

Nefzger Consulting is pleased to offer a quote of \$5,400.00 for the preparation of the SWPPP/HMCP for the Tok Cutoff MP 0-24 Culvert Replacement Project. Deliverables include up to 5 printed manuals in 3-ring binder and 2 CDs of the entire manual in pdf format.

A draft will be provided for review and approval. The final version will incorporate resolutions to comments from the review.

The project schedule is an essential element for SWPPP development and must be provided by you. One site visit will be necessary with your project representative to discuss the most appropriate BMPs based on your work methods and the environment.

SWPPP inspections and records maintenance during construction is not included. Ongoing support via telephone and email is included.

The quote does not include a separate SWPPP that may be required for dedicated support sites.

Thank you for this opportunity,

Elaine Nefzger, AK-CESCL; CISEC  
Nefzger Consulting  
907-244-1880

1

\* \* \* Communication Result Report ( Nov. 10. 2016 10:54AM ) \* \* \*

33

Date/Time: Nov. 10. 2016 10:51AM

File No.	Mode	Destination	Pg(s)	Result	Page Not Sent
3510	Memory TX	18889796431	P. 7	OK	

Reason for error  
 E: 17 Hang up or line fail  
 E: 23 No answer  
 E: 53 Exceeded max. E-mail size  
 E: 23 Busy  
 E: 43 No facsimile connection



November 10, 2016

To: Pristine Consulting & Inspections, Inc.  
Attn: Crystal Wilson

From: cwilson@ncialaska.com  
7 Pages (including cover)

Subject: TOK CUTOFF MP 0-24 CULVERT REPLACEMENT  
Project No. Z630170000/0A13017

Cruz Construction, Inc. will be bidding the subject project as a prime contractor on November 15, 2016. Following this coversheet, please find a contact report, and the current bid schedule form for this project. Please let me know if you need any assistance obtaining information about bonding, insurance, securing equipment, supplies, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5557) advising us by completing the following:

No, our company will not be bidding this project. (Please provide a short explanation why).

Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank spaces provided.

Pay Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-761-6613 or email banderson@cruzconstruct.com

Sincerely,

Blake Anderson  
Project Engineer



7000 East Palmer-Woodley Hwy • Palmer, Alaska 99645 Tel: (907) 746-5144 Fax: (907) 746-5557  
www.cruzconstruct.com

November 10, 2016

To: Pristine Consulting & Inspections, Inc.  
Attn.: Crystal Wilson

Email: cwilson@ncialaska.com  
7 Pages (including cover)

Subject: TOK CUTOFF MP 0-24 CULVERT REPLACEMENT  
Project No. Z630170000/0A13017

Cruz Construction, Inc. will be bidding the subject project as a prime contractor on November 15, 2016. Following this coversheet, please find a contact report, and the current bid schedule form for this project. Please let me know if you need any assistance obtaining information about bonding, insurance, securing equipment, supplies, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5557) advising us by completing the following:

No, our company will not be bidding this project. (Please provide a short explanation why).

Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank spaces provided.

Pay Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-761-6613 or email banderson@cruzconstruct.com

Sincerely,

Blake Anderson  
Project Engineer

STATE OF ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES		
CONTACT REPORT Federal-Aid Contracts		
Project Name and Number		
Specific Work or Materials (by pay item):		
DBE Firm Contacted:		
Name	Address	Phone Number
Pristine Consulting & Inspections	P.O. Box 1874 Kenai, AK	(907) 598-1305
A. INITIAL CONTACT: (See important contact information on instruction sheet)		
1. Date	Method: [ ] Phone [ ] Mail [ ] FAX [ ] Other	
11/10/2016	[ ] Phone [ ] Mail [ ] FAX [ ] Other	
2. Person Contacted	Title	
Crystal Wilson	President	
3. DBE's Response: Date: _____ Method: [ ] Phone [ ] Mail [ ] FAX [ ] Other		
[ ] Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)		
[ ] Not interested: Indicate Reason(s) _____		
[ ] Needs more information: Date Print provided requested information _____		
[ ] Will provide quote by: Date _____		
[X] Received unacceptable sub-bid (complete Section C)		
B. FOLLOW-UP CONTACT		
1. Date	Method: [ ] Phone [ ] Mail [ ] FAX [ ] Other	
2. Person Contacted	Title	
3. DBE's Response: Date: _____ Method: [ ] Phone [ ] Mail [ ] FAX [ ] Other		
[ ] Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)		
[ ] Received unacceptable sub-bid (complete Section C)		
[ ] Other result: _____		
C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:		
1. Were the following required efforts made?		
a. [X] Yes [ ] No	Identified specific items of work, products, materials, etc. when asking for quote(s).	
b. [X] Yes [ ] No	Offered assistance in acquiring necessary bonding & insurance.	
c. [X] Yes [ ] No	Provided all appropriate information concerning the specific work items or materials.	
2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)? [X] Yes [ ] No		
3. Was the DBE unable to perform in some capacity? [ ] Yes [X] No If "Yes", explain: _____		
D. CERTIFICATION: I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.		
Signature of Company Representative	Title	Date
[Signature]	Project Engineer	11/28/2016
Name of DOT&PF Reviewer	Title	Date

## Pristine Consulting &amp; Inspections, Inc.

P.O. Box 1874 Kenai, AK 99611  
 Phone: (907) 395-0455  
 Fax: (888) 979-6431  
[www.pcialaska.com](http://www.pcialaska.com)

## Quote

November 22, 2016

Client: Cruz Construction, Inc.

From: Crystal Wilson

Project: Tok Cutoff MP 0-24 Culvert Replacement  
 Contract#: 63017  
 IRIS Program# / Federal#: Z630170000/0A13017  
 Addendum(s): 1 - 5  
 Erosion, Sediment and Pollution Control Plan Preparation Services  
 1 page

We would like to offer this quote to provide Erosion, Sediment and Pollution Control Plan Preparation Services for Tok Cutoff MP 0-24 Culvert Replacement. Services Include:

- 641 (1) Erosion Sediment Pollution Control Plan \$11,500 Lump Sum
- Preparation of (1) One SWPPP to be implemented by client
  - (1) One site visit, as part of SWPPP Preparation
  - Electronic Submittal to ADEC, including (1) One ADEC fee
  - Electronic Copies of SWPPP for Submittal to AKDOT&PF and Subcontractors
  - (5) Five Hard Copies of SWPPP
    - (2) Two copies of SWPPP for Contractor
    - (3) Three copies of SWPPP for AKDOT&PF

Client will provide list of subcontractors, phases of construction, current project schedule, project specifications and drawings and any additional information need to complete plan. Changes made to services will incur additional charges. Management, installation, maintenance, repairs, removal and material supply of Best Management Practices are not included. Services will be provided by a Certified Inspector of Sediment and Erosion Control (CISEC) and/or Alaska Certified Erosion Sediment Control Lead (AK-CESCL).

Please contact us for any questions or concerns.

**Blake Anderson**

**From:** tangentandtaperconst@gmail.com  
**Sent:** Wednesday, September 28, 2016 11:14 AM  
**To:** Blake Anderson  
**Subject:** Re: Tok Cutoff MP 0-24 Culvert Replacement

Blake  
 We will not be bidding the tok project  
 Thank you  
 Rich

Sent from my iPhone

On Sep 28, 2016, at 9:54 AM, Blake Anderson <[banderson@cruzconstruct.com](mailto:banderson@cruzconstruct.com)> wrote:


Good Morning Rich,

As discussed here is the attached DBE contact for the Tok Cutoff MP 0-24 Culvert Replacement. Let me know if you have any questions regarding this.

Thanks

**Blake Anderson**  
 Project Engineer  
 Cruz Construction, Inc.  
 Phone- 907.982.5145  
 Office- 907.746.3144

<Tok Cutoff MP 0-24 Culvert Replacement - Tangent & Taper Construction.pdf>



STATE OF ALASKA  
 DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**CONTACT REPORT**  
 Federal-Aid Contracts

---

**Project Name and Number**

Specific Work or Materials (by pay item): \_\_\_\_\_

**DBE Firm Contacted:**

Tangent & Taper Construction, LLC    4583 Wood River Drive Fairbanks, AK 99709    (907) 750-8843  
 Name    Address    Phone Number

**A. INITIAL CONTACT:** (See important contact information on instruction sheet)

1. Date: 9/28/2016    Method:  Phone  Mail  FAX  Other

2. Person Contacted: Rich Nikolai    Owner  
 Name    Title

3. DBE's Response: Date: 9/28/2016    Method:  Phone  Mail  FAX  Other

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)

Not interested: Indicate Reason(s) Did not submit bid.

Needs more information: Date Prime provided requested information: \_\_\_\_\_

Will provide quote by: Date \_\_\_\_\_

Received unacceptable sub-bid (complete Section C)

**B. FOLLOW-UP CONTACT** - N/A

1. Date: \_\_\_\_\_    Method:  Phone  Mail  FAX  Other

2. Person Contacted: \_\_\_\_\_  
 Name    Title

3. DBE's Response: Date: \_\_\_\_\_    Method:  Phone  Mail  FAX  Other

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)

Received unacceptable sub-bid (complete Section C)

Other result: \_\_\_\_\_

**C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:**

1. Were the following required efforts made?

a.  Yes  No Identified specific items of work, products, materials, etc. when asking for quote(s).

b.  Yes  No Offered assistance in acquiring necessary bonding & insurance.

c.  Yes  No Provided all appropriate information concerning the specific work items or materials.

2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)?  Yes  No

3. Was the DBE unable to perform in some capacity?  Yes  No If "Yes", explain: \_\_\_\_\_

**D. CERTIFICATION:** I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.

*[Signature]*    Project Engineer    11/28/2016  
 Signature of Company Representative    Title    Date

\_\_\_\_\_  
 Name of DOT&PF Reviewer    Title    Date



Nov. 30. 2016 7:44AM

No. 3624 P. 28



7000 East Palouse-Waipahu Hwy • Palmer, Alaska 99645 Tel (907) 746-3144 Fax (907) 746-5557  
www.cruzconstruct.com

September 28<sup>th</sup>, 2016

To: Tnagent & Taper Construction, LLC Email: tnagentandtaperconst@gmail.com  
Attn.: Rich Nicolny 5 Pages

Subj.: TOK CUTOFF MP 0-24 Culvert Replacement,  
Project No. 63017

Cruz Construction, Inc. will be bidding the subject project as a prime contractor on October 4, 2016. Following this coversheet, please find a contact report, and the current bid schedule form for this project. Please let me know if you need any assistance obtaining information about bonding, insurance, securing equipment, supplies, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5557) advising us by completing the following:

\_\_\_\_ No, our company will not be bidding this project. (Please provide a short explanation why).

\_\_\_\_ Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank spaces provided.

Pay Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-761-6609 or email banderson@cruzconstruct.com

Sincerely,

Blake Anderson  
Project Engineer

Nov. 30. 2016 11:47AM Tutka  
Nov. 10. 2016 10:18AM

FAX No. 907-357-2215 No. 3624 P. 34  
No. 3507 P. 1



7000 East Palouse-Waipahu Hwy • Palmer, Alaska 99645 Tel (907) 746-3144 Fax (907) 746-5557  
www.cruzconstruct.com

November 10, 2016

To: Tutka, LLC  
Attn.: Amie Sommer

Email: estimellng@tutka.com  
7 Pages (including cover)

Subj.: TOK CUTOFF MP 0-24 CULVERT REPLACEMENT  
Project No. Z630170000/0A13017

Cruz Construction, Inc. will be bidding the subject project as a prime contractor on November 15, 2016. Following this coversheet, please find a contact report, and the current bid schedule form for this project. Please let me know if you need any assistance obtaining information about bonding, insurance, securing equipment, supplies, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5557) advising us by completing the following:

No, our company will not be bidding this project. (Please provide a short explanation why).

Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank spaces provided.

Pay Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-761-6613 or email banderson@cruzconstruct.com

Sincerely,

Blake Anderson  
Project Engineer

Received Time Nov. 11. 2016 10:34AM No. 3515

STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**CONTACT REPORT**  
Federal-Aid Contracts

**TOK CUTOFF MP 0-24 CULVERT REPLACEMENT**  
Project Name and Number

Specific Work or Materials (by pay item): \_\_\_\_\_  
DBE Firm Contacted:

**Tutka, LLC**      **2405 E. Zak Circle Suite A.**      **(907) 357-2238**  
Name      Address      Phone Number

**A. INITIAL CONTACT:** (See important contact information on instruction sheet)

1. Date: 11/10/2016      Method:  Phone  Mail  FAX  Other

2. Person Contacted: Amie Sommer      Owner  
Name      Title

3. DBE's Response: Date: 11/11/2016      Method:  Phone  Mail  FAX  Other

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)  
 Not interested: Indicate Reason(s) \_\_\_\_\_  
 Needs more information: Date/Time provided requested information \_\_\_\_\_  
 Will provide quote by: Date \_\_\_\_\_  
 Received unacceptable sub-bid (completes Section C)

**B. FOLLOW-UP CONTACT**

1. Date: \_\_\_\_\_      Method:  Phone  Mail  FAX  Other

2. Person Contacted: \_\_\_\_\_  
Name      Title

3. DBE's Response: Date: \_\_\_\_\_      Method:  Phone  Mail  FAX  Other

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)  
 Received unacceptable sub-bid (completes Section C)  
 Other result: \_\_\_\_\_

**C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:**

1. Were the following required efforts made?

a.  Yes  No Identified specific items of work, products, materials, etc. when asking for quote(s).  
b.  Yes  No Offered assistance in acquiring necessary bonding & insurance.  
c.  Yes  No Provided all appropriate information concerning the specific work items or materials.

2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)?  Yes  No

3. Was the DBE unable to perform in some capacity?  Yes  No If "Yes", explain: \_\_\_\_\_

**D. CERTIFICATION:** I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.

[Signature]      Project Engineer      11/10/2016  
Signature of Company Representative      Title      Date

\_\_\_\_\_  
Name of DOT&PF Reviewer      Title      Date

Date/Time: Nov. 10, 2016 10:18AM

File No.	Mode	Destination	Pg(s)	Result	Page Not Sent
3507	Memory TX	3572215	P. 7	OK	

Reason for error:  
E. 1) Hang up or line fail      E. 2) Busy  
E. 3) No answer      E. 4) No facsimile connection  
E. 5) Exceeded max. E-mail size



November 10, 2016

To: Tutka, LLC  
Attn: Amie Sommer

From: amdot@akdot.com  
7 Pages (including cover)

Re: TOK CUTOFF MP 0-24 CULVERT REPLACEMENT  
Project No. 201610000013007

Dear Construction, Inc. we will be holding the subject project as a public contract on November 15, 2016. Following bid opening, please look a contract report, and the request bid materials from the DBE project. Please let me know if you need any assistance obtaining information about bonding, insurance, meeting requirements, negative, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-4357) advising us by completing the following:

\_\_\_\_ Yes, our company will submit bidding this project. (Please provide a short explanation why.)

\_\_\_\_ Yes, our company will be bidding the following bid items (please check the box to the left of the BIF item No.). If you intend to bid other items, please write them into the bid item quotes provided.

Item No.	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Diane Anderson at 907-746-4613 or email: ban@akdot.com

Sincerely,  
[Signature]  
Diane Anderson  
Project Engineer



7000 East Palmer-Washlu Hwy • Palmer, Alaska 99645 Tel: (907) 746-3144 Fax: (907) 746-5557  
www.cruzconstruct.com

November 10, 2016

To: Tutka, LLC  
Attn.: Amie Sommer

Email: [eslimatino@tutkallc.com](mailto:eslimatino@tutkallc.com)  
7 Pages (including cover)

Subj.: TOK CUTOFF MP 0-24 CULVERT REPLACEMENT  
Project No. Z630170000/0A13017

Cruz Construction, Inc. will be bidding the subject project as a prime contractor on November 15, 2016. Following this coversheet, please find a contact report, and the current bid schedule form for this project. Please let me know if you need any assistance obtaining information about bonding, insurance, securing equipment, supplies, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5557) advising us by completing the following:

\_\_\_\_\_ No, our company will not be bidding this project. (Please provide a short explanation why).

\_\_\_\_\_ Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank spaces provided.

Pay Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-761-6613 or email [banderson@cruzconstruct.com](mailto:banderson@cruzconstruct.com)

Sincerely,

Blake Anderson  
Project Engineer

STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

### CONTACT REPORT

Federal-Aid Contracts

---

Project Name and Number

Specific Work or Materials (by pay item): \_\_\_\_\_

DBE Firm Contacted:

Tutka, LLC      2495 E. Lake Circle Suite A.      (907) 357-2238  
 Name      Address      Location      Phone Number

Wainilla, AK

**A. INITIAL CONTACT:** (See important contact information on instruction sheet)

Method: \_\_\_\_\_

1. Date      11/10/2016      [ ] Phone [ ] Mail [X] FAX [ ] Other

2. Person Contacted      Amie Sommer      Owner  
 Name      Title

3. DBE's Response: Date: \_\_\_\_\_ Method: [ ] Phone [ ] Mail [ ] FAX [ ] Other  
 Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)  
 Not interested: Indicate Reason(s) \_\_\_\_\_  
 Needs more information: Date Prime provided requested information \_\_\_\_\_  
 Will provide quote by: Date \_\_\_\_\_  
 Received unacceptable sub-bid (complete Section C)

**B. FOLLOW-UP CONTACT**

Method: \_\_\_\_\_

1. Date \_\_\_\_\_ [ ] Phone [ ] Mail [ ] FAX [ ] Other

2. Person Contacted \_\_\_\_\_  
 Name      Title

3. DBE's Response: Date: \_\_\_\_\_ Method: [ ] Phone [ ] Mail [ ] FAX [ ] Other  
 Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)  
 Received unacceptable sub-bid (complete Section C)  
 Other result: \_\_\_\_\_

**C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:**

1. Were the following required efforts made?

a. [ ] Yes [ ] No Identified specific items of work, products, materials, etc. when asking for quote(s).  
 b. [ ] Yes [ ] No Offered assistance in acquiring necessary bonding & insurance.  
 c. [ ] Yes [ ] No Provided all appropriate information concerning the specific work items or materials.

2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)? [ ] Yes [ ] No  
 3. Was the DBE unable to perform in some capacity? [ ] Yes [ ] No If "Yes", explain: \_\_\_\_\_

**D. CERTIFICATION:** I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.

Project Engineer      11/10/2016  
 Signature of Company Representative      Title      Date

Name of DOT&PF Reviewer      Title      Date

**INSTRUCTIONS**

**Project Name and Number:** Enter project name and number as they appear on bid documents.

**Work or Materials:** Identify the specific work item or material that you requested this firm to furnish.

**Firm Contacted:** Enter name of firm as it appears in the current DOT&PF DBE directory.

**Address:** Enter address of firm contacted. **Phone Number:** Enter phone number of firm contacted.

**A. INITIAL CONTACT** (Must be made at least seven calendar days prior to bid opening.)

- 1. Date and Method of Initial Contact:** Indicate the method and date that actual contact was made or the date correspondence was postmarked. Leaving a "please call me" message does not constitute a contact. Attach a copy of dated letter or fax.
- 2. Name and Title of Person Contacted.** Enter name and title of company representative with whom you corresponded or discussed submitting a sub-bid.
- 3. DBE's Response:** Indicate one or more of the responses listed. If a firm bid was received and accepted, skip to section D.

**B. FOLLOW-UP CONTACT**

If no response or an inconclusive response was received from the initial contact, a follow-up contact is required to determine for a certainty that the firm does not intend to submit a sub-bid or to conclude discussions with a sub-bid submittal.

- 1. Date and Method of Follow-up Contact:** Indicate the method and date that actual contact was made or the date correspondence was postmarked. Leaving a "please call me" message does not constitute a contact. Attach a copy of dated letter or fax.
- 2. Name and Title of Person Contacted.** Enter name and title of company representative with whom you corresponded or discussed submitting a sub-bid.
- 3. DBE's Response:** Indicate one or more of the responses listed. If a firm bid was received and accepted, skip to section D.

**C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID**

- 1. A NO** response to items 1a., b., or c. will result in rejection of this contact. Be specific on results of discussions.
- 2. A YES** answer to item 2. is grounds for rejecting a DBE sub-bid.
- 3. A YES** answer to item 3. is grounds for rejecting a DBE sub-bid, only if the inability to perform is in an area of work specifically identified as a sub-item under the applicable bid item.

**D. CERTIFICATION**

This certification of accuracy and good faith by the Contractor will be verified by contact with the listed firm. Falsification of information on the DBE Contact Report is grounds for debarment action under AS 36.30.640(4).

\*\*\* Communication Result Report ( Nov. 21. 2016 7:28AM ) \*\*\*

Date/Time: Nov. 21. 2016 7:26AM

File No.	Mode	Destination	Pg(s)	Result	Page Not Sent
3564	Memory TX	19077824236	P. 7	OK	

Reason for error  
 E: 11 Hang up or line fall  
 E: 31 No answer  
 E: 51 Exceeded max. E-mail size  
 E: 21 Busy  
 E: 41 No facsimile connection

**AKDOT**  
 Alaska Department of Transportation  
 2200 Westchester Drive, Anchorage, Alaska 99503-1001  
 www.akdot.alaska.gov

November 24, 2016

To: AKDOT  
 Attn: Maria Lewis

From: [Redacted]  
 7 Pages (including cover)

Subject: **AKDOT/2016/MP/04 CULVERT REPLACEMENT**  
 Project No. 2630700400A13017

Dear Contractor, this will be bidding the subject project as a prime contractor on November 22, 2016. Following this correction, please find a contact report, and the current bid schedule from the state project. Please let me know if you need any assistance obtaining information about bonding, insurance, existing equipment, supplies, materials, or related information or services.

Please review the schedule and respond via email (or fax at (907) 341-5577) advising us by completing the following:

..... Yes, our company will not be bidding this project. (Please provide a short explanation why).

..... Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank space provided.

Pay Item	Description

Thank you for your time and attention to this matter. Timing the date to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Maria Lewis at 907-341-6213 or email [mlewis@akdot.alaska.gov](mailto:mlewis@akdot.alaska.gov)

Sincerely,  
 [Signature]  
 Maria Anderson  
 Project Engineer



7000 East Palmer-Wasilla Hwy - Palmer, Alaska 99645 Tel: (907) 746-3144 Fax: (907) 746-5557  
www.cruzconstruct.com

November 21, 2016

To: MLP & Associates  
Attn.: Maria Lewis

Email: maria@mlpassociates.com  
7 Pages (including cover)

Subj.: TOK CUTOFF MP 0-24 CULVERT REPLACEMENT  
Project No. Z630170000/0A13017

Cruz Construction, Inc. will be bidding the subject project as a prime contractor on November 22, 2016. Following this coversheet, please find a contact report, and the current bid schedule form for this project. Please let me know if you need any assistance obtaining information about bonding, insurance, securing equipment, supplies, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5557) advising us by completing the following:

No, our company will not be bidding this project. (Please provide a short explanation why).

Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank spaces provided.

Pay Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-761-6613 or email banderson@cruzconstruct.com

Sincerely,

Blake Anderson  
Project Engineer



November 21, 2016

Aaron Shelley  
Cruz Construction, Inc.  
7000 E. Palmer-Wasilla Hwy  
Palmer, Alaska 99645

RE: Migratory Bird & Eagle Nest Survey for Tok Cutoff MP 0-24 Culvert Replacement

Aaron,

MLP & Associates is pleased to offer a bid to perform a bird survey for the Tok Cutoff MP 0-24 Culvert Replacement project. The following is a bid for a Migratory Bird & Eagle Nest Survey that follows U.S. Fish & Wildlife guidelines. The eagle nest survey zone will include the project area as well as a 1/2 mile from the perimeter of the project boundary. The Migratory Bird survey zone includes the project zone as well as a 50-foot perimeter around the project boundary. MLP & Associates proposes the following quote for this work.

**\$18,600 - Migratory Bird & Eagle Nest Survey** - This item includes:

- PTAC Online report;
- Five-person on-site Migratory Bird and Eagle Nest Survey throughout survey zone;
- Eagle nest survey will cover both sides of the road;
- Binoculars and range finder will be used for the eagle nest survey beyond 330 feet;
- Survey report will include a map of the area surveyed, pictures and results within 5 calendar days; and
- All transportation, lodging, per diem, equipment and gear needed for the survey

We have experience performing migratory bird and eagle nest surveys in Alaska. The survey will include all areas accessible by foot and not cutoff by water bodies or steep slopes. We will provide our own wildlife protection throughout the survey. If you have any questions, please contact me at 907-301-9069 or 907-885-0271 or by email at maria@mlpassociates.com.

Sincerely,

Maria Lewis, Principal

601 West 5th Avenue, Suite 210  
Anchorage, Alaska 99501

Phone: 907-885-0271  
Fax: 907-752-4534

mlp@mlpassociates.com  
www.mlpassociates.com



Drawings for the SWPPP will be created using the current design set. This bid does not include permit fees, monitoring or permit fines. We have over 17 years of experience working in the civil engineering and construction industry as well as eight years of experience preparing SWPPPs in Alaska. We hold current AK-CESCL certificates and SWPPP preparer certificates.

I would be happy to discuss this proposal with you. If you have any questions, please contact me by phone at 907-885-0271, by cell 907-301-9069 or by email at: [maria@mlpassociates.com](mailto:maria@mlpassociates.com).

Sincerely,  
*M. Lewis*  
Maria Lewis, Principal

601 West 5<sup>th</sup> Avenue, Suite 210  
Anchorage, Alaska 99501

Phone: 907-885-0271  
Fax: 907-782-4236

[info@mlpassociates.com](mailto:info@mlpassociates.com)  
[www.mlpassociates.com](http://www.mlpassociates.com)



November 21, 2016

Aaron Shelley  
Cruz Construction, Inc.  
7000 E. Palmer-Wasilla Hwy  
Palmer, Alaska 99645

RE: Bid for Storm Water Pollution Prevention Plan (SWPPP)

SWPPP & HMCP	\$3,825
SWPPP Site Visit	\$950
Off-Project Site Material Source SWPPP2	\$1,500
<b>Total</b>	<b>\$6,275</b>

Aaron,

MLP & Associates, a DBE (WBE) company, is pleased to offer a bid as a consultant for the **Tuk Cutoff MP 0-24 Culvert Replacement** project. MLP & Associates proposes the following for preparation of an Alaska DOT & PF approved SWPPP:

Preparation of a project specific SWPPP to be used onsite - This item includes:

- Draft copy of SWPPP in electronic format prepared within 15 days from your notice to proceed;
- Project specific Hazardous Material Control Plan;
- Includes material and disposal sites within the project zone;
- SWPPP will follow project specifications and current permits;
- Final deliverable will include up to five hard copies of SWPPP in tabbed binders as well as electronic copy in PDF format; and
- File eNOI electronically (you provide permit fee).

Site Visit as Part of SWPPP Preparation - This item includes:

- AK DOT & PF required SWPPP preparer project site visit; and
- One-page report and certification page.

Offsite project aggregate material source SWPPP2 - This item includes:

- SWPPP2 documents and maps in accordance with project specifications;
- Final deliverable will include up to two hard copies of SWPPP in tabbed binders as well as electronic copy in PDF format; and
- File eNOI electronically (you provide permit fee).

601 West 5<sup>th</sup> Avenue, Suite 210  
Anchorage, Alaska 99501

Phone: 907-885-0271  
Fax: 907-782-4236

[info@mlpassociates.com](mailto:info@mlpassociates.com)  
[www.mlpassociates.com](http://www.mlpassociates.com)

STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**CONTACT REPORT**  
Federal-Aid Contracts

Project Name and Number

Specific Work or Materials (by pay item):

DBE Firm Contacted:

MLP & Associates      601 W. 5th Avenue, Suite 210      (907) 885-0271  
Name      Address      Anchorage, AK      Phone Number

A. INITIAL CONTACT: (See important contact information on instruction sheet)

Method:  Phone  Mail  FAX  Other

1. Date: 11/10/2016

2. Person Contacted: Maria Lewis      Consultant  
Name      Title

3. DBE's Response: Date:      Method:  Phone  Mail  FAX  Other

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)

Not interested: Indicate Reason(s)

Needs more information: Date Prime provided requested information

Will provide quote by: Date

Received unacceptable sub-bid (complete Section C)

B. FOLLOW-UP CONTACT

Method:  Phone  Mail  FAX  Other

1. Date: 11/21/2016

2. Person Contacted: Maria Lewis      Consultant  
Name      Title

3. DBE's Response: Date: 11/21/2016      Method:  Phone  Mail  FAX  Other - Email

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)

Received unacceptable sub-bid (complete Section C)

Other result:

C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:

1. Were the following required efforts made?

a.  Yes  No Identified specific items of work, products, materials, etc. when asking for quote(s).

b.  Yes  No Offered assistance in acquiring necessary bonding & insurance.

c.  Yes  No Provided all appropriate information concerning the specific work items or materials.

2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)?  Yes  No

3. Was the DBE unable to perform in some capacity?  Yes  No If "Yes", explain:

D. CERTIFICATION: I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.

*[Signature]*      Project Engineer      11/28/2016  
Signature of Company Representative      Title      Date

Name of DOT&PF Reviewer      Title      Date

\*\*\* Communication Result Report (Nov. 10. 2016 10:29AM) \*\*\*

Date/Time: Nov. 10. 2016 10:27AM

File No.	Mode	Destination	Pg(s)	Result	Page Not Sent
9508	Memory TX	19077824236	P. 7	OK	

Reason for error: E: 2) Busy No facsimile connection

ERR: 1) Hang up or line fail  
ERR: 2) No answer  
ERR: 3) Exceeded max. E-mail size

**Chug**

November 26, 2016

To: MLP & Associates      From: aasm@dot.alaska.gov  
Attn: Maria Lewis      7 Page (including cover)

Subj: TOK CUYUNYAP 0.34 COLLECTIVE REPLACEMENT  
Project No. 201500000062007

Clear Construction, Inc. will be bidding the subject project as a prime contractor on November 15, 2016. Following this event, please file a credit report with the current BID schedule from the bid project. Please let me know if you need any assistance obtaining information about bonding, insurance, meeting equipment, supplies, materials, or related assistance or services.

Please come on the schedule and request via email (for fax at (907) 266-5377) advising us by completing the following:

— No, our company will not be bidding this project. (Please provide a short explanation why.)

— Yes, our company will be bidding the following bid items (please check the box in the left of the Bid Item No.). If you intend to bid other items, please write them into the black space provided.

Bid Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-266-4613 or email bha@dot.alaska.gov

Sincerely,  
*[Signature]*  
Blake Anderson  
Project Engineer



7000 East Palmer-Walrus Hwy • Palmer, Alaska 99645 Tel: (907) 746-3144 Fax: (907) 746-5557  
www.cruzconstruct.com

November 10, 2016

To: MLP & Associates  
Attn.: Maria Lewis

Email: maria@mlpassociates.com  
7 Pages (including cover)

Subj.: TOK CUTOFF MP 0-24 CULVERT REPLACEMENT  
Project No. Z630170000/0A13017

Cruz Construction, Inc. will be bidding the subject project as a prime contractor on November 15, 2016. Following this coversheet, please find a contact report, and the current bid schedule form for this project. Please let me know if you need any assistance obtaining information about bonding, insurance, securing equipment, supplies, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5557) advising us by completing the following:

\_\_\_\_\_ No, our company will not be bidding this project. (Please provide a short explanation why).

\_\_\_\_\_ Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank spaces provided.

Pay Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-761-6613 or email banderson@cruzconstruct.com

Sincerely,

Blake Anderson  
Project Engineer



JOB #: \_\_\_\_\_ BY: \_\_\_\_\_  
SHEET: \_\_\_\_\_ DESC: \_\_\_\_\_  
DATE: \_\_\_\_\_

7000 East Palmer-Walrus Hwy Tel: (907) 746-3144  
Palmer, Alaska 99645 Fax: (907) 746-5557

MLP & Associates quote was not accepted because we decided to use NeFrger Consulting for the SWPPP preparation. Please refer to NeFrger consulting DBE backup for further information.

- Blake Anderson



Nov. 30. 2016 7:56AM

No. 3624 P. 58  
. P. 1

\* \* \* Communication Result Report ( Nov. 21. 2016 10:48AM ) \* \* \*


33

Date/Time: Nov. 21. 2016 10:47AM

File No.	Mode	Destination	Page(s)	Result	Page Not Sent
9566	Memory TX	19076779452	P. 7	OK	

Reason for error

E: 1) Blank page or line feed	E: 2) Busy
E: 3) No answer	E: 4) No facsimile connection
E: 5) Exceeded max. E-mail size	



7000 East Palmer-Waples Hwy - Palmer, Alaska 99645 Tel: (907) 746-3444 Fax: (907) 746-5557  
www.cruzconstruct.com

November 21, 2016

To: APC SERVICES, LLC  
Attn: Greg DuBois  
7 Pages (including cover)

Subj: TOK CUTOFF MP 0-24 CULVERT REPLACEMENT  
Project No. Z630170000/0A13017

Cruz Construction, Inc. will be bidding the subject project as a prime contractor on November 22, 2016. Following this coversheet, please find a contact report, and the current bid schedule form for this project. Please let me know if you need any assistance obtaining information about bonding, insurance, securing equipment, supplies, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5557) advising us by completing the following:


No, our company will not be bidding this project. (Please provide a short explanation why).

Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank spaces provided.

Pay Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-761-6613 or email [banderson@cruzconstruct.com](mailto:banderson@cruzconstruct.com)

Sincerely,  
  
Blake Anderson  
Project Engineer

Nov. 30. 2016 7:56AM

No. 3624 P. 59



7000 East Palmer-Waples Hwy - Palmer, Alaska 99645 Tel: (907) 746-3444 Fax: (907) 746-5557  
www.cruzconstruct.com

November 21, 2016

To: APC Services, LLC  
Attn.: Greg DuBois

Email: [gdubois@aposervcsllc.com](mailto:gdubois@aposervcsllc.com)  
7 Pages (including cover)

Subj.: TOK CUTOFF MP 0-24 CULVERT REPLACEMENT  
Project No. Z630170000/0A13017

Cruz Construction, Inc. will be bidding the subject project as a prime contractor on November 22, 2016. Following this coversheet, please find a contact report, and the current bid schedule form for this project. Please let me know if you need any assistance obtaining information about bonding, insurance, securing equipment, supplies, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5557) advising us by completing the following:

No, our company will not be bidding this project. (Please provide a short explanation why).

Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank spaces provided.

Pay Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-761-6613 or email [banderson@cruzconstruct.com](mailto:banderson@cruzconstruct.com)

Sincerely,

  
Blake Anderson  
Project Engineer

STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**CONTACT REPORT**  
Federal-Aid Contracts

---

Project Name and Number

Specific Work or Materials (by pay item): \_\_\_\_\_

DBE Firm Contacted:

APC Services, LLC      4241 B street suite 100      (907) 677-9451  
 Name      Address      Anchorage, AK      Phone Number

A. INITIAL CONTACT: (See important contact information on instruction sheet)

Method: \_\_\_\_\_

1. Date      11/10/2016      Method:  Phone  Mail  FAX  Other

2. Person Contacted      Greg DuBois      APC's Business Manager/Project Manager  
 Name      Title

3. DBE's Response: Date: \_\_\_\_\_ Method:  Phone  Mail  FAX  Other

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)

Not interested. Indicate Reason(s) \_\_\_\_\_

Needs more information: Date Prime provided requested information \_\_\_\_\_

Will provide quote by: Date \_\_\_\_\_

Received unacceptable sub-bid (complete Section C)

B. FOLLOW-UP CONTACT

1. Date      11/21/2016      Method:  Phone  Mail  FAX  Other

2. Person Contacted      Greg DuBois      APC's Business Mgr./Project Manager  
 Name      Title

3. DBE's Response: Date: \_\_\_\_\_ Method:  Phone  Mail  FAX  Other

Submitted an acceptable sub-bid. (If sub-bid accepted, skip to Section D)

Received unacceptable sub-bid (complete Section C)

Other result: no response

C. EXPLANATION OF FAILURE TO ACHIEVE AN ACCEPTABLE SUB-BID:

1. Were the following required efforts made?

a.  Yes  No Identified specific items of work, products, materials, etc. when asking for quote(s).

b.  Yes  No Offered assistance in acquiring necessary bonding & insurance.

c.  Yes  No Provided all appropriate information concerning the specific work items or materials.

2. Was the DBE's quote non-competitive (i.e., more than 10% higher than the accepted quote)?  Yes  No

3. Was the DBE unable to perform in some capacity?  Yes  No If "Yes", explain: \_\_\_\_\_

D. CERTIFICATION: I certify that the information provided above is accurate and that efforts to solicit sub-bids were made in good faith.

BP      Project Engineer      11/28/2016  
 Signature of Company Representative      Title      Date

\_\_\_\_\_  
 Name of DOT&PF Reviewer      Title      Date

\* \* \* Communication Result Report ( Nov. 10. 2016 10:37AM ) \* \* \*

33

Date/Time: Nov. 10. 2016 10:36AM

File No.	Mode	Destination	Pg(s)	Result	Page Not Sent
3509	Memory TX	19076779452	P. 7	OK	

Reason for error

E: 1) Hanging up or line fall	E: 2) Busy
E: 3) No answer	E: 3) Busy
E: 5) Exceeded max. E-mail size	E: 4) No facsimile connection



November 16, 2016

To: APC Services, LLC  
 Address: Greg DuBois      From: apc@apcservices.com  
 7 Pages (including cover)

Subject: XDC COTOPHI TWP 0-24 CURBMENT REPLACEMENT  
 Project No. 2004170000A13167

Comcast Contracting, Inc. will be holding the bid for project as a prime contractor on November 15, 2016. Following this contract, please find a contact report, and the contract bid schedule from the city project. Please let me know if you need any assistance including information about bonding, insurance, existing equipment, supplies, materials, or related information or services.

Please review the schedule and respond via email (or fax at (907) 546-5557) within 10 days completing the following:

\_\_\_\_ No, our company will not be bidding this project. (Please provide a short explanation why).

Yes, our company will be holding the following bid items (please check the box to the left of the bid item No.). If you intend to bid other items, please write them into the blank spaces provided.

Item No.	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Mike Anderson at 907-201-6612 or email [mikeanderson@comcast.com](mailto:mikeanderson@comcast.com)

Sincerely,  
  
 State Address  
 Project Engineer



7000 Esol Palmer-Wasilla Hwy - Palmer, Alaska 99845 Tel: (907) 746-3144 Fax: (907) 746-5557  
www.cruzconstruct.com

November 10, 2016

To: APC Services, LLC  
Attn.: Greg DuBois

Email: [gdubois@apcservicesllc.com](mailto:gdubois@apcservicesllc.com)  
7 Pages (including cover)

Subj.: TOK CUTOFF MP 0-24 CULVERT REPLACEMENT  
Project No. Z630170000/0A13017

Cruz Construction, Inc. will be bidding the subject project as a prime contractor on November 15, 2016. Following this coversheet, please find a contact report, and the current bid schedule form for this project. Please let me know if you need any assistance obtaining information about bonding, insurance, securing equipment, supplies, materials, or related assistance or services.

Please review the schedule and respond via email (or fax at (907) 746-5557) advising us by completing the following:

\_\_\_\_\_ No, our company will not be bidding this project. (Please provide a short explanation why).

\_\_\_\_\_ Yes, our company will be bidding the following bid items (please check the box to the left of the Bid Item No.). If you intend to bid other items, please write them into the blank spaces provided.

Pay Item	Description

Thank you for your immediate attention to this matter. Taking the time to respond is greatly appreciated.

If you need additional information or have any questions, please do not hesitate to contact Blake Anderson at 907-761-6613 or email [banderson@cruzconstruct.com](mailto:banderson@cruzconstruct.com)

Sincerely,

Blake Anderson  
Project Engineer

# AKDOT&PF-72 63017 GFE Summary

Form 25A-324 (06/11)



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

## SUMMARY OF GOOD FAITH EFFORT DOCUMENTATION

Federal-Aid Contracts

Tok Cutoff MP D-24 Culvert Replacement Project No.0A13017/Z630170000

Project Name and Number

Contractor: Cruz Construction, Inc.

List all items considered for DBE utilization. GFE requires at a minimum that the Contractor consider all items identified on Form 25A-324.

a. MATERIAL OR SPECIFIC ITEM OF WORK (SPECIFY PAY ITEM)	b. ACCEPTABLE DBE QUOTE RECEIVED	c. # OF DBEs CONTACTED IN DBE DIRECTORY	d. # OF DBEs THAT RESPONDED	e. # OF DBE QUOTES RECEIVED
1. SWPPP Preparation	Yes <i>Netzer Consulting</i>	—	—	—
2.				
3.				
4.				
5.				
6.				
7.				
8.				

1. Check if acceptable DBE quote was received (if so, skip c, d, and e)
2. Attach completed Contact Reports, Form 25A-321A

LIST ADDITIONAL ITEMS ON REVERSE SIDE

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No. 3624 P. 7

# AKDOT&PF-73 63017 Prime Commit

Nov. 30. 2016 7:36AM

No. 3624 P. 5



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
Civil Rights Office – DBE Program

## PRIME CONTRACTOR'S WRITTEN DBE COMMITMENT

Federal-Aid Contracts

Tok Cutoff MP 0-24 Culvert Replacement Project No.0A13017/2630170000

Project Name and Number

All firms bidding on Alaska Department of Transportation and Public Facilities (DOT&PF) projects must have a written commitment from each DBE firm to be subcontracted. Please complete this form for each DBE firm and submit to the DOT&PF Regional Compliance Officer.

If you have any questions, please call (907) 269-0851.

Name of DBE Firm: Nefzger Consulting  
 Street Address: 3303 W. 82nd Avenue  
 Mailing Address: 3303 W. 82nd Avenue City: Anchorage  
 State: Alaska Zip Code: 99502-4430  
 Telephone Number: 907-244-1080 Fax number: 907-248-5657

Description of the work that DBE firm will perform: Nefzger consulting will prepare the SWPPP/HMCP for this project.  
This includes up to 5 printed manuals and 2 CD's of the entire manual in PDF format.

Please provide additional information on a separate sheet of paper.

The dollar amount of participation by the DBE firm: \$ 5,400.00

Signatures of Authorized representatives of the Prime Contractor and the DBE firm below represent the written commitment by the Prime Contractor to subcontract with the DBE firm as described above and a written commitment by the DBE firm to subcontract for the work described above:

	<u>11/29/2016</u>		<u>11-30-16</u>
Prime Contractor Signature	Date	DBE Firm Signature	Date

Prime Contractor Firm: Cruce Construction, Inc.  
 Address: 7000 E. Palmer-Wasilla Hwy.  
Palmer, AK 99645  
 Telephone Number: 907-746-3144 Fax number: 907-746-5557

## AKDOT&PF-74 63017 Subcontractable Items

No. 3624 P. 11



STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
**DISADVANTAGED BUSINESS ENTERPRISE (DBE)  
SUBCONTRACTABLE ITEMS**  
Federal-Aid Contracts

**Tok Cutoff MP 0-24 Culvert Replacement, 0A13017/Z630170000**

Project Name and Number

The original DBE Utilization Goal for this project is:   N/A\*   of the basic bid amount.

The following is the list of subcontractable items by category/subcategory that shall be considered under Section 120, DBE Program, Good Faith Effort Criteria.

BID ITEM NO.	DESCRIPTION OF WORK OR PORTION OF WORK	CATEGORY
	* This contract is being advertised under the Department's	
	Race-Neutral DBE Program. A specific DBE Utilization Goal for	
	this project has not been established.	
	Bidders are encouraged to use any bid items or work category to	
	meet the Department's overall DBE Utilization Goal of 8.46%.	
	DBEs must be certified in the work category selected by the	
	bidders at the time of bid opening in order for the DBE participation	
	to count towards the DBE Race-Neutral Program.	

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Form 25A-324 (12/14)

# AKDOT&PF-75 63017 Sublist & DBE Report

Nov. 30. 2016 7:35AM

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STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**SUBCONTRACTOR LIST**

**ToK Cutoff MP 0-24 Culvert Replacement** OAI3017/2630170000  
Project Name and Number

The apparent low bidder shall complete this form and submit it so as to be received by the Contracting Officer prior to the close of business on the fifth working day after receipt of written notice from the Department.

Failure to submit this form with all required information by the due date will result in the bidder being declared nonresponsive and may result in the forfeiture of the Bid Security.

Scope of work must be clearly defined. If an item of work is to be performed by more than one firm, indicate the portion or percent of work to be done by each.

Check as applicable:  All Work on the above-referenced project will be accomplished without subcontracts greater than 1/2 of 1% of the contract amount.  
 Subcontractor List is as follows:

LIST FIRST TIER SUBCONTRACTORS ONLY

FIRM NAME, ADDRESS, PHONE NO.	AK BUSINESS LICENSE NO., CONTRACTOR'S REGISTRATION NO.	SCOPE OF WORK TO BE PERFORMED
Peninsula Surveying, LLC. 10535 Katina Blvd. Ninilchik, AK 99639 907-326-7065	License # 1012198 Registration # AELL1448B	Construction Surveying
Northwest Barrriers LLC. 2147 W Shirley Rd Wasilla, AK 99623 907-376-7498	License # 924625 Registration # 34391	W-Beam Guardrail Removing Guardrail Controlled Release Terminals Removal Guardrail Terminals Wood curb, Culvert Markers
Sunrise/Sunset LLC 2621 Wesleyan Dr. Anchorage, AK 99508 907-277-6363	License # 1023422 Registration # 108712	Seeding, erosion control
Specialized Pavement Marking, Inc. 11095 SW Industrial Way, Suite A Tualatin Oregon 97062	License # 805834 Registration # 30363	Painted Traffic Markings

CONTINUE SUBCONTRACTOR INFORMATION ON REVERSE

For projects with federal-aid funding, I hereby certify Alaska Business Licenses and Contractor registrations will be valid for all subcontractors prior to award of the subcontract. For projects without federal-aid funding (State funding only), I hereby certify the listed Alaska Business Licenses and Contractor's Registration were valid at the time bids were opened for this project.

Signature of Authorized Company Representative: [Signature]  
Title: Sr. Project Manager

Company Name: Cruz Construction, Inc.  
Company Address (Street or PO Box, City, State, Zip): 7800 E. Palmer Wasilla Hwy, Palmer AK 99645  
Date: 11/29/2016  
Phone Number: (907) 315-6604

Form 28D-5 (10/12)

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FIRM NAME, ADDRESS, PHONE NO.	AK BUSINESS LICENSE NO., CONTRACTOR'S REGISTRATION NO.	SCOPE OF WORK TO BE PERFORMED
Northwind Enterprises, LLC HCO1 Box 225 Gakona AK 99586 907-822-5665	License # 262948 Registration # 27050	Equipment Rental, Miscellaneous as needed.
Ogard Leasing Inc. 1801 Beaver Pl Anchorage AK 99504 907-727-3461	License # 59741 Registration # 8851	Re-claiming as needed.
Sockeye Asphalt Maintenance PO Box 244894 Anchorage AK 99524 907-982-7721	License # 294428 Registration # 29146	Chip Sealing
Alaska Industrial, LLC. 1548 Richardson Hwy North Pole, Alaska 99705 907-490-6600	License # 410759 Registration # 33534	Rock Crushing, Screening, Trucking services

Form 28D-5 (10/12)

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STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES

**DISADVANTAGED BUSINESS ENTERPRISE  
UTILIZATION REPORT**  
Federal-Aid Contracts

**Tok Cutoff MP 0-24 Culvert Replacement, 0A13017/Z630170000**

Project Name and Number

The undersigned hereby certifies on behalf of the bidder that:

- A. It  is  is not a DOT&PF certified DBE or DBE joint venture.
- B. The required good faith efforts (GFE) documentation is attached.
- C. Listed below are the certified DBEs to be used in this contract. Included are the firm name, bid items or portions of work to be performed by the item number, type of DBE credit claimed, and the creditable dollar amount to be counted toward the Department's overall DBE Utilization Goal.

