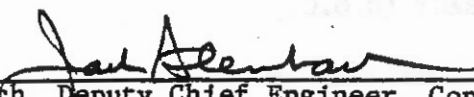


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TO:  <b>Director, Preliminary Plan Review Bureau</b>  <b>SUPERSEDED BY EB 96-027 EFFECTIVE 6/18/1996</b>	<b>ENGINEERING INSTRUCTION</b>  NEW YORK STATE DEPARTMENT OF TRANSPORTATION  SUBJECT: NEW CONTRACT ACCOUNTING SYSTEM: PREPARATION AND PROCESSING OF ORDERS ON CONTRACT USING REVISED FORMS CONR 7-2j AND CONR 7-1h Subject Code: 7.30
Distribution: <input type="checkbox"/> Main Office <input checked="" type="checkbox"/> Regions <input type="checkbox"/> Special	Code: <u>  EI 75-85  </u> Date: <u>  12/9/75  </u>
APPROVED:   <u>J. Sternbach, Deputy Chief Engineer, Construction</u>	Supersedes:  <p style="text-align: center;">*</p>

\*Supercedes EI 73-76, EFI 73-77 and portions of MURK, Section 1.04 - Extra Work Orders.

The purpose of this Instruction is to describe the format of modified forms CONR 7-2j and CONR 7-1h, and to outline the procedure for preparing and processing Orders on Contract using the new forms.

I. The Order on Contract is used to alter original contract item quantities, revise or modify the work performed under existing items and to add additional work to a contract. The Order on Contract is prepared by the engineer in charge and processed through the Regional and Main Office for approval. When fully approved, all changes contained in the Order on Contract become incorporated into the original contract, and work performed in accordance with the Order, may be reported for payment on progress estimates.

The modified forms and procedures described in this Instruction are part of the revised Highway Contract Accounting System. When implemented, parallel processing together with revised reporting methods will substantially reduce Order on Contract processing time.

II. Order on Contract Forms CONR 7-2j and CONR 7-1h (See Attached Copies).

A. CHANGES

The new forms differ from the CONR 7-2h and CONR 7-1g which they replace, as follows:

1. The "EX. CODE" column has been eliminated since exception coding will no longer be utilized.
2. The "TYPE CODE" column has been eliminated, and instead, the prefix FE, FA, or A will be included in the "ITEM DESCRIPTION".
3. The "CHNG" column has been replaced by 2 check-off columns to indicate new or existing items.

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4. The "IF DEC." column has been eliminated, and instead, a minus sign will precede the "CHANGE IN QUANTITY" entry for a decrease.
5. The contract information boxes, data columns and signature boxes have been rearranged and changed in size to facilitate review and processing.

B. PREPARING THE ORDER ON CONTRACT (O.O.C.)

1. General (Refer to Attachment No. 1).

Form CONR 7-2j; is the cover sheet of the O.O.C. and the first page of the "Consolidated Order". The Consolidated Order contains a tabulation of all items contained in the O.O.C., indicating the change in quantity and dollar amount for each, on a total contract basis. The net change in total contract amount resulting from all changes, is contained on the CONR 7-2j cover sheet, together with funding obligation data and all necessary approval signatures for the O.O.C.

Form CONR 7-1h is used to tabulate the item changes on a fiscal share basis, and if necessary, as continuation sheets for the Consolidated Order. Each fiscal share tabulation is entered on a separate CONR 7-1h, listing only those items with a change in the fiscal share.

When all quantity changes occur in only 1 fiscal share, the Consolidated Order tabulation will also serve as the fiscal share tabulation, and is labelled accordingly (see NYS Project Identification No., and Fiscal Share No. below).

2. **HEADING DATA.** The engineer in charge enters the contract information on the headings of each CONR 7 in the O.O.C. The following entries require explanation:
  - a. **NYS PROJECT IDENTIFICATION NO.;** For the Consolidated Order sheets, enter only the Major 6-digit number. For a fiscal share tabulation or a consolidated tabulation which also serves as a fiscal share tabulation, enter the complete 9-digit number to which the fiscal share is related.
  - b. **FISCAL SHARE NO.;** Enter "TOTAL" or the fiscal share number, appropriate for the tabulation on the particular sheet. When the Consolidated Order tabulation also serves as a fiscal share tabulation (for example F.S. No. 2) enter "TOTAL and 2".

