

Subcontracting Process Changes

September 2013

Changes are being made to the subcontracting process with GS-12003, effective with the October 15, 2013 letting. These changes are the result of a Federal Highway Administration review, to better comply with federal requirements and to improve efficiency of the process. The changes are summarized below.

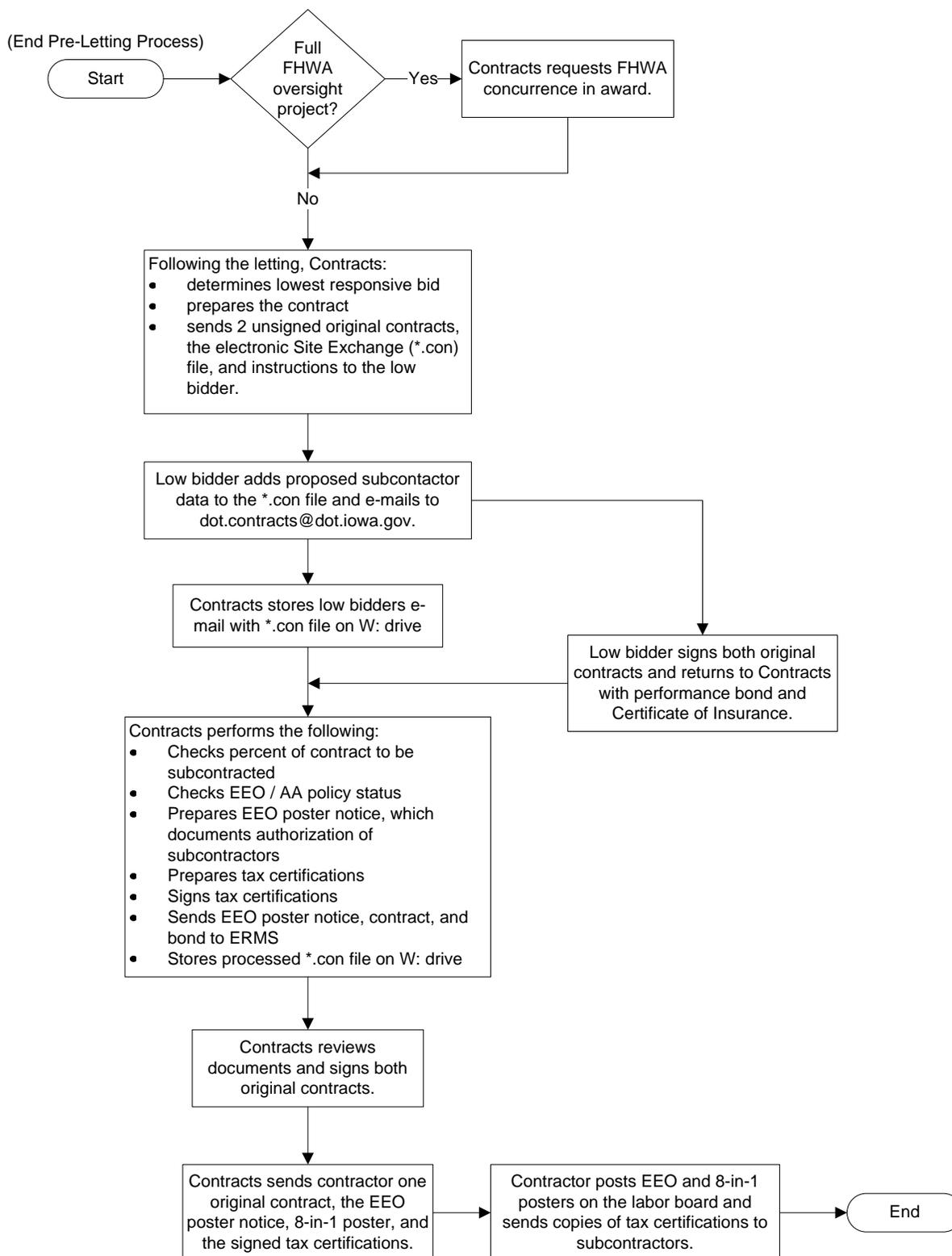
- Subcontract Requests (Form 830231) must be prepared using the “.con” file produced by the SiteXchange software and submitted electronically.
 - One exception - New items are added to a contract and those items will be performed by a subcontractor. In this instance only, the SiteXchange software may not be used to prepare Form 830231. This is because the software does not support adding new items to the contract. Form 830231 is available at: ([Subcontract Request Form](#)) and may be submitted in hardcopy or attached to an email. In all other situations, electronic submittal of the SiteXchange “.con” file is required.
- Initial subcontract requests submitted at the time of contract signature.
 - Submit all subcontract requests to the Office of Contracts (dot.contracts@dot.iowa.gov)
 - Submit a copy to the Project Engineer on contracts where the Department of Transportation is not the contracting authority. It is not necessary to copy the project engineer on contracts where the Department is the contracting authority.
- Subcontract requests submitted after time of contract signature.
 - Submit all requests directly to the project engineer for all contracts.
- Contract document (Form 650019)
 - Revised to include contractor certification regarding subcontracting. A copy of the revised form is attached.
- EEO Poster Board Notice Changes
 - This form is now the Department’s required written authorization of subcontractors. It must still be posted on the EEO/AA poster board to fulfill non-discrimination requirements. A copy of the revised form is attached.
- Subcontract Request (Form 830231) Changes
 - Subcontractors are now “authorized”, no longer “approved”. Other minor changes. A copy of the revised form is attached.