FIRM NAME	BID ITEM, WORK, OR PRODUCT	SUBCONTRACT AMOUNT*	TYPE OF CREDIT	CREDITABLE DOLLAR AMOUNT**
Nefzger Consulting	6A1 - SWPPP	\$ 5,400.00		\$ 5,400.00
				\$
				\$
				\$
				\$

\*or expenditure amount or fee/commission amount. \*\* (Subcontract amount x Creditable CUF % per 120-4.01).  
If more room necessary, submit additional, signed copies of this form.

Total creditable DBE Utilization Amount \$ 5,400.00  
Basic Bid Amount \$ 6,367,197.00  
DBE Utilization as % of Basic Bid Amount 0.08 %  
Department's Overall DBE Utilization Goal\*\*\* 8.46 %

\*\*\*This is the overall goal of the Department and is not a set DBE Goal specific to this contract.

Signature of Authorized Company Representative

Project Engineer  
Title

Cruz Construction, Inc.  
Company Name

7000 E. Palmer-Wasilla Hwy, Palmer, AK, 99645  
Company Address (Street or PO Box, City, State, Zip)

11/30/2016  
Date

(907) 746-3144  
Phone Number



## AKDOT&PF-76 63017 GFE Memo to CRO

### MEMORANDUM

State of Alaska

Department of Transportation & Public Facilities  
Northern Region Design and Engineering Services

**TO:** Winnie Cichosz  
Contract Compliance Officer  
Central Region

**DATE:** December 8, 2016

**FILE NO:** I:\Projects\0017 Tok Cutoff MP 0-24 Culvert Replacement\_Award  
Process\DBE GFE Review Request memo 10-2016.doc

**PHONE NO:** (907) 451-2219

**FAX NO:** (907) 451-5390

**FROM:** Stacy McSorley  
Construction Contracts Coordinator  
Northern Region

**SUBJECT:** No. 0A13017/Z630170000  
Tok Cutoff MP 0-24 Culvert Replacement  
**GOOD FAITH EFFORT REVIEW  
REQUEST EMAILED**

Attached is the Good Faith Effort documentation as submitted by Cruz Construction, Inc. for the subject project for your information and review. The following documents are included:

1. DBE Subcontractable Item List (Form 25A324)
2. Compilation of Bids (Bid Tab)
3. Subcontractor List (25D-5)
4. DBE Utilization Report (Form 25A325C)
5. Prime Contractor's Written DBE Commitment Form (25A-326)
6. Summary of Good Faith Effort Documentation (form 25A332A)
7. Contact Reports (Form 25A321A) and back up correspondence.
8. The Advertising Date was September 13, 2016.
  - The *original* Bid Opening Date was October 4, 2016.
  - Bid Opening Date was **revised** to November 22, 2016 by Notice to Bidder.
9. The point of contact for *Cruz Construction, Inc.* is Jeff Miller at (907)761-6607.

When you have completed the review, return the original compliance determination memo and the CRO verified Contact Reports.

Thank you.

Attachments

cc by email: Erin Anderson, Contract Compliance Officer  
Sara Jarvis, SiteManager System Administrator  
Adam Marks, Research Analysis

AKDOT&PF-76 63017 GFE Memo to CRO

## AKDOT&PF-77 64252 Dalton Elliot Steese Hwy Signs and Striping OJT Goal

Enter Info Tab

6/20/2016 S. Jarvis/E. Anderson						
Please include the following information from the project:						
Project Number:	64252	HSIP: Dalton, Elliot and Steese Highways Signs and Striping				
Basic Bid Amount:	\$1,839,275.00					
Non-Labor Cost:	\$1,301,357.75					
Minimum # of Positions	0.27	Round up only if over .75				
Minimum # of Hours	129.10	Round to 500 hours per position				
<b><i>If the basic bid amount is below \$1.5M there will be no 645 OJT goal.</i></b>						
Goal: 0 Position 0 Hours						

Minimum # of Position Tab

Project Number:	64252					
{ (	\$1,839,275.00	-	\$1,301,357.75	)*	0.3	}/
	Basic Bid Amount		Non-Labor Cost		Labor Factor	EE Average Cost
					\$100,000.00	=
						1.61
						Total # of Positions
	1.61	/	6	=	0.27	
	Total # of Positions		~16% of Workforce		Minimum number of apprentices for 645 Item	

Minimum # of Hours Tab

Project Number:	64252					
{ (	\$1,839,275.00	-	\$1,301,357.75	)*	0.3	}/
	Basic Bid Amount		Non-Labor Cost		Labor Factor	
					Average Cost per Worker Hour	= 2,151.67
	2,151.67	/	5	=	430.33	
	Total # of worker hours		1-5 apprentice ratio		Total # of Apprentice Hours	
	430.33	*	0.3	=	129.10	
	Total # of Apprentice Hours		30% of Apprentice Hours		Total # of Item 645 Apprentice Hours	

Non-Labor Items Tab

64252	<-Project Number	TOTAL	\$1,301,357.75	Include all 640, 641, 644, 645, & 646 bid items Also include any contingent sum items
Item #	Item Description		Unit Price	
640(1)	Mob/Demob		\$170,000.00	
640(4)	Worker Meals and Lodging, or Per Diem		\$200,000.00	
641(108)	Pollution Control		\$30,000.00	
643(23)	Traffic Price Adjustment		\$0.00	
644(1)	Field Office		\$40,000.00	
644(6)	Vehicles		\$20,000.00	
	Less cost of construction materials (40%)		\$551,710.00	\$460,000.00
	Less profit and overhead (35%)		\$289,647.75	\$1,011,710.00

### AKDOT&PF-78 64252 Dalton Elliot Steese Hwy Signs and Striping OJT Goal Set

Sheet 1 Tab


ICTLCOD	ITMDESC		ITMUNIT	ITMQUAN	ENGPRIC
200b.1	CLEARING	\$15,000	LUMP SUM	1.00	15000.00
330g.1	BORROW EMBANKMENT	\$388,800	CUBIC YARD	32400.00	12.00
540.1	AGGREGATE SURFACE COURSE	\$105,000	CUBIC YARD	4200.00	25.00
550a.1	GEOTEXTILE, SEPARATION	\$39,600	SQUARE YARD	19800.00	2.00
730.1	REFLECTIVE MARKERS	\$500	EACH	10.00	50.00
1000.1	AIRPORT LIGHTING	\$95,000	LUMP SUM	1.00	95000.00
1020a.1	AIRPORT BEACON POLE	\$8,000	LUMP SUM	1.00	8000.00
100	MOBILIZATION AND DEMOBILIZATION	\$250,000	LUMP SUM	1.00	250000.00
120	DBE ADJUSTMENT	\$5,000	CONTINGENT SUM	1.00	5000.00
125	ENGINEERING TRANSPORTATION	\$10,000	LUMP SUM	1.00	10000.00
131	ENGINEER'S FIELD OFFICE	\$10,000	LUMP SUM	1.00	10000.00
330g	BORROW EMBANKMENT	\$98,400	CUBIC YARD	8200.00	12.00
330h	SILT BORROW	\$35,000	LUMP SUM	1.00	35000.00
540	AGGREGATE SURFACE COURSE	\$215,500	CUBIC YARD	8620.00	25.00
550a	GEOTEXTILE, SEPARATION	\$143,000	SQUARE YARD	71500.00	2.00
730	REFLECTIVE MARKERS	\$3,150	EACH	63.00	50.00
821	TIE-DOWN ANCHORS, DUCKBILL	\$1,800	EACH	12.00	150.00
900d	SEEDING	\$10,000	LUMP SUM	1.00	10000.00
		\$0			
		\$0			
		\$0			\$438,328
		#VALUE!			]
		\$0			
		\$0			
		\$0			
		\$0			
		\$0			
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		\$0			
		\$0			

DBE Goals Tab

Form to be completed as established by Regional policy.						
Project Name:		HSIP: Dalton, Elliot, and Steese Highways Signing & Striping				
Project Location (relative to nearest large community):		Fairbanks				
Project No:		64252				
Estimated Contract Amount:		\$1,839,275.00				
Estimated Total Subcontract Percentage:		5.44%	Region	Mail Stop	Phone No.	
Prepared By:	Sara Jarvis/Erin Anderson	Date: 6/20/2016	Northern	2550	451-3055	
SUBCONTRACTABLE ITEMS				3 DBE's in Region and/or Statewide		Recommended Category
Bid Item No.	Description of Work or Portion of Work	Estimated Value	% of Total	YES	NO	
642(1)	Construction Surveying	\$100,000	5.44%	X		Surveying Licensed-Construction



## AKDOT&PF-79 64252 and 64257 Engineers' Estimates

<b>ENGINEER'S ESTIMATE</b>		HSIP: Dalton, Elliott and Steese Highways Signing and Striping PS&E AKSAS No.: 2542520000 Program No.: Federal No.: 0002317 Version ID: 45586 Printed: 6/13/2016 12:12:29 PM			
<b>State of Alaska Department of Transportation &amp; Public Facilities Northern Region</b>					
<b>Basic Bid</b>					
Item Number	Description	Quantity	Unit	Unit Price	Amount
615(1)	Standard Sign	8,258.25	Square Foot	100.00	825,825.00
615(6)	Salvage Sign	253	Each	150.00	37,950.00
615(116)	Signpost Extension	70	Each	150.00	10,500.00
615(117)	Rock Sign Installation	5	Each	2,000.00	10,000.00
640(1)	Mobilization And Demobilization	All required	Lump Sum	170,000.00	170,000.00
640(4)	Worker Meals and Lodging, or Per Diem	All required	Lump Sum	200,000.00	200,000.00
641(108)	Pollution Control	All required	Lump Sum	30,000.00	30,000.00
642(1)	Construction Surveying	All required	Lump Sum	100,000.00	100,000.00
643(2)	Traffic Maintenance	All required	Lump Sum	360,000.00	360,000.00
643(23)	Traffic Price Adjustment	All required	Contingent Sum	0.00	0.00
644(1)	Field Office	All required	Lump Sum	40,000.00	40,000.00 (CF-CENG)
644(6)	Vehicles	All required	Lump Sum	20,000.00	20,000.00 (CF-CENG)
670(1)	Painted Traffic Markings	All required	Lump Sum	35,000.00	35,000.00
<b>PROJECT Summary</b>	Pay Items:	13 Items		Subtotal:	9,839,275.00
	Minus Contractor Furnished CENG Items				-60,000.00
				Exc Subtotal:	1,779,275.00
	Construction Engineering (Percentage)	20%		CENG	355,855.00
				Subtotal:	2,135,130.00
	Indirect Cost Allocation Plan (ICAP)	4.65%			59,283.55
	<b>TOTAL PARTICIPATING</b>				2,234,413.55
	<b>ADDED COSTS (Not part of the Contract)</b>				
	<b>PROJECT TOTAL</b>				2,234,413.55

Prepared By: Jessi Miranda      Checked By: Ron Marindale      6/6/2016      Page: 1 of 1

<b>ENGINEER'S ESTIMATE</b>		HSIP: Eastern Alaska Named Highways Signing and Striping PS&E AKSAS No.: 2542570000 Program No.: Federal No.: 0002318 Version ID: 45588 Printed: 6/13/2016 2:23:38 PM			
<b>State of Alaska Department of Transportation &amp; Public Facilities Northern Region</b>					
<b>Basic Bid</b>					
Item Number	Description	Quantity	Unit	Unit Price	Amount
615(1)	Standard Sign	10,757.75	Square Foot	100.00	1,075,775.00
615(6)	Salvage Sign	402	Each	150.00	60,300.00
615(116)	Signpost Extension	310	Each	150.00	46,500.00
615(117)	Rock Sign Installation	60	Each	2,000.00	120,000.00
640(1)	Mobilization And Demobilization	All required	Lump Sum	190,000.00	190,000.00
640(4)	Worker Meals and Lodging, or Per Diem	All required	Lump Sum	140,000.00	140,000.00
641(108)	Pollution Control	All required	Lump Sum	35,000.00	35,000.00
642(1)	Construction Surveying	All required	Lump Sum	80,000.00	80,000.00
643(2)	Traffic Maintenance	All required	Lump Sum	190,000.00	190,000.00
643(23)	Traffic Price Adjustment	All required	Contingent Sum	0.00	0.00
644(1)	Field Office	All required	Lump Sum	40,000.00	40,000.00 (CF-CENG)
644(6)	Vehicles	All required	Lump Sum	20,000.00	20,000.00 (CF-CENG)
670(1)	Painted Traffic Markings	All required	Lump Sum	46,250.00	46,250.00
<b>PROJECT Summary</b>	Pay Items:	13 Items		Subtotal:	2,083,825.00
	Minus Contractor Furnished CENG Items				-60,000.00
				Exc Subtotal:	2,023,825.00
	Construction Engineering (Percentage)	20%		CENG	404,765.00
				Subtotal:	2,428,590.00
	Indirect Cost Allocation Plan (ICAP)	4.65%			112,929.44
	<b>TOTAL PARTICIPATING</b>				2,541,519.44
	<b>ADDED COSTS (Not part of the Contract)</b>				
	<b>PROJECT TOTAL</b>				2,541,519.44

Prepared By: Jessi Miranda      Checked By: Ron Marindale      6/1/2016      Page: 1 of 1

## AKDOT&PF-80 Form 25D-042 (10/09) Required Contract Provisions

<b>Alaska Department of Transportation &amp; Public Facilities</b>	
Contractor Self Certification for Subcontractors and Lower Tier Subcontractors (Form 25D-042)	
Project Name: [REDACTED]	
Project Number: [REDACTED]	Federal-Aid Number: [REDACTED]
Submission Number: [REDACTED]	
Subcontractor or Lower Tier Subcontractor: [REDACTED]	
<b>Contractor Certification</b>	
<p>Agreement as included herein refers to the legally binding written contract between the Contractor and Subcontractor or between the Subcontractor and Lower Tier Subcontractor and identified in items 1 or 2 below.</p> <p>1. <input type="checkbox"/> A written agreement has been executed between Contractor and the above listed subcontractor.</p> <p>2. <input type="checkbox"/> A written Agreement has been executed between [REDACTED] (Subcontractor) and the above listed Lower Tier Subcontractor</p> <ul style="list-style-type: none"> <li>• All Subcontractors are qualified to perform the work.</li> <li>• All Subcontractors have adequate insurance as required by the Contract, or the Contractor has adequate insurance for the Subcontractor(s) as required by the contract.</li> <li>• All subcontractors are included on the Bidder's Registration List.</li> <li>• The "Prompt Payment" clauses (AS 36.00.210) are included in the Agreement language.</li> <li>• All requirements and pertinent provisions of the Contract, including but not limited to; Form 25D-55 (included in the contract), Required Contract Provisions for Federal Aid Construction Contracts, DBE provisions, and minimum wage rates, are included in the agreement.</li> <li>• All agreements with Subcontractors and with Lower Tier Subcontractors will be in continued compliance with all provisions of the Contract.</li> <li>• The Contractor remains responsible for all quality control and proper performance of all requirements of the Contract.</li> <li>• The Contractor will continue to perform at least thirty percent (30%) of the Contract work with his own organization.</li> <li>• This Contractor Self Certification does not relieve the Contractor and his surety, or either the Contractor or surety from any liability or responsibility under the Contract.</li> <li>• The Contractor certifies firms or individuals debarred or suspended by the Department, FAA, or FHWA are not employed or subcontracted under this construction project.</li> </ul>	
Total Agreement Amount: [REDACTED]	
Total Agreement Amount is [REDACTED] % of the Total Contract Award Amount.	
Total cumulative subcontracts (including this Agreement) are [REDACTED] % of the Total Contract Award Amount.	

Form 25D-042 (10/09)

<b>Subcontractor or Lower Tier Subcontractor</b>	
Federal I.D. No. (if no Federal I.D. No., use owner SSN): [REDACTED]	
Business License Number: [REDACTED]	
Contractor's License Number: [REDACTED]	
Electrical/Mechanical Administrator's License Number (if applicable): [REDACTED]	
Surveyor's License Number (if applicable): [REDACTED]	
Phone Number: [REDACTED]	
Address: [REDACTED]	
City: [REDACTED] State: [REDACTED]	
Estimated Starting Date: [REDACTED]	
<p><b>Department's Request for Information</b> – If the Department at any time makes written request for the Agreement, licenses, proof of insurance, or any other information relating to the certifications contained herein, the Contractor will deliver an executed copy of the Agreement and /or other requested information to the Department within five calendar days. If the Contractor fails to provide the requested information within five calendar days, or if the Contractor fails to include required language and conditions in the Agreement, the Department may suspend all work relating to the Agreement. The Contractor shall not be due any additional compensation or contract time if the Department suspends work due to the Contractor's failure to provide requested information or failure to include required language and conditions in the Agreement.</p>	
<p><b>False Statement or Omission</b> – If a false statement or omission is made in connection with this Contractor Self Certification the Contractor will be excluded from participating in the self-certification process for the remainder of this Contract and for the following construction season. Contractors excluded from the self-certification process will be required to submit all necessary information for the Department's approval of proposed Subcontractors or Lower Tier Subcontractors.</p> <p>Any false statement or omission made in connection with this Contractor Self Certification may be cause for suspension, a determination of non-responsibility on future bids, and may be cause for revocation of award, default, or debarment. The person or entity making the false statement or omission is subject to any and all civil and criminal penalties available pursuant to applicable state and federal law.</p>	
I certify the above information and statements are true, correct, and complete.	
Contractor: [REDACTED]	
By: _____	Date: [REDACTED]
Title: [REDACTED]	

Form 25D-042 (10/09)

## AKDOT&PF-81 ANC B Gates FAA Approval Email

**From:** [Hughes, Aaron C \(DOT\)](#)  
**To:** [McLean, Julie F \(DOT\)](#)  
**Subject:** FW: ANC Gates B1, B3 & B5 Reconstruction request approval to advertise  
**Date:** Wednesday, December 07, 2016 10:31:52 AM

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**From:** Patrick.Zettler@faa.gov [mailto:Patrick.Zettler@faa.gov]  
**Sent:** Monday, November 21, 2016 3:55 PM  
**To:** Kiehl, Ralph W (DOT)  
**Cc:** St Aubin, Joel G (DOT); Smith, Sharon L (DOT); Hughes, Aaron C (DOT); Kristi.Warden@faa.gov  
**Subject:** RE: ANC Gates B1, B3 & B5 Reconstruction request approval to advertise

Ralph:

The FAA concurs with advertising the subject project.

Thanks

Pat Zettler P.E.  
Alaska Region Airports Division  
AAL-622  
907-271-5446

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**From:** Kiehl, Ralph W (DOT) [mailto:[ralph.kiehl@alaska.gov](mailto:ralph.kiehl@alaska.gov)]  
**Sent:** Monday, November 21, 2016 2:29 PM  
**To:** Zettler, Patrick (FAA)  
**Cc:** St Aubin, Joel G (DOT); Smith, Sharon L (DOT); [aaron.hughes@alaska.gov](mailto:aaron.hughes@alaska.gov); Warden, Kristi (FAA)  
**Subject:** ANC Gates B1, B3 & B5 Reconstruction request approval to advertise

Hello Pat,

Attached is a request to advertise the subject project. Please let me know if you have any questions or comments. Thanks.



## AKDOT&PF-82 ATA\_ ANC Gates B1, B3, & B5 Reconstruction

**MEMORANDUM**

**State of Alaska**  
Department of Transportation & Public Facilities  
Construction – Central Region  
Aviation Design

**TO:** Wolfgang E. Junge, P.E.  
Preconstruction Engineer  
Central region

**DATE:** November 22, 2016

**THRU:** Cynthia Morales  
Project Control Chief

**TELEPHONE NO:** 907-269-0414  
**E-MAIL:** sharon.smith@alaska.gov

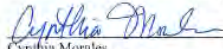
**FROM:** Sharon Smith, P.E.  
Chief of Contracts

**SUBJECT:** ANC Gates B1, B3 & B5  
Reconstruction  
Project No. Z591200000  
AIP No. 3-02-0122-180-2017

**AUTHORITY TO ADVERTISE**

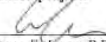
The referenced project is complete and ready for advertising.  
FAA Authority to Advertise received November 21, 2016.

**Sufficient Legislative Authority has been received**  
Construction funding is as follows: Phase 4 Engineer's Estimate: \$7,254,972  
(Basic Bid + CE + ICAP)

  
Cynthia Morales  
Project Control Chief

Date: 11/22/16

**On the basis of this certification, I grant approval and authority to advertise the above referenced project.**

  
Wolfgang E. Junge, P.E.  
Preconstruction Engineer

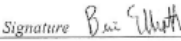



Date: 11/22/16

Attachments: Project Certification  
Engineer's Estimate  
FAA Approval to Advertise

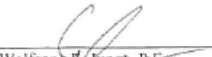
cc: Wolfgang E. Junge, Preconstruction Engineer  
Joel G. St. Aubin, P.E., Aviation Design Section Chief

**PROJECT CERTIFICATION**  
for FAA and State-Funded

Project No.: Z591200000  
Federal Project No.: 3-02-0016-XXX-2017  
Project Name: ANC Gates B1, B3, B5 and ~~L1~~ Reconstruction  
Phase 4 Engineer's Estimate:  
(Basic Bid + CE + ICAP)

<i>Certification</i>	<i>Title</i>
All environmental commitments are included in the PS&E. All regulatory permits necessary for the construction of this project have been obtained.	Regional Environmental Manager
Brian Elliot	
Signature 	Date <u>11/10/16</u>
<i>Certification</i>	<i>Title</i>
Right-of-way has been certified.	Regional Right-of-Way Chief
John Linnell, P.E.	
Signature 	Date <u>11/15/16</u>
<i>Certification</i>	<i>Title</i>
All necessary utility agreements are in place.	Utilities Manager
Melanie Arnold, P.E. Bid opening cont. on signed Utility Agreements	
Signature 	Date <u>11/15/16</u>
<i>Certification</i>	<i>Title</i>
The PS&E is complete and has been developed in accordance with the appropriate standards.	Engineering Manager
Aaron Hughes, P.E.	
Signature 	Date <u>11/15/16</u>

The Final PS&E is complete and approved:

  
Wolfgang E. Junge, P.E.  
Regional Preconstruction Engineer

Date: 11/14/16

## AKDOT&PF-83 CUF

STATE OF ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES CIVIL RIGHTS OFFICE <b>COMMERCIALLY USEFUL FUNCTION (CUF) MONITORING REPORT</b>		
Per 49 CFR 26.55, "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... A DBE does not perform a CUF if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of DBE participation..." This form is for the purposes of reviewing DBEs for compliance with the CUF requirements for credit.		
This form is to be used by DOT field staff to perform CUF reviews on DBE primes, subcontractors and DBE joint ventures. Perform a minimum of one review for each DBE on a federally-assisted project per construction season. The review should be conducted when the DBE first begins work. Monitor compliance through the course of the project.		
<b>1. PROJECT NAME</b>		
<b>2. AKSAS NUMBER</b>	<b>3. FEDERAL PROJECT NO.</b>	
<b>4. PRIME CONTRACTOR NAME</b>		
<b>5. DBE CONTRACTOR NAME</b>		
<b>6. DBE START DATE</b>	<b>7. NAME/TITLE OF DBE ON-SITE REPRESENTATIVE</b>	
<b>8. ON-SITE REPRESENTATIVE REPORTS TO:</b>		
<b>9. DBE IS PERFORMING AS</b>		
<input type="checkbox"/> prime <input type="checkbox"/> subcontractor <input type="checkbox"/> joint-venture		
<b>ON-SITE REPRESENTATIVE'S BRIEF DESCRIPTION OF THE DBE'S SCOPE OF WORK (Obtain copy of Subcontract and/or Purchase Order if needed):</b>		
<b>WHO PREPARES THE DBE'S CERTIFIED PAYROLL (NAME &amp; LOCATION)</b>		
<b>PART I (based on interviewer's observation)</b>		
	<b>YES</b>	<b>NO</b>
The DBE is responsible for the following:		
1. Responsible for execution of all work?		
2. Is the DBE subcontracting any work?		
3. Actually performs, manages, and supervises work?		
4. Performs the work using own employees and own equipment		
5. Is DBE using leased or rented equipment (if yes, obtain a copy of the lease or rental agreement)		
6. Responsible for purchase & installation of materials and supplies		
<b>PART II - DBE Trucking Firm</b>		
	<b>YES</b>	<b>NO</b>
Does the DBE own and operate at least one fully licensed, insured, and operational truck using drivers employed by the DBE on the contract?		
If leasing trucks, Does the DBE lease trucks from another DBE?		
Does the DBE lease trucks from a non-DBE firm?		
Does the truck(s) leased display name and certification number of the DBE firm?		
<b>SUBMIT COMPLETED FORM IMMEDIATELY TO THE REGIONAL CONTRACT COMPLIANCE LIAISON</b>		
<b>AKDOT&amp;PF PROJECT STAFF/REVIEWER (signature)</b>	<b>DATE</b>	
<b>AKDOT&amp;PF PROJECT STAFF/REVIEWER (print)</b>		

## AKDOT&PF-84 DBE Plan Attachment 2-1

State of Alaska  
Department of Transportation and Public Facilities  
Disadvantaged Business Enterprise Program Plan

### Objectives /Policy Statement (49 CFR 26.23)

The Disadvantaged Business Enterprise (DBE)/Small Business Enterprise (SBE) Business Development Office will assist firms in gaining the ability to compete successfully in the marketplace outside the DBE program through activities outlined in the Statement of Work for the DBE Support Services program and approved annually by Federal Highway Administration (FHWA).

It is the policy of The Alaska Department of Transportation and Public Facilities (ADOT&PF) to ensure that DBEs, as defined in Part 26, have an equal opportunity to receive and participate in United States Department of Transportation (USDOT)-assisted contracts. It is also our policy to

1. Ensure nondiscrimination in the award and administration of USDOT assisted contracts;
2. Create a level playing field on which DBEs can compete fairly for USDOT assisted contracts;
3. Ensure the DBE Program is narrowly tailored in accordance with applicable law;
4. Ensure that only firms that fully meet 49 CFR Part 26 eligibility standards are permitted to participate as DBEs;
5. Help remove barriers to the participation of DBEs in USDOT assisted contracts; and
6. Assist the development of firms that can compete successfully in the market place outside the DBE Program.

ADOT&PF has delegated a DBE Liaison Officer (DBELO). In that capacity, the DBELO is responsible for implementing all aspects of the DBE program. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by ADOT&PF in its financial assistance agreements with the USDOT.

ADOT&PF has disseminated this policy statement to all the components of our organization. We have distributed this statement to DBE and non-DBE business communities that perform work for us on USDOT-assisted contracts, as well as construction contractors, by publishing this notice on our internet site at

<http://www.dot.state.ak.us/cvlrts/index.shtml>

The Civil Rights Office (CRO) will also disseminate this policy using the following methods: announcements at the Annual DBE Conference, e-mail blasts to all DBEs, constant communication with the Associated General Contractors, Alaska Public Notices and providing a link to the CRO website through the Transporter Newsletter.

  
\_\_\_\_\_  
Marc A. Curken  
Commissioner, Alaska Department of Transportation & Public Facilities

Date: 7-13-16

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### Definitions of Terms (49 CFR Part 26.5)

*The terms used in this program have the meanings defined in 49 CFR Part 26.5*

#### Nondiscrimination (49 CFR Part 26.7)

ADOT&PF will never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR Part 26 on the basis of race, religion, color, gender, age, marital status, ability or national origin.

In administering its DBE program, ADOT&PF will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the DBE program with respect to individuals of a particular race, religion, color, gender, age, marital status, ability, or national origin.

#### DBE Program Updates

ADOT&PF will continue to carry out this program until all funds from USDOT financial assistance have been expended. ADOT&PF will provide to all Operating Administrations of USDOT updates representing significant changes in the program.

#### Quotas (49 CFR Part 26.43)

ADOT&PF does not use quotas in any way in the administration of this DBE program. ADOT&PF does not anticipate the need for set-aside contracts to redress egregious instances of discrimination.

#### DBE Liaison Officer (DBELO) (49 CFR Part 26.25)

ADOT&PF has designated the following individual as our DBELO:

Dennis Good,  
Civil Rights Office Manager  
2200 E. 42<sup>nd</sup> Avenue  
Anchorage, AK 99508  
(907) 269-0848  
dennis.good@alaska.gov

The DBELO is responsible for ensuring that ADOT&PF complies with all provisions of 49 Part 26. The DBELO has direct, independent access to ADOT&PF Commissioner concerning DBE program matters.

An organizational chart displaying the DBELO's position in the organization is found in Attachment I.

The organization of the Civil Rights Office within ADOT&PF for the DBE Program is as follows:

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The organization of the Civil Rights Office within ADOT&PF for the DBE Program is as follows:

The Manager of the Civil Rights Office coordinates with the Director of Administrative Services on policy matters and in establishment of the overall program. The Manager for the Civil Rights Office is responsible for policy recommendation, staff management, and daily supervision of office operations. This organizational structure provides for effective management of the program, as well as a direct line of access to the Commissioner for resolving DBE policy issues.

The Civil Rights Office Manager has the responsibility and authority to carry out the following functions:

1. Make administrative reconsideration decisions when the Department determines that a Good Faith Effort is insufficient.
2. Review federal and state laws and regulations to make policy recommendations to the Director of Administrative Services and the Commissioner.
3. Conduct Certification and Certification Reviews of DBE applicants.
4. Design and carry out internal compliance audits and DBE reporting systems.
5. Establish Support Services to assist all aspects of the DBE program and assist DBEs and prospective DBEs prior to and during their participation in the program.
4. Assist bidders, DBEs, regulatory agencies, prospective DBEs, and community organizations on DBE matters.
5. Assist ADOT&PF personnel, contractors, DBEs, and other interested parties in resolution of DBE problems.
6. Develop, maintain, and implement DBE Program Operating Methods, which are incorporated herein by reference.
7. Provide direct technical assistance to ADOT&PF personnel regarding contract language; contract specifications; guidelines, procedures, administration and negotiation as they relate to DBE matters.
8. Implement a Business Development Program (BDP) and Small Business Development Program (SBDP) to help DBEs improve their competitiveness in the transportation infrastructure construction industry.
9. Regularly update an online DBE Directory.
10. Establish ADOT&PF's annual overall DBE program goal, as well as establish individual DBE project goals for federally funded construction projects.

11. Establish the Business Development Program (BDP).

12. Establish the Small Business Development Program (SBDP).

**Federal Financial Assistance Agreement Assurance (49 CFR Part 26.13)**

ADOT&PF will include the following assurance on all contracts (and each subcontract the prime contractor signs with a subcontractor) and implement in their administration:

*The Alaska Department of Transportation and Public Facilities [or sub-recipient] shall not discriminate on the basis of race, religion, color, gender, age, marital status, ability, or national in the award and performance of any DOT assisted contract or in the administration of its DBE Program or the requirements of 49 CFR Part 26. The ADOT&PF shall take all necessary and reasonable steps under 49 CFR Part 26 to ensure nondiscrimination in the award and administration of DOT assisted contracts. ADOT&PF's DBE Program, as required by 49 CFR Part 26 and as approved by DOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the Alaska Department of Transportation and Public Facilities of its failure to carry out its approved program, the Department may impose sanctions as provided for under Part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 et seq.).*

**DBE Financial Institutions (49 CFR Part 26.27)**

It is the policy of the ADOT&PF to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community, to make reasonable efforts to use these institutions, and to encourage prime contractors on USDOT-assisted contracts to make use of these institutions. A review of federal and state-chartered banks and financial institutions found there are no such banks or financial institutions in Alaska.

On a continuing basis, ADOT&PF will review the availability of such financial institutions.

**Directory (49 CFR Part 26.31)**

Alaska Unified Certification Program Directory ADOT&PF maintains the Alaska Unified Certification Program (AUCP) directory identifying all firms eligible to participate as DBEs in the State of Alaska. The directory lists the firm's name, address, phone number, and the type of work the firm has been certified to perform as a DBE. ADOT&PF revises the Directory on a weekly basis. ADOT&PF makes the Directory available online at [www.dotcivilrights.alaska.gov](http://www.dotcivilrights.alaska.gov). Paper copies of the DBE directory are available upon request by contact the ADOT&PF Civil Rights Office at (907) 269-0851.

**Over-concentration (49 CFR Part 26.33)**

An analysis for over-concentration for a given type of work shall begin when either of the following conditions has been met:

1. More than 50% of the total number of firms ready, willing and able to perform such work are composed of DBE firms; or
2. DBE firms earned more than 50% of the total federal-aid dollars spent on such work during the previous federal fiscal year.

ADOT&PF will review the types of work and evaluate the circumstances that lead to either of the above conditions. Based on the findings, ADOT&PF will address each instance on a case-by-case basis.

**Business Development Programs (49 CFR Part 26.35)**

The DBE/SBE Business Development Office (previously known as DBE Support Services) is renamed and remains within the CRO to help DBEs/SBEs who want to work on federally funded projects. Charged with the business development requirements set forth in 49 CFR Part 26.35 and Part 26.39, the name change is necessary to align the new direction and purpose of this department. The branding image of the office supports this new direction and the goal to grow businesses and document DBE successes.

**Fostering Small Business Participation (49 CFR Part 26.39)**

ADOT&PF has a Small Business Enterprises (SBE) Program approved July 18, 2012 through the FHWA Associate Administrator for Civil Rights encompassing FAA and FTA. The SBE program is administered under the DBE/SBE Business Development Office within the Civil Rights Office.

The SBE approval letter and program is attachment VI.

**Required Contract Clauses**

**A. Contract Assurance (49 CFR Part 26.13)**

ADOT&PF will ensure that the following clause is placed in all federally-assisted contracts and subcontracts:

*The contractor 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 ADOT&PF deems appropriate.*

**B. Prompt Payment (49 CFR Part 26.29)**

ADOT&PF has established the following prompt payment monitoring mechanisms as part of its DBE Program:

**Section 120** – Section 120.3.04(4) requires that contractors on FHWA-assisted contracts report payments made to DBEs on a monthly basis beginning the first month that a DBE participates on the project through the month in which the final payment is made to the DBE. Form 25A-336 must be submitted to the CRO by the 15<sup>th</sup> of the month following the month in which payments were made, along

with copies of canceled checks or bank statements that identify payer, payee, and amount of transfer to verify payment information shown on the form. This documentation provides the CRO with written verification of payments being made to DBE subcontractors. Instructions for acquiring, completing and submitting Form 25A-336 can be found online at [www.dot.state.ak.us/cvlrts/forms.shtml](http://www.dot.state.ak.us/cvlrts/forms.shtml). Under Section 101, Retainage is defined.

**Contract Compliance Reviews** - As part of the Contract Compliance Reviews described in the next section, the CRO will review 10 FHWA-funded construction projects annually for prompt payment compliance. These reviews will be conducted in the following manner:

1. At least one month prior to the scheduled date of the Contract Compliance Review, the prime contractor is required to complete and submit to the CRO the Contract Compliance Review Checklist and all supporting documentation. The Contract Compliance Review Checklist includes questions regarding prompt payment compliance as it applies to payments made to each separate subcontractor that has performed work on the project.

Upon submission of the Contract Compliance Review Checklist and supporting documents, the CRO will verify the accuracy of the prompt payment information by contacting the subcontractors listed, documenting their responses, and comparing them with those provided by prime contractors.

ADOT&PF has established the following enforcement mechanisms as part of its DBE program:

**Contract Remedies** – In compliance with 49 CFR Part 26.29, the ADOT&PF Standard Specifications for Highway Construction 2015 Edition contains prompt-payment provisions compliant with State and Federal law. AS 36.90.210(A)(1) states that “the prime contractor and a subcontractor on a public construction or public works contract must include in a subcontract between the prime contractor and subcontractor for public construction or public works a clause that requires the prime contractor to pay the subcontractor for satisfactory performance under the subcontract within eight (8) working days after receiving payment from which the subcontractor is to be paid”. The ADOT&PF Standard Specifications for Highway Construction 2015 Edition, Section 108-1.01(1)(e) requires prime contractors on FHWA-assisted contracts to ensure that all subcontracts include a clause requiring the contractor to pay the subcontractor for satisfactory performance in accordance with AS 36.90.210. AS 36.90.210(3) requires that prime contractors pay “the subcontractor interest on an amount that is not paid in accordance with [AS.36.90.210(1)] for the period beginning on the day after the required payment date and ending on the day on which payment of the amount

due is made; the interest shall be computed at an interest rate that is equal to the amount set out in AS 45.45.010(a)".

Additionally, Section 109-1.06 of the ADOT&PF Standard Specifications for Highway Construction 2015 Edition sets forth mechanisms to enforce contract provisions relating to prompt payment. Per Section 109-1.06, "contractor's failure to pay subcontractors, or subcontractor's failure to pay lower tier subcontractors, according to prompt payment provisions required under Subsection 108-1.01 is considered unsatisfactory performance. ADOT&PF will not withhold payment as retainage but may withhold payment for unsatisfactory performance... If the engineer finds that satisfactory progress is not being made or payment for satisfactory work by a subcontractor or lower tier subcontractor is not being paid according to Subsection 108-1.01, the engineer may withhold up to 100 percent of the total amount earned from subsequent progress payments.

#### **Monitoring and Enforcement Mechanisms (49 CFR Part 26.37)**

ADOT&PF has implemented appropriate monitoring and enforcement mechanisms to ensure compliance with 49 CFR Part 26 by DBE program participants. ADOT&PF has set forth the following mechanisms to monitor DBE program compliance:

##### **1. Training**

The CRO conducts trainings for ADOT&PF personnel as a mechanism to assist in monitoring DBE program compliance. Monthly meetings are held with ADOT&PF contract administrators to provide guidance on DBE program implementation. Additionally, the CRO provides DBE program guidance at ADOT&PF-wide events held annually prior to the beginning of Alaska's construction season. Combined, these mechanisms expand ADOT&PF's monitoring capabilities beyond the CRO. ADOT&PF personnel are instructed to inform the CRO of any instances of potential non-compliance with the DBE program.

##### **2. Commercially Useful Function (CUF)**

To be in compliance with the program and eligible for DBE credit, a DBE must perform a CUF as defined by 49 CFR Part 26.55. ADOT&PF has set forth the following process to monitor DBE performance of commercially useful functions on FHWA-assisted contracts: ADOT&PF field staff perform CUF reviews for DBE primes, DBE subcontractors, and DBE joint ventures a minimum of one time for each DBE per construction seasons or on FHWA-assisted contracts. Reviews are conducted when DBEs begin work on a project, and DBEs are monitored for compliance through the course of the project. To assist in conducting CUF reviews, ADOT&PF personnel utilize the CUF monitoring report, which can be found at <http://www.dot.state.ak.us/stwddes/dcsconst/assets/pdf/constforms/25a298.pdf>.

##### **3. Joint Checks**

ADOT&PF CRO monitors joint check payments to DBEs through conducting on-site reviews of DBEs performing work on FHWA-assisted contracts. The CUF review is

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used to assist in identifying joint check arrangements. All joint check arrangements will be reviewed by the CRO and approved on a case-by-case basis to ensure compliance with 49 CFR Part 26.55(c)(1).

##### **4. Contract Compliance Reviews (CCR)**

The Contract Compliance Review is a systematic, objective and comprehensive review of the employment practices of ADOT&PF contractors and subcontractors in order to determine if they are complying with their EEO/AA contractual obligations. These site visits also include commercially useful function (CUF) reviews of DBE's regarding the firm's independence, ownership and control. These review will be conducted during peak employment periods.

##### **5. Quality Assurance Reviews (QAR)**

QARs are on-site reviews conducted by DBE/SBE Business Development Office staff that serves as a mechanism to monitor DBE program compliance. These site visits include additional CUF reviews, interviews with DBEs, interviews with prime contractors, interviews with ADOT&PF project engineers, and document review (daily diaries, progress payments). QARs allow ADOT&PF to monitor DBE program participants for compliance with the requirements of 49 CFR Part 26 on FHWA-assisted contracts, including issues related to prompt payment. 20% of FHWA-assisted contracts that have not had CCRs during a given construction season receive Quality Assurance Reviews.

ADOT&PF has set forth the following mechanisms to enforce DBE program compliance:

##### **1. Contract Remedies**

ADOT&PF Construction Specification "Section 120, DBE Program-Construction" is part of this DBE program by reference and can be found in Attachment V. Section 120 – 1.03 provides for methods of enforcement in the event of a contractor's failure to comply with the provisions of Section 120. Per Section 120-1.03, "failure to comply with the provisions [of Section 120] is a material breach of contract, which may result in contract termination or other remedy as ADOT&PF deems appropriate. Failure to comply with [Section 120] is justification for debarment action as provided in AS.36.30.640(4)". Additionally, Section 120 specifically addresses the issue raised in 49 CFR Part 26.37 as follows:

###### **a. Work Committed to DBEs and Reporting of Actual Attainments**

Section 120-5.01 is an enforcement mechanism that allows ADOT&PF to ensure that work committed to DBEs at contract award or subsequently is actually performed by the DBEs to which the work was committed. Per Section 120-5.01, "if the contractor fails to utilize the DBEs listed on Form 25A-325C as scheduled or fails to submit proof of payment, requested documentation, or otherwise cooperate with a DBE review or investigation, ADOT&PF will consider this to be unsatisfactory work... Unsatisfactory work may result in disqualifications of the

Page 8 of 16

contractor from future bidding and under Subsection 102-1.13 and withholding of progress payments consistent with Subsection 109-1.06” as per the Standard Specifications for Highway Construction.

b. Terminating, replacing, or substituting of DBEs

The process for termination, replacement, or substitution of DBEs is illustrated in Section 120-3.03(3) & (4). Per Section 120-5.01, “If the contractor fails to utilize GFE to replace or substitute a DBE, regardless of fault (except for Subsection 120-3.03(4)(b)(3), ADOT&PF will also consider this unsatisfactory work. Unsatisfactory work may result in disqualification of the contractor from future bidding under Subsection 102-1.13 and withholding of progress payments consistent with Subsection 109-1.06” as per the Standard Specification for Highway Construction.

2. Legal Remedies

ADOT&PF will bring to the attention of the USDOT any false, fraudulent, or dishonest conduct in connection with the DBE program, so that USDOT can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the USDOT Inspector General, action under suspension and debarment, or program fraud and civil penalty rules) provided in 49 CFR Part 26.107. In these circumstances ADOT&PF will withhold progress payments consistent with Subsection 109-1.06 as per the Standard Specification for Highway Construction.

Non-Traditional contracts and professional services contracts will be handled as follows:

Design/Build

On a contract-by-contract basis, the CRO will develop DBE contract specifications and goals for design-build projects. All federally funded design/build projects will include standard EEO and DBE reporting forms and provisions.

Professional Service Agreements

ADOT&PF will add standard contract provisions for reporting DBE participation on professional services contracts.

**Monitoring of Contractors, Consultants and Subrecipients**

ADOT&PF reviews contractors and consultants working on USDOT-assisted projects to ensure compliance standards are adhered to as referenced in Form FHWA-1273 “Section II, nondiscrimination.” These include acceptance of a general operating policy that prohibits discrimination based on race, color, religion, sex, national origin, age, or disability. The Equal Employment Opportunity and Affirmative Action (EEO/AA) requirements of a contract are enforced through Contract Compliance Reviews (CCRs) conducted by the Contract Compliance Officer (CCO) in the CRO. In agreement with FHWA, the CRO is required to perform 10 CCRs annually. The parameters for choosing the CCRs are set based on the following criteria:

- Largest dollar value FHWA contract(s)

- Largest number of FHWA contracts
- Contracts which are the type, size, and/or duration to provide the contractor with maximum hiring and promotional opportunities
- Contractors who have past reporting data which indicates regularly underutilizing women and minorities in their workforce
- Contracts that contain Special Provision Section 645, training program
- Contractors FHWA specifically requests to have reviewed
- Contractors who have complaints filed against them regarding employment practices

Contractors who were found in non-compliance the previous construction season having FHWA work in the upcoming season are automatically selected for a follow-up review regardless of size, duration, etc. of the project(s) involved.

The CCO also contacts FHWA to see if there are any contractors they want the CRO to review.

The CCR is a comprehensive review that investigates all aspects of a contractor’s employment practices and conditions. The CCR consists of meeting with a contractor at their office to examine the contractor’s EEO objectives; review files and data; conduct project worksite interviews; and prepare a final review and analysis of collected information. Review dates are coordinated with contractors and scheduled during their peak employment periods. This allows time to correct deficiencies, should any be found. In addition, the CCO will review conduct any special training provisions and assess if the contractor is meeting or exceeding the DBE goal or commitment for the project.

**Construction Penalties and Sanctions**

1. **Sanctions for Violating DBE Contract Specifications**

In accordance with AS 36.30.640.4(A), ADOT&PF may suspend a contractor for up to three months or debar a contractor for up to three years for: “a knowing failure without good cause to perform in accordance with the specifications provided in the Contract.” This includes violations of Section 120, Disadvantaged Business Enterprise (DBE) Program.

Special Provision 33, Section 120, Disadvantaged Business Enterprise (DBE) Program it is stated, “If the Contractor fails to utilize the DBEs listed on Form 25A325C as scheduled or fails to submit required documentation to verify proof of payment or documentation requested by the Department to help in the determination of CUF, the Department will consider this to be unsatisfactory work. Progress payments will not be authorized if monthly DBE participation is not reported correctly on Form 25A336. If the Contractor fails to utilize Good Faith Efforts to replace a DBE, regardless of fault (except for Subsection 120-3.04 item 3), the Department will also consider this unsatisfactory work. Unsatisfactory work may result in disqualification of the Contractor from future bidding under Subsection 102-1.13 and withholding of progress payments consistent with Subsection 109-1.06 as per Standard Specifications for Highway Construction, 2004 Edition.”

## 2. Legal Remedies

ADOT&PF will bring to the attention of the USDOT any false, fraudulent, or dishonest conduct in connection with the program, so that USDOT can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the USDOT Inspector General, action under suspension and debarment or Program Fraud and Civil Penalty rules) provided in 49 CFR Part 26.107. ADOT&PF will withhold progress payments consistent with Subsection 109-1.06 as per Standard Specifications for Highway Construction, 2004 Edition.

### **Overall Goals (49 CFR Part 26.45)**

ADOT&PF has established an overall goal in compliance with 49 CFR Part 26.45. The overall goal is 8.46%, to be met entirely through race-neutral means. The approved DBE goal methodology can be found on the CRO website, [www.dotcivilrights.alaska.gov](http://www.dotcivilrights.alaska.gov).

### **Contract Goals (49 CFR Part 26.51)**

ADOT&PF intends to implement an entirely race-neutral DBE Program. ADOT&PF is confident that it will be successful in its efforts to meet the overall DBE goal of 8.46% through entirely race-neutral means. Should further evidence suggest the need of a race-conscious element of the DBE program in order to achieve the overall goal, ADOT&PF will set contract goals in the following manner:

- o All subcontractable items for the project will be considered but may not be listed. ADOT&PF will require prime contractors to use good faith efforts to meet the DBE contract goal.
- o The Plan Holder Self Registration List (PHSRL) allows contractors to express their interest in the project. DBEs that self-register on the PHSRL within 7 calendar days after a project is advertised will be listed as mandatory or interested contacts. Prime contractor are required to contact DBEs that are listed on the PHSRL as part of the GFE process. In cases where a procurement method is for Professional Services, a Design Build project, Construction Manager-at-Risk project or another innovative contracting practice is used, ADOT&PF will assign a DBE contract goal based on the race conscious portion of its overall goal for the FFY the procurement is advertised.

### **Good Faith Efforts (49 CFR Part 26.53)**

ADOT&PF treats bidder/proposers' compliance with good faith efforts requirements as a matter of responsiveness. However, under ADOT&PF's race-neutral program, a bid will not be rejected as non-responsive based on the percentage of DBE utilization. Bidders will, however, be required to submit anticipated DBE utilization information.

