

FINAL ESTIMATE AND PAYMENT PROCESS

The District/Metro and State Aid Offices are responsible for creating and fully executing the Final Voucher for Payment and Certificate of Final Acceptance.

It is not necessary to make a partial payment estimate prior to producing the Final Voucher unless the amount due the Contractor prior to Final exceeds \$5000.00.

Give priority to final Vouchers that result in a Credit due the State.

The Engineer should pay the Contractor the full amount due for all acceptable work at the time of completion of all construction required on the project, taking into account credit and incentive payments.

- This reduces the possibility of making interest payments for funds due at the time of final payment.
- The Contractor is entitled to payment of interest on all retained funds determined to be due from the date "the work provided for in the Contract has in all things been completed", unless the final estimate for the work is made within 90 days after the Contractor has so completed the work as per [Minnesota Statute § 161.322](#).
- The 90-day requirement does not apply to contracts over two million dollars if the contract provides specifically for a different period of time in which to make such final estimate.

PRODUCING THE FINAL VOUCHER PACKAGE

Use the field computer application to print all the documents that are necessary to produce the Final Voucher package sent to the Contractor for signature.

1. The Complete Final Voucher
2. The Certificate of Final Contract Acceptance (Sample **A** at end of Section)
3. The Contract Requirements Letter (Sample **B** at end of Section)
4. The Credit Letter (If Applicable – This letter will only print out when Contractor owes money to the State on Final Voucher) (Sample **C** at end of Section)

PROCEDURE FOR ASSEMBLING THE FINAL VOUCHER PACKAGE THAT IS SENT TO THE CONTRACTOR VIA CERTIFIED MAIL

All of the documents that go into the **To Contractor** package are listed in **bold**. All other required documents and their proper distribution are listed in *italics*.

- (a) **Two copies of the Final Voucher with Certificate of Final Contract Acceptance signed by the Engineer and stapled to front of each Voucher. Both documents require original signatures.**

*One document for the Contractor to sign and retain for his files.
One document that the Contractor will sign and return to the Engineer.*

- (b) **One copy of the Contract Requirements Letter signed by the Engineer, which the Contractor will retain in his files.**

Keep one copy of Requirements Letter in Engineer's Office files.

***Send one copy of Requirements letter to OCIC stapled to one copy of the face of the Final Voucher. (Send to OCIC at the same time the Certified Mail package goes to Contractor.)*

- (c) **One copy of *Credit Letter (if applicable) signed by the Engineer which the Contractor will retain in his files. (Generate the Credit Letter only when the Contractor owes the State more than \$5.00 on the Final Voucher; *Special Note: Mn/DOT Finance will not bill a Contractor for less than \$5.00. See Procedures to use when there is a Credit Due on the Final Voucher.)**

Keep one copy of the Credit Letter in the Engineer's Office files.

***Send two copies of the Credit Letter to the OCIC stapled to two copies of the face of the Final Voucher. (Send to OCIC in the same envelope as the Contract Requirements Letter above.)*

Once the items in (a) through (c) are assembled, send the Final package to the Contractor via Certified Mail. Enter the date this package is mailed, on the Final Voucher Date Tracking Form. (See Sample **D** at the end of this section.)

****Scanned versions of the Requirements letter and Credit letter may be sent to OCIC using CPG@dot.state.mn.us Include SP#, Contract#, and type of document in subject line.**

Final Voucher Date Tracking Form.

Generate this form with the FieldOps computer application.

Chronologically track the progress of the Final Voucher by entering all of the individual dates requested on the form. This allows the Engineer to adequately monitor the 90 day time period provided by [MN Statute § 161.34](#).

All dates shown on the Final Voucher Date Tracking Form are critical and must be entered prior to following the instructions listed below under “Submittal of Final Voucher Package to Asst. District Engineer for Signature”.

MONITOR PROGRESS / STATUS OF THE FINAL PACKAGE AFTER IT IS MAILED TO THE CONTRACTOR.**ADMINISTRATION OF 90-DAY CLOCK**

In accordance with MN Statute § 161.34 the Contractor is allowed 90 days including Saturdays, Sundays and Holidays (herein referred to as the 90 day clock) to commence action against the State.

- Record the “Date of Delivery” shown on the certified mail stub returned to the Engineer in Box (A) of the Final Voucher Date Tracking Form; this date starts the 90-day clock, counting the day following the “Date of Delivery” as the first day.
- Compute the expiration date of the 90-day clock; enter this date in Box (B) of the Final Voucher Date Tracking Form.

Prior to the expiration of the 90-day clock the Contractor must:

1. Notify the Engineer of what he considers to be incorrect final payments.
2. Take legal action against the State in the event of an un-resolvable dispute over what he considers to be incorrect final payment(s).
3. If in agreement with the final payments, sign and return the Final Voucher to the Engineer.

Final Voucher Recall / Stopping the 90 day clock

The only way to prevent the 90-day clock from expiring is to request OCIC to send a Formal Final Voucher Recall Letter to the Contractor. As Contract Holder, only OCIC has the authority to recall a final payment voucher. The Engineer will direct all Final voucher recalls to the contact person in OCIC. (The current contact person is Jennie Carlson @ 651-366-4207).

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Cause for Final Voucher Recall

The following circumstances would be cause for requesting OCIC to recall the final voucher:

(A) In accordance with No.1 above, the Contractor notifies the Engineer and states his reason(s) for requesting a correction to final payment. The Engineer will review the Contractor's request and will either agree or disagree that such correction is valid.

