

## 11-1      **Introduction**

This chapter acquaints engineers and inspectors with the various forms provided by WSDOT for keeping records of construction activities, payment for the various phases of the work and establishes policy related to the use of signatures as they relate to highway project construction contract administration.

This Chapter contains a list of forms available for use when reporting project progress. Copies of the forms are available via two different methods:

- The WSDOT internal Forms website accessible from the intranet homepage.
- The WSDOT external website at [www.wsdot.wa.gov/forms](http://www.wsdot.wa.gov/forms).

## 11-2      **Definitions**

**Electronic Signature** - as defined by [RCW 19.360.030](#) and the Universal Electronic Transaction Act (UETA) means an electronic sound, symbol, or process attached to or logically associated with a Contract or other record and executed or adopted by a person with the intent to sign the record.

- A document that was signed by hand and then scanned and transmitted by the signer meets the definition of electronic signature. Furthermore, it shows consent to conduct that transaction electronically as required by the RCW.
- Creating a PDF by scanning a document received from the Contractor with a wet signature does not show intent and consent to conduct business electronically and is not acceptable.

## 11-3      **General Instructions**

Downloading forms using one of the methods listed in [Section 11-1](#) will ensure the latest version of the form is utilized.

Forms are listed numerically in this chapter and are categorized by either requiring a Signature (Electronic or Digital) or those that are acceptable without. Project Office personnel will need to review the forms to familiarize themselves with the signature requirement of each form.

### **Signatures**

[RCW 19.360.030](#) requires consent from both parties to conduct business electronically.

For all documents with a signature block, except those requiring additional identity verification as shown in the list below, an Electronic Signature on a PDF document is acceptable, as long as the following requirements are met prior to accepting the document:

- The Project Engineer shall verify that it bears the required signature(s)
- The document is legible and in PDF file format
- It is sent or transmitted from a recognized agent of the Contractor or Subcontractor, as appropriate

The Project Engineer will ensure two of the following conditions are met for external signers when accepting documents identified below as requiring additional identify verification:

- Verification that the email address used to transmit the document being signed is associated with an agent of the company.
- Verify a text message or phone call from a phone number associated with the individual used to unlock or allow the individual to sign the document.
- Verify the identity of the signer through use of a password that is used by the signer to unlock the document prior to signing.
- Verify the identity of the signer using a government issued identification during the signing process.
- Use Knowledge Based Authentication (KBA). This method uses a third party to authenticate the user by requiring them to answer a series of questions that only they know the answer to.
- Verify the Digital Signature is accompanied by a trusted certificate.
- Transmittal of the document is through a secure document control system using a trusted or verified account assigned to the individual.

These verifications may be done as part of an automated process built into the electronic or digital signature software.

Verification of identity may also be done separately, but must be documented and that documentation must accompany the record during document storage and archival. Verification must be recoverable or reproducible, when necessary.

If a document is received that does not meet requirements listed above, return it to the sender immediately, and notify the Prime Contractor that a document was received from an unknown email address and cannot be accepted.

### **Signature Blocks**

Any form, on which the word "Signature" appears in the block, requires a signature in that block (e.g., Inspector's Signature\_\_\_\_\_, Contractor's Signature\_\_\_, Project Engineer's Signature\_\_\_). Any form on which the signature block contains anything other than "Signature" are considered Bylines and do not require a signature (e.g., Completed by\_\_\_\_, Prepared by\_\_\_, Submitted by\_\_\_, Inspector\_\_\_). Signature blocks on these forms are "open" to allow the originator of the form to type in their name.

When filling out and completing our construction forms, all signature or initial blocks must be completed. Leaving them blank is not acceptable.

## **Software**

Documents that are created internally that do not require Contractor or other non-WSDOT signatures may use various software solutions to apply electronic signatures. It is preferred to use a digital signature with a self-signed certificate such as those available in Adobe Acrobat, Bluebeam Revu, or CoSign. Examples of internal documents include:

- Estimate and pre-estimate reports
- Pay Notes
- Project Material Certifications
- Prime Contractors Performance Report

There are no specific software requirements for documents generated, used or signed by the Contractor, or other non-WSDOT entities. These documents will be accepted using the above criteria regardless of the software used to apply the signature.

The Project Engineer will use Adobe Sign for all documents requiring additional identity verification. These documents will require use of Knowledge-Based Authentication (KBA) or password authentication for verification of all external signers (Contractors). KBA or password authentication are not necessary for internal signers of these documents including WSDOT employees and consultants that use WSDOT email accounts to conduct transactions.

If the password authentication method is used, the sender must ensure the following:

- A unique password is used for each signer
- The password is not shared via email. Another method must be used to share the password
- The password must not be provided by the sender to anyone other than the signer

## **Project Personnel Signature List**

Project Offices need to keep a list of personnel assigned to the project. The list must be kept current throughout the life of the project, updating it as new staff are assigned.

WSDOT personnel signature list (Project Personnel Listing [DOT Form 422-001](#)) is available for Project Office use.

