

Chapter 9 Projects Sponsored by Others

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

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9-201 General

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 California Government Code, Section 14529 (b) of which one component is construction, construction management, and engineering, including surveys and inspection. To establish 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 Structure Construction oversight resident 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 assurance consists of quality control, department acceptance, and IQA activities described in the contract, structure construction technical manuals, the *Construction Quality Assurance Program* manual and this manual.

When a government agency or private entity is the implementing agency, it is responsible for implementing quality control and quality assurance procedures for the project that comply 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 Engineers*.
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 provided in the *Oversight Resident Engineer Guidelines*:

<http://www.dot.ca.gov/hq/construc/publicationlist.htm>

Caltrans district construction, with input from Structure 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 for compliance with state and federal regulations and laws, and Caltrans standards. This IQA means Caltrans provides policy and procedural oversight 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 part of the state highway system.

The Division of Construction's *Oversight Resident Engineer Guidelines* provides policy and procedures related to the duties of Caltrans construction IQA personnel on local agency-administered construction projects. These guidelines are to be used as a resource for Caltrans employees who provide IQA on projects administered by others on the existing or future state highway system. The *Oversight Resident Engineer 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. When another government agency is the implementing agency, Caltrans IQA services are typically provided at state expense. Reimbursement of Caltrans activities would be documented in a cooperative agreement prior to start of construction. Quality assurance and quality control activities are the responsibility of the implementing agency, unless a quality assurance test can only be performed by Caltrans. Caltrans will perform the test as reimbursed work.

9-204 Source Inspection

The local agency provides source inspection on projects they administer.

The local agency is required to prepare a Source Inspection Quality Management Plan (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, Assistant 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 provided in the *Oversight Resident Engineer Guidelines*:

<http://www.dot.ca.gov/hq/construc/publicationlist.htm>

9-205 Project Review

Caltrans, the local agency, and the contractor review a locally-administered state highway construction project prior to Caltrans' acceptance of the work.

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 acceptance of the work, Caltrans oversight personnel discuss the findings of the independent review, safety review, and maintenance review with the local agency.

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

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.