

2018 TEAM Conference

LPA Workshop

TOPICS

- Prequalification – Jeff Cremer
- Contract Management – Llans Taylor
- Cost Estimating – Patrick Hake
- Letting a Project – Llans Taylor
- Concurrence and Award – Llans Taylor
- Construction Inspection – David Drake
- Project Closeout – Jeff Cremer
- Common Errors – Jeff Cremer
- Questions

CONSULTANT FINANCIAL PRE-QUALIFICATION

Prequalification - Purpose

Provide reasonable assurance a consultants annual overhead rate is prepared in accordance to the Federal Acquisition Regulation (FAR).

- Federal Acquisition Regulation (FAR)
 - Identifies the approved Accounting Structure for federal contracts
 - Regulates allowable & unallowable costs
 - Defines reasonable, allocable, & allowable Costs

- Mandatory Annual Submittal
 - Annual prequalification should be submitted within 6 months of the fiscal year end
 - If Annual Prequalification is not approved before the fiscal year end, consultant will not be eligible to contract with MoDOT or LPA

- Does not have to be an Audited Overhead Rate
 - Audited overhead rates are usually a much quicker review process.

- 4 Step Process
 - 1. Annual Statement of Qualifications
 - 2. A. Secretary of State Certificate of Good Standing
 - 2. B. Missouri Division of Professional Registration
 - For all employees who are a professional engineer, architect, or land surveyor
 - 3. Department of Homeland Security Worker Eligibility – E-Verify Program
 - 4. Financial Documents

Step 1 – Statement of Qualifications

The Annual Statement of Qualifications:

- Outlines qualifications & experience of the consultants staff; much like a RESUME
- **3 Options:**
 - Internal Document
 - Form 254
 - Form 330
- **Statement of Qualifications might be required as part of an RFQ solicitation by MoDOT or LPA**
- **Internal Document**
 - Customized for marketing purposes & solicitation processes
- **Form 254**
 - Outdated but still being accepted by MoDOT
 - Includes work history
- **Form 330**
 - Current Form
 - Part 1
 - Staff qualifications / experience (Resume)
 - Part 2
 - Profile of firms staff
 - Does not include work history

Step 2 – Certificate of Good Standing

- **Part 1:**
 - Must be registered with the Missouri Secretary of State to conduct business
 - Must be in good standing with the Secretary of State
 - Contact Secretary of State to obtain a copy of your Certificate of Good Standing:
 - (866) 223-6535
 - <http://www.sos.mo.gov>.
- **Part 2**
 - Missouri Division of Professional Registration
 - For all Professional Engineers, Architects, & Land Surveyors
 - Corporations & LLC's
 - Must provide a Certificate of Authority
 - Sole Proprietorships
 - Must submit individual license certificates for each staff engineering, surveying, or architect staff

Step 3 – E-Verify

- **Memorandum of Understanding (MOU)**
 - With the Department of Homeland Security
 - Signed by both parties – Homeland Security & the Consulting Firm
 - Does not change year to year
- **Worker Eligibility Affidavit**
 - New affidavit every year
 - Re-affirms firm is still following the terms of the MOU
 - Must be signed & notarized
- **1st page & the signature page of MOU is OK**

Step 4 – Financial Documentation

- **1 year Lag**
 - 2018 Annual Overhead Rate is based on 2017 financial documents
 - Documents should be submitted no more than 6 months after the end of your fiscal year
 - 45-60 day review period

- **5 Required Documents**
 - 1. Financial Prequalification Cover Page
 - Profile of the firm
 - Staff, revenues, expenses, & organizational structure

 - 2. Indirect Cost Rate Schedule (Overhead Rate Schedule)
 - Fringe benefits for the year
 - Indirect cost's
 - Direct labor cost's
 - $\text{Overhead rate} = \text{indirect cost} / \text{direct labor cost}$
 - Complete audit report required – if O/R is audited
 - If O/R is not Audited we'll need:
 - Supporting financial statements
 - Tax return for the given year
 - Must match Contract, Financial Statements, & Invoices

 - 3. National Compensation Matrix
 - Shows allowable compensation expense for all executives
 - Must report actual compensation to executives

 - 4. Certificate of Final Indirect Cost's
 - Certifies that all indirect costs have been removed from overhead rate

 - 5. Internal Control Questionnaire
 - Description of accounting practices

MoDOT Financial Prequalification Cover Sheet

Name of Company:	
Contact Person Name:	
Contact Person Email Address:	
Company Address:	
Phone Number:	
Top Executive Name & Title:	
Top Executive Email Address:	
Top Executive Phone Number:	

Company's Fiscal Year End (mm/dd/yyyy):	
Annual Gross Revenues (most recent completed Fiscal Year):	
Annual Gross Expenditures (most recent completed Fiscal Year):	
Company's Home State:	
Number of Full Time (FTE) employees:	
Number of states company operates in:	
Changes to organizational structure (if yes, please explain):	
Explain your firms depreciation method. <u>(Bonus and Section 179 depreciation is unallowable and must be removed from the overhead):</u>	

Financial Prequalification Required Documentations

Forms are location on the MoDOT - Consultant Services - Consultant Prequalification Requirements
http://contribute.modot.mo.gov/business/consultant_resources/consultant_prequalification_requirements.htm

