STATE OF CALIFORNIA

DEPARTMENT OF TRANSPORTATION

# MANUAL CHANGE TRANSMITTAL		NO. **26-5**
TITLE: Department of Transportation *Construction Manual*	APPROVED BY:  Ramon Hopkins, Chief Division of Construction	DATE ISSUED: **11-05-2026**
SUBJECT AREA Sections 3-9, 5-0, 5-1	ISSUING UNIT Division of Construction	
SUPERSEDES Sections 3-9 of March 2024, 5-0 of March 2024, and 5-1 of November 2024	DISTRIBUTION All Requested Manual Holders	

The purpose of this manual change transmittal is to announce updates and corrections to the Caltrans *Construction Manual.* Please note the updates and print new sections for your manual as needed. Updated sections are published on https://dot.ca.gov/programs/construction/construction-manual and are indicated by the date listed in the right-hand column on that page. Content changes, not including edits for clarity, are enumerated.

Section 3-9, "Payment"
Revised Section 3-903C, "Tentative Agreements," to specify that the tentative agreement must be prepared in the Project Data Management System (ProDMS) “Daily Report” module and to identify the resulting output and filing.

Section 5-0, "Conduct of the Work"
Revised Sections 5-004, "Resident Engineer's Daily Report," and 5-005, "Assistant Resident Engineer's Daily Report," to specify that the daily report must be prepared in the ProDMS “Daily Report” module, and to identify the resulting output and filing, and to clarify the information recorded in each section of the report. Removed the requirement to send a copy of the daily report to the construction engineer for review.

Section 5-1, “Project Records and Reports”
Revised Section 5-101A, "General," to include that Construction forms may also be managed through digital construction management technology (DCMT) and to direct DCMT functionality and workflow questions to the instructions and support resources within the application.

Revised Section 5-101B, “Construction Forms,” to add new forms and remove obsolete forms. Revised Section 5-101C, “Description of Categories,” to add awards application forms to Category 55, “Partnering.” Revised 5-103B (3), “Completing Form CEM-6003, ‘Progress Pay—Estimate Project Initiation or Update,’ to update rules for entering responsible unit data. Revised Section 5-103F (3), “Potential Problems,” to clarify the definition of a “status-purpose-only estimate.”

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Chapter 3 General Provisions

Section 9 Payment

3-901 General

This section covers measurement and payment of bid item work and change order work, partial payments, and payment to the contractor after contract acceptance. The contract provides the following methods to make payment for all work performed:

- Payment for bid item work at unit prices.
    - The contractor establishes the fixed prices of the bid items included in the contract. Fixed prices of bid items should not be confused with the costs of producing the work. Loss of profit, damage, repair, cost escalation, or other unanticipated changes in item costs are the sole responsibility of the contractor unless specifically provided for in the contract.
- Adjustments to contract prices, known as payment adjustments.
- Payment for change order work.
    - Before payment can be made for change order work, the resident engineer must issue an approved change order as described in Section 5-3, “Change Orders,” of this manual. For additional information regarding Caltrans policies on change order work, refer to Section 3-403, “Changes and Extra Work,” of this manual. The methods specified for paying for change order work are bid item prices, force account, agreed price, and specialist billing.
- Deductions and withholds temporarily or permanently taken from monies due under the contract.

3-902 Measurement

Contract work, as bid on by the contractor, is measured and paid for as bid items. Bid items are measured for payment as units. The unit for each bid item is shown in the bid item list as “unit of measure.” Bid items may be measured by units of count, length, area, volume, weight, or lump sum. The bid item list also includes the estimated quantity of each bid item. Resident engineers and assistant resident engineers must determine, by measurement and calculation, the quantities of the various bid items performed by the contractor.

3-902A Method of Measurement

Check the “measurement” and “payment” clauses in the specifications for the required method of measurement for each bid item. Use the specified method to measure quantities. For more information about measuring quantities for specific bid items, refer to Chapter 4, “Construction Details,” of this manual.

A change in the unit or the method of measurement changes the contract. Do not change the unit or the method of measurement unless the change is provided for in a change order.

3-902B Accuracy

Measure and calculate bid item quantities to a degree of accuracy consistent with the unit price of the item. Give early consideration to the accuracy desired so that all personnel on a given project can measure and calculate uniformly. The general rule is to measure to a degree of accuracy that, when calculated, the resulting value will be within 0.2 percent to 0.5 percent. A $50,000 item should be measured and calculated to result in payment within about $100.

3-902C Source Documents

Enter measurements and calculations for bid item quantities on permanent record sheets that are commonly referred to as “source documents.” Include on each source document the appropriate bid item number, the location of installation if applicable, the necessary measurements and calculations, and the name of the person preparing the document. Check source document calculations independently and enter the checker’s name on the document.

Check source document calculations as soon as possible, preferably before the quantity is entered on a progress pay estimate. Always check them before entering them on the proposed final estimate. Whenever possible, measure, calculate, and check bid item quantities as the work on a bid item is completed. Resident engineers must assign responsibility for checking calculations to assistant resident engineers in the same manner that other project responsibilities are assigned.

Use quantities from source documents or progress payments. For a description of the progress payment process, refer to Section 5-1, “Project Records and Reports,” of this manual.

3-902D Audit Trail

State the source of any figure, calculation, or quantity shown on the source document. For instance, a quantity may be the result of a field measurement, scale weights, a count, or a calculation based on planned dimensions.

Create a clear and easily followed trail for the total pay quantity in the proposed final estimate back to the first measurement or calculation for each bid item.

Consider organizing source documents for each bid item so an easily followed audit trail exists. Category 47, “Drainage Systems,” in Section 5-102, “Organization of Project Documents,” of this manual, provides guidance, especially for large projects, on organizing source documents for drainage-related bid items. Category 48, “Bid Item Quantity Documents,” in the same manual section, describes the numbering system to be used for source documents for other bid items.

3-902E Weighing Equipment and Procedures

The following subsections describe the duties and responsibilities of the people involved in weighing and measuring materials and the procedures for verifying accurate weighing and measuring.

3-902E (1) Personnel

The process of determining bid item quantities by weighing and measuring includes the following personnel:

- The resident engineer
- Assistant resident engineers
- The district weights and measures coordinator
- The Division of Construction weights and measures coordinator

In addition to Caltrans personnel, the following people are involved in the weighing and measuring process:

- County sealers of weighing and measuring devices
- Representatives of the California Department of Food and Agriculture, Division of Measurement Standards
- Private scale technicians performing Material Plant Quality Program (MPQP) testing

3-902E (2) Responsibilities

All Caltrans personnel must be alert for conditions that contribute to failure to obtain the accurate weight and measurement of materials. The following subsections describe the typical duties and responsibilities for verifying compliance with the specifications for weighing and measuring.

3-902E (2a) Resident Engineers

The resident engineer must:

- Verify accurate weighing and measuring through inspection.
- Routinely determine that proper weighing procedures are used.
- Record, or verify recording of, spot-checks of weighing procedures in daily reports.
- Require the contractor to correct any malfunctioning weighing or measuring device.
- Order the resealing and retesting of scales and meters as often as necessary to verify accuracy.
- Determine when weighmaster certificates will be used. Order the use of weighmaster certificates except when the number of loads is very small or

conditions preclude proper weighing procedures. In the daily report, record the reasons for not using weighmaster certificates.

3-902E (2b) District Weights and Measures Coordinator

The district weights and measures coordinator must do the following:

- Provide technical assistance to the resident engineer and assistant resident engineers.
- Provide information to resident engineers regarding the adequacy of scales and the validity of seals.
- When requested by the resident engineer, witness the testing of scales or meters in compliance with the requirements of the MPQP.
- Furnish copies of the MPQP report to each project using material plants tested in accordance with the MPQP.
- Furnish and attach an MPQP Approval Sticker to tested scales.
- Maintain a file on the status of all scales that are commonly used for weighing materials for Caltrans projects in the district.
- On request, provide scale status information to adjacent districts.
- Perform spot-checks of weighing and measuring devices and procedures in the district and furnish written reports to the resident engineer.
- Determine whether any weighing or measuring problems should involve the California Department of Food and Agriculture, Division of Measurement Standards. Request any such involvement through the Division of Construction weights and measures coordinator.

3-902E (2c) Assistant Resident Engineers

Assistant resident engineers act for the resident engineer and, depending on the authority delegated to them, do the following:

- Observe the installation of scales installed primarily for use on a given project. Decide whether such scales and accessories meet the requirements of the specifications. When necessary, request assistance from the district weights and measures coordinator.
- Inspect and observe the general condition of all scales used on the project. If the scales are in questionable condition, request advice from the district weights and measures coordinator.
- Request a material plant approval report from the district weights and measures coordinator. If a seal or approval sticker is not valid, require the contractor to have the scales tested before use.
- Witness scale testing. Determine that the scales have been tested to the capacity for which they are being used on the project. Request that the district weights and measures coordinator observes the procedure.

- Whenever a scale is moved, overhauled, or shows obvious deficiencies, require the scale to be restored to normal operating condition and then retested.
- To observe the weighing of materials, visit the scale house or plant periodically. If necessary, request technical assistance from the district weights and measures coordinator. Check the scale sheets and weighmaster certificates to verify that they are being used properly.
- Spot-check tare and gross weights to see that weighmasters are using the correct tare. Verify that the weighmaster is licensed for the scale location.
- Observe all meters that are required under the contract and verify that they have been tested and sealed.
- Collect weighmaster certificates at delivery. A Caltrans employee should be present at the work site to collect weighmaster certificates. Sign or initial the weighmaster certificate to indicate that the represented material was used in the work.

When certified summary scale sheets are used, and weighmaster certificates are not used, verify that material shown on the summary sheets has been used in the work. Do this verification by using a tally sheet, a spread record, or a random check. In the daily report, record that the material has been used in the work and the type of verification method. Sign the summary scale sheets to certify that the represented material, less any material deducted from the total, was used in the work.

Return to the contractor a copy of any weighmaster certificates or scale sheets representing loads or partial loads that will not be paid for. On the weighmaster certificate or scale sheet, indicate the quantity of material not included for payment. Retain a copy for the project records. When a determination is made to reduce the quantity, advise the contractor's foreperson or superintendent of the amount and reason for the reduction. In the daily report, note the reduction and the name of the contractor's employee whom you advised of the reduction.

3-902E (2d) Contractors

The following describes some of the duties and responsibilities of contractors and their agents in using scales and measuring devices for measuring and proportioning materials:

- The contractor and materials suppliers must maintain scales and meters within the accuracy specified.
- The owner of the scale or meter must always maintain it in good operating condition. If breakdowns or suspected inaccuracies occur, the owner must make repairs. After repairing a commercial device, the owner must notify the county sealer of weights and measures in writing that a repair was made. The device must be resealed before it is used to weigh materials for payment. For noncommercial devices, the contractor must verify the MPQP test is performed. The contractor must notify the resident engineer at least 24 hours before any scheduled testing so that the testing can be witnessed.

Do not directly contact the county sealer of weights and measures for the contractor. The owner of the measuring device must request the testing. The resident engineer may only inform the contractor that such testing is necessary.

The district weights and measures coordinator may contact the Division of Construction weights and measures coordinator on any question regarding the validity of a seal or the legal capacity of a scale.

3-902E (2e) Division of Construction Weights and Measures Coordinator

The Division of Construction weights and measures coordinator does the following:

- Oversees that the weights and measures program is operating satisfactorily throughout Caltrans.
- Serves as a contact between the district weights and measures coordinators and the California Department of Food and Agriculture, Division of Measurement Standards.
- Keeps the district weights and measures coordinators informed of the latest equipment and technology being developed throughout the industry.

3-902F Final Pay Items

Section 9-1.02C, “Final Pay Item Quantities,” of the *Standard Specifications*, defines and specifies the procedure for calculating pay quantities for final pay items.

3-903 Force Account

The force account method, used to determine payment for extra work, consists of adding specified markups to the actual cost of labor, equipment, and material used to perform the extra work.

Section 9-1.04, “Force Account,” of the *Standard Specifications* specifies the force account method of payment. Section 5-3, “Change Orders,” of this manual contains guidance for change orders with payment for extra work at force account. See change order examples at:

https://dot.ca.gov/programs/construction/change-order-information

Normally, the contractor will use labor and equipment that is onsite and used for work in progress. The change order will usually specify materials to be used in the extra work. However, before the work begins, the resident engineer should discuss with the contractor the labor, equipment, and materials to be used. The resident engineer can avoid misunderstandings and inefficiencies by knowing the resources to be used ahead of time. After the work is performed, Caltrans must pay the contractor for material used and at the appropriate rates for the number of hours that labor and equipment was used.

3-903A Authorization for Force Account Payment

On the authorizing change order, always show the amount to be paid for extra work at force account as an estimated amount. For the format for change orders, refer to

Section 5-3, “Change Orders,” of this manual. You may make payment for extra work more than the estimated amount shown on the change order up to 100 percent of the estimated amount or $15,000, whichever is smaller. To authorize any additional payment, use a supplemental change order.

3-903B Force Account Records

On daily reports, record observations and inspections of extra work in progress in adequate detail to provide a reasonable basis for agreement on payment. Records must be original, not a copy from other documents.

Include the following information when appropriate to the method of payment for the work:

- Description of work performed. This description must be consistent with the description of extra work authorized by the change order.
- Time and date of inspection.
- Change order number.
- Location of work.
- Types of labor, equipment, and materials used.
- Estimated hours worked.
- General measurement or amount of work accomplished.

Make entries on the day of observation. If clarifying reports are necessary to cover work not previously reported, state the facts as known and date the clarifying report as of the day it is written.

The daily report must also contain a reference to any known off-site work.

When extra work is performed at force account, decide whether the magnitude of the work warrants the full-time presence of an assistant resident engineer. An assigned full-time assistant resident engineer must include in the daily report the number of hours worked at the site. When an assistant resident engineer is assigned to only part-time work, daily reports must present only known facts. On the daily report, record that inspection was “intermittent.” A typical entry might read as follows:

> Hours reported on report dated 6/26/2020 entry based on 1 inspection during the day. Later found out that crew and equipment worked whole shift instead of half shift (add the date of the supplemental entry and sign the entry).

Include notations concerning decisions to allow or deny payment for work that may be in dispute or not considered a legitimate part of extra work. Similarly, prepare a supplemental daily report if it is later found that the number of hours or labor and equipment was substantially different than recorded on the original daily report. Such a supplemental daily report might read as follows:

> 6/24/2020—10:15 a.m.—Change Order No. 17—Placing 20 Riprap Lt. of Sta. 500.

Crew of 2 laborers and foreperson with a D-6 crawler tractor with side boom and operator laid about 150 square feet of salvaged rubble riprap. Estimate crew and tractor worked about 4 hours.

3-903C Tentative Agreements

Do not give copies of daily reports to the contractor's personnel. Do not permit the contractor's personnel to sign or initial daily reports. However, at the earliest possible time, reach a tentative agreement on extra work details with the contractor's foreperson. Discuss labor, equipment, and materials at the end of each shift or no later than the following shift that extra work was performed. Clear and concise communication at this time will help to prevent misunderstanding and arguments over details later.

Create a tentative agreement in the "Daily Report" section in ProDMS. "Daily Report" includes a "Tentative Agreements" section, based on Form DOT CEM-4907, "Tentative Daily Extra Work Agreement." The "Tentative Agreements" section will automatically import entries for labor, equipment, and materials from the daily report.

Within the "Tentative Agreements" section, tentatively agree to all labor, equipment, and materials used in extra work at force account for each change order day. A signature block is provided for the contractor and Caltrans representative to signify tentative agreement on the extra work performed.

For contractor-provided tentative agreements, upload an image into the "Tentative Agreements" section of ProDMS.

The "Daily Report" section will output Form DOT CEM-4907 as a portable document format (PDF). For ProDMS users with projects established in FalconDMS, the Tentative Agreement PDF will be filed automatically in Category 49, "Change Orders," after resident engineer review and acceptance of the daily report.

In the event the ProDMS application or website is unavailable, paper forms may be used as an interim measure for data capture. Daily reports completed on paper follow standard procedures and must be promptly entered into ProDMS once the system is restored.

3-903D Markup for Subcontracted Work

Section 9-1.04A, "General," of the *Standard Specifications* includes an administrative markup for the prime contractor when a subcontractor performs the work.

When an engineer's cost analysis is based on force account, using rates as specified in the contract, include a markup in the calculation of the work performed by a subcontractor in the following situations:

- Changes and extra work at the agreed prices in accordance with Section 4-1.05A, "General," of the *Standard Specifications*.
- Work performed before item elimination in accordance with Section 9-1.06D, "Eliminated Items," of the *Standard Specifications*.

- Bid item adjustments need to be made because of increased or decreased quantities in accordance with Section 9-1.06B, “Increases of More Than 25 Percent,” and Section 9-1.06C, “Decreases of More Than 25 Percent,” of the *Standard Specifications*.
- Payment adjustments for work-character changes are made in accordance with Sections 4-1.05B, “Work-Character Changes,” and 9-1.15, “Work-Character Changes,” of the *Standard Specifications*.

3-903E Owner-Operated Labor and Equipment

For owner-operated labor and equipment, refer to Section 9-1.04A, “General,” of the *Standard Specifications*. The method for paying for owner-operated equipment on a force account basis is at market-price invoice. Because owner-operators include labor and equipment markups and the labor surcharge in their invoice price, only apply the applicable administrative markup for the owner-operated labor and equipment invoice. The administrative markup to be applied to the invoice for projects with the time-related overhead bid item is 10 percent. The administrative markup to be applied to the invoice for projects without the time-related overhead bid item is 15 percent.

3-903F Billing for Extra Work at Force Account

The following are the procedures for billing for extra work at force account:

- The contractor must submit change order bills covering extra work under each change order each day that extra work is performed. The contractor must use the Caltrans internet change order billing system to submit change order bills. Refer to Section 5-103E, “Change Order Billing,” of this manual for additional information.
- Field Construction personnel must do the following when reviewing change order bills:
    1. Compare change order bills against assistant resident engineer’s daily reports and tentative agreements, if they are used. Make this comparison to verify the correctness of the contractor’s billing, and to avoid the possibility of a duplicate payment for the same work. For a discussion of assistant resident engineer’s daily reports and tentative agreements, refer to Sections 3-903B, “Force Account Records,” and 3-903C, “Tentative Agreements,” of this manual.
    2. The contractor must include everything to be paid for on the change order bill. Do not add any items even if they are legitimate charges. Instead, call the omitted items or underbilling to the contractor’s attention and document the notification. The contractor may submit a supplemental change order bill to include omitted items or underbilling amounts. Include any notifications and support documentation in the change order billing project records.
    3. Delete items for which the contractor is not entitled to payment.

4. Correct hours for labor and equipment downward, but not upward. Notify the contractor of such corrections and include notification and support documentation in the change order billing project records.
5. Verify wage rates against submitted weekly certified payroll records through Labor Compliance. Reject any change order bill with incorrect wage rates. Do not correct wage rates that the contractor has submitted. Note that Caltrans must pay for extra work at the same wage rate paid by the contractor. Do not refuse to pay a particular wage rate because it is more than the prevailing wage rate.
6. Correct equipment rental codes that are obviously in error or reject the reports. Verify that the rental codes shown are for the equipment that was used.
7. The person, whether a contractor or Caltrans employee, who makes corrections to a change order bill must print out, sign rather than initial, and date the corrected change order bill.
8. Maintain a log of change order bills received and rejected.

The resident engineer must approve the change order bill to authorize payment for extra work. The resident engineer's approval of a change order bill for progress payment certifies that payment is in accordance with contract requirements and established administrative procedures. Maintaining documentation for extra work at force account payments is critical in supporting these payments.

3-903G Labor

The markups to be applied to the cost of labor performed on force account work are specified in Section 9-1.04B, "Labor," of the *Standard Specifications,* or as changed by the special provisions.

A labor surcharge is included in the cost of labor. The *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book active at the time the work is performed contains the labor surcharge percentage. A general rate applies to most crafts, and the book contains several higher rates for certain crafts. The resident engineer must determine the correct surcharge percentage to be used and verify that the percentage has been entered on the change order bill.

At times, a superintendent or an owner acts as a working foreperson, or an equipment operator works at some other craft. In such situations, make payment on a "value received" basis. Payment will be made for owners or supervisory personnel at the proper rate for the work performed. For example, pay for a superintendent acting as a foreperson on force account work will be at the normal hourly rate for a foreperson. Do not prorate the superintendent's weekly or monthly salary to an hourly rate. In paying for a superintendent on force account work, make the payment on a functional basis and not on a position or classification basis.

On some projects, a superintendent or project manager directs the activities of several forepersons or 1 or more general forepersons who directly supervise the forepersons. The general forepersons are sometimes referred to as superintendents,

such as grading superintendents or paving superintendents. This change in nomenclature does not change the functional nature of these positions. They are general forepersons or forepersons and are not considered to be supervisory or overhead personnel. Make payment at the actual hourly rate paid by the contractor when such personnel function as forepersons on force account work.

When paying for salaried personnel, do not authorize force account payment for overtime hours unless the contractor has an established practice of paying overtime to salaried personnel. The usual case is that the weekly or monthly salary covers the number of hours required by the work.

The *Standard Specifications* allow for payment of the actual subsistence and travel allowances paid by the contractor.

Pay subsistence allowances, also known as "per diem," and travel allowances on force account only when the contractor is paying these allowances on bid item work.

When 7-day subsistence is included in labor contracts instead of per diem and travel time, subsistence will be paid for the entire period involved if the workers are employed full time on force account.

When workers are employed on both force account work and bid item work in the same day, prorate subsistence payments and travel allowances between the contractor and Caltrans. Base the prorated amount on the first 8 hours worked. Do not pay per diem for time worked after the first 8 hours in any 1 day.

3-903H Material

Payment for material purchased for force account work must be supported by a copy of the vendor's invoice whenever possible. If no individual invoice is available, as in the case of materials taken from contractor's stock, a copy of the mass purchase invoice may be used as support. If no invoice is available to support unit purchase prices, submit a statement with the change order bill. In the statement, explain how the unit prices were verified. Any invoice the contractor submits must represent only the material used.

3-903I Equipment Rental

For equipment used for extra work paid at force account, refer to Section 9-1.04D, "Equipment Rental," of the *Standard Specifications* or as modified by the special provisions. The following subsections are guidelines for paying for equipment rental.

3-903I (1) Equipment Selection

In accordance with Section 5-1.03, "Engineer's Authority," of the *Standard Specifications*, approve equipment used on force account work. Before giving approval, determine whether available and suitable equipment is already on the job site or whether equipment that's not on the job site is required. For example, a piece of equipment on the job site that can perform a given operation satisfactorily may be larger than necessary. Determine if it will be economical to use oversized equipment at its rate or to obtain equipment of the proper size. Obtaining equipment not on the

job site necessitates payment for move-in and move-out expenses and for minimum rental periods. The determination may also be based on other factors, such as public safety and the urgency of the work. Availability of equipment on the job site can be determined by using daily reports, progress schedule, and other contractor-provided information. When there is no contractor-owned equipment available for use and only rented equipment is available on the job site, the engineer may approve the use of the rented equipment at the rental invoice price in accordance with Section 9-1.04D, "Equipment Rental," of the *Standard Specifications*. If both contractor-owned and rented equipment on the job site are suitable and available for use, the contractor-owned equipment should be used.

Some equipment includes accessories as an integral part of the basic machine. When accessories are an integral part of the machine, the rates in the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book indicate that the accessory is included in the quoted rate. Do not make deductions for accessories on such integral equipment. For unusual situations, consult the Division of Construction rental rate engineer. When the accessories are not integral and not necessary for the effort of the extra work, payment is only for the equipment required.

3-903I (2) Equipment Rental Rates

The *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book contains the cost of ownership rates for most of the equipment used on Caltrans projects. However, the Division of Construction has also established cost of ownership rates for some equipment that is not in the book. These rates are available at:

https://dot.ca.gov/programs/construction/equipment-rental-rates-and-labor-surcharge

To establish rates that are not listed in the book or on the website, use the following procedure:

- Obtain a complete description of the equipment, including the manufacturer, model number, horsepower, size or capacity, and accessory equipment.
- If the equipment is nonstandard or unusual, request the following data from the contractor:
  - Type of equipment, such as segmented, self-propelled, telescoping hydraulic crane, articulated, or rubber-tired roller
  - Trade name
  - Model and serial numbers
  - Year manufactured
  - Size, capacity, or both
  - Type and amount of power
  - Whether crawler, rubber-tire, or other
  - Manufacturer or distributor, including an address if it's local

- Initial cost of the basic machine and attachments
- Operating requirements, costs, or both, if available or unusual
- Name of owner

- Transmit this information to the Division of Construction rental rate engineer. The Division of Construction will establish a cost of ownership rate, codes, and effective time period, and advise the district by mail, email, or fax. Use this document as the authority to pay the rate established.
- The contractor must be advised of the codes so that its billings can include them.
- For equipment not on the job site, and in special circumstances, the *Standard Specifications* permit a rate to be paid that is in excess of the rate listed in the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book. When the contractor proposes a rental rate that's more than the listed rate, verify that the equipment meets all the conditions listed in Section 9-1.04D(1), "General," of the *Standard Specifications*. The higher rate will constitute a change to the contract and must be established by a change order. Use the following procedures to determine the rate:

  1. Obtain a written statement from the contractor. The statement must include the proposed rate and the justification that Section 9-1.04D(1), "General," of the *Standard Specifications* requires.
  2. Decide whether the conditions of use and ownership of the equipment meet all the specified criteria for payment of the higher rate.

     Submit a change order that provides for the proposed rate. State in the change order whether the table titled "Equipment Rental Hours" is applicable. The table appears in Section 9-1.04D(3), "Equipment Not On the Job Site and Not Required for Original-Contract Work," of the *Standard Specifications*. If the equipment is used for bid item work, use the normally established rental rates for the entire time the equipment is used for extra work. Include in the change order a clause similar to the following: "In the event this equipment is subsequently used on bid item work, this rate is void." Include justification for approval in the change order memorandum and attach the contractor's letter.
- Equipment for which the rental rate is not shown in the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book, but for which the Division of Construction established a rental rate, is eligible for the higher rate if all necessary conditions are met.

3-903I (3) Time in Operation

The engineer in the field must determine the rental time to pay for equipment in accordance with Section 9-1.04D(2), "Equipment on the Job Site," of the *Standard Specifications*.

In general, consider equipment to be in operation when all the following conditions exist:

- The equipment is at the site of the extra work or is being used to perform the extra work.
- The equipment is not inoperative because of breakdown.
- The force account work being performed requires the equipment.

Use the following examples as guidelines for determining rental time to be paid for equipment.

- An air compressor is on the job site for 8 hours on a force account operation. It is used for only a few periods during the 8 hours, but it is impractical to use it on other work during the standby periods. Pay for the compressor and all accessories used intermittently for the entire period. The engine does not have to be running continuously during the period to qualify for payment. If the air compressor was also used on bid item work intermittently, prorate the 8 hours between the extra work and the bid item work.
- An air compressor is on the job site for 8 hours. It is used for the first 2 hours, but after those hours, it is no longer needed. Pay the rental for only 2 hours whether the contractor chooses to remove it or chooses to leave it at the site of the work. Apply the same reasoning if the time of operation occurs at any other time of the day. In this example, if a pavement breaker was needed intermittently for 2 hours and a tamper intermittently for 2 hours, pay 2 hours for each tool. If the pavement breaker is needed for the first hour and the tamper for a second hour, pay 1 hour for each. Advise the contractor when equipment is no longer needed at the site. In the daily report, record this notice and the time.
- A skip loader is used to load dump trucks; however, the skip loader is used only intermittently during the shift because 1 of the dump trucks broke down. The resident engineer allows the operation to continue because it is critical. Make payment for the loader for the entire shift. In such a situation, the resident engineer must try to do whatever is necessary to balance the operation. When balancing cannot be achieved, decide whether suspending an operation is more economically feasible than allowing it to continue.

Sometimes 2 pieces of equipment perform extra work at force account, yet the work does not require full-time use of both. In such instances, it is appropriate to accept, but not order, the use of only 1 operator for both pieces of equipment. Determine the rental time in the same manner as if each piece of equipment had a full-time operator and was used intermittently.

On extra work at force account, pay the same time for a foreperson's pickup that you would pay for the foreperson.

3-903I (4) Equipment Not on the Job Site

In general, the contractor schedules extra work paid for on a force account basis and uses equipment available on the project. However, circumstances may require use of equipment not on the job site that must be brought in especially for the extra work. The resident engineer should make decisions regarding the type of equipment and its scheduled use. Sections 9-1.04D(3), "Equipment Not On the Job Site and Not

Required for Original-Contract Work," and 9-1.04D(4), "Equipment Not On the Job Site and Required for Original-Contract Work," of the *Standard Specifications* specify the requirements for paying for the use of such equipment. These specifications apply when the contractor does not use or uses the equipment for bid item work. Change any previous payment as "equipment not on the job site" to payment as "equipment on the job site" when such equipment is used for bid item work.

Order the equipment removed from the project, pay move-out and possible subsequent move-in costs, or continue paying for the equipment during a suspension in extra work. Perform a cost analysis to determine the most cost-effective alternative. Temporary removal of the equipment to the contractor's shop or a storage area off the project is not removal from the project. To end payment for the equipment, the resident engineer must order its removal.

3-903I (5) Non-Owner-Operated Dump Truck Rental

Section 9-1.04D(5), "Non-Owner-Operated Dump Truck Rental," of the *Standard Specifications* specifies that the resident engineer must establish the hourly rate to be paid for dump truck rental. The actual hourly rate paid by the contractor or the truck broker may be the established rate if it is consistent with rates paid for the same trucks on other work. For help in establishing hourly rates, compare with rates paid for similar equipment on other Caltrans work.

3-903I (6) Standby Time

Pay standby charges for commercial delivery at the invoice rate.

3-903J Extra Work Performed by Specialists

Section 9-1.05, "Extra Work Performed by Specialists," of the *Standard Specifications*, allows extra work to be performed by a specialist subcontractor that neither the contractor nor its current subcontractors can perform. In general, specialists are to be used only for minor portions of the work. The specifications also allow for the specialist work to be paid for by invoice if itemized billing is not the established practice of the specialist's industry.

Do the following when considering the use of specialists:

- Before work begins, determine whether the work is normally done by any of the contractor's forces. The contractor's forces include any firms or organizations performing bid item work, including subsidiaries of such firms or organizations and subsidiaries of the contractor. Subsidiaries of a subcontractor are part of the subcontractor's organization. If you determine that the contractor's forces can perform the work expediently, do not authorize the use of the specialist.
- Allow the contractor to hire a specialist only if an established firm with established rates would do the work.
- Districts must establish procedures to pre-approve invoiced billing. Invoiced billing must not be used to circumvent the force account method for determining payment.

3-904 Payment Adjustments

A payment adjustment is a monetary increase or decrease applied to the unit price of a bid item. The adjustment is a change to the contract and must be made by change order. Payment adjustments are either unit adjustments to the unit price of a bid item or they may be a lump sum increase or decrease applied to a bid item.

Payment adjustments are provided for in Sections 9-1.06, “Changed Quantity Payment Adjustments”; 9-1.15, “Work-Character Changes”; “9-1.17C, “Proposed Final Estimate”; and 9-1.17D(2)(b), “Overhead Claims,” of the *Standard Specifications*. Other payment adjustments may be required, depending on the bid items, such as hot mix asphalt and concrete pavement.

Do not pay for payment adjustments until change orders authorizing the adjustments have been approved.

If you anticipate that payment adjustments in accordance with Sections 9-1.06, “Changed Quantity Payment Adjustments,” or 9-1.15, “Work-Character Changes,” of the *Standard Specifications* will result in decreases in final payment, withhold an amount sufficient to cover the value of the decrease.

For more discussion about determining payment adjustments, refer to Section 5-3, “Change Orders,” of this manual.