- Federal Aid Contracts

Contractors must comply with the following requirements on federal aid contracts. The Office of Employee Services-Civil Rights section will monitor and verify compliance.

 - 23 CFR 635.116(b)
 - Subcontract must be authorized in writing by the Department.
 - Subcontract agreement must be in writing.
 - Subcontract agreement must contain all provisions of prime contract.
 - Contractor certification regarding subcontracting – added to contract form (Form 650019) copy attached.
 - 23 CFR 633.102(e)
 - FHWA-1273 must be physically attached to each subcontract agreement.
- Specification changes
 - See GS-12003, October 15, 2013, Article 1108.01, Subletting of Contract
- Additional resources
 - Revised contractor instructions, attached
 - Process flowcharts, attached.
 - [Construction Manual Section 2.25](#)
These changes will be reflected in the January 2014 revisions
- Questions – Contact the Office of Contracts
 - dot.contracts@dot.iowa.gov
 - 515-239-1414

Subcontract Review and Authorization Process – Post Letting (For when the DOT is the Contracting Authority)



Abbreviations:

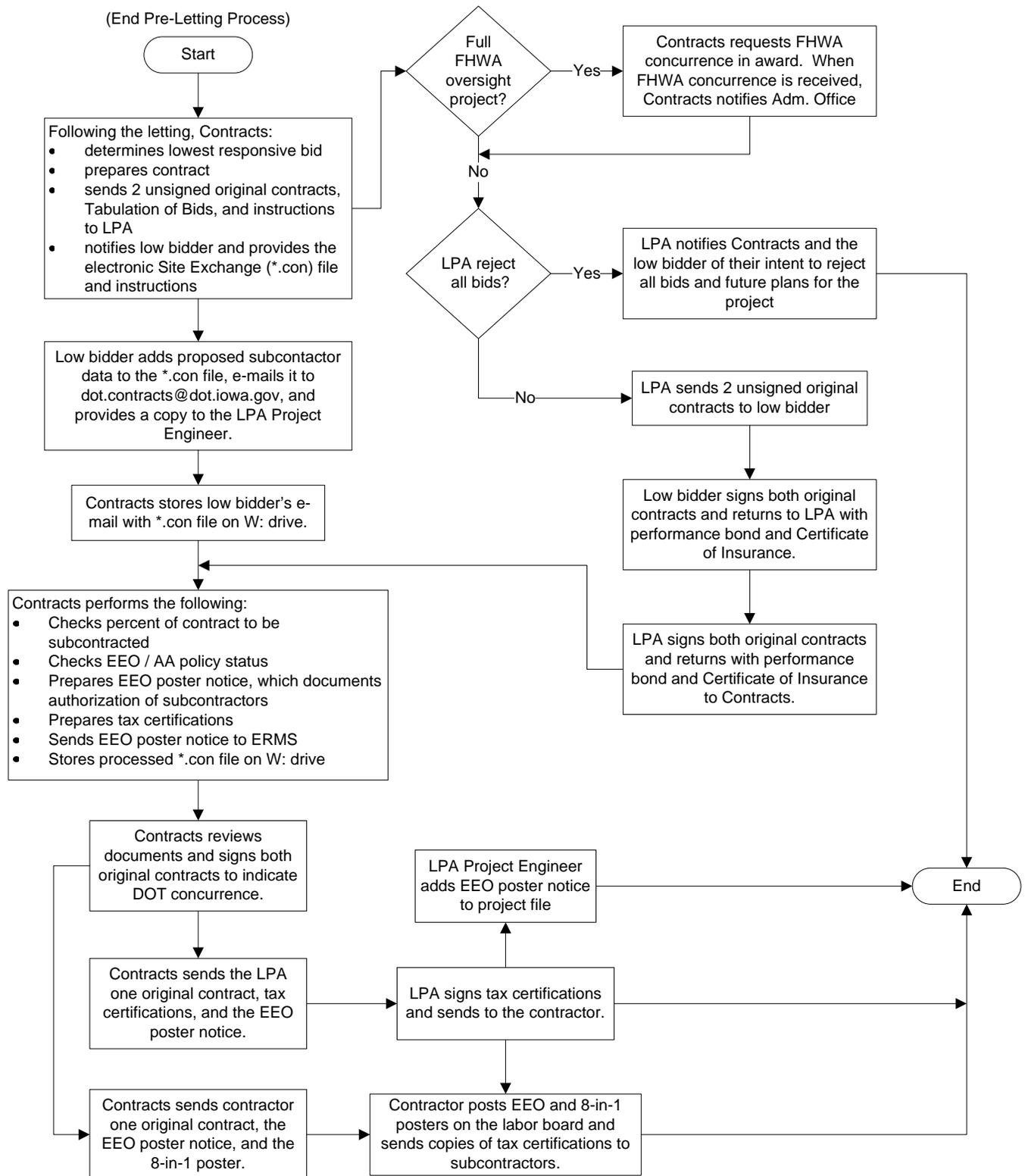
Contracts = Office of Contracts, Iowa DOT