1) Overhead rate is audited by a state DOT, federal agency or an Independent CPA
PROVIDE:
 Overhead rate audit report
 If applicable, a copy of the state DOT or federal agency cognizant letter

OR

1) Overhead rate is not audited-
PROVIDE the following financial statements:
Amounts listed on the overhead must be traceable to the financial statements.
 a) Detailed overhead rate schedule to include FAR references to define unallowable costs
 b) Income Statement
 c) General Ledger or Trial Balance
 d) Tax Return
 e) Any additional financial documents used to prepare the overhead rate schedule
If a related party rent situation exists
PROVIDE
 f) Related Party Rent worksheet
 g) Related Party's tax return - depreciation amortization schedule

2) Executive Compensation
 3) Contractor Cost Certification
 4) Internal Control Questionnaire (ICQ) - include all documents requested in the ICQ

Step 4 – Financial Documentation

- **1 year Lag**
 - 2018 Annual Overhead Rate is based on 2017 financial documents
 - Documents should be submitted no more than 6 months after the end of your fiscal year
 - 45-60 day review period

- **5 Required Documents**
 - 1. Financial Prequalification Cover Page
 - Profile of the firm
 - Staff, revenues, expenses, & organizational structure

 - 2. Indirect Cost Rate Schedule (Overhead Rate Schedule)
 - Fringe benefits for the year
 - Indirect cost's
 - Direct labor cost's
 - $\text{Overhead rate} = \text{indirect cost} / \text{direct labor cost}$
 - Complete audit report required – if O/R is audited
 - If O/R is not Audited we'll need:
 - Supporting financial statements
 - Tax return for the given year
 - Must match Contract, Financial Statements, & Invoices

 - 3. National Compensation Matrix
 - Shows allowable compensation expense for all executives
 - Must report actual compensation to executives

 - 4. Certificate of Final Indirect Cost's
 - Certifies that all indirect costs have been removed from overhead rate

 - 5. Internal Control Questionnaire
 - Description of accounting practices

SAMPLE FORMAT

XYZ CORPORATION
OVERHEAD SCHEDULE
December 31, 2008

DESCRIPTION	Financial Stmt Expense	Unallowable Expense	FAR Reference	Total Proposed	
Direct Labor	<u>\$12,500,000</u>	<u>\$12,000</u>	(1)	<u>\$12,512,000</u>	B
Fringe Benefits					
Vacation/Holiday/Paid Leave	\$1,700,000			\$1,700,000	
Payroll Taxes	1,550,000			1,550,000	
Group Insurance	1,100,000			1,100,000	
Profit Sharing	1,016,000	(500,000)	(2)	516,000	
Incentive Payments	1,550,000			1,550,000	
Seminars/ Education	400,000			400,000	
Employee Welfare	10,000	(4,000)	(3)	6,000	
Total Fringe Benefits	<u>7,326,000</u>	<u>(504,000)</u>		<u>6,822,000</u>	
General Overhead					
Non-Project Labor	\$ 4,900,000	(12,000)	(1)	4,888,000	B,C
Recruiting	190,000			190,000	
Building Cost (Rent)	1,400,000	(20,000)	(4)	1,380,000	
Other Occupancy Cost	464,000			464,000	
Supplies	380,000			380,000	
Field Supplies & Equipment	100,000			100,000	
Postage & Shipping	78,000			78,000	
Equipment Rent/ Maintenance	386,000			386,000	
Interest	20,000	(20,000)	(5)	—	
Telephone	290,000			290,000	
Business Insurance	194,000			194,000	
Legal & Other Professional Fees	376,000	(25,000)	(6)	351,000	
Administrative Travel	597,000	(30,000)	(7)	567,000	
Dues, Memberships & Reg.	173,000			173,000	
Subscriptions & Publications	41,000			41,000	
Depreciation & Amortization	628,000	(10,000)	(8)	618,000	
Outside Payroll Service	45,000			45,000	
State Income /Personal Prop Tax	27,000			27,000	D
Direct Cost Credit	\$ (833,000)			(833,000)	E
Total General Overhead	<u>\$ 9,456,000</u>	<u>(117,000)</u>		<u>9,339,000</u>	
Total Indirect Cost				<u>\$16,161,000</u>	
Facilities Capital Cost of Money (FCCM)				<u>\$62,505</u>	F
Total Indirect Cost & FCCM				<u>\$16,223,505</u>	
Percent of Direct Labor				<u>129.7%</u>	A

See Next Page for Notes:

Source: AASHTO Uniform Audit & Accounting Guide for Transportation Consultants (2009 Update)

Step 4 – Financial Documentation

- **1 year Lag**
 - 2018 Annual Overhead Rate is based on 2017 financial documents
 - Documents should be submitted no more than 6 months after the end of your fiscal year
 - 45-60 day review period

- **5 Required Documents**
 - 1. Financial Prequalification Cover Page
 - Profile of the firm
 - Staff, revenues, expenses, & organizational structure

 - 2. Indirect Cost Rate Schedule (Overhead Rate Schedule)
 - Fringe benefits for the year
 - Indirect cost's
 - Direct labor cost's
 - $\text{Overhead rate} = \text{indirect cost} / \text{direct labor cost}$
 - Complete audit report required – if O/R is audited
 - If O/R is not Audited we'll need:
 - Supporting financial statements
 - Tax return for the given year
 - Must match Contract, Financial Statements, & Invoices

