

# Delegated Contract Process (DCP) for Local Agency Federal Aid Projects

Always check the [State Aid website](#) for current forms and procedures. Refer to the [State Aid Manual Construction Chapter](#) (PDF) for more information on construction procedures for Federal Aid Projects.

## **READ THE FOLLOWING BEFORE YOU START**

### Approval is required first

Prior approval must be received before expenses are incurred, or they will not be reimbursed.

### This is not a grant program

Federal funds are released after the expense is incurred. Sponsoring agencies must be financially able to make the contract payments.

### This list contains typical Federal and State Aid Requirements

The sponsoring agency is responsible to see that projects are developed and constructed in accordance with all applicable federal/state/local laws, whether they're on this checklist or not.

### This list covers plan development and contracting process only

For information on the environmental review process, refer to the [State Aid Manual Environmental and Design Studies Chapter](#) (PDF).

### This checklist is not all inclusive

Refer to the State Aid Manual for complete information.

### Send in all required forms

The forms linked in this document contain information needed to comply with federal regulations. Do not alter the forms. Failure to provide all the information could jeopardize your federal funds. Shortcut links to all the forms are located at the end. **Forms shall be sent electronically unless otherwise directed.**

### Federal requirements will apply to all work included in the construction contract

Other projects included in a federal contract must follow applicable federal requirements.

### Call if you have any questions

Contact your [District State Aid Engineer](#) or the [SALT Division](#) if you have any questions on your Federal-aid project. Contact [State Aid Finance](#) for questions related to payments.

## Project Sponsor

In order to be a recipient of a federal aid project, the recipient must either be a public agency, or the project must be sponsored by a public agency on behalf of the recipient.

The project recipient/sponsor must be qualified to administer a federal aid construction contract. To be qualified, the local public agency must be adequately staffed & suitably equipped to undertake & satisfactorily complete the work. Projects must receive adequate supervision & inspection to insure that projects are completed in conformance with approved plans & specifications.

The District State Aid Engineer will determine if a project sponsor is qualified. Qualification is determined on a **project-by-project basis**.

If a project sponsor cannot qualify on their own, but elects to use consultants for engineering services, the local public agency shall provide a full-time employee of the agency, qualified to be in responsible charge of the project.

## Acronyms

- CO = Change Orders
- Corps = Army Corps of Engineers
- DBE = Disadvantaged Business Enterprise
- DCP = Delegated Contract Process
- DME = District Materials Engineer
- DNR = Department of Natural Resources
- DSAE = District State Aid Engineer
- FHWA = Federal Highway Administration
- IAS = Independent Assurance Sampler
- LPA = Local Public Agency
- MPCA = Minnesota Pollution Control Agency
- NPDES = National Pollutant Discharge Elimination System
- OJT=On the Job Training
- PDR = Project Development Report
- SA = Supplemental Agreement
- SAF = State Aid Finance
- SALT = State Aid for Local Transportation
- SAM = State Aid Manual
- TRNS\*PORT = MnDOT's Bid Management System (old BAMS)

## Part 1: Project Development

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1-1 LPA prepares & submits [Project Memo \(PM\)](#) (Word) or [Environmental Assessment \(EA\)](#) (Word) to DSAE for review/approval and submittal to SALT by December 1<sup>st</sup> of the year prior to bidding.

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**1-3** LPA submits [Request for Contracting Authority \(DCP 01\)](#) (Word) to DSAE for each federal aid project. Reviewed on a project by project basis.

**1-2** SALT reviews PM or EA, & requests changes or approves (requests FHWA approval if necessary) & notifies the LPA.

**1-4** DSAE reviews the request to determine if the agency is "**adequately staffed & suitably equipped to undertake & satisfactorily complete the work.**" If engineering is to be sublet, DSAE must approve. See [Consultant Use on Federal Aid Projects](#) (PDF).

If approved, the DSAE signs & submits [Request for Contracting Authority \(DCP 01\)](#) (Word) to SALT.

