Tab 23

Subcontract Process

External

(1) Request to sublet sent by Prime Contractor to RCT and RPSC cc'd

(8) RE sends Interim for subcontractor on site

(15) Prime Contractor receives sign copy via email

Regional Construction Engineer (RCE)

(13) RCE reviews and signs the approval letter and sends to RPSC

Regional Construction Technician (RCT)

(2) Receives request and reviews for completeness

(4) Subcontract submittal complete? — NO / YES

(6) Received Interim form previously? — NO / YES

(5) Work begins date precedes request date? — YES / NO

(7) RCT notifies RE that an Interim is necessary

(9) RCT receives completed and signed Interim Subcontract form

(10) RCT enters request into SiteManager

(11) RCT prepares Summary report and Value report

Regional Program Services Clerk (RPSC)

(3) Receives request and reviews for completeness

(12) RPSC receives reports and prepares subcontract approval letter and sends to RCE

(14) RPSC receives signed letter, scans, and distributes

Deliverables

(a) Copy saved to G:Drive

(b) Copies emailed to cc list

Subcontract Process
Work Instructions

Process Steps	Available Step Aides	Key Activities	Points of Interest
1. Request to sublet sent by Prime Contractor to Regional Construction Technician (RCT) and Regional Program Services Clerk (RPSC) cc'd		The Prime Contractor sends request for subcontractor packet to RCT and RPSC cc'd	

2. Regional Construction Technician (RCT) receives request and reviews for completeness		The RCT receives the packet and reviews it to make sure that all necessary documents and actions are in order:
		1) Letter requesting permission to sublet work
		  a) Name and pertinent information related to subcontractor
		  b) List of contract items, item numbers, and descriptions
		  c) Percentage of each item being subletted
		  d) Begin and end dates for subcontractor must be included
		2) Check to ensure subcontractor is registered with the Secretary of State (SOS) office
		3) Completed & signed CA109 for subcontracts over $10,000
		4) Check to ensure the prime has returned the CA110
		5) Copy of fully executed subcontract agreement
		6) Completed and signed Worker's Compensation form
		7) Notify Prime Contractor that Subcontractors who have not worked on VTrans projects previously will need to fax a W-9 to Financial Operations at 802-828-2024
		8) Value of subletted work (total) can not exceed 50% of the original contract value
		9) Specialty Items and Change of Design (COD) Items (including increase item quantity and force account work) do not count towards the total subletted work value
			Subcontractors are not to perform work on project until formally approved. If work is performed Interim form must be completed and submitted to RCT before sub approval is granted.
			
			Any items that are installed by the subcontractor will not be paid until sub is approved.
			
			Once a COD has been processed, original contract items and quantities must be monitored and documented separately from any COD items items and quantities related to subcontracts.
			
			1 Signed by person of authority delegated in front of contract
			2 Specialty Items will be outlined as such in contract

3. Regional Program Services Clerk (RPSC) is cc'd		RPSC is cc'd	
4. Subcontract submittal complete?		**Yes** (submittal contains all necessary inclusions), go to Step 4 **No** (submittal is incomplete), go to Step 1	
5. Work begins date precedes request date?		**Yes** (the work begins date is prior), go to Step 5 **No** (the request date is prior), go to Step 10	
6. Received Interim form previously?		**Yes** (Interim form is submitted and complete), go to step 9 **No** (Interim form has not been submitted), go to Step 6	
7. Regional Construction Technician (RCT) notifies Resident Engineer (RE) that an Interim is necessary		RCT notifies RE that an Interim is necessary	