3-904A Changed Quantity Payment Adjustments

When the total pay quantity of a bid item varies from the bid item list by more than 25 percent, the variation may be the result of more or fewer units than shown in the bid item list required to complete the planned work. The variance may also result from ordered changes or a combination of both factors. When the variation exceeds 25 percent, adjust the compensation in accordance with Section 9-1.06, “Changed Quantity Payment Adjustments,” of the *Standard Specifications,* or document in the contract records the reason for not making a payment adjustment. When the accumulated increase or decrease in bid item units shown on a change order exceeds 25 percent of the bid item list, the overrun or underrun must be acknowledged and provided for in the current change order. Refer to Section 5-306C, “Methods of Payment,” of this manual for more information on change orders. Provide for this overrun or underrun through 1 of the following options, whichever is applicable:

- Adjust the contract price in accordance with Section 9-1.06 of the *Standard Specifications*.
- Defer any payment adjustment because of the overrun or underrun.
- State in writing that the bid item is not subject to adjustment. Refer to Section 5-3 of this manual for a discussion and examples of change orders providing for payment adjustments resulting from increased or decreased quantities.

3-904A (1) Increases of More Than 25 Percent

It is usually appropriate to defer adjustment if work on the bid item has not been completed. Additional change orders may affect the quantity, or the number of units required to complete planned work may not be known. However, as soon as unit costs and final quantities can be reasonably determined, calculate any required unit adjustment and provide for it through a change order. When work on the bid item is completed, apply the unit adjustment to the total number of units more than 125 percent of the quantity shown on the bid item list.

Unless requested by the contractor in writing, the engineer does not have to adjust the contract price of an item if the bid item cost of the work more than 125 percent of the quantity shown on the bid item list is less than $15,000. However, before exercising this right, verify that Caltrans will not gain any economic benefit from an adjustment. On the other hand, make an adjustment if it would decrease cost and the amount of the decrease would exceed the cost of making the adjustment.

3-904A (2) Decreases of More Than 25 Percent

If a bid item underruns the quantity shown on the bid item list by more than 25 percent, inform the contractor in writing as soon as work on the item has been completed. Unless the contractor requests an underrun adjustment in writing, no adjustment will be made.

3-904A (3) Eliminated Items

Section 9-1.06D, “Eliminated Items,” of the *Standard Specifications* applies only to bid items eliminated in their entirety. Advise the contractor as soon as it is known that an item will be eliminated. Caltrans will not be responsible for costs incurred for material ordered after notification.

Write the change order providing for the elimination of a bid item to include the disposition of any surplus material. Refer to Section 3-904A (4), “Surplus and Salvaged Material,” of this manual for how to handle surplus material resulting from an eliminated item that cannot be returned to the vendor.

3-904A (4) Surplus and Salvaged Material

Minor differences between quantities of material required to complete the planned work and quantities shown in the bid item list or shown in quantity summaries on the contract plans are normal operating differences. Caltrans is not liable for a surplus of material resulting from these operating differences.

If the final quantity of an item is less than 75 percent of the quantity shown on the bid item list, include any actual loss because of excess material in the costs as computed in accordance with Section 9-1.06C, “Decreases of More Than 25 Percent,” of the *Standard Specifications*.

Do not make any allowance for material the contractor keeps.

Caltrans recognizes that certain materials or manufactured items required for the planned construction may be unique and not usable by the contractor, the supplier,

or for other projects or customers. If such materials or items become surplus because of an ordered change, resulting in a direct and unavoidable loss to the contractor, such loss must be compensated. Determine compensation based on actual cost as provided in Section 9-1.06D "Eliminated Items," of the *Standard Specifications*. The following guidelines describe how to dispose of material that the contractor cannot economically dispose of.

A determination to salvage items made surplus by ordered changes should be based on economic benefit to Caltrans, conservation of the energy and materials required to fabricate the items, or both. Base economic benefit on the following:

- The item's condition is adequate to perform its function satisfactorily. Damage does not necessarily make an item unsuitable for salvage. Caltrans has the capability to repair some items, so investigate this approach before deciding to dispose of a damaged item. Also consider repair costs when determining the cost-effectiveness of salvaging.
- The value equals or exceeds the difference in the cost of salvaging, including hauling, and the cost of removal and disposal.

Also, an item should be salvaged if it meets 1 or more of the following conditions:

- It is a stock item with definite, foreseeable use. Stock items include all items that Caltrans normally uses.
- It is not a stock item but can be put to immediate use or has a definite, foreseeable use. This classification would include items that can be reinstalled in the immediate project or could be installed on future projects.
- It is part of an electrical installation owned jointly with another agency, and the other agency requests its salvage.
- It can be used immediately for some other beneficial purpose.

Most districts maintain a district salvage yard or other designated areas for receiving salvaged material. Each district also has a district recycle coordinator. Before the delivery of potentially salvageable items, make arrangements with the appropriate person. Materials should not be salvaged until such arrangements are made.

3-904B Payment Adjustments for Price Index Fluctuations

Section 9-1.07, "Payment Adjustments for Price Index Fluctuations," of the *Standard Specifications* specifies payment adjustments for various bid items that contain paving asphalt. The payment adjustment occurs when the California statewide crude oil price index fluctuation exceeds the threshold as described in the contract specifications. Compensation is adjusted when the paving asphalt price fluctuates from the month of the bid date to the month in which the contract item containing paving asphalt was placed. Refer to the example in Section 5-3, "Change Orders," of this manual.

It is important to make timely payments for price index fluctuations. Increases in the cost of paving asphalt may place financial burdens on contractors and can cause

projects to exceed allocated supplemental and contingency funds. The resident engineer is responsible for the following:

- Initiating a change order within 30 days of contract approval.
- Verifying that monthly payment adjustments for paving asphalt are included in monthly estimates when items that contain paving asphalt are used.
- Monitoring monthly expenditures and estimating future months of expenditures of payment adjustments for paving asphalt to avoid exhausting the project supplemental funds and contingency balance.
- Notifying the construction engineer and project manager if you anticipate the project contingency balance will be depleted so that appropriate action can be taken.
- At the time of bid, the contractor has the option to opt out of payment adjustments for price index fluctuations. Form DOT DES-OE-0102.12A, "Opt Out of Payment Adjustments for Price Index Fluctuations," is included in the bid book. Determine if the contractor has opted out by reviewing the bid book for the project. If the opt-out form in the bid book is not completed, then all the requirements apply to the project. The bid book and post bid documents can be found at:

  https://ppmoe.dot.ca.gov/cc?id=cc_post_bids

3-904C Work-Character Changes

Before work can be considered a "work-character change," there must have been an ordered change to the plans or specifications. If such an ordered change materially increases or decreases the unit cost of a bid item, then a work-character change has occurred. Work-character changes are not to be confused with "differing site conditions." For a discussion of differing site conditions, refer to Section 3-5, "Control of Work," of this manual.

When calculating the adjustment for a change in work-character, the original bid price bears no relation to the adjustment unless it can be demonstrated that the bid price represents the cost of the work.

3-905 Time-Related Overhead

Section 9-1.11, "Time-Related Overhead," of the *Standard Specifications* applies to projects that have a time-related overhead bid item. This section includes a description of time-related overhead (TRO) and a description of time-related field- and home-office overhead included in the TRO bid item. The contractor includes TRO costs in the TRO bid item. Overhead that is not related to time is included in other bid items. Any contract time adjustments made by change order will result in an equivalent adjustment to the TRO bid item quantity.

The markups for force account work performed by the prime contractor on time-related overhead projects are modified in Section 9-1.04A, "General," of the *Standard Specifications*.

Refer to Section 5-410, “Overhead Claims,” of this manual for information regarding claims for overhead for projects without a TRO bid item.

3-905A Audit Examination and Reports

When the TRO bid item quantity paid exceeds 149 percent of the quantity at time of bid, consult with your district management before requesting that the contractor provide an audit of its overhead costs. Refer to Section 5-411, “Audits,” of this manual for more information.

3-905B Payment

Time-related overhead (TRO) is compensated on monthly progress payments based on the number of working days charged during the pay period. Separate plant establishment period and permanent erosion control establishment period working days do not receive TRO compensation. The quantity of TRO is not adjusted for concurrent delays. The quantity of TRO adjusted only because of critical delays or time-saving adjustments that revise the current contract completion date. Adjustments to contract time are handled as follows:

- If contract time is adjusted by change order, and there are no revisions to working days charged to date, payments for increased time adjustments occur when the original bid item quantity is exceeded.
- If you have charged nonworking days that you later determine to be a critical delay, write a change order to make a time adjustment and promptly pay for the revised working days charged to date.
- If contract time is decreased by a change order, the corresponding reduction for TRO must be processed in the next progress estimate.

Whether TRO is bid by working day or lump sum within the bid item list, a 20 percent maximum limit is contractually established for progress payment purposes. Amounts more than the 20 percent limit are released in the estimate following completion of the contract work excluding plant establishment or permanent erosion control establishment work.

For contracts with a TRO lump sum quantity on the bid item list, calculate the amount to be paid for each working day charged within a progress payment period as follows:

Case 1—TRO lump sum bid is less than or equal to 20 percent of total bid amount:

- TRO working day rate is the TRO lump sum bid amount divided by the original number of working days bid.
- TRO is not paid for plant establishment or permanent erosion control establishment working days and such days are not included in the TRO working day rate calculation.
- For contract time adjustments, include corresponding unit TRO working day rate payment adjustments within the change order.

Case 2—TRO lump sum bid is more than 20 percent of total bid amount:

- TRO working day rate is 20 percent of total bid amount divided by the original number of working days bid.
- TRO is not paid for plant establishment or permanent erosion control establishment working days and such days are not included in the TRO working day rate calculation.
- Calculate an excess TRO working day rate that is equal to the difference of the TRO lump sum bid and 20 percent of the total bid amount, divided by the original number of working days bid. This excessive amount of TRO will be released after non-plant establishment and non-permanent erosion control establishment work has been completed in the subsequent payment estimate.
- Change orders with time adjustments need 2 corresponding unit TRO working day rate payment adjustments of 20 percent maximum rate and excess rate.

For contracts with a TRO working day quantity on the bid item list, the amount to be paid for each working day charged within the pay period is the bid item price unless the 20 percent maximum limit has been exceeded. If the maximum limit was exceeded, provide a corresponding 20 percent unit rate on progress payments and release the corresponding excess unit rate amount after non-plant establishment and non-permanent erosion control establishment work has been completed in the subsequent payment estimate.

Excluding terminated contracts, if the contractor completes the contract work before the expiration of allotted contract time, which is the original number of working days and time adjustments by approved contract change orders, pay any remaining TRO item quantity balances as follows:

- For contracts without plant establishment or permanent erosion control establishment work, process the corresponding remaining working day balance on the after-contract acceptance estimate. Include payment for any additional TRO compensation that was bid more than 20 percent of the total bid.
- For contracts with plant establishment or permanent erosion control establishment work, process the corresponding remaining working day balance in the first progress payment after all non-plant establishment and non-permanent erosion control establishment work is completed. Include payment for any additional TRO compensation that was bid more than 20 percent of the total bid.

If the TRO bid item quantity exceeds 149 percent of the quantity shown on the bid item list or as converted under Section 9-1.11B, “Payment Quantity,” of the *Standard Specifications*, and the engineer authorizes a TRO rate through audit that differs from that bid, process a payment adjustment. Calculate the payment adjustment based on the difference in the actual TRO rate and that bid. Apply the differential rate to the quantity of TRO exceeding 149 percent threshold. Include a separate payment adjustment for Caltrans’ share of the contractor’s audit report cost as described under Section 9-1.11E, “Payment Adjustments,” of the *Standard Specifications*.

TRO payments are not made during liquidated damage periods because contractors' TRO during these periods is noncompensable.

3-906 Progress Payments

Section 9-1.16, "Progress Payments," of the *Standard Specifications* requires Caltrans to make an estimate of work completed each month. Such estimates are designated as progress pay estimates. Each progress pay estimate must include payment for work completed up to and including the 20th day of the month. Include payment for change order bills that are submitted on time. Also include payment for extra work performed at agreed price and payment adjustments. Billing for this work must be submitted by the resident engineer during the pay period in which the work was performed.

Caltrans supports a collaborative progress payment process allowing contractor participation in estimating bid item quantities completed for progress payments. Contractor participation in this process is optional but should be determined at the preconstruction conference. When a contractor provides a submittal of estimated item quantities and supporting calculations for work completed up to and including the 20th day of the month, 2 working days before the progress payment cut-off date, the resident engineer will provide Caltrans' estimate of item quantities and supporting calculations to the contractor.

One working day before the progress payment schedule cut-off date, the contractor and resident engineer will attempt to resolve differences in the estimated quantities. If an agreement cannot be reached for the quantity of a particular item, the progress payment will be based on Caltrans' estimated quantity for the item. If modifications in estimated quantities are supported, revise the Caltrans estimated quantity and supporting calculations before processing the progress payment. When the contractor does not submit a timely monthly estimate of item quantities, omits certain item quantities, or does not provide supporting calculations, the collaborative process cannot be used. Other collaborative process arrangements that are mutually agreeable to the contractor and Caltrans may be established.

Resident engineers must transmit to the district Construction office the documents and information required to prepare progress payment vouchers. All documents must be in the district office no later than the date established by the district, usually no later than the end of the contract time start day after the 20th of each month.

District Construction must arrange a schedule with the Division of Construction that will accommodate the Division of Accounting.

A monthly estimate and payment must be made if any amount of money is due to the contractor.

Show all quantities submitted for payment on source documents. A source document is defined as the basic document executed to record or calculate quantities, percentages of lump sums, or extra work for payment. Typically, Form DOT CEM-4801, "Quantity Calculations," is used for this purpose. An example of Form DOT CEM-4801, as a source document is shown in Figure 3-9.1., "Sample

Form DOT CEM-4801, ‘Quantity Calculations,’ of this manual. The estimate entered must reflect the totals on the source documents. Refer to Section 3-902C, “Source Documents,” in this manual for more information.

The quantity shown on the estimate for a bid item must agree with the sum of the quantities to date on all the source documents for that item.

The resident engineer is responsible for the accuracy of a progress pay estimate. By approval, the resident engineer verifies that the quantities are correct, and that data submitted conforms to Caltrans’ policies. All entries on Form DOT CEM-6004, “Contract Transactions Input,” must be checked by other Construction personnel for errors such as transposition and wrong numbers.

The resident engineer must review and approve each monthly estimate before district Construction office staff can process it for payment. To expedite handling, the resident engineer need not sign the estimate itself to indicate approval. Approval may be by telephone. Confirm telephone approval by sending a memo or a “pre-verification of pay estimate” form letter to the district Construction office.

Refer to Section 5-103, “The Contract Administration System,” of this manual for technical details on the production of estimates.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

QUANTITY CALCULATIONS

DOT CEM-4801 (REV 09/2025) CT# 7541-3520-0

JOB STAMP	ITEM	FILE NUMBER
07-1381U4 07-LA-210-47.5/57.3 Fed. No. (NONE)	8 - Temp Railing (Type K)	48-8-2
	LOCATION Ramp 3	SEGREGATION ☐ YES ☒ NO
	CALCULATED BY A. Rodriguez	DATE 09/30/2026
	CHECKED BY R. Engineer	DATE 09/30/2026

Field Measurement: X
Field Counted: NO
Final Pay Item: NO

Estimated Quantity: 1,500
Unit of Measure: feet
Unit Price: $8.00/foot
75% of item: 1,125 feet
125% of item: 1,875 feet

Remarks or other calculations:

500 feet placed on September 10, 2026 at Maple Street offramp, Station 3+00 RT

Material Inspection/Release: Certificate of compliance obtained on September 5, 2026.

Pay this estimate: 500 feet

Previously paid: 250 feet

Total to date: 750 feet

BID ITEM LIST QUANTITY 1500 LF

APPROVED CHANGE ORDERS REVISED QUANTITY N/A

TOTAL AUTHORIZED QUANTITY N/A

PAY THIS SHEET 500 LF

PAY THIS ESTIMATE 500 LF

PREVIOUSLY PAID 250

TOTAL PAID TO DATE 750 LF

ITEM COMPLETED ☐ YES ☒ NO

POSTED BY	DATE	POSTED TO
O.E. Engineer	10/01/2026	Form DOT CEM-6004, page 2 line 5

SAMPLE

Figure 3-9.1. Sample Form DOT CEM-4801, "Quantity Calculations"

3-906A Bid Items

Include all bid item work completed satisfactorily in accordance with the contract in progress payments. Do not include preparatory or organizational work for payments in progress, such as assembling equipment, shop work, forming, or crushing or stockpiling of aggregate unless provided for in the special provisions. Do not pay for material placed or installed for which you have not obtained the required evidence of acceptability, such as Form TL-29, “Report of Inspection of Material”; Form TL-0624, “Inspection Release Tag”; certificates of compliance, or acceptance tests.

For items bid on a unit basis, include in progress payments work that is substantially complete. Withhold enough units to cover the value of the incomplete incidental work. In each case, a source document must be on file showing the details of the quantity’s determination.

Refer to intermediate source documents for items that are bid on a unit basis with a fixed final pay quantity, such as structural concrete and bar reinforcing steel (bridge), to show how partial payment was estimated. Withhold units of work to cover the value of incomplete incidental work. Base the withheld amount on a force account analysis of the remaining incidental work.

The following examples are listed to illustrate the procedure for partial payments:

1. Mobilization item

   The Contract Administration System (CAS) will automatically calculate and enter partial payments for the item, “Mobilization.”

2. Maximum value items

   Handle items for which maximum payment is limited until after a time fixed in the contract as follows:

   a. Include on the estimate the quantities completed in the same manner as for any other bid item. The quantity will be extended at the bid price and added to the total of work done.

   b. The system will make a deduction for any overbid.

   c. The system will return the deduction at the time set forth in the contract.

3. Roadway excavation

   In normal situations, material is excavated, hauled, placed in a final position in embankment, and compacted, but slope finishing is not done. This is considered incidental work, and a quantity may be withheld to cover the value of the work remaining.

4. Aggregate for subbase and base

   Material may be produced, hauled, placed, and compacted, but final trimming to tolerance has not been performed. This is incidental work, and a quantity may be withheld to cover the value.

5. Portland cement concrete pavement

Concrete may be in place and cured but not ground to meet surface tolerance. Grinding is incidental work, and units may be withheld to cover the estimated cost.

6. Sewers and irrigation systems

   Pipe may be placed and backfilled but not tested. Withhold units to cover this work.

7. Fence

   Posts and wire or mesh may be in place and securely fastened but bracing wires are not completed. Withhold units to cover this incidental work.

8. Structural concrete, bridge, final pay quantity

   Bridge construction generally requires erecting falsework to carry dead loads of concrete or steel members until they become self-supporting. When falsework supports the superstructure concrete of box girder or slab bridges, make partial payments for the bid item.

   When the soffit plywood is complete in place, make a partial payment equivalent to 35 percent of the projected superstructure concrete volume.

   Withhold 5 percent for removal of the falsework materials and the final surface finishing of concrete.

9. Bar reinforcing steel

   Pay for bar reinforcing steel that is complete and in place in the forms. It does not have to be encased in concrete before payment is made.

10. Structural steel, final pay quantity

    Steel placed is paid by units erected and in place. Withhold units to cover incidental work such as additional bolting and welding.

For work that includes an item for furnishing, make no payment for furnishing until all contract requirements have been met, including acceptability of the material and delivery to the project. However, payment may be made for materials on hand, as covered in Section 3-906E, “Materials on Hand,” of this manual, for items that qualify and meet specified eligibility requirements. Refer to the *Bridge Construction Records and Procedures Manual* for additional instructions.

For lump sum bid items, if a schedule of values is required, refer to Section 3-906B, “Schedule of Values,” of this manual. Certain lump sum bid items may include specified payment provisions that describe payments to be made as work on the item or project is completed. Otherwise, pay a percentage of the lump sum bid price as work progresses. Use for this calculation the ratio of the number of working days an item of work has been in progress divided by the estimated total number of working days required to complete the item work. Be aware that such a simplified method might not reflect the value of the work completed. Reach an equitable agreement with the contractor for the basis of determining progress payments on lump sum items in such cases.

If any work or material on hand paid for on a previous monthly estimate loses value through loss, damage, or failure to function, deduct units representing the lost value from the following monthly estimate. Another example is storm damage requiring repair or replacement in accordance with Section 5-1.39B, “Damage Caused by an Act of God,” of the *Standard Specifications*.

Do not pay for item work added by change order until the change order is approved. However, payment for bid item overruns that are not the result of a change in the contract may be included in the monthly estimate.

3-906B Schedule of Values

A schedule of values is required for specific lump sum bid items such as electrical systems. Building construction will also be a lump sum bid item and will require a schedule of values as specified in the special provisions. Structure Construction will provide a technical review to verify that progress payments can be based on the value of the work in place.

3-906C Extra Work

Do not pay for change order work until the change order is approved. Refer to Section 3-403, “Changes and Extra Work,” Section 3-906D, “Interest,” and Section 5-3, “Change Orders” of this manual, for further information on change orders providing for extra work.

3-906D Interest

Section 9-1.03, “Payment Scope,” of the *Standard Specifications* provides for interest to be paid on unpaid and undisputed progress payments, payments after acceptance, change order bills, claim payments, and awards in arbitration.

Keep a log of the dates change order bills are received, rejected, and resubmitted. In a timely manner, process all change order bills, and fully document reasons for rejecting change order bills.

Make interest payments for late payments by change order as a payment adjustment at lump sum. Refer to Section 5-3 of this manual for more information.

3-906E Materials on Hand

Pay for acceptable materials on hand with individual material costs of at least $50,000 or at least $25,000 for requestors certified as a disabled veteran business enterprise, disadvantaged business enterprise or small business, provided that all specified conditions have been met. Do the following:

- Give the contractor Form DOT CEM-5101, “Request for Payment for Materials on Hand.”
- The contractor must initiate payment by submitting a properly completed Form DOT CEM-5101. Make no payment for any material if the contractor has not requested payment on the Caltrans-furnished form. The contractor must submit a request 1 week before the end of the estimate period for each estimate. Each

request must represent the status of materials on hand at the time the request is made. Do not honor a request if it does not represent the actual amount on hand.

- Upon receipt of a request for payment for materials on hand, the resident engineer must check that it is filled out properly, meets specified eligibility requirements, and that the contractor has attached evidence of purchase. Check on requestor's certification for a disabled veteran business enterprise, disadvantaged business enterprise, or small business when the material cost is $25,000 through $50,000. When the contractor's supporting evidence of purchase shows that a discount has been allowed, reduce the payment for materials on hand by the amount of the discount.
- Before processing a materials-on-hand request, inspect all materials for acceptability. Materials must have a certificate of compliance or Form TL-29, "Report of Inspection of Material." Form TL-29 is evidence that the material was inspected at the source. In general, accept only completely fabricated units ready for installation on the project with the following exceptions:
    - Piling—Steel plate used for steel pipe piling and driven steel shells filled with concrete and reinforcement as described in Section 49, "Piling," of the *Standard Specifications,* may be considered acceptable as raw material. However, pay for such material as raw material only until shop fabrication of the pile is 100 percent complete. After shop fabrication is complete, the estimated fabricated value may be paid, subject to other specified restrictions and administrative guidelines.
    - Structural Steel—Structural steel used in steel structures as described in Section 55, "Steel Structures," of the *Standard Specifications,* may be considered acceptable as raw material. However, pay for such material as raw material only until shop fabrication of a usable member, such as a girder or other shape ready for shipment to the job site, is 100 percent complete. After shop fabrication is complete, the estimated fabricated value may be paid, subject to other specified restrictions and administrative guidelines.
    - Sign Structures—Structural steel used in overhead sign structures as described in Section 56, "Overhead Sign Structures, Standards, and Poles," of the *Standard Specifications,* may be considered acceptable as raw material. However, pay for such material as raw material only until shop fabrication of a usable member, such as a sign frame or other member, is 100 percent complete. After shop fabrication is complete, pay for the estimated fabricated value, subject to other specified restrictions and administrative guidelines.
- Verify proper storage of materials listed on Form DOT CEM-5101 in accordance with the procedures in the following subsections.

3-906E (1) Materials at the Project

For all valid requests for material located at or near the project, determine whether the materials are stored in conformance with the contract. To conform to this

requirement, the contractor may have to store materials in fenced areas with locked gates, in locked warehouses, or in areas where it is improbable that materials would be lost from any cause. In addition to having controlled storage, the contractor is required by the *Standard Specifications* to provide proper storage and handling so that the materials do not become damaged or contaminated. For stored materials with water pollution potential, the contractor must establish and maintain water pollution control measures. If there is any indication of improper storage, call it to the contractor's attention. Withhold payment for materials on hand until the materials are properly stored.

Do not pay for material accepted based on certificates of compliance until such certificates have been received.

The resident engineer or an assistant resident engineer must review Form DOT CEM-5101 to verify that the request is acceptable.

3-906E (2) Materials Not at the Project

For materials not delivered to the job site, obtain evidence, and establish the fact of purchase, proper storage, acceptability, accessibility, and other factors. Materials Engineering and Testing Services (METS) maintains representatives in major industrial areas and provides inspection services in all other areas for this purpose. The following procedure outlines how to request assistance from METS:

- If it is not practical for the resident engineer or assistant resident engineers to verify quantity, quality, location, and proper storage, send the duplicate copy of Form DOT CEM-5101 to METS.
- Upon receipt of Form DOT CEM-5101, METS will immediately notify the appropriate inspection office or offices. The METS representative will notify the resident engineer directly using Form TL-649, "Report of Materials on Hand," or TL-6037, "Fabrication Progress Report," that the material has been inspected and that it is in acceptable condition and properly stored. METS will use Form TL-6037 for structural steel, precast prestressed concrete members, or sign structures. For other products, METS will use Form TL-649.

METS may also indicate, in its correspondence, the percentage of completion for shop fabrication of various structural components. This figure is given for the purpose of reporting progress on the affected items. Do not use it to increase payment for materials on hand during fabrication.

Upon receipt of Form DOT CEM-5101, and percentage-complete verification, the resident engineer can approve the partial payment. The contractor must submit a new Form DOT CEM-5101 for each estimate, and the percentage-complete procedure must be followed. However, it is possible METS may not be able to respond in time for payment on the estimate. METS gives priority to new or changed requests. Therefore, for requests that have not changed since a previous submittal, resident engineers may approve subsequent payments in the absence of any METS reports to the contrary.

On the monthly progress pay estimate, enter the total value of acceptable material as material onsite regardless of storage location. Use Form DOT CEM-5105 to summarize, authorize, and document material on hand payments.

The maximum payment for materials on hand should be such that, when the estimated placing and other remaining costs of the work are added, the contract price is not exceeded. The purpose of this is to prevent payment of more than the contract price for the materials and to leave sufficient funds in the item to complete the work.

3-906F Withholds

3-906F (1) Progress Withholds

Progress withholds are usually determined by noncompliant or unsatisfactory progress. Whenever a contractor's performance is unsatisfactory, the resident engineer notifies the contractor of the apparent failure.

3-906F (1a) Noncompliant Progress

Progress is determined by comparing the contractor's actual progress with the curve on Form DOT CEM-2601, "Construction Progress Chart (Oversight Projects)." This requires calculation of the percentage of work completed and the percentage of time elapsed. If the plot of these percentages falls on or above the curve on Form DOT CEM-2601, progress is considered satisfactory. Otherwise, it is considered unsatisfactory except under extenuating circumstances. Refer to Section 9-1.16E(2), "Progress Withholds," of the *Standard Specifications* for noncompliant progress conditions.

After each progress estimate, update Form DOT CEM-2601. The Contract Administration System (CAS) uses the formula contained on this form to determine progress. For a description of this process, refer to Section 5-1, "Project Records and Reports," of this manual.

The contractor's progress is usually considered unsatisfactory when the contractor's progress curve falls below the curve of the contract progress chart or when successive points on the contractor's progress curve indicate the contractor's progress rate will soon fall below the curve.

The percentage of work completed is the result of dividing work completed to date over total bid item price. CAS calculates this percentage.

$$\% \text{ Complete} = \frac{\text{Total Work Completed}}{\text{Authorized Final Cost}}$$

Calculations for percentage of work completed for Type 1 plant establishment projects are an exception. Calculations are shown in Section 3-906F (1b), "Plant Establishment Work," of this manual.

$$\% \text{ Complete} = \frac{\$ \text{ Value Completed Work}}{\$ \text{ Total Bid Item Price}}$$

CAS calculates the percentage of contract time elapsed by dividing the number of working days elapsed to the date of the progress estimate, by the original working days specified in the contract plus "Total time extension days approved to date," on Form DOT CEM-2701, "Weekly Statement of Working Days."

$$\% \text{ Contract Time Elapsed} = \frac{\text{Number of Working Days Elapsed to Date}}{\text{(Number of Original Working Days + Total Time Extension Days Approved to Date)}}$$

Whenever the contractor fails to prosecute the work adequately, determined by the plot of actual progress and the engineer's concurrence, the contractor must be notified of the apparent lack of progress. If it's determined that the work on the remaining work activities will not be completed by the "calculated date for completion" as defined in Section 3-804, "Time," of this manual, the engineer must request that the contractor submit a revised schedule showing how the balance of the work will be carried out.

Occasionally, the resident engineer has information indicating that the percentage of time elapsed is different from what CAS will calculate. The most common reason for this is that pending time extensions have not yet been approved and entered into the system. The percentage of time elapsed can be calculated using the anticipated time extension in the previous formula. The resident engineer must document the calculated percentage of contract time elapsed as well as the reasons. Enter the calculated percentage of contract time elapsed in the appropriate place on Form DOT CEM-6101, "Project Record—Estimate Request." CAS will calculate satisfactory or unsatisfactory progress based on this figure.

Whenever the district determines the contractor's bonding company should be notified of unsatisfactory progress, advise the Division of Construction of the reasons supporting such an action. If appropriate, the district will initiate the notification.

If the district determines the lack of progress on a contract justifies a meeting, the district will arrange a conference to be attended by the contractor's representatives, the bonding company, and Caltrans. If appropriate, the Division of Construction will arrange the conference. For more information, refer to Section 3-808, "Contractor's Control Termination," of this manual.

3-906F (1b) Plant Establishment Work

For specifications and administrative guidelines for plant establishment time requirements refer to Section 20-4, "Plant Establishment Work," of the *Standard Specifications*, and Section 4-2003C (8), "Plant Establishment Work," of this manual. In general, a withhold for unsatisfactory progress should be waived only for landscape projects or on other projects only after a corrected entry has been made for "percent time elapsed" as covered for Type 1 and Type 2 plant establishment.

For projects with Type 2 plant establishment, the percentage of time elapsed and percentage of work completed is determined as described in Section 3-906F (1a), "Noncompliant Progress," of this manual.

For projects with Type 1 plant establishment, calculate the percentage of time elapsed and the percentage of work completed for the periods before the start of plant establishment. After the start of Type 1 plant establishment, the resident engineer will decide if the progress is satisfactory. In general, consider progress satisfactory if the contractor entered the plant establishment period on time and carries out plant establishment work on time. Progress will be considered unsatisfactory if there is an overrun in contract time because of a delayed start of Type 1 plant establishment.

Determine the percentage of work completed by dividing the value of work accomplished by the authorized contract amount minus the authorized plant establishment work.

$$\% \text{ Complete} = \frac{\$ \text{ Value Completed Work}}{(\$ \text{ Total Auth. Contract Amt.} - \$ \text{ Plant Estab. Work})}$$

Determine the percentage of time elapsed by dividing the number of working days elapsed to the time of the estimate on Form DOT CEM-2701, "Weekly Statement of Working Days," by the total contract time limit plus "Total change order days approved to date" on Form DOT CEM-2701 and minus the length of the plant establishment period.

$$\% \text{ Time Elapsed} = \frac{\text{Working Days Elapsed}}{(\text{Orig. Contract Time} + \text{Time Ext. to date} - \text{Plant Estab. Period})}$$

Compare these 2 percentages to the curve on Form DOT CEM-2601, "Construction Progress Chart (Oversight Projects)." If progress is satisfactory, check the "Override Unsatisfactory Progress" on Form DOT CEM-6101, "Project Record—Estimate Request."

