

CITY OF DULUTH

*****PROPOSAL*****

FOR **EMERGENCY FLOOD RELATED** HIGHWAY CONSTRUCTION
AND MAINTENANCE PROJECTS WITH
BIDS RECEIVED UNTIL 2:00 O'CLOCK P.M. ON JULY 19, 2012

PROPOSAL OF

(NAME OF FIRM)

(ADDRESS)

(AREA CODE) TELEPHONE NUMBER

TO FURNISH AND DELIVER ALL MATERIALS AND TO PERFORM ALL WORK IN ACCORDANCE WITH
THE CONTRACT, THE PLANS AND THE APPROVED DEPARTMENT OF TRANSPORTATION
"STANDARD SPECIFICATIONS FOR CONSTRUCTION", 2005 EDITION, EXCEPT AS STATED
OTHERWISE IN THE SPECIAL PROVISIONS WHICH ARE PART OF THIS PROPOSAL, FOR

CITY OF DULUTH PROJECT NUMBER **1138**
CITY OF DULUTH FLOOD LOCATION NUMBER 420

STATE PROJECT NO. **118-188-001 and 118-188-002**

MINNESOTA PROJECT NO.

LOCATION: CODY STREET AT KEENE CREEK

TYPE OF WORK: SLOPE REPAIR

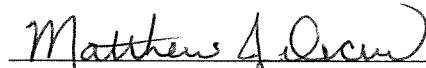
LENGTH: N/A

STARTING DATE: ON OR BEFORE AUGUST 10, 2012 or within ten (10) calendar days of award by
City Council resolution, whichever is later

COMPLETION DATE: November 16, 2012

NOTICE TO BIDDERS: In submitting a bid, you must **return this complete proposal**. You must
initial changes made in the Schedule of Prices in the Proposal and
acknowledge addenda on the back cover sheet.

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



Matt Decur, Project Engineer
License Number 46372 Date: 07-13-2012

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

To the Duluth City Council:

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

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

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

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

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

(I)(We) further propose to execute the form of Contract within 10 days after receiving written notice of award, as provided in Mn/DOT 1306.

(I)(We) further propose to furnish a payment bond equal to the Contract amount, and a performance bond equal to the Contract amount, with the aggregate liability of the bond(s) equal to twice the full amount of the Contract if the contract is less than or equal to five million dollars (\$5,000,000.00), or if the contract is in excess of five million dollars (\$5,000,000.00) the aggregate liability shall be equal to the amount of the contract, as security for the construction and completion of the improvement according to the Plans, Specifications and Special Provisions as provided in Mn/DOT 1305.

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

(I)(We) agree to all provisions of Minnesota Statutes 1976, Section 181.59.

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

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

Bid No. 12-14DS City Project Number 1138
City of Duluth Flood Location Number 420
Cody Street Slope Repair (Keene Creek)
CITY PROJECTS- BID CLOSE
Bid Opening Date: July 19, 2012

NOTICE TO CONTRACTORS

Sealed proposals will be received until 2:00 PM local time, Thursday, July 19, 2012 by Dennis Sears, Purchasing Agent for the City of Duluth, at Room 100, City Hall, Duluth, Minnesota 55802 on behalf of the Commissioner of Transportation as agent for said City for the construction of the project listed below. Proposals will be opened and read publicly by the City Purchasing Agent or his representative at the City Hall in Duluth, Minnesota in Room 106A immediately after the hour set for receiving bids

Minimum wage rates to be paid by the Contractors have been predetermined and are subject to the Work Hours Act of 1962, P.L. 87-581 and implementing regulations.

READ CAREFULLY THE WAGE SCALES AND DIVISION A OF THE SPECIAL
PROVISIONS AS THEY AFFECT THIS/THESE PROJECT/PROJECTS

The Minnesota Department of Transportation hereby notifies all bidders: in accordance with Title VI of the Civil Rights Act of 1964 (Act), as amended and Title 49, Code of Federal Regulations, Subtitle A Part 21, Non-discrimination in Federally-assisted programs of the Department of Transportation, it will affirmatively assure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded maximum opportunity to participate and/or to submit bids in response to this invitation, and will not be discriminated against on the grounds of race, color, disability, age, religion, sex or national origin in consideration for an award;

in accordance with Title VI of the Civil Rights Act of 1964 as amended, and Title 23, Code of Federal Regulations, Part 230 Subpart A-Equal Employment Opportunity on Federal and Federal-Aid Construction Contracts (including supportive services), it will affirmatively assure increased participation of minority groups and disadvantaged persons and women in all phases of the highway construction industry, and that on any project constructed pursuant to this advertisement equal employment opportunity will be provided to all persons without regard to their race, color, disability, age, religion, sex or national origin;

in accordance with the Minnesota Human Rights Act, Minnesota Statute 363A.08 Unfair discriminatory Practices, it will affirmatively assure that on any project constructed pursuant to this advertisement equal employment opportunity will be offered to all persons without regard to race, color, creed, religion, national origin, sex, marital status, status with regard to public assistance, membership or activity in a local commission, disability, sexual orientation, or age;

in accordance with the Minnesota Human Rights Act, Minnesota Statute 363A.36 Certificates of Compliance for Public Contracts, and 363A.37 Rules for Certificates of Compliance, it will assure that appropriate parties to any contract entered into pursuant to this advertisement possess valid Certificates of Compliance.

If you are not a current holder of a compliance certificate issued by the Minnesota Department of Human Rights and intend to bid on any job in this advertisement you must contact the Department of Human Rights immediately for assistance in obtaining a certificate.

The following notice from the Minnesota Department of Human Rights applies to all contractors:

"It is hereby agreed between the parties that Minnesota Statute, section 363A.36 and Minnesota Rules, parts 5000.3400 to 5000.3600 are incorporated into any contract between these parties based on this specification or any modification of it. A copy of Minnesota Statute 363A.36 and Minnesota Rules, parts 5000.3400 to 5000.3600 is available upon request from the contracting agency."

"It is hereby agreed between the parties that this agency will require affirmative action requirements be met by contractors in relation to Minnesota Statute 363A.36 and Minnesota Rules 5000.3600. Failure by a contractor to implement an affirmative action plan or make a good faith effort shall result in revocation of its certificate or revocation of the contract (Minnesota Statute 363A.36, Subd. 2 and 3)."

S.P. 118-188-001 and SP 118-188-002, City of Duluth Project No. 1138, City of Duluth Flood Location Number 420, Cody Street Slope Repair (Keene Creek).

Construction Plans for: Slope Repair.

The major items of work are:

Concrete Mix 3A Grout 244 C.Y.; Random Rip Rap Class V 312 C.Y.; Random Rip Rap Class III 278 C.Y.

Sealed bids will be received by the City Purchasing Agent in and for the Corporation of the City of Duluth, Minnesota, at his office, Room 100 City Hall, Duluth, Minnesota 55802, (218) 730-5340 until 2:00 P.M. local time on Thursday July 19, 2012, for the above mentioned project. Immediately thereafter, bids will be taken to Room 106A City hall, where they will be publicly opened and read aloud.

Questions pertaining to this project should be directed to: Matt Decur, Project Engineer, City of Duluth Engineering Department, Phone 730-5104

Each bidder must review the 2011 edition of the City of Duluth Public Works/Utilities Department - Engineering Division Standard Construction Specifications with 2012 Amendments on the city website (www.duluthmn.gov) as these Specifications are incorporated by reference and deemed to be a part hereof this project as if fully incorporated and set forth herein.

Plans and specifications may be secured from the office of the City Engineering Division, 211 City Hall, 411 West First Street, Duluth, MN. 55802, upon payment of a check, draft, or money order in the amount of \$20.00 made payable to the City of Duluth. (This payment will not be refunded).

Plans and specifications are on file for inspection at the City Engineering Office, Duluth Builders Exchange, Minneapolis Builder Exchange and St. Paul Builders Exchange, McGraw Hill Plan Room, MRDA/AGC of MN Plan Room, Reed Construction Data, Contractors Exchange.

A Certified check or bank draft, payable to the City of Duluth, negotiable U.S. Government Bonds (at par value), or a satisfactory bid bond executed by the bidder and acceptable surety, in an amount equal to five percent (5%) of the total bid, shall be submitted with each bid.

Unless a Certificate of Exemption is provided, any out-of-state bidder receiving a bid award will have 8% retained from invoice payments on any contracts over \$50,000. Submit a signed copy from the State of Minnesota when submitting Payment and Performance Bonds. This form may be found at the following web address:
http://taxes.state.mn.us/Forms_and_Instructions/sde.pdf

Attention is called to the fact that not less than the minimum salaries and wages as set forth in the contract documents must be paid on this

project. The contractor must take affirmative action to ensure that the employees and applicants for employment are not discriminated against because of their race, color, creed, sex or national origin, and must meet the affirmative actions goals. Contractors are encouraged to subcontract with Disadvantage Business Enterprises when possible.

The City of Duluth is an Equal Opportunity Employer.

CITY OF DULUTH

Dennis Sears
Purchasing Agent

NOTICE TO BIDDERS

This federally funded project is being administered by a city/county agency. As such the Department of Transportation Debarments located at:

<http://www.dot.state.mn.us/pre-letting/prov/order/suspension.pdf> apply to this project.

Since the project is financed in whole or in part with federal funds, refer to the following website for vendors debarred by federal government agencies: <https://www.epls.gov/>.

The Department of Administration Debarment list does NOT apply to this project.

NOTICE TO BIDDERS

SUSPENSIONS/DEBARMENTS

June 8, 2012

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DEPARTMENT OF TRANSPORTATION

NOTICE OF DEBARMENT

NOTICE IS HEREBY GIVEN that MnDOT has ordered that the following vendors be debarred for a period of three (3) years, effective February 24, 2010 until February 24, 2013:

- Joseph Edward Riley, Morris, MN
- John Thomas Riley, Morris, MN

NOTICE IS HEREBY GIVEN that MnDOT has ordered that the following vendors be debarred for a period of three (3) years, effective March 25, 2011 until March 25, 2014:

- Philip Joseph Franklin, Leesburg, VA
- Franklin Drywall, Inc. and its affiliates, Little Canada, MN
- Master Drywall, Inc. and its affiliates, Little Canada, MN

NOTICE OF SUSPENSION

NOTICE IS HEREBY GIVEN that the Department of Transportation ("MnDOT") has ordered that the following vendors be suspended for a period of sixty (60) days, effective June 8, 2012 until August 7, 2012:

- Marlon Louis Danner and his affiliates, South St. Paul, MN
- Danner, Inc. and its affiliates, South St. Paul, MN
- Bull Dog Leasing, Inc. and its affiliates, Inver Grove Heights, MN
- Danner Family Limited Partnership and its affiliates, South St. Paul, MN
- Ell-Z Trucking, Inc. and its affiliates, South St. Paul, MN
- Danner Environmental, Inc. and its affiliates, South St. Paul, MN

Minnesota Statute section 161.315 prohibits the Commissioner, counties, towns, or home rule or statutory cities from awarding or approving the award of a contract for goods or services to a person who is suspended or debarred, including:

- 1) any contract under which a debarred or suspended person will serve as a subcontractor or material supplier,
- 2) any business or affiliate which the debarred or suspended person exercises substantial influence or control, and
- 3) any business or entity, which is sold or transferred by a debarred person to a relative or any other party over whose actions the debarred person exercises substantial influence or control, remains ineligible during the duration of the seller's or transfer's debarment.

NOTICE TO BIDDERS

SUSPENSIONS/DEBARMENTS

June 8, 2012

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DEPARTMENT OF ADMINISTRATION

As of the date of this notice and in accordance with Minnesota Rules 1230.1150, the Minnesota Department of Administration has debarred and disqualified the following persons and businesses from entering into or receiving a State of Minnesota contract:

NAME	DATE OF DEBARMENT
Alternative Counseling Clinic 337 97 th Lane NE Minneapolis, MN 55434	Oct. 22, 2008 through Oct. 22, 2011 (eligible for reinstatement on Oct. 22, 2012)
Bull Dog Leasing, Inc. 7854 Danner Court Inver Grove Heights, MN 55076	Aug. 30, 2011 through Aug. 30, 2014 (eligible for reinstatement on Aug. 30, 2015)
Danner Family Ltd. Ptnship. 843 Hardman Ave. S. S. St. Paul, MN 55075	Aug. 30, 2011 through Aug. 30, 2014 (eligible for reinstatement on Aug. 30, 2015)
Danner, Inc. 843 Hardman Ave. S. S. St. Paul, MN 55075	Aug. 30, 2011 through Aug. 30, 2014 (eligible for reinstatement on Aug. 30, 2015)
Ell-Z Trucking, Inc. 843 Hardman Ave. S. S. St. Paul, MN 55075	Aug. 30, 2011 through Aug. 30, 2014 (eligible for reinstatement on Aug. 30, 2015)
Excel Companies, Inc. 700 Bunker Lake Blvd. Anoka, MN 55303	April 23, 2012 through October 23, 2012
Franklin Drywall, Inc. 43279 Fieldsview Crt. Leesburg, VA 20176	March 25, 2011 through March 25, 2014 (eligible for reinstatement on March 25, 2015)
Master Drywall, Inc. 43279 Fieldsview Crt. Leesburg, VA 20176	March 25, 2011 through March 25, 2014 (eligible for reinstatement on March 25, 2015)
Riley Brothers Construction PO Box 535 Morris, MN 56267	Nov. 9, 2009 through Nov. 9, 2012

Minnesota Administrative Rule part 1230.1150, subpart 6 requires the Materials Management Division to maintain a master list of all suspensions and debarments. The master list must retain all information concerning suspensions and debarments as a public record for at least three (3) years following the end of a suspension or debarment. Refer to the following website for the master list: <http://www.mmd.admin.state.mn.us/debarredreport.asp>.

If the project is financed in whole or in part with federal funds, refer to the following website for vendors debarred by federal government agencies: <https://www.epls.gov/>.

NOTICE TO ALL BIDDERS

To report bid rigging activities call:

1-800-424-9071

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

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

LIMITATION ON USE OF CONTRACT FUNDS FOR LOBBYING

Appendix C to Part ____ - Contract Clause

NEW RESTRICTIONS ON LOBBYING

(a) Definitions. As used in this clause,

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(b) Prohibition.

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

(2) The prohibition does not apply as follows:

(i) Agency and legislative liaison by Own Employees.

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

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

- (B) For purposes of paragraph (A) of this section, providing any information specifically requested by an agency or Congress is allowable at any time.
 - (C) For purposes of paragraph (A) of this section, the following agency and legislative liaison activities are allowable at any time only where they are not related to a specific solicitation for any covered Federal action:
 - (i) Discussing with an agency (including individual demonstrations) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and,
 - (ii) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.
 - (D) For purposes of paragraph (A) of this section, the following agency and legislative liaison activities are allowable only where they are prior to formal solicitation of any covered Federal action:
 - (i) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;
 - (ii) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and,
 - (iii) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507 and other subsequent amendments.
 - (E) Only those activities expressly authorized by paragraph (i) of this section are allowable under paragraph (i).
- (ii) Professional and Technical Services by Own Employees.
- (A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a Federal contract or an extension, continuation, renewal, amendment, or modification of a Federal contract if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal contract or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal contract.
 - (B) For purposes of paragraph (A) of this section, "professional and technical services" shall be limited to advice and analysis directly

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

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

(iii) Reporting for Own Employees.

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

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

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

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

(c) Disclosure.

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

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

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

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

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

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

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

(e) Penalties.

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

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

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

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

(End of Clause)

BILLING CODE 3110-01-M

NOTICE

By signing and submitting this proposal, the prospective primary bidder is providing the certification set out below. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why he/she cannot provide the certification set out below. Certification or explanation will be considered concerning the Local Agency's determination whether to enter this transaction. Failure of the prospective primary participant to furnish a certification or a written explanation why he/she cannot provide the certification shall disqualify such people from participation in this transaction.

The certification in this clause is a material representation of fact upon which reliance was placed when the Local Agency decided to enter this transaction. If it is later decided that the prospective primary participant knowingly rendered an erroneous certification, beyond other remedies available to the Federal Government, the Local Agency may end this transaction for cause of default. The prospective primary participant shall provide immediate written notice to the Local Agency if any time the prospective primary participant learns that his/her certification was erroneous when submitted or has become erroneous due to changed circumstances.

The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded as used in this clause have the meanings set out in the Definition and Coverage sections of the rules carrying out Federal Executive Order 12549 dated February 18, 1986. Bidders may contact Mn/DOT for assistance in obtaining a copy of these regulations.

The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered, he/she shall not knowingly enter 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 Local Agency and Mn/DOT. Nothing contained in this shall be construed to require establishment of system of records to render in good faith the certification required by this clause. The knowledge and information of a participant are not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

The prospective primary participant further agrees by submitting this proposal that he/she will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction" provided by Mn/DOT without modification in all solicitations for lower tier covered transactions. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that he/she and his/her principals are not debarred, suspended, ineligible, or voluntarily excluded, from the covered transaction by any Federal agency, unless he/she knows that the certification is erroneous. A participant may decide the method and frequency by which he/she decides the eligibility of his/her principals.

Except as authorized by Mn/DOT, if a participant in a covered transaction knowingly enters a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, beyond other remedies available to the Federal Government, the Local Agency may end this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other
Responsibility Matters-Primary Covered Transactions

(I)(We) certify that the firm or any person associated with it in the capacity of owner, partner, director, officer, project director, manager auditor, or any position involving the administration of Federal funds:

- ☐ are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntary excluded from covered transactions by any Federal department or agency;
- ☐ have not within the three-year period preceding this proposal been convicted of or had a civil judgment rendered 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; or 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;
- ☐ are not presently indicted for or otherwise criminally or civilly charged by a governmental entity with commission of any of the above enumerated offenses;
- ☐ have not within a three year period preceding this application/proposal had one or more transactions (Federal, State, or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participants shall attach an explanation to this proposal.

(I)(We) agree that (my)(our) signatures on this proposal form certification of "status" under penalty of perjury under the laws of the United States.

SPECIAL PROVISIONS FOR S.P. 118-188-001 and S.P. 118-188-002
CITY OF DULUTH PROJECT NO. 1138
CITY OF DULUTH FLOOD LOCATION 420

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S.P. 118-188-001 & S.P. 118-188-002 CITY JOB NO. 1138
CODY STREET SLOPE REPAIR (KEENE CREEK)
SEH NO. DULUT 121186
JULY 2012**

**CITY of DULUTH
PROJECT SPECIFICATIONS**

Cody Street Slope Repair (Keene Creek)

**City of Duluth, MN
411 West 1st St.
Duluth, MN 55802**

**City Project #: 1138
City Flood Location#: 420**

Bid # 12-14DS

Opening Date: July 19, 2012

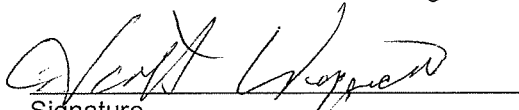
Time: 2:00 PM local time

Place: City Hall Room 100


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SPECIFICATIONS SIGNATURE PAGE

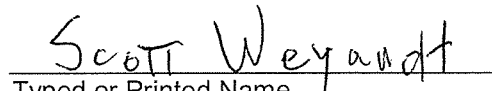
I HEREBY CERTIFY THAT THIS PLAN, specification or report
was prepared by me or under my direct supervision and that I am a duly
Licensed Professional Engineer under the laws of the State of Minnesota.



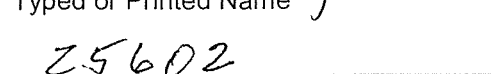
Signature



Date



Typed or Printed Name



Registration No.

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The following forms and regulations/rules/statutes and interpretations, which are incorporated by reference in this contract, are available on the World Wide Web at the sites listed below. The City of Duluth will use its best efforts to ensure that the most recent, applicable forms and regulations/rules/statutes and interpretations are included on the web sites provided; however, if you are the successful bidder, prior to signing the contract, you are responsible for comparing the versions of the forms and regulations/rules/statutes and interpretations attached to the contract which you are signing with the versions on the web to ensure conformity.

THE VERSIONS OF THE FORMS AND REGULATIONS/RULES/STATUTES and INTERPRETATION ATTACHED TO THE CONTRACT WILL BE CONTROLLING. HARD COPIES OF ALL FORMS ARE AVAILABLE AT THE ENGINEERING DIVISION, EXCEPT THE NON-COLLUSION AND AFFIRMATIVE ACTION POLICY STATEMENT, WHICH ARE AVAILABLE AT THE CITY OF DULUTH PURCHASING DEPARTMENT.

Item listing from web:

FORM	WEB SITE
Affidavit of Non-Collusion (required by awarded contractor only)	www.duluthmn.gov/engineering/construction_documents.cfm
Affirmative Action Policy Statement/Certificate - EEO (required by awarded contractor only)	www.duluthmn.gov/engineering/construction_documents.cfm
Bidder's Label for submitting project bids	www.duluthmn.gov/engineering/construction_documents.cfm
Certified Payroll Report form WH347 (front side only)	www.dol.gov/whd/forms/WH347.pdf
Contractor's Haul Route	www.duluthmn.gov/engineering/construction_documents.cfm
Debarment/Suspension Notice 2-10-2012	www.dot.state.mn.us/pre-letting/prov/order/suspension.pdf
HUD 4010	www.hud.gov/offices/adm/hudclips/forms/files/4010.pdf
IC-134 form	www.taxes.state.mn.us/Forms_and_Instructions/ic134.pdf
IC-134 on-line submittal (click: Submit Contractor Affidavit; r-side of screen)	www.mndor.state.mn.us/
MN Rules 5200.1105 & .1106	www.duluthmn.gov/engineering/construction_documents.cfm
MN Statutes 177.41 to 177.44	www.revisor.mn.gov/statutes/?id=177
MNOPS Intrastate Anti-Drug/Alcohol Misuse Prev Asmt (gas projects only)	www.duluthmn.gov/engineering/construction_documents.cfm
Notice to Bidders Prompt Payment to Subs (city funded projects only)	www.duluthmn.gov/engineering/construction_documents.cfm
Notice to Bidders Prompt Payment to Subs (state & federal funded projects only)	www.duluthmn.gov/engineering/construction_documents.cfm
Notice to Bidders Traffic Control 11/29/99 (federal funded projects only)	www.duluthmn.gov/engineering/construction_documents.cfm
One-Call Instructions	www.duluthmn.gov/engineering/construction_documents.cfm
Operator Qualification Contractor Covered Tasks (gas projects only)	www.duluthmn.gov/engineering/construction_documents.cfm
Purchasing Division General Specifications	www.duluthmn.gov/engineering/construction_documents.cfm
Request to Sublet TP-21834 (5-12-09)	www.duluthmn.gov/engineering/construction_documents.cfm
Statement of Compliance Form (12-10) (city and state funding only)	www.dot.state.mn.us/const/labor/forms.html
Supplemental General Conditions Part II 4/15/11	www.duluthmn.gov/engineering/construction_documents.cfm
Truck Rental Rates 4/4/11 (state funded projects only)	www.dot.state.mn.us/const/labor/contractdocuments.html
Mn/DOT forms:	
Contractor/Vendor form MnDOT (12/2010) (state funded projects only)	www.dot.state.mn.us/const/labor/documents/forms/contractor-vendor-form.pdf
Month End Trucking Report Form A & B (12-10) (state funded projects only)	www.dot.state.mn.us/const/labor/forms.html
Month-End Trucking Report Statement of Compliance (12-10) (state funded projects only)	www.dot.state.mn.us/const/labor/forms.html
Trucking Company-Vendor form MnDOT (12/2010) (state funding only)	www.dot.state.mn.us/const/labor/documents/forms/trucking-company-vendor-form.pdf
HUD forms: (for HUD/CDBG and Federal funding)	
Certified Payroll Form WH347	www.dol.gov/whd/forms/WH347.pdf
U S DOL Statement of Compliance	www.dol.gov/whd/forms/WH347.pdf
MnDOT Statement of Compliance for fringe benefit listing	www.dot.state.mn.us/const/labor/forms.html

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NOTICE TO ALL BIDDERS:

The City of Duluth Public Works & Utilities Department – Engineering Division 2011 Edition Standard Construction Specifications book with 2012 amendments and any other addendums or supplements is incorporated by reference and is deemed to be a part hereof as if fully incorporated and set forth herein. The Standard Construction Specification is available on the City website at www.duluthmn.gov/engineering/index.cfm.

SP-1 **SCOPE OF WORK**

This work provides for construction of the slope failure on Cody Street at Keene Creek in Duluth, Minnesota. The work consists of gabions, revet mattresses, box culvert headwall, and riprap.

The City of Duluth is the Owner of this project.

The Contractor will become a co-permittee with the City of Duluth on the NPDES II Storm Water Permit.

SP-2 **(1305) REQUIREMENT OF CONTRACT BOND**

The provisions of Mn/DOT 1305 are hereby deleted and replaced with the following:

The successful bidder shall furnish a payment bond equal to the contract amount and a performance bond equal to the contract amount as required by Minnesota Statutes, section 574.26. The surety and form of the bonds shall be subject to the approval of the contracting authority.

The contracting authority shall require for all contracts less than or equal to five million dollars (\$5,000,000.00), that the aggregate liability of the payment and performance bonds shall be twice the amount of the contract. All contracts in excess of five million dollars (\$5,000,000.00) shall have an aggregate liability equal to the amount of the contract.

SP-3 **(1404) MAINTENANCE OF TRAFFIC, (1707) PUBLIC SAFETY, AND (2563) TRAFFIC CONTROL**

The provisions of 1404 are supplemented as follows:

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

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

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

- | | | |
|----|--|----------------|
| 1. | City of Duluth Public Works Department | (218) 730-5200 |
| 2. | City of Duluth Police Department | (218) 730-5400 |
| 3. | City of Duluth Fire Department | (218) 730-4393 |
| 4. | City of Duluth Clerk | (218) 730-5500 |

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

- Coordinating all work zone traffic control operations of the Project, including those of the Contractor, subcontractors and suppliers.

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

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

Measurement and Payment:

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

SP-4 (1404) MAINTENANCE OF TRAFFIC AND (2563) TRAFFIC CONTROL

The City of Duluth has installed lane closures and detours, this project shall maintain the in-place traffic control devices and modify as necessary. Upon completion of the project all lanes of traffic shall be restored and opened for traffic. The City of Duluth will be responsible for removing the in-place traffic control devices.

All traffic control devices shall conform and be installed in accordance to the "Minnesota Manual on Uniform Traffic Control Devices" (MN MUTCD) and Part 6, "Field Manual for Temporary Traffic Control Zone Layouts", the "Guide to Establishing Speed Limits in Highway Work Zones", the Minnesota Flagging Handbook, the provisions of MnDOT 1404 and 1710, the Minnesota Standard Signs Manual, the Traffic Engineering Manual, the Traffic Control currently in-place, and these Special Provisions.

The Contractor shall furnish, install, maintain, and remove all traffic control devices required to provide safe movement of vehicular traffic through the Project during the life of the Contract from the start of Contract operations to the final completion thereof. The Engineer will have the right to modify the requirements for traffic control as deemed necessary due to existing field conditions. The highways shall be kept open to traffic at all times, except as modified below.

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

The Contractor is advised of the changes to the Prevailing Wage Coverage as noted in the Notice to Bidders – Traffic Control Prevailing Wage Coverage contained in the front of this Proposal.

SP-4.1 TRAFFIC CONTROL

(A) The Contractor shall be responsible for the immediate repair or replacement of all traffic control devices that become damaged, moved or destroyed, of all lights that cease to function properly, and of all barricade weights that are damaged, destroyed, or otherwise fail to stabilize the barricades. The Contractor shall further provide sufficient surveillance of all traffic control devices at least once every 24 hours.

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

(B) If traffic control layouts are not present in the Plan, or the Contractor modifies the layout or sequence from the Plan, the Contractor shall submit the proposed traffic control layout to the Engineer, for approval, at least seven (7) days prior to the start of construction. The Contractor does not need to submit layouts that can be found in the 2011 Field Manual. All other layouts that are not found in the plan shall be submitted. At least 24 hours prior to placement, all traffic control devices shall

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be available on the Project for inspection by the Engineer. The Contractor shall modify his/her proposed traffic control layout and/or devices as deemed necessary by the Engineer.

(C) The Contractor shall notify the Engineer in writing at least 72 hours prior to the start of any construction operation that will necessitate lane closure or internal traffic control signing.

(D) The Contractor shall inspect, on a daily basis, all traffic control devices, which the Contractor has furnished and installed, and verify that the devices are placed in accordance with **the in-place Traffic Control**, these Special Provisions, and/or the MN MUTCD. Any discrepancy between the placement and the required placement shall be immediately corrected.

The Contractor shall be required to respond immediately to any call from the Engineer or his designated representative concerning any request for improving or correcting traffic control devices. **If the Contractor is negligent in correcting the deficiency within one hour of notification the Contractor shall be subject to an hourly charge assessed at a rate of \$250.00 per hour for each hour or any portion thereof with which the Engineer determines that the Contractor has not complied.**

The Contractor is required to meet the traffic control device quality standards as determined in the Field Manual. The Contractor shall immediately replace traffic control devices that are deemed unacceptable. Signs that are dirty and result in a noticeable loss of reflectivity at night are also considered unacceptable and shall be cleaned or replaced. The Contractor shall be required to respond immediately to any call from the Engineer or his designated representative concerning the notification of unacceptable traffic control devices. If the Contractor is negligent in correcting the deficiency within one day of notification the Contractor shall be subject to a daily charge assessed at a rate of \$500 for each day or any portion thereof with which the Engineer determines that the Contractor has not complied.

(E) The person performing the inspection in paragraph (D) above, shall be required to make a daily log. This log shall also include the date and time any changes in the stages, phases, or portions thereof go into effect. The log shall identify the location and verify that the devices are placed as directed or corrected in accordance with the Plan. All entries in the log shall include the date and time of the entry and be signed by the person making the inspection. The Engineer reserves the right to request copies of the logs as he deems necessary.

The Contractor shall provide copies of the inspection logs on a weekly basis on a day of the week determined by the Engineer. Additionally the Engineer may request copies of the logs at any time he deems necessary. **If the Contractor is negligent in providing the inspection logs on the predetermined weekly date or at the Engineer's request, the Contractor shall be subject to an hourly charge assessed at a rate of \$500.00 per hour for each hour or any portion thereof with which the Engineer determines that the Contractor has not complied.**

(F) The third sentence of paragraph 2 in MnDOT 1404.7 (Winter Suspension) is hereby revised as follows:

"In the event that any Contractor-owned traffic control devices are damaged or destroyed making them ineffective for their intended use, the Contractor will receive payment in the amount of the value of the traffic control device as determined by the Engineer."

(G) If, at any time, the Contractor fails to, in a timely manner, properly furnish, install, maintain or remove any of the required traffic control devices, the Department reserves the right to properly correct the deficiency. **Each time the Department takes such corrective action, the costs thereof, including mobilization, plus \$5,000 will be deducted from monies due or coming due the Contractor.**

(H) Measurement and Payment:

Traffic Control will be measured and paid for as follows:

Payment for all traffic control required to complete the Project as shown in the Plans and specified in these Special Provisions shall be made as a lump sum payment under Item 2563.601 (Traffic Control). Payment includes all costs associated with furnishing, installing, maintaining, relocating and subsequently removing traffic control devices (including flagpersons) as required. No additional measurement for payment will be made for individual activities and devices that constitute Traffic Control, except for other traffic control Bid Items specifically provided in the Contract.

Traffic Control layouts or devices not shown in the plan or stated in these Special Provisions that are a necessary part of the Contractor's operations to complete the project as shown in the plan are included in the lump sum traffic control item. There

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will be no increase or decrease in the lump sum payment or additional payment for other traffic control Contract Items, except as provided in the following paragraph.

If the Engineer orders a change in traffic control because of a changed condition or change of project scope, payment for such changes will be made as Extra Work.

The Traffic Control Payment Schedule will be as follows:

- (1) When 5 percent of the Contract amount is earned, 50 percent of the amount bid for traffic control will be paid.
- (2) When 10 percent, or more, of the Contract amount is earned, an additional 25 percent of the amount bid for traffic control will be paid.
- (3) When 50 percent, or more, of the Contract amount is earned, an additional 20 percent of the amount bid for traffic control will be paid.
- (4) The remaining 5 percent bid for traffic control will be paid when all work has been completed and accepted.
- (5) In all items above, the original Contract amount shall be the total value of all Contract Items including the traffic control item, but the percentage earned in each case shall be exclusive of the traffic control item.

SP-4.2 VEHICLE WARNING LIGHT SPECIFICATION

All Contractors', subcontractors' and suppliers' mobile equipment, operating within the limits of the Project with potential exposure to passing traffic, shall be equipped with operable warning lights which meet the appropriate requirements of the SAE specifications. This would include closed roads that are open to local traffic only. This also includes any vehicle which enters the traveled roadway at any time. The SAE specification requirements are as follows:

360 Degree Rotating Lights - SAE Specification J845
Flashing Lights - SAE Specification J595
Flashing Strobe Lights - SAE Specification J1318

Lights shall be mounted so that at least one light is visible at all times when at eye level from a 18 m [60 foot] radius about the equipment. In order to meet the 360 degree at 18 m [60 foot] radius requirements supplemental lighting may be used in addition to the lights on the Approved Products List. All supplemental lights must be SAE Class 1 certified. This specification is to be used for both day and night time operations. All costs incurred to provide warning lights shall be at no cost to the Department. These warning lights shall also be operating and visible when a vehicle decelerates to enter a construction work zone and again when a vehicle leaves the work zone and enters the traveled traffic lane.

Contractor shall equip their vehicles with lights that are on the Approved Products List which can be found at:
<http://www.dot.state.mn.us/products/workzone/vehicledlights.html>.

A \$100 penalty (per incident) shall be assessed against the Contractor each time failure to comply with the above requirements is observed on the Project site.

SP-4.3 FLAGGER TRAINING

Any person acting as a flagger on this Project shall have attended a training session taught by a Contractor's qualified trainer. The Contractor's qualified trainer shall have completed a "MnDOT Flagger Train the Trainer Session" in the five years previous to the start date of this Contract and shall be on file as a qualified flagger trainer with the Department. The Flagger Trainer's name and Qualification Number shall be furnished by the Contractor at the pre-construction meeting. The Contractor shall provide all flaggers with the MnDOT Flagger Handbook and shall observe the rules and regulations contained therein. This handbook shall be in the possession of all flaggers while flagging on the Project. The Contractor shall obtain handbooks from the Department. Flaggers shall not be assigned other duties while working as authorized flaggers. The "Checklist for Flagger training" form shall be furnished to the Engineer any time a new flagger reports to work on the Project. The "Checklist for Flagger Training" form can be found at:
<http://www.dot.state.mn.us/const/wzs/flagger.html>.

The Engineer will have the right to waive the above requirements.

SP-4.4 TEMPORARY LANE CLOSURE REQUIREMENTS:

(A) Unless otherwise approved by the Engineer, any temporary lane closure that is adjacent to traffic, and is extending to or beyond 300 m [1000 feet] shall have a minimum of one Type III barricade, or 3 drums, placed in the closed lane for every 300 m [1000 feet] of extension. Any lane closure that is adjacent to traffic and in place 3 days or more, shall use the Type III barricade only.

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(B) All temporary lane closures shall have Type B Channelizers (drums, Type I or Type II barricades, vertical panel or Direction Indicator Barricades) in the lane closure taper and also in any shifts in traffic alignment.

(C) Short Term Duration lane closures will not be permitted during inclement weather, nor any other time when, in the opinion of the Engineer, the lane closure will be a greater than normal hazard to traffic.

(D) Temporary lane closures or other restrictions by the Contractor, during work hours and consistent with the time restrictions, will be permitted during those hours and at those locations approved by the Engineer. Requests for temporary lane closures shall be made at least 24 hours prior to such closures. When a temporary lane closure is used by the Contractor, the closure shall be incidental work and no direct compensation will be made therefore.

(E) Temporary lane restrictions will not be permitted between the hours of 6:30 A.M. and 8:30A.M. and between the hours of 4:00 P.M. and 6:00 P.M. **Work which will restrict or interfere with traffic shall not be performed between 12:00 noon on the day preceding and 9:00 A.M. on the day following any consecutive combination of a Saturday, Sunday and legal holiday.** The Engineer will have the right to lengthen, shorten, or otherwise modify the foregoing periods of restrictions as actual traffic conditions may warrant. **If the Contractor is negligent in adhering to the established time schedules, he shall be subject to an hourly charge assessed at a rate of \$500.00 per hour for each hour or any portion thereof with which the Engineer determines that the Contractor has not complied.**

(F) The Contractor shall provide one vehicle or trailer mounted flashing arrow panel for each lane of each work area where traffic is restricted. The arrow panel shall meet the requirements of the MN MUTCD, and be on the qualified products list for flashing arrow panels found at: <http://www.dot.state.mn.us/products/workzone/electronic.html>, and shall be equipped with a light that is visible to personnel in the work area to indicate that the unit is in operation. The flashing arrow panel shall be incidental to Traffic Control.

It is imperative that the Contractor continually operate each Flashing Arrow Panel at maximum legibility. Many factors, such as mechanical problems, insufficient charging, incorrect intensity settings, or other factors can degrade performance.

Except as approved by the Engineer, the Flashing Arrow Panel shall be stored off the shoulder when not in use. In the event the Engineer allows the arrow panel to remain on the shoulder, the arrow panel shall be delineated according to Layout 4 (Partial Shoulder Closure) in the field manual, as determined by the Engineer.

(G) The Contractor shall furnish flag persons as required to adequately control traffic. Flag persons shall conform to the requirements set forth in the MN MUTCD. All costs incurred to provide such flag persons shall be incidental to the lump sum traffic control.

(H) The Contractor shall provide two-way radios for flag persons.

The Contractor shall keep the separation distance between the last sign in the "flagger ahead" signing sequence and the actual flagger to the amount shown in the Field Manual, whenever it is practical. The maximum separation distance allowed from the signs to the flagger shall be 0.8 km [**0.5 miles**]. The Contractor shall use multiple flagger signing set-ups or continuously move the signing for moving flagging operations to keep within the distance limit. The "flagger ahead" signing sequence shall not be in place when flagging operations are not in effect.

The maximum distance between flaggers shall be 0.8 km [**0.5 miles**] unless otherwise authorized by the Engineer. In the event a distance longer than one mile is authorized, the Engineer may order the Contractor to provide two pilot cars at no additional cost to MnDOT.

All signs associated with the flagging operation must be removed or covered when flagging operations are not present.

The Contractor will be subject to a non-compliant charge for failure to adhere to the requirements listed in this section S-SP 2.4.H. These requirements include: providing two-way radios for flaggers, flagging operation length requirements, and distance limit between the flagger and the last sign in the flagger sequence, and removing or covering flagger signs when flagging operations are not present. **Non-compliance charges, for each incident will be assessed at a rate of \$500 per incident that the Engineer determines that the Contractor has not complied.** The charges may be assessed equally, separately, and may be assessed concurrently.

The Contractor shall coordinate the flagging operations in a manner which causes as little delay to the traveling public as possible, and at no time shall the delay exceed 5 minutes. In the event that the Contractor is unable to meet the maximum

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delay requirements, operations shall shut down until such time a new traffic control plan is developed which does meet the maximum delay requirement.

If hauling operations create hazards for the traveling public, the Contractor will be required to provide additional flaggers, as directed by the Engineer. All costs incurred to provide the additional flaggers shall be incidental to the lump sum traffic control.

SP-4.5 GENERAL REQUIREMENTS:

(A) All portable sign assemblies shall be perpendicular to the ground. No traffic control device (signs, channelizing devices, arrowboards, etc.) shall be weighted so they become hazardous to motorists and workers. The approved ballast system for devices mounted on temporary portable supports is sandbags, unless it is designed, crash tested, and approved for the specific device. During freezing conditions, the sand for bags shall be mixed with a de-icer to prevent the sand from freezing. The sandbags shall be placed and maintained at the base of the traffic control device to the satisfaction of the Engineer.

When signs will remain in the same location for more than 30 consecutive days the signs shall be post mounted. This would not include portable signs which are set up and taken down at the beginning and end of each work shift. The signs must be post mounted according to the Typical Temporary Sign Framing and Installation Detail Sheet found in the Plan or in these Special Provisions.

(B) When signs are installed, they shall be mounted on posts driven into the ground at the proper height and lateral offset as detailed in the MN MUTCD. **When signs are removed, the sign posts and stub posts shall also be removed from the Right of Way within two (2) weeks or the Contractor shall be subject to a daily charge assessed at a rate of \$100.00 per day for each day or portion thereof with which the Engineer determines that the Contractor has not complied.**

(C) The Contractor shall be required to cover or remove all traffic control devices which may be inconsistent with traffic patterns during all traffic switches. See Maintenance and Staging of Traffic Control.

(D) Open excavation adjacent to the existing pavement will not be permitted on opposite sides of the roadway at the same time.

(E) The Contractor shall provide protective devices necessary to protect traffic from excavations, drop-offs, falling objects, splatter or other hazards that may exist during construction. Equipment will not be allowed to suspend over traffic. This work shall be an incidental cost to the Contractor.

(F) The Contractor will not be permitted to park vehicles or construction equipment so as to obstruct any traffic control device. The parking of workers' private vehicles will not be allowed within the Project limits unless so approved by the Engineer.

Note 1 of Layout 2 of the field manual is hereby deleted. The Contractor will not be allowed to load or unload material or equipment on the shoulders of the roadway without a full shoulder closure using appropriate signs, barricades and channelizing devices as directed by the Engineer.

(G) The Contractor will not be allowed to store materials or equipment within 10 m [**30 feet**] of through traffic unless approved by the Engineer. If materials or equipment must be stored within 10 m [**30 feet**] of through traffic, the Contractor shall provide Type B channelizers, barricades or barriers, placed near the object to warn and protect traffic.

(H) All workers within the road Right-of-Way who are exposed to either traffic or to construction equipment shall wear reflectorized high-visibility safety apparel.

High-visibility safety apparel means personal protective safety clothing that is intended to provide conspicuity during both daytime and nighttime usage, and at a minimum meets performance Class 2 requirements of the ANSI/ISEA 107 – 2004 publication entitled “American National Standard for High-Visibility Safety Apparel and Headwear”.

Additional Requirements: ANSI/ISEA 107-2004 Class 3 Requirements (Class 2 Vest with Class E Long Pants)

- Flag Persons – In addition to an ANSI Class 2 hat, vest, shirt, or jacket, flaggers shall wear high visibility Class E long pants.

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- Nighttime and Low Light Conditions – All workers working at night or in low light conditions shall wear high visibility Class E long pants in addition to an ANSI Class 2 vest, shirt, or jacket.

All high visibility apparel must be worn in the manner for which it is intended to be worn. All apparel worn on the torso must be closed in the front to provide contiguous 360 degree visibility. If a workers high-visibility apparel becomes faded, worn, torn, dirty, or defaced, reducing the conspicuity of the apparel, the apparel shall be removed from service and replaced with new apparel.

The Contractor will be subject to a non-compliant charge for failure to adhere to the clothing requirements as listed above. Non-compliance charges, for each incident, will **assessed at a rate of \$500.00 per incident** that the Engineer determines that the Contractor has not complied.

(I) At the beginning of the Project, the Contractor shall store at least 10 extra Type III barricades and 10 extra retroreflective drums, at a convenient location within the Project limits, to be used at the discretion of the Engineer. No direct compensation will be made to the Contractor for furnishing and erecting these traffic control devices.

If additional devices, beyond the quantity specified above, are ordered by the Engineer the Contractor will be compensated according to Section S-2.8 (ADDITIONAL TRAFFIC CONTROL DEVICES) of this Special Provision.

(J) When work will be performed between the official hours of sunset and sunrise, all appropriate practices for night work will apply.

The Contractor shall provide sufficient numbers of light plants to adequately illuminate the work area as determined by the Engineer. All costs incurred to provide such light plants shall be incidental to the lump sum traffic control.

All Contractor's personnel, except operators who will remain in their vehicles at all times, shall wear reflectively striped (approximately 10 m [**33 feet**] of striping), highly visible, short sleeved one or two piece coveralls (color and striping pattern to be determined by the District Traffic Engineer), at all times while working on the Project. These coveralls shall be considered an incidental expense for which no direct compensation will be made. Any Contractor's employee found on the Project not wearing the prescribed reflective coveralls will be immediately ordered off the Project by the Engineer.

The Contractor shall provide a sufficient amount of 50 mm [**2 inch**] wide highly reflective vehicle marking tape to be applied to Contractor vehicles and equipment, as directed by the Engineer, and as provided by the manufacturer's instructions. This tape shall be considered an incidental expense for which no direct compensation will be made and shall be on the qualified products list for conspicuity vehicle sign sheeting as found at: <http://www.dot.state.mn.us/trafficeng/qpl/Signing.pdf>. Vehicle examples to be marked with tape are Contractor rollers, paver, millers and other equipment normally found in the lane closure.

The State will **assess monetary deductions in the amount of \$1000.00 for each Calendar Day** or portion thereof, that the Contractor fails to provide sufficient numbers of light plants as described in this Section S-2.5.J. As light plants may be dedicated or otherwise made available to the Project, this assessment will be chargeable even if reasons beyond the control of the Contractor such as breakdowns, late delivery of materials, weather delays, or other unanticipated problems cause the work to be accomplished in non-daylight hours.

(K) Inplace Signing

All in place signs and delineators that interfere with the Contractor's normal operation shall be relocated outside of the work area or removed by the Contractor at the direction of the Engineer. Signs that are removed and will be reused are to be stored in such a manner as to protect the sign from scratching, fading, or other harmful affects until said signs are reinstalled. Upon completion of work at each sign location, or at the direction of the Engineer, the signs shall be replaced as near to their original locations as possible or to a location designated by the Engineer. **Signs and structures damaged by the Contractor shall be replaced by him at his own expense.**

The reinstalled sign posts shall be plumb and the sign panels shall be level. The minimum mounting height shall be 7 feet above the elevation of the traveled roadway. The minimum embedment length of the stub posts shall be 3.5 feet. The splice between the stub post and the riser post shall be a minimum of 12 inches. **The Contractor will be assessed a \$100 charge for each sign that does not comply with the In Place Signing requirements. In addition the Contractor will be required to correct the deficiency at his own cost within 2 weeks of being notified by Mn/DOT. If the deficiency has not been corrected within 2 weeks, the Contractor will be charged \$50 per sign per day until the deficiency has been corrected.**

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All costs incurred to relocate, salvage, and reinstall in place signing shall be incidental work and no direct compensation will be made therefore.

(L) All temporary rigid signs shall be fabricated with an approved retroreflective sheeting material of the appropriate color, and be listed on the Qualified Product Listing (QPL) for either "Sheeting for Rigid Signs" or "High Performance Sheeting for Rigid Signs". Signs remaining in place that still apply during temporary operations need no change in sign sheeting.

To visually identify approved retroreflective sign sheeting on temporary rigid signs in the field signs shall have an easily identifiable marking on the face. This marking verifies that the sign sheeting is Approved for Rigid Sign Use as found on the QPL. Although still required to meet sheeting standards, temporary rigid signs 4 sq. feet and under in size and all barricades and route markers will be exempt from this marking. The appropriate marking shall be used for each type of the approved sheeting types. Refer to the instructions for the marking of temporary signs which may be found on the APL or directly at the following link: <http://www.dot.state.mn.us/products/signing/common/typelabel.pdf>

The retroreflective sheeting types and qualified products used for temporary signs and barricades can be found at: <http://www.dot.state.mn.us/products/signing/sheeting.html>.

(M) In temporary traffic control zones only, a 12" x 18" black on white "Keep Right" sign, may be used in lieu of the sizes stated in the Standard Signs Manual.

SP-4.6 MILLING, SEALCOATING, AND PAVING OPERATIONS

(A) The Contractor shall schedule construction operations so as to minimize traffic exposure to uneven lanes, milled edges, and edge drop-offs. Only after every attempt has been made to avoid these conditions and one or more of them are deemed necessary, the Contractor shall provide and maintain the appropriate traffic control in accordance with the "DROP OFF GUIDELINES" in the Field Manual.

SP-4.7 MAINTENANCE AND STAGING OF TRAFFIC CONTROL

(A) The Contractor shall maintain, at all times, the existing traffic movements.

(B) All signs installed on roads open to traffic that are not consistent with traffic operations shall be covered as directed by the Engineer. The cover should be a plate of solid material covering the entire legend or all of that part of the legend that is inappropriate. This cover shall be bolted to the sign and shall use a minimum of 3 mm [**1/8 inch**] plastic washers between the sign face and the cover. See Figures 8.2A, 8.2B and 8.3C of the Traffic Engineering Manual for details.

(C) No access to or from any public road will be permitted for the Contractor's equipment, material deliveries, the hauling of excavated materials of any kind, or employees' private vehicles, except at in place public road intersections, or at locations and in such manner as approved by the Engineer.

(D) The Contractor shall at all times maintain a lane width of not less than **11 feet** in each direction.

(E) The Contractor shall notify the city of Duluth, phone number 218.730.5104 at least 24 hours prior to posting any parking ban within the City.

(F) The Contractor shall furnish, install, and maintain "ROAD WORK AHEAD" signs in advance of the construction limits on all intersecting roads and streets as directed by the Engineer. The signs shall conform to the standards shown in the MN MUTCD. No direct compensation will be made to the Contractor for furnishing and erecting these signs. The signs shall remain the property of the Contractor.

(G) Street identification signage shall be maintained at all times. Where the only existing signs are small city or county signs located at the intersection, street names and address numbers shall be maintained by temporary installations as required by the Engineer. This is necessary to maintain the 911 emergency system.

SP-4.8 ADDITIONAL TRAFFIC CONTROL DEVICES

In addition to the traffic control devices currently in-place, and/or Field Manual, the Engineer may require more traffic control as traffic conditions may warrant. These items are not intended for temporary lane closures.

NOTE: These provisions will apply ONLY when the Plan contains Item(s) for 2563.601 (Traffic Control) and/or if "Traffic Control Layouts" are included in the Plan or attached to this Proposal.

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(A) General Requirements:

The Contractor shall furnish the additional traffic control devices as ordered by the Engineer.