If a fiscal share is being introduced into the contract on the O.O.C., the word "NEW" precedes the Fiscal Share No. and the fiscal share title is printed on the CONR 7-1h above the "CONTRACTOR NAME" box.

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- c. ORDER NO. O.O.C.'s are numbered consecutively by the engineer in charge as they are prepared and submitted. Once numbered however, they must be approved in order number sequence. For this reason, O.O.C.'s containing Force Accounts are submitted unnumbered, so that their greater-than-average processing time will not delay approval of subsequent O.O.C.'s. Force Account Orders will be numbered by the Contract Payments Sub-Unit as described under "Processing".
  - d. PAGE NUMBERS. The CONR 7-2j cover sheet is page 1, followed by the Consolidated Order continuation sheets, the fiscal share breakdown sheets and the explanations and documentation.
3. ITEM TABULATION DATA. The engineer in charge completes the item tabulation portion of the CONR 7-2j and CONR 7-1h's as follows:

- a. "NEW" or "EXIST." check boxes. These boxes are used only for item entries on fiscal share tabulations. No entries are made on the Consolidated Order tabulation unless it also serves as the fiscal share tabulation.

All agreed price or force account items are new when first introduced into a fiscal share. Also, contract items introduced into a fiscal share by the O.O.C. are new on that fiscal share tabulation.

Items are existing when they were included in the fiscal share at contract letting or were added by a previous O.O.C.

- b. SEQ. NO. This is a 4 digit number assigned to each item in the contract, which determines the order in which the items are printed on the CONR 22c-Statement of Quantities Used. When tabulating the items on the O.O.C., they must be listed in sequence number order.

The original assignment of sequence numbers uses every tenth number beginning with 0010, leaving 9 unused numbers between every item in the original contract.

New items can therefore be assigned sequence numbers which will result in their being printed on the CONR 22c in Item Specification Number order. The general rule is to assign sequence numbers to new items which are midway between 2 previously used numbers. Therefore, most new items should be assigned sequence numbers ending with a 5. (See Item 48403.01 in Attachment No.1)

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Please note, that no new item can have a sequence number lower than 0010.

- c. ITEM SPEC. NO. A numeric (1973 Specs) or alpha-numeric (1962 Specs) designation for each item in the contract. The assignment of Item Specification Numbers to new items of work will be made as follows:

Use a Standard Specification Item when one exists. When using a "Standard" item, the specification requirements cannot be changed.

If no suitable "Standard" item is available, a new Item Specification Number must be chosen and a specification written to cover it.

- 1962 Specifications. When the new item is similar to a "Standard" item or modifies an existing contract item, use the standard or existing item specification number with a letter suffix (such as "A" or "X"). When the new item is not similar to a "Standard" or existing contract item, use a number in the 900 series which does not already exist in the contract (901, 902, etc).

- 1973 Specifications. When the new item is similar to a "Standard" item, use the standard specification number with a 2 digit prefix. The first digit will always be a 4, which identifies the item as a special specification item added during construction. The second digit will be the Region number (use 0 for Region 10). When the new item replaces an existing contract item, use the existing item specification number with the aforementioned prefix, eliminating any prefix which may already be part of the existing item specification number (See Item 48403.01 on Attachment #1). When the new item is not similar to a standard or existing contract item, the 950 series of specification numbers is used (950.01, 950.02 etc).

- d. CHANGE IN QUANTITY. The quantity increase or decrease in the item for the total contract and for each fiscal share, shown to hundredths of a unit. Decreases are shown with a minus sign. The new system will not allow a decrease which results in a negative authorized quantity (See EI 75-53 for the procedure to be used to obtain a credit from the contractor).