Process Steps (cont'd)	Available Step Aides	Key Activities	Points of Interest
8. Resident Engineer (RE) sends Interim for subcontractor on site		RE sends Interim for subcontractor on site	
9. Regional Construction Technician (RCT) receives completed and signed Interim Subcontract form		RCT receives completed and signed Interim Subcontract form from RE	
10. Regional Construction Technician (RCT) enters request into SiteManager	SPa (Issues & Resolutions) SP1 SP4	The RCT enters subcontractor approval request into SiteManager	When creating subcontractor approval in SiteManager, if errors are made, deleting the request and starting new can be done, although once a subcontract is approved in SiteManager, it should not be removed.
11. Regional Construction Technician (RCT) prepares Summary report and Value report	SP2 SP3	The RCT prepares a Summary report and Value report for the subcontractor	
12. Regional Program Services Clerk (RPSC) receives reports and prepares subcontract approval letter and sends to Regional Construction Engineer (RCE)		RPSC receives report and prepares the subcontract approval letter	
13. Regional Construction Engineer (RCE) reviews and signs the approval letter and sends to Regional Program Services Clerk (RPSC)		The RCE reviews and approves or denies the request	
14. Regional Program Services Clerk (RPSC) receives signed letter and distributes		RPSC receives signed letter and distributes	
15. Prime Contractor receives sign copy via email		Prime Contractor receives sign copy via email	
Deliverables	**Available Step Aides**	**Key Activities**	**Points of Interest**
a. Copy saved to G:Drive		Copy saved to G:Drive	
b. Copies emailed to cc list		Copies emailed to cc list	

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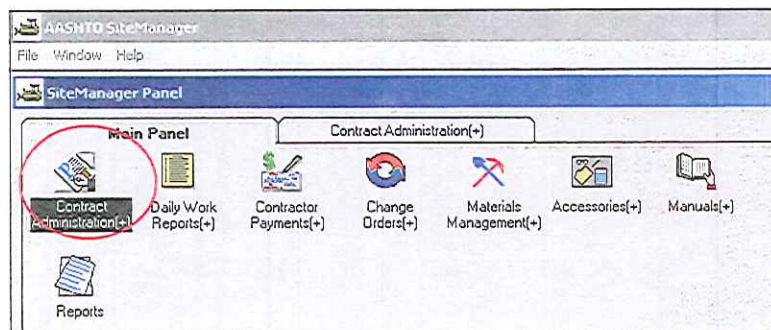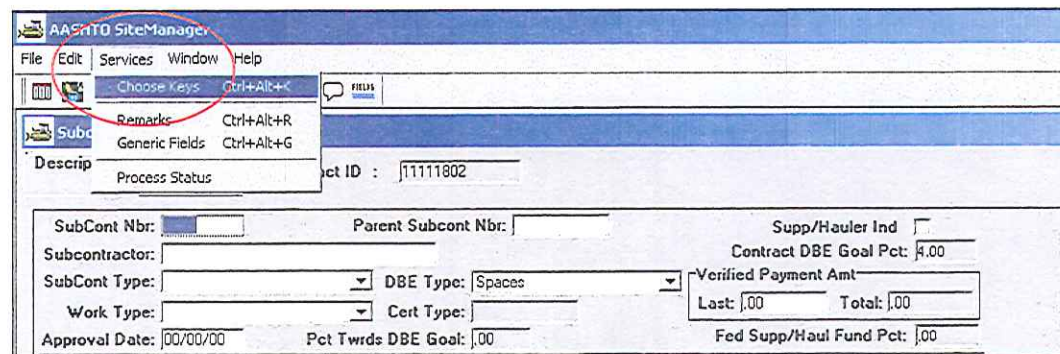**Program Development Division**
Construction Section