The devices shall be installed and maintained in a functional and/or legible condition, at all times, to the satisfaction of the Engineer.

(B) Measurement:

Flashers, barricades, reflectorized drums, portable changeable message signs, 1220 x 1220 mm **[48 x 48 inch]** signs, and flashing arrow boards will be measured by the number of individual units of each type multiplied by the number of Calendar Days each unit is in service.

Standard signs of each type, other than 1220 x 1220 mm **[48 x 48 inch]** signs will be measured by the face area of signs furnished multiplied by the number of Calendar Days each square meter **[square foot]** of sign is in service.

Special construction signs will be measured by the face area thereof furnished and installed as specified.

Flag Persons and Police Officers will be measured by the length of time each is in service on the job. Police Officers shall be equipped with a car at all times on the job and the car shall be incidental in the payment for the Police Officer.

(C) Payment:

Payment for additional traffic control devices of each type, at the appropriate pre-determined Unit Day price set forth below, shall be compensation in full for all costs of furnishing, installing, maintaining, and subsequently removing and disposing of the device.

Payment for standard signs of each type, other than 1220 x 1220 mm **[48 x 48 inch]** signs, will be made at the appropriate pre-determined Square Meter/Day **[Square Foot/Day]** price which shall be payment in full for all costs of furnishing, installing, maintaining and subsequently removing and disposing of the signs.

The pre-determined Square Meter **[Square Foot]** price for "Construction Signs - Special" shall be payment in full to furnish, install, maintain and remove such signs. All materials required to furnish and install these signs will remain the property of the Contractor.

Payment for Flag Persons and Police Officers will be by the Unit Hour for each hour or portion thereof that each is in service on the Project.

Payment for all additional traffic control devices, as ordered by the Engineer, will be made in accordance with the following schedule:

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ADDITIONAL TRAFFIC CONTROL DEVICES

Item No.	Item	Unit	Predetermined Price
2563.610	Flag Person	Hour	*
2563.610	Police Officer	Hour	**
2563.613	Type I Barricade w/Steady Burn Light	Unit Day	\$1.05
2563.613	Type III Barricade	Unit Day	2.75
2563.613	Direction Indicator Barricade	Unit Day	1.25
2563.613	Reflectorized Plastic Safety Drum	Unit Day	0.85
2563.613	Reflectorized Plastic Safety Drum w/Down Arrow	Unit Day	0.95
2563.613	Weighted Traffic Channelizer	Unit Day	0.40
2563.613	Flasher Type A (Low Intensity)	Unit Day	0.50
2563.613	Flasher Type B (High Intensity)	Unit Day	1.75
2563.613	Flasher Type C (Steady Burn)	Unit Day	0.90
2563.613	1220 x 1220 mm [48 x 48 inch] Standard Sign	Unit Day	1.75
2563.613	1220 x 1220 mm [48 x 48 inch] Standard Sign w/Support	Unit Day	2.20
2563.613***	Portable Changeable Message Sign	Unit Day	225.00
2563.613****	Flashing Arrow Board (one shift)	Unit Day	33.00
2563.613****	Flashing Arrow Board (24 hour day)	Unit Day	45.00
2563.617*****	Standard Signs	m ² /Day	1.08
2563.617*****	Standard Signs	SQ.FT./Day	0.10
2563.617*****	Standard Signs w/support	m ² /Day	1.72
2563.617*****	Standard Signs w/support	SQ.FT./Day	0.16
2563.604	Construction Signs - Special	m ²	270.00
2563.618	Construction Signs - Special	SQ.FT.	25.00

* Shall be paid at the Contract Flagger Classification Total Rate, which is the Basic Rate plus the Fringe Rate.

** Shall be paid at the invoice price plus 10%

*** (PCMS) Type C Trailer Mounted Message Signs will be permitted. It is imperative that the Contractor continually operate each PCMS at maximum legibility. Many factors, such as mechanical problems, insufficient charging, incorrect intensity settings, or other factors can degrade performance. If at any time the Contractor fails to operate a Portable Changeable Message Sign at maximum legibility, as determined by the Engineer, no payment will be made for each day that the Message Sign is deemed inadequate.

**** It is imperative that the Contractor continually operate each Flashing Arrow Board at maximum legibility. Many factors, such as mechanical problems, insufficient charging, incorrect intensity settings, or other factors can degrade performance. If at any time the Contractor fails to operate the Flashing Arrow Board at maximum legibility, as determined by the Engineer, no payment will be made for each day that the Flashing Arrow Board is deemed inadequate.

***** Other than 1220 X 1220 mm [48 X 48 inch] Signs, with or without support.

NOTE: These predetermined unit prices apply only if not listed as separate bid items.

Barricades, drums and signs by the Unit Day shall be paid for up to 90 days per device. After 90 days, payment per Unit Day will continue at a reduced price of 40% of the Unit price.

SP-5 (1601) SOURCE OF SUPPLY AND QUALITY

The provisions of Mn/DOT 1601 are supplemented as follows:

The Contractor will furnish and use only steel and iron materials manufactured in the United States in executing the work under this Contract, in conformance with the provision of the U.S. Code of Federal Regulations 23CFR635.410. Domestic products taken out of the United States for any process (e.g. change of chemical content, permanent shape or size, or final finish of product) shall be considered foreign source materials.

All bids must be based on furnishing domestic iron and steel, which includes the application of the coating, except where the cost of iron and steel materials incorporated in the work does not exceed one-tenth of one percent of the total Contract cost

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or \$2,500.00, whichever is greater. The state may approve the use of foreign iron and steel materials for particular Contract items, provided the bidder submits, a stipulation identifying the foreign source iron and/or steel product(s) and the estimated invoice cost of the product(s), for one or more of the Contract bid items. Each stipulation shall be made on the "Stipulation for Foreign Iron or Steel Materials" form which shall be submitted with the Contractor's proposal. If the Contractor chooses to use ANY non-domestic iron or steel, the Contractor must submit a stipulation with the proposal.

Prior to completing work the Contractor shall submit to the Engineer a certification stating that all iron and steel items supplied are of domestic origin, except for non-domestic iron and steel specifically stipulated and permitted in accordance with the paragraph above.

SP-5.1 Source of Supply and Quality. Mn/DOT 1604 is supplemented as follows: All costs of shop inspection at plants outside the United States shall be borne by the Contractor. Such costs shall be deducted from monies due or to become due the Contractor.

SP-5.2 Partial Payment. All provisions for partial payments shall apply to domestic materials only. No payments shall be made to the Contractor for materials manufactured outside of the United States until such materials have been delivered to the job site.

SP-6 **(1701) LAWS TO BE OBSERVED (DATA PRACTICES)**

The provisions of Mn/DOT 1701 are supplemented with the following:

Bidders are advised that all data created, collected, received, maintained, or disseminated by the Contractor and any subcontractors in performing the work contained in this Contract are subject to the requirements of MN Statute Chapter 13, the Minnesota Government Data Practices Act (MGDPA). The Contractor shall comply with the requirements of the MGDPA in the same manner as the Department. The Contractor does not have a duty to provide access to public data to the public if the public data are available from the Department, except as required by the terms of the Contract.

SP-7 **(1710) TRAFFIC CONTROL DEVICES**

All traffic control devices and methods shall conform to the Minnesota Manual on Uniform Traffic Control Devices (MN MUTCD), Minnesota Standard Signs Manuals Parts I and II, the Traffic Engineering Manual, and the following:

On any roadway having a 45 mph or higher speed limit prior to construction, all Category I and II temporary traffic control devices used after July 1, 2006 shall meet NCHRP 350 crash testing criteria. This includes all new and used Category I and Category II devices. Category I devices include tube markers, plastic drums and cones, etc. Category II devices include portable sign supports, Type I, II and III barricades, etc.

The Contractor shall provide the Project Engineer a Letter of Compliance stating that all of the Contractors Category I and II Devices are NCHRP 350 approved as of July 1, 2006. The Letter of Compliance must also include approved drawings of the different signs and devices and shall be provided to the Project Engineer at the Pre-construction meeting.

SP-8 **(1806) DETERMINATION AND EXTENSION OF CONTRACT TIME**

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

SP-8.1 Construction operations shall be started on or before August 10, 2012 or within ten (10) calendar days after the date of award by City Council resolution, whichever is later; however, the Notice to Proceed letter will be the official authorization to commence construction operations.

SP-8.2 All work required under this Contract shall be completed by November 16, 2012.

SP-8.3 The provisions of Mn/DOT 1806.1C(3) are modified to the extent that the phrase "during the inclusive period from November 15 to April 15," is deleted. A similar phrase set forth in the second paragraph of Mn/DOT 1807.2 is also deleted.

SP-8.4 No work which will restrict or interfere with traffic shall be performed between 12:00 noon on the day preceding and 6:30 a.m. on the day following any consecutive combination of a Saturday, Sunday, and legal holiday without written permission from the Engineer. If the Contractor chooses not to work at all on the day preceding the holiday period, no working day charges will be assessed. If the Contractor chooses to work prior to 12:00 noon on the day preceding the holiday period or

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if the Contractor obtains written permission to work after 12:00 noon on the day preceding the holiday period, working day charges will be assessed only for the actual hours worked.

SP-8.5 When all, or a portion, of the Contract Time is specified as a calendar completion date, as provided in Mn/DOT 1103, the time is presumed to have been determined by considering the Proposal quantities, normal weather for the locality and season of the year, and the necessity of having the work completed by the specified date. The time may be extended by the Engineer only in accordance with the following:

When the Contract Time is specified as a fixed calendar completion date, any time extensions granted must be justified on the basis of unavoidable delay in starting or completing the progress controlling operations, and then, only when and to the extent that it is shown that delay time could not be overcome and the work brought back on schedule through reasonable adjustments in the Progress Schedule. Provided the Contractor has made all reasonable efforts to maintain an adequate and acceptable Progress Schedule, the specified completion date may be extended as the Engineer determines to be justified, for any of the following reasons:

- 1) Delays caused by failure of the City Council to award the Contract at least 10 calendar days in advance of the latest date specified for beginning construction operations.
- 2) Delays caused by an earthquake, flood, cloudburst, cyclone, tornado, or other cataclysmic phenomenon of a nature beyond the power of the Contractor to foresee and make preparations in defense against.
- 3) Delays caused by acts of the Government or a political subdivision, or by acts of the public enemy, including fires, epidemics, and strikes not caused by improper acts or omissions of the Contractor.
- 4) Delays caused by an action or non-action of the Department, such as suspension of work by order of the Engineer through no fault on the Contractor.
- 5) Delays caused in incompleteness of work being done by other Contractors or utility owners, or due to other unforeseeable interferences not the fault of the Contractor.
- 6) Delays direction attributable to the performances of Extra Work or increased quantities or work.
- 7) Extraordinary delays in delivery or materials, resulting from strikes, lockouts, freight embargoes, governmental acts, or sudden disaster, or a nature beyond the power of the Contractor or his/her supplier to foresee and forestall.

Delays caused by plant and equipment failure, and delays due to unsuitable weather or conditions resulting therefrom, will not be allowed as justification for time extension except when and only to the extent the Engineer considers justified in view of unavoidable circumstances or events. Normal weather delays and the usual plant and equipment failures must be allowed for establishing work schedules. An extension of time may be granted for such delays as are considered to be in excess of the normal, but only when it is shown that the lost time would not reasonably be made up through acceleration of the remaining work. Failure to prosecute the work continuously and effectively for the full time allowed, with adequate work force and schedule, will be cause for denial of any such time extension that may otherwise be allowed.

SP-9 **(1903) INCREASED OR DECREASED QUANTITIES**

The provisions of Mn/DOT 1903 regarding overruns and underruns shall not apply to the following items of work under the Contract:

2461.601	Concrete Mix 3A Grout
2511.501	Random Riprap Class I
2511.501	Random Riprap Class III
2511.501	Random Riprap Class V
2573.502	Silt Fence, Type Heavy Duty
2573.540	Filter Log Type Rock Log

SP-10 **(2104) REMOVING PAVEMENT AND MISCELLANEOUS STRUCTURES**

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

All removal and disposal operations shall be incidental work and no direct compensation will be made therefore. The removal of any unforeseen obstruction requiring in the opinion of the Engineer equipment or handling substantially different from that employed in excavation operations, will be paid for as Extra Work as provided in Mn/DOT 1403.

SP-11 **(2104) REMOVE AND HAUL TREATED WOOD**

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If the Contractor is required to dispose of treated wood, the provisions of Mn/DOT 2104 are supplemented with the following:

The Contractor can elect to reuse the treated wood for its original intended purpose. The Contractor shall furnish a completed Transfer of Ownership form to the Engineer prior to removing any treated wood from the Project limits. The Transfer of Ownership form is available at the following website:

<http://www.dot.state.mn.us/environment/regulated-materials/pdf/treated-wood-transfer.pdf> .

If the Contractor cannot or elects not to re-use the treated wood for its original intended purpose, but must be disposed, the following shall apply:

(A) The Contractor shall dispose of all waste treated wood in a MPCA permitted Minnesota solid waste or industrial landfill. The Contractor shall not dispose of waste treated wood in a demolition landfill. Within 30 days after the treated wood is transported to the landfill, the Contractor shall provide the Engineer with shipping manifests, scale tickets and invoices. Shipping manifests shall include, but are not limited to, the following information: specify treated wood as the type of waste, quantity of wood, date of hauling and disposal, and location of disposal.

(B) The Contractor has the option to chip creosote treated wood on site instead of hauling it to a landfill. After the wood is chipped on site, the Contractor shall transport the chipped wood off site to a MPCA permitted incinerator that is permitted to burn creosote treated wood. Call 651.366.3630 for list of incinerators permitted to burn creosoted treated wood. This applies to creosote treated wood only.

Measurement and payment for the removal and disposal of treated wood will be made only when specifically included for payment as such in the Proposal and as listed in the Plans. All other removal and disposal of treated wood operations shall be incidental work and no direct compensation will be made therefore.

SP-12 (2411) CUT REBAR

This work shall consist of cutting off the existing damaged exposed rebar for the weirs in the existing 12' x 10' box culvert.

SP-12.1 Method of Measurement and Payment

A. Payment for CUT REBAR BY EACH shall be at the contract unit price per each acceptably completed as determined by the Engineer. All associated labor, equipment, materials and work items shall be considered incidental.

SP-13 (2573) TEMPORARY ROCK CONSTRUCTION ENTRANCE

This work consists of construction and maintenance of a rock construction entrance as shown on the plans. The purpose of this entrance is to prevent appreciable soil tracking onto public roadways for the duration of the Project. The location of each entrance shall be approved by the Engineer prior to construction.

SP-13.1 Basis of Payment

This work shall be paid for by the each as follows:

Upon Construction	50%
Upon Project Completion	50%

SP-14 (2573) EROSION CONTROL SUPERVISOR

Section 2573.4S is deleted and replaced with the following:

SP-14.1 Erosion Control Supervisor

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

City of Duluth

CERTIFIED PAYROLL CHECKLIST

[State of MN & Federal funded projects rev 4/5/11]
www.duluthmn.gov/engineering/construction_documents.cfm

**For ease of communication, the e-mail address of the person responsible for certified payroll reports (CPRs) is necessary from the prime contractor and all subcontractors.
Please reply to the e-mail address in item #20.**

- 1) Contractor's name and address must appear on the top line of each **certified payroll report (CPR)**.
- 2) **City project number, name, and location must appear on each weekly CPR AND the Statement of Compliance.**
- 3) **CPRs must be numbered sequentially**; for example, #1, #2, #3, etc.
 - Should the prime contractor or any subcontractor **NOT** perform work on a project for one or several weeks, **DO NOT** submit any CPRs at all. When work resumes, mark the CPR with the next sequential number.
 - Should a project continue into another year, continue with the same number sequence.
- 4) Each **employee's complete address** and the **last four digits of the social security number** must be on the first CPR his/her name appears; subsequent CPRs need only show the name.
 - Hours of work must clearly correspond with the appropriate dates; overtime hours listed separately.
- 5) **CLASSIFICATION and CODE NUMBERS**
Each employee's classification title, group number, and code number **must be indicated on each CPR** using the State of Minnesota Master Job Classification listing.
 - **NOTE** that the U S DOL prevailing wage schedules **DO NOT** match the State of Minnesota's for every classification—use caution when applying these code and group numbers.
 - **A listing of simply "operator" or "laborer" or "driver," etc. will not be accepted.**
 - » **CPRs will be returned for correction and monthly projects payments could be delayed.**
 - Employees who work in more than one classification must have the hours spent in each classification clearly indicated on separate lines with the appropriate wage.
 - Web site: <https://www.revisor.mn.gov/rules/?id=5200/1100>
- 6)
 - The U S DOL form WH-347 may be used for preparing the actual certified payroll report.
web site: <http://www.dol.gov/whd/wh347.pdf>
Any other form or software may be used as long as it mirrors the format of the report above.
- 7) **Total Pay Package**
 - The total pay package—base rate plus fringe benefits—must be equal to or greater than that established in the project prevailing wage schedules **or** the project labor agreement (PLA), if the project is subject to one.
 - » An employer may pay a lower hourly rate and higher fringe benefit rate than stated in the project's wage decision for regular time **PROVIDING** the total is equal to or greater than that of the wage decision— overtime must be applied to the higher prevailing wage in the project's wage decision.
 - **The overtime rate must be paid at NO LESS than the rate of pay as established in the project's wage decision multiplied by one and one-half half OR the base rate the employee is being paid if it is higher than the wage decision base rate.**
 - The **U.S. DOL Statement of Compliance** [on the reverse side of the WH-347 payroll form] must be used **in addition** to the **MnDOT Prime Contractor-Subcontractor's Statement of Compliance (12/2010)**; the second page must be completed in full regarding the fringe benefits.
web sites: <http://www.dol.gov/whd/wh347.pdf> (page two)
<http://dot.state.mn.us/const/labor/forms.html>

- The fringe benefit package is an integral portion of the prevailing wage. Should the **prime contractor or any subcontractor (regardless of tier)** become delinquent with any fringe benefit plan administrator's requirements for monthly payment, an estimated amount due that plan plus penalties may be withheld from the monthly estimate(s) **OR** the entire monthly estimates(s) may be withheld. See item #10.

8) Other Deductions

- **"Other Deductions"** must be identified; for example: garnishment, alimony, child support, other court ordered deductions, specific fringe benefits, etc. Copies of these documents must be submitted with the first certified payroll report the deduction appears OR an involuntary deduction form must be included with the first certified payroll report the deduction appears.
- **Voluntary deductions** must be clearly marked as to the type: medical, life insurance, 401K, loan payment, etc. A copy of the employee's signed authorization for the voluntary deduction(s) must be included with the first certified payroll the deduction appears.
- **Union dues, union vacation pay, etc.** do not need an authorization form; however, those deductions must be clearly marked on the CPR and the Statement of Compliance which accompanies each CPR. web site: www.duluthmn.gov/engineering/construction_documents.cfm

9) Apprentices

- **Apprentices must be clearly identified on each certified payroll.**
- **A copy of the official state-approved apprenticeship agreement ALONG WITH the ratio language for that particular trade must be included with the first certified payroll report the apprentice appears.**
- Failure to complete the complete apprenticeship papers may result in a delay of project payments.

10) Fringe Benefits

- Only plans approved by the U.S. Department of Labor will be allowed.
- Payments made to bonafide plans must be timely per the stipulations of the plan administrator.
- Delinquent payments may result in a delay of monthly estimates or an estimated dollar amount due deducted from the monthly estimate. MnDOT 1906 Partial Payments will be implemented.

11) Trucking Operations

- **CPRs are required from ALL multiple truck operations (MTOs), partnerships, and corporations which have workers on a city of Duluth construction project.**
- **CPRs are required** from MTOs, partnerships, and corporations who have a contract with a broker and use their own employees or themselves (in a partnership or corporation) on a city of Duluth construction project.
 - » Each partner performing work on a project must submit a copy of his/her commercial driver's license (CDL), cab card, and insurance certificate for the truck being operated with that weekly CPR. It is not necessary to repeat such supporting documentation until a different truck is used and/or certificates have expired.
- **Independent truck operators (ITOs)** must submit copies of their CDL, cab card, and insurance certificate for each truck being operated before commencing work on the construction project. These documents must be sent to the prime contractor who will, then, forward the material to Labor Compliance Specialist. No CPRs are required.

12) Month End Trucking Reports

MnDOT's Month-End Trucking Report must be submitted within five working days of the month ending to Labor Compliance Specialist. web site: www.dot.state.mn.us/const/labor/forms.html

13) Owners/Salaried Persons

City Ordinance 8940, 6/18/85 defines a laborer, mechanic: all persons utilized, employed, or working on a project who are doing work usually done by mechanics and laborers, including proprietors, partners, and members of cooperatives.

- This means that all persons working on a City of Duluth project including owners, partners, salaried person, working foremen, etc. performing laborer and/or mechanic work shall be reported on the certified payroll reports including all data required of any laborer or mechanic.

14) **Base Workweek**

The base workweek is five 8-hour days. Daily overtime must be paid on hours exceeding eight per day.

15) **Overtime**

On this project, time and one-half the regular hourly rate is paid for hours exceeding eight per day / all hours after 40 per week.

- An employer may not withhold overtime payment exclusively until 40 hours per week are satisfied. Daily overtime must be paid as it is earned due the State of MN funding.

16) **Originals**

ORIGINAL certified payroll reports must be **submitted WEEKLY**. The prime contractor is responsible for all subcontractors' certified payroll reports.

FAXED certified payroll reports WILL NOT be accepted.

QUICKEN BOOK users will need to provide data in a format as the WH-347 payroll form.

(See web site in item #6)

17) **Statement of Compliance**

BOTH the U.S. DOL Statement of Compliance and the MnDOT Prime Contractor-Subcontractor's Statement of Compliance (12/2010) must be completed in full and attached to each weekly certified payroll report.

www.dot.state.mn.us/const/labor/forms.html MnDOT

www.dol.gov/whd/wh347.pdf U S DOL

- Check box A or B for fringe benefit allocation (on the front side of the MnDOT form).
- The back side of the MnDOT form requires the amount paid by classification and category plus the name, address, etc. of the fringe benefit plans.
- Any employee who has an exception to the fringe benefits must be explained in section "C."
- For fringe benefits paid in cash:
 - » indicate this in section "C"
 - » the fringe amount will be added to the employee's regular hourly rate; this total amount will appear on the certified payroll report and is subject to all payroll taxes
 - overtime is calculated at one and one-half the regular hourly rate [see #6 above] plus the fringe benefit amount
- A handwritten—**original**—signature must appear on the back side.

18) **EEO Reports are required on this project**

- Use the MnDOT EEO-13 form. Web site: <http://www.dot.state.mn.us/civilrights/forms.html>
- See the project's specifications/contract for specifics.
- Submit the monthly reports to the Labor Compliance Specialist in item #20

19) **IC-134**

Form IC-134, Withholding Affidavit for Contractors must be submitted before the full retainage can be released.

- on-line: www.mndor.state.mn.us lower right side of screen, click: Submit Contractor Affidavit
- hard copies: www.taxes.state.mn.us/Forms_and_Instructions/ic134.pdf

20) Send weekly original certified payroll reports and EEO reports to:

direct: 218/730-5200

fax: 218/730-5907

Labor Compliance Technician

City of Duluth

211 City Hall

414 West 1st St

Duluth, MN 55802-1191

Note to subcontractors: the original certified payroll reports must be submitted to the prime contractor. The prime contractor will make a copy for its records and send the originals to the address in item #20.

City of Duluth

Insurance Requirements

(Updated July 13, 2009)

INDEMNIFICATION CLAUSE

Contractor agrees to defend, save harmless, and indemnify the City of Duluth, its agents and employees from any loss, cost, or damage by reason of Personal Injury or Property Damage of whatsoever nature or kind arising out of, or as a result of, the performance of the work by the Contractor, its employees, agents, or subcontractors.

INSURANCE

Contractor shall provide Public Liability and Automobile Liability Insurance with limits not less than \$1,500,000 Single Limit, and twice the limits provided when a claim arises out of the release or threatened release of a hazardous substance; shall be with a company approved by the city of Duluth; and shall provide for the following; Liability for Premises, Operations, Completed Operations, Independent Contractors, and Contractual Liability.

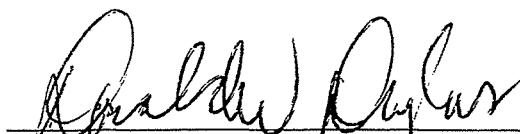
City of Duluth shall be named as Additional Insured under the Public Liability, Excess/Umbrella Liability*, and Automobile Liability, or as an alternate, Contractor may provide Owners-Contractors Protective policy, naming itself and the City of Duluth. Contractor shall also provide evidence of Statutory Minnesota Worker's Compensation Insurance. Contractor to provide Certificate of Insurance evidencing such coverage with 30-days notice of cancellation, non-renewal or material change provisions included. The City of Duluth does not represent or guarantee that these types or limits of coverage are adequate to protect the Contractor's interests and liabilities.

If a certificate of insurance is provided, the form of the certificate shall contain an unconditional requirement that the insurer must notify the City without fail not less than 30 days prior to any cancellation, non-renewal or modification of the policy or coverage's evidenced by said certificate and shall further provide that failure to give such notice to the City will render any such change or changes in said policy or coverages ineffective as against the City.

The use of an "Acord" form as a certificate of insurance shall be accompanied by two forms – 1) ISO Additional Insured Endorsement (CG 2010 pre 2004); and 2) Notice of Cancellation Endorsement (IL 7002) or equivalent, as approved by the Duluth City Attorney's Office. (See attached examples of Endorsements).

**An umbrella policy with a "following form" provision is acceptable if written verification is provided that the underlying policy names the City of Duluth as an additional insured.*

Procedure verified by:



Don Douglas, Claims Adjuster
Duluth City Attorney's Office

Date 8/14/09

PRE-2004 CG 2010

- A. **Section II - Who Is An Insured** is amended to include as an insured the person or organization shown in the Schedule, but only with respect to liability arising out of your ongoing operations performed for that insured.

* * * * * cps * * * * *

NOTICE OF CANCELLATIONS ENDORSEMENT

IL-7002 (10-90)

All Coverage Parts Included in this policy are subject to the following condition:
If we cancel this policy, for any reason other than nonpayment

of premium, we will mail advance notice to the person(s) or organization(s) as shown in the Schedule.

SCHEDULE	
Person or <u>(Name and Address)</u>	Advance Notice <u>(Days)</u>
City of Duluth Purchasing Div Room 100 City Hall 411 West First Street Duluth, MN 55802	30

DIVISION A

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

I. PREAMBLE

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

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

II. DEFINITIONS²

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

¹ Minnesota Statute 177.41

² MN/DOT Standard Specifications for Construction, Section 1103

³ Minnesota Statute 177.44, Subdivision 1

⁴ Minnesota Rules 5200.1106, Subpart 7(A)

⁵ Minnesota Rules 5200.1106, Subpart 5(A)

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

III. SCOPE – SPECIAL PROVISIONS DIVISION A & CONTRACT

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

⁶ Minnesota Rules 5200.1106, Subpart 5(C)

⁷ Minnesota Rules 5200.1106, Subpart 7(C)

⁸ Minnesota Rules 5200.1106, Subpart 7(B)

⁹ 29 CFR Part 5.5(a)

¹⁰ Minnesota Statute 177.41

¹¹ Minnesota Statute 177.44, Subdivision 1

¹² 29 CFR Part 5.5(a)(6)

¹³ Minnesota Statute 177.44, Subdivision 5

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

IV. PAYROLLS AND STATEMENTS

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

¹⁴ Minnesota Rules 8820.3000, Subpart 2

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

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

¹⁷ 29 CFR Part 3.4(a)

¹⁸ Minnesota Rules 5200.1106, Subpart 10

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

²⁰ www.dot.state.mn.us/const/labor/

²¹ Minnesota Rules 5200.1106, Subpart 10

²² 29 CFR Part 5.5(a)(6)

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

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

V. WAGE RATES

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

²⁴ Minnesota Statute 181.032

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

²⁶ 29 CFR Part 1.7(a)

²⁷ Minnesota Statute 177.44, Subdivision 4

²⁸ Minnesota Statute 177.44, Subdivision 4

contractor shall compensate a worker at a minimum, a combination of cash and fringe benefits equaling the total prevailing wage rate.²⁹

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

VI. BONA FIDE FRINGE BENEFITS

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

²⁹ Minnesota Statute 177.42, Subdivision 6

³⁰ Minnesota Statute 181.03, Subdivision 1(2)

³¹ Minnesota Rules 5200.0120, Subpart 1

³² Minnesota Rules 5200.0120, Subpart 2

³³ Minnesota Rules 5200.1106, Subpart 6

³⁴ Minnesota Statute 177.44, Subdivision 6

³⁵ 29 CFR Parts 5.26 and 5.27

³⁶ 29 CFR Part 5.28

³⁷ 29 CFR Part 5.23

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

VII. OVERTIME

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

VIII. LABOR CLASSIFICATIONS

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

³⁸ 29 CFR Part 5.29(f)

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

⁴⁰ Minnesota Rules 5200.1106, Subpart 10

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

⁴² Minnesota Statute 177.44, Subdivision 1

⁴³ Minnesota Statute 177.42, Subdivision 4

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

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

IX. INDEPENDENT CONTRACTORS, OWNERS, SUPERVISORS AND FOREMAN

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

X. APPRENTICES, TRAINEES AND HELPERS

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

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

⁴⁶ Minnesota Statute 177.44, Subdivision 1

⁴⁷ Minnesota Rules 5200.1100

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

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

⁵⁰ Minnesota Statute 177.44, Subdivision 1

⁵¹ 29 CFR Part 5.2(m)

⁵² Minnesota Rules 5200.1070

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

XI. SUBCONTRACTING PART OF THIS CONTRACT⁶¹

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

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

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

⁵⁵ Minnesota Statute 177.44, Subdivision 1

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

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

⁵⁸ Minnesota Statute 177.44, Subdivision 1

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

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

⁶¹ MN/DOT Standard Specifications for Construction, Section 1801

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

XII. POSTER BOARDS

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

XIII. EMPLOYEE INTERVIEWS

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

XIV. TRUCKING / OFF-SITE FACILITIES

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

⁶² Minnesota Statute 161.315, Subdivision 3(3)

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

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

⁶⁵ 29 CFR Part 5.2(l)(2)

⁶⁶ 29 CFR Part 5.2(j)(1)

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

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

⁶⁸ Minnesota Rules 5200.1106, Subpart 3B(2)

⁶⁹ Minnesota Rules 5200.1106, Subpart 3B(1)

⁷⁰ Minnesota Rules 5200.1106, Subpart 3B(2)

⁷¹ Minnesota Rules 5200.1106, Subpart 3B(3)

⁷² Minnesota Rules 5200.1106, Subpart 3B(4)

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

⁷⁴ Minnesota Rules 5200.1106, Subpart 1

⁷⁵ Minnesota Rules 5200.1106, Subpart 10

⁷⁶ Minnesota Rules 5200.1106, Subpart 7(C)

XV. CHILD LABOR

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

XVI. NON-COMPLIANCE AND ENFORCEMENT

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

⁷⁷ Minnesota Rules 5200.0910, Subpart F

⁷⁸ Minnesota Rules 5200.0930, Subpart 4

⁷⁹ 29 CFR Part 570.2(a)(ii)

⁸⁰ Minnesota Statute 181A.06, Subdivision 4

⁸¹ MN/DOT Standard Specifications for Construction, Section 1701

⁸² MN/DOT Standard Specifications for Construction, Section 1801

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

⁸⁴ MN/DOT Standard Specifications for Construction, Section 1906

⁸⁵ Minnesota Statute 161.32, Subdivision 1(d)

⁸⁶ MN/DOT Standard Specifications for Construction, Section 1808

⁸⁷ Minnesota Statute 177.44, Subdivision 6

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

⁸⁹ Minnesota Statute 161.315

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General Decision Number: MN120001 06/15/2012 MN1

Superseded General Decision Number: MN20100007

State: Minnesota

Construction Type: Highway

Counties: Carlton, Cook, Itasca, Koochiching, Lake, Pine and
St Louis Counties in Minnesota.

HIGHWAY CONSTRUCTION PROJECTS

Modification Number	Publication Date
0	01/06/2012
1	06/15/2012

* SUMN2010-001 10/31/2011

	Rates	Fringes
BRICKLAYER.....	\$ 29.00	21.24
CARPENTER.....	\$ 30.22	17.15
CEMENT MASON/CONCRETE FINISHER...	\$ 33.33	16.25
ELECTRICIAN		
Electrician.....	\$ 30.51	22.49
Ground Person.....	\$ 24.15	12.13
Lineman.....	\$ 36.04	15.64
Wiring System Installer.....	\$ 22.46	10.61
Wiring System Technician.....	\$ 32.09	12.39
IRONWORKER.....	\$ 29.14	20.37
LABORER		
Blaster.....	\$ 29.14	15.33
Common or General.....	\$ 26.14	15.33
Flag Person.....	\$ 26.14	15.33
Landscape.....	\$ 17.44	12.09
Skilled.....	\$ 26.14	15.33
Underground & Open Ditch (8 ft below grade).....	\$ 26.84	15.33
MILLWRIGHT.....	\$ 30.12	14.65
PAINTER (Including Pavement Marking).....	\$ 27.91	14.59
PILEDRIVERMAN.....	\$ 29.72	17.15
POWER EQUIPMENT OPERATOR:		
GROUP 2.....	\$ 31.97	16.70
GROUP 3.....	\$ 31.42	16.70
GROUP 4.....	\$ 31.12	16.70
GROUP 5.....	\$ 28.08	16.70
GROUP 6.....	\$ 26.87	16.70
Speciality Equipment		
Articulated Hauler.....	\$ 31.12	16.70

Boom Truck.....\$ 31.12	16.70
Off-Road Truck.....\$ 31.12	16.70

OPERATING ENGINEER CLASSIFICATIONS

GROUP 2: Helicopter Pilot; Concrete Pump; Cranes over 135 ft boom excluding jib; Dragline, Crawler, Hydraulic Backhoe and other similar equipment with shovel-type controls including attachments 3 cu yd & over; Grader or Motor Patrol; Pile Driving

GROUP 3: Asphalt Bituminous Stabilizer Plant; Cableway; Concrete Mixer, Stationary Plant; Derrick (guy or stiff leg) (power) (skids or stationary); Dragline, Crawler, Hydraulic Backhoe and other similar equipment with shovel-type controls including attachments up to 3 cu yd; Dredge or Engineers Dredge (Power); Front end loader 5 cu yd & over including attachments; Locomotive Crane Operator; Mixer (paving) concrete paving, Road Mole including Mucking operations, Conway or similar type; Mechanic, Welder; Tractor, Boom type. Tandem Scraper; Truck Crane, Crawler Crane; Tugboat 100 H.P. & over.

GROUP 4: Air Track Rock Drill; Automatic Road Machine CMI or similar; Backfiller; Concrete Batch Plant; Bituminous Roller Rubber Tire or Steel Drum 8 tons & over; Bituminous Spreader & Finishing Machine (power), including pavers, Macro Surfacing & Micro Surfacing or similar types (Operator & Screed person); Brokk or RTC remote control or similar type with attachments; Cat Challenger Tractor or similar types pulling Rock Wagons; Bulldozer & Scraper; Chip Harvester & Tree Cutter; Concrete Distributor & Spreader Finishing Machine, Longitudinal Float, Joint Machine, Spray Machine; Concrete Mixer on jobsite; Concrete Mixer; Crushing Plant (gravel, stone) or Gravel Washing, Crushing & Screening Plant; Curb Machine; Directional Boring Machine; Drill Rigs, Heavy Rotary or Churn or Cable Drill; Dual Tractor; Elevating Grader; Fork Lift; Front End, Skid Steer 1 to 5 cu yd; GPS Remote Operating of equipment; Hoist Engineer (power); Hydraulic Tree Planter; Locomotive; Milling, Grinding, Planing, Fine Grade, or Trimmer Machine; Multiple Machines such as Air Compressors, Welding Machines, Generators, Pumps; Pavement Breaker or Tamping Machine, Mighty Mite or similar type; Pickup Sweeper 1 cu yd & over hopper capacity; Horizontal Boring Machine power actuated over 6 inches; Pugmill; Pumpcrete; Rubber Tired Farm Tractor with Backhoe attachment; Scraper; Self-Propelled Soil Stabilizer; Slip Form (power driven) paving; Tractor, Bulldozer; Wheel type Tractor over 50 hp with PTO; Trenching Machine excludes walk behind Trencher; Tub Grinder, Morbark or similar type; Well Point installation or Dismantling.

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

GROUP 6: Cat, Challenger or similar tractor when pulling Disk or Roller; Conveyor; Dredge Deck Hand; Fire Person or Tank Car Heater; Gravel Screening Plant (portable, not crushing or

washing); Greaser (tractor); Lever Person; Oiler (Power Shovel, Truck Crane, Dragline, Crusher and Milling Machine; Power Sweeper; Sheep Foot Roller & Rollers on Gravel Compaction including vibrating rollers; Wheel type Tractor over 50 hp.

TRUCK DRIVER

GROUP 1.....	\$ 27.10	13.65
GROUP 2.....	\$ 26.55	13.65
GROUP 3.....	\$ 26.45	13.65
GROUP 4.....	\$ 26.20	13.65

TRUCK DRIVER CLASSIFICATIONS:

GROUP 1: Mechanic, Welder; Tractor Trailer; Truck hauling machinery including operation of hand and power operated winches.

GROUP 2: Four or more axle unit straight body truck.

GROUP 3: Bituminous Distributor driver; Bituminous Distributor (one person operation); Three Axle units.

GROUP 4: Bituminous Distributor Spray operator (rear and oiler); Dump Person; Greaser; Pilot Car; Rubber Tire self-propelled Packer under 8 tons; Two Axle unit; Slurry Operator; Tank Truck Tender (gas, road oil, water); Tractor under 50 hp.

Tunnel Miner.....	\$ 26.84	15.33
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WELDERS - Receive rate prescribed for craft performing operation to which welding is incidental.

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

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

Union Identifiers

An identifier enclosed in dotted lines beginning with characters other than "SU" denotes that the union classification and rate have found to be prevailing for that classification. Example: PLUM0198-005 07/01/2011. The first four letters, PLUM, indicate the international union and the four-digit number, 0198, that follows indicates the local union number or district council number where applicable, i.e., Plumbers Local 0198. The next number, 005 in the example, is an internal number used in processing the wage determination. The date, 07/01/2011, following these

characters is the effective date of the most current negotiated rate/collective bargaining agreement which would be July 1, 2011 in the above example.

Union prevailing wage rates will be updated to reflect any changes in the collective bargaining agreements governing the rate.

Non-Union Identifiers

Classifications listed under an "SU" identifier were derived from survey data by computing average rates and are not union rates; however, the data used in computing these rates may include both union and non-union data. Example: SULA2004-007 5/13/2010. SU indicates the rates are not union rates, LA indicates the State of Louisiana; 2004 is the year of the survey; and 007 is an internal number used in producing the wage determination. A 1993 or later date, 5/13/2010, indicates the classifications and rates under that identifier were issued as a General Wage Determination on that date.

Survey wage rates will remain in effect and will not change until a new survey is conducted.

WAGE DETERMINATION APPEALS PROCESS

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

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

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

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

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

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

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

Washington, DC 20210

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

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

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

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

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END OF GENERAL DECISION

NOTICE TO BIDDERS

Minnesota Statutes that require prompt payment to subcontractors:

471.425 Prompt payment of local government bills.

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

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

Subd. 4a. Prompt payment to subcontractors.

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

HIST: 1985 c 136 s 5; 1995 c 31 s 1

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

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

Construction Type: Highway and Heavy

Region Number: 01

Counties within region:

- CARLTON-09
- COOK-16
- ITASCA-31
- KOOSKICHING-36
- LAKE-38
- PINE-58
- ST. LOUIS-69

Effective: 2011-10-31 Revised: 2012-05-07

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

All hours worked in excess of eight (8) hours per day or forty (40) hours per week shall be paid at a rate of one and one half (1 1/2) times the basic hourly rate.

Violations should be reported to:

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

Refer questions concerning the prevailing wage rates to:

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

LABOR CODE AND CLASS

	EFFECT DATE	BASIC RATE	FRINGE RATE	TOTAL RATE
<i>LABORERS (101 - 112) (SPECIAL CRAFTS 701 - 730)</i>				
101 LABORER, COMMON (GENERAL LABOR WORK)	2011-10-31	26.14	15.08	41.22
	2012-05-01	26.14	15.33	41.47
102 LABORER, SKILLED (ASSISTING SKILLED CRAFT JOURNEYMAN)	2011-10-31	26.14	15.08	41.22
	2012-05-01	26.14	15.33	41.47
103 LABORER, LANDSCAPING (GARDENER, SOD LAYER AND NURSERY OPERATOR)	2011-10-31	17.19	11.59	28.78
	2012-05-01	17.44	12.09	29.53
104 FLAG PERSON	2011-10-31	26.14	15.08	41.22
	2012-05-01	26.14	15.33	41.47
105 WATCH PERSON	2011-10-31	22.59	14.83	37.42
	2012-05-01	22.59	15.08	37.67
106 BLASTER	2011-10-31	29.14	15.08	44.22
	2012-05-01	29.14	15.33	44.47
107 PIPELAYER (WATER, SEWER AND GAS)	2011-10-31	28.14	15.08	43.22
	2012-05-01	28.14	15.33	43.47
108 TUNNEL MINER	2011-10-31	26.59	15.33	41.92
	2011-10-31	26.84	15.08	41.92
	2012-05-01	26.84	15.33	42.17
109 UNDERGROUND AND OPEN DITCH LABORER (EIGHT FEET BELOW STARTING GRADE LEVEL)	2011-10-31	26.84	15.08	41.92
	2012-05-01	26.84	15.33	42.17
110	2011-10-31	26.14	15.08	41.22

SURVEY FIELD TECHNICIAN (OPERATE TOTAL STATION, GPS RECEIVER, LEVEL, ROD OR RANGE POLES, STEEL TAPE MEASUREMENT; MARK AND DRIVE STAKES; HAND OR POWER DIGGING FOR AND IDENTIFICATION OF MARKERS OR MONUMENTS; PERFORM AND CHECK CALCULATIONS; REVIEW AND UNDERSTAND CONSTRUCTION PLANS AND LAND SURVEY MATERIALS). THIS CLASSIFICATION DOES NOT APPLY TO THE WORK PERFORMED ON A PREVAILING WAGE PROJECT BY A LAND SURVEYOR WHO IS LICENSED PURSUANT TO MINNESOTA STATUTES, SECTIONS 326.02 TO 326.15.

2012-05-01 26.14 15.33 41.47

111 TRAFFIC CONTROL PERSON (TEMPORARY SIGNAGE)

2011-10-31 26.14 15.08 41.22

2012-05-01 26.14 15.33 41.47

112 QUALITY CONTROL TESTER (FIELD AND COVERED OFF-SITE FACILITIES; TESTING OF AGGREGATE, ASPHALT, AND CONCRETE MATERIALS); LIMITED TO MN DOT HIGHWAY AND HEAVY CONSTRUCTION PROJECTS WHERE THE MN DOT HAS RETAINED QUALITY ASSURANCE PROFESSIONALS TO REVIEW AND INTERPRET THE RESULTS OF QUALITY CONTROL TESTERS. SERVICES PROVIDED BY THE CONTRACTOR.