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- e. UNIT PRICE. The contract bid price, agreed price, estimated force account cost or actual force account cost as appropriate. Unit prices will normally be entered to the nearest penny, but the system will accept a unit price carried to a tenth of a penny.
- f. UNIT OF MEASURE. Measurement units on which the unit price is based. Use the same unit of measure for an agreed price item, as is used for similar Standard Specification Items. In general, force account items should be in lump sum units.
- g. ITEM DESCRIPTION. For new contract items, the description cannot exceed 60 characters, including the appropriate prefix and all spaces.
- h. PRIOR APPROVED QUANTITY. The authorized quantity on a total contract or fiscal share basis, as amended by all prior numbered O.O.C.'s.
- i. CHANGE IN FUNDS. The increase or decrease in funds resulting from the product of the "CHANGE IN QUANTITY" x "UNIT PRICE". The changes on each CONR 7-1h are added to obtain page "SUB-TOTALS". SUB-TOTALS for each fiscal share are added and the "NET CHANGE IN FUNDS" entered on the last page of each fiscal share tabulation. The increases and decreases on the CONR 7-2j - cover sheet are added to any Consolidated Order sub-totals on continuation sheets, and the "TOTALS" and "NET CHANGE" entered on the CONR 7-2j. The net change on the Consolidated Order must equal the sum of the fiscal share net changes.  
  
The engineer in charge enters the "REVISED CONTRACT TOTAL" for all O.O.C.'s, except those containing force accounts. The REVISED CONTRACT TOTAL is the result of adding or subtracting the net change from the REVISED CONTRACT TOTAL on the previously numbered O.O.C. O.O.C.'s containing Force Accounts are numbered in the Main Office by the Contract Payments Sub-unit, at which time the "REVISED CONTRACT TOTAL" will be entered.
- j. SIGNATURE. The engineer in charge signs and dates form CONR 7-2j.

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### III. Processing Orders on Contract

#### A. GENERAL

A processing flow chart for Orders on Contract is contained on Attachment No. 2. The steps involving Construction are described below:

1. The engineer in charge forwards the original O.O.C. to the Regional Office, retaining 1 copy for his files.
2. After Regional review and approval (signature by the Regional Construction engineer), the Region makes 4 additional copies. The original and 3 copies are forwarded to the Construction Subdivision and 1 copy is retained in the Region's files.
3. Prior to its review, the Construction Subdivision forwards 1 copy to the Contract Payments Sub-unit for pre-audit, and where appropriate, 1 "advance" copy to the FHWA.\*

After the Construction Subdivision review and approval, the original is forwarded to the Contract Payments Sub-unit, and 1 copy is retained in the Construction Subdivision files.

4. The Contract Payments Sub-unit compares the original with their pre-audited copy, posting all corrections necessary to make all copies conform. The Contract Payments Sub-unit will notify the Construction Subdivision whenever the original must be changed. All further processing is handled by the Contract Payments Subunit, who will distribute 3 copies of the approved O.O.C. to the Regional Office and 1 copy to the Construction Subdivision.

\*The FHWA should receive an advance copy of the O.O.C. whenever:

The work on the O.O.C. will use Federal-aid funds and is not a Secondary project

and

The work on the O.O.C. involves any of the following:

- Agreed Price Items
- Force Account Items
- A change in specifications
- A change in the scope of the work
- A design change.

The FHWA will forward advance approval or disapproval of the O.O.C. to the Construction Subdivision within 5 days of their receipt of the advance copy.

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B. ADDITIONAL STEPS FOR FORCE ACCOUNTS

As discussed previously (See ORDER NO. and CHANGE IN FUNDS), O.O.C.'s containing force accounts are submitted by the engineer in charge unnumbered and with the "REVISED CONTRACT TOTAL" blank.

As part of the processing performed by the Contract Payments Sub-unit, an advance copy of any O.O.C. containing a force account is forwarded to the Department of Audit and Control immediately after funding by the Integrated Accounting Operations Section. When advance approval of the force account has been received from Audit and Control, the Contract Payments Sub-unit numbers the O.O.C. and enters the "REVISED CONTRACT TOTAL". This information will then be transmitted to the Regional Office and the Construction Subdivision.

ORDER ON CONTRACT  
(CONSOLIDATED)

Region No. **8** County **LEMON**  
 NYS Project Identification No. **8765.20**  
 Federal Aid Project No. **RF-1900(80)**

Contractor Name **REAL GOOD CONCRETE CO.**

Pursuant to the determination of the Commissioner of Transportation to alter the above identified contract, the Contractor is hereby ordered and directed to perform the following work and to furnish the necessary materials and equipment, in accordance with the specifications therefore. (Subd. 8, Sec. 38, Hwy. Law).