Each solicitation for which a contract goal has been established will require the bidders/proposers' to submit the following information within five (5) working days of the bid submission:

- The names and addresses of DBEs that will participate in the contract.
- A description of the work that each DBE will perform.
- The dollar amount of the participation of each DBE's firm.

- Written and signed documentation of commitment to use a DBE subcontractor whose participation is submitted to meet a contract goal.
- Written and signed confirmation from the DBE that it is participating in the contract as provided in the prime contractor's commitment.
- If the contract goal is not met, evidence of good faith efforts will be evaluated.

### Demonstration of Good Faith Efforts (GFE)

If a DBE goal is placed on contract, the bidder/proposer must either meet the DBE goal or document the good faith efforts to meet the goal. Examples of good faith efforts are found in Appendix A to Part 26.

ADOT&PF will ensure that all information is complete, accurate and adequately documents the bidder/proposer's good faith efforts before ADOT&PF commits to the performance of the contract by the bidder/proposer.

The following ADOT&PF positions are responsible for determining whether a bidder who has not met a contract goal has documented sufficient GFE to be regarded as responsive. These positions are also responsible for determining a prime contractor's GFE on replacement of a DBE firm:

Contract Compliance Officer  
Civil Rights Manager  
DBE/SBE Business Development Coordinator

PO Box 196900  
Anchorage, AK 99519-6900  
(907) 269-0851 / 1-800-770-6236

ADOT&PF will ensure that all information is complete and accurate and adequately documents the bidder's GFE before ADOT&PF commits to the performance of the contract by the bidder.

### Administrative Reconsideration

Within three (3) working days of being informed by ADOT&PF that it is not responsive because it has not documented sufficient GFE, a bidder may request administrative reconsideration. The bidder will make this request in writing to the following reconsideration official:

Dennis Good  
ADOT&PF DBE Liaison Officer  
2200 E. 42<sup>nd</sup> Avenue  
Anchorage, AK 99508  
(907) 269-0848  
[dennis.good@alaska.gov](mailto:dennis.good@alaska.gov)

The reconsideration official shall remain impartial and may not have assisted in the original determination by the CRO of the bidder's insufficient good faith efforts.



As part of this reconsideration, the bidder will have the opportunity to provide written documentation or arguments concerning the issue of whether it met the goal or made adequate good faith efforts to do so. The bidder will have the opportunity to meet in person with the reconsideration official to discuss the issue. ADOT&PF will send the bidder a written decision on the reconsideration, explaining the basis for finding that the bidder did or did not meet the goal or make adequate good faith efforts to do so. The result of the reconsideration process is not subject to an administrative appeal to USDOT.

GFE when a DBE is replaced on a contract

ADOT&PF will require a contractor to make GFE to replace a DBE that is terminated or has otherwise failed to complete its work on a contract with another certified DBE to the extent needed to meet the contract goal. ADOT&PF will require the prime contractor to notify the Contract Compliance Officer immediately of the DBEs inability or unwillingness to perform and provide reasonable documentation.

The Contractor shall submit to the Engineer a written request to replace or substitute a DBE who fails or refuse to execute a written subcontract or who is terminated under 120-3.03(3). Per 49 CFR Part 26.53 (f)(4)(5) "...the prime contractor must give notice in writing to the DBE subcontractor, with a copy to the Contract Compliance Officer, and the reason for the request. The prime contractor must give the DBE five (5) days to respond to the prime contractor's notice..."

ADOT&PF will require the prime contractor to provide copies of new or amended subcontracts, or documentation of good faith efforts. If the contractor fails or refuses to comply in the time specified, ADOT&PF's contracting officer will withhold progress payments consistent with Subsection 109-1.06 as per Standard Specifications for Highway Construction, 2004 Edition. If the contractor still fails to comply, the contracting officer may initiate a termination for default proceeding.

**Counting DBE Participation** (49 CFR Part 26.55)

ADOT&PF will count DBE participation toward overall and contract goals in accordance with Part 26.55.

Data on participation will be collected on a monthly basis from prime contractors with active contracts.

**Certification** (49 CFR Part 26.61 – 26.91) **Disadvantaged Business Enterprise (DBE)**  
ADOT&PF will use the certification standards of Subpart D of Part 26, and the certification procedures of Subpart E of Part 26, and Subpart F of Part 26, Appendix E, Appendix F and Appendix G are used to determine the eligibility of firms to participate as DBEs in USDOT-assisted contracts. To be certified as a DBE, a firm must meet all certification eligibility standards. ADOT&PF will make certification decisions based on the facts as a whole.

**Process**

For information about the certification process or to apply for certification, firms should contact:

Alaska Unified Certification Program

P.O. Box 196900  
Anchorage, AK. 99519-6900  
(907) 269-0851 / 1-800-770-6236

In the event the CRO proposes to remove the DBE's certification, CRO will follow procedures consistent with Part 26.87. To ensure separation of functions in the removal of eligibility process, the CRO has determined that the Informal Hearing Officer, an individual who is knowledgeable about the certification requirements of our DBE Program and 49 CFR, Part 26/, will serve as the knowledgeable decision-maker in DBE certification. By utilizing an Informal Hearing Officer, the CRO ensures impartiality. The Informal Hearing Officer may not have participated, in any way, during the CRO's removal of eligibility for certification proceedings against the DBE firm (including in the decision to initiate such a proceeding).

If the CRO denies a firm's initial application for certification, the firm may not reapply until 12 months have passed from this action. If the DBE firm has had its certification removed, that firm may not re-apply for DBE certification until 6 months have passed from the date of the removal action.

**Unified Certification Program**

ADOT&PF has developed and implemented the Alaska Unified Certification Program with the USDOT and other recipients of FHWA financial assistance.

**Certification Appeals**

Any firm or complainant may appeal ADOT&PF's decision in a certification matter to USDOT. Such appeals may be sent to:

United States Department of Transportation  
Departmental Office of Civil Rights W-78, 101  
1200 New Jersey Ave.  
Washington, DC. 20590  
Attn: Samuel F. Brooks  
Phone: 202-366- 4070  
(202) 366-5575  
TTY: 202-366-9696  
Fax: 202-366-7717

The CRO will promptly implement any USDOT certification appeal decision affecting the eligibility of DBEs for our USDOT-assisted contracts (e.g., certification of a firm if USDOT has determined that our denial of its application was erroneous).

**"No Change" Affidavits**

The CRO requires all certified DBE/ACDBE owners to annually submit, on the anniversary date of their certification, a "no change" affidavit meeting the requirements of 49 CFR Part 26.83(j).

ADOT&PF, CRO requires DBEs to submit with this affidavit documentation of the firm's size and gross receipts. Additional information may also be requested.

ADOT&PF, CRO will notify all currently certified DBE firms of these obligations by mail annually.

Likewise, if a firm's owner knows or should know that he, she or the firm fails to meet the 49 CFR Part 26 eligibility requirements (e.g., personal net worth) the obligation to submit a notice of change applies.

#### **Notices of Change**

In addition, in accordance with 49 CFR Part 26.83(i), all DBEs/ACDBEs are required to notify ADOT&PF, CRO, by written affidavit, of any change in its circumstances affecting its ability to meet size, disadvantaged status, ownership or control requirements or any material changes in the information provided with their application form. Changes in management responsibility among members of a limited liability company are covered by this requirement. Supporting documentation describing in detail the nature of such changes must be attached. The written notification must be made within 30 days of the occurrence of the change. If DBEs fail to make timely notification of such a change, they will be deemed to have failed to cooperate under Part 26.109(c)

#### **Personal Net Worth**

ADOT&PF, CRO will require all owners of applicant firms and currently certified DBEs to submit a notarized personal net worth statement on a case by case basis in accordance with the provisions of 49 CFR Part 26. This statement will be reviewed to determine the owner's eligibility for the DBE Program.

#### **Interstate Certification (49 CFR Part 26.85)**

ADOT&PF, CRO will use the certification standards of 49 CFR Part 26.85 to determine the eligibility of interstate DBE firms. To be certified as DBE, the applicant firm must comply with these certification standards.

The Operating Methods for DBE Certification are found under Attachment II.

The forms used for AUCP DBE Certification are found under Attachment III.

#### **Information Collection and Reporting (49 CFR Part 26.109)**

- **Bidders Registration List**

ADOT&PF, CRO created and uses a bidders registration list by mode (highways, airports, transit) consisting of information about all DBE and non-DBE firms that bid or quote on USDOT-assisted contracts. The bidder's registration includes the name, address, DBE / non-DBE status, date of establishment and annual gross receipts of firms. A similar collection method is used for information about consultants. See Attachment V; Form 25D-6.

ADOT&PF, CRO collects this information by placing a notice in all bid solicitations and a copy of the Bidder's Registration Form is available on the CRO web site. Firms may also report information directly to the CRO. The CRO maintains a database to separately track this information.

- **Monitoring Payments to DBEs**

In addition to provisions already mentioned in this program, ADOT&PF will require prime contractors and consultants to maintain records and documents of payments to DBEs for three years following the performance of the contract. These records will be made available to any authorized representative of ADOT&PF or USDOT for inspection upon request. This requirement also extends to any certified DBE subcontractor receiving payments from a prime contractor.

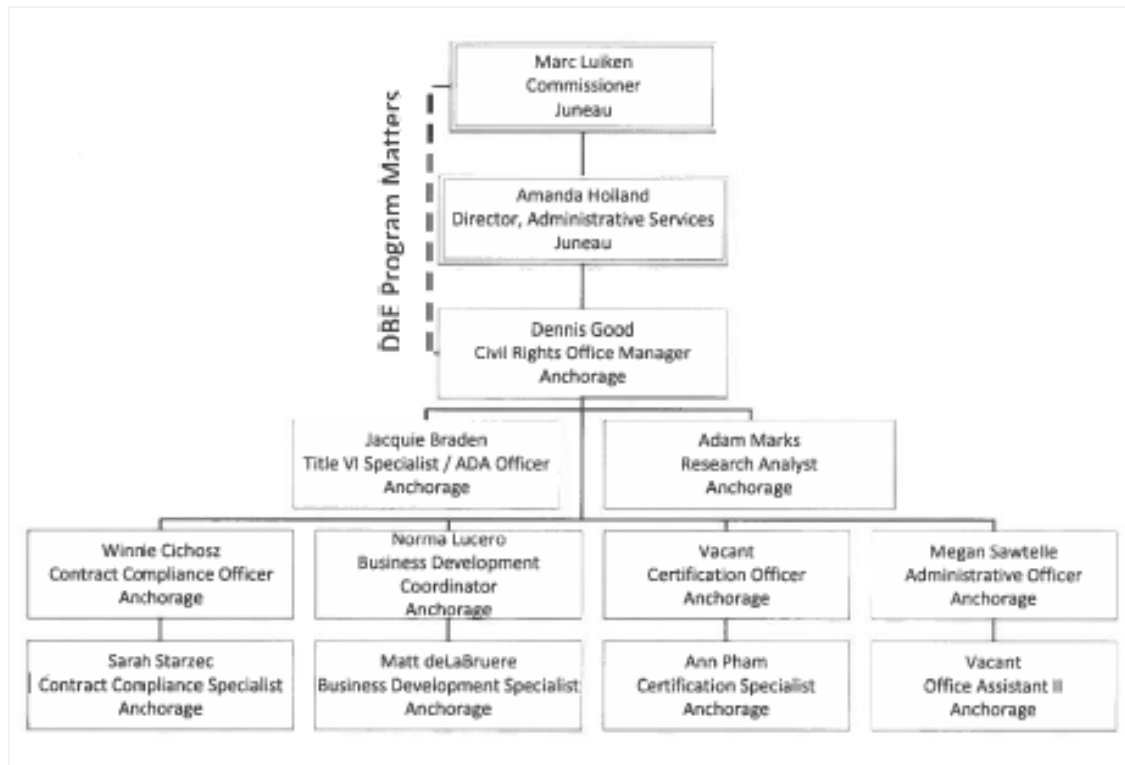
- **Reporting to USDOT**

The CRO will report DBE participation to USDOT as follows:

Semi-annually report DBE participation through, the Uniform Report of DBE Commitments/Awards and Payments for FHWA recipients.

- **Confidentiality**

ADOT&PF will safeguard from disclosure to third parties information that may reasonably be regarded as confidential business information, consistent with Federal law, which takes precedence over state and local laws on this matter. ADOT&PF will not release personal financial information submitted in response to the personal net worth requirement to a third party (other than USDOT) without the written consent of the DBE.



## Attachment II

### DBE Program Operating Methods

1. Certification
2. Denial of Certification
3. Informal Hearing
4. Third Party Complaints
5. Interstate Certification
6. Suspension of Certification

<p style="font-size: 1.2em; margin: 0;">Alaska Unified Certification Program</p> <p style="font-size: 1.2em; margin: 10px 0 0 0;">OPERATING METHODS</p>	<p>PROGRAM: DBE</p> <p>AREA: CERTIFICATION</p> <p>APPROVED: <i>Dennis Lord</i></p> <p>DATE: April 2015</p>
<p><b>PURPOSE:</b></p> <p>To establish a standard procedure for the certification process pertaining to the Disadvantaged Business Enterprise (DBE) Program for federally funded projects.</p> <p><b>POLICY:</b></p> <p>It is the operating policy of the Statewide Civil Rights Office (CRO) to maintain a comprehensive DBE Certification procedure according to 49 CFR 26 &amp; 49 CFR 23. Only those firms legitimately qualifying as owned and controlled by socially and economically disadvantaged individuals will be considered for the DBE program.</p> <p><b>DISTRIBUTION:</b></p> <p>To all CRO staff or designee</p> <p style="text-align: center;"><b>OPERATING METHODS – DBE CERTIFICATION</b></p> <p>I. Authority and Guidelines: 49 CFR 26, 49 CFR 23, U.S.C 200d et seq.; 49 U.S.C 47107 and 47123, Executive Order 11625, Executive Order 12138.</p> <p>The DBE certification authority is assigned to the CRO within the Alaska Department of Transportation and Public Facilities (ADOT&amp;PF). Criteria used as applicable.</p> <p>A. Objectives</p> <p>1. DBE Program Objectives It is the policy of ADOT&amp;PF to ensure that DBEs, as defined in Part 26, have an equal opportunity to receive and participate in USDOT-assisted contracts.</p> <p>2. DBE Certification Objective To ensure that only small business firms independently owned and controlled in both substance and form by one or more socially and economically disadvantaged individuals become certified.</p> <p>II. Certification</p> <p>A. Certification</p> <p>1. Calls or written requests for certification applications/packages from potential DBEs are prepared and mailed out at the time of the notification or within two (2) business days.</p> <p>2. Receipt of certification documents – applications are received from socially and economically disadvantaged individuals for DBE consideration:</p> <p>a. When application is received, administrative staff date stamp application and supplementary information and give it to the Certification Officer, who prepares certification tracking sheet for assigned staff to enter application information into data base as a "prescreen" and includes the following:</p> <ul style="list-style-type: none"> <li>• Certification I.D. number</li> <li>• Contractor I.D. number</li> <li>• Application date</li> <li>• Firm name, contact person, address, phone and fax numbers</li> <li>• Selected ethnicity</li> </ul> <p>b. Certification Officer/Specialist prescreens the applicant's file for completeness.</p> <p style="text-align: right; font-size: 0.8em;">Page 1 of 6</p>	

<p style="font-size: 1.2em; margin: 0;">Alaska Unified Certification Program</p> <p style="font-size: 1.2em; margin: 10px 0 0 0;">OPERATING METHODS</p>	<p>PROGRAM: DBE</p> <p>AREA: CERTIFICATION</p> <p>APPROVED: <i>Dennis Lord</i></p> <p>DATE: April 2015</p>
<p>c. Certification Officer/Specialist advises applicant within 30 days of missing or incomplete documents and contacts applicant to set date and time for the on-site validation interview. Applicant is notified in written correspondence that file is considered 'pending' until all necessary data is received.</p> <p>B. Certification – Evaluation and Verification</p> <p>1. Certification Officer/Specialist will analyze, verify, and evaluate information in the applicant's file for the following: (not all inclusive, each file is different)</p> <p>a. Business Size and Status</p> <ul style="list-style-type: none"> <li>• Verify the applicant is properly licensed to perform in work category(s) selected including professional licenses i.e. Engineering, Architectural, Surveying, General Contractor, Specialty Contractor, etc.</li> <li>• Certified income statement (Personal Net Worth)</li> <li>• Federal tax returns: Corporate, partnership, subsidiaries, individual, compensation to officers and/or owners for three most recent years</li> <li>• Audited financial statements</li> <li>• Year-end balance sheet and income statements for three most recent years</li> <li>• Gross receipts (three year average) meet NAICS code size limit</li> <li>• Gross receipts (three year average) meet DOT size limit</li> <li>• 1099's, W-2s, Schedule K-1, and any other earned income statement</li> <li>• Employee list</li> <li>• Equipment List</li> <li>• Sufficient resources and/or expertise to operate and perform the primary activities of the business</li> </ul> <p>b. Socially and Economically Disadvantaged Status</p> <ul style="list-style-type: none"> <li>• Minority status</li> <li>• Birth certificate</li> <li>• Naturalization papers</li> <li>• Indian tribal roll, tribal voter's registration certificate, or other official document</li> <li>• History of individual having held themselves to be a member of the minority group (drivers license, school, medical and service records may help verify this)</li> <li>• Proof of membership and interaction in recognized minority organizations; i.e., recognition of applicant in the particular minority community as a minority, through sworn and notarized statements, from bona fide members of the community who are clearly disinterested parties. Proof of Native American status can be accepted only in the form of official documents.</li> <li>• Female</li> <li>• Personal Federal tax returns for three most recent years</li> <li>• Personal Net Worth - \$1.32 million limit</li> <li>• Other pertinent data</li> </ul> <p style="text-align: right; font-size: 0.8em;">Page 2 of 6</p>	

<p>Alaska Unified Certification Program</p> <p><b>OPERATING METHODS</b></p>	PROGRAM: DBE
	AREA: CERTIFICATION
	APPROVED: <i>Dennis Nord</i>
	DATE: April 2015

c. Ownership Standards

- Articles of Incorporation
- By-laws and any amendments
- Copies of both sides of all stock certificates and stock transfer ledger.
- Copies of all shareholder agreements including voting trusts, employment contracts and other agreements between owners and company
- Minutes of initial and most recent stockholders and Board of Directors meetings
- Bank resolution and bank signature cards
- Partnership agreements, if applicable
- Official Certificate of Formation (for LLCs)
- Operating Agreement with any amendments (for LLCs)
- Contribution real and substantial, commensurate with ownership; proof of capital contribution, proof of equipment ownership, if experience and/or expertise is used for capital, dollar value and time must be established
- Proof of all real estate ownership or lease arrangements
- Proof of warehouse/storage facility ownership or lease arrangements
- Expertise in firm's field of operations
- 51% or greater ownership
- If partnership, minimum 51% ownership specified
- If corporation, minimum 51% of stock
- Independently owned assets used
- Other pertinent data

d. Control Standards

- Disadvantaged owner(s) control of Board of Directors
- Disadvantaged owner(s) must hold highest office in company
- Minutes of all Board of Directors meetings (noting election of officers and delegations of authority)
- Copies of all shareholder agreements including voting trusts, employment contracts, and other agreements between owners and company
- Copies of any third party agreements, restrictions on control of owners
- Bidding documents identifying project(s) and contractor(s)
- Examples of documents that would demonstrate management control, for example: Appendix A – management responsibilities, copies of contracts, loan agreements, insurance policies, performance bonds, etc. signed by the disadvantaged owners and/or Appendix B – work history
- Resume of work experience of applicant, non-minority owners, other key personnel
- Contracts showing disadvantaged owners experience to control the firm in the selected work category(s) for specific types of work in which the socially and economically disadvantaged owners have the ability to control the firm
- No formal or informal restrictions may exist to limit voting power or control of disadvantaged owner

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<p>Alaska Unified Certification Program</p> <p><b>OPERATING METHODS</b></p>	PROGRAM: DBE
	AREA: CERTIFICATION
	APPROVED: <i>Dennis Nord</i>
	DATE: April 2015

- Disadvantaged owner possesses necessary licenses, certificates, experience and expertise in firm's critical areas of operations/selected work categories
- Salary/profits commensurate with ownership
- Sufficient assets/resources to operate: financial, bonding, supervision, workforce, equipment, materials, facilities (office/yard)

e. Independence Standard

- DBE applicant firm independently possesses sufficient assets/resources to perform in work category(s) selected
- Ownership (purchase agreement) or lease (history of agreements) for equipment necessary to perform in the selected work category(s)
- Independently able to perform work
- Affiliation with another firm through common ownership and/or management, sharing of facilities and/or equipment, sharing of employees and/or services

2. Validation Interview and On-Site Inspection

a. Certification Officer/Specialist interviews applicant(s).

b. On-Site Inspection performed at business office to include inspection of warehouse, equipment yard, and job site, if applicable. Applicant's file data and any other pertinent information is verified (i.e. equipment).

3. Summary Evaluation Report

a. Report of file review/evaluate (summary format). Summary includes:

- Identifying firm information; firm name, address, phone, fax, contact person, date established
- Current ownership; owner's name, title, percentage of ownership, gender/ethnicity, citizenship
- Type of current business structure; sole proprietorship, partnership, corporation
- Type of business/contractor; general, specialty, service, manufacturer, supplier, concessionaire
- List business with proper Line of Business (LOB) Codes for selected work category(s)
- List appropriate North American Industry Classification System (NAICS)
- List license(s) and certification(s) with expiration date(s) included
- Certifications by other agency(s)
- Validation interview and on-site inspection dates
- Certification analysis
- Experience and expertise in selected work category(s)
- Management responsibilities and control
- Operational responsibilities and control
- Contribution (financial, equipment, experience and expertise)
- Independence (relationship to other firms and/or other industry personnel)
- Affiliation (one concern controls or has the power to control the other; or a third party or parties controls or has the power to control both; or an identity of interest between or among parties exists such that affiliation may be found. It is necessary to consider all appropriate factors, including common ownership, common

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<p><b>Alaska Unified Certification Program</b></p> <p><b>OPERATING METHODS</b></p>	<p>PROGRAM: DBE</p> <p>AREA: CERTIFICATION</p> <p>APPROVED: <i>Dennis Lord</i></p> <p>DATE: April 2015</p>
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management, and contractual relationships. Affiliates must be considered together in determining whether a concern meets small business size criteria and the statutory cap on the participation of firms in the DBE program.

- Gross revenues for last three years (calculate average). Affiliates must be considered together in determining whether a concern meets small business size criteria and the statutory cap on the participation of firms in the DBE program
- Personal Net Worth for disadvantaged owners
- Other pertinent concerns/data

b. Recommendation

- Summary recommendation (approval or denial). During file review/evaluation all parties shall cooperate fully with the investigation. Failure or refusal to furnish requested information or other failure to cooperate is a violation of 49 CFR 26.109(c), and may be reason for denial. Applicant must wait one year to reapply for certification.

c. Certification Decision

1. Certification Officer/Specialist writes an evaluation summary on the applicant firm, including recommendation (approval or denial).
2. Certification Officer reviews recommendation of Certification Specialist (approval or denial) and approves final decision.
3. Certification Officer/Specialist prepares official decision notification letter to applicant.
4. Certification Officer/Specialist completes computer data sheet and enters information from the applicant firm's file and data sheet into the data base and the new DBE firm's name is included in the DBE Directory.

**Note:** Business categories and NAICS descriptions will be identified in DBE Directory are assessed based upon the relevant experience, expertise, equipment, other resources, and licenses, if applicable, needed to perform in each category. The types of work a firm can perform (whether on initial certification or when a new type of work is added) must be described in terms of the most specific available NAICS code for that type of work. A correct NAICS code is one that describes, as specifically as possible, the principal goods or services which the firm would provide to DOT recipients. Multiple NAICS codes may be assigned where appropriate. Program participants must rely on, and not depart from, the plain meaning of NAICS code descriptions in determining the scope of a firm's certification. Firms and recipients must check carefully to make sure that the NAICS codes cited in a certification are kept up-to-date and accurately reflect work, which the UCP has determined the firm's owners can control. The firm bears the burden of providing detailed company information the certifying agency needs to make an appropriate NAICS code designation.

All forms identified and/or mentioned may be obtained from the CRO or online at <http://dot.alaska.gov/cv/rte/forms.shtml>

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<p><b>Alaska Unified Certification Program</b></p> <p><b>OPERATING METHODS</b></p>	<p>PROGRAM: DBE</p> <p>AREA: Denial of Certification</p> <p>APPROVED: <i>Dennis Lord</i></p> <p>DATE: April 2015</p>
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**PURPOSE:**

To provide fair, uniform and consistent appeal procedures for firms denied Disadvantaged Business Enterprise (DBE) certification as required by 49 CFR, Part 26.

**DISTRIBUTION:**

To Civil Rights Office (CRO) staff or Designee

**OPERATING METHODS – CERTIFICATION DENIAL PROCEDURES**

**Authority: 49 CFR, Part 26, section 26.86**

The DBE certification authority is assigned to the CRO within the Alaska Department of Transportation and Public Facilities (ADOT/PF).

A. Objectives

1. DBE Program Objectives  
To ensure firms that have been denied eligibility as a DBE by the CRO are given an opportunity to appeal to the USDOT.
2. DBE Objective  
To ensure only firms independently owned and controlled in both substance and form by one or more socially and economically disadvantaged individuals are certified.

B. OPERATING METHODS

- When the CRO denies a firm certification, the CRO provides the firm a written explanation of the reason(s) for the denial, specifically referencing the evidence in the record that supports each reason for the denial. All documents and other information on which the denial is based are made available to the applicant, on request.
- When a firm is denied certification, the firm may reapply for certification twelve months from the date of the denial letter.
- The firm may appeal the denial to the Department under §26.89.

Page 1 of 1

Alaska Unified Certification Program

OPERATING METHODS

PROGRAM: DBE  
AREA: Informal Hearing  
APPROVED: *Rennin Lord*  
DATE: April 2015

**PURPOSE:**

To provide fair, uniform and consistent procedures for the informal hearing procedures required by 49 CFR, Part 26 to remove the certification of a Disadvantaged Business Enterprise (DBE) that may no longer qualify for the DBE Program.

**DISTRIBUTION:**

Distribute to all Civil Rights Office (CRO) staff, Informal Hearing Officers and DBE firms.

**OPERATING METHODS – INFORMAL HEARING PROCEDURES**

**Authority: 49 CFR, Part 26, section 26.87**

The DBE certification authority is assigned to the CRO within the Alaska Department of Transportation and Public Facilities (ADOT&PF).

**A. Objectives**

1. **DBE Program Objectives**  
To ensure DBE firms that have been certified by the CRO for ADOT&PF projects or other USDOT assisted work are given a fair and impartial hearing prior to any final decision by the CRO, on the removal of the firm's certification as a DBE.
2. **DBE Objective**  
To ensure only firms independently owned and controlled in both substance and form by one or more socially and economically disadvantaged individuals remain certified.

**B. Definitions**

1. **Informal Hearing Officer** –The decision-maker must be an individual who is knowledgeable about the certification requirements of your DBE program and 49 CFR, Part 26, for an informal hearing on the removal of DBE certification.
2. **CRO** – the staff members of the ADOT&PF Civil Rights Office.
3. **DBE firm** - the DBE firm that has requested an informal hearing of the ADOT&PF CRO notice of intent to remove certification of that DBE firm.
4. **The Concerned Operating Administration** – the Federal Highway Administration, the Federal Aviation Administration, or the Federal Transit Administration.

Alaska Unified Certification Program

OPERATING METHODS

PROGRAM: DBE  
AREA: Informal Hearing  
APPROVED: *Rennin Lord*  
DATE: April 2015

**C. Operating Method**

1. **Record of Hearing** – The CRO will provide a recording of the proceedings and produce a transcript of the hearing, should the DBE firm requesting the informal hearing appeal a decision to remove its certification to USDOT. The transcript will be provided to USDOT as part of the hearing record.
2. **Order of Hearing**
  - a. The CRO bears the burden of proof, by a preponderance of the evidence that firm does not meet the certification standards of 49 CFR, Part 26.
  - b. The Informal Hearing Officer will introduce the hearing and explain the procedure to be followed. The reason for the informal hearing and name of the DBE firm will be read into the record. An electronic record of this proceeding will be made, retained and be the property of the State of Alaska. This recording will be suitable for transcription to a verbatim record.
  - c. The Informal Hearing Officer will call upon the DBE firm to provide a brief presentation (no more than 5 minutes) outlining the issues why the DBE firm should not have its certification removed by the State of Alaska.
  - d. The Informal Hearing Officer will call upon CRO staff to provide a brief presentation (no more than 5 minutes) outlining the issues that the CRO believe indicate the need to remove a DBE firm's certification.
  - e. The DBE firm will give its presentation (no more than 15 minutes) addressing issues outlined in the CRO notice of intent to remove DBE certification the firm. The DBE firm may address other issues relevant to the removal of its eligibility under 49 CFR, Part 26.
  - f. The CRO will then give its presentation (no more than 15 minutes) addressing the sections of 49 CFR, Part 26 that require removal of the firm's DBE certification.
  - g. At the end of the CRO presentation, the Informal Hearing Officer and the DBE firm, through the Informal Hearing Officer, may direct questions to the CRO.
  - h. At the conclusion of the question period the CRO, followed by the DBE firm, will have the right of rebuttal presentation (no more than 5 minutes by each side).
  - i. The Informal Hearing Officer will proceed to develop findings and conclusions regarding the eligibility of the DBE firm to remain certified under the provisions of 49 CFR, Part 26. The Informal Hearing Officer will complete the findings and conclusions within 30 days of the informal hearing.
3. **Ground for Decision**– The decision to remove a firm's eligibility may be based only on one or more of the following:

Alaska Unified Certification Program

OPERATING METHODS

PROGRAM: DBE  
 AREA: Informal Hearing  
 APPROVED: *[Signature]*  
 DATE: April 2015

- a. Changes in the firm's circumstances since the certification of the firm by the CRO that render the firm unable to meet the eligibility standards of 49 CFR, Part 26;
- b. Information or evidence not available to the CRO at the time the firm was certified;
- c. Information relevant to eligibility that has been concealed or misrepresented by the firm;
- d. A change in the certification standards or requirements of the Department since the firm was certified
- e. The decision to certify the firm was clearly erroneous;
- f. The firm has failed to cooperate (see §26.109(c));
- g. The firm has exhibited a pattern of conduct indicating its involvement in attempts to subvert the intent or requirements of the DBE program (see §26.73(a)(2)); or
- h. The firm has been suspended or debarred for conduct related to the DBE program. The notice required by paragraph (g) of this section must include a copy of the suspension or debarment action. A decision to remove a firm for this reason shall not be subject to the hearing procedures in paragraph (d) of this section.

The letter of decision must inform the DBE firm of the consequences and of the availability of an appeal to the US Department of Transportation under §26.89. Copies of the decision will be sent to the DBE firm and the concerned operating administration.

- 4. Notice of decision-- Following the decision, the Informal Hearing Officer must provide the firm written notice of the decision and the reasons for it, including specific references to the evidence in the record that supports each reason for the decision. The notice must inform the firm of the consequences of the decision and of the availability of an appeal to the Department of Transportation under §26.89. Copies of the notice must be sent to the complainant in an ineligibility complaint or the concerned operating administration that had directed the CRO to initiate the proceeding. Provided that, when sending such a notice to a complainant other than a DOT operating administration, the CRO must not include information reasonably construed as confidential business information without the written consent of the firm that submitted the information.
- 5. Status of DBE Firm during proceeding - A DBE firm remains an eligible DBE firm pending the proceedings to remove its eligibility. The firm does not become ineligible until the issuance of the decision to affirm the removal of certification of the DBE firm by the Informal Hearing Officer.
- 6. Availability of appeal--When the Informal Hearing Officer makes an administratively final removal of a firm's eligibility under this section, the firm may appeal the removal to the Department under §26.89.

Alaska Unified Certification Program

OPERATING METHODS

PROGRAM: DBE  
 AREA: Third Party Complaints  
 APPROVED: *[Signature]*  
 DATE: April 2015

**PURPOSE:**

To provide fair, uniform and consistent procedures for firms removed as a Disadvantaged Business Enterprise (DBE) as required by 49 CFR, Part 26.

**DISTRIBUTION:**

To Civil Rights Office (CRO) staff and DBE Firms

**OPERATING METHODS – THIRD PARTY COMPLAINTS**

**Authority: 49 CFR, Part 26, section 26.87**

The DBE certification authority is assigned to the CRO within the Alaska Department of Transportation and Public Facilities (ADOT&PF).

**A. Objectives**

- 1. DBE Program Objectives  
To ensure firms that have been removed as a DBE by the CRO are given an opportunity to appeal to the USDOT.
- 2. DBE Objective  
To ensure only firms independently owned and controlled in both substance and form by one or more socially and economically disadvantaged individuals remain certified.

**B. OPERATING METHODS**

- 1. Any third party may file a written complaint to the CRO alleging that a currently-certified firm is ineligible and specifying the alleged reasons why the firm is ineligible. The CRO is not required to accept a general allegation that a firm is ineligible or an anonymous complaint. The complaint may include any information or arguments supporting the complainant's assertion that the firm is ineligible and should not continue to be certified. Confidentiality of complainants' identities must be protected as provided in §26.109(b).
- 2. The CRO will review our records concerning the firm, any material provided by the firm and the complainant, and other available information. The CRO may request additional information from the firm or conduct any other investigation that we deem necessary.
- 3. The CRO reviews all the information and determines whether there is reason to believe that the DBE firm in question is, in fact, not socially and economically disadvantaged using standards set forth in 49 CFR Part 26.
- 4. All statements of reasons for findings on the issue of reasonable cause must specifically reference the evidence in the record on which each reason is based.



Alaska Unified Certification Program

OPERATING METHODS

PROGRAM: DBE  
 AREA: Third Party Complaints  
 APPROVED: *Vernon Amundson*  
 DATE: April 2015

- a. In accordance with §26.109(b), the identity of the complainant shall be maintained by CRO staff as confidential information, unless this prevents the investigation of the Complaint (i.e., the nature and/or circumstances of the complaint would disclose the identity of the complainant to the DBE firm in question). In such cases where the DBE firm in question may know or be able to discern the identity of the complainant, the CRO investigator shall request written permission of the complainant to disclose their identity should it become necessary during the course of the investigation.
  - (i) If written permission is granted to disclose the identity of the complainant, then the complaint investigation shall proceed.
  - (ii) If written permission is not granted to disclose the identity of the complainant, then the CRO investigator shall terminate investigation of the complaint in writing to the complainant citing the inability to reasonably investigate the complaint due to the limitations of maintaining the complainant's identity as confidential.
- b. If the CRO determines there is no valid reason to believe that the DBE firm in question is not socially and economically disadvantaged, the CRO will inform the complainant and the DBE firm in question of this finding in writing. This terminates the process.
- c. If the CRO determines that there is valid reason to believe that the DBE firm in question is not socially and economically disadvantaged, the CRO will initiate the following:
  - (i) The CRO notifies the DBE firm in question, in writing, that his or her status as a socially and economically disadvantaged individual has been disputed. The notice summarizes the grounds for the complaint. The notice also requires the DBE firm in question to provide to the CRO, within 15 days from the date of the receipt of notice, information requested by the Department to permit the CRO to evaluate the social and economic status of the DBE firm in question.
  - (ii) The CRO evaluates the information provided and makes a determination of the social and economic disadvantaged status of the DBE firm in question. The CRO notifies both parties of this final determination in writing, stating the reasons for its decision.
- d. While a complaint is pending under this section, the presumption that the DBE firm in question is a socially and economically disadvantaged individual remains in effect. The DBE participant remains in the DBE Directory as "active" until the complaint has been adjudicated. If the DBE participant is determined to not be "socially and economically disadvantaged" as defined in 49 CFR Part 26, the firm's certification is removed and they are removed from the DBE Directory.
- e. Removal as a DBE by the Civil Rights Office may be appealed through the Appeal Process in accordance with 26.87. The decision of a third party complaint may be appealed only by the removed DBE firm.
- f. If the DBE/ACDBE firm has had its certification removed, that firm may not re-apply for DBE/ACDBE certification until 6 months have passed from the date of the removal action.

Alaska Unified Certification Program

OPERATING METHODS

PROGRAM: DBE  
 AREA: INTERSTATE CERTIFICATION  
 APPROVED: *Vernon Amundson*  
 DATE: April 2015

**PURPOSE:**

To establish a standard procedure for the Interstate Certification process pertaining to the Disadvantaged Business Enterprise (DBE) Program for federally funded projects.

**POLICY:**

It is the operating policy of the Statewide Civil Rights Office (CRO) to maintain a comprehensive DBE Certification procedure according to 49 CFR 26 & 49 CFR 23. Only those firms legitimately qualifying as owned and controlled by socially and economically disadvantaged individuals will be considered for the DBE program.

**DISTRIBUTION:**

To all CRO staff or designee.

**OPERATING METHODS – INTERSTATE CERTIFICATION**

**Authority: 49 CFR, Part 26, section 26.85**

- I. Authority and Guidelines: 49 CFR 26, U.S.C 200d et seq.; 49 U.S.C 47107 and 47123, Executive Order 11625, Executive Order 12138.

The DBE Interstate Certification authority is assigned to the CRO within the Alaska Department of Transportation and Public Facilities (ADOT&PF). Criteria used as applicable.

**A. Objectives**

- 1. DBE Program Objectives  
To ensure that DBEs have the maximum opportunity to participate in ADOT&PF assisted contracts.
- 2. DBE Interstate Certification Objective  
To ensure that only small business firms independently owned and controlled in both substance and form by one or more socially and economically disadvantaged individuals remain certified.

**B. Operating Method**

- 1. Interstate Certification
  - a. This section applies with respect to any firm that is currently certified in its home state.
  - b. When a firm currently certified in its home state ("State A") applies to another State ("State B") for DBE certification, State B may, at its discretion, accept State A's certification and certify the firm, without further procedures.

Alaska Unified Certification Program

OPERATING METHODS

PROGRAM:	DBE
AREA:	INTERSTATE CERTIFICATION
APPROVED:	<i>[Signature]</i>
DATE:	April 2015

- (1) To obtain certification in this manner, the firm must provide to State B a copy of its certification notice from State A.
- (2) Before certifying the firm, State B must confirm that the firm has a current valid certification from State A. State B can do so by reviewing State A's electronic directory or obtaining written confirmation from State A.
- c. In any situation in which State B chooses not to accept State A's certification of a firm as provided in paragraph (b) of this section, as the applicant firm you must provide the information in paragraphs (c)(1) through (4) of this section to State B.
  - (1) You must provide to State B a complete copy of the application form, all supporting documents, and any other information you have submitted to State A or any other state related to your firm's certification. This includes affidavits of no change ( see § 26.83(j)) and any notices of changes ( see § 26.83(i)) that you have submitted to State A, as well as any correspondence you have had with State A's UCP or any other recipient concerning your application or status as a DBE firm.
  - (2) You must also provide to State B any notices or correspondence from states other than State A relating to your status as an applicant or certified DBE in those states. For example, if you have been denied certification or decertified in State C, or subject to a decertification action there, you must inform State B of this fact and provide all documentation concerning this action to State B.
  - (3) If you have filed a certification appeal with DOT ( see § 26.89), you must inform State B of the fact and provide your letter of appeal and DOT's response to State B.
  - (4) You must submit an affidavit sworn to by the firm's owners before a person who is authorized by State law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States.
    - (i) This affidavit must affirm that you have submitted all the information required by 49 CFR 26.85(c) and the information is complete and, in the case of the information required by § 26.85(c)(1), is an identical copy of the information submitted to State A.
    - (ii) If the on-site report from State A supporting your certification in State A is more than three years old, as of the date of your application to State B, State B may require that your affidavit also affirm that the facts in the on-site report remain true and correct.
- d. As State B, when you receive from an applicant firm all the information required by paragraph (c) of this section, you must take the following actions:

Alaska Unified Certification Program

OPERATING METHODS

PROGRAM:	DBE
AREA:	INTERSTATE CERTIFICATION
APPROVED:	<i>[Signature]</i>
DATE:	April 2015

- (1) Within seven days contact State A and request a copy of the site visit review report for the firm ( see § 26.83(c)(1)), any updates to the site visit review, and any evaluation of the firm based on the site visit. As State A, you must transmit this information to State B within seven days of receiving the request. A pattern by State B of not making such requests in a timely manner or by "State A" or any other State of not complying with such requests in a timely manner is noncompliance with this Part.
- (2) Determine whether there is good cause to believe that State A's certification of the firm is erroneous or should not apply in your State. Reasons for making such a determination may include the following:
  - (i) Evidence that State A's certification was obtained by fraud;
  - (ii) New information, not available to State A at the time of its certification, showing that the firm does not meet all eligibility criteria;
  - (iii) State A's certification was factually erroneous or was inconsistent with the requirements of this part;
  - (iv) The State law of State B requires a result different from that of the State law of State A.
  - (v) The information provided by the applicant firm did not meet the requirements of paragraph (c) of this section.
- (3) If, as State B, unless you have determined that there is good cause to believe that State A's certification is erroneous or should not apply in your State, you must, no later than 60 days from the date on which you received from the applicant firm all the information required by paragraph (c) of this section, send to the applicant firm a notice that it is certified and place the firm on your directory of certified firms.
- (4) If, as State B, you have determined that there is good cause to believe that State A's certification is erroneous or should not apply in your State, you must, no later than 60 days from the date on which you received from the applicant firm all the information required by paragraph (c) of this section, send to the applicant firm a notice stating the reasons for your determination.
  - (i) This notice must state with particularity the specific reasons why State B believes that the firm does not meet the requirements of this Part for DBE eligibility and must offer the firm an opportunity to respond to State B with respect to these reasons.
  - (ii) The firm may elect to respond in writing, to request an in-person meeting with State B's decision maker to discuss State B's objections to the firm's eligibility, or both. If the firm requests a meeting, as State B you must

Alaska Unified Certification Program  OPERATING METHODS	PROGRAM: DBE
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	APPROVED: <i>[Signature]</i>
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schedule the meeting to take place within 30 days of receiving the firm's request.

- (iii) (The firm bears the burden of demonstrating, by a preponderance of evidence, that it meets the requirements of this Part with respect to the particularized issues raised by State B's notice. The firm is not otherwise responsible for further demonstrating its eligibility to State B.
- (iv) The decision maker for State B must be an individual who is thoroughly familiar with the provisions of this Part concerning certification.
- (v) State B must issue a written decision within 30 days of the receipt of the written response from the firm or the meeting with the decision maker, whichever is later.
- (vi) The firm's application for certification is stayed pending the outcome of this process.
- (vii) A decision under this paragraph (d)(4) may be appealed to the Departmental Office of Civil Rights under §§ 26.89 of this part.

e. As State B, if you have not received from State A a copy of the site visit review report by a date 14 days after you have made a timely request for it, you may hold action required by paragraphs (d)(2) through (4) of this section in abeyance pending receipt of the site visit review report. In this event, you must, no later than 30 days from the date on which you received from an applicant firm all the information required by paragraph (c) of this section, notify the firm in writing of the delay in the process and the reason for it.

f. (1) As a UCP, when you deny a firm's application, reject the application of a firm certified in State A or any other State in which the firm is certified, through the procedures of paragraph (d)(4) of this section, or decertify a firm, in whole or in part, you must make an entry in the Department of Transportation Office of Civil Rights' (DOCR's) Ineligibility Determination Online Database. You must enter the following information:

- (i) The name of the firm;
- (ii) The name(s) of the firm's owner(s);
- (iii) The type and date of the action;
- (iv) The reason for the action.

(2) As a UCP, you must check the DOCR website at least once every month to determine whether any firm that is applying to you for certification or that you have already certified is on the list.

(3) For any such firm that is on the list, you must promptly request a copy of the listed decision from the UCP that made it. As the UCP receiving such a request, you must

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Alaska Unified Certification Program  OPERATING METHODS	PROGRAM: DBE
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	APPROVED: <i>[Signature]</i>
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provide a copy of the decision to the requesting UCP within 7 days of receiving the request. As the UCP receiving the decision, you must then consider the information in the decision in determining what, if any, action to take with respect to the certified DBE firm or applicant.

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<p style="font-size: 1.2em; margin: 0;">Alaska Unified Certification Program</p> <p style="font-size: 1.2em; margin: 10px 0 0 0;">OPERATING METHODS</p>	<p>PROGRAM: DBE</p> <p>AREA: Suspension of Certification</p> <hr/> <p>APPROVED: <i>Dennis Ford</i></p> <hr/> <p>DATE: April 2015</p>
<p><b>PURPOSE:</b></p> <p>To provide fair, uniform and consistent suspension procedures for firms suspended as a Disadvantaged Business Enterprise (DBE) certification as required by 49 CFR, Part 26.</p> <p><b>DISTRIBUTION:</b></p> <p>To Civil Rights Office (CRO) staff or Designee</p> <p style="text-align: center;"><b>OPERATING METHODS – CERTIFICATION SUSPENSION PROCEDURES</b></p> <p><b>Authority: 49 CFR, Part 26, section 26.88</b></p> <p>The DBE certification authority is assigned to the CRO within the Alaska Department of Transportation and Public Facilities (ADOT/PF).</p> <p><b>A. Objectives</b></p> <ol style="list-style-type: none"> <li>1. <b>DBE Program Objectives</b> To ensure firms that have been suspended eligibility as a DBE by the CRO are given an opportunity to substantiate its eligibility notwithstanding its change circumstances.</li> <li>2. <b>DBE Objective</b> To ensure only firms independently owned and controlled in both substance and form by one or more socially and economically disadvantaged individuals are certified.</li> </ol> <p><b>B. OPERATING METHODS</b></p> <ol style="list-style-type: none"> <li>1. The CRO shall immediately suspend a DBE's certification without adhering to the requirements in §26.87(d) of this part when an individual owner whose ownership and control of the firm are necessary to the firm's certification dies or is incarcerated.</li> <li>2. The CRO may immediately suspend a DBE's certification without adhering to the requirements in §26.87(d) when there is adequate evidence to believe that there has been a material change in circumstances that may affect the eligibility of the DBE firm to remain certified, or when the DBE fails to notify the CRO in writing of any material change in circumstances as required by §26.83(i) of this part or fails to timely file an affidavit of no change under §26.83(j).</li> <li>3. In determining the adequacy of the evidence to issue a suspension mentioned above, the CRO shall consider all relevant factors, including how much information is available, the credibility of the information and allegations given the circumstances, whether or not important allegations are corroborated, and what inferences can reasonably be drawn as a result.</li> </ol> <p style="text-align: right; font-size: 0.8em;">Page 1 of 2</p>	

<p style="font-size: 1.2em; margin: 0;">Alaska Unified Certification Program</p> <p style="font-size: 1.2em; margin: 10px 0 0 0;">OPERATING METHODS</p>	<p>PROGRAM: DBE</p> <p>AREA: Suspension of Certification</p> <hr/> <p>APPROVED: <i>Dennis Ford</i></p> <hr/> <p>DATE: April 2015</p>
<ol style="list-style-type: none"> <li>4. The concerned operating administration may direct the CRO to take action pursuant to paragraph 2 of this section if it determines that information available to it is sufficient to warrant immediate suspension.</li> <li>5. When a firm is suspended pursuant to paragraph 2 of this section, the CRO shall immediately notify the DBE of the suspension by certified mail, return receipt requested, to the last known address of the owner(s) of the DBE.</li> <li>6. Suspension is a temporary status of ineligibility pending an expedited show cause hearing/proceeding under §26.87 of this part to determine whether the DBE is eligible to participate in the program and consequently should be removed. The suspension takes effect when the DBE receives, or is deemed to have received, the Notice of Suspension.</li> <li>7. While suspended, the DBE may not be considered to meet a contract goal on a new contract, and any work it does on a contract received during the suspension shall not be counted toward the overall goal. The DBE may continue to perform under an existing contract executed before the DBE received a Notice of Suspension and may be counted toward the contract goal during the period of suspension as long as the DBE is performing a commercially useful function under the existing contract.</li> <li>8. Following receipt of the Notice of Suspension, if the DBE believes it is no longer eligible, it may voluntarily withdraw from the program, in which case no further action is required. If the DBE believes that its eligibility should be reinstated, it must provide to the CRO information demonstrating that the firm is eligible notwithstanding its changed circumstances. Within 30 days of receiving this information, the CRO must either lift the suspension and reinstate the firm's certification or commence a decertification action under §26.87 of this part. If the CRO commences a decertification proceeding, the suspension remains in effect during the proceeding.</li> <li>9. The decision to immediately suspend a DBE under paragraph 2 of this section is not appealable to the US Department of Transportation. The failure of the CRO to either lift the suspension and reinstate the firm or commence a decertification proceeding, as required by paragraph 7 of this section, is appealable to the U.S. Department of Transportation under §26.89 of this part, as a constructive decertification.</li> </ol> <p style="text-align: right; font-size: 0.8em;">Page 2 of 2</p>	

**Attachment III**

**DBE/ACDBE Certification Forms**

1. Appendix A and B
2. AUCP Annual "No Change" Affidavit
3. AUCP DBE/ACDBE Uniform Certification Application Instructions & DBE Uniform Certification Application
4. AUCP DBE/ACDBE Uniform Certification Application Affidavit of Certification Addendum
5. AUCP Guidelines Concerning Marital Assets for DBE Applicants and Spousal Renunciation of Rights Affidavit
6. AUCP Interstate Certification Process
7. AUCP NAICS Codes
8. AUCP Personal Net Worth Statement and Instructions
9. AUCP Personal Net Worth Statement Affidavit Addendum
10. Current Business Information
11. DBE /ACDBE Certification Validation Interview (New Applicants)
12. DBE /ACDBE Certification Review & On-Site Visit (Unannounced)
13. On-Site Representative
14. Work Category Checklist
15. Work Category List WC-1 and WC-2

Firm Name: \_\_\_\_\_

**APPENDIX A  
MANAGEMENT RESPONSIBILITIES**

Date Submitted \_\_\_\_\_

Please complete one form for each person who has any authority in any area of responsibility listed below. Make copies as needed.