3-906F (2) Performance Failure Withholds

Whenever the contractor fails to comply with a contract part, including timely submittal of a required document, the resident engineer notifies the contractor of the apparent performance failure. For example, performance failure withholds may be taken if any of the following required documents are late or missing:

- Quality control plan
- Baseline schedule
- Updated schedules
- Revised schedules
- Time impact analyses

- Final schedule
- Traffic control plans
- Traffic contingency plan
- Water pollution control plan
- Storm water pollution prevention plan

The resident engineer gives the contractor 7 days from this notification to either provide the submittal or a request for information. If neither is provided on time, the resident engineer should take the performance failure withhold in the next progress pay estimate. If the contractor submits a request for information, the resident engineer should allow another 7 days from the time the request for information is answered in full before taking the performance failure withhold. Refer to Section 9-1.16E(3), "Performance Failure Withholds," of the *Standard Specifications*. Other withholds, such as progress withholds, stop notice withholds, and penalty withholds, are separate and may be taken simultaneously if justified.

3-906F (3) Stop Notice Withholds

Refer to the Division of Accounting all inquiries regarding bills for labor, material, or equipment rental not paid by Caltrans' contractor. Detailed information for construction payments, legal withholds, labor compliance withholds, levies and liens, including stop notice contacts can be found on the Division of Accounting "Major Construction Payment & Information" website at:

https://misc-external.dot.ca.gov/pets/

3-906F (4) Penalty Withhold

For penalty withholds, refer to Sections 7-1.02, "Laws," and 9-1.16E(5), "Penalty Withholds," of the *Standard Specifications*. Penalty withholds may become a deduction if appropriate. Withholds may be required in accordance with Sections 7-104, "Air, Water, and Noise Pollution Control"; 7-105, "Permits, Licenses, Agreements, and Certifications"; and 8-102, "Labor Compliance Responsibilities," of this manual.

3-906G Deductions

Deductions, as opposed to withholds, are amounts held back for specific purposes. The resident engineer must identify, initiate, and control all deductions. Refer to Section 5-103F (1c), "Deductions," of this manual for information on administering deductions.

Make a deduction from payment to the contractor as soon as the liability for the event requiring a deduction has been determined. It is preferable to base deductions on known amounts resulting from agreements or actual billings, but if necessary, they can be estimated.

Resident engineers must keep source documents and summary sheets in the appropriate contract records to cover all deductions. In the absence of any

information to the contrary, CAS will carry deductions forward from the previous month.

Whenever the contractor's progress is unsatisfactory and the project has progressed to a point where a reasonably accurate estimate of probable liquidated damages can be made, the resident engineer must deduct an amount sufficient to cover probable liquidated damages. Make the deduction instead of any withhold for unsatisfactory progress. Enter the amount and description of deductions on Form DOT CEM-6101, "Project Record—Estimate Request," and check "Override Unsatisfactory Progress," to prevent the withhold.

3-906H Supplemental Progress Payments

Resident engineers are responsible for the completeness and accuracy of each progress payment. Supplemental progress payments are used to correct omissions or adjust a previously processed progress payment estimate for work performed within that pay estimate period. Supplemental progress payments may be run only between the completion of the original monthly progress payment and the 15th of the following month.

Refer to Section 5-103F, "Generating Estimates," of this manual for the process of generating a supplemental progress payment.

3-906I Negative Estimates

The resident engineer is responsible for the accuracy of all payment estimates, including progress payment, after acceptance, semifinal, and final estimates. Negative estimates reflect an overpayment made to the contractor. When a negative estimate is necessary, you must prepare a brief justification and submit it with the estimate request to the district Construction office. The district Construction office must obtain concurrence from the deputy district director of Construction or delegate, and the Division of Construction's field coordinator before running the negative estimate.

When a negative estimate is approved for processing, the Division of Accounting creates an accounts receivable invoice and directly bills the contractor for the amount due. Accounting provides a monthly listing of all pending accounts receivable invoices and their status to the progress pay coordinators and expects that further action is taken by district Construction and the Division of Construction. For specific instructions on billing, contact the Division of Accounting.

Section 3-907E, "Payment Offset," of this manual describes another method available to the resident engineer and the Division of Accounting to resolve overpayment to the contractor.

3-907 Payment After Contract Acceptance

Caltrans makes final payment as soon as possible after the contract is accepted and the contractor submits the required documents requested by the resident engineer. Any estimate covering a payment after contract acceptance is identified either as "after acceptance," "semifinal," or "final."

Soon after the contract is accepted, meet with the contractor to discuss submitting required information to complete the contract. If the contractor does not submit required data within 4 weeks after acceptance, you must notify the contractor in writing that Caltrans will issue the proposed final estimate and deduct the appropriate amount. Section 5-406, "Claims Resolution Process," of this manual lists the timeline for completing payment steps after the acceptance process.

3-907A Payment Before Final Estimate

A payment after acceptance but before the proposed final estimate must adhere to Section 9-1.17B, "Payment Before Final Estimate," of the *Standard Specifications*. The purpose of this type of progress payment is to release all money due to the contractor that exceeds any amounts withheld under the contract. When determining amounts to be paid or deducted for this type of estimate, do the following:

1. Include payment for the following:
   a. Any work completed since the previous estimate
   b. Any errors that may have been discovered and corrected
   c. Any labor compliance deficiencies that have been cleared
2. Include payment for any overbids on maximum value items, including the mobilization item. You do not need to take any additional action for this step.
3. When delinquent or inadequate payrolls exist, make a deduction from the payment.
4. When the contractor has failed to correct deficiencies in its equal employment opportunity program, make a deduction from the payment. These deficiencies include failure to submit Form DOT CEM-2402F, "Final Report—Utilization of Disadvantaged Business Enterprises and All First-Tier Subcontractors."

   The deductions will be in the same amount as for any progress estimate. Refer to Section 8-1, "Labor Compliance"; Section 8-2, "Equal Employment Opportunity"; Section 8-3, "Disadvantaged Business Enterprises," and Section 8-4, "Disabled Veteran Business Enterprises," of this manual.
5. To cover any outstanding documents required under this contract, make a deduction from the payment. These outstanding documents include the following:
   a. Reduced prints of working drawings
   b. Outstanding payrolls that are not yet delinquent
   c. Any information upon which to base the proposed final estimate, such as payment adjustments of contract unit prices

The deduction, regardless of the number of outstanding items, will be the lesser of 10 percent of the "Subtotal Amount Earned Without Mobilization," or $10,000, and at least $1,000.

In addition to the steps listed for determining amounts to be paid or deducted for an estimate after contract acceptance, the resident engineer must also do the following:

1. Notify the district of what deductions are applicable.
2. Compound the deductions when a combination of the situations outlined previously and summarized in the following occurs:
   a. The contractor has delinquent or inadequate payrolls.
   b. The contractor failed to correct deficiencies in its equal employment opportunity program.
   c. The contractor failed to honor requirements related to disadvantaged business enterprises.
3. Compound permanent deductions. Permanent deductions include items such as material royalties, railroad flagging charges, material testing, out-of-specification material, or restaking charges.
4. Liquidated damages are also considered permanent deductions. When warranted, anticipated liquidated damages can be made on progress estimates. However, anticipated liquidated deductions will need to be made permanent on the after-acceptance estimate. To do so, release anticipated liquidated damages; then take actual liquidated damages under liquidated damages on the after-acceptance estimate.
5. When you make deductions for outstanding items, advise the contractor in writing of the specific missing items.
6. Before processing an after-acceptance estimate, run the following 2 reports which will show any contract change order (CCO) adjustment of compensation credit or deferred time not yet taken: “Status of CCO,” and “CCO master listing.”

3-907B Proposed Final Estimate

The purpose of the proposed final estimate is to obtain formal agreement regarding final payment. For this type of estimate, follow these guidelines:

- Submit the proposed final estimate to the contractor within the time frame outlined in Section 5-406, “Claims Resolution Process,” of this manual.
- Before processing the proposed final estimate, check that all change order bills submitted by the contractor are processed and ready for payment. Make sure the estimate’s issuance is not delayed for change order bills that remain outstanding.
- If the contractor has not submitted required information, the proposed final estimate must still be issued on time, and the following guidelines apply:
- Any time before a proposed final estimate is issued, the district may exercise an option described in Section 9-1.04C, “Materials,” of the *Standard Specifications*. This section identifies the conditions under which Caltrans may establish the cost of materials when valid copies of vendors’ invoices are not forthcoming. When the district decides to establish such costs, use the following procedure:
  - If the established cost is necessary to determine compensation, complete the pending change order, and have it unilaterally approved. To determine

compensation, refer to Sections 9-1.06, “Changed Quantity Payment Adjustments,” or 9-1.15, “Work-Character Changes,” of the *Standard Specifications.*

- If the established cost is necessary to make force account payment on an existing change order, include this established cost as a lump sum payment on a supplemental change order. Also, unilaterally approve this supplemental change order.

- On the proposed final estimate, you may list, in the amount the district determines to be payable, any force account billings that have not been paid because of a dispute.
  - Upon return of the proposed final estimate, the contractor must reiterate the disputed extra work, which must be handled like any other claim.
  - Do not list in the proposed final estimate any force account billings the contractor has not yet submitted. It is the contractor’s responsibility to either submit these bills before the proposed final estimate or list them as exceptions to the proposed final estimate.
- The district will show the required deduction on the proposed final estimate in the same manner as for any other deduction when the contractor has the following outstanding items:
  - Delinquent or inadequate payrolls
  - Deficiencies in its equal employment opportunity program
  - Violations of requirements related to disadvantaged business enterprises

  The outstanding items are also described in Section 3-907A, “Payment Before Final Estimate,” of this manual. When such deductions are shown, include a statement similar to the following on the letter that accompanies the proposed final estimate:

  “The amount of $_____, which has been deducted for nonsubmittal of documents required by the contract, will be paid when all such documents have been received.”
- Submit Form DOT CEM-6101, “Project Record—Estimate Request,” to the district office with the proposed final estimate box checked to initiate the proposed final estimate.
- The proposed final estimate is to be prepared and sent to the contractor by the district Construction office. It should include the following:
  - A letter transmitting the proposed final estimate to the contractor. This letter should include the statements shown in Figure 3-9.2., “Form Letter for Submitting Proposed Final Estimate to the Contractor” in this manual.
  - A form for the contractor’s acceptance of the amounts listed in this estimate. Verify that the form contains wording similar to the wording in Figure 3-9.3., “Acceptance Statement Form” in this manual

- The proposed final estimate report showing the status of item payments generated by CAS along with the “schedule of extra work” and “schedule of deductions” reports. Samples of these reports are shown in Figures 3-9.4. “Sample of Proposed Final Estimate,” 3-9.5. “Schedule of Extra Work,” and 3-9.6, “Schedule of Deductions” in this manual.
- If deductions for items such as staking charges, laboratory charges, railroad flagging charges, and overruns of contract time are not finalized and shown on the reports, a list of their estimated maximum amounts must be attached.

- Use separate correspondence, not the proposed final estimate, for funds deducted for labor violations and wage restitution as opposed to outstanding or inadequate payrolls.
- When money is due on the proposed final estimate, make sure the semifinal estimate processed immediately after reflects the same “totals” as the proposed final estimate. If you follow this approach, the contractor will submit claims based on the “statement of total amount earned,” rather than a “revised” number.
- To establish the beginning of the 30 days during which the contractor may submit written claims, send the proposed final estimate by certified mail or overnight delivery, with “return receipt requested.”
- From the issuance of the proposed final estimate to the receipt of the contractor’s response, do not enter into any negotiations, written or verbal, concerning the proposed final estimate or potential claims, except as described in the following paragraph. During this time, negotiating or communicating with the contractor, or issuing change orders, may negate the finality of the proposed final estimate. If the finality is negated, the contractor may have 30 days from the most recent communication to respond.
- If you discover an error that requires a decrease in a quantity:
  - Send a letter to the contractor stating the discovery of an error and specify the item and amount of the change.
  - State that the error will be addressed after the contractor returns the proposed final estimate.
- If the contractor discovers and brings to your attention any errors or discrepancies:
  - Send separate correspondence covering only the affected items, stating that the item will be analyzed after the return of the proposed final estimate and exceptions, also known as the Acceptance Statement.
  - For example, a contractor disputes the quantity of an item. In this case, send a letter to the contractor stating that the item must be listed as an exception to the proposed final estimate.
- When the contractor returns the Acceptance Statement, proceed in accordance with 1 of the following appropriate options:

- If the returned Acceptance Statement has no exceptions, such as administrative claims or contract claims, and all documents required under the contract have been received, prepare the final estimate. Refer to Section 3-907D, “Final Payment and Claims,” of this manual for more information.
- If the returned Acceptance Statement has no exceptions, but some documents are still outstanding, continue pressing the contractor, in writing, for the missing documents. If amounts due to the contractor exceed the deductions by more than $300, prepare and process a semifinal estimate.
- If the documents have not been received in approximately 60 days, request advice from the Division of Construction field coordinator about further action.
- If the Acceptance Statement is returned with exceptions, initiate the claims procedure as outlined in Section 5-4, “Disputes,” of this manual.
- If the Acceptance Statement is returned requesting a payment adjustment in accordance with Section 9-1.17C, “Proposed Final Estimate,” of the *Standard Specifications*, determine if the payment adjustment is warranted. Contracts that have been terminated or those with time-related overhead bid items are not subject to this payment adjustment. If the payment adjustment is warranted, make the payment in the same manner as for any other adjustment and unilaterally approve in the district. Refer to Example 3-9.1, “Calculation to Determine Payment Adjustment,” of this manual.

Example 3-9.1. Calculation to Determine Payment Adjustment

Contractor’s original bid, including mobilization	$100,000
90 percent of contractor’s bid	$ 90,000
Final estimate of total work, including mobilization, extra work, and minus permanent deductions	$ 85,000
Difference	$ 5,000
Adjustment of overhead costs (10 percent of difference)	$ 500

- When the Acceptance Statement is not returned within the specified 30 days, verify it has not been lost in transit and then proceed in accordance with 1 of the following options:
  - If all documents have been received, prepare and process the final estimate.
  - If some documents are still outstanding, request advice from the Division of Construction’s field coordinator about further action.
  - If the contractor includes in the Acceptance Statement any claim that is postmarked or hand-delivered more than 30 days after the date the contractor received the proposed final estimate, the claim is considered late and will not be processed.

- On a hand-delivered claim, record the date the claim arrived, who delivered it, and who received it. Retain the envelope for a claim that arrived through the mail to establish the date the claim was sent. Inform the contractor of the late filing with a letter that will constitute as a final administrative action on a late claim. Use the sample letter in Example 3-9.2. “Notification to Inform the Contractor of a Late Filing,” of this manual as a guide on how to word the notification.

Example 3-9.2. Notification to Inform the Contractor of a Late Filing

Contractor _____,

The statement of claim included in your letter dated _____, was submitted to us more than 30 days after you received copies of the proposed final estimate for Contract No. _____, (County Route and Postmile).

A final estimate is, therefore, being processed for issuance to you as provided in Section 9-1.17C, “Proposed Final Estimate,” of the *Standard Specifications*.

Sincerely,

District Construction Office

- If the contractor includes claims with the return of the proposed final estimate, the district should immediately acknowledge receipt of the claims by sending a written statement similar to Example 3-9.3. “Acknowledgment of the Receipt of Claims,” of this manual.

Example 3-9.3. Acknowledgment of the Receipt of Claims

Your written statement of claims has been received. The engineer will base the determination of your claims upon the investigation of your statement.

The investigation of your claim statement will begin immediately. If it is determined that additional information is required, you must furnish it within 15 days of the request in accordance with Section 9-1.17D(2), “Claim Statement,” of the *Standard Specifications*. You may request in writing an extension of time to a specific date. Our purpose is to provide you with the engineer’s final determination on claims in the minimum possible time, consistent with the assurance that all the facts are available for consideration.

- If the initially submitted claim statement is obviously deficient in information, instead of stating the timeline for investigation, use a verbiage similar to Example 3-9.4. “Notification of Deficiency of Information,” of this manual.

Example 3-9.4. Notification of Deficiency of Information

Your initial submission appears to be deficient as to the following:

[Select appropriate items or specify items needed.]

1. Statement of contractual basis for claim
2. Information as to compliance with Section 4-1.05A, “General”; or Section 5-1.43, “Potential Claims and Dispute Resolution,” or both, of the *Standard Specifications*
3. Breakdown of amount claimed due
4. Other, as applicable (specify)

Please submit any further information you wish to have considered by [date, approximately 15 days after the contractor will receive the letter]. If you require additional time to prepare your supplementary statement, please request an extension in writing specifying the date to which the extension is requested. The engineer intends to make the final determination on claim matters in the minimum possible time, consistent with the assurance that all the facts are available for consideration.

Make sure to examine claims expeditiously. For detailed instructions, refer to Section 5-4, “Disputes,” of this manual.

3-907C Semifinal Estimate

A semifinal estimate is any estimate prepared after issuing the proposed final estimate and before preparing the final estimate. The primary purpose of a semifinal estimate is to make timely payment for all nondisputed items that have not been paid on a previous estimate. However, semifinal estimates can also be issued to make payment if some, but not all claims, have been resolved.

The proposed final estimate need not show a zero balance for money owed to the contractor. If the proposed final estimate does identify money owed to the contractor, immediately run a semifinal estimate after the proposed final estimate. Do not wait for any response from the contractor to the proposed final estimate. Do not issue any other estimates until 30 days after issuing the proposed final estimate.

Normally, use the same procedures to issue a semifinal estimate as those to issue a progress estimate.

3-907D Final Payment and Claims

Submit a final estimate only after 1 of the following conditions has been met:

- The contractor has submitted all required documents, and complete agreement on payment has been reached.

- The district director's final determination of claim has been issued.
- The contractor does not respond to the proposed final estimate within the specified time but has submitted all required documents.
- The district has been advised by the Division of Construction field coordinator to proceed.

Refer to Section 5-406, "Claims Resolution Process," of this manual for more information. As soon as the district approves the final estimate, they must use a transmittal letter. The letter must state the following: "Submitted herewith in accordance with Section 9-1.17D(3), 'Final Determination of Claims,' of the *Standard Specifications* is a copy of the final estimate for your Contract Number X."

A copy of the transmittal letter must be sent to the resident engineer to be retained in the project files.

The district transmits only the final estimate because the disbursing office of the Division of Accounting will mail to the contractor the corresponding copy of the progress payment voucher.

3-907D (1) Material to Submit with the Final Estimate

Before payment of a final estimate, the Division of Construction progress pay staff must make sure that administrative details have been completed. For this purpose, the district must forward the following data before or with all final estimates:

- Submit the proposed final estimate as originally submitted to the contractor, including transmittal letters.
- Submit the Acceptance Statement returned by the contractor. If the contractor has refused to sign the statement, submit it with an explanation of the contractor's refusal.
- Submit a transmittal letter containing, but not limited to, the following:
    - A list of the forms and attachments being transmitted or an explanation for why a form or attachment is missing. Include letters from the Division of Construction authorizing the submittal of the final estimate without certain documents and stating the action taken or to be taken because of the missing documents.
    - A statement about the use of materials agreements. If there are no materials agreements, state this.
    - A statement that reduced prints of all shop drawings for highway bridges and railroad bridges have been received from the contractor. If such drawings are not required, please state so.
    - Correspondence or documents explaining or authorizing the differences between the proposed final estimate and the final estimate.
    - Form DOT CEM-2402F, "Final Report—Utilization of Disadvantaged Business Enterprises and All First-Tier Subcontractors."

3-907E Payment Offset

A payment offset is a method of obtaining monies due to Caltrans on one contract by levying against future payments being made to a contractor on another Caltrans contract. Offsets may be taken to obtain adequate funds for any amount due and for determinations made by an arbitrator. The offset process should be completed within 90 calendar days of contract acceptance except when an offset for a determination by an arbitrator is required.

Many stakeholders are involved in the payment offset process. The following should be considered when choosing an active contract to apply an offset against:

- There should be sufficient payments pending.
- It should be bonded by the same bonding company if possible.
- It should be administrated within the same district.

To begin the payment offset process, send a letter to the contractor, bonding company, and offset bonding company. The contractor and the bonding companies have 20 calendar days from receipt of the letter to request a meeting to discuss the offset.

If the contract or bonding companies do not request a meeting, execute the offset. If a meeting is requested, a meeting will be held within 10 calendar days of receipt of the request. The meeting is conducted by the district director or as delegated to a supervising transportation engineer or higher.

The resident engineer prepares a summary of the facts, minutes of the meeting, and a final determination report. If the offset is warranted, notify the district administering the contract being offset, the contractor, and bonding companies of the final determination, and the amount of the offset. If the contractor or the bonding companies do not request a hearing, execute the offset. If the hearing officer determines that an offset is not warranted, continue through the collections process administered by the Division of Accounting. The Division of Accounting executes only those offsets authorized by the Division of Construction.

3-908 Arbitration

If the contractor has diligently pursued and exhausted the administrative procedures specified in the contract for Minor A projects and major projects, the contractor is entitled to file for arbitration of its claims 240 days after contract acceptance even if the district director final determination of claims has not been issued.

The Caltrans Legal Division handles all construction contract arbitrations. Refer to Section 5-412, “Arbitration,” of this manual for more information.

Subject: Proposed Final Estimate

In accordance with the provisions of Section 9-1.17D(1), "General," of the *Standard Specifications*, attached is a proposed final estimate for

_____ _____

(Contract) (District County Route Postmile)

Please review the proposed final estimate and, if satisfactory, indicate your approval in the space provided on the attached Acceptance Statement. Return 3 copies of the Acceptance Statement to this office. Keep 1 copy for your files.

Please note the following portion of Section 9-1.17D(1), "General," of the *Standard Specifications*, which states:

"If you accept the proposed final estimate or do not submit a claim statement within 30 days of receiving the estimate, the Engineer provides you the final estimate and the Department pays the amount due within 30 days. This final estimate and payment is conclusive except as specified in (*Standard Specifications*) sections 5-1.27, 5-1.47, and 9-1.21.

If you submit a claim statement within 30 days of receiving the Engineer's proposed final estimate, the Engineer provides you a semifinal estimate and the Department pays the amount due within 30 days. The semifinal estimate is conclusive as to the amount of work completed and the amount payable except as affected by any claims or as specified in sections 5-1.27, 5-1.47, and 9-1.21."

Your promptness in returning the signed copies, indicating your approval, will expedite payment of the final estimate. Alternatively, a signed qualified approval by reason of a written statement of claims will expedite payment of a semifinal estimate. A statement of claims must include a signed declaration containing the language required in Section 9-1.17D(2)(c), "Declaration," of the *Standard Specifications*.

If claims are submitted in connection with this contract, you will be expected to comply fully with Section 9-1.17D(2), "Claim Statement," of the *Standard Specifications*. The Engineer will base their determination of claims upon the investigation of your statement, in which you are expected to present your position fully as to the contractual basis of the claim; compliance with contract requirements such as Sections 5-1.43, "Potential Claims and Dispute Resolution," subsections A through D; and 9-1.17D, "Final Payment and Claims," of the *Standard Specifications*, if applicable; a breakdown of the total amount claimed; and all other information you consider to be in support of your claim.

As further provided in Section 9-1.17D(1), "General," of the *Standard Specifications*, in case neither approval nor a statement of claims is received, postmarked or hand delivered, before the 31st day, a final estimate in the amount of this proposed final estimate will be issued. Your date of receipt of this proposed final estimate establishes the beginning of the specified 30 days.

You are reminded that failure to comply with the contractual claim procedures, including specified timeframes thereto, is a bar to arbitration under Public Contract Code Section 10240.2.

Sincerely,

District Construction Office

Figure 3-9.2. Form Letter for Submitting Proposed Final Estimate to the Contractor

ACCEPTANCE STATEMENT

[Date]

XX-XXXXXX (Expenditure Authorization Number)
[Contractor Company Name]
[Street Address]
[City, State, Zip Code]

I have examined the quantities of bid items and amounts indicated as payment for extra work and the deductions on the proposed final estimate dated _____. I agree to accept the total of $_____ as indicated, as the total amount earned for all work performed on this contract, unless described as an exception.

_____
Contractor
(company name)

Exceptions (check 1)

_____
By
(print first and last name)

[ ] None
[ ] As indicated in the attached letter dated _____

_____
Signature

_____
Title

_____
Date

Figure 3-9.3. Acceptance Statement Form (Attachment to Proposed Final Estimate Transmittal Letter)

PROGRAM CAS145 PAGE 1
DATE 06/13/12 STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION 04-888884
TIME 10:46 AM ESTIMATE NO. 29
BID OPENING 11/10/09 P R O J E C T R E C O R D - E S T I M A T E WORK PERFORMED THROUGH 05/21/12
R.E. NAME: MAYA, TYKE DATE OF THIS ESTIMATE 06/13/12
LOCATION PROPOSED FINAL ESTIMATE
04-SON-128-41.8/44.7

COASTAL MOUNTAIN CONSTRUCTORS, INC.
8884 GOLDENEYE COURT
SANTA ROSA, CA 95402

IN SONOMA COUNTY ABOUT 9 KM EAST OF PETALUMA FROM ADOBE ROAD TO 0.2 KM WEST OF ARNOLD DRIVE

FED. AID NO. ACHS-P128(42)E ,STP-P128(42)E

CONSTRUCT RETAINING WALLS

ITEM NO.	ITEM DESCRIPTION	UNIT	CONTRACT PRICES	ORIGINAL AUTH. AMT	THIS ESTIMATE QUANTITY	THIS ESTIMATE $ AMOUNT	TOTAL ESTIMATE QUANTITY	TOTAL ESTIMATE $ AMOUNT
001	PROGRESS SCHEDULE (CRITICAL PATH METHOD)	LS	2,500.0000	2,500.00			0.900	2,250.00
002	SMALL BUSINESS UTILIZATION REPORT	EA	250.0000	2,250.00			6.000	1,500.00
003	TIME-RELATED OVERHEAD	WDAY	410.0000	180,400.00			440.000	180,400.00
004	TEMPORARY FENCE (TYPE BW)	M	8.2000	30,094.00			3,844.860	31,527.85
005	TEMPORARY FENCE (TYPE ESA)	M	6.2000	11,718.00			1,986.150	12,314.13
006	TEMPORARY SHORING	M2	137.0000	104,120.00			44.400	6,082.80
007	TEMPORARY CREEK DIVERSION SYSTEM (LOCATION 1)	LS	16,000.0000	16,000.00			1.000	16,000.00
008	TEMPORARY CREEK DIVERSION SYSTEM (LOCATION 2)	LS	18,500.0000	18,500.00			1.000	18,500.00
009	TEMPORARY CREEK DIVERSION SYSTEM (LOCATION 3)	LS	16,000.0000	16,000.00			1.000	16,000.00
010	TEMPORARY CREEK DIVERSION SYSTEM (LOCATION 4)	LS	23,000.0000	23,000.00			1.000	23,000.00
011	TEMPORARY CREEK DIVERSION SYSTEM (LOCATION 5)	LS	16,000.0000	16,000.00			1.000	16,000.00
012	TEMPORARY CREEK DIVERSION SYSTEM (LOCATION 6)	LS	23,000.0000	23,000.00			1.000	23,000.00
013	CONSTRUCTION SITE MANAGEMENT	LS	2,500.0000	2,500.00			1.000	2,500.00
014	PREPARE STORM WATER POLLUTION PREVENTION PLAN	LS	2,500.0000	2,500.00			0.905	2,262.50
015	TEMPORARY SILT FENCE	M	8.0000	35,040.00			4,507.200	36,057.60
016	TEMPORARY GRAVEL BAG BERM	M	5.5000	14,080.00			295.000	1,622.50
017	TEMPORARY CONSTRUCTION ENTRANCE	EA	1,700.0000	10,200.00			15.000	25,500.00
018	TEMPORARY COVER	M2	3.1000	7,967.00			988.000	3,062.80
019	TEMPORARY CHECK DAM	M	6.4000	832.00			1,457.000	9,324.80
020	MOVE-IN/MOVE-OUT (TEMPORARY EROSION CONTROL)	EA	825.0000	4,950.00			9.000	7,425.00
021	TEMPORARY DRAINAGE INLET PROTECTION	EA	118.0000	7,080.00			70.000	8,260.00
022	TEMPORARY HYDRAULIC MULCH (BONDED FIBER MATRIX)	M2	0.7500	12,900.00			48,149.850	36,112.39

Figure 3-9.4. Sample of the Proposed Final Estimate

```
PROGRAM CAS145   S C H E D U L E   O F   E X T R A   W O R K    PAGE NO.  1
DATE 06/13/12                                                   EST. NO.29
TIME 10:46 AM
R.E. NAME: MAYA, TYKE                                      04-888884
------------------------------------------------------------------------------
CCO REPORT       REPORT TYPE OF WORK(+) WORK  BR CONTR
NO. NUMBER       AMOUNT PERFORMED   (-) DATE  WK RPT.NO C O M M E N T S
------------------------------------------------------------------------------
001 0583           299.24 E.W. @ F.A.(+) 050312 N 1039.0
    0584         1,040.25                050312 N 1040.0
    0585         2,005.32                051512 N 1045.0
010 0103        16,640.84 A.C. @ U.P.(+) 123111 N 100RS0
035 0003         5,742.24 E.W. @ F.A.(+) 061411 N 0662.0
054 0005        21,651.92 E.W. @ F.A.(+) 121911 N ABL2 0
058 0003           629.20 E.W. @ F.A.(+) 050112 N 1041.0
               48,009.01  TOTAL THIS ESTIMATE
            2,518,826.34  TOTAL PREVIOUS ESTIMATE
            2,566,835.35  TOTAL TO DATE
```

Figure 3-9.5. Sample Schedule of Extra Work

```
PROGRAM CAS145   S C H E D U L E   O F   D E D U C T I O N S    PAGE NO.  1
DATE 06/13/12                                                   EST. NO.29
TIME 10:46 AM
R.E. NAME: MAYA, TYKE                                      04-888884
------------------------------------------------------------------------------
DEDUCTION DESCRIPTION          AMOUNT  EST          THIS          TOTAL
                                       NO.       ESTIMATE       ESTIMATE
------------------------------------------------------------------------------
ADMINISTRATIVE
RESTAKING CHARGE REQ 62     -1,065.00   18
RESTAKING CHARGE REQ 65     -1,065.00   22
                                                      0.00       -2,130.00
LABOR COMPLIANCE VIOLATION
MISSING PAYROLLS           -10,000.00   20
RETURN PAYROLL DEDUCTION    10,000.00   21
MISSING PAYROLLS           -10,000.00   29
                                                -10,000.00      -10,000.00
                       TOTAL DEDUCTIONS         -10,000.00      -12,130.00
```

Figure 3-9.6. Sample Schedule of Deductions

Chapter 5 Contract Administration

Section 0 Conduct of the Work

5-001 Resident Engineer's Pending File
5-002 Preconstruction Conference With Caltrans Personnel
5-003 Preconstruction Conference With the Contractor
5-004 Resident Engineer's Daily Report
5-005 Assistant Resident Engineer's Daily Report
5-006 Maintenance Reviews
5-006A Start of Work Review
5-006B 50 Percent Review
5-006C 90 Percent Review
5-006D Final Inspection Review
5-007 Federal Highway Administration Involvement in Contract Administration
5-007A Federal Highway Administration Involvement on Delegated Projects—E

Chapter 5 Contract Administration

Section 0 Conduct of the Work

5-001 Resident Engineer's Pending File

For guidance and information, the project engineer assembles and forwards to the resident engineer a set of letters, memorandums, and other data titled "resident engineer's pending file." This file must contain all pertinent information, comments, and advice that may be useful on the specific project to which the resident engineer is assigned. A detailed list of the information that should be included in the resident engineer's pending file is contained in Chapter 15, "Final Project Development Procedures," of the *Project Development Procedures Manual*. The file typically includes the following:

- Memorandums between programs, service centers, and districts, especially comments about preliminary reports and dummy special provisions.
- Special requirements that are enumerated in the freeway agreement and that may require action by the resident engineer. For instance, a special requirement may be notification of the date work begins on locally owned facilities.
- Memorandums about materials from the Materials Engineering and Testing Services (METS) or the district Materials Unit.
- Copies of right-of-way agreements that require work to be done under the contract or that affect the project's construction.
- Copies of Form DOT RW 13-04, "Notice to Owner," which covers utilities and their completion status.
- Copies of the partially completed Form FA-2134, "Utility Account Action Request," which the resident engineer will use for the installation and coordination of utility services.
    - Forward this form to the Division of Accounting and the district signals and lighting coordinator.
    - If there is no form, and the plans have utilities, contact the district signals and lighting coordinator to confirm proper procedures are followed.
    - This form is available at:

      http://cefs2.dot.ca.gov/jsp/forms.jsp
- Copies of correspondence giving the background of any unusual project features.
- All pertinent engineering data previously prepared in connection with the project. This data should include the project engineer's quantity calculations.
- Copies of the project report, preliminary report, and materials reports.
- A copy of the "materials information" as given to prospective bidders.