 - 3. National Compensation Matrix
 - Shows allowable compensation expense for all executives
 - Must report actual compensation to executives

 - 4. Certificate of Final Indirect Cost's
 - Certifies that all indirect costs have been removed from overhead rate

 - 5. Internal Control Questionnaire
 - Description of accounting practices

Figure 1: Sample NCM Compliance Schedule

Company name.....	Firm X
Date prepared.....	3/1/2018
For costs incurred during fiscal year ended.....	12/31/2017
#####	\$5,000,000 (revenue applicable to general engineering, and related, services)

(Steps 1 & 2)		(Step 1)			(Step 3)			(Step 4)	(Step 5)		
Position (Match to NCM Job Descriptions)	Salary	Bonus	Deferred Compensatio n	Other Compensatio n	Total Compensatio n	Adjustment for Unallowable Activities	Adjustment for Unallowable Forms of Compensation	Compensati on Subject to Reasonable- ness Test	NCM Amount	Adjustment : Amount in Excess of NCM	Total Required Adjustmen t
Chief Executive Officer	\$ 255,000	\$ 55,000	\$ 32,000	\$ 23,000	\$ 365,000	\$ (18,000)	\$ (500)	\$ 346,500	\$ 339,051	\$ (7,449)	\$ (25,949)
Chief Financial Officer	204,000	22,000	18,000	28,000	272,000	(17,000)	(500)	254,500	193,449	(61,051)	(78,551)
Senior Vice President	195,840	29,376	17,000	2,584	244,800	(10,000)	(500)	234,300	230,591	(3,709)	(14,209)
Vice President	146,250	35,100	12,000	1,650	195,000	(6,900)	(200)	187,900	204,011	-	(7,100)
Vice President	146,250	38,500	9,000	1,250	195,000	(6,900)	(200)	187,900	204,011	-	(7,100)
Human Resource Direc	165,000	8,000	10,000	5,000	188,000	(8,400)	(100)	179,500	127,264	(52,236)	(60,736)
TOTALS	\$ 1,112,340	\$ 187,976	\$ 98,000	\$ 61,484	\$ 1,459,800	\$ (67,200)	\$ (2,000)	\$ 1,390,600	\$ 1,298,378	\$ (124,444)	\$ (193,644)

I hereby certify that, to the best of my knowledge, this schedule is complete and accurate:

Name and Title (printed or typed)
Signature
Date

(Note: This schedule should be certified by a Company officer/executive.)

Step 4 – Financial Documentation

- **1 year Lag**
 - 2018 Annual Overhead Rate is based on 2017 financial documents
 - Documents should be submitted no more than 6 months after the end of your fiscal year
 - 45-60 day review period

- **5 Required Documents**
 - 1. Financial Prequalification Cover Page
 - Profile of the firm
 - Staff, revenues, expenses, & organizational structure

 - 2. Indirect Cost Rate Schedule (Overhead Rate Schedule)
 - Fringe benefits for the year
 - Indirect cost's
 - Direct labor cost's
 - $\text{Overhead rate} = \text{indirect cost} / \text{direct labor cost}$
 - Complete audit report required – if O/R is audited
 - If O/R is not Audited we'll need:
 - Supporting financial statements
 - Tax return for the given year
 - Must match Contract, Financial Statements, & Invoices

 - 3. National Compensation Matrix
 - Shows allowable compensation expense for all executives
 - Must report actual compensation to executives

 - 4. Certificate of Final Indirect Cost's
 - Certifies that all indirect costs have been removed from overhead rate

 - 5. Internal Control Questionnaire
 - Description of accounting practices

Certificate of Final Indirect Costs

Firm: _____

Indirect Cost Rate Proposal: _____
(Include Home & Field Office overhead rate(s) and if applicable, FCCM)

Date of Proposal Preparation (mm/dd/yyyy): _____

Fiscal Period Covered (mm/dd/yyyy to mm/dd/yyyy): _____

This is to certify that I have reviewed this proposal to establish final indirect cost rates and to the best of my knowledge and belief:

1. All costs included in this proposal to establish final indirect cost rates are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) of title 48, Code of Federal Regulations (CFR), part 31; and
2. This proposal does not include any costs which are expressly unallowable under applicable cost principles of the FAR of 48 CFR part 31.

Signature: _____

Name of Certifying Official (Print): _____

Title: _____

Date of Execution (mm/dd/yyyy): _____

Step 4 – Financial Documentation

- **1 year Lag**
 - 2018 Annual Overhead Rate is based on 2017 financial documents
 - Documents should be submitted no more than 6 months after the end of your fiscal year
 - 45-60 day review period

- **5 Required Documents**
 - 1. Financial Prequalification Cover Page
 - Profile of the firm
 - Staff, revenues, expenses, & organizational structure

 - 2. Indirect Cost Rate Schedule (Overhead Rate Schedule)
 - Fringe benefits for the year
 - Indirect cost's
 - Direct labor cost's
 - $\text{Overhead rate} = \text{indirect cost} / \text{direct labor cost}$
 - Complete audit report required – if O/R is audited
 - If O/R is not Audited we'll need:
 - Supporting financial statements
 - Tax return for the given year
 - Must match Contract, Financial Statements, & Invoices