- If the Engineer agrees that the Contractor's request is valid, the Engineer will immediately contact OCIC to recall the final voucher thus stopping the 90 day clock. The Engineer will create a new Final Voucher that reflects the appropriate corrections and sends it to the Contractor via certified mail. A new 90 day clock is started.
- If the Engineer disagrees with the Contractor's request, s/he will immediately contact the Contractor and express a denial of the request for final payment correction. The Final Voucher will not be recalled and the 90 day clock keeps moving on toward expiration unless the Contractor takes legal action. Once expired, the 90 Day clock cannot be restarted.

(B) In accordance with No. (2), above, if the Contractor opts to take legal action prior to the expiration of the 90 day clock it automatically stops the 90 day clock. OCIC will recall the Final Voucher and make necessary corrections as determined by court decision or other legal resolve.

(C) In accordance with No. (3), above, if no action is taken by the Contractor to challenge final payment and the 90 day clock expires, the Final Voucher stands "as - is" and no change can be made. The Engineer will contact the Contractor and inform him that he must submit the signed Final Voucher.

Other Special Contract Requirements – Contractor's responsibility

The Contractor must also submit the following to the Engineer:

- Minnesota Department of Revenue Form IC-134 (Tax Withholding Affidavit for Contractors.) (Sample "F" shown at end of this section) – Only the Prime Contractor's IC-134 must be submitted with the Final.
 - As per Minnesota Statutes § [290.92](#) & [270C-66](#) and Standard Specification 1908, the IC-134 must be certified by the Minnesota Department of Revenue before the State can make final payment for the work performed on a contract.

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- Review the IC-134 to ensure the “Month/Year Work Ended” shown on the form covers the time period up to the completion of actual work on the Contract. If it does not, request a new IC-134 from the Contractor that reflects the proper dates.
- Total Payment Affidavit (on projects with Federal Funding) Pursuant to Mn/DOT Standard Specifications for Construction, Section 1908, the DBE Total Payment Affidavit shall be executed by the Prime Contractor after all work has been performed by a DBE.
- Contractor Payment form (on projects with Federal Funding) 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.
- Credit Payment (if applicable)

Procedures to use when there is a Credit Due on the Final Voucher

If there is a Final Voucher with a Credit due the State, the payment of the Credit by the Contractor becomes an additional Contract requirement that must be met by the Contractor.

Retain the Contractor-signed copy of the Final voucher until the Credit is paid and released by OCIC. Do not send the Final to the Asst. District Engineer for signature until the hold is released. Record the date the release date of the credit hold in box J on the Final Date Tracking form.

Mn/DOT Finance will not bill a Contractor for less than \$5.00. If you are in this situation, do not check the credit letter box in the computer application when generating the Requirements Letter. Do not send Credit Letter to Contractor in Final Package.

Failure to Submit Special Contract Requirements in a Timely Manner

If the Contractor does not submit the special Contract requirements within 90 days after receipt of the Final Estimate, consequences to the Contractor *may* include placement on the Reject Bid list by OCIC. If this occurs, contact the Contract Administration Supervisor in OCIC. Only OCIC can place a Contractor on the reject bid list. Specification 1906 allows for withholding partial payments on other Contracts the Contractor currently has until the requirements have been satisfied.

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Other Special Contract Requirements – Engineer’s responsibility

It is the Engineer’s responsibility to submit other Special Contract Requirements included on the Final Voucher Date Tracking Form to OCIC:

- Materials Certification Exception Form (see section 5-591.411 of this manual)
- Final Project Inspection Report from the OCIC Project Review Engineer (or the Area FHWA Construction Engineer for FFO projects).
- Overrun and Underrun Report (only required on Contracts designated as FAP, FFO, SAFO, or MAP).

Submittal of Final Voucher Package to Asst. District Engineer for Signature

Ensure boxes (A) through (L) shown on the Final Voucher Date Tracking Form are addressed with either a date entered or an N.A. for non-applicable.

After all Contract Requirements have been met and addressed, submit one copy of the completed Final Date Tracking Form attached to the original signature Final Voucher and Certificate of Final Contract Acceptance to the Asst. District Engineer for signature.

Asst. District Engineers for Construction: Do not sign the Certificate of Final Contract Acceptance unless all dates required on the Final Voucher Date Tracking Form are addressed.

After the Asst. District Engineer signs the Final Voucher he/she will return the fully executed original signature signed Final Voucher and Certificate of Final Contract Acceptance with the Final Voucher Date Tracking Form attached to the Project Engineer.

Make two additional complete copies of the original signature Final Voucher and Certificate of Final Contract Acceptance.

- Retain one copy in the Engineer’s file.
- Submit the original signature Final Voucher with one copy of the Final Voucher Date tracking Form attached and one copy with the Final package to the OCIC.

Assemble the entire Final packet and supporting documentation for submittal to OCIC. See “FINAL DOCUMENTATION SUBMITTAL / ASSEMBLY OF FINAL PACKAGE” below.

When the Final packet is complete, send it to OCIC, who will immediately pass the fully executed Final “as-is” to the Mn/DOT Office of Finance where final payment will be made.

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LABOR HOLDS

The Mn/DOT Labor Compliance Unit (LCU) shall notify the Contracting Authority (CA) electronically or in writing upon opening a case file for a project/contract. Concerning contracts administered by Mn/DOT, this action will electronically initiate one or more holds on the contract. The hold(s) shall remain active until the issue is resolved.

[Contact](#) a professional in the LCU to ensure that no holds exist on the contract before sending the final contract voucher to the Asst. District Engineer for signature. If a hold exists, the PE shall retain the final voucher until such time the LCU can ensure that the hold has been released. Upon the release of a hold, the PE shall enter the date in Box "H" of the Final Voucher Date Tracking Form. A description of a labor hold can be viewed in CMS under the HOLD tab.