2011-10-31 21.40 13.51 34.91

SPECIAL EQUIPMENT (201 - 204)

201 ARTICULATED HAULER

2011-10-31 30.97 16.60 47.57

2012-05-01 31.12 16.70 47.82

202 BOOM TRUCK

2011-10-31 30.97 16.60 47.57

2012-05-01 31.12 16.70 47.82

203 LANDSCAPING EQUIPMENT, INCLUDES HYDRO SEEDER OR MULCHER, SOD ROLLER, FARM TRACTOR WITH ATTACHMENT SPECIFICALLY SEEDING, SODDING, OR PLANT, AND TWO-FRAMED FORKLIFT (EXCLUDING FRONT, POSIT-TRACK, AND SKID STEER LOADERS), NO EARTHWORK OR GRADING FOR ELEVATIONS

2011-10-31 17.19 11.59 28.78

2012-05-01 17.44 12.09 29.53

204 OFF-ROAD TRUCK	2011-10-31	30.97	16.60	47.57
	2012-05-01	31.12	16.70	47.82

HIGHWAY/HEAVY POWER EQUIPMENT OPERATOR

GROUP 2	2011-10-31	31.82	16.60	48.42
	2012-05-01	31.97	16.70	48.67

- 302 HELICOPTER PILOT (HIGHWAY AND HEAVY ONLY)
- 303 CONCRETE PUMP (HIGHWAY AND HEAVY ONLY)
- 304 ALL CRANES WITH OVER 135-FOOT BOOM, EXCLUDING JIB (HIGHWAY AND HEAVY ONLY)
- 305 DRAGLINE, CRAWLER, HYDRAULIC BACKHOE (TRACK OR WHEEL MOUNTED) AND/OR OTHER SIMILAR EQUIPMENT WITH SHOVEL-TYPE CONTROLS THREE CUBIC YARDS AND OVER MANUFACTURER.S RATED CAPACITY INCLUDING ALL ATTACHMENTS. (HIGHWAY AND HEAVY ONLY)
- 306 GRADER OR MOTOR PATROL
- 307 PILE DRIVING (HIGHWAY AND HEAVY ONLY)
- 308 TUGBOAT 100 H.P. AND OVER WHEN LICENSE REQUIRED (HIGHWAY AND HEAVY ONLY)

GROUP 3	2011-10-31	31.27	16.60	47.87
	2012-05-01	31.42	16.70	48.12

- 309 ASPHALT BITUMINOUS STABILIZER PLANT
- 310 CABLEWAY
- 311 CONCRETE MIXER, STATIONARY PLANT (HIGHWAY AND HEAVY ONLY)
- 312 DERRICK (GUY OR STIFFLEG)(POWER)(SKIDS OR STATIONARY) (HIGHWAY AND HEAVY ONLY)
- 313 DRAGLINE, CRAWLER, HYDRAULIC BACKHOE (TRACK OR WHEEL MOUNTED) AND/OR SIMILAR EQUIPMENT WITH SHOVEL-TYPE CONTROLS, UP TO THREE CUBIC YARDS MANUFACTURER.S RATED CAPACITY INCLUDING ALL ATTACHMENTS (HIGHWAY AND HEAVY ONLY)
- 314 DREDGE OR ENGINEERS, DREDGE (POWER) AND ENGINEER
- 315 FRONT END LOADER, FIVE CUBIC YARDS AND OVER INCLUDING ATTACHMENTS. (HIGHWAY AND HEAVY ONLY)
- 316 LOCOMOTIVE CRANE OPERATOR
- 317 MIXER (PAVING) CONCRETE PAVING, ROAD MOLE, INCLUDING MUCKING OPERATIONS, CONWAY OR SIMILAR TYPE
- 318 MECHANIC . WELDER ON POWER EQUIPMENT (HIGHWAY AND HEAVY ONLY)

- 319 TRACTOR . BOOM TYPE (HIGHWAY AND HEAVY ONLY)
- 320 TANDEM SCRAPER
- 321 TRUCK CRANE . CRAWLER CRANE (HIGHWAY AND HEAVY ONLY)
- 322 TUGBOAT 100 H.P AND OVER (HIGHWAY AND HEAVY ONLY)

GROUP 4	2011-10-31	30.97	16.60	47.57
	2012-05-01	31.12	16.70	47.82

- 323 AIR TRACK ROCK DRILL
- 324 AUTOMATIC ROAD MACHINE (CMI OR SIMILAR) (HIGHWAY AND HEAVY ONLY)
- 325 BACKFILLER OPERATOR
- 326 CONCRETE BATCH PLANT OPERATOR (HIGHWAY AND HEAVY ONLY)
- 327 BITUMINOUS ROLLERS, RUBBER TIRED OR STEEL DRUMMED (EIGHT TONS AND OVER)
- 328 BITUMINOUS SPREADER AND FINISHING MACHINES (POWER), INCLUDING PAVERS, MACRO SURFACING AND MICRO SURFACING, OR SIMILAR TYPES (OPERATOR AND SCREED PERSON)
- 329 BROKK OR R.T.C. REMOTE CONTROL OR SIMILAR TYPE WITH ALL ATTACHMENTS
- 330 CAT CHALLENGER TRACTORS OR SIMILAR TYPES PULLING ROCK WAGONS, BULLDOZERS AND SCRAPERS
- 331 CHIP HARVESTER AND TREE CUTTER
- 332 CONCRETE DISTRIBUTOR AND SPREADER FINISHING MACHINE, LONGITUDINAL FLOAT, JOINT MACHINE, AND SPRAY MACHINE
- 333 CONCRETE MIXER ON JOBSITE (HIGHWAY AND HEAVY ONLY)
- 334 CONCRETE MOBIL (HIGHWAY AND HEAVY ONLY)
- 335 CRUSHING PLANT (GRAVEL AND STONE) OR GRAVEL WASHING, CRUSHING AND SCREENING PLANT
- 336 CURB MACHINE
- 337 DIRECTIONAL BORING MACHINE
- 338 DOPE MACHINE (PIPELINE)
- 339 DRILL RIGS, HEAVY ROTARY OR CHURN OR CABLE DRILL (HIGHWAY AND HEAVY ONLY)
- 340 DUAL TRACTOR
- 341 ELEVATING GRADER
- 342 FORK LIFT OR STRADDLE CARRIER (HIGHWAY AND HEAVY ONLY)
- 343 FORK LIFT OR LUMBER STACKER (HIGHWAY AND HEAVY ONLY)
- 344 FRONT END, SKID STEER OVER 1 TO 5 C YD
- 345 GPS REMOTE OPERATING OF EQUIPMENT
- 346 HOIST ENGINEER (POWER) (HIGHWAY AND HEAVY ONLY)
- 347 HYDRAULIC TREE PLANTER
- 348 LAUNCHER PERSON (TANKER PERSON OR PILOT LICENSE)

- 349 LOCOMOTIVE (HIGHWAY AND HEAVY ONLY)
- 350 MILLING, GRINDING, PLANNING, FINE GRADE, OR TRIMMER MACHINE
- 351 MULTIPLE MACHINES, SUCH AS AIR COMPRESSORS, WELDING MACHINES, GENERATORS, PUMPS (HIGHWAY AND HEAVY ONLY)
- 352 PAVEMENT BREAKER OR TAMPING MACHINE (POWER DRIVEN) MIGHTY MITE OR SIMILAR TYPE
- 353 PICKUP SWEEPER, ONE CUBIC YARD AND OVER HOPPER CAPACITY(HIGHWAY AND HEAVY ONLY)
- 354 PIPELINE WRAPPING, CLEANING OR BENDING MACHINE
- 355 POWER PLANT ENGINEER, 100 KWH AND OVER (HIGHWAY AND HEAVY ONLY)
- 356 POWER ACTUATED HORIZONTAL BORING MACHINE, OVER SIX INCHES
- 357 PUGMILL
- 358 PUMPCRETE (HIGHWAY AND HEAVY ONLY)
- 359 RUBBER-TIRED FARM TRACTOR WITH BACKHOE INCLUDING ATTACHMENTS (HIGHWAY AND HEAVY ONLY)
- 360 SCRAPER
- 361 SELF-PROPELLED SOIL STABILIZER
- 362 SLIP FORM (POWER DRIVEN) (PAVING)
- 363 TIE TAMPER AND BALLAST MACHINE
- 364 TRACTOR, BULLDOZER (HIGHWAY AND HEAVY ONLY)
- 365 TRACTOR, WHEEL TYPE, OVER 50 H.P. WITH PTO UNRELATED TO LANDSCAPING (HIGHWAY AND HEAVY ONLY)
- 366 TRENCHING MACHINE (SEWER, WATER, GAS) EXCLUDES WALK BEHIND TRENCHER (HIGHWAY AND HEAVY ONLY)
- 367 TUB GRINDER, MORBARK, OR SIMILAR TYPE
- 368 WELL POINT DISMANTLING OR INSTALLATION (HIGHWAY AND HEAVY ONLY)

GROUP 5

2011-10-31	27.93	16.60	44.53
2012-05-01	28.08	16.70	44.78

- 369 AIR COMPRESSOR, 600 CFM OR OVER (HIGHWAY AND HEAVY ONLY)
- 370 BITUMINOUS ROLLER (UNDER EIGHT TONS)
- 371 CONCRETE SAW (MULTIPLE BLADE) (POWER OPERATED)
- 372 FORM TRENCH DIGGER (POWER)
- 373 FRONT END, SKID STEER UP TO 1C YD
- 374 GUNITE GUNALL (HIGHWAY AND HEAVY ONLY)
- 375 HYDRAULIC LOG SPLITTER
- 376 LOADER (BARBER GREENE OR SIMILAR TYPE)
- 377 POST HOLE DRIVING MACHINE/POST HOLE AUGER

- 378 POWER ACTUATED AUGER AND BORING MACHINE
- 379 POWER ACTUATED JACK
- 380 PUMP (HIGHWAY AND HEAVY ONLY)
- 381 SELF-PROPELLED CHIP SPREADER (FLAHERTY OR SIMILAR)
- 382 SHEEP FOOT COMPACTOR WITH BLADE . 200 H.P. AND OVER
- 383 SHOULDERING MACHINE (POWER) APSCO OR SIMILAR TYPE INCLUDING SELF-PROPELLED SAND AND CHIP SPREADER
- 384 STUMP CHIPPER AND TREE CHIPPER
- 385 TREE FARMER (MACHINE)

GROUP 6	2011-10-31	26.72	16.60	43.32
	2012-05-01	26.87	16.70	43.57

- 387 CAT, CHALLENGER, OR SIMILAR TYPE OF TRACTORS, WHEN PULLING DISK OR ROLLER
- 388 CONVEYOR (HIGHWAY AND HEAVY ONLY)
- 389 DREDGE DECK HAND
- 390 FIRE PERSON OR TANK CAR HEATER (HIGHWAY AND HEAVY ONLY)
- 391 GRAVEL SCREENING PLANT (PORTABLE NOT CRUSHING OR WASHING)
- 392 GREASER (TRACTOR) (HIGHWAY AND HEAVY ONLY)
- 393 LEVER PERSON
- 394 OILER (POWER SHOVEL, CRANE, TRUCK CRANE, DRAGLINE, CRUSHERS, AND MILLING MACHINES, OR OTHER SIMILAR HEAVY EQUIPMENT) (HIGHWAY AND HEAVY ONLY)
- 395 POWER SWEEPER
- 396 SHEEP FOOT ROLLER AND ROLLERS ON GRAVEL COMPACTION, INCLUDING VIBRATING ROLLERS
- 397 TRACTOR, WHEEL TYPE, OVER 50 H.P., UNRELATED TO LANDSCAPING

TRUCK DRIVERS

GROUP 1	2011-10-31	26.70	13.65	40.35
	2012-05-01	27.10	13.65	40.75

- 601 MECHANIC . WELDER
- 602 TRACTOR TRAILER DRIVER
- 603 TRUCK DRIVER (HAULING MACHINERY INCLUDING OPERATION OF HAND AND POWER OPERATED WINCHES)

GROUP 2	2011-10-31	26.15	13.65	39.80
	2012-05-01	26.55	13.65	40.20

604 FOUR OR MORE AXLE UNIT, STRAIGHT BODY TRUCK

GROUP 3

2011-10-31	26.05	13.65	39.70
2012-05-01	26.45	13.65	40.10

605 BITUMINOUS DISTRIBUTOR DRIVER

606 BITUMINOUS DISTRIBUTOR (ONE PERSON OPERATION)

607 THREE AXLE UNITS

GROUP 4

2011-10-31	25.80	13.65	39.45
2012-05-01	26.20	13.65	39.85

608 BITUMINOUS DISTRIBUTOR SPRAY OPERATOR (REAR AND OILER)

609 DUMP PERSON

610 GREASER

611 PILOT CAR DRIVER

612 RUBBER-TIRED, SELF-PROPELLED PACKER UNDER 8 TONS

613 TWO AXLE UNIT

614 SLURRY OPERATOR

615 TANK TRUCK HELPER (GAS, OIL, ROAD OIL, AND WATER)

616 TRACTOR OPERATOR, UNDER 50 H.P.

SPECIAL CRAFTS

701 HEATING AND FROST INSULATORS

2011-10-31	21.53	14.71	36.24
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702 BOILERMAKERS

FOR RATE CALL 651-284-5091 OR
EMAIL
DLLEPREVWAGE@STATE.MN.US

703 BRICKLAYERS

2011-10-31	28.58	20.66	49.24
2011-10-31	29.00	21.24	50.24

704 CARPENTERS

2011-10-31	29.72	17.15	46.87
2012-05-01	30.22	17.15	47.37

705 CARPET LAYERS (LINOLEUM)

2011-10-31	22.58	7.50	30.08
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706 CEMENT MASONS

2011-10-31	31.83	16.25	48.08
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	2012-05-01	33.33	16.25	49.58
707 ELECTRICIANS	2011-10-31	30.51	22.49	53.00
708 ELEVATOR CONSTRUCTORS	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLIPRE VWAGE@STATE.MN.US</u>			
709 GLAZIERS	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLIPRE VWAGE@STATE.MN.US</u>			
710 LATHERS	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLIPRE VWAGE@STATE.MN.US</u>			
711 GROUND PERSON	2011-10-31	24.15	12.13	36.28
712 IRONWORKERS	2011-10-31	29.66	19.90	49.56
	2011-10-31	29.14	20.37	49.51
713 LINEMAN	2011-10-31	36.04	15.64	51.68
714 MILLWRIGHT	2011-10-31	30.12	14.65	44.77
715 PAINTERS (INCLUDING HAND BRUSHED, HAND SPRAYED, AND THE TAPING OF PAVEMENT MARKINGS)	2011-10-31	27.31	14.59	41.90
	2012-05-01	27.91	14.59	42.50
716 PILEDRIVER (INCLUDING VIBRATORY DRIVER OR EXTRACTOR FOR PILING AND SHEETING OPERATIONS)	2011-10-31	29.72	17.15	46.87
717 PIPEFITTERS . STEAMFITTERS	2011-10-31	35.86	16.05	51.91
	2012-05-01	36.61	16.05	52.66
718 PLASTERERS	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLIPRE VWAGE@STATE.MN.US</u>			

719 PLUMBERS	2011-10-31	31.49	19.34	50.83
720 ROOFER	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLLEPREVWAGE@STATE.MN.US</u>			
721 SHEET METAL WORKERS	2011-10-31	30.30	20.01	50.31
	2012-05-30	30.80	20.01	50.81
722 SPRINKLER FITTERS	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLLEPREVWAGE@STATE.MN.US</u>			
723 TERRAZZO WORKERS	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLLEPREVWAGE@STATE.MN.US</u>			
724 TILE SETTERS	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLLEPREVWAGE@STATE.MN.US</u>			
725 TILE FINISHERS	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLLEPREVWAGE@STATE.MN.US</u>			
726 DRYWALL TAPER	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLLEPREVWAGE@STATE.MN.US</u>			
727 WIRING SYSTEM TECHNICIAN	2011-10-31	32.09	12.39	44.48
728 WIRING SYSTEMS INSTALLER	2011-10-31	22.46	10.61	33.07
729 ASBESTOS ABATEMENT WORKER	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLLEPREVWAGE@STATE.MN.US</u>			
730 SIGN ERECTOR	FOR RATE CALL 651-284-5091 OR EMAIL <u>DLLEPREVWAGE@STATE.MN.US</u>			

Official Notices

Department of Labor and Industry (DLI)

Labor Standards Unit

Notice of Certification of Truck Rental Rates and Effective Date Pursuant to *Minnesota Rules, Part 5200.1105*

On May 1, 2012, the Commissioner of the Department of Labor and Industry ("DLI") certified the minimum truck rental rates for highway projects in the state's ten highway and heavy construction areas for trucks and drivers operating "four or more axle units, straight body trucks," "three axle units," "tractor only" and "tractor trailers." The certification followed publication of the Notice of Determination of Truck Rental Rates in the *State Register* on March 12, 2012, and the informal conference held pursuant to Minnesota Rules, part 5200.1105 on April 4, 2012.

According to Minnesota Rules, part 5200.1105, the purpose of the informal conference is for DLI to obtain further input regarding the proposed rates before the rates are certified. Approximately 18 individuals attended the informal conference. Many of the attendees voiced strong concerns regarding the inadequacy of the proposed rates. Among the concerns raised was the fact that the proposed rates were based on 2010 costs, including the 2010 price of fuel. Speakers indicated that because of the dramatic increase in the price of diesel in recent months, the published rates were far below the operators' current costs. As stated by some attendees:

"This year, right now yesterday we were paying \$4.10...I know when fuel went up that last time, a lot of us had to eat the cost because there was no way of recouping it."

Testimony of Colleen Donovan, Transcript of Informal Conference, pp. 13, 14.

Ms. Donovan provided DLI written information that her 2010 average cost for fuel was \$2.99 per gallon.

"And, like the price of fuel, \$4.25, \$4.30. That's what it is down by my place, anyway."

Testimony of Bob Dornsbach, Transcript of Informal Conference, p. 32.

Mr. Bob Dornsbach provided DLI written information that in October 2010 his fuel cost was \$3.15 per gallon.

In response to the informal conference Jim Lloyd provided written information that his 2010 fuel cost was close to \$3.00 per gallon and "now is at \$4.00 plus and it does not look like it is going to decrease."

After the informal conference, Tom Barnes provided written information that his fuel costs in March 2010 were \$2.82 per gallon and that his fuel costs for March 2012 were \$4.07 per gallon.

Following the informal conference, DLI staff obtained data from the United States Department of Energy ("DOE") regarding the price of diesel during 2010 as compared to current costs.¹ That data, available at www.eia.doe.gov, show that the average price of diesel during 2010 was \$2.964 per gallon. The average price of diesel during January, February, and March 2012 was \$3.862 per gallon. Consequently, the average price of diesel for the first three months of this year was 30.4% higher than the average cost of diesel during 2010.

The purpose of *Minnesota Rules*, part 5200.1105, as stated in its Statement of Need and Reasonableness, is to "provide equitable compensation" to independent truck operators. The commissioner finds that in order to carry out the purpose of the rule, it is appropriate to consider the concerns expressed at the informal conference² and to use average 2012 diesel costs in computing and certifying 2012 truck rental rates. Specifically, the commissioner finds that the extreme disparity between 2010 and current fuel costs warrants this adjustment in order for truck operators to be equitably compensated.³

(Footnotes)

¹ U.S. Energy Information Administration Midwest No. 2 Retail Prices (Dollars per Gallon)

² The DLI has historically used input from the informal conferences to establish certified rates. For example, truck rental rates certified in 2009 varied from the proposed rates based on information gathered at the informal conference.

³ The commissioner notes that the Minnesota Department of Transportation incorporates a fuel adjustment clause in certain of its contracts to accommodate the fluctuating price of fuel. That clause generally provides for the adjustment of contract payments when the cost of fuel increases or decreases by more than 15% from an indexed rate during the term of the contract. By using 2012 fuel costs in certifying 2012 truck rental rates, the commissioner is not intending to adopt or establish a similar fuel adjustment mechanism. Rather, he is taking this action to effectuate the purpose of Part 5200.1105 in light of the concerns raised at the informal conference and the dramatic increase in the price of diesel between 2010 and effective date of 2012 truck rental rates.

Official Notices

Construction truck operating costs were initially determined by survey on a statewide basis and were the subject of further input by interested parties attending the informal conference pursuant to *Minnesota Rules*, part 5200.1105 on April 4, 2012 and further data on fuel prices from the DOE for 2010 and 2012. In light of the discussion above, fuel costs stated in the surveys were adjusted upward by 30.4% to determine statewide operating costs. As a result of this adjustment, the operating cost for "four axle units, straight body trucks" is determined to be \$51.58 per hour; the operating cost for "three axle units" is determined to be \$37.35 per hour; the operating cost for "tractor only" is determined to be \$41.43 per hour; and the operating cost for "tractor trailers" is determined to be \$52.89 per hour.

Adding the prevailing wage for drivers of these four types of trucks from each of the State's ten highway and heavy construction areas to the operating costs, the minimum hourly truck rental rate for the four types of trucks in each area is certified to be as follows:

3 Axle Units				
	Effective Date	607 Driver Rate	Operating Cost	Truck Rental Rate
Region 1	May 1, 2012	40.10	37.35	77.45
Region 2	May 1, 2012	33.76	37.35	71.11
Region 3	May 1, 2012	25.40	37.35	62.75
Region 4	May 1, 2012	33.76	37.35	71.11
Region 5	May 1, 2012	40.50	37.35	77.85
Region 6	May 1, 2012	38.30	37.35	75.65
Region 7	May 1, 2012	33.76	37.35	71.11
Region 8	May 1, 2012	33.76	37.35	71.11
Region 9	May 1, 2012	40.50	37.35	77.85
Region 10	May 1, 2012	13.22	37.35	50.57

4 or more Axle Units				
	Effective Date	604 Driver Rate	Operating Cost	Truck Rental Rate
Region 1	May 1, 2012	40.20	51.58	91.78
Region 2	May 1, 2012	33.91	51.58	85.49
Region 3	May 1, 2012	24.71	51.58	76.29
Region 4	May 1, 2012	33.91	51.58	85.49
Region 5	May 1, 2012	26.34	51.58	77.92
Region 6	May 1, 2012	38.40	51.58	89.98
Region 7	May 1, 2012	20.87	51.58	72.45
Region 8	May 1, 2012	20.87	51.58	72.45
Region 9	May 1, 2012	40.60	51.58	92.18
Region 10	May 1, 2012	32.91	51.58	84.49

Official Notices

	Effective Date	Tractor		Tractor Only Truck Rental Rate	Plus Trailer Operating Cost	Tractor Trailer Rental Rate
		602 Driver Rate	Operating Cost			
Region 1	May 1, 2012	40.75	41.43	82.18	11.46	93.64
Region 2	May 1, 2012	34.42	41.43	75.85	11.46	87.31
Region 3	May 1, 2012	22.37	41.43	63.80	11.46	75.26
Region 4	May 1, 2012	34.42	41.43	75.85	11.46	87.31
Region 5	May 1, 2012	21.38	41.43	62.81	11.46	74.27
Region 6	May 1, 2012	37.95	41.43	79.38	11.46	90.84
Region 7	May 1, 2012	25.85	41.43	67.28	11.46	78.74
Region 8	May 1, 2012	34.42	41.43	75.85	11.46	87.31
Region 9	May 1, 2012	41.15	41.43	82.58	11.46	94.04
Region 10	May 1, 2012	33.42	41.43	74.85	11.46	86.31

The operating costs, including the average truck broker fees paid by those survey respondents who reported paying truck broker fees, and the truck rental rates may also be reviewed by accessing DLI's website at www.dli.mn.gov. Questions regarding the operational costs and truck rental rates can be answered by calling (651) 284-5091.

The minimum truck rental rates certified for these four types of trucks in the state's ten highway and heavy construction areas will be effective for all highway and heavy construction projects financed in whole or part with state funds advertised for bid on or after May 1, 2012.

Dated: 1 May 2012

Ken B. Peterson, Commissioner
Department of Labor and Industry

NOTICE TO BIDDERS
TRAFFIC CONTROL
PREVAILING WAGE COVERAGE

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

Non-covered Supplier Designated Duties:

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

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

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

Covered Contractor or Subcontractor Duties:

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

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

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

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

MINNESOTA PREVAILING WAGE STATUTE

177.41 State projects and state highway construction; public policy.

It is in the public interest that public buildings and other public works be constructed and maintained by the best means and highest quality of labor reasonably available and that persons working on public works be compensated according to the real value of the services they perform. It is therefore the policy of this state that wages of laborers, workers, and mechanics on projects financed in whole or part by state funds should be comparable to wages paid for similar work in the community as a whole.

1973 c 724 s 1; 1975 c 191 s 1; 1984 c 628 art 4 s

177.42 Definitions.

Subdivision 1. Scope. As used in sections 177.41 to 177.44 the terms defined in this section have the meanings given them except where the context indicates otherwise.

Subd. 2. Project. "Project" means erection, construction, remodeling, or repairing of a public building or other public work financed in whole or part by state funds.

Subd. 3. Area. "Area" means the county or other locality from which labor for any project is normally secured.

Subd. 4. Prevailing hours of labor. "Prevailing hours of labor" means the hours of labor per day and per week worked within the area by a larger number of workers of the same class than are employed within the area for any other number of hours per day and per week. The prevailing hours of labor may not be more than eight hours per day or more than 40 hours per week.

1 **Subd. 5. Hourly basic rate.** "Hourly basic rate" means the hourly wage paid to any
2 employee.

3 **Subd. 6. Prevailing wage rate.** "Prevailing wage rate" means the hourly basic rate of
4 pay plus the contribution for health and welfare benefits, vacation benefits, pension benefits,
5 and any other economic benefit paid to the largest number of workers engaged in the same
6 class of labor within the area and includes, for the purposes of section 177.44, rental rates for
7 truck hire paid to those who own and operate the truck. The prevailing wage rate may not be
8 less than a reasonable and living wage.

9 1973 c 724 s 2; 1975 c 191 s 2; 1984 c 628 art 4 s 1

10
11 **177.43 Contracts for state projects; penalty.**

12
13 **Subdivision 1. Hours of labor.** Any contract which provides for a project must state that:

14
15 (1) no laborer or mechanic employed directly on the project work site by the contractor or
16 any subcontractor, agent, or other person doing or contracting to do all or a part of the work of
17 the project, is permitted or required to work more hours than the prevailing hours of labor
18 unless paid for all hours in excess of the prevailing hours at a rate of at least 1-1/2 times the
19 hourly basic rate of pay; and

20
21 (2) a laborer or mechanic may not be paid a lesser rate of wages than the prevailing wage
22 rate in the same or most similar trade or occupation in the area.

23
24 **Subd. 2. Exceptions.** This section does not apply to wage rates and hours of employment
25 of laborers or mechanics who process or manufacture materials or products or to the delivery
26 of materials or products by or for commercial establishments which have a fixed place of
27 business from which they regularly supply processed or manufactured materials or products.
28 This section applies to laborers or mechanics who deliver mineral aggregate such as sand,
29 gravel, or stone which is incorporated into the work under the contract by depositing the
30 material substantially in place, directly or through spreaders, from the transporting vehicle.

1
2 **Subd. 3. Contract requirements.** The contract must specifically state the prevailing wage
3 rates, prevailing hours of labor, and hourly basic rates of pay.
4

5 **Subd. 4. Determination by commissioner.** The prevailing wage rates, prevailing hours of
6 labor, and hourly basic rates of pay for all trades and occupations required in any project must
7 be ascertained before the state asks for bids. The commissioner of labor and industry shall
8 investigate as necessary to ascertain the information. The commissioner shall keep the
9 information posted on the project in at least one conspicuous place for the information of the
10 employees working on the project. A person aggrieved by a final determination of the
11 commissioner may petition the commissioner for reconsideration of findings. A person
12 aggrieved by a decision of the commissioner after reconsideration may, within 20 days after
13 the decision, petition the commissioner for a public hearing in the manner of a contested case
14 under sections 14.57 to 14.61.
15

16 **Subd. 5. Penalty.** It is a misdemeanor for an officer or employee of the state to execute a
17 contract for a project without complying with this section, or for a contractor, subcontractor,
18 or agent to pay any laborer, worker, or mechanic employed directly on the project site a lesser
19 wage for work done under the contract than the prevailing wage rate as stated in the contract.
20 This misdemeanor is punishable by a fine of not more than \$700, or imprisonment for not
21 more than 90 days, or both. Each agent or subcontractor shall furnish to the contractor
22 evidence of compliance with this section. Each day a violation of this section continues is a
23 separate offense.
24

25 **Subd. 6. Examination of records.** The department of labor and industry shall enforce this
26 section. The department may demand, and the contractor and subcontractor shall furnish to the
27 department, copies of any or all payrolls. The department may examine all records relating to
28 wages paid laborers or mechanics on work to which sections 177.41 to 177.44 apply.
29

Subd. 7. Applicability. This section does not apply to a contract, or work under a contract, under which:

(1) the estimated total cost of completing the project is less than \$2,500 and only one trade or occupation is required to complete it, or

(2) the estimated total cost of completing the project is less than \$25,000 and more than one trade or occupation is required to complete it.

1973 c 724 s 3; 1975 c 191 s 3,4; 1976 c 331 s 37; 1982 c 424 s 130; 1984 c 628 art 3 s 11; art 4 s 1

177.435 Facility construction; prevailing wage.

Construction of value-added agricultural product processing facility financed in whole or in part with a loan or grant provided under section 41A.035, 41B.044, or 41B.046 is a "project" as that term is defined in section 177.42, subdivision 2. Contracts for the construction or expansion of a value-added agricultural product processing facility that is a project under this section must comply with section 177.43 if the loan or grant agreement was entered into on or after December 31, 1995.

1995 c 220 s 113

177.44 Highway contracts; hours of labor; wage rates; penalty.

Subdivision 1. Hours, wages permitted. A laborer or mechanic employed by a contractor, subcontractor, agent, or other person doing or contracting to do all or part of the work under a contract based on bids as provided in Minnesota Statutes 1971, section 161.32, to which the state is a party, for the construction or maintenance of a highway, may not be permitted or required to work longer than the prevailing hours of labor unless the laborer or

1 mechanic is paid for all hours in excess of the prevailing hours at a rate of at least 1-1/2 times
2 the hourly basic rate of pay of the laborer or mechanic. The laborer or mechanic must be paid
3 at least the prevailing wage rate in the same or most similar trade or occupation in the area.
4

5 **Subd. 2. Applicability.** This section does not apply to wage rates and hours of
6 employment of laborers or mechanics engaged in the processing or manufacture of materials or
7 products, or to the delivery of materials or products by or for commercial establishments which
8 have a fixed place of business from which they regularly supply the processed or manufactured
9 materials or products. This section applies to laborers or mechanics who deliver mineral
10 aggregate such as sand, gravel, or stone which is incorporated into the work under the contract
11 by depositing the material substantially in place, directly or through spreaders, from the
12 transporting vehicle.
13

14 **Subd. 3. Investigations by department of labor and industry.** The department of labor
15 and industry shall conduct investigations and hold public hearings necessary to define classes of
16 laborers and mechanics and to determine the hours of labor and wage rates prevailing in all
17 areas of the state for all classes of labor and mechanics commonly employed in highway
18 construction work, so as to determine prevailing hours of labor, prevailing wage rates, and
19 hourly basic rates of pay.
20

21 The department shall determine the nature of the equipment furnished by truck drivers who
22 own and operate trucks on contract work to determine minimum rates for the equipment, and
23 shall establish by rule minimum rates to be computed into the prevailing wage rate.
24

25 **Subd. 4. Certification of hours and rate.** The commissioner of labor and industry shall
26 at least once a year certify the prevailing hours of labor, the prevailing wage rate, and the
27 hourly basic rate of pay for all classes of laborers and mechanics referred to in subdivision 3 in
28 each area. The certification must also include future hours and rates when they can be
29 determined for classes of laborers and mechanics in an area. The certification must
30 specifically state the effective dates of future hours and rates when they are certified. If a

1 construction project extends into more than one area there shall be only one standard of hours
2 of labor and wage rates for the entire project. A person aggrieved by a final determination of
3 the commissioner may petition the commissioner for reconsideration of findings. A person
4 aggrieved by a decision of the commissioner after reconsideration may within 20 days after the
5 decision petition the commissioner for a public hearing as in a contested case under sections
6 14.57 to 14.61. If the commissioner finds that a change in the certified prevailing hours of
7 labor, prevailing wage rate, and the hourly basic rate of pay for a class of laborers or
8 mechanics in any area is required, the commissioner may at any time certify that change.

9
10 **Subd. 5. Hours and rates to be posted.** The prevailing hours of labor, the prevailing
11 wage rates, the hourly basic rates of pay, and classifications for all labor as certified by the
12 commissioner must be specifically stated in the proposals and contracts for each highway
13 construction contract to which the state is a party. These hours, rates, and classifications,
14 together with the provisions of subdivision 6, must be kept posted on the project by the
15 employer in at least one conspicuous place for the information of employees working on the
16 project.

17
18 **Subd. 6. Penalties.** A contractor, subcontractor, or agent who violates this section is
19 guilty of a misdemeanor and may be fined not more than \$300 or imprisoned not more than 90
20 days or both. Each day that the violation continues is a separate offense.

21
22 Whoever induces a job applicant or employee on any project subject to this section to give
23 up or forego any part of the wages to which entitled under the contract governing the project
24 by threat not to employ, by threat of dismissal from employment, or by any other means may
25 be fined not exceeding \$1,000 or imprisoned not more than one year or both.

26
27 Any employee under this section who knowingly permits the contractor or subcontractor to
28 pay less than the prevailing wage rate set forth in the contract, or who gives up any part of the
29 compensation to which entitled under the contract, may be fined not exceeding \$40 or

1 imprisoned not more than 30 days or both. Each day any violation of this paragraph continues
2 is a separate offense.

3
4 **Subd. 7. Department of transportation to enforce.** The department of transportation
5 shall require adherence to this section. The commissioner of transportation may demand and
6 every contractor and subcontractor shall furnish copies of payrolls. The commissioner of
7 transportation may examine all records relating to hours of work and the wages paid laborers
8 and mechanics on work to which this section applies. Upon request of the department of
9 transportation or upon complaint of alleged violation, the county attorney of the county in
10 which the work is located shall investigate and prosecute violations in a court of competent
11 jurisdiction.

12 1973 c 724 s 4; 1975 c 191 s 5,6; 1976 c 166 s 7; 1976 c 331 s 38; 1982 c 424 s 130;
13 1984 c 628 art 4 s 1; 1986 c 444

Minnesota Rule 5200.1106

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Minnesota Rules, Table of Chapters

Table of contents for Chapter 5200

5200.1106 COVERAGE OF PREVAILING WAGE LAW UNDER MINNESOTA STATUTES, SECTIONS 177.41 TO 177.44.

Subpart 1. **In general.** For purposes of parts 5200.1105 and 5200.1106 and Minnesota Statutes, sections 177.41 to 177.44, the prevailing wage rate which, for the purpose of all public works highway projects funded in whole or in part by state funds only, includes truck rental rates, must be paid for work under the contract.

Subp. 2. **Work under the contract.**

A. Except as provided in subpart 4, work under the contract means all construction activities associated with the public works project, including any required hauling activities on the site of or to or from a public works project and work conducted pursuant to a contract as defined by item B, regardless of whether the construction activity or work is performed by the prime contractor, subcontractor, trucking broker, trucking firms, independent contractor, or employee or agent of any of the foregoing entities, and regardless of which entity or person hires or contracts with another. The term "work under a contract" has the same meaning.

B. "Contract" means the written instrument containing the consideration and the terms of agreement between the prime contractor and the contracting agency for the construction of all or a part of:

(1) a highway pursuant to Minnesota Statutes, sections 161.32 and 177.44;

(2) a public works project pursuant to Minnesota Statutes, section 177.43 and chapter 16B; or

(3) any public building or public works financed in whole or in part with state funds pursuant to Minnesota Statutes, sections 177.41 to 177.44.

Contract includes project proposals, plans, and specifications, and all requirements for labor, equipment, and materials found in such proposals, plans, and specifications.

C. "Prime contractor" means an individual or business entity that enters into a contract as defined in item B with the contracting agency.

D. "Contractor" means an individual or business entity that is engaged in construction or construction service-related activities including trucking activities either directly or indirectly through a contract as defined by item B, or by subcontract with the prime contractor, or by a further subcontract with any other person or business entity performing work under the contract.

Subp. 3. **Work considered to be under a contract.** Without limiting the application of parts 5200.1105 and 5200.1106 to other situations, the following are considered to be work under the contract.

A. Work performed by employees of a contractor or subcontractor that operates an asphalt or concrete plant, that was moved into a gravel pit, borrow pit, or other location not on the project, primarily to serve public works projects is considered work under the contract including the contractor's employees loading the equipment

hoppers with materials obtained from the pit regardless of whether the pit meets the definition of commercial establishment.

B. The following hauling activities are included in hours worked and considered work under the contract for purposes of payment of prevailing wages and payment of the truck rental rate:

(1) the hauling of any or all stockpiled or excavated materials on the project work site to other locations on the same project even if the trucks leave the work site at some point;

(2) the delivery of materials from any facility that does not meet the requirements of a commercial establishment to the project and the return haul to the starting location either empty or loaded;

(3) the delivery of materials from another construction project site to the public works project and the return haul empty or loaded is considered work under the contract. Construction projects are not considered a commercial establishment;

(4) the hauling required to remove any materials from the public works project to a location off the project site and the return haul if empty or if loaded from other than a commercial establishment;

(5) the delivery of materials or products by trucks hired by a contractor, subcontractor, or agent thereof, from a commercial establishment; and

(6) delivery of sand, gravel, or rock, by or for a commercial establishment, which is deposited "substantially in place," either directly or through spreaders from the transporting vehicles is work under the contract. In addition, the return haul to the off-site facility empty or loaded is also considered work under the contract.

Subp. 4. **Work not considered to be under a contract.** Without limiting the application of parts 5200.1105 and 5200.1106 to other situations, the following work is not considered to be work under a contract:

A. the processing or manufacturing of materials or products by or for a commercial establishment;

B. the work performed by employees of the owner or lessee of a gravel pit or borrow pit that is a commercial establishment and that performs work in conjunction with a public works project by adding value to the sand, gravel, or rock contained in or delivered to the pit through the use of screening, washing, or crushing machines. This applies even if the machines are portable. This does not include the employees described in subpart 3, item A;

C. the delivery of processed or manufactured goods to a public works project by the employees of a commercial establishment including truck owner-operators hired by and paid by the commercial establishment, unless it is the delivery of mineral aggregate that is incorporated into the work under the contract by depositing the material substantially in place; or

D. multiple site hauling operations include secondary hauling activities in addition to the hauling of materials on and off the public works project in order to complete the truck's round trip haul. The hauling of materials or products between these secondary off-site facilities as part of a multiple site hauling operation is not considered work under the contract as long as the time spent hauling between the secondary sites is properly documented in the trucking records and the time spent hauling on and off the project is properly compensated as required in subpart 3.

Subp. 5. **Commercial establishment, exceptions, definitions.** For purposes of parts 5200.1105 and 5200.1106 and Minnesota Statutes, sections 177.41 to 177.44, the following terms have the meanings listed.

A. "Laborer or mechanic" means a worker in a construction industry labor class identified in or pursuant to part 5200.1100.

B. "Mineral aggregate" is sand, gravel, or crushed stone or rock, or earthen material suitable for roadway development, or mixtures of these naturally occurring substances with recycled materials, suitable for the base or shoulder of a highway or heavy project used to compose the shoulder, or support bituminous or concrete pavement, or used as a final gravel road surface. Mineral aggregate specifically does not include screenings, slag, riprap, recycled concrete and bituminous materials, ready-mix concrete, bituminous concrete, asphalt, mastic, mortar, plaster, macadam, and other similar processed or manufactured materials or products. Additionally, mineral aggregate does not include materials such as clay, topsoil, fill, dirt, silt, boulders, wall stone, loam, gumbo, loess, peat, muck, hardpan, or other similar soils or mixed earth.

C. "Incorporated into the work under the contract by depositing the material substantially in place" means the mineral aggregate is deposited on the project site directly or through spreaders where it can be spread from or compacted at the location where it was deposited. As used in this part, "depositing substantially in place" has the same meaning.

D. To be a "fixed place of business," a commercial establishment must serve the government project from a location from which it served the public prior to and at the time of advertisement of the public works contract and that has sufficient utilities and equipment to serve the public upon demand.

E. "Regularly supply" includes supply by a commercial establishment that is closed on a seasonal basis.

F. The determination of whether a facility is a "commercial establishment" is made on a location-by-location basis and on a product-by-product basis, not on a businesswide basis. For purposes of parts 5200.1000 to 5200.1120 and Minnesota Statutes, sections 177.41 to 177.44, production of mineral aggregate is considered production of one product. Construction projects are not considered commercial establishments. A "commercial establishment" is a business entity that has not set up at the location from which deliveries are made primarily to serve public works projects and, prior to and at the time of advertisement of the public works contract, it:

(1) owned or leased the land on which it operates;

(2) possessed business records indicating that sales from the location from which deliveries are made are for other than the contracting agency's public works contracts;

(3) advertised the availability of material for sale to the general public from the location and had facilities available for effecting sales at the location; and

(4) has acquired all necessary permits to operate from the location, and met all legal obligations of state and local regulations to excavate soils, sand, gravel, or rock for the purpose of receiving something of value for the product.

Subp. 6. **Prohibited payment practices.** The contractor, subcontractor, trucking broker, or other person making payment to an employee laborer, mechanic, worker, or truck owner-operator may not accept a rebate for the purpose of reducing or otherwise decreasing the value of the compensation paid.

Subp. 7. **Trucking definitions.** The following terms have the meanings given them for the purpose of parts 5200.1105 and 5200.1106 and Minnesota Statutes, sections 177.41 to 177.44.

A. "Independent truck owner-operator" is an individual, partnership, or principal stockholder of a corporation who owns or holds a vehicle under lease and who contracts that vehicle and the owner's services to an entity which provides

construction services to a public works project. In addition, an owner and operator of a vehicle that is licensed and registered as a truck, tractor, or truck-tractor by a governmental motor vehicle regulatory agency is an independent contractor, not an employee, only if each of the following factors are significantly present:

(1) the individual, partnership, or corporation owns the equipment or holds it under a lease arrangement;

(2) the individual, partnership, or corporation is responsible for the maintenance of the equipment;

(3) the individual, partnership, or corporation bears the principal burden of the operating costs, including fuel, repairs, supplies, vehicle insurance, and personal expenses while on the road, but not including brokerage fees;

(4) the owner drives the equipment;

(5) the owner determines the details and means of performing the services in conformance with regulatory requirements, operating procedures, and specifications of the entity with which the individual or corporation contracts; and

(6) the individual or corporation enters into a legally binding agreement that specifies the relationship to be that of an independent contractor and not that of an employee.

B. "Trucking firm" is any legal business entity that owns more than one vehicle and hires the vehicles out for services to brokers or contractors on public works projects.

C. "Trucking broker" is an individual or business entity, the activities of which include, but are not limited to:

(1) contracting to provide trucking services in the construction industry to users of such services;

(2) contracting to obtain such services from providers of trucking services;

(3) dispatching the providers of the services to do work as required by the users of the services;

(4) receiving payment from the users in consideration of the trucking services provided; and

(5) making payment to the providers for the services.

D. "Own" and "operate" have the following meanings and apply to independent truck owner-operators and trucking firms. The notation "truck owner-operator" for the purposes of this part will apply to both the independent owner-operator and trucking firms unless otherwise defined:

(1) "Own" means to have a legal and rightful title to the vehicle or to have an approved lease on the vehicle.

(2) "Operate" means the owner either physically drives the vehicle or hires another to physically drive the vehicle but maintains the right to direct the day-to-day operations of the vehicle.

Subp. 8. **Trucking provisions.**

A. Independent truck owner-operators or the owner-driver of a trucking firm are not required to be paid the truck rental rate for:

(1) time spent repairing or maintaining, or waiting to repair or maintain, the truck owner-operator's equipment, except that repair, maintenance, or time spent

waiting to load or unload which is attributable to the fault of the broker, contractor, agent thereof, or an employee of such entities, must be included in the hours worked and paid the hourly truck rental rate; and

(2) time spent correcting work that was not performed according to the prime contract that can be directly attributed to the negligence of the truck owner-operator.

B. Employees of a trucking firm must always receive the appropriate prevailing wage rate for any work performed under the contract.

C. The owner of a trucking firm may either drive the vehicles or hire employees to drive the vehicles. If the owner drives the vehicle, then the truck hire is subject to the truck rental rates. If the owner hires an employee to drive the vehicle, the truck hire is subject to the truck rental rates and the employee driver is subject to the appropriate prevailing wage rate. These provisions apply regardless of who owns any trailer being pulled by the truck.

Subp. 9. **Required records.**

A. Upon agreement of a contractor or trucking broker with an independent truck owner-operator to perform work under the contract, the contractor or broker must keep the following records for a period of at least six years following the payment for services:

(1) name, address, and social security number of the truck owner-operator;

(2) name, address, and phone number of the truck owner-operator's business and federal tax identification number;

(3) time period covered by the agreement between the truck owner-operator and the broker or contractor;

(4) date and amount of each payment to the truck owner-operator, and for each payment:

(a) number of hours the truck owner-operator performed work under the contract, not including hours excluded under subpart 7;

(b) type of trucking equipment used for each job by the truck owner-operator and if leased, the name and address of the individual or business entity which owns the equipment;

(c) type of services performed;

(d) hourly truck rental rate used to calculate the minimum payment due; and

(e) an itemization of any deductions from the gross amount payable to the truck owner-operator;

(5) a copy of the owner's certificate of insurance; and

(6) a copy of the vehicle/truck registration.

The contractor or broker must also keep the same records for owner-drivers of trucking firms working on the public works project unless the owner-drivers' information is submitted along with the employee information to a contracting agency as listed under subpart 10.

B. Records required to be kept by item A and other similar records necessary to determine compliance with Minnesota Statutes, sections 177.41 to 177.44, as determined by the commissioner of the department of transportation or the department of labor and industry, must be provided upon request accompanied by a certification form approved by the requesting department.

Subp. 10. **Required employee records.** Records pertaining to the proper payment of employees including, but not limited to, fringe benefit documentation, time cards, payroll ledgers, check registers, and canceled checks will be made available on request from the department for further review to determine if the employee was paid according to this part and Minnesota Statutes, sections 177.41 to 177.44. If the commissioner of the department of transportation or the department of labor and industry requests any or all of the following information, the contractor, subcontractor, or trucking firm shall submit the following information to the department together with any certification forms approved by the requesting department:

- A. name, address, and social security number of the employee;
- B. the classification of work performed defined by part 5200.1100, master job classification;
- C. the hours worked per day and per week;
- D. legal deductions made from the employee's check;
- E. contract information regarding the public works projects worked on by the employee;
- F. hourly rate of pay, including any fringe benefit information deemed necessary to determine if the proper prevailing wage rate was paid;
- G. project gross amount earned;
- H. weekly gross and net amount of payroll check; or
- I. in the case of the owner-driver, information described in items A to E shall be submitted along with the hourly truck rental rate paid to the owner-driver.

Subp. 11. **Effective Date.** Parts 5200.1105 and 5200.1106 are effective June 25, 2001. Part 5200.1106 is effective for all projects as described in part 5200.1106, subpart 2, item B, that are advertised for bid on and after June 25, 2001. The new truck rental rates to be issued under part 5200.1105 are effective for all projects as described in part 5200.1106, subpart 2, item B, that are advertised on and after the publication in the State Register of the notice of certification of the truck rental rates.

STAT AUTH: MS s 175.171; 177.41 to 177.44

HIST: 25 SR 1942
Current as of 02/10/05

March 16, 1998

PREVAILING WAGE STATEMENT

A recent unpublished decision of the Minnesota Court of Appeals affirms the authority of the Minnesota Commissioner of Transportation to enforce the Minnesota Prevailing Wage Law on State Highway projects on a case-by-case basis. International Union of Operations Engineers, Local 49 vs. Minnesota Department of Transportation, et. Al., Court of Appeals Case No. C6-97-1582, also see Minnesota Statutes §§177.43 and 177.44 (1996).

The Department of Transportation will enforce the Minnesota Prevailing Wage Law in a manner consistent with the Court of Appeals decision notwithstanding any prior notices on this subject. A copy of the Court of Appeals decision is available to anyone who is interested in reviewing it. Please call Charles Groshens, Labor Compliance Unit at (651) 297-5716 to receive a copy.

June 26, 2001

PREVAILING WAGE STATEMENT II

On June 18, 2001, the Minnesota Department of Labor & Industry (MnL&I) published, in the State Register, a notice of modification and adoption of the rules as published in State Register, Volume 25, Number 14, Pages 772-778, October 2, 2000 (25 SR 772). The rules were promulgated under Minnesota Administrative Procedures Act, Minnesota Statutes Chapter 14, and affect all projects funded in whole or part with state monies that are advertised for bid 5 working days after the publication date.

The rules give guidance on the application of the State Prevailing Wage Statute, Minnesota Statutes §177.41 to 177.44, as it applies to contractors' laborers and mechanics working at off-site facilities, truck drivers performing hauling activities for state funded projects, and the calculation and application of truck rental rates.

The truck rental rates, when certified by the MnL&I, will take effect on state funded projects advertised after the rates are published in the State Register. Mn/DOT will incorporate the truck rental rates into the appropriate contracts when published after they have been published in the State Register.

Copies of the rules can be received by contacting the MnL&I, Labor Standards, Erik Oelker at (651) 296-6452 or Mn/DOT Labor Compliance Office, Charles Groshens, at (651) 297-5716.

Reference:

5200.1105 Rental Rates for Trucks on Public Works Highway Projects
www.revisor.leg.state.mn.us/arule/5200/1105.html

5200.1106 Coverage of Prevailing Wage Law Under Minnesota Statutes 177.41-177.44
www.revisor.leg.state.mn.us/arule/5200/1106.html

Minnesota Rules, Table of Chapters

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5200.1105 RENTAL RATES FOR TRUCKS ON PUBLIC WORKS HIGHWAY PROJECTS.

Drivers who own and operate trucks on contract work shall be compensated for their equipment according to the following formula: Truck Rental Rates Equals Labor Cost Plus Operating Cost.

Labor cost shall be the appropriate rate determined to be prevailing by the Department of Labor and Industry using existing survey methods under parts 5200.1000 to 5200.1120 and certified under part 5200.1100, subpart 4, truck drivers.

Operating cost shall be determined by averaging the itemized costs of operating a vehicle as submitted by at least five trucking firms of various size and five independent truck owner operators, all selected by the commissioner as representative of the industry.

The following items shall be considered as operating costs of a vehicle: the average cost of the vehicle depreciated over seven years, insurance, fuel, oil, tires, taxes, licenses, maintenance, repair, and any administrative expense associated with the vehicle's operation including truck brokers' fees. The truck broker fee is a portion of the minimum truck rental rate and shall be determined by annual survey.

Within 30 days of determination of rates, an informal conference will be held by the commissioner or the commissioner's representative, for the purpose of further input prior to certification. Interested parties shall be given at

least ten days' prior notice of the conference date, time, and location, through publication in the State Register.

At the conference, the department shall produce and review the data, summary sheets, and other documents upon which its determination was based.

Notice of the certification and its effective date shall be published in the State Register in accordance with part 5200.1080.

STAT AUTH: MS s 175.171; 177.41 to 177.44

HIST: 13 SR 660; 25 SR 1942

Current as of 02/10/05

EQUAL EMPLOYMENT OPPORTUNITY (EEO) SPECIAL PROVISIONS

This section of Special Provisions contains the Equal Employment Opportunity (EEO) rules and regulations for highway construction projects in Minnesota which are federally and/or State funded.

The source of funding determines which EEO regulations and goals (Federal and/or State goals) apply to a specific project. When a project contains funding from both Federal and State sources, both sets of regulations apply, and the Minnesota Department of Transportation (MnDOT) monitors and reviews projects at both levels.

If the project contains any Federal funding, and has a total dollar value exceeding \$10,000, Federal EEO regulations and goals apply (pages 2, 6, 7-8, 9-14, 15, 16-17, 22-26, 27-38). The MnDOT Office of Civil Rights monitors and reviews these projects on behalf of the Federal Highway Administration (FHWA), under Federal statutes (23 USC 140) and rules (23 CFR 230).

If the project contains any State funding, and has a total dollar value exceeding \$100,000, State EEO regulations and goals apply (pages 2, 3, 4, 5, 6, 9-14, 16-22). MnDOT's Office of Civil Rights monitors and reviews these projects in conjunction with the Minnesota Department of Human Rights under Minnesota Statutes §363A.36 and its accompanying rules.

MnDOT has established a single review and monitoring process which meets both Federal and State requirements.

Please note that Pages 23-38 of these Special Provisions may be omitted from projects with no Federal funding.

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**NOTICE OF REQUIREMENT FOR AFFIRMATIVE ACTION
TO ENSURE EQUAL EMPLOYMENT OPPORTUNITY
(23 USC 140, 23 CFR 230 and Minnesota Statute §363A.36)**

1. The offerer's or bidder's attention is called to the "Minnesota Affirmative Action Requirements" (EEO Page 4), the "Specific Federal Equal Employment opportunity Responsibilities" (EEO Pages 7-8), the "Standard Federal and State Equal Employment Opportunity Construction Contract Specifications" (EEO Pages 9-14), the "Equal Opportunity Clause" (EEO Page 15) and "Required Contract Provisions - Federal-Aid Construction Contracts" (EEO Pages 27-37).
2. The goals and timetables for minority and women participation, expressed in percentage terms of hours of labor for the Contractor's aggregate work force in each trade on all construction work in the covered area, are as shown on EEO Pages 16-17.

These goals are applicable to all the Contractor's construction work (whether or not it is State or State assisted, Federal or federally assisted) performed in the covered area. If the Contractor performs construction work in a geographical area located outside of the covered area, it shall apply the goals established for such geographical area where the work is actually performed. With regard to this second area, the Contractor also is subject to the goals for both its federally involved and non-federally involved construction.

The Contractor's compliance with the regulations in 41 CFR Part 60-4, and/or Minnesota Statutes §363A.36 and its accompanying rules shall be based on its implementation of the Equal Opportunity Clause, specific affirmative action obligations required by the specifications set forth in 41 CFR 60-4.3(a) for Federal or federally assisted projects, and Minnesota Statutes §363A.36, and its accompanying rules for State or State assisted projects, and its efforts to meet the goals established for the geographical area where the contract resulting from this solicitation is to be performed. The hours of minority and women 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 and women employees or trainees from contractor to contractor or from project to project for the sole purpose of meeting the Contractor's goals shall be a violation of the contract, the Executive Order and the regulations in 41 CFR Part 60-4 for Federal or federally-assisted projects and/or Minnesota Statutes §363A.36 and its accompanying rules for state or state-assisted projects. Compliance with the goals will be measured against the total work hours performed.

3. If the contract is federally funded, the Contractor shall provide written notification to the Director of the Office of Federal Contract Compliance Programs (OFCCP) within ten working days of award of any construction subcontract in excess of \$10,000 at any tier for construction work under the contract resulting from this solicitation. If the contract is state funded, the Contractor shall provide written notification to the Compliance Division, Minnesota Department of Human Rights, Army Corps of Engineers Centre, 190 E 5th Street, Suite 700, St. Paul, Minnesota 55101 within ten working days of award of any construction subcontract in excess of \$100,000 at any tier for construction work under the contract resulting from this solicitation. The notification shall list the name, address and telephone number of the Subcontractor; employer identification number of the Subcontractor; estimated dollar amount of the subcontract; estimated starting and completion dates of the subcontract; and the geographical area in which the contract is to be performed.
4. As used in this Notice, and in the contract resulting from this solicitation, the "covered area" is the county or counties of the State of Minnesota where the work is to be performed.