Instructional Sheet: SP1 – How to Enter a Subcontract in SiteManager
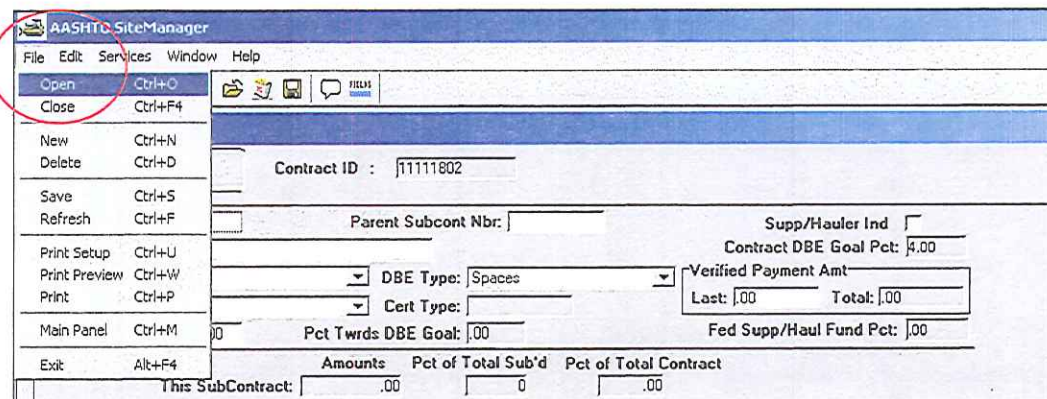**Revision Date:** April 19, 2012
Revision No: 1
Author: NE Region

1. Log into SiteManager: User Name & Password
2. Navigate to the Subcontracts Screen: MAIN PANEL→ CONTRACTOR ADMINISTRATION(+) → CONTRACTOR MANAGEMENT(+) →SUBCONTRACTS
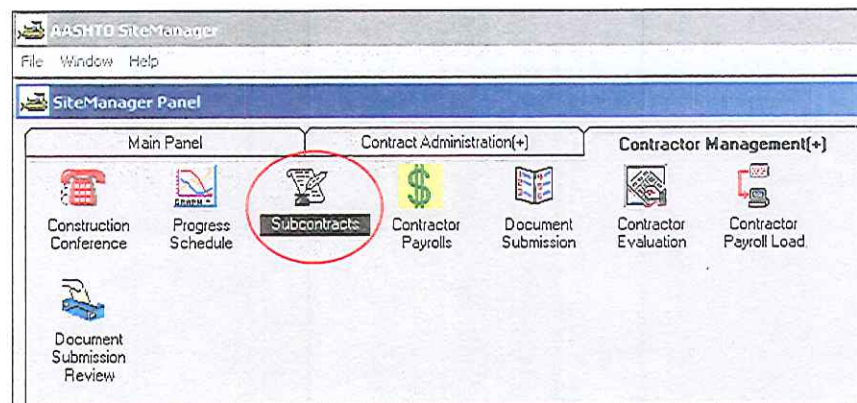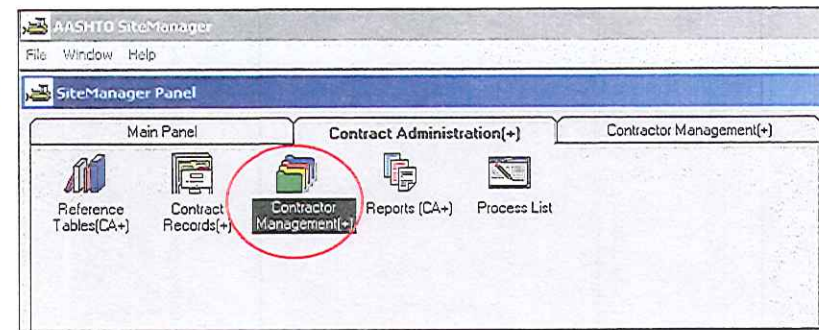
Any issues encountered with SiteManager, including passwords & logins, should be reported to the Construction Section Computer Technician (CSCT) in Headquarters and Stephen Gilbert, with a cc to the appropriate Regional Construction Technician (RCT)

Vermont Agency of Transportation
Program Development Division
Construction Section

Instructional Sheet: SP1 – How to Enter a Subcontract in SiteManager
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3. Select the contract from the Contracts list.
4. If this is the first subcontract for a contract click on: Services → Choose Keys (then go to step 09)

