



Metro District State Aid Construction

Purpose and Goals

- We are here for You!
- Resources
- eSAM – Electronic State Aid Manual and some specific topics
- Website - <http://www.dot.state.mn.us/stateaid> and some specific topics

- State Aid Rules Chapter 8820
- **State Aid Electronic Manual (eSAM)**
- **State Aid and Metro State Aid Websites**
- State Aid Documentation Manual
- Your Special Provisions, Plans, & Specifications

- Specialty Office Manuals
- Code of Federal Regulations
- FHWA and MnDOT Stewardship and Oversight Agreement
- DCP Agreement and all other Agency and Maintenance Agreements
- MnDOT Contract Administration Manual

State Aid Manual

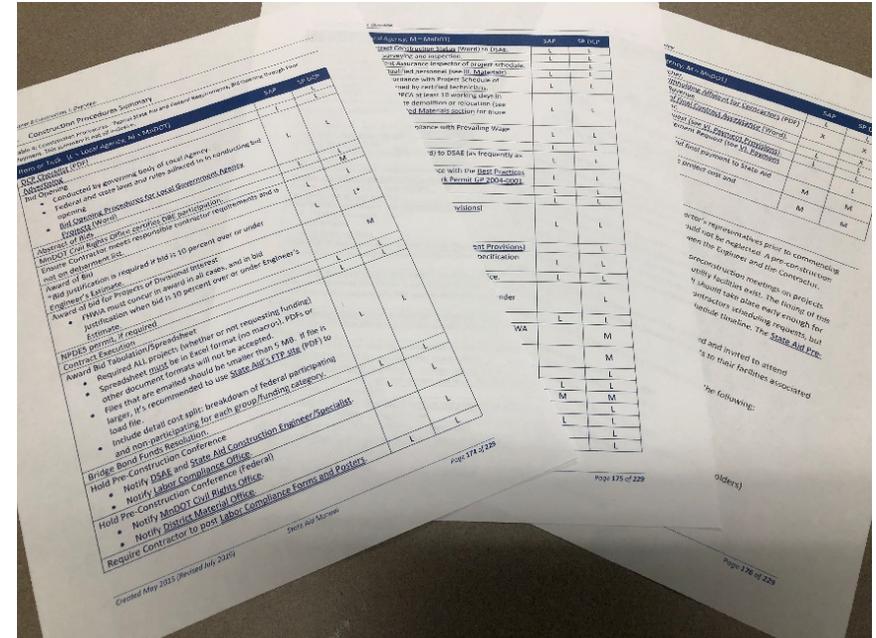
This electronic document contains an overview of all areas of State Aid. Chapter 6, the Construction Chapter, details the Construction process, with many links to forms and guidance documents.

State Aid Manual – Chapter 6 Construction

- Chapter 6 Construction
- I. Overview
- II. Documentation and Reports.....
- III. Materials
- IV. Contract Time and Changes
- V. Subletting and Labor.....
- VI. Payment Provisions

I. Overview - Construction Procedures

- The Overview Section contains the Construction Procedures Summary Table.
- These Construction Procedures are Typical State Aid and Federal Aid Requirements
- Procedures cover from Bid Opening through Final Payment.
- This summary is not all inclusive.



Construction Procedures Summary Table

SAP= State Aid Projects

SP = Federal Aid Projects(Delegated Contract Process)

Item or Task (L = Local Agency, M = MnDOT)	SAP	SP DCP
Submit Change of Contract Construction Status (Word) to DSAE.	L	L
Supervise construction, surveying and inspection.	L	L
Notify MnDOT Independent Assurance Inspector of project schedule.		L
Inspection performed by qualified personnel (see III. Materials)	L	L
Field tests performed in accordance with Project Schedule of Materials Control and performed by certified technicians.	L	L
Contractor officially notifies MPCA at least 10 working days in advance of any building or bridge demolition or relocation (see Contaminated and Other Regulated Materials section for more information).	L	L

**The full table can be found in Chapter 6, I. Overview, C. Construction Procedures of the [State Aid Manual](#).*

Stay current with your documentation
and follow the eSAM!