All labor holds will be resolved before the Engineer submits the Final to the Asst. District Engineer for signature. When Finals signed by the contractor are received, they will be held in the Engineer's office until hold is released by the Mn/DOT Labor Investigation Unit in Central Office.

Regarding federal-aid contracts, the CA shall review and complete the [Federal Aid Contracts Check List](#) to ensure that all contractors have demonstrated compliance with the contract labor provisions.

FINAL DOCUMENTATION SUBMITTAL / ASSEMBLY OF FINAL PACKAGE

Complete the Final Documentation Submittal Form generated by the field computer application. Lists the documents necessary for the creation of the Finals packet submitted to OCIC for payment. The following items are to be included with every Finals packet submitted:

- 1) *Project Personnel Roster* – Include names, signatures, initials and working titles (Examples: Scale person, Street Checker, Various Inspectors and Office persons) of all Mn/DOT personnel involved in the quantity documentation process for the Final being submitted.
- 2) *Final Voucher* - Voucher with all finalized pay quantities and Certificate of Final Acceptance signed by the Engineer, Contractor, and Asst. District Engineer.
- 3) *Final Voucher Date Tracking Form* – Used to monitor the progress of each Final Voucher from the time the Engineer sends it out to the Contractor, until it is signed by the Asst. District Engineer and submitted to C.O. for payment.
- 4) *Overrun and Underrun Report* – Mandatory on all federally funded Contracts designated **FAP, MAP, FFO, or SAFO**. If District Construction Management only requires for the O/U report, the report would not need to be submitted with the Final

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records. The O/U report shall contain the following:

- a) An explanation of the overruns / underruns of Major Contract Items which have varied in excess of 25% of the original contract quantity. (Note: Major Contract Item is an item that has a dollar value that exceeds both 5% of the original contract value and \$10,000.00.
- b) A list of all Change Orders and a brief description of intent for each along with proper sequence numbers. (Example: this Contract has 7 Change Orders # 1 through 4 and 4A through 6. Change Order #1 provides for a change in the method of measurement for item 2105.503 Common Excavation) etc.
- c) A list of all Work Orders for Minor Extra Work along with proper sequence numbers. No further explanation is required. (Example: This Contract has 12 Work Orders for Minor Extra Work numbered 1-12)

If there are no Major Contract Items (as defined above), or if none of the Major Contract Items varies more than plus or minus 25%, an Overrun / Underrun report will still be required. In this case a simplified version of the O/U report will contain a positive statement:

- “There were no significant overruns or underruns of Major Contract Items on this Contract”
- “This Contract contained no Major Contract Items”.

In addition, this simplified version of the O/U report will continue to require a listing of all Change Orders and Work Orders for Minor Extra Work as shown in (b) and (c) above.

5) *Final Backup Disk (CD)* - The Final Backup Diskette:

- Creates a historical record of the Contract.
- Makes it unnecessary to print IRAs for the Final Packet.
- Provides all necessary data required by OCIC for a Field Final Review.

6) Copies of Plan Sheet(s) of Estimated Quantities (including bridges) – Identifies any (P) Plan Quantity pay items included in the Contract.

**ASSEMBLY OF RECORDS TO BE SUBMITTED TO THE OFFICE OF
CONSTRUCTION IN THE FINALS PACKAGE**

Every Final submitted to OCIC will include, among other things, the following 3 files in separate envelopes or other enclosed type files.

1) Miscellaneous File - will include in order:

- Computer Final Backup Disk
- One copy of the Final Documentation Submittal Form
- One copy of the Project Personnel Roster
- One copy of the Overrun/Underrun Report (FAP, MAP, FFO, or SAFO projects)
- One copy of each Statement of Estimated Quantities Plan Sheet(s)
- All Change Orders (If any)
- All Work Orders (if any)

2) Special Contract Requirements File - will include in order:

- One copy of the Final Voucher Date Tracking Form with Certified mail tags
- Two Final Vouchers with Certificate of Final Contract Acceptance; one with original signatures.
- One copy of the Minnesota State Withholding Tax Form IC-134; (Only Prime Contractor copy is required with Final records; Subcontractors IC-134 can remain in Engineers files.)
- One copy of the Final Inspection Report by Construction Standards Engineer. (District State Aid Engineer or designee for State Aid projects.)
- One Material Certification Exceptions Summary Form TP-02171-04. (Not required on Building Removal projects.)
- One copy of the signed Final Contract Time Certification Form with Final Contract Date Log stapled to back of form.

3) Final Contract Time File – will include:

- All Weekly Construction Diary/Working Day Statements.
- All Change in Construction Status Reports.
- All Time Extension Memos
- All Revision of Working Day Memos.

The three files listed above are pre-defined and do not need to be listed again on the Final Documentation Submittal Form.

OTHER RECORDS TO BE SUBMITTED WITH FINAL

Any document referenced in the “Final Documentation Location” field of the Item Record Account must also be submitted with the Finals Packet. This includes any of the specific Mn/DOT Forms used as documentation. All Books; Booklets, Envelopes, Folders etc. submitted as supporting documentation must be properly identified on their front covers as to S.P. Number and Contract Number.