**1-5** SALT prepares [DCP Agency Agreement](#) (Word) (if one is not on file) & submits to LPA.

**1-6** LPA Clerk/Auditor reviews audit requirements:

- Single Audit Act of 1984
- Office of Mgmt & Budget (OMB) Circular A-133
- Contact SALT for further information

**1-7** LPA Financial Officer determines if sufficient financial resources are available to bid & award a contract.

**1-8** LPA reviews/approves Agency Agreement and forwards to SALT for execution.

**1-9** SALT executes & distributes the Agency Agreement.

**1-10** LPA prepares plan in conformance with [State Aid Manual Plans and Proposals Chapter](#) (PDF) guidelines.

- Quantities grouped by federally eligible, non- participating, rural, municipal, storm sewer, etc.
- MUST NOT use proprietary items

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**1-11** LPA acquires necessary right-of-way in accordance with Federal laws. Prior authorization is required if Federal funds are used for R/W purchase. Refer to the [State Aid Manual Right of Way Chapter](#) (PDF) for guidance on timing of R/W purchases.

Refer to the [State Aid Manual Right of Way Chapter](#) (PDF) language regarding Environmental Due Diligence for federal aid, local initiated trunk highway, cooperative and other types of partnership projects that include property acquisition that will become state owned property during or after the project.

**1-12** LPA submits request for R/W certification [R/W Certificate # 1](#) (Word) & [R/W Certificate #1 Checklist](#) (Word) to the District R/W Engineer.

**1-13** District R/W Engineer certifies the R/W.

**1-14** LPA processes preliminary & final bridge plans (if any) through State Aid Bridge Engineer.

**1-15** LPA submits an [Application for Bridge Funds](#) (PDF) to the DSAE (if not already requested), if State Bond funds are anticipated.

**1-16** DSAE reviews & approves the **Application for Bridge Funds** & forwards to SALT.

**1-17** LPA submits plan to DSAE, including:

- [Plan Submittal \(DCP 02\)](#) (Word)
- **Engineer's Estimate** (in Excel spreadsheet with at least 12 point font)
- Plan Review Checklists
  - Federal Aid
    - [State Aid/Federal Aid/Bridge](#) (Word)
  - State Aid ONLY
    - [State Aid Only - No Bridge](#) (Word)
    - [State Aid Only with Bridge](#) (Word)
- [Lab Testing and Plant Inspection Services Request](#) (Word)

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- [R/W Certificate # 1](#) (Word) and [R/W Certificate #1 Checklist](#) (Word) OR [R/W Certificate # 1-A](#) (Word) (**with both signatures**)
- Working Day computations
- [Utility Relocations Certificate](#) (Word)
- Permits if any: Corps, DNR, MPCA (NPDES), etc.
- Information on any tied projects in the contract
- The above items are required by **April 1st** in order to meet authorization deadline to use federal STP, BR, TEA, HES, & RAIL program funds in the current fiscal year.
- **LPA must contact DSAE to discuss possible extension if April 1st deadline cannot be met.**

*From this point on, references to "SALT" shall also refer to Metro District State Aid for most projects in the Metro area.*

**1-18** DSAE reviews the submittal & recommends the plan for approval, OR performs a complete review and approves the plan for State Aid rules/policy compliance and forwards the submittal to SALT.

**1-19** SALT reviews the submittal package & notifies the LPA and DSAE of any missing components.

**1-20** LPA revises plan if necessary

Table 1: Assistance Establishing Bid Opening Dates

Activity	Off-Peak Duration (cal days)	Peak Workload Duration (cal days)
District Review	7	14
SALT Review *	7	28
Authorization	7	14
DBE Goal Determination *	14	14
Proposal & Ad Package *	3	7
Advertising **	25	25
Bid Opening	1	1
DBE Certification	14	21
Contract Award/Start Date	1	1
<b>Total Time</b>	<b>72</b>	<b>118</b>

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\* some activities can occur concurrently.  
\*\* varies depending on advertising methods and statute requirements.

**Projects submitted at the April 1st deadline may receive bid opening dates as late as July, depending upon District set priorities & workload. LPAs should plan accordingly.**

**1-21** SALT requests authorization of Federal funds when the following are received:

- Approved environmental documents
- Approved STIP Amendment, if not in current STIP year or other reason
- Plans approved by the DSAE
- R/W #1 signed by the Dist R/W Eng

**1-22** SALT submits to Civil Rights Office for DBE goal determination & OJT hours:

- Project description
- Engineer's estimate

**1-23** Civil Rights Office sets goal & OJT hours

**1-24** SALT reviews plan, if not full District review, and checks conformance with approved PDR

**1-25** SALT approves plan for federal funding, scans and prints

**1-26** SALT must have the following before a bid opening date can be set:

- FHWA Authorization
- Any required permits:
  - Corps, DNR, MPCA, etc.
- Traffic & Erosion Control plans
- Approved Bridge plan
- Approved design exceptions/variances

**1-27** SALT notifies LPA of project approval by phone or email.

**1-28** LPA & SALT discuss & select bid opening date.

**DO NOT PLACE AD WITHOUT SALT NOTIFICATION AND REQUIRED LANGUAGE DISCUSSED BELOW**

**1-29** SALT notifies DSAE of bid opening date

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**1-30** SALT sends State Bridge Bond Grant approval letter to LPA with instructions on submittal of agreement & resolution.