5. If this is NOT the first subcontract for a contract: File → Open

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6. After the list of existing subcontracts for the Contract opens choose the last one on the list
7. Then double click on the subcontract or click "OK"
8. Then click on the "New" icon to open a new subcontract window

9. A new (blank) subcontract Description window will open

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10. **Contract ID:** This auto-populates with the Contract Number (also called the CES number)

11. **SubCont Nbr field:** Enter the subcontract number 001, 002, 003 etc.,

12. **Parent Subcont Nbr field:** Enter the parent subcontract number

      • *When a subcontractor requests, through the Prime, to re-sublet work to another subcontractor you will process the subcontract as usual but will attribute it in this field to the original "Parent" subcontract. Only previously subcontracted items and quantities can be re-sublet to another subcontractor.*

13. **Supp/Hauler Ind toggle:** *Do Not Use*

14. **Subcontractor field:** Choose the subcontractor off the drop down list (if the subcontractor is not on the list see Instructional Sheet SP4)

15. **Contract DBE Goal Pct:** *Do Not Use*

16. **SubCont Type:** If the DBE Type field auto-fills with a DBE status match the code here otherwise choose "User Defined"

17. **DBE Type:** This will auto-fill if the subcontractor is a DBE otherwise leave it as "Spaces"

18. **Verified Payment Amt:** *Do Not Use*

19. **Work Type:** Choose the Work Type from the drop down list

20. **Cert Type:** *Do Not Use*

21. **Approval Date:** Enter the date the complete subcontract submittal arrived at the Regional Office

22. **Pct Twrds DBE Goal:** *Do Not Use*

23. All fields on the lower half of the window are auto calculated, auto populated fields.

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Instructional Sheet: SP1 – How to Enter a Subcontract in SiteManager
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24. Open the Items window

25. Click on the "New" icon to add a new subcontract item

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Instructional Sheet: SP1 – How to Enter a Subcontract in SiteManager
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26. **Prj Nbr:** Choose the primary Project Number (PIN Number) off the drop down list

27. **Line Item:** Right click → Search → Choose the Item Number off the drop down list

28. **This Subcontract** (under Quantity): Enter the quantity to be subcontracted

    - This is the contract quantity multiplied by the percent of the item the contractor wants to subcontract. Example (100 lbs x 95% = 95 lbs)

29. **This Subcontract** (under Unit): Choose the contract item unit from the drop down

30. **This Subcontract** (under Amount): Enter the value found above under Current Contract

31. The rest of the fields on this window will auto-populate.

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Instructional Sheet: SP2 – How to run the Subcontract Summary report in SiteManager
Revision Date: April 19, 2012
Revision No: 1
Author: NE Region

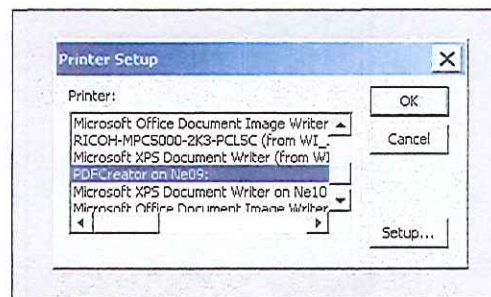1. Once the subcontract has been entered into SiteManager return to the Subcontracts – Description tab

2. Go to File → Print Set Up → Choose PDF Creator on Ne09 *or* CutePDF Writer → Click "OK"

Vermont Agency of Transportation
Program Development Division
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Instructional Sheet: SP2 – How to run the Subcontract Summary report in SiteManager
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3. Go to File → Print
4. The PDF Creator window will appear → Click "Save"