- A copy of the environmental document, including any permits, agreements, and commitments.
- A separate summary of all environmental commitments, as well as any special instructions or explanations for meeting permit and other legal requirements and commitments to other agencies.
- A copy of the risk register that documents potential construction problems.
    - Additional information is available to Caltrans staff in the *Project Risk Management Handbook.*
        - The handbook can be accessed by visiting the Division of Project Management internal Onramp webpage, selecting the “Sitemap” link at the bottom of the page, selecting “R” from the A to Z Site Listing, then selecting “Risk Management.”

The resident engineer must consult with the project engineer who forwarded the file, if the file has any of the following problems:

- Information appears to conflict
- Information appears to be incomplete
- Additional details or explanations are required

5-002 Preconstruction Conference With Caltrans Personnel

Before the start of construction, the resident engineer should review the job with relevant staff and stakeholders such as:

- Project manager
- Project engineer
- Right-of-way agent
- Hydraulics engineer
- Traffic engineer
- Materials engineer
- Maintenance superintendent
- Maintenance engineer
- Environmental construction liaison
- Construction stormwater coordinator
- Environmental planner
- Public information officer
- Landscape architect
- Local agencies and communities
- Affected utility companies
- Others who may have a direct interest in the project

At this preconstruction stage, such a review will significantly aid in explaining the reasons for certain design features such as:

- Right-of-way obligations
- Signs and traffic-handling difficulties
- Materials sites
- Selected material
- Foundation treatment
- Potential slides
- Environmental commitments
- Potential drainage and maintenance problems, including erosion control and water pollution

The resident engineer must verify implementation of environmental mitigation measures included in the project approval. To be fully informed of the environmental mitigation measures, commitments, or concerns on projects that are related to environmental commitments, the resident engineer must review the environmental commitment record and meet with the assigned environmental staff. At the same time, the resident engineer can reach agreement on both the assistance required from environmental specialists, and the tentative schedule and plan for environmental monitoring.

On projects involving Structure Construction personnel, preconstruction conferences are mandatory and should be held as soon as possible after bids are opened. The conferences should include structure and construction engineers, the resident engineer, and the structure representative. These personnel should reach agreement regarding the following items:

- Office facilities
    - The district must provide suitable office space and furniture for both district and structure field personnel. When the office facilities are trailers, the resident engineer and structure representative should occupy the same trailer. When the office facilities are in a building, the engineer and the representative should occupy adjacent rooms. This arrangement facilitates the assignment of the structure representative as acting resident engineer during extended absences of the assigned resident engineer.
- Personnel for the total work
    - Conference participants must discuss the total work, including road work and structure work, and take advantage of instances in which people could be used interchangeably to reduce the number of people on the project. When the contractor’s schedule is available, meeting participants must review the personnel required.

- Division of the work
    - The items should be categorized as road work and structure work. In some cases, the item may be divided by portions of items or by phases of the work. Before the start of work, Structure Construction requires from the structure representative a written report on this categorization of the work.

5-003 Preconstruction Conference With the Contractor

Before the start of work, a conference must be held. Depending on the project's complexity, more than one conference may be desirable to limit the scope and the number of individuals attending. The conference participants must include the:

- Resident engineer.
- Structure representative.
- Principal assistants.
- Construction engineer.
- District Construction deputy director.
- Contractor's superintendent.
- Key personnel.
- Appropriate specialists, such as the district Labor Compliance officer and the district safety coordinator.

Alternatively, the resident engineer may cover the respective responsibilities. When environmental commitments have been made that affect or constrain the contractor's operations, the environmental-construction liaison and other appropriate environmental specialists should attend the preconstruction conference with the contractor. Meeting participants should discuss, among other items, the following:

- Work plans
- Contingency plans
- Equipment to be used
- Progress schedule
- Layout of job
- Labor compliance
- Equal employment opportunity
- Safety requirements
- Temporary pedestrian access routes
- Americans with Disabilities Act (ADA) requirements for permanent pedestrian facilities
- Environmental commitments and permits
- Water pollution control requirements

- Job-produced materials quality control and acceptance testing
- Buy America requirements
- Buy Clean California Act requirements
- Progress payment process

The meeting discussion affords both parties a common understanding of the proposed work and the problems and possible solutions that may be expected during the life of the contract.

The contractor should receive notice of the items that will be discussed. Among other documents, the contractor must bring a copy of the contractor's *Code of Safe Practices* and a water pollution control plan. The project file must contain a record of the conferences or the reason for omitting a conference. Depending on the conference's complexity, the record can be a relatively complete set of minutes or a copy of the resident engineer's daily report.

The police, fire department, public transportation agency, schools, and other affected agencies should receive any information developed from the meetings that will affect these agencies' operations.

The following list presents guidelines for the preconstruction conference. These are reminders only. Items will be included if applicable to a specific project. Also consider any previous experience of a particular contractor with Caltrans projects when providing details on these topics. The district Construction office may also complete some of the items, and those items need not be included at the conference.

- Introduce all participants, including in your introduction statements about each person's responsibilities for the project.
- Discuss superintendence as well as lines of authority for both contractors and California Department of Transportation (Caltrans) personnel. If you have not yet received it, request the written information required by Section 5-1.16 "Representative," of the *Standard Specifications*.
- Discuss the subcontracting requirements covered in Section 5-1.13, "Subcontracting," of the *Standard Specifications*.
- Discuss railroad insurance, when required by the special provisions.
- Discuss requirements related to labor compliance and equal employment opportunity.
    - Advise the contractor of the deadlines for submitting payrolls and other required documents.
    - Advise the contractor of the contractual and administrative deductions that will be applied for noncompliance.
    - Provide the necessary Caltrans-furnished forms and posters.
- Review the contract's safety requirements.

- Discuss the requirements that pedestrian access must be provided when construction activities require the closure of an existing pedestrian route:
  - The contractor must provide notice 5 business days before closure.
  - The temporary pedestrian access route (TPAR) must be inspected for compliance with ADA standards before allowing use.
  - The contractor must submit a work plan for a TPAR if the contract does not have a bid item for a TPAR.
- For pedestrian facilities, discuss the following:
  - Every pedestrian facility constructed on the project will be inspected.
  - Dimensions and slopes of the completed facilities must meet those specified or the work may have to be removed and replaced.
  - Pre- and post-construction survey requirements for pedestrian facilities when identified in the contract by a survey bid item.
- Advise the contractor that contract administration forms are available on the Division of Construction website.
- Discuss the procedure for inspecting materials, particularly the early submittal of Form DOT CEM-3101, “Notice of Materials to Be Used.”
- When the contract requires, discuss the contractor’s quality control plans.
- Discuss the communication of job-produced materials quality-control testing and acceptance testing, including:
  - Identification of high-priority tests.
  - Shipping samples.
  - Lines of communication for test results.
  - Timeframes for reporting quality control and acceptance test results.
  - Any contractual testing dispute resolution processes.
- Discuss the requirements for submitting working drawings.
- Discuss the progress schedule requirements including provisions for submitting, reviewing, updating, and revising schedules. Refer to Section 3-801, “Schedule,” of this manual.
- Discuss weighing procedures, weight limitations, and the Caltrans policy on overloads. For more information, refer to Section 3-519B, “Load Limits,” of this manual.
- Discuss the progress payment process:
  - Advise the contractor of administrative procedures and deadlines for payment for materials on hand, which must be submitted on Form DOT CEM-5101, “Request for Payment for Materials on Hand.”

- Discuss specification requirements for force account, contractor force account work report documentation, and submittal of change order bills on or before the 15th day of the month.
- Discuss the resident engineer's role in:
  1. Submitting change order bills for extra work at agreed price and payment adjustments.
  2. Reviewing contractor's submitted change order bills.
  3. Revision of bills to match Caltrans records, if necessary.
  4. Approval of both undisputed and revised bills by the 20th of the month.
- Discuss withholds for progress, performance failure, stop notice, or penalty and deductions for administrative, equal employment opportunity, labor compliance violation, or liquidated damages.

- Discuss the optional collaborative progress payment process in Section 3-906, "Progress Payments," of this manual:
  - Determine if the contractor will participate.
  - Share the location of the progress payment schedule cut-off date table at:

    https://dot.ca.gov/programs/accounting
- Discuss the requirements for submitting survey requests and any significant survey issues.
- Review the contract provisions about water pollution control. Discuss the contractor's water pollution control plan.
- Review the contract provisions and the environmental commitments record for environmental permits and agreements. Discuss the contractor's plan for implementing environmental commitments and environmental work windows.
- Remind the contractor to submit a program to control water pollution before beginning work.
- Discuss the requirements for handling public traffic.
- Discuss any unusual project features, including safety issues such as public health conditions you or the contractor may be aware of.
- Remind the contractor of the contractual procedures to follow in the event of disagreements.
  - Emphasize the necessity for timely written notices and required submittal of completed:
    - Form DOT CEM-6201D, "Initial Potential Claim Record."
    - Form DOT CEM-6201E, "Supplemental Potential Claim Record."
    - Form DOT CEM-6201F, "Full and Final Potential Claim Record."

- Discuss the scheduling of utility work. For a discussion of utility preconstruction conferences, refer to Section 3-518C, “Nonhighway Facilities,” of this manual.

5-004 Resident Engineer’s Daily Report

The following instructions are directed to the resident engineer:

- For each day during the project’s life, make a daily report in the Project Data Management System (ProDMS) “Daily Reports” section. This will produce a completed Form DOT CEM-4501, “Resident Engineer’s Daily Report Assistant Resident Engineer’s Daily Report.”
- Include any information that may be pertinent even though no activity may have occurred. For example, such information could include support for determining working or nonworking days.
- Include the following in the daily report:
    - Important discussions and agreements with the contractor. Record these on the day discussed. Give the names of specific persons to whom instructions were given or with whom agreements were made. If the contractor objects or comments, note these items, too. Actual quotations on significant discussion points can be useful. Through letters to the contractor, confirm important verbal instructions. Also refer to Section 5-4, “Disputes,” of this manual.
    - A general statement about the type of work done. Include the controlling operation and any facts concerning the work’s progress.
    - Weather conditions such as maximum and minimum temperatures and precipitation, among other items. Expand on exceptional weather conditions.
    - Statements of any other important facts pertaining to the contract that are not specifically covered elsewhere in the contract records.
- Keep the report concise yet include any important information. The report should not contain routine matters, such as quantities placed, that can be found in other records.

Distribute and store the daily report as follows:

- Store reports electronically in FalconDMS, according to Section 5-102, “Organization of Project Documents,” of this manual.
- For projects initiated before July 1, 2021, and not using FalconDMS, retain the original of all reports in the project files in the field office.
- Adhere to district policy for any specific distribution requirements outside the electronic filing system.
- For ProDMS users with projects established in FalconDMS, the Resident Engineer’s Daily Report will be filed automatically.

If the ProDMS application or website is unavailable, paper forms may be used as an interim measure for data capture. Daily Reports completed on paper follow standard procedures and must be promptly entered into ProDMS once the system is restored.

5-005 Assistant Resident Engineer's Daily Report

To report the activity for a contract item or extra work, assistant resident engineers must submit a report for each contract day. Create a daily report in the ProDMS "Daily Reports" section, CEM-4601, "Assistant Resident Engineer's Daily Report." The ProDMS "Daily Reports" section includes narrative and tabular sections for recording item-specific work descriptions, general comments, labor, equipment, photographic records, and tentative agreements. All names and work durations must be recorded accurately because they may be used for labor compliance verification and verification of any disadvantaged business enterprises' disabled veteran business enterprises', or small businesses' performance of work.

The narrative portion of the assistant resident engineer's report must include statements about the contractor's operation and the activities of the individual preparing the report. The description of the contractor's operation must include the following:

Item Specific Work Description

- The location of the work performed
- A brief description of the operation
- Potential claim issues
- Tests performed
- Photographs
- Differing site conditions
- The quantities placed or the amount of work completed for the day

General Comments

- Safety issues and resolution
- Significant statements by the contractor not related to any item-specific work
- Site visits from regulatory agencies

The statement of the assistant resident engineer's activities must be sufficient to demonstrate the performance of duties such as those outlined in Chapter 4, "Construction Details," of this manual. Record observations of contractor compliance or noncompliance, actions taken, statements made to the contractor, and approvals given.

Use the tabular portion of Form DOT CEM-4601, to report the following:

- Extra work. For details, refer to Section 3-906C, "Extra Work," of this manual.
- Hours worked by labor and equipment.
    - Provide sufficient detail to permit a review of the contractor's costs in a manner similar to force account.

- Using the publication titled *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)*, sufficiently identify equipment to enable the determination of applicable rental rates.
- Sufficiently identify the labor classification to enable determination of the appropriate wage rate.
- Record the equipment's arrival and departure dates, as well as idle time for breakdowns or other reasons. This information can be used to make a possible adjustment of compensation because of an overrun or an underrun of quantities, a change in character, a protest, or a potential claim.
- The *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book is available at:

  https://dot.ca.gov/programs/construction/equipment-rental-rates-and-labor-surcharge

- The name of the contractor or subcontractor performing the work.
  - Daily reports are used to verify compliance with the contract's labor provisions. Include the names or identification numbers of the contractor's personnel in each report or report them separately.

The photographic records associated with the assistant resident engineer's report should capture:

- Progress of work.
- A visual representation of the description of work and items of work.
- Specific incidents or issues, such as accidents, safety issues, lane closure signage, and demarcation errors.
- Description, date, and time of the photograph.

Promptly send the assistant resident engineer daily report to the resident engineer, who will review it. After the review, distribute and store the assistant resident engineer's reports as follows:

- Store reports electronically in FalconDMS, according to Section 5-102, "Organization of Project Documents," of this manual.
- For projects initiated before July 1, 2021, and not using FalconDMS, retain all the original reports in the project files in the field office.
- Adhere to district policy for any specific distribution requirements outside the electronic filing system.
- For ProDMS users with projects established in FalconDMS, the Assistant Resident Engineer's Daily Report will be filed automatically after the resident engineer's review and acceptance.

Refer to Section 5-102 for details to consider when establishing a system for filing assistant resident engineer's reports on a specific project.

If the ProDMS application or website is unavailable, paper forms may be used as an interim measure for data capture. Daily Reports completed on paper follow standard procedures and must be promptly entered into ProDMS once the system is restored.

5-006 Maintenance Reviews

The resident engineer must conduct reviews with Maintenance during a project. The reviews must be scheduled at the start of work, at 50 percent completion, at 90 percent completion, and at final inspection. Document these reviews in the resident engineer's daily report.

5-006A Start of Work Review

Before the start of construction, send a copy of Form DOT CEM-0101, "Resident Engineer's Report of Assignment," to the Maintenance superintendent. Provide the Maintenance superintendent an opportunity to review the contract with the resident engineer within the first 2 weeks of construction. The intent of this field review is to:

- Review the submitted Form DOT CEM-0101, "Resident Engineer's Report of Assignment."
- Review the site.
- Discuss the scope of the project.
- Identify locations of existing Caltrans irrigation, electrical and other underground facilities.
- Discuss contingency planning for traffic management.
- Discuss Caltrans' maintenance responsibility as described in Section 3-519, "Maintenance and Protection," of this manual.
- Discuss construction activities that could affect adjacent maintenance operations—possible winter or long-term suspensions and the conditions under which Caltrans Maintenance forces will assume responsibility. For more information, refer to Section 3-805, "Suspensions," of this manual.

5-006B 50 Percent Review

When the contract work is about 50 percent complete, schedule a maintenance review, unless both Construction and Maintenance representatives agree the review is unnecessary.

5-006C 90 Percent Review

When the contract work is about 90 percent complete, invite the Maintenance superintendent for a complete field review of the project. The intent of this field review is to:

- Identify items that are not complete or changes that Maintenance requests.
    - The resident engineer should work closely with the district Maintenance personnel to make minor field adjustments to the project.
    - The project manager must approve any changes to the contract plans or specifications that significantly affect project cost, scope, or schedule.

- Identify items necessary to comply with the construction National Pollutant Discharge Elimination System permit. A copy of the permit is available at the State Water Resources Control Board website at:

  https://www.waterboards.ca.gov/water_issues/programs/npdes/
- Complete Form MTCE-0023, "Construction to Maintenance 90% BMP Completion Walkthrough," with the Maintenance superintendent or the district Maintenance stormwater coordinator.
  - Using this form will assist in identifying, discussing, and documenting the project elements while noting their functionality and communicating any specific instruction related to maintaining them.
  - Examples of project elements are:
    - Structural treatment best management practices.
    - Drainage systems.
    - Permanent erosion and sediment controls.
  - Form MTCE-0023 is available to Caltrans staff by clicking on "Forms" at the top of the Onramp homepage.

This review should provide the resident engineer with sufficient time to correct deficiencies before contract acceptance and verify that elements are constructed in accordance with the project's plans and specifications.

5-006D Final Inspection Review

Just before construction contract acceptance and in accordance with Section 3-523, "Final Inspection and Contract Acceptance," of this manual, the resident engineer must schedule a final inspection with Maintenance.

The intent of this review is to:

- Make sure that issues identified in the 90 percent review are complete.
- Update Form MTCE-0023 to reflect changes and corrective actions implemented since the 90 percent review.
- Facilitate the transfer of maintenance responsibility from the contractor to Caltrans Maintenance staff.
- Discuss new or modified maintenance requirements.
- Discuss features requiring special attention.
- Discuss manufacturers' warranties and service instructions.
- Discuss guarantee provisions of the contract. See Section 3-524, "Guarantee," of this manual.
- Discuss the transfer of utility service payment to Maintenance.

Both the resident engineer and the Maintenance representative must sign Form MTCE-0023 when they have completed their final inspection. File a copy of the form

in Category 63, “Project Completion Documents,” and send copies to the district pollutant discharge coordinator, district Design stormwater coordinator, and district Construction stormwater coordinator. The Maintenance representative will maintain the original and is responsible for sending a copy to the Maintenance region manager.

5-007 Federal Highway Administration Involvement in Contract Administration

The Federal Highway Administration (FHWA) risk-based project involvement process identifies certain federal-aid projects for which FHWA’s involvement will be defined and documented in the project stewardship and oversight plans.

When assigned the responsibility for a construction contract, the resident engineer first must determine if it is a federal-aid contract and, if so, the federal-aid classification for the contract. The resident engineer should review the construction contract and the resident engineer’s pending file, and talk to the project manager to determine the project’s federal-aid classification.

FHWA-funded projects are classified as delegated projects to indicate their involvement in the project as stated in the *Stewardship and Oversight Agreement on Project Assumption and Program Oversight* between FHWA and Caltrans. Information on this stewardship agreement is available to Caltrans staff by visiting the Division of Budgets internal Onramp webpage, selecting the “Sitemap” link at the bottom of the page, selecting “F” in the A to Z Site Listing, and selecting the link “FHWA Oversight.”

Caltrans assigns project numbers to federally funded projects, and Caltrans and FHWA jointly determine project classifications. Caltrans then adds a suffix “E” to the end of the project number. Projects with the suffix “E” are delegated projects.

5-007A Federal Highway Administration Involvement on Delegated Projects—E

Caltrans is responsible for all federal approvals and oversight requirements on delegated projects. Resident engineers are not formally required to communicate with the FHWA transportation engineer except for Buy America changes. Information on Buy America requirements and FHWA involvement can be found in Section 3-604, “Buy America,” of this manual. FHWA has delegated to Caltrans some of FHWA’s authority and responsibility for compliance with the National Environmental Policy Act and other environmental laws. Resident engineers should review the project environmental documents and discuss with the district environmental-construction liaison to determine if FHWA involvement is necessary when there are changes to the environmental requirements for the project. Informal discussions with FHWA for technical guidance are encouraged.

Caltrans receives federal-aid funds indirectly from the California Office of Traffic Safety. Construction projects with a federal-aid number and Office of Traffic Safety designation contain the same special provisions as delegated projects. The same procedures apply to traffic safety projects as delegated projects.

Chapter 5 Contract Administration

Section 1 Project Records and Reports

5-101 Forms Used for Contract Administration

5-101A General

5-101B Construction Forms

Form DOT CEM-0101	Resident Engineer's Report of Assignment
Form DOT CEM-0501	Relief from Maintenance
Form DOT CEM-0602	Project Safety Program Statement
Form DOT CEM-0603	Construction Incident Notification
Form DOT CEM-0604	Project Safety Review or Meeting
Form DOT CEM-0606	Construction Safety Checklists
Form DOT CEM-0612	Work Zone Category 1 Temporary Traffic Control Device Certificate of Crashworthiness
Form CEM-0805	Automated Machine Guidance Project Selection Criteria and Feasibility Decision Document
Form CEM-1161	Request for Approval Public Interest Finding
Form DOT CEM-1201	Subcontracting Request
Form DOT CEM-1202A	Contractor Action Request—Change of Name/Address
Form DOT CEM-1202B	Contractor Action Request—Assignment of Contract Monies, Assignee Change of Name/Address
Form DOT CEM-1203	Contractor Action Request—Assignment of Contract Performance
Form DOT CEM-1211	Renewable Diesel Report
Form DOT CEM-1301	Construction Work Zone Speed Limit Reduction Determination
Form DOT CEM-1302	Construction Work Zone Positive Protection Determination
Form DOT CEM-1303	Positive Work Zone Protection Supplement
Form DOT CEM-1901	Burial Location of Soil Containing Aerially Deposited Lead
Form DOT CEM-1902	Burial Location of Soil Containing Naturally Occurring Asbestos
Form DOT CEM-1903	Burial Location of Soil Containing Aerially Deposited Lead (Topographic Survey)
Form DOT CEM-1904	Agreement Between a Contractor Working on State Facilities and a Real Property Owner for Disposing Construction-Related Material on Commercial Zoned Property Owner's Property

Form DOT CEM-1906	Agreement Between a Contractor Working on State Facilities and a Real Property Owner for Disposing Construction-Related Material Suitable for Use on Residential Zoned Property
Form DOT CEM-2006SW	Legally Responsible Person Authorization of Duly Authorized Representative
Form DOT CEM-2006T	Legally Responsible Person Authorization of Approved Signatory—Lake Tahoe Hydrologic Unit
Form DOT CEM-2008SW	SWPPP or WPCP Amendment Certification and Acceptance
Form DOT CEM-2009SW	SWPPP or WPCP Amendments Log
Form DOT CEM-2020SW	Qualified Stormwater Pollution Prevention Plan Practitioner (QSP) Delegate Training Record
Form DOT CEM-2023SW	Stormwater Training Record
Form DOT CEM-2024SW	Stormwater Training Log—Optional
Form DOT CEM-2030SW	Stormwater Site Inspection Report
Form DOT CEM-2031T	Daily Stormwater Site Inspection Report—Lake Tahoe Hydrologic Unit
Form DOT CEM-2032SW	Permanent Erosion Control Establishment (PECE) Report
Form DOT CEM-2033SW	Dewatering Operations Sampling Report
Form DOT CEM-2035SW	Stormwater Corrective Actions Summary
Form DOT CEM-2035T	Stormwater Corrective Actions Summary—Lake Tahoe Hydrologic Unit
Form DOT CEM-2045T	Rain Event Action Plan—Lake Tahoe Hydrologic Unit
Form DOT CEM-2051SW	Storm Event SWPPP Sampling Log
Form DOT CEM-2052SW	Storm Event Sampling or Receiving Water Monitoring Report
Form DOT CEM-2061SW	Notice of Discharge Report
Form DOT CEM-2061T	Notice of Discharge Report—Lake Tahoe Hydrologic Unit Stormwater Sample Field Test Report/Receiving Water Monitoring Report
Form DOT CEM-2062SW	Numeric Action Level Exceedance Report
Form DOT CEM-2062T	Numeric Action Level Exceedance Report—Lake Tahoe Hydrologic Unit
Form DOT CEM-2063SW	Numeric Effluent Limitation Violation Report
Form DOT CEM-2063T	Numeric Effluent Limitation Violation Report—Lake Tahoe Hydrologic Unit
Form DOT CEM-2075SW	Project Stormwater Annual Report
Form DOT CEM-2075T	Project Stormwater Annual Report—Lake Tahoe Hydrologic Unit

Form DOT CEM-2080SW	Stormwater Change of Information (COI)
Form DOT CEM-2090SW	Stormwater Notice of Termination and Final Stormwater Inspection Report
Form DOT CEM-20DCONSW	Contractor Stormwater Personnel Training Record
Form DOT CEM-2101	COZEEP Daily Report
Form DOT CEM-2102	COZEEP/MAZEEP Task Order
Form DOT CEM-2103	COZEEP/MAZEEP Cancellation Form
Form DOT CEM-2210	Traffic Control Daily Report
Form DOT CEM-2301	Temporary Pedestrian Access Route Compliance Inspection Report
Form DOT CEM-2302	Temporary Pedestrian Access Route Weekly Inspection Report
Form DOT CEM-2303	Temporary Pedestrian Access Route Sidewalk Detour Inspection Report
Form DOT CEM-2311	Temporary Pedestrian Access Route Contractor Compliance Report
Form DOT CEM-2312	Temporary Pedestrian Access Route Contractor Weekly Report
Form DOT CEM-2402F	Final Report—Utilization of Disadvantaged Business Enterprises and All First-Tier Subcontractors
Form DOT CEM-2402S	Final Report—Utilization of Disabled Veteran Business Enterprises (DVBE) State Funded Projects Only
Form DOT CEM-2403F	Disadvantaged Business Enterprises (DBE) Certification Status Change
Form DOT CEM-2404F	Monthly DBE/UDBE Trucking Verification
Form DOT CEM-2406	Monthly Disadvantaged Business Enterprises (DBE) Payment
Form DOT CEM-2407	Disadvantaged Business Enterprises (DBE) Joint Check Agreement Request
Form DOT CEM-2411	Disadvantaged Business Enterprise Commercially Useful Function Corrective Action Plan
Form DOT CEM-2415	Commercially Useful Function Monitoring Review Contractor, Subcontractor, Trucker
Form DOT CEM-2416	Commercially Useful Function Monitoring Review Regular Dealer/Manufacturer/Broker
Form DOT CEM-2417	Commercially Useful Function Monitoring Review Professional Services
Form DOT CEM-2421	Disadvantaged Business Enterprise (DBE) Replacement Plan
Form DOT CEM-2500	LCPtracker Vendor Access Request
Form DOT CEM-2501	Fringe Benefit Statement

Form DOT CEM-2502	Public Works Payroll Reporting Form
Form DOT CEM-2503	Statement of Compliance
Form DOT CEM-2504	Employee Interview: Labor Compliance/Equal Employment Opportunity
Form DOT CEM-2504SP	Entrevista de Empleado: Cumplimiento Laboral/IOE
Form DOT CEM-2506	Labor Compliance—Wage Violation
Form DOT CEM-2507	Labor Violation: Case Summary
Form DOT CEM-2508	Contractor Payroll Source Document Audit Summary
Form DOT CEM-2509	Checklist—Source Document Audit
Form DOT CEM-2512	Public Works Contractor Registration Complaint Form
Form DOT CEM-2513	Weekly Report of Job Site Labor
Form DOT CEM-2601	Construction Progress Chart (Oversight Projects)
Form DOT CEM-2701	Weekly Statement of Working Days
Form DOT CEM-2702	Overrun in Contract Time
Form DOT CEM-3006	Mix Design for Partial Depth Recycling
Form DOT CEM-3101	Notice of Materials to Be Used
Form DOT CEM-3102	Agreement Between a Contractor Working on State Facilities and a Real Property Owner for Acquiring Construction-Related Material from Property Owner's Property
Form DOT CEM-3501	Hot Mix Asphalt Production Report
Form DOT CEM-3502	Hot Mix Asphalt Placement Report
Form DOT CEM-3503	Post Plant Gradation Correction Factor for Hot Mix Asphalt
Form DOT CEM-3504	Post Plant Gradation Correction Factor for Hot Mix Asphalt with Recycled Asphalt Pavement
Form DOT CEM-3511	Contractor Job Mix Formula Proposal
Form DOT CEM-3512	Contractor Hot Mix Asphalt Design Data
Form DOT CEM-3513	Caltrans Hot Mix Asphalt Verification
Form DOT CEM-3514	Contractor Job Mix Formula Renewal
Form DOT CEM-3701	Test Result Summary
Form DOT CEM-3702	Relative Compaction Summary
Form DOT CEM-3703	Production Start-Up Evaluation
Form DOT CEM-3736	Pavement Smoothness Inertial Profiler Submittal Record
Form DOT CEM-3736AC	Asphalt Concrete Pavement Smoothness Corrections Information
Form DOT CEM-3736C	Concrete Pavement Smoothness Corrections Information

Form DOT CEM-3801	Request for Assignment of Inspectors, Samplers, and Testers
Form DOT CEM-3802	Quality Control Inspector Affidavit of Proficiency
Form DOT CEM-3803	Daily Summary of Quality Control Testing
Form DOT CEM-3804	Hot Mix Asphalt Inspection and Testing Summary
Form DOT CEM-3810	Construction Grade Checking Report
Form DOT CEM-4101	Materials Release Summary
Form DOT CEM-4102	Material Inspected and Released on Job
Form DOT CEM-4201	Material Plant Quality Program Certification Request
Form DOT CEM-4202	Material Plant Safety Checklist
Form DOT CEM-4204C	Caltrans Material Plant Quality Program Certification
Form DOT CEM-4204S	Material Plant Quality Program Approval Sticker
Form DOT CEM-4401	Solid Waste Disposal and Recycling Report
Form DOT CEM-4403	Recycled Materials Report
Form DOT CEM-4410	Crumb Rubber Usage Report
Form DOT CEM-4501	Resident Engineer's Daily Report and Assistant Resident Engineer's Daily Report
Form DOT CEM-4601	Assistant Resident Engineer's Daily Report
Form DOT CEM-4701	Drainage System Summary
Form DOT CEM-4801	Quantity Calculations
Form DOT CEM-4900	Change Order
Form DOT CEM-4901	Change Order Input
Form DOT CEM-4902	Extra Work Bill (Short Form)
Form DOT CEM-4902A	Extra Work Bill—Title Page
Form DOT CEM-4902B	Extra Work Bill—Labor Charges
Form DOT CEM-4902C	Extra Work Bill—Equipment Charges
Form DOT CEM-4902D	Extra Work Bill—Material Charges
Form DOT CEM-4903	Change Order Memorandum
Form DOT CEM-4904	Caltrans Authorization for Using Internet Extra Work Bill System
Form DOT CEM-4905	Contractor Authorization for Using Internet Extra Work Bill System
Form DOT CEM-4906	Internet Extra Work Bill (iEWB) User Account Request Form
Form DOT CEM-4907	Tentative Daily Extra Work Agreement
Form DOT CEM-4910	Value Engineering Change Proposal Submittal
Form DOT CEM-4911	Value Engineering Change Proposal Acceptance/Rejection
Form DOT CEM-5101	Request for Payment for Materials on Hand
Form DOT CEM-5105	Materials on Hand Summary