EEO / AA = Equal Employment Opportunity / Affirmative Action

ERMS = Electronic Records Management System

FHWA = Federal Highway Administration

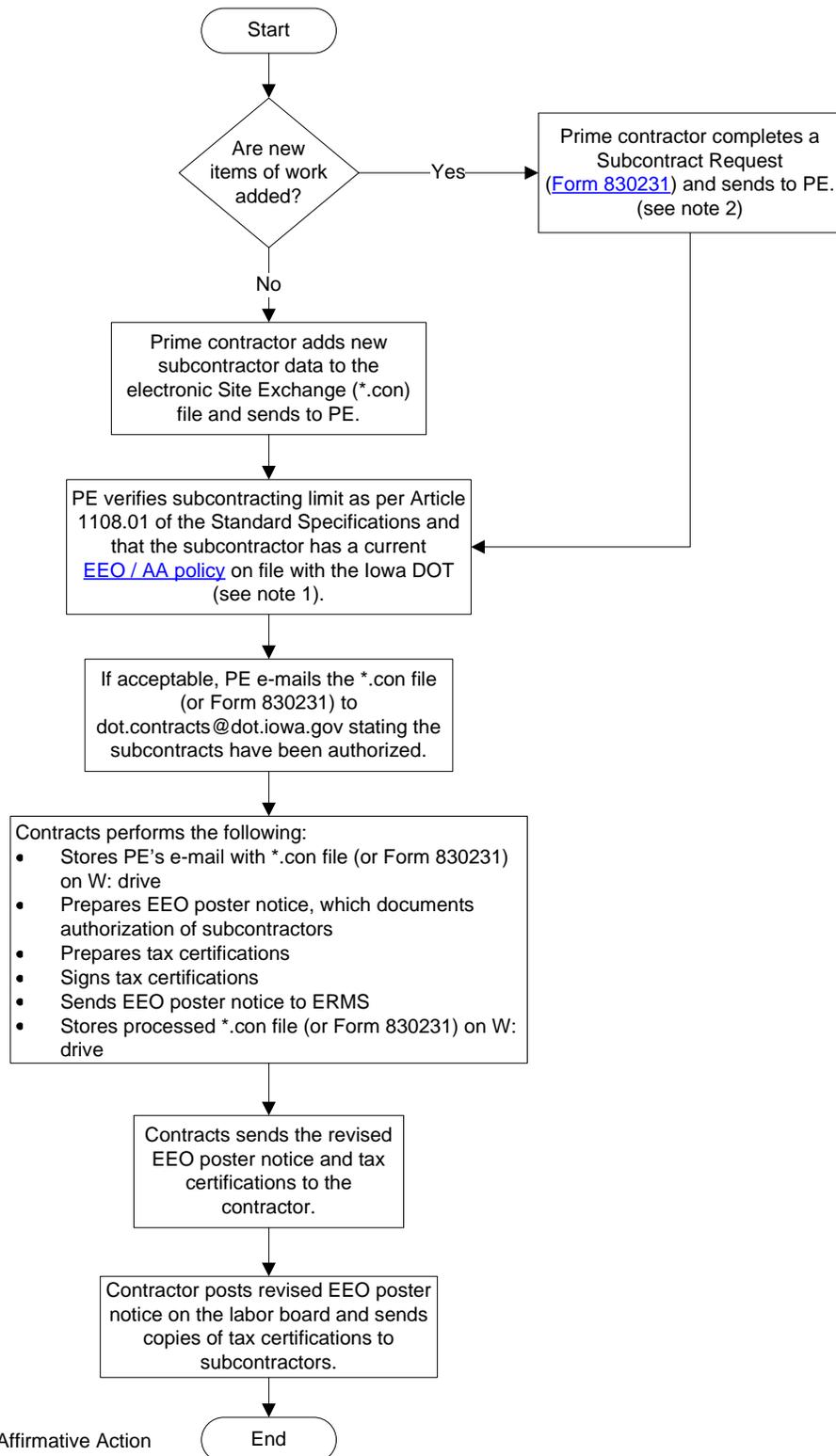
Subcontract Review and Authorization Process – Post Letting (for when the DOT is not the Contracting Authority)



Abbreviations:

- Admin. Office = Iowa DOT Administrating Office
- Contracts = Office of Contracts, Iowa DOT
- EEO / AA = Equal Employment Opportunity / Affirmative Action
- ERMS = Electronic Records Management System
- FHWA = Federal Highway Administration
- LPA = Local Public Agency

Subcontract Review and Authorization Process – Post Award (For subcontracts added after the award when the DOT is the Contracting Authority)