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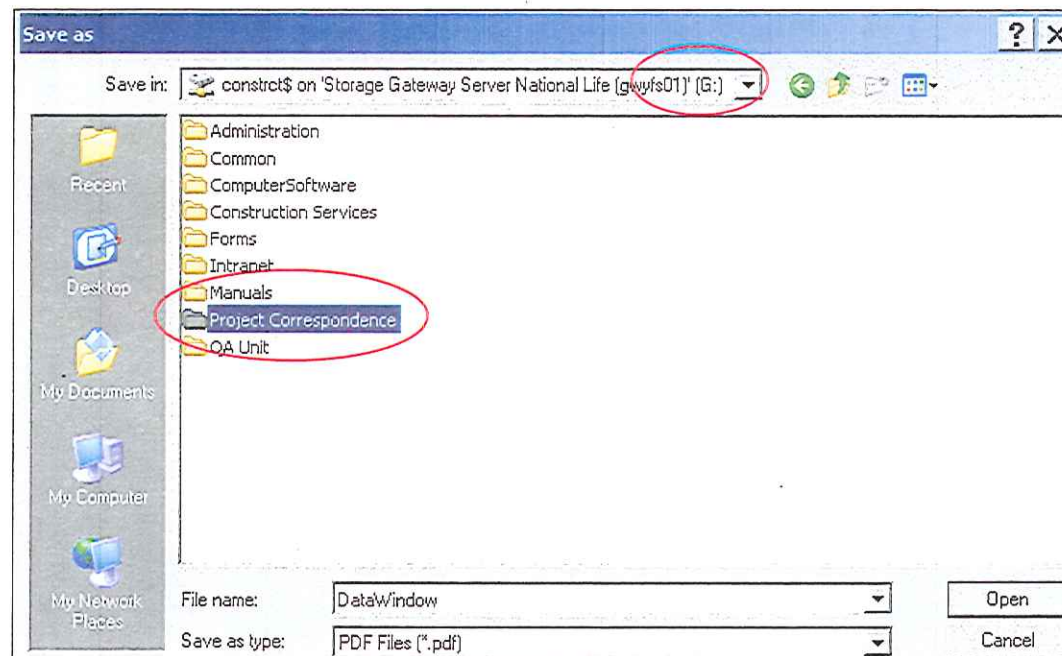**Program Development Division**
Construction Section

Instructional Sheet: SP2 – How to run the Subcontract Summary report in SiteManager
Revision Date: April 19, 2012
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5. Navigate to Construction's G:drive → Project Correspondence → Project Year (2011 PROJ) → Region → Project → Subcontracts

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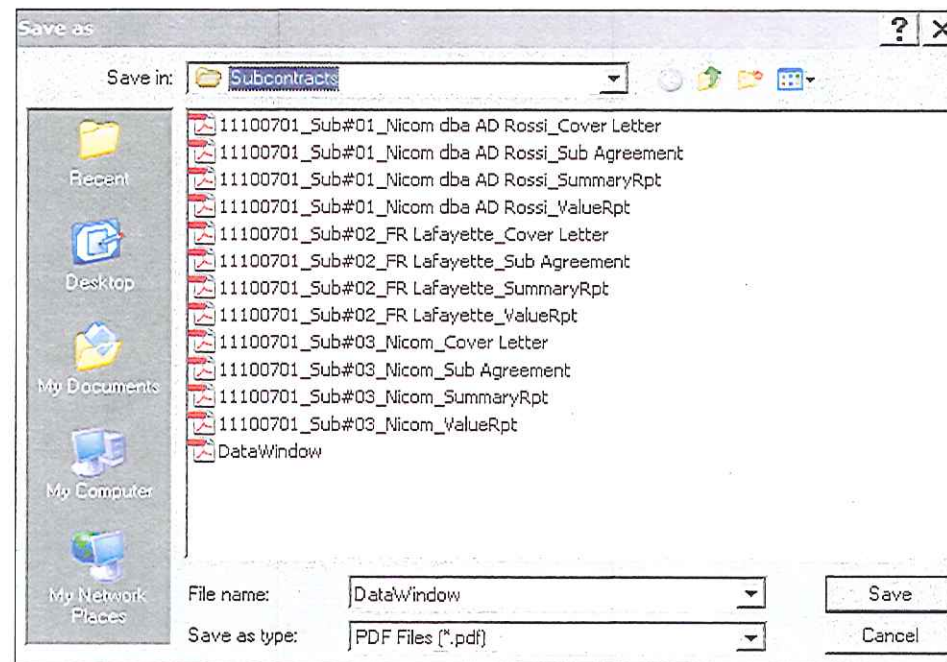**Program Development Division**
Construction Section