- Each separate document or page (except for a factory bound book – example: diary book) must be identified as to S.P. or Contract Number and Pay Item Identification.
- All entries must be signed or initialed by the person making the entry.
- If measurements are made by a person or persons other than the person making the entry, each party must be identified.
- (If a pay item contained in any document has the S.P. or Contract Number and the Item Identification on the first page for that item, then each additional page for that item is acceptable with the S.P. Number, document (A-1, B-1 etc.) and page number. Initialing would only be required on the last page for each item under these circumstances).
- Cross-section rolls that are not computer generated must be accompanied by both original and final survey notes.
- Volume computation can be submitted either directly on the cross-section rolls or on Mn/DOT form 2190.
- No records are required to be submitted when using the digital surface model method or when computer generated yardage computations do not incorporate actual field “Shots” (and subsequent reductions) to arrive at a pay quantity.
- When computer generated cross-sections are used the “Document Location” or “Remarks” on the finalized IRA for the pay item involved must state “Computer Generated Yardage” or similar statement.
- If calculations are required to arrive at a pay quantity, someone other than the one making the original calculation must check each calculation. The person making such checks will initial all math checks. Exception: Simple “one line” calculations entered directly on the IRA will not require checking by someone other than the person making the entry. (Examples: 12 Ft. x 11Ft = 132 Sq. Ft.; or 5 pails of sealer @ 50lbs. each = 250 lbs. – 30lbs. waste = 220 lbs. used.)
- For measurements taken with a GPS Rover, retain field shots/files, save to CD/DVD and submit with final. Data must be defined in a manner that would allow for "reconstruction" of project documented by said data. When Rover GPS/Microstation generated quantities are used, the "Documentation location" or "Remarks" on the finalized IRA for the pay item involved must state "Computer Generated yardage" or similar statement.

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BRIDGE REPORTING REQUIREMENTS

[Mn/DOT Form 17151](#) Vertical And Horizontal Bridge Clearance Report - The Engineer shall notify the District Permit Office by filing form 17151. A copy of all reports shall be submitted to the Mn/DOT Bridge Office (MS 610) ATTN: Bridge Management Engineer. See Sample G. It is not necessary to submit form 17151 to OCIC with the Final records.

Bridge As-Built Plan Sheet - Submit a copy of the As-Built Plan Sheet to the Bridge Office ATTN: Regional Bridge Engineer (MS 610). It is not necessary to submit this Plan sheet with the Final package sent to OCIC.

Preliminary Assessment of Final (PAF) Completed in Field

Upon receiving a completed Field Final, OCIC will perform a PAF. A copy of this assessment will be returned to inform the Engineer of any glaring errors that have occurred in the Field Final process. Informational, and non-corrective in nature, the sole aim of the PAF is to prevent repeating the same errors in future Field Finals.

Post - payment field final review performed by OCIC

In order to provide an independent review of Field Final project records, OCIC will select a "pool" of passed for payment Finals. This pool will consist of a representative sample of all projects submitted to OCIC from each District / Metro Resident Office. Each of the Finals in the pool will receive a non-corrective detailed review of the project records. When completed, a copy of the findings from each OCIC review will be given to the Engineer for his/her review, in order to assist in the preparation of future Field Finals.

STORING OF FINAL RECORDS

The Office of Construction will ship all final records to the State Record Center where they will be retained in storage for the Record Retention Period. All records will be stored for a period 7 years after the "Past for Payment" date. OCIC will enter a "*Date to Destroy*" records in the Contract Management System.

All records about bridges shall be preserved until further notice, regardless of record retention schedules.

Final Process CONTRACT ADMINISTRATION MANUAL

STATE OF MINNESOTA - DEPARTMENT OF TRANSPORTATION CERTIFICATE OF FINAL CONTRACT ACCEPTANCE

LOW S.P. NO. 3503-12 FINAL VOUCHER NO. 7 CONTRACT NO. S06075

This is to certify that to the best of my knowledge, the items of work shown in the Final Voucher herein have been actually furnished in accordance with the Plans and Specifications.

Dated _____ Signature _____ Project Engineer

The undersigned Contractor hereby certifies that the work described has been performed in accordance with the terms of the Contract, and agrees that the Final Value of Work Certified on this Contract is \$1,842,410.76 and agrees to the amount of \$-3.46 as Final Payment on this Contract in accordance with this Final Voucher.

Contractor NORTHERN PAVING INC By _____

And _____ And _____

State of Minnesota, County of _____

On This _____ Day _____, _____, Before me appeared _____ To me known to
(Individual Acknowledgment)

be the person who executed the foregoing Acceptance and Acknowledged that he/she executed the same as _____ free to act and deed
(Corporate Acknowledgment)

_____ And _____, to me personally known, who, being each by me duly sworn, each did say that they are respectively the _____ and _____ of the _____ Corporation named in the foregoing instrument, and that the seal affixed to said instrument is the Corporate Seal of said Corporation, and the said instrument was signed and sealed in behalf of said Corporation by authority of it's _____ and said _____ and _____ acknowledged said instrument to be the free act and deed of said Corporation.

Notarial My Commission as Notary Public in _____ County
Seal Expires _____ Signature _____

I hereby certify that a Final Examination has been made of the noted Contract, that the Contract has been completed, that the entire amount of Work Shown in this Final Voucher has been performed and the Total Value of the Work Performed in accordance with, the terms of the Contract is as shown in this Final Voucher.

This Contract is hereby accepted in accordance with the Specification 1516. Final acceptance of the Contract will be effective upon full Execution, by the Contractor and the Department, of this Certificate of Final Acceptance.

Dated _____ Signature _____ District Engineer

SAMPLE "A"



STATE OF MINNESOTA DEPARTMENT OF TRANSPORTATION

RE : Contractor Requirements
S.P. No. : 3503-12
Contract No. : S06075
Location : TH 11, FROM RR TRACKS IN KARLSTAD TO RR TRACKS IN GREENBUSH

Attention : NORTHERN PAVING INC

Two copies of the Final Voucher and Certificate of Final Contract Acceptance are enclosed for your review and approval. The certificate requires the signature of an authorized official of your firm on this contract, and notarization.

