

## Section 2 Projects Administered by a Local Agency on the State Highway System

9-201 General

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Bracketed section numbers refer to the 2006 *Standard Specifications*.

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### 9-201 General

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Ensure that all projects on or proposed for the state highway system are constructed efficiently and effectively in accordance with Deputy Directive 23-R1, “Roles and Responsibilities for Development of Projects on the State Highway System.” The directive requires local agencies to conform to Caltrans standards and practices as defined in policies, procedures, manuals, and guidance documents.

The implementing agency is that entity charged with successful completion of each project component as defined in Government Code, Section 14529 (b) of which one component is construction, construction management, and engineering, including surveys and inspection. To ensure clear lines of responsibility, contract advertisement, award, and administration shall be completed by the same implementing agency.

Work in partnership with the local agency by committing to fulfill all Caltrans promises as established by Director’s Policy DP-10, “Department Commitments.” These commitments will have been agreed to in the cooperative agreement and the encroachment permit.

Obtain a copy of the cooperative agreement and encroachment permit before work begins. Comply with the terms of both agreements or jointly amend them as necessary.

Perform quality management work in accordance with Deputy Directive 90, “Funding of Quality Management Work on State Highway Projects,” that outlines how quality management work will be performed for state highway system projects. That directive requires the implementing agency, other than Caltrans, to develop a quality control plan for construction administration.

The local agency must obtain an encroachment permit and use Caltrans approved plans and specifications before performing any construction administration or work on the state highway system. The local agency will provide the resident engineer and construction engineering team. Caltrans will provide independent quality assurance (IQA) and oversight of construction.

The *Construction Manual Supplement for Local Agency Resident Engineers* and the *Local Agency Structure Representative Guidelines* provide guidance to the implementing agency when it administers a construction project that modifies, maintains, or improves the state highway system. District construction and Office of Structures Construction oversight engineers should provide copies of these guidelines to the implementing agency at the project development team meeting where the construction phase cooperative agreement is discussed and at the preconstruction

meeting where roles, responsibilities, and procedures are discussed. The local agency is expected to conform to these guidelines.

## **9-202 Quality**

When Caltrans is the implementing agency for construction administration, quality management work consists of quality control, quality assurance, and IQA activities described in the contract, structures construction technical manuals, and this manual.

When a government agency or private entity is the implementing agency, it is responsible for implementing adequate quality control and quality assurance procedures that ensure the project complies with Caltrans policies, procedures, standards and best practices such that the local agency's:

1. Contractor is responsible for quality control that consists of operational techniques and activities that are performed or conducted to fulfill contract requirements for quality.
2. Resident engineer is responsible for quality assurance that consists of planned and systematic actions necessary to provide confidence that product or service quality will satisfy the contract requirements as detailed in the *Construction Manual Supplement for Local Agency Resident Engineer*.
3. Structure representative is responsible for providing quality assurance as detailed in the *Local Agency Structure Representative Guidelines*.

The *Construction Manual Supplement for Local Agency Resident Engineers* and the *Local Agency Structure Representative Guidelines* are used by government agencies and private entities to prepare their quality management plan and to administrate the construction contract. A recommended local agency quality management plan outline is available at:

[http://www.dot.ca.gov/hq/construc/CPDirectives/LA\\_QMP\\_for\\_Construction\\_Phase.pdf](http://www.dot.ca.gov/hq/construc/CPDirectives/LA_QMP_for_Construction_Phase.pdf)

Caltrans district construction, with input from structures construction for projects involving structures, must approve the quality management plan before the encroachment permit for construction is issued.

Caltrans oversees construction administration of the project administered by local agencies in order to ensure compliance with state and federal regulations and laws, and Caltrans standards. This IQA and oversight means Caltrans provides policy and procedural direction to non-Caltrans organizations, personnel, or companies administering construction contracts on projects under encroachment permit on the state highway system. Caltrans provides direction for similar organizations and personnel for projects that will become a future part of the state highway system.

The Division of Construction's *Oversight Engineer Field Guidelines* provides policy and procedures related to the duties of Caltrans construction IQA and oversight personnel on local agency administered construction projects. These guidelines establish Caltrans policy and procedure, and are to be used as a resource for Caltrans employees who provide IQA and oversight on projects administered by others on the existing or future state highway system. The *Oversight Engineer Field Guidelines* should not be used as a substitute for the encroachment permit or the cooperative agreement.

### **9-203 Reimbursement**

When the implementing agency is a private entity, Caltrans performs IQA services at the private entity's expense. Caltrans may also perform a limited amount of quality assurance work for the private entity on a reimbursement basis.

When another government agency is the implementing agency, Caltrans IQA services are provided at state expense. Caltrans may perform a limited amount of the government agency's quality assurance responsibilities on a reimbursed basis. These activities could include source inspection, acceptance testing, and construction inspection.

### **9-204 Source Inspection**

Caltrans may provide source inspection on a reimbursed basis to the implementing agency when it is not the implementing agency.

The local agency is required to prepare a Source Inspection Quality Management Plan (SIQMP) if it proposes to perform its own source inspection.

The state materials engineer will ensure that the implementing agency has prepared a SIQMP. Prior to issuance of the encroachment permit for construction, the SIQMP must be approved by the state materials engineer.

The recommended *SIQMP Outline* was introduced with the "Materials Engineering and Testing Services Source Inspection Quality Management Plan Outline" memorandum dated April 20, 2012 from the Division of Engineering Services, Deputy Division Chief for Materials Engineering and Testing Services (METS).

METS developed the *SIQMP Outline* to help local agencies manage their source inspection efforts when administering construction projects within the state highway system. The outline is available at:

[http://www.dot.ca.gov/hq/esc/Translab/OSM/documents/agencyresources/SIQMP\\_Outline.pdf](http://www.dot.ca.gov/hq/esc/Translab/OSM/documents/agencyresources/SIQMP_Outline.pdf)

### **9-205 Project Review**

Caltrans, the local agency, and the contractor review a locally administered state highway construction project prior to contract acceptance.

Prior to this review, Caltrans oversight personnel perform a separate review and coordinate Caltrans safety and maintenance reviews of the local agency project at 90 percent complete.

Before local agency contract acceptance, the Caltrans oversight personnel discuss the findings of the independent review, safety review, maintenance review, and contractor's final project review with the local agency.

The local agency must submit all required contract, technical, and administrative documents, including as-built plans, change orders, and project history file before Caltrans accepts the project.

Caltrans oversight personnel must use Form OFG-6, "Final Acceptance Checklist for Caltrans Oversight Projects," to facilitate the review and acceptance by Caltrans of local agency or private entity-administered construction projects on the state highway system.

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