**NOTICE TO ALL PRIME AND SUBCONTRACTORS
PRE-AWARD REPORTING REQUIREMENTS**

In order to ensure compliance with Federal and State laws and regulations (23 USC 140, and 23 CFR 230, and Minnesota Statutes §363A.36) and to ensure Mn/DOT's ability to monitor and enforce compliance efforts, the following requirements apply if the apparent low bid exceeds \$ 5,000,000.00:

- 1) The Apparent Low Bidder ("ALB") must provide to Mn/DOT the "EEO-8 Form" (also entitled "EEO Compliance Review Report"), which must provide detail on the contractor's total company workforce in the State of Minnesota during the twelve month period preceding July 30th of the previous year (Office and/or clerical personnel need not to be included).
- 2) The ALB must provide to Mn/DOT a work plan for meeting the minority and women employment goals established by the Minnesota Department of Human Rights, for the project in question. The work plan must include, at a minimum (1) how the ALB will incorporate its current minority and women employees in the ALB's efforts to meet the established goals; and (2) a contingency plan if the ALB has determined that its current workforce is not sufficient in order to achieve the established employment goals. If the ALB relies in whole or in part upon unions as a source of employees, then the ALB must (1) include a list of established organizations that are likely to yield qualified minority and women candidates if those union(s) are unable to provide a reasonable flow of minority and women candidates in their work plan; and (2) document the method by which these organizations will refer candidates to the ALB for employment opportunities. All bidders are hereby notified that the U.S. Department of Labor has determined that a contractor will not be excused from complying with the Federal and State laws and regulations cited above based solely on the fact that a contractor has a collective bargaining agreement with a union providing for the union to be the exclusive source of referral and that the union failed to refer minority employees. A contractor may obtain a list of organizations likely to yield qualified minority and women candidates from the Mn/DOT Office of Civil Rights.
- 3) The ALB must provide to Mn/DOT the ALB's total workforce and labor projections for the project (represented in hours), the ALB's projected total number of minority hours for the project, and the ALB's projected total number of women hours for the project. The details must include the trade(s) that will be utilized in order to complete the project.

The ALB must submit documents as required to comply with this section no later than five business days after the date that bids for the contract are opened. The five day period starts the business day following the date that bids were opened. The required documents must be received prior to Contract Award, and must be sent to the Mn/DOT Office of Civil Rights – 395 John Ireland Blvd., Mail Stop 170 St. Paul, MN 55155-1899. Submittal of the documents described in (1), (2) and (3) is required for contract award to the ALB. The submitted documents will be used as a tool to assist contractors in meeting employment goals; the content itself will not be evaluated for the purpose of determining contract award.

MINNESOTA AFFIRMATIVE ACTION REQUIREMENTS

1. It is hereby agreed between the parties to this contract that Minnesota Statutes, Section §363A.36, and its accompanying rules are incorporated into any contract between these parties based upon this specification or any modification of it. A copy of Minnesota Statutes, Section §363A.36, and its accompanying rules is available upon request from the contracting agency. The Contractor hereby agrees to comply with the rules and relevant orders of the Minnesota Department of Human Rights issued pursuant to the Minnesota Human Rights Act.
2. It is hereby agreed between the parties to this contract that this agency requires that the Contractor meet affirmative action criteria as provided for by Minnesota Statutes §363A.36 and its accompanying rules. It is the intent of the Minnesota Department of Transportation to fully carry out its responsibility for requiring affirmative action, and to implement sanctions for failure to meet these requirements. Failure by a contractor to implement an affirmative action plan, meet project employment goals for minority and women employment or make a good faith effort to do so may result in revocation of his/her Certificate of Compliance or suspension or revocation of the contract (Minnesota Statutes §363A.36).
3. Under the affirmative action obligation imposed by the Human Rights Act, Minnesota Statutes, Section §363A.36, contractors shall take affirmative action to employ and advance in employment minority, female, and qualified disabled individuals at all levels of employment. Affirmative action must apply to all employment practices, including but not limited to hiring, 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 shall recruit, hire, train and promote persons in all job titles, without regard to race, color, creed, religion, sex, national origin, marital status, status with regard to public assistance, physical or mental disability, sexual orientation or age except where such status is a bona fide occupational qualification. These affirmative action requirements of the Minnesota Human Rights Act are consistent with but broader than the Federal requirements as covered in this contract.
4. Affirmative Action for disabled workers. The Contractor shall not discriminate against any employee or applicant for employment because of a physical or mental disability in regard to any position for which the employee or applicant for employment is qualified. The Contractor agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified disabled individuals without discrimination based upon their physical or mental disability in all employment practices such as employment, upgrading, demotion or transfer, recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training (including apprenticeship). In the event of the Contractor's noncompliance with the requirements of this clause, actions for noncompliance may be taken in accordance with Minnesota Statutes, section §363A.36 and the rules and relevant orders of the Minnesota Department of Human Rights pursuant to the Minnesota Human Rights Act.
5. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices in a form to be prescribed by the commissioner of the Minnesota Department of Human Rights. Such notices shall state the Contractor's obligation under the law to take affirmative action to employ and advance in employment minority, women and qualified disabled employees and applicants for employment, and the rights of applicants and employees. **A poster entitled "Contractor Non-discrimination is the Law" may be obtained from: Compliance Unit, Minnesota Department of Human Rights, Army Corps of Engineers Centre, 190 E. 5th Street, Suite 700, St. Paul, Minnesota 55101. (651) 296-5663, TTY 296-1283, Toll Free 1-800-657-3704.**
6. The Contractor shall notify each labor union or representative of workers with which he/she has a collective bargaining agreement or other contract understanding, that the Contractor is bound by the terms of Minnesota Statutes, section §363A.36 of the Minnesota Human Rights Act, and is committed to take affirmative action to employ and advance in employment minority, women and qualified physically and mentally disabled individuals.

APPROPRIATE WORK PLACE BEHAVIOR ON Mn/DOT CONSTRUCTION PROJECTS UTILIZING STATE FUNDS

It is the Minnesota Department of Transportation's (MnDOT's) policy to provide a workplace free from violence, threats of violence, harassment and discrimination. MnDOT has established a policy of zero tolerance for violence in the workplace. Contractors who perform work on MnDOT construction projects, or local government entities or public agencies utilizing state funds on highway construction projects, shall maintain a workplace free from violence, harassment and discrimination (See definitions, below).

Definitions:

1. Violence is the threatened or actual use of force which results in or has a high likelihood of causing fear, injury, suffering or death. Employees are prohibited from taking reprisal against anyone who reports a violent act or threat.

2. Harassment is the conduct of one employee (toward another employee) which has the purpose or effect of 1) unreasonably interfering with the employee's work performance, and/or 2) creating an intimidating, hostile or offensive work environment. Harassment is not legitimate job-related efforts of supervisor to direct/evaluate an employee or to have an employee improve work performance.
 - A. Unlawful discriminatory harassment is harassment which is based on these characteristics: race, color, creed, religion, national origin, sex, disability, age, marital status, status with regard to public assistance or sexual orientation. Managers, supervisors and employees shall not take disciplinary or retaliatory action against employees who make complaints of sexual harassment.

Sexual harassment is unwelcome sexual advances, requests for sexual favors, or sexually motivated physical contact, or other verbal or physical conduct or communication of a sexual nature, when submission to that conduct or communication is 1) made a term or condition, either explicitly or implicitly, of obtaining employment; or 2) is used as a factor in decisions affecting an individual's employment; or 3) when that conduct or communication has the purpose or effect of substantially interfering with an individual's employment or creating an intimidating, hostile or offensive work environment, and the employer knows or should have known of the existence of the harassment and fails to take timely and appropriate action. Examples include but are not limited to insulting or degrading sexual remarks or conduct; threats, demands or suggestions that status is contingent upon toleration or acquiescence to sexual advances; displaying in the workplace sexually suggestive objects, publications or pictures, or retaliation against employees for complaining about the behavior cited above or similar behaviors.
 - B. General harassment is harassment which is not based on the above characteristics. Examples may include, but are not limited to: physically intimidating behavior and/or threats of violence; use of profanity (swearing), vulgarity; ridiculing, taunting, belittling or humiliating another person; inappropriate assignments of work or benefits; derogatory name calling.

3. Discrimination includes actions which cause a person, solely because of race, color, creed, religion, national origin, sex, disability, age, marital status, status with regard to public assistance or sexual orientation to be subject to unequal treatment.

Prime Contractors who work on MnDOT projects shall ensure that their managers, supervisors, foremen/women and employees are familiar with MnDOT's policy on appropriate work place behavior; and shall ensure that their subcontractors are familiar with this policy. Managers, supervisors and foremen/women will respond to, document, and take appropriate action in response to all reports of violence, threats of violence, harassment or discrimination. Failure to comply with this policy may result in cancellation, termination or suspension of contracts or subcontracts currently held and debarment from further such contracts or subcontracts as provided by statute. If you need additional information or training regarding this policy, please contact the Office of Civil Rights at (651) 366-3073.

NOTICE TO ALL PRIME AND SUBCONTRACTORS REPORTING REQUIREMENTS

1. In order to monitor compliance with Federal Statutes 23 USC 140 and 23 CFR 230, and Minnesota Statutes §363A.36, all prime contractors and subcontractors are required to complete a Mn/DOT Monthly Employment Compliance Report each month for each project (Form EEO-13, sample copy at EEO Pages 20-21.) Prime contractors are also required to complete a Contractor Employment Data Report (Form EEO-12, sample copy at EEO Pages 18-19) once prior to work commencing on the project, unless one has been completed already within the calendar year.

The prime contractor of each project collects Monthly Employment Compliance Reports from each subcontractor who performed work during the month, and completes a Monthly Employment Compliance Report on its own work force. **For the month of July only, an EEO-13 is required for each payroll period within the month of July.** The prime contractor submits the EEO-13 forms to the Mn/DOT Project Engineer by the 15th day of the subsequent month.

Failure to submit the required reports in the allowable time frame will be cause for the imposition of contract sanctions.

It is the intent of Mn/DOT to implement monitoring measures on each project to ensure that each prime contractor and subcontractor is promoting the full realization of equal employment opportunities. Any project may be scheduled for an in depth on-site contract compliance review. During the scheduled on-site review, the Contractor will be required to provide to Mn/DOT documentation of its "good faith efforts" as shown in EEO Pages 10-13, at 7 a-p of this contract.

2. If a Federally funded project requires On-the-Job-Training (OJT) participation, information is provided in the contract and can be located by referring to the Table of Contents for Division S. (OJT is also listed as a bid line item under Trainees.) When a contract requires OJT participation, the Prime Contractor shall submit a training plan as indicated in the Proposal. The training plan shall include the job classification titles of trainees, planned training activities and the approximate start date of trainees.
3. When a Contractor selects a trainee applicant for OJT, the Contractor completes an On the Job Training Program-Trainee Assignment form (sample copy at EEO Page 23) and submits it to the Contract Compliance Specialist (CCS) assigned to the project for approval. The CCS notifies the Contractor and Project Engineer when the applicant is approved.
4. Hours of work performed by OJT employees shall be documented on a monthly basis on the Certification of On-The-Job Training Hours form, (Mn/DOT Form No. 21860, sample copy at EEO Page 24). The Contractor shall submit the original and one copy to the Project Engineer, and one copy to the CCS assigned to the project.

Do not remove forms from this contract. Please duplicate forms from the copies in this contract, or the Mn/DOT Office of Civil Rights will provide these forms upon request. Please call the Office of Civil Rights, (651) 366-3073.

SPECIFIC FEDERAL EQUAL EMPLOYMENT OPPORTUNITY RESPONSIBILITIES

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

1. General.

a. Equal employment opportunity requirements not to discriminate and to take affirmative action to assure equal opportunity as required by Executive Order 11246 and Executive Order 11375 are set forth in Required contract Provisions (Form PR-1273 or 1316, as appropriate) and these Special Provisions which are imposed pursuant to Section 140 of title 23, U.S.C., as established by Section 22 of the Federal-Aid Highway Act of 1968. The requirements set forth in these Special Provisions shall constitute the specific affirmative action requirements for project activities under this contract and supplement the equal employment opportunity requirements set forth in the Required Contract Provisions.

b. The contractor will work with the State highway agencies and the Federal Government in carrying out equal employment opportunity obligations and in their review of his/her activities under the contract.

c. The contractor and all his/her subcontractors holding subcontracts not including material suppliers, of \$10,000 or more, will comply with the following minimum specific requirement activities of equal employment Opportunity: (The equal employment opportunity requirements of Executive Order 11246, as set forth in volume 6, Chapter 4, Section 1, Subsection 1 of the Federal-Aid Highway program Manual, are applicable to material suppliers as well as contractors and subcontractors.) The contractor will include these requirements in every subcontract of \$10,000 or more with such modification of language as is necessary to make them binding on the subcontractor.

2. Equal Employment Opportunity Policy.

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

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

3. Equal Employment Opportunity Officer. The contractor will designate and make known to State highway agency contracting officers an equal employment

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

4. Dissemination of Policy.

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

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

(2). All new supervisory or personnel office employees will be given a thorough indoctrination by the EEO Officer or other knowledgeable company official, covering all major aspects of the contractor's equal employment opportunity obligations within thirty days following their reporting for duty with the contractor.

(3). All personnel who are engaged in direct recruitment for the project will be instructed by the EEO officer or appropriate company official in the contractor's procedures for locating and hiring minority group employees.

b. In order to make the contractor's equal employment policy known to all employees, prospective employees and potential sources of employees, i.e., schools, employment agencies, labor unions (where appropriate), college placement officers, etc., the contractor will take the following actions:

(1). Notices and posters setting forth the contractor's equal employment opportunity policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.

(2). The contractor's equal employment opportunity policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.

5. Recruitment.

a. When advertising for employees, the contractor will include in all advertisements for employees the notation "An Equal Opportunity Employer." All such advertisements will be published in newspapers or other publications having a large circulation among minority groups in the area from which the project work force would normally be derived.

b. The contractor will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minority group applicants, including, but not limited to, State employment agencies, schools, colleges and minority group organizations. To meet this requirement, the contractor will, through his/her EEO Officer, identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority group applicants may be referred to the contractor for employment consideration.

In the event the contractor has a valid bargaining agreement providing for exclusive hiring hall referrals, he is expected to observe the provisions of that agreement to the extent that the system permits the contractor's compliance with equal employment opportunity contract provisions. (The U.S. Department of Labor has held that where the implementation of such agreements have the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Executive Order 11246, as amended.)

c. The contractor will encourage his present employees to refer minority group applicants for employment by posting appropriate notices or bulletins in areas accessible to all such employees. In addition, information and procedures with regard to referring minority group applicants will be discussed with employees.

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

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

SPECIFIC FEDERAL EQUAL EMPLOYMENT OPPORTUNITY RESPONSIBILITIES (con=)

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

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

d. The contractor will promptly investigate all complaints of alleged discrimination made to the contractor in connection with his/her obligations under this contract, will attempt to resolve such complaints, and will take appropriate corrective action within a reasonable time. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the contractor will inform every complainant of all his avenues of appeal.

7. Training and Promotion.

a. The contractor will assist in locating, qualifying, and increasing the skills of minority group and women employees and applicants for employment.

b. Consistent with the contractor's work force requirements and as permissible under Federal and State regulations, the contractor shall make full use of training programs, i.e. apprenticeship, and on-the-job training programs for the geographical area of contract performance. Where feasible, 25 percent of apprentices or trainees in each occupation shall be in their first year of apprenticeship or training. In the event the Training Special Provision is provided under this contract, this subparagraph will be superseded as indicated in Attachment 2.

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

d. The Contractor will periodically review the training and promotion potential of minority group and women employees and will encourage eligible employees to apply for such training and promotion.

8. Unions. If a contractor relies in whole or in part upon unions as a source of employees, the contractor will use his/her best efforts to obtain the cooperation of such unions to increase opportunities for

minority groups and women within the unions, and to effect referrals by such unions of minority and female employees. Actions by the contractor either directly or through a contractor's association acting as agent will include the procedures set forth below:

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

b. The contractor will use best efforts to incorporate an equal employment opportunity clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to their race, color, religion, sex, or national origin.

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

d. In the event the union is unable to provide the contractor with a reasonable flow of minority and women referrals within the time limit set forth in the collective bargaining agreement, the contractor will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, or national origin; making full efforts to obtain qualified and/or qualifiable minority group persons and women. (The U.S. Department of Labor has held that it shall be no excuse that the union with which the contractor has a collective bargaining agreement providing for exclusive referral failed to refer minority employees.) In the event the union referral practice prevents the contractor from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such contractor shall immediately notify the State highway agency.

9. Subcontracting.

a. The contractor will use his best efforts to solicit bids from and to utilize minority group subcontractors or subcontractors with meaningful minority group and female representation among their

employees. Contractors shall obtain lists of minority-owned construction firms from State highway agency personnel.

b. The contractor will use his best efforts to ensure subcontractor compliance with their equal employment opportunity obligations.

10. Records and Reports:

a. The contractor shall keep such records as necessary to determine compliance with the contractor's equal employment opportunity obligations. The records kept by the contractor will be designed to indicate:

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

(2) The progress and efforts being made in cooperation with unions to increase employment opportunities for minorities and women (applicable only to contractor's who rely in whole or in part on unions as a source of their work force),

(3) The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minority and female employees, and

(4) The progress and efforts being made in securing the services of minority group subcontractors with meaningful minority and female representation among their employees.

b. All such records must be retained for a period of three years following completion of the contract work and shall be available at reasonable times and places for inspection by authorized representatives of the State highway agency and the Federal Highway Administration.

c. The contractors will submit an annual report to the State highway agency each July for the duration of the project, indicating the number of minority, women, and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on Form PR-1391. If on-the-job training is being required by a "Training Special Provision", the contractor will be required to furnish Form FHWA 1409.

**STANDARD FEDERAL AND STATE EQUAL EMPLOYMENT OPPORTUNITY
CONSTRUCTION CONTRACT SPECIFICATIONS
(41 CFR 60-4.3 and Minnesota Statute §363A.36)**

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

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

**STANDARD FEDERAL AND STATE EEO CONSTRUCTION
CONTRACT SPECIFICATIONS (*con't*)**

5000.3535). The goals set forth in the solicitation from which this contract resulted are expressed as percentages of the total hours of employment and training of minorities and utilization the Contractor should (shall, for State or state assisted projects) reasonably be able to achieve in each construction trade in which it has employees in the covered area. The Contractor shall make substantially uniform progress toward its goals in each craft during the period specified. Covered construction contractors performing construction work in geographical areas where they do not have a Federal or federally assisted construction contract shall apply the minority and female goals established for the geographical area where the work is being performed. Federal goals are published periodically in the Federal Register in notice form, and such notices may be obtained from any office of Federal Contract Compliance programs or from Federal procurement contracting officers. State goals are published periodically in the State Register in notice form, and may be obtained from the Minnesota Department of Human Rights or the Minnesota Department of Transportation Office of Civil Rights. The Contractor is expected to make substantially uniform progress toward its goals in each craft during the period specified.

5. Neither the provisions of any collective bargaining agreement nor the failure by a union, with whom the Contractor has a collective bargaining agreement, to refer either minorities or women shall excuse the Contractor's obligations under these specifications and Executive Order 11246 and its associated rules and regulations for Federal or federally assisted projects, and Minnesota Statutes, Section §363A.36 of the Minnesota Human Rights Act, or the rules adopted under the Act for State or state assisted projects.
6. In order for the nonworking training hours of apprentices and trainees to be counted in meeting the goals, such apprentices and trainees shall be employed by the Contractor during the training period, and the Contractor must have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Trainees shall be trained according to training programs approved by the Minnesota Department of Human Rights, the Minnesota Department of Labor and Industry, or the United States Department of Labor.
7. The Contractor shall take specific affirmative actions to ensure equal employment opportunity. The evaluation of the Contractor's compliance with these specifications must be based upon its effort to achieve maximum results from its actions. The Contractor shall document these efforts fully, and shall implement affirmative action steps at least as extensive as the following (referred to in Minnesota Rules 5000.3535 as items 4(a) to (o):
 - (a) Ensure and maintain, or for State or state assisted projects make a good faith effort to maintain, a working environment free of harassment, intimidation, and coercion at all sites and in all facilities at which the Contractor's employees are assigned to work. For

**STANDARD FEDERAL AND STATE EEO CONSTRUCTION
CONTRACT SPECIFICATIONS (con't)**

Federal or federally assisted projects, the Contractor, where possible, will assign two or more women to each construction project. The Contractor shall specifically ensure that all foremen, superintendents, and other on-site supervisory personnel are aware of and carry out the Contractor's obligation to maintain such a working environment, with specific attention to minority or women individuals working at such sites or in such facilities.

- (b) Establish and maintain a current list of minority and women recruitment sources, provide written notification to minority and women recruitment sources and to community organizations when the Contractor or its unions have employment opportunities available, and maintain a record of the organizations' responses.
- (c) Maintain a current file of the names, addresses, and telephone numbers of each minority and woman off-the-street applicant and minority or woman referral from a union, a recruitment source, or community organization and of what action was taken with respect to each individual. If the individual was sent to the union hiring hall for referral and was not referred back to the Contractor by the union or, if referred, not employed by the Contractor, this shall be documented in the file with the reason therefore along with whatever additional actions the Contractor may have taken.
- (d) Provide immediate written notification to the commissioner of the Minnesota Department of Human Rights for State or state assisted projects, or the director of the Office of Federal Contract Compliance for Federal or federally assisted projects, when the union, or unions with which the Contractor has a collective bargaining agreement, has not referred to the Contractor a minority person or woman sent by the Contractor, or when the Contractor has other information that the union referral process has impeded the Contractor's efforts to meet its obligations.
- (e) Develop on-the-job training opportunities and/or participate in training programs for the areas which expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the Contractor's employment needs, especially those programs funded or approved by the State of Minnesota for State or state assisted projects or the Department of Labor, for Federal or federally assisted projects. The Contractor shall provide notice of these programs to the sources compiled under (b).
- (f) Disseminate the Contractor's equal employment opportunity policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the Contractor in meeting its equal employment opportunity obligations; by including it in any policy manual and collective bargaining agreement; by publicizing it in the company newspaper, annual report, etc.; by specific review of the policy with all management personnel and with all minority and women employees at least once a year; and by posting the company equal employment opportunity policy on bulletin boards accessible to all employees at each location where construction work is performed.

**STANDARD FEDERAL AND STATE EEO CONSTRUCTION
CONTRACT SPECIFICATIONS *(con't)***

- (g) Review, at least annually, the company's equal employment opportunity policy and affirmative action obligations under these specifications with all employees having any responsibility for hiring, assignment, layoff, termination, or other employment decisions; including specific review of these items with onsite supervisory personnel such as superintendents, general foremen, etc., prior to the first day of construction work at any job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.
- (h) Disseminate the Contractor's equal employment opportunity policy externally by including it in any advertising in the news media, specifically including minority and women news media, and providing written notification to and discussing the Contractor's equal employment opportunity policy with other contractors and subcontractors with whom the Contractor does or anticipates doing business.
- (i) Direct its recruitment efforts, both oral and written, to minority, women, and community organizations; to schools with minority and women students; and to minority and women recruitment and training organizations serving the Contractor's recruitment area and employment needs. Not later than one month prior to the date for the acceptance of applications for apprenticeship or other training by any recruitment source, the Contractor shall send written notification to organizations, such as the above, describing the openings, screening procedures, and tests to be used in the selection process.
- (j) Encourage present minority and women employees to recruit other minority persons and women and, where reasonable, provide after school, summer and vacation employment to minority and women youth, both on the site and in other areas of a Contractor's work force.
- (k) Validate all tests and other selection requirements where there is an obligation to do so under 41 CFR Part 60-3. (This requirement applies only to Federal and federally assisted projects.)
- (l) Conduct, at least annually, an inventory and evaluation at least of all minority and women personnel for promotional opportunities; and encourage these employees to seek or to prepare for, through appropriate training, such opportunities. (This is Item 4(k) in Minnesota Rules.)
- (m) Ensure that seniority practices, job classifications, work assignments, and other personnel practices do not have a discriminatory effect by continually monitoring all personnel and employment-related activities to ensure that the equal employment opportunity policy and the Contractor's obligations under these specifications are being carried out. (This is item 4(l) in Minnesota Rules.)

**STANDARD FEDERAL AND STATE EEO CONSTRUCTION
CONTRACT SPECIFICATIONS (*con't*)**

- (n) Ensure that all facilities and company activities are non segregated except that separate or single-user toilet and necessary changing facilities shall be provided to assure privacy between the sexes. (This is item 4(m) in Minnesota Rules.)
 - (o) Document and maintain a record of all solicitations or offers for subcontracts from minority and women construction contractors and suppliers, including circulation of solicitations to minority and women contractor associations and other business associations. (This is item 4(n) in Minnesota Rules.)
 - (p) Conduct a review, at least annually, of all supervisors' adherence to and performance under the Contractor's equal employment opportunity policies and affirmative action obligations. (This is item 4(o) in Minnesota Rules.)
8. Contractors are encouraged to participate in voluntary associations which assist in fulfilling one or more of their affirmative action obligations (7(a) to (p) for Federal or federally assisted projects, and 4(a)-(o) for State or state assisted projects). The efforts of a contractor association, joint contractor-union, contractor-community, or other similar group of which the Contractor is a member and participant, may be asserted as fulfilling any one or more of its obligations under 7(a) to (p) or 4(a) to (o) of these specifications provided that the Contractor actively participates in the group, makes every effort to assure that the group has a positive impact on the employment of minorities and women in the industry, ensures that the concrete benefits of the program are reflected in the Contractor's minority and women work force participation, makes a good faith effort to meet its individual goals and timetables, and can provide access to documentation which demonstrates the effectiveness of actions taken on behalf of the Contractor. The obligation to comply, however, is the Contractor's and failure of such a group to fulfill an obligation shall not be defense for the Contractor's noncompliance.
9. A single goal for minorities and a separate single goal for women have been established. The Contractor however, is required to provide equal employment opportunity and to take affirmative action for all minority groups both male and female, and all women both minority and non-minority. Consequently, the Contractor may be in violation of the Executive Order for Federal or federally assisted projects, or Minnesota Rules for State or state assisted projects, if a particular group is employed in a substantially disparate manner (for example, even though the Contractor has achieved its goals for women generally, the Contractor may be in violation of the Executive Order or Minnesota Rules part 5000.3520 if a specific minority group is under-utilized).
10. The Contractor shall not use the goals and timetables or affirmative action standards to discriminate against any person because of race, color, creed, religion, sex, or national origin. Minnesota Statutes §363A.36, part 5000.3535 (Subp. 7) also prohibits discrimination with regard to marital status, status with regard to public assistance, disability, age, or sexual orientation.

**STANDARD FEDERAL AND STATE EEO CONSTRUCTION
CONTRACT SPECIFICATIONS (*con't*)**

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

EQUAL OPPORTUNITY CLAUSE

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

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

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

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; layoffs or termination; rates of pay or other forms of compensation; and, selection for training, including apprenticeship. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the State Highway Agency (SHA) setting forth the provisions of this nondiscrimination clause.
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 consideration 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 the Contractor has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representative of the Contractor's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
4. The Contractor will comply with all provisions of Executive Order 11246, Equal Employment Opportunity, dated September 24, 1965, and of the rules, regulations (41 CFR Part 60), and relevant orders of the Secretary of Labor.
5. The Contractor will furnish all information and reports required by Executive Order 11246 and by rules, regulations, and orders of the Secretary of Labor, pursuant thereto, and will permit access to its books, records, and accounts by the Federal Highway Administration (FHWA) and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
6. In the event of the Contractor's noncompliance with the nondiscrimination clauses of this contract, or with any of such rules, regulations, or orders, this contract may be canceled, terminated, or suspended in whole or in part, and the Contractor may be declared ineligible for further Government contracts or federally-assisted construction contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions as may be imposed and remedies invoked as provided in Executive Order 11246 or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
7. The Contractor will include the portion of the sentence immediately preceding paragraph (1) and the provisions of paragraph (1) through (7) in every subcontract or purchase order so that such provisions will be binding upon each subcontractor or vendor, unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order 11246. The Contractor will take such action with respect to any subcontract or purchase order as the Secretary of Labor, SHA, or the Federal Highway Administration (FHWA) may direct as a means of enforcing such provisions, including sanctions for noncompliance. In the event a contractor becomes a party to litigation by a subcontractor or vendor as a result of such direction, the contractor may request the SHA to enter into such litigation to protect the interest of the State. In addition, the Contractor may request the United States to enter into such litigation to protect the interests of the United States.

The applicant further agrees that it will be bound by the above equal opportunity clause with respect to its own employment practices when it participates in federally assisted construction work: *Provided*, that if the applicant so participating is a State or local government, the above equal opportunity clause is not applicable to any agency, instrumentality or subdivision of such government which does not participate in work on or under the contract.

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

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

Minority and Women Employment Goals

County	Federal Goals		State Goals	
	Minority Goal	Women Goal	Minority Goal	Women Goal
Aitkin	2.2%	6.9%	5%	6%
Anoka	2.9%	6.9%	22%	6%
Becker	0.7%	6.9%	6%	6%
Beltrami	2.0%	6.9%	6%	6%
Benton	0.5%	6.9%	3%	6%
Big Stone	2.2%	6.9%	4%	6%
Blue Earth	2.2%	6.9%	4%	6%
Brown	2.2%	6.9%	4%	6%
Carlton	1.2%	6.9%	5%	6%
Carver	2.9%	6.9%	22%	6%
Cass	2.2%	6.9%	6%	6%
Chippewa	2.2%	6.9%	4%	6%
Chisago	2.9%	6.9%	3%	6%
Clay	0.7%	6.9%	6%	6%
Clearwater	2.0%	6.9%	6%	6%
Cook	1.2%	6.9%	5%	6%
Cottonwood	0.8%	6.9%	4%	6%
Crow Wing	2.2%	6.9%	6%	6%
Dakota	2.9%	6.9%	22%	6%
Dodge	0.9%	6.9%	4%	6%
Douglas	2.2%	6.9%	6%	6%
Faribault	2.2%	6.9%	4%	6%
Fillmore	0.9%	6.9%	4%	6%
Freeborn	0.9%	6.9%	4%	6%
Goodhue	2.2%	6.9%	4%	6%
Grant	2.2%	6.9%	6%	6%
Hennepin	2.9%	6.9%	32%	6%
Houston	0.6%	6.9%	4%	6%
Hubbard	2.0%	6.9%	6%	6%
Isanti	2.2%	6.9%	3%	6%
Itasca	1.2%	6.9%	5%	6%
Jackson	0.8%	6.9%	4%	6%
Kanabec	2.2%	6.9%	3%	6%
Kandiyohi	2.2%	6.9%	3%	6%
Kittson	2.0%	6.9%	6%	6%
Koochiching	1.2%	6.9%	5%	6%
Lac Qui Parle	2.2%	6.9%	4%	6%
Lake	1.2%	6.9%	5%	6%
Lake of the Woods	2.0%	6.9%	6%	6%
Le Sueur	2.2%	6.9%	4%	6%
Lincoln	0.8%	6.9%	4%	6%
Lyon	0.8%	6.9%	4%	6%

Minnesota Department of Transportation
Office of Civil Rights

Special Provisions
Revised 04/12

County	Federal Goals		State Goals	
	Minority Goal	Women Goal	Minority Goal	Women Goal
Mahnomen	2.0%	6.9%	6%	6%
Marshall	2.0%	6.9%	6%	6%
Martin	2.2%	6.9%	4%	6%
McLeod	2.2%	6.9%	3%	6%
Meeker	2.2%	6.9%	3%	6%
Mille Lacs	2.2%	6.9%	3%	6%
Morrison	2.2%	6.9%	6%	6%
Mower	0.9%	6.9%	4%	6%
Murray	0.8%	6.9%	4%	6%
Nicollet	2.2%	6.9%	4%	6%
Nobles	0.8%	6.9%	4%	6%
Norman	2.0%	6.9%	6%	6%
Olmsted	1.4%	6.9%	4%	6%
Otter Tail	2.2%	6.9%	6%	6%
Pennington	2.0%	6.9%	6%	6%
Pine	2.2%	6.9%	3%	6%
Pipestone	0.8%	6.9%	4%	6%
Polk	1.2%	6.9%	6%	6%
Pope	2.2%	6.9%	6%	6%
Ramsey	2.9%	6.9%	32%	6%
Red Lake	2.0%	6.9%	6%	6%
Redwood	0.8%	6.9%	4%	6%
Renville	2.2%	6.9%	3%	6%
Rice	2.2%	6.9%	4%	6%
Rock	0.8%	6.9%	4%	6%
Roseau	2.0%	6.9%	6%	6%
Scott	2.9%	6.9%	22%	6%
Sherburne	0.5%	6.9%	3%	6%
Sibley	2.2%	6.9%	4%	6%
St. Louis	1.0%	6.9%	5%	6%
Stearns	0.5%	6.9%	3%	6%
Steele	0.9%	6.9%	4%	6%
Stevens	2.2%	6.9%	6%	6%
Swift	2.2%	6.9%	4%	6%
Todd	2.2%	6.9%	6%	6%
Traverse	2.2%	6.9%	6%	6%
Wabasha	0.9%	6.9%	4%	6%
Wadena	2.2%	6.9%	6%	6%
Waseca	2.2%	6.9%	4%	6%
Washington	2.9%	6.9%	22%	6%
Watonwan	2.2%	6.9%	4%	6%
Wilkin	0.7%	6.9%	6%	6%
Winona	0.6%	6.9%	4%	6%
Wright	2.9%	6.9%	3%	6%
Yellow Medicine	2.2%	6.9%	4%	6%

Minnesota Department of Transportation Office of Civil Rights Contractor Employment Data		1. Contractor Name and Address: Phone: _____					
2. Employment Data a) Name: Last Name, First Name, MI		b) Social Security #	c) New Hire (Y or N)	d) Ethnicity	e) Gender (M or F)	f) Trade/Foreman, Supervisors, Managers	g) Level (A, J, or T)
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INSTRUCTIONS FOR EEO-12 CONTRACTOR EMPLOYMENT DATA

This form should be submitted at the Pre-Con to the Project Engineer prior to the start of your first MnDOT construction project for the calendar year. (Prime and Subs)

1. Contractor Name and Address self-explanatory.
2. Employment Data information will coincide with your employment records.
 - 2a. Name should be listed First Name, Middle Initial, and Last Name. This will enable MnDOT EEO staff to readily identify individuals on all projects.
 - 2b. Social Security Number self-explanatory.
 - 2c. New Hire is to be indicated with a "Y" for Yes or an "N" for No. "New Hire" is an employee who has not worked for you in any capacity or on any other project within the current calendar year.
 - 2d. Ethnicity can be indicated by Black (B), Hispanic (H), American Indian/Alaskan Native (AI), Asian/Pacific Islander (AP), or White (W).
 - 2e. Gender is to be indicated with an "M" for Males or an "F" for Females.
 - 2f. Trade/Foreman, Supervisors, Managers self-explanatory. List trade that applies unless the employee fits one of the other three categories.
 - 2g. Level "A" is for an Apprentice, "J" is for a Journey Worker, and "T" is for a MnDOT approved Trainee.

If you have questions about filling out this form, contact the Office of Civil Rights at (651) 366-3073.
(Please make copies as you need them.)

This information can be submitted electronically via the web, through MnDOT's Work force Information Tracking Initiative (WITI) Program. To open a free account to gain access to WITI or to find out more about this possibility please contact MnDOT's Office of Civil Rights at (651) 366-3015.

Minnesota Department of Transportation Office of Civil Rights Monthly Employment Compliance Report EEO-13		1. SP <input type="checkbox"/> SAP <input type="checkbox"/> (Check one) SP# _____ County or City _____		3. Contractor Name: Federal Tax ID: _____ Street Address: _____ City, State Zip _____		4. Prime <input type="checkbox"/> Subcontractor <input type="checkbox"/> (check one) 5. Dollar Amount of Contract: _____ 6. Percent of Completion: _____	
7. Employment Data a) Name: Last, First Middle Initial		b) Social Security # _____ c) New Hire (Y or N) _____		d) Ethnicity _____ e) Gender (M or F) _____ f) Trade/Foreman, Supervisors, Managers _____ g) Level (A, J or T) _____		h) Hours Worked This Period _____	
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8. Contract Goals MINNESOTA GOALS % OBTAINED _____ % Minority _____ % _____ % Women _____ %		9. Prepared by: (Signature) _____ Print Name: _____ Title: _____ Date: _____ Phone: _____ Fax: _____		10. Reviewed by: (Signature) _____ Print Name: _____ Title: _____ Date: _____ Phone: _____ Fax: _____	
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INSTRUCTIONS FOR EEO-13

MONTHLY EMPLOYMENT COMPLIANCE REPORT

- 1.-5. Self-explanatory – State Project #, county project is located in, are you a prime or sub, and contract value.
6. Percent of Completion is the estimated percentage of work completed including this reporting period.
7. Employment Data information will coincide with your employment records. All professional, supervisory and managerial hours actually worked on the project site must be included, whether or not they appear on the certified payroll.
 - 7a. Name should be listed Last Name, First Name, and Middle Initial. This will enable MnDOT EEO staff to readily identify individuals on all projects.
 - 7b. Social Security Number self-explanatory.
 - 7c. New Hire is to be indicated with a “Y” for Yes or an “N” for No. “New Hire” is an employee who has not worked for you in any capacity or on any other project within the current calendar year.
 - 7d. Ethnicity can be indicated by Black (B), Hispanic (H), American Indian/Alaskan Native (AI), Asian/Pacific Islander (AP), or White (W).
 - 7e. Gender is to be indicated with an “M” for Males or an “F” for Females.
 - 7f. Trade/Foreman, Supervisors, Managers list the trade that applies unless the employee fits one of the other three categories.
 - 7g. Level “A” is for an Apprentice, “J” is for a Journey Worker, and “T” is for a MnDOT approved Trainee.
 - 7h. Hours Worked for This Period will be all hours worked by the individual, for each trade, during the specified reporting period.
8. Contract Goals are the percent of total project hours to be worked by minority and women employees. The goals are determined by the geographic location and source of funding for the project. Projects in excess of \$100,000 with any State funding must meet the State Employment Goals. Projects in excess of \$10,000 with any Federal funding must meet the Federal Employment Goals. (See chart on EEO Pages 16-17.) Minority and women employee hours shall be distributed evenly throughout the length of the project and in every trade and craft that performs work on the project.

% Obtained is the percent of the total project hours worked by minority and women employees, up to and including this reporting period.
9. Prepared by Contractor Designee is the signature of the prime or subcontractor’s EEO officer/designee.
10. Reviewed by Project Engineer is the signature of the MnDOT staff monitoring the project.

If you have questions about filling out this form, contact the Office of Civil Rights at (651) 366-3073.
(Please make copies as you need them.)

This information can be submitted electronically via the web, through MnDOT’s Work force Information Tracking Initiative (WITI) Program. To open a free account to gain access to WITI or to find out more about this possibility please contact MnDOT’s Office of Civil Rights at (651) 366-3321.

EEO COMPLIANCE REVIEW REPORT

Total Company Workforce
(For 12 Month Period Preceding July 30th of the previous year)

Name and Address of Contractor

Name and Title of Corporate Officer

Name of EEO Officer

Job Categories	Total Employees		Total Minorities		Blacks		Asian/ Pacific Is.		American Indian		Hispanic		On-the-Job Trainees	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Officials (Mangers)														
Supervisors														
Foremen/Women														
Clerical														
Equipment Operators														
Mechanics														
Truck Drivers														
Iron Workers														
Carpenters														
Cement Masons														
Electricians														
Pipefitters & Plumbers														
Painters														
Laborers														
Total														
On-the-Job Trainees														



MINNESOTA DEPARTMENT OF TRANSPORTATION
ON-THE-JOB TRAINING PROGRAM
TRAINEE ASSIGNMENT

SP #: _____ Location: _____ District: _____

Project Engineer: _____ Phone: () _____

Prime Contractor: _____ Phone: () _____

Address: _____

City: _____ State: _____ Zip: _____

EEO Officer: _____ Project Manager: _____

Tel: _____

Training Contractor: _____ Phone: () _____

Address: _____

City: _____ State: _____ Zip: _____

EEO Officer: _____ Project Manager: _____

Tel: _____

TRAINEE

Job Title or Trade Classification: _____ Number of Training Hours on this Project: _____

Name: _____ S.S.#: _____

Address: _____ Phone: () _____

City: _____ State: _____ Zip: _____

EEO Officer: _____ Project Manager: _____

Tel: _____

Approximate Start Date: _____

Approximate Completion Date: _____

Is the trainee a member of a certified apprenticeship program?

If YES, verify with Apprenticeship Form or Indenture Number: _____

1. Ethnic Background: **Hispanic** _____; **Black** _____; **Asian/Pacific Islander** _____; **White** _____;
Am. Ind/Alaskan _____ (Verify with Tribal I.D. # or Affiliation _____).

2. **Male**; _____ **Female**; _____.

**CERTIFICATION OF ON-THE-JOB TRAINING HOURS
FEDERAL-AID-PROJECTS**Contractor: submit original and one copy monthly to the project engineer

CONTRACTOR			REPORTING PERIOD:
ADDRESS			S.P. NO. (LOW):
			F.P. NO.:
TRAINEE	HOURS WORKED PREVIOUSLY	HOURS WORKED THIS PERIOD	TOTAL HOURS TO DATE

AMOUNT OF CLAIM _____ HOURS @ _____ PER HOUR = \$ _____

Progress of Trainee(s) ☐Excellent ☐Very Good ☐Good ☐Below Good

COMMENTS (Please detail any supplementary training offered):

CONTRACTOR:

The undersigned contractor hereby certifies that the listed employees are bonafide trainees as required by the On-the-Job Training Special Provision and that they have worked the hours as reported above.

*Contractor Signature/Title*_____
*Date***PROJECT ENGINEER:**

I hereby certify that the On-the-Job training hours reported above have been reviewed and found correct.

*Engineer Signature/Title*_____
Date



MINNESOTA DEPARTMENT OF TRANSPORTATION
OFFICE OF CIVIL RIGHTS

04/12

**On- the -Job Training Program
Trainee Termination Form**

Contractor Name		County	Prime	Sub
Address		City	State	Zip
EEO Officer		Phone #	e-mail address	
Trainee Name		Phone #	Social Security No.	
Address		City	State	Zip
Race/Ethnicity				
<input type="checkbox"/> Hispanic		<input type="checkbox"/> White		<input type="checkbox"/> Asian
<input type="checkbox"/> Black		<input type="checkbox"/> American Indian		<input type="checkbox"/> Other
Gender		Classification/Trade		S.P. #
<input type="checkbox"/> Female	<input type="checkbox"/> Male			
Start Date	Termination Date	Hours Assigned	Hrs Completed	

Reason for Termination/Separation/Layoff:

<input type="checkbox"/> Construction phase completed
<input type="checkbox"/> Death
<input type="checkbox"/> Fired (please explain below)
<input type="checkbox"/> Illness/health problems
<input type="checkbox"/> Lack of transportation and /or travel distance
<input type="checkbox"/> Military duty
<input type="checkbox"/> Relocated
<input type="checkbox"/> Personal
<input type="checkbox"/> Quit to work for another company
<input type="checkbox"/> Other (please explain below)

Please provide comments:

--

Contractor's Representative Signature	Title	Date
---------------------------------------	-------	------

MAIL or Fax THE ORIGINAL and MAINTAIN COPY:

395 John Ireland Boulevard
St. Paul, MN 55155-1899
Office of Civil Rights M.S. 170
On-The -Job Training Coordinator
Fax # 651/366-3129

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

Form-1273

(52 FR 36920, October 2, 1987, revised October 21, 1993, FHWA Electronic Version March 10, 1994)

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I. GENERAL

1. 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.

2. Except as otherwise provided for in each section, the contractor shall insert in each subcontract all of the stipulations contained in these Required 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.

3. A breach of any of the stipulations contained in these Required Contract Provisions shall be sufficient grounds for termination of the contract.

4. A breach of the following clauses of the Required Contract Provisions may also be grounds for debarment as provided in 29 CFR 5.12:

- Section I, paragraph 2;
- Section IV, paragraphs 1, 2, 3, 4, and 7;
- Section V, paragraphs 1 and 2a through 2g.

5. Disputes arising out of the labor standards provisions of Section IV (except paragraph 5) and Section V of these Required Contract Provisions shall not be subject to the general disputes clause of this contract.

Such disputes shall be resolved in accordance with the procedures of the U.S. Department of Labor (DOL) as set forth in 29 CFR 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 DOL, or the contractor's employees or their representatives.

6. Selection of Labor: During the performance of this contract, the contractor shall not:

- a. discriminate against labor from any other State, possession, or territory of the United States (except for employment preference for Appalachian contracts, when applicable, as specified in Attachment A), or
- b. employ convict labor for any purpose within the limits of the project unless it is labor performed by convicts who are on parole, supervised release, or probation.

II. NONDISCRIMINATION

(Applicable to all Federal-aid construction contracts and to all related subcontracts of \$10,000 or more.)

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 (28 CFR 35, 29 CFR 1630 and 41 CFR 60) 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 Equal Opportunity Construction Contract Specifications set forth under 41 CFR 60-4.3 and the provisions of the American 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 State highway agency (SHA) and the Federal Government in carrying out EEO obligations and in their review of his/her activities under the contract.
- b. The contractor will accept as his 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, preapprenticeship, and/or on-the-job training."

REQUIRED CONTRACT PROVISIONS (con't)

2. EEO Officer:

The contractor will designate and make known to the SHA contracting officers an EEO Officer who will have the responsibility for and must be capable of effectively administering and promoting an active contractor program of EEO 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 minority group employees.
- 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 minority groups 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 minority group applicants. To meet this requirement, the contractor will identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority group applicants may be referred to the contractor for employment consideration.
- b. In the event the contractor has a valid bargaining agreement providing for exclusive hiring hall referrals,

he is expected to observe the provisions of that agreement to the extent that the system permits the contractor's compliance with EEO contract provisions.

(The DOL has held that where implementation of such agreements have the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Executive Order 11246, as amended.)

- c. The contractor will encourage his present employees to refer minority group applicants for employment. Information and procedures with regard to referring minority group 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 his 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 his avenues of appeal.

6. Training and Promotion:

- a. The contractor will assist in locating, qualifying, and increasing the skills of minority group and women employees, and applicants for employment.
- b. Consistent with the contractor's work force requirements and as permissible under Federal and State regulations, the contractor shall make full use of training programs, i.e., apprenticeship, and on-the-job training programs for the geographical area of contract performance. Where feasible, 25 percent of apprentices or trainees in each occupation shall be in their first year of apprenticeship or training. In the event a special provision for training is provided under

REQUIRED CONTRACT PROVISIONS (con't)

this contract, this subparagraph will be superseded as indicated in the special provision.

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

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

7. Unions:

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

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

b. The contractor will use best 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 SHA and shall set forth what efforts have been made to obtain such information.

d. In the event the union is unable to provide the contractor with a reasonable flow of minority and women referrals within the time limit set forth in the collective bargaining agreement, the contractor will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, national origin, age or disability; making full efforts to obtain qualified and/or qualifiable minority group persons and women. (The DOL has held that it shall be no excuse that the union with which the contractor has a collective bargaining agreement providing for exclusive referral failed to refer minority employees.) In the event the union referral practice prevents the contractor from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such contractor shall immediately notify the SHA.

8. 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.

a. The contractor shall notify all potential subcontractors and suppliers of his/her EEO obligations under this contract.

b. Disadvantaged business enterprises (DBE), as defined in 49 CFR 23, shall have equal opportunity to compete for and perform subcontracts which the contractor enters into pursuant to this contract. The contractor will use his best efforts to solicit bids from and to utilize DBE subcontractors or subcontractors with meaningful minority group and female representation among their employees. Contractors shall obtain lists of DBE construction firms from SHA personnel.

c. The contractor will use his best efforts to ensure subcontractor compliance with their EEO obligations.

9. 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 completion of the contract work and shall be available at reasonable times and places for inspection by authorized representatives of the SHA and the FHWA.

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

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

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

(3) The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minority and female employees; and

(4) The progress and efforts being made in securing the services of DBE subcontractors or subcontractors with meaningful minority and female representation among their employees.

b. The contractors will submit an annual report to the SHA each July for the duration of the project, indicating the number of minority, women, and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on Form PR-1391. If on-the-job training is being required by special provision, the contractor will be required to collect and report training data.

III. NONSEGREGATED FACILITIES

(Applicable to all Federal-aid construction contracts and to all related subcontracts of \$10,000 or more.)

a. By submission of this bid, the execution of this contract or subcontract, or the consummation of this material supply agreement or purchase order, as appropriate, the bidder, Federal-aid construction contractor, subcontractor, material supplier, or vendor, as appropriate, certifies that the firm

REQUIRED CONTRACT PROVISIONS (*con't*)

does not maintain or provide for its employees any segregated facilities at any of its establishments, and that the firm does not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The firm agrees that a breach of this certification is a violation of the EEO provisions of this contract. The firm further certifies that no employee will be denied access to adequate facilities on the basis of sex or disability.

b. As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, 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 directive, or are, in fact, segregated on the basis of race, color, religion, national origin, age or disability, because of habit, local custom, or otherwise. The only exception will be for the disabled when the demands for accessibility override (e.g. disabled parking).

c. The contractor agrees that it has obtained or will obtain identical certification from proposed subcontractors or material suppliers prior to award of subcontracts or consummation of material supply agreements of \$10,000 or more and that it will retain such certifications in its files.

IV. PAYMENT OF PREDETERMINED MINIMUM WAGE

(Applicable to all Federal-aid construction contracts exceeding \$2,000 and to all related subcontracts, except for projects located on roadways classified as local roads or rural minor collectors, which are exempt.)

1. General:

a. All mechanics and laborers 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 (29 CFR 3) issued by the Secretary of Labor under the Copeland Act (40 U.S.C. 276c) the full amounts of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment. The payment shall be computed at wage rates not less than those contained in the wage determination of the Secretary of Labor (hereinafter "the wage determination") which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor or its subcontractors and such laborers and mechanics. The wage determination (including any additional classifications and wage rates conformed under paragraph 2 of this Section IV and the DOL poster (WH-1321) or Form FHWA-1495) 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. For the purpose of this Section, contributions made or costs reasonably anticipated for bona fide fringe benefits under Section 1(b)(2) of the Davis-Bacon Act (40 U.S.C. 276a) on

behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of Section IV, paragraph 3b, hereof. Also, for the purpose of this Section, 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 paragraphs 4 and 5 of this Section IV.

b. 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.

c. All rulings and interpretations of the Davis-Bacon Act and related acts contained in 29 CFR 1, 3, and 5 are herein incorporated by reference in this contract.