Comptroller Contract No. **1523** **DS640**  
 Fiscal Share No. **10** Order No. **3**  
 DOT Contract No. **FAC'P 75-1**  
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ATTACHMENT NO. 1

3 M 16 17 12	2 M 16 17 12	SEQ. NO.	ITEM SPEC. NO.	CHANGE IN QUANTITY	UNIT PRICE	Unit of Measure	ITEM DESCRIPTION (60 characters maximum) USE PREFIX: FE - FORCE ACCOUNT ESTIMATE, FA - FORCE ACCOUNT ACTUAL, A - AGREED PRICE	PRIOR APPROVED QUANTITY	CHANGE IN FUNDS (\$)	
									INCREASE	DECREASE
		024018903	01	-4200.00	28.00	TON	ASPHALT CONCRETE - TYPE 1A TOP	4200.00		117,600.00
		024548403	01	4200.00	27.85	TON	A - ASPHALT CONCRETE - TYPE 1A TOP VIBRATORY COMPACTION	0.00		116,970.00
		0670	606 10	850.00	12.00	L.F.	BOX BEAM GUIDE RAILING	6200.00		10,200.00
		0680	606 11	70.00	15.00	L.F.	BOX BEAM GUIDE RAILING (SHO CURVED)	520.00		1,050.00
		0690	606 14	2.00	125.00	EA	BOX BEAM GUIDE RAILING END ASSEMBLY	16.00		250.00
		0695	48606 40	50.00	6.25	L.F.	A - RESETTING GUIDE RAILING	0.00		312.50
<p>ORDERED BY _____ APPROVED BY _____</p> <p>Engineer in Charge _____ 19 _____ 19 _____</p> <p>Asst. Dep. Ch. Eng. For Com. of Trans. _____ 19 _____ 19 _____</p> <p>Regional Construction Engineer _____ 19 _____ 19 _____</p> <p>Fed. Hwy Adm. (Subject to Final Audit) _____ 19 _____ 19 _____</p> <p>Dept. of Audit and Control _____ 19 _____ 19 _____</p>									<p>TOTALS</p> <p>NET CHANGE \$ 11,182.50</p> <p>REVISED CONTRACT TOTAL \$ 1,472,344.50</p>	

A&C TR Code	PARTICIPANT NAME	Check One 24 New	Check One 25 Share	Fiscal Share 10 11	Part No. 12	Aliot No. 13	Order No. 14	Order No. 15	DOT ACCOUNT NUMBER 24	Dept. Div. 28	Fund 2829	Year 31	Bill No. 32	Line No. 36	MP 38	MO 39	CH 41	SP 42	GA 44	CB1 45	SO 46	CH 47	A&C D/C																										
TOTAL FED. FUNDS										TOTAL STATE MATCHING										TOTAL 100% STATE										TOTAL OTHER										TOTAL OBLIGATED									



NEW YORK STATE DEPARTMENT OF TRANSPORTATION  
ORDER ON CONTRACT

Region No.	8	County	LEMON
NYS Project Identification No.	8765.30.322		
Federal Aid Project No.	RF-1300 (80)		

Contractor Name  
**REAL GOOD CONSTR. CO.**

Pursuant to the determination of the Commissioner of Transportation to alter the above identified contract, the Contractor is hereby ordered and directed to perform the following work and to furnish the necessary materials and equipment, in accordance with the specifications thereto. (Subd. B, Sec. 39, Hwy. Law).