- Audits may be conducted at any time on any project which contains federal or state aid funds.
- FHWA and MnDOT perform periodic audits to verify compliance with Project Specifications, current policies, rules, statutes and regulations
- Contact State Aid Construction Engineer/Specialist – We Can Help!

II. Documentation and Reports

See Chapter 6, II. Documentation and Reports

- These will help you document the status of the contract:
 - Change in Contract Construction Status
 - Weekly Construction Diary
 - Orders and Agreements
- These will help you sufficiently document contract work items:
 - Project and / or Daily Diary
 - Photography and Videography
 - Documentation of Pay Items & Field Measurements
 - Final Documentation

Change in Contract Construction Status

- Form tracks status of an entire construction project as well as the critical parts.
- The Engineer will complete and submit a Change in Contract Construction Status for State Aid and Federal Aid contracts.
- Important contract dates such as:
 - Date Work Started
 - Suspension(s) and Resumption(s) of Work
 - Semi-Final Completion Date
 - Final Completion Date

Change in Contract Construction Status



STATE AID FOR LOCAL TRANSPORTATION
CHANGE IN CONTRACT CONSTRUCTION STATUS

Rev. February 2018

SP	-	-	Minn. Proj. No.	()
Project Location				
Local Agency			Local Project No.	
Contractor			Contract No.	
Bid Opening Date			Bid Award Date	

STATUS OF ENTIRE CONTRACT

(All dates are to be the actual dates on which the status of the contract has changed. Use a separate form for each date reported.)

Date Notice to Start Work _____

Date Work Started _____ *(First date ANY work performed)*

Date Suspended _____ *(If not the last date of work at suspension, or if the suspension is not authorized by the Engineer, explain in REMARKS)*

Ordered Suspension No. _____ Date _____ *(Explain conditions, limitations, etc. pertaining to the order suspension in REMARKS)*

Date Resumed _____ *(If not first date of work at resumption, e.g., if the contractor fails to resume work following notification of end of suspension period, please explain in REMARKS)*

**The full Change in Contract Construction Status can be found on the Metro State Aid Construction Website*

Work Zones and Lane Closure Notification

- Safety
- Communication
- Coordination



Work Zones and Lane Closure Notification

- Proper coordination maintains access for the public while promoting safety for our work crews.
- Communication to the public and all agencies.
- Construction projects Work Zone & Lane Closure coordination for all agencies is critical.

Work Zones and Lane Closure Notification

- Local Projects impacting Trunk Highway (TH) or National Highway System (NHS) must submit the “Trunk Highway Impact Contact Form”
- Forms and resources accessible on the Metro State Aid Construction Website.



PROJECT CONTACT INFORMATION

After award of the contract the project engineer needs to submit their Trunk Highway Impact Project Contact Information. Email the form prior to construction to:

- Metro Dispatch - MetroMaintDispatcher.DOT@state.mn.us
- Metro Public Affairs - MetPacs.DOT@state.mn.us
- RTMC - kelly.braunig@state.mn.us
- Metro Permits - buck.craig@state.mn.us
- Metro State Aid Construction - michael.pretel@state.mn.us & kyle.puent@state.mn.us

Trunk Highway Impact Projects

All Trunk Highway lane closures, work zone lay-outs & changes need to be pre-approved by MnDOT “Metro Traffic”. Metro Traffic contact information can be found at:

<http://www.dot.state.mn.us/metro/trafficeng/laneclosure/contacts.html>

Date: Field Office Location:
Agency: Phone:
Phone: S.P./S.A.P. Number(s):
Trunk Highway Number(s):
From (include mile marker):

Work Zones and Lane Closure Notification

- Local Projects impacting Trunk Highway or National Highway System require lane closure form submission.