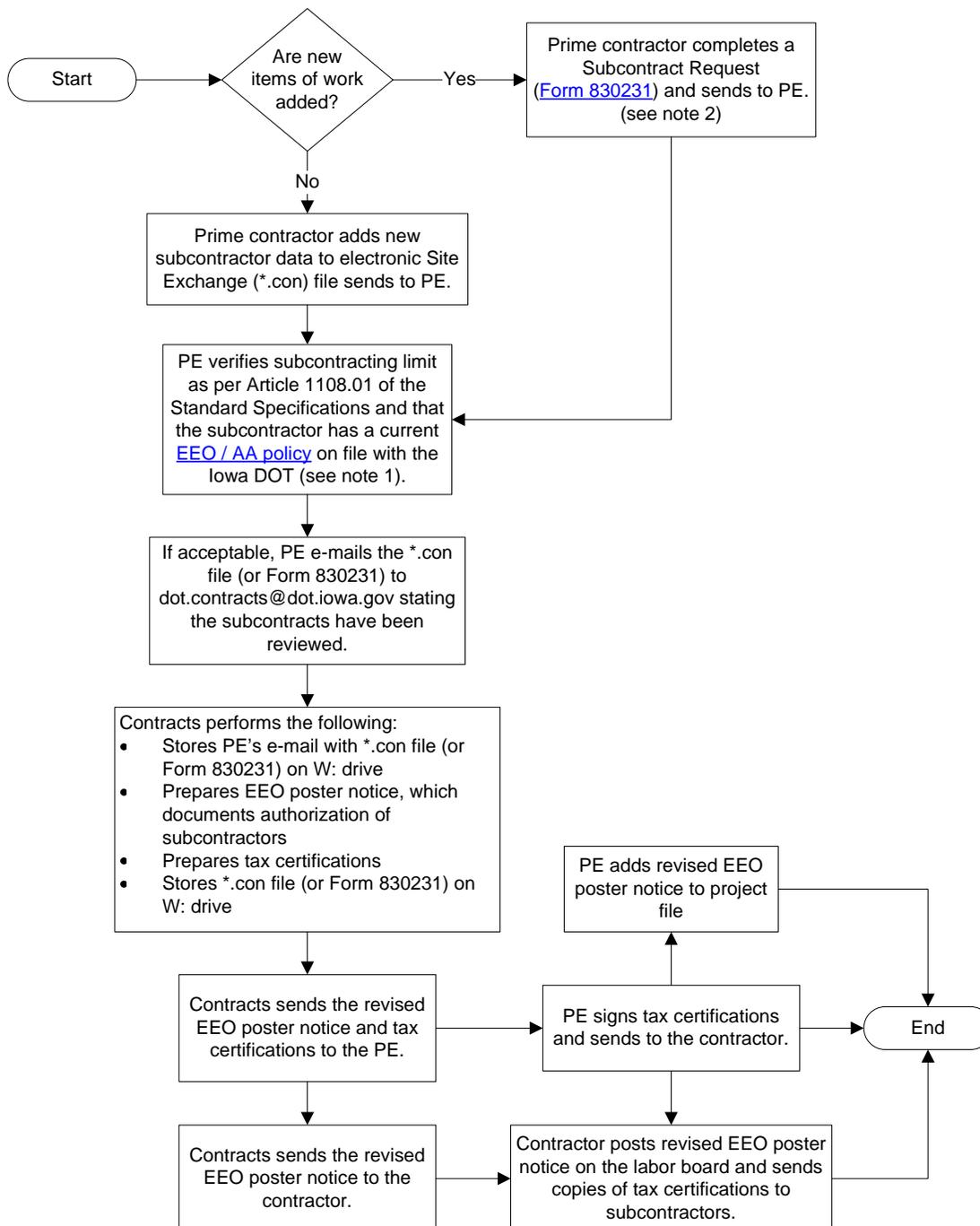
Abbreviations:

Contracts = Office of Contracts, Iowa DOT
 EEO / AA = Equal Employment Opportunity / Affirmative Action
 ERMS = Electronic Records Management System
 FHWA = Federal Highway Administration
 PE = Iowa DOT Project Engineer

Notes:

- (1) Click on the link provided to view the status of all contractors and subcontractors with a current EEO / AA policy on file with the Iowa DOT.
 (2) Form 830231 is required when new items of work are added because the Site Exchange software does not allow new items of work to be added to the *.con file.