**1-31** SALT forwards to LPA:

- Written notice of authorization
- Approved original plan
- **REQUIRED** special provisions (**Time Sensitive Material**) including Schedule of Materials Control and required forms for Contractor's Request of DBE Goal Certification
- **REQUIRED** advertisement language Contractor DBE Requirements Letter (DCP 03)
  - [Greater MN DCP 03](#) (Word)
  - [Metro District DCP 03](#) (Word)

**1-32** LPA must notify SALT if the bid opening date is revised.

**1-33** LPA prepares bid proposal

- **MUST** include **REQUIRED** specs received from SALT.
- If more than 2 weeks after receipt, verify if SALT supplied specs are still current, especially federal/state wage rates.
- Do NOT use special provision boiler plates for trunk highway projects. See [SALT Electronic Proposal Document Tool](#).

**DO NOT PLACE AD WITHOUT SALT NOTIFICATION AND REQUIRED LANGUAGE DISCUSSED BELOW**

**Part 2: Bid Procedures**

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**2-1** LPA sends a copy of the completed ad as it will be published, with a list of where it will be published, to SALT, at the same time it is submitted for publication.

**2-2** LPA places ad (in accordance with State Statutes) for bid opening in:

- A trade publication OR first class city newspaper, where required, and

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- LPA Designated Publication
- LPA website
- LPA is strongly encouraged to place a link to the ad on [SALT's eAdvert webpage](#)

*Per [MN Statute 471.345](#) sealed bids shall be solicited by public notice in the manner & subject to the requirements of the law governing contracts by the particular municipality or class thereof.*

*For counties, advertisements must be published once a week for three successive weeks, with at least 10 days between the last ad date & the bid opening. [MN Statute 160.17](#).*

*For Cities, advertisements must be published at least once & at least 3 weeks before the bid opening. [MN Statute 429.041](#)*

**2-3** LPA sells plan/proposal packages

**2.4** SALT monitors wage rates for changes & notifies LPAs with affected bid opening dates.

**2-5** LPA prepares/distributes addenda if needed.

- Check currency of wage rates
  - State prior to advertising
  - Federal prior to bid opening
- May need addendum (for guidance see [wage determination requirements](#) (PDF))
- Send copy of addendum(s) to SALT & DSAE

**2-6** DSAE approves addenda and notifies SALT of approval.

**2-7** DSAE reviews bid opening procedures with LPA for statewide consistency

**2-8** LPA receives and checks the [federal debarment list](#) (PDF) and [opens bids](#) (Word)

**2-9** DSAE attends at his/her discretion

**2-10** LPA reviews proposals for completeness, errors, & unbalanced bids

**2-11** LPA notifies SALT of low bidder/amount by phone



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**2-11a** Provide list of bidders, bid amounts and DBE goal from Back Cover of Proposal if the project has a DBE goal to SALT.

**2-12** If bid is 10% over or under the engineer's estimate, LPA prepares justification & submits to DSAE.

**2-13** DSAE determines if additional federal funds will be authorized for the project & notifies LPA & SALT. DSAE coordinates with MnDOT & ATP as needed.

**For Projects WITH a Numerical DBE Goal & OJT**

**2-14** Immediately following the bid opening, LPA notifies Apparent Low Bidder to submit Request for DBE Certification to Civil Rights Office, using Contractor DBE Requirements Letter (DCP 03) (see below), and sends forms previously provided by SALT in the [DBE Special Provisions](#) (PDF) pp 14-23 (Parts A thru H).

- Contractor DBE Requirements Letter (DCP 03)
- [Greater MN DCP 03](#) (Word)
  - [Metro District DCP 03](#) (Word)

See [Civil Rights Contract Clearance Flow Chart](#) (PDF) for a quick look at the clearance process.

[On-the-Job Training Program Approval \(EEO 14\)](#) (PDF) (Required if the project includes On-the-Job-Training).