The date entered for receipt of this package via certified mail is the date that begins the ninety day statutory deadline (MN Statute § 161.34) for initiating claims against the State arising out of the Contract.

Final Acceptance of this Contract and Final Payment cannot be approved until all Contract Requirements have been satisfied.

**A signed copy of the Final Voucher
IC 134 Withholding Tax**

Failure to submit the Contract Requirements before expiration of the ninety day period may result in the Department rejecting any future bids you may make per MN Statute § 161.32 Subd.1d. In addition, under the provisions of Standard Specification 1906, the Department may withhold payments on other Contracts you currently have until the requirements have been satisfied.

If a Credit Payment is due, you will receive a separate letter and invoice from the Department's Accounts Receivable Office. Please remit payment in accordance with the invoice.

Retain one copy of the Final for your records. Sign and return the other copy to:

**MnDOT Construction Office
CTU Place
Nowthen, Mn 55303**

A copy of the Certificate of Final Contract Acceptance will be provided to you and your Surety subsequent to full execution.

Sincerely,

Jack Bauer
Project Engineer

cc: Engineer File
Office of Construction and Innovative Contracting

SAMPLE "B"

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STATE OF MINNESOTA

DEPARTMENT OF TRANSPORTATION

Credit Letter

NORTHERN PAVING INC

102 W 5TH ST

P O BOX 708

CROOKSTON

M 56716

RE: S.P. No. 3503-12

Contract No. S06075

Location TH 11, FROM RR TRACKS IN KARLSTAD TO RR TRACKS IN

Attention: NORTHERN PAVING INC

This Final provides for a Credit Payment of -3.46

Subsequent to your review and approval of the Final, please submit this payment in accordance with the invoice you will receive, under a separate transmittal, from the Mn/DOT Office of Finance. As explained in the Requirements letter accompanying this Final, this Payment must be made within 90 days after you receive this Final.

Sincerely,

Jack Bauer

Project Engineer

cc: Engineer File

Office of Construction & Innovative Contracting (2)

Note: Do not generate this letter when credit is less than \$5.00. Finance will not process. Do not include credit on Requirements Letter if less than \$5.00.

SAMPLE "C"

Final Voucher Date Tracking Form

District Engineer: Do not sign the attached Final Voucher Certificate of Final Contract Acceptance unless all date boxes are completed with a date or marked N/A. This will serve as your assurance that MN Statutes § 161.34 and 161.32 have been observed by the Project Engineer and that all Special Contract Requirements have been met. Once you have signed the Certificate of Final Contract Acceptance, no changes can be made to this Contract.

Project Engineer: Please refer to the Contract Administration Manual section 5-591.370 prior to completing this form.

S.P. Number: 3503-12 Office Manager: Chloe O'Brian
 Telephone: 666-2626

Date Certificate of Final Acceptance signed by Project Engineer and sent to Contractor via Certified Mail	
Date Final Received by Contractor ("Date of Delivery" shown on Cert. Mail Green Card, or Electronic Tracking Notice)	(A)
Date Due Back from Contractor: (B) = (A) + 90 Calendar Days (Include Saturdays, Sundays and Holidays)	(B)
Date Signed Final Received in Engineer's Office from Contractor	

Special Final Requirements – Enter Dates items Received from Contractor or Completed by Engineer

Contractor IC-134 Tax Withholding	Mat'l Cert. Exception Summary	Final Inspection by Const. Stand. Eng.	Labor Holds Released	Credit Hold Released	O/U Letter	Contractor Total Payment Form	Contractor Payment Affidavit
(E)	(F)	(G)	(H)	(I)	(J)	(K)	(L)

Before Submitting this final to the District Engineer for Signature, all above dates must be entered. All dates that do not apply must be marked N/A (Not Applicable).

If all boxes are not filled in, Final must be held in District Office until all issues are resolved.

Special notes:

Box (A) – The Certified Mail stub (green card) or Electronic Tracking Notification is official acknowledgement that the Contractor has received the Final Voucher and Certificate of Final Acceptance. Enter the "Date of Delivery" shown on the stub or e-mail from USPS.

Box (E) – IC-134 Tax Withholding required by MN Statutes § 290.97 and 290.92.

Box (J) – Required on Federal Funding Projects designated as MAP, FAP, FFO, and SAFO and as required by District Engineer.

Box (K) – Form required on all projects with Federal Funds.