**11-3A Numerical Listing of Forms**

Form Number	Form Title	Additional Identity Verification Required
134-146	Final Contract Voucher Certificate	x
226-012	Trainee Interview Questionnaire	
226-013	MSVWBE On-Site Review for Construction Subcontractors/Supplier/Manufacturers (MS Word)	
226-014	Project Office MSVWBE On-Site Review for Architect & Engineering and Professional Services Firms (MS Word)	
230-036A	Initial Documentation Review (Procedures)	
230-036B	Follow-up Documentation Review	
272-049	Training Program	
272-050	Apprentice/Trainee Approval Request	
272-051	DBE/UDBE On-Site Review Form/Commercially Useful Function Architect & Engineering/Professional Services Firm (MS Word)	
272-052	DBE/UDBE Commercially Useful Function On-Site Review for Construction Contractors/Subcontractors (MS Word)	
272-060	Federal-Aid Highway Construction Annual Project Training	
272-061	Federal-Aid Highway Construction Cumulative Training Report	
272-062	Contract Compliance Review Request for Additional Information	
272-064	DBE/UDBE Commercially Useful Function On-Site Review for Regular Dealer and Manufacturers (MS Word)	
350-004	Fabrication Progress Report	
350-009	Concrete Test Cylinder Transmittal	
350-016	Asphalt Emulsion Label	
350-110	Certificate of Material Origin (Required for the Acceptance of Construction Materials)	
350-023	Pit Evaluation Report	
350-026	Preliminary Sample Transmittal	
350-040	Concrete Mix Design	
350-042	HMA Mix Design Submittal	
350-056	Sample Transmittal	
350-071	Request for Approval of Material	
350-073	Hot Mix Asphalt Test Point Evaluation Report	
350-074	Field Density Test	
350-092	Hot Mix Asphalt Compaction Report (Station)	
350-092A	Mile Post Hot Mix Asphalt Compaction Report	
350-092B	Hot Mix Asphalt Compaction Report (80 Ton)	
350-109	Certification of Materials Origin	
350-112	Correlation - Nuclear Gauge to Core Density	
350-115	Contract Materials Checklist	
350-126	Asphalt Plant Inspection	
350-130	Field Acceptance/Verification Report (RAM/QPL)	
350-157	Rice Density	
350-161	HMA Mineral Aggregates	
350-162	Volumetrics Worksheet	
350-514	Moisture - Density Relationship Report	
350-560	Ignition Furnace Worksheet	
350-572	Manufacturer's Certificate of Compliance Checklist	

Form Number	Form Title	Additional Identity Verification Required
351-015	Daily Compaction Test Report	
351-021	Statement of Receipt of Radioactive Material	
410-010	Request for Information (RFI)	
410-010A	Request for Information (RFI) Internal Review	
410-025	Project Engineer Transmittal (to BSO)	
410-027	Test Pile Report	
410-029	Contractor's Construction Process Evaluation	
420-004	Contractor and Subcontractor or Lower-Tier Subcontractor Certification for Federal-Aid Projects	
421-005A	Change Order - Minor Change (2 Page)	
421-006	Order to Suspend Work	
421-007	Order to Resume Work	
421-009	Release - Retainage Percentage (Except Landscaping)	x
421-010	Prime Contractor Performance Report	
421-012	Request to Sublet Work	
421-014	Examination Sheet for Contract Items	
421-023	Quarterly Report of Amounts Paid MBE/WBE Participants	
421-040A	Contractor's Daily Report of Traffic Control - Summary	
421-040B	Contractor's Daily Report of Traffic Control - Traffic Control Log	
421-045	WSP Field Check List	
422-001	Project Personnel Listing	
422-001A	Change Order Authorization Signature	
422-002	Change Record	
422-003	Change Order Checklist	
422-004	Inspector's Daily Report	
422-004A	Inspector's Daily Report Diary Page	
422-004B	(Street) Inspector's Daily Report	
422-007	Report of Protested Work	
422-008	Daily Report of Force Account Worked	
422-009	Final Records Notes Title Page	
422-009B	Final Record Notes Title Page	
422-010	Force Account Equipment Rate Request	
422-012	Final Record Notes - Title Sticker	
422-020	Record of Field Tests	
422-020A	Aggregate Record of Field Tests	
422-020B	Inspector's Record of Field Tests	
422-021	Item Quantity Ticket	
422-024	Water Delivery Record	
422-100	Interim Inspection of Federal-Aid Projects	
422-101	Final Inspection and Acceptance of Federal-Aid Projects	
422-102	Quarterly Report of Amounts Credited as DBE Participation	
422-568	Load Tally Sheet	
422-635	Field Note Record	
422-636	Field Note Record (Sketch Grid)	
422-637	Field Note Record of Drainage	
422-644	Daily Report of BST Operations	
422-700	Daily Work Quantities	

<b>Form Number</b>	<b>Form Title</b>	<b>Additional Identity Verification Required</b>
424-003	Employee Interview Report	
450-001	Manufacturer's Certificate of Compliance for Ready Mixed Concrete	
450-004	Pile Book	
450-004A	Pile Driving Log	
450-005	Post-Tensioning Record	
540-020	Backflow Prevention Assembly Test Report	
540-509	Commercial Pesticide Application Record	
591-020A	Daily Traffic Item Ticket (Equipment)	
591-020B	Daily Traffic Item Ticket (Labor)	
591-020C	Summary of Daily Traffic Item Ticket	
722-025	As Built Cover Sheet	
750-001	Fall Protection Plan	
750-001A	Tower and Bridge Fall Protection Plan	
820-010	Monthly Employment Utilization Report	
FHWA-1391	Federal-Aid Highway Construction Contractor's Annual EEO Report	
FHWA-1392	Federal-Aid Highway Construction Summary of Employment Data	