- Send copy of notification to SALT, DSAE and Civil Rights Office

Contractor **must** submit Request for DBE Goal Certification & required forms to Civil Rights Office, including OJT Training Plans, on or before the **5th calendar day** after the bid opening.

LPA e-mails list of all the bidders, bid amount and DBE commitments from their bid packages to SALT Federal Aid Plans Engineer.

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**2-15** Immediately following the bid opening, LPA sends [Pre-Award Contract Information \(DCP 04\)](#) (Word) to Civil Rights Office, including:

- **Bid Abstract** (includes all bidders), including the **DBE commitment** for each bidder.
- **COMPLETE** Bid Proposal Booklet (all pages of the proposal) from low bidder.

## **DO NOT AWARD UNTIL NOTIFIED BY CIVIL RIGHTS OFFICE**

**2-16** Civil Rights Office reviews/certifies DBE participation & notifies LPA & SALT.

**2-17** LPA awards to lowest responsible bidder or rejects bids.

Go To **IMMEDIATELY AFTER AWARD**

### For Projects **WITHOUT** a Numerical DBE Goal & RGN

**2-18** LPA awards to lowest responsible bidder or rejects bids. *If **no numerical goal** & bid checks out OK, could award the same day as bid opening.*

**2-19** LPA sends [Post-Award Contract Information Race Gender Neutral \(DCP 07\)](#) (Word) to Civil Rights Office, including:

- Copy of Award letter
- Bid Abstract

See [Civil Rights Contract Clearance Flow Chart](#) (PDF) for a quick look at the clearance process.

Go To **IMMEDIATELY AFTER AWARD**

### **IMMEDIATELY AFTER AWARD:**

**2-20** For projects requiring a NPDES permit, that was not obtained by the LPA before bid opening, LPA sends NPDES requirements to Contractor, including:

- [NPDES Application Notice](#) (Word)
- [NPDES Declaration](#) (Word)

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- Contractor submits NPDES Application & fee to MPCA.
- Contractor sends copy of the NPDES Application & the NPDES Declaration to LPA.
- Contractor notifies the MPCA and Project Engineer a minimum of 10 days prior to removal or demolition of a bridge or building. Refer to [Notification Requirements](#) and the [State Aid Manual Hazardous Materials](#) (PDF) section for more information.

**2-21** LPA sends [Post-Award Documentation-- DSAE \(DCP 05\)](#) (Word) to DSAE, preferably in electronic format (use [FTP site](#) (PDF)), including:

- 1 copy of **COMPLETE Bid Proposal Booklet** from low bidder.
- Final Detailed Estimate: Summary of low bid only, in engineer's estimate format, in Excel with at least 12 pt font, showing the breakdown of federal participating & non- participating for each category/group.
- Signed NPDES Application & Declaration

**2-22** Upon receipt of signed NPDES Declaration, DSAE sends a [Notice to Proceed](#) (Word) to LPA.

**2-23** DSAE forwards copy of Complete Bid Proposal to:

- District Materials Engineer (DME) / Independent Assurance Sampler (IAS)
- State Materials Engineer (at Maplewood Lab)

**2-24** LPA sends Post-Award Documentation--SALT (DCP 08) to SALT.

- [Greater MN DCP 08](#) (Word)
- [Metro District DCP 08](#) (Word)

Including:

- **COMPLETE Bid Proposal Booklet** from low bidder

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- Final Detailed Estimate: *Summary of low bid only, in engineer's estimate format, in Excel with at least 12 pt font*, showing the breakdown of federal participating & non- participating for each category/group.
- Copy of Award letter
- Signed NPDES Application & Declaration
- Affidavits of Publication
  - Trade Publication (if used)
  - LPA Designated Publication
  - If website used, see [Affidavit of Electronic Publication Sample](#) (Word)
  - May be sent electronically to [Mark.Channer@state.mn.us](mailto:Mark.Channer@state.mn.us)
  - Subject to MnDOT's 20mb email size restrictions.

Note: **Post-award Information** (FORM DCP 06) to Labor Compliance Unit is no longer used.

See Post-Award Documentation-- SALT Instructions for help in completing this package.

- [Greater MN Instructions](#) (PDF)
- [Metro District Instructions](#) (PDF)

**2-27** LPA reviews Participation Distribution against the **Project Setup** under **Federal Aid Projects** in [SAAS Web Reporting](#).