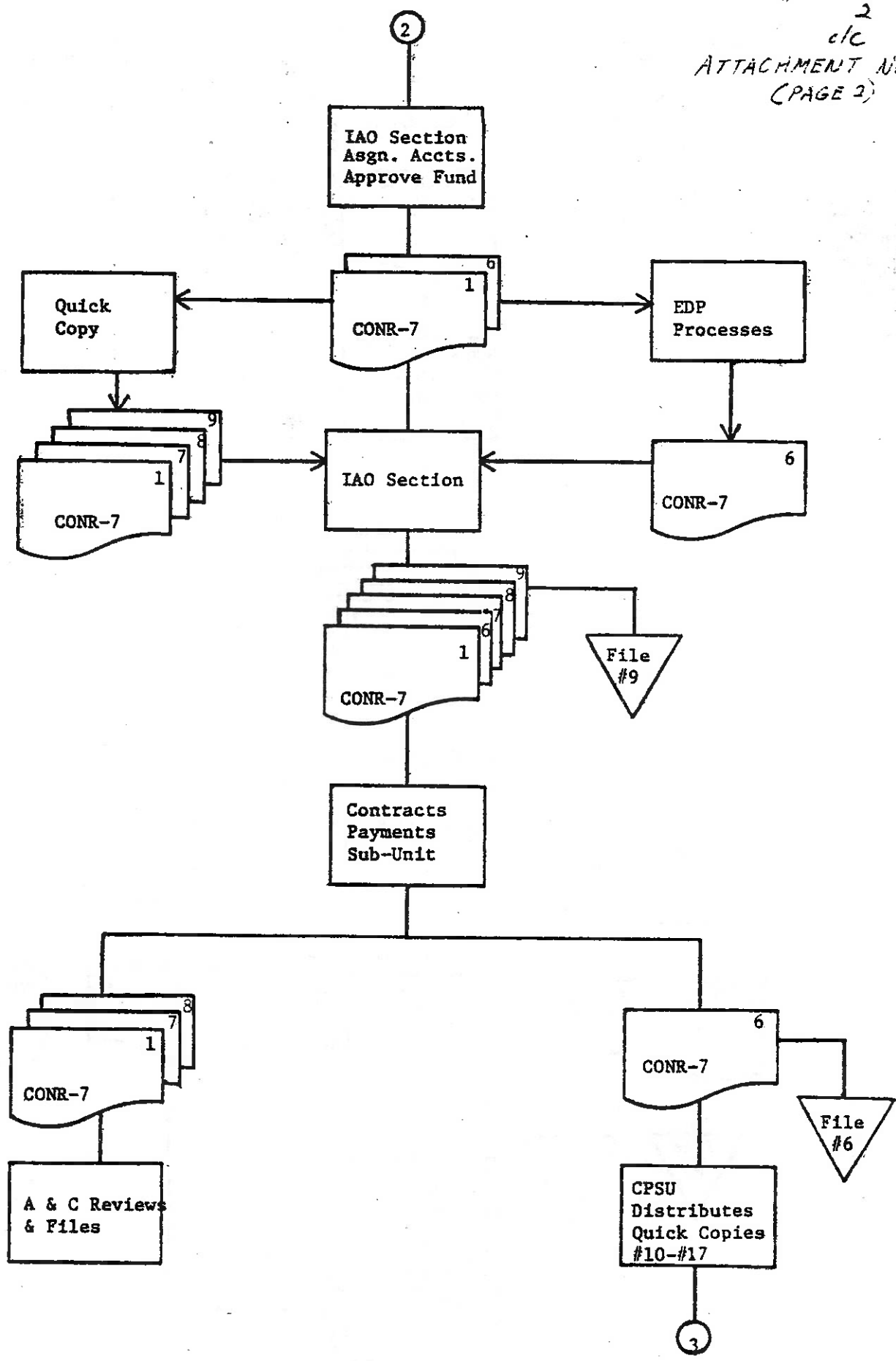
Comptroller Contract No.	3	D 5642
Fiscal Year No.	10	2
Order No.	11	16
DOT Contract No.	17	3
FACP No.	75-1	

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ITEM NO.	SEQ. NO.	ITEM SPEC. NO.	CHANGE IN QUANTITY	UNIT PRICE	Unit of Measure	ITEM DESCRIPTION (60 characters maximum) USE PREFIX: FE--FORCE ACCOUNT ESTIMATE, FA--FORCE ACCOUNT ACTUAL, A-AGREED PRICE	PRIOR APPROVED QUANTITY	CHANGE IN FUNDS (\$)		
								INCREASE	DECREASE	
✓	0240	18403 01	-700.00	28.00	TON	ASPHALT CONCRETE - TYPE 1A TOP	700.00		19,600.00	
✓	0245	48403 01	700.00	27.85	TON	A- ASPHALT CONCRETE - TYPE 1A TOP, VIBRATORY COMPACTION	0.00	19,495.00		
✓	0670	606 10	710.00	12.00	LF	BOX BEAM GUIDE RAILINGS	1100.00	8,520.00		
✓	0680	606 11	70.00	15.00	LF	BOX BEAM GUIDE RAILINGS (SHOULDER)	520.00	1,050.00		
✓	0690	606 14	1.00	125.00	EA	BOX BEAM GUIDE RAILING END ASSEMBLY	6.00	125.00		
✓	0695	48606 40	50.00	6.25	LF	AT RESETTING GUIDE RAILING	0.00	312.50		
SUB-TOTALS								\$ 29,502.50	\$ 19,500.00	
NET CHANGE IN FUNDS								\$ 9,902.50		