Instructional Sheet: SP2 – How to run the Subcontract Summary report in SiteManager
Revision Date: April 19, 2012
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6. Save the file in the file format shown below (*per the Project Correspondence Filing Process*)

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Instructional Sheet: SP3 – How to run the Subcontract Value report in SiteManager
Revision Date: April 19, 2012
Revision No: 1
Author: NE Region

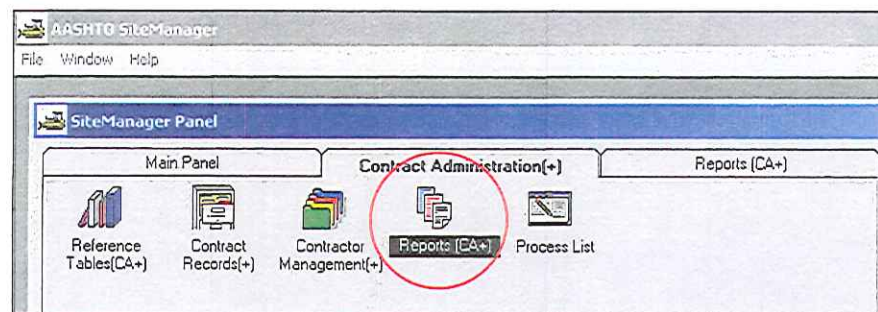1. Once the subcontract has been entered into SiteManager close the Subcontracts window

2. Navigate to Contract Administration(+) → Reports(CA+)

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Program Development Division
Construction Section

Instructional Sheet: SP3 – How to run the Subcontract Value report in SiteManager
Revision Date: April 19, 2012
Revision No: 1
Author: NE Region

3. Double Click on the Subcontract Value icon
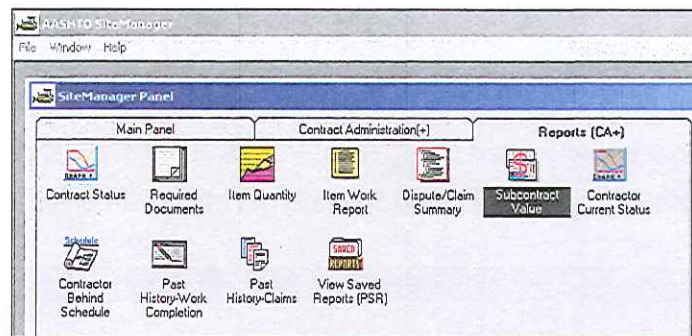
4. The Report Criteria window will open → Toggle "Contract"
5. Right Click in the Contract ID field → Search Window will open
6. Choose the proper Contract from the list → Click "OK" on the search window
7. The Contract ID field will populate → Click "OK" on the Report Criteria window