**2-28** LPA sends single copy of the NPDES Permit Card to the DSAE.

**2-25** SALT prepares Funding Participation Distribution & forwards to SAF, with cc's to LPA, DSAE, Civil Rights & MnDOT Programs.

**2-26** SALT notifies LPA of State Bridge Bond grant amount, if any.

**2-29** DSAE saves a copy of the **NPDES Permit Card** in the State Aid eFiles, & enters the approval date in SALT Project Tracking database.

**2-30** SALT monitors elapsed time to flag overdue submittals beyond bid opening date.

## Part 3: Construction

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<p><b>3-1</b> LPA prepares &amp; executes contract, &amp; notifies Contractor to start work.</p> <p><b>3-2</b> LPA holds pre-construction conference</p> <ul style="list-style-type: none"> <li>• Send copy of notice to DSAE &amp; Civil Rights Office and area construction specialist.</li> </ul> <p><b>3-3</b> LPA &amp; Contractor <b>MUST</b> maintain bulletin board at the project work site with required posters.</p> <p><b>3-4</b> Information regarding posters &amp; the Poster Board Request Form can be obtained at the <a href="#">MnDOT Labor Compliance Poster Boards website</a>. Required Posters include:</p> <ul style="list-style-type: none"> <li>• Federal EEO Poster</li> <li>• Federal Wage Rate Information</li> <li>• Federal Wage Determinations</li> <li>• Federal Classification Determinations</li> <li>• Federal Fraud Notice</li> <li>• MnDOT Notice to Workers</li> <li>• MnDOT Notice of Nondiscrimination in Employment</li> <li>• Mn/DLI OSHA "Safety &amp; Health"</li> <li>• Mn/DLI Worker's Compensation</li> <li>• Mn/DLI State Wage Determinations</li> <li>• State Truck Rental Rates</li> </ul> <p><b>3-5</b> Required Contract Compliance Poster from the <a href="#">Minnesota Department of Human Rights</a>.</p> <ul style="list-style-type: none"> <li>• Contractor Non-Discrimination</li> </ul> <p><b>3-6</b> LPA verifies the NPDES Permit Card is posted at the construction site.</p> <p><b>3-7</b> If requesting State Aid funds for matching and/or other costs, LPA submits <a href="#">State Aid Payment Request</a> (Excel) to the DSAE.</p>	<p><b>3-8</b> DSAE reviews/approves/submits <b>State Aid Payment Request</b> to SAF.</p> <p><b>3-9</b> SAF releases funds in accordance with State Aid Rules:</p> <ul style="list-style-type: none"> <li>• 95% of State Aid share</li> <li>• project development costs</li> <li>• right-of-way costs</li> </ul>

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**3-10** If using State Bridge Bond funds, LPA submits 3 originals of the [State Bridge Bond Grant Agreement](#) (Word) and [Resolution](#) (Word) to SALT.

**3-11** SALT executes & distributes the Grant Agreement.

**3-12** SAF encumbers the State Bridge Bond funds.

**3-13** LPA approves [Request to Sublet Forms](#) (Word) and keeps in file.

*(No longer required to submit the forms to MnDOT Labor Compliance or send DCP 09.)*

- 3-14** LPA provides inspection
- Certified Testers required
  - **Schedule of Materials Control required** (see special provisions)
  - Notify the MnDOT Independent Assurance Inspector of project schedule
  - See [State Aid Manual Construction Chapter](#) (PDF) and [Construction Tools – References webpage](#) for requirements and guidance.
  - Refer to the Building and [Bridge Removal/Demolition guidance](#) and the [State Aid Manual Hazardous Materials](#) (PDF) section if the project involves any such activities.
    - Contractor shall utilize [MnDOT – approved pre-qualified vendors for asbestos abatement](#) (Word).
    - Contractor shall dispose the asbestos – contained waste at the [Minnesota Pollution Control Agency – approved sites](#) (PDF).

**3-15** MnDOT District or Central Lab provides testing, if requested, & will bill the LPA for services, see [Lab Testing and Plant Inspection Services Request](#) (Word).