Name \_\_\_\_\_ Title \_\_\_\_\_ On-Site Representative  YES  NO

*All fields must be completed.*

Number of hours per week working for this DBE firm \_\_\_\_\_ hours. Number of hours per week working for any other firm as an employee \_\_\_\_\_ hours.

AREA OF RESPONSIBILITY	Frequency of Involvement: A-Always O-Often S-Seldom N-Never (Select One)	Final Authority without consulting others (Select One)	Years of experience with this responsibility	*Percentage of work hours spent in this responsibility
Setting policy on scope of business	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
Signing payroll and business checks	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
Signing loans and contracts	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
Financial decisions; Investments; Loans	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
Office/business management (bookkeeping, payroll, insurance, etc.)	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
Marketing, sales, bid solicitation	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
Estimating, contract negotiations	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
Major purchase decision, i.e., equipment	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
Hire/fire management personnel, including field supervisors	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
Supervision of field operations	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
Performing field operations	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____
On-site Representative	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	_____	_____

\*COLUMN TOTAL MUST EQUAL 100% \_\_\_\_\_

Please Select One:  Female  Male

Please Select One:  African American  Asian Indian American  Caucasian  
 Alaska Native  Asian Pacific American  Hispanic American  
 American Indian  Other \_\_\_\_\_

Revised April 2015

Appendix A

Firm Name: \_\_\_\_\_

**APPENDIX B**  
EMPLOYMENT HISTORY

1. Employee's Name: \_\_\_\_\_

2. Special Qualifications: \_\_\_\_\_

a. Professional licenses held: \_\_\_\_\_

b. Professional/technical certificates held: \_\_\_\_\_

c. Union/professional associations' membership: \_\_\_\_\_

d. Education/technical training: \_\_\_\_\_

School	Dates	#Credit Hours	Area of Study	Degree (Y/N)

3. Current Position with applicant firm:

a. Title \_\_\_\_\_ b. Date employment started: \_\_\_\_\_

c. Supervisor \_\_\_\_\_ d. Salary/compensation \_\_\_\_\_

e. Number of persons supervised \_\_\_\_\_ f. Type of employees supervised \_\_\_\_\_

g. Duties and responsibilities \_\_\_\_\_  
\_\_\_\_\_

4. Are you currently employed with any firm other than the applicant firm? \_\_\_\_\_

a. Firm \_\_\_\_\_ b. Location \_\_\_\_\_

c. Type of business \_\_\_\_\_ d. Dates From \_\_\_\_\_ To \_\_\_\_\_

e. Hours per week \_\_\_\_\_ f. Title \_\_\_\_\_

g. Supervisor \_\_\_\_\_ h. Salary/compensation \_\_\_\_\_

e. Number of persons supervised \_\_\_\_\_ f. Type of employees supervised \_\_\_\_\_

g. Duties and responsibilities \_\_\_\_\_  
\_\_\_\_\_

Firm Name: \_\_\_\_\_

5. Previous employment prior to that with applicant firm:

a. Most recent previous employment

1. Firm \_\_\_\_\_ 2. Location \_\_\_\_\_

3. Type of business \_\_\_\_\_ 4. Dates From \_\_\_\_\_ To \_\_\_\_\_

5. Hours per week \_\_\_\_\_ 6. Title \_\_\_\_\_

7. Supervisor \_\_\_\_\_ 8. Salary/compensation \_\_\_\_\_

9. Number of persons supervised \_\_\_\_\_ 10. Type of employees supervised \_\_\_\_\_

11. Duties and responsibilities \_\_\_\_\_

\_\_\_\_\_

b. Most recent previous employment

1. Firm \_\_\_\_\_ 2. Location \_\_\_\_\_

3. Type of business \_\_\_\_\_ 4. Dates From \_\_\_\_\_ To \_\_\_\_\_

5. Hours per week \_\_\_\_\_ 6. Title \_\_\_\_\_

7. Supervisor \_\_\_\_\_ 8. Salary/compensation \_\_\_\_\_

9. Number of persons supervised \_\_\_\_\_ 10. Type of employees supervised \_\_\_\_\_

11. Duties and responsibilities \_\_\_\_\_

\_\_\_\_\_

c. Most recent previous employment

1. Firm \_\_\_\_\_ 2. Location \_\_\_\_\_

3. Type of business \_\_\_\_\_ 4. Dates From \_\_\_\_\_ To \_\_\_\_\_

5. Hours per week \_\_\_\_\_ 6. Title \_\_\_\_\_

7. Supervisor \_\_\_\_\_ 8. Salary/compensation \_\_\_\_\_

9. Number of persons supervised \_\_\_\_\_ 10. Type of employees supervised \_\_\_\_\_

11. Duties and responsibilities \_\_\_\_\_

\_\_\_\_\_

**ALASKA UNIFIED CERTIFICATION PROGRAM (AUCP)  
DBE/ACDBE  
ANNUAL "NO CHANGE" AFFIDAVIT**

I, \_\_\_\_\_, owner of \_\_\_\_\_  
(owner name) (firm name)  
affirm that there have been no changes in the circumstances of \_\_\_\_\_  
(firm name)  
affecting its ability to meet the size, disadvantaged status, ownership, or control requirements of 49 CFR, Part 26 and 13 CFR Part 121. I further declare that there have been no material changes in the information provided with \_\_\_\_\_  
(firm name)

application for certification, except for any changes about which I have provided written notice to the Alaska Department of Transportation and Public Facilities (ADOT&PF), Civil Rights Office (CRO), as required under 49 CFR §26.83(i).

I affirm that I am socially disadvantaged, a member of one or more of the groups, identified in 49 CFR §26.5, or have established an individual case of social disadvantage under Appendix E of 49 CFR Part 26. I further affirm that I am economically disadvantaged as described and in accordance with 49 CFR §26.67 and that my personal net worth does not exceed \$1.32 million.

In addition, I specifically affirm that \_\_\_\_\_ and its affiliates continues to  
(firm name)  
meet the Small Business Administration (SBA) pursuant to SBA, NAICS size limits criteria for being a small business concern and ensuring that the firm's previous three year average annual gross receipts does not exceed the USDOT's limit of \$23.98 million for DBE firms (\$56.42 million for ACDBE firm).

I further authorize the ADOT&PF, CRO to verify the accuracy of the information I provided in order to determine whether I meet the standards of social and economic disadvantage for participation in the DBE Program with the AUCP. Any material misrepresentation or falsification of the information provided is grounds for certification denial or immediate decertification, whichever applies.

Please note that the ADOT&PF, CRO is required to report to the US Department of Transportation (USDOT) any false, fraudulent, or dishonest conduct in connection with the program, so that USDOT can take the steps (e.g., referral to the US Department of Justice for criminal prosecution, referral to the USDOT Inspector General, action under suspension and debarment, or Program Fraud and Civil Penalties rules) provided in 49 CFR §26.107. The ADOT&PF, CRO will consider similar action under our own legal authorities, including responsibility determination in future contracts.

I declare under penalty of perjury that the foregoing is true and correct.<sup>1</sup>

Applicant Name \_\_\_\_\_ Signature of Applicant \_\_\_\_\_  
Date \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_  
Before me appeared \_\_\_\_\_  
who, being duly sworn, did execute the foregoing affidavit, and  
did state (he/she) did so as (he/she) free act and deed.

Commission Expires \_\_\_\_\_  
\_\_\_\_\_  
Notary Public (SEAL)

<sup>1</sup> Knowingly and willfully providing false information to the Federal government is a violation of 18 U.S.C. Section 1001 (False Statements) and could subject you to fines, imprisonment or both.

April 2015



Appendix F

**UNIFORM CERTIFICATION APPLICATION  
DISADVANTAGED BUSINESS ENTERPRISE (DBE) /  
AIRPORT CONCESSION DISADVANTAGED BUSINESS ENTERPRISE (ACDBE)  
49 C.F.R. Parts 23 and 26**

**Roadmap for Applicants**

**1. Should I apply?**

You may be eligible to participate in the DBE/ACDBE program if:

- The firm is a for-profit business that performs or seeks to perform transportation related work (or a concession activity) for a recipient of Federal Transit Administration, Federal Highway Administration, or Federal Aviation Administration funds.
- The firm is at least 51% owned by a socially and economically disadvantaged individual(s) who also controls it.
- The firm's disadvantaged owners are U.S. citizens or lawfully admitted permanent residents of the U.S.
- The firm meets the Small Business Administration's size standard and does not exceed \$23.98 million in gross annual receipts for DBE (\$52.47 million for ACDBEs). (Other size standards apply for ACDBE that are banks/financial institutions, car rental companies, pay telephone firms, and automobile dealers.)

**2. How do I apply?**

First time applicants for DBE certification must complete and submit this certification application and related material to the certifying agency in your home state and participate in an on-site interview conducted by that agency. The attached document checklist can help you locate the items you need to submit to the agency with your completed application. If you fail to submit the required documents, your application may be delayed and/or denied. Firms already certified as a DBE do not have to complete this form, but may be asked by certifying agencies outside of your home state to provide a copy of your initial application form, supporting documents, and any other information you submitted to your home state to obtain certification or to any other state related to your certification.

**3. Where can I send my application? [INSERT UCP PARTICIPATING MEMBER CONTACT INFORMATION]**

**4. Who will contact me about my application and what are the eligibility standards?**

The DBE and ACDBE Programs require that all U.S. Department of Transportation (DOT) recipients of federal assistance participate in a statewide Unified Certification Program (UCP). The UCP is a one-stop certification program that eliminates the need for your firm to obtain certification from multiple certifying agencies within your state. The UCP is responsible for certifying firms and maintaining a database of certified DBEs and ACDBEs for DOT grantees, pursuant to the eligibility standards found in 49 C.F.R. Parts 23 and 26.

**5. Where can I find more information?**

U.S. DOT—<https://www.civilrights.dot.gov/> (This site provides useful links to the rules and regulations governing the DBE/ACDBE program, questions and answers, and other pertinent information)

SBA—Small Business Size Standards matched to the North American Industry Classification System (NAICS). <http://www.census.gov/eos/www/naics/> and <http://www.sba.gov/content/table-small-business-size-standards>

In collecting the information requested by this form, the Department of Transportation (Department) complies with the provisions of the Federal Freedom of Information and Privacy Act (5 U.S.C. 552 and 552a). The Privacy Act provides comprehensive protections for your personal information. This includes how information is collected, used, disclosed, stored, and discarded. Your information will not be disclosed to third parties without your consent. The information collected will be used solely to determine your firm's eligibility to participate in the Department's Disadvantaged Business Enterprise Program as defined in 49 CFR §26.5 and the Airport Concession Disadvantaged Business Enterprise Program as defined in 49 CFR §23.3. You may review DOT's complete Privacy Act Statement in the Federal Register published on April 11, 2000 (65 FR 19477).

Under 49 C.F.R. §26.107, dated February 2, 1999 and January 28, 2011, if at any time, the Department or a recipient has reason to believe that any person or firm has willfully and knowingly provided incorrect information or made false statements, the Department may initiate suspension or debarment proceedings against the person or firm under 2 CFR Parts 101 and 1201, Nonprocurement Suspension and Debarment, take enforcement action under 49 C.F.R. Part 11, 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.



**INSTRUCTIONS FOR COMPLETING THE  
DISADVANTAGED BUSINESS ENTERPRISE (DBE)  
AIRPORT CONCESSIONS DISADVANTAGED BUSINESS ENTERPRISE (ACDBE)  
UNIFORM CERTIFICATION APPLICATION**

**NOTE:** All participating firms must be for-profit enterprises. If your firm is not for profit, then you do NOT qualify for the DBE/ACDBE program and should not complete this application. If you require additional space for any question in this application, please attach additional sheets or copies as needed, taking care to indicate on each attached sheet/copy the section and number of this application to which it refers.

**Section 1: CERTIFICATION INFORMATION**

**A. Basic Contact Information**

- (1) Enter the contact name and title of the person completing this application and the person who will serve as your firm's contact for this application.
- (2) Enter the legal name of your firm, as indicated in your firm's Articles of Incorporation or charter.
- (3) Enter the primary phone number of your firm.
- (4) Enter a secondary phone number, if any.
- (5) Enter your firm's fax number, if any.
- (6) Enter the contact person's email address.
- (7) Enter your firm's website addresses, if any.
- (8) Enter the street address of the firm where its offices are physically located (not a P.O. Box).
- (9) Enter the mailing address of your firm, if it is different from your firm's street address.

**B. Prior/Other Certifications and Applications**

- (10) Check the appropriate box indicating whether your firm is currently certified in the DBE/ACDBE programs, and provide the name of the certifying agency that certified your firm. List the dates of any site visits conducted by your home state and any other states or UCP members. Also provide the names of state/UCP members that conducted the review.
- (11) Indicate whether your firm or any of the persons listed has ever been denied certification as a DBE, 8(a), or Small Disadvantaged Business (SDB) firm, or state and local MBE/WBE firm. Indicate if the firm has ever been decertified from one of these programs. Indicate if the application was withdrawn or whether the firm was debarred, suspended, or otherwise had its bidding privileges denied or restricted by any state or local agency, or Federal entity. If your answer is yes, identify the name of the agency, and explain fully the nature of the action in the space provided. Indicate if you have ever appealed this decision to the Department and if so, attach a copy of USDOT's final agency decision(s).

**Section 2: GENERAL INFORMATION**

**A. Business profile:**

- (1) Give a concise description of the firm's primary activities, the product(s) or services the company provides, or type of construction. If your company offers more than one product/service, list primary product or service first (attach additional sheets if necessary). This description may be used in our UCP online directory if you are certified as a DBE.

- (2) If you know the appropriate NAICS Code for the line(s) of work you identified in your business profile, enter the codes in the space provided.
- (3) State the date on which your firm was established as stated in your firm's Articles of Incorporation or charter.
- (4) State the date each person became a firm owner.
- (5) Check the appropriate box describing the manner in which you and each other owner acquired ownership of your firm. If you checked "Other," explain in the space provided.
- (6) Check the appropriate box that indicates whether your firm is "for profit." If you checked "No," then you do NOT qualify for the DBE/ACDBE program and should not complete this application. All participating firms must be for-profit enterprises. If the firm is a for-profit enterprise, provide the Federal Tax ID number as stated on your firm's Federal tax return.
- (7) Check the appropriate box that describes the type of legal business structure of your firm, as indicated in your firm's Articles of Incorporation or similar document. Identify all joint venture partners if applicable. If you checked "Other," briefly explain in the space provided.
- (8) Indicate in the spaces provided how many employees your firm has, specifying the number of employees who work on a full-time, part-time, and seasonal basis. Attach a list of employees, their job titles, and dates of employment, to your application.
- (9) Specify the firm's gross receipts for each of the past three years, as stated in your firm's filed Federal tax returns. You must submit complete copies of the firm's Federal tax returns for each year. If there are any affiliates or subsidiaries of the applicant firm or owners, you must provide these firms' gross receipts and submit complete copies of these firm(s) Federal tax returns. Affiliation is defined in 49 C.F.R. §26.5 and 13 C.F.R. Part 121.

**B. Relationships and Dealings with Other Businesses**

- (1) Check the appropriate box that indicates whether your firm is co-located at any of its business locations, or whether your firm shares a telephone number(s), a post office box, any office space, a yard, warehouse, other facilities, any equipment, financing, or any office staff and/or employees with any other business, organization or entity of any kind. If you answered "Yes," then specify the name of the other firm(s) and fully explain the nature of your relationship with those other businesses by identifying the business or person with whom you have any formal, informal, written, or



oral agreement. Provide an explanation of any items shared with other firms in the space provided.

- (2) Check the appropriate box indicating whether any other firm currently has or had an ownership interest in your firm at present or at any time in the past. If you checked yes, please explain.
- (3) Check the appropriate box that indicates whether at present or at any time in the past your firm:
  - (a) ever existed under different ownership, a different type of ownership, or a different name;
  - (b) existed as a subsidiary of any other firm;
  - (c) existed as a partnership in which one or more of the partners were/were other firms;
  - (d) owned any percentage of any other firm; and
  - (e) had any subsidiaries of its own.
- (f) served as a subcontractor with another firm constituting more than 25% of your firm's receipts.

If you answered "Yes" to any of the questions in (3)(a-f), you may be asked to explain the arrangement in detail.

**Section 3: MAJORITY OWNER INFORMATION**

Identify all individuals or holding companies with any ownership interest in your firm, providing the information requested below (if your firm has more than one owner, provide completed copies of this section for each owner).

**A. Identify the majority owner of the firm holding 51% or more ownership interest**

- (1) Enter the full name of the owner.
- (2) Enter his/her title or position within your firm.
- (3) Give his/her home phone number.
- (4) Enter his/her home (street) address.
- (5) Indicate his owner's gender.
- (6) Identify the owner's ethnic group membership. If you checked "Other," specify this owner's ethnic group/identity and otherwise listed.
- (7) Check the appropriate box to indicate whether this owner is a U.S. citizen or a lawfully admitted permanent resident. If this owner is neither a U.S. citizen nor a lawfully admitted permanent resident of the U.S., then this owner is NOT eligible for certification as a DBE owner.
- (8) Enter the number of years during which this owner has been an owner of your firm, providing the information requested below (if your firm has more than one owner, provide completed copies of this section for each owner).
- (9) Indicate the percentage of the total ownership this person holds and the date acquired, including (if appropriate), the class of stock owned.
- (10) Indicate the dollar value of this owner's initial investment to acquire an ownership interest in your firm, broken down by cash, real estate, equipment, and/or other investment. Describe how you acquired your business and attach documentation substantiating this investment.

**B. Additional Owner Information**

- (1) Describe the familial relationship of this owner to each other owner of your firm and employees.
- (2) Indicate whether this owner performs a management or supervisory function for any other business. If you

checked "Yes," state the name of the other business and this owner's function/title held in that business.

- (3) (a) Check the appropriate box that indicates whether this owner owns or works for any other firm(s) that has any relationship with your firm. If you checked "Yes," identify the name of the other business, the nature of the business relationship, and the owner's function at the firm.
  - (b) If the owner works for any other firm, non-profit organization, or is engaged in any other activity more than 10 hours per week, please identify this activity.
- (4) (a) Provide the personal net worth of the owner applying for certification in the space provided. Complete and attach the accompanying "Personal Net Worth Statement for DBE/ACDBE Program Eligibility" with your application. Note, complete this section and accompanying statement only for each owner applying for DBE qualification (i.e., for each owner claiming to be socially and economically disadvantaged).
  - (b) Check the appropriate box that indicates whether any trust has been created for the benefit of the disadvantaged owner(s). If you answered "Yes," you may be asked to provide a copy of the trust instrument.
- (5) Check the appropriate to indicate whether any of your immediate family members, managers, or employees own, manage, or are associated with another company. Immediate family member is defined in 49 C.F.R. §26.5. If you answered "Yes," provide the name of each person, your relationship to them, the name of the company, the type of business, and whether they own or manage the company.

**Section 4: CONTROL**

**A. Identify the firm's Officers and Board of Directors**

- (1) In the space provided, state the name, title, date of appointment, ethnicity, and gender of each officer.
- (2) In the space provided, state the name, title, date of appointment, ethnicity, and gender of each individual serving on your firm's Board of Directors.
- (3) Check the appropriate box to indicate whether any of your firm's officers and/or directors listed above performs a management or supervisory function for any other business. If you answered "Yes," identify each person by name, his/her title, the name of the other business in which s/he is involved, and his/her function performed in that other business.
- (4) Check the appropriate box that indicates whether any of your firm's officers and/or directors listed above own or work for any other firm(s) that has a relationship with your firm. (e.g., ownership interest, shared office space, financial investments, equipment leases, personnel sharing, etc.) If you answered "Yes," identify the name of the firm, the individual's name, and the nature of his/her business relationship with that other firm.





**B. Duties of Owners, Officers, Directors, Managers and Key Personnel**

(1), (2) Specify the roles of the majority and minority owners, directors, officers, and managers, and key personnel who control the functions listed for the business. Submit résumés for each owner and non-owner identified below. State the name of the individual, title, race and gender and percentage ownership if any. Circle the frequency of each person's involvement as follows: "always, frequently, seldom, or never" in each area.

Indicate whether any of the persons listed in this section perform a management or supervisory function for any other business. Identify the person, business, and their title/function. Identify if any of the persons listed above own or work for any other firm(s) that has a relationship with this firm (e.g. ownership interest, shared office space, financial investment, equipment, leases, personnel sharing, etc.) If you answered "Yes," describe the nature of his/her business relationship with that other firm.

**C. Inventory:** Indicate firm inventory in these categories:

(1) **Equipment and Vehicles**  
State the make and model, and current dollar value of each piece of equipment and motor vehicle held and/or used by your firm. Indicate whether each piece is either owned or leased by your firm or owner, whether it is used as collateral, and where this item is stored.

(2) **Office Space**  
State the street address of each office space held and/or used by your firm. Indicate whether your firm or owner owns or leases the office space and the current dollar value of that property or its lease.

(3) **Storage Space**  
State the street address of each storage space held and/or used by your firm. Indicate whether your firm or owner owns or leases the storage space and the current dollar value of that property or its lease. Provide a signed lease agreement for each property.

**D. Does your firm rely on any other firm for management functions or employee payroll?**

Check the appropriate box that indicates whether your firm relies on any other firm for management functions or for employee payroll. If you answered "Yes," you may be asked to explain the nature of that reliance and the extent to which the other firm carries out such functions.

**E. Financial / Banking Information**

**Banking Information.** State the name, City and State of your firm's bank. In the space provided, identify the persons able to sign checks on this account. Provide bank authorization and signature cards.

**Bonding Information.** State your firm's bonding limits (in dollars), specifying both the aggregate and project limits.

**F. Sources, amounts, and purposes of money loaned to your firm, including the names of persons or firms guaranteeing the loan.**

State the name and address of each source, the name of person securing the loan, original dollar amount and the current balance of each loan, and the purpose for which each loan was made to your firm. Provide copies of signed loan agreements and security agreements.

**G. Contributions or transfers of assets (to/from your firm and to/from any of its owners or another individual over the past two years:**

Indicate in the spaces provided, the type of contribution or asset that was transferred, its current dollar value, the person or firm from whom it was transferred, the person or firm to whom it was transferred, the relationship between the two persons and/or firms, and the date of the transfer.

**H. Current licenses/permits held by any owner or employee of your firm.**

List the name of each person in your firm who holds a professional license or permit, the type of permit or license, the expiration date of the permit or license, and issuing State of the license or permit. Attach copies of licenses, license renewal forms, permits, and haul authority forms.

**I. Largest contracts completed by your firm in the past three years, if any.**

List the name of each owner or contractor for each contract, the name and location of the projects under each contract, the type of work performed on each contract, and the dollar value of each contract.

**J. Largest active jobs on which your firm is currently working.**

For each active job listed, state the name of the prime contractor and the project number, the location, the type of work performed, the project start date, the anticipated completion date, and the dollar value of the contract.

**AIRPORT CONCESSION (ACDBE) APPLICANTS**

Identify the concession space, address and location at the airport, the value of the property or lease, and fees/lease payments paid to the airport. Provide information concerning any other airport concession businesses the applicant firm or any affiliate owns and/or operates, including name, location, type of concession, and start date of the concession enterprise.

**AFFIDAVIT & SIGNATURE**

The Affidavit of Certification must accompany your application for certification. Carefully read the attached affidavit in its entirety. Fill in the required information for each blank space, and sign and date the affidavit in the presence of a Notary Public, who must then notarize the form.



**Section 1: CERTIFICATION INFORMATION**

**A. Basic Contact Information**

(1) Contact person and Title: \_\_\_\_\_ (2) Legal name of firm: \_\_\_\_\_

(3) Phone #: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ (4) Other Phone #: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ (5) Fax #: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

(6) E-mail: \_\_\_\_\_ (7) Firm Websites: \_\_\_\_\_

(8) Street address of firm (No P.O. Box): \_\_\_\_\_ City: \_\_\_\_\_ County/Parish: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

(9) Mailing address of firm (if different): \_\_\_\_\_ City: \_\_\_\_\_ County/Parish: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**B. Prior/Other Certifications and Applications**

(10) Is your firm currently certified for any of the following U.S. DOT programs?  
 DBE  ACDBE Names of certifying agencies: \_\_\_\_\_

⊗ If you are certified in your home state as a DBE/ACDBE, you do not have to complete this application for other states. Ask your state UCP about the interstate certification process.

List the dates of any site visits conducted by your home state and any other states or UCP members:

Date / / State/UCP Member: \_\_\_\_\_ Date / / State/UCP Member: \_\_\_\_\_

(11) Indicate whether the firm or any persons listed in this application have ever been:

- (a) Denied certification or decertified as a DBE, ACDBE, 8(a), SDB, MBE/WBE firm?  Yes  No
- (b) Withdrawn an application for these programs, or debarred or suspended or otherwise had bidding privileges denied or restricted by any state or local agency, or Federal entity?  Yes  No

If yes, explain the nature of the action. (If you appealed the decision to DOT or another agency, attach a copy of the decision.)

**Section 2: GENERAL INFORMATION**

**A. Business Profile:** (1) Give a concise description of the firm's primary activities and the product(s) or service(s) it provides. If your company offers more than one product/service, list the primary product or service first. Please use additional paper if necessary. This description may be used in our database and the UCP online directory if you are certified as a DBE or ACDBE.

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

(2) Applicable NAICS Codes for this line of work include: \_\_\_\_\_

(3) This firm was established on / / (4) I/We have owned this firm since: / /

(5) Method of acquisition (Check all that apply):  
 Started new business  Bought existing business  Inherited business  Secured concession  
 Merger or consolidation  Other (explain) \_\_\_\_\_

(6) Is your firm "for profit"?  Yes  No → **STOP!** If your firm is NOT for-profit, then you do NOT qualify for this program and should not fill out this application.



(7) Type of Legal Business Structure: (check all that apply):

- Sole Proprietorship       Limited Liability Partnership  
 Partnership               Corporation  
 Limited Liability Company       Joint Venture (Identify all JV partners \_\_\_\_\_)  
 Applying as an ACDBE       Other, Describe \_\_\_\_\_

(8) Number of employees: Full-time \_\_\_\_\_ Part-time \_\_\_\_\_ Seasonal \_\_\_\_\_ Total \_\_\_\_\_  
 (Provide a list of employees, their job titles, and dates of employment, to your application).

(9) Specify the firm's gross receipts for the last 3 years. (Submit complete copies of the firm's Federal tax returns for each year. If there are affiliates or subsidiaries of the applicant firm or owners, you must submit complete copies of these firms' Federal tax returns).

Year \_\_\_\_\_ Gross Receipts of Applicant Firm \$ \_\_\_\_\_ Gross Receipts of Affiliate Firms \$ \_\_\_\_\_  
 Year \_\_\_\_\_ Gross Receipts of Applicant Firm \$ \_\_\_\_\_ Gross Receipts of Affiliate Firms \$ \_\_\_\_\_  
 Year \_\_\_\_\_ Gross Receipts of Applicant Firm \$ \_\_\_\_\_ Gross Receipts of Affiliate Firms \$ \_\_\_\_\_

**B. Relationships and Dealings with Other Businesses**

(1) Is your firm co-located at any of its business locations, or does it share a telephone number, P.O. Box, office or storage space, yard, warehouse, facilities, equipment, inventory, financing, office staff, and/or employees with any other business, organization, or entity?  Yes  No  
 If Yes, explain the nature of your relationship with these other businesses by identifying the business or person with whom you have any formal, informal, written, or oral agreement. Also detail the items shared.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(2) Has any other firm had an ownership interest in your firm at present or at any time in the past?  
 Yes  No If Yes, explain \_\_\_\_\_

- (3) At present, or at any time in the past, has your firm:
- (a) Ever existed under different ownership, a different type of ownership, or a different name?  Yes  No
  - (b) Existed as a subsidiary of any other firm?  Yes  No
  - (c) Existed as a partnership in which one or more of the partners are/were other firms?  Yes  No
  - (d) Owned any percentage of any other firm?  Yes  No
  - (e) Had any subsidiaries?  Yes  No
  - (f) Served as a subcontractor with another firm constituting more than 25% of your firm's receipts?  Yes  No

(If you answered "Yes" to any of the questions in (2) and/or (3)(a)-(f), you may be asked to provide further details and explain whether the arrangement continues).

**Section 3: MAJORITY OWNER INFORMATION**



A. Identify the majority owner of the firm holding 51% or more ownership interest.

(1) Full Name: \_\_\_\_\_ (2) Title: \_\_\_\_\_ (3) Home Phone #: \_\_\_\_\_  
 ( ) \_\_\_\_\_

(4) Home Address (Street and Number): \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

(5) Gender:  Male  Female

(8) Number of years as owner: \_\_\_\_\_  
 (9) Percentage owned: \_\_\_\_\_ %  
 Class of stock owned: \_\_\_\_\_  
 Date acquired: \_\_\_\_\_

(6) Ethnic group membership (Check all that apply):

- Black       Hispanic  
 Asian Pacific       Native American  
 Subcontinent Asian  
 Other (specify) \_\_\_\_\_

(10) Initial investment to acquire ownership interest in firm:

Type	Dollar Value
Cash	\$ _____
Real Estate	\$ _____
Equipment	\$ _____
Other	\$ _____

- (7) U.S. Citizenship:
- U.S. Citizen  
 Lawfully Admitted Permanent Resident

Describe how you acquired your business:

Started business myself  
 It was a gift from: \_\_\_\_\_  
 I bought it from: \_\_\_\_\_  
 I inherited it from: \_\_\_\_\_  
 Other \_\_\_\_\_  
 (Attach documentation substantiating your investment)

**B. Additional Owner Information**

(1) Describe familial relationship to other owners and employees:

\_\_\_\_\_

\_\_\_\_\_

(2) Does this owner perform a management or supervisory function for any other business?  Yes  No  
 If Yes, identify: Name of Business: \_\_\_\_\_ Function/Title: \_\_\_\_\_

(3)(a) Does this owner own or work for any other firm(s) that has a relationship with this firm? (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)  Yes  No  
 Identify the name of the business, and the nature of the relationship, and the owner's function at the firm:

\_\_\_\_\_

(b) Does this owner work for any other firm, non-profit organization, or is engaged in any other activity more than 10 hours per week? If yes, identify this activity: \_\_\_\_\_

(4)(a) What is the personal net worth of this disadvantaged owner applying for certification? \$ \_\_\_\_\_

(b) Has any trust been created for the benefit of this disadvantaged owner(s)?  Yes  No  
 (If Yes, you may be asked to provide a copy of the trust instrument).

(5) Do any of your immediate family members, managers, or employees own, manage, or are associated with another company?  Yes  No If Yes, provide their name, relationship, company, type of business, and indicate whether they own or manage the company: (Please attach extra sheets, if needed): \_\_\_\_\_

Section 3: OWNER INFORMATION, Cont'd.



A. Identify all individuals, firms, or holding companies that hold LESS THAN 51% ownership interest in the firm (Attach separate sheets for each additional owner)

(1) Full Name: \_\_\_\_\_ (2) Title: \_\_\_\_\_ (3) Home Phone #: \_\_\_\_\_  
( ) \_\_\_\_\_

(4) Home Address (Street and Number): \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

(5) Gender:  Male  Female

(6) Ethnic group membership (Check all that apply)

- Black  Hispanic  
 Asian Pacific  Native American  
 Subcontinent Asian  
 Other (specify) \_\_\_\_\_

(7) U.S. Citizenship:

- U.S. Citizen  
 Lawfully Admitted Permanent Resident

(8) Number of years as owner: \_\_\_\_\_

(9) Percentage owned: \_\_\_\_\_ %

Class of stock owned: \_\_\_\_\_  
 Date acquired \_\_\_\_\_

(10) Initial investment to acquire ownership interest in firm:

Type	Dollar Value
Cash	\$ _____
Real Estate	\$ _____
Equipment	\$ _____
Other	\$ _____

Describe how you acquired your business:

- Started business myself  
 It was a gift from: \_\_\_\_\_  
 I bought it from: \_\_\_\_\_  
 I inherited it from: \_\_\_\_\_  
 Other \_\_\_\_\_

(Attach documentation substantiating your investment)

B. Additional Owner Information

(1) Describe familial relationship to other owners and employees:

(2) Does this owner perform a management or supervisory function for any other business?  Yes  No  
 If Yes, identify: Name of Business: \_\_\_\_\_ Function/Title: \_\_\_\_\_

(3)(a) Does this owner own or work for any other firm(s) that has a relationship with this firm? (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)  Yes  No  
 Identify the name of the business, and the nature of the relationship, and the owner's function at the firm:

(b) Does this owner work for any other firm, non-profit organization, or is engaged in any other activity more than 10 hours per week? If yes, identify this activity: \_\_\_\_\_

(4)(a) What is the personal net worth of this disadvantaged owner applying for certification? \$ \_\_\_\_\_

(b) Has any trust been created for the benefit of this disadvantaged owner(s)?  Yes  No  
 (If Yes, you may be asked to provide a copy of the trust instrument).

(5) Do any of your immediate family members, managers, or employees own, manage, or are associated with another company?  Yes  No If Yes, provide their name, relationship, company, type of business, and indicate whether they own or manage: (Please attach extra sheets, if needed): \_\_\_\_\_

Section 4: CONTROL



A. Identify your firm's Officers and Board of Directors (If additional space is required, attach a separate sheet):

	Name	Title	Date Appointed	Ethnicity	Gender
(1) Officers of the Company	(a)				
	(b)				
	(c)				
	(d)				
(2) Board of Directors	(a)				
	(b)				
	(c)				
	(d)				

(3) Do any of the persons listed above perform a management or supervisory function for any other business?  Yes  No If Yes, identify for each:

Person: \_\_\_\_\_ Title: \_\_\_\_\_  
 Business: \_\_\_\_\_ Function: \_\_\_\_\_

Person: \_\_\_\_\_ Title: \_\_\_\_\_  
 Business: \_\_\_\_\_ Function: \_\_\_\_\_

(4) Do any of the persons listed in section A above own or work for any other firm(s) that has a relationship with this firm? (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)  Yes  No If Yes, identify for each:

Firm Name: \_\_\_\_\_ Person: \_\_\_\_\_  
 Nature of Business Relationship: \_\_\_\_\_

B. Duties of Owners, Officers, Directors, Managers, and Key Personnel

1. (Identify your firm's management personnel who control your firm in the following areas (Attach separate sheets as needed).)

	Majority Owner (51% or more)				Minority Owner (49% or less)			
	A = Always	F = Frequently	S = Seldom	N = Never	A = Always	F = Frequently	S = Seldom	N = Never
Sets policy for company direction/scope of operations	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Bidding and estimating	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Major purchasing decisions	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Marketing and sales	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Supervises field operations	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Attend bid opening and lettings	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Perform office management (billing, accounts receivable/payable, etc.)	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Hires and fires management staff	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Hire and fire field staff or crew	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Designates profits spending or investment	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Obligates business by contract/credit	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Purchase equipment	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>
Signs business checks	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>	A <input type="checkbox"/>	F <input type="checkbox"/>	S <input type="checkbox"/>	N <input type="checkbox"/>

**2. Complete for all Officers, Directors, Managers, and Key Personnel who control the following functions for the firm. (Attach separate sheets as needed).**

A= Always F = Frequently	S = Seldom N = Never	Officer/Director/Manager/Key Personnel				Officer/Director/Manager/Key Personnel			
		A	F	S	N	A	F	S	N
		Name: _____				Name: _____			
		Title: _____				Title: _____			
		Race and Gender: _____				Race and Gender: _____			
		Percent Owned: _____				Percent Owned: _____			
Sets policy for company direction/scope of operations		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bidding and estimating		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major purchasing decisions		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marketing and sales		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supervises field operations		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attend bid opening and lettings		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Perform office management (billing, accounts receivable/payable, etc.)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hires and fires management staff		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hire and fire field staff or crew		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Designates profits spending or investment		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Obligates business by contract/credit		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Purchase equipment		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Signs business checks		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Do any of the persons listed in B1 or B2 perform a management or supervisory function for any other business? If Yes, identify the person, the business, and their title/function: \_\_\_\_\_

Do any of the persons listed above own or work for any other firm(s) that has a relationship with this firm? (e.g. ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.) If Yes, describe the nature of the business relationship: \_\_\_\_\_

**C. Inventory:** Indicate your firm's inventory in the following categories (Please attach additional sheets if needed):

**1. Equipment and Vehicles**

Make and Model	Current Value	Owned or Leased by Firm or Owner?	Used as collateral?	Where is item stored?
1. _____				
2. _____				
3. _____				
4. _____				
5. _____				
6. _____				
7. _____				
8. _____				
9. _____				

**2. Office Space**

Street Address	Owned or Leased by Firm or Owner?	Current Value of Property or Lease
_____		
_____		
_____		



**3. Storage Space** (Provide signed lease agreements for the properties listed)

Street Address	Owned or Leased by Firm or Owner?	Current Value of Property or Lease
_____		
_____		
_____		

**D. Does your firm rely on any other firm for management functions or employee payroll?**  Yes  No

**E. Financial/Banking Information** (Provide bank authorization and signature cards)

Name of bank: \_\_\_\_\_ City and State: \_\_\_\_\_  
The following individuals are able to sign checks on this account: \_\_\_\_\_

Name of bank: \_\_\_\_\_ City and State: \_\_\_\_\_  
The following individuals are able to sign checks on this account: \_\_\_\_\_

**Bonding Information:** If you have bonding capacity, identify the firm's bonding aggregate and project limits:  
Aggregate limit \$ \_\_\_\_\_ Project limit \$ \_\_\_\_\_

**F. Identify all sources, amounts, and purposes of money loaned to your firm including from financial institutions. Identify whether you the owner and any other person or firm loaned money to the applicant DBE/ACDBE. Include the names of any persons or firms guaranteeing the loan, if other than the listed owner. (Provide copies of signed loan agreements and security agreements).**

Name of Source	Address of Source	Name of Person Guaranteeing the Loan	Original Amount	Current Balance	Purpose of Loan
1. _____					
2. _____					
3. _____					

**G. List all contributions or transfers of assets to/from your firm and to/from any of its owners or another individual over the past two years (Attach additional sheets if needed):**

Contribution/Asset	Dollar Value	From Whom Transferred	To Whom Transferred	Relationship	Date of Transfer
1. _____					
2. _____					
3. _____					

**H. List current licenses/permits held by any owner and/or employee of your firm (e.g. contractor, engineer, architect, etc.) (Attach additional sheets if needed):**

Name of License/Permit Holder	Type of License/Permit	Expiration Date	State
1. _____			
2. _____			
3. _____			

I. List the three largest contracts completed by your firm in the past three years, if any:



Name of Owner/Contractor	Name/Location of Project	Type of Work Performed	Dollar Value of Contract
1.			
2.			
3.			

J. List the three largest active jobs on which your firm is currently working:

Name of Prime Contractor and Project Number	Location of Project	Type of Work	Project Start Date	Anticipated Completion Date	Dollar Value of Contract
1.					
2.					
3.					

**AIRPORT CONCESSION (ACDBE) APPLICANTS ONLY MUST COMPLETE THIS SECTION**

Identify the following information concerning the ACDBE applicant firm:

Concession Space	Address / Location at Airport	Value of Property or Lease	Fees/Lease Payments Paid to the Airport

Provide information concerning any other airport concession businesses the applicant firm or any affiliate owns and/or operates, including name, location, type of concession, and start date of concession

Name of Concession	Location	Type of Concession	Start Date of Concession



**AFFIDAVIT OF CERTIFICATION**

This form must be signed and notarized for each owner upon which disadvantaged status is relied.

A MATERIAL OR FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF CERTIFICATION, REVOCATION OF A PRIOR APPROVAL, INITIATION OF SUSPENSION OR DEBARMENT PROCEEDINGS, AND MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO ANY AND ALL CIVIL AND CRIMINAL PENALTIES AVAILABLE PURSUANT TO APPLICABLE FEDERAL AND STATE LAW.

I \_\_\_\_\_ (full name printed), swear or affirm under penalty of law that I am \_\_\_\_\_ (title) of the applicant firm \_\_\_\_\_ and that I

have read and understood all of the questions in this application and that all of the foregoing information and statements submitted in this application and its attachments and supporting documents are true and correct to the best of my knowledge, and that all responses to the questions are full and complete, omitting no material information. The responses include all material information necessary to fully and accurately identify and explain the operations, capabilities and pertinent history of the named firm as well as the ownership, control, and affiliations thereof.

I recognize that the information submitted in this application is for the purpose of inducing certification approval by a government agency. I understand that a government agency may, by means it deems appropriate, determine the accuracy and truth of the statements in the application, and I authorize such agency to contact any entity named in the application, and the named firm's bonding companies, banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm's eligibility.

I agree to submit to government audit, examination and review of books, records, documents and files, in whatever form they exist, of the named firm and its affiliates, inspection of its places(s) of business and equipment, and to permit interviews of its principals, agents, and employees. I understand that refusal to permit such inquiries shall be grounds for denial of certification.

If awarded a contract, subcontract, concession lease or sublease, I agree to promptly and directly provide the prime contractor, if any, and the Department, recipient agency, or federal funding agency on an ongoing basis, current, complete and accurate information regarding (1) work performed on the project; (2) payments; and (3) proposed changes, if any, to the foregoing arrangements.

I agree to provide written notice to the recipient agency or Unified Certification Program of any material change in the information contained in the original application within 30 calendar days of such change (e.g., ownership changes, address/telephone number, personal net worth exceeding \$1.32 million, etc.).

I acknowledge and agree that any misrepresentations in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded; denial or revocation of certification; suspension and debarment; and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses.

I certify that I am a socially and economically disadvantaged individual who is an owner of the above-referenced firm seeking certification as a Disadvantaged Business Enterprise or Airport Concession Disadvantaged Business Enterprise. In support of my application, I certify that I am a member of one or more of the following groups, and that I have held myself out as a member of the group(s). (Check all that apply):

- Female  Black American  Hispanic American  
 Native American  Asian-Pacific American  
 Subcontinent Asian American  Other (specify) \_\_\_\_\_

I certify that I am socially disadvantaged because I have been subjected to racial or ethnic prejudice or cultural bias, or have suffered the effects of discrimination, because of my identity as a member of one or more of the groups identified above, without regard to my individual qualities.

I further certify that my personal net worth does not exceed \$1.32 million, and that I am economically disadvantaged because my ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially and economically disadvantaged.

I declare under penalty of perjury that the information provided in this application and supporting documents is true and correct.

Signature \_\_\_\_\_ (DBE/ACDBE Applicant) \_\_\_\_\_ (Date) \_\_\_\_\_

**NOTARY CERTIFICATE**



UNIFORM CERTIFICATION APPLICATION  
SUPPORTING DOCUMENTS CHECKLIST

In order to complete your application for DBE or ACDBE certification, you must attach copies of all of the following REQUIRED documents. A failure to supply any information requested by the UCP may result in your firm denied DBE/ACDBE certification.

Required Documents for All Applicants

- Resumes (that include places of employment with corresponding dates), for all owners, officers, and key personnel of the applicant firm
Personal Net Worth Statement for each socially and economically disadvantaged owners comprising 51% or more of the ownership percentage of the applicant firm.
Personal Federal tax returns for the past 3 years, if applicable, for each disadvantaged owner
Federal tax returns (and requests for extensions) filed by the firm and its affiliates with related schedules, for the past 3 years.
Documented proof of contributions used to acquire ownership for each owner (e.g., both sides of cancelled checks)
Signed loan and security agreements, and bonding forms
List of equipment and/or vehicles owned and leased including VIN numbers, copy of titles, proof of ownership, insurance cards for each vehicle.
Title(s), registration certificate(s), and U.S. DOT numbers for each truck owned or operated by your firm
Licenses, license renewal forms, permits, and haul authority forms
Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past 2 years
DBE/ACDBE and SBA 8(a), SDB, MBE/WBE certifications, denials, and/or decertifications, if applicable; and any U.S. DOT appeal decisions on these actions.
Bank authorization and signatory cards
Schedule of salaries (or other remuneration) paid to all officers, managers, owners, and/or directors of the firm
List of all employees, job titles, and dates of employment.
Proof of warehouse/storage facility ownership or lease arrangements

- Corporate by-laws and any amendments
Corporate bank resolution and bank signature cards
Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)

Optional Documents to Be Provided on Request

The UCP to which you are applying may require the submission of the following documents. If requested to provide these documents, you must supply them with your application or at the on-site visit.

- Proof of citizenship
Insurance agreements for each truck owned or operated by your firm
Audited financial statements (if available)
Personal Federal Tax returns for the past 3 years, if applicable, for other disadvantaged owners of the firm.
Trust agreements held by any owner claiming disadvantaged status
Year-end balance sheets and income statements for the past 3 years (or life of firm, if less than three years)

Suppliers

- List of product lines carried and list of distribution equipment owned and/or leased

Partnership or Joint Venture

- Original and any amended Partnership or Joint Venture Agreements

Corporation or LLC

- Official Articles of Incorporation (signed by the state official)
Both sides of all corporate stock certificates and your firm's stock transfer ledger
Shareholders' Agreement(s)
Minutes of all stockholders and board of directors meetings

ALASKA  
Uniform Certification Application Affidavit of Certification Addendum  
For DBE/ACDBE Program Eligibility

I certify that I am socially disadvantaged because I have been subjected to racial or ethnic prejudice or cultural bias, or have suffered the effects of discrimination, because of my identity as a member of one or more of the groups identified on Page 13 of the application, without regard to my individual qualities.

I further certify that my personal net worth does not exceed \$1.32 million, and that I am economically disadvantaged because my ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially and economically disadvantaged.

I declare under penalty of perjury that the information provided in this application and supporting documents is true and correct.