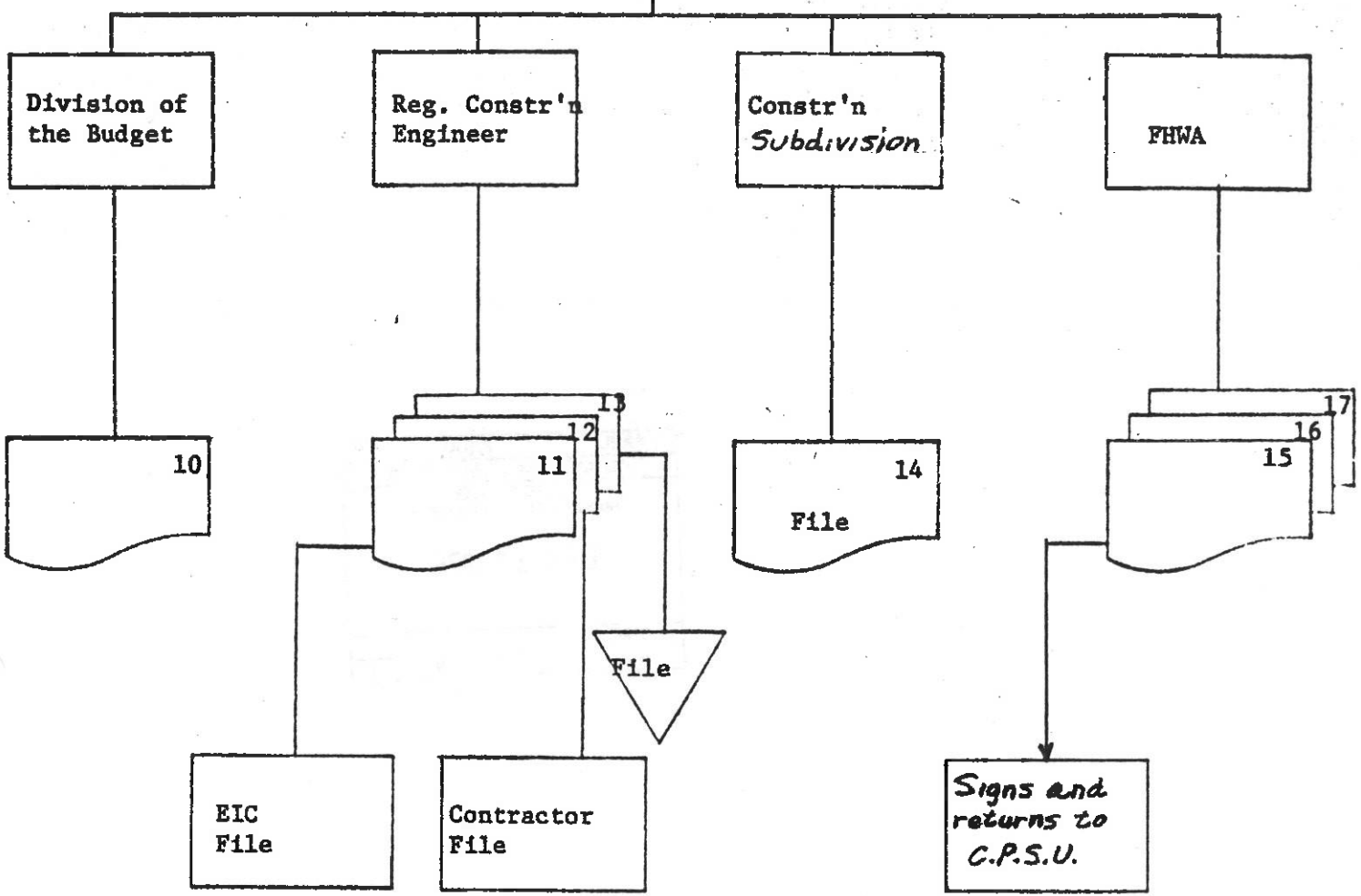
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ATTACHMENT NO. 2  
(PAGE 2)



3  
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ATTACHMENT NO. 2  
(PAGE 3)

3



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