**3-16** MnDOT District will provide an Independent Assurance Inspector & will bill the LPA for services

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**3-17** LPA submits required documentation to DSAE

- [Change In Contract Construction Status](#) (Word)
- [Weekly Construction Diary](#) (Word)  
(If requested by DSAE)

**3-18** DSAE monitors progress during construction

**3-19** LPA submits [Contractor EEO Documentation \(DCP 10\)](#) (Word) from Contractor, to Civil Rights Office (*do not use EEO-2 form*), including:

Contract Compliance

- [Contractor Employment Data \(EEO 12\)](#) (PDF)
- [Monthly Employment Compliance Report \(EEO 13\)](#)
- [On-the-Job Training OJT Program Proposal](#) (PDF)
- [On-the-Job Training OJT Trainee Application](#) (PDF)
- [On-the-Job Training OJT Mentorship Agreement](#) (PDF)
- [On-the-Job Training Certification of OJT Hours](#) (PDF)
- [On-the-Job Training OJT Trainee Departure Form](#) (PDF)

Small Business Contracting

- [DBE Description of Work \(Exhibit A\) and Field Monitoring Report](#)  
{Complete Section (E) when DBE work is 1/3 to 1/2 complete}
- Requirements are in bid proposal
- Copy to DSAE

**3-20** Civil Rights Office monitors project

**3-21** LPA reviews contractor payroll reports & trucking reports for compliance with Federal & State Prevailing Wage Rates & truck rental rates.

- See [Certified Payroll Reports](#)
- See [Trucking Information](#)

**3-22** Labor Compliance Unit monitors project

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**3-23** LPA prepares **Partial Estimate** at least monthly

- Must be in engineer’s estimate format; showing breakdown for each category/group.
- Certified by Project Engineer & Contractor

**3-24** LPA pays contractor

**NOTE: LPA may submit DCP Partial Payment Request (see below) after the expense has been incurred but prior to paying the contractor, provided they have an approved payment process assuring the contractor is paid promptly upon receiving reimbursement of the Federal share.**

**3-25** LPA submits DCP Partial Payment Request for Federal Aid share (**required within 11 months of project authorization**) and bridge bonding funds (if any) to SAF.

- The DCP Payment Request must be prepared on the [SAF website](#), printed out, signed and the first page of the printout submitted with a copy of the Contract Voucher and for multi-group projects include a Cost Breakdown in the engineer’s estimate format by category/group to SAF and scanned and emailed to [amie.wunderlich@state.mn.us](mailto:amie.wunderlich@state.mn.us).
- Check with your DSAE to see if they want a copy

See the [DCP Payment Request Guide \(PDF\)](#) for detailed instructions on preparation of the **DCP Payment Request.**

**3-26** SAF reimburses the LPA for the Federal Aid and bridge bonding share of the Partial Estimate.

- Typically within one week
- Up to amount encumbered

**3-27** LPA may execute change orders, work orders and supplemental agreements with the contractor. SAs should be executed in the same manner as the original contract, according to LPA procedures.



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- See [Contract Changes Flow Chart](#) (Word) and the [State Aid Manual Construction Chapter](#) (PDF) for guidance on which method to use.
- [Change Order](#) (Word)
- [Work Order for Minor Extra Work](#) (Word)
- [Supplemental Agreement](#) (Word)

**3-28** LPA submits CO, and SA, to DSAE for information, & approval of federal participation, if requested. When requesting additional federal funds and on Full Federal Oversight projects:

- Must include costs by category/group.
- **Work is not eligible until** approved by DSAE
- An [Overrun Justification](#) (Word) must be submitted to the DSAE to encumber funds for Contract cost overruns.

**3-30** LPA may grant time extensions or suspend work.

**3-31** LPA may request Federal participation in claims. Requests should be sent to the DSAE.

**3-29** DSAE reviews CO & SA for compliance with federal regulations, & notifies LPA of acceptability.

- SA that changes the scope of the Federal project requires FHWA approval.
- DSAE notifies the LPA if the SA is eligible for Federal funding
- DSAE signs the SA, noting "For Funding Only".
- DSAE forwards copy to SALT if additional encumbrance required.

**3-32** DSAE reviews claim for compliance with federal regulations, & notifies LPA of acceptability.

- Notifies LPA & SALT if additional federal funds will be authorized for the project.
- Coordinates with MnDOT Programs & ATP as needed.