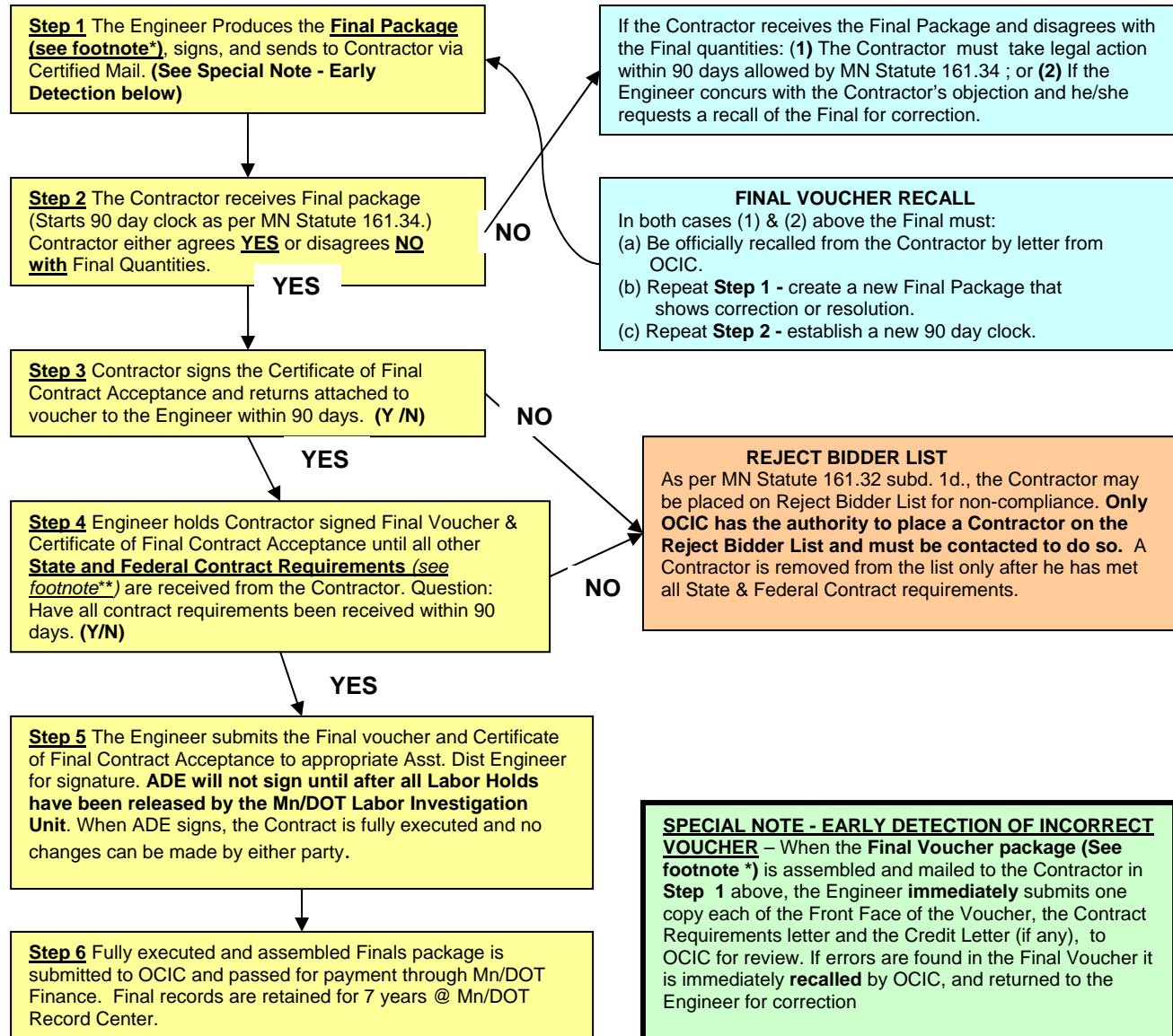
Box (L) – Form required on all projects with Federal Funds.

Attach Certified Mail stub here, or attach copy of Electronic Notification to back of this form.

Final Voucher Recall can only be done by the Office of Construction. If this is necessary, contact the Contract Administration Supervisor in the Office of Construction.

SAMPLE "D"

FIELD FINAL FLOW CHART



**** State and Federal Contract Requirements that must be submitted to Engineer within 90 Days** - Failure to submit these documents may result in the Contractor being placed on the Reject Bidders list shown above.

- (a) **MN Revenue Form IC-134** – Withholding Affidavit for Contractors -Certificate of Compliance must be signed by Revenue before final payment can be made as per MN Statutes 290.92 and 270C-66.
- (b) **Signed Certificate of Final Contract Acceptance** – Required by FHWA Stewardship Agreement before Final Payment can be made.
- (c) **Credit due the State** – Payment must be made in accordance with MN/DOT Finance billing prior to Final Closeout. (OCIC will notify Engineer when Credit is Paid by the Contractor and released by Mn/DOT Finance.

* **Final Package** includes:

- (1) Final Voucher and Certificate of Final Contract Acceptance - Required by Federal Stewardship Agreement
- (2) Contract Requirement Letter - Lists all missing Documents the Contractor must submit to the Engineer in order to fulfill the Contract
- (3) Credit Letter (if any) - States the dollar amount due and the conditions of repayment to the State.

Sample "E"

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From: Robert Richards 2/7/07
To: Benjamin, Elizabeth
Subject: Project Hold S.P. #0205-0075 Park Construction

A case file has been opened for the above project. Please note that a labor hold on the final payment is automatically assigned to this case file until the investigation is complete. The hold will be removed when the case file has been successfully resolved.

If you have any questions, please call me at 651-366-4229.

Cc: Assistant District Engineer – Construction
Construction Office Manager

Sample E-Mail for **Placing** Labor “Hold”

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From: Robert Richards 2/7/07
To: Benjamin, Elizabeth
Subject: Project Hold S.P. #0205-0075 Park Construction

The case file assigned to this project has been successfully resolved. The labor hold on the final payment has therefore been removed.

If you have any questions, please call me at 651-366-4229.

Cc: Assistant District Engineer – Construction
Construction Office Manager

Sample E-Mail for **Releasing** Labor “Hold”

MINNESOTA · REVENUE

IC134

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 Address City State Zip Code	Daytime phone () Total contract amount \$ Amount still due \$	Minnesota tax ID number Month/year work began Month/year work ended
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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?	

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 _____

Stock No. 5000134 (Rev. 1/07)

SAMPLE "F" – MN. Revenue Form IC-134

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CONTRACT ADMINISTRATION MANUAL

MINNESOTA –REVENUE

**Contractor's Withholding Affidavit
Confirmation**

SAMPLE ONLY

**ASPHALT SURFACE TECHNOLOGY CORP
ASTECH CORP**

ID 3921215

Please keep this information for your records.