 - 3. National Compensation Matrix
 - Shows allowable compensation expense for all executives
 - Must report actual compensation to executives

 - 4. Certificate of Final Indirect Cost's
 - Certifies that all indirect costs have been removed from overhead rate

 - 5. Internal Control Questionnaire
 - Description of accounting practices

Internal Control Questionnaire (ICQ) for Consulting Engineers

Name of Engineering Consultant ("the Company"): _____
 TIN (Taxpayer Identification Number): _____
 Headquarters Address: _____
 Company Website: _____
 Fiscal Year End: _____
 This ICQ was prepared for (DOT/agency name): _____
 Time Period Covered: _____
 Location of Accounting Records: _____

- Please include the following items as **attachments** to this ICQ:

- FAR Part 31 Overhead Audit Report for most recent fiscal year, including audited Statement of Direct Labor, Fringe Benefits, and General Overhead (hereinafter "Indirect Cost Rate Schedule") and related reconciliation to the financial statements.
- Cognizant audit report or cognizant letter of concurrence from the cognizant Government agency.
Check here if not applicable:
- Post-closing trial balance and financial statements (balance sheet, income statement, and statement of cash flows) for the most recent fiscal year. (Note: If the indirect cost rate schedule does not directly tie to the trial balance, then please provide a supplemental reconciliation schedule.)
- Current chart of accounts that ties to financial statements and indirect cost rate schedule.
- Independent Auditor's Report on financial statements and accompanying management letter.
Check here if not applicable:
- Sample timesheet.
- The Company's policies for vacation and sick leave.
- The Company's bonus policy.
- Other written policies, as requested throughout this ICQ.

Note: Throughout this ICQ, all references to "AASHTO Guide" pertain to the 2015 Edition of the *AASHTO Uniform Audit & Accounting Guide*.

- Please identify the Company's primary contact for accounting questions:

Name: _____
 Title: _____
 Phone Number: _____
 E-mail Address: _____
 Mailing address (if different than headquarters address listed above): _____

A. Background Information

A.1. Year Established. When was the Company formed? _____

A.2. Business Form. What form of business entity is the Company?

- Sole Proprietorship Partnership C Corporation S Corporation
 Other _____

AASHTO Internal Control Questionnaire for Consulting Engineers

A.3. Parent/Subsidiary. Is the Company a subsidiary of any other company?

- Yes If "yes," please explain: _____
 No

A.4. Common Ownership. Does the Company own or control any other company or legal entity (e.g., trust or foundation) through common ownership? (See AASHTO Guide Section 8.23.B for details.)

- Yes If "yes," please explain: _____
 No

A.5. Ownership. Please list the stockholders, partners, or other owners with greater than five percent ownership of the Company and their respective percentages of ownership.



Table 1: Company Ownership

Name	Title	Ownership Percentage
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%
_____	_____	_____%

A.6. Services Provided. What types of services does the Company provide? (e.g., consultant–Architectural and Engineering Design)

- a. _____
 b. _____
 c. _____
 d. _____

A.7. Location: How many offices does the Company operate, and where are these offices located?

- a. Number: _____
 b. Locations: _____

CONTRACT MANAGEMENT

Contract Management

- Items of interest?

Contract Management

Items to Cover:

- Review of Contract Types
- Required Bid Documents
[EPG 136.9.4 Bid Documents](#)
- PE/CE related tasks

COST ESTIMATING

Cost Estimating

- Items of interest?

Cost Estimating

Items to Cover

- Walk through of Oman BidTabs.Net
- Overview of [Bid Item Listing](#) and [Unit Prices](#)
- Other available [Information](#)
- Discussion of RS Means and other strategies for cost development

Cost Estimating

- Itemized Bid Forms
 - [EPG 136.9.4.1.1.20 Itemized Bid Form](#)
 - Must include:
 - Itemized listing of all pay items
 - Quantities of each individual pay item
 - Blanks to submit a unit price and extension
 - Should include:
 - Pay item categories
 - Roadway
 - Bridge
 - Signing/striping/signal
 - Landscaping/streetscaping
 - Utilities
 - Bicycle/pedestrian facilities

LETTING A PROJECT

Letting a project

- Items of interest?

Letting a project

- Letting Process
 - [EPG 136.9.1 PS&E Submittal Checklist](#)
 - List of items that should be addressed or submitted for PS&E approval and construction authorization
 - [EPG 136.10 Advertisement for Bid](#)

Letting a project

- Letting Process
 - [EPG 136.10 Advertisement for Bid and Award](#)
 - You must have Construction Authorization
 - You must advertise for at least the minimum time line of 3 weeks
 - » Advertise in a paper in the county/area
 - » Advertise on MoDOT's website
 - » Should indicate where and when bids will be accepted and opened
 - Must make the Plans, Specs and bidding requirements available
 - » Other info may be necessary
 - » Provide contact info for questions or comments
 - » Distribute addendum
 - If held, you must advertise the availability of a Pre-Bid and whether required
 - » Pre-bid meetings are not required
 - » Should overview project and any unique items allow for comments
 - Bids should be opened at the appointed date and time
 - » Addendum should be acknowledged
 - » Bids not meeting requirements should not be read
 - » Bids from other than prequalified contracts should not be read
 - Should validate all bidding requirements are met at the time they are opened
 - » Bids should be compared to the engineers estimate
 - » Issues should be investigated