Form DOT CEM-5500	Partnering Facilitator Registration
Form DOT CEM-5501	Partnering Facilitator Evaluation—Kickoff
Form DOT CEM-5502	Partnering Facilitator Evaluation—Closeout
Form DOT CEM-5503	Caltrans Partnering Success in Motion Award Application
Form DOT CEM-5504	Caltrans Excellence in Partnering Award Application
Form DOT CEM-5773	Americans with Disabilities Act (ADA) Project Compliance Certification
Form DOT CEM-5773ADE	Curb Ramp (Case A, D, or E) Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773B	Curb Ramp (Case B) Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773C	Curb Ramp (Case C) Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773CH	Curb Ramp (Case CH) Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773CM	Curb Ramp (Case CM) Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773DW	Sidewalk at Driveway Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773FG	Curb Ramp (Case F or G) Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773NSPL	Curb Ramp (Non-Standard Plan—Parallel) Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773NSPP	Curb Ramp (Non-Standard Plan—Perpendicular) Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773P	Parking Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773PW	Passageway Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5773SW	Sidewalk Americans with Disabilities Act (ADA) Compliance Inspection Report
Form DOT CEM-5803A	Electrical System Inspection Checklist
Form DOT CEM-5803B	Detector Loop Inspection Checklist
Form DOT CEM-5819A	Cable Verification Worksheet
Form DOT CEM-5819B	Segment Verification Worksheet
Form DOT CEM-5819C	Link Loss Budget Worksheet
Form CEM-6003	Progress Pay—Estimate Project Initiation or Update

Form DOT CEM-6004	Contract Transactions Input
Form DOT CEM-6101	Project Record—Estimate Request
Form DOT CEM-6200	Candidate Application for Dispute Resolution Board (DRB) Member/Dispute Resolution Advisor (DRA)
Form DOT CEM-6201D	Initial Potential Claim Record
Form DOT CEM-6201E	Supplemental Potential Claim Record
Form DOT CEM-6201F	Full and Final Potential Claim Record
Form DOT CEM-6202	Dispute Resolution Board (DRB)—Establishment Report
Form DOT CEM-6203	Dispute Review Board (DRB) Update Report
Form DOT CEM-6204	Dispute Resolution Board (DRB)—Dispute Meeting Report
Form DOT CEM-6205	Dispute Resolution Board (DRB)—Completion Report
Form DOT CEM-6206	Dispute Resolution Advisor (DRA)—Establishment Report
Form DOT CEM-6207	Dispute Resolution Advisor (DRA)—Dispute Meeting Report
Form DOT CEM-6208	Dispute Resolution Ladder Establishment
Form DOT CEM-6209	Elevation of a Dispute
Form DOT CEM-6210	Alternative Dispute Resolution—Progress Meeting Report
Form DOT CEM-6214	Dispute Resolution Chargeable Hours Authorization
Form DOT CEM-6220	Dispute Resolution Board (DRB) Member/Dispute Resolution Advisor (DRA) Resume
Form DOT CEM-6301	Contract Acceptance
Form DOT CEM-6302	Final Materials Certification
Form CEM-9001	Construction Manual Proposed Change
Form CEM-9002	Policy Change or Directive Proposal
Form DOT LA-0017	Report of Chemical Spray Operations
Form DOT OFG-1	Oversight Resident Engineer’s Preconstruction Checklist
Form DOT OFG-2	Local Agency and Oversight Resident Engineer Preconstruction Conference Checklist
Form DOT OFG-3	Local Agency Resident Engineer Contract Provisions Checklist
Form DOT OFG-4	Oversight Resident Engineer’s Construction Contract Administration Verification Checklist
Form DOT OFG-5	Federal-Aid Projects of Division Interest
Form DOT OFG-6	Final Acceptance Checklist for Caltrans Oversight Projects

Form PM-S-0110 Safety Meeting Report
5-101C Materials Engineering and Testing Services Forms
Form MR-0518 Job Cement Samples Record
Form TL-15 Quality Assurance—Nonconformance Report
Form TL-16 Quality Assurance—Nonconformance Resolution
Form TL-28 Notice of Materials to be Inspected at Job Site
Form TL-29 Report of Inspection of Material
Form TL-38 Inspection Request
Form TL-0101 Sample Identification Card
Form TL-0502 Field Sample of Portland Cement Concrete Sample Card
Form TL-608 Notice of Materials to be Furnished
Form TL-0624 Inspection Release Tag
Form TL-0625 Materials Suitability Tag
Form TL-649 Report of Materials on Hand
Form TL-6013 Material Suitability Documentation Report (Blue Tag)
Form TL-6014 Material Suitability Report
Form TL-6037 Fabrication Progress Report
5-101D Other State Forms
Form DOT SUR-102 Request for Construction Staking
5-101E Traffic Operations Forms
Form TR-0019 Notice of Change in Clearance or Bridge Weight Rating
Form TR-0020 Notice of Change in Vertical or Horizontal Clearance
Form TR-0029 Notice of Change in Clearance or Bridge Weight Rating
Form DOT TR-0405 Certification of Compliance with Americans with Disabilities Act (ADA)
5-101F Federal Forms
Form FHWA-1391 Federal-Aid Highway Construction Contractors Annual EEO Report
Form DOL SF-308 Request for Wage Determination and Response to Request
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5-102B Indexing
5-102C Description of Categories
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Category 2 Project Office Equipment and Supplies
Category 3 Equipment and Personnel Cost Reports

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Category 5	General Correspondence
Category 6	Safety
Category 7	Public Relations
Category 8	Construction Surveys
Category 9	Welding
Category 10	Extra Category Number
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Category 12	Contractor
Category 13	Signs and Striping
Category 14	Photo Records
Category 15	Accidents
Category 16	Utility Agreements
Category 17	Utility Work Performed
Category 18	Agreements
Category 19	Hazardous Waste and Hazardous Materials
Category 20	Water Pollution Control Plan or Stormwater Pollution Prevention Plan
Category 21	Construction or Maintenance Zone Enhanced Enforcement Program
Category 22	Traffic Management Information
Category 23	Temporary Pedestrian Access Routes
Category 24	Disadvantaged Business Enterprises, Disabled Veteran Business Enterprises, and Small Business Enterprises
Category 25	Labor Compliance and Equal Employment Opportunity
Category 26	Progress Schedule
Category 27	Weekly Statement of Working Days
Category 28	Weekly Newsletter
Category 29	Materials Information and Preliminary Tests
Category 30	Basement Soil Test Results
Category 31	Notice of Materials to Be Used
Category 32	Notice of Materials to Be Inspected at the Job Site
Category 33	Notice of Materials to Be Furnished
Category 34	Treated Base
Category 35	Hot Mix Asphalt
Category 36	Concrete Other Than Structure Items
Category 37	Initial Tests and Acceptance Tests
Category 38	Quality Control
Category 39	Materials Testing Qualification of Employees

Category 40 Field Laboratory Assistant Reports to Resident Engineer
Category 41 Report of Inspection of Material
Category 42 Material Plants
Category 43 Concrete and Reinforcing Steel
Category 44 Recycle Materials and Diversion of Solid Waste
Category 45 Resident Engineer's Daily Reports
Category 46 Assistant Resident Engineer's Daily Reports
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Category 48 Bid Item Quantity Documents
Category 49 Change Orders
Category 50 Adjustment in Compensation Calculations
Category 51 Materials on Hand
Category 52 Charges to Total Contract Allotment
Category 53 Credit to Contract
Category 54 Deductions From Payment to Contractor
Category 55 Partnering
Category 56 Extra Category Number
Category 57 Permanent Pedestrian Facilities
Category 58 Extra Category Number
Category 59 Bridge Estimate Data
Category 60 Contract Administration System Inputs and Reports
Category 61 Estimate and Project Status
Category 62 Disputes
Category 63 Project Completion Documents
5-102D Category Numbers and Headings
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5-103B (1) Major and Minor A Contracts
5-103B (2) Emergency Contracts in Excess of Minor B Limits
5-103B (3) Completing Form CEM-6003, "Progress Pay—Estimate Project Initiation or Update"
5-103B (3a) Project Key

5-103B (3b) Card Type C05
5-103B (3c) Card Type C06 to C08
5-103B (3d) Card Type C09 to C14
5-103B (3e) Card Type C15
5-103B (4) Processing
5-103C Contract Transactions
5-103C (1) Transaction Types
5-103C (1a) Contract Item Transactions
5-103C (1b) Miscellaneous Transactions
5-103C (1c) Change Order Transactions
5-103C (2) Completing Form DOT CEM-6004, “Contract Transactions Input”
5-103C (2a) Contract Item Entries
5-103C (2b) Miscellaneous Transactions
5-103C (2c) Change Order Transactions
5-103C (2d) General
5-103C (2e) Audit Trail
Figure 5-1.2. Sample Form DOT CEM-6004, “Contract Transactions Input”
Figure 5-1.3. Sample Form DOT CEM-4801, “Quantity Calculations”
5-103C (3) Computer Processing
5-103D Change Orders
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5-103E (1) Preparing Form DOT CEM-4902, “Extra Work Bill (Short Form)”
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5-103E (1b) Equipment
5-103E (1c) Other Expenses Subject to Labor Markup
5-103E (1d) Material or Work Done by Specialists, Lump Sum, or Unit Price Payments
5-103E (1e) Signature of Prime Contractor’s Representative
5-103E (2) Processing Form DOT CEM-4902
5-103E (3) Corrections to Change Order Bills
5-103F Generating Estimates

5-103F (1) Procedure
5-103F (1a) Preparing Form DOT CEM-6101, “Project Record—Estimate Request”
5-103F (1b) Estimate Parameters
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5-103H (12) Project Record-Estimate (Dummy)
5-103H (13) Contract Contents Report
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Table 5-1.4. Construction Records Retention Schedule (3 of 6)
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Chapter 5 Contract Administration

Section 1 Project Records and Reports

5-101 Forms Used for Contract Administration

5-101A General

One of the duties of the resident engineer is to keep accurate and complete records of the work.

This section includes a list of forms used in administering a construction project and maintaining records. Forms that are not directly related to contract administration, such as personnel documents and accounting forms, are to be used in accordance with instructions contained in other Caltrans manuals.

The Division of Construction issues new and revised Construction forms. These forms can be paper forms or managed through digital construction management technology (DCMT). All Division of Construction forms have a prefix of “CEM” (Construction Engineering Management) and a number that is related to the form’s uniform filing system category. Forms with a prefix “DOT” (Department of Transportation) indicates that it is an external form and differentiates Caltrans forms from those of other state government entities.

If an existing CEM form no longer meets its intended purpose, needs revisions, or a new CEM form is needed, Caltrans staff can complete a forms request found on the “Publications” Onramp intranet webpage.

The Division of Construction will review the proposed changes and decide regarding any future revisions.

Not all forms issued by the Materials Engineering and Testing Services (METS) are listed in this manual. If a test method includes a specific form, contact METS. Forms issued by Structure Construction are listed on the “Structure Construction Forms” Onramp intranet webpage for Caltrans staff.

For DCMT form functionality issues, workflows, and application-related queries, please refer to the instructions and support resources available within the application itself.

5-101B Construction Forms

All Division of Construction forms are available online at:

https://forms.dot.ca.gov/

Following is a list and descriptions of the Division of Construction forms:

Form DOT CEM-0101 Resident Engineer's Report of Assignment

When assigned to a new project, the resident engineer will use this form to provide contact information. Distribute copies of the report according to instructions on the form and any district instructions.

It is not necessary or desirable to hold the form until all information is available. Partial information can be submitted with a note that a supplemental form will follow.

Form DOT CEM-0501 Relief from Maintenance

The resident engineer uses this form to recommend that the contractor be relieved from maintenance and responsibility in accordance with Section 5-1.38, "Maintenance and Protection Relief," of the *Standard Specifications.* For more information refer to Section 3-520, "Maintenance and Protection Relief," of this manual.

Form DOT CEM-0602 Project Safety Program Statement

The resident engineer uses this form to list the sections of the *Code of Safe Practices* that apply to the project. This form may also be used to designate an employee as the project safety coordinator.

Form DOT CEM-0603 Construction Incident Notification

The resident engineer uses this form to report construction incidents. Instructions for completion are included on the last page of the form.

Form DOT CEM-0604 Project Safety Review or Meeting

The form documents the project safety meeting before work begins, the project safety review, and the post-project safety meeting with the contractor's designated project safety representative as discussed in Section 2-109, "Project Safety Reviews," of this manual.

Form DOT CEM-0606 Construction Safety Checklists

Construction safety staff use the application to document safety reviews conducted at least weekly on this form throughout the duration of the project to monitor the contractor's compliance with safety regulations and specifications. It is also used for discussion in the every-other-week project safety review with the contractor. The completed form is filed in FalconDMS.

Form DOT CEM-0612 Work Zone Category 1 Temporary Traffic Control Device Certificate of Crashworthiness

The resident engineer provides this standard form to the contractor to self-certify the Category 1 temporary traffic control devices used on the contract. Refer to Section 4-1202B, "Temporary Traffic Control Devices" of this manual for details.

Form CEM-0805 *Automated Machine Guidance Project Selection Criteria and Feasibility Decision Document*

This form is used by the project delivery team during the design phase to determine whether Automated Machine Guidance should be used on a project. This form is required to be filled out by the project engineer and kept in the project files. The project delivery team should determine Automated Machine Guidance feasibility by the time the project reaches 30 percent completion.

Form CEM-1161 *Request for Approval Public Interest Finding*

This form is completed by the project engineer during the plans, specifications, and estimates phase of a project for required use of a patented or proprietary product material, thing, or service on a contract in accordance with California Public Contract Code 3400 Subsection (c). However, if a change order is required to direct the contractor to obtain materials from a Caltrans-chosen source, then the resident engineer completes this form. For details, refer to Section 3-603, "Local Materials," of this manual.

Form DOT CEM-1201 *Subcontracting Request*

The contractor submits this form. The resident engineer reviews the form to calculate the percentage of work to be performed by the contractor. The resident engineer gives a copy to compliance staff to confirm there are no violations of federal or state subcontracting, Disadvantaged Business Enterprises, Disabled Veteran Business Enterprises, or Small Business Enterprises, including verification of Department of Industrial Relations registration and verification that the subcontractor is not present on the contractors debarred list.

Verify contractors' registration at:

https://services.dir.ca.gov/gsp?id=dir_contractors&table=x_cdoi2_csm_portal_customer_account_lookup&view=public&sysparm_fixed_query=type%3D2&filter=type%3D2

Verify that subcontractors are not present on the Division of Labor Standards Enforcement debarments list at:

http://www.dir.ca.gov/dlse/debar.html

Section 3-5, "Control of Work," and Chapter 8, "Employment Practices," of this manual describe the procedures. The resident engineer signs the form if no apparent violations are identified. The contract may not use listed subcontractors without the resident engineer signature.

Form DOT CEM-1202A *Contractor Action Request—Change of Name/Address*

The contractor submits this form to the resident engineer to request a change in the contractor's name or address under the contract in accordance with Section 5-1.12, "Assignment," of the *Standard Specifications.*

Form DOT CEM-1202B *Contractor Action Request—Assignment of Contract Monies, Assignee Change of Name/Address*

The contractor submits this form to the resident engineer to request an assignment of monies, or an assignee's change of name or address under the contract in accordance with Section 5-1.12, "Assignment," of the *Standard Specifications.*

Form DOT CEM-1203 *Contractor Action Request—Assignment of Contract Performance*

The original contractor or the contractor's surety submits this form to the resident engineer in accordance with Section 5-1.12, "Assignment," of the *Standard Specifications.*

Form DOT CEM-1211 *Renewable Diesel Report*

The contractor uses this form when the project requires the use of renewable diesel for in-use off-road diesel fueled vehicles and equipment. The contractor completes and certifies the information reported on this form. The resident engineer reviews, signs, and returns the form to the contractor for completed report submittal.

Form DOT CEM-1301 *Construction Work Zone Speed Limit Reduction Determination*

This form is used by project engineers to document that the project is compliant with Section 2.3.2, "Temporary Traffic Control Speed Limit in Construction Work Zones," of the *California Manual for Setting Speed Limits*, or to request a change, or an exception, to the planned construction work zone speed limit reduction. By signing this form, the authorized deputy district directors approve the policy implementation, changes, or exceptions to the planned speed limit reduction on the project.

Form DOT CEM-1302 *Construction Work Zone Positive Protection Determination*

This form is completed by the project engineer to document that a project complies with the policy for providing positive work zone protection. Refer to Design Information Bulletin 91-02, "Guidelines on the Use of Positive Work Zone Protection (PWP) & Mitigation Measures."

Form DOT CEM-1303 *Positive Work Zone Protection Supplement*

This form is completed by the resident engineer to document when an addition, revision, or exception is required on a project for compliance with the policy for providing positive work zone protection. Refer to Design Information Bulletin 91-02, "Guidelines on the Use of Positive Work Zone Protection (PWP) & Mitigation Measures."

Form DOT CEM-1901 *Burial Location of Soil Containing Aerially Deposited Lead*

The contractor submits the original form to the resident engineer and a copy to ADL@dot.ca.gov within 5 business days of completing placement of the material. The resident engineer reviews the information and retains the form in the construction project records.

Form DOT CEM-1902 *Burial Location of Soil Containing Naturally Occurring Asbestos*

The contractor submits the original form to the resident engineer and a copy to NOA@dot.ca.gov within 5 business days of completing placement of the material. The resident engineer reviews the information and retains the form in the construction project records.

Form DOT CEM-1903 *Burial Location of Soil Containing Aerially Deposited Lead (Topographic Survey)*

The contractor submits this form to the resident engineer and by email to ADL@dot.ca.gov within 5 business days after topographic survey of the top of the soil at each location. The resident engineer reviews the information, retains the form in the construction project records and forwards the form to the district aerially deposited lead coordinator.

Form DOT CEM-1904 *Agreement Between a Contractor Working on State Facilities and a Real Property Owner for Disposing Construction-Related Material on Commercial Zoned Property Owner's Property*

The contractor uses this form when Type Com material is being disposed of on an owner's commercial zoned property. The contractor must submit this form to the resident engineer when taking ownership of materials and, by doing so, the contractor states that the property owner has been notified that the material being deposited contains lead with concentrations of 80 milligrams per kilogram (mg/kg) through 320 mg/kg and has received a copy of the information handout containing lead concentration data. The contractor further agrees to furnish to the resident engineer all required permits, licenses, agreements, certifications, and clearances before placing material on the property. For more information, refer to Section 7-107B (2), "Regulated Material," of this manual.

Form DOT CEM-1906 *Agreement Between a Contractor Working on State Facilities and a Real Property Owner for Disposing Construction-Related Material Suitable for Use on Residential Zoned Property*

The contractor uses this form when unregulated material is being disposed of on an owner's residential zoned property. The contractor must submit this form to the resident engineer when taking ownership of materials and, by doing so, the contractor states that the property owner has been notified that the material being

deposited contains lead with concentrations less than 80 mg/kg. The contractor further agrees to furnish to the resident engineer with all required permits, licenses, agreements, certifications, and clearances before placing material on the property. For more information, refer to Section 7-107B (1) “Unregulated Material,” of this manual.

Form DOT CEM-2006SW *Legally Responsible Person Authorization of Duly Authorized Representative*

This form is for use on projects under the 2022 Construction General Permit. It is for delegations that are not in the District Work Plan.

Form DOT CEM-2006T *Legally Responsible Person Authorization of Approved Signatory—Lake Tahoe Hydrologic Unit*

This form is used for delegating duly authorized representative duties for projects in the Lahontan Region. It is for delegations that are not in the District Work Plan.

Form DOT CEM-2008SW *SWPPP or WPCP Amendment Certification and Acceptance*

This form is for certifying amendments for projects under the 2022 Construction General Permit, projects that started after September 2023 under the Lahontan Construction General Permit, and Water Pollution Control Program projects that started after September 2023.

Form DOT CEM-2009SW *SWPPP or WPCP Amendments Log*

This form is used to track the amendments on Lahontan Region projects under the 2022 Construction General Permit, projects that started after September 2023 under the Lahontan Construction General Permit, and Water Pollution Control Program projects that started after September 2023.

Form DOT CEM-2020SW *Qualified Stormwater Pollution Prevention Plan Practitioner (QSP) Delegate Training Record*

This form is for SWPPP projects under the 2022 Construction General Permit or under the Lahontan Construction General Permit. The form documents the training required to perform QSP-Delegate work on SWPPP projects.

Form DOT CEM-2023SW *Stormwater Training Record*

This form is used to document the contractor training sessions. It is used for projects under the 2022 Construction General Permit, projects that started after September 2023 under the Lahontan Construction General Permit, and Water Pollution Control Program projects that started after September 2023.

Form DOT CEM-2024SW Stormwater Training Log—Optional

This form is used to log the contractor training sessions. It is used for projects under the 2022 Construction General Permit, projects that started after September 2023 under the Lahontan Construction General Permit, and Water Pollution Control Program projects that started after September 2023.

Form DOT CEM-2030SW Stormwater Site Inspection Report

This form is used to document the site inspections—weekly, pre-, during, and post-storm, as well as daily inspections, except in the Lahontan Region. It is used for projects under the 2022 Construction General Permit, projects that started after September 2023 under the Lahontan Construction General Permit, and Water Pollution Control Program projects that started after September 2023.

Form DOT CEM-2031T Daily Stormwater Site Inspection Report—Lake Tahoe Hydrologic Unit

This form is for documenting daily inspections for projects under the Lahontan Construction General Permit.

Form DOT CEM-2032SW Permanent Erosion Control Establishment (PECE) Report

This form is for contracts with a bid item for Permanent Erosion Control Establishment, under the 2022 Construction General Permit. It is used to document the status of permanent erosion control.

Form DOT CEM-2033SW Dewatering Operations Sampling Report

This form is for projects under the 2022 Construction General Permit. The form is for monitoring dewatering operations.

Form DOT CEM-2035SW Stormwater Corrective Actions Summary

This form is for tracking corrective actions for projects under the 2022 Construction General Permit, and Water Pollution Control Program projects that started after September 2023.

Form DOT CEM-2035T Stormwater Corrective Actions Summary—Lake Tahoe Hydrologic Unit

This form is for tracking corrective actions for projects under the Lahontan Construction General Permit.

Form DOT CEM-2045T Rain Event Action Plan—Lake Tahoe Hydrologic Unit

This form is for preparing for Rain Event Action Plans for projects under the Lahontan Construction General Permit.

Form DOT CEM-2051SW Storm Event SWPPP Sampling Log

This form is used to log the sampling events on projects that are under the 2022 Construction General Permit.

Form DOT CEM-2052SW Storm Event Sampling or Receiving Water Monitoring Report

This form is used for documenting field sampling events for projects under the 2022 Construction General Permit.

Form DOT CEM-2061SW Notice of Discharge Report

This form is used for documenting unauthorized discharges for projects under the 2022 Construction General Permit, or Water Pollution Control Program projects that started after September 2023.

Form DOT CEM-2061T Notice of Discharge Report—Lake Tahoe Hydrologic Unit Stormwater Sample Field Test Report/Receiving Water Monitoring Report

This form is used for documenting unauthorized discharges for projects in the Lahontan Region.

Form DOT CEM-2062SW Numeric Action Level Exceedance Report

This form is used for documenting numeric action level exceedances on projects that are under the 2022 Construction General Permit.

Form DOT CEM-2062T Numeric Action Level Exceedance Report—Lake Tahoe Hydrologic Unit

This form is used for documenting numeric action level exceedances on projects that are under the Lahontan Construction General Permit.

Form DOT CEM-2063SW Numeric Effluent Limitation Violation Report

This form is used for documenting numeric effluent limitation exceedances on projects under the 2022 Construction General Permit.

Form DOT CEM-2063T Numeric Effluent Limitation Violation Report—Lake Tahoe Hydrologic Unit

This form is used for documenting numeric effluent limitation exceedances on projects under the Lahontan Construction General Permit.

Form DOT CEM-2075SW Project Stormwater Annual Report

This form documents stormwater monitoring, corrective actions, violations, training records, and other information required to prepare a Stormwater Annual Report for projects under the 2022 Construction General Permit.

Form DOT CEM-2075T Project Stormwater Annual Report—Lake Tahoe Hydrologic Unit

This form documents stormwater monitoring and training information required to prepare a Stormwater Annual Report for projects under the Lahontan Construction General Permit.

Form DOT CEM-2080SW Stormwater Change of Information (COI)

This form is for SWPPP projects under the 2022 Construction General Permit. The form is for submitting information to request a Change of Information for all or part of a SWPPP project construction site.

Form DOT CEM-2090SW Stormwater Notice of Termination and Final Stormwater Inspection Report

This form is used for documenting the project readiness for Notice of Termination, for SWPPP projects under the 2022 Construction General Permit.

Form DOT CEM-20DCONSW Contractor Stormwater Personnel Training Record

This form documents prime contractor and subcontractor training events, before the start of the project. It is for use on projects under the 2022 Construction General Permit and Water Pollution Control Program projects that started after September 2023.

Form DOT CEM-2101 COZEEP Daily Report

The California Highway Patrol and Caltrans jointly use this form to report highway patrol resources used for the Construction Zone Enhanced Enforcement Program (COZEEP). Additional use of this form is described in Chapter 2, “Safety and Traffic,” of this manual.

Form DOT CEM-2102 COZEEP/MAZEEP Task Order

The resident engineer uses this form to request highway patrol support for the Construction Zone Enhanced Enforcement Program. Additional use of this form is described in Chapter 2, “Safety and Traffic,” of this manual.

Form DOT CEM-2103 COZEEP/MAZEEP Cancellation Form

The resident engineer uses this form to cancel any previously requested highway patrol support. Additional use of this form is described in Chapter 2, “Safety and Traffic,” of this manual.

Form DOT CEM-2210 Traffic Control Daily Report

This form is to be completed by the certified traffic control technician assigned to the closure, to provide documentation on temporary traffic control system closures as required by Section 12-4.02C(11), “Traffic Control Technician,” of the *Standard Specifications*.

Form DOT CEM-2301 *Temporary Pedestrian Access Route Compliance Inspection Report*

The resident engineer uses this form to document initial inspection and Americans with Disabilities Act (ADA) compliance of a temporary pedestrian access route. For details, refer to Section 4-12, “Temporary Traffic Control,” of this manual.

Form DOT CEM-2302 *Temporary Pedestrian Access Route Weekly Inspection Report*

The resident engineer uses this form to document weekly inspection and ADA compliance of a temporary pedestrian access route. For details, refer to Section 4-12, “Temporary Traffic Control,” of this manual.

Form DOT CEM-2303 *Temporary Pedestrian Access Route Sidewalk Detour Inspection Report*

The resident engineer uses this form to document inspection and ADA compliance of a temporary pedestrian access route provided using an existing pedestrian route. For details, refer to Section 4-12, “Temporary Traffic Control,” of this manual.

Form DOT CEM-2311 *Temporary Pedestrian Access Route Contractor Compliance Report*

The contractor uses this form to initially document that a temporary pedestrian access route is ADA compliant. For details, refer to Section 4-12, “Temporary Traffic Control,” of this manual.

Form DOT CEM-2312 *Temporary Pedestrian Access Route Contractor Weekly Report*

The contractor uses this form to document weekly that a temporary pedestrian access route is ADA compliant. For details, refer to Section 4-12, “Temporary Traffic Control,” of this manual.

Form DOT CEM-2402F *Final Report—Utilization of Disadvantaged Business Enterprises and All First-Tier Subcontractors*

The contractor completes this form. The resident engineer certifies the form. It describes work performed and materials provided by disadvantaged business enterprise firms. Refer to Section 8-3, “Disadvantaged Business Enterprises,” of this manual for details.

Form DOT CEM-2402S *Final Report—Utilization of Disabled Veteran Business Enterprises (DVBE) State Funded Projects Only*

The contractor fills out and certifies this form, which describes work performed and materials provided by disabled veteran business enterprise firms. The resident

engineer verifies the form. Refer to Section 8-4, “Disabled Veteran Business Enterprises,” of this manual for details.

Form DOT CEM-2403F *Disadvantaged Business Enterprises (DBE) Certification Status Change*

The contractor fills out and certifies this form. The resident engineer uses the form to verify the actual dollar amount paid to DBE subcontractors on federally funded projects that have a change in certification status during the course of the contract. Refer to Section 8-3, “Disadvantaged Business Enterprises,” of this manual for details.

Form DOT CEM-2404F *Monthly DBE/UDBE Trucking Verification*

The contractor must submit this form before the 15th of each month. It lists the dollar amount paid to the DBE trucking companies for truck work performed by DBE certified truckers and for any fees or commissions for non-DBE truckers used each month on the project. Instructions for filling out this form are on the last page of the form.

Form DOT CEM-2406 *Monthly Disadvantaged Business Enterprises (DBE) Payment*

The contractor completes this form for labor compliance purposes on federally funded projects only. Refer to Section 8-1, “Labor Compliance,” of this manual for more information.

Form DOT CEM-2407 *Disadvantaged Business Enterprises (DBE) Joint Check Agreement Request*

This signed agreement between the contractor and Disadvantaged Business Enterprise (DBE) subcontractor tracks and monitors the use of joint checks, which are two-party checks to both parties sent to DBEs for the purchase of materials for use on the job. The agreement is provided to the resident engineer for inclusion in the project files.

Form DOT CEM-2411 *Disadvantaged Business Enterprise Commercially Useful Function Corrective Action Plan*

This form is used to provide an action plan to correct deficiencies found during an evaluation of the work provided by a Disadvantaged Business Enterprise in performing a Commercially Useful Function for contracts funded with federal funds.

Form DOT CEM-2415 *Commercially Useful Function Monitoring Review Contractor, Subcontractor, Trucker*

This form is used by Caltrans field staff to provide written documentation that the elements of work performed by a Disadvantaged Business Enterprise (DBE) company were monitored and evaluated according to the Commercially Useful Function and counting requirements of 49 CFR 26.55. This form also contains data

and questions to monitor DBE performance or changes in contract scope that may require prompt action to assure compliance with DBE contract goal.

Form DOT CEM-2416 *Commercially Useful Function Monitoring Review Regular Dealer/Manufacturer/Broker*

This form is used by Caltrans field staff to provide written documentation that the elements of work performed by a Disadvantaged Business Enterprise (DBE) company were monitored and evaluated according to the Commercially Useful Function and counting requirements of 49 CFR 26.55. This form also contains data and questions to monitor DBE performance or changes in contract scope that may require prompt action to verify final compliance with DBE contract goal.

Form DOT CEM-2417 *Commercially Useful Function Monitoring Review Professional Services*

This form is used by Caltrans field staff to provide written documentation that the elements of work performed by a Disadvantaged Business Enterprise (DBE) company were monitored and evaluated according to the Commercially Useful Function and counting requirements of 49 CFR 26.55. This form also contains data and questions to monitor DBE performance or changes in contract scope that may require prompt action to verify final compliance with DBE contact goal.

Form DOT CEM-2421 *Disadvantaged Business Enterprise (DBE) Replacement Plan*

The contractor uses this form to provide the name of the DBE replacement firm for a DBE that was previously approved for termination. If approving the replacement DBE, the resident engineer will sign the form.

If the contractor is unable to find a DBE replacement firm, the form is used to capture the non-DBE firm that will replace the work, the good faith effort review, and the approval process. If the resident engineer recommends approval, they sign the form and submit to the headquarters field coordinator for concurrence. If the field coordinator concurs, it is forwarded to the district Construction deputy director for final approval. The contractor may not use any replacement firm until the form is signed.