## Part 4: Completion

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<p><b>4-1</b> LPA notifies DSAE of project completion Final <a href="#">Change in Contract Construction Status</a> (Word)</p>	<p><b>4-2</b> DSAE conducts final inspection</p> <ul style="list-style-type: none"><li>• Use <a href="#">Final Inspection Report</a> (Word) form.</li></ul>
<p><b>4-3</b> Contractor submits <a href="#">DBE Total Payment Affidavit</a> (PDF) to Civil Rights Office (Spec 1908)</p> <ul style="list-style-type: none"><li>• Copy to LPA</li></ul>	<p><b>4-4</b> Civil Rights Office reviews/approves <b>DBE Total Payment Affidavit</b> &amp; notifies the LPA &amp; SALT that final payment can be made.</p>
<p><b>4-5</b> LPA submits copy of <a href="#">Materials Certification Exceptions Summary</a> (PDF) and <a href="#">Tester Inventory Project Roster</a> (Excel) to District Materials Engineer for certification that all Independent Assurance (IA) requirements have been met. Then, the LPA will send it to the DSAE</p> <ul style="list-style-type: none"><li>• See Chapter 6 III.F “Materials” in the electronic State Aid Manual (eSAM) for certification of materials.</li></ul>	
<p><b>4-6</b> LPA contacts Labor Compliance Unit regarding labor holds.</p>	
<p><b>4-7</b> LPA prepares <b>Final Estimate</b></p> <ul style="list-style-type: none"><li>• <b>Must</b> be in engineer's estimate format, showing the breakdown by category/group.</li><li>• In Excel, at least 12 point font</li><li>• Certified by Project Engineer</li><li>• Documented &amp; adjusted for:<ul style="list-style-type: none"><li>➤ liquidated damages</li><li>➤ surplus materials</li><li>➤ materials failures</li><li>➤ incentives/disincentives</li></ul></li></ul> <p>LPA makes final payment to the Contractor.</p>	
<p><b>NOTE: If finaling process &amp; payment to Contractor is anticipated to exceed 90 days, process a DCP Partial Payment Request.</b></p>	

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4-8 LPA submits **DCP Final Payment Request** for Federal Aid share & bridge bonding funds (if any) to **DSAE**.

- The **DCP Final Payment Request** must be prepared on the [SAF website](#), printed out, signed, & submitted with the following required documents to the DSAE
  - All the pages of the payment detail report should be sent with the payment request to the DSAE.

See the [DCP Payment Request Guide](#) (PDF) for detailed instructions on preparation of the DCP Final Payment Request.

- **Required documents to attachment:**
  - **Final Contract Voucher** including a copy of the **Final Estimate** (adjusted as stated above). See [Final Contract Voucher Sample](#) (PDF)
  - [Contractors Certificate of Final Contract Acceptance](#) (Word)
  - [Materials Certification Exceptions Summary](#) (PDF)
  - [Overrun Justification](#) (Word)
  - **Supplemental Agreements**, if applicable.
  - **Change Orders**, if applicable.
  - If requesting State Aid funds for matching and/or other costs, include [State Aid Payment Request](#) (Excel).
- *While it is no longer required to submit the Certificate of Performance form to State Aid, note that [MN Statute 160.17 Subd.3](#) requires that the work be certified to the county board or the town board, & the certificate filed in the office of the county auditor or town clerk.*

See the [DCP Final Payment Request Sample Packet](#) (PDF) for additional help in preparing the final submittal packet.

Local Public Agency	MnDOT
<p><b>4-14</b> LPA retains records according to MnDOT retention schedule--10 years from date of final Federal action—project is not finalized if it appears on the <b>Construction Aging Report</b> under <b>State Aid County and Municipality Reports</b> in <a href="#">SAAS Web Reporting</a>.</p>	<p><b>4-9</b> DSAE reviews/approves/submits <b>DCP Final Payment Request</b> package, including signed copy of <a href="#">Final Inspection Report</a> (Word) and any missing SAs, COs &amp; WOs, to SALT.</p> <p><b>4-10</b> DSAE reviews/approves/submits <b>State Aid Payment Request</b> to SAF (include <b>Bid Abstract</b> if this is the first State Aid Payment Request).</p> <p><b>4-11</b> SALT reviews/approves/forwards <b>DCP Final Payment Request</b> to SAF.</p> <p><b>4-12</b> SAF reimburses the LPA for the final Federal aid &amp; bridge bonding share.</p> <p><b>4-13</b> SAF releases funds in accordance with State Aid Rules.</p> <p><b>4-15</b> Audit may be conducted by FHWA or MnDOT</p>