Letting a project

- Letting Process
 - District/Consultant versus Central Office Duties
 - MoDOT District Staff/Consultant develop Plans, JSP's and Pay Items
 - They provide Signed and Sealed drawings and the pay item/quantities spreadsheet (including district estimate)
 - The rest is handled by BCS
 - Reviewing submit plans, addressing issues
 - Verifying
 - » RW is clear
 - » Environmental is clear and permits are obtained
 - » Utilities are addressed
 - » Necessary agreements are executed
 - Requesting obligation of funds
 - Generating the Electronic Bid documents including the EBSx file
 - Advertising the project
 - Publishing addendums
 - Receiving and reviewing bids
 - » Validating required documentation
 - » Reviewing required submittals
 - Analyzing bids
 - Recommending disposition
 - Executing awarded contracts

CONCURRENCE AND AWARD

Concurrence and award

- Items of interest?

Concurrence and award

- Concurrence
 - [EPG 136.10.4 Concurrence in Award](#)
 - [Concurrence Submittal Checklist](#)
 - Letter and request information is submitted to MoDOT
 - Bidding and Contract Services and ECR concur in the award
 - If concurrence is provided, and automated email is sent to the requesting entity.
 - If not, an email with the concerns will be sent by the reviewer.

Concurrence and award

- Award
 - [EPG 136.10.8 Award](#)
- After receiving concurrence in award, the LPA and the awarded contractor noted in the concurrence letter should execute a contract in the amount specified. After executing the contract, the LPA should submit an electronic copy of the following to the District Contact specified in the award letter:
 - Final Plans Package given to Bidders (include all addenda that were issued)
 - Fully Executed Contract (can use Federal Project Bid Proposal Boilerplate WITH the following to make it an actual contract):
 - [Fig 136.10.3 Sample Contract Agreement](#)
 - Performance/Contract Bond (see [Fig 136.10.4 Sample Contract Bond](#)), and
 - [Fig 136.10.5 Sample Contractor's Acknowledgement](#) Certification Regarding Affirmative Action signed by prime contractor (only if NOT utilizing MoDOT's [Federal Project Bid Proposal Boilerplate](#))
 - Insurance Certificate
 - E-verify MOU & Affidavit
- Please contact your local MoDOT district representative to determine how many copies are needed and if these can be submitted electronically.
- The LPA will coordinate with the local MoDOT district contact to schedule a pre-construction meeting prior to giving Notice to Proceed as described in [EPG 136.11 Local Public Agency Construction](#).
- **No work is to be initiated on any part of the project until MoDOT gives the LPA the notice to proceed.**

CONSTRUCTION INSPECTION

TEST

What is **red**
and smells like
blue paint?



Red Paint



What does
LPA
stand for

LPA

Licensed Public Accountant

Little People of America

Limited Partnership Agreement

LPA

NO

LPA

Local Public Agency

YES


GUIDENCE FOR MODOT OVERSIGHT

- **EPG 136.11.21 Guidance for MoDOT Oversight**
- The [MoDOT district representative](#) shall periodically review the local project to verify that project administration procedures are adequate. A [LPA Site Visit Checklist](#) has been formulated to be used as a guide when visiting a LPA Site. The checklist covers a wide range of details related to project administration and should be used as a guide by the LPA. The MoDOT review shall cover as many of the areas as possible and notations made regarding the project visits. A diary entry shall be made by the MoDOT reviewer to document the project visit. Observations from the project and noted items from the LPA Site Visit Checklist should be included in the diary entry. Any actual documents used or obtained during a site visit shall also be retained by the MoDOT district representative for three (3) years past the final reimbursement for the project by FHWA.
- The frequency of the site visits will be at the discretion of the MoDOT district representative and the adequacy of the LPA's administration. At least one visit and review at the beginning of the project and near the end of the project shall be conducted. If any deficiencies are sited or further assistance is required by the LPA more visits are warranted.
- Retrieved from
["http://epg.modot.org/index.php?title=136.11_Local_Public_Agency_Construction"](http://epg.modot.org/index.php?title=136.11_Local_Public_Agency_Construction)
- [Category: 136 Local Public Agency \(LPA\) Policy](#)

LPA CHECKLIST

PROJECT DATA

Date	
Federal Project Number	
Project Name/Route Number	
County	
Project Description	
Percent Work Complete	
Percent Time Elapsed	
Original Contract Completion Date	
Current Contract Completion Date	
Award Amount	
Current Contract Estimate	



LPA CHECKLIST

STAFFING

Reference	Item	Yes	No	N/A
635.105	Staffing is adequate			
635.105	LPA has provided a full-time employee of the local agency to be in "responsible charge" of the project (Name:)			
637.209	Personnel performing inspection work are qualified per the approved qualification program, or otherwise suitably experienced to perform successfully			
635.105	Field staff has all equipment required to perform necessary inspections and materials tests			
637.209 136.11.9	Material testers are certified			

Comments:

LPA CHECKLIST

WORKMANSHIP

Reference	Item	Yes	No	N/A
Environmental				
	Erosion and sediment control devices are installed properly and are well maintained			
	Contract specific environmental requirements are in compliance			
	Inspections are conducted in accordance with contract requirements			
	Environmental permits are available onsite			

LPA CHECKLIST

Reference	Item	Yes	No	N/A
Earthwork				
	Fill placement complies with contract requirements			
	Compaction test results are satisfactory			
	Sampling and testing (frequency/location) are conducted in accordance with contract requirements			

LPA CHECKLIST

Reference	Item	Yes	No	N/A
Structures				
	Pile Driving records are on file (including welder certifications and procedures)			
	Placement, tying, and cover of reinforcing steel comply with contract requirements			
	Bolt certifications are on file along with test results			
	Curing process complies with specifications			
	Sampling and testing (frequency/location) are conducted in accordance with contract requirements			

LPA CHECKLIST

Reference	Item	Yes	No	N/A
	Asphalt			
	Base is in good condition			
	Mix is delivered at proper temperature			
	Tacking complies with specifications			
	Mix is spread properly (thickness, crown, joints, uniform texture, continuous operation of paver)			
	Proper density is being obtained			
	Ride quality is in conformance with specifications			
	Sampling and testing (frequency/location) are conducted in accordance with contract requirements			

LPA CHECKLIST

Reference	Item	Yes	No	N/A
PCC				
	Mix spread to correct thickness			
	Curing and tining applied in timely manner			
	Dowel baskets properly installed			
	Ride quality is in conformance with specifications			
	Sampling and testing (frequency/location) are conducted in accordance with contract requirements			

LPA CHECKLIST

Reference	Item	Yes	No	N/A
Work Zone				
	Traffic control devices installed in accordance with Traffic Control Plan			
	Traffic control devices are clean and well maintained			
	Travel way is well delineated			
	Work zone inspections are completed in accordance with contract requirements			

Comments:

LPA CHECKLIST

DOCUMENTATION AND RECORD KEEPING

Reference	Item	Yes	No	N/A
635.123 136.11.7	Project field records adequately maintained to support quantities submitted for payment (Note in Comments specific pay items checked)			
136.11.7	Inspector Daily Reports and Project Diary adequately support work progress, time charges, day's operations, contractors' and subcontractors' personnel and equipment, DBE activities, quantities placed, traffic control plan compliance, erosion control plan compliance, etc.			
136.11.7	Material tickets and receipts are properly identified			
136.11.4	Contract change documentation is adequately maintained			
136.11.7	Acceptance sampling and testing reports are on file			
136.11.9	Materials sampling and testing conducted as required			
136.11.9	Failed tests are documented with cross-references to re-tests			
136.11.7	Materials Certifications are on file			
635.410	Buy America requirements included on invoices and certifications for all iron and steel products			

Comments:

LPA CHECKLIST

Bulletin Board Inspection

REVISED 01/2017 REPORT OF ON-SITE BULLETIN BOARD INSPECTION											
DATE			PRIME CONTRACTOR								
JOB NUMBER			ROUTE			COUNTY					
BULLETIN BOARD REQUIREMENTS											
		N/A	Yes	No			N/A	Yes	No		
Was bulletin board clearly accessible?	<input type="checkbox"/>				Are documents water stained/faded?						
Was bulletin board at eye level?					Can documents be clearly read?						
Was bulletin board within job limits?					*Binder style bulletin boards are NOT acceptable						
Was bulletin board covered with: <i>Plexiglass</i> <i>Plastic</i> <i>Glass</i> Are Documents <i>Stacked</i> <i>OR</i> <i>Spread Out?</i>											
POSTERS REQUIRED ON BULLETIN BOARD • Federal Aid Projects											
			Yes	No					Yes	No	
(1) Equal Employment Opportunity (EEO) Policy <small>(Current) prime/subs over \$10,000 posted individually (8 1/2 x 11)</small>					(10) Your Rights - Federal Minimum Wage - WH-1088 <small>(English) (rev. 07-16) (8 1/2 x 11)</small>						
(2) Letter Appointing EEO Officer <small>(Current) (8 1/2 x 11)</small>					(11) Your Rights - Federal Minimum Wage - WH-1088 <small>(Spanish) (rev. 07-16) (8 1/2 x 11)</small>						
(3) Equal Employment is the Law <small>(English) (rev. 11-09) (8 1/2 x 11)</small>					(12) Notice to Employee Polygraph Protection Act - WH-1462 <small>(Spanish) (rev. 07-16) (11 x 17)</small>						
(4) Equal Employment is the Law <small>(Spanish) (rev. 11-09) (8 1/2 x 11)</small>					(13) Notice to Employee Polygraph Protection Act - WH-1462 <small>(English) (rev. 07-16) (11 x 17)</small>						
(5) Employee Rights Under the Davis-Bacon Act - WH-1321 <small>(English) (rev. 04-09) (11 x 17)</small>					(14) Your Rights Under Family & Medical Leave Act of 1993 - WH-1420 <small>(English) (rev. 04-16) (8 1/2 x 11)</small>						
(6) Employee Rights Under the Davis-Bacon Act - WH-1321 <small>(Spanish) (rev. 04-09) (11 x 17)</small>					(15) Your Rights Under Family & Medical Leave Act of 1993 - WH-1420SP <small>(Spanish) (rev. 04-16) (8 1/2 x 11)</small>						
(7) Job Safety & Health Protection - OSHA 3165 <small>(English) (rev. 04-15) (8 1/2 x 11)</small>					(16) NOTICE – FHWA 1022 Title 18 <small>(English) (rev. 05-15) (8 1/2 x 14)</small>						
(8) Job Safety & Health Protection - OSHA 3167 <small>(Spanish) (rev. 04-15) (8 1/2 x 11)</small>					(17) Federal Wage Rate (Order/Determination) MO Wage Order No. ____ (RSMO 290.290) <small>Complete wage order shall be on bulletin board or located in trailer. If complete order located in the trailer, a copy of the wage listing the crafts for the county shall be posted on the board as well as reference to the complete order being located in the trailer. (8 1/2 x 11)</small>						
(9) Notice to Workers with Disabilities Paid at Special Minimum Wages - WH-1284 <small>(rev. 07-09) (8 1/2 x 11)</small>											
POSTERS REQUIRED ON BULLETIN BOARD • State Aid Projects (Must also be included on Federal Aid Projects)											
(18) Discrimination in Employment is Prohibited by Law In Missouri - MCHR-9 <small>(English) (rev. 04-16) (8 1/2 x 11)</small>					(23) Discrimination in Public Accommodation - MCHR-07 <small>(English) (rev. 04-16) (8 1/2 x 11)</small>						
(19) Discrimination in Employment is Prohibited by Law In Missouri - MCHR-9 <small>(Spanish) (rev. 04-16) (8 1/2 x 11)</small>					(24) Discrimination in Public Accommodation - MCHR-07 <small>(Spanish) (rev. 04-16) (8 1/2 x 11)</small>						
(20) Worker's Compensation Law - WC 106 <small>(English) (rev. 02-14) (8 1/2 x 11)</small>					(25) Unemployment Benefit Law - MODES – B-2 <small>(English) (rev. 12-14) (8 1/2 x 11)</small>						
(21) Worker's Compensation Law - WC 106 <small>(Spanish) (rev. 02-14) (8 1/2 x 11)</small>					(26) Unemployment Benefit Law - MODES – B-2 <small>(Spanish) (rev. 12-14) (8 1/2 x 11)</small>						
(22) Storm Water Permit Sign (8 1/2 x 11)											
FINDINGS											
Was the Bulletin Board in compliance?					If negative, was the contractor notified? (See Below)						
Inspector Name			Inspection Date			Name of Individual Notified (Contractor Staff)			Date Notified		
Comments/Remarks:											
Distribution: ___ File ___ V:\Drive ___ External Civil Rights											

LPA CHECKLIST

Wage Rate Interview

EMPLOYEE INTERVIEW Labor Compliance/EEO

Form CR-1
Compliance
04/2016

CONFIDENTIAL
This document contains personal information and pursuant to Civil Code 1798.21 it shall be kept confidential in order to protect against unauthorized disclosures.

Job Number	Contract ID	Contractor Name	Prime <input type="checkbox"/> Other: <input type="checkbox"/>	Subcontractor <input type="checkbox"/>
LABOR COMPLIANCE				
Employee's Name On Payroll (please print)	SSN (last four digits)	Job Classification (Craft)		
Pay per Hour:	Base Fringe: (if applicable)	Are you an apprentice/trainee? Yes <input type="checkbox"/> No <input type="checkbox"/>		
Work being performed at time of interview: (Offer as much clarity as possible)				
EEO COMPLIANCE				
Male <input type="checkbox"/> Female <input type="checkbox"/> Black <input type="checkbox"/> (Not of Hispanic Origin)	Caucasian <input type="checkbox"/> (Not of Hispanic Origin)	Hispanic <input type="checkbox"/>	Asian <input type="checkbox"/>	Native American <input type="checkbox"/>
Paid: Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Bi-weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Other: _____		How long have you worked for your present employer?	How long have you worked on this project?	
Describe the type of work you have been performing this past week.				
Do you keep record of hours worked? Yes <input type="checkbox"/> No <input type="checkbox"/>	Do you work overtime? Frequently <input type="checkbox"/> Seldom <input type="checkbox"/> Never <input type="checkbox"/>	Are you paid time & half for overtime? Yes <input type="checkbox"/> No <input type="checkbox"/> (If No, explain below ↓)		
Explanation:				
Has your employer directed your attention to the required wage rate posters on this project? Yes <input type="checkbox"/> No <input type="checkbox"/>	Have you seen these posters? Yes <input type="checkbox"/> No <input type="checkbox"/> (If No, explain below ↓)	Is anything withheld from your check (Other than Income Tax, FICA, etc.) Yes <input type="checkbox"/> (If Yes, explain below ↓) No <input type="checkbox"/>		
Explanation:				
Are you aware of the Contractor's Equal Employment Opportunity (EEO) and Sexual Harassment Policies? Yes <input type="checkbox"/> No <input type="checkbox"/>		Does the Contractor hold regular meetings to discuss these policies? Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, how often: _____		
Who conducts the meetings?	Who is the EEO Officer for your employer?	Who is the company contact if you have a complaint?		
Are you interested in, or has your employer informed you of, training possibilities? Yes <input type="checkbox"/> No <input type="checkbox"/> (If No, explain below ↓)				
Explanation:				
EMPLOYEE COMMENTS				
No Comments <input type="checkbox"/> Comments: _____				
INTERVIEWER COMMENTS				
No Comments <input type="checkbox"/> Comments: _____				
Interviewer's Name _____				
OFFICE REVIEW/ADMINISTRATIVE ACTION				
Payroll Entry Wages (from certified payroll)		Payroll Entry Labor Classification (craft from certified payroll)		
Discrepancy: Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, what was the discrepancy?			
What type action taken?	Reviewed by:		Date action taken:	