Form DOT CEM-2500 *LCPtracker Vendor Access Request*

The contractor uses this form to request a user account in the LCPtracker system. The contractor submits the completed form to the district Labor Compliance officer.

Form DOT CEM-2501 *Fringe Benefit Statement*

The contractor completes this form for labor compliance purposes. Refer to Section 8-1, “Labor Compliance,” of this manual for more information.

Form DOT CEM-2502 Public Works Payroll Reporting Form

When it is requested, furnish this form to the contractor. It is used to fulfill the payroll submittal requirements of the contract. Refer to Section 8-1, “Labor Compliance,” of this manual for more information.

Form DOT CEM-2503 Statement of Compliance

The contractor may use this form for the required statement of compliance with payroll submittals. Refer to Section 8-1, “Labor Compliance,” of this manual for more information.

Form DOT CEM-2504 Employee Interview: Labor Compliance/Equal Employment Opportunity

Use this form to record information from interviews of contractors’ employees. Directions for the interviewer are on the back of the form. Refer to Section 8-1, “Labor Compliance,” of this manual for more information.

Form DOT CEM-2504SP Entrevista de Empleado: Cumplimiento Laboral/IOE

Same as previous form, printed in Spanish.

Form DOT CEM-2506 Labor Compliance—Wage Violation

The district Labor Compliance officer uses this form to document labor compliance wage violations. Refer to Section 8-1, “Labor Compliance,” of this manual for more information.

Form DOT CEM-2507 Labor Violation: Case Summary

The district Labor Compliance officer uses this form in conjunction with Form DOT CEM-2506 to summarize labor violation cases. Refer to Section 8-1, “Labor Compliance,” of this manual for more information.

Form DOT CEM-2508 Contractor Payroll Source Document Audit Summary

The district Labor Compliance officer uses this form to document the verification of the contractor’s payroll source document audit. Refer to Section 8-1, “Labor Compliance,” of this manual for more information.

Form DOT CEM-2509 Checklist—Source Document Audit

The district Labor Compliance officer uses this form during the contractor’s payroll source document audit. Refer to Section 8-1, “Labor Compliance,” of this manual for more information.

Form DOT CEM-2512 Public Works Contractor Registration Complaint Form

This form is used by labor compliance officers and contract managers to report unregistered contractors to the Department of Industrial Relations. All Caltrans contractors, regardless of tier, are required to be registered with the Department of

Industrial Relations. If a contractor is not registered, or has lapsed registration, this form is used to report the violation.

Form DOT CEM-2513 Weekly Report of Job Site Labor

The district Labor Compliance officer uses this list to monitor and track work on the job site and aid in the review of certified payrolls and prevailing wage rates.

Form DOT CEM-2601 Construction Progress Chart (Oversight Projects)

The resident engineer maintains this form for each project. Refer to Section 3-8, “Prosecution and Progress,” of this manual for details.

Form DOT CEM-2701 Weekly Statement of Working Days

The resident engineer uses this form to track contract time on construction contracts. The last page of the form and Section 3-8, “Prosecution and Progress,” of this manual contain instructions for filling out the Weekly Statement of Working Days.

Form DOT CEM-2702 Overrun in Contract Time

The Division of Construction may use this form to grant time adjustments after contract time has elapsed. For more information, refer to Section 3-8, “Prosecution and Progress,” of this manual.

Form DOT CEM-3006 Mix Design for Partial Depth Recycling

The contractor submits this form to the resident engineer before the work begins for the proposed mix design that will be used for partial depth recycling projects. The contractor may submit multiple forms if they want to use a different mix design for the same project in different locations.

Form DOT CEM-3101 Notice of Materials to Be Used

The contractor must use this form to list all materials to be used on the project. Refer to Section 6-2, “Acceptance of Manufactured or Fabricated Material and Products,” of this manual for details on the use of the form. Instructions to the contractor are on the last page of the form.

Form DOT CEM-3102 Agreement Between a Contractor Working on State Facilities and a Real Property Owner for Acquiring Construction-Related Material from Property Owner's Property

The contractor uses this form when obtaining construction-related materials from private property. The contractor submits it to the resident engineer after completing Part 1 of the form with the property owner. Once the contractor has fulfilled and complied with the agreement as stated in Part 1, the private property owner completes Part 2 of the form and submits it to the resident engineer before contract acceptance.

Form DOT CEM-3501 Hot Mix Asphalt Production Report

The plant inspector uses this form to document daily hot mix asphalt production processes and report any plant, material, and production deficiency to the resident engineer.

Form DOT CEM-3502 Hot Mix Asphalt Placement Report

The paving inspector uses this form to document daily hot mix asphalt placement processes and report any material and construction deficiencies to the resident engineer.

Form DOT CEM-3503 Post Plant Gradation Correction Factor for Hot Mix Asphalt

The contractor uses this form to establish ignition oven correction factors for hot mix asphalt without recycled asphalt pavement (RAP).

Form DOT CEM-3504 Post Plant Gradation Correction Factor for Hot Mix Asphalt with Recycled Asphalt Pavement

The contractor uses this form to establish ignition oven correction factors for hot mix asphalt with recycled asphalt pavement (RAP).

Form DOT CEM-3511 Contractor Job Mix Formula Proposal

The contractor uses this form to submit to the resident engineer, before the work begins, the hot mix asphalt formula tested for intended use on the project. The form states job mix formula target values for aggregate sieves and the percentage of asphalt binder, as well as source information for all materials.

Form DOT CEM-3512 Contractor Hot Mix Asphalt Design Data

The contractor uses this form to document the testing data developed by the mix design laboratory. Refer to Section 4-39, “Asphalt Concrete,” of this manual for more information.

Form DOT CEM-3513 Caltrans Hot Mix Asphalt Verification

Caltrans verifies that the proposed job mix formula complies with the specifications on this form. The resident engineer signs and returns the form to the contractor. Refer to Section 4-39, “Asphalt Concrete,” of this manual for more information.

Form DOT CEM-3514 Contractor Job Mix Formula Renewal

The contractor submits test results for renewal of hot mix asphalt job mix formula on this form to the resident engineer. When the test results indicate that the sampled and tested hot mix asphalt complies with the specifications, the resident engineer requests the district materials laboratory perform hot mix asphalt verification testing. Refer to Section 4-39, “Asphalt Concrete,” of this manual for more information.

Form DOT CEM-3701 Test Result Summary

The resident engineer must use this form to summarize acceptance tests frequency and results on each material. The form is also used to record dates for sampling, date shipped to laboratory, test result transmission to the resident engineer, and contractor notification of test result. Refer to Category 37, “Initial Tests and Acceptance Tests,” in Section 5-102, “Organization of Project Documents,” of this manual for details.

Form DOT CEM-3702 Relative Compaction Summary

The resident engineer may use this form to summarize compaction test results in the same manner that Form DOT CEM-3701 is used for other tests.

Form DOT CEM-3703 Production Start-Up Evaluation

The resident engineer uses this form to record the testing results at the beginning of production. Refer to Section 4-39, “Asphalt Concrete,” of this manual for more information.

Form DOT CEM-3736 Pavement Smoothness Inertial Profiler Submittal Record

The quality control manager submits this form to the resident engineer and the Caltrans secure file sharing system along with specified profiling information within 2 business days of profiling. The resident engineer reviews the information and retains the form in the construction project records.

Form DOT CEM-3736AC Asphalt Concrete Pavement Smoothness Corrections Information

The contractor submits this form to the resident engineer and the Caltrans secure file sharing system along with their final profiling information within 5 business days of profiling. The resident engineer reviews the information and retains the form in the construction project records.

Form DOT CEM-3736C Concrete Pavement Smoothness Corrections Information

The contractor submits this form to the resident engineer and the Caltrans secure file sharing system along with their final profiling information within 5 business days of profiling. The resident engineer reviews the information and retains the form in the construction project records.

Form DOT CEM-3801 Request for Assignment of Inspectors, Samplers, and Testers

The contractor uses this form to submit the names of quality control staff for hot mix asphalt projects using the quality control quality assurance (QCQA) process.

Form DOT CEM-3802 Quality Control Inspector Affidavit of Proficiency

The contractor uses this form to document the hot mix asphalt experience and training of proposed hot mix asphalt quality control inspectors for projects using the QCQA process.

Form DOT CEM-3803 Daily Summary of Quality Control Testing

The contractor uses this form to provide a summary of quality control test results for each day that hot mix asphalt is placed on a QCQA process project.

Form DOT CEM-3804 Hot Mix Asphalt Inspection and Testing Summary

The contractor uses this form to provide a checklist that shows the inspections and testing for each day that hot mix asphalt is placed on a QCQA process project. On this form, the contractor's quality control manager must document deviations from the specifications or regular practices and certify that the information, tests, or calculations, comply with the contract specifications.

Form DOT CEM-3810 Construction Grade Checking Report

The contractor uses this form to conduct quality control for different types of grades during construction; the resident engineer conducts grade verification and acceptance for grades.

Form DOT CEM-4101 Materials Release Summary

The resident engineer uses this form to summarize the materials released by METS and materials inspected at the job site.

Form DOT CEM-4102 Material Inspected and Released on Job

The resident engineer uses this form to list certain materials that may arrive on the job site without a Form TL-29, "Report of Inspection of Material." Refer to Section 6-3, "Field Tests," of this manual for details.

Form DOT CEM-4201 Material Plant Quality Program Certification Request

This form is used by material producers to request plant certification under Caltrans' Material Plant Quality Program. Requests are processed in the order that complete submittals are received. Priority will go to plants producing materials for Caltrans projects with active expenditure authorization numbers. Appointments should be scheduled at least 2 weeks before the requested date.

Form DOT CEM-4202 Material Plant Safety Checklist

The material plant inspector uses this form when checking a material plant for safety.

Form DOT CEM-4204C Caltrans Material Plant Quality Program Certification

To certify a material plant after meeting all the requirements and testing process, Caltrans weights and measures coordinators will complete the form, including the

test results for all proportioning devices, and sign and send a copy to the material producer for their records. Resident engineers will be able to verify certified material plants with a valid certificate for Caltrans projects.

Form DOT CEM-4204S Material Plant Quality Program Approval Sticker

Caltrans weights and measures coordinators will complete the form as a sticker and will tag all approved devices after successfully passing all the tests and requirements.

Form DOT CEM-4401 Solid Waste Disposal and Recycling Report

The contractor completes and certifies the information reported on this form. The resident engineer reviews then submits the authorized form to the district recycling coordinator with a copy to the statewide recycling coordinator in headquarters Division of Design. The use of this form is described in Section 7-109, “Solid Waste Disposal and Recycling Reporting,” of this manual.

Form DOT CEM-4403 Recycled Materials Report

The form is completed by the contractor to document the recycled materials that were incorporated into the contract. This form documents the recycling of materials to comply with Senate Bill 1, Section 2030 (c).

Form DOT CEM-4410 Crumb Rubber Usage Report

The contractor submits this form monthly to the resident engineer and email address CRM@dot.ca.gov. The resident engineer reviews the information and verifies paid quantities and contractor submittal of the form to the email address. Instructions to the contractor and resident engineer are on the last pages of the form. Refer to Section 7-108, “Crumb Rubber Usage Reporting,” of this manual for more information.

Form DOT CEM-4501 Resident Engineer’s Daily Report and Assistant Resident Engineer’s Daily Report

The resident engineer and assistant resident engineers use this form to record project activities daily. For more information, refer to Section 5-0, “Conduct of the Work,” of this manual.

Form DOT CEM-4601 Assistant Resident Engineer’s Daily Report

Assistant resident engineers use this form to record daily individual contract item activity. It is also used to record extra work activity and to verify contractors’ personnel listed on payrolls. For more information refer to Section 5-0, “Conduct of the Work,” of this manual.

Form DOT CEM-4701 Drainage System Summary

The resident engineer and assistant resident engineers use this form to record progress and summarize activity on drainage contract items. Refer to Category 47, “Drainage Systems,” in Section 5-102, “Organization of Project Documents,” of this manual for details.

Form DOT CEM-4801 Quantity Calculations

The resident engineer and assistant resident engineers use this form for the basic source document for most contract item quantity calculations.

Form DOT CEM-4900 Change Order

The resident engineer uses this form for change orders. Refer to Section 5-3, “Change Orders,” of this manual for information about change orders.

Form DOT CEM-4901 Change Order Input

The resident engineer and assistant resident engineers use this form to input change orders for the project record and estimate data. Refer to Section 5-103D, “Change Orders,” of this manual for details.

Form DOT CEM-4902 Extra Work Bill (Short Form)

The contractor uses this form for billing extra work. Details for use are on the last page of the form and are included in Section 5-103E, “Change Order Billing,” of this manual. The resident engineer may authorize contractor-designed forms. With previous approval from the Division of Construction, the contractor may submit change order bill data on a computer report identical to this form for all Caltrans projects.

Form DOT CEM-4902A Extra Work Bill—Title Page

The contractor uses this form for billing extra work. It is the first page of the four-part change order bill. It identifies the project, change order number, method of payment, and performer of work. This form also provides for manual calculation of the bill. Details for use are on the last page of the form and are included in Section 5-103E, “Change Order Billing,” of this manual. The resident engineer may authorize contractor-designed forms. With previous approval from the Division of Construction, the contractor may submit change order bill data on a computer report identical to this form for all Caltrans projects.

Form DOT CEM-4902B Extra Work Bill—Labor Charges

Contractors use this form for billing extra work. It is used to enter labor charges and other expense subject to labor markup. Details for use are on the last page of the form and are included in Section 5-103E, “Change Order Billing,” of this manual. The resident engineer may authorize contractor-designed forms. With previous approval from the Division of Construction, the contractor may submit change order bill data

on a computer report identical to this form for all Caltrans projects. This form is used with Form DOT CEM-4902A, “Extra Work Bill—Title Page.”

Form DOT CEM-4902C *Extra Work Bill—Equipment Charges*

The contractor uses this form to enter equipment charges to the change order bill. Instructions for use are on the second page of the form and are included in Section 5-103E, “Change Order Billing,” of this manual. The resident engineer may authorize contractor-designed forms. With previous approval from the Division of Construction, the contractor may submit change order bill data on a computer report identical to this form for all Caltrans projects. This form is used with Form DOT CEM-4902A.

Form DOT CEM-4902D *Extra Work Bill—Material Charges*

The contractor uses this form for billing extra work. It is used to enter material charges to the change order bill. Details for use are on the last page of the form and are included in Section 5-103E, “Change Order Billing,” of this manual. The resident engineer may authorize contractor-designed forms. With previous approval from the Division of Construction, the contractor may submit change order bill data on a computer report identical to this form for all Caltrans projects. This form is used with Form DOT CEM-4902A.

Form DOT CEM-4903 *Change Order Memorandum*

The resident engineer uses this form in conjunction with Form DOT CEM-4900, “Change Order,” to report the necessary engineering and administrative data relative to the change. Refer to Section 5-3, “Change Orders,” of this manual for details.

Form DOT CEM-4904 *Caltrans Authorization for Using Internet Extra Work Bill System*

The resident engineer completes this form, outlining contract markups and change order bill roles, to authorize Caltrans staff access to the Caltrans Internet Extra Work Bill (iEWB) system. The resident engineer submits the form, along with completed Form DOT CEM-4905 from the contractor, to the appropriate iEWB district administrator.

Form DOT CEM-4905 *Contractor Authorization for Using Internet Extra Work Bill System*

The contractor furnishes the resident engineer with daily reports of any extra work as required in Section 5-1.27D, “Cost Accounting Records,” of the *Standard Specifications*. The prime contractor completes this form for authority to use the internet to submit change order bills. The contractor submits this form, usually at the preconstruction meeting, to the resident engineer or to the managing partner if the contract is a joint venture. Required change order bill training and the iEWB website provide additional information at:

https://dot.ca.gov/programs/construction/iewb

Form DOT CEM-4906 *Internet Extra Work Bill (iEWB) User Account Request Form*

The contractor uses this form after completing the Internet Extra Work Billing (iEWB) system training to request a user account in the iEWB system. The contractor submits the completed form to the resident engineer for approval. The resident engineer submits the form to the appropriate iEWB district administrator for processing.

Form DOT CEM-4907 *Tentative Daily Extra Work Agreement*

The resident engineer and assistant resident engineers use this form to record daily labor, equipment, and materials used on work paid at force account that has been authorized through an approved change order. Signatures by both Caltrans and contractor representatives signify tentative agreement on the extra work to avoid potential disagreements with later billing and payment.

Form DOT CEM-4910 *Value Engineering Change Proposal Submittal*

The contractor uses this form to submit a value engineering change proposal submittal for Caltrans' consideration. For details on the use of this form, refer to Section 3-405, "Value Engineering," of this manual.

Form DOT CEM-4911 *Value Engineering Change Proposal Acceptance/Rejection*

The resident engineer uses this form to document the outcome of each value engineering change proposal submittal. For details on the use of this form, refer to Section 3-405, "Value Engineering," of this manual.

Form DOT CEM-5101 *Request for Payment for Materials on Hand*

The contractor uses this form to request payment for materials on hand. Instructions for the form and administrative procedures are covered in Section 3-9, "Payment," of this manual.

Form DOT CEM-5105 *Materials on Hand Summary*

The resident engineer uses this form to track, authorize, and document payments for materials on hand. Instructions for the form and administrative procedures are covered in Section 3-9, "Payment," of this manual.

Form DOT CEM-5500 *Partnering Facilitator Registration*

The facilitator applicant to the Caltrans Partnering Program must submit this registration form to the resident engineer and email address Partnering.Program@dot.ca.gov before performing any work. The form must be submitted for each Caltrans project on which the facilitator participates.

Form DOT CEM-5501 Partnering Facilitator Evaluation—Kickoff

The resident engineer uses this form to gather project team evaluations of the partnering facilitator's performance following the kickoff partnering workshop when partnering is implemented on a Caltrans construction project.

Form DOT CEM-5502 Partnering Facilitator Evaluation—Closeout

The resident engineer uses this form to gather project team evaluations of the partnering facilitator's performance following the close-out partnering workshop.

Form DOT CEM-5503 Caltrans Partnering Success in Motion Award Application

The resident engineer and contractor use this form to apply for the annual Partnering Success in Motion Awards.

Form DOT CEM-5504 Caltrans Excellence in Partnering Award Application

The resident engineer and contractor use this form to apply for the annual Excellence in Partnering Awards.

Form DOT CEM-5773 Americans with Disabilities Act (ADA) Project Compliance Certification

The resident engineer uses this form to certify ADA construction compliance of the project's pedestrian facilities. For details on the use of this form, refer to Section 4-73, "Concrete Curbs and Sidewalks," of this manual.

Form DOT CEM-5773ADE Curb Ramp (Case A, D, or E) Americans with Disabilities Act (ADA) Compliance Inspection Report

The resident engineer uses this form to document inspection and ADA compliance of Case A, D or E curb ramps. For details on the use of this form, refer to Section 4-73, "Concrete Curbs and Sidewalks," of this manual.

Form DOT CEM-5773B Curb Ramp (Case B) Americans with Disabilities Act (ADA) Compliance Inspection Report

The resident engineer uses this form to document inspection and ADA compliance of Case B curb ramps. For details on the use of this form, refer to Section 4-73, "Concrete Curbs and Sidewalks," of this manual.

Form DOT CEM-5773C Curb Ramp (Case C) Americans with Disabilities Act (ADA) Compliance Inspection Report

The resident engineer uses this form to document inspection and ADA compliance of Case C curb ramps. For details on the use of this form, refer to Section 4-73, "Concrete Curbs and Sidewalks," of this manual.

Form DOT CEM-5773CH *Curb Ramp (Case CH) Americans with Disabilities Act (ADA) Compliance Inspection Report*

The resident engineer uses this form to document inspection and ADA compliance of Case CH curb ramps. For details on the use of this form, refer to Section 4-73, “Concrete Curbs and Sidewalks,” of this manual.

Form DOT CEM-5773CM *Curb Ramp (Case CM) Americans with Disabilities Act (ADA) Compliance Inspection Report*

The resident engineer uses this form to document inspection and ADA compliance of Case CM curb ramps. For details on the use of this form, refer to Section 4-73, “Concrete Curbs and Sidewalks,” of this manual.

Form DOT CEM-5773DW *Sidewalk at Driveway Americans with Disabilities Act (ADA) Compliance Inspection Report*

The resident engineer uses this form to document inspection and ADA compliance of sidewalks at driveways. For details on the use of this form, refer to Section 4-73, “Concrete Curbs and Sidewalks,” of this manual.

Form DOT CEM-5773FG *Curb Ramp (Case F or G) Americans with Disabilities Act (ADA) Compliance Inspection Report*

The resident engineer uses this form to document inspection and ADA compliance of Case F or G curb ramps. For details on the use of this form, refer to Section 4-73, “Concrete Curbs and Sidewalks,” of this manual.

Form DOT CEM-5773NSPL *Curb Ramp (Non-Standard Plan—Parallel) Americans with Disabilities Act (ADA) Compliance Inspection Report*

The resident engineer uses this form to document inspection and ADA compliance of non-standard plan, parallel curb ramps. For details on the use of this form, refer to Section 4-73, “Concrete Curbs and Sidewalks,” of this manual.

Form DOT CEM-5773NSPP *Curb Ramp (Non-Standard Plan—Perpendicular) Americans with Disabilities Act (ADA) Compliance Inspection Report*

The resident engineer uses this form to document inspection and ADA compliance of non-standard plan, perpendicular curb ramps. For details on the use of this form, refer to Section 4-73, “Concrete Curbs and Sidewalks,” of this manual.

Form DOT CEM-5773P *Parking Americans with Disabilities Act (ADA) Compliance Inspection Report*

The resident engineer uses this form to document inspection and ADA compliance of accessible parking facilities. For details on the use of this form, refer to Section 4-73, “Concrete Curbs and Sidewalks,” of this manual.

Form DOT CEM-5773PW *Passageway Americans with Disabilities Act (ADA) Compliance Inspection Report*

The resident engineer uses this form to document inspection and ADA compliance of passageways. For details on the use of this form, refer to Section 4-73, “Concrete Curbs and Sidewalks,” of this manual.

Form DOT CEM-5773SW *Sidewalk Americans with Disabilities Act (ADA) Compliance Inspection Report*

The resident engineer uses this form to document inspection and ADA compliance of sidewalks. For details on the use of this form, refer to Section 4-73, “Concrete Curbs and Sidewalks,” of this manual.

Form DOT CEM-5803A *Electrical System Inspection Checklist*

The resident engineer uses this form to document that all components in an electrical system have been inspected and comply with the contract requirements. One form needs to be completed for each electrical system.

Form DOT CEM-5803B *Detector Loop Inspection Checklist*

The resident engineer uses this form to document that all detector loops in an electrical system have been tested and comply with the contract requirements. One form needs to be completed for each electrical system.

Form DOT CEM-5819A *Cable Verification Worksheet*

The contractor uses this form to document that each fiber-optic cable delivered to the job site has been tested, before installation, and complies with the contract requirements. One form needs to be completed for each cable.

Form DOT CEM-5819B *Segment Verification Worksheet*

The contractor uses this form to document that each fiber-optic segment installed has been tested, before splicing, and complies with the contract requirements. One form needs to be completed for each segment.

Form DOT CEM-5819C *Link Loss Budget Worksheet*

The contractor uses this form to document that each fiber-optic link has been tested before equipment is connected and complies with the contract requirements. One form needs to be completed for each link.

Form CEM-6003 *Progress Pay—Estimate Project Initiation or Update*

The resident engineer uses this form to add new information or to change information in the Contract Administration System (CAS). For details refer to Section 5-103B, “Project Initiation and Update,” of this manual.

Form DOT CEM-6004 *Contract Transactions Input*

The resident engineer uses this form to input estimate data into CAS for the project record and estimate. Refer to Section 5-103C, “Contract Transactions,” of this manual for details.

Form DOT CEM-6101 *Project Record—Estimate Request*

The resident engineer uses this form to request that an estimate be run. Refer to Section 5-103F (1), “Procedure,” of this manual for details.

Form DOT CEM-6200 *Candidate Application for Dispute Resolution Board (DRB) Member/Dispute Resolution Advisor (DRA)*

The form is used as an application to become a member of a dispute resolution board or become a dispute resolution advisor for Caltrans projects, listing qualifications and expertise.

Form DOT CEM-6201D *Initial Potential Claim Record*

The contractor uses this form to detail the nature and circumstances of the potential claim. For details on the use of this form, refer to Section 5-4, “Disputes,” of this manual.

Form DOT CEM-6201E *Supplemental Potential Claim Record*

The contractor uses this form to detail the potential claim and cost associated with the claim. For further details on the use of this form, refer to Section 5-4, “Disputes,” of this manual.

Form DOT CEM-6201F *Full and Final Potential Claim Record*

The resident engineer uses this form to document the circumstances and costs associated with the potential claim. For details on the use of this form, refer to Section 5-4, “Disputes,” of this manual.

Form DOT CEM-6202 *Dispute Resolution Board (DRB)—Establishment Report*

The Dispute Resolution Board (DRB) chair completes this form upon establishing the DRB and emails it to the resident engineer and the alternative dispute resolution (ADR) engineer at ADR.Engineer@dot.ca.gov. For details on the use of this form, refer to Sections 3-522, “Alternative Dispute Resolution Processes” and 5-4, “Disputes,” of this manual.

Form DOT CEM-6203 *Dispute Review Board (DRB) Update Report*

The resident engineer completes and submits this form to the Division of Construction yearly beginning on the anniversary of the contract time start. For details on the use of this form, refer to Section 5-4, “Disputes,” of this manual.

Form DOT CEM-6204 *Dispute Resolution Board (DRB)—Dispute Meeting Report*

The Dispute Resolution Board (DRB) chair completes Sections 1 through 5 of this form within 35 days of the dispute meeting and emails it to the resident engineer and the alternative dispute resolution (ADR) engineer at ADR.Engineer@dot.ca.gov. The resident engineer completes Section 6 of this form and emails it to ADR.Engineer@dot.ca.gov. Section 7 is for DRB chair and resident engineer's comments. For details on the use of this form, refer to Sections 3-522, "Alternative Dispute Resolution Processes," and 5-4, "Disputes," of this manual.

Form DOT CEM-6205 *Dispute Resolution Board (DRB)—Completion Report*

The resident engineer completes and submits this form to the Division of Construction 30 days after receipt of the contractor's exceptions to the proposed final estimate. For details on the use of this form, refer to Section 5-4, "Disputes," of this manual.

Form DOT CEM-6206 *Dispute Resolution Advisor (DRA)—Establishment Report*

The Dispute Resolution Advisor (DRA) completes this form upon establishing the DRA and emails it to the resident engineer and the alternative dispute resolution (ADR) engineer at ADR.Engineer@dot.ca.gov. For details on the use of this form, refer to Sections 3-522, "Alternative Dispute Resolution Processes," and 5-4, "Disputes," of this manual.

Form DOT CEM-6207 *Dispute Resolution Advisor (DRA)—Dispute Meeting Report*

The Dispute Resolution Advisor (DRA) completes Sections 1 through 5 of this form within 15 days of the dispute meeting and emails it to the resident engineer and the alternative dispute resolution (ADR) engineer at ADR.Engineer@dot.ca.gov. The resident engineer completes Section 6 of this form and emails it to ADR.Engineer@dot.ca.gov. Section 7 is for DRA and resident engineer's comments. For details on the use of this form, refer to Sections 3-522, "Alternative Dispute Resolution Processes" and 5-4, "Disputes," of this manual.

Form DOT CEM-6208 *Dispute Resolution Ladder Establishment*

As an option, the resident engineer completes and submits this form to the Division of Construction to document the levels of authority consulted. For details on the use of this form, refer to Section 5-4, "Disputes," of this manual.

Form DOT CEM-6209 *Elevation of a Dispute*

As an option, the resident engineer completes and submits this form to the Division of Construction to assist in defining the dispute before elevating it to the next level. For details on the use of this form, refer to Section 5-4, "Disputes," of this manual.

Form DOT CEM-6210 *Alternative Dispute Resolution—Progress Meeting Report*

The dispute resolution board chair or the dispute resolution advisor complete Sections 1 through 8 of this form within 10 days of a meeting and email it to the resident engineer, contractor, and alternative dispute resolution (ADR) engineer at ADR.Engineer@dot.ca.gov. The resident engineer and contractor complete Section 9 of this form and email it to the ADR engineer at ADR.Engineer@dot.ca.gov.

Form DOT CEM-6214 *Dispute Resolution Chargeable Hours Authorization*

The resident engineer completes this form to document dispute resolution hours and fees agreed to by parties in a dispute, and to track tasks associated with such disputes.

Form DOT CEM-6220 *Dispute Resolution Board (DRB) Member/Dispute Resolution Advisor (DRA) Resume*

DRB members or DRAs must submit this form whenever changes occur to current employment, ongoing consulting services, or when approved as a DRB member or as a DRA by the parties, Caltrans and the contractor. Submit the completed electronic PDF form to ADR.Engineer@dot.ca.gov. Approved DRB members and DRAs list their credentials, which are filed with Caltrans for use in disputes that would benefit from their work experience and expertise.

Form DOT CEM-6301 *Contract Acceptance*

The resident engineer uses this form to document acceptance and the various quantities delivered by the contract. Instructions are on the back of the form. For details on the use of this form, refer to Section 3-523B, “Contract Acceptance,” of this manual.

The district does not need to provide a copy of Form DOT CEM-6301, “Contract Acceptance,” to the Division of Construction. If there is a federal number on the form, the district estimate desk makes a copy of the form and, at the end of each month, collects and sends these copies to the Caltrans Office of Federal Resources.

Form DOT CEM-6302 *Final Materials Certification*

The resident engineer uses this form to document that tests on acceptance samples indicate the materials incorporated in the construction work, and the construction operations controlled by sampling and testing, were in conformity with the authorized plans and specifications.

Form CEM-9001 *Construction Manual Proposed Change*

Caltrans personnel or external stakeholders may use this form to submit a recommendation for a change to the *Construction Manual*. Completed forms with supervisor approval signatures and attachments, if applicable, should be sent to the Division of Construction, Publications email at: Construction.Publications@dot.ca.gov.

Form CEM-9002 *Policy Change or Directive Proposal*

Caltrans personnel can use this form to propose updates to existing policy, new directives, or changes to existing procedures.

Form DOT LA-0017 *Report of Chemical Spray Operations*

The contractor uses this form to submit the required weekly pesticide application report. Refer to Section 4-2002C (2), "Pesticides," of this manual for details.

Form DOT OFG-1 *Oversight Resident Engineer's Preconstruction Checklist*

The resident engineer uses this form to document contacts within the local agency for which the work is being performed. For further details on use of this form, refer to Section 3.1.7, "Oversight Resident Engineer Files," of the *Oversight Resident Engineer Guidelines*.

Form DOT OFG-2 *Local Agency and Oversight Resident Engineer Preconstruction Conference Checklist*

The resident engineer uses this form to document general project conditions at the preconstruction meeting with the contractor. For details on use of this form, refer to Section 3.1.7, "Oversight Resident Engineer Files," of the *Oversight Resident Engineer Guidelines*.

Form DOT OFG-3 *Local Agency Resident Engineer Contract Provisions Checklist*

The resident engineer uses this form to document state and federal requirements with the contractor. For details on use of this form, refer to Section 3.1.7, "Oversight Resident Engineer Files," of the *Oversight Resident Engineer Guidelines*.

Form DOT OFG-4 *Oversight Resident Engineer's Construction Contract Administration Verification Checklist*

The resident engineer uses this form to document the contract administration activities required on the project. For details on use of this form, refer to Section 3.1.7, "Oversight Resident Engineer Files," of the *Oversight Resident Engineer Guidelines*.

Form DOT OFG-5 *Federal-Aid Projects of Division Interest*

The resident engineer uses this form to document federal-aid requirements for the project. For details on use of this form, refer to Section 3.1.7, "Oversight Resident Engineer Files," of the *Oversight Resident Engineer Guidelines*. Federal Highway Administration no longer has "Projects of Division Interest (PoDI)." Instead, involvement is based on an assessment of risk.