Subcontract Review and Authorization Process – Post Award (For subcontracts added after the award when the DOT is not the Contracting Authority)



Abbreviations:

Admin. Office = Iowa DOT Administrating Office
 Contracts = Office of Contracts, Iowa DOT
 EEO / AA = Equal Employment Opportunity / Affirmative Action
 ERMS = Electronic Records Management System
 FHWA = Federal Highway Administration
 LPA = Local Public Agency
 PE = LPA's Project Engineer

Notes:

- (1) Click on the link provided to view the status of all contractors and subcontractors with a current EEO / AA policy on file with the Iowa DOT.
- (2) Form 830231 is required when new items of work are added because the Site Exchange software does not allow new items of work to be added to the *.con file.

CHANGES TO SUBCONTRACTING REQUEST PROCESS

INSTRUCTIONS TO REQUEST SUBCONTRACTOR AUTHORIZATION

Changes are being made to the subcontracting request process with GS-12003, **effective with the October 15, 2013 letting**. These changes are the result of a Federal Highway Administration review, to better comply with federal requirements and to improve efficiency of the process. The changes are summarized below:

- Subcontract Requests (Form 830231) **must** be prepared using the “.con” file produced by the SiteXchange software and submitted electronically.
 - One exception – New items are added to a contract and those items will be performed by a subcontractor. In this instance only, the SiteXchange software may not be used to prepare Form 830231. This is because the software does not support adding new items to the contract. Form 830231 is available at: [Subcontract Request Form](#) and may be submitted in hardcopy or attached to an email. **In all other situations, electronic submittal of the SiteXchange “.con” file is required.**
- Initial subcontract requests submitted at the time of contract signature:
 - Submit all subcontract requests to the Office of Contracts (dot.contracts@dot.iowa.gov)
 - Submit a copy to the Project Engineer on contracts where the Department of Transportation **is not** the contracting authority. It is not necessary to copy the project engineer on contracts where the Department is the contracting authority.
- Subcontract requests submitted **after time** of contract signature:
 - Submit all requests directly to the project engineer for all contracts.

The software to be used is SiteXchange and is available to all users, at no cost, using the following link: [BidX utility files](#)

The process is as follows:

- 1) Download the SiteXchange Software (will be a zip file), select the file subcon.exe and then select extract all files. This will create a folder to be used for creating your subcontract requests.
- 2) The Office of Contracts will e-mail to the awarded contractor an electronic file of their bid items.
- 3) Download the vendor.bin file to your newly created folder using the following link: [vendor.bin](#) .
- 4) When ready to generate the Subcontract Request, open the contract file in the subcon folder, select subcontractors, and enter bid items for each subcontractor. When all red folders are green, save the file **using the original file name and submit as directed above.**

CONTRACT

FA96 (Form 650019)
05-12

Letting Date:
County:
Cost Center:
Contract Work Type:

Contract ID:
Project Engineer:
Object Code:

Bid Order No.:
DBE Commitment:

This agreement made and entered by and between the

It is agreed that the notice and instructions to bidders, the proposal filed by the Contractor, the specifications, the plan, if any, for project(s) listed below, together with Contractor's performance bond, are made a part hereof and together with this instrument constitute the contract. This contract contains all of the terms and conditions agreed upon by the parties hereto. A true copy of said plan is now on file in the office of the Contracting Authority under date of _____.

The specifications consist of the Standard Specifications for Highway and Bridge Construction, Series _____ of the Iowa Department of Transportation plus the following Supplemental Specifications, Special Provisions, and addendums:

Contractor, for and in considerations of \$ _____ payable as set forth in the specifications constituting a part of this contract, agrees to construct various items of work and/or provide various materials or supplies in accordance with the plans and specifications therefore, and in the locations designated in the Notice to Bidders.