## DCP Forms

- [Request For Contracting Authority \(DCP 01\)](#) (Word)
- [Plan Submittal \(DCP 02\)](#) (Word)
- Contractor DBE Requirements Letter (DCP 03)
  - [Greater MN DCP 03](#) (Word)
  - [Metro District DCP 03](#) (Word)
- [Pre-Award Contract Information \(DCP 04\)](#) (Word)
- [Post-Award Documentation--DSAE \(DCP 05\)](#) (Word)
- [Post-Award Contract Information Race Gender Neutral \(DCP 07\)](#) (Word)
- Post-Award Documentation--SALT (DCP08)
  - [Greater MN DCP 08](#) (Word)
  - [Metro District DCP 08](#) (Word)
- Post-Award Documentation--SALT (DCP08) Instructions
  - [Greater MN Instructions](#) (PDF)
  - [Metro District Instructions](#) (PDF)
- [Contractor EEO Documentation \(DCP 10\)](#) (Word)

## Shortcut Links

<b>Part 1: Project Development</b>	
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<b>Part 1: Project Development</b>	
Pg. 1	<a href="#">State Aid Manual Environmental and Design Studies Chapter</a> (PDF)
Pg. 1	<a href="#">District State Aid Engineer</a>
Pg. 1	<a href="#">SALT Division</a>
Pg. 1	<a href="#">State Aid Finance</a>
Pg. 2	<a href="#">Project Sponsor</a>
1-1	<a href="#">Project Memo</a> (Word)
1-1	<a href="#">Environmental Assessment</a> (Word)
1-3	<a href="#">Request For Contracting Authority (DCP 01)</a> (Word)
1-4	<a href="#">Consultant Use on Federal Aid Projects</a> (PDF)
1-4	<a href="#">Request For Contracting Authority (DCP 01)</a> (Word)
1-5	<a href="#">DCP Agency Agreement</a> (Word)
1-10	<a href="#">State Aid Manual Plans and Proposals Chapter</a> (PDF)
1-11	<a href="#">State Aid Manual Right of Way Chapter</a> (PDF)
1-12	<a href="#">R/W Certificate # 1</a> (Word)
1-12	<a href="#">R/W Certificate #1 Checklist</a> (Word)
1-15	<a href="#">Application for Bridge Funds</a> (PDF)
1-17	<a href="#">Plan Submittal (DCP 02)</a> (Word)
1-17	Plan Review Checklists <ul style="list-style-type: none"> <li>• Federal Aid <ul style="list-style-type: none"> <li>◦ <a href="#">State Aid/Federal Aid/Bridge</a> (Word)</li> </ul> </li> <li>• State Aid ONLY <ul style="list-style-type: none"> <li>◦ <a href="#">State Aid Only - No Bridge</a> (Word)</li> <li>◦ <a href="#">State Aid Only with Bridge</a> (Word)</li> </ul> </li> </ul>
1-17	<a href="#">Lab Testing and Plant Inspection Services Request</a> (Word)
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1-33	<a href="#">SALT Electronic Proposal Document Tool</a>

<b>Part 2: Bid Procedures</b>	
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2-2	<a href="#">MN Statute 471.345</a>
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<b>Part 2: Bid Procedures</b>	
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2-14	<a href="#">DBE Description of Work (Exhibit A)</a> (PDF)
2-14	<a href="#">On-the-Job Training Program Approval (EEO 14)</a> (PDF)
2-15	<a href="#">Pre-Award Contract Information (DCP 04)</a> (Word)
2-19	<a href="#">Post-Award Contract Information Race Gender Neutral (DCP 07)</a> (Word)
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2-20	<a href="#">Notification Requirements</a>
2-20	<a href="#">State Aid Manual Hazardous Materials</a> (PDF)
2-21	<a href="#">Post-Award Documentation--DSAE (DCP 05)</a> (Word)
2-22	<a href="#">Notice to Proceed</a> (Word)
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2-24	<a href="#">Affidavit of Electronic Publication Sample</a> (Word)
2-24	Post-Award Documentation--SALT (DCP 08) Instructions <ul style="list-style-type: none"> <li>• <a href="#">Greater MN Instructions</a> (PDF)</li> <li>• <a href="#">Metro District Instructions</a> (PDF)</li> </ul>
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3-4	<a href="#">MnDOT Labor Compliance Poster Boards website</a>
3-5	<a href="#">Minnesota Department of Human Rights</a>
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3-17	<a href="#">Weekly Construction Diary</a> (Word)
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