2. Classification:

a. The SHA contracting officer shall require that any class of laborers or mechanics employed under the contract, which is not listed in the wage determination, shall be classified in conformance with the wage determination.

b. The contracting officer shall approve an additional classification, wage rate and fringe benefits only when the following criteria have been met:

(1) the work to be performed by the additional classification requested is not performed by a classification in the wage determination;

(2) the additional classification is utilized in the area by the construction industry;

(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 Section IV.4(c), when such a classification prevails in the area in which the work is performed.

c. If the contractor or subcontractors, as appropriate, the laborers and mechanics (if known) to be employed in the additional classification 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 DOL, Administrator of the Wage and Hour Division, Employment Standards Administration, Washington, D.C. 20210. The Wage and Hour 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.

REQUIRED CONTRACT PROVISIONS (con't)

d. In the event the contractor or subcontractors, as appropriate, the laborers or mechanics to be employed in the additional 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. Said 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

e. The wage rate (including fringe benefits where appropriate) determined pursuant to paragraph 2c or 2d of this Section IV shall be paid to all workers performing work in the additional classification from the first day on which work is performed in the classification.

3. Payment of Fringe Benefits:

a. 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 or subcontractors, as appropriate, shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly case equivalent thereof.

b. If the contractor or subcontractor, as appropriate, does not make payments to a trustee or other third person, he/she may consider as a 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.

4. Apprentices and Trainees (Programs of the U.S. DOL):

a. Apprentices:

(1) 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 DOL, 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/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.

(2) The allowable ratio of apprentices to journeyman-level employees 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 employee 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 listed in 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 or subcontractor 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-level hourly rate) specified in the contractor's or subcontractor's registered program shall be observed.

(3) 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-level 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 for the Wage and Hour Division determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination.

(4) 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 or subcontractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the comparable work performed by regular employees until an acceptable program is approved.

b. Trainees:

(1) 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 DOL, Employment and Training Administration.

(2) The ratio of trainees to journeyman-level employees on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Any employee listed on the payroll at a trainee rate that is not registered and participating in a training plan approved by the Employment and Training

REQUIRED CONTRACT PROVISIONS (con't)

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.

(3) Every trainee must be paid at not less than the rate specified in the approved program for his/her level of progress, expressed as a percentage of the journeyman-level 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-level wage rate on the wage determination which provides for less than full fringe benefits for apprentices, in which case such trainees shall receive the same fringe benefits as apprentices.

(4) In the event the Employment and Training Administration withdraws approval of a training program, the contractor or subcontractor 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. Helpers:

Helpers will be permitted to work on a project if the helper classification is specified and defined on the applicable wage determination or is approved pursuant to the conformance procedure set forth in Section IV.2. Any worker listed on a payroll at a helper wage rate, who is not a helper under an approved definition, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed.

5. 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.

6. Withholding:

The SHA shall upon its own action or upon written request of an authorized representative of the DOL withhold, or cause to be withheld, from the contractor or subcontractor 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, as 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 SHA contracting officer 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.

7. Overtime Requirements:

No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers, mechanics, watchmen, or guards (including apprentices, trainees, and helpers described in paragraphs 4 and 5 above) shall require or permit any laborer, mechanic, watchman, or guard in any workweek in which he/she is employed on such work, to work in excess of 40 hours in such workweek unless such laborer, mechanic, watchman, or guard receives compensation at a rate not less than one-and-one-half times his/her basic rate of pay for all hours worked in excess of 40 hours in such workweek.

8. Violation:

Liability for Unpaid Wages; Liquidated Damages: In the event of any violation of the clause set forth in paragraph 7 above, the contractor and any subcontractor responsible thereof shall be liable to the affected employee for his/her unpaid wages. In addition, such contractor 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, mechanic, watchman, or guard employed in violation of the clause set forth in paragraph 7, in the sum of \$10 for each calendar day on which such employee was required or permitted to work in excess of the standard work week of 40 hours without payment of the overtime wages required by the clause set forth in paragraph 7.

9. Withholding for Unpaid Wages and Liquidated Damages:

The SHA shall upon its own action or upon written request of any authorized representative of the DOL 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 8 above.

REQUIRED CONTRACT PROVISIONS (*con't*)

V. STATEMENTS AND PAYROLLS

(Applicable to all Federal-aid construction contracts exceeding \$2,000 and to all related subcontracts, except for projects located on roadways classified as local roads or rural collectors, which are exempt.)

1. Compliance with Copeland Regulations (29 CFR 3):

The contractor shall comply with the Copeland Regulations of the Secretary of Labor which are herein incorporated by reference.

2. Payrolls and Payroll Records:

a. Payrolls and basic records relating thereto shall be maintained by the contractor and each subcontractor during the course of the work and preserved for a period of 3 years from the date of completion of the contract for all laborers, mechanics, apprentices, trainees, watchmen, helpers, and guards working at the site of the work.

b. The payroll records shall contain the name, social security number, and address of each such employee; his or her correct classification; hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalent thereof 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. In addition, for Appalachian contracts, the payroll records shall contain a notation indicating whether the employee does, or does not, normally reside in the labor area as defined in Attachment A, paragraph 1. Whenever the Secretary of Labor, pursuant to Section IV, paragraph 3b, has found 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 and each subcontractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially possible, that the plan or program has been communicated in writing to the laborers or mechanics affected, and show the cost anticipated or the actual cost incurred in providing benefits. Contractors or subcontractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprentices and trainees, and ratios and wage rates prescribed in the applicable programs.

c. Each contractor and subcontractor shall furnish, each week in which any contract work is performed, to the SHA resident engineer a payroll of wages paid each of its employees (including apprentices, trainees, and helpers, described in Section IV, paragraphs 4 and 5, and watchmen and guards engaged on work during the preceding weekly payroll period). The payroll submitted shall set out accurately and completely all of the information required to be maintained under paragraph 2b of this Section V. This information may be submitted in any form desired. Optional Form WH-347 is available for this purpose and may be purchased from the Superintendent of Documents (Federal stock number 029-005-0014-1), U.S. Government Printing Office, Washington, D.C.

20402. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors.

d. Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his/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 paragraph 2b of this Section V and that such information is correct and complete;

(2) that such 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 the Regulations, 29 CFR 3;

(3) that each laborer or mechanic has been paid not less than the applicable wage rate and fringe benefits or cash equivalent for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

e. 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 2d of this Section V.

f. The falsification of any of the above certifications may subject the contractor to civil or criminal prosecution under 18 U.S.C. 1001 and 31 U.S.C. 231.

g. The contractor or subcontractor shall make the records required under paragraph 2b of this Section V available for inspection, copying, or transcription by authorized representatives of the SHA, the FHWA, or the DOL, 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 SHA, the FHWA, the DOL, or all may, after written notice to the contractor, sponsor, applicant, or owner, take such actions 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.

VI. RECORD OF MATERIALS, SUPPLIES, AND LABOR

1. On all Federal-aid contracts on the National Highway System, except those which provide solely for the installation of protective devices at railroad grade crossings, those which are constructed on a force account or direct labor basis, highway beautification contracts, and contracts for which the total final construction cost for roadway and bridge is less than \$1,000,000 (23 CFR 635) the contractor shall:

REQUIRED CONTRACT PROVISIONS (*con't*)

- a. Become familiar with the list of specific materials and supplies contained in Form FHWA-47, "Statement of Materials and Labor Used by Contractor of Highway Construction Involving Federal Funds," prior to the commencement of work under this contract.
- b. Maintain a record of the total cost of all materials and supplies purchased for and incorporated in the work, and also of the quantities of those specific materials and supplies listed on Form FHWA-47, and in the units shown on Form FHWA-47.
- c. Furnish, upon the completion of the contract, to the SHA resident engineer on Form FHWA-47 together with the data required in paragraph 1b relative to materials and supplies, a final labor summary of all contract work indicating the total hours worked and the total amount earned.

2. At the prime contractor's option, either a single report covering all contract work or separate reports for the contractor and for each subcontract shall be submitted.

VII. SUBLETTING OR ASSIGNING THE CONTRACT

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 State. 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).

a. "Its own organization" shall be construed to include only workers employed and paid directly 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, assignee, or agent of the prime contractor.

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 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 VII 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 SHA 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 SHA 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 SHA has assured that each subcontract is evidenced in writing and that it contains all pertinent provisions and requirements of the prime contract.

VIII. SAFETY: ACCIDENT PREVENTION

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 SHA 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. 333).

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. 333).

IX. FALSE STATEMENTS CONCERNING HIGHWAY PROJECTS

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, the following notice 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:

REQUIRED CONTRACT PROVISIONS (con't)

NOTICE TO ALL PERSONNEL ENGAGED ON FEDERAL-AID HIGHWAY PROJECTS

18 U.S.C. 1020 reads as follows:

"Whoever being an officer, agent, or employee of the United States, 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, (39 Stat. 355), as amended and supplemented;

Shall be fined not more than \$10,000 or imprisoned not more than 5 years or both."

X. IMPLEMENTATION OF CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT

(Applicable to all Federal-aid construction contracts and to all related subcontracts of \$100,000 or more.)

By submission of this bid or the execution of this contract, or subcontract, as appropriate, the bidder, Federal-aid construction contractor, or subcontractor, as appropriate, will be deemed to have stipulated as follows:

1. That any facility that is or will be utilized in the performance of this contract, unless such contract is exempt under the Clean Air Act, as amended (42 U.S.C. 1857 et seq., as amended by Pub.L. 91-604), and under the Federal Water Pollution Control Act, as amended (33 U.S.C. 1251 et seq., as amended by Pub.L. 92-500), Executive Order 11738, and regulations in implementation thereof (40 CFR 15) is not listed, on the date of contract award, on the U.S. Environmental Protection Agency (EPA) List of Violating Facilities pursuant to 40 CFR 15.20.

2. That the firm agrees to comply and remain in compliance with all the requirements of Section 114 of the Clean Air Act and Section 308 of the Federal Water Pollution Control Act and all regulations and guidelines listed there under.

3. That the firm shall promptly notify the SHA of the receipt of any communication from the Director, Office of Federal Activities, EPA, indicating that a facility that is or will be utilized for the contract is under consideration to be listed on the EPA List of

Violating Facilities.

4. That the firm agrees to include or cause to be included the requirements of paragraph 1 through 4 of this Section X in every nonexempt subcontract, and further agrees to take such action as the government may direct as a means of enforcing such requirements.

XI. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

1. Instructions for Certification - Primary Covered Transactions:

(Applicable to all Federal-aid contracts -49 CFR 29)

a. By signing and submitting this proposal, the prospective primary 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 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 primary 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 department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

d. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if any time the prospective primary 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," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is submitted for assistance in obtaining a copy of those regulations.

f. The prospective primary 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.

REQUIRED CONTRACT PROVISIONS (con't)

g. The prospective primary 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 Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

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 may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the nonprocurement portion of the "Lists of Parties Excluded From Federal Procurement or Nonprocurement Programs" (Nonprocurement List) which is compiled by the General Services Administration.

i. 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.

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.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- b. Have not within a 3-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;

- c. 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 1b of this certification; and

- d. Have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

2. Where the prospective primary 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 Covered Transactions:

(Applicable to all subcontracts, purchase orders and other lower tier transactions of \$25,000 or more - 49 CFR 29)

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 of 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," "primary covered transaction," "participant," "person," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

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.

REQUIRED CONTRACT PROVISIONS (con't)

g. A participation 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 may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

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.

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 his or her bid or proposal that he or she 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.

* * * * *

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions:

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 participation in this transaction 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.

XII. CERTIFICATION REGARDING USE OF CONTRACT FUNDS FOR LOBBYING

(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,

APPENDIX A (Long Version)
REQUIRED CONTRACT PROVISIONS
FEDERAL-AID CONSTRUCTION CONTRACTS

The required Contract Provisions for Federal-aid construction contracts, Form FHWA-1273 (Rev. 4-93) is restated here for emphasis:

Section IV. PAYMENT OF PREDETERMINED MINIMUM WAGE

Section IV.2, Classification

2. Classification

a. The SHA contracting officer shall require that any class of laborers or mechanics employed under the contract, which is not listed in the wage determination, shall be classified in conformance with the wage determination.

b. The contracting officer shall approve an additional classification, wage rate and fringe benefits only when the following criteria have been met:

(1) the work to be performed by the additional classification requested is not performed by a classification in the wage determination;

(2) the additional classification is utilized in the area by the construction industry;

(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 Section IV.4(c), when such a classification prevails in the area in which the work is performed.

For implementation reference Section IV.2(c), (d) and (e).

The Required Contract Provisions for Federal-aid construction contracts, Form FHWA-1273 (Rev. 4-93) is amended as set forth:

Section V. STATEMENTS AND PAYROLLS

In part c of Section V.2, Payrolls and Payroll Records, the term “furnish” in this context will be accomplished by the subcontractors, on the project, sending their certified payroll reports to the government’s prime contractor. The prime contractor will then be required to send copies of both the subcontractor’s and their own certification forms, Mn/DOT 21658A form, to the project engineer. The prime contractor will maintain at a readily accessible location acceptable to Mn/DOT all the payrolls (both theirs and the subcontractors) during the course of the work and for a period of three years from the date of the completion of the contract.

Mn/DOT, as the contracting agency, will stand, upon demand, require the prime contractor to send to the project engineer copies of any or all contractor’s certified payrolls from any given project.

APPENDIX A (Short Version)
REQUIRED CONTRACT PROVISIONS
FEDERAL-AID CONSTRUCTION CONTRACTS

The Required Contract Provisions for Federal-aid construction contracts, Form FHWA-1273 (Rev. 4-93) is restated here for emphasis:

Section IV. PAYMENT OF PREDETERMINED MINIMUM WAGE

Section IV.2, Classification

2. Classification

a. The SHA contracting officer shall require that any class of laborers or mechanics employed under the contract, which is not listed in the wage determination, shall be classified in conformance with the wage determination.

b. The contracting officer shall approve an additional classification, wage rate and fringe benefits only when the following criteria have been met:

(1) the work to be performed by the additional classification requested is not performed by a classification in the wage determination;

(2) the additional classification is utilized in the area by the construction industry;

(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 Section IV.4(c), when such a classification prevails in the area in which the work is performed.

For implementation reference Section IV.2(c), (d) and (e).

**DISADVANTAGED BUSINESS ENTERPRISE (DBE)
SPECIAL PROVISIONS**

RACE/GENDER NEUTRAL GOAL

POLICY STATEMENT

It is the policy of the Minnesota Department of Transportation (Mn/DOT) that DBEs, as defined in 49 C.F.R. Part 26, and other small businesses shall have the maximum feasible opportunity to participate in contracts financed in whole or in parts with federal funds. Consistent with this policy and Title VI of 1964 Civil Rights Act, Mn/DOT will not allow any person or business to be excluded from participation in, denied the benefits of, or otherwise be discriminated against in connection with the award and performance of any U.S. Department of Transportation (DOT) assisted contract because of sex, race, color, or national origin. Mn/DOT has established a Disadvantaged Business Enterprise (DBE) program in accordance with the regulations of the DOT, 49 C.F.R. Part 26 to implement this policy.

CONTRACT ASSURANCE

The Contractor, sub recipient or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The Contractor shall carry out all the applicable requirements of 49 C.F.R. 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 Mn/DOT deems appropriate.

Furthermore, Title VI of the Civil Rights Act of 1964 assures that no person or group of persons may, on the grounds of race, color, national origin, sex, age, handicap or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any and all programs or activities administered by Mn/DOT. For further information regarding Title VI, please contact the Office of Civil Rights, 395 John Ireland Blvd., MS 170, St. Paul, MN 55155-1899. Our telephone number is: (651).366-3073.

The above information is applicable to every contractor including every tier of subcontractors, supplier or service providers on this project. It is the responsibility of the prime contractor, subcontractors, suppliers and service providers to ensure equal opportunity for all firms to participate on this project.

RACE/GENDER NEUTRAL GOAL

There is **no specific numerical DBE goal assigned** to this project. While **no** numeric DBE goal is assigned to this contract, the Contractor, sub-recipient or subcontractor **should** make every reasonable effort to solicit DBE firms to participate as subcontractors, service providers and suppliers on this project.

ADDITIONAL SUBCONTRACTORS, SUPPLIERS AND SERVICE PROVIDERS

Whenever an additional subcontractor, supplier or service provider is selected, and this information has not been previously reported to the Mn/DOT Office of Civil Rights, the Contractor or its designated OCR Officer shall promptly provide Mn/DOT OCR office with the following information regarding the subcontract:

- a) The name of the subcontractor; supplier or service provider;
- b) The total dollar amount of the subcontract;
- c) The specific work items covered by the subcontract;
- d) Estimated quantities of each work item; and
- e) Individual unit prices (if applicable).

SUBMITTAL OF DOCUMENTATION

Upon award of the contract, the Contractor shall submit on the attached Bidders List, a complete list of all subcontractors, service providers, suppliers and consultants that submitted bids, and shall indicate the successful quotes that will be used on the contract.

Additionally, during the life of the contract, the Contractor shall submit progress payment reports on the attached Contractor Payment Form regarding the payments made to its subcontractors, suppliers, service providers and sub-consultants. In accordance with federal regulations and Minnesota's Prompt Payment law, Contractors are required to pay their subcontractors within ten (10) days of receiving progress payments from Mn/DOT. Contractors are also required to submit to the Project Engineer and the Mn/DOT OCR the Contractor Payment Forms no later than ten (10) days after receiving payment from Mn/DOT.

This Race/Gender Neutral Goal Language is an addendum to the Mn/DOT DBE Special Provisions.



MINNESOTA DEPARTMENT OF TRANSPORTATION
OFFICE OF CIVIL RIGHTS

BIDDERS LIST

S.P.: _____

Prime Contractor _____ Low Bid _____ Goal _____

Total DBE Commitment _____ (_____ %)

List all comparative quotes of participants performing on the project and participants that bid, including DBEs and non-DBEs.
Include Subcontractors, Suppliers, Sub-consultants & Service providers.

Name, Contact Name and Phone number of Contractor *	Check (✓) Firms That Will Be Used	Description of Work	Dollar Amount of Subcontract/Quote
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			

* Please indicate with an asterisk (*) or check mark (✓) which subcontractors, suppliers, sub-consultants & service providers you will be using on the project.

(Make additional copies of this form as necessary)

Minnesota Department of Transportation – Office of Civil Rights

Contractor Payment Form

State Project Number _____ Prime Contractor: _____ Sub-Contractor: _____

Payment Reporting Period: From: _____ To: _____

Instructions: All Contractors making payments to Contractors/Subcontractors/Suppliers/Service Providers, regardless of their tier or DBE status, are required to complete and submit this form to the Mn/DOT Office of Civil Rights (OCR), each time payments are made to sub-contractors until final payment is made. Failure to comply with this form and Minnesota's prompt payment law may cause progress payments to be withheld. Submit one copy of this form to the Mn/DOT OCR and one copy to the Project Engineer, no later than ten (10) days after receiving payment from Mn/DOT.

Prime Contractor Information			Original Contract Amount	Committed DBE %	Actual DBE % to Date
Name:					
Address:					
Phone:					
Name of Subcontractor/Supplier	DBE? (Check if Yes)	Description of Work	Subcontract Amount		
1.	<input type="checkbox"/>	1.	1.		
2.	<input type="checkbox"/>	2.	2.		
3.	<input type="checkbox"/>	3.	3.		
4.	<input type="checkbox"/>	4.	4.		
5.	<input type="checkbox"/>	5.	5.		
Amount of Current Payment	Total Sub-Contractor Payment-To-Date	% Paid to date	Final Payment? Yes/No		
1.	1.	1.	1.		
2.	2.	2.	2.		
3.	3.	3.	3.		
4.	4.	4.	4.		
5.	5.	5.	5.		
Company Officials Signature & Title	Date Signed	Name & Title of Individual Completing Report (Type or Print Clearly)			
Title:		Title:			
Phone:	Fax:	Phone:	Fax:		

APPENDIX A

Minnesota Department of Transportation Schedule of Materials Control (SMC) – Introduction Page
(Federal Aid, State Funds, County/Municipal Federal Aid Projects and State Aid Projects)

This schedule outlines the minimum sampling and testing required for most materials used in highway construction. Some items that are rarely used or materials of recent development are often covered by special provisions and may not be shown on the schedule. For more information regarding contract requirements for testing, please reference the "Standard Specifications for Construction", Specification 1603 Materials: Specifications, Samples, Tests, and Acceptance.

Laboratories performing acceptance tests for payment shall be accredited by the AASHTO Materials Reference Laboratory (AMRL) or a comparable accreditation program approved by Mn/DOT and the FHWA for all test procedures performed.

When sample sizes required for testing exceed 35 pounds, please submit multiple containers of the material with no individual container weighing more than 35 pounds.

Small quantities of materials may be accepted without sampling and testing. A small quantity is defined as any total quantity, for the whole project, of one material, which is smaller than the minimum quantity required for testing unless modified by the individual material items. These materials shall be from known, reliable sources, perform satisfactorily and meet the requirements for purpose intended. The inspection report (Form 02415) should include a statement to this effect and show the source. Form 2403 may be used to report small quantities of diverse materials from different sources. Form 02415 and Form 2403 (or approved revisions) are referenced in the Schedule of Materials Control for project record documentation and are required to be maintained in the project file.

Previously approved materials transferred from another project should be reported on Form 02415. The report should include: type of material, quantities involved, source, and supplier of materials. Whenever possible, include the project number for which the material was originally approved.

If Forms 02415 and 2403 are referenced by form number within the Materials Control Schedule for materials or products received from pre-approved sources, where the field responsibility for acceptance is visual inspection and all information required to complete these forms is contained in other documents in the project file, the use of these forms becomes optional. If these forms are completed and sent to the Project Engineer by off-site inspection personnel from the district or the Office of Materials, they must be retained in the project file.

A Telephone Index is included with the Schedule giving contact information for the specialty areas if further information is required regarding the various materials. A form index is also included.

The Department maintains the Approved/Qualified Products List and the Certified Products and Services List, as well as, the Schedule of Materials Control. All are available electronically on the Office of Materials and Road Research website www.dot.state.mn.us/materials.html

Products manufactured offsite may be pre-approved; however, final acceptance will be made at the point of incorporation, based upon review of documentation and inspection for shipping or other damage.

Contact the Mn/DOT District Independent Assurance Inspector when project starts to provide the proper servicing of your project.

Index

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Certifications List

Material	SMC Section	Sub Section	Page	Certification Needed
All Base, Surface, and Granular Materials	I. Grading & Base	Many	7-12	Form G&B-104 (24346) include gradation and quality test results
Plant Mixed Asphalt (PMA)	II. Bituminous	Many	13-18	All PMA from certified supplier www.dot.state.mn.us/materials/bituminous.html
Shingles	II. Bituminous	2	14	Contractor shall provide documentation that of all RAS /TOSS (Tear Off Shingle) material is from a MPCA certified supplier.
Bituminous Material	II. Bituminous	9	17	Only Bituminous Materials from certified asphalt binder sources are allowed for use. The most current list of Certified Sources can at http://www.dot.state.mn.us/products
Emulsified Asphalt	III. Bituminous Specialty Items		19	Use Emulsion for seal coat from a certified emulsified asphalt source.
Concrete Ready Mix	IV. Concrete	Many	22-37	Contact Report from Ready-Mix Plant. All concrete from certified plant including a computerized certificate of compliance with each load.
Ground Granulated Blast Furnace Slag Fly Ash Admixtures Portland Cement	IV. Concrete		23	Concrete Plant Batching Materials: All materials must come from certified approved, or qualified sources. All certified sources must state so on the Bill of Lading Delivery invoice including Mn/DOT standardized certification statement for cement, flyash, and slag. The most current list of certified/approved sources can be found at www.dot.state.mn.us/products .
Plastic for Curing	IV. Concrete		30	A Certificate of Compliance shall be submitted to the Project Engineer from the Manufacturer certifying that the plastic complies with AASHTO M171.
Aggregate for Low Slump Overlays	IV. Concrete		34	Aggregate pit numbers and 1 passing gradation result per fraction per source

Material	SMC Section	Sub Section	Page	Certification Needed
Profiler	IV. Concrete		33	Contractor provides Mn/DOT certified Inertial Profiler Results for bumps/dips and/or Areas of Localized Roughness for the entire project.
Aggregate for Concrete Pavement Repair	IV. Concrete		35	Aggregate pit numbers and 1 passing gradation result per fraction per source
Aggregate for Dowel Bar Retrofits	IV. Concrete		36	Aggregate pit numbers and 1 passing gradation result per fraction per source
Plant Stock & Landscape Materials	V: Landscaping etc.	2	37	Several certifications
Silt Fence	V: Landscaping etc.	5	38	Certificate of Compliance with MARV values
Flotation Silt Curtain	V: Landscaping etc.	6	38	Manufacturers' certification of compliance
Mulch Type 3	V: Landscaping etc.	12	38	Certified Vendor by Minnesota Crop Improvement Association must be tagged grain straw only on label.
Mulch Type 6 Wood Chips	V: Landscaping etc.	13	39	Emerald Ash Borer Compliance Agreement with the MDA
Seeds	V: Landscaping etc.	14	39	Certified Vendor by Minnesota Crop Improvement Association must be tagged.
Seeds - Native	V: Landscaping etc.	14	39	Certified Vendor by Minnesota Crop Improvement Association must be tagged.
Sod	V: Landscaping etc.	15	39	A certified tag by Minnesota Crop Improvement Association for Salt tolerant sod. A certificate of Compliance for all other types of sod listing grass varieties.
Compost	V: Landscaping etc.	16	39	A/QPL with certified test reports.
Waterproofing material membrane waterproof system	VI: Chemical Items		40	Certificate and test results
Waterborne latex traffic marking paint	VI: Chemical Items		41	Certificate of Compliance
Epoxy traffic paint	VI: Chemical Items		41	Certificate of Compliance
Traffic marking paint	VI: Chemical Items		41	Certificate of Compliance
Non-traffic marking paint	VI: Chemical Items		41	Certificate of Compliance
Bridge structural steel paint	VI: Chemical Items		42	Certificate of Compliance
Exterior masonry paint	VI: Chemical Items		42	Certificate of Compliance
Noise wall stain	VI: Chemical Items		42	Certificate of Compliance
Drop-on glass beads	VI: Chemical Items		42	Certificate of Compliance
Pavement marking tape	VI: Chemical Items		42	Certificate of Compliance
Steel sign posts	VII: Metallic	2	44	Certification of domestic source if applicable under 1601.
Posts for traffic or fence	VII: Metallic	3A	44	Certification of domestic source if applicable under 1601. For fence: fence certification form.
Fence components	VII: Metallic	3B	44	Fence certification form.
Fence gates	VII: Metallic	3C	44	Fence certification form.
Fence barbed wire fabric	VII: Metallic	3D	44	Fence certification form.
Fence woven wire fabric	VII: Metallic	3E	45	Fence certification form.
Fence chain link wire fabric	VII: Metallic	3F	45	Fence certification form.
Reinforcing steel uncoated bars	VII: Metallic	5A	45	Certificate of Compliance & certified mill analysis
Reinforcing steel epoxy bars	VII: Metallic	5B	45	Inspected tag or Certificate of Compliance & certified mill analysis
Steel Fabric	VII: Metallic	5E	46	Certificate of Compliance
Dowel Bars	VII: Metallic	5F	46	Certificate of Compliance
Pre or post tensioning strand	VII: Metallic	5G	47	Mill analysis

Material	SMC Section	Sub Section	Page	Certification Needed
Anchor rods & Structural Fasteners	VII: Metallic	7	47	Yearly Mn/DOT passing test report
Timber & lumber	VIII: Miscellaneous	1	51	Certified on invoice
Elastomeric bearing pad	VIII: Miscellaneous	4	51	Certificate of Compliance
Corrugated metal pipe	IX: Geosynthetics & Pipe	1A	51	Certified on invoice
Corrugated metal structural plate	IX: Geosynthetics & Pipe	1B	51	Certified on invoice
Corrugated metal aluminum plate	IX: Geosynthetics & Pipe	1C	52	Fabricator's Certificate and guarantee
Concrete pipe & manholes reinforced	IX: Geosynthetics & Pipe	3A	52	Certified stamp and certification document
Concrete pipe non reinforced	IX: Geosynthetics & Pipe	3B	52	Certified stamp and certification document
Precast box culverts	IX: Geosynthetics & Pipe	4A	53	Stamped & field inspection report
Prestressed beams & posts, etc	IX: Geosynthetics & Pipe	4B	53	Stamped & field inspection report
Manholes & catch basins	IX: Geosynthetics & Pipe	5	54	Certification document or stamped
Thermoplastic pipe ABS & PVC	IX: Geosynthetics & Pipe	7	54	Certificate of Compliance
Corrugated PE Pipe: Single wall – edge drains	IX: Geosynthetics & Pipe	8	54	Certificate of Compliance
Corrugated PE Pipe: dual wall – 12"-48"	IX: Geosynthetics & Pipe	13	55	Certificate of Compliance
Geotextile fabric	IX: Geosynthetics & Pipe	14	56	Manufacturers' Certification of compliance
Brick sewer concrete	X: Brick, Stone, Masonry	1B	57	Air content statement
Concrete masonry units	X: Brick, Stone, Masonry	2A	57	Air content statement
Light standards	XI: Electrical & Signal	1	58	Certificate of Compliance
Cable & Conductors	XI: Electrical & Signal	7	59	Usually inspected at the distributor. Documentation showing project number, reel number(s), & Mn/DOT test number(s) will be included with each project shipment. If not received from Contractor, submit sample for testing along with manufacturers' material certification.
Electrical systems	XI: Electrical & Signal	10	60	Electrical Systems are to be reported as a "System" using the Lighting, Signal, and Traffic Recorder Inspection Report.
Traffic signal systems	XI: Electrical & Signal	11	60	Traffic Signal Systems are to be reported as a "System" using the Lighting, Signal, and Traffic Recorder Inspection Report.

Telephone Index for Schedule of Materials Control

Section	Page	Section Name	Contact	Phone
Part I	Page 7	Grading & Base – Specifications 2105, 2118, 2211, 2212, 2215, and 2221	Terry Beaudry Cary Efta Rebecca Embacher Mark Watson	(651) 366-5456 (651) 366-5421 (651) 366-5525 (651) 366-5596
Website: www.dot.state.mn.us/materials/gradingandbase.html				
Part II Part II B 4	Page 13 Page 17	Bituminous - Spec. 2360 Asphalt Binder	John Garrity Jim McGraw Jason Szondy	(651) 366-5577 (651) 366-5548 (651) 366-5549
Website: www.dot.state.mn.us/materials/bituminous.html				
Part III	Page 19	Bituminous Specialty Items	Mark Watson Terry Beaudry	(651) 366-5596 (651) 366-5456
Part IV	Page 22	Concrete – Aggregates and Mix Design Concrete – Certified Ready Mix Concrete Concrete Paving Concrete – Bridges	Wendy Garr Wendy Garr Rob Golish Ron Mulvaney	(651) 366-5423 (651) 366-5423 (651) 366-5576 (651) 366-5575
Website: www.dot.state.mn.us/materials/concrete.html				
Part V	Page 38	Landscaping and Erosion Control Items Erosion Control Landscaping Wood Chips	Lori Belz Scott Bradley Tina Markeson	(651) 366-3607 (651) 366-4612 (651) 366-3619
Part VI	Page 40	Chemical Items	Jim McGraw Dave Iverson	(651) 366-5548 (651) 366-5550
Part VII	Page 43	Metallic Materials and Metal Products Sampling Test Results Bridge Structural Metals	Steve Grover Laboratory Todd Niemann Barry Glassman	(651) 366-5540 (651) 366-5560 (651) 366-4567 (651) 366-4568
Part VIII	Page 51	Miscellaneous Materials Sections 1 thru 3 Section 4 Test Results	Steve Grover Todd Niemann Barry Glassman Laboratory	(651) 366-5540 (651) 366-4567 (651) 366-4568 (651) 366-5560
Part IX	Page 51	Geosynthetics, Pipe, Tile, and Precast/Prestressed Concrete Sections 1 thru 11, & 13 Section 12 Section 14 Test Results	Steve Grover Rich Lamb Randy Tilseth Laboratory	(651) 366-5540 (651) 366-5595 (651) 366-5451 (651) 366-5560
Part X	Page 57	Brick, Stone and Masonry Units/Modular Retaining Wall Blocks Sections 1, 2A,3, & 4 Section 2B Test Results	Steve Grover Blake Nelson Laboratory	(651) 366-5540 (651) 366-5599 (651) 366-5561
Part XI	Page 58	Electrical & Signal Sections 1, 8-11 Section 2, 4- 7 Section 3 Test Results	Susan Zarling Steve Grover Wendy Garr Laboratory	(651) 234-7052 (651) 366-5540 (651) 366-5423 (651) 366-5560

Form Index

Grading and Base	
Form No.	Form Name
G&B – 001 (02115-03)	Grading & Base Report
G&B – 002 (02154-02)	Random Sampling Acceptance
G&B – 101 (02402-03)	Sieve Analysis
G&B – 103 (02463)	Percent Crushing Report
G&B – 104 (24346)	Certificate of Aggregates & Granular Materials
G&B – 105 (21850)	Moisture Test
G&B – 203	(Table 2105-6, 2106-6) DCP Penetration Index Method
G&B – 204	(Table 2211-3) DCP Penetration Index Method
G&B – 205	2215 DCP Penetration Index Form – Full Depth Reclamation
G&B – 303 (24587-01)	Moisture - Density (Proctor) Test
G&B – 304 (02140-03)	Relative Density Test
Concrete	
Form No.	Form Name
2152	Concrete Batching Report
2162	Concrete Test Beam Data
2409	ID Card Concrete Test Cylinder
2448	Weekly Concrete Report
2449	Weekly Concrete Aggregate Report (QC/QA)
21412	Weekly Report of “Low Slump Concrete”
21763	Concrete Aggregate Worksheet
21764	Concrete Aggregate Worksheet JMF
24143	Weekly Certified Ready-Mix Plant Report (Verification)
24300	ID Card Cement Samples
24308	ID Card Fly Ash Samples
24327	Field Core Report
	Concrete W/C Ratio Calculation Worksheet
	Incentive/Disincentive Smoothness Worksheet
Bituminous	
Form No.	Form Name
2413	Asphalt Sample Identification Card
Miscellaneous	
Form No.	Form Name
2410	Sample ID Card
02415	Inspection Report on..... (May be used for documentation or use another method to capture required documentation)
2403	Inspection Report for Small Quantities (May be used for documentation or use another method to capture required documentation)
	Certification Form for Type of Fence used, see on right side of page, www.dot.state.mn.us/materials/lab.html

I. Grading and Base Construction Items 2005 and 2012 Spec Book (www.dot.state.mn.us/materials/gradingandbase.html)

Pay Item Number	Material	Spec. No.	Minimum Contractor Quality Control Testing Rate	Minimum Agency Verification (Acceptance) Testing Rate (See Notes 1 & 2)		Minimum Companion (Lab) Sample (See Note 2)		Form No. (See Note 4)
				Rate	Size	Rate	Size	
(a) 2118 (b) 2211 (c) 2221 (d) 2212	1. Gradation (a) Aggregate Surfacing (b) Aggregate Base (c) Aggregate Shoulders (d) Drainable Aggregate Base (OGAB & DSB)	3136, 3138, & Special Provisions	Production: 1/550 yd ³ (CV) Placement: 1/2,750 yd ³ (CV)	<ul style="list-style-type: none"> • <u>Random Sampling</u> $< 280 \text{ yd}^3 \text{ (CV)}$ No tests Required • $\geq 280 \text{ yd}^3 \text{ (CV)}$ to $< 1,100 \text{ yd}^3 \text{ (CV)}$ <ol style="list-style-type: none"> 1. Lot Size = Total Quantity 2. Divide lot into two equal sublots 3. Collect one random sample from each subplot 4. Average results to determine compliance • $\geq 1,100 \text{ yd}^3 \text{ (CV)}$ to $< 5,500 \text{ yd}^3 \text{ (CV)}$ <ol style="list-style-type: none"> 1. Lot Size = Total Quantity 2. Divide Lot into four equal sublots 3. Collect one random sample from each subplot. 4. Average results to determine compliance • $\geq 5,500 \text{ yd}^3 \text{ (CV)}$ <ol style="list-style-type: none"> 1. $\# \text{Lots} = \frac{\text{Total Bid Quantity}}{5,500}$ 2. Round # Lots up to next whole number 3. Lot Size = $\frac{\text{Total Bid Quantity}}{\# \text{Lots}}$ 4. Divide each Lot into four equal sublots. 5. Collect one random sample from each subplot. 6. Average results for each Lot to determine compliance. 		(a, b, & c) 1 per source (a, b, & c) 30 lb. (d) OGAB & DSB 2 per source 75 lb. send to G&B Unit.	60 lb	G&B-001 (02115-03) G&B-002 (02154-02) G&B-101 (02402) G&B-104 (24346-02)

I. Grading and Base Construction Items 2005 and 2012 Spec Book (www.dot.state.mn.us/materials/gradingandbase.html)

Pay Item Number	Material	Spec. No.	Minimum Contractor Quality Control Testing Rate	Minimum Agency Verification (Acceptance) Field Testing (see note 1)		Minimum Companion (Lab) Sample (See Note 2)		Form No. (See Note 4)
				Rate	Size	Rate	Size	
(e) 2105	1. Gradation(Continued) (e) Granular Borrow Select Granular Borrow Stabilizing Aggregate	3149 & Special Provisions	1/10,000 yd ³ (CV)	1/20,000 yd ³ (CV)		1 per source	30 lb.	G&B-001 (02115-03), G&B-101 (02402-03) G&B-104 (24346-02)
(f) 2215 Check the proposal; projects awarded in 2012 may reference 2331 for FDR	(f) Full Depth Reclamation (FDR)	3135 & Special Provisions	1/6,000 yd ² (See Note 12)	1/12,000 yd ²	60 lb			G&B-001 (02115-03) G&B-101 (02402-03)
(g) 2511	(g) Granular Filter	3601 & Special Provisions	1 per source before delivery on project	1 per source	300 lb	1 per source	150 lb	G&B-001 (02115-03) G&B-101 (02402-03) G&B-104 (24346-02)
(h) 2451 (i) 2451 (j) 2451 (k) 2451 (l) 2451 (m) 2502	(h) Granular Backfill (i) Aggregate Backfill (j) Granular Bedding (k) Aggregate Bedding (l) Coarse Filter Aggregate (m) Fine Filter Aggregate	3149 & Special Provisions	Two per source before delivery on project	1 per source	60 lb	1 per source	30 lb	G&B-001 (02115-03) G&B-101 (02402-03) G&B-104 (24346-02)

I. Grading and Base Construction Items 2005 and 2012 Spec Book (www.dot.state.mn.us/materials/gradingandbase.html)

Pay Item Number	Material	Spec. No.	Minimum Contractor Quality Control Testing Rate	Minimum Agency Verification (Acceptance) Field Testing (see note 1)		Minimum Companion (Lab) Sample (See Note 2)		Form No. (See Note 4)
				Rate	Size	Rate	Size	
(a) 2211 (b) 2221 (c) 2105	2. Proctor Test (a) Aggregate Base (b) Aggregate Shoulder	2211, 2221, & Special Provisions		(See Note 10) 2005 Spec Book: 1 per source 2012 Spec Book 1 per source				
	(c) Embankment Soil	2105	2005 Spec Book: 2012 Spec Book: 1 major soil type (See Note 6)	2005 & 2012 Specs Book : For Specified Density: 1/major soil type. 2012 Spec Book: For all other compaction requirements: One Contractor Companion/project	50 lb	One per project	25 lb.	G&B-303 (24587-01)
	3. Specified Density Test (Sand Cone or other) (a) Aggregate Base (b) Aggregate Shoulder	2211, 2221 & Special Provisions		(See Note 10) 1/1,000 yd ³ (CV)				G&B-001 (02115-03)
(c) 2105	(c) Embankment Soil (Excavation & Borrow)	2105 & Special Provisions		1/4,000 yd ³ (CV)				G&B-304 (02140-03)

I. Grading and Base Construction Items 2005 and 2012 Spec Book (www.dot.state.mn.us/materials/gradingandbase.html)

Pay Item Number	Material	Spec. No.	Minimum Contractor Quality Control Testing Rate	Minimum Agency Verification (Acceptance) Field Testing (See Note 1 & 2)		Minimum Companion (Lab) Sample (See Note 2)		Form No. (See Note 4)
				Rate	Size	Rate	Size	
(a) 2211 (b) 2221	4. Dynamic Cone Penetration (DCP) Index Method (a) Aggregate Base (b) Aggregate Shoulder	2211, 2221, & Special Provisions		1 DCP test/500 yd ³ (CV)				G&B-001 (02115-03)
				1 DCP test/3,000 yd ²				G&B-204 (02170-02)
				1 DCP test/2,000 yd ³ (CV)				G&B-001 (02115-03)
(d) 2105	(d) Granular Borrow Select Granular Borrow	2105, 3149, & Special Provisions						G&B-205
(a) 2211 (b) 2221	5. Moisture Content Test (a) Aggregate Base (b) Aggregate Shoulder (see Note 11)	2211, 2221, & Special Provisions	2005 Spec Book — 2012 Spec Book 1/1,000 yd ³	2005 spec book: 1/1,000 yd ³ or 10 tests whichever is less 2012 Spec Book: One Contractor Companion/project				G&B-001 (02115-03)
				2005 spec book: 1/6,000 yd ² 2012 Spec Book:				G&B-203 (02170-02)
				2005 spec book: 1/10,000 yd ³ 2012 Spec Book One Contractor Companion/project				G&B-001 (02115-03)
(c) 2215	(c) Full Depth Reclamation	2215 or Special Provisions	2005 Spec Book — 2012 Spec Book 1/6,000 yd ²					G&B-105 (21850-02)
(d) 2105	(d) Embankment Soil (see Note 10)	2105 & Special Provisions	2005 Spec Book — 2012 Specifications 1/10,000 yd ³					

I. Grading and Base Construction Items 2005 and 2012 Spec Book (www.dot.state.mn.us/materials/gradingandbase.html)

Pay Item Number	Material	Spec. No.	Minimum Contractor Quality Control Testing Rate	Minimum Agency Verification (Acceptance) Field Testing (See Note 1 & 2)		Minimum Lab Sample		Form No. (See Note 4)
				Rate	Size	Rate	Size	
2105 2118 2211 2212 2221	6. Percent Crushing	3136, 3138, 3149, & Special Provisions	1/Day					G&B-103 (02463)
2105 2118 2206 2211 2212 2221 2451 2502	7. Aggregate Quality (LAR, Insoluble Residue, Lithological Exam & Bitumen Content)		1/source (See Note 5)			2 per source	30 lb. (See Notes 3, 7, 8 & 9)	G&B-104 (24346-02) G&B-104 (24346-02)
2215	8. Depth Check	3135 or Special Provision	1/1000 feet	1/3000 feet				

I. Grading and Base Construction Items 2005 and 2012 Spec Book (www.dot.state.mn.us/materials/gradingandbase.html)

General Notes: Sampling and Testing Procedures are found in the Grading and Base Manual in Section 5-692.200. Obtain all gradation, quality and crushing samples after spreading and before compaction. When additional samples are obtained and tested beyond those required in the Schedule of Materials Control, incorporate the additional results to compute the average for compliance with the specifications.

Modify testing and sampling protocol for increases in Plan quantities as follows:

Time Plan Quantity Increased	Testing and Sampling
Before Collection of first sample.	Reorder sampling to account for additional quantity.
After Collection of first sample, but before sampling is complete.	Complete testing of current lot, and then reorder the sampling using the remaining quantity.
After collection of all original Plan quantity samples.	Order sampling for additional quantity.

I. Grading and Base Construction Items 2005 and 2012 Spec Book (www.dot.state.mn.us/materials/gradingandbase.html)**General Notes (cont)**

Note 1: Samples are not required for 280 yd³ (500 tons) or less. Report small quantities on form 02415 or 2403.

Note 2:

- a) Laboratory samples are not required for 440 yd³ (1,000 tons) or less.
- b) Include the laboratory companion with the first field sample.
- c) Include the field sample results with the laboratory sample.
- d) Laboratories with AMRL Accreditation are not required to submit laboratory companion samples.

Note 3: Carbonate aggregates require 50 lbs. samples for lab testing.

Note 4: Tests may be reported on Grading and Base forms or on MnDOT LIMs Reports. Forms are available on the Grading & Base website at: <http://www.dot.state.mn.us/materials/gradingandbase.html>

Note 5: The Contractor may use the Ignition Oven (Mn/DOT Lab. Manual Method 1853) to determine bitumen content.

Note 6: Major soil types are defined in the Triaxial Chart located in the Grading and Base Manual.

Note 7: The Lab Quality/Crushing sample is the Verification Test for quality requirements. Submit the initial random quality and crushing sample from the first day's production.

Note 8: The crushing test will not be required when the material is crushed from a quarry or contains greater than 25% recycled material.

Note 9: A second test is required, when the first test fails. Average all tests to determined compliance, when multiple tests are performed. Laboratory samples are not required for 440 yd³ (1,000 tons) or less.

Note 10: Required only for specified density.

Note 11: Required for Quality Compaction or DCP Method

Note 12: Provide gradation test results to the Engineer within the first 500 ft (150 m) of production and within 500 ft (150 m) after a failing gradation.

II. Bituminous Construction Items for Specification 2360 (Note #1)(All bituminous mixtures are from Certified Plants) (www.dot.state.mn.us/materialsbituminous.html)**DEFINITIONS**

SAMPLE TYPE	DESCRIPTION	SAMPLE LOCATION DETERMINED BY	SAMPLE TAKEN BY	SAMPLE TESTED BY
QC	Quality Control Testing performed by Contractor. Also known as Process Control Testing.	Contractor	Contractor	Contractor
QA	Quality Assurance Testing performed by the Agency. This test is performed on a companion sample to the Contractor's QC sample.	Contractor Contractor (mixture) Agency (density cores)	Contractor	Agency
Verification	A sample to assure compliance of the Contractor's Quality Control program. The results shall be included as part of the QA Testing Program.	Agency	Agency	Agency
Verification Companion	A companion sample to the Agency's Verification sample provided to the Contractor. The Contractor is <u>required</u> to test this sample. The results <u>shall be used</u> as part of the QC program.	Agency	Agency	Contractor
IAST	The <u>I</u> ndependent <u>A</u> ssurance <u>S</u> ampling and <u>T</u> esting assures testers are sampling and testing properly and that equipment is calibrated correctly.	Agency	Contractor or Agency	Contractor or Agency

A. Pre-Production Sampling and Testing for Specification 2360

SAMPLE SIZE: 80 lb. (35 kg) - plus #4 aggregate sample for quality testing and Percent Crushing
 35 lb. (15 kg) - minus #4 aggregate for quality testing
 80 lb. (35 kg) - RAP for Quality Testing
 10 lb. (5 kg) - RAS (Shingles) for Gradation and Quality Testing
 80 lb. (35 kg) - bituminous mixture plus 2 Gyratory specimens for volumetric testing
 80 lb. (35 kg) - bituminous mixture for TSR testing (option A)
 20 lb. (10 kg) - bituminous mixture for TSR testing plus 6 Gyratory specimens (option B)
 2 lb. (1 kg) - for mineral filler.

1. Bituminous Mix Design (QC/QA)QC Testing

REMARKS: Mix Design for Spec. 2360 is Contractor's responsibility with review by Mn/DOT.

QA Testing

For Gyratory Design, Option 1- Laboratory Mix Design: In addition to reviewing the Trial Mix data (JMF), test Contractor's two Gyratory specimens and uncompacted mixture (specimens and mixture submitted at optimum asphalt content). Also, evaluate TSR per 2360.2E5a(3).

For Gyratory Design Option 2, Modified Mix Design, review Trial Mix data only.

II. Bituminous Construction for Specification 2360 (Part A, cont.)**2. Aggregate Quality Testing (QA Only)**QA Testing

Contractor shall provide 24 hour notice of intent to sample aggregates for quality testing. Agency has the option to monitor sampling.

Contractor submits to the Bituminous Engineer or the District Materials Engineer one (1) sample of each non-asphaltic aggregate type or class per source per year. Contractor shall also submit the asphaltic aggregate material when the mixture contains RAP or RAS. Quality testing will be performed as directed by the Bituminous Engineer or the District Materials Engineer. When aggregate qualities approach specification limits or when material variation is observed, take additional field samples.

Contractor shall provide documentation that of all RAS /TOSS (Tear Off Shingle) material is from a MPCA certified supplier.

3. Mineral Filler (QA Only)QA Testing

One (1) per shipment of 45 metric tons (50 tons) or less, unless previously inspected.

4. Additives (QA Only)QA Testing

1 qt. (1 L) of blended asphalt binder and additive. Sample first shipment of each type of material, then submit one sample per 250,000 gal. (1,000 m³) (approximately 1,000 ton).

B. BITUMINOUS PRODUCTION for Specification 2360

SAMPLE SIZE: 35 lb. (15 kg) for Aggregate for Gradation (QC/QA)

75 lb. (35 kg) for each plus #4 Aggregate Type for Quality Testing

35 lb. (15 kg) for each minus #4 Aggregate Type for Quality Testing

70 lb. (35 kg) for each RAP material for Quality Testing

10 lb. (5 kg) RAS (Shingles) for Processed Gradation and Quality Testing

65 lb. (30 kg) for Mixture Properties (QC/QA) 3 full 6" by 12" cylinder molds for QA (Gyratory mixes)

90 lb. (40 kg) for TSR (QC/QA) 4 full 6" by 12" cylinder molds for QA

90 lb. (40 kg) for Aggregate Specific Gravity (QC/QA)

1 qt (1 L) for Asphalt Binder (QA)

½ gal (2 L) for Emulsified Asphalt (QA)

1. Plant Mix Aggregate Gradation Testing (QC/QA, Verification*)QC Testing

1 per 500 tons (450 metric tons) at start of production, for the first 2,000 tons (1,800 metric tons) of mixture produced, then

1 per 1,000 tons (900 metric tons) or portion thereof per mix blend as required by 2360. 2G6

Companion samples taken for agency.

REMARKS: See Note #2, Note #3, & Note #5.

QA Testing

Companions to QC samples set aside for 10 calendar days & tested as needed. The Agency representative observes QC testing.

