

MODULE 8 – FINAL ESTIMATES OVERVIEW

Slide 1 WELCOME

Welcome to the Florida Department of Transportation's computer-based training series on Final Estimates, Level 1 Training. This is Module 8, Submittals. This CBT contains audio and interactive elements. An alternate version is available on the resources page. To begin, select the start button or press Shift+N on your keyboard.

Slide 2 INTRODUCTION

This module will cover the necessary resources used to assist in the preparation and submitting the Final Estimate. We will also discuss the items within the Final Estimates Documentation Submittal.

Slide 3 GUIDANCE RESOURCES FOR PREPARING THE FINAL ESTIMATE

Before we begin discussing what is needed to submit a Final Estimate, we must mention some of the valuable resources available for Construction personnel to assist in the preparation, checking and payment of the Final Estimate. FDOT has developed these documents to establish consistency in how the Department does business, but also to ensure all proper documentation is obtained for future audits. There are two primary resources.

Slide 4 FINAL ESTIMATES GUIDELIST

1. Final Estimates Guidelist

This document is a good resource to help the Final Estimates personnel prepare the Final Estimate documentation. If this is followed, it will help us to ensure we include all needed information. The guidelist is divided into 3 sections based on the different phases of a contract.

Slide 5 FINAL ESTIMATES GUIDELIST PHASES

Phase I: Before Construction

This typically begins with a kick-off meeting to discuss what is to be expected with the project personnel. At these meetings, the District Final Estimates Office will go over all the documents that personnel need to know such as the Specifications, Special Provisions, manuals, etc. This kick-off meeting should not be confused with the pre-construction meeting typically held with the Contractor. This section covers the tasks to complete during the pre-construction phase that will set a project up for success.

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Phase II: During Construction

The Guidelist will discuss the proper documentation of items during the construction phase. This will include documentation of pay items completed throughout the contract, considerations for adjustments with careful detail for fuel and bituminous adjustments, documenting contract time, differentiating between the alternative contract types and accurately recording information in the Final As-built Plans.

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The major points of this section are:

- Plan Summary Boxes
- Final Measure Pay Items
- Plan Quantity Pay Items
- Lump Sum Pay Items
- Earthwork Pay Items
- Asphalt Pay Items
- Concrete Pay Items
- Structural Pay Items
- Fuel & Bituminous Adjustments
- Contract Time
- Alternative Contracts: Lump Sum, Design-Build, No Excuse Bonus, etc.
- Final As-Built Plans

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Phase III: After Construction

This section encompasses how the final estimate documentation should be prepared and submitted to the District Final Estimates Office. It also includes an overview of the DFEO Review and close out phase.

Slide 9 CONSTRUCTION PROJECT ADMINISTRATION MANUAL (CPAM)

2. Construction Project Administration Manual (CPAM)

While the Guidelist provides a quick overview of the items that should be checked and closely resembles a checklist, the Construction Project Administration Manual, commonly referred to as CPAM, provides a more in depth look at how items should be prepared and documented. The CPAM is for use by all construction personnel, including Final Estimates.

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The sections within the CPAM that are dedicated to Final Estimates process include:

- Section 2.2: Final Estimates Pre-Planning
- Section 3.5: Quality Control/Quality Assurance Reviews for Final Estimates
- Section 5.11: Final Estimates Documents
- Section 5.12: Final As-Built Plans Process
- Section 5.13: Plan Summary Boxes
- Section 5.14: Final Estimates Field Records
- Section 5.15: Final Measurements
- Section 5.16: Earthwork Notes & Documentation
- Section 6.2: Alternative Contracts
- Sections 11.1 thru 11.9: Asphalt

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These two resources are invaluable to Construction personnel in preparing a project for Final Estimates.

Slide 12 KNOWLEDGE CHECK

Now let's test your knowledge.

- 1) Which of the following is a resource of reminder to help you make sure that all needed work has been done on the Final As-Built Plans?

- A. The Final Estimates Guidelist**
- B. The Summary of Contract Plans
- C. The Final Plan Reminder Checklist
- D. All of the above

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- 2) Which one of the items listed below is NOT listed and detailed on the Final Estimates Guidelist?

- A. Pre-Construction Phase
- B. Construction Phase
- C. DFEO Final Review & Closeout Phase
- D. Maintenance and Warranty Phase**

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3) True or false. The Construction Project Administration Manual is dedicated for all construction personnel and also for Final Estimates.

- A. True
- B. False

Slide 15 SUBMITTING THE FINAL ESTIMATE

As construction projects are underway, numerous measurements and computations are made and many documents are prepared to record work accomplishments and pay quantities. In Module 2, we stressed that planning for the final estimate should start before beginning a project. The submission of the final estimate is when that planning pays off. If records have been prepared and maintained in an orderly manner throughout the project, it will be much easier to compile the information for the final estimate documentation and submit it to the District Office.

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It is important to remember that someone in each district may review the estimate and verify the quantities before final payment is made to the Contractor. Unless the reviewer can easily locate the backup data and verify the calculations, the whole process will be slowed down. So, keep it neat and organized, and make sure all the needed information is included.

Slide 17 THE FINAL ESTIMATES DOCUMENTATION

There are many documents that are included within the Final Estimate Documentation. Section 5.11 of CPAM discusses these documents thoroughly, however we will mention a few of them. They are:

- Time Correspondence. This is all the documentation need to substantiate contract time, including the Notice to Proceed, Notice of Beginning Work, and Final Acceptance Letter. This will also contain all weather letters, holiday extensions, any references to Supplemental Agreements with time extensions, etc.