Submit a copy of this page to the project owner to receive your final payment.

Confirmation Number	1056568 Wed. Nov. 1608:53:34 CST 2005
Project Owner	MINN DEPT OF TRANSPORTATON
Project Number	8822-52
Project Begin Date	August 2005
Project End Date	September 2005
Project Location	POLK/ROSEAU/CLEARWATER/LAKE OF THE WOODS COUNTIES
Subcontractors	CENTURY FENCE CO. 8678834 103648 INTERSTATE TRAFFIC SIGNS INC 5503536 101584 SONNIS SPECIALTIES INC 472745997 105559

The above sample of the Contractor's Withholding Affidavit is now available to Contractors and be submitted directly to Mn Revenue on their website
<http://www.mndor.state.mn.us>

This form can be used in lieu of Mn Revenue Form IC-134 (either /or) when finaling out your Project. The confirmation ID number will serve in place of a signature by a Revenue representative on the Certificate of Compliance on the IC-134 as required by MN Statute 270C-66 (Formerly 290.97).

You only need submit the **Prime Contractors** form in your Final Package that you submit to OCIC.

Sample "F" -1 – Alternate to Minn. Revenue Form IC-134

Final Process CONTRACT ADMINISTRATION MANUAL

Form 17151 (12-62)

MINNESOTA DEPARTMENT OF HIGHWAYS

MAINTENANCE SECTION
VERTICAL AND HORIZONTAL BRIDGE CLEARANCE
REPORT

THNo. 494

BRIDGE No. 27713 + 277BA

COUNTY Henn DATE OF INFORMATION 3-28-90 MAINT AREA No. McTco

LOCATION 0.3 mi E of JCT TH 169
(Distance N-S-E-W from nearest town or highway intersection)

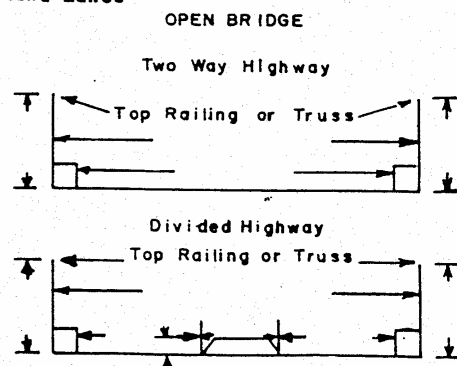
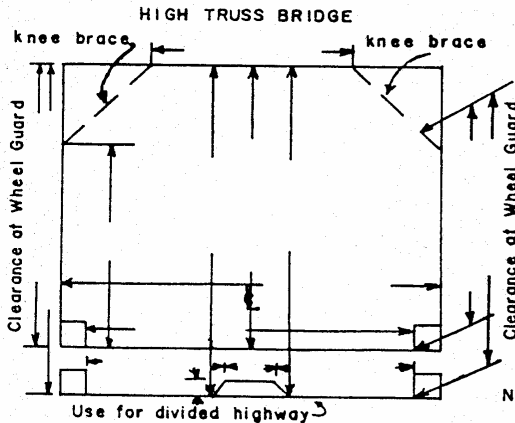
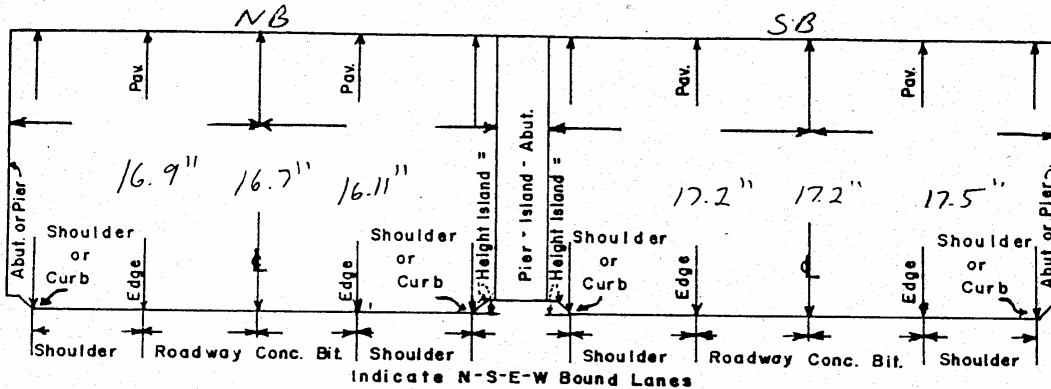
TYPE OF BRIDGE 501 BM SPAN

OVER OR UNDER WB Prairie Center Dr + RAMP
(Name or number Railroad - Highway - Street - County Road - River - Stream - Creek)

TYPE OF HIGHWAY INTERCHANGE 1/2 Diamond
(Draw Sketch on Reverse Side)

LOAD LIMIT Legal PERMIT LOAD LIMIT SB

UNDERPASS - - DIVIDED HIGHWAY OR TWO WAY HIGHWAY



Note: Show Sidewalks and indicate side of bridge N-S-E-W

Sample "G"

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CONTRACT ADMINISTRATION MANUAL

February 1, 2001

Joe's Paving Inc..
8820 18th Avenue East
Perham, Mn. 55379

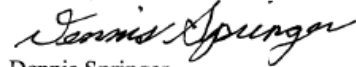
Re: S.P. 2516-89
Contract Number: S06456
Final Voucher Number: 6

Dear Sir:

The Final Voucher and Certificate of Final Acceptance which you have received on the above-referenced contract is being recalled to modify the payment on the Final Contract Voucher. Please return both copies of the Voucher and Certificate of Final Acceptance. A new Final will be sent subsequent to resolution of this matter.