2. Aggregate Percent Crushing (QC/QA, Verification*)QC Testing

Testing rates as required by 2360.2G6 CAA, 2360.2G6 FAA. Two tests per day (CAA, FAA) for first two days. If CAA results exceed the specification minimum by 8% of the requirement; sample daily, test minimum one per week. If FAA results exceed the specification minimum by 5% of the requirement; sample daily, test minimum one per week.

REMARKS: See Note #2, Note #3, & Note #4

QA Testing

Companions to QC samples set-aside for 10 calendar days and tested as needed. The Agency representative observes QC testing.

3. Aggregate Quality Testing (QA Only)QA Testing

When aggregate qualities approach specification limits or when material variation is observed, take additional field samples as requested by Project Engineer.

When material variation is observed in RAP or RAS take additional field samples as requested by Project Engineer.

II. Bituminous Construction for Specification 2360**B. Bituminous Production for Specification 2360 (cont.)****4. Asphalt Binder Content, % (QC/QA, Verification)**QC Testing

1 per 500 tons (450 metric tons) per mix blend for first 2,000 tons (1,800 metric tons) of mixture produced. Then 1 per 1000 tons (900 metric tons) or portion thereof per mix blend as required by 2360.2G6

REMARKS: See Note #5.

- | | |
|-------------------------------------|---------------------------------------|
| (a) Meter Method (Virgin only)..... | Mn/DOT Bituminous Manual |
| (b) Incinerator Oven..... | Mn/DOT Lab Manual Method 1853 |
| (c) Chemical Extraction..... | Mn/DOT Lab Manual Method 1851 or 1852 |
| (d) Spot Check (Virgin only)..... | Mn/DOT Bituminous Manual 5-693.848 |

REMARKS: The verification companion sample must use Method (b) or (c) only. When more than one Mn/DOT approved test procedure is available, the Contractor shall select one method at the beginning of the project (when material is submitted for Trial Mix Review) and use that method for the entire project. The Contractor and Engineer may agree to change test procedures during the construction of the Project.

REMARKS: See Note #2 & Note #3. If a member of a monitoring team observes the Contractor test, note and sign under remarks.

REMARKS: A computer file of the plant's control settings is required every 20 minutes for verifying the % add AC

QA Testing Companions to QC samples set aside for 10 calendar & tested as needed. The Agency representative observes QC testing as needed. The Agency will review the computer files of the plant's control settings.

5. Mixture Properties (QC/QA, Verification*)

Maximum Specific Gravity, Gyrotory Bulk Specific Gravity - 2 Specimen Average, air voids, Adjusted Asphalt Film Thickness (AFT), asphalt binder content, gradation, and AC/Total AC ratio.

REMARKS: See Note #7 Asphalt Film Thickness (AFT)

QC Testing

1 per 500 tons (450 metric tons) per mix blend, at the start of production, for first 2,000 tons (1,800 metric tons) of mixture produced. Determine planned tonnage for each mixture to be produced during the production day. Divide the planned production by 1,000; round up to the next higher whole number. This number will be the number of production tests required for that mixture. Verification Companion testing from Agency split sample is required to be performed and shall be used as a QC sample once per day.

REMARKS: See Note #2, Note #3, & Note #9.

QA Testing

Companion samples to QC samples set aside for 10 calendar days and tested as needed. The agency representative shall review QC operations on a daily basis. Review shall include but is not limited to monitoring QC summary sheets and comparing allowable tolerances for verification sample/verification companion sample test results. The Agency representative shall observe QC testing.

*Verification Testing

Verification Companion testing from Agency split sample is required to be performed and shall be used as a QC sample once per day. The verification companion shall also be tested for CAA and FAA at a rate of 1 test per week, if the CAA and FAA exceed the requirements by 8% and 5% respectively, otherwise test daily.

An Agency representative will take 1 verification sample per mixture blend per day for Mn/DOT laboratory testing. A verification companion sample will be given to contractor for QC testing.

II. Bituminous Construction for Specification 2360**B. Bituminous Production for Specification 2360 (cont.)****6. Core Density and Thickness**QC Testing

Production/lot testing rate requirements.

Daily Production		Lots
English Ton	(Metric Ton)	
300* – 600	(270* – 545)	1
601 – 1000	(546 – 910)	2
1001 – 1600	(911 – 1455)	3
1601 – 2600	(1456 – 2359)	4
2601 – 4600	(2360 – 4173)	5
4601+	(4174+)	#

Add 1 lot/every 900 tons over 4601 tons (4174 metric tons)

*When mix production is less than 300 tons (270 metric tons), establish 1st lot when accumulative tonnage exceeds tons 300 tons (270 metric tons).

Core locations determined and marked by Agency. Companion cores are required for each Contractor density core. The Contractor shall schedule the approximate time of testing during normal project work hours so that the Agency may observe and record the saturated surface dry and immersed weight of the cores.

REMARKS: Sawing of cores into separate lifts is required. Contractor is required to have a saw capable of separating the core lifts without damaging the material. See Note #8 for Longitudinal joint density cores.

QA Testing

Core locations determined and marked by Agency. Agency representative observes all Contractor coring, measuring, sawing and testing, and takes possession of Agency cores after sawing. Agency cores shall be transported and tested at the Laboratory (Agency field or District/Division) as soon as possible to prevent damage due to improper handling or exposure to heat. A completed coring log shall be submitted to the Laboratory (Agency field or District/Division).

Remarks: See Note #6, Note #8, and Note #9

7. Aggregate Specific Gravity (QC/QA)

QC Sampling: Sampled and tested by Contractor, if requested by District Materials Engineer.

QA Testing: Companion sample to QC sample shall be submitted to the District Materials Lab and tested as needed.

8. Tensile Strength Ratio (T.S.R.) (QC/QA)QC Sampling

Sample as directed by the Engineer. If the Engineer requires the samples to be tested, both the Contractor and the Department will be required to test these samples within 72 hours after they are sampled.

QA Testing

When QC sampling is required, the companion sample to QC sample shall be submitted to the District/Division Materials Lab and tested as needed.

II. Bituminous Construction Items for Specification 2360**B. Bituminous Production for Specification 2360 (cont.)**

9. BITUMINOUS MATERIALS					
Only Bituminous Materials from Certified Sources are allowed for use. The most current list of Certified Sources: http://www.dot.state.mn.us/products					
SAMPLE SIZE: 1 L (1 qt) for Asphalt Binder (QA)/Cutback Asphalt (QA)			2 L (½ gal) for Emulsified Asphalt (QA)		
Pay Item No.	Material	Spec. No.	Quality Control (QC)	Quality Assurance (QA)	Form No.
2360	Asphalt Binder	3151.2	QC testing is the responsibility of the bituminous material supplier. Random sampling is arranged by the Mn/DOT Chemical Laboratory.	State inspector observes contractor personnel taking sample. Sample first shipment of each grade of material at the start of a plant's production or after set-up of a portable plant. Thereafter, sample and submit one sample per 1,000,000 liters (250,000 gal). Sample asphalt binder in clean one L (1 qt) steel container.	2413 Asphalt Sample Identification Card
2201 2355 2356 2357 2514	Emulsified Asphalt	3151.2		Sample first shipment, then submit one sample per 200 m ³ ((50,000 gal.). Sample emulsified asphalt in clean two L (2 qt.) plastic container with wide screw top and send to Mn/DOT Chemical Lab within 7 days of sampling.	
2357 2358 2514	Cutback Asphalt	3151.2		Cutback Asphalt should only be used in cold temperature applications with the Engineer's approval. Contact Bituminous Engineering Unit for cold temperature application guidelines. Pressure fit 1 L (1 qt.) container for cutback asphalt.	
10. Moisture Content in Mixture (QC only)					
<u>QC Testing</u> Sampling and testing shall be conducted by the Contractor on a daily basis unless exempted by the Engineer and tested according to the procedures in the Laboratory Manual 1855. Moisture contents above 0.3% are not allowed.					

Note #1 Projects with bituminous tonnage less than or equal to 300 tons (272 metric tons) per day may be accepted on a small quantity basis at the discretion of the Engineer. Retain Form 02415 or Form 2403 in Project File.

II. Bituminous Construction for Specification 2360**B. Bituminous Production for Specification 2360 (cont.)**

Note #2 All QA test samples shall be from split samples.

If a member of the monitoring team observes the Contractor Test, note and sign under remarks.

The Project Engineer is responsible for:

- 1.) Reviewing control charts & Test summary sheets for accuracy and completeness,
- 2.) Checking sampling and testing procedures,
- 3.) Discussing QC problems with the Contractor,
- 4.) Obtaining Verification Samples,
- 5.) When additional testing is necessary, collect QA samples which have been acquired and retained by the Contractor and/or additional verification samples.

Note #3 For Mixture Quality Management, acceptance will be based on Contractor's test results as verified by Mn/DOT test results.

Note #4 Bituminous mixes composed entirely of Class A and/or Class B aggregates are not required to be tested for CAA (Coarse Aggregate Angularity).

Note #5 When the required sampling rate is one test per 500 tons, divide the bituminous mixture production planned for the day by 500, and round up to the next higher whole number; this will be the number of tests required for the day. When the required sampling rate is one test per 1000 tons, divide the bituminous mixture production planned for the day by 1000, and round up to the next higher whole number; this will be the number of tests required for the day. When the required sampling rate is one test per 2000 tons, divide the bituminous mixture production planned for the day by 2000, and round up to the next higher whole number; this will be the number of tests required for the day.

Note #6 The Department will select at least one of the two companion cores per lot to be tested for mat density. However, the Department may elect to test all companions to provide a direct verification of all individual and daily average test results. Agency representative observes all Contractor coring, sawing, measuring and testing, and takes possession of Mn/DOT cores after sawing. Agency cores shall be transported and tested at the Laboratory (Agency field or District/Division) as soon as possible to prevent damage due to improper handling or exposure to heat. A completed coring log shall be submitted to the Laboratory (Agency field or District/Division).

Note #7 Mn/DOT projects in the 2011 Construction season will require the calculated Adjusted Asphalt Film Thickness (AFT). VMA will still be calculated for informational purposes, but will not be used for acceptance criteria. The adjusted AFT shall be calculated each time a gradation test is required.

Note #8 When required, Longitudinal Joint (LJ) Density will be evaluated at random lots as determined by the engineer. Number of LJ lots for the day = number of lots calculated for mat density divided by .20 and rounding up to the next integer. Minimum of one LJ lot per day. For designated LJ lots the agency will test at least one of the mat density companion cores and at least one of the LJ companion cores.

Note #9 Random number generation and determination of random sample location shall be consistent with the Mn/DOT Bituminous Manual Section 5-693.7 Table A or Section 5 of ASTM D3665. The Engineer may approve alternate methods of random number generation.

III. Construction Items for Bituminous Specialty Items include the following:

- 2350 Permeable Asphalt Stabilized Stress Relief Course (PASSRC) and Permeable Asphalt Stabilized Base (PASB)
- 2354 Micro-Surfacing
- 2355 Bituminous Fog Seal
- 2356 Bituminous Seal Coat
- 2356 Otta Seal
- 2356 Ultra-Thin Bonded Wearing Course (UTBWC)
- 2357 Bituminous Tack Coat

DEFINITIONS				
Sample Type	Definitions <i>Definitions from 23 CFR 637.203</i>	Sample Location Determined By	Sample Taken By	Sample Tested By
QA Quality Assurance	All those planned and systematic actions necessary to provide confidence that a product or service will satisfy given requirements for quality			
QC Quality Control	All contractor/vendor operational techniques and activities that are performed or conducted to fulfill the contract requirements.	Contractor	Contractor	Contractor
Verification sampling and testing	Sampling and testing performed to validate the quality of the product.	Agency	Agency	Agency
IAST (<i>MnDOT Definition</i>)	The Independent Assurance Sampling and Testing assures testers are sampling and testing properly and that equipment is calibrated correctly.	Agency	Contractor or Agency	Contractor or Agency

III. Construction Items for Bituminous Specialty Items (Cont.)

Minimum Items for Bituminous Specialty Items (Cont.)							
Pay Item Number	Material	Material Spec. No.	Minimum Contractor Quality Control Testing Rate	Minimum Agency Verification (Acceptance) Testing		Minimum Lab Sample Testing	
				Rate	Size	Rate	Size
(a) 2350 (b) 2350	1. Mix Design (Pre-Production) (a) PASSRC (b) PASB	2350, 2360, 3139, 3151 & Special Provisions	Complete 1 design per mix	Contractor Submits Proposed JMF Blend & Agency Performs Mix Design	n/a	1/ JMF blend	80 lbs each coarse agg. 30 lbs each fine agg. 4 qt. asphalt binder
(c) 2354				Review Submitted Mix Design		1/ mix design (See Note 1)	150 lbs. aggregate
(d) 2356 (e) 2356						1/ JMF blend	
(a) 2350 (b) 2350	2. Gradation (a) PASSRC (b) PASB	2350, 2360 & Special Provisions	One per 1,000 ton with a minimum of one per day	1/day	Belt: 35 lbs.	—	—
(c) 2354				Stockpile & Machine Hopper: 1/day		—	—
(d) 2356 (e) 2356				Stockpile: 1/1,500 tons (min. 1/day) Machine Hopper: 1/500 tons (min. 1/day)		Hopper: 60 lbs	—
(a) 2350 (b) 2350	3. Production % Crushing (CAA) (a) PASSRC (b) PASB	2356 & Special Provisions	One per 1,000 with a minimum one per day	1/day	Belt: 35 lbs (Note 2)	—	—
				1/day		—	—
(a) 2354	4. Moisture (In Aggregate) (a) Micro-Surfacing	2354 & Special Provisions	Machine Hopper: 1/500 tons (min. 3/day)	1/day	2 lbs.	—	—
(a) 2354	5. Sand Equivalence (a) Micro-Surfacing	2354 & Special Provisions	Stockpile or Machine Hopper: 1/500 tons (min. 1/day)	—	—	1/day (See Note 1)	25 lbs.

III. Construction Items for Bituminous Specialty Items (Cont.)

Pay Item Number	Material	Spec. No.	Minimum Contractor Quality Control Testing Rate	Minimum Agency Verification (Acceptance) Testing		Minimum (Lab) Sample Testing	
				Rate	Size	Rate	Size
(a) 2356	6. Bituminous Mixture Tests (a) UTBWC	2356, 3151 & Special Provisions	Tests: % AC, Gradation, Max Gravity, Adjusted AFT Rate: (1/300 tons, min. 1 per day)	1 per day	20 lbs (1 cylinder)	1/300 tons, minimum 1 per day	Truck: 55 lbs
(b) 2350	(b) PASSRC, PASB	3151 & Special Provisions	Test: Asphalt spot check Rate: minimum one per day	—	—	First load, then 1/250,000 gal.	1 qt.
(a) 2355	7. Asphalt Binder Tests (a) Bituminous Fog Seal	3151	Test: Dilution Rate Rate: one per project	—	—	First load, then 1/50,000 gal.	½ gal.*
(b) 2356	(b) UTBWC	2356, 3151 & Special Provisions	—	—	—	Asphalt Binder: First load, then 1/250,000 gal. Emulsified Asphalt: First load, then 1/50,000 gal.	Asphalt Binder: 1 qt. Emulsified Asphalt ½ gal.*
(c) 2354 (d) 2356 (e) 2356 (f) 2357	(c) Micro-Surfacing (d) Bituminous Seal Coat (e) Otta Seal (f) Bituminous Tack Coat	2354, 2356, 3151 & Special Provisions	—	—	—	First load, then 1 / 50,000 gal.	½ gal.*
(a) 2354	8. Asphalt Binder Application Rate (a) Micro-Surfacing	2354 & Special Provisions	Verify Application rate 3/day	Verify Application rate 1/day	—	—	—
(b) 2355 (c) 2356 (d) 2356 (e) 2357	(b) Fog Seal (c) Bituminous Seal Coat (d) Otta Seal (e) Bituminous Tack Coat	2355, 2356, 2357 & Special Provisions	Verify Application rate 1/day	Verify Application rate 1/day	—	—	—

*Use plastic containers for Emulsified Asphalt Samples

Note 1: Contractor submits samples to Agency and Agency will retain and test at the discretion of the Engineer

Note 2: Run test on gradation sample

IV. Concrete Construction Items (www.dot.state.mn.us/materials/concrete.html)

The testing rates shown in this Schedule of Materials Control are minimums. All samples shall be taken in a random manner using an appropriate number generator. Take as many tests as necessary to ensure quality concrete. **All field samples shall be taken at the point of placement unless otherwise allowed by the Engineer.**

It is recommended that the Agency Plant Monitor be present during critical pours, such as superstructure or paving concrete (i.e. 3Y33, 3Y36, 3Y46, 3A21).

If any field test fails, reject the concrete or if the Producer makes adjustments to the load to meet requirements, record the adjustments on the Certificate of Compliance and the Weekly Concrete Report. Retest the load and record the adjusted test results. Make sure the next load is tested before it gets into the work.

If batching adjustments are made at the plant, test the adjusted load, before it gets into the work. Continue to test the concrete when test results are inconsistent or marginal.

The first load of concrete for any pour must have passing air content and slump results, prior to placing.

Material not meeting requirements shall not knowingly be placed in the work. If failing concrete inadvertently gets placed in the work, review either the Mn/DOT Standard Specifications for Construction or contact the Concrete Engineering Unit for monetary deductions recommendations.

It is recommended that the Agency representative continually monitor the progress of all concrete pours in the field and review Certificates of Compliances. It is not a recommended practice to only perform minimum testing requirements and leave the pour.

Should circumstances arise on a project which makes the testing rate impractical, contact the Concrete Engineering Unit.

DEFINITIONS				
	Description	Sample Location Determined By	Sample Taken By	Sample Tested By
QC	Quality Control Testing performed by Contractor. Also known as Process Control Testing.	Contractor	Contractor	Contractor
QA	Quality Assurance Testing performed by the Agency. This test is performed on a companion sample to the Contractor's QC sample.	Contractor	Contractor	Agency
Verification	A sample to assure compliance of the Contractor's Quality Control program. The results shall be included as part of the QA Testing Program.	Agency	Agency	Agency
Verification Companion	A companion sample to the Agency's Verification sample provided to the Contractor. The Contractor <u>is required</u> to test this sample. The results shall be used as part of the QC program.	Agency	Agency	Contractor
IAST	The <u>I</u> ndependent <u>A</u> ssurance <u>S</u> ampling and <u>T</u> esting assures testers are sampling and testing properly and that equipment is calibrated correctly.	Agency	Contractor or Agency	Contractor or Agency

Concrete Plant Batching Materials**Remarks:**

- (1) All materials must come from certified or qualified sources. All certified sources must state so on the delivery invoice.
 (2) The most current list of certified/approved sources can be found at www.dot.state.mn.us/products.

Sample Sizes:**Cementitious:** 2 kg (5 lb)**Admixture:** 0.25 L (1/2 pt) Producer obtains samples from dispensing tubes. Store samples in plastic container.**Water:** 3.5 L (1 gal) Store sample in a clean glass or plastic container.

Pay Item No.	Material	Spec. No.	Minimum Required Sampling Rate for Laboratory Testing	Form No.
2301	Portland Cement	3101	1 sample per project or 1 every 3 months, whichever is less.	24300 ID Card Cement Samples
2302	Slag	3102	The Producer obtains and stores the sample in a sealed container provided by the Agency, and includes the supplier's delivery invoice from which the sample is obtained.	
2401	Blended Cement	3103	Take additional samples as Concrete Engineer directs.	
2405	Fly Ash	3115		
2411	Admixtures (Accelerating, Retarding, Water-Reducing, Air-Entraining, etc.)	3113	For Concrete Paving: 1 sample of each shipment For Other Concrete: 1 sample per project or 1 every 3 months, whichever is less.	24308 ID Card Fly Ash Samples
2412			The Producer obtains and stores the sample in a sealed container provided by the Agency.	
2422				
2452				
2461				
2506	Water			2410 Sample ID Card
2511				
2514				
2519				
2521		3906	1 sample from any questionable source	2410 Sample ID Card
2531				
2533				
2545				
2550				2410 Sample ID Card
2554				
2557				
2564				
2565				2410 Sample ID Card
2301	Alkali Silica Reactivity (ASR) Testing	2301	1 per paving project per sand source Write "Project Specific ASR Testing" on 2410 Sample ID card for the first sand quality and cementitious samples submitted.	

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)**Certified Ready-Mix - Concrete Plant Production****Remarks:**

- (1) Mix design is provided by Mn/DOT unless otherwise specified in the Contract.
- (2) All gradation and quality tests require companion samples. Samples taken at location identified on Contact Report located at plant.
- (3) Perform Quality testing as directed by the Concrete Engineer.

Minimum Sample Sizes:**Gradation Test:**

+19 mm (3/4" Plus) 12 kg (25 lb.)
 -19 mm (3/4" Minus) 5 kg (10 lb.)
 CA-70, CA-80 2.5 kg (6 lb.)
 Sand 500 g (1.1 lb.)

Moisture Test:

Coarse Aggregate 2000 g
 Fine Aggregate 500 g

Quality Sample Size for Lab Submittal:

+19 mm (3/4" Plus) 24 kg (50 lb.)
 -19 mm (3/4" Minus) 15 kg (30 lb.)
 Fine Aggregate 15 kg (30 lb.)

Pay Item No.	Test Type	Spec. No.	Producer/Contractor Testing	Agency Testing	Form No.
2302	Gradation Testing (QC/QA) (5-694.145 and 5-694.148)	2461	When over 20 m ³ (yd ³) of Agency concrete produced per day: Coarse: 1 per 100 m ³ (yd ³) Fine: 1 per 200 m ³ (yd ³) Passing aggregate gradations are required prior to the start of concrete production each day. Performing testing on representative material at the end of the most recent day of production is allowed. Washing the fine aggregate gradation (QC) sample is not required when the result on the -75µm (#200) sieve of the unwashed sample is less than 1.0%, Hold QA (QC companion) samples until they are picked up by the Agency monitor. Discard after 14 calendar days if not picked up. For Contractor Mix Designs utilizing an approved JMF: 1 per 400 m ³ (yd ³) or completed every 4 hours, whichever results in the higher sampling rate.	None	21763 Concrete Aggregate Worksheet (QC/QA) 2449 Weekly Concrete Aggregate Report
2401		3126			
2405		3137			
2411					
2412					
2422					
2452					
2461					
2506					
2511					
2514					
2519					
2521					
2531					
2533					
2545					
2550					
2554					
2557					
2564					
2565					

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)

Certified Ready-Mix - Concrete Plant Production (cont.)					
Pay Item No.	Test Type	Spec. No.	Producer/Contractor Testing	Agency Testing	Form No.
2302 2401 2405 2411 2412 2422 2452 2461 2506 2511 2514 2519 2521 2531 2533 2545 2550 2554 2557 2564 2565	Gradation Testing (Verification/ Verification Companion) (5-694.145 and 5-694.148)	2461 3126 3137	Test the Verification Companion sample. Complete on the day the sample was taken. Wash all fine aggregate Verification Companion samples.	Coarse and Fine: 1 Verification sample per week when Agency production is 1 or 2 days per week. 2 Verification samples per week when Agency production is 3 or more days per week. When $\leq 20 \text{ m}^3$ (yd ³) of Agency concrete is produced <u>per week</u> , Verification samples are not required. Identify verification samples with a "V" on the Sample ID Card and the verification companion sample. Include verification companion results. 1 test each fraction per month Identify quality samples with a "Q" on the Sample ID Card and the Quality companion sample.	2449 Weekly Concrete Aggregate Report 24143 Weekly Certified Ready-Mix Plant Report (Verification)
	Quality Testing including Coarse Aggregate Testing on -75 μm (#200) (5-694.146)	3126 3137	Test at Contractor's Discretion		2410 Sample ID Card
	Aggregate Moisture Testing (QC) (5-694.142)	2461	When over 20 m^3 (yd³) of Agency concrete produced per day: Coarse and Fine: 1 per 200 m^3 (yd ³) or completed every 4 hours, whichever results in the higher sampling rate. - Complete the initial moisture content and adjust the batch water prior to the start of concrete production each day. - If weather conditions allow, performing moisture testing on representative material at the end of production the prior evening is allowed. In this event, the four-hour rate will commence with the first pour of the day, regardless if it is placed in Agency or private work.	None	2152 Concrete Batching Report

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)**Concrete Pavement - Concrete Plant Production****Remarks:**

- (1) Mix Design is Contractor's responsibility with review by Mn/DOT unless otherwise specified in the Contract.
- (2) When w/c incentives apply according to 2301:
- Contractor QC Technician and Agency Plant Monitor are required to be present during the entire pour. **If w/c incentives do not apply, the Agency Plant Monitor shall monitor as necessary to ensure compliance with the requirements of the Contract.**
 - A certified ready-mix plant shall be **dedicated (provides concrete only to the concrete paving project)**.
- (3) All gradation samples shall be taken in the presence of the Agency, unless otherwise authorized by the Engineer. All samples shall be taken off the belt leading to the weigh hopper unless otherwise approved by the Engineer. All gradation and quality tests require companion samples.
- (4) Perform Quality testing as directed by the Concrete Engineer.

Minimum Sample Sizes:**Gradation Test:**

+19 mm (3/4" Plus) 12 kg (25 lb.)
 -19 mm (3/4" Minus) 5 kg (10 lb.)
 CA-70, CA-80 2.5 kg (6 lb.)
 Sand 500 g (1.1 lb.)

Moisture Test:

Coarse Aggregate 2000 g
 Fine Aggregate 500 g
 Fine Aggregate 15 kg (30 lb.)

Quality Sample Size for Lab Submittal:

+19 mm (3/4" Plus) 24 kg (50 lb.)
 -19 mm (3/4" Minus) 15 kg (30 lb.)
 Fine Aggregate 15 kg (30 lb.)

75um (#200) Coarse Aggregate Sample Size

+19 mm (3/4" Plus) 5000 g (10 lb.)
 -19 mm (3/4" Minus) 2500 g (6 lb.)

Pay Item No.	Test Type	Spec. No.	Producer/Contractor Testing		Agency Testing	Form No.
2301	Gradation Testing (QC/QA) (5-694.145 and 5-694.148)	3126 3137	<u>For a concrete paving batch plant:</u>	<u>For a certified ready-mix plant:</u>	Test the first 4 QA samples of production each time the Contractor mobilizes the plant or changes aggregate sources.	21764 Concrete Aggregate Worksheet JMF
			<u>When over 200 m³ (250 yd³) is produced per day:</u> 1 per 1200 m ³ (1500 yd ³) or completed 1 per ½ day, whichever results in the higher sampling rate.	<u>When over 20 m³ (yd³) is produced per day:</u> 1 per 400 m ³ (yd ³) or completed every 4 hours, whichever results in the higher sampling rate.		
			Performing testing on representative material at the end of the most recent day of production is allowed. If well-graded aggregate incentives apply: Use the Contractor's gradation results for well-graded aggregate incentive calculations as verified by Agency testing			Identify the gradation samples with "QA Gradation" on the Sample ID Card and include the JMF Number and the QC Gradation results. If Coarse Aggregate Quality Incentive/Disincentives apply: The Agency may also use the QA gradation sample for the Coarse Aggregate Quality incentive/disincentive testing. In this case, notify the Producer/Contractor to double the QC/QA gradation sample size.

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)

Concrete Pavement - Concrete Plant Production					
Pay Item No.	Test Type	Spec. No.	Producer/Contractor Testing	Agency Testing	Form No.
2301	Coarse Aggregate Testing on -75 μm (#200) (QC/QA) (5-694.146)	3137	Test the first sample and then at least 1 of the next 3 samples on the first day of production and each time the Contractor mobilizes the plant, changes aggregate sources, or the cleanliness of the coarse aggregate is in question. 1 test per day thereafter Test these samples at the plant.	1 randomly selected sample on the first day of production and each time the Contractor mobilizes the plant, changes aggregate sources, or the cleanliness of the coarse aggregate is in question. Test these samples at the plant.	21764 Concrete Aggregate Worksheet JMF
				<u>For a concrete paving batch plant:</u> 1 test per week thereafter <u>For a certified ready-mix plant:</u> 1 per 1000 m ³ (yd ³) or 1 per week, whichever results in the higher sampling rate on randomly selected samples thereafter.	
	Aggregate Moisture Testing (QC/Verification) (5-694.142)		<u>For a concrete paving batch plant:</u> If w/c incentives do not apply: 1 per 750 m ³ (1000 yd ³) or completed every 4 hours, whichever results in the higher sampling rate. <u>For a certified ready-mix plant:</u> If w/c incentives do not apply: 1 per 750 m ³ (1000 yd ³) or 1 per 200 m ³ (yd ³) or completed every 4 hours, whichever results in the higher sampling rate.	<u>For a concrete paving batch plant:</u> If w/c incentives apply: 1 per 750 m ³ (1000 yd ³) or completed every 4 hours, whichever results in the higher sampling rate. Take initial samples for aggregate moisture testing within the first 175 m ³ (250 yd ³). <u>For a certified ready-mix plant:</u> If w/c incentives apply: 1 per 200 m ³ (yd ³) or completed every 4 hours, whichever results in the higher sampling rate. Take initial samples for aggregate moisture testing within the first 100 m ³ (yd ³).	Concrete W/C Ratio Calculation Worksheet
			Complete the initial moisture content and adjust the batch water prior to the start of concrete production each day. If weather conditions allow, performing moisture testing on representative material at the end of production the prior evening is allowed.	<u>If w/c incentives apply:</u> Use aggregate moisture results for determining the water content to calculate the w/c ratio incentive/disincentive. Do not leave samples unattended.	

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)

Concrete Pavement - Concrete Plant Production				
Pay Item No.	Test Type	Spec. No.	Producer/Contractor Testing	Agency Testing
2301	Water Content Verification Testing (Microwave Oven Verification) (5-694.532)	2301	Obtain the plastic concrete sample at the plant.	<p>If w/c incentives apply: Microwave oven verification testing to verify the w/c ratio is completed in conjunction with Agency aggregate moisture testing.</p> <p>Do not leave samples unattended.</p> <p>For a concrete paving batch plant: Take initial sample for microwave oven verification testing within the first 175 m³ (250 yd³). At least one additional verification test should be taken if more than 750 m³ (1000 yd³) is produced in a day.</p> <p>For a certified ready-mix plant: Take initial sample for microwave oven verification testing within the first 100 m³ (yd³). At least one additional verification test should be taken if more than 400 m³ (yd³) is produced in a day.</p>
	Unit Weight (QC) (5-694.542)		Test one load of concrete per day at the plant.	None
	Air Content (QC) (5-694.541)	2461	Test the first load of concrete at the plant.	None
				Concrete W/C Ratio Calculation Worksheet

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)

Concrete Pavement - Concrete Plant Production																		
Pay Item No.	Test Type	Spec. No.	Producer/Contractor Testing	Agency Testing														
2301	Quality Testing including Coarse Aggregate Testing on -75 μm (#200)	3126 3137	<p>Prior to concrete production: Test the Agency's pre-production sample at the Contractor's discretion</p> <p>During concrete production: Test the -75μm (#200) on the Quality companion sample the day it was sampled.</p> <p>All other testing is at the Contractor's discretion</p>	<p>Prior to concrete production: Obtain pre-production samples for quality testing at least 16 hours prior to concrete production. Samples may be taken from the stockpile and the -75μm (#200) test may be performed at the lab instead of at the plant at the discretion of the Engineer.</p> <p>During concrete production: 1 randomly selected test each fraction every 17,500 m³ (20,000 yd³) of production.</p> <p>Split the Quality sample 4 ways:</p> <ul style="list-style-type: none">1) Provide 2 quarters of the sample to the Producer/Contractor.2) Test the -75μm (#200) on the quality sample at the <u>plant</u> the day it was sampled.3) Submit the remaining sample to the lab for quality testing including testing on the -75μm (#200) sieve. <p>Identify quality samples with a "Q" and record the QC and QA -75μm (#200) test results on the Sample ID Card.</p> <p>Identify the Quality Companion samples with a "Q" ..</p>														
2301	Coarse Aggregate Quality Testing for Incentive/Disincentive	3137	Test at Contractor's discretion	<p>If coarse aggregate quality incentives apply: Test the Class B aggregates for % absorption and Class C aggregates for % carbonate including any other tests necessary to make those determinations.</p> <p>Sample the 2 largest fractions in accordance with the following table and 2301:</p> <table><tr><th colspan="2">Coarse Aggregate Quality Incentive/Disincentive Sampling Rates</th></tr><tr><th>Plan Concrete m³ [cubic yards]</th><th>Samples per fraction (n)</th></tr><tr><td>2,900 – 6,250 [3,500 – 7,500]</td><td>3</td></tr><tr><td>6,251 – 8,500 [7,501 – 10,000]</td><td>5</td></tr><tr><td>8,501 – 21,000 [10,001 – 25,000]</td><td>10</td></tr><tr><td>21,001 – 42,000 [25,001 – 50,000]</td><td>15</td></tr><tr><td>42,001+ [50,001+]</td><td>20</td></tr></table> <p>Identify incentive samples on the Sample ID Card with "I/D"</p>	Coarse Aggregate Quality Incentive/Disincentive Sampling Rates		Plan Concrete m ³ [cubic yards]	Samples per fraction (n)	2,900 – 6,250 [3,500 – 7,500]	3	6,251 – 8,500 [7,501 – 10,000]	5	8,501 – 21,000 [10,001 – 25,000]	10	21,001 – 42,000 [25,001 – 50,000]	15	42,001+ [50,001+]	20
Coarse Aggregate Quality Incentive/Disincentive Sampling Rates																		
Plan Concrete m ³ [cubic yards]	Samples per fraction (n)																	
2,900 – 6,250 [3,500 – 7,500]	3																	
6,251 – 8,500 [7,501 – 10,000]	5																	
8,501 – 21,000 [10,001 – 25,000]	10																	
21,001 – 42,000 [25,001 – 50,000]	15																	
42,001+ [50,001+]	20																	
				<p>2410 Sample ID Card</p> <p>Coarse Aggregate Quality Incentive/Disincentive Worksheet</p>														

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)**Concrete Field Materials (Refer to Metallic Materials and Metal Products for sampling requirements for concrete reinforcement.)****Sample Sizes:****Joint Materials:**

Hot Poured Elastomeric: 2.26 kg (5 lb) Take samples from application wand, store in steel container.
 Silicone Joint Sealer: 0.5 liter (1 pt) Store sample in steel container.

Preformed Elastomeric: 2 m (6 ft)
 Preformed: 0.25 m² (2 ft²)

Curing Materials:

Burlap: 1 m² (yd²)
 Paper and Plastic: 0.25 m² (2 ft²)
 Membrane Compound 1 liter (1 qt)

If sampling is required, materials must be thoroughly stirred or agitated immediately prior to taking sample. Store sample in steel container and cover immediately.

Pay Item No.	Material	Spec. No.	Minimum Required Field Sampling Rate	Form No.
2301 2302 2401 2411 2514 2521 2531	Preformed	3702	Visual Inspection	2410 Sample ID Card
2301 2302	Preformed Elastomeric Type	3721	1 per lot	
2401	Silicone Joint Sealer	3722	Only joint materials from qualified sources are allowed. The most current lists can be found at www.dot.state.mn.us/products	
	Hot Poured Elastomeric Type	3723 3725		
2301 2302	Burlap	3751	Visual Inspection	
2401 2411	Paper	3752	Visual Inspection - Must be white opaque	
2514 2520 2521 2531	Membrane Curing Compound	3754 3754AMS 3755	Visual Inspection – Use only Pre-Approved Curing Compounds. Refer to the approved products list of curing compounds for pre-approved lots at http://www.mnrapps.dot.state.mn.us/CuringCompoundProducts/curingcompounds.aspx	
2533	Plastic	3756	Visual Inspection -Must be white opaque and free from holes.	
			A Certificate of Compliance shall be submitted to the Project Engineer from the Manufacturer certifying that the plastic complies with AASHTO M171.	

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)

Concrete Field Testing – Bridges and General Concrete

Pay Item No.	Test Type	Spec. No.	Agency Testing	Form No.
2401	Air Content (Verification) (5-694.541)	2461	1 per 100 m ³ (yd ³) Test first load each day per mix Test when adjustments are made to the mix.	2448 Weekly Concrete Report
2405				
2411				
2412				
2422	Slump (Verification) (5-694.531)	2461	1 per 100 m ³ (yd ³) Test first load each day per mix Test as necessary to verify passing slump No slump testing required for slipform placement	If concrete quantities on the entire project total < 100 m ³ (yd ³), document the test results Weekly Concrete Report or on Form 02415 or Form 2403 Inspection Report for Small Quantities.
2452				
2461				
2506				
2511	Concrete Temperature (Verification) (5-694.550)	2461	Record temperature each time air content, slump, or strength test specimen is performed/fabricated.	2409 ID Card Concrete Test Cylinder
2514				
2520				
2521				
2531	Compressive Strength (Verification) (5-694.511)	2461	1 cylinder (28-day) per 100 m ³ (yd ³) 1 cylinder (28-day) per day for sidewalk and curb and gutter Cast up to three (3) control cylinders. Any additional control cylinders are the responsibility of the Contractor. Mn/DOT standard cylinder mold size is 100 x 200 mm (4 x 8 inch). If aggregate has a maximum size greater than 31.5 mm (1-1/4 inch), use 150 x 300 mm (6 x 12 inch) molds.	
2533				
2545				
2550				
2554				
2557				
2564				
2565				

Concrete Field Testing – Cellular Concrete

Pay Item No.	Test Type	Spec. No.	Agency Testing	Form No.
2519	Compressive Strength (Verification) (5-694.511)	2461 2519	1 set of 4 cylinders (28-day) per day 100 x 200 mm (4 x 8 inch) cylinders shall be filled in two equal lifts, do not rod the concrete, lightly tap the sides, cover and move to area with minimal or no vibration. Do not disturb for 24 hours.	2409 ID Card Concrete Test Cylinder

Concrete Field Testing – Concrete Pavement					
Pay Item No.	Test Type	Spec. No.	Contractor Testing	Agency Testing	Form No.
2301	Air Content Before Consolidation (QC/QA) (5-694.541)	2461	1 per 300 m ³ (300 yd ³) or 1 per hour, whichever is less Test first load each day per mix	1 correlation air test per day	2448 Weekly Concrete Report
	Air Content After Consolidation (QC/QA) (5-694.541)	2461	Test 1 air content per ½ day of slip form paving to establish an air loss correction factor (ACF). See Special Provisions for additional information.	1 air test per day	
	Slump (QC/QA) (5-694.531)	2461	For fixed form placement: 1 per 300 m ³ (300 yd ³) and as directed by the Engineer Test first load each day per mix For slipform placement: No slump testing is required	For fixed form placement: 1 slump test per day For slipform placement: No slump testing is required	
	Concrete Temperature (QC/QA) (5-694.550)	2461	Record temperature each time air content, slump or strength test specimen is performed/fabricated by the Contractor.	Record temperature each time air content, slump or strength test specimen is performed/fabricated by the Agency.	
	Flexural Strength (QC) (5-694.521)	2301	1 beam (28-day) per day - Make additional control beams as necessary. - Control beams shall be made <u>within the last hour</u> of concrete poured each day. Fabricate beams, deliver beams to curing site, and clean beam boxes. Cylinders may be substituted for beams at the discretion of the Engineer	Supply beam boxes, cure, and test beams. MnDOT standard beam box size is 6" x 6" x 20" unless other sizes or types are approved by the Concrete Engineer.	
	Concrete Pavement Texture (QC)	2301	1 per 1000 linear feet per lane of concrete pavement at locations determined by the Agency. All adjoining lanes shall be tested at the same location if paved at the same time. The Contractor supplies all materials necessary to perform the required testing.	Determine texture testing locations using random numbers.	
	Thickness (QC/Verification)	2301	The Contractor drills concrete cores at locations determined by the Agency. The Contractor probes the plastic concrete at locations determined by the Agency.	Determine probing and coring locations using random numbers. Initial pavement at core locations and re-initial the sides of specimens after coring to clearly verify their authenticity.	
					24327 Field Core Report Probing and Coring Report

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)

Concrete Field Testing – Concrete Pavement				
Pay Item No.	Test Type	Spec. No.	Contractor Testing	Agency Testing
2301	Surface Smoothness	2301	Contractor provides Mn/DOT certified inertial profiler results for the entire project as required by the Contract.	None
				Concrete Profile Summary Worksheet

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)

Concrete Field Testing - Low Slump Concrete for Bridge Deck Overlays**Remarks:**

- (1) Mix design is provided by Mn/DOT on the back of the Form 21412 Weekly Report of "Low Slump Concrete" unless otherwise specified in the Contract.
- (2) All field gradation samples shall be taken by the Agency. All gradation and quality tests require companion samples.
- (3) Perform Quality testing as directed by the Concrete Engineer.

Minimum Sample Sizes:**Gradation Test:**

CA-70 2.5 kg (6 lb.)
 Sand 500 g (1.1 lb)

Quality Sample Size for Lab Submittal:

Coarse Aggregate 24 kg (50 lb.)
 Fine Aggregate 15 kg (30 lb.)

Pay Item No.	Test Type	Spec. No.	Contractor Testing	Agency Testing	Form No.
2404	Gradation and Quality Testing including Coarse Aggregate Testing on -75µm (#200) (QC/Verification) (5-694.145, 5-694.146) and 5-694.148))	3126 3137	Prior to concrete production, the Contractor shall provide the Agency with: <ul style="list-style-type: none"> • Aggregate pit numbers • 1 passing gradation result per fraction per source No quality test results are required. Test companion samples at Contractor's discretion.	1 per fraction prior to concrete production and each time aggregate is delivered to the site. Identify quality samples with a "Q" on the Sample ID Card and the Quality companion sample.	2410 Sample ID Card 21412 Weekly Report of "Low Slump Concrete"
	Air Content (Verification) (5-694.541)	2461	None	1 per 15 m ³ (yd ³) Test at beginning of pour each day	
	Slump (Verification) (5-694.531)	2461	None	1 per 15 m ³ (yd ³) Test at beginning of pour each day For concrete from a concrete-mobile, allow mix to hydrate 4 to 5 minutes before slump test to assure all cement is saturated.	
	Compressive Strength (Verification) (5-694.511)	2461	None	1 cylinder (28-day) per 30 m ³ (yd ³)	2409 ID Card Concrete Test Cylinder

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)**Concrete Field Testing – Concrete Pavement Repair (CPR)****Remarks:**

- (1) Mix design is provided by Mn/DOT unless otherwise specified in the Contract.
- (2) Testing rates apply to concrete that is produced on site. (Not from a certified ready-mix plant.)
- (3) All field gradation samples shall be taken by the Agency. All gradation and quality tests require companion samples.
- (4) Perform Quality testing as directed by the Concrete Engineer.

Minimum Sample Sizes:**Gradation Test:**

-19 mm (3/4" Minus) 5 kg (10 lb.)
 CA-70, CA-80 2.5 kg (6 lb.)
 Sand 500 g (1.1 lb.)

Quality Sample Size for Lab Submittal:

Coarse Aggregate 24 kg (50 lb.)
 Fine Aggregate 15 kg (30 lb.)

Pay Item No.	Test Type	Spec. No.	Contractor Testing	Agency Testing	Form No.
2302	Gradation and Quality Testing including Coarse Aggregate Testing on -75µm (#200) (QC/Verification) (5-694.145, 5-694.146) and 5-694.148)	3126 3137	Prior to concrete production, the Contractor shall provide the Agency with: <ul style="list-style-type: none"> Aggregate pit numbers 1 passing gradation result per fraction per source. No quality test results are required. Test companion samples at Contractor's discretion.	1 per fraction prior to concrete production and each time aggregate is delivered to the site. Identify quality samples with a "Q" on the Sample ID Card and the Quality companion sample.	2410 Sample ID Card
	Air Content (Verification) (5-694.541)	2461	None	1 per 15 m ³ (yd ³) Test at beginning of pour each day.	2448 Weekly Concrete Report
	Slump (Verification) (5-694.531)	2461	None	1 per 15 m ³ (yd ³) Test at beginning of pour each day. Allow mix to hydrate 5 minutes before slump test to assure all cement is saturated.	
	Compressive Strength (Verification) (5-694.511)	2461	None	1 cylinder (28-day) per 30 m ³ (yd ³)	2409 ID Card Concrete Test Cylinder

IV. Concrete Construction Items (cont.) (www.dot.state.mn.us/materials/concrete.html)

Concrete Field Testing –Dowel Bar Retrofit (DBR)**Remarks:**

- (1) Mix Design is Contractor's responsibility with review by Mn/DOT unless otherwise specified in the Contract.
- (2) Testing rates apply to concrete that is produced on site. (Not from a certified ready-mix plant.)
- (3) All field gradation samples shall be taken by the Agency. All gradation and quality tests require companion samples.
- (4) Perform Quality testing as directed by the Concrete Engineer.

Minimum Sample Sizes:**Gradation Test:**

CA-80 2.5 kg (6 lb.)
Sand 500 g (1.1 lb)

Quality Sample Size for Lab Submittal:

Coarse Aggregate 24 kg (50 lb.)
Fine Aggregate 15 kg (30 lb.)

Pay Item No.	Test Type	Spec. No.	Contractor Testing	Agency Testing	Form No.
2302	Gradation and Quality Testing including Coarse Aggregate Testing on -75µm (#200) (QC/Verification) (5-694.145, 5-694.146) and 5-694.148)	3126 3137	Prior to concrete production, the Contractor shall provide the Agency with: <ul style="list-style-type: none"> Aggregate pit numbers 1 passing gradation result per fraction per source. No quality test results are required. Test companion samples at Contractor's discretion.	1 per fraction prior to concrete production and each time aggregate is delivered to the site. Identify quality samples with a "Q" on the Sample ID Card and the Quality companion sample.	2410 Sample ID Card
	Dowel Bar Retrofit Material Compressive Strength (Verification) (5-694.511)	2301 2302	None	During the pre-production test operations: 1 set of 3 cylinders tested at a rate as directed by the Engineer. Testing may need to be repeated if any problems with the dowel bar retrofit material are encountered. First day of production: 1 set of 3 cylinders tested at a rate as directed by the Concrete Engineer. After the first day of production: 1 cylinder per day during production tested at rate determined by Engineer to determine opening to traffic strength.	2409 ID Card Concrete Test Cylinder

V. Landscaping and Erosion Control Items

Pay Item No	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2105 2571 2575	1. Manufactured Topsoil borrow ^a Salvaged Topsoil (stockpiled)	3877.2	None	From each source: One composite sample for the first 765 m ³ (1,000 Cu yd). One composite sample for each additional 2,300 m ³ (3,000 Cu yd). Small quantities under 75 m ³ (100 Cu yd.), no sample required. One composite sample for each stockpiled topsoil, test for fertility.	10 kg (20 lb.)	^a Test results showing meets specifications. Testing for all topsoil for fertility send directly to Maplewood Laboratory from project. Testing takes about four weeks after delivery of the sample to the Department Laboratory. Sampling shall be done once source is identified or existing topsoil is stockpiled.
2571 2575 2577	2. Plant Stock & Landscape Materials ^b	3861 and 2571.2A1	Field Inspection at Job Site, submit itemized report for each shipment ^c .			^b Preliminary inspection will not be done at the source. Material must be in accordance with the Inspection and Contract Administration Guidelines for Mn/DOT Landscape Projects. ^c Utilize "Inspection and Contract Administration Guidelines for Mn/DOT Landscape Projects" to determine and measure minimum and maximum criteria thresholds. The following documentation must be provided: 1. A Mn/DOT Certificate of Compliance for Plant Stock, Landscape Materials, and Equipment 2. A valid copy of a nursery stock (dealer or grower) certificate registered with the MN Dept. of Agric. And/ or a current nursery certificate/license from a state or provincial Dept. of Agric. for each plant stock supplier. 3. A copy of the most recent Certificate of Nursery Inspection for each plant stock supplier. 4. Plant material shipped from out-of-state nursery vendors subject to pest quarantines must be accompanied by documentation certifying all plants shipped are free of regulated pests. 5. Bills of lading (shipping documents) for all materials delivered. 6. Invoices for all materials to be used. 7. Each bundle, bale, or individual plant must be legibly and securely labeled with the name and size of each species or variety.
2502 2573 2575 2577	3. Erosion Control Blanket ^d	3885	Visual Inspection	Random - See Footnote ^d	1 m ² (1 Sq yd)	^d Check Web site for list of approved products.. www.dot.state.mn.us/products

V. Landscaping and Erosion Control Items (cont.)

Pay Item No	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2573 2577	4. Erosion Control Netting ^e	3885	Visual Inspection		1 m ² (1 Sq yd)	^e Check Web site for list of approved products. www.dot.state.mn.us/products
2573	5. Silt Fence ^f	3886	Check Product Label. Obtain Certificate of Compliance with MARV values		1 m ² (1 Sq yd)	^f Check Approved/Qualified Products List (A/QPL) of accepted geotextiles www.dot.state.mn.us/products
2573	6. Flotation Silt Curtain ^g	3887	Visual Inspection			^g Accepted, based on manufacturers' certification of compliance. Check weight of fabric.
2573 2575	7. Erosion Stabilization Mat ^h	3885	Visual Inspection		1 m ² (1 Sq yd)	^h Check Web site for list of approved products. www.dot.state.mn.us/products
2573	8. Filter Logs	3897	Visual Inspection	None		
2573	9. Flocculants ⁱ	3898	Visual Inspection	None		ⁱ Certificate of Compliance and MSDS to the Engineer.
2571 2575	10. Fertilizer ^j	3881	Visual Inspection			^j Bagged: Inspected on the basis of guaranteed analysis. Rate based on fertility analysis of slope dressing/topsoil. Bulk: Inspector to obtain copy of invoice of blended material stating analysis. Check the type specified.
2571 2575	11. Agricultural Lime ^k	3879	One gradation test for each 180 Metric Ton (200 ton)			^k Contractor must supply amount of ENP (Equivalent Neutralizing Power) for each shipment.
2575 2577	12. Mulch Material A. Type 3 Mulch - Certified Weed Free (Certified sources only) ^l	3882	Visual Inspection, Check if from Certified Vendor by Minnesota Crop Improvement Association. Must be tagged, grain straw only.			^l Certified mulch will be indicated by label.