METRO LANE CLOSURE FORM

- Submit Form to MetroLC.DOT@state.mn.us. Submit planned lane closures at least 3 days prior to the lane closure and unplanned closures as soon as possible. Roadway closures require 14 days advanced notice.
- Contact Dispatch by radio or by calling 651-234-7110 at both the start and end of the lane closure.
- Document intrusions and field modifications in your diary.

Closure Metro Central Office Section/Office

Highway # Direction NB SB EB WB

Location **START** (include nearest intersection) MP

Location **END** (include nearest intersection) MP

Type of Closure (check all that apply)

<input type="checkbox"/> Left Lane	<input type="checkbox"/> Right Lane
<input type="checkbox"/> Left Shoulder	<input type="checkbox"/> Right Shoulder
<input type="checkbox"/> Left Turn Lane	<input type="checkbox"/> Right Turn Lane
<input type="checkbox"/> Left 2 Lanes	<input type="checkbox"/> Right 2 Lanes
<input type="checkbox"/> On Ramp	<input type="checkbox"/> Off Ramp
<input type="checkbox"/> Reduced to 1 Lane	<input type="checkbox"/> Reduced to 2 Lanes

Duration

<input type="checkbox"/> Intermediate/Night	<input type="checkbox"/> Mobile
<input type="checkbox"/> Short Term	<input type="checkbox"/> Long Term
<input type="checkbox"/> Short Duration	

Day or Night

<input type="checkbox"/> Day	<input type="checkbox"/> Night	<input type="checkbox"/> 24-Hour
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Permit Restriction

Materials are important for:

- QUALITY
- Payment for work
- Material Certification
- Audit

III. Materials

- See Chapter 6 Construction, III. Materials.
- 8820.2500 MINIMUM STATE-AID STANDARDS.
 - Subp. 2. **Specifications.** “Specifications for construction must be the latest approved Minnesota Department of Transportation specifications, except as modified by special provisions...”
- For federal aid projects, the DCP Agency Agreement (PDF) states that the standard specifications will be the **latest edition of the MnDOT Standard Specifications for Construction** and all amendments thereto.

State Aid Material Guidance

- Materials used on projects must conform to the MnDOT Standard Specifications for Construction and Project Special Provisions including the Schedule of Materials Control.
- State Aid has its own version of the Schedule of Materials Control (SALT) available for use in Contracts not on Trunk Highway or National Highway System routes.
- 2020 Edition of the MNDOT Standard Specifications for Construction to be available this Spring

**See Chapter 6, III. Materials of the [State Aid Manual](#) for further details*

Material Technical Certification

- Construction Staff need to meet a Standard of Performance
 - Consistency
 - Skills and Knowledge

Material Technical Certification

- Materials inspection and testing must be performed by certified personnel.
- Certification of all county, city and contractor inspection and testing personnel is required on all state aid and federal aid construction projects.
- MnDOT provides Technical Certification classes for county or city personnel.
- It is the responsibility of the Local Agency to enroll its staff in these courses.

Material Technical Certification

- Technical certifications expire at the end of five years.
- Technicians must recertify before their certification expires.
- Recertification is for five years.
- Seasonal or temporary employees who will be performing materials testing must be provisionally certified by the MnDOT District Independent Assurance Inspector.

Material Technical Certification

- **Provisional Certification Cards (Provisional testing certificate)** are issued by the MnDOT *Independent Assurance Inspector*.
- Provisional testing certificates are valid only for material testing in the District in which it was issued.
- Provisional certification expires December 31 of the calendar year of issue.
- A Provisional testing certificate is offered once, Individuals who receive a provisional certification must attend formal certification training classes during the next training season.