Your cooperation in this matter is appreciated.

Sincerely,



Dennis Springer
Contract Administration Specialist

cc: Project Engineer
Project File

Sample of Final Voucher Recall Letter From OCIC to Contractor

CHECKLIST FOR DOING FINAL IN FIELD

Draft Final Voucher

1. Run the Draft Final Voucher first and review it carefully for correctness (Especially Front Page). Make certain that Liquidated Damages (if any) are deleted on any back sheets and correctly shown on Front Page.
2. Verify - encumbrance is sufficient to create Final Voucher.
3. Verify - Fed Non-Part dollars are correct on Front Page.
4. Value of Work Certified columns must match previous partial estimate; if they don't Mn/DOT Finance will not process.
5. Final voucher number must be correct; Mn/DOT Finance will not accept voucher with incorrect number.
6. Review the Draft-Final Voucher with the Contractor if possible before running Final Voucher.

Final Voucher

- Generate and print the Final Voucher.
- Generate and print the Certificate of Final Acceptance
 1. Verify values shown on Voucher and Certificate are correct and in agreement.
- Make 1 additional copy of the Final Voucher and Certificate of Final Acceptance.
- Edit , generate and print the Final Requirements Letter.
- Print Credit Letter**, only if Credit owed is greater than \$5.
- Make additional copy of the Front sheet of the Final Voucher and Final Requirement Letter and send inter-office mail to: OCIC, Mailstop 650, attn: Estimate Section. **If there is a Credit letter make two copies of the Front sheet of the Voucher (and staple it to two copies of the Credit letter and send inter-office mail to OCIC (Include in same interoffice envelope).
 1. Option: Send scans (.pdf) of above required documents to **CPG** in Groupwise. For agencies outside of Mn/DOT, send to CPG@dot.state.mn.us. The Estimate section will make required copies. Do not send to individuals in CPG.

Prepare Certified Mail Package to Contractor

- Verify addresses
- Project Engineer ONLY sign Certificate of Final Acceptance (ADE does not sign until after the Contractor returns the final to you and all other Contract Requirements are met.
- Attach Certificate of Final Acceptance to original and copy of Final Voucher.
- Place both the original and copy of the Final Voucher in the Package along with one copy of each of the computer generated letters (i.e. Contract Requirements Letter; **Credit letter)
- Send package to Contractor by Certified Mail. **Be sure to request a return receipt.** Option: you may request Electronic return receipt. USPS will send you

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an e-mail with scan of signature (Date received by Contractor as proven on this scan, is date on which 90-day clock begins.)

Final Tracking:

- Enter "Date Cert. Of Final Acceptance signed by Engineer and sent to Contractor" on the Final Voucher Date Tracking Form,
- If Certified Mail Package is returned as "Undeliverable" call the Contract Administration Supervisor in OCIC.
- When return receipt is received, record the "Date of Delivery" shown on the Card in box (A) on Final Voucher Date Tracking Form. Attach receipt to Final Tracking Form.
- Calculate the Date due back from Contractor. (Add 90 calendar days, include Sat., Sun., and Holidays.) Enter in box (B) on the Final Voucher Date Tracking Form.
- Attach Return Receipt to the Final Voucher Date Tracking Form.

One original signature Final Voucher with the Contractors signature will be returned to you. The Contractor will keep the other original signature voucher for his records. After the Contractor has returned the Final Voucher:

- Verify that the returned Final Voucher is signed by the Contractor and properly notarized. If not, notify him immediately, return for notarization.
- Update the Final Voucher Date Tracking form with the "Date signed final received back in office from Contractor"
- Gather all of the requirements needed to fill out rest of the Final Date Tracking Form Boxes **(E)** through **(L)**. Mark any boxes that don't apply N.A.
- Retain the Final Voucher in the Resident Office until the Final Date Tracking Form is completely filled out. (This may be some length of time if there is a Labor Hold and your waiting for a "Labor Hold Release Letter"
- Verify dates shown on IC-134 Form "*Month / Year work Completed*" covers the period up to the Final Completion Date of your Contract. If dates aren't correct you must ask for a new IC-134 that covers correct timeline.
 - You only need the Prime Contractor IC-134 Form to meet final Requirements. If you receive the Subcontractors' forms (not required), keep in the Engineer's files.
- The OCIC Estimate Section will contact you when the Credit payment owed by the Contractor (if any) is paid. (Box "I" on the "Final Voucher Date Tracking Form" can be filled in at that time)
- Prior to sending Final Voucher and Certificate of Final Acceptance to the ADE for signature, verify in field CMS that a labor hold hasn't been placed on the project. You should have a letter or E-Mail from the Mn/DOT Labor Investigation unit if there is a hold. Lacking this letter, or any indication in CMS, you can mark Labor slot on date tracking form as N/A and immediately send on to the ADE for signature without checking further.

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After all Requirements are met:

- Submit original signature Final Voucher and Certificate of Final acceptance, along with a copy of the Final Voucher Date Tracking Form to the Asst. District Engineer for signature.

After Asst. District Engineer signs and returns original signature Final/Cert. of Final Acceptance, organize the total Final Package to the Office of Construction as follows:

- Make two complete copies of the original signature Final Voucher.
- Include complete Original Signature voucher and one copy of the Final Voucher with the package to OCIC. Retain one copy of signed voucher in Engineer's files.
- Organize and submit the Final Package to the Central Office OCIC.
- Final will be closed out as-is.