Schedule of Materials Control

V. Landscaping and Erosion Control Items (cont.)

Pay Item No	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2571 2575 2577	13. Mulch Material B. Type 6 Mulch – Woodchips	3882	Visual Inspection, one gradation per supplier. Obtain Certificate of Compliance.	Gradation 1/10,000 yd ³ per supplier.		All wood chips supplied by a supplier outside the Emerald Ash Borer quarantine area or have an Emerald Ash Borer Compliance Agreement with the MDA.
2502 2575 2577	14. Seeds A. Seeds (Certified Vendors Only) (Mixes 22-000 and 25-000 series) ^m	3876	Check for Certified Vendor tag from Minnesota Crop Improvement Association. If materials are on hand and past the twelve months, testing must be done.		0.5 L (1 pint)	^m Periodic sampling taken by Office of Environmental Services. Any moldy or insect contaminated seed must be rejected.
2502 2575 2577	14. Seeds B. Native Seed (Mixes 30-000 series) certified seed only ⁿ	3876	Check if from Certified Vendor by Minnesota Crop Improvement Association. Must be tagged. If materials are on hand and past the twelve months, testing must be done.			ⁿ Certified seed will be indicated by label on containers. Reject all moldy or insect contaminated seed. Periodic sampling taken by Office of Environmental Services.
2575	15. Sod ^o	3878	A certified tag by Minnesota Crop Improvement Association for Salt tolerant sod. Final Visual Inspection at site.			^o A Certificate of Compliance must be furnished by the producer to the Engineer for the type of sod supplied showing correct grass varieties.
2571 2575	16. Compost A. Compost Certified Source ^p	3890	Visual Inspection			^p Check Approved/Qualified Products List (A/QPL), retain Certificate of Compliance.
2571 2575	17. Compost B. Compost Non-Certified Source ^q	3890	Inspection of source 6 weeks prior to delivery.			^q Retain Certificate of Compliance, 6 weeks prior to delivery.
2575	18. Hydraulic Soil Stabilizer ^r	3884	Slump Test for Type 8	None		^r Check Approved/Qualified Products List (A/QPL).

Schedule of Materials Control

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2401	Asphalt Plank	3204	Visual Inspection	1 per 1,000 plank or less of each thickness in each shipment	3 – 1 m (yd) pieces samples from different planks	
2131	Calcium Chloride	3911	Visual Inspection	Liquid: 1 per 40,000 L (1 per 10,000 gal) Dry: 1 per shipment	0.5 L (1 pint) or 0.5 kg (1 lb.) in Plastic Container	
2131	Magnesium Chloride	3912	Visual Inspection	1 per 40,000 L (1 per 10,000 gal.)	0.5 L (1 pint) in Plastic Container	
2331	Hot-Pour Crack Sealant for Crack Sealing/Filling	3719 3723 3725	Visual Inspection	1 per lot. Take samples from application wand. Use caution when handling hot containers	2.26 kg (5 lb.) in a 1 gal steel container.	
2481	Waterproofing Materials Membrane Waterproofing System	3757	Visual Inspection	1 per shipment (Membrane Only)	0.1 m ² (1 Sq Ft)	Only waterproofing systems from qualified sources are allowed for use. The most current list can be found at www.dot.state.mn.us/products Membrane Waterproofing System: The manufacturer shall submit a one square foot sample of the membrane along with a letter of Certification and test results stating that the membranes meet the requirements of this specification. Other components of the waterproofing system do not need to be sampled for testing.

Schedule of Materials Control

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2481	Waterproofing Materials Three Ply System Asphalt Primer	3165	Visual Inspection	1 per shipment	0.5 L (1 pt.) in steel container	
2481	Waterproofing Materials Three Ply System Waterproofing Asphalt	3166	Visual Inspection	1 per shipment	0.5 L (1 pt.) in steel container	
2481	Waterproofing Materials Three Ply System Fabric	3201	Visual Inspection	1 per shipment	1 m ² (1 Sq yd)	
2582	Waterborne Latex Traffic Marking Paint.	3591	Visual Inspection	1 per lot	0.5 L (1 pint)	Form 02415 List batch numbers and retain Certificate of Compliance. Only traffic marking paints from Qualified Products List are allowed for use. The most current Qualified Products list can be found at www.dot.state.mn.us/products
2582	Epoxy Traffic Paint	3590	Visual Inspection	1 Part A per lot 1 Catalyst Part B per lot	0.5 L (1 pint)	Form 02415 List batch numbers and retain Certificate of Compliance. Only traffic marking paints from Qualified Products List are allowed for use. The most current Qualified Products list can be found at www.dot.state.mn.us/products
2582	Traffic Marking Paint	Special Provisions	Visual Inspection	1 Part A per lot 1 Catalyst Part B per lot	0.5 L (1 pint)	Form 02415 List batch numbers and retain Certificate of Compliance. Only traffic marking paints from Qualified Products List are allowed for use. The most current Qualified Products list can be found at www.dot.state.mn.us/products For traffic marking paints other than Waterborne Latex and Epoxy. See Special Provision for Qualified Products List.
2564	Non-Traffic Striping Paints	3500 Series Special Provisions	Visual Inspection		0.5 L (1 pint)	Form 02415 List batch numbers and retain Certification of Compliance. For all others, see Special Provisions. Send color sample to Chemical Laboratory for color matching.

Schedule of Materials Control

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2478	Bridge Structural Steel Paint	3520	Visual Inspection	Certificate of Compliance with each batch/lot for each component of the paint system to the Engineer. Provide a color "Draw Down" sample to the Mn/DOT Chemical Laboratory for verification of the finish coat color		Form 02415 List batch numbers and retain Certificate of Compliance. Only paints from Approved Products List are allowed for use. The most current Approved Products List can be found at www.dot.state.mn.us/products
	Exterior Masonry Paint	3584	Visual Inspection	1 per lot Provide a color "Draw Down" sample to the Mn/DOT Chemical Laboratory for verification of the finish coat color.	0.5 L (1 pint)	Form 02415 List batch numbers and retain Certificate of Compliance Only paints from Approved Products List are allowed for use. The most current Approved Products List can be found at www.dot.state.mn.us/products
	Noise Wall Stain	Special Provisions	Visual Inspection	Certificate of Compliance for each batch/lot of paint. Provide a color "Draw Down" sample to the Mn/DOT Chemical Laboratory for verification of the finish coat color.		Form 02415 List batch numbers and retain Certificate of Compliance Only paints from Approved Products List are allowed for use. The most current Approved Products List can be found at www.dot.state.mn.us/
2582	Drop-on Glass Beads	3592	Visual Inspection	1 per lot	1 L (qt.)	Form 02415 List batch numbers and retain Certificate of Compliance Only glass beads from Qualified Products List are allowed for use. The most current Qualified Products List can be found at www.dot.state.mn.us/products
2502 2581 2582	Pavement Marking Tape	3354 3355 Special Provisions	Visual Inspection	1 clean sample of each color per lot	3 m (3 yds.)	Form 02415 List batch numbers and retain Certificate of Compliance. Only pavement marking tape from Qualified Products List are allowed for use. The most current Qualified Products List can be found at www.dot.state.mn.us/products

VI. Chemical Items (cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2540 2563 2564 2565 2582	Signs and Markers	3352	Visual Inspection	None unless material suspect		Form 02415 Only Signs and Markers from Qualified Products List are allowed for use. The most current Qualified Products List can be found at www.dot.state.mn.us/products

VII. Metallic Materials and Metal Products

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2554	1. Guard Rail A. Fittings - Splicers, Bolts, etc.	3381	Visual Inspection	Bolts: 2 Post bolts and 4 splice bolts with nuts for each 1,000 units or less.		Form 02415 or 2403 To be approved before use. Materials from H&R may be pre-sampled and tested. Call the MN/DOT inspector at 218-846-3613 to see if material has been approved. For non-pre-tested, submit laboratory samples at required rate. For small quantities, lab samples are not required, but document on Form 02415 or 2403 and maintain in project file. Small Quantities: Rail Sections - 20 or less Terminals - 10 or less Post Bolts - 100 or less, Splice Bolts - 100 or less
2554	1.B.i. Non-High Tension Guard Rail Cable	3381	Visual Inspection	1 sample from each spool	1.2 m (4 ft)	Form 02415 or 2403 See VII.1.A.
2554	1. B.ii. High Tension Guard Rail Cable	Special Provisions	Visual Inspection	1 sample per 50,000 feet	1.2 m (4 ft)	
2554	1. Guard Rail C. Structural Plate Beam	3382	Visual Inspection	One sample from one edge of each 200 rail sections or one sample of each 100 terminal sections	Full depth x 0.25 m (full depth x 10")	Form 02415 or 2403 See VII.1.A.

VII. Metallic Materials and Metal Products (cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2545 2554 2564	2. Steel Sign Posts	3401	Visual Inspection & Certification from Contractor of compliance with Domestic source requirement under 1601, if applicable.	Two posts per shipment of each mass per unit length. Submit shortest full sized length of each weight, not a scrap piece.	See note	Form 02415 or 2403 Check domestic steel requirement under 1601
2554 2557	3. Posts for Traffic & Fence A. Steel fence posts, brace bars, and rails	3403 3406	Visual Inspection	One sample per 500 pieces. Submit full length for posts used in the ground (line, terminal, "C" and anchor posts), and 5' length of top rail and brace bar.		Form 02415 or 2403 Check domestic steel requirement under 1601 Special Provision. Retain Certificate of Compliance and certified mill analysis in project file. See link for certification form on right side of page, www.dot.state.mn.us/materials/lab.html
2557	3. Fence B. Components: includes cup, cap, nut, bolt, end clamp, tension band, truss rod tightener, hog ring, tie wire, tension stretcher bar, truss rod, clamp, & tension wire	3376	Visual Inspection	1 each of cup, cap, nut, bolt, end clamp, tension bands, truss rod tightener, 12 hog rings, 6 tie wires, 1 tension stretcher bar; 1 truss rod, cut to 2-foot min. with threaded section, 3 feet of tension wire.		Form 02415 or 2403 Check domestic steel requirement under 1601 Special Provision. Retain Certificate of Compliance in the project file. See link for certification form on right side of page, www.dot.state.mn.us/materials/lab.html
2557	3. Fence C. Gates	3379	Visual Inspection	No sample required. See notes.		Form 02415 or 2403 Check domestic steel requirement under 1601 Special Provision. Retain Certificate of Compliance in the project file. See link for certification form on right side of page, www.dot.state.mn.us/materials/lab.html
2557	3. Fence D. Barbed Wire	3376	Visual Inspection.	One full height sample per 50 rolls	1 m (3 ft)	Form 02415 or 2403 Check domestic steel requirement under 1601 Special Provision. Retain Certificate of Compliance in the project file. See link for cert. form on right side of page, www.dot.state.mn.us/materials/lab.html

VII. Metallic Materials and Metal Products (cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2557	3. Fence E. Woven Wire Fabric	3376	Visual Inspection	One full height sample per 50 rolls	1 m (3 ft)	Form 02415 or 2403 Check domestic steel requirement under 1601 Special Provision. Retain Certificate of Compliance in the project file. See link for cert. form right side of page, www.dot.state.mn.us/materials/lab.html
2557	3. Fence F. Chain Link Fabric	3376	Visual Inspection	One full height sample for each 5,000 ft of fencing.	0.3 m (1 ft)	Form 02415 or 2403 Check domestic steel requirement under 1601 Special Provision. Retain Certificate of Compliance in the project file. See link for certification form on right side of page, www.dot.state.mn.us/materials/lab.html
2402	4. Water Pipe and other Piping Materials	3364, 3365, 3366 & Special Provisions				Form 02415 or 2403 Check domestic steel requirement under 1601 Special Provision. To be identified & tested if necessary prior to use. See Special Provisions.
2201 2301 2401 2405 2411 2412 2433 2452 2472 2514 2531 2533 2545 2564	5. Reinforcing Steel A. Bars – Uncoated	3301	Visual Check for Size and Grade Marking	No Field Sample Necessary		Form 02415 or 2403 For Uncoated bars - Retain Certificate of Compliance and Certified Mill Analysis in Project File.

VII. Metallic Materials and Metal Products (cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2201 2301 2401 2405 2411 2412 2433 2452 2472 2514 2531 2533 2545 2564	5. Reinforcing Steel B. Bars - Epoxy Coated	3301	Visual Check for Size and Grade Marking and "Inspected" tag	One sample (1 bar) of each size bar for each day's coating production	1 m (3 ft)	Form 02415 or 2403 For Epoxy-Coated bars, steel will be tagged "Inspected" when it has been sampled and tested by Mn/DOT prior to shipment, and it will be tagged "Sampled" when testing has not been completed prior to shipment. If the Epoxy-Coated bars are not tagged "Sampled" or "Inspected", submit samples with copies of the , Certificate of Compliance, and Certified Mill Analysis. Retain originals of the Certificate of Compliance and Certified Mill Analysis in the project file.
2401	5. Reinforcing Steel C. Bars Stainless Steel	Special Provisions		One sample (2 Bars) per heat per bar size	1 m (3 ft)	Submit copies of mill test reports with samples, retain originals in project file
2401 2411 2452 2472 2564	5. Reinforcing Steel D. Spirals	3305		One per shipment	1 m (3 ft)	Same as 5.B
2201 2301 2401 2411 2412 2472 2531	5. Reinforcing Steel E. Steel Fabric	3303	Visual Inspection	No Field Sample Necessary		Retain Certificate of Compliance in project file.
2201 2301 2401 2411	5. Reinforcing Steel F. Dowel Bars	3302		One Dowel Bar from each shipment	Full Size Dowel Bars	For all types of dowels – Each project shall have a Certificate of Compliance from the Manufacturer certifying that all materials used in fabrication of the dowel bars and baskets comply with all applicable specifications. The Manufacturer shall maintain all records necessary for certification by project. The Certificate of Compliance shall be submitted to the Project Engineer.

VII. Metallic Materials and Metal Products (cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2401 2405	5. Reinforcing Steel G. Prestressing or Post-Tensioning Strand	3348		One sample (2 strands) from each heat (see Notes)	1.8 m (6 ft)	Submit one copy of mill certificate and one copy of the stress-strain curve representative of the lot with the samples. For most manufacturers, a heat equals a production lot, and an individual lot, pack, or reel is a subset of a heat/production lot.
2402 2506 2565	6. Drainage and Electrical Castings	3321 2471 2565	Visual Inspection	All castings: Three tensile bars to be cast with each heat at Foundry and submitted to the lab by an approved Foundry*. See 3321.		Form 02415 or 2403 Call Maplewood Laboratory at 651-366-5540 for list of approved foundries, or see website. Inspect in the field and retain Form 02415 or 2403 in project file, showing name of foundry and quantity
2401 2402 2411 2433 2545 2554 2564 2565	7. Anchor Rods (Cast in Place) and Structural Fasteners	3385 3391	Visual Inspection and Material verification testing.	Pre-approved (see notes) or one complete anchor rod assembly including nuts and washers from each lot supplied.		Pre-approved system requires supplier to submit a sample to the Department yearly for each anchor rod or fastener type. Test results of sample must verify compliance to product specifications. Supplier shall retain copy of passing test results for one year and supply with subsequent jobs. When no previous test results are available, one complete anchor rod assembly with all required nuts and washers shall be sampled and tested from each type on the project. Prior to installation, field to obtain copy of passing test report(s).
2401 2411 2433	8. Anchorages (Drilled In)	Special Provisions	Visual Inspection	No laboratory samples required		Note: Before installation, verify that anchorages are on the qualified products list www.dot.state.mn.us/products
2402	9. Structural Steel A. For Steel Bridge – Beams, Girders, Diaphragms, etc.	2471	Structural Metals Inspection Tag and field inspection for damage/defects	None		Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag. An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office web site: http://www.dot.state.mn.us/bridge/

VII. Metallic Materials and Metal Products (cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2402 2405	9. Structural Steel B. For Concrete Girders- Diaphragms and sole plates	2471	Structural Metals Inspection Tag and field inspection for damage/defects	None		Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag. An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office web site: http://www.dot.state.mn.us/bridge/
2402	9. Structural Steel C.. Expansion joints	2471	Structural Metals Inspection Tag and field inspection for damage/defects	None		Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag. An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office web site: http://www.dot.state.mn.us/bridge/
2402	9. Structural Steel D. Steel Bearings	2471	Structural Metals Inspection Tag and field inspection for damage/defects	None		Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag. An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office web site: http://www.dot.state.mn.us/bridge/
2402	9. Structural Steel E. Railing-Structural tube and ornamental	2471	Structural Metals Inspection Tag and field inspection for damage/defects	None		Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag. An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office web site: http://www.dot.state.mn.us/bridge/

VII. Metallic Materials and Metal Products (cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2402	9. Structural Steel F. Drainage Systems	2471	Structural Metals Inspection Tag and field inspection for damage/defects	None		Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag. An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office web site: http://www.dot.state.mn.us/bridge/
2402	9. Structural Steel G. Protection Angles	2471	Structural Metals Inspection Tag and field inspection for damage/defects	None		Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag. An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office web site: http://www.dot.state.mn.us/bridge/
2564	10. Overhead Sign structures	2564 2471	Structural Metals Inspection Tag and field inspection for damage/defects	None		Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag. An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office web site: http://www.dot.state.mn.us/bridge/

VII. Metallic Materials and Metal Products (cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2545	11. High Mast Lighting Structures	2545 2471	Structural Metals Inspection Tag and field inspection for damage/defects	None		Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag . An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office web site: http://www.dot.state.mn.us/bridge/
2565	12. Monotube Signal Structures	2565 2471	Structural Metals Inspection Tag and field inspection for damage/defects	None		Structural metals products will be inspected at the plant and will be shipped with a Structural Metals Inspection Tag . An inspection confirmation report will be completed by Structural Metals Inspection staff and sent to the field personnel. Only approved suppliers are allowed to supply Structural Metals products. A list of approved suppliers can be found on the Bridge Office web site: http://www.dot.state.mn.us/bridge/

Schedule of Materials Control

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2403 2422 2452 2521 2540 2545 2554 2557 2564	1. Timber, Lumber Piling & Posts	3412 to 3471 & 3491	Visual Inspection			Form 02415 or 2403 Untreated materials shall be inspected in the field and the results reported on Form 02415 or 2403. Treated materials shall be Certified on the Invoice or Shipping Ticket. Material is inspected and stamped by an Independent Agency as per Specification 3491. Contact Laboratory for additional information.
2402 2405 2557 Many	2. Miscellaneous pieces and Hardware (Galvanized)	3392 3394		3 samples of each item per shipment. Sample critical items only. (Critical items are load bearing, structurally necessary items.)	Three of each type.	Form 02415 or 2403 Will carry "Inspected" tag if sampled and tested prior to shipment. No sample necessary if "Inspected".
2504	3. Insulation Board	3760	Visual Inspection	None		Form 02415 or 2403
2402	4. Elastomeric Bearing Pads	3741 and Special Provisions	Check dimensions Check repair of tested pad	One sample, with one or more internal plates annually from each manufacturer.	Full size pad	Submit copy of Certificate of Compliance with pad. Do not use any pads that are not certified.

IX. Geosynthetics, Pipe, Tile, and Precast/Prestressed Concrete

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2402 2422 2501 2503 2506	1. Corrugated Metal Products A. Culvert Pipe Underdrains Erosion control Structures	3225 thru 3229, 3351 and 3399	Visual Inspection: Check for good construction, workmanship, finish requirements and shipping			Form 02415 or 2403 Make certain pipe is Certified on Invoice, retain certificate of compliance and certified mill analysis in project file
2501	1. Corrugated Metal Products B. Structural Plate	3231	Visual Inspection: Invoice shall include notation that material described is in accordance with fabricator's Certificate and Guarantee			Same as 1.A

IX Geosynthetics, Pipe, Tile, and Precast/Prestressed Concrete (Cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2501	1. Corrugated Metal Products C. Aluminum Structural Plate	3233				Retain certificate of compliance and certified mill analysis in project file
2503 2506	2. Clay Pipe	3251	No samples required for less than 100 pieces	1 sample per 200 pieces of each size.	Full Size Pipe	Form 02415 or 2403
2501 2503 2506	3. Concrete Pipe A. Reinforced Pipe and Arches, Precast Cattle Pass Units, and Sectional Manhole Units	3236	Field Inspection: Check for damage and defects. Check dimensions as required. Check for producer's "Certified" stamp and signature on the certification document.	1 "companion" cylinder per month per plant during production, or cylinder testing machine, whichever is greater. Call Precast Inspection Engineer at 651-366-5540 for additional information.		Form 02415 or 2403 For Concrete Pipe Both A & B: Product will be certified by producer, only spot checks are done by plant inspector. Make certain the invoice or certification document is signed and the product has the required markings. Maintain Form 2403 or 02415 in project records, showing source of materials and type and quantity used
2503 2506	3. Concrete Pipe B. Non-Reinforced Concrete Pipe	3253	Field Inspection: Check for damage and defects. Check dimensions as required. Check for producer's "Certified" stamp and signature on the certification document.		Full Size Pipe	See 3.A
2501 2503 2506	3. Concrete Pipe Fine Aggregate	3126		1 quality test per month during production for A and B above.	10 kg. (25 lb.)	
2501 2503 2506	3. Concrete Pipe Coarse Aggregate	3137		1 quality test per month during production for A and B above.	10 kg. (25 lb.)	

Schedule of Materials Control
IX. Geosynthetics, Pipe, Tile, and Precast/Prestressed Concrete (Cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2412	4. Precast/Prestressed Concrete Structures	3238	1 air test per pour (1st load), One set of cylinders per 25 cubic yards, with a minimum of two cylinders per set. Alternate cylinder acceptance systems may be allowed with the approval of the State Materials Engineer.	1 "companion" cylinder per month per plant during production, or cylinder testing machine, whichever is greater. Call Precast Inspection Engineer at 651-366-5540 for additional information.		Precast/prestressed Concrete Structure (beams, posts, etc.) will be inspected and stamped at plant. Field personnel are responsible for checking for plant inspector's stamp, for shipping/handling damage or defects, and dimensions. An inspection report will be completed by plant personnel and sent to the field personnel.
	Fine Aggregate	3126		1 quality test per month during production.	10 kg. (25 lb.)	
	Coarse Aggregate	3137		1 quality test per month during production.	10 kg. (25 lb.)	
2405	4. Precast/Prestressed Concrete Structures	2405	1 air test per pour (1st load), One set of cylinders per 25 cubic yards, with a minimum of two cylinders per set, and one set per beam. Alternate cylinder acceptance systems may be allowed with the approval of the State Materials Engineer.	1 "companion" cylinder per month per plant during production, or cylinder testing machine, whichever is greater. Call Precast Inspection Engineer at 651-366-5540 for additional information.		Precast/prestressed Concrete Structure (beams, posts, etc.) will be inspected and stamped at plant. Field personnel are responsible for checking for plant inspector's stamp, for shipping/handling damage or defects, and dimensions. An inspection report will be completed by plant personnel and sent to the field personnel.
	Fine Aggregate	3126	Gradation: 1 per 150 m ³ (200 Cu. yd.) or fraction thereof. 1 per day of production or 3 per week, whichever is less.	1 gradation and 1 quality test per month during production from a split sample. Include producer's gradation results on sample card.	10 kg (25 lb.)	
	Coarse Aggregate	3137	Gradation: 1 per 75 m ³ (100 Cu yd) or fraction thereof. 1 per day of production or 3 per week, whichever is less.	1 gradation and 1 quality test per month during production from a split sample. Include producer's gradation results on sample card.	10 kg (25 lb.)	

Schedule of Materials Control
IX. Geosynthetics, Pipe, Tile, and Precast/Prestressed Concrete (Cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2506	5. Manholes and Catch Basins (Construction)	2506 3622	Field Inspection: Check for damage and defects. Check dimensions as required. Check for Producer's "Certified" stamp and signature on the certification document.	1 "companion" cylinder per month per plant during production, or cylinder testing machine, whichever is greater. Call Precast Inspection Engineer at 651-366-5540 for additional information.		Form 02415 or 2403 Product will be certified by producer or inspected, tested and stamped at source. Only spot checks are done by plant inspector. Make certain the invoice or certification documents is signed and the product has the required markings. Maintain Form 2403 or 02415 in project records, showing source of materials and type and quantity used (bricks, blocks, precast, or combination).
2502	6. Drain Tile (Clay or Concrete)	3276	Visual Inspection	2 samples of each size from each source		
2502 2503	7. Thermoplastic (TP) Pipe ABS and PVC	3245	Obtain Certificate of compliance. Check for approved marking printed on pipe. Field Inspect for damage or defects.			Form 02415 or 2403 See Spec. 3245 for specific AASHTO or ASTM Pipe types are approved under this specification. If perforated, holes should be 5mm - 10 mm (3/16 - 3/8 inch) diameter, two rows for 4", and four rows for 6" diameter; approximately 75 mm (3 inches) on center.
2502	8. Corrugated Polyethylene Pipe – Single wall for edge drains, etc.	3278	Check for markings (AASHTO M 252) Certificate of Compliance. Field Inspect for damage or defects.	No Laboratory tests required		Form 02415 or 2403
2503	9. Sewer Joint Sealing Compound	3724		One per shipment	0.5 liter (1 pt.)	
2412 2501 2503	10. Preformed Plastic Sealer for Pipe	3726 Type b		One from each source	0.3 m (1 ft)	
2412 2501 2503	11. Bituminous Mastic Joint Sealer for Pipe	3728	Visual Inspection	Sample, if questionable		

Schedule of Materials Control
IX. Geosynthetics, Pipe, Tile, and Precast/Prestressed Concrete (Cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2105	12. EPS Geofoam	Special Provisions	Visual Inspection Check for yellow aged material, uniformity and dimensions. Weigh 1'x1'x1' cut coupon to verify density every 200 m ³ (250 yd ³)			Form 02415 or 2403
2501 2503	13. Corrugated Polyethylene Pipe – Dual Wall, 12" – 48"	3247				For Specification 3247, Corrugated Polyethylene Pipe (HDPE) manufacturing facilities are required to be reviewed yearly and in compliance with AASHTO's National Transportation Product Evaluation Program (NTPEP) for producers of AASHTO M294 HDPE pipe. To determine if a pipe manufacturing plant is qualified, click on the following link for M294 pipe. http://data.ntpep.org/Module/PIPE/StatusReport.aspx . If a plant has a compliant NTPEP audit for AASHTO M294 pipe at the time the pipe is manufactured, then the plant has met requirements. Note that a previous year's audit shall govern until NTPEP issues the next year's audit. A Certificate of Compliance shall be provided in accordance with Specification 1603.

IX. Geosynthetics, Pipe, Tile, and Precast/Prestressed Concrete (Cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2105 2411 2412 2501 2502 2511 2512	14. Geotextile Fabric and Geogrid Reinforcement	3733 and Special Provisions	Inspect for damage and uniformity of texture. Rolls of both geotextile and geotextile wrapped PE Tubing must be wrapped in UV protective plastic. (Usually Black). Obtain Certificate of Compliance If using adhesive for seams, see Approved/Qualified Product List available at the Department's website	<p>(a) 1 per project for pipe wrap or trench lining for Permeable base designs.</p> <p>(b) 1 per 50,000 yd² (40,000 m²) or fraction thereof of each type fabric or geogrid for all other uses.</p> <p>(c) Seam, if required, 1 per project minimum, additional as appropriate.</p> <p>Small Quantity Acceptance</p> <ul style="list-style-type: none"> For fabric totals less than 200 yd² (170 m²) For pipe wrap totals less than 1000 Lin. Ft No sampling required Use Inspection Report for Small Quantities (Form 2403) Check: <ul style="list-style-type: none"> Certificate of Compliance Identifying label on product Geotextile Small Quantity Acceptance List at http://www.dot.state.mn.us/materials/aggregatedocs/gtxlist.pdf 	<p>(a) 10 Lin. Ft. (3 m)</p> <p>(b) 4 yd² (3 m²)*</p> <p>(c) 10 Lin. Ft. (3 m)**</p>	<p>Certificate of Compliance shall state material identification (e.g. Propex 2002, Miragrid 8XT), and minimum average roll values (MARV) for all specified geotextile properties. MARV values must meet the Specification 3733 Types 1 through 7 requirements for the specific application. Submit copy of Certificate with material samples sent to the Materials Laboratory.</p> <p>Submit additional sample(s), if the manufacturer or model of geotextile or geogrid used changes during construction.</p> <p>Sampling shall be by random selection and no more than one sample shall be taken from an individual roll. For type 6 applications (including geogrids), submit pages of Special Provisions that list required material properties. (Type 6 requirements are job specific.) For Modular Block Walls or Reinforced Soil Slopes, submit page(s) of shop drawings that reference geogrid/geotextile to be used (product name) and/or required properties.</p> <p>* Do not sample first full turn of rolled product. ** Seam sample to include approximately 3 ft (1 m) of geosynthetic material on each side of seam (in direction perpendicular to seam).</p>

Schedule of Materials Control

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2506	1. Brick A. Sewer (clay) and Building	3612 to 3615	Visual Inspection	One sample per 50,000 brick or fraction thereof	6 whole bricks	
2506	1. Brick B. Sewer (Concrete)*	3616	Visual Inspection	One sample per shipment.	6 whole bricks	* Air entrainment required. Obtain air content statement from supplier.
2506	2. Concrete Masonry Units A. For Sewer Construction	3621	Visual Inspection	One sample per shipment	6 whole units	Air entrainment required. Obtain air content statement from supplier.
2411	2. Concrete Masonry Units B. For Modular Block Retaining Walls	Special Provisions	Visual Inspection Check for cracks and broken corners	One sample per 10,000 units or fraction thereof, with a minimum of one sample per product (block) type per contract.*	5 whole units	All lots of block upon delivery shall have Manufacturer or Independent laboratory test results to verify passing both compression and freeze-thaw requirements. * Wall units and cap units are considered separate block types.
2422	3. Reinforced Concrete Cribbing	3661	Concrete control tests Air Tests Visual Inspection if previously tested	One cylinder per 100 units, but not less than 5 cylinders for a given contract. Other materials as required herein.	150 x 300mm (6 x 12 in) Cylinders	Form 02415 or 2403 Will be stamped when inspected prior to shipment.
2511 2512 2577	4. Stone for Masonry or Rip-Rap	3601 and Special Provisions	Visual Inspection Submit Form 02415 unless special testing is specified			Form 02415 or 2403 Each source shall be approved by Project Engineer or Supervisor for quality, prior to use. For questions on quality, contact District Materials or Geology Unit.

Schedule of Materials Control

XI. Electrical and Signal Equipment Items

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2545	1. Lighting Standards (Aluminum or Steel)	3811	Visual Inspection			The Fabricator shall submit "Certificate of Compliance", on a per project basis, to the Project Engineer..
2545 2550 2565	2. Hand Holes (Precast, PVC, and LLDPE)	2545 2550 2565				Form 02415 or 2403 Traffic signals and street lighting projects require handholes and frames and covers to be listed on the Mn/DOT Approved/Qualified Products List (A/QPL) for signal. For cast iron frame and cover: see VII.6, Drainage Castings
2545 2565	3. Foundation	2545	Slump as needed	1 cylinder per 20 m ³ (25 Cu. yd.)		Rebar is required in concrete foundations as specified in the Contract documents for all traffic signal and street lighting projects.
2402 2545 2565	4. Conduit and Fittings A. Metallic	3801 3802	Visual Inspection	None		Form 02415 or 2403 Conduit shall be labeled as being listed by a National Recognized Testing Laboratory (NRTL). Retain Form 02415 or 2403 in Project File
2545 2565	4. Conduit and Fittings B. Non-Metallic (Rigid and HDPE)	3803 Special Provisions	Visual Inspection			Form 02415 or 2403 Conduit shall be labeled as being listed by a National Recognized Testing Laboratory (NRTL). Retain Form 02415 or 2403 in Project File. For traffic signal and street lighting projects, specific requirements are contained in the Special Provisions for each project.
2545 2565	5a. Anchor bolts (cast in place)	2545 2565				See section VII, 7.
2545	5b. Anchorages (Drilled In)	2545				See section VII, 8.

XI. Electrical and Signal Equipment Items (cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2545 2565	6. Miscellaneous Hardware	2545 2565	Visual Inspection	Sample critical items only. One of each item per shipment. (Critical Items are load bearing, structurally necessary items.)		Will carry "Inspected" tag if sampled and tested prior to shipment. No sample necessary if "Inspected". Do not use if not tested. Field sample at sampling rate for laboratory testing. For traffic signal and street light lighting projects, various miscellaneous hardware is required to be listed on the Mn/DOT Signals and Lighting Approved/Qualified Products Lists (A/QPL). The Contract documents indicate which items must be on the Signals and/or Lighting APL.
2545 2550 2565	7. Cable and Conductors A. Power Conductors Loop Detector Conductors (No Tubing) Underground Service Entrance (USE) cables	3815.2B1 3815.2B2(a) Special Provisions	Visual Inspection	None		Form 02415 or 2403 Make certain the conductors are the type specified. Submit Field Inspection report showing type and quantities used. Shall be labeled as being listed by a National Recognized Testing Laboratory (NRTL) and type where applicable.
2545 2550 2565	7. Cable and Conductors B. Electrical Cables and Single Conductors with Jacket	3815.2B2(b) 3815.2B3 3815.2B5 3815.2C1 3815.2C3 3815.2C4 3815.2C5 3815.2C6 3815.2C7 3815.2C8 3815.2C14 Special Provisions	Visual Inspection	1 sample per size per lot	1.5m (5 ft)	Form 02415 or 2403 Usually inspected at the distributor. Documentation showing project number, reel number(s), & Mn/DOT test number(s) will be included with each project shipment. If such documentation is not received from Contractor, submit sample for testing along with material certification from manufacturer. <u>Do not use if not tested.</u> Pre-inspected materials will <u>not</u> be tagged; an inspection report will be sent by the Mn/DOT inspector for each shipment. Project inspectors should verify that the shipping documents agree with this inspection report. Call Steve Grover at 651-366-5540 or Cindy Schellack at 651-366-5543 with questions. For traffic signal and street lighting projects, the Special Provisions for each project contain electrical cable and conductor specifications.
2545 2550 2565	7. Cable and Conductors C. Fiber Optic Cables	3815.2C13	Visual Inspection - verify make and model number as shown in Special Provisions	None		Form 02415 or 2403 Fiber optic cables shall be listed on the Mn/DOT Approved/Qualified Products List (A/QPL) for Traffic Management Systems/ITS.

XI. Electrical and Signal Equipment Items (cont.)

Pay Item No.	Kind of Material	Spec. No.	Minimum Required Acceptance Testing (Field Testing Rate)	Minimum Required Sampling Rate for Laboratory Testing	Sample Size	Notes
2545 2565	8. Ground Rods	2545 2565	Visual Inspection	None.		Form 02415 or 2403 Retain Form 02415 or 2403 in project file. Shall be labeled as being listed by a National Recognized Testing Laboratory (NRTL).
2545	9. Luminares and Lamps	3810				Form 02415 or 2403 Traffic signal and street lighting projects require luminaires and lamps to be listed on the Mn/DOT Approved/Qualified Products List (A/QPL) for Lighting. The conductors shall be labeled as being listed by a National Recognized Testing Laboratory (NRTL) and type, where applicable.
2545	10. Electrical Systems					Electrical Systems are to be reported as a "System" using the Lighting, Signal, and Traffic Recorder Inspection Report. To be certified by the Project Engineer.
2565	11. Traffic Signal Systems	2565				Traffic Signal Systems are to be reported as a "System" using the Lighting, Signal, and Traffic Recorder Inspection Report. To be certified by the Project Engineer.

APPENDIX B



City of Duluth

DEPARTMENT OF PUBLIC WORKS/UTILITIES
Engineering Division
211 City Hall • Duluth, MN 55802
(218) 730-5200 fax: (21) 730-5907

CONTRACTOR'S HAUL ROUTE APPLICATION

In accordance with the City Charter we ask that you provide the following information about the proposed haul routes for your project. We will send you a written confirmation that these routes are acceptable to the City or an alternate within a week.

Work Site: _____

Dates when work is scheduled: _____

Disposal Site for Excess Material: _____

Route proposed for this trucking:(enclose map or sketch on back)

Source of Material: (Granular, Blacktop etc.): _____

Route proposed for this trucking:(enclose map or sketch on back)

Contractor's Name: _____

Signature: _____

Date: _____

Thank you for your cooperation in this matter. If you have any questions about the nearest truck routes, please call the Engineering Division at the number above.

Approved: _____

Date: _____

**INFORMATION TO BE GIVEN TO GOPHER STATE ONE-CALL SYSTEM
FOR LOCATIONS OF ALL UTILITIES (1-800-252-1166)**

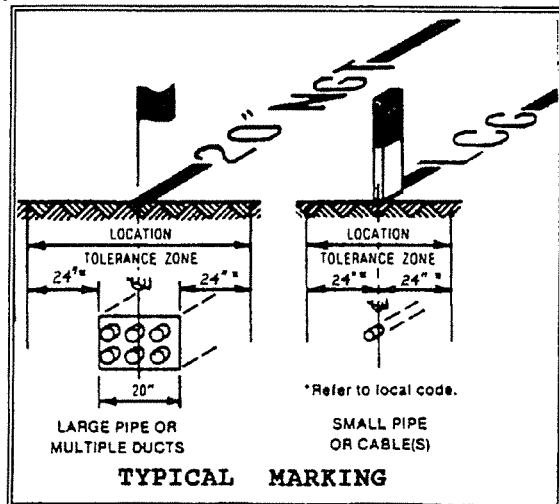
CALL 48 HOURS (2 WORKING DAYS) IN ADVANCE OF ANY EXCAVATION.
The ONE-CALL Operator will require the following information:

- | | |
|-------------------------------------|--|
| 1. Type of request being placed. | 9. Duration of work |
| 2. Telephone/Caller I.D. Number | 10. Type of work |
| 3. Caller name and company name | 11. Who the work is being done for |
| 4. Mailing address | 12. County and City/Place name |
| 5. Alternate contact name & phone # | 13. Street address of work site |
| 6. Date work is to begin | 14. Marking instructions |
| 7. Whether explosives will be used | 15. Remarks |
| 8. Is work in Right of Way (R.O.W.) | 16. Township, Range, Section & Quarter |

WARNING
BEFORE DIGGING CALL 1-800-252-1166
TO NOTIFY LOCAL UTILITIES
== REQUIRED BY LAW ==

**UTILITY LOCATION & COORDINATION COUNCIL
UNIFORM COLOR CODE**

RED	ELECTRIC POWER LINES, CABLES, CONDUIT AND LIGHTING CABLES.
YELLOW	GAS, OIL, STEAM, PETROLEUM OR GASEOUS MATERIALS.
ORANGE	COMMUNICATION, ALARM OR SIGNAL LINES, CABLES OR CONDUIT.
BLUE	WATER, IRRIGATION AND SLURRY LINES
GREEN	SEWERS AND DRAIN LINES.
FLUORESCENT PINK	FOR SURVEYING PURPOSES
WHITE	PROPOSED EXCAVATION



**GUIDELINES FOR UNIFORM
TEMPORARY MARKING
OF UNDERGROUND FACILITIES**

This marking guide provides for universal use and understanding of the temporary marking of subsurface facilities to prevent accidental damage or service interruption by contractors, utility companies or any others working on or near those underground facilities.

USE OF MARKINGS

Use color-coded surface marks (paint or similar coating) to indicate the location, change in direction and deadends of buried lines. To increase visibility, color-coded vertical markers (temporary stakes or flags) should supplement surface marks. All marks and markers should indicate the name, initials or logo of the company that owns or operates the line, and the width of the facility if it is greater than two inches.

If the surface over the buried line is to be removed, supplemental offset marking may be used. Offset markings should be on a uniform alignment and must clearly indicate that the actual facility is a specific distance away.

LOCATION TOLERANCE ZONE

Usually, any excavation within the location tolerance zone must be performed with hand tools until the marked facility is exposed.

PROPOSED EXCAVATION

The location or the boundary of proposed excavations should be indicated in a color (usually white) which does not conflict with the Uniform Color Code.

ONE-CALL DAMAGE PREVENTION SYSTEMS

Existing ONE-CALL systems must be used to minimize damage to buried lines.

Withholding Affidavit for Contractors

This affidavit must be approved by the Minnesota Department of Revenue before the state of Minnesota or any of its subdivisions can make final payment to contractors.

Please type or print clearly. This will be your mailing label for returning the completed form.

Company name			Daytime phone	Minnesota tax ID number
Address			Total contract amount	Month/year work began
City	State	Zip Code	\$	Month/year work ended
			\$	

Project
information

Project number	Project location			
Project owner	Address	City	State	Zip code
Did you have employees work on this project? <input type="checkbox"/> Yes <input type="checkbox"/> No If no, who did the work?				

Contractor type

Check the box that describes your involvement in the project and fill in all information requested.

☐ **Sole contractor**

☐ **Subcontractor**

Name of contractor who hired you

Address

☐ **Prime contractor**—If you subcontracted out any work on this project, all of your subcontractors must file their own IC134 affidavits and have them certified by the Department of Revenue *before* you can file your affidavit. For each subcontractor you had, fill in the information below and attach a copy of each subcontractor's certified IC134. If you need more space, attach a separate sheet.

Business name	Address	Owner/Officer

Sign here

I declare that all information I have filled in on this form is true and complete to the best of my knowledge and belief. I authorize the Department of Revenue to disclose pertinent information relating to this project, including sending copies of this form, to the prime contractor if I am a subcontractor, and to any subcontractors if I am a prime contractor, and to the contracting agency.

Contractor's signature	Title	Date
------------------------	-------	------

Mail to: Minnesota Revenue, Mail Station 6610, St. Paul, MN 55146-6610

Certificate of Compliance

Based on records of the Minnesota Department of Revenue, I certify that the contractor who has signed this certificate has fulfilled all the requirements of Minnesota Statutes 290.92 and 270C.66 concerning the withholding of Minnesota income tax from wages paid to employees relating to contract services with the state of Minnesota and/or its subdivisions.

Department of Revenue approval

Date

Instructions for Form IC134

Who must file

If you are a prime contractor, a contractor or a subcontractor who did work on a project for the state of Minnesota or any of its local government subdivisions — such as a county, city or school district — you must file Form IC134 with the Minnesota Department of Revenue.

This affidavit must be certified and returned before the state or any of its subdivisions can make final payment for your work.

If you're a prime contractor and a subcontractor on the same project

If you were hired as a subcontractor to do work on a project, and you subcontracted all or a part of your portion of the project to another contractor, you are a prime contractor as well. Complete both the subcontractor and prime contractor areas on a single form.

When to file

The IC134 cannot be processed until you finish the work. If you submit the form before the project is completed, it will be returned to you unprocessed. Mail Form IC134 to the address at the bottom of the form.

If you are a subcontractor or sole contractor, send in the form when you have completed your part of the project.

If you are a prime contractor, send in the form when the entire project is completed and you have received certified affidavits from all of your subcontractors.

How to file

If you have fulfilled the requirements of Minnesota withholding tax laws, the Department of Revenue will sign your affidavit and return it to you.

If any withholding payments are due to the state, Minnesota law requires certified payments before we approve the IC134.

Submit the certified affidavit to the government unit for which the work was done to receive your final payment. If you are a subcontractor, submit the certified affidavit to your prime contractor to receive your final payment.

Minnesota tax ID number

You must enter your Minnesota tax ID number on the form. You must have a Minnesota tax ID number if you have employees who work in Minnesota.

If you don't have a Minnesota ID number, you must apply for one. Call 651-282-5225.

An applications (Form ABR) is also available on our website at www.taxes.state.mn.us.

If you have no employees and did all the work yourself, you do not need a Minnesota tax ID number. If this is the case, enter your Social Security number in the space for Minnesota tax ID number and explain who did the work.

Information and assistance

If you need help or more information to complete this form, call 651-282-9999.

Additional forms are available on our website at www.taxes.state.mn.us or by calling 651-296-4444. TTY: Call 711 for Minnesota Relay.

We'll provide information in other formats upon request to persons with disabilities.

Use of information

The Department of Revenue needs all the information to determine if you have met all state income tax withholding requirements. If all required information is not provided, the IC134 will be returned to you for completion.

All information on this affidavit is private by state law. It cannot be given to others without your permission, except to the Internal Revenue Service, other states that guarantee the same privacy and certain government agencies as provided by law.



Mn/DOT MONTH END TRUCKING REPORT INSTRUCTIONS

Any contractor that obtains trucking services from Multiple Truck Owners – MTOs (includes Trucking Firms and Brokers) and/or Independent Truck Owner/Operators – ITOs, to perform and/or provide covered hauling activities under a contract that is funded in whole or in part with state funds, must complete and submit the Mn/DOT Month-End Trucking Report. The Report is made up of two components: 1) Statement of Compliance Form; and 2) MTO “Form A” and/or ITO “Form B.”

All required trucking documentation must be submitted in accordance with the provisions found near the bottom of the Mn/DOT Month-End Trucking Report Statement of Compliance form. “Form A” allows the contractor to document the hiring of MTOs. “Form B” allows the contractor to document the hiring of ITOs. Each form allows for the documentation of up to four MTOs and ITOs and must be completed in its entirety; additional sheets may be attached as necessary.

Instructions regarding the completion of the Mn/DOT Month-End Trucking Report can be found below and correlate directly to the letters located on each form. The instructions are separated into three sections: General Form Instructions – “Form A” & “Form B” (A – D); “Form A” – Multiple Truck Owner Form Instructions (E – K); and “Form B” – Independent Truck Owner/Operator Form Instructions (L – R).

Note: The Minnesota Department of Revenue requires that all entities receiving funds from the state of Minnesota (either directly or indirectly) must complete a Form IC134 (see www.taxes.state.mn.us/taxes/withholding, Fact Sheet 13 or call 651-282-9999).

GENERAL FORM INSTRUCTIONS – “FORM A” & “FORM B” (A – D)

- A. Each report must be numbered in sequential order. The first report submitted shall be denoted as #1, the second report submitted as #2 and so on. The final report submitted should be labeled “FINAL.”
- B. Specify the month and year for which the report applies.
- C. Specify the state project number. The project number can be obtained from the Prime Contractor’s project/contract proposal or from the Project Engineer. If the contract has multiple project numbers, please provide the lowest project number.
- D. Specify the hiring contractor’s legal company name.

“FORM A” – MULTIPLE TRUCK OWNER (MTOs) FORM INSTRUCTIONS (E – K)

In accordance with Minnesota Rules 5200.1106, Subpart 10 and the contract provisions, this form shall be completed by the entity that acquires the services of an MTO and is applicable to all MTOs that are hired to provide hauling activities. In addition to the information that is provided by the hiring entity, the MTO is required to submit certified payroll reports and/or month-end trucking reports. If the MTO did not hire other trucks, they should submit, along with the certified payroll information, a Month-End Trucking Report Statement of Compliance Form listing “O” trucks hired. Please refer to Minnesota Rules 5200.1106, Subpart 7(B)(C), for a definition of an MTO (i.e., trucking firm or trucking broker).

- E. Please note – all fields are required: MTOs legal company name, street address, city, state, zip code, contact name, telephone number, US DOT#, federal tax id number and MN state tax id number.

- F. Indicate the number of trucks provided per day by the MTO.
- G. Specify the hourly rate paid to the MTO for each applicable truck type during the month reported.
- H. Please specify the total number of hours charged to the hiring contractor by the MTO, per truck type during the month reported.
- I. Specify the total amount paid to the MTO per truck type during the reported month.
- J. Indicate the hourly broker fee assessed if applicable. Please note, Prime Contractors and Subcontractors are not permitted to assess a broker fee. Multiple broker fees may not be charged for the same truck.
- K. Enter column totals for Column H (total hours charged per truck type) and Column I (total paid (G x H = I)).

“FORM B” – INDEPENDENT TRUCK OWNER/OPERATOR (ITOs) FORM INSTRUCTIONS (L – R)

In accordance with Minnesota Rules 5200.1106, Subpart 10 and the contract provisions, this form shall be completed by the entity that acquires the services of an ITO and is applicable to all ITOs that are hired to perform hauling activities. Please note, Minnesota Rules 5200.1106, Subpart 7(A), defines an ITO as an individual, partnership, or principal stockholder of a corporation who owns or holds a vehicle under lease and who contracts that vehicle and the owner's services to an entity which provides construction services to a public works project.

- L. Please note – all fields are required: ITOs legal company name and/or truck driver's full name, street address, city, state, zip code, telephone number, truck/unit number associated with the truck, USDOT# noted on the truck, the truck's license plate number including all alpha and numeric characters on the plate, federal tax id number and MN state tax id number.
- M. Indicate the hours charged per day by the ITO.
- N. Specify the hourly rate paid to the ITO for each applicable truck type during the month reported.
- O. Please specify the total number of hours charged to the hiring contractor by the ITO during the month reported.
- P. Specify the total amount paid to the ITO per truck type during the reported month.
- Q. Check the appropriate box regarding whether or not the ITO owns or leases the truck. The hiring entity shall obtain, review and retain the required information pursuant to *Minnesota Rules 5200.1106, Subpart 9 and Minnesota Rules 5200.1106, Subpart 7(A)(1-6)*.
- R. Indicate the hourly broker fee assessed if applicable. Please note, Prime Contractors and Subcontractors are not permitted to assess a broker fee. Multiple broker fees may not be charged for the same truck.