Distribution: External Civil Rights File

LPA Information

- MoDOT.org
- Business Page



MoDOT Home | Contact Us | Email/Text Updates 

MoDOT Missouri
Department of Transportation
888-ASK MoDOT (275-6636)


[Business](#) [Bidding](#) [Plans & Projects](#) [Other Transportation](#) [News & Information](#) [Programs & Services](#) [Safety](#) [Careers](#)




Citizen's Guide to
Transportation Funding in Missouri

How does transportation funding work?
What is your investment in Missouri's roads?
What are our goals for Missouri's high-priority transportation needs?

LPA Information

MoDOT Home | Contact Us | Email/Text Updates 


 Missouri Department of Transportation
888-ASK MoDOT (275-6636)

Search


[About Us](#) [Travelers](#) [Business](#) [Bidding](#) [Plans & Projects](#) [Other Transportation](#) [News & Information](#) [Programs & Services](#) [Safety](#) [Careers](#)

HOME >> BUSINESS >> BUSINESS HOME

Business with MoDOT

 [Like 5](#)


Business with MoDOT covers a wide range of topics in an effort to provide information to those wishing to do business with the agency. Included in this section are standards and specifications, various manuals, bidding lists and results, motor-carrier details and consultant services.

MoDOT now accepting credit card payment 

Become a MoDOT Vendor

- Become a Prime Contractor
- Perform Subcontracting Work
- Obtain Plans
- Become A Material Provider

Contractor Resources

- Active Projects Directory
- External Civil Rights Disadvantaged Business Program
- MRCC Directory
- Policies, Lists and Specifications by Product Types
- Pre-Qualified and Pre-Accepted Product Listings
- Project History Maps
- New Product Qualification
- Bid Opening Info
- Bid It
- Notice
- Form
- Lead Paint Activities 
- Technician Certification Program

General Bidding Opportunities


- Commodity, Services & SFS Bidding Opportunities
- Building Construction & Maintenance
- Equipment Bidding Opportunities
- Procurement Bidding Archives
- Current Research Requests for Proposals

Standards and Specifications

- Specification Book for Highway Construction
- Standard Plans for Highway Construction
- End Terminals, Crash Cushions and Barrier Systems
- CADD Standards
- General Services Specifications (MGS)
- Job Special Provisions
- Quality Standards for Temporary Traffic Control Devices
- Specifications of Computer Deliverable Contract Plans
- Engineering Policy Standards Letters

Local Public Agency

- Local Public Agency
- Local Public Agency Manual



PROJECT CLOSEOUT

Project Closeout

- **Final Inspections & Acceptance
60 Days**
- **DBE Payment Verification**
- **Close Out Documentation Tips**
- **EPG 136.11**



Project Reviews

Inactive Project Policy

6 Months

9 Months

Retention of Records

3 Years retention of documentation

MoDOT Reviews & Audits

Plans Review

Contract Review

Invoice Review

Construction Site Visits

Final Closeout Review

Project Audit



LPA Manual EPG 136.3

Project Reviews

FHWA Compliance Assessment Program (CAP)

Annual Reviews

Random Sampling of Projects

Risk Based Criteria Selection

LPA Tracker Measures

Statistical Measures

Reported Quarterly



**IF IT IS NOT DOCUMENTED
IT DID NOT HAPPEN!**

LPA Manual EPG 136.3

COMMON ERRORS

Contracting

- Not including a letter from sub-consultants listing their estimated cost.
- Modification to the boilerplate contract language may increase risk to the LPA.
- The contract amounts and fixed fees in the contract language do not match the attachment showing the costs.
- Incorrect Overhead rates
- Per Diem Rates and mileage rates exceed the General Services Administration rates
- Invoiced hourly rates and/or hours charged do not match timesheets
- General math errors on the contract, exhibits, invoices, and attachments

Project Invoices

Preliminary and Construction Engineering

- Work incurred prior to Federal Highway Administration (FHWA) authorization
- No support for direct expenses
- No support for Work by Local Forces
- Invoiced overhead rates not adjusted to the actual overhead rates
- Fixed fee amounts not paid in full to the consultant
- Progress invoices not filled out correctly
- Consultants and/or contractors not paid within the 2 business days of receipt of monies from MoDOT

Project Invoices (cont.)

Construction

Payment and Field diaries not maintained or partially completed

Not recording the some or last change order items

Not keeping a running total of quantities installed

Consultants and contractors need to maintain all records for three years after the date the LPA receives the final reimbursement from MoDOT.

QUESTIONS