Material Technical Certification

- On SAP & SP (No Federal Funding & not on TH/NHS), these testers do not need to be checked by MnDOT Independent Assurance Inspectors.
 - On projects with Federal funding, these testers must be checked by MnDOT Independent Assurance Inspectors at least once per year.
 - For further details on the Technical Certification Program and requirements refer to the MnDOT Technical Certification website.
- * <http://www.dot.state.mn.us/const/tcp/about.html>

IV. Contract Time and Changes

Meet your Schedule and Budget

IV. Contract Time and Changes

- *See Chapter 6 Construction, IV. Contract Time and Changes*
- Contract Time
- Working Day Charges
- Suspension of Work
- Contract Changes
- Liquidated Damages
- Claims

Contract Changes / Change Orders

- An independent cost estimate is required to verify new prices added to the contract.
- MnDOT Estimating Unit approval required for changes greater than \$10K
- Change Orders require the signature of the Contractor and the Project Engineer before sending to the DSAE or their delegated authority
- DSAE signs for funding approval – Federal, State Aid, or Local

- Funding eligibility resources available on the State Aid Finance webpage

State Aid Finance

Funding Eligibility & Information



Funding Eligibility

- [Contract Documentation Guidelines](#) (PDF, 345 KB)
- [Items that are not eligible for federal participation](#) (PDF, 215 KB)
- [Right of Way Eligible for State Aid Reimbursement](#) (PDF, 260 KB)

Funding Information

- [Advanced Construction - Planned and Managed](#) (PowerPoint, 170 KB)
- [Federal Funding Agreements](#) (PowerPoint, 1 MB)
- [Funding Information Discussion](#) (PDF, 110 KB)
- [Other Funding "Pots"](#) (PDF, 100 KB)
- [Disaster Information](#)
- [Local Agency Bond Information](#)
- [State Aid Disaster](#) (PowerPoint, 75 KB)
- [State Transportation Bonds](#) (PowerPoint, 1.5 KB)
- [Town Bridge Account Process](#) (PDF, 70 KB)
- [Township Bridge Program - What a Township Boards Needs to Know](#) (PDF, 45 KB)

Contract Changes

- SEQ Determines appropriate funding group designation per line item
 - Finalized after letting
- Change orders require proper pay group funding
- Use applicable pay items for proper pay groups

SP/SAP(s)		MN Project No.:		Change Order No.	
Project Location					
Local Agency		Local Project No.			
Contractor		Contract No.			
Address/City/State/Zip					
Total Change Order Amount \$					

(Describe work and justification for change order.)

Estimate Of Cost: <i>(Include any increases or decreases in contract items, any negotiated or force account items.)</i>						
**Group/funding Category	Item No.	Description	Unit	Unit Price	+ or - Quantity	+ or - Amount \$
Net Change this Change Order						

****Group/funding category is required for federal aid projects**

Due to this change, the contract time: <i>(check one)</i>	
<input type="checkbox"/> Is NOT changed	<input type="checkbox"/> May be revised as provided in MnDOT Specification 1806
<input type="checkbox"/> Is Increased by _____ Working Days	<input type="checkbox"/> Is Increased by _____ Calendar Days
<input type="checkbox"/> Is Decreased by _____ Working Days	<input type="checkbox"/> Is Decreased by _____ Calendar Days

Liquidated Damages

A Tool to Keep your project on Schedule

Liquidated Damages

- The local agency is entitled to Liquidated Damages for failure of the contractor to complete the work within the contract time.
- The local agency will assess a daily charge, not as a penalty, but as Liquidated Damages (LD) to compensate the local agency for the additional costs incurred to administer the contract
- If Special Provision 1807 does not address LD's, then refer to Table 1807.1 in the Standard Specs.
- Pay attention to projects with multiple completion dates and stages

V. Subletting and Labor

- Workers are paid at the prevailing rates and treated fairly
- Subcontractors are eligible

V. Subletting and Labor

- *See Chapter 6 Construction, V. Subletting and Labor of the State Aid Manual for information on how to adequately document your project for the following:*
- Subletting
- Labor Requirements
- Labor Classifications
- Prevailing Wages
- Certified Payroll
- Poster Board

VI. Payment Provisions

- Everyone wants to get paid!
- Finance and Sharon handle the bulk of this

VI. Payment Provisions

- *See Chapter 6 Construction, VI. Payment Provisions of the State Aid Manual for information on how to adequately document your project for the following:*
- Partial Contractor Payment
- Partial Reimbursement Request
- Overruns
- Final Payment to Contractor
- Final Reimbursement Request

- New Rules!