"FORM A" (12-10)**MTO Month-End Trucking Report
Multiple Truck Owner(s)**

To Complete This Form Refer to Instructions E through K

[A] Report Number:

[B] Month and Year:

[C] State Project Number(s):

[D] Hiring Contractor's Legal Company Name:

[E]

[F]

[G]

[H]

[I]

Legal Company Name		Date of Month Number of Trucks Per Day						Hourly Rate Paid Per Truck Type	Total Hours Charged Per Truck Type	Total Paid (G x H = I)
Street Address		1	2	3	4	5	6	Tractor Only \$		
City, State and Zip Code		7	8	9	10	11	12	Tractor Trailer \$		
Contact Name		13	14	15	16	17	18	5+ Axle \$		
Telephone Number	US DOT Number	19	20	21	22	23	24	4 Axle \$		
Federal Tax ID Number	MN Tax ID Number	25	26	27	28	29	30	3 Axle \$		
A Certified Payroll Report (including EE013 Report) and/or Appropriate Month-End Trucking Report must be submitted by this MTO with this Month-End Trucking Report		31	[J] Hourly Broker Fee (if applicable) \$					[K] Total		

Legal Company Name		Date of Month Number of Trucks Per Day						Hourly Rate Paid Per Truck Type	Total Hours Charged Per Truck Type	Total Paid (G x H = I)
Street Address		1	2	3	4	5	6	Tractor Only \$		
City, State and Zip Code		7	8	9	10	11	12	Tractor Trailer \$		
Contact Name		13	14	15	16	17	18	5+ Axle \$		
Telephone Number	US DOT Number	19	20	21	22	23	24	4 Axle \$		
Federal Tax ID Number	MN Tax ID Number	25	26	27	28	29	30	3 Axle \$		
A Certified Payroll Report (including EE013 Report) and/or Appropriate Month-End Trucking Report must be submitted by this MTO with this Month-End Trucking Report		31	[J] Hourly Broker Fee (if applicable) \$					[K] Total		

Legal Company Name		Date of Month Number of Trucks Per Day						Hourly Rate Paid Per Truck Type	Total Hours Charged Per Truck Type	Total Paid (G x H = I)
Street Address		1	2	3	4	5	6	Tractor Only \$		
City, State and Zip Code		7	8	9	10	11	12	Tractor Trailer \$		
Contact Name		13	14	15	16	17	18	5+ Axle \$		
Telephone Number	US DOT Number	19	20	21	22	23	24	4 Axle \$		
Federal Tax ID Number	MN Tax ID Number	25	26	27	28	29	30	3 Axle \$		
A Certified Payroll Report (including EE013 Report) and/or Appropriate Month-End Trucking Report must be submitted by this MTO with this Month-End Trucking Report		31	[J] Hourly Broker Fee (if applicable) \$					[K] Total		

Legal Company Name		Date of Month Number of Trucks Per Day						Hourly Rate Paid Per Truck Type	Total Hours Charged Per Truck Type	Total Paid (G x H = I)
Street Address		1	2	3	4	5	6	Tractor Only \$		
City, State and Zip Code		7	8	9	10	11	12	Tractor Trailer \$		
Contact Name		13	14	15	16	17	18	5+ Axle \$		
Telephone Number	US DOT Number	19	20	21	22	23	24	4 Axle \$		
Federal Tax ID Number	MN Tax ID Number	25	26	27	28	29	30	3 Axle \$		
A Certified Payroll Report (including EE013 Report) and/or Appropriate Month-End Trucking Report must be submitted by this MTO with this Month-End Trucking Report		31	[J] Hourly Broker Fee (if applicable) \$					[K] Total		

"FORM B" (12-10)

[A] Report Number:

[B] Month and Year:

**ITO Month-End Trucking Report
Independent Truck Owner/Operator(s)**

[C] State Project Number(s):

[D] Hiring Contractor's Legal Company Name:

To Complete This Form Refer to Instructions L through R

[L]		[M]						[N]	[O]	[P]
Legal Company Name		Date of Month Hours Charged Per Day						Hourly Rate Paid Per Truck Type	Total Hours Charged Per Truck Type	Total Paid (N x O = P)
Driver's Name		1	2	3	4	5	6	Tractor Only \$		
Street Address		7	8	9	10	11	12	Tractor Trailer \$		
City, State and Zip Code		13	14	15	16	17	18	5+ Axle \$		
Telephone Number	Truck/Unit Number	19	20	21	22	23	24	4 Axle \$		
US DOT Number	License Plate Number	25	26	27	28	29	30	3 Axle \$		
Federal Tax ID Number	MN Tax ID Number	31						[Q] Does the Driver <input type="checkbox"/> Own OR <input type="checkbox"/> Lease	[R] Hourly Broker Fee (if applicable) \$	
Legal Company Name		Date of Month Hours Charged Per Day						Hourly Rate Paid Per Truck Type	Total Hours Charged Per Truck Type	Total Paid (N x O = P)
Driver's Name		1	2	3	4	5	6	Tractor Only \$		
Street Address		7	8	9	10	11	12	Tractor Trailer \$		
City, State and Zip Code		13	14	15	16	17	18	5+ Axle \$		
Telephone Number	Truck/Unit Number	19	20	21	22	23	24	4 Axle \$		
US DOT Number	License Plate Number	25	26	27	28	29	30	3 Axle \$		
Federal Tax ID Number	MN Tax ID Number	31						[Q] Does the Driver <input type="checkbox"/> Own OR <input type="checkbox"/> Lease	[R] Hourly Broker Fee (if applicable) \$	
Legal Company Name		Date of Month Hours Charged Per Day						Hourly Rate Paid Per Truck Type	Total Hours Charged Per Truck Type	Total Paid (N x O = P)
Driver's Name		1	2	3	4	5	6	Tractor Only \$		
Street Address		7	8	9	10	11	12	Tractor Trailer \$		
City, State and Zip Code		13	14	15	16	17	18	5+ Axle \$		
Telephone Number	Truck/Unit Number	19	20	21	22	23	24	4 Axle \$		
US DOT Number	License Plate Number	25	26	27	28	29	30	3 Axle \$		
Federal Tax ID Number	MN Tax ID Number	31						[Q] Does the Driver <input type="checkbox"/> Own OR <input type="checkbox"/> Lease	[R] Hourly Broker Fee (if applicable) \$	
Legal Company Name		Date of Month Hours Charged Per Day						Hourly Rate Paid Per Truck Type	Total Hours Charged Per Truck Type	Total Paid (N x O = P)
Driver's Name		1	2	3	4	5	6	Tractor Only \$		
Street Address		7	8	9	10	11	12	Tractor Trailer \$		
City, State and Zip Code		13	14	15	16	17	18	5+ Axle \$		
Telephone Number	Truck/Unit Number	19	20	21	22	23	24	4 Axle \$		
US DOT Number	License Plate Number	25	26	27	28	29	30	3 Axle \$		
Federal Tax ID Number	MN Tax ID Number	31						[Q] Does the Driver <input type="checkbox"/> Own OR <input type="checkbox"/> Lease	[R] Hourly Broker Fee (if applicable) \$	
Legal Company Name		Date of Month Hours Charged Per Day						Hourly Rate Paid Per Truck Type	Total Hours Charged Per Truck Type	Total Paid (N x O = P)
Driver's Name		1	2	3	4	5	6	Tractor Only \$		
Street Address		7	8	9	10	11	12	Tractor Trailer \$		
City, State and Zip Code		13	14	15	16	17	18	5+ Axle \$		
Telephone Number	Truck/Unit Number	19	20	21	22	23	24	4 Axle \$		
US DOT Number	License Plate Number	25	26	27	28	29	30	3 Axle \$		
Federal Tax ID Number	MN Tax ID Number	31						[Q] Does the Driver <input type="checkbox"/> Own OR <input type="checkbox"/> Lease	[R] Hourly Broker Fee (if applicable) \$	



MINNESOTA DEPARTMENT OF TRANSPORTATION

MONTH-END TRUCKING REPORT STATEMENT OF COMPLIANCE

REPORT #	STATE PROJECT NUMBER(S)	FEDERAL PROJECT NUMBER(S)
CONTRACTOR'S NAME		CONTRACT NUMBER(S)
ADDRESS (Street, City, State and Zip Code)		PROJECT LOCATION
TELEPHONE NUMBER		PLEASE CHECK THE TYPE OF CONTRACTOR: <input type="checkbox"/> PRIME <input type="checkbox"/> SUBCONTRACTOR <input type="checkbox"/> TRUCKING CO. <input type="checkbox"/> BROKER

I, _____, _____ for the contractor listed above, do hereby state that:
 (Contractor Representative) (Title)

- I pay or supervise the payment of all Multiple Truck Owners (MTOs), which includes Trucking Firms, Brokers, and/or Independent Truck Owner Operators (ITOs) hired by the above listed contractor for this contract; that during _____, 20_____,
 I paid _____ MTOs and/or ITOs to perform hauling activities for this contract.
 (Month) (Year)
 (Number of Entities)
- All MTOs and/or ITOs hired by the above listed Contractor to perform hauling activities for this contract are listed on the Month-End Trucking Report and have been paid truck rental rates for all hours worked pursuant with the Minnesota Department of Labor and Industry's Truck Rental Rate decision incorporated into this contract and in accordance with the contract provisions, Minnesota Statutes 177.41 – 177.44, and Minnesota Rules 5200.1000 – 5200.1120.
- No rebate or deduction has or shall be made, either directly or indirectly, to or on behalf of the above listed Contractor from the full payment owed, except permissible deductions established in Minnesota Rule 5200.1106.
- All subcontractor agreements, contracts or purchase orders executed between the above listed Contractor and all MTOs and/or ITOs contain language consistent with the contract Labor Provisions, including Wage Decision(s) and the Truck Rental Rate decision incorporated into the above referenced contract.
- All Certified Payroll Reports and Month-End Trucking Reports submitted by the subcontractors, MTOs and/or ITOs performing hauling activities for this contract shall be submitted in accordance with the Contract Labor Provisions.

The willful falsification of any of the above statements may subject the Contractor to civil or criminal prosecution under federal and/or state law. See Minnesota Statutes 15C; 16B; 161.315, Subdivision 2; 177.43, Subdivision 5; 177.44, Subdivision 6; 609.63; or United States Code 18 U.S.C. 1001, 31 U.S.C. 231, CFR 5.12.

NAME AND TITLE OF CONTRACTOR REPRESENTATIVE (Print)	SIGNATURE	DATE
As a representative of the contractor submitting the attached Month-End Trucking Report identified above, I hereby certify that this report is true, complete and accurate to the best of my knowledge.		

NAME AND TITLE OF PRIME CONTRACTOR (Print)	SIGNATURE	DATE
As a representative of the Prime Contractor, I have reviewed the attached forms and certify to the best of my knowledge that they accurately reflect operations of this company on this project and meet the contract requirements for this project.		

* **Subcontractors / Trucking Firms / Brokers** (as defined by Minnesota Rules 5200.1105 and 5200.1106 and Minnesota Statutes Sections 177.41 to 177.44), must submit this report, along with the Month-End Trucking Report to the **Prime Contractor** within **five working days** after the month ending date.

** The **Prime Contractor** must submit all trucking related reports to the **Project Engineer** within **ten working days** after the month ending date.

**Request To Sublet Form Summary (Standard Specification 1801)**

☆ This form shall be used in conjunction with the Mn/DOT, TP-21834, Request To Sublet Form to determine compliance pursuant with Mn/DOT Standard Specification, Section 1801.

Prime Contractor / Project Information

Prime Contractor:	Telephone Number:
Project Location:	State Project #:
Total Contract Amount: \$	% of Contract Subcontracted:

SUMMARY OF FIRST TIER SUBCONTRACTORS "ONLY"

Ref. #	Subcontractor Name	Total Amount Subcontracted	Percentage Subcontracted
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
TOTALS:		\$	

Important Considerations

The Prime Contractor's organization shall perform work amounting to not less than 40 percent of the total original Contract. However, contracts with Disadvantaged Business Enterprise (DBE) or Targeted Group Business (TGB) established goals, or both, the Contractor's organization shall perform work amounting to not less than 30 percent of the total original Contract.

A First Tier Subcontractor shall only sublet up to 50 percent of its original Contract with the Prime Contractor.

A Second Tier Subcontractor shall not sublet any portion of its work under the Contract.

Upon request, the Prime Contractor shall provide a copy of any or all written subcontracts to the Project Engineer or Department.

All subcontractors performing work under a contract must submit a Minnesota Department of Revenue, IC-134 form to the department before the State of Minnesota or any of its subdivisions can make a final payment to the Contractor.

Questions can be directed to the Labor Compliance Unit at (651) 366-4209 or (651) 366-4204.

Prime Contractor Information

Prime Contractor:	Telephone Number: ()
State Project Number:	Fax Number: ()
Project Location:	Email:

Important Notices and Instructions

1. The Prime Contractor must complete all sections of this form, acquire all applicable signatures and submit it to the Project Engineer (P.E.) **10 days** prior to the first day of work for each Subcontractor; if necessary, the Prime Contractor may attach additional sheets. In order to ensure compliance with Mn/DOT Specification 1801, the Prime Contractor shall utilize the Request to Sublet Summary Form; <http://www.dot.state.mn.us/const/labor/documents/contractdocs/rtssummary.xls>
2. The Prime Contractor's organization shall perform work amounting to not less than 40 percent of the total original Contract. If the contract contains Disadvantaged Business Enterprise (DBE) and/or Targeted Group Business (TGB) established goals, the Prime Contractor's organization shall perform work amounting to not less than 30 percent of the total original Contract.
3. A First Tier Subcontractor may sublet up to 50 percent of its original Contract.
4. A Second Tier Subcontractor may not sublet any portion of its work under the Contract.
5. Upon approval, the P.E. will sign the form and provide a copy to the Prime Contractor.
6. Upon request, the Prime Contractor will provide a copy of its subcontracts to the P.E. or the Department.
7. Each Subcontractor must complete and submit a IC-134 form to the Department before the State of Minnesota or its Subdivisions will issue final payment to the Prime Contractor.

First Tier Subcontractor Information

First Tier Subcontractor:	Federal Tax I.D. Number:
Street Address:	State Tax I.D. Number:
City, State, Zip Code:	Email:
Telephone Number: ()	Certified DBE Contractor: <input type="checkbox"/> Yes <input type="checkbox"/> No
Fax Number: ()	Currently Debarred or Suspended: <input type="checkbox"/> Yes <input type="checkbox"/> No

Specification or Item No.	Specification or Item Description	Quantity	Unit of Measurement	Unit Price	Amount
The Prime Contractor and/or First Tier Subcontractors shall not sublet any portion of its Contract without prior written consent from the P.E.				<u>Total</u> %	<u>Total</u> \$

REPORT NUMBER	STATE PROJECT NUMBERS (S)	DATE
PRIME CONTRACTOR/SUBCONTRACTOR	PHONE NUMBER	CONTRACT NUMBER
ADDRESS		FEDERAL PROJECT NUMBER
TYPE OF WORK		

STATEMENT WITH RESPECT TO COMPLIANCE AND WAGES PAID

(1) That I pay or supervise the payment of the persons employed by _____ on said Contract; that during the payroll period commencing on the _____ day of _____ of the year _____, and ending the _____ day of _____ of the year _____, there were _____ workers performing covered work on said Contract. That all persons performing work under said Contract are listed on the payroll and have been paid the full prevailing wages for all hours worked under said Contract, that no rebates and/or deductions have or will be made either directly or indirectly to or on behalf of _____ (Prime Contractor or Subcontractor) from the full wages by any person, other than permissible deductions as defined in Regulations, Part 3 (29 CFR Subtitle A), issued by the U.S. Secretary of Labor under the Copeland Act, as amended (48 Stat. 948, 63 Stat. 108, 72 Stat. 967; 76 Stat. 357; 40 U.S.C. § 3145) and/or permissible deductions as defined in Minnesota Statutes 177.24, Subdivision 4, 181.06, and 181.79, issued by the Minnesota Commissioner of Labor and Industry and described below.

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

- (b) WHERE FRINGE BENEFITS ARE PAID IN CASH TO ALL WORKERS**

- NOTE---FRINGE BENEFITS SECTION C, D, E, AND SIGNATURE BLOCK IS ON PAGE 2.**

(c) EXCEPTIONS

WORKER NAME	CLASSIFICATION/OCCUPATION	EXPLANATION

(d) BENEFIT PROGRAM INFORMATION in DOLLARS CONTRIBUTED PER HOUR (Must be completed if 4(a) is checked)

PROGRAM TITLE, CLASSIFICATION TITLE, OR INDIVIDUAL WORKERS	HEALTH/ WELFARE	VACATION/ HOLIDAY	APPRENTICESHIP/ TRAINING	PENSION	OTHER INCLUDE TITLE
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$

(e) BENEFIT PROGRAM INFORMATION (Must be completed if 4(a) is checked)

NAME AND ADDRESS OF FRINGE BENEFIT FUND, PLAN, OR PROGRAM ADMINISTRATOR	BENEFIT ACCOUNT NUMBER	THIRD PARTY TRUSTEE AND/OR CONTRACT PERSON	TELEPHONE NUMBER

The willful falsification of any of the above statements may subject the prime contractor or subcontractor to civil or criminal prosecution under federal and/or state law. See Minnesota Statute 15C; 16B; 161.315, Subdivision 2; 177.43, Subdivision 5; 177.44, Subdivision 6; 609.63; or United States Code 18 U.S.C. 1001; 31 U.S.C. 231; CFR 5.12.

NAME AND TITLE OF CONTRACTOR'S REPRESENTATIVE (PRINT)	SIGNATURE	DATE
As a representative of the contractor submitting the attached payroll, I hereby certify that the information is true and accurate to the best of my knowledge.		

NAME AND TITLE OF PRIME CONTRACTOR (PRINT)	SIGNATURE	DATE
As a representative of the Prime Contractor, I have reviewed the attached forms and certify to the best of my knowledge that they accurately reflect operations of this company on this project and meet the contract requirements for this project.		

NOTE: For information regarding this form, submission of payroll records, or copies of the laws stated above, contact the Minnesota Department of Transportation, Labor Compliance Unit, Mail Stop 650, 395 John Ireland Boulevard, St. Paul, Minnesota 55155-1899, or call 651-366-4209 or 651-366-4204.

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

(over)

Date _____

I, _____ (Name of Signatory Party) _____ (Title)
do hereby state:

(1) That I pay or supervise the payment of the persons employed by

_____ (Contractor or Subcontractor) _____ on the

_____ (Building or Work) _____; that during the payroll period commencing on the

_____ day of _____, and ending the _____ day of _____,
all persons employed on said project have been paid the full weekly wages earned, that no rebates have
been or will be made either directly or indirectly to or on behalf of said

_____ (Contractor or Subcontractor) _____ from the full

weekly wages earned by any person and that no deductions have been made either directly or indirectly
from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part
3 (29 C.F.R. Subtitle A), issued by the Secretary of Labor under the Copeland Act, as amended (48 Stat. 948,
63 Stat. 108, 72 Stat. 967; 76 Stat. 357; 40 U.S.C. § 3145), and described below:

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

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

(4) That:

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

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

(b) WHERE FRINGE BENEFITS ARE PAID IN CASH

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

(c) EXCEPTIONS

EXCEPTION (CRAFT)	EXPLANATION

REMARKS:

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

Applicability

The Project or Program to which the construction work covered by this contract pertains is being assisted by the United States of America and the following Federal Labor Standards Provisions are included in this Contract pursuant to the provisions applicable to such Federal assistance.

A. 1. (i) Minimum Wages. 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 29 CFR 5.5(a)(1)(iv); 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 29 CFR 5.5(a)(1)(ii) 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) 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. HUD 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 HUD or its designee 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 HUD or its designee 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 HUD or its designee or will notify HUD or its designee within the 30-day period that additional time is necessary. (Approved by the Office of Management and Budget under OMB control number 1215-0140.)

(c) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and HUD or its designee do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), HUD or its designee shall refer the questions, including the views of all interested parties and the recommendation of HUD or its designee, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise HUD or its designee or will notify HUD or its designee within the 30-day period that additional time is necessary. (Approved by the Office of Management and Budget under OMB Control Number 1215-0140.)

(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. (Approved by the Office of Management and Budget under OMB Control Number 1215-0140.)

2. Withholding. HUD or its designee 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, HUD or its designee 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. HUD or its designee may, after written notice to the contractor, disburse such amounts withheld for and on account of the contractor or subcontractor to the respective employees to whom they are due. The Comptroller General shall make such disbursements in the case of direct Davis-Bacon Act contracts.

3. (i) Payrolls and basic records. Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work 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 I(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 I(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. (Approved by the Office of Management and Budget under OMB Control Numbers 1215-0140 and 1215-0017.)

(ii) (a) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to HUD or its designee 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 sponsor, or owner, as the case may be, for transmission to HUD or its designee. 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 HUD or its designee 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 sponsor, or owner, as the case may be, for transmission to HUD or its designee, 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 subparagraph 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 HUD or its designee. (Approved by the Office of Management and Budget under OMB Control Number 1215-0149.)

(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 29 CFR 5.5 (a)(3)(ii), the appropriate information is being maintained under 29 CFR 5.5(a)(3)(i), and that such information is correct and complete;

(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 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 subparagraph A.3.(ii)(b).

(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.

(iii) The contractor or subcontractor shall make the records required under subparagraph A.3.(i) available for inspection, copying, or transcription by authorized representatives of HUD or its designee 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, HUD or its designee 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. 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, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Office of Apprenticeship Training, Employer and Labor Services or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who

is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency recognized by the Office, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(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 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 29 CFR Part 5 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 will insert in any subcontracts the clauses contained in subparagraphs 1 through 11 in this paragraph A and such other clauses as HUD or its designee may by appropriate instructions require, and a copy of the applicable prevailing wage decision, 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 this paragraph.

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 HUD or its designee, the U.S. Department of Labor, or the employees or their representatives.

10. (i) Certification of Eligibility. 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) or to be

awarded HUD contracts or participate in HUD programs pursuant to 24 CFR Part 24.

(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) or to be awarded HUD contracts or participate in HUD programs pursuant to 24 CFR Part 24.

(iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001. Additionally, U.S. Criminal Code, Section 1 01 0, Title 18, U.S.C., "Federal Housing Administration transactions", provides in part: "Whoever, for the purpose of . . . influencing in any way the action of such Administration..... makes, utters or publishes any statement knowing the same to be false..... shall be fined not more than \$5,000 or imprisoned not more than two years, or both."

11. Complaints, Proceedings, or Testimony by Employees. No laborer or mechanic to whom the wage, salary, or other labor standards provisions of this Contract are applicable shall be discharged or in any other manner discriminated against by the Contractor or any subcontractor because such employee has filed any complaint or instituted or caused to be instituted any proceeding or has testified or is about to testify in any proceeding under or relating to the labor standards applicable under this Contract to his employer.

B. Contract Work Hours and Safety Standards Act. The provisions of this paragraph B are applicable where the amount of the prime contract exceeds \$100,000. 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 the individual is employed on such work to work in excess of 40 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 40 hours in such workweek.

(2) **Violation; liability for unpaid wages; liquidated damages.** In the event of any violation of the clause set forth in subparagraph (1) of this paragraph, 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 subparagraph (1) of this paragraph, 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 40 hours without payment of the overtime wages required by the clause set forth in subparagraph (1) of this paragraph.

(3) Withholding for unpaid wages and liquidated damages. HUD or its designee 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 contract, 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 subparagraph (2) of this paragraph.

(4) Subcontracts. The contractor or subcontractor shall insert in any subcontracts the clauses set forth in subparagraph (1) through (4) of this paragraph 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 subparagraphs (1) through (4) of this paragraph.

C. Health and Safety. The provisions of this paragraph C are applicable where the amount of the prime contract exceeds \$100,000.

(1) No laborer or mechanic shall be required to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous to his health and safety as determined under construction safety and health standards promulgated by the Secretary of Labor by regulation.

(2) The Contractor shall comply with all regulations issued by the Secretary of Labor pursuant to Title 29 Part 1926 and failure to comply may result in imposition of sanctions pursuant to the Contract Work Hours and Safety Standards Act, (Public Law 91-54, 83 Stat 96). 40 USC 3701 et seq.

(3) The contractor shall include the provisions of this paragraph in every subcontract so that such provisions will be binding on each subcontractor. The contractor shall take such action with respect to any subcontractor as the Secretary of Housing and Urban Development or the Secretary of Labor shall direct as a means of enforcing such provisions.

DATA FOR LABOR COST BIDDING

NOTE:

Wage Decisions are subject to change due to lock-in rules and revisions near the bid opening.

**Project No.: 1138
City of Duluth Flood Location Number 420**

Name: Cody Street Slope Repair (Keene Creek)

This project is funded by:

State of Minnesota with federal funding

The base workweek:

Five 8-hour days--OT on daily hours exceeding eight / OT on all hours after 40 per week

The project DOES NOT contain a *project labor agreement (PLA)*.

OVERTIME REQUIREMENTS:

Overtime must be paid on hours worked in excess of eight hours per day. Contractors (including sub-contractors) are not allowed to pay overtime solely on hours in excess of forty per week.

The overtime rate must be paid at NO LESS than the rate of pay as established in the project's wage decision multiplied by one and one-half OR the base rate the employee is being paid if it is higher than the wage decision base rate.

**Project Prevailing Wage Decision: U S DOL Highway 06/15/2012
State of Minnesota Region 1 Highway-Heavy 05/07/2012
State of Minnesota Truck Rental Rates 04/30/2012**

APPENDIX C

INSTRUCTIONS TO BIDDERS

- 1) Use of Separate Bid Forms These contract documents include a complete set of bidding and contract forms which are for the convenience of bidders and are not to be detached from the contract document, completed, or executed. **Separate copies of bid forms are furnished for that purpose.**
- 2) Interpretations or Addenda No oral interpretation will be made to any bidder as to the meaning of the contract documents or any part thereof. Every request for such an interpretation shall be made in writing to the city of Duluth. Any inquiry received seven or more days prior to the date fixed for opening of bids will be given consideration. Every interpretation made to a bidder will be in the form of an addendum to the contract documents, and when issued, will be on file in the office of the city engineer at least five days before bids are opened. In addition, all addenda will be mailed to each person holding contract documents, but it shall be the bidder's responsibility to make inquiry as to the addenda issued. All such addenda shall become part of the contract and all bidders shall be bound by such addenda, whether or not received by the bidders.
- 3) Inspection of Site Each bidder should visit the site of the proposed work and fully acquaint himself with the existing conditions there relating to construction and labor, and should fully inform himself as to the facilities involved, the difficulties, and the restrictions attending the performance of the contract. The bidder should thoroughly examine and familiarize himself with the drawings, technical specifications, and all other contract documents. The contractor, by the execution of the contract, shall in no way be relieved of any obligation under it due to his failure to receive or examine any form or legal instrument or to visit the site and acquaint himself with the conditions there existing; the city of Duluth will be justified in rejecting any claim based on facts regarding which he should have been on notice as a result thereof.
- 4) Alternative Bids No alternative bids or bid items will be considered unless alternative bids are specifically requested by the technical specifications.
- 5) Bids
 - a) All bids must be submitted on forms supplied by the city engineer and shall be subject to all requirements of the contract documents, including the drawings, and these **Instructions to Bidders**. All bids must be regular in every respect; no interlineations, excisions, or special conditions shall be made or included in the bid form by the bidder.
 - b) Bid documents, including the bid and the bid guaranty, shall be enclosed in an envelope which shall be sealed and clearly labeled with the project number, if any, name of bidder, and date and time of bid opening, in order to guard against premature opening of the bid. If the proposal is mailed, this envelope shall be placed in another envelope which shall be sealed and labeled with project number, if any, name of bidder, and date and time of bid opening -- and addressed to city of Duluth purchasing manager, 100 City Hall, Duluth, Minnesota 55802.
 - c) The city of Duluth may consider as irregular any bid on which there is an alteration of or departure from the bid form hereto attached and, at its option, may reject the same.
 - d) If the project is awarded, it will be awarded by the city of Duluth to the lowest responsible bidder assuming that the bids are within funds available based on the lowest base bid and or in combination with selected alternates (if any). The alternates will be accepted in descending order. By the award of the contract, it is assumed that the work will be completed within the time-frame as specified within the contract documents.
 - e) Each bidder shall include in his bid the following information:
 - Principals -- names, home addresses including city, state, and zip code
 - Firm -- name, federal i.d. number, address, city, state, and zip code
 - Mechanical & Electrical Subcontractors -- names of firms that will do the mechanical and electrical work and the amounts of the mechanical and electrical sub-bids, if applicable and when (where indicated on Bid Proposal form).
- 6) Bid Guaranty
 - a) The bid must be accompanied by a bid guaranty which shall not be less than five percent (5%) of the amount of the bid. At the option of the bidder, the guaranty may be a certified check, bank draft, negotiable U.S. Government bond (at par value), or a bid bond. No bid will be considered unless it is accompanied by the required guaranty. Certified check or bank draft must be made payable to the order of the city of Duluth, Minnesota. Cash deposits will not be accepted. The bid guaranty shall insure the execution of the agreement and the furnishing of the surety bond or bonds by the successful bidder, all as required by the contract documents.

- b) Revised bids submitted before the opening of bids, whether forwarded by mail, fax, or in person, if representing an increase in excess of two percent (2%) of the original bid, must have bid guaranty adjusted accordingly; otherwise, the bid will not be considered.
- c) Certified checks or bank drafts, or the amount thereof, bid bonds, and negotiable U.S. Government bonds of unsuccessful bidders, will be returned as soon as practical after the opening of bids.

7) Collusive Agreements

- a) The successful bidder on each city of Duluth construction project shall be required to execute a city of Duluth non-collusive affidavit to the effect that he has not entered into a collusive agreement with any other person, firm, or corporation in regard to any bid submitted.
- b) Before executing any subcontract, the successful bidder shall submit the name of any proposed subcontractor for prior approval on the MnDOT Request to Sublet Form (Standard Specification 1801) TP-21834 (5/18/2007).

- 8) Unit Prices The unit price, for each of the several items in the proposal of each bidder, shall include its prorata share of overhead so that the sum of the products obtained by multiplying the quantity shown for each item by the unit price bid represents the total bid. Any bid not conforming to this requirement may be rejected as informal. The special attention of all bidders is called to this provision; for should conditions make it necessary to revise the quantities, no limit will be fixed for such increased or decreased quantities nor extra compensation allowed, provided the net monetary value of all such additive and subtractive changes in quantities of such items of work (i.e., difference in cost) shall not increase or decrease the original contract price by more than twenty-five percent (25%), except for work not covered in the drawings and technical specifications.

- 9) Corrections Erasures or other changes in the bids must be explained or noted over the signature of the bidder.

10) Time for Receiving Bids

- a) Bids received prior to the advertised hour of opening will be securely kept, sealed. The officer, whose duty it is to open them, will decide when the specified time has arrived and no bid received thereafter will be considered; except that when a bid arrives by mail after the time fixed for opening, but before the reading of all other bids is completed, and it is shown to the satisfaction of the city purchasing office that the non-arrival on time was due solely to delay in the mails for which the bidder was not responsible, such bid will be received and considered.
- b) Bidders are cautioned that, while fax modifications of bids may be received as provided above, such modifications, if not explicit and if in any sense subject to misinterpretation, shall make the bid so modified or amended, subject to rejection.

- 11) Opening of Bids At the time and place fixed for the opening of bids, the city purchasing manager will cause to be opened and publicly read aloud every bid received within the time set for receiving bids, irrespective of any irregularities therein. Bidders and other persons properly interested may be present in person or by representative.

- 12) Withdrawal of Bids Bids may be withdrawn on written or faxed request dispatched by the bidder in time for delivery in the normal course of business to the time fixed for opening; provided, that written confirmation of any faxed withdrawal over the signature of the bidder is placed in the mail and postmarked prior to the time set for bid opening. The bid guaranty of any bidder withdrawing his bid in accordance with the foregoing conditions will be returned promptly.

13) Award of Contract: Rejection of Bids

- a) The contract will be awarded to the responsible bidder submitting the lowest bid complying with the conditions of the Invitation to Bid. The bidder, to whom the award is made, will be notified at the earliest possible date. The city of Duluth, however, reserves the right to reject any and all such bids and to waive any informality in bids received whenever such rejection or waiver is in its interest.
- b) The city of Duluth reserves the right to consider as unqualified to do the work of general construction, any bidder who does not habitually perform with his own forces the major portions of the work involved in construction of the improvements embraced in the contract documents. A project labor agreement will be included in all contracts exceeding \$150,000.

14) Execution of Agreement: Performance and Payment Bond.

- a) Subsequent to the award and within ten (10) days after the prescribed forms are presented for signature, the successful bidder shall execute and deliver to the city of Duluth an agreement in the form as furnished by the City, in such number of copies as the city of Duluth may require.
- b) Having satisfied all conditions of award as set forth elsewhere in these documents, the successful bidder shall, within the period specified in paragraph "a" above, furnish:
 - 1) A performance bond for the use and benefit of the city of Duluth to complete the contract according to its terms, and conditioned on saving the city of Duluth harmless from all costs and charges that may accrue on account of completing the specified work; and
 - 2) A payment bond for the use and benefit of all persons furnishing labor and materials for the performance of the contract conditioned upon the payment, as they become due, of all just claims for labor and materials.

Both the performance bond and the payment bond shall be in a penal sum of not less than the amount of the contract awarded. Such bonds shall be in the same form as that included in the contract documents and shall bear the same date as, or a date subsequent to, that of the agreement. A current power of attorney for the person who signs for any surety company shall be attached to such bonds.

- c) The failure of the successful bidder to execute such agreement to supply the required bond or bonds within ten (10) days after the prescribed forms are presented for signature, or within such extended period as the city of Duluth may grant, based on reasons determined sufficient by the city of Duluth, shall constitute a default, and the city of Duluth may either award the contract to the next lowest responsible bidder or re-advertise for bids, and may charge against the bidder the difference between the amount of the bid and the amount for which a contract for the work is subsequently executed, irrespective of whether the amount thus due exceeds the amount of the bid bond. If a more favorable bid is received by re-advertising, the defaulting bidder shall have no claim against the city of Duluth for a refund.

15) Wages and Salaries

- a) Attention of bidders is particularly called to the requirements concerning the payment of not less than the prevailing wage and fringe benefit rates specified in the contract documents and the conditions of employment with respect to certain categories and classifications of employees.
- b) The rates of pay set forth in prevailing wage schedule(s) are *potentially* the minimums to be paid during the life of the contract. Project funding sources, bid opening date, contract award date, and the contract start date may be factors resulting in a change of prevailing wage schedules. It is, therefore, the responsibility of bidders to inform themselves as to local labor conditions, such as the length of work day hours in conjunction with the project's funding sources, overtime compensation, health and welfare contributions, labor supply, and prospective changes or adjustments of rates. A project labor agreement will be included in all contracts exceeding \$150,000.

- 16) Equal Employment Opportunity Attention of bidders is particularly called to the requirement for ensuring that employees and applicants for employment are not discriminated against because of their race, color, religion, sex, or national origin. (See Supplementary General Conditions, Part II, Section 11).

- 17) Employment and Business Attention of bidders is particularly called to the requirement that, to the greatest extent feasible, opportunities for training and employment made possible by this project shall be given to lower income residents of the city of Duluth. Additionally, if any work is subcontracted, efforts should be made to award subcontracts to concerns located in or owned in substantial part by persons residing in the city of Duluth.

- 18) Sales and Use Taxes It is assumed that, in the preparation of his proposal, the bidder has taken into consideration his/her liability from any sales, use, or excise tax that might be assessed in the purchase of, storage, use, or consumption of any materials, services, or supplies for performance of the contract work. Any such tax paid by the contractor will be considered as his/her expense, for which no direct compensation will be made by the city to the contractor over and above the accepted bid.

19) Pre-Bid/Pre-Construction Meetings

- a) Should a pre-bid meeting will be held, it will be conducted seven (7) days prior to the bid date (see **Bid Form** for time and place). All prime bidders are requested to attend. All bidders will be allowed to make inquiries regarding the contract documents. All formal decisions will be documented by addendum. Failure of any

prime bidders to attend this meeting could jeopardize the contract award.

- b) Approximately seven (7) days after city council approval of contract award, the successful bidder is required to attend a pre-construction meeting. At this meeting, the successful bidder will present his/her construction schedule, cost breakdown, required submittals, etc.

20) Equal Employment Opportunity (EEO) Affirmative Action Policy Statement and Compliance Certificate.

- a) The successful bidder on each city of Duluth construction project shall be required to execute a certificate substantially in the form herein provided.
- b) Before executing any subcontract in excess of \$2,500, the successful bidder shall require the subcontractor to execute a form similar in nature to the form herein provided.



REQUEST FOR BID
DATE 7/13/2012
BID # 12-14DS

RETURN BY BID OPENING TIME TO:

PURCHASING DIVISION
100 CITY HALL
Duluth, MN 55802
Dennis Sears
PHONE: 218-730-5340
FAX: 218-730-5921

Cody Street Slope Repair (Keene Creek)

BID OPENING AT 2:00 P.M. LOCAL TIME ON THURSDAY, JULY 19, 2012

Note: all bids must be written, signed and transmitted in a sealed envelope, plainly marked with the bid number, subject matter, and opening date. The City of Duluth reserves the right to split award where there is a substantial savings to the City, waive informalities and to reject any and all bids. Bidder should state in proposal if bid price is based on acceptance of total order. Sales tax is not to be included in the unit price. Bidder to state freight chargers if the proposal F.O.B. is shipping point, freight not allowed. Low bid will not be the only consideration for award of bid. All pages shall be signed or initialed by authorized bidder's representative as indicated at the bottom of the page(s) of the request for bid form.

RETURN BID IN DUPLICATE WITH DUPLICATE DESCRIPTIVE LITERATURE
FOR BID RESULTS, ENCLOSE A SELF-ADDRESSED, STAMPED ENVELOPE WITH BID

BID DEPOSIT REQUIREMENTS: 5% OF BID AMOUNT

Deposit shall mean cash, cashier's check or corporate surety bond payable to or in favor of the City of Duluth.

A PERFORMANCE BOND AND A PAYMENT BOND shall be required of the successful bidder, BOTH in the full amount of the bid.

INSURANCE CERTIFICATE required per attached requirements.

Designated F.O.B. Point:

Engineering Division	Tax:	Federal Excise Tax Exemption
Jobsite(s)		Account No. 41-74-0056 K

Vendor Email Address: _____ FREIGHT CHARGE \$ _____

NAME: _____ TOTAL BID PRICE # _____

ADDR1: _____ TO INCLUDE ANY ADDITIONAL PAGES.

ADDR2: _____

ADDR3: _____

BY: _____ PAYMENT TERMS \$ _____

(Print) (Title) F.O.B. POINT \$ _____

(Signature) (Tele. #) DELIVERY DATE \$ _____

The City of Duluth is an Equal Opportunity Employer.

DATE: 7/13/2012
BID #: 12-14DS

*****SCHEDULE OF PRICES*****

Cody Street Slope Repair (Keene Creek)

City Project No. 1138
City of Duluth Flood Location No. 420
Bid No. 12-15DS

Make all extensions and total the bid.

Item No.	Spec. #	Qty	U/OM	Item Description	Unit Price	Total Price
001		1	Each	Exhibit A (Must Be Returned With The Bid)	\$ _____	\$ _____
						TOTAL \$ _____

ADDENDUM RECEIPT ACKNOWLEDGEMENTS:

ADDENDUM NO. _____, DATED _____

ADDENDUM NO. _____, DATED _____

ADDENDUM NO. _____, DATED _____

TOTAL BID IN WORDS:

CONTRACTOR NAME:

THE CONTRACTOR AGREES TO ALL OF THE
PROVISIONS CONTAINED IN THE CONTRACT
DOCUMENTS. ENCLOSED HERewith FIND A
CERTIFIED CHECK OR BID BOND IN THE
AMOUNT OF AT LEAST 5% OF THE AMOUNT OF
PROPOSAL MADE PAYABLE TO THE CITY OF
DULUTH AS A PROPOSAL GUARANTEE WHICH IT
(see additional page(s))

(Initial)

C I T Y O F D U L U T H

DATE: 7/13/2012
BID #: 12-14DS

SUBSCRIBED AND SWORN TO BEFORE ME THIS

DAY OF

A.D.,

NOTARY PUBLIC

IMPORTANT NOTE BIDDERS:
PLEASE DISREGARD THE NOTE ON PAGE 1
REGARDING SALES TAX FOR THIS BID. ALL
APPLICABLE SALES AND/OR USE TAXES ARE
TO BE INCLUDED IN BID PRICING. ALSO,
ALL BIDS ARE TO BE F.O.B. JOBSITE.
THE BLANK ON PAGE ONE FOR FREIGHT IS TO
TO BE LEFT BLANK.

Delivery Contact: Matt Decur
Engineering
218-730-5104

(Initial)

EXHIBIT A

Item No.	Spec. No.	Description	Unit	Est. Qty	Unit Price	Total Price
1	2021.501	MOBILIZATION	LUMP SUM	1		
2	2411.507	CONCRETE HEADWALL	EACH	1		
3	2411.602	CUT REBAR	EACH	25		
4	2461.501	CONCRETE MIX 3A GROUT	CU YD	244		
5	2511.501	RANDOM RIPRAP CLASS I	CU YD	24		
6	2511.501	RANDOM RIPRAP CLASS III	CU YD	278		
7	2511.501	RANDOM RIPRAP CLASS V	CU YD	312		
8	2512.517	GABION	CU YD	30		
9	2512.519	RENET MATTRESS	CU YD	8		
10	2563.601	TRAFFIC CONTROL	LUMP SUM	1		
11	2573.502	SILT FENCE, TYPE HEAVY DUTY	LIN FT	100		
12	2573.540	FILTER LOG TYPE ROCK LOG	LIN FT	250		
13	2573.602	TEMPORARY ROCK CONSTRUCTION ENTRANCE	EACH	1		

GRAND TOTAL: _____

Initial _____

IMPORTANT—NOTICE TO BIDDER

On the envelope submitting your bid, it is imperative

1. That your name and address appear in the UPPER left corner.
2. That the bottom portion of this label be filled in and pasted on the LOWER left corner.

S E A L E D	BID NO.	B I D
	DATE OF OPENING	
	TIME OF OPENING	
	DESCRIPTION	

STIPULATION FOR FOREIGN IRON OR STEEL MATERIALS

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

S.P. _____

STIPULATION FOR FOREIGN IRON OR STEEL MATERIALS

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

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

PAY ITEM NO.	DESCRIPTION OF FOREIGN STEEL OR IRON PRODUCT OR COMPONENT	ESTIMATED QUANTITIES	ESTIMATED INVOICE PRICE

Total Estimated Invoice Price = _____

Percent of Total Bid Price = _____

Contractor Name: _____

Vendor Number: _____

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

**EQUAL EMPLOYMENT OPPORTUNITY (EEO) AFFIRMATIVE ACTION
POLICY STATEMENT & COMPLIANCE CERTIFICATE**

TO: City of Duluth, Minnesota **PROJECT NUMBER & DESCRIPTION** _____

FROM: _____

(FIRM's name, address, telephone number)

A) Employment: It is the policy of the above named FIRM to afford equal opportunity for employment to all individuals regardless of race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance and/or disability. The FIRM will take affirmative action to ensure that we will: (1) recruit, hire, and promote all job classifications without regard to race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance, and/or disability, except where sex is a bona fide occupational qualification; (2) base decisions on employment so as to further the principle of equal employment opportunity; (3) ensure that promotion decisions are in accord with the principles of equal employment opportunity by imposing only valid requirements for promotional opportunities; (4) ensure that all personnel actions such as compensation, benefits, transfers, layoffs, return from layoff, FIRM sponsored training, education tuition assistance, social and recreational programs will be administered without regard to race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance, and/or disability. The FIRM also intends full compliance with Veteran affirmative action requirements. Additionally, minority and female employees shall be encouraged to participate in all FIRM activities and refer applicants.

I have designated (name) _____ to direct the establishment of and to monitor the implementation of personnel procedures to guide the FIRM's affirmative action program. Where PROJECTS exceed \$500,000, this official shall also serve as the liaison officer that administers the FIRM's "Minority Business Enterprise Program." This official is charged with designing and implementing audit and reporting systems that will keep management informed on a monthly basis of the status of the equal opportunity area.

Supervisors have been made to understand that their work performance is being evaluated on the basis of their equal opportunity efforts and results, as well as other criteria. It shall be the responsibility of the FIRM and its supervisors to take actions to prevent harassment of employees placed through affirmative action efforts.

B) Reports: Unless exempted by law and regulation, the FIRM shall make available and file those reports related to equal opportunity as may be required by the City of Duluth and State and Federal compliance agencies. Requirements and Reports are defined in 41CFR60 "Compliance Responsibility for Equal Opportunity" published by the U. S. Department of Labor which is incorporated herein by reference. Additional requirements are defined in various State and Federal Civil Rights Legislation and Rules promulgated thereunder.

C) Nonsegregated Facilities: The FIRM certifies that it does not maintain or provide for its employees any segregated facilities at any of its establishments and that it does not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The FIRM certifies that it will not maintain or provide for its employees any segregated facilities at any of its establishments and that it will not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The FIRM agrees that a breach of this

certification is a violation of the Equal Opportunity Clause in this certificate. As used in this Certification, the term "segregated facilities" means any waiting rooms, work area, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation for entertainment area, transportation, and housing facilities provided for employees which are segregated by explicit directive or are, in fact, segregated on the basis of race, color, religion, or national origin, because of habit, local custom, or otherwise.

- D) Affirmative Action Compliance Program:** Unless exempted by regulation and law, the FIRM—if the FIRM has 50 or more employees and if the value of current contracts with the City of Duluth exceeds \$50,000—shall prepare and maintain a written affirmative action compliance program that meets the requirement as set forth in 41CFR60.
- E) Non-Compliance:** The FIRM certifies that it is not currently in receipt of any outstanding letters of deficiencies, show cause, probable cause, or other such notification of non-compliance with EEO Laws and Regulations.
- F) Employment Goals - "Construction" Projects:** It shall be the goal of the FIRM if the PROJECT is of a construction nature that in all on-site employment generated that no less than 3% of the on-site workforce will be minority employees and that no less than 7% of the on-site workforce will be female employees. Further, it is the goal of the FIRM if the PROJECT is of a construction nature that in all on-site employment generated that no less than 3% of the work hours generated shall be worked by minority employees and that no less than 7% of the work hours generated shall be worked by female employees.
- G) Subcontractors:** The FIRM will for all its PROJECT subcontractors regardless of tier (unless exempted by law and regulation) that received in excess of \$2,500 require that: (1) the subcontractor shall execute an "EEO Statement and Certification" similar in nature to this "Statement and Certification", (2) said documentation to be maintained on file with the FIRM or subcontractor as may be appropriate.

Executed this _____ day of _____, 20__ by:

Printed name and title

Signature

NOTE: In addition to the various remedies prescribed for violation of Equal Opportunity Laws, the penalty for false statements is prescribed in 18 U.S.C. 1001.

THE FOLLOWING CERTIFICATION WITH REGARD TO THE PERFORMANCE OF PREVIOUS CONTRACTS OR SUBCONTRACTS SUBJECT TO THE EQUAL OPPORTUNITY CLAUSE AND THE FILING OF REQUIRED REPORTS SHALL BE EXECUTED BY THE BIDDER.

The bidder hereby certifies the he/she has _____, has not _____, participated in a previous contract or subcontract subject to the equal opportunity clause, as required by Executive Orders 10925, 11114 or 11246, and that he/she has _____, has not _____, filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

(Company)

By: _____

(Title)

Date: _____

Note: The above certification is required by the Equal Employment Opportunity Regulations of the Secretary of Labor (41CFR 60-1.7(b)(1)), and must be submitted by bidders and proposed subcontractors only in connection with contracts and subcontracts which are exempt from the equal opportunity clause. Contracts and subcontracts which are exempt from the equal opportunity clause are set forth in 41 CFR 60-1.5. (Generally only contracts or subcontracts of \$10,000 or under are exempt.)

Currently, Standard Form 100 (EEO-1) is the only report required by Executive Orders or their implementing regulations.

Proposed prime contractors and subcontractors who have participated in a previous contract or subcontract subject to the Executive Orders and have not filed the required reports should note that 41 CFR 60-1.7(b)(1) prevents the award of contracts and subcontracts unless such contractor submits a report covering the delinquent period or such other period specified by the Federal Highway Administration or by the Director, Office of Federal Contract Compliance, U.S. Department of Labor.

NON-COLLUSION AFFIDAVIT

The following Non-Collusion Affidavit shall be executed by the bidder:

State Project No. _____

Federal Project No. _____

State of Minnesota _____)

) ss

County of _____)

I, _____, do state under penalty of
(name of person signing this affidavit)

perjury under 28 U.S.C. 1746 of the laws of the United States:

(1) that I am the authorized representative of _____

(name of person, partnership or corporation submitting this proposal)

and that I have the authority to make this affidavit for and on behalf of said bidder;

(2) that, in connection with this proposal, the said bidder has not either directly or indirectly entered into any agreement, participated in any collusion or otherwise taken any action in restraint of free competitive bidding;

(3) that, to the best of my knowledge and belief, the contents of this proposal have not been communicated by the bidder or by any of his/her employees or agents to any person who is not an employee or agent of the bidder or of the surety on any bond furnished with the proposal and will not be communicated to any person who is not an employee or agent of the bidder or of said surety prior to the official opening of the proposal, and

(4) that I have fully informed myself regarding the accuracy of the statements made in this affidavit.

Signed: _____
(bidder or his authorized representative)

State Project No. 118-188-001 and 118-188-002

City of Duluth Flood Location No. 420

GRAND TOTAL \$ _____

PROPOSAL GUARANTY required by 1208 of the Specifications: "A (certified check) (bond), prepared as required by 1208 of the Specifications and payable to the **City of Duluth** Treasurer, in an amount equal to at least 5% of the total amount of the bid is submitted herewith as a proposal guaranty.

NON-COLLUSION AFFIDAVIT: A Non-Collusion Affidavit is found in this proposal which must be signed by each bidder.

RECEIPT OF ADDENDA as required by 1210 of the Specifications:

The undersigned hereby acknowledges receipt of and has considered:

Addendum No. _____ Dated _____ Addendum No. _____ Dated _____

Addendum No. _____ Dated _____ Addendum No. _____ Dated _____

Signed

EXECUTION OF PROPOSAL as required by 1206 of the Specifications:

This proposal dated the _____ day of _____, 20

Signed: _____, P.O. Address _____ as an individual.

Signed: _____, P.O. Address _____ as an individual.

doing business under the name and style of

Signed: _____, for _____ a partnership.

NAME

BUSINESS ADDRESS

Signed: _____, for _____ a corporation,
incorporated under the laws of the State of Minnesota

Name of President _____ Business Address _____

Name of Vice-President _____ Business Address _____

Name of Secretary _____ Business Address _____

Name of Treasurer _____ Business Address _____

(NOTE: Signatures shall comply with 1206 of the Specifications.)