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- Daily Work Report (DWR). This is the report of the work done each day, and corresponding equipment used, for the entire life of the project. It is stored in SiteManager and should be inputted on a daily basis by the field personnel.

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- Final Estimates Office Record of Final Plans and Documents (Form 700-050-28). This too provides important contract time information, such as critical dates & time extensions. It also provides contract amounts, general contract information and other relevant information about the project.

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- Contract Change Documentation. Contract changes could be made through the following documents:
 - Supplemental Agreements
 - Unilateral Directed Extra Work
 - Contractor's Claim
 - Contingency Supplemental Agreement
 - Work Order for unforeseen Additional Work
 - Cost Savings Initiative Proposal (CSIP)

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- Final As-Built Plans. This will include the original design plans with all changes shown in red and signed by the Responsible Engineer. This also can include the Contractor supplied as-builts drawings and shop drawings. It is crucial that the Final As-built Plans are accurate since they will be used by both Maintenance and in future designs.

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- Offer Letter & Final Estimate. Within 30 days after Final Acceptance, a final estimate will be generated for all final quantities. This estimate will also include all adjustments (such as Fuel and Bituminous adjustments, Composite Pay Factor adjustments, etc.) and deductions (concrete failures, asphalt straightedge, etc.), Once these items have been generated; the Offer Letter can be submitted to the Contractor along with the final estimate.

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- Back-up documentation. This should be stored in the Electronic Document Management System (or EDMS) and referenced on the Summary of Quantities Sheet to support any quantity changes.

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- Final Plans and Estimates Transmittal (Form 700-050-20). The main purpose of the transmittal is to list all items included in the final estimate documentation submitted to the District. It provides for a final check by the people who put the documentation together in the field. And, the District Final Estimates Office uses the transmittal to verify that all listed items are received.

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Other documents may be listed on this form such as:

- Pending Supplemental Agreements
Sometimes a pending supplemental agreement may not have been submitted to the District Office. If this is the case, the final estimate documentation should include information on the scope, approximate cost and additional contract time involved.
- Unresolved Claims
Any unresolved claims of the contractor that might affect final payments should be identified and clearly described at the time the final estimate is submitted.

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- Defective Materials
If the inspection and testing procedures have disclosed some defective materials on the project, and the matter has not yet been resolved, the status of these materials must be described in the final estimate documentation.
- Correspondence File
All correspondence related to final estimates on each project shall also be included.

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- Explanation of Overruns and Underruns
This item is a summary of the explanations of all variations between the original estimated quantities and the final quantities of \$10,000 or greater. The Project Administrator generates this report from AdHoc and exports the file to an Excel document where the reasons for changes can be documented.
- Pile Records, Shop Drawings, etc.

All documents pertaining to the Contract will be available electronically on the Department's collaboration site.

Slide 28 KNOWLEDGE CHECK

Now let's test your knowledge.

1) Which item is not listed on the Final Plans & Estimates Transmittal:

- A. Contractor's Certified Payroll Summary**
- B. Pending Supplemental Agreements
- C. Overruns & Underruns
- D. Unresolved Claims

Slide 29 CONTRACTOR REQUIREMENTS

After completing all work provided for under the contract and after the engineer has made final acceptance, the contractor must meet the following requirements:

- Agree in writing to accept the balance due or refund any overpayment
- Has properly maintained the project
- Furnished a sworn affidavit that he has paid all bills and no lawsuits are pending
- Furnished the surety affidavit
- Has complied with and settled all wage-rate provisions
- Has furnished all required mill tests and analysis reports
- Furnished the final Construction Compliance with Specifications and Plans Certification
- The Contractor has submitted and the Department has accepted all as-built drawings and certified surveys.
- Furnished all manufacturer warranties

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If the Contractor fails to furnish all required Contract Documents within 90 days of the Department's offer of final payment or request for refund of overpayment, the Department may suspend the Contractor's Certificate of Qualification under the provisions of Florida Administrative Code 14-22.

Slide 31 KNOWLEDGE CHECK

Now let's test your knowledge.

- 1) How should correspondence documents related to Final Estimates on each project be submitted?
 - A. Through Fed-Ex
 - B. Packed in a box as hard copies
 - C. They are kept with the Project Administrator's office for reference
 - D. They are available electronically on the Department's collaboration [ProjectSolve SharePoint (PSSP)] site.**
 - E. None of the above

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- 2) The document used to account for all variations of \$10,000.00 or greater between the Original and the Final Quantities is called the Variation Schedule.
 - A. True
 - B. False**

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- 3) Which of the following are some of the requirements that the Contractor must meet prior to receiving Final Payment?
 - A. Furnish the final Construction Compliance with Specifications and Plans Certification
 - B. Notification of Contractor's Performance Grade
 - C. Furnish the Surety Affidavit
 - D. All of the above
 - E. A & C**

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- 4) Any unresolved claims of the contractor that might affect final payment:
 - A. Should not be identified until after the project has closed
 - B. Should be identified and clearly described at the time the final estimate is submitted**
 - C. Should be identified and described during the pre-construction conference
 - D. Should be identified and clearly described at the job site
 - E. None of the above

Slide 35 CONCLUSION

This is the end of Module 8. To receive your certificate, please select the Print Certificate button or press Shift+P on your keyboard. Thank you for your time and attention.