State Law MN Stat. §15.72, Subdivision 2

- Effective August 1, 2019 (contracts signed on or after).
- Retainage must be released 60 days after Substantial Completion. Retainage of 1% of the value of the contract or \$500, whichever is greater.
- Withhold 250% of the cost to correct or complete work known at the time of substantial completion.
- Agencies must give written notice to contractor on what and why they are holding back funds.

Suggestions for inclusion in letter:

- Items of work to be completed or corrected
- Value of work to be completed or corrected including 250% of that value
- Specific corrections (without directing contractor's operations)
- Request for schedule when work will be completed.

- **Take Away**
- If agency adds their own retainage language – they may not be in compliance with the Federal Regulation or State Law.
- Special Provision for Retainage on State Aid Projects has been drafted and under review.
- No longer legal for Public Agency to hold 5% retainage after physical work is done.
- Acceptable for Public Agency to hold 1% or the \$500 retainage for final paperwork.

- **Fundamentals of Construction Inspection**
- Workshop for new inspectors & Covers the following topics:
 - Inspector roles and responsibilities
 - Introduction to site safety
 - Communication and documentation
 - Contract documents
 - Tracking construction progress
 - Understanding plans and specifications
 - Ethics and behavior



- **Fundamentals of Construction Inspection Remaining Schedule**

- **February 18, 2020**—MnDOT District 6, Room Lake Pepin, 2900 48th Street NW, Rochester, MN 55901
- **March 10, 2020**—MnDOT District 7, 2151 Bassett Drive, Mankato, MN 56001
- **March 18, 2020**—MnDOT District 8, 2505 Transportation Road, Willmar, MN 56201
- **March 24, 2020**—St. Paul University of Minnesota Campus - Continuing Education Center, Room 155, 1890 Buford Ave, St. Paul, MN 55108 **[FULL]**

<http://www.mnltap.umn.edu/training/topic/customized/inspection/index.html>

Bridge Structure & Foundation Removal

- Structure & Foundation removal requirements on MnDOT ROW
- 2442 REMOVAL OF EXISTING BRIDGES
 - 2442.3.A
 - “Completely remove all portions of existing bridge to bottom of footing or to an elevation shown in the contract.”



State Aid Website – Construction Tab

- State Aid Construction website contains helpful resources for Cities and Counties.
- Applicable for the construction and project final closeout process.
 - SALT Website
 - Metro State Aid

The State Aid – Construction website is divided up into these areas.

- [Pay Item Forms](#)
- [Testing Forms](#)
- [Contract Administration Forms](#)
- [Information and Resources](#)

Documentation Manual

The [State Aid Documentation Manual](#) provides guidance for the documentation of Pay Items on Local Government Agency Projects, including but not limited to:

- Documentation types
- Invoice Documentation
- Measurement of Quantities
- Rounding procedures
- Material on hand
- Scale Testing & Calibration
- Plan Quantity Documentation
- Compensation for Contract Revisions
- Force Account

- Final checklist (federal aid)
 - Final DCP Payment Request
 - Overrun form
 - Copy of final voucher
 - Copies of all Change Orders
 - Materials Exception Summary
 - Final Inspection Report
 - Cost Distribution spreadsheet
 - State Aid Payment Request
 - Backsheet Item Costs
- Final checklist (state aid)
 - Copy of final voucher
 - Copies of all Change Orders
 - Final Inspection Report
 - Cost Distribution spreadsheet
 - State Aid Payment Request

Questionnaire / Survey

ion!

Questions?

Contact MnDOT Metro District State Aid Construction Group:

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