Contractor certifies by signature on this contract, under pain of penalties for false certification, that the Contractor has complied with Iowa Code Section 452A.17(8) as amended, if applicable, and Iowa Code Section 91C.5 (Public Registration Number), if applicable.

In consideration of the foregoing, Contracting authority hereby agrees to pay the Contractor promptly and according to the requirements of the specifications the amounts set forth, subject to the conditions as set forth in the specifications.

It is further understood and agreed that the above work shall also be commenced or completed in accordance with Page 1B of this Contract and assigned Proposal Notes.

To accomplish the purpose herein expressed, the Contracting authority and Contractor have signed this and one other identical instrument.

For Federal-Aid contracts the Contractor certifies that each subcontract is evidenced in writing and that it contains all pertinent provisions and requirements of the contract.

By _____, _____ Contractor (if joint venture)

By _____ Contracting Authority _____ Contract Award Date

Iowa DOT Concurrence _____ Concurrence Date
For Local Agency Contracts



SUBCONTRACT REQUEST

Contractor _____ County _____

Contractor Vendor ID _____ Contract ID No. _____

Letting Date _____ Bid Order _____

This is to request that the following subcontractor be authorized to perform the work for the items listed below. It is clearly understood by both the prime contractor and the subcontractor that all terms of the prime contract shall apply. It is also clearly understood that the subcontractor is not a third-party beneficiary of the contract between the prime contractor and the DOT.

When this subcontractor is being used to satisfy an established DBE goal, the actual amount to be paid to the DBE is indicated in Column "A". The authorization of the DOT is limited to the question of whether the subcontractor is a DBE and shall in no sense be construed as an endorsement of the DBE or an expression of opinion by the DOT on the subcontractor's ability to comply with the contract.

Subcontractor _____ Subcontractor Vendor ID _____

Address _____

_____ Telephone No. _____

The following conditions apply if this is a Federal Aid Contract:

1. The prime contractor is responsible for compliance by the subcontractor with Required Contract Provisions for Federal Aid Contracts, Form FHWA-1273, dated as per contract, relative to projects financed under the Federal Highway Act relative to wages and payrolls, and all terms of the prime contract applicable to the work performed by the subcontractors. The subcontract agreement shall be in writing and a copy of FHWA-1273 shall be attached.
2. The prime contractor is responsible for checking and submitting subcontractor's payrolls at the same time the prime contractor's payrolls are submitted when payment of predetermined wages is required.
3. I do hereby certify that in requesting authorization to sublet a portion of this project we have taken affirmative action to seek out and consider disadvantaged business enterprises as potential subcontractors and/or material suppliers.

Line No.	Item Description	Quantity	Unit Price	"A"	\$ Amount	Part Item
	Mobilization					
Signature (<i>Prime Contractor</i>)			Totals Carried From Back			
			Totals		(a)	

	Totals	Specially Items	Totals Less Specialty Items		% Sublet this approval
Contract Amount			(b)	$\left(\frac{a}{b}\right) 100$	
				% Prev. Sublets	
				Total % To Date	

Reviewed by:

_____ County/City Engineer

_____ Date

SUBCONTRACTOR AUTHORIZATION AND EEO POSTER NOTICE

County:
Contract ID:
Date of Letting:
Wage Decision:

To: Employees and Applicants

Equal Employment Opportunity (EEO) and Affirmative Action (AA) requirements apply to this contract. It is the policy of the contractors working on this contract to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, religion, sex, color, national origin, age, or disability. Such action shall include: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship, pre-apprenticeship, and/or on-the-job training.

You should contact the Iowa Department of Transportation, Office of Employee Services, Civil Rights Section at 515-239-1921 to register your complaint if you feel that you are being discriminated against because of your race, religion, sex, color, national origin, age, or disability.

Contractors authorized to work on this contract are listed below. Individuals seeking employment may contact them about employment opportunities and information about each company's training program.

<u>Contractor</u>	<u>City</u>	<u>State</u>	<u>Telephone</u>
-------------------	-------------	--------------	------------------