Form DOT OFG-6 *Final Acceptance Checklist for Caltrans Oversight Projects*

The resident engineer uses this form to document that all required procedures have been performed on the project. For details on use of this form, refer to Section 3.1.7, "Oversight Resident Engineer Files," of the *Oversight Resident Engineer Guidelines*.

Form PM-S-0110 *Safety Meeting Report*

The construction engineer or resident engineer must use the Tailgate Safety Meeting Application to document a tailgate safety meeting on this form with all employees to discuss the project and potential safety issues that may arise from contractor operations. The completed report is filed automatically from the applicable application in the project folder in FalconDMS.

5-101C Materials Engineering and Testing Services Forms

Structural Materials, under Materials Engineering and Testing Services (METS), is responsible for "TL" (Transportation Labs) forms. Some forms can be found under the Engineering Services' Testing and Technology Services link at:

https://forms.dot.ca.gov/

Form MR-0518 *Job Cement Samples Record*

The resident engineer uses this form to submit cement samples for testing. Instructions for the use of this form are found in Section 6-2, "Acceptance of Manufactured or Fabricated Material and Products," of this manual.

Form TL-15 *Quality Assurance—Nonconformance Report*

METS uses this form when METS personnel discover that structural material or contractor quality control procedures do not meet specific contract requirements. METS sends a copy to the resident engineer.

Form TL-16 *Quality Assurance—Nonconformance Resolution*

METS uses this form to document the resolution to an outstanding Form TL-15. METS sends a copy to the resident engineer.

Form TL-28 *Notice of Materials to be Inspected at Job Site*

METS uses this form to assign inspection duties. METS sends a copy to the resident engineer.

Form TL-29 *Report of Inspection of Material*

METS uses this form to confirm that material has been inspected, and the inspector has attached inspection release tags or other means of identification. METS sends a copy to the resident engineer, who compares it with inspection tags or markings on delivered materials.

Form TL-38 *Inspection Request*

METS uses this form to document requests by the vendor or fabricator for bid items that require inspection.

Form TL-0101 *Sample Identification Card*

The resident engineer uses this form to submit samples to METS or district materials laboratories for testing materials other than field samples of concrete, for compressive strength, and cement samples.

Form TL-0502 *Field Sample of Portland Cement Concrete Sample Card*

The resident engineer uses this form to submit compressive strength samples of concrete. Refer to Section 6-3, “Field Tests,” of this manual for details on marking of samples.

Form TL-608 *Notice of Materials to be Furnished*

METS uses this form to inform all parties that METS will inspect and release material before it’s sent to the job site. TL-38, “Inspection Request,” is included with the TL-608 that is sent to the vendor and fabricator.

Form TL-0624 *Inspection Release Tag*

When a METS inspector has inspected material, the inspector will attach this form with lot numbers, inspector’s initials, and date of inspection. When it is not feasible to attach tags, the METS inspector will mark lot numbers on the material.

Form TL-0625 *Materials Suitability Tag*

METS uses this form to verify that a quality assurance inspector has inspected the material and released it to the job site. A blue tag attached to the material includes the contract number, state lot number, blue tag number, inspector’s initials, and date of inspection. When it is not feasible to attach tags, the METS inspector will mark lot numbers on the material.

Form TL-649 *Report of Materials on Hand*

METS uses this form to verify that material has been inspected and is in acceptable condition. Refer to Section 3-9, “Payment,” of this manual for details.

Form TL-6013 *Material Suitability Documentation Report (Blue Tag)*

METS structural material representative, in consultation with the resident engineer and design staff as needed, completes this form. The form documents the decision to release material that is tagged with Form TL-0625, “Material Suitability Tag,” and is listed in Form TL-6014.

Form TL-6014 *Material Suitability Report*

This form is completed by the METS quality assurance inspector and is used to list the material to be released with Form TL-0625. The report includes material description, blue tag number, and description of conformance.

Form TL-6037 *Fabrication Progress Report*

METS uses this form to notify resident engineers of progress being made on fabrication of various items. Refer to Section 3-9, "Payment," of this manual for details.

Some METS forms can be found on the Caltrans Electronic Forms System's website at:

https://forms.dot.ca.gov/

5-101D Other State Forms

The following is a state form used in contract administration that is not issued by the Division of Construction or METS. It is available on the Caltrans Electronic Forms System's website at:

https://forms.dot.ca.gov/

Form DOT SUR-102 *Request for Construction Staking*

The contractor uses this form to request construction staking. The resident engineer and the survey party chief add information to the request. It serves as a record of construction staking and any charges to the contractor for restaking. For information on construction surveys and use of the form, refer to Chapter 12, "Construction Surveys," of the *Caltrans Surveys Manual*.

5-101E Traffic Operations Forms

The following forms from the Division of Traffic Operations are available at:

https://forms.dot.ca.gov/

Form TR-0019 *Notice of Change in Clearance or Bridge Weight Rating*

The resident engineer uses this form to report permanent changes to vertical or horizontal clearance for vehicular traffic or permanent changes in bridge permit ratings on divided roadways. Refer to Section 3-703B, "Permanent Clearance and Bridge Permit Rating Changes," of this manual for details.

Form TR-0020 *Notice of Change in Vertical or Horizontal Clearance*

The resident engineer uses this form to report permanent changes to vertical or horizontal clearance for vehicular traffic. Refer to Section 3-703B, "Permanent Clearance and Bridge Permit Rating Changes," of this manual for details.

Form TR-0029 *Notice of Change in Clearance or Bridge Weight Rating*

The resident engineer uses this form to report permanent changes to vertical or horizontal clearance for vehicular traffic or permanent changes in bridge permit ratings on undivided roadways. Refer to Section 3-703B, "Permanent Clearance and Bridge Permit Rating Changes," of this manual for details.

Form DOT TR-0405 *Certification of Compliance with Americans with Disabilities Act (ADA)*

The resident engineer uses this form to certify compliance with ADA standards before and after construction. Refer to Design Information Bulletin 82-06, "Pedestrian Accessibility Guidelines for Highway Projects," at:

https://dot.ca.gov/programs/design/design-information-bulletins-dibs

5-101F Federal Forms

The following list includes some federal forms that are used in contract administration.

Form FHWA-1391 *Federal-Aid Highway Construction Contractors Annual EEO Report*

The contractor must submit this form on all federal-aid contracts over $10,000. All subcontractors on federal-aid projects whose subcontracts exceed $10,000 must also submit the form. Contractors and subcontractors report project employment data for the last full week of July on the form. Obtain the form from the U.S. Department of Transportation, Federal Highway Administration's website at:

www.fhwa.dot.gov/eforms/

Form DOL SF-308 *Request for Wage Determination and Response to Request*

Request wage rate determinations for federal-aid contracts by using this U.S. Department of Labor form. Obtain the form from the U.S. Department of Labor's website at:

https://www.dol.gov/whd/programs/dbra/sf308.htm

5-102 Organization of Project Documents

5-102A General

This section describes the uniform filing system for organizing project records and reports. The system uses numbered categories for filing project documents on all projects.

There are 63 numbered categories in the filing system. There are several unassigned category numbers. Use them for project documents that do not fit in assigned categories. If necessary, divide a category into subcategories.

Assign the appropriate category numbers to documents filed at a separate location, such as a field office. The filing system will then be correct when records are brought together after project completion. Project records may be scanned and stored electronically. Maintain hard copy files as a backup before project completion.

Construction projects awarded on or after July 1, 2021, are required to store all project records electronically on the Caltrans Falcon electronic document management system (FalconDMS). By adopting available technology and electronically storing project records on the FalconDMS, accessibility to these documents will be improved. Section 5-102C, "Description of Categories," of this manual lists the 63 filing categories required for the proper cataloging of contract documents. Users uploading documents into the FalconDMS will assign electronic indexing called "metadata" to the documents that will automatically file the project records in the corresponding categories as listed in Section 5-102C. This electronic indexing can be used for searching and retrieving documents stored in the categories.

Training is required for all staff before using FalconDMS. To request FalconDMS training or assistance downloading FalconDMS software, email FalconDMS.Construction@dot.ca.gov. Training material and contact information for FalconDMS can be found on the Division of Constructions Office of Performance and Innovation Onramp page.

Construction projects awarded before July 1, 2021, may use FalconDMS, if practical, or continue to maintain project records in hardcopy form.

5-102B Indexing

For hardcopy paper filing of projects, use a category index like Table 5-1.2. "Category Numbers and Headings," of this manual, for each project. Post the index in a prominent location.

When the location of a category is separate from the main file, indicate its location on the index under the appropriate heading.

There is a category index built into FalconDMS. Proper upload of documents to FalconDMS will allow files to be easily searched across the indexing fields, or metadata, defined in the system.

Projects awarded before July 1, 2021, may be switched from a hardcopy filing system to filing the project documents on FalconDMS midway through the project. If that choice is made, the legacy hardcopy project documents should be maintained in their existing form with a note in each category that starting on the date the project switched to filing project documents on FalconDMS and any project documents after that date would be located on the FalconDMS system. It is not required for legacy projects with an award date before July 1, 2021, to store project documents on FalconDMS, but it is encouraged to improve efficiency.

5-102C Description of Categories

The following discussion describes the documents that should be included in each category and, for some categories, a recommended order of the documents in the categories:

Category 1 *Project Personnel*

Include all personnel-related records in this category. Suggested subcategories are listed. On smaller projects, some of the listed subcategories may be combined when the amount of detail shown is not warranted.

- Form DOT CEM-0101, “Resident Engineer’s Report of Assignment”
- Attendance report
- Overtime records
- Overtime requests and authorizations
- Absence requests
- Personnel transfer records
- Personnel roster
- Travel expense claims and records
- Individual personnel files, such as emergency telephone numbers, experience, or training records

Category 2 *Project Office Equipment and Supplies*

In this category, file documents relating to equipment and supplies. Include records of equipment and supplies that have been received or returned. The subcategories listed outline the scope of this category.

- Equipment inventory
- Shipping records—Related shipping and receiving records should be stapled together
- Receiving records
- Transfer requests
- Local requests
- Automotive records
- Cash expenditure vouchers
- Purchase orders
- Bills of lading

Category 3 *Equipment and Personnel Cost Reports*

In this category, file construction engineering cost reports. Suggested subcategories are:

- Project Resource and Schedule Management (PRSM) reports
- Equipment cost reports

Category 4 *Service Contracts*

In this category, file documents related to the project office utilities and services. File requests for service with all correspondence about project office service contracts in an appropriate subcategory. File the receiving records for bills for utilities and services in a “date received” sequence.

It is recommended that a separate subcategory be used for each company or each service agreement. File purchase orders for supplies in Category 2, “Project Office Equipment and Supplies.”

The subcategories that may be included in this category are:

- Rent
- Electricity
- Gas
- Telephone
- Drinking water
- Overnight mail and shipping service
- Additional service agreements, as required

Category 4 includes only transactions for the resident engineer’s office. Do not confuse this category with Category 16, “Utility Agreements,” Category 17, “Utility Work Performed,” or a subcategory of Category 52, “Charges to Total Contract Allotment.” These are part of the project’s construction operations.

Category 5 *General Correspondence*

In this category, file letters that do not relate to any other category or subcategory in use. File correspondence concerning a subject that directly relates to some other category in that category. For example, file correspondence developed in connection with a change order in the change order category file.

File correspondence in any subcategory in chronological order.

When the volume of correspondence builds up, segregate and divide it into more detailed subject subcategories. When appropriate, transfer correspondence from Category 5 to a more specific category. For example, a property owner may object to certain conditions on the project. After considerable correspondence, the resident engineer writes a change order to solve the problem. At this point, the resident engineer should transfer all the correspondence related to the change order to the change order category file.

A letter might cover subjects in multiple categories. When the letter relates directly to two subjects, file a copy in each category or cross-reference to the location of the original. Cross-referencing needs only a note describing the letter filed in a different category.

The following are examples of subcategories in Category 5. The number of subcategories will depend on the volume of correspondence. Show all subcategories in the index.

- Request for information and responses
- Request for clarification and responses
- To district office
- From district office
- To Project Development
- From Project Development
- To Maintenance
- From Maintenance
- To Traffic Operations
- From Traffic Operations
- To contractor; for example: letters, transmittals, faxes, memos, email
- From contractor; for example: letters, transmittals, faxes, memos, email
- Property owners
- Utility companies
- Form DOT CEM-0501, “Relief From Maintenance”
- Any additional subcategories that may be required depend on the volume of the correspondence

Category 6 *Safety*

File project documents relating directly to safety in this category. Suggested subcategories are:

- Employee safety
- Caltrans employee accident and injury reports
- Form DOT CEM-0602, “Project Safety Program Statement”
- Contract documents relating to safety
- Correspondence with the Division of Occupational Safety and Health (Cal/OSHA)
- Form DOT CEM-0606, “Construction Safety Checklists”
- A copy of the contractor’s Injury and Illness Prevention Program

- A copy of the contractor's *Code of Safe Practices* in use for the project
- Form PM-S-0110, "Safety Meeting Report"

Category 7 *Public Relations*

File documents involving public relations in this category.

Category 8 *Construction Surveys*

Use this category for filing all survey documents that do not directly or solely relate to another category.

File Form DOT SUR-102, "Request for Construction Staking," in this category. Create subcategories for requests in which staking has been completed and those in which staking has not been completed. Cross-file staking requests that include restaking charges in Category 54, "Deductions from Payment to Contractor."

Category 9 *Welding*

In this category, file documents on welding. Refer to Section 11, "Welding" in Structure Construction's *Bridge Construction Records and Procedures Manual, Vol. 2*.

Category 10 *Extra Category Number*

Use this extra category number for project documents that do not fit in currently established categories. When used, enter the name of the category on the index sheet.

Category 11 *Information Furnished at Start of Project*

In this category, file documents related to planning, design, contract funding, advertising, and opening bids. Do not file documents in this category that apply solely or directly to other established categories. Create additional subcategories as necessary for the volume of documents:

- Project report
- Preliminary report
- Project expenditure authorization, which is the contract number, including supplemental allotments
- Detail estimate of project cost
- Notice of award of contract
- Bid summary sheets
- Federal detail estimate
- Executed contract, special provisions, and plans
- Notice of approval of the contract
- Environmental permits

- Encroachment permits and cooperative agreements
- Bidder inquiry information

Category 12 Contractor

Use this category for documents that the contractor is required to submit. Do not use it for general correspondence or documents appropriate to a different category. The following subcategories suggest the scope of the category:

- Contractor's organization, including the designation of the contractor's authorized representative, as required by Section 5-1.16, "Representative," of the *Standard Specifications*
- Contractor's equipment list
- Contractor's borrow agreements
- List of subcontractors and other project documents concerning subcontracting
- Shop plans, if not filed under a more appropriate category
- Falsework plans
- Insurance documents, as required in Section 7-1.05, "Indemnification," and Section 7-1.06, "Insurance," of the *Standard Specifications*

Category 13 Signs and Striping

In this category, file all documents on signing, delineation, and handling public traffic during construction. Suggested subcategories are:

- Layout of construction signs
- Detour design, striping, and signing
- Traffic striping diagrams

Category 14 Photo Records

File routine photos and their identification in this category. File photos relating to claims in Category 62, "Disputes." It is good practice to take monthly photos to document the work during construction. Maintain video recordings and digital photo files in an organized manner. Note the location of these items in this category file.

Suggested subcategories are:

- Before construction
- During construction
- After construction

Category 15 Accidents

In this category, file documents related to accidents. Subcategories may include:

- Caltrans employee accident and injury reports

- Caltrans vehicle accident reports
- California Highway Patrol accident reports
- Local police accident reports
- Records and investigations of public traffic accidents
- Records and investigations of contractor incidents

Category 16 Utility Agreements

In this category, file documents on work to be done to utility facilities in connection with the project.

Create subcategories for utility companies. Set up second-level subcategories when required by the number of documents. The following are examples of subcategories within this category:

- 16.1.1 PG&E Co.—Agreements
- 16.1.2 PG&E Co.—Relocations
- 16.1.3 PG&E Co.—Encroachment Permit
- 16.2 AT&T Corp.
- 16.3 Union Pacific Railroad

Category 17 Utility Work Performed

In this category, file daily reports and other records of utility facility work. Create the same primary subcategories as those used in Category 16, “Utility Agreements.”

Create second level subcategories when required by the number of documents and the amount of work. For example, if the work would develop daily reports and receive records of only one utility relocation, these documents could be kept in one subcategory in chronological order. When the same utility company has more than one relocation, a more detailed breakdown is advisable.

Category 18 Agreements

In this category, file non-utility agreements with third parties or other state or county agencies. The number and levels of subcategories will depend on the agreements and the nature and extent of the work involved. A list of suggested subcategories includes:

- Right-of-way agreements—without obligations
- Right-of-way agreements—with obligations
- Forest Service agreements
- Borrow agreements between Caltrans and owner
- Disposal agreements between Caltrans and owner

- Service agreements, which are utility service agreements, such as for highway lighting
- Disposal permits
- Records of royalty payments
- Encroachment permits

File an encroachment permit relating to a utility facility agreement under Category 16, “Utility Agreements.” File an encroachment permit relating to a right-of-way agreement in this category.

Where there are several right-of-way agreements requiring some degree of control, such as right-of-way agreements with obligations, maintain a summary to show the status of these agreements. An example of the status summary headings:

- The agreement number
- The location of work to be performed
- A brief description of work to be done and by whom
- The date the work is completed
- The change order number if the required work is being done by change order

Category 19 Hazardous Waste and Hazardous Materials

File any information regarding the discovery and removal of hazardous waste in this category.

To comply with the record retention requirements of the Aerially Deposited Lead (ADL) Agreement, the resident engineer must retain ADL-related records as follows:

- File all ADL-related correspondence, reports, data, and records in Category 19, “Hazardous Waste and Hazardous Materials” of the project records.
- File all ADL-related documents included with the resident engineer pending file in Category 19.

Category 20 Water Pollution Control Plan or Stormwater Pollution Prevention Plan

File all correspondence regarding water pollution control plans (WPCP) or stormwater pollution prevention plans (SWPPP) in this category. A list of suggested subcategories:

- Authorized WPCP or SWPPP
- Amendments to WPCP or SWPPP
- Notification of construction
- Correspondence
- Inspections by contractor

- Inspections by Caltrans
- Notices of noncompliance
- Annual certification of compliance
- Notice of completion of construction

Category 21 *Construction or Maintenance Zone Enhanced Enforcement Program*

File documents relating directly to the Construction Zone Enhanced Enforcement Program (COZEEP) in this category. Suggested subcategories include:

- Form DOT CEM-2101, “COZEEP Daily Report”
- Form DOT CEM-2102, “COZEEP/MAZEEP Task Order”
- Form DOT CEM-2103, “COZEEP/MAZEEP Cancellation Form”

Category 22 *Traffic Management Information*

Use this category to file information related to traffic management. Possible subcategories include:

- Contractor lane closure requests
- Lane closure requests submitted to the Transportation Management Center
- Authorized lane closures
- Contractor contingency plans
- Traffic count data

Category 23 *Temporary Pedestrian Access Routes*

Use this category number for the following:

- Form DOT CEM-2301, “Temporary Pedestrian Access Route Compliance Inspection Report”
- Form DOT CEM-2302, “Temporary Pedestrian Access Route Weekly Inspection Report”
- Form DOT CEM-2303, “Temporary Pedestrian Access Route Sidewalk Detour Inspection Report”
- Form DOT CEM-2311, “Temporary Pedestrian Access Route Contractor Compliance Report”
- Form DOT CEM-2312, “Temporary Pedestrian Access Route Contractor Weekly Report”

Category 24 *Disadvantaged Business Enterprises, Disabled Veteran Business Enterprises, and Small Business Enterprises*

Use this category for the following:

- Disadvantaged business enterprises (DBE), disabled veteran business enterprises (DVBE), and small businesses correspondence
- The contractor's utilization plan for DBE, DVBE, small businesses, or both DVBE and small businesses
- DVBE and small business substitution requests and approvals
- DBE termination requests, replacement plans, and good faith effort reviews
- DBE, DVBE, and small business monthly and final reports
- DBE, DVBE, and small business commercially useful function documentation and findings
- Forms
- Other DBE- and DVBE-related documents

Category 25 *Labor Compliance and Equal Employment Opportunity*

In this category, file the required labor compliance and equal employment opportunity information. Refer to Sections 8-1, "Labor Compliance," and 8-2, "Equal Employment Opportunity," of this manual for details.

Category 26 *Progress Schedule*

In this category, file the progress schedule, critical path method submittals, and other related information.

Category 27 *Weekly Statement of Working Days*

In this category, file Form DOT CEM-2701, "Weekly Statement of Working Days." Also place correspondence about contract time in a subcategory of this category.

Category 28 *Weekly Newsletter*

In this category, file periodic newsletters and reports that are prepared during the project. Include weekly reports of a general nature pertaining to the progress of the contract.

Category 29 *Materials Information and Preliminary Tests*

In this category, file materials information and preliminary test reports. Suggested subcategories include:

- Materials information
- Report of foundation investigation
- Report of preliminary tests on aggregate base
- Report of preliminary tests on aggregate subbase

Category 30 Basement Soil Test Results

In this category, file the basement soil test results taken during the design phase to determine structural section adequacy.

Category 31 Notice of Materials to Be Used

In this category, file Form DOT CEM-3101, “Notice of Materials to Be Used.” Create a system for checking that notices have been received.

Make all Forms DOT CEM-3101 that contain information for structure items available for use by the structure representative. Consider filing the Form DOT CEM-3101 listing structure items in a separate subcategory of this category.

Category 32 Notice of Materials to Be Inspected at the Job Site

In this category, file Form TL-0028, “Notice of Materials to be Inspected at Job Site.”

Category 33 Notice of Materials to Be Furnished

In this category, file Form TL-0608, “Notice of Materials to Be Furnished.”

Category 34 Treated Base

In this category, file documents for cement-treated base, cement-treated permeable base, and asphalt-treated permeable base. Do not include documents that are to be filed in other categories, such as Category 37, “Initial Tests and Acceptance Tests,” or Category 48, “Bid Item Quantity Documents.”

Use subcategories like the examples listed. Create a numbering system that identifies the category, item, and subcategory. For example, 34.26.3 indicates: Category 34 “Treated Base”; 26 is the contract item number of the material and identifies the subcategory; 3 is the second level subcategory identifying the particular document. For example:

- 34.26.1 Mix design data, cement-treated base
- 34.26.2 Plant records, cement-treated base
- 34.26.3 Spread records, cement-treated base
- 34.27.1 Mix design data, cement-treated permeable base
- 34.27.2 Plant records, cement-treated permeable base
- 34.27.3 Spread records, cement-treated permeable base
- 34.28.1 Mix design data, asphalt-treated permeable base
- 34.28.2 Plant records, asphalt-treated permeable base
- 34.28.3 Spread records, asphalt-treated permeable base
- 34.4 Certificates of compliance for materials used in treated bases

Category 35 Hot Mix Asphalt

In this category, file documents related to hot mix asphalt, except those to be filed in categories such as 37 or 48. Following are suggested subcategories:

- Form DOT CEM-3501, “Hot Mix Asphalt Production Report”
- Form DOT CEM-3502, “Hot Mix Asphalt Placement Report”
- Form DOT CEM-3511, “Contractor Job Mix Formula Proposal”
- Form DOT CEM-3512, “Contractor Hot Mix Asphalt Design Data”
- Form DOT CEM-3513, “Caltrans Hot Mix Asphalt Verification”
- Certificates of compliance for materials used in hot mix asphalt

Category 36 Concrete Other Than Structure Items

In this category, file documents related to concrete. Do not include documents that are to be filed in categories such as 37, 43, and 48. For structure items, the project documents are to be filed in Category 43, “Concrete and Reinforcing Steel.” Following are suggested subcategories:

- 36.1 Portland cement concrete pavement
- 36.1.1 Mix designs
- 36.1.2 Plant records
- 36.1.3 Certificates of compliance for materials used in concrete pavement
- 36.2 Portland cement concrete, Class A structure and minor concrete
- 36.2.1 Mix designs
- 36.2.2 Plant records
- 36.2.3 Certificates of compliance for materials used in Class A structure concrete and minor concrete

Category 37 Initial Tests and Acceptance Tests

In this category, file initial tests and acceptance tests. File documents in each subcategory chronologically unless there is a specific reason for doing otherwise.

Use subcategories like the forms listed. Create a numbering system that identifies the category, item, and subcategory. For example, 37.21.3 indicates: Category 37, “Initial Tests and Acceptance Tests”; 21 is the contract item number of the material and identifies the subcategory; and 3 is the second level subcategory identifying the particular test result.

- Form DOT CEM-3701, “Test Result Summary”
- Form DOT CEM-3702, “Relative Compaction Summary”
- Form DOT CEM-3703, “Production Start-Up Evaluation”

- Form DOT CEM-3736, “Pavement Smoothness Inertial Profiler Submittal Record”
- Form DOT CEM-3736AC, “Asphalt Concrete Pavement Smoothness Corrections Information”
- Form DOT CEM-3736C, “Concrete Pavement Smoothness Corrections Information”
- Embankment
    - 37.10.1 Relative compaction
- Structure backfill
    - 37.14.1 Sand equivalent
    - 37.14.2 Relative compaction
- Aggregate subbase
    - 37.21.1 Relative compaction
    - 37.21.2 Moisture
    - 37.21.3 Sieve analysis
    - 37.21.4 Sand equivalent
    - 37.21.5 Record of thickness (summarized in the order that measurements are made)
- Aggregate base
    - 37.22.1 Relative compaction
    - 37.22.2 Moisture
    - 37.22.3 Sieve analysis
    - 37.22.4 Sand equivalent
    - 37.22.5 Record of thickness (summarized in the order that measurements are made)
- Hot mix asphalt
    - 37.31.1 Aggregate gradation
    - 37.31.2 Asphalt binder content
    - 37.31.3 Maximum theoretical density (percent)
    - 37.31.4 Sand equivalent (minimum)
    - 37.31.5 Stabilometer value (minimum)
    - 37.31.6 Air voids content
    - 37.31.7 Crushed particles
    - 37.31.8 Moisture content
    - 37.31.9 Los Angeles abrasion test
    - 37.31.10 Fine aggregate angularity
    - 37.31.11 Flat and elongated particle
    - 37.31.12 Voids in mineral aggregate
    - 37.31.13 Voids with asphalt
    - 37.31.14 Dust proportion
    - 37.31.15 Smoothness

- 37.31.16 Asphalt binder
- 37.31.17 Asphalt rubber binder
- 37.31.18 Asphalt modifier
- 37.31.19 Crumb rubber modifier
- 37.31.20 Certificates of compliance for materials used in hot mix asphalt

- Portland cement concrete pavement
  - 37.42.1 Sand equivalent
  - 37.42.2 Cleanness value
  - 37.42.3 Sieve analysis
  - 37.42.4 Modulus of rupture
  - 37.42.5 Penetration values
  - 37.42.6 Cement content
  - 37.42.8 Coefficient of friction
  - 37.42.9 Other related items

Bills of lading and copies of sample identification tags may be filed in this category temporarily and discarded when their respective test reports are filed.

File test results for items assigned to Structure Construction personnel in this category in accordance with instructions contained in the *Bridge Construction Records and Procedures Manual*.

Category 38 *Quality Control*

In this category, include all documents relating to quality control. Create a subcategory system to include the following:

- Forms DOT CEM-3801, “Request for Assignment of Inspectors, Samplers, and Testers”
- Form DOT CEM-3802, “Quality Control Inspector Affidavit of Proficiency”
- Form DOT CEM-3803, “Daily Summary of Quality Control Testing”
- Form DOT CEM-3804, “Hot Mix Asphalt Inspection and Testing Summary”
- Copies of related correspondence

Category 39 *Materials Testing Qualification of Employees*

In this category, file copies of certifications of the employees performing acceptance tests.

Category 40 *Field Laboratory Assistant Reports to Resident Engineer*

In this category, file chronologically any reports made by the project’s materials tester. For more than one type of report, such as a report and a summary form, provide subcategories.

Category 41 *Report of Inspection of Material*

In this category, file the following forms:

- Form TL-0015, “Quality Assurance—Nonconformance Report”
- Form TL-0016, “Quality Assurance—Nonconformance Resolution”
- Form TL-0029, “Report of Inspection of Material”
- Form TL-0624, “Inspection Release Tag”
- Form TL-0625, “Material Suitability Tag”
- Form TL-6013, “Material Suitability Documentation Report (Blue Tag)”
- Form TL-6014, “Material Suitability Report”
- Form DOT CEM-4101, “Materials Release Summary”
- Form DOT CEM-4102, “Material Inspected and Released on Job”

Create subcategories within Category 41 for each contract item requiring inspection at the source by a METS inspector. Place a Form DOT CEM-4101, “Materials Release Summary,” in each subcategory containing the date of inspection, quantity inspected, cumulative quantity, and lot numbers. The summary sheet documents that materials used in the work have been inspected.

Staple Form TL-0624, removed from materials received on the project, to Form TL-0029 on a letter-size sheet of paper and file it in the appropriate subcategory. The sheet should include the name of the engineer who removed it and the date removed. When lot numbers are marked on the items, note the observed lot number on the related Form TL-0029.

Form TL-0625 should be attached to Form TL-6014 received from METS and filed.

When Form TL-0029 includes material for more than one item, include a reference on the summary sheet showing the file location of Form TL-0029.

File test reports, typically on Form DOT CEM-4102 that cover material sampled on the job in place of source inspection, in the appropriate subcategory of this category, not in Category 37, “Initial Tests and Acceptance Tests.”

File reports of inspection or certificates of compliance for materials assigned to the structure representative in this category in accordance with instructions contained in the *Bridge Construction Records and Procedures Manual*.

Category 42 *Material Plants*

In this category, file Form DOT CEM-4202, “Material Plant Safety Checklist,” and all other project documents pertaining to material plant inspections.

Category 43 *Concrete and Reinforcing Steel*

In this category, file documents on concrete and reinforcing steel in accordance with instructions in the *Bridge Construction Records and Procedures Manual*.

Category 44 *Recycle Materials and Diversion of Solid Waste*

In this category, file a completed copy of Form DOT CEM-4401, "Solid Waste Disposal and Recycling Report." The contractor completes Form DOT CEM-4401, and the resident engineer reviews the form within the reporting time constraints. The use of this form is described in Section 7-109, "Solid Waste Disposal and Recycling Reporting," of this manual.

Category 45 *Resident Engineer's Daily Reports*

In this category, file Form DOT CEM-4501, "Resident Engineer's Daily Report and Assistant Resident Engineer's Daily Report," and the structure representative's daily report.

Category 46 *Assistant Resident Engineer's Daily Reports*

In this category, file Form DOT CEM-4601, "Assistant Resident Engineer's Daily Report."

Subcategories may be used. They may vary depending on the complexity of the project and the desires of the district. The resident engineer and the structure representative must agree on the subcategories before the start of work. The following procedures establish the subcategories.

1. Reports Covering Contract Items
    a. Create a subcategory for each major operation so that all items affecting the major operations are grouped. An example of a system for a relatively large project follows.
    b. Modify the category breakdown to conform to the size and nature of the project. Make the breakdown narrow enough so that reports covering any particular contract item may be obtained with ease. Review the breakdown to verify that it includes all contract items.
    c. Make as many daily reports as necessary to cover all contract item work in the appropriate subcategories.
    d. As indicated in Table 5-1.1., "Example of Subcategories for Project Files," set up a separate subcategory for each structure.