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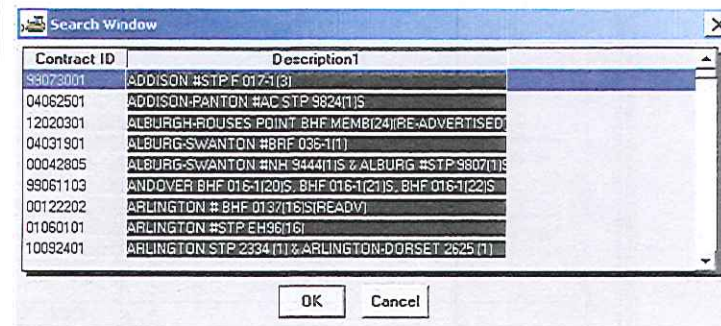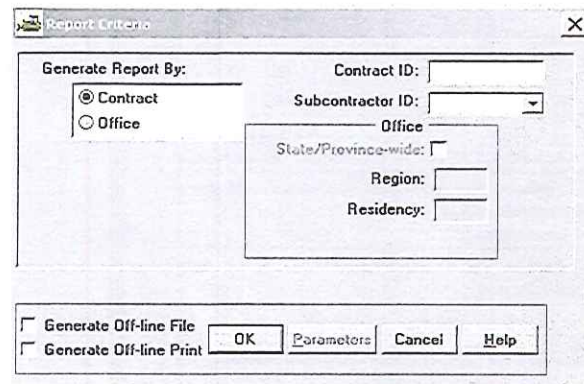**Instructional Sheet:** SP4 – How to Request a Vendor File be Created in Trns·port
Revision Date: April 19, 2012
Revision No: 1
Author: NE Region

1. New vendor requests for addition to Trns·port, and subsequently to SiteManager, should be done in the following manner:

2. Collect the following information from the vendor (*this should be provided on the Subcontract cover letter*):

    Company name
    Address
    Phone #
    Company contact person
    Contact person email address

3. Submit the information via email to the Administration Bid Supervisor, (Pete Daye) in Contract Administration with a cc to the Construction SiteManager IT Technician (Chris Hebert).

4. Inform the Prime Contractor to fax a completed W9 form to Financial Operations at 802-828-2024 to the attention of: AOT – Vendor Numbers within 5 days of the request. If Financial Operations does not receive a W9 within a week of receiving the new vendor request they will notify Contract Administration who will contact the vendor (Contractor).

5. Do not collect W9s from contractors directly.

6. Contract Administration will create a new vendor request form based on your email and submit to Financial Operations. Upon receipt of the form Financial Operations will look for the corresponding W9 from the contractor.

7. Contract Administration will notify you via email as well as the Construction SiteManager IT Technician when the vendor (Subcontractor) is ready to be added to SiteManager.

8. The Construction SiteManager IT Technician will load the new vendor (Subcontractor) into SiteManager and notify you of completion.

9. Once the vendor file has been loaded you will be able to enter your subcontractor into SiteManager.

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Program Development Division
Construction Section

Check List: SPa –Subcontract Possible Issues & Resolutions Spreadsheet
Revision Date: April 19, 2012
Revision No: 1
Author: NE Region

Possible Issue	Resolutions	Points of Interest
1. Altering previously approved subcontracts in SiteManager will have an impact on all subcontracts that are already in the system for the contract.	1. Determine how many existing subcontracts for the project will be affected by the change you want to make. 2. If the impact is low; alter the subcontract and re-process all impacted subcontracts as "revised". 3. If the impact is high; enter any additions in a "second" sub for the existing subcontractor. 4. Removing items and decreasing quantities can not be done as part of a "second" subcontract. If the impact has been deemed high, then these change requests should just be filed and not processed in the system.	• Altering a subcontract could include adding items, removing items, increasing quantities, or decreasing quantities. • The system will not allow a quantity to be reduced below the installed amount when an installment has been made in a Daily Work Report (DWR); even if that installment has been reduced to zero.
2. Never delete a subcontract	1. If a request is received to eliminate items from an existing subcontract; reduce them to zero or the lowest value the system will allow. 2. Then process as a "revised" subcontract.	
3. Change of Design items do not count toward the 50% maximum that the Prime is allowed to subcontract to other vendors.	1. Once a Change of Design is processed it will be necessary to manually track which items being subcontracted are COD items and the value of those items should be removed from the overall calculation for determination of percentage subbed toward the 50% maximum. 2. Likewise the value of all Change of Designs must not be used in that calculation. Only the Original Contract Value should be used for the determination of percentage subbed toward the 50% maximum.	