Please note that the Alaska Department of Transportation and Public Facilities, Civil Rights Office, is required to report to the Department of Transportation any false, fraudulent, or dishonest conduct in connection with the program, so that DOT can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the DOT Office of Inspector General, action under suspension and debarment of Program Fraud and Civil Penalties rules) provided in §26.107. The Alaska Department of Transportation and Public Facilities, Civil Rights Office, will consider similar action under our own legal authorities, including responsibility determinations in future contracts.

Name of Applicant Firm: \_\_\_\_\_

Signature (DBE/ACDBE Owner) \_\_\_\_\_ Date \_\_\_\_\_

Notary Public (SEAL) \_\_\_\_\_ On this \_\_\_\_ of \_\_\_\_\_, \_\_\_\_\_

before me appeared \_\_\_\_\_

who, being duly sworn, did execute the foregoing affidavit, and did state that (he/she) did so as (his/her) free act and deed.

Notary Public  
Commission Expires \_\_\_\_\_

**ALASKA UNIFIED CERTIFICATION PROGRAM**  
**(AUCP)**  
 Guidelines Concerning Marital Assets  
 for  
 Disadvantaged Business Enterprises (DBE) Applicants

*When jointly owned or community property assets were used to acquire the ownership of the business: The Alaska Department of Transportation & Public Facilities (ADOT&PF) Civil Rights Office is mandated by:*

49 CFR Part 26.69 (I) (1) and (2), state:

- (1) When marital assets (other than the assets of the business in question), held jointly or as community property by both spouses, are used to acquire the ownership interest asserted by one spouse, you must deem the ownership interest in the firm to have been acquired by that spouse with his or her own individual resources, provided that the other spouse irrevocably renounces and transfers all rights in the ownership interest in the manner sanctioned by the laws of the state in which either spouse or the firm is domiciled. You do not count a greater portion of joint or community property assets toward ownership than state law would recognize as belonging to the socially and economically disadvantaged owner of the applicant firm.
- (2) A copy of the document legally transferring and renouncing the other Spouse's right in the jointly owned or community assets used to acquire an ownership interest in the firm must be included as part of the firm's application for certification.

You may want to get the advice of an attorney or other business professional for assistance regarding this requirement - if it pertains to your situation. Please contact this office if you have any questions @ (907) 269-0851 or 1-800- 770-6236 *within Alaska.*

April 2015

**SPOUSAL RENUNCIATION OF RIGHTS AFFIDAVIT**

My name is (Spouse of DBE owner): \_\_\_\_\_.

My spouse \_\_\_\_\_ owns and controls:  
 \_\_\_\_\_ (the "DBE Firm").

I hereby irrevocably deny *and/or* renounce any and all present managerial or financial involvement *and/or* ownership interest in the DBE Firm.

Should I become in any way involved in the operation or ownership of the DBE Firm, I shall notify the *State of Alaska, Department of Transportation & Public Facilities, Civil Rights Office* immediately.

I have not signed this Affidavit through any coercion, fraud or duress.

I realize that this document may be used in any court proceeding.

\_\_\_\_\_  
 Print Name Signature

\_\_\_\_\_  
 Mailing Address Daytime Telephone (include area code)

\_\_\_\_\_  
 City, State, Zip Code Date

Notary Certificate	
State of _____	
County of _____	
Subscribed and sworn to before me this ____ day of _____, 200__	
Signature of Notary Public	Printed or typed name of Notary Public
County of residence	Date Commission expires

(SEAL)

April 2015

**Alaska Unified Certification Program Interstate Certification Process  
Disadvantaged Business Enterprise (DBE)  
Airport Concession Disadvantaged Business Enterprise (ACDBE)  
Effective January 1, 2012**

The Alaska Unified Certification Program (AUCP) will consider all firms seeking DBE Certification in Alaska if the applicant's firm is currently certified in their home state. Certification is dependent on a review of the current home state certification in accordance with Federal regulations 49 CFR 26.85.

If interested in DBE Certification, the following will apply:

1. Your firm must have a current valid certification from your home state UCP.
2. You must provide to Alaska UCP a complete copy of the application form, all supporting documents, and any other information you have submitted to your home state UCP or any other state related to your firm's certification. This includes affidavits of no change (*see* §26.83(j)) and any notices of changes (*see* §26.83(i)) that you have submitted to your home state UCP, as well as any correspondence you have had with your home state's UCP or any other recipient concerning your application or status as a DBE firm.
3. You must also provide to Alaska UCP any notices or correspondence from states other than your home state UCP relating to your status as an applicant or certified DBE in those states.
4. If you have been denied certification or decertified in any states including your home state UCP, please provide all documentations concerning any actions to Alaska UCP.
5. If you have filed a certification appeal with DOT (*see* §26.89), you must inform Alaska UCP of the fact and provide your letter of appeal and DOT's response to Alaska UCP.
6. This affidavit must affirm that you have submitted an identical copy of all information submitted to your home state UCP and any other states correspondence related to your firm's certification according to §26.85(c).

April 2015

**ALASKA UNIFIED CERTIFICATION  
PROGRAM (AUCP)**

*NAICS Codes*

The Alaska Unified Certification Program implemented the 2007 North American Industry Classification System (NAICS) to better identify and explain the type of work or service that your business performs. Please indicate, in order of importance, the primary and all appropriate NAICS code(s) that best describes your business. For a complete list of NAICS codes, please go to the U.S. Small Business Administration (SBA) web site at:

*<http://www.sba.gov/size/indexable/size.html>*

<u>NAICS Code</u>	<u>Description of Work/Service</u>
Primary _____	_____
Second _____	_____
Third _____	_____
Fourth _____	_____
Fifth _____	_____

April 2015





U.S. Department of Transportation

**Personal Net Worth Statement  
For DBE/ACDBE Program Eligibility**  
As of \_\_\_\_\_

OMB APPROVAL NO:  
EXPIRATION DATE:

This form is used by all participants in the U.S. Department of Transportation's Disadvantaged Business Enterprise (DBE) Programs. Each individual owner of a firm applying to participate as a DBE or ACDBE, whose ownership and control are relied upon for DBE certification must complete this form. Each person signing this form authorizes the Unified Certification Program (UCP) recipient to make inquiries as necessary to verify the accuracy of the statements made. The agency you apply to will use the information provided to determine whether an owner is economically disadvantaged as defined in the DBE program regulations 49 C.F.R. Parts 23 and 26. Return form to appropriate UCP certifying member, not U.S. DOT.

Name	Business Phone
Residence Address (As reported to the IRS) City, State and Zip Code	Residence Phone
Business Name of Applicant Firm	
Spouse's Full Name (Marital Status: Single, Married, Divorced, Union)	

ASSETS (Omit Cents)		LIABILITIES (Omit Cents)	
Cash and Cash Equivalents	\$	Loan on Life Insurance (Complete Section 5)	\$
Retirement Accounts (IRAs, 401Ks, 403Bs, Pensions, etc.) (Report full value minus tax and interest penalties that would apply if assets were distributed today) (Complete Section 3)	\$	Mortgages on Real Estate Excluding Primary Residence Debt (Complete Section 4)	\$
Brokerage, Investment Accounts	\$	Notes, Obligations on Personal Property (Complete Section 6)	\$
Assets Held in Trust	\$	Notes & Accounts Payable to Banks and Others (Complete Section 2)	\$
Loans to Shareholders & Other Receivables (Complete section 6)	\$	Other Liabilities (Complete Section 5)	\$
Real Estate Excluding Primary Residence (Complete Section 4)	\$	Unpaid Taxes (Complete Section 8)	\$
Life Insurance (Cash Surrender Value Only) (Complete Section 5)	\$		
Other Personal Property and Assets (Complete Section 6)	\$		
Business Interests Other Than the Applicant Firm (Complete Section 7)	\$		
<b>Total Assets</b>	<b>\$</b>	<b>Total Liabilities</b>	<b>\$</b>
<b>NET WORTH</b>			

**Section 2. Notes Payable to Banks and Others**

Name of Noteholder(s)	Original Balance	Current Balance	Payment Amount	Frequency (monthly, etc.)	How Secured or Endorsed Type of Collateral

**Section 3. Brokerage and custodial accounts, stocks, bonds, retirement accounts. (Full Value) (Use attachments if necessary).**

Name of Security / Brokerage Account / Retirement Account	Cost	Market Value Quotation/Exchange	Date of Quotation/Exchange	Total Value

**Section 4. Real Estate Owned (Including Primary Residence, Investment Properties, Personal Property Leased or Rented for Business Purposes, Farm Properties, or any Other Income Producing property). (List each parcel separately. Add additional sheets if necessary).**

	Primary Residence	Property B	Property C
Type of Property			
Address			
Date Acquired and Method of Acquisition (purchase, inherit, divorce, gift, etc.)			
Names on Deed			
Purchase Price			
Present Market Value			
Source of Market Valuation			
Name of all Mortgage Holders			
Mortgage Acc. # and balance (as of date of form)			
Equity line of credit balance			
Amount of Payment Per Month/Year (Specify)			

**Section 5. Life Insurance Held (Give face amount and cash surrender value of policies, name of insurance company and beneficiaries).**

Insurance Company	Face Value	Cash Surrender Amount	Beneficiaries	Loan on Policy Information

Section 6. Other Personal Property and Assets (Use attachments as necessary)				
Type of Property or Asset	Total Present Value	Amount of Liability (balance)	Is this asset insured?	Lien or Note amount and Terms of Payment
Automobiles and Vehicles (Including recreation vehicles, motorcycles, boats, etc.) Include personally owned vehicles that are leased or rented to businesses or other individuals.				
Household Goods / Jewelry				
Other (List)				
Accounts and Notes Receivables				
Section 7. Value of Other Business Investments, Other Businesses Owned (excluding applicant firm) Sole Proprietorships, General Partners, Joint Ventures, Limited Liability Companies, Closely-held and Public Traded Corporations				
Section 8. Other Liabilities and Unpaid Taxes (Describe)				
Section 9. Transfer of Assets: Have you within 2 years of this personal net worth statement, transferred assets to a spouse, domestic partner, relative, or entity in which you have an ownership or beneficial interest including a trust? Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, describe.				
I declare under penalty of perjury that the information provided in this personal net worth statement and supporting documents is complete, true and correct. I certify that no assets have been transferred to any beneficiary for less than fair market value in the last two years. I recognize that the information submitted in this application is for the purpose of inducing certification approval by a government agency. I understand that a government agency may, by means it deems appropriate, determine the accuracy and truth of the statements in the application and this personal net worth statement, and I authorize such agency to contact any entity named in the application or this personal financial statement, including the names banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm's eligibility. I acknowledge and agree that any misrepresentations in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded, denial or revocation of certification, suspension and debarment and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses.				
<b>NOTARY CERTIFICATE:</b> (Insert applicable state acknowledgment, affirmation, or oath)				
Signature (DBE/ACDBE Owner) _____ Date _____				
In collecting the information requested by this form, the Department of Transportation complies with Federal Freedom of Information and Privacy Act (5 U.S.C. 552a) provisions. The Privacy Act provides comprehensive protections for your personal information. This includes how information is collected, used, disclosed, stored, and disposed. Your information will not be disclosed to third parties without your consent. The information collected will be used solely to determine your firm's eligibility to participate in the Disadvantaged Business Enterprise (DBE) Program or Airport Concessions DBE Programs as defined in 49 C.F.R. Parts 23 and 26. You may review DOT's complete Privacy Act Statement in the Federal Register published on April 11, 2000 (65 FR 19477).				

U.S. DOT Personal net worth statement for DBE/ACDBE Program Eligibility • Page 3 of 5



**General Instructions for Completing the  
Personal Net Worth Statement  
for DBE/ACDBE Program Eligibility**

Please do not make adjustments to your figures pursuant to U.S. DOT regulations 49 C.F.R. Parts 23 and 26. The agency that you apply to will use the information provided on your completed Personal Net Worth (PNW) Statement to determine whether you meet the economic disadvantage requirements of 49 C.F.R. Parts 23 and 26. If there are discrepancies or questions regarding your form, it may be returned to you to correct and complete again.

An individual's personal net worth according to 49 C.F.R. Parts 23 and 26 includes only his or her own share of assets held separately, jointly, or as community property with the individual's spouse and excludes the following:

- Individual's ownership interest in the applicant firm;
- Individual's equity in his or her primary residence;
- Tax and interest penalties that would accrue if retirement savings or investments (e.g., pension plans, Individual Retirement Accounts, 401(k) accounts, etc.) were distributed at the present time.

Indicate on the form, if any items are jointly owned. If the personal net worth of the majority owner(s) of the firm exceeds \$1.32 million, as defined by 49 C.F.R. Parts 23 and 26, the firm is not eligible for DBE or ACDBE certification. If the personal net worth of the majority owner(s) exceeds the \$1.32 million cap at any time after your firm is certified, the firm is no longer eligible for certification. Should that occur, it is your responsibility to contact your certifying agency in writing to advise that your firm no longer qualifies as a DBE or ACDBE. You must fill out all line items on the Personal Net Worth Statement.

If necessary, use additional sheets of paper to report all information and details. If you have any questions about completing this form, please contact one of the UCP certifying agencies.

**Assets**

All assets must be reported at their current fair market values as of the date of your statement. *Assessor's assessed value for real estate, for example, is not acceptable.* Assets held in a trust should be included.

**Cash and Cash Equivalents:** On page 1, enter the total amount of cash or cash equivalents in bank accounts, including checking, savings, money market, certificates of deposit held domestic or foreign. Provide copies of the bank statement.

**Retirement Accounts, IRA, 401Ks, 403Bs, Pensions:** On page 1, enter the full value minus tax and interest penalties that would apply if assets were distributed as of the date of the form. Describe the number of shares, name of securities, cost market value, date of quotation, and total value in section 3 on page 2.

**Brokerage and Custodial Accounts, Stocks, Bonds, Retirement Accounts:** Report total value on page 1, and on page 2, section 3, enter the name of the security, brokerage account, retirement account, etc.; the cost; market value of the asset; the date of quotation; and total value as of the date of the PNW statement.

**Assets Held in Trust:** Enter the total value of the assets held in trust on page 1, and provide the names of beneficiaries and trustees, and other information in Section 6 on page 3.

**Loans to Shareholders and Other Receivables not listed:** Enter amounts loaned to you from your firm, from any other business entity in which you hold an ownership interest, and other receivables not listed above. Complete Section 6 on page 3.

**Real Estate:** The total value of real estate excluding your primary residence should be listed on page 1. In section 4 on page 2, please list your primary residence in column 1, including the address, method of acquisition, date of acquired, names of deed, purchase price, present fair market value, source of market valuation, names of all mortgage holders, mortgage account number and balance, equity line of credit balance, and amount of payment. List this information for all real estate held. Please ensure that this section contains all real estate owned, including rental properties, vacation properties, commercial properties, personal property leased or rented for business purposes, farm properties and any other income producing properties, etc. Attach additional sheets if needed.

**Life Insurance:** On page 1, enter the cash surrender value of this asset. In section 5 on page 2, enter the name of the insurance company, the face value of the policy, cash surrender value, beneficiary names, and loans on the policy.

**Other Personal Property and Assets:** Enter the total value of personal property and assets you own on page 1. Personal property includes motor vehicles, boats, trailers, jewelry, furniture, household goods, collectibles, clothing, and personally owned vehicles that are leased or rented to businesses or other individuals. In section 6 on page 3, list these assets and enter the present value, the balance of any liabilities, whether the asset is insured, and lien or note information and terms of payments. For accounts and notes receivable, enter the total value of all monies owed to you personally, if any. This should include shareholder loans to the applicant firm, if those exist. If the asset is insured, you may be asked to provide a copy of any liens or notes on the property.

**Other Business Interests Other than Applicant Firm:** On page 1, enter the total value of your other business investments (excluding the applicant firm). In section 7 on page 3, enter information concerning the businesses you



**ALASKA  
Personal Net Worth Statement Affidavit Addendum  
For DBE/ACDBE Program Eligibility**

I declare under penalty of perjury that the information provided in this personal net worth statement and supporting documents is complete, true and correct. I certify that no assets have been transferred to any beneficiary for less than fair market value in the last two years. I recognize that the information submitted in this application is for the purpose of inducing certification approval by the Alaska Department of Transportation and Public Facilities, Civil Rights Office. I understand that the Alaska Department of Transportation and Public Facilities, Civil Rights Office may, by means it deems appropriate, determine the accuracy and truth of the statements in the application and this personal net worth statement, and I authorize Alaska Department of Transportation and Public Facilities, Civil Rights Office to contact any entity named in the application or this personal financial statement, including the names of banking institutions, credit agencies, contractors, clients and other certifying agencies for the purpose of verifying the information supplied and determining the named firms' eligibility. I acknowledge and agree that any misrepresentation in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded; denial or revocation of certification, suspension and debarment; and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses.

Please note that the Alaska Department of Transportation and Public Facilities, Civil Rights Office, is required to report to the Department of Transportation any false, fraudulent, or dishonest conduct in connection with the program, so that DOT can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the DOT Office of Inspector General, action under suspension and debarment of Program Fraud and Civil Penalties rules) provided in §26.107. The Alaska Department of Transportation and Public Facilities, Civil Rights Office, will consider similar action under our own legal authorities, including responsibility determinations in future contracts.

Name of Applicant Firm: \_\_\_\_\_

Signature (DBE/ACDBE Owner)	Date
Notary Public (SEAL)	On this ____ of _____, _____
	before me appeared _____
	who, being duly sworn, did execute the foregoing affidavit, and did state that (he/she) did so as (his/her) free act and deed.
Notary Public	Commission Expires _____

November 2014

**ALASKA  
Personal Net Worth Statement Affidavit Addendum  
For DBE/ACDBE Program Eligibility**

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Please note that the Alaska Department of Transportation and Public Facilities, Civil Rights Office, is required to report to the Department of Transportation any false, fraudulent, or dishonest conduct in connection with the program, so that DOT can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the DOT Office of Inspector General, action under suspension and debarment of Program Fraud and Civil Penalties rules) provided in §26.107. The Alaska Department of Transportation and Public Facilities, Civil Rights Office, will consider similar action under our own legal authorities, including responsibility determinations in future contracts.

Name of Applicant Firm: \_\_\_\_\_

Signature (DBE/ACDBE Owner)	Date
Notary Public (SEAL)	On this ____ of _____, _____
	before me appeared _____
	who, being duly sworn, did execute the foregoing affidavit, and did state that (he/she) did so as (his/her) free act and deed.
Notary Public	Commission Expires _____

April 2015

## AKDOT&PF-85 DBE Plan Attachment 3-2

### CURRENT BUSINESS INFORMATION

FIRM NAME \_\_\_\_\_

PHYSICAL ADDRESS \_\_\_\_\_  
 \_\_\_\_\_

MAILING ADDRESS \_\_\_\_\_  
 \_\_\_\_\_

BUSINESS PHONE \_\_\_\_\_ FAX \_\_\_\_\_ CELL \_\_\_\_\_

BUSINESS EMAIL ADDRESS \_\_\_\_\_

BUSINESS WEBSITE ADDRESS \_\_\_\_\_

BUSINESS CONTACT PERSON \_\_\_\_\_

HAS THE OWNERSHIP OF YOUR BUSINESS CHANGED?  YES  NO  
 (If so, please provide supporting documentation)

HAS THE BUSINESS STRUCTURE CHANGED? (i.e., Changed from a Sole Proprietor to a LLC)  YES  NO (If so, please provide supporting documentation)

HAS THE MANAGEMENT OF YOUR BUSINESS CHANGED?  YES  NO  
 (If so, please provide supporting documentation)

EMPLOYER IDENTIFICATION NUMBER (EIN) \_\_\_\_\_

DO YOU WISH TO BE A GOOD FAITH EFFORT CONTACT?  YES  NO

Please note that your firm will continue to be listed as a certified DBE in the DBE Directory whether you check "Yes" or "No" to this question. If you check "Yes", prime contractors will be required to solicit your firm for bids. If you check "No", prime contractors are not required to solicit your firm for bids and it becomes your responsibility to contact prime contractors on the projects you wish to bid. Prime contractors must consider all bids submitted by DBE firms.

WHICH AREA OF THE STATE DO YOU WISH TO PROVIDE YOUR SERVICES?

Northern Region  Central Region  Southeast Region

WHAT IS YOUR FIRM'S BONDING LIMIT? \_\_\_\_\_  
 (Please provide supporting documentation)

\_\_\_\_\_  
 Signature of Business Owner

\_\_\_\_\_  
 Date

April 2015

DESCRIBE THE CHANGES TO YOUR BUSINESS OWNERSHIP:

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

DESCRIBE THE CHANGES TO YOUR BUSINESS STRUCTURE:

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

DESCRIBE THE CHANGES TO YOUR BUSINESS MANAGEMENT:

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

April 2015

**STATE OF ALASKA  
UNIFIED CERTIFICATION PROGRAM  
DISADVANTAGED BUSINESS ENTERPRISE (DBE)  
CERTIFICATION VALIDATION INTERVIEW**

\_\_\_\_\_  
DATE AND TIME OF INTERVIEW

GENERAL BUSINESS INFORMATION

NAME OF BUSINESS \_\_\_\_\_  
 STREET ADDRESS \_\_\_\_\_  
 MAILING ADDRESS \_\_\_\_\_  
 BUSINESS CONTACT \_\_\_\_\_  
 BUSINESS PHONE ( ) \_\_\_\_\_ FAX ( ) \_\_\_\_\_ CELL \_\_\_\_\_  
 EMAIL \_\_\_\_\_ WEB ADDRESS \_\_\_\_\_  
 OFFICE SPACE (sq.ft.) \_\_\_\_\_ WAREHOUSE \_\_\_\_\_ STORAGE YARD \_\_\_\_\_  
 INTERVIEW: ONSITE? \_\_\_\_\_ TELEPHONE? \_\_\_\_\_

PARTICIPANTS AT THE INTERVIEW

NAME	TITLE	OWNER?
_____	_____	_____
_____	_____	_____
_____	_____	_____

SMALL BUSINESS ADMINISTRATION 8(a) CERTIFIED? \_\_\_\_\_ OR SDB CERTIFIED? \_\_\_\_\_  
 DATE OF CERTIFICATION \_\_\_\_\_

CERTIFIED WITH OTHER STATES/AGENCIES? \_\_\_\_\_  
 (BUSINESS ALREADY CERTIFIED IN THEIR HOME STATE AND IN OTHER STATES)

BUSINESS TYPE, SIZE, AND STRUCTURE

DATE BUSINESS ESTABLISHED \_\_\_\_\_ FOUNDER(S) \_\_\_\_\_

PRIMARY LINE OF BUSINESS AS DESCRIBED ON THE APPLICATION \_\_\_\_\_  
 \_\_\_\_\_

INITIAL CASH CONTRIBUTION(S)

CONTRIBUTOR	AMOUNT	DATE CONTRIBUTED
_____	_____	_____
_____	_____	_____

INITIAL EQUIPMENT CONTRIBUTION(S)

CONTRIBUTOR	TYPE OF EQUIPMENT	DATE CONTRIBUTED
_____	_____	_____
_____	_____	_____

LICENSE INFORMATION

NUMBER	TYPE/LICENSE	EXPIRATION DATE	LOB
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

ADDITIONAL NOTES:

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

**GROSS RECEIPTS**

TAX YEAR \_\_\_\_\_ GROSS RECEIPTS PER TAX FORM \_\_\_\_\_

TAX YEAR \_\_\_\_\_ GROSS RECEIPTS PER TAX FORM \_\_\_\_\_

TAX YEAR \_\_\_\_\_ GROSS RECEIPTS PER TAX FORM \_\_\_\_\_

NOTARIZED PERSONAL NET WORTH (PNW) PROVIDED BY DISADVANTAGED OWNER(S)? \_\_\_\_\_

**TYPE OF ORGANIZATIONAL STRUCTURE**

SOLE PROPRIETOR \_\_\_\_\_ PARTNERSHIP \_\_\_\_\_ CORPORATION \_\_\_\_\_ LLC \_\_\_\_\_

\_\_\_\_\_ ARTICLES OF INCORPORATION \_\_\_\_\_ PARTNERSHIP AGREEMENT

\_\_\_\_\_ ARTICLES OF ORGANIZATION \_\_\_\_\_ OPERATING AGREEMENT

\_\_\_\_\_ BY LAWS \_\_\_\_\_ ORGANIZATION CHART

\_\_\_\_\_ SHAREHOLDERS' AGREEMENTS \_\_\_\_\_ EMPLOYMNET AGREEMENT

\_\_\_\_\_ STOCK CERTIFICATES \_\_\_\_\_ STOCK LEDGER

\_\_\_\_\_ MINUTES OF ORGANIZATIONAL MEETING / BOARD OF DIRECTORS MEETINGS

**CORPORATE OFFICERS**

TITLE	NAME	SEX/RACE	DIRECTOR?
-------	------	----------	-----------

PRESIDENT \_\_\_\_\_

VICE PRESIDENT \_\_\_\_\_

SECRETARY \_\_\_\_\_

TREASURER \_\_\_\_\_

OTHER \_\_\_\_\_

HOW OFTEN DOES THE BOARD OF DIRECTORS MEET? \_\_\_\_\_

ETHNIC/GENDER TYPE OF DOCUMENT(S) PROVIDED: \_\_\_\_\_

**OWNERSHIP**

NAME OF OWNER	SEX/RACE	OWNERSHIP%
---------------	----------	------------

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

WAS OWNERSHIP IN THE BUSINESS ACQUIRED USING JOINTLY OWNED OR COMMUNITY PROPERTY ASSETS? \_\_\_\_\_  
IF YES: PLEASE EXPLAIN:

\_\_\_\_\_

\_\_\_\_\_

HAVE THERE BEEN ANY CHANGES IN OWNERSHIP SINCE THE BUSINESS WAS ESTABLISHED? \_\_\_\_\_ IF YES, PLEASE EXPLAIN:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

DOES ANY OWNER, OR THEIR SPOUSE, CURRENTLY OWN A SIMILAR BUSINESS? \_\_\_\_\_  
IF YES:

OWNER/SPOUSE NAME \_\_\_\_\_ BUSINESS INFORMATION \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

DOES ANY OWNER(S) CURRENTLY WORK FOR ANY OTHER BUSINESS? \_\_\_\_\_

IF YES:	OTHER COMPANY	POSITION	HOURS PER WEEK
---------	---------------	----------	----------------

NAME

\_\_\_\_\_

\_\_\_\_\_

**EXPERIENCE/EXPERTISE OF EACH OWNER / KEY PERSONNEL**

NAME \_\_\_\_\_ RESUME PROVIDED? \_\_\_\_\_  
NAME \_\_\_\_\_ RESUME PROVIDED? \_\_\_\_\_  
NAME \_\_\_\_\_ RESUME PROVIDED? \_\_\_\_\_  
NAME \_\_\_\_\_ RESUME PROVIDED? \_\_\_\_\_

\*\*\*APPENDIX A & B FOR EACH OWNER & KEY PERSONNEL\*\*\*

**FINANCIAL**

NAME OF BANK	ACCOUNT TYPE	NAME OF SIGNATOR(S)
_____	_____	_____
_____	_____	_____

\_\_\_\_\_

NUMBER OF SIGNATURES NEEDED ON PAYROLL OR OTHER CHECK: \_\_\_\_\_

WHO IS AUTHORIZED TO SIGN CHECKS? \_\_\_\_\_

WHO IS THE IN-HOUSE BOOKKEEPER? \_\_\_\_\_

WHO IS THE ACCOUNTANT? \_\_\_\_\_

DOES THE BUSINESS HAVE A LINE OF CREDIT AT A LENDING INSTITUTION? \_\_\_\_\_

IF YES:

INSTITUTION \_\_\_\_\_ AMOUNT \_\_\_\_\_

IS THE BUSINESS BONDED? \_\_\_\_\_ IF YES: NAME OF BONDING COMPANY \_\_\_\_\_

LIMIT PER PROJECT \_\_\_\_\_ AGGREGATE AMOUNT \_\_\_\_\_

**ADDITIONAL NOTES:**

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

**OPERATIONAL BACKGROUND**

HOW LONG HAS YOUR BUSINESS BEEN AT THE PRESENT LOCATION? \_\_\_\_\_

IS OFFICE OR BUILDING OWNED? \_\_\_\_\_ LEASED? \_\_\_\_\_

WHO HOLDS MORTGAGE IF BEING PURCHASED? \_\_\_\_\_

IF LEASED, WHO IS LANDLORD? \_\_\_\_\_

DO ANY OTHER BUSINESSES SHARE THIS ADDRESS OR FACILITY? \_\_\_\_\_

IF YES, EXPLAIN:

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

DOES BUSINESS OWN/LEASE A WAREHOUSE OR EQUIPMNET YARD? \_\_\_\_\_

IF YES:

WHAT IS THE ADDRESS OF WAREHOUSE OR EQUIPMENT YARD?

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

WHERE IS EQUIPMENT LOCATED? \_\_\_\_\_

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

WHAT SPECIALITY SUPPLIES AND EQUIPMENT DO YOU USE IN YOUR BUSINESS?

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

DOES YOUR BUSINESS SHARE RESOURCES WITH ANY OTHER BUSINESS? (EMPLOYEES, EQUIPMENT, OFFICE SPACE, SHOP, EQUIPMENT YARD) \_\_\_\_\_

IF YES, PLEASE EXPLAIN:

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

IS EQUIPMENT INSURED? \_\_\_\_\_ IF YES, COMPANY? \_\_\_\_\_

DOES THE BUSINESS HAVE ACCOUNTS WITH EQUIPMENT RENTAL BUSINESS? \_\_\_\_\_

IF YES WHO?

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



**PERSONNEL**

HOW MANY FULL TIME EMPLOYEES WORK FOR THE BUSINESS? \_\_\_\_\_

HOW MANY PART TIME EMPLOYEES WORK FOR THE BUSINESS? \_\_\_\_\_

TYPES OF EMPLOYEES \_\_\_\_\_

**MANAGEMENT**

WHO SETS BUSINESS POLICY? \_\_\_\_\_

WHO MAKES FINANCIAL DECISIONS (SETTING SALARY, CUTTING COSTS, ETC.)?  
\_\_\_\_\_

WHO HIRES/FIRES EMPLOYEES? \_\_\_\_\_

WHO PREPARES ESTIMATES? \_\_\_\_\_

WHO SIGNS CONTRACTS? \_\_\_\_\_

WHO DECIDES ON EQUIPMENT PURCHASES? \_\_\_\_\_

WHO IS AUTHORIZED TO MAKE LOANS FOR THE BUSINESS? \_\_\_\_\_

WHO SIGNS LOAN AGREEMENTS? \_\_\_\_\_

WHO SUPERVISES OFFICE OPERATIONS? \_\_\_\_\_

WHO SUPERVISES FIELD OPERATIONS? \_\_\_\_\_

**ADDITIONAL NOTES:**

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

**DESCRIBE THE DUTIES / RESPONSIBILITIES OF THE MINORITY/FEMALE OWNER:**

NAME \_\_\_\_\_ TITLE \_\_\_\_\_

HOURS PER WEEK (with applicant business) \_\_\_\_\_

OTHER BUSINESS: \_\_\_\_\_ JOB TITLE (other business) \_\_\_\_\_

HOURS PER WEEK (other business) \_\_\_\_\_

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

**DESCRIBE THE DUTIES / RESPONSIBILITIES OF THE MINORITY/FEMALE OWNER:**

NAME \_\_\_\_\_ TITLE \_\_\_\_\_

HOURS PER WEEK (with applicant business) \_\_\_\_\_

OTHER BUSINESS: \_\_\_\_\_ JOB TITLE (other business) \_\_\_\_\_

HOURS PER WEEK (other business) \_\_\_\_\_

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

DESCRIBE THE DUTIES/RESPONSIBILITIES OF MANAGEMENT OR KEY PERSONNEL:

NAME \_\_\_\_\_ TITLE \_\_\_\_\_

HOURS PER WEEK (with applicant business) \_\_\_\_\_

OTHER BUSINESS: \_\_\_\_\_ JOB TITLE (other business) \_\_\_\_\_

HOURS PER WEEK (other business) \_\_\_\_\_

---

---

---

---

---

OPERATIONS

DO YOU MARKET YOUR BUSINESS? \_\_\_\_\_ IF YES, WHERE OR HOW?

---

DESCRIBE PAST EXPERIENCE THE BUSINESS HAS IN THIS TYPE OF WORK.  
(LIST PROJECTS)

---

---

---

WHAT CONTRACTS IS THE BUSINESS IN THE PROCESS OF PERFORMING?

PROJECT NAME	AMOUNT	WORK PERFORMED	COMPLETION DATE
--------------	--------	----------------	-----------------

---

---

---

DO YOU SUBCONTRACT ANY OF YOUR WORK? \_\_\_\_\_

IF YES TO WHOM:

---

---

WHAT IS THE NATURE OF THE SUBCONTRACTED WORK?

---

---

IS THE FIRM CAPABLE OF SELF-PERFORMING THE SUBCONTRACTED WORK?

---

---

IF YES, WHY DOES THE FIRM SUBCONTRACT THIS WORK OUT?

---

---

IF NO, WHY DOES THE FIRM BID ON WORK IT CANNOT PERFORM?

---

---

SUPPLIER INFORMATION

IS THE FRIM A SUPPLIER? \_\_\_\_\_ IF YES: INDICATE THE TYPE OF SUPPLIER:

REGULAR DEALER       MANUFACTURER       BROKER

INDICATE THE TYPES OF PRODUCTS SUPPLIED:

---

---

WHO ORDERS INVENTORY? \_\_\_\_\_

WHAT VENDORS ARE USED TO OBTAIN THE ITEMS YOU SUPPLY? \_\_\_\_\_

DOES BUSINESS MANUFACTURE ANY PRODUCTS? \_\_\_\_\_

IF YES WHICH PRODUCTS? \_\_\_\_\_

**IF ELIGIBLE FOR DBE STATUS: AREAS OF WORK**

CENTRAL \_\_\_\_\_ NORTHERN \_\_\_\_\_ SOUTHEAST \_\_\_\_\_ STATEWIDE \_\_\_\_\_

OUT OF STATE \_\_\_\_\_ (TYPICALLY, MARINE VESSEL WORK)

**IF ELIGIBLE FOR DBE STATUS: GFE**

(TO BE LISTED ON THE DBE DIRECTORY AS A **REQUIRED** "GOOD FAITH EFFORT" CONTACT FOR PRIMES SOLICITING BIDS?)

YES \_\_\_\_\_ NO \_\_\_\_\_

**CERTIFICATION VALIDATION INTERVIEW COMPLETED:**

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

BUSINESS OWNER(S) SIGNATURE: \_\_\_\_\_

CERTIFICATION OFFICER/SPECIALIST: \_\_\_\_\_

11

April 2015

State of Alaska  
Unified Certification Program

**CERTIFICATION REVIEW & ON-SITE**

Business Name: \_\_\_\_\_ Date/Time: \_\_\_\_\_

Location: \_\_\_\_\_

Phone: \_\_\_\_\_ Cell: \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_ Web Address: \_\_\_\_\_

Is Business Name Displayed? (Photos)  Yes  No \_\_\_\_\_

**PARTICIPANTS AT THE INTERVIEW**

NAME	TITLE	OWNER?

**OWNERSHIP INFORMATION**

Specify the majority owner of the firm that hold **MORE THAN 51% or ownership interest** in your firm.

Name of Owner	% Ownership Interest	Gender/Ethnicity*

\*Asian Pacific, Black, Hispanic, Native American, Subcontinent Asian, Other (Specify)

Identify all individuals, firms or holding companies that hold **LESS THAN 51% or more ownership interest** in your firm.

Name of Owner	Ownership Interest %	Gender/Ethnicity*

**BUSINESS TYPE, SIZE, AND STRUCTURE** (49CFR 26.65)

Type of Business Structure: (check all that apply):

- |  |  |
|--|--|
| <input type="checkbox"/> Sole Proprietorship           | <input type="checkbox"/> Limited Liability Partnership                     |
| <input type="checkbox"/> Partnership                   | <input type="checkbox"/> Corporation                                       |
| <input type="checkbox"/> Limited Liability Corporation | <input type="checkbox"/> Joint Venture (Identify all JV Partners 78 _____) |
| <input type="checkbox"/> ACDBE                         | <input type="checkbox"/> Other, Describe: _____                            |

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Have you applied for certification with any other agency? If you have, what was the result? \_\_\_\_\_

Have there been any changes to the business structure in the last 3 years? Are there any amendments or updated documents for the business? \_\_\_\_\_

Have you acquired ownership in any other business in the last 3 years? \_\_\_\_\_

What is the nature of the firm's business? \_\_\_\_\_

Has anything changed in the last three (3) years in your capacity or in the type of work performed? \_\_\_\_\_

**CONTROL (49 CFR 26.71)**

Who are the Officers of the company?

Title	Name	Gender/Ethnicity
President		
Vice President		
Treasurer		
Secretary		
Other: e.g. CEO, COO, CFO		

Chief Executive Officer (CEO), Chief Operation Officer (COO), Chief Financial Officer (CFO)

Who are the Board of Directors?

Title	Name	Gender/Ethnicity
Chairman/Chairperson		
And/or CEO, COO, CFO		

How often does the Board meet? \_\_\_\_\_

What constitutes a quorum to hold a meeting of the board? \_\_\_\_\_

How do you vote, (share or majority) to decide issues before the board? \_\_\_\_\_

Any changes in the last three (3) years? \_\_\_\_\_

Who does the hiring and firing of employees? When was the last time you hired or released an employee? \_\_\_\_\_

How many employees do you have?

Number of employees: Full-time \_\_\_\_\_ Part-time \_\_\_\_\_ Seasonal \_\_\_\_\_ Total: \_\_\_\_\_

(Please attach a list of employees, their job titles and dates of employment)

Explain how your past experiences enable you to run this business. \_\_\_\_\_

April 2015

Are there any licenses required in order for your firm to conduct business in your industry?  Yes  No  
If yes, please list all licenses required and indicate the name(s) of the owner(s) and/or employee(s) that holds all required Licenses.

Name	License Number	License Type	Expiration Date	LOB

What professional license is required for your business? \_\_\_\_\_

Does the disadvantaged owner(s) have experience and training in the field of the firm's primary business activity?  
 Yes  No If yes, specify: \_\_\_\_\_

What percentage of the work day do you spend on activities related to this business? \_\_\_\_\_

What are the day to day activities of the principal (shareholder, other partner(s), manager(s) or employees? \_\_\_\_\_

What is the role of the owner(s) in the business? \_\_\_\_\_

Any changes in the management of the company? New managers? New duties? \_\_\_\_\_

How is the management decisions made when you are not available? Example? \_\_\_\_\_

Do you have any airport contracts at this time? Where are they located? \_\_\_\_\_

**INDEPENDENCE (49 CFR 26.71)**

Does your firm contract with another firm exclusively or primarily?  Yes  No

Does your firm involved in any contractual agreements with firms that would prevent the firm from doing business with other firms?  Yes  No If yes, explain \_\_\_\_\_

**COMPANY INVENTORY**

**Equipment and Vehicles:** Has any new equipment and vehicles been purchased in the last 3 years? \_\_\_\_\_

**Office Space:** Does the firm own or lease its office space?  Own  Lease

Office space size/rooms: \_\_\_\_\_

Office Equipment:  Telephone  Fax  Computer  Copier  Answering Machine

Other: \_\_\_\_\_ Equipment identified with company logo? \_\_\_\_\_

Does the firm share office space with any other firms?  Yes  No If yes, Explain: \_\_\_\_\_

**Storage/warehouse Space:** Warehouse: \_\_\_\_\_ Storage Yard: \_\_\_\_\_

April 2015

**NAICS**

Review the DBE/ACDBE directory profile including NAICS code(s) and work categories, and brief. Firms and recipients must check carefully to make sure that the NAICS codes cited in a certification are kept up-to-date and accurately reflect work which the UCP has determined the firm's owners can control.

(For any revisions, leave the work category paperwork for DBE/ACDBE to return to the Civil Rights Office.)

**FINANCIAL** (49 CFR 26.71)

Number of signatures needed on payroll or other check: \_\_\_\_\_

Who is authorized to sign checks? \_\_\_\_\_

Who is the in-house bookkeeper? \_\_\_\_\_

Does the business have a line of credit at a lending institution? \_\_\_\_\_

If yes, institution: \_\_\_\_\_ Amount: \_\_\_\_\_

Is the business bonded? \_\_\_\_\_

If yes, Name of the bonding company \_\_\_\_\_

Limit per project: \_\_\_\_\_ Aggregate amount: \_\_\_\_\_

**Gross Receipts and Three Year Average:**

	Business A		Business B		Total
2011	\$ -		\$ -		
2012	\$ -		\$ -		
2013	\$ -		\$ -		
Total	\$ - + 3 =	\$ -	\$ - + 3 =	\$ -	\$ -

April 2015

**DBE/ACDBE CERTIFICATION REVIEW & ON-SITE**

I have represented my business at the on-site review conducted this date, and the statements I have given are true and correct to the best of my knowledge. I have been given the opportunity to make any changes that I believe to be necessary.

Business Owner Signature: \_\_\_\_\_ Date \_\_\_\_\_

Business Owner Signature: \_\_\_\_\_ Date \_\_\_\_\_

Certification Specialist/Officer Signature: \_\_\_\_\_ Date \_\_\_\_\_

April 2015



Firm Name \_\_\_\_\_ PrintForm

**WORK CATEGORY LIST**

**CONSTRUCTION**

- Aggregate Crushing
- Armor Mat
- Asphalt Paving – Bike Paths
- Asphalt Paving – Parking Lots/Patching/Crack Repair
- Asphalt Paving – Pavement Grooving
- Asphalt Paving – Roadways
- Asphalt Paving – Rotomilling
- Bridges – Painting/Sandblasting/Sealants
- Camp Facilities
- Campground/Roadside/Trail Appurtenances
- Carpentry – Finish
- Carpentry – Rough/Framing
- Clearing (Manual)
- Clearing/Grubbing (Mechanical)
- Concrete – Cast-in-Place
- Concrete – Curb/Gutter/Sidewalk
- Concrete – Cutting/Coring/Sawing
- Concrete – Finishing/Special Coatings
- Concrete – Foundations/Slabs
- Concrete – Masonry/Stonework
- Concrete – Paving
- Demolition of Structures
- Earthwork – Blasting
- Earthwork – Excavation & Embankment
- Earthwork – Site Work
- Electrical – Airport Lighting
- Electrical – Buildings
- Electrical – Highway Signals & Illumination
- Electrical – Overhead/Underground Power
- Erosion, Pollution, & Sediment Control
- Exterior Buildings – Painting/Sandblasting/Sealants
- Exterior Buildings – Roofing
- Fencing
- Flooring
- Glass/Glazing
- Guardrail
- Hazardous Material Removal/Remediation
- Hydroseeding
- Interior Finishing – Insulation
- Interior Finishing – Paint/Wallpaper/Tile
- Interior Finishing – Sheetrock/Drywall Installation
- Interior Finishing – Tape/Texture
- Landscaping
- Marine Docks
- Mechanical – HVAC
- Metal Buildings Erection
- Mobilization/Demobilization
- Piledriving
- Plumbing
- Rip Rap
- Standard Highway Signs (Permanent Installation)
- Steel Erection – Bridges
- Steel Erection – Buildings

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**CONSTRUCTION (continued)**

- Steel Reinforcement/Installation
- Surveying – Licensed
- Surveying – Unlicensed
- Telecommunications – Line Voltage
- Telecommunications – Low Voltage
- Traffic Maintenance
- Traffic Markings – Methyilmethacrylate
- Traffic Markings – Painted
- Traffic Markings – Thermoplastic
- Transportation – Aircraft
- Transportation – Barge
- Transportation – Truck (5% DBE credit)
- Transportation – Truck (100% DBE credit)
- Underground – Petroleum/Oil/Lubricant
- Underground – Sewer/Water Line Installation

**CONSULTANTS**

- Architect
- Business Services
- Civil Engineer
- Construction Administration – Office Engineering Services
- Construction Administration – Inspection Services
- Construction Administration – Materials Testing
- Cost Estimations
- Drafting & Reprographic Services
- Economic Analysis
- Electrical Engineer
- Environmental
- Geotechnical Engineer
- Graphics
- Hazardous Materials Investigation/Remediation
- Hazardous Materials Testing
- Interior Design
- Landscape Architect
- Landscape Planning & Design
- Maintenance Management Systems (Computerized)
- Mapping/Mechanical
- Engineer
- Permitting
- Photogrammetry
- Public Involvement
- Project Management/Administration
- ROW – Acquisition & Negotiation
- ROW – Appraiser
- SWPPP (Storm Water Pollution Prevention Plan)
- Transportation Planning

**OTHER**

- Non-Construction Consultant \_\_\_\_\_
- Non-Construction Contractor \_\_\_\_\_
- Non-Construction Supplier \_\_\_\_\_

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Firm Name \_\_\_\_\_

**WORK CATEGORY LIST**

**MARINE VESSELS**

- Cash Register Systems
- Commercial Equipment
- Communication Systems
- Computer Systems
- Deck Coverings
- Electrical Systems
- Elevators
- Fire Safety Systems
- Flooring
- Furnishings
- Hazardous Materials Removal/Remediation
- Hazardous Materials Testing
- Hydraulics
- Insulation
- Interior Design
- Joiner Systems
- Marine Engineer
- Mechanical Systems
- Naval Architect
- Painting
- Public Announcement Systems
- Refrigeration Equipment
- Special Coatings

**CONCESSIONS (continued)**

- News Dealers & News Stands
- Pay Telephones
- Personal Services
- Tobacco Stores & Stands
- Travel Agencies
- Vending Machines

**SUPPLIERS**

- Additives
- Aggregates
- Asphalt
- Barricades/Devices
- Coatings/Sealants
- Concrete - Precast
- Concrete – Ready Mix
- Corrugated Pipe/Accessories
- Doors/Windows
- Electrical
- Equipment Rental – Buildings/ATCO Units
- Equipment Rental – Heavy Equipment
- Equipment Rental – Light Duty Vehicles
- Erosion Control Materials - RipRap
- Erosion Control Materials – Armor Mat
- Explosives
- Fencing
- Geotextile Materials
- Guardrail
- Insulated Utility Pipe
- Insulation - Buildings
- Insulation - Roadways
- Insulation - Utilities
- Iron Products
- Jersey Barriers
- Landscaping
- Lumber
- Masonry
- Mechanical
- Metal Buildings
- Millwork
- Pavement Markings – Thermoplastic/Paint
- Plumbing
- Roofing
- Siding
- Signs – Permanent/Temporary
- Steel
- Telecommunications (Fiber Optics/Controls/Electronics)
- Timber/Beams/Logs
- Traffic Signals and Lighting

**CONCESSIONS**

- Advertising
- Apparel & Accessory Stores
- Automotive Parking Lots
- Automotive Rental Agencies
- Automotive Services
- Banks
- Barber Shops or Beauty Shops
- Book Stores
- Camera & Photographic Supply Stores
- Coin-Operated Lockers
- Drinking Places (Alcoholic Beverages)
- Drug & Proprietary Stores
- Eating Places
- Florists
- Food Stores
- General Merchandise Stores
- Gift, Novelty & Souvenir Shops
- Home Furniture, Furnishings & Equipment Stores
- Insurance Machines
- Jewelry Stores
- Liquor Stores
- Luggage Cart Rentals
- Luggage & Leather Goods Stores
- Miscellaneous Retail Stores

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**Attachment IV**

Prompt Payment Standard Modifications

1. Section 101 – Definitions and Terms
2. Section 108 – Prosecution and Progress
3. Section 109 – Measurement and Payment
4. Section 618 – Sceding

STANDARD MODIFICATION  
E 101

3/05/12

SECTION 101  
DEFINITIONS AND TERMS

101-1.03 DEFINITIONS.

*Insert the following definition after RESPONSIVE BID:*

**RETAINAGE.** A percentage of a payment established in advance under a contract or subcontract to be withheld from a progress payment due on the contract or subcontract. Payment or a percentage of payment withheld for unsatisfactory performance is not retainage.



CHANGE HIGHWAY SPECIFICATION

STANDARD MODIFICATION  
E 57

10/15/07

SECTION 108

PROSECUTION AND PROGRESS

108-1.01 SUBLETTING OF CONTRACT. Delete paragraph one and replace with the following:  
The Contractor shall submit a Contractor Self Certification for Subcontractors and Lower Tier Subcontractors, Form 25D-042, before the Contractor or any subcontractor sublets, sells, transfers, assigns, or otherwise disposes of the Contract or any portion of the Contract. The Department has authority to review subcontracts and to deny permission to sublet work. The Department may penalize the Contractor for false statements or omissions made in connection with Form 25D-042.

Delete paragraph four and replace with the following:

1. The Contractor shall ensure that for all subcontracts (agreements):

- a. The Department is furnished with one completed Contractor Self certification, Form 25D-042, for each subcontract;
- b. The subcontractors have submitted a Bidder Registration, Form 25D-6;
- c. The required prompt payment provisions of AS 36.90.210, as well as other items listed in Form 25D-042, are included in the subcontracts;
- d. The subcontractors pay current prevailing rate of wages as per Subsection 107-1.04 and file certified payrolls with the Engineer and DOLWD for all work performed on the project; and
- e. Upon receipt of a request for more information regarding subcontracts, the requested information is provided to the Department within 5 calendar days.

CHANGE AIRPORT SPECIFICATION

10/15/07

SECTION 80

PROSECUTION AND PROGRESS

80-01 SUBLETTING OF CONTRACT. Delete paragraph one and replace with the following:  
The Contractor shall submit a Contractor Self Certification for Subcontractors and Lower Tier Subcontractors, Form 25D-042, before the Contractor or any subcontractor sublets, sells, transfers, assigns, or otherwise disposes of the Contract or any portion of the Contract. The Department has authority to review subcontracts and to deny permission to sublet work. The Department may penalize the Contractor for false statements or omissions made in connection with Form 25D-042.

Delete paragraph four and replace with the following:

a. Submittals. The Contractor shall ensure that for all subcontracts (agreements):

- (1) The Department is furnished with one completed Contractor Self certification, Form 25D-042, for each subcontract;
- (2) The subcontractors have submitted a Bidder Registration, Form 25D-6;
- (3) The required prompt payment provisions of AS 36.90.210, as well as other items listed in Form 25D-042, are included in the subcontracts;
- (4) The subcontractors pay current prevailing rate of wages as per Subsection 107-1.04 and file certified payrolls with the Engineer and DOLWD for all work performed on the project; and
- (5) Upon receipt of a request for more information regarding subcontracts, the requested information is provided to the Department within 5 calendar days.

SECTION 109  
MEASUREMENT AND PAYMENT

Delete Subsection 109-1.06 in its entirety and replace with the following:

**109-1.06 PROGRESS PAYMENTS.** The Department will make monthly progress payments to the Contractor based on estimates of the value of work performed and materials on hand under Subsection 109-1.07. At the Department's discretion, a progress payment may be made twice monthly if the value of the estimate exceeds \$10,000.

Contractor's failure to pay subcontractors, or subcontractor's failure to pay lower tier subcontractors, according to prompt payment provisions required under Subsection 108-1.01 is considered unsatisfactory performance.

The Department will not withhold payment as retainage but may withhold payment for unsatisfactory performance. If satisfactory progress is being made and subcontractors are paid according to Subsection 108-1.01 and AS 36.90.210, the Engineer will authorize 100 percent payment for the estimated value of work accomplished, less any authorized deductions.

If the Engineer finds that satisfactory progress is not being made or payment for satisfactory work by a subcontractor or lower tier subcontractor is not paid according to Subsection 108-1.01, the Engineer may withhold up to 100 percent of the total amount earned from subsequent progress payments. The Engineer may withhold up to 200 percent of the estimated cost to complete final punch list items for unsatisfactory performance until those items are complete. The Engineer will notify the Contractor in writing within eight (8) working days of a request for a progress payment of the reasons why part or all of the payment is being withheld for unsatisfactory performance and what actions may be taken by the Contractor to receive full payment.

Payments of withheld amounts will be made in accordance with AS 36.90.200. No interest will be paid to the Contractor for amounts withheld for unsatisfactory performance except if the Department fails to pay the amount withheld within twenty one (21) calendar days after the Contractor satisfactorily completes the remedial actions identified by the Engineer, as provided in AS 36.90.200(e).

The Contractor shall pay interest on retainage withheld from subcontractors, and at an interest rate according to AS 36.90.250 and AS 45.45.010(a).

SECTION 618  
SEEDING

**618-3.01 SOIL PREPARATION.** *Delete the fourth paragraph and replace with the following:* Roughen the surface to be seeded by grooving the soil in a uniform pattern that is perpendicular to the fall of the slope. Use one or more of the following grooving methods prior to the application of seed:

1. Manual raking with landscaping rakes;
2. Mechanical track walking with track equipment; or
3. Mechanical raking with a scarifying slope board. Form one inch wide grooves spaced no more than six inches apart.

You may round the top and bottom of slopes to facilitate tracking or raking and to create a pleasant appearance, but you may not disrupt drainage flow lines.

**618-3.02 SEEDING SEASONS.** *Add the following:* Seed disturbed areas that require seeding within fourteen days of the permanent cessation of ground-disturbing activities in that area.

Seed between May 15 and August 15, or obtain written approval from the Engineer to seed at a different date.

**618-3.03 APPLICATION.** *Delete first three sentences and replace with:* Apply seed mix, fertilizer, and mulch (if required) at the rate specified in the Special Provisions. If no seed mix, seed mix application rate, or fertilizer rate are specified in the special provisions, use the recommendations of the Alaska Department of Natural Resources (ADNR) and the Revegetation Manual for Alaska.

Do not seed areas of bedrock, plant beds, and areas indicated on the plans as "no seeding".

Water and fertilizer required for application are subsidiary to the Seeding bid item.

*Delete Subsection 618-3.04 in its entirety, and add the following new subsections:*

**618-3.04 MAINTENANCE AND WATERING.** Protect seeded areas against traffic by approved warning signs or barricades. Repair surfaces gullied or otherwise damaged following seeding. Maintain seeded areas in a satisfactory condition until final acceptance of work.

Water and maintain seeded areas. Water applied by this Subsection is a paid contract item, if, in the opinion of the Engineer, too much water is being applied, reduce amount of water as directed.

Reseed areas not showing evidence of satisfactory growth within 3 weeks of seeding. Bare patches of soil more than 10 square feet in area must be reseeded. Erosion gullies over 4 inches deep must be filled and reseeded. Fill the entire erosion gully to surrounding grade, even the portions less than 4 inch deep.

Contact ADNR for advice or corrective measures, when seeded areas are not showing evidence of satisfactory growth. You are responsible for retracking, reseeding, refertilizing and remulching areas that do not show satisfactory growth, and those actions are subsidiary.

**618-3.05 ACCEPTANCE.** *The Engineer will perform a visual inspection of seeding to determine final stabilization.* During the visual inspection each station and each side of the road will be considered a separate area. The Engineer will accept seeding that has become a vegetative mat with 70% cover density in the inspection area.

Reseed areas that are not acceptable to the Engineer.

**618-3.06 PERIOD OF ESTABLISHMENT.**

Establishment periods extend for one complete growing season following acceptable seeding. Employ all possible means to preserve the new vegetative matt in a healthy and vigorous condition to ensure successful establishment. Reseed areas that do not meet the specifications. Watering and reseeding after the final inspection are subsidiary.

The Engineer may, but is not required to, determine the Project is complete except for the period of establishment, and issue a letter of final acceptance. After final acceptance, work or materials due under this subsection during any remaining period of establishment are considered warranty obligations that continue to be due following final acceptance in accordance with Subsection 105-1.16.

**618-4.01 METHOD OF MEASUREMENT.**

After Seeding by the Pound, delete text and replace with: By the weight of dry seed acceptably seeded and maintained.

**618-5.01 BASIS OF PAYMENT.** Delete paragraphs beginning: "Seeding by the Acre" and "Seeding by the Pound" and replace with:

Seeding by the Acre. Payment is for established vegetative matt. Soil preparation, fertilizer, and water required for hydraulic method are subsidiary.

Seeding by the Pound. Payment is for established vegetative matt. Soil preparation, fertilizer, and water required for hydraulic method are subsidiary.

Add new pay description:

Water for Seeding. Water applied for growth of vegetative matt. Water for hydraulic seeding, fertilizing or mulching is subsidiary. Water after project completion is subsidiary.

**Attachment V**

Section 120 Specification

Plan Holder Self Registration List Guide

Good Faith Effort SOP

Project Goal Setting

Form 25A-336 – Prompt Payment & Instructions

Form 25D-6 – Bidder Registration

Form 25A-298 Commercially Useful Function (CUF) Monitoring Report

STANDARD MODIFICATION  
E 114 REPLACES SPECIAL PROVISION S 97

05/01/15

Add the following:

SECTION 120  
DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM

**120-1.01 DESCRIPTION.** The work consists of providing Disadvantaged Business Enterprises (DBEs), as defined in Title 49 CFR Part 26, the opportunity to participate fairly with other contractors in the performance of contracts financed with federal funds. The Contractor and subcontractors shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The Contractor will carry out applicable requirements of 49 CFR Part 26 in the award and administration of U.S. DOT assisted contracts.

**120-1.02 INTERPRETATION.** This section implements the requirements of 49 CFR Part 26, and the Department's federally approved DBE Program.

**120-1.03 ESSENTIAL CONTRACT PROVISION.** Failure to comply with the provisions of this section is a material breach of contract, which may result in contract termination or other remedy as DOT&PF deems appropriate. Failure to comply with this section is justification for debarment action as provided in AS 36.30.640(4).

**120-1.04 DEFINITIONS AND TERMS.**

1. **Administrative Reconsideration.** A process by which the low bidder may request reconsideration when the Department determines the Good Faith Effort (GFE) requirements have not been met.
2. **Broker.** A certified DBE for the delivery of creditable materials, supplies, equipment, transportation/hauling, insurance, bonding, etc., within its certified category, that is necessary to complete the project. A broker of materials certified in a supply category must be responsible for scheduling the delivery of materials and ensuring that the materials meet specifications before credit will be given.
3. **Civil Rights Office.** The Department's Civil Rights Office. (CRO)
4. **Commercially Useful Function.** 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. 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 material, and installing (where applicable) and paying for the material itself.
5. **Contract Compliance Officer.** Individual within the CRO with the authority to administer the Department's compliance programs.
6. **Disadvantage Business Enterprise.** A Disadvantaged Business Enterprise (DBE) which is a for-profit small business concern that is certified in accordance with 49 CFR Part 26 and listed in the Alaska DBE Directory.
7. **DBE Key Employee.** Permanent employees identified by the DBE owner in its certification file in the CRO.
8. **DBE On-Site Representative.** On-site representatives approved by the DBE owner and the CRO to represent a DBE owner. These representatives have a technical knowledge and the ability to answer questions regarding the work being performed on a project.
9. **DBE Utilization Goal.** The percent of work to be performed by certified DBEs. The goal is established by the Department and specified in the contract.

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10. **Manufacturer.** A DBE certified in a supply category that changes the shape, form, or composition of original material in some way. The DBE must provide that altered material to the general public or the construction industry at large on a regular basis.
11. **Plan Holder Self-Registration List (PHSRL).** The PHSRL is the CRO's online portal that allows contractors, DBEs and SBEs to self-register as an interested contractor to bid.
12. **Race Conscious Participation.** DBE participation used to meet a specified DBE Utilization Goal.
13. **Race Neutral Participation.** DBE participation that is in excess of the specified DBE Utilization Goal or participation that does not count towards this goal.
14. **Regular Dealer.** A DBE certified in a supply category who operates in a manner consistent with industry practice and who:
  - a. maintains an in-house inventory on a regular basis of the particular product provided to this project; and
  - b. keeps an inventory in an amount appropriate for the type of work using that product; and
  - c. offers that inventory for sale to the general public or construction industry at large (private and public sectors), not just supplied as needed on a project by project basis during the construction season, except where the product requires special or heavy equipment for delivery and the DBE possesses and operates this equipment on a regular basis throughout the construction season in order to deliver the product to the general public or construction industry at large. If the distribution equipment is rented or leased, it must be on a repetitive, seasonal basis; and may additionally fabricate (assemble large components) for use on a construction project, consistent with standard industry practice, for delivery to the project.
  - d. 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, 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.
15. **Small Business Enterprise (SBE).** The SBE Program is part of the federal Disadvantaged Business Enterprise (DBE) Program and is required by 49 Code of Federal Regulation Part 26.39. The intent of the SBE Program is to increase race-neutral DBE participation and small business utilization in general.

**120-2.01 MEETING THE DBE UTILIZATION GOAL.** A DBE's proposed work may be used to demonstrate the successful bidder's ability to meet the DBE Utilization Goal before Contract award. The DBE must be certified in a category covering the Commercially Useful Function to be performed at the time of listing on Form 25A-325C (DBE Utilization Report).

A bidder may meet the DBE Utilization Goal through:

- a. The participation of certified DBE firms. Mandatory and Voluntary Contacts and Interested DBE firms will be listed on the PHSRL.
- b. Documentation of required GFE (Subsection 120-3.01).
- c. A combination of participation and GFE to be eligible for contract award.

DBE participation on contingent sum items will count as race-neutral DBE Participation and not towards fulfilling a minimum DBE Utilization Goal.

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**120-3.01 DETERMINATION OF COMPLIANCE.**

1. **Phase I-Bid.** All DBE GFEs must be completed prior to bid opening.
2. **Phase II-Award.** The apparent low bidder shall submit evidence of DBE commitment(s) within five working days after receipt of written notification by the Department of the successful low bid. The apparent low bidder may not supplement its DBE efforts after opening, nor offer new or additional DBE participation after submitting the DBE Utilization Report (Form 25A-325C).
  - a. **Written DBE Commitment.** Complete Form 25A-326 for each DBE subcontractor.
  - b. **DBE Utilization Report.** Submit a completed DBE Utilization Report Form 25A-325C. All listed DBEs must be certified in the appropriate work categories prior to bid opening to be used to meet the DBE contract goal.
  - c. **GFE Documentation.** Submit a completed Summary of Good Faith Effort Documentation Form 25A-332A (with attachments) and Contact Report Form 25A-321A if the DBE Utilization Goal is not met on Form 25A-325C.

If the bidder cannot meet the DBE Utilization Goal, and cannot document the minimum required GFE (as specified below), the Contracting Officer will determine the bidder to be not responsible.

**120-3.02 GOOD FAITH EFFORT (GFE).**

1. If the apparent low bidder is unable to meet the DBE Utilization goal, that bidder must demonstrate, through detailed and comprehensive documentation, that GFE have been made to solicit, assist, and use DBE firms to meet the DBE Utilization goal prior to the bid. The bidder cannot change its bid proposal after submission

Failure to demonstrate good faith efforts to the satisfaction of Department will result in the rejection of the bid. Bidders are encouraged to review Appendix A of 49 CFR Part 26.

a. **Appendix A to 49 CFR Part 26.** To demonstrate successful GFE, the bidder must show that it took all necessary and reasonable steps to achieve a DBE goal which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if they were not fully successful. The efforts employed by the bidder should be those that one could reasonably expect a bidder to take if the bidder were actively and aggressively trying to obtain DBE participation sufficient to meet the DBE contract goal. Mere *pro forma* efforts are not GFE to meet the DBE contract requirements.

b. **Initial DBE Notification.** All DBEs that are interested and listed in the Department's Plan Holders Self-Registration List for the particular project being bid must be contacted at least seven calendar days prior to bid opening. If the bidder is not able to meet the DBE project goal by contacting DBEs listed in the Department's Plan Holder's Self-Registration List for the particular project being bid, then the bidder should also contact other DBE firms. Each contact with a DBE firm must be logged on a Contact Report, Form 25A-321A.

The bidder must give DBEs at least five calendar days to quote. The bidder may reject DBE quotes received after the deadline. Deadline for quote submission and responsiveness determinations for DBEs and non-DBEs must be consistently applied.

**Acceptable methods of DBE notifications are:**

- 1) By fax with a confirmation receipt of successful transmission to the DBE's fax number listed in the DBE Directory. A fax transmission without receipt of successful transmission is unsatisfactory.
- 2) By email with confirmation of successful receipt to the DBE's email address listed in the DBE Directory. Email without confirmation of successful receipt is unsatisfactory.

- 3) By telephone solicitation with a record of the date and time of the telephone call made to the DBE's telephone number listed in the DBE Directory. Telephone solicitation without a record of date and time is unsatisfactory.
- 4) By publication with the names and dates of each publication in which a request for DBE participation for this project was placed. The bidder is asked to attach copies of advertisements or proof of publication

**c. Assistance to DBEs.**

- 1) Bidders should make efforts to assist interested DBEs in obtaining bonding, lines of credit, insurance, and any technical assistance or information related to the plans, specifications and requirements for the work that was provided to DBEs.
- 2) Bidders should make efforts to assist interested DBEs in obtaining necessary equipment, supplies, material, and related assistance or services.
- 3) Bidders should provide 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 and assist with any questions asked by a DBE.

**d. Additional methods of DBE notification:**

- 1) Identify all potential work items, which are not part of the "primary work operation" and could potentially be subcontracted to DBEs. Select 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 to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces. For work types that are not conducive to subcontracting, consideration is to be given for materials manufacturing, supply, brokerage, and trucking opportunities.
- 2) Verify the Alaska Unified Certification Program (AUCP) Directory to identify all DBEs who perform the types of work which could be subcontracted, as well as the materials that could be manufactured, supplied, or provided via brokerage, and for trucking firms.
- 3) Solicit the above identified DBEs by "...all reasonable and available means ..." (e.g. attendance at pre-bid meetings, written correspondence, phone calls)" (49 CFR §26, Appendix A-IV.A). Second follow up attempts (if no initial response) by different medias of communication will be necessary to document and confirm DBE interest in participation.
- 4) Bidders should effectively use the services of available minority/women community organizations, 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. All outreach efforts (including participation at pre-bid meetings or industry-sponsored DBE targeted outreach meetings) can be documented as part of good faith efforts.
- 5) Soliciting through all reasonable and available means (e.g., attendance at pre-bid meetings ... solicitation letters, phone calls, email, and faxes) ... the interest of all certified DBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitation and document the results. Reasonable attempts by the bidder to solicit quotes from DBEs shall include the use of a least two different communication media to contact each DBE by at least two separate attempts.

- e. **Follow-up DBE Notifications.** If there is no response from the initial DBE notification, you must contact the DBE(s) again to determine if they will be quoting. For acceptable forms of notification and required documentation see 120-3.02, subsection 1.b items 1 through 4.

Failure to submit a quote by the deadline is evidence of the DBE's lack of interest in bidding. Documentation of follow-up contacts shall be logged on the Contact Report, Form 25A-321A.

- f. **GFE Evaluation.** Subsections (a) through (e) must be completed for a GFE based submission to be considered. Failure to perform and document actions contained in subsections (a) through (e) constitutes insufficient GFE. After submitting a GFE, bidders may only clarify efforts taken before opening. No new efforts or additional DBE participation is permitted after opening.
2. **Administrative Reconsideration.** 49 CFR 26.53(d) provides an opportunity for administrative reconsideration when the Department determines that GFE is insufficient. This opportunity must be exercised within three working days of notification that GFEs were unsatisfactory. For reconsideration, the bidder must provide written documentation or argument concerning efforts to meet the DBE Utilization Goal. No new or additional contact information may be provided. Only contact information the bidder provided in support of its initial request for a GFE determination by the CRO may be presented to support the request for administrative reconsideration.

The process for an Administrative Reconsideration is as follows:

- a. The bidder will have the opportunity to meet with the DBE Liaison Officer in person to discuss the issue. If so desired, the bidder must be ready to meet with the DBE Liaison Officer within four working days of receipt of notice that it failed to meet the requirements of this subsection.
- b. The DBE Liaison Officer will render a written decision and provide notification to the bidder within four working days after the meeting. The written decision will explain the basis for finding.
- c. The finding of the DBE Liaison Officer cannot be appealed to the U.S. DOT.

#### 120-3.03 DBE CREDITABLE AND NON CREDITABLE WORK.

1. **DBE Creditable Work.** The Commercially Useful Function work items and creditable dollar amounts shown on the DBE Utilization Report, Form 25A-325C, shall be included in any subcontract, purchase order or service agreement with that DBE.
2. **DBE Decertification.**
- a. If a DBE performing a Commercially Useful Function loses its DBE certification at any time prior to execution of a subcontract, purchase order or service agreement, as the result of a determination of ineligibility pursuant to 49 CFR Part 26.87, the work of that firm will not be credited toward the DBE Utilization Goal and the Contractor must either:
- (1) meet the contract goal by subcontracting with an eligible DBE firm or demonstrate a GFE to do so; or
  - (2) continue with the decertified DBE and find other work not already committed to DBEs in an amount that meets or exceeds the DBE Utilization Goal.
- b. If a DBE performing a Commercially Useful Function loses its DBE certification after execution of a subcontract, purchase order or service agreement, as the result of a determination of ineligibility pursuant to 49 CFR Part 26.87, the de-certified DBE may continue to perform, and the work may be credited toward the DBE Utilization Goal.
- c. If a DBE goes out of business and cannot perform the work, the Contractor must meet the contract goal by subcontracting with an eligible DBE Firm or demonstrate a GFE to do so.

The provisions of 120-3.03(3) Termination of a DBE and 120-3.03(4) DBE Replacement or Substitution do not apply to this section.

A Contractor must notify the CRO within one business day if they become aware of any change in a DBE's circumstances that might lead to a DBE's decertification.

#### 3. Termination of a DBE.

- a. In accordance with 49 CFR 26.53(f)(1) the Contractor shall not terminate a DBE without good cause and the prior written consent of the Engineer. For purposes of this paragraph, good cause includes the following circumstances:
- (1) DBE defaults on their obligation for any reason;
  - (2) The DBE 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 to perform its work on the subcontract results from the bad faith or discriminatory action of the Contractor.
  - (3) The DBE fails or refuses to meet the Contractor's reasonable, nondiscriminatory bond requirements;
  - (4) The DBE becomes bankrupt, insolvent, or exhibits credit unworthiness;
  - (5) The DBE is ineligible to work on public works projects because of suspension and debarment proceedings pursuant 2 CFR Parts 180, 215, and 1,200 or applicable state law;
  - (6) The Engineer determines that the DBE is not a responsible contractor.
  - (7) The DBE voluntarily withdraws from the project and provides a written notice of its withdrawal;
  - (8) The DBE is ineligible to receive DBE credit for the type of work required;
  - (9) A DBE owner dies or becomes disabled with the result that the DBE is unable to complete its work; or
  - (10) Other documented good cause that the Engineer determines, compels the termination of the DBE, provided that good cause does not exist if the Contractor seeks to terminate a DBE it relied upon to obtain the contract so that the Contractor can self-perform the work for which the DBE was engaged or so that the Contractor can substitute another DBE or non-DBE after contract award.
- b. The Contractor must give written notice to the DBE of its intent to request to terminate and/or substitute, and the reason for the request. The request to terminate and/or substitute must be submitted to the Engineer.
- c. The Contractor must give the DBE five working days to respond to the written notice. Any response from the DBE must be submitted to the Engineer.
- d. DBEs that are terminated must be replaced or substituted in accordance with 120-3.03(4).

#### 4. DBE Replacement or Substitution.

- a. The Contractor shall submit to the Engineer a written request to replace or substitute a DBE who fails or refuses to execute a written subcontract or who is terminated under 120-3.03(3). If approved, the Contractor shall, at a minimum, replace or substitute the DBE with another eligible DBE for the same work in order to fulfill its commitment under the DBE Utilization Goal.

- b. If the Contractor cannot obtain replacement DBE participation, the DBE Utilization Goal will not be adjusted. However, the Engineer may consider the following criteria as satisfying that portion of DBE participation that cannot be replaced.

- (1) The Contractor was not at fault or negligent and that the circumstances surrounding the replacement or substitution were beyond the control of the Contractor; and
- (2) The Contractor is unable to find replacement DBE participation at the same level of DBE commitment and has adequately performed and documented the GFE expended in accordance with Subsection 120-3.02; or
- (3) It is too late in the project to provide any real subcontracting opportunities for DBEs.

If the Engineer agrees that additional DBE participation is not available, the DBE may be replaced or substituted with a non-DBE or the Contractor may self-perform the work.

#### 120-3.04 COMMERCIALLY USEFUL FUNCTION.

- 1. **Creditable Work.** Measuring the DBE Utilization Goal will be based upon the actual dollars paid to the DBEs for creditable Commercially Useful Function work on this project. This is determined by the Engineer in accordance with this Section.

Commercially Useful Function is limited to:

- a. Prime Contractors;
- b. Subcontractors;
- c. Manufacturers;
- d. Regular Dealers;
- e. Brokers; or
- f. Joint Ventures

- 2. **Determination of Commercially Useful Function.** In order for the Commercially Useful Function work of the DBE to be credited toward the goal, the Contractor will ensure that the DBE is certified in the appropriate category at the time of the submittal of the subcontract, or the issuance of a purchase order or service agreement. Subcontracts, purchase orders and service agreements shall be consistent with the written DBE commitment.

- a. The Commercially Useful Function performed by a DBE certified in a supply category will be evaluated by the Engineer to determine whether the DBE performed as either a broker, regular dealer, or manufacturer of the product provided to this project.
- b. The following factors will be used in determining whether a DBE trucking company is performing a Commercially Useful Function:
  - (1) The DBE must be responsible for the management and supervision of the entire trucking operation for which it is performing on a particular contract, and there cannot be a contrived arrangement for the purpose of 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 or leases, insures, and operates using drivers it employs. If the

truck is leased it can be leased from a non-DBE, but not from the Prime contractor.

- c. The Contractor will receive credit for the Commercially Useful Function performed by DBEs as provided in this Section. Contractors are encouraged to contact the Engineer in advance of the execution of the DBE's work or provision of goods or services regarding Commercially Useful Function and potential DBE credit.

- d. The DBE may perform work in categories for which it is not certified, but only work performed in the DBE's certified category meeting the Commercially Useful Function criteria may be credited toward the DBE Utilization Goal.

- e. DBE work shall conform to the following requirements to be a Commercially Useful Function:

- (1) It will be necessary and useful work required for the execution of the Contract.
- (2) The scope of work will be distinct and identifiable with specific contract items of work, bonding, or insurance requirement.
- (3) It will be performed, controlled, managed, and supervised by employees normally employed by and under the control of the certified DBE. The work will be performed with the DBE's own equipment. Either the DBE owner or DBE On-Site Representative will be at the work site and responsible for the work. Leased equipment may also be used provided the DBE has exclusive use of the equipment and it is operated by a driver the DBE employs. In remote locations or rare situations, a DBE may use equipment and/or personnel from the Contractor or its affiliates. Should this situation arise, a prior arrangement must be in place. The duration of the arrangement must be short term and prior written approval from the Engineer must be obtained.
- (4) The manner in which the work is sublet or performed will conform to standard industry practice within Alaska, as determined by the Department. The work or provision of goods or services will have a market outside of the DBE program (and must also be performed by non-DBE firms within the Alaskan construction industry). Otherwise, the work or service will be deemed an unnecessary step in the contracting or purchasing process and no DBE credit will be allowed.

There will be no DBE credit for lower-tier non-DBE subcontract work.

- (5) The cost of the goods and services will be reasonable and competitive with the cost of goods and services outside the DBE program within Alaska. Materials or supplies needed as a regular course of the Contractor's operations such as fuel, maintenance, office facilities, portable bathrooms, etc. are not creditable.

The cost of materials actually incorporated into the project by a DBE subcontractor is creditable toward the DBE goal only if the DBE is responsible for ordering and scheduling their delivery and fully responsible for ensuring that they meet specifications. The cost of materials purchased from the contractor or its affiliates is not creditable.

- (6) Subcontract work, with the exception of truck hauling, shall be sublet by the same unit of measure as is contained in the Bid Schedule unless approved in advance by the Engineer.

- (7) The DBE will control all business administration, accounting, billing and payment transactions. The Contractor cannot perform these functions for the DBE.

In accordance with AS 36.30.420(b), the Engineer may inspect the offices of the DBE and audit their records to assure compliance.

3. **Rebuttal of a Finding of No Commercially Useful Function.** Consistent with the provisions of 49 CFR Part 26.55(c)(4)&(5), before the Engineer makes a final finding that no Commercially Useful Function has been performed by a DBE, the Engineer will coordinate transmittal of the presumptive finding to the Contractor, who will in-turn, notify the DBE. The Contractor will provide the DBE the opportunity to provide rebuttal information. The Contractor shall present the information to the Engineer.

The Engineer will make a final determination on whether the DBE is performing a Commercially Useful Function. Under no circumstances will the Contractor take any action with respect to the DBE until the final determination is made. The Engineer's decisions on Commercially Useful Function matters are subject to review by the Department, but are not administratively appealable to the U.S. DOT

4. **Monthly Required Reporting.** The Department is required to collect data on DBE participation to report to FHWA on Federal-aid projects. On a monthly basis, the Contractor shall submit the Monthly Summary of Disadvantaged Business Enterprise Participation, Form 25A-336, to the Engineer. Reports are due by the 15<sup>th</sup> of the following month. Also attach copies of canceled checks or bank statements that identify payer, payee, and amount of transfer to verify payment information shown on the form.

**120-4.01 DETERMINING DBE CREDIT.** The Contractor is entitled to count toward the DBE Utilization Goal those monies actually paid to certified DBEs for Commercially Useful Function work performed by the DBE as determined by the Engineer. The Contractor will receive credit towards the DBE utilization goal, as follows:

1. Credit for the Commercially Useful Function of a DBE prime contractor is 100 percent of the monies actually paid to the DBE under the contract for creditable work and materials in accordance with 49 CFR Part 26.55.
2. Credit for the Commercially Useful Function of a subcontractor is 100 percent of the monies actually paid to the DBE under the subcontract for creditable work and materials.
3. Credit for the Commercially Useful Function of a subcontractor performing hauling/transportation is 100 percent of the monies actually paid to the DBE under the subcontract for creditable work for those firms certified in the 100 percent category. Credit for the Commercially Useful Function of a subcontractor performing hauling/transportation is 5 percent of the monies actually paid to the DBE under the subcontract for creditable work for those firms certified in the 5 percent credit category.
4. Credit for the Commercially Useful Function of a manufacturer is 100 percent of the monies paid to the DBE for the creditable materials manufactured.
5. Credit for the Commercially Useful Function of a regular dealer of a creditable material, product, or supply is 60 percent of its value. The value is the actual cost paid to the DBE not to exceed the bid price for such item.
6. Credit for the Commercially Useful Function of a broker performed by a DBE certified in a supply category for providing a creditable material, product or supply is limited to a reasonable brokerage fee. The brokerage fee will not exceed 5 percent of the cost of the procurement contract for the creditable item.
7. Credit for the Commercially Useful Function of a broker performed by a DBE certified in a bonding or insurance category is limited to a reasonable brokerage fee, not to exceed 5 percent of the premium cost.
8. Credit for the Commercially Useful Function of a joint venture (JV) either as the prime contractor or as a subcontractor may not exceed the percent of the DBE's participation in the JV agreement, as certified by the CRO. The DBE joint venture partner will be responsible for performing all of the work as delineated in the certified JV agreement.

**120-5.01 ACHIEVEMENT OF DBE GOALS.** Work under this item is subsidiary to other contract items and no payment will be made for meeting or exceeding the DBE Utilization Goal.

If the Contractor fails to utilize the DBEs listed on Form 25A-325C as scheduled or fails to submit proof of payment, requested documentation, or otherwise cooperate with a DBE review or investigation, the Department will consider this to be unsatisfactory work. If the Contractor fails to utilize GFE to replace or substitute a DBE, regardless of fault (except for Subsection 120-3.03(4)(b)(3)), the Department will also consider this unsatisfactory work. Unsatisfactory work may result in disqualification of the Contractor from future bidding under Subsection 102-1.13 and withholding of progress payments consistent with Subsection 109-1.06.





# Plan Holders Self-Registration List

Guide for  
Primes, Disadvantaged Business Enterprises  
(DBEs) & Small Business Enterprises (SBEs)

DOT&PF Civil Rights Office



## Background

In February of 2013, the Civil Rights Office initiated the development of the DBE Stakeholders Committee, composed of DBEs, prime contractors and the Associated General Contractors (AGC). The objectives of the Committee were to:

- Create an online portal to connect primes & DBEs.
- Increase DBE participation.
- Foster open communication.
- Improve procurement opportunities for DBEs.
- Improve the GFE process.

## DOT&PF's Plan Holders Self Registration List (PHSRL)

- The new Plan Holders Self-Registration List will allow DBEs, SBEs, and non-DBE subcontractors to self-register as interested subcontractors.
- Prime contractors will have access to all subcontractors who are interested in participating in the bid.
- Prime contractors will no longer use the DBE Directory in the CRO website to solicit DBE participation, but will still be required to use it in order to verify DBE certification. Prime contractors will use the Plan Holder Self-Registration List of registered DBEs to solicit DBE Participation.
- DBEs will only be contacted for projects for which they register.
- Prime contractors will only be required to contact DBEs that are interested in the project.

## Benefits (DBEs & SBEs)

- DBEs & SBEs will increase their business opportunities by also registering for projects that are above and beyond the subcontractable items
- DBEs & SBEs can sign up for Online Public Notices and receive automatic email notifications that will notify them of the upcoming projects. This email notification will allow DBEs & SBEs to decide whether to bid.
- DBEs & SBEs can sign up for non-FHWA funded projects thereby increasing their business opportunities to participate in state funded projects.
- Prime contractors will now have a list of DBEs & SBEs that are interested to bid from various work categories.



## Alaska Department of Transportation & Public Facilities Civil Rights Office

### IMPORTANT NOTE:

Before you register for the PHSRL, it is highly recommended that you first register for the Online Public Bidding Notices which will notify you of any upcoming bids. Once you receive this notification it will prompt you the PHSRL portal. Below are the processes on how to register for both portals.

### Follow the steps below to receive Online Public Notices

- Go here <http://aws.state.ak.us/OnlinePublicNotices/>
- Scroll to the bottom and find "Subscriptions." Click "search now."
- Select as your search criteria: Status: Active, Department: Transportation and Public Facilities, Category: Procurement, Sub-category: Constructions Bids. Leave the rest of the items blank, then click Search.
- Scroll to the bottom and click Subscribe. You'll get 4 options. Pick the envelope icon and "to search criteria." **Next enter your email address, and then click on Subscribe.** Scroll to bottom and click Subscribe. You'll get 4 options. Pick the envelope icon and "to search criteria." **Next to Search Tools, click on Subscribe.**
- Once your email address is entered, you will receive a "Confirm Your Subscription to Alaska Online Public Notices" email. Within 24 hours, click on the email link, to confirm your request.
- You will now receive a new notices link that allows you to view the project (similar to this example: [http://www.dot.state.ak.us/apps/contracts?ACTION=BIDCAL&REGION\\_COD E=C](http://www.dot.state.ak.us/apps/contracts?ACTION=BIDCAL&REGION_COD E=C))

(You won't get emails for the active items that have already been posted.)

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## Alaska Department of Transportation & Public Facilities Civil Rights Office

### How to Register for the PHSRL

- Go to <http://www.dot.state.ak.us/procurement/bidding/calendar/index.shtml>
- Under Current Bid Calendar, select either All; Central Region; Northern Region; Southeast Region; Headquarters, Statewide; or Marine Highway Ferry System.
- Once you select an option, you will see the "Plan Holders List" link located after given project name.
- To register for a project, click the "**Self-register**" (<http://www.dot.state.ak.us/cts/signup.cfm?cid=42719>) for this list". Include your company email address and select from the Contractor Type. Click "submit" and your company name will be listed as interested in the selected project, NOTE: Only contractors registering as subcontractors will be considered mandatory contacts for the purposes of the Good Faith Effort (GFE).
- To register for the Plan Holders List, your email address must already be on file with DOT&PF.
- To update your email address, contact your **Regional Contracts Office** (<http://www.dot.state.ak.us/procurement/contacts/construction.shtml>).

Email Address:  
Contractor Type:  
[Submit](#)  
[Return to Plan Holders List](#)

*After you self-register, you are encouraged to check to see that you are listed as a contact on the project and that your contact information is listed correctly.*

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Alaska Department of Transportation & Public Facilities  
**Civil Rights Office**

Below: Illustration from the PHSR – **Mandatory** DBE highlighted in yellow.  
 This sample format will be used in a **Race Conscious Program**

**Self-register for this list.**

To sign up on the Plan Holders List, your email address must already be on file with DOTPF. Contact your [Regional Contracts Office](#) if you need to update your email address.

Associated General Contractor (AGC) offices and independent plans rooms

- GREEN EARTH LANDWORKS, LLC  
**\*\*\* DBE - Mandatory Contact \*\*\***  
 Email: [bids@greenearthalaska.com](mailto:bids@greenearthalaska.com)  
 Date Registered: 4/09/2015  
 Physical Address: 5440 B STREET, ANCHORAGE, AK 99518  
 Mailing Address: 5440 B STREET, ANCHORAGE, AK 99518  
 Type: SUBCONTRACTOR  
 Phone: 907-243-7892 Fax: 907-743-0099
- PRISTINE ENVIRONMENTAL, LLC  
**\*\*\* DBE - Mandatory Contact \*\*\***  
 Email: [gotswppp@hotmail.com](mailto:gotswppp@hotmail.com)  
 Date Registered: 4/10/2015  
 Physical Address: 1206 PORTSIDE DRIVE, KENAI, AK 99611  
 Mailing Address: PO BOX 1874, KENAI, AK 99611  
 Type: SUBCONTRACTOR  
 Phone: 907-690-5069 Fax: 888-979-6431
- THE PLANS ROOM  
 Email: [mail@theplansroom.com](mailto:mail@theplansroom.com)  
 Date Registered: 4/09/2015  
 Physical Address: 4831 OLD SEWARD HIGHWAY, STE 202, ANCHORAGE, AK 99503  
 Mailing Address: 4831 OLD SEWARD HIGHWAY, STE 202, ANCHORAGE, AK 99503  
 Type: SUPPLIER  
 Phone: 907-563-2029 Fax: 907-562-0956
- QAP  
 Email: [cortega@colaska.com](mailto:cortega@colaska.com)  
 Date Registered: 4/10/2015  
 Physical Address: 240 W. 68TH AVE., ANCHORAGE, AK 99518  
 Mailing Address: 240 W. 68TH AVE., ANCHORAGE, AK 99518  
 Type: GENERAL  
 Phone: 907-522-2211 Fax: 907-344-7723

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Alaska Department of Transportation & Public Facilities  
**Civil Rights Office**

Below: Illustration from the PHSR – **Interested** DBE highlighted in yellow.  
 This sample format will be used in a **Race Neutral Program**

**Self-register for this list.**

To sign up on the Plan Holders List, your email address must already be on file with DOTPF. Contact your [Regional Contracts Office](#) if you need to update your email address.

Associated General Contractor (AGC) offices and independent plans rooms

- GREEN EARTH LANDWORKS, LLC  
**\*\*\* Interested - DBE \*\*\***  
 Email: [bids@greenearthalaska.com](mailto:bids@greenearthalaska.com)  
 Date Registered: 4/09/2015  
 Physical Address: 5440 B STREET, ANCHORAGE, AK 99518  
 Mailing Address: 5440 B STREET, ANCHORAGE, AK 99518  
 Type: SUBCONTRACTOR  
 Phone: 907-243-7892 Fax: 907-743-0099
- PRISTINE ENVIRONMENTAL, LLC  
**\*\*\* Interested - DBE \*\*\***  
 Email: [gotswppp@hotmail.com](mailto:gotswppp@hotmail.com)  
 Date Registered: 4/10/2015  
 Physical Address: 1206 PORTSIDE DRIVE, KENAI, AK 99611  
 Mailing Address: PO BOX 1874, KENAI, AK 99611  
 Type: SUBCONTRACTOR  
 Phone: 907-690-5069 Fax: 888-979-6431
- THE PLANS ROOM  
 Email: [mail@theplansroom.com](mailto:mail@theplansroom.com)  
 Date Registered: 4/09/2015  
 Physical Address: 4831 OLD SEWARD HIGHWAY, STE 202, ANCHORAGE, AK 99503  
 Mailing Address: 4831 OLD SEWARD HIGHWAY, STE 202, ANCHORAGE, AK 99503  
 Type: SUPPLIER  
 Phone: 907-563-2029 Fax: 907-562-0956
- QAP  
 Email: [cortega@colaska.com](mailto:cortega@colaska.com)  
 Date Registered: 4/10/2015  
 Physical Address: 240 W. 68TH AVE., ANCHORAGE, AK 99518  
 Mailing Address: 240 W. 68TH AVE., ANCHORAGE, AK 99518  
 Type: GENERAL  
 Phone: 907-522-2211 Fax: 907-344-7723

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### Guidance on Good Faith Effort (GFE)

- The bidder has an obligation to make a good faith effort to meet this goal.
- This can be demonstrated by either meeting the DBE Utilization Goal set on a project or documenting good faith efforts as outlined in Standard Modification 120-3.02.
- DBEs who register seven calendar days after the advertising date will be automatically listed as a Voluntary Contact.
- Bidders must contact mandatory, voluntary and interested DBEs listed on the PHSRL.
- Bidders must verify that DBEs are certified in the work category to receive DBE credit.
- Each contact with a DBE firm will be logged on a Contact Report, Form 25A-321A.

*The CRO requests that all bidders seek DBE participation as outlined in Standard Modification 120-2.01.*

### Mandatory Contact, Voluntary Contact and Interested DBE

Mandatory Contacts are:

- DBEs that register within 7 calendar days after advertisement when the DBE program is operating in a race conscious program.

Voluntary Contacts are:

- DBEs who are interested in bidding on the project, but that do not register within seven calendar days of the advertising date.
- General Contractors, Suppliers and DBEs affected by waivers.
- DBEs registering as a prime, unless the same DBE also registers as a subcontractor.

Interested DBEs are:

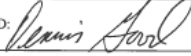
- DBEs that register within 7 calendar days after advertisement, when the DBE program is operating in a race neutral program.

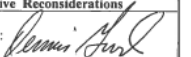


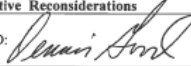
### Questions: Contact Civil Rights Office Contract Compliance Section

Winnie Cichosz  
[winnie.cichosz@alaska.gov](mailto:winnie.cichosz@alaska.gov)  
 2200 E. 42nd Avenue  
 PO Box 196900  
 Anchorage AK 99519-6900  
 ☎907-269-0854  
 ☎1-800-770-6236 inside Alaska  
 📠907-269-0847 fax

For individuals requiring TTY communications, please contact [Alaska Relay](#).

ADOT/PPF <b>CIVIL RIGHTS OFFICE</b> (CRO)  <b>OPERATING METHODS</b>	PROGRAM: <b>DBE</b>  AREA: <b>Good Faith Efforts and Administrative Reconsiderations</b>  APPROVED:   DATE: April 2015
<p><b>PURPOSE:</b></p> <p>To establish a procedure for determining a Good Faith Efforts (GFE) made by a prime contractor bidding on federally assisted projects using the Disadvantaged Business Enterprise (DBE) Program that is fair, efficient and effective. It is also to establish a policy for reconsidering the initial GFE decision that is fair, efficient and effective.</p> <p><b>POLICY:</b></p> <p>It is the policy of the Statewide Civil Rights Office (CRO) to administer the DBE Program evaluation of GFE in a manner that is comprehensive and consistent from consideration to the next. It is also to provide prime contractors an opportunity to be heard when they believe the initial consideration of their GFE is flawed based on the information provided as compared to the DBE specification for the contract.</p> <p><b>DISTRIBUTION:</b></p> <p>To all Civil Rights Office staff, Regional and Headquarters Contracting Officers and staff.</p> <p style="text-align: center;"><b>OPERATING METHODS FOR DETERMINING GFE AND ADMINISTRATIVE RECONSIDERATIONS</b></p> <p><b>Authority and Guidelines</b></p> <p>49 CFR 26.53 describes what GFE procedures are that recipients follow in situations where there are contract (utilization) goals. As a recipient of FHWA, FAA &amp; FTA funds, ADOT&amp;PF, through its Civil Rights Office, is charged with implementing the procedures in 49 CFR 26.53. Appendix A to Part 26--Guidance Concerning Good Faith Efforts may also be considered in determining GFE.</p> <p>A. <b>Consideration of GFE</b> – GFE must be performed by bidders and prime contractors or subcontractor tasked with a portion of the DBE Utilization Goal by the prime contractor. GFE is considered under one of two circumstances</p> <ol style="list-style-type: none"> <li>1. When apparent low bidder has not met the DBE Utilization Goal for an initial federal aid contract award</li> <li>2. When a DBE defaults on the federal aid contract and that participation was used to fulfill the DBE Utilization Goal.</li> </ol> <p>B. <b>Standards for Considering GFE</b> The Contracts Section for a given Region or Headquarters will refer to the Civil Rights Contract Compliance staff GFEs for federal aid projects that have completed bidding where the apparent low bidder has not met the DBE Utilization Goal. To perform an acceptable GFE, the apparent low bidder must demonstrate in paperwork they submit that they considered all possible subcontracting opportunities that is available to DBE firms.</p> <ol style="list-style-type: none"> <li>1. <b>VERIFY THAT ALL SUBCONTRACTABLE ITEMS WERE CONSIDERED.</b> The apparent low bidder must show, with documentation, that they sought DBE participation for each of the primary subcontractable items that is available for DBEs.</li> </ol>	
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ADOT/PPF <b>CIVIL RIGHTS OFFICE</b> (CRO)  <b>OPERATING METHODS</b>	PROGRAM: <b>DBE</b>  AREA: <b>Good Faith Efforts and Administrative Reconsiderations</b>  APPROVED:   DATE: April 2015
<ol style="list-style-type: none"> <li>2. <b>VERIFY DBE NOTIFICATION.</b> <ol style="list-style-type: none"> <li>a. Documentation submitted by the apparent low bidder must indicate that all DBE firms listed as a GFE contact listed for a given region in the Alaska Unified Certification Program's (AUCP) most current DBE Directory were contacted by the apparent low bidder at least 7 calendar days prior to bid opening, and at a minimum for work they are DBE certified.</li> <li>b. The documentation must also show that the apparent low bidder gave the DBEs a deadline not less than five days after contact by the apparent low bidder.</li> <li>c. The apparent low bidder may reject DBE quotes received after the deadline. Such a deadline for bid submission by DBEs will be consistently applied to all subcontractors, regardless of DBE status. DBEs certified to perform work items, registered as a Mandatory, Voluntary and Interested DBEs identified on Plan Holder Self Registration List must be contacted to solicit their interest in participating in the execution of work with the Contractor. Each contact with a DBE firm will be logged on a Contact Report (Form 25A321A).</li> </ol> </li> <li>3. <b>VERIFY FOLLOW-UP DBE NOTIFICATIONS.</b> Determine if a DBE will be bidding. Failure to submit a bid by the project bid opening or deadline is evidence of the DBE's lack of interest in bidding. Documentation of follow-up contacts shall be logged on the Contact Report (Form 25A321A). Following are the acceptable methods of initial and follow up:           <ol style="list-style-type: none"> <li>a. By fax with a confirmation receipt of successful transmission the DBEs fax number listed in the DBE Directory.</li> <li>b. By email with confirmation of successful receipt by DBEs email address listed in the DBE Directory.</li> <li>c. By telephone solicitation with a record of the date and time of the telephone call made to the DBEs telephone number listed in the DBE Directory.</li> <li>d. By publication with the names and dates of each publication in which a request for DBE participation for this project was place. The bidder is asked to attach copies of advertisements or proof of publication.</li> </ol> </li> </ol> <ol style="list-style-type: none"> <li>1. Assistance to DBEs.           <ol style="list-style-type: none"> <li>a. Bidders should make efforts to assist interested DBEs in obtaining bonding, lines of credit, insurance, and any technical assistance or information related to the plans, specifications and requirements for the work that was provided to DBEs.</li> <li>b. Bidders should make efforts to assist interested DBEs in obtaining necessary equipment, supplies, material, and related assistance or services.</li> <li>c. Bidders should provide 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 and assist with any questions asked by a DBE.</li> </ol> </li> <li>2. Additional methods of DBE notification:</li> </ol>	
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ADOT/PF CIVIL RIGHTS OFFICE (CRO)	PROGRAM: DBE
OPERATING METHODS	AREA: Good Faith Efforts and Administrative Reconsiderations
	APPROVED: 
	DATE: April 2015

a. Identify all potential work items, which are not part of the "primary work operation" and could potentially be subcontracted to DBEs. Select 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 to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces. For work types that are not conducive to subcontracting, consideration is to be given for materials manufacturing, supply, brokerage, and trucking opportunities.

b. Verify the Alaska Unified Certification Program (AUCP) Directory to identify all DBEs who perform the types of work which could be subcontracted, as well as the materials that could be manufactured, supplied, or provided via brokerage, and for trucking firms.

c. Solicit the above identified DBEs by ... "all reasonable and available means ... (e.g. attendance at pre-bid meetings, written correspondence, phone calls)" (49 CFR §26, Appendix A-IV.A). Second follow up attempts (if no initial response) by different medias of communication will be necessary to document and confirm DBE interest in participation.

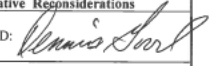
d. Bidders should effectively use the services of available minority/women community organizations, local, state, and Federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs. All outreach efforts (including participation at pre-bid meetings or industry-sponsored DBE targeted outreach meetings) can be documented as part of good faith efforts.

e. Soliciting through all reasonable and available means (e.g., attendance at pre-bid meetings ... solicitation letters, phone calls, email, and faxes) ... the interest of all certified DBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitation and document the results. Reasonable attempts by the bidder to solicit quotes from DBEs shall include the use of a least two different communication media to contact each DBE by at least two separate attempts.

4. The apparent low bidder should demonstrate that they tried to meet the DBE Utilization Goal by seeking DBE participation for all items that can be subcontracted to DBEs.

C. GFE Determination -  
The CRO shall determine whether the apparent low bidder made a GFE to meet the DBE utilization goal. The CRO will require the apparent low bidder to meet each of the standards described in Section B to meet GFE requirements. All efforts must be established by submitted documentation as part of the GFE process. Upon making its determination, the CRO shall notify the project region's Contract Compliance Officer of its decision.

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ADOT/PF CIVIL RIGHTS OFFICE (CRO)	PROGRAM: DBE
OPERATING METHODS	AREA: Good Faith Efforts and Administrative Reconsiderations
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D. Administrative Reconsideration of GFE Determination -  
49 CFR 26.53(d) provides an opportunity for administrative reconsideration when the Department determines that GFE is insufficient. This opportunity must be exercised within three working days of notification that GFEs were unsatisfactory. For reconsideration, the bidder must provide written documentation or argument concerning efforts to meet the DBE Utilization Goal. No new or additional contact information may be provided. Only contact information the bidder provided in support of its initial request for a GFE determination by the CRO may be presented to support the request for administrative reconsideration.

The process for an Administrative Reconsideration is as follows:

a. The bidder will have the opportunity to meet with the DBE Liaison Officer in person to discuss the issue. If so desired, the bidder must be ready to meet with the DBE Liaison Officer within four working days of receipt of notice that it failed to meet the requirements of this subsection.

b. The DBE Liaison Officer will render a written decision and provide notification to the bidder within four working days after the meeting. The written decision will explain the basis for finding.

c. The finding of the DBE Liaison Officer cannot be appealed to the U.S. DOT.

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<b>STATE OF ALASKA</b> <b>DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES</b>  CIVIL RIGHTS OFFICE (CRO) DESK MANUAL	PROGRAM: DBE
	AREA: PROJECT GOAL SETTING
	APPROVED: <i>Dennis Ford</i>
	DATE: 4/2015

**PURPOSE**

The purpose of this document is to establish the internal procedure for determining Disadvantaged Business Enterprise (DBE) Utilization contract goals on federally assisted construction contracts, and issuing a DBE Goal Memo to the regional construction office. This includes projects with assistance from Federal Highway Administration (FHWA), Federal Aviation Administration (FAA), and Federal Transit Administration (FTA) funding modes.

**AUTHORITY AND GUIDELINES**

In accordance with Title 49 CFR 26, Alaska Department of Transportation & Public Facilities (ADOT&PF) sets an overall DBE utilization goal. This goal may be achieved through race neutral means, which is implemented through customary competitive procurement procedures. Or through race conscious means, which is implemented through contract goal setting on federally assisted contracts. Every federally funded contract includes the Equal Employment Opportunity (EEO) and DBE requirements.

Staff responsibility for the preparation of the proposed Contract Goal is assigned to the Contract Compliance section of the Civil Rights Office (CRO).

When contract goals have been established, the Contract Compliance section will determine the appropriate DBE utilization contract goal on a case by case basis prior to the bid advertisement. When a contract goal has been set on a project, the apparent low bidder must meet, or make every Good Faith Effort (GFE) to meet the goal before being awarded the project.

**POLICY**

It is the policy of the CRO that DBE Utilization contract goals are set in a manner that is specific to each project. Mandatory project goals will only be established in a race conscious program and on contracts that have subcontracting possibilities. The CRO will work with the Project Engineer and each Regional Contract Compliance Liaison to determine the appropriate goal.

**PROCESS**

- The CRO receives requests to provide a DBE Utilization Goal and Memo from the regional construction office prior to projects being advertised for procurement.
  - This request is usually sent via email through the Regional Contract Compliance Liaison, but sometimes it will come from the Project Engineer directly.
  - DBE goal requests are given a high priority and are expected to be completed with a day or two.
  - Included in the request are the following: Engineer's Estimate, the DBE Goal Worksheet, OJT Calculation (applies for FHWA projects only), Project Code (The staff needs this to charge their time

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<b>STATE OF ALASKA</b> <b>DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES</b>  CIVIL RIGHTS OFFICE (CRO) DESK MANUAL	PROGRAM: DBE
	AREA: PROJECT GOAL SETTING
	APPROVED: <i>Dennis Ford</i>
	DATE: 4/2015

while working on the project) and along with any additional information that would be helpful in determining the goal and Work Categories.

- It is important that the DBE Directory is updated every Monday of the week. Check with the designated staffs who update the directory.
- We evaluate projects with any dollar amount; however, we only set goals on projects that are \$1,000,000.00 and above.
- Smaller construction projects (under \$1,000,000.00) will be thoroughly evaluated for possible Race Neutral participation by DBE firms.

- Requests for projects that are FHWA assisted will include an OJT calculation if they are over 1.5 million dollars. There is no OJT component to FAA or FTA assisted projects.
  - Forward the provided OJT Calculation to the Support Services section for approval prior to issuing the goal.
  - Along with the DBE Goal, the Memo will also include the OJT Goal.
- Currently, all Alaska Marine Highway Systems (AMHS) projects that are competitively bid are issued with a Race Neutral goal because, unlike the highways or airport, our marine highway ferries can be worked in multiple states and the market of available DBEs is difficult at best to determine for DBE goal setting. However we do set OJT project goals for all AMHS projects.
  - The Project Manager will often work with Supportive Services directly to determine the OJT goal. Supportive Services will then forward the info to Contract Compliance for issuance of the OJT goal memo.
- Create a folder in the R Drive and store all electronic documents that pertain to the DBE Goal:
  - R Drive > COMPLIANCE SECTION > DBE Goals > Folder by Calendar Year > Folder by Region > Project Folder (56789 – Pavement Preservation)
  - Save any documents sent by the regional construction office as well as any pertinent emails in this folder.
- Review the overall scope of the project using:
  - Engineer's Estimate (EE)
  - Federal funding allocation (approximately \$1M and above)
  - A description of the job
  - DBE Goals Worksheet
  - Project location
  - Project Engineers advice and suggestions

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<b>STATE OF ALASKA</b> DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  CIVIL RIGHTS OFFICE (CRO) DESK MANUAL	PROGRAM: DBE
	AREA: PROJECT GOAL SETTING
	APPROVED: <i>[Signature]</i>
	DATE: 4/2015

g. Standard industry practice

6. Determine which Bid Items could be considered Subcontractable.

- Consider the primary type of work on the project.
- What kind of prime contractor is likely to bid on this project?
- Bid Items that fall in the prime contractors capabilities are generally not considered subcontractable. For example, paving, aggregate, or rip-rap Bid Items would usually not be considered subcontractable on an Earthwork-Paving project; however, they might be considered subcontractable on an Electrical-Highway Lighting project.
- Determination of the project type should be based on the higher dollar value total of the primary bid items.
- When in doubt, always consult the Project Engineer as each region has standard practices and each project is unique.

7. Establish what Work Categories correspond to the selected Subcontractable Items.

- The Regional Contract Compliance Liaison and the Project Engineer should provide guidance on Work Categories, and this should be included on the provided DBE Goals Worksheet.
- Looking at past projects with DBE goals can also be used for guidance on Work Categories. Always look at similar job types that are in the same region.

8. Generate the final DBE Worksheet and Memo

- Begin with an Excel template R Drive > COMPLIANCE SECTION > DBE Goals > Folder by Calendar Year > Worksheet Templates
- Choose a template by region
- On the tab 'Information Fill-in Sheet' enter:
  - Sender Name, Title, and Phone Number
  - Today's Date
  - Project Name – the full project name should be on the EE, or look in MRS
  - Project Number – Federal and State
  - Project Location – to confirm look up the project number in MRS or ask the requestor.
  - Project Amount – this is the Subtotal from the EE. Do not use the Project Total dollar value.
  - Requestor Name, Phone Number, Fax Number, Section, and Region
  - OJT Goal – Supportive Services must approve the OJT goal.

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<b>STATE OF ALASKA</b> DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  CIVIL RIGHTS OFFICE (CRO) DESK MANUAL	PROGRAM: DBE
	AREA: PROJECT GOAL SETTING
	APPROVED: <i>[Signature]</i>
	DATE: 4/2015

- The DBE goal will auto populate once the DBE Goal Worksheet is filled out
- DBE Directory Date - this should be the date of the current DBE directly that is published on the CRO website.
- On the tab 'DBE Goal Worksheet' enter all of the Subcontractable Item numbers, descriptions, dollar values, and Work Category information.
- The Form 25A-324 Subcontractable Items will autofill from the information that is entered in the DBE Goal Worksheet.
- Print the tabs 'Memo', 'DBE Worksheet', and '25A-324' by selecting all three at the same time. Print to a PDF and save the document on the R drive in the project folder.
- Double check for accuracy against the provided DBE Goal Worksheet and EE. This information will be included as part of the procurement package and accuracy is vital.
- Forward the memo, DBE Goal Worksheet, and Form 25A-324 to the regional construction office.
- The regional construction office will include the Subcontractable Items Form 25A-324 in the Specifications that are part of the Advertising Package, and use the DBE and OJT goals on the memo for the advertisement.

9. Revise the DBE goal memo if the Engineer Estimate changes.

Prior to revising a DBE goal memo, all changes must be discussed with the Contract Compliance Officer. Approval of the change must approved by the Contract Compliance Officer. Save all emails, correspondence and supporting documents for the project folder on the R Drive.

10. After the process is complete, enter the DBE & OJT Goal info into our database Biz Track. The Research Analyst will then use the data entered to produce reports and make information available to others in the department who have a role in the DBE program.

Instructions on how to enter the DBE & OJT goal can be found on the R Drive > COMPLIANCE SECTION > DBE Goals > DBE Goal Tracking in Biztrak.

11. Track your time spent and charge to the project coding on your time sheet. The project coding should be provided by the Regional Contract Compliance Liaison when the DBE goal request is issued.

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THE STATE  
**of ALASKA**  
GOVERNOR BILL WALKER

Department of Transportation and  
Public Facilities

Civil Rights Office  
P.O. Box 196900  
Anchorage, AK 99519-6900  
Main Phone: 907-269-0841  
Fax Number: 907-269-0847  
www.dotcivilrights.alaska.gov

**Completing Form 25A-336**

Form 25A-336 (336) is for Prime Contractors to report the monthly payments made to its respective DBE subcontractors, in accordance with Special Provision 120-3.03.2.g, to the Civil Rights Office (CRO). This form needs to be completed from the starting date of the project to the final payment made to the DBE subcontractor(s). The 336 should be completed even if there are no payments made that month to the subcontractor(s). Instructions for acquiring, filling out, and delivering the 336 are as follows:

- Get the form
  - From **Contracts** website:  
[http://www.dot.state.ak.us/stwddes/dcsconst/pop\\_constforms.shtml](http://www.dot.state.ak.us/stwddes/dcsconst/pop_constforms.shtml)
  - From **DOT&PF/CRO** website, where you can find it by name [Summary of DBE Participation; 25A-336] or by number [25A-336].  
<http://www.dot.state.ak.us/cv/rlts/forms.shtml>
- Header information
  - Project name and number, using the Federal ID and the AKSAS number
  - Prime Contractors' name
  - Month and year the payments are for
  - Mark whether the Prime a DBE
- Subcontractors, Manufacturers, Brokers, and Regular Dealers
  - Separate out each participant
  - **Separate further by the Work Performed or the 3-digit Bid Item Number**
  - Enter the amounts paid for the month and the total paid to date
  - Mark whether this month's payment is the final payment (once final payment is made and indicated on a 336, the DBE does not need to appear on subsequent 336s)
- Enter in subtotals
  - Brokers and Regular Dealers need to enter the percents of subtotal as queried
  - Sign and date at the end of the form, to testify that all payments are listed and accurate
  - Send form to the Department of Transportation & Public Facilities, CRO

Mailing Address: DOT&PF/CRO  
Box 196900  
Anchorage, AK 99519-6900

Fax: (907) 269-0847  
Email: adam.marks@alaska.gov PO

If there are any questions please contact the Research Analyst at (907) 269-0846.

*"Keep Alaska Moving through service and infrastructure."*



**MONTHLY SUMMARY OF DISADVANTAGED BUSINESS  
ENTERPRISE PARTICIPATION**

Federal-Aid Contracts

State of Alaska DOT & PF Civil Rights Office • 2209 E 42nd Ave. • Anchorage, AK 99519-6900

FOR PAYMENTS MADE IN:	
MONTH	YEAR

**Please read instructions before completing this form.**

Submit this form to the CRO by the 15th of the month following the reporting month. (i.e., Work performed in January will be paid in February, the summary report for January must be submitted to the CRO by March 15)

1. PROJECT NAME		Project Number		13. DATE		
4. PRIME CONTRACTOR NAME		12. SIGNATURE		13. DATE		
<b>SUBCONTRACTORS</b>						
14. FIRM (DBE) NAME	15. BID ITEMS PAID (LIST SEPARATELY)	16. AGREED PRICE	17. AMOUNT PAID THIS PERIOD	18. AMOUNT PAID TO DATE	19. % OF WORK COMPLETED TO DATE	20. FINAL PAYMENT
1					YES	NO
2					YES	NO
3					YES	NO
4					YES	NO
5					YES	NO
10. NAME OF PERSON PREPARING REPORT		11. TITLE		12. SIGNATURE		13. DATE (mm/dd/yyyy)

If more spaces are required, use as many copies of the second page of this form as necessary. The contractor must sign each sheet to certify its content and completion.

Are additional pages attaching?  YES  NO





STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
Civil Rights Office – DBE Program

**BIDDER REGISTRATION**

All firms are required to submit a Bidder's Registration form before an Alaska Department of Transportation and Public Facilities (DOT&PF) project can be awarded. The Bidder Registration form must be submitted to the Civil Rights Officer (CRO) on an annual basis by January 1 and is valid thru December 31. Complete this form for each contractor and subcontractor. Firms will be listed on the bidder registration online directory <http://www.dot.state.ak.us/cvrlts/bidreg.shtml>.

Name of Firm: \_\_\_\_\_  
 Street Address: \_\_\_\_\_  
 Mailing Address: \_\_\_\_\_  
 Contact Name: \_\_\_\_\_  
 Telephone Number: \_\_\_\_\_  
 Fax number: \_\_\_\_\_  
 E-mail Address: \_\_\_\_\_  
 Date Firm was Established: \_\_\_\_\_

The firm listed above is a (check all that apply):

Prime Contractor?   
 Subcontractor?  Identify specialty: \_\_\_\_\_  
 Service Provider?  Identify service: \_\_\_\_\_  
 Material Supplier?  Identify material: \_\_\_\_\_  
 Manufacturer?  Identify product: \_\_\_\_\_  
 Certified DBE? \*  \*DBE- Disadvantaged Business Enterprise  
 Self-Certified SBE? \*  \*SBE- Small Business Enterprise (Complete page 2 of this form)

Firm's gross annual receipts:  
 < \$500,000  
 \$500,000- \$999,999  
 \$1,000,000- \$4,999,999  
 \$5,000,000- \$9,999,999  
 \$10,000,000- \$16,999,999  
 > \$17,000,000

Type of contracts/proposals bid by the firm (check all that apply):

Highways  Airports  Transit  AMHS

Signature of Company Representative \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_

Send this completed form to: *OR* You may fax your completed form to:  
 ADOT&PF Civil Rights Office (907) 269-0847  
 PO Box 196900  
 Anchorage, Alaska 99519-6900

If you have any questions, please call (907) 269-0851.

Form 25D-6 (02/14)

**SMALL BUSINESS ENTERPRISE PROGRAM (SBE) BIDDER'S REGISTRATION**

**[Complete the below only if you are a Self-Certified SBE Firm]** All businesses are required to submit a SBE Bidder's Registration form before a DOT&PF contract can be awarded. The bidder's Registration form must be submitted on an annual basis by January 1 and is valid thru December 31.

In order to verify your firm's compliance with business size standards under 49 CFR 26.67(2)(i) and 26.65(b), *at the time of award* you will be required to submit the following documents:

- SBE Affidavit of Certification Eligibility
- Personal Financial Statement
- Past three years of your corporations and/or individual tax returns
- If not a certified DBE, please provide documentation that you are self-certified as a small business (please contact Procurement Technical Assistance Center (PTAC) at 907-274-7232 if you require assistance on becoming a self-certified small business)

*At time of award send required documentation to:*

DOT&PF Civil Rights Office  
 Attn: Certification  
 PO Box 196900  
 Anchorage, Alaska 99519-6900  
 Fax: (907) 269-0847

**Fostering Small Business Participation (SBE) (49 CFR 26.39):**

To meet the requirements of 49 CFR 26.39, DOT&PF has implemented a Small Business Enterprise Program. This component is only applicable to federally funded projects.

**A. SBE Directory Information**

1. Can you verify at time of award that your firm does not exceed the business size standards of \$22.41 million for the last three years of gross annual receipts per 49 CFR 26.65(b)? [ ]Yes [ ]No\*

\*If you marked "No" you do not qualify for the SBE Program

2. Can you verify at time of award that your firm does not exceed the personal net worth standards of \$1.32 million per 49 CFR 26.67(2)(i)? [ ]Yes [ ]No\*

\*If you marked "No" you do not qualify for the SBE Program

3. Contact Info.

Name of Firm \_\_\_\_\_ Contact Name \_\_\_\_\_  
 Telephone Number \_\_\_\_\_ Fax Number \_\_\_\_\_  
 Email Address \_\_\_\_\_ Company Website \_\_\_\_\_

Form 25D-6 (02/14)

STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
CIVIL RIGHTS OFFICE  
**COMMERCIALLY USEFUL FUNCTION (CUF) MONITORING REPORT**

Per 49 CFR 26.55, "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... A DBE does not perform a CUF if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of DBE participation..." This form is for the purpose of reviewing DBEs for compliance with the CUF requirements for credit.

This form is to be used by DOT field staff to perform CUF reviews on DBE primes, subcontractors and DBE joint ventures. Perform a minimum of one review for each DBE on a federally-assisted project per construction season. The review should be conducted when the DBE first begins work. Monitor compliance through the course of the project.

**1. PROJECT NAME**

**2. AKSAS NUMBER**                      **3. FEDERAL PROJECT NO.**

**4. PRIME CONTRACTOR NAME**

**5. DBE CONTRACTOR NAME**

**6. DBE START DATE**                      **7. NAME/TITLE OF DBE ON-SITE REPRESENTATIVE**

**8. ON-SITE REPRESENTATIVE REPORTS TO:**

**9. DBE IS PERFORMING AS**  
 prime                       subcontractor                       joint-venture

**ON-SITE REPRESENTATIVE'S BRIEF DESCRIPTION OF THE DBE'S SCOPE OF WORK (Obtain copy of Subcontract and/or Purchase Order if needed):**

**WHO PREPARES THE DBE'S CERTIFIED PAYROLL (NAME & LOCATION)**

<b>PART I (based on interviewer's observation)</b>	<b>YES</b>	<b>NO</b>
The DBE is responsible for the following:		
1 Responsible for execution of all work?		
2 Is the DBE subcontracting any work?		
3 Actually performs, manages, and supervises work?		
4 Performs the work using own employees and own equipment		
5 Is DBE using leased or rented equipment (if yes, obtain a copy of the lease or rental agreement)		
6 Responsible for purchase & installation of materials and supplies		
<b>PART II - DBE Trucking Firm</b>	<b>YES</b>	<b>NO</b>
Does the DBE own and operate at least one fully licensed, insured, and operational truck; using drivers employed by the DBE on the contract?		
If leasing trucks, Does the DBE lease trucks from another DBE?		
Does the DBE lease trucks from a non-DBE firm?		
Does the truck(s) leased display name and certification number of the DBE firm?		

**SUBMIT COMPLETED FORM IMMEDIATELY TO THE REGIONAL CONTRACT COMPLIANCE LIAISON**

\_\_\_\_\_  
AKDOT&PF PROJECT STAFF/REVIEWER (signature)                      \_\_\_\_\_  
DATE

\_\_\_\_\_  
AKDOT&PF PROJECT STAFF/REVIEWER (print)

- Attachment VI**
- State of Alaska Small Enterprise Program
  - DBE Certification Application
  - DBE Approval Letter
  - DBE Support Services SOP
  - OJT Support Services SOP



## Alaska Small Business Enterprise Program

ADOT&PF –Civil Rights Office

The State of Alaska Department of Transportation & Public Facilities is committed to fostering small business participation. To do so we are introducing Alaska's Small Business Enterprise (SBE) component of the Disadvantaged Business Enterprise (DBE) Program.



### MISSION

To meet the requirements of 49 CFR 26.39, Fostering Small Business Participation will be a race-neutral program. The State of Alaska Department of Transportation & Public Facilities (ADOT&PF) Civil Rights Office will implement the Alaska Small Business Enterprise Program in order to facilitate and foster small business participation on FHWA, FAA and FTA funded projects. The SBE is a component of the ADOT&PF's Disadvantaged Business Enterprise (DBE) Program.

### THE ADOT&PF CIVIL RIGHTS OFFICE ROLE

- Conduct outreach efforts to small businesses to inform SBE's of procurement opportunities.
- Develop an outreach program for fostering small business participation that will focus on promoting business infrastructure growth and procurement opportunities. ADOT & PF will conduct or facilitate training workshops on the areas of the following but not limited to; marketing strategies, capital investments, contract law, bonding, insurance and other topics of interest.
- Provide networking opportunities between small businesses and prime contractors for the development of business relationships.
- Conduct and refer SBE's to workshops on doing business with the Government (Federal and State)
- Counseling and referral to other small business programs including but not limited to:
  - A) DBE's certified through AUCP
  - B) Small Business Administration which includes: Historically Underutilized Business (HUB Zone), Women-Owned Small Business, Veteran-Owned Small Business, and Service Disabled Veteran-Owned Small Business

### QUALIFICATIONS

- No geographic preferences will be implemented.
- There are no limits on the number of contracts awarded to firms participating in the program.
- Efforts will be made to avoid creating barriers to the use of new, emerging, and/or untried businesses.
- The SBE program is not prohibited by State law.

### SBE ELIGIBILITY PROCESS

- At the time of bid, small businesses that are not registered bidders with ADOT&PF will be required to fill out Bidder's Registration Form 2SD-6.
- At the time of award, if not a certified DBE, firm will be required to submit appropriate supporting documentation that they meet the definition of small business in accordance with 49 CFR Part 26.65 (b) 49 CFR Part 26.67(2) (i). The required items are as follows:
  - A) SBE Affidavit of Certification Eligibility
  - B) Personal Financial Statement (SBA Form 413).
  - C) Past three years of your business income tax returns and individual tax returns.



**FOR MORE INFORMATION CONTACT SUPPORT SERVICES**  
(at the time of contract award call a Certification Specialist)

907-269-0851 / 1-800-770-5236 within Alaska  
2200 E. 42nd Avenue, Anchorage, Alaska 99519

The DOT&PF operates Federal Programs without regard to race, color, national origin, sex, age, or disability. Full Title VI Nondiscrimination Policy: [dot.alaska.gov/tvi\\_statement.shtml](http://dot.alaska.gov/tvi_statement.shtml). To file a complaint go to: [dot.alaska.gov/cvirts/tl/tevi.shtml](http://dot.alaska.gov/cvirts/tl/tevi.shtml)

## Alaska Small Business Enterprise Program

## SBE Affidavit of Eligibility

Page 1 of 2

A Race and Gender Neutral Program With  
No Geographical Boundaries



Legal Name of Business:		Name of Parent Company:			
Federal Identification No. _____ (OR)		Owner's Social Security No. _____			
Date Business Established:	No. of Employees:	Full-time _____	Part-time _____		
Business Physical Street Address:	Mail Address (if different):				
Business Phone: ( ) _____	Fax No.: ( ) _____				
Email Address: <b>Be sure to advise us if your email address changes at any time. This will be our main line of communication.</b>					
Business Web Site: <b>WWW:</b> _____					
List all Owners:  *Race Codes B - Black W - White H - Hispanic NA - Native American SA - Subcont Asian AP - Asian-Pacific Is	<b>Name</b>	<b>Title</b>	<b>Gender</b>	<b>*Race</b>	<b>Percentage Owned</b>
			Male		%
			Female		
			Male		%
			Female		
			Male		%
			Female		
Legal Form of Enterprise:	<b>Check all that apply</b>		<b>State primary goods/services of this firm:</b> (description should match NAICS codes listed below)		
	• Sole Proprietorship				
	• Partnership				
	• Corporation				
	• Limited Liability Company				
• Joint Venture					
• Other (state)					
<b>NAICS Codes (see <a href="http://www.naics.com">www.naics.com</a> for help) One for each of your primary goods/services (up to 5).</b>					

March 31, 2013

# SBE Affidavit of Eligibility

Page 2 of 2

## Qualifications:

- No geographic preferences will be implemented.
- There are no limits on the number of contracts awarded to firms participating in the program.
- Efforts will be made to avoid creating barriers to the use of new, emerging, and/or untried businesses.
- The SBE program is not prohibited by State law.

## Attach Documentation:

At the time of bid, small businesses that are not registered bidders with ADOT&PF will be required to fill out Bidder's Registration Form 25D-6.

At the time of award, if not a certified DBE, firm will be required to submit a signed, notarized certification with appropriate supporting documentation that they meet the definition of small business in accordance with 49 CFR Part 26.65 (b) 49 CFR Part 26.67(2) (i).

- SBE Affidavit of Certification Eligibility including Demographics and supporting documentation for SBE verification.
- Personal Financial Statement (SBA Form 413).
- Past three years of your corporation (first 2 pages) and individual tax return (first 2 pages and schedule c).

## Signatures:

By my signature below, I certify that the information I have supplied on this form and the attached documentation is true and correct.

Signature of Owner(s) or Principal(s)	Title	Date
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

For more information, please call the Civil Rights Office at 907-269-0851 or 1-800-770-6236 (inside Alaska) and ask for the Certification Department.

March 31, 2013



# Memorandum

Subject: **ACTION:** DBE Small Business Element

Date: July 18, 2012

From: Warren S. Whitlock *W. Whitlock*  
Associate Administrator for Civil Rights

In Reply Refer To:  
HCR-30

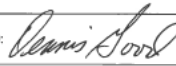
To: Mr. David Miller  
Division Administrator, HDA-AK  
Juneau, Alaska

This memorandum is to confirm that the Federal Transit Administration (FTA), Federal Aviation Administration (FAA), and the Federal Highway Administration (FHWA) have received the Alaska Department of Transportation and Public Facilities' (ADOT&PF) resubmission of the Small Business Element portion of its DBE Program Plan.

In reviewing ADOT&PF's small business element, each operating administration has determined that it has sufficiently established a provision that fulfills the intent of this part. This memorandum serves as an acknowledgment of FTA, FAA and FHWA's approval of Alaska's Small Business Element. Please notify ADOT&PF of this approval.

If you need further assistance please feel free to contact Britney Berry of FTA at [britney.berry@dot.gov](mailto:britney.berry@dot.gov), or Martha Kenley of FHWA at [martha.kenley@dot.gov](mailto:martha.kenley@dot.gov), or [keturah.pristell@dot.gov](mailto:keturah.pristell@dot.gov).

cc: Linda Ford, Acting Director, Office of Civil Rights, FTA  
Leslie Rogers, Region X Administrator, FTA  
Chris MacNeith, Region X Civil Rights Officer, FTA  
Martha Kenley, National DBE Program Manager, FHWA  
Britney Berry, EEO Specialist, FTA  
Wilbur Barham, Director, National Airport Civil Rights Policy and Compliance, FAA  
Michael Freilich, Director, AWP Civil Rights & National DBE Compliance, FAA  
Keturah Pristell, DBE Compliance Specialist, FAA

ADOT&PF CIVIL RIGHTS OFFICE (CRO)	PROGRAM: DBE / SBE Business Development Services (formerly Support Services)
<b>OPERATING METHODS</b>	AREA: DBE / SBE Business Development Office (formerly Support Services)
	APPROVED: 
	DATE: April 2015

**PURPOSE:** To establish procedures for implementing and administering business development programs that assist Disadvantaged Business Enterprises (DBEs) and Small Business Enterprises (SBEs) with business growth on Federal Highway Administration (FHWA) funded projects. This is achieved through the implementation of various mechanisms that effectively benefit the business' success.

**POLICY:** It is the policy of the Alaska Department of Transportation & Public Facilities (ADOT&PF) Civil Rights Office (CRO) to provide Development Services in compliance with components of CFR §26.35 and §26.39 to establish business development programs which assist firms in gaining the ability to compete successfully in the marketplace outside the DBE program.

**DISTRIBUTION:**

**OPERATING METHODS**

Authority and Guidelines:

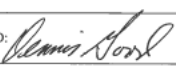
The Disadvantaged Business Enterprise Liaison Officer (DBELO) has delegated authority to the CRO Manager within the ADOT&PF for matters pertaining to administration of the DBE/SBE Program. Criteria used as applicable.

**Overview**

**DBE/SBE Business Development Office (formerly Support Services Office)**

The DBE/SBE Business Development Office is the office within the Civil Rights Office designated to assist DBEs/SBEs who want to work on federally funded projects. Based on the business development requirements set forth in CFR §26.35 and §26.39; this office implements the DBE/SBE Support Services approved Statements of Work (SOW); DBE/SBE Support Services activities; monitors DBE/SBE business development and establishes measurable outcomes for each program area identified in the CFRs. The title 'Support Services Coordinator'

Revised 4/2015 Page 1 of 4

ADOT&PF CIVIL RIGHTS OFFICE (CRO)	PROGRAM: DBE / SBE Business Development Services (formerly Support Services)
<b>OPERATING METHODS</b>	AREA: DBE / SBE Business Development Office (formerly Support Services)
	APPROVED: 
	DATE: April 2015

will be renamed 'Business Development Coordinator' to better align with the current requirements of the program.

**DBE Support Services**

DBE Support Services is a federally funded program designed specifically in support of DBEs who wish to work on FHWA funded projects. The Support Services Program offers the following services free of charge to DBEs/SBEs. Financial resources programs are only available to DBEs.

- Technical Assistance in:
  - Enrollment into business development programs
  - Bidding on DOT projects
  - Annual DBE Conference attendance
  - Project Management
  - Bonding
  - Estimating and Bidding
  - Financial / Capital Management
  - Business Marketing Strategies
  - Prime Contractor Networking
  - 50% Reimbursement Program (process outlined below)
  - Referral Services on a case by case basis

**Annual Conferences**

All DBE/SBE Support Services event folders (workshops/conferences) will contain; sign-in sheets, a copy of materials and handouts, and any marketing materials that were used to promote the workshop (newspaper articles, flyers, letters, etc.).

All Business Development Consultations and Mentor Protégé activities will have specific folder tabs that include DBE firm profile, consultation form, a copy of the baseline study (provided by vendor), quarterly tracking and follow-up activity log.

Annual DBE Conferences will take place during the first or fourth quarter of the year. This ensures larger attendance and participation. The logistical planning: meetings, hotel contracts, vendors etc.

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ADOT&PF CIVIL RIGHTS OFFICE (CRO)  <b>OPERATING METHODS</b>	PROGRAM: DBE / SBE Business Development Services (formerly Support Services)  AREA: DBE / SBE Business Development Office (formerly Support Services)  APPROVED: <i>Dennis Cord</i>  DATE: April 2015
<p>will reside on the CRO R Drive – Support Services FFY “year” DBE Conference. The Alaska Unified Certification Program (AUCP) Partners are key stakeholders and are included in the planning of these conferences.</p> <p><b>50% Reimbursement Program</b></p> <p>The 50% Reimbursement Program is designed to assist DBEs by offsetting business costs.</p> <ul style="list-style-type: none"> <li>• Only DBEs certified and doing business in Alaska, are eligible to participate in the 50% Reimbursement Program. DBEs whose certifying home state is not Alaska will not be eligible for reimbursement. However, out-of-state firms will continue to be eligible for all other services provided by Support Services.</li> <li>• Attendance or participation in 1 workshop or event hosted or co-sponsored by the CRO within the calendar year of application to the program, is <b>mandatory</b>. Participation may be in person or via teleconference. Credit for participation will be given to the DBE owner or the representative identified in the DBE/SBE certification file.</li> <li>• The amount of eligible reimbursement has increased to \$1500 dollars.</li> <li>• This program is <u>only</u> available to DBEs who are currently bidding or working on FHWA funded projects.</li> <li>• Applications are available on the CRO website at <a href="http://www.dotcivilrights.alaska.gov">www.dotcivilrights.alaska.gov</a>.</li> </ul> <p><b>Statements of Work (SOW)</b></p> <p>The SOW is due March 15<sup>th</sup> of each year and covers four major parts outlined below. These parts should be detailed in its activities and have measurable outcomes.</p> <p><b>PART I: Program Design</b></p> <ul style="list-style-type: none"> <li>• Purpose</li> <li>• Program Goals and Objectives</li> <li>• Result Oriented Objectives</li> </ul> <p><b>PART II: Budget Summary</b></p>	
Revised 4/2015	Page 3 of 4

ADOT&PF CIVIL RIGHTS OFFICE (CRO)  <b>OPERATING METHODS</b>	PROGRAM: DBE / SBE Business Development Services (formerly Support Services)  AREA: DBE / SBE Business Development Office (formerly Support Services)  APPROVED: <i>Dennis Cord</i>  DATE: April 2015
<p><b>PART III: Evaluation, Monitoring and Oversight Plan</b></p> <p><b>Part IV: Reporting Requirements</b></p> <p>The Business Development Coordinator will submit quarterly reports to FHWA by the 15<sup>th</sup> of the month following each quarter. As such, a detailed accounting of the quarter’s activities and expenditures will be required for these reports. The DBE Program is funded based on a calendar year. The following are the quarterly reporting periods:</p> <ul style="list-style-type: none"> <li>• Quarter 1 – January 1 to March 31</li> <li>• Quarter 2 – April 1 to June 30</li> <li>• Quarter 3 – July 1 to September 30</li> <li>• Quarter 4 – October 1 to December 31</li> </ul> <p><b>Business Development Program (BDP)</b></p> <p>The BDP hereafter refer to as the Map to Success, is a program designed to create the maximum practicable opportunities for DBEs/SBEs. The primary objective is to increase their business growth through contracting and procurement opportunities, while utilizing Capacity Assessments to analyze capital and bonding capacities of the DBEs to compete in the market place.</p> <p>The Map to Success will be available to all DBEs who wish to work on FHWA funded projects.</p> <p><b>Alaska Unified Certification Program (AUCP) Liaison</b></p> <p>The DBE/SBE Business Development Office will take on this responsibility to ensure that our AUCP partners are active in the DBE Annual Conference and will maintain a current AUCP directory with current point of contact information.</p>	
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ADOT&PF <b>CIVIL RIGHTS OFFICE</b> (CRO)	PROGRAM: OJT Support Services
<b>OPERATING METHODS</b>	AREA: DBE/SBE Business Development Office (formerly Support Services)
	APPROVED: <i>Dennis Lund</i>
	DATE: Apr 2015

**PURPOSE:** To establish procedures for implementing and administering the Statewide On-the-Job (OJT) Support Services Program in compliance with federal regulations.

**POLICY:** The Alaska Department of Transportation and Public Facilities (ADOT&PF) has instituted the On-the-Job Training (OJT) program as a condition of continued funding for federally aided highway construction projects. Historically, it has been recognized that a need exists to train women and minorities in the construction trades. As a result, the objectives of the ADOT&PF OJT program are to:

- Provide training and improve the skills of women and minorities so that they have the opportunity and access to higher paying skilled trade jobs; to achieve journeyman status; and
- Broaden the labor pool to meet the projected future labor needs in the construction industry.

**DISTRIBUTION:** To all CRO Staff via electronic copy and follow up discussion during staff meetings

**OPERATING METHODS**

**Authority and Guidelines:**

The Disadvantaged Business Enterprise Liaison Officer (DBELO) has delegated authority to the Civil Rights Office (CRO) Manager within the ADOT&PF for matters pertaining to the OJT Support Services Program. Criteria used as applicable.

**Program Elements - Overview**

**Funding**

Funds are authorized under 12 U.S.C. 140(b) and allocated at the federal level in an amount of up to one-half of one percent (.5%) of the total available federal construction receipts designated to the State. The actual amount of funds used for OJT Support Services is an administrative decision at the state level. A request to reallocate a portion of those monies for OJT Support Services is made by the CRO Manager to the Commissioner of ADOT&PF; who makes the final appropriation determination. Federal receipts are matched with state dollars (interstate ratio:

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ADOT&PF <b>CIVIL RIGHTS OFFICE</b> (CRO)	PROGRAM: OJT Support Services
<b>OPERATING METHODS</b>	AREA: DBE/SBE Business Development Office (formerly Support Services)
	APPROVED: <i>Dennis Lund</i>
	DATE: Apr 2015

93% federal, 7% state). Once authorized at the state level, federal authority is finalized after the OJT Support Services Statements of Work (SOW) and accompanying budget is approved by the FHWA Civil Rights/Right of Way Specialist.

The Business Development Coordinator submits annually for additional OJT Supportive Services monies that are formula based. These dollars are used toward the implementation of the OJT reimbursement program, outreach, career readiness initiatives and construction career days. An OJT SOW is a mandatory submittal of no more than 10 pages.

**OJT Program**

The OJT Program Support Services is a federally funded program designed to assist minorities and females who aspire to work and/or embark on a construction related career. OJT Support Services provides several pathways to bring a level of awareness and offer career readiness opportunities for this underrepresented group. These pathways include:


- Alaska Construction Career Days (ACCD). This awareness program takes high school students on a day long, hands-on-exploration of construction trades which gives them exposure to a wide variety of construction and transportation careers. Labor unions, construction companies, UAA, UAF, school districts, state agencies, trade and professional organizations are key stakeholders that collaborate to host this event. Funds permitting, the following school districts participate in ACCD:
  - Anchorage School Districts
  - Matsu School Districts
  - Kenai Peninsula Borough School Districts
  - Southeast School Districts
- All ACCD logistical planning forms, letters and schematics are located on the CRO R drive\OJT Support Services\ACCD
- Career Readiness Certificate (25A-310 DOT – Section 5- Training Program) specifies the roles and responsibilities of the contractor who has to fulfill OJT Goal requirements for women or minorities on FHWA funded projects. This section identifies career readiness certificates that the contractor should offer the trainee in an effort to enhance their marketable skills.


**General OJT Support Services**

The Business Development Coordinator conducts the following OJT supportive services:

- Provides Sec 645 technical training

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ADOT&PF <b>CIVIL RIGHTS OFFICE</b> (CRO)	PROGRAM: OJT Support Services  AREA: DBE/SBE Business Development Office (formerly Support Services)  APPROVED:   DATE: Apr 2015
<b>OPERATING METHODS</b>	
<ul style="list-style-type: none"> <li>• Sets OJT Goals</li> <li>• OJT/SSC sets OJT Goals</li> <li>• Monitors and tracks hours and trainees on projects with OJT Goals utilizing the BIZTRAK data system.</li> <li>• Conduct quality assurance reviews of trainees to ensure discriminatory practices are not occurring and that the Apprentices/Trainees are getting the job experience they need to gain marketable skills within the construction industry in addition to advancing in their career paths.</li> <li>• Conducts outreach initiatives in efforts to recruit women and minorities into the construction trades. This outreach is in partnership with Associated General Contractors (AGC) and other key construction stakeholders.</li> <li>• Implements career related curriculum within an educational institution. The Business Development Office is currently exploring the implementation of TRAC and RIDES (ASSHTO program) at local schools.</li> </ul> <p><b>50% OJT Reimbursement Program</b>          This program is designed to assist trainees by offsetting the cost of:</p> <ul style="list-style-type: none"> <li>• tools</li> <li>• education</li> <li>• day care</li> <li>• Travel (bus passes, shuttle business service, train pass).</li> </ul> <p>The application is available on the CRO website <a href="http://www.dotcivilrights.alaska.gov">www.dotcivilrights.alaska.gov</a></p> <p><b>Statements of Work (SOW)</b>          The SOW is due March 15<sup>th</sup> of each year and covers four major components outlined below. These components should be detailed in its activities and have measurable outcomes.</p> <p><b>PART I: Program Design</b></p> <ul style="list-style-type: none"> <li>• Purpose</li> <li>• Program Goals and Objectives</li> <li>• Result Oriented Objectives</li> </ul> <p><b>PART II: Budget Summary</b></p>	
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ADOT&PF <b>CIVIL RIGHTS OFFICE</b> (CRO)	PROGRAM: OJT Support Services  AREA: DBE/SBE Business Development Office (formerly Support Services)  APPROVED:   DATE: Apr 2015
<b>OPERATING METHODS</b>	
<p><b>PART III: Evaluation, Monitoring and Oversight Plan</b></p> <p><b>Part IV: Reporting Requirements</b></p> <p>The OJT Support Services Coordinator will submit quarterly reports to FHWA by 15<sup>th</sup> of the month following each quarter. As such, a detailed accounting of the quarter's activities and expenditures will be required for these reports. The OJT Program is funded based on the Federal Fiscal Year. The following are the quarterly reporting periods:</p> <ul style="list-style-type: none"> <li>Quarter 1 – October 1 to December 31</li> <li>Quarter 2 – January 1 to March 31</li> <li>Quarter 3 – April 1 to June 30</li> <li>Quarter 4 – July 1 to September 30</li> </ul>	
Revised 4/2015	Page 4 of 4

8. What about the Planholders Self-Registration List (PHSRL)?

*The PHSRL will continue to serve as a portal for prime contractors to connect with DBEs and small businesses interested in working on projects.*

9. Are Good Faith Efforts (GFE) requirements still applicable under a DBE Program?

*Bidders must submit GFE documentation for Federal-aid projects; although evaluation of GFE for sufficiency is not a condition of award, documenting GFE is required and is necessary for the Department's and FHWA's determination of compliance with regulations.*

*For GFE purposes, contact DBEs listed in the Department's Plan Holders Self-Registration List for the particular project being bid at least 7 calendar days prior to bid opening to solicit their interest. Log each contact with a DBE firm on a Contact Report Form (Form 25A-321A).*

## AKDOT&PF-86 Pinnacle 20171227\_Financial\_OB\_Status Report

### OBLIGATION STATUS REPORT

**KEIFER, KRISTEN E**

IRIS #	Project Name	Phase	Expected Date	Estimate (Par.)	Estimate (NP)	Estimate Date	Description	Project Type	Need ID
CFHW00091	AMATS ABBOTT RD REHAB - PHASE II							HIGHWAY	
4		6/15/2017	6,100,000	0	10/15/2015	ATP with Const Req PSE estimate			2174
7		6/15/2017	2,700,000	0	2/17/2015	ATP with Util Reqs			2174
Z580130000	GLENN HWY: MP 53 TO 56 RECONSTR. MOOSE CK CANYON							HIGHWAY	
3		6/15/2017	3,000,000	0	2/17/2015	ATP App & Acq Reqs. Date depended on 105 MOA resolution.			2320
4		1/15/2018	50,000,000	0	2/17/2015	ATP Const Req PH Review			2320
7		1/15/2018	1,000,000	0	8/1/2014	Utility Reqs Req			2320
Z524610000	HOMER LAKE STREET REHAB							HIGHWAY	
4		6/15/2018	5,000,000	0	10/15/2012	ATP Const est updated			23197
7		6/15/2018	450,000	0	7/21/2010	Utility Reqs Reqs per PMP			23197
CFHW00106	MINNESOTA DR: SEWARD TO TUDOR PAVEMENT PRESERVATION							HIGHWAY	
4		4/15/2017	11,900,000	0	12/17/2015	ATP Construction placeholder			28290
7		4/15/2017	100,000	0	11/2/2015	ATP Utility reqs placeholder			28290

Friday, December 02, 2016

### OBLIGATION STATUS REPORT

**KEIFER, KRISTEN E**

IRIS #	Project Name	Phase	Expected Date	Estimate (Par.)	Estimate (NP)	Estimate Date	Description	Project Type	Need ID
CFHW00132	MINNESOTA DR: TUDOR TO 15TH AVE PAVEMENT PRESERVATION							HIGHWAY	
3		7/15/2017	50,000	0	12/17/2015	ATP ROW est			28290
4		4/15/2018	5,350,000	0	12/17/2015	ATP Const/est			28290
7		4/15/2018	100,000	0	12/17/2015	ATP Utility Reqs est			28290
Z53010000	SEWARD HWY: MP 17-22.5 REHABILITATION							HIGHWAY	
4		5/1/2018	57,000,000	0	2/1/2014	ATP Const Req - Prelim P/M Est			2617
7		5/1/2018	700,000	0	2/7/2012	Utility Reqs Req - PMP			2617
CFHW00129	TAKOTNA RIVER BRIDGE REHABILITATION							HIGHWAY	
3		6/15/2017	50,000	0	12/10/2015	ATP AAA placeholder			18924
4		5/15/2018	2,500,000	0	12/10/2015	ATP Construction placeholder			18924
7		5/15/2018	50,000	0	12/10/2015	ATP Utility Reqs placeholder			18924
Z516210000	TAKOTNA: GOLD CR BRIDGE & TATALINA BRIDGE REPLACEMENT							HIGHWAY	
4		5/15/2018	3,700,000	0	3/2/2016	ATP Const P/M est			26124
7		5/15/2018	150,000	0	7/14/2011	Util Reqs Req			26124

Friday, December 02, 2016

# AKDOT&PF-87 Pinnacle ATA\_ ANC Gates B1, B3, & B5 Reconstruction Design Status Report

Design Status Report					
Program #: Z539420000	Federal Project #: 0506003	Design Manager: KEIFER, KRISTEN E			
AKSAS #: 53942	Ledger Code: 30227522	MPO: AMATS	Construction Manager: ANDERSON, ROBERT L		
Need ID: 2174	End Date: 09/30/2020	Area Planner: JONGENELEN, AARON M			
Project Name: <b>AMATS: ABBOTT RD REHAB - LAKE OTIS TO BIRCH</b>					
Remarks: phase one construction under pj 59190, phase two construction under pj 59191					
Project Scope	11/02/1998	Improvements are not specific at this time, but could range from an improved 2-lane to 4-lane roadway depending on long-term traffic need, includes intersection and pedestrian improvements. No landscaping. Improvements will include the addition of a center left turn lane, Acceleration and deceleration lanes, turn pockets, and roadside safety improvements.			
Project Scope	01/20/2012				
Project Scope	08/27/2012	3/22/12 - FHWA time ext thru FFY2014. Rehabilitate Abbott Road from Elron Road to Lake Otis Parkway. Improvements will include sections of 3-lane and 2-lane with Two Way Left Turn Lane. Will include intersection and pedestrian improvements.			
Program Summary					
Project Funding and Expenditure Summary					
Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Restricted Funding	0	0	-33,795	0	0
Design	1,436,836	593,890	0	210,807	632,139
Right of Way	2,357,153	1,693,243	0	0	663,910
Design Development Milestones					
Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date		
Project Management Plan Completed					
In-House Scoping Meeting			06/01/2001		
ATP through Reconnaissance Study					
ATP through Environmental Document			01/22/1999		
Document to FHWA/Statewide			01/09/2012		
Document Approved			08/14/2012		
ATP through Final PS&E			09/13/2012		
Design Study Report Approved			02/12/2014		
Local Review					
Plans In Hand Review			03/08/2014		
PS&E Review			12/17/2014		
ATP through Appraisals & Acquisitions			08/28/2014		
ATP through Utility Relocation					
Signed Agreements					
Right Of Way Certification					
ATP through Construction					
Estimated Advertise Date:					
Project Status					
Project Information		Designer: In-House (Keifer)			
Project Progress	11/01/2016	Abbott Phase I Transferred to Construction. Completion date is June 30, 2017. Will continue to support Construction.			
		Abbott Phase II Design: PS&E review will be completed in February 2017. PI: Conducted various PI outreach efforts this summer and fall. Enviro: Reevaluation for phase 2 prior to set. Survey: Survey Control Sheet for Phase 2 alignment will be needed prior to advertisement. ROW: Design is working closely with ROW on remaining parcels. Working with MOA On-Site for septic waivers. Utilities: Agreements for Phase 2 will be completed in-house.			
Environmental Information		Contact: DIETRICK, MATTHEW V			
Document Type:	CE that is approved by DOT statewide				
Environmental Progress	10/26/2016	CURRENT TASKS: Providing environmental support for construction.			
		COMPLETED TASKS: NOI modification to update billing contact information completed on 5/26/2016. NOI for coverage under the APDES CGP obtained on 5/20/2016. Environmental commitments memo delivered to DOT&PF Project Engineer and construction contractor at the preconstruction meeting on 5/15/2016. Municipality of			
12/27/16 1:38 PM				Project ID: 19803	

Design Status Report					
Program #: Z539420000	Federal Project #: 0506003	Design Manager: KEIFER, KRISTEN E			
AKSAS #: 53942	Ledger Code: 30227522	MPO: AMATS	Construction Manager: ANDERSON, ROBERT L		
Need ID: 2174	End Date: 09/30/2020	Area Planner: JONGENELEN, AARON M			
Project Name: <b>AMATS: ABBOTT RD REHAB - LAKE OTIS TO BIRCH</b>					
Remarks: phase one construction under pj 59190, phase two construction under pj 59191					
Project Scope	11/02/1998	Improvements are not specific at this time, but could range from an improved 2-lane to 4-lane roadway depending on long-term traffic need, includes intersection and pedestrian improvements. No landscaping. Improvements will include the addition of a center left turn lane, Acceleration and deceleration lanes, turn pockets, and roadside safety improvements.			
Project Scope	01/20/2012				
Project Scope	08/27/2012	3/22/12 - FHWA time ext thru FFY2014. Rehabilitate Abbott Road from Elron Road to Lake Otis Parkway. Improvements will include sections of 3-lane and 2-lane with Two Way Left Turn Lane. Will include intersection and pedestrian improvements.			
Program Summary					
Project Funding and Expenditure Summary					
Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Restricted Funding	0	0	-33,795	0	0
Design	1,436,836	593,890	0	210,807	632,139
Right of Way	2,357,153	1,693,243	0	0	663,910
Design Development Milestones					
Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date		
Project Management Plan Completed					
In-House Scoping Meeting			06/01/2001		
ATP through Reconnaissance Study					
ATP through Environmental Document			01/22/1999		
Document to FHWA/Statewide			01/09/2012		
Document Approved			08/14/2012		
ATP through Final PS&E			09/13/2012		
Design Study Report Approved			02/12/2014		
Local Review					
Plans In Hand Review			03/08/2014		
PS&E Review			12/17/2014		
ATP through Appraisals & Acquisitions			08/28/2014		
ATP through Utility Relocation					
Signed Agreements					
Right Of Way Certification					
ATP through Construction					
Estimated Advertise Date:					
Project Status					
Right of Way Information		Contact: MATHIS, LINDA F			
ROW Progress	11/04/2016	There are 4 parcels to acquire and 1 relocation to finalize. Parcels are actively being negotiated.			
Utility Information		Contact: FREESE, DAVID A			
Utility Progress	09/08/2016	May acquire consultant to make utility agreements for phase II. Phase one completed.			
Materials Geotech Information		Contact: PAVEY, ANDREW			
Materials Progress	03/11/2014	Most of the drilling has been completed. The remaining drilling will take place summer 2014. Preliminary recommendations are being worked on.			
Materials Pavement Information		Contact: PAVEY, ANDREW			
Materials Progress	01/12/2011	See Geotech			
12/27/16 1:38 PM				Project ID: 19803	

### Design Status Report

Program #: CPHWY00091 Federal Project #: 05060006 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 59191 Ledger Code: Construction Manager: ANDERSON, ROBERT L  
 Need ID: 2174 End Date: 06/30/2017 Area Planner: JONGENELEN, AARON M  
 Project Name: AMATS: ABBOTT RD REHAB - PHASE II  
 Remarks: parent design under pj 53942

Project Scope 02/20/2015 Rehabilitate Abbott Road from Birch Road to Lake Otis Parkway. Includes widening for 2-lane with Two-Way-Left-Turn-Lane. Will include intersection and pedestrian amenities.

#### Program Summary

Project Phase	Expected Date	Latest Estimates for Future Obligations		Estimate Date	Comment
		Participating	Non-Participating		
Construction	06/15/2017	5,100.0	0.0	10/15/2015	ATP with Const Req P&E estimate
Utilities	06/15/2017	2,700.0	0.0	02/17/2015	ATP with Util Relo Req

#### Project Funding and Expenditure Summary

#### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			
In-House Scoping Meeting			
ATP through Reconnaissance Study			
ATP through Environmental Document			
Document to FHWA/Statewide			
Document Approved			
ATP through Final PS&E			
Design Study Report Approved			
Local Review			
Plans in Hand Review			
PS&E Review			
ATP through Appraisals & Acquisitions			
ATP through Utility Relocation	01/01/2016	07/15/2017	
Signed Agreements	11/01/2015	06/15/2017	
Right Of Way Certification	11/15/2015	06/15/2017	
ATP through Construction	01/01/2016	07/15/2017	

Estimated Advertise Date:

#### Project Status

<b>Project Information</b>	Designer: In-house (Keifer)
Project Progress	05/12/2016 Proposed construction date of 2018. See parent project (2539420000)
<b>Utility Information</b>	Contact: KOENEN, CHRISTOPHER T
Utility Progress	11/01/2016 Waiting for plans to move forward.

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Project ID: 68886

### Design Status Report

Program #: 2560130000 Federal Project #: 0A15025 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 56013 Ledger Code: 30511822 Construction Manager: SCHUMACHER, BRIAN J  
 Need ID: 2320 End Date: 12/31/2019 Area Planner:  
 Project Name: GLENN HWY: MP 53 TO 56 RECONST-MOOSE CK CANYON

Remarks:  
 Project Scope 10/12/2004 Reconstruct Glenn Hwy from MP 53 to 56 to include roadway realignment, replacement of the Moose Creek Bridge #0541, paving and drainage improvements. Reconstruct Evaluate erosion at MP 49 and construct needed improvements.  
 Project Scope 12/31/2008 Revise scope to delete the MP 49 scope of work.

#### Program Summary

Project Phase	STIP / TIP Information		
	2017	2018	2019
Right of Way	3,000.0	0.0	0.0
Construction	0.0	0.0	0.0
Utilities	0.0	0.0	0.0

Project Phase	Expected Date	Latest Estimates for Future Obligations		Estimate Date	Comment
		Participating	Non-Participating		
Right of Way	06/15/2017	3,000.0	0.0	02/17/2015	ATP App & Acq Req. Date depended on 106 MOA resolution.
Construction	01/15/2019	50,000.0	0.0	02/17/2015	ATP Const Req PIH Review
Utilities	01/15/2019	1,000.0	0.0	08/01/2014	Utility Relo Req

#### Project Funding and Expenditure Summary

Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Design	2,353,305	606,442	-24,375	112,641	1,634,222

#### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			
In-House Scoping Meeting			
ATP through Reconnaissance Study			
ATP through Environmental Document			09/26/2005
Document to FHWA/Statewide			
Document Approved			08/13/2012
ATP through Final PS&E			09/13/2012
Design Study Report Approved			10/27/2015
Local Review			08/26/2014
Plans in Hand Review			03/16/2015
PS&E Review		10/15/2018	
ATP through Appraisals & Acquisitions		07/15/2017	
ATP through Utility Relocation		02/15/2018	
Signed Agreements		12/15/2018	
Right Of Way Certification		12/15/2018	
ATP through Construction		02/15/2019	

Estimated Advertise Date:

#### Project Status

<b>Project Information</b>	Designer: HDR (Sherk)
Project Progress	11/01/2016 PM Related: We are working with DOT&PF Tribal Relations Liaison, FHWA, and DOL regarding the existing Moose Creek Bridge. The time extension request through February 2018 has been approved. Design: Mainly support role. Working with Materials on final recommendations and getting volumes. ROW: Mapping/parcel plats draft sent and reviewed. Preliminary ROW mapping products are scheduled to be submitted to the Borough soon. Ekiutna is steering conversation with BLM regarding the 17b easement. ROW is reaching out to BLM too. PI: E-newsletter and public meeting scheduled for later this year. Hosted a booth at the Mat-Su Transportation Fair. Enviro: The findings letter was submitted to all consulting parties. There is a finding of adverse effects to historic properties, negotiations will occur for a memorandum of agreement. MOA. The MOA will mitigate the project impacts on cultural resources. Utilities: MEA has delivered their design and tentatively. Materials: Materials provided draft recommendations to design. Bridge: Drilling was pushed back to next winter since the cultural resource findings of effect is required to include the drilling and access areas. Bridge section is aware of the new drilling schedule for winter 2016-2017. A seismic survey by Statewide is scheduled for November. This work will not disturb original ground or vegetation.

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Project ID: 40424

### Design Status Report

Program #: 2560130000 Federal Project #: DA15025 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 56013 Ledger Code: 30511622 Construction Manager: SCHUMACHER, BRIAN J  
 Need ID: 2320 End Date: 12/31/2015 Area Planner:  
 Project Name: GLENN HWY: MP 53 TO 56 RECONST-MOOSE CK CANYON

#### Environmental Information Contact: DIETRICK, MATTHEW V

Document Type: Environmental Assessment Re-evaluation  
 Environmental Progress 10/25/2016 CURRENT TASKS: DOT&PF Central Region cultural resource specialist resolving concerns from consulting parties, specifically SHPO, in regards to the finding of adverse effect letter. Completion of EA reevaluation dependent on completion of Section 106 (including memorandum of agreement to resolve adverse effects) and 4(f) consultations.

COMPLETED TASKS: Section 106 finding of adverse effect letters delivered to consulting parties on 5/25/2016. SHPO responded with several concerns requiring resolution prior to their concurrence. FHWA concurred that there will no 4(f) use of the 17(b) easement on 4/25/2016. ADFG fish habitat permit for geotech investigation received on 1/14/2016, expires on 4/15/2018. Agency project update delivered on 10/5/2015, no comments received. Section 106 consultation meetings with consulting parties completed on 6/17/2015, additional survey work is required prior to submission of finding of effect letters. Wetland and noise reports complete, noise abatement measures are not recommended. Public open house completed 9/10/2014, general sentiment from attendees was in support of the project. FHWA confirmed that a reevaluation of the 1993 EA/FONSI is the appropriate level of documentation. 11/25/2013. Re-evaluation #1 of 1993 EA/FONSI approved by FHWA on 8/13/2012. Original EA/FONSI was approved by FHWA January 1993.

ISSUES/PROBLEMS: None

#### Right of Way Information Contact:

ROW Progress 05/14/2015 Preparing SSB for PDA request.

#### Utility Information Contact: BARKSHIRE, BRITTANY D

Utility Progress 11/01/2016 MEA provided an updated design on 2/8/16. No information has been received from AT&T or MTA. ARRC provided a letter approving the road alignment on 6/29/15. PE Authorization will be provided to AT&T and MTA once updated F Sheets are provided.

#### Materials Geotech Information Contact: PAVEY, ANDREW

Materials Progress 05/10/2012 Preliminary field work and recommendations complete.

#### Bridge Information Contact: MARX, ELMER E

Bridge #: 541 Bridge Name: MOOSE CREEK  
 Bridge Scope 10/04/2007 Replace the existing bridge on new alignment.  
 Bridge Progress 10/27/2016 See Br. No. 2223

#### Bridge Information Contact: MARX, ELMER E

Bridge #: 2223 Bridge Name: MOOSE CREEK  
 Bridge Scope 05/06/2015 New bridge replacing existing Br. No. 541.  
 Bridge Progress 10/27/2016 Sent Prelim. Plans 2/5/2015. Foundation drilling expected winter of 2016 / 2017.

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Project ID: 40424

### Design Status Report

Program #: Z524610000 Federal Project #: 0001422 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 52461 Ledger Code: 30742822 Construction Manager: PAUL, LAURA C  
 Need ID: 23197 End Date: 08/01/2020 Area Planner: BILOON, JOSELYN  
 Project Name: HOMER: LAKE STREET REHAB

Remarks:  
 Project Scope 05/14/2010 Rehabilitate pavement of approx 2,500 feet, construct sidewalks on both sides of the road and provide drainage improvements. Lake Street is located in downtown Homer, between the Sterling Highway and Pioneer Avenue.

#### Program Summary

Project Phase	STIP / TIP Information		
	2017	2018	2019
Right of Way	331.0	0.0	0.0
Construction	0.0	0.0	0.0
Utilities	0.0	0.0	0.0

Project Phase	Expected Date	Latest Estimates for Future Obligations			Comment
		Participating	Non-Participating	Estimate Date	
Construction	06/15/2018	5,000.0	0.0	10/15/2012	ATP Const est updated
Utilities	06/15/2018	450.0	0.0	07/21/2010	Utility Reio Req per PMP

#### Project Funding and Expenditure Summary

Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Design	683,618	322,155	-9,697	94,661	267,002
Right of Way	1,348,650	0	0	0	1,348,650

#### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			07/16/2010
In-House Scoping Meeting			05/19/2010
ATP through Reconnaissance Study			
ATP through Environmental Document			
Document to FHWA/Statewide			07/23/2014
Document Approved	05/01/2011		07/23/2014
ATP through Final PS&E	08/01/2010		08/23/2010
Design Study Report Approved			03/16/2015
Local Review			
Plans In Hand Review	10/01/2011		08/18/2015
PS&E Review		06/15/2017	
ATP through Appraisals & Acquisitions		09/25/2016	
ATP through Utility Relocation		07/15/2018	
Signed Agreements		05/15/2018	
Right Of Way Certification		05/15/2018	
ATP through Construction	05/01/2013	07/15/2018	

Estimated Advertise Date:

#### Project Status

Project Information Designer: In-House (Keifer)  
 Project Progress 11/01/2016 Design: Mainly supporting sections. Transferring to new 2016 ACAD format. Received multiple comments regarding a pedestrian crossing at the new Grubstake Ave. Planning on reviewing warrants and completing ped counts in 2017 after construction of Grubstake is completed.  
 Enviro: Expedited CE re-evaluation was completed in August 2016.  
 ROW: Phase 3 funding received. ROW mapping was submitted to KPB.  
 Utilities: Working on ROW needs with Design. PE letters sent.  
 Materials: Draft geotechnical recommendations submitted 2013, final recommendations pending PS&E review.  
 PI: Public Open House was June 21, 2016. Well attended and well received. WHPacific has Public Involvement and Design Support Services contract.

#### Environmental Information Contact: MAHONEY, BREANNA M

Document Type: CE that is approved by DOT statewide  
 Environmental Progress 10/31/2016 Current Tasks:  
 - Awaiting PS&E design review package

Completed Tasks:  
 - Regional Environmental Manager approved an Expedited Re-evaluation to proceed to ROW phase on

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Project ID: 57115

### Design Status Report

Program #: Z524510000      Federal Project #: 0001422      Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 52451      Ledger Code: 30742822      Construction Manager: PAUL, LAURA C  
 Need ID: 23197      End Date: 08/01/2020      Area Planner: BILOON, JOSELYN  
 Project Name: HOMER: LAKE STREET REHAB

**Remarks:**

08.02.2016  
 - Attended a public meeting on 05.21.2016  
 - Attended PIH review meeting on 08.18.2015  
 - Submitted PIH review set comments to the PM on 08.11.2015  
 - Attended a public meeting in Homer on 07.14.2015  
 - Regional Environmental Manager approved environmental document on 07.23.2014  
 - Completed Wetland Delineation Report 02.01.2014  
 - Coordinated with DEC on Hazardous materials site adjacent to project and no permit is needed  
 - SHPO concurred on a Section 106 Finding of No Historic Properties Affected on 04.23.2013  
 - Conducted public meeting on 8.30.2012, and the majority of people were in favor of the project and wanted a bike lane added  
 - Statewide 6004 NEPA Manager approved the project Class of Action as a Categorical Exclusion on 07.14.2010  
  
 Issues/Problems:  
 - None

Permit #	Permit Type	Appl Date	Issue Date	Expr Date
	City of Homer wetland fill permit			
	Corps of Engineers 404 Individual Wetland Permit			
	Environmental Conservation Storm Water Letter of Non-objection			
	National Pollution Discharge Elimination System - Notice of Intent			
	National Pollution Discharge Elimination System - Notice of			

**Right of Way Information**      Contact: DECARLI, MARCIE A

ROW Progress      11/09/2015      Assigned to project.\*\*\* Waiting for Phase 3 funding to proceed. 9/8/16\*\*\*Developed Cost Estimate for requesting funds. 8/11/16\*\*\*  
 Received plans for review. 7/13/16\*\*\* Received plans for review. Working on MOA with KPB for road improvements involved in the project. 8/5/15\*\*\*No activity this month. 9/10/14\*\*\* No activity this month. 8/11/14\*\*\* No activity this month. 7/9/14 \*\*\*No activity this month.6/6/14 \*\*\*No activity this month. PIH estimated August 2014

**Utility Information**      Contact: MCCARTHY, KEVIN R

Utility Progress      11/01/2015      Have received HEA one-line design. Need to discuss the PRV station with COH in detail more. Still waiting for GCI and ENSTAR to submit their one-line design.

**Materials Geotech Information**      Contact: YERKES, MICHAEL C

Materials Progress      10/12/2015      Draft geotech recommendations submitted 12/24/13. Final recommendations pending PS&E review.

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Project ID: 57115

### Design Status Report

Program #: CFHWY00256      Federal Project #:      Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 30256      Ledger Code:      Construction Manager:      Area Planner: BOYLE, JAMES D  
 Need ID:      End Date:      Project Name: HSIP: MINNESOTA DR GUIDE SIGN UPGRADES - RASPBERRY TO DIMOND

**Remarks:**

Project Scope      11/22/2016      This project will add and replace guide signs between Raspberry Rd. and Dimond Blvd. Interchanges on Minnesota Dr. This may include drainage, dig-outs, guardrail, lighting, paving, and utility relocation.

#### Program Summary

#### Project Funding and Expenditure Summary

#### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			
In-House Scoping Meeting			
ATP through Reconnaissance Study			
ATP through Environmental Document			
Document to FHWA/Statewide			
Document Approved			
ATP through Final PS&E			
Design Study Report Approved			
Local Review			
Plans In Hand Review			
PS&E Review			
ATP through Appraisals & Acquisitions			
ATP through Utility Relocation			
Signed Agreements			
Right Of Way Certification			
ATP through Construction			

Estimated Advertise Date:

#### Project Status

Project Information:      Designer:

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Project ID: 70604



### Design Status Report

Program #: CFHWY00257	Federal Project #:	Design Manager: KEIFER, KRISTEN E
AKSAS #: 30257	Ledger Code:	Construction Manager:
Need ID:	End Date:	Area Planner: BOYLE, JAMES D
Project Name: HSIP: MINNESOTA DR WEAVING LANE - INT'L AIRPORT TO RASPBERRY		
Remarks:		
Project Scope	11/22/2016	This project will add an auxiliary lane ("weaving lane") between International Airport Rd. and Raspberry Rd. Interchanges on Minnesota Dr. This may include widening of the existing corridor, signing, striping, drainage, pavement, dig-outs, guardrail, lighting, and utility relocation.

### Program Summary

### Project Funding and Expenditure Summary

### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			
In-House Scoping Meeting			
ATP through Reconnaissance Study			
ATP through Environmental Document			
Document to FHWA/Statewide			
Document Approved			
ATP through Final PS&E			
Design Study Report Approved			
Local Review			
Plans In Hand Review			
PS&E Review			
ATP through Appraisals & Acquisitions			
ATP through Utility Relocation			
Signed Agreements			
Right Of Way Certification			
ATP through Construction			

Estimated Advertise Date:

### Project Status

Project Information	Designer:
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Project ID: 70605

### Design Status Report

Program #: CFHWY00106	Federal Project #: 0421058	Design Manager: KEIFER, KRISTEN E
AKSAS #: 30106	Ledger Code:	Construction Manager:
Need ID: 18924	End Date: 08/01/2015	Area Planner:
Project Name: MINNESOTA DR: SEWARD TO TUDOR PAVEMENT PRESERVATION		
Remarks:		
Project Scope	11/02/2015	This is a Preventive Maintenance (PM) project for resurfacing Minnesota Drive in Anchorage, Alaska from the Seward Highway to Tudor Road. It will also include, as necessary: guardrail, drainage, signalization, ADA curb ramp improvements, signs and striping.

### Program Summary

Project Phase	STIP / TIP Information		
	2017	2016	2015
Multi-Phase Activity	21,868.2	38,465.6	40,000.0
Other / Miscellaneous	0.0	0.0	0.0

### Latest Estimates for Future Obligations

Project Phase	Expected Date	Participating	Non-Participating	Estimate Date	Comment
Construction	04/15/2017	11,900.0	0.0	12/17/2015	ATP Construction placeholder
Utilities	04/15/2017	100.0	0.0	11/02/2015	ATP Utility reio placeholder

### Project Funding and Expenditure Summary

Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Design	500,000	118,021	0	0	381,979

### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			
In-House Scoping Meeting	12/15/2015		12/17/2015
ATP through Reconnaissance Study			
ATP through Environmental Document			
Document to FHWA/Statewide			
Document Approved	06/15/2016	10/15/2016	
ATP through Final PS&E	03/01/2016		04/06/2016
Design Study Report Approved	06/15/2016	01/15/2017	
Local Review			
Plans In Hand Review	06/15/2016	12/15/2016	
PS&E Review	07/15/2016	03/15/2017	
ATP through Appraisals & Acquisitions			
ATP through Utility Relocation	10/15/2016	05/15/2017	
Signed Agreements	06/15/2016	04/15/2017	
Right Of Way Certification	12/15/2016		
ATP through Construction	10/15/2016	05/15/2017	

Estimated Advertise Date:

### Project Status

Project Information	Designer: Kristen Keifer, PE
Project Progress	11/01/2016 Design: Phase 2 received 4/6/2016. Completed Utilities checklist, Environmental checklist, and Survey request. Looking into drainage improvements in problem locations. Advancing towards PIH and incorporating draft material recommendations. Materials: Held meeting to discuss scope. Draft recommendations completed. Survey: Gathering select survey, deliverables schedule for the end of November. PI: Met with Community councils in area to present the project. Sent out request for a second round of presentations.

Environmental Information	Contact: PANDEY, SUBHA
Document Type:	CE that is approved by DOT statewide
Environmental Progress	10/31/2016 CURRENT TASKS: Waiting on design recommendations from design team to continue environmental document. Finalizing wetland delineation report.  COMPLETED TASKS: Visited the project site with USFWS and design team on 8/19/16. Wetland delineation performed by DOT&PF environmental staff on 08/10/2016 and 08/16/2016. Statewide 6004 NEPA Manager concurred with Section 4(f) no use determination on 07/21/2016. Central Region Cultural Resources Specialist concurred project activities meet Section 106 Programmatic Agreement on 07/16/2016. Agency scoping initiated; scoping materials sent on 06/23/2016, comment period ended 07/27/2016. Public scoping initiated; comment period ended 6/5/2016. Statewide 6004 NEPA Manager approved the Class of Action as a Categorical Exclusion and assignable under 6004 on 02/17/2016.

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Project ID: 69747

### Design Status Report

Program #: CFHWY00106 Federal Project #: 0421098 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 30106 Ledger Code: Construction Manager:  
 Need ID: 18524 End Date: 08/01/2018 Area Planner:  
 Project Name: MINNESOTA DR: SEWARD TO TUDOR PAVEMENT PRESERVATION

Remarks:

ISSUES/PROBLEMS: None

#### Utility Information

Utility Progress 11/01/2016 Waiting for plans.

Contact: FREESE, DAVID A

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Project ID: 69747

### Design Status Report

Program #: CFHWY00132 Federal Project #: 0421099 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 30132 Ledger Code: Construction Manager:  
 Need ID: 18524 End Date: 06/30/2019 Area Planner:  
 Project Name: MINNESOTA DR: TUDOR TO 15TH AVE PAVEMENT PRESERVATION

Remarks:

Project Scope 01/19/2016 This is a Preventive Maintenance (PM) project for resurfacing Minnesota Drive in Anchorage, Alaska from Tudor Road to 15th Avenue. It will also include, as necessary: guardrail, drainage, signalization, ADA curb ramp improvements, signs and striping.

#### Program Summary

STIP / TIP Information			
Project Phase	2017	2018	2019
Multi-Phase Activity	21,868.2	38,465.6	40,000.0
Other / Miscellaneous	0.0	0.0	0.0

#### Latest Estimates for Future Obligations

Project Phase	Expected Date	Participating	Non-Participating	Estimate Date	Comment
Right of Way	07/15/2017	50.0	0.0	12/17/2015	ATP ROW est
Construction	04/15/2016	6,350.0	0.0	12/17/2015	ATP Construction est
Utilities	04/15/2016	100.0	0.0	12/17/2015	ATP Utility Relo est

#### Project Funding and Expenditure Summary

Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Design	500,000	43,367	0	0	456,633

#### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			
In-House Scoping Meeting			
ATP through Reconnaissance Study			
ATP through Environmental Document			
Document to FHWA/Statewide			
Document Approved	09/15/2016	02/15/2017	
ATP through Final PS&E	03/15/2016		03/17/2016
Design Study Report Approved	11/15/2016	03/15/2017	
Local Review			
Plans in Hand Review	09/15/2016	02/15/2017	
PG&E Review	03/15/2017	09/15/2017	
ATP through Appraisals & Acquisitions	04/15/2017	06/15/2017	
ATP through Utility Relocation	12/15/2017	05/15/2018	
Signed Agreements	11/15/2017	04/15/2018	
Right Of Way Certification	11/15/2017	04/15/2018	
ATP through Construction	12/15/2017	05/15/2018	

Estimated Advertise Date:

#### Project Status

Project Information Designer: Kristen Keifer, P.E.  
 Project Progress 11/01/2016 Design: Phase 2 received 3/23/2016. Completed utilities checklist and environmental checklist. Waiting on storm drain video information from Tanaka before we request design survey. Deliverables scheduled for early 2017. Materials: Held meeting to discuss scope. Draft recommendations completed. Pl: Met with Community Councils in area to present the project with the southern phase.

Environmental Information Contact: FERNANDEZ, ELENA R

Document Type: CE that is approved by DOT statewide  
 Environmental Progress 10/26/2016 Current Tasks: On hold pending resolution of ROW, storm drain system analysis.  
 Completed Tasks: Statewide 6004 NEPA Program Manager concurred that there would be no use of a Section 4(f) resource on 9/19/2016. Agency scoping submitted to consulting parties on 8/1/2016. CR Cultural Resources Specialist concurred project meets Section 105 PA on 7/29/2016. Public scoping submitted for publication in the Anchorage Dispatch News and online on 6/15/2016. Statewide 6004 NEPA Program Manager was consulted and it was determined that the project will be a CE (specifically, d(13)) on 2/17/2016.

Issues/Problems: None.

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Project ID: 69970

### Design Status Report

Program #: CFHWY00132 Federal Project #: 0421099 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 30132 Ledger Code: Construction Manager:  
 Need ID: 18924 End Date: 06/30/2019 Area Planner:  
 Project Name: MINNESOTA DR: TUDOR TO 15TH AVE PAVEMENT PRESERVATION

Remarks:  
 Utility Information Contact: FREESE, DAVID A  
 Utility Progress 11/01/2016 Will assess conflicts once PIH is submitted.

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Project ID: 69970

### Design Status Report

Program #: Z53610000 Federal Project #: 0311032 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 53610 Ledger Code: 30516322 Construction Manager: DRAKE, ALAN L  
 Need ID: 2617 End Date: 05/31/2021 Area Planner: BILION, JOSELYN  
 Project Name: SEWARD HWY: MP 17-22.5 REHABILITATION

Remarks:  
 Project Scope 02/07/2012 Rehabilitate the Seward Highway from MP 17 to MP 22.5. Replace the bridge at Victor Creek (#0607), rehabilitate the bridges over Snow River (#0605 and #0603), and may include widening shoulders and the construction of passing lanes where feasible.

#### Program Summary

Project Phase	STIP / TIP Information		
	2017	2018	2019
Construction	0.0	0.0	0.0
Utilities	0.0	0.0	0.0

#### Latest Estimates for Future Obligations

Project Phase	Expected Date	Participating	Non-Participating	Estimate Date	Comment
Construction	05/01/2016	57,000.0	0.0	02/01/2014	ATP Const Req - Prelim PIH Est
Utilities	05/01/2016	700.0	0.0	02/07/2012	Utility Relo Req - PMP

#### Project Funding and Expenditure Summary

Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Design	1,328,509	570,436	-18,819	165,348	592,725
Right of Way	1,036,000	141,416	0	0	894,584

#### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			
In-House Scoping Meeting			
ATP through Reconnaissance Study			
ATP through Environmental Document			08/07/2012
Document to FHWA/Statewide			09/05/2013
Document Approved			09/19/2013
ATP through Final PS&E			10/25/2013
Design Study Report Approved			01/16/2015
Local Review			02/25/2014
Plans in Hand Review			01/22/2015
PS&E Review		08/15/2017	
ATP through Appraisals & Acquisitions			08/10/2015
ATP through Utility Relocation		06/01/2018	
Signed Agreements		12/01/2017	
Right Of Way Certification		12/01/2017	
ATP through Construction		06/01/2018	

Estimated Advertise Date:

#### Project Status

Project Information Designer: In-House (Keifer)  
 Project Progress 11/01/2016 Design: Beginning negotiations for the large procurement for H&H and Design Support Services. Working with Materials regarding recommendations for final thickness of shot rock layer in typical section, staging issues, overburden slopes, and material specifications information.  
 Materials: Materials finished drilling and perc tests for potential infiltration basin. Draft geotechnical report submitted. Materials completed a field trip to map the rock out area and working on updating recommendations.  
 Enviro: Reevaluation completed for Phase 3.  
 Bridge: SFER to be completed for the Victor Creek Bridge in 2017.  
 Utilities: Working with ARRC regarding drainage impacts to their facility. Received one line designs from City of Seward.  
 ROW: ROW and design team met with owners on July 26, 2016. Responding to inquiries as they come in.  
 PI: Letters and figures were sent to affected property owners. Project team members for the Seward Highway MP 17-22.5 Rehabilitation and Seward highway MP 25.5-36 Rehabilitation will again host a table at the Seward Holiday Arts and Crafts Fair. Event is in the PI calendar.

Environmental Information Contact: DIETRICK, MATTHEW V

Document Type: Categorical Exclusion  
 Environmental Progress 10/26/2016 CURRENT TASKS: Project is in right-of-way acquisition phase.  
 COMPLETED TASKS: CE re-evaluation document approved by FHWA

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Project ID: 60313

### Design Status Report

Program #: Z536100000 Federal Project #: 0311032 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 63610 Ledger Code: 30516322 Construction Manager: DRAKE, ALAN L  
 Need ID: 2617 End Date: 05/31/2021 Area Planner: BILOON, JOSELYN  
 Project Name: SEWARD HWY: MP 17-22.5 REHABILITATION

**Remarks:**

on 7/20/2015. Project determined to be not Type I and a noise analysis is not required, 5/5/2015. Public Open House held 10/15/2014 at the Seward Library and Museum, most in attendance expressed support for the project. Categorical Exclusion completed and approved September 19, 2013. Public comment period for proposed Section 4(f) de minimis Impact finding closed 4/22/2013, no comments received. SHPO concurred with Section 106 finding of No Historic Properties Affected on 8/27/13. Public and agency scoping completed, no substantial comments received. Project is not assignable under 3004. FHWA concurred that project qualifies as a categorical exclusion, 3/9/2012.

ISSUES/PROBLEMS: None

**Right of Way Information** Contact: DECARLI, MARCIE A

ROW Progress 11/09/2016 11.09.16 Revised offers were sent. 05.12.16 All offers have been sent to the property owners, waiting to receive signed documents. 03.18.16 Offers sent out. 07.05.16 Received the approved appraisals, ready for negotiations. 05.07.16 Appraisals are in review and waiting for approval. 05.09.16 Due to the complexity of parcel 19 the appraiser requested an extension on the appraisal deliverables to 05.15.16...04.13.16 No Change 03.07.16 Appraisals in process, estimated deliverables 05.05.16...02.05.16 Appraisals Requested 01.06.16 No Change. 11.12.15 Assigned to project 11.10.15... Preparing SSB for PDA request.

**Utility Information** Contact: BARKSHIRE, BRITTANY D

Utility Progress 11/01/2016 City of Seward provided a one line design indicating ROW needs for their relocation. Preliminary Engineering authorization will be submitted to TeAlaska and AT&T once updated F. Sheets are provided.

**Materials Geotech Information** Contact: MILLER, MITCHEL R

Materials Progress 01/02/2015 Fieldwork complete. Recommendations and Geotech report being developed.

**Bridge Information** Contact: DAUGHERTY, LESLIE K

Bridge #: 605 Bridge Name: SNOW RIVER CNTR CHANNEL  
 Bridge Scope 03/08/2012 Rehabilitate deck and install crash-tested bridge rails.  
 Bridge Progress 10/27/2016 See Bridge No. 603.

**Bridge Information** Contact: DAUGHERTY, LESLIE K

Bridge #: 603 Bridge Name: SNOW RIVER WEST CHANNEL  
 Bridge Scope 03/08/2012 Rehabilitate bridge deck and install crash-tested bridge rails.  
 Bridge Progress 10/27/2016 Evaluating options. Sent updated Preliminary Plans for Local Review 12/23/13. Waiting for NTP. Performed deck evaluation testing May '15.

**Bridge Information** Contact: DAUGHERTY, LESLIE K

Bridge #: 607 Bridge Name: VICTOR CREEK  
 Bridge Scope 07/05/2000 Replace existing 24x198' bridge.  
 Bridge Progress 10/27/2016 May want to consider accelerating this project if possible due to deteriorated condition of the bridge. Sent Prelim. Plans 12-23-13.

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Project ID: 60313

### Design Status Report

Program #: CFHWY00129 Federal Project #: 0001569 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 30129 Ledger Code: Construction Manager:  
 Need ID: 18924 End Date: 02/15/2018 Area Planner:  
 Project Name: TAKOTNA RIVER BRIDGE REHABILITATION

**Remarks:**

Project Scope 12/24/2015 This project will rehabilitate the Takotna River Bridge to bring the bridge to a functional and reasonable level of service. Rehabilitation will also include stabilizing or rebuilding the abutments and surrounding materials, repairing the timber decking and railings, scour protection, and replacing or strengthening damaged trusses. Other work may include clearing debris and brush from the bridge approaches, regarding the roadway near the approaches and replacing railing, signs and markers as necessary.

#### Program Summary

Project Phase	STIP / TIP Information		
	2017	2018	2019
Multi-Phase Activity	21,868.2	38,465.6	40,000.0
Other / Miscellaneous	0.0	0.0	0.0

#### Latest Estimates for Future Obligations

Project Phase	Expected Date	Participating	Non-Participating	Estimate Date	Comment
Right of Way	05/15/2017	50.0	0.0	12/10/2015	ATP A&A placeholder
Construction	05/15/2018	2,500.0	0.0	12/10/2015	ATP Construction placeholder
Utilities	05/15/2018	50.0	0.0	12/10/2015	ATP Utility Reloc placeholder

#### Project Funding and Expenditure Summary

Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Design	950,000	28,626	0	0	921,374

#### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			
In-House Scoping Meeting	02/09/2016		02/09/2016
ATP through Reconnaissance Study			
ATP through Environmental Document			
Document to FHWA/Statewide	12/15/2016	03/15/2017	
Document Approved	04/15/2016		
ATP through Final PS&E	04/15/2016		05/10/2016
Design Study Report Approved	05/15/2017	03/15/2017	
Local Review			
Plans In Hand Review	02/15/2017	04/01/2017	
PS&E Review	11/15/2017		
ATP through Appraisals & Acquisitions	08/15/2017	07/15/2017	
ATP through Utility Relocation	06/15/2018		
Signed Agreements			
Right Of Way Certification			
ATP through Construction	06/15/2018		

#### Estimated Advertise Date:

#### Project Status

**Project Information** Designer: Kristen Keifer, PE

Project Progress 11/01/2016 Design: Received phase 2 funding May 19, 2016. Can now begin shifting focus and begin working on CMGC contract development and combining with Gold Creek and Tatalina Bridge replacement project.  
 Materials: Site investigation completed in August.  
 Enviro: Wetlands mapping and site investigation completed in August.  
 Bridge: Bi-annual inspection complete and we requested the report.  
 Utilities: No conflicts anticipated.  
 ROW: Dependent on selected alternative.  
 PI: Presented the project to the community at the Gold Creek/Tatalina River Open House July 13, 2016.

**Environmental Information** Contact: CAMPO-ALLEN, KIMBERLY D

Document Type: CE that is approved by DOT statewide  
 Environmental Progress 10/26/2016 Current Tasks:  
 - Preparing Agency Scoping Packet; awaiting CMGC contract for distribution  
 - Preparing Section 106 Initiation letter; awaiting CMGC contract for distribution  
 - Preparing Draft Wetland Delineation and Preliminary Jurisdictional Determination Report

Completed Tasks:

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Project ID: 69936

### Design Status Report

Program #: CFHWY00129 Federal Project #: 0001569 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 30129 Ledger Code: Construction Manager:  
 Need ID: 18924 End Date: 02/15/2018 Area Planner:  
 Project Name: TAKOTNA RIVER BRIDGE REHABILITATION

**Remarks:**

- Wetland delineation performed by DOT&PF environmental staff on 8.24.16  
 - Statewide 6004 NEPA Manager approved COA as a Categorical Exclusion and assignable under 6004 on 4.8.16

Issues/Problems:  
 - None

**Utility Information** Contact: KOENEN, CHRISTOPHER T

Utility Progress 11/01/2016 No current progress.

**Bridge Information** Contact: DAUGHERTY, LESLIE K

Bridge #: 463 Bridge Name: TAKOTNA RIVER  
 Bridge Scope 06/08/2016 Rehabilitate the existing bridge.  
 Bridge Progress 10/27/2016 Sent preliminary rehabilitation strategy memo. Anticipate abutment replacement, but need foundation drilling information to confirm strategy. Drilling scheduled for 2017 due to limited access to site.

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Project ID: 69936

### Design Status Report

Program #: Z516210000 Federal Project #: 0000783 Design Manager: KEIFER, KRISTEN E  
 AKSAS #: 51621 Ledger Code: 30731622 Construction Manager: DRAKE, ALAN L  
 Need ID: 26124 End Date: 08/01/2021 Area Planner:  
 Project Name: TAKOTNA: GOLD CR BRIDGE & TATALINA BRIDGE REPLACEMENT

**Remarks:**

Project Scope 01/08/2010 Design replacement bridge and approaches for deteriorating existing 30' x 16' timber bridge, DOT Bridge #0473. Initial design funding from Denali Commission under Need ID 19241.

Project Scope 08/03/2011 New Scope with FHWA funding: Replace bridge #0473 over Gold Creek with bridge that will accommodate flood flow and icing conditions. Rehabilitate or replace bridge #0462 over Tatalina River.

Project Scope 03/21/2014 Revised Scope 3/14: Replace bridge #0473 over Gold Creek with bridge or large diameter culvert. Rehabilitate or replace bridge #0462 over Tatalina River.

#### Program Summary

Project Phase	STIP / TIP Information		
	2017	2018	2019
Design	0.0	0.0	0.0
Right of Way	150.0	0.0	0.0
Construction	0.0	0.0	3,200.0
Utilities	0.0	0.0	150.0

#### Latest Estimates for Future Obligations

Project Phase	Expected Date	Participating	Non-Participating	Estimate Date	Comment
Construction	05/15/2018	3,700.0	0.0	02/02/2016	ATP Const PIH est
Utilities	05/15/2018	150.0	0.0	07/14/2011	Utili Reio Req

#### Project Funding and Expenditure Summary

Project Phase	Programmed	Expended	Expended Last Month	Encumbered	Balance
Design	453,190	156,229	-1,959	0	296,961

#### Design Development Milestones

Milestone	Original Scheduled Date	Latest Estimated Date	Actual Date
Project Management Plan Completed			12/30/2009
In-House Scoping Meeting			10/02/2008
ATP through Reconnaissance Study			
ATP through Environmental Document			08/16/2011
Document to FHWA/Statewide			12/10/2013
Document Approved	06/30/2010		03/17/2014
ATP through Final PS&E	01/15/2010		04/07/2014
Design Study Report Approved			05/13/2015
Local Review			
Plans In Hand Review			01/13/2016
PS&E Review	02/15/2011	11/15/2017	
ATP through Appraisals & Acquisitions			09/29/2016
ATP through Utility Relocation			06/15/2018
Signed Agreements			03/15/2018
Right Of Way Certification			05/15/2018
ATP through Construction	04/15/2011		06/15/2018

#### Estimated Advertise Date:

#### Project Status

**Project Information** Designer: In-House (Keifer)

Project Progress 11/01/2016 Design: PIH review meeting completed. Working on contracting method for CM/GC and combining with the Takotna River project.  
 ROW: Drainage easements will be needed for Gold Creek. Phase 3 funding approved August 29, 2016.  
 Enviro: CE Reevaluation was completed and Phase 3 funding requested in August.  
 PI: Open House held July 13, 2016. CRW has Environmental and Design Support Services contract and is doing PI. Followed up with the community, owners, and MTNT on alternatives and their impacts: bridge and culvert.  
 Utilities: No action at this time. GCI and AEA have facilities in the Gold Creek area.  
 Materials: Need recommendations before PS&E review.

**Environmental Information** Contact: MAHONEY, BREANNA M

Document Type: Categorical Exclusion

Environmental Progress 10/31/2016 Current Tasks:  
 - An ADF&G Fish Habitat Permit and USACE Section 404 will need to be prepared and obtained prior to project certification

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Project ID: 51009



## Design Status Report

Program #: Z516210000	Federal Project #: 0005783	Design Manager: KEIFER, KRISTEN E
AKSAS #: 51621	Ledger Code: 30731622	Construction Manager: DRAKE, ALAN L
Need ID: 26124	End Date: 08/01/2021	Area Planner:
Project Name: TAKOTNA: GOLD CR BRIDGE & TATALINA BRIDGE REPLACEMENT		
Remarks:		

- Awaiting PS&E design review package

**Completed Tasks:**

- Received a signed resolution from the Takotna Community Association to alter the boat launch area on 09.05.2016
- Regional Environmental Manager approved the Expedited Re-eval to move the project forward to ROW on 09.03.2016
- FHWA concurred that an Expedited Re-eval would suffice to move the project forward to ROW on 07.28.2016
- Attended a public meeting in Takotna on 07.13.2016
- Submitted PIH review set comments on 01.11.2016
- Received PIH review package on 01.04.2016
- Regional Environmental Manager signed PID for a new ATP through PS&E on 03.17.2014
- FHWA approved Environmental Document on 03.17.2014
- FHWA concurred on a Class of Action which includes the Tatalina Bridge replacement 12.04.2013
- Conducted wetland delineation on 09.10.2013
- SHPO concurred on a Section 106 Finding of No Historic Properties Affected on 01.25.2013
- Received NWP 6 approval from Statewide Environmental for Geotech drilling in Tatalina on 07.03.2012
- Consulted with Statewide because Tatalina Bridge added and determined the project non-assignable under 6004 on 09.15.2011
- Project scope changed to add Tatalina River Bridge on 07.30.2011
- FHWA concurred that a Categorical Exclusion is the appropriate level of documentation on 07.05.2011
- Statewide 6004 NEPA Manager approved the project Class of Action as a Categorical Exclusion non-assignable under 6004 on 06.10.2011

**Issues/Problems**  
- None

Permit #	Permit Type	Appl Date	Issue Date	Expr Date
	ADFG Fish Habitat Permit			
	ADFG Fish Habitat Permit			
	Corps of Engineers 404 Individual Wetland Permit			

<b>Right of Way Information</b>	<b>Contact: MICHAELSON, KAREN M</b>
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ROW Progress	09/08/2016	Waiting for Phase 3 funding to proceed. 5/8/16***Completed cost estimate for the project, to request funds 8/11/16***Project is being put on hold, awaiting updated environmental report and funding. 6/10/16***Received 3 easement exhibits to acquire. Determining owners and getting necessary forms from DNR.5/13/16
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<b>Utility Information</b>	<b>Contact: KOENEN, CHRISTOPHER T</b>
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Utility Progress	11/01/2016	No utility conflicts anticipated.
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<b>Materials Geotech Information</b>	<b>Contact: MILLER, MITCHEL R</b>
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Materials Progress	01/14/2016	Coordinating Statewide Materials support of the project. SSB was submitted Dec. 2015. Assume a June-July 2016 start date for fieldwork (assuming SSB approval).
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<b>Bridge Information</b>	<b>Contact: DAUGHERTY, LESLIE K</b>
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Bridge #:	462	Bridge Name: TATALINA RIVER
Bridge Scope	11/09/2011	Rehabilitate or replace existing structurally deficient bridge.
Bridge Progress	10/27/2016	Sent Preliminary Plans 7/16/13. No current work. Rec'd Prelim. SFER 5/2/14. Received draft DSR 1/13/15.

<b>Bridge Information</b>	<b>Contact: MARX, ELMER E</b>
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Bridge #:	473	Bridge Name: GOLD CREEK
Bridge Scope	11/13/2008	Replace the existing bridge.
Bridge Progress	10/27/2016	Sent survey information to Region. Received start package on 8/27/10, but waiting for authority to move to final design. Considering culvert alternative for this site. Culvert appears to be the preferred alternative, and Regional Hydraulics Engineer will design.

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Project ID: 51009

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