Table 5-1.1. Example of Subcategories for Project Files

Category and Subcategory	Subject	Contract Items in the Operation
46.1	Chronological	All
46.2	Clearing and Grubbing	5
46.3	Roadway Excavation, Ditch Excavation Aggregate Subbase	8,13,11,15, 22
46.4	Salvage Fence, Fence Gates	2, 78, 79, 80
46.5	Guard Railing, Markers, Barricades	1, 4, 82, 83, 87
46.6	Aggregate Base, Cement Treated Base	23, 24
46.7	Hot Mix Asphalt Slurry Seals, Dikes	28, 29, 30, 31, 32
46.8	Concrete Paving	35, 36, 37
46.9	Curbs and Sidewalks Slope Paving, Curb Drains, Spec. Gutter Drains	73, 74, 76, 77
46.10	Minor Structures, Precast Maintenance Hole and Drainage Inlet, Reinforced Steel, Miscellaneous Iron and Steel	42, 69, 70, 46, 75
46.11	Reinforced Concrete Pipe, Corrugated Metal Pipe, Structural Steel Pipe Arch, Drainage Gates, Under/Down Drain, Structure Excavation, Structure Backfill	9, 11, 58
46.12	Preparing Slopes, Straw	16, 17, 18, 19, 20
46.13	Permanent Signing	52, 53, 54, 55
46.14	Highway Lighting and Sign Illumination	88
46.15	Finishing Roadway	21
46.16	Structure 1	89, 90, 91
46.17	Structure 2	89, 90, 91

2. Reports Covering Extra Work

   a. Pending receipt of the contractor's billing, file chronologically the original and one copy of Form DOT CEM-4601, "Assistant Resident Engineer's Daily Report," covering extra work in a subcategory of this category.
   b. After receiving the change order bill report and approving payment, record the change order bill number on both copies of the daily report covering the extra work.
   c. Keep one copy of the daily report in this chronological file and use it to detect future billings for the same work.
   d. File the second copy with the daily extra work report in Category 49, "Change Orders."

Change order bills for material should show the date the material was supplied or placed and referenced to the invoice so that the particular material may be readily identified. Keep a summary of invoices paid and use it as a check against duplicate payment.

The specific system used for filing resident engineer's and assistant resident engineer's daily reports is optional, except for extra work. However, Category 45 and 46 must be used and the file index must clearly show the specific system being used.

Category 47 Drainage Systems

To maintain a record of contract items for drainage systems, use Form DOT CEM-4701, "Drainage System Summary."

Use a Form DOT CEM-4701 for each drainage system shown on the drainage quantity plan sheet. The preliminary work required to set up each system summary includes entering the contract number, the system number, planned station and description of the system, and the preliminary or planned quantities, which are entered from the drainage quantity plan sheet.

The assistant resident engineer describes progress on each drainage system in the daily report and enters estimates of work completed on the "Progress Record" portion of the drainage system summary.

Enter the quantity of work completed during an estimate period or near the end of the estimate period for each item in the "Estimate of Work Completed" portion of the drainage system summary. The quantities of work completed may then be entered on Form DOT CEM-6004, "Contract Transactions Input," and paid on the next estimate. Use the extra column next to the item quantity column to identify the Form DOT CEM-6004 page and line number where the quantity was entered. After all items for a particular drainage system have been calculated and checked, the final quantities are entered in the row labeled, "Actual Q."

To keep track of and reduce the number of drainage system summaries that need to be checked at the end of each estimate period, divide the category into subcategories, such as:

- 47.1 Before Work Starts

  Place the preliminary drainage summaries in this subcategory in numerical order. Each drainage system summary will remain in this subcategory until work starts on that system.

- 47.2 Staked and Being Worked On

  When a drainage system is staked, transfer the drainage summary sheet from Index 47.1, "Before Work Starts," to Index 47.2, "Staked and Being Worked On." Transfer the individual quantity calculation sheets with the drainage summary.

- 47.3 Drainage System Complete, Final Quantities Not Complete

After all work is completed on a particular drainage system, transfer the summary sheet with its calculation sheets to this subcategory. Removing the summary from the preceding Index 47.2, “Staked and Being Worked On,” precludes having to go through completed structure summaries at the end of each estimate period when making entries of work completed. Determination of pay quantities should be made as soon as possible after work on the system is complete.

- 47.4 Final Quantities Completed

  After all quantity calculations for a drainage system are completed and the adjusted quantities entered into the project record, transfer the summary sheet and its calculation sheets to this subcategory.

Since all drainage quantity calculation sheets will remain filed in Category 47, some item-numbered folders in Category 48, “Bid Item Quantity Documents,” may have no documents.

Category 48 Bid Item Quantity Documents

In this category, file source documents supporting contract item quantities. List the subcategories in Category 48 by contract item number order. Identify individual calculation sheets for the contract items in the following manner. A quantity sheet with the number 48.14.2 indicates that it is sheet number 2 covering contract item number 14 and filed in Category 48. Some drainage item quantity documents may be filed in Category 47, “Drainage Systems.”

Category 49 Change Orders

In this category, file change orders and supporting documents in numerical order. Subcategories of this category are change order numbers in numerical order.

The contents of each subcategory are:

- The Form DOT CEM-4900, “Change Order,” Form DOT CEM-4903, “Change Order Memorandum,” and any accompanying correspondence.
- Form DOT CEM-4901, “Change Order Input.”
- Daily change order bills and reports matched with assistant resident engineer’s daily reports.

Two additional subcategories may be:

- The *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book applicable to the contract.
- Equipment rental rates and memos covering rates not shown in the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book.

Category 50 Adjustment in Compensation Calculations

In this category, file project documents and calculations to support adjustments in compensation.

After a change order is written, the supporting project documents may be transferred to the change order file or remain in this category. Provide cross references between Categories 49 and 50 when the supporting documents and calculations remain in Category 50.

List the subcategories under this category by contract item numbers.

Category 51 Materials on Hand

In this category, file Form DOT CEM-5101, "Request for Payment for Materials on Hand," the related evidence of purchase, and any other project documents supporting material on hand payments.

Category 52 Charges to Total Contract Allotment

In this category, file the documents supporting charges to the contract allotment for materials and services supplied by Caltrans.

Divide the category into the following subcategories:

- Caltrans-Furnished Material and Expenses

  In this subcategory, file the contractor's letters requesting delivery of Caltrans-furnished materials. Also, save shipping and receiving records on Caltrans-furnished material and file the related records together.

- Service Contracts

  In this subcategory, file supporting documents of project-related services. These are not the service contracts connected with the project office.

Category 53 Credit to Contract

In this category, include a subcategory to keep a record of any salvaged or surplus material. Also set up a subcategory for copies of daily extra work reports that cover work to maintain and repair damage to state property, except damage the contractor caused. Refer to Section 3-519, "Maintenance and Protection," of this manual.

Credit received for salvaged or surplus material or repair of damage is not applied to the contract allotment and the project is not given credit for any additional money to spend.

Category 54 Deductions From Payment to Contractor

In this category, file documents related to deductions from payments to contractors. Possible subcategories include the following:

- Royalties on material
- Materials bought for the contractor by Caltrans
- Laboratory testing done for the contractor; refer to Section 6, "Control of Materials," of the *Standard Specifications*
- Restaking, engineering and inspection costs charged to the contractor

- Cost of damaged or missing state-owned signs
- Railroad flagging charges
- Noncompliance with the equal employment opportunity provisions of the contract
- Liquidated damages; refer to Section 3-906G, “Deductions,” of this manual
- Any other deductions; refer to Section 3-9, “Payment,” of this manual

Category 55 Partnering

This category is for filing all documents related to partnering meetings, workshops, awards applications, and evaluations. Subcategories may include:

- Form DOT CEM-5501, “Partnering Facilitator Evaluation—Kickoff”
- Form DOT CEM-5502, “Partnering Facilitator Evaluation—Closeout”
- Form DOT CEM-5503, “Caltrans Partnering Success in Motion Award Application”
- Form DOT CEM-5504, “Caltrans Excellence in Partnering Award Application”

Category 56 Extra Category Number

Use this extra category number for project documents that do not fit in currently established categories. When used, enter the name and number of the category on the index sheet.

Category 57 Permanent Pedestrian Facilities

This category is for filing compliance inspection reports, preconstruction and post-construction surveys, and Americans with Disabilities Act (ADA) project compliance certification documents. Subcategories may include:

- Form DOT CEM-5773ADE, “Curb Ramp (Case A, D, or E) Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Form DOT CEM-5773B, “Curb Ramp (Case B) Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Form DOT CEM-5773C, “Curb Ramp (Case C) Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Form DOT CEM-5773CH, “Curb Ramp (Case CH) Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Form DOT CEM-5773CM, “Curb Ramp (Case CM) Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Form DOT CEM-5773DW, “Sidewalk at Driveway Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Form DOT CEM-5773FG, “Curb Ramp (Case F or G) Americans with Disabilities Act (ADA) Compliance Inspection Report”

- Form DOT CEM-5773NSPL, “Curb Ramp (Non-Standard Plan—Parallel) Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Form DOT CEM-5773NSPP, “Curb Ramp (Non-Standard Plan—Perpendicular) Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Form DOT CEM-5773P, “Parking Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Form DOT CEM-5773PW, “Passageway Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Form DOT CEM-5773SW, “Sidewalk Americans with Disabilities Act (ADA) Compliance Inspection Report”
- Pre- and postconstruction surveys
- Form DOT CEM-5773, “Americans with Disabilities Act (ADA) Project Compliance Certification”

Category 58 Extra Category Number

Use this extra category number for project documents that do not fit in currently established categories. When used, enter the name and number of the category on the index sheet.

Category 59 Bridge Estimate Data

In this category, file the bridge estimate data as covered in the *Bridge Construction Records and Procedures Manual*.

Category 60 Contract Administration System Inputs and Reports

This category contains documents from Contract Administration System (CAS). Possible subcategories are:

- Form CEM-6003, “Progress Pay—Estimate Project Initiation or Update”
- Form DOT CEM-6004, “Contract Transactions Input”

The following CAS reports are cumulative. Only the most current results need to be retained.

- Status of contract items
- Project record item sheets
- Status of change orders
- Change order master listing

Category 61 Estimate and Project Status

In this category, file monthly Project Record—Estimate Request documents. The suggested subcategories of this category are:

- Project Contingency Fund Status

- Estimate

The following documents may be filed by estimate number in numeric order:

- Form DOT CEM-6101, “Project Record—Estimate Request”
- Verification of pay estimate
- Progress payment voucher
- Estimate processing results
- Project record—estimate and project status

Category 62 Disputes

In this category, file notes, photographs, information, and other project documents that may be necessary to establish facts with respect to a dispute. Include any documents that may be related to a dispute in this category or briefly describe and cross-reference them.

Number notices of potential claims in chronological order. Use these numbers for subcategories.

The scope of this category depends upon the nature and circumstances of the dispute. The following types of documents indicate the type of information that should be included:

- Form DOT CEM-6201D, “Initial Potential Claim Record.”
- Acknowledgment of the contractor’s dispute.
- Disputes Review Board agreement.
- Contractor’s claim for a time extension, and cross-reference it to Category 27, “Weekly Statement of Working Days.”
- Acknowledgment of the contractor’s claim for time extension.
- Other correspondence relating to disputes.
- Photographs pertaining to disputes.

Category 63 Project Completion Documents

In this category, file documents related to the completion of the project. The following are suggested subcategories:

- Form DOT CEM-6301, “Contract Acceptance”
- Form DOT CEM-6302, “Final Materials Certification”
- Punchlist

5-102D Category Numbers and Headings

For quick reference for filing project documents, the following table lists each category number and its respective heading.

Table 5-1.2. Category Numbers and Headings (1 of 2)

Category Number	Category Heading
1	Project Personnel
2	Project Office Equipment and Supplies
3	Equipment and Personnel Cost Reports
4	Service Contracts
5	General Correspondence
6	Safety
7	Public Relations
8	Construction Surveys
9	Welding
10	(extra category number)
11	Information Furnished at Start of Project
12	Contractor
13	Signs and Striping
14	Photo Records
15	Accidents
16	Utility Agreements
17	Utility Work Performed
18	Agreements
19	Hazardous Waste and Hazardous Materials
20	Water Pollution Control Plan or Stormwater Pollution Prevention Plan
21	Construction or Maintenance Zone Enhanced Enforcement Program
22	Traffic Management Information
23	Temporary Pedestrian Access Routes
24	Disadvantaged Business Enterprises and Disabled Veteran Business Enterprises
25	Labor Compliance and Equal Employment Opportunity
26	Progress Schedule
27	Weekly Statement of Working Days
28	Weekly Newsletter
29	Materials Information and Preliminary Tests

Table 5-1.2. Category Numbers and Headings (2 of 2)

Category Number	Category Heading
30	Basement Soil Test Results
31	Notice of Materials to Be Used
32	Notice of Materials to Be Inspected at Job Site
33	Notice of Materials to Be Furnished
34	Treated Base
35	Hot Mix Asphalt
36	Concrete, Other Than Structure Items
37	Initial Tests and Acceptance Tests
38	Quality Control
39	Materials Testing Qualifications of Employees
40	Field Laboratory Assistant Reports to Resident Engineer
41	Report of Inspection of Material
42	Material Plants
43	Concrete and Reinforcing Steel
44	Recycle Materials and Diversion of Solid Waste
45	Resident Engineer's Daily Reports
46	Assistant Resident Engineer's Daily Reports
47	Drainage Systems
48	Bid Item Quantity Documents
49	Change Orders
50	Adjustment in Compensation Calculations
51	Materials on Hand
52	Charges to Total Contract Allotment
53	Credit to Contract
54	Deductions from Payment to Contractor
55	Partnering
56	(extra category number)
57	Permanent Pedestrian Facilities
58	(extra category number)
59	Bridge Estimate Data
60	Contract Administration System Inputs and Reports
61	Estimate and Project Status
62	Disputes
63	Project Completion Documents

5-102E Alphabetical Listing of Categories

For quick reference for filing project documents, the following table lists each category name in alphabetical order and its respective category number.

Table 5-1.3. Alphabetical Listing of Categories (1 of 2)

Category Name	Category Number
Accidents	15
Adjustment of Compensation Calculations	50
Agreements	18
Assistant Resident Engineer's Daily Reports	46
Basement Soil Test Results	30
Bid Item Quantity Documents	48
Bridge Estimate Data	59
Change Orders	49
Charges to Total Contract Allotment	52
Concrete and Reinforcing Steel	43
Concrete, Other Than Structure Items	36
Construction or Maintenance Zone Enhanced Enforcement Program	21
Construction Surveys	8
Contract Administration System Inputs and Reports	60
Contractor	12
Credit to Contract	53
Daily Reports, Assistant Resident Engineer's	46
Daily Reports, Resident Engineer's	45
Deductions from Payment to Contractor	54
Disadvantaged Business Enterprises and Disabled Veterans Business Enterprises	24
Disputes	62
Drainage Systems	47
Estimate and Project Status	61
Equipment and Personnel Cost Reports	3
(extra categories)	10, 56, 58
Field Laboratory Assistant Reports to Resident Engineer	40
General Correspondence	5
Hazardous Waste and Hazardous Materials	19
Hot Mix Asphalt	35

Table 5-1.3. Alphabetical Listing of Categories (2 of 2)

Category Name	Category Number
Information Furnished at Start of Project	11
Initial Tests and Acceptance Tests	37
Labor Compliance and Equal Employment Opportunity	25
Materials on Hand	51
Material Plants	42
Materials Information and Preliminary Tests	29
Materials Testing Qualifications of Employees	39
Notice of Materials to Be Furnished	33
Notice of Materials to Be Inspected at Job Site	32
Notice of Materials to Be Used	31
Partnering	55
Permanent Pedestrian Facilities	57
Photo Records	14
Progress Schedule	26
Project Completion Documents	63
Project Office Equipment and Supplies	2
Project Personnel	1
Public Relations	7
Quality Control Quality Assurance	38
Recycle Materials and Diversion of Solid Waste	44
Report of Inspection of Material	41
Resident Engineer’s Daily Reports	45
Safety	6
Service Contracts	4
Signs and Striping	13
Temporary Pedestrian Access Routes	23
Traffic Management Information	22
Treated Base	34
Utility Agreements	16
Utility Work Performed	17
Water Pollution Control Plan or Stormwater Pollution Prevention Plan	20
Weekly Newsletter	28
Weekly Statement of Working Days (Form DOT CEM-2701)	27
Welding	9

5-103 The Contract Administration System

5-103A General

This section describes the Contract Administration System (CAS), sometimes referred to as “the progress pay system.” The primary purpose of this computer system is to help administer Caltrans construction projects. Functional units within the Division of Construction update and maintain records on individual contracts in CAS from the award and approval of the contract through to the completion and final payment.

CAS is one of three subsystems of the Project Information System and Analysis (PISA). The three PISA subsystems that make up the primary computer system that Caltrans uses for tracking contract capital costs are: planning and design, bidding and award, and project construction. Each module of PISA passes data to the next module as a project progresses from conception to completion. Refer to Figure 5-1.1., “Contract Administration System, Systems Interface,” of this manual for a general overview of how CAS relates to the other components of the Caltrans computer system used for tracking and paying contract capital costs.

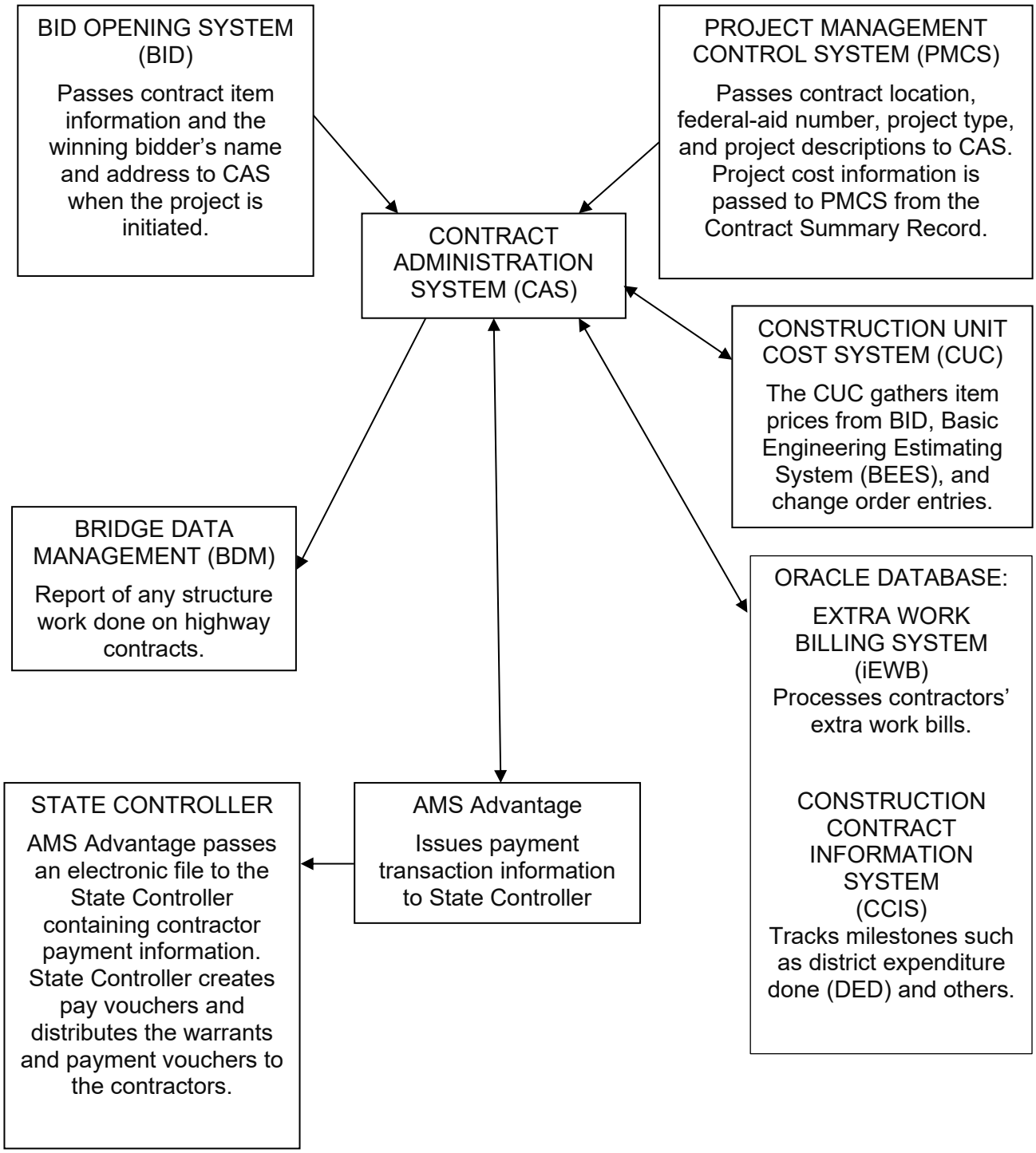
CAS is also composed of many separate modules, each of which accomplishes a distinct function. The following are the most common CAS modules:

- Project initiation and update
- Contract transactions
- Change order
- Daily extra work report
- Project record estimate
- Reports
- Online update and inquiry

Resident engineers use these modules to do the following:

- Account for quantities from source documents
- Account for change orders and payments for extra work
- Determine the status of the projects’ financing
- Authorize payments to contractors

Figure 5-1.1. Contract Administration System, Systems Interface



5-103B Project Initiation and Update

5-103B (1) Major and Minor A Contracts

When Caltrans has determined the lowest responsible bidder, the office engineer will transfer project data from the bid opening system to CAS. Usually, this data transfer will occur before awarding the contract and before determining the total allotment. When this information about the award and total allotment becomes available, the Division of Construction will update the computer file by adding to or changing existing information. Items of work are tracked as either federally participating or nonparticipating.

Immediately after the new contract information in the computer file has been transferred from the bid opening system, the data is available to the district for processing. The district must update the file with district information such as the resident engineer's name and address, the bridge representative's name, and the project's password. To perform the update, the district uses Form CEM-6003, "Progress Pay—Estimate Project Initiation or Update," which is explained in more detail in Section 5-103B (3), "Completing Form CEM-6003, 'Progress Pay—Estimate Project Initiation or Update,'" of this manual.

After receipt of the contract award summary, progress pay may be initiated. The Division of Construction progress pay desk verifies the contractor voucher name and address and enters project fund information into CAS from the contract award summary. The district estimate desk verifies the bid open date. Using the CAS data-entry screen, the district estimate desk enters the award, approval, completion, and acceptance dates; the number of working days; the plant establishment period; and time-related overhead information into CAS from the contract award summary, approval memo, and the Form DOT CEM-6301, "Contract Acceptance."

The result of the district's file update will be a dummy Form DOT CEM-6101, "Project Record—Estimate Request," and a contract contents report, which lists contract items. The form and report should be checked thoroughly and any discrepancies brought immediately to the attention of the Division of Construction progress pay coordinator.

During a contract's life, the contractor may request a local address change or a legal name change. The district must maintain the accuracy of local address information in CAS using Form CEM-6003. The State Controller mails progress payment checks. Only the headquarters Division of Construction progress pay coordinator is authorized to make changes to the address from Form DOT CEM-1202B, "Contractor Action Request—Assignment of Contract Monies, Assignee Change of Name/Address," verified by the resident engineer with the Division of Construction field coordinator's concurrence.

5-103B (2) Emergency Contracts in Excess of Minor B Limits

Payment for all emergency contracts estimated at greater than the Minor B contract limit in construction cost is to be paid through CAS. The Minor B limit is evaluated

and re-established every 2 years and the Division of Procurements and Contracts (DPAC) announces the new policy by issuing a DPAC Information Bulletin and posting it to its Onramp page.

The district performs the initial setup of emergency contracts in CAS using the Emergency Force Account (EFA) Contract Initiation Instructions in CAS (Contract Administration System). The headquarters estimate desk performs the final setup steps. Entering the emergency contract in CAS is typically performed after the "Confirmation of Verbal Agreement" has been issued, but before the contract is authorized. This allows the contractor and the engineer to begin processing change order billings using the iEWB system. Progress estimates must not be requested until confirming the contract has been authorized and the AMS Advantage contract document has reached the final stage.

To establish a contract in CAS, a minimum of one contract item must be used. This is typically covered by establishing one item for the contract payment bond. CAS requires at least one change order to be issued to process change order billings. The change order is administrative only and is to be determined based on the total contract allotment for the project minus:

- Payment bond, typically designated to bid item #1
- Caltrans-furnished material and expenses
- $15,000 to compensate for CAS overrun allowed by CAS before it prevents further payment

Example: calculating change order number 1, supplement 0

Total contract allotment for project = $1,000,000.00

Payment Bond = $25,000.00

Total Caltrans-furnished materials and expenses = $60,000.00

Allowable CAS overrun = $15,000.00

Amount of change order 1, supplement 0 is = $1,000,000.00 – (25,000.00 + 60,000.00 + 15,000.00) = $900,000.00

Following the formula is the best practice for preventing change order billings from exceeding available funds for non-Minor B emergency contracts and aligning with the *Emergency Work Guidance*. Caltrans staff can access the *Emergency Work Guidance* publication by going to the Division of Construction's "Emergency Contracting" webpage on Onramp.

5-103B (3) Completing Form CEM-6003, "Progress Pay—Estimate Project Initiation or Update"

The purpose of Form CEM-6003 is to add new information, or to change information, in the computer file. The computer program will accept changes only for contracts in one's own district.

Except for the “Project Key,” complete only the data fields that need to be updated. The computer program will ignore blank fields and will place the data from the completed fields in the file whether or not such information is already on file. Fields left blank on the input form do not change what is in the file.

Make sure the data entered on the form conforms to these rules, listed by data field as follows:

5-103B (3a) Project Key

Enter the letter “U” under “FB,” and in the remaining spaces, enter the district and contract number.

5-103B (3b) Card Type C05

Each field is independent and can be updated separately.

For the following data fields under card type C05, list the following:

- Resident engineer’s phone number.
- Responsible unit: Enter a 4-digit source unit value in Enterprise Resource Planning Financial Infrastructure (E-FIS). Warning: Until this number is in the computer file, progress pay estimates cannot be processed.
- Date work started: Enter the date the contractor began work on the job site. If the contractor has not begun, leave this field blank and submit an update when work begins.
- Estimated date for completion: Enter the best estimate, not the calculated completion date. When progress estimate requests are submitted, this date is updated.
- Password: Use of this feature is optional. Enter any combination of six characters. The characters may be alphabetic, numeric, or include any of the following special characters: *, /, =, (,), +, -, @, #, %, &. Once established, this password is required when filing, among other things, contract item payments, using Form DOT CEM-6004, “Contract Transactions Input.” The password will restrict access to the computer files.
- Suspension or reactivation: If a contract is suspended, enter the date of suspension and “S” in the “SR” column. When the suspended contract is reactivated, enter the date of reactivation and “R” in the “SR” column. The deadline from the suspension or reactivation date to enter this information into the computer is 30 calendar days.
- First Chargeable Working Day: Enter the date that contract time begins, usually 15 calendar days after the approval date. This is the date used to calculate the number of working days that determine satisfactory progress and the percent of time elapsed.

5-103B (3c) Card Type C06 to C08

Resident engineer's mailing address: On the first line, enter the resident engineer's last name first, followed by a comma. Then enter a space and the first name, followed by a space and middle initial; for example, SMITH, John C. On the second and third lines, enter the mailing address of the Construction field office. Warning: The computer program treats all three lines as a single "data field." If the field needs to be changed, all 3 lines must be reentered.

5-103B (3d) Card Type C09 to C14

Only the headquarters Division of Construction progress pay coordinator can change the address in CAS.

To change the contractor's local address, enter the contractor's name on line C09, and as necessary, continue the name on lines C10 through C12. Leave unused lines blank.

Enter the contractor's local address on lines C13 and C14. Also enter the contractor's local phone number on line C14.

Warning: The resident engineer must enter the entire name and address each time to update any or all of these lines. A single line cannot be updated.

5-103B (3e) Card Type C15

For the following data fields under card type C15, do the following:

- Bridge representative's name: If the contract requires structure work, enter the structure representative's name even if it is the same name as the resident engineer's. Enter only the last name and first initial; for example, SMITH, J.
- Responsible unit: Though the current financial system, E-FIS, now uses a 4-digit source unit value, enter the previous financial system's TRAMS 3-digit source unit value. The unit may range from 550 to 599.
- Original authorized amount for structure work: At the contract's start, the resident engineer and the structure representative must determine the initial value of the required structure work. This value should include any portion of the contract item for mobilization that will be claimed as structure work. Warning: If this amount is not on file, Structure Construction cannot obtain any reports for this contract.
- Mobilization percentage: Enter, to the nearest whole percent, the portion of the contract item for mobilization that will be claimed as structure work.
- Structure completion: Enter a "C" to indicate the completion of structure work.

5-103B (4) Processing

CAS analyzes the changes made to the computer file and does the following:

- CAS notes whether the district is updating the “Responsible Unit” field for the first time. If so, CAS prints a dummy Project Record—Estimate form and a Contract Contents Report.
- If this update is not the first update, CAS prints only the first page of the Contract Contents Report. CAS prints the dummy Project Record—Estimate form only if the contractor’s name and address field has been changed.
- CAS also prints a list of update requests, which is a summary report of all fields that have been updated in this run.

5-103C Contract Transactions

Most data submitted to CAS will be contract transactions from the resident engineer on Form DOT CEM-6004, “Contract Transactions Input.” Contract transactions are divided into the following 3 categories:

- Contract item transactions: These consist of 5 types of transactions that refer to contract items.
- Miscellaneous transactions: These consist of 4 types of transactions to handle general project needs.
- Change order transactions: These consist of 3 types of transactions that refer to change orders.

The Contract Transaction Processing Module processes 12 transaction types. Together with the services that the change order and Daily Extra Work Report Processing Modules perform, these modules are sufficient to generate contract records that provide control of progress payments and track the financial status of the contract.

5-103C (1) Transaction Types

The following subsections describe, by category, the 12 possible transaction types.

5-103C (1a) Contract Item Transactions

CAS provides five ways to refer to a contract item in Form DOT CEM-6004. An additional way is by including the item as part of a change order. This will cause the authorized quantity to be adjusted automatically. Thus, the resident engineer does not have to account for status changes because of change orders. Contract items can be referenced through the following contract item transactions:

- Contract item payment: Make item payments by posting line entries to Form DOT CEM-6004 in any order. Indicate bridge items by entering “B” in the proper column. If the Bridge Quantities by Structure report is used, the resident engineer must also enter the structure number in accordance with instructions in Bridge Construction Memo C-9, “Preparation of Progress Payment Documents,” of the *Bridge Construction Records and Procedures Manual, Vol. 1*. Refer to Figure 5-1.2., “Sample of Form DOT CEM-6004, ‘Contract Transactions Input,’ ” Line 01, of this manual.

- Contract item quantity balance: The authorized quantity may be adjusted, if necessary, by submitting quantity balances as line entries on Form DOT CEM-6004. This type of transaction might be needed for various reasons. For example, a need might exist because of an engineer's incorrect estimate for a contract item that would have a major effect on the contingency balance. This transaction type adjusts the authorized final cost for the project, as shown in the later discussion of progress pay estimates. Refer to Figure 5-1.2., Line 02 of this manual.
- Contract item anticipated change: This transaction gives the engineer a method to allocate project funds to a specific contract item based on knowledge of anticipated additional or decreased work. Such transactions affect the estimated final quantity for the item and the estimated final cost for the project. The effect of these transactions is cumulative. If additional work is authorized by change order, a reverse entry is necessary. Refer to Figure 5-1.2., Line 03 of this manual.
- Contract item final balance: When work is completed on a contract item, enter this fact into the system. This entry will mark the item in the computer file as "Complete." On all subsequent progress pay estimates, the authorized quantity and the estimated final quantity will default to the amount paid to date, thus automatically balancing out the item. Additional item payments may be made, and the system will continue to balance the contract items. Refer to Figure 5-1.2., Lines 04 and 05 of this manual.
- Contract item final balance ("Reopen"): This transaction allows the user to reverse the status of the contract item from "Complete" to "Active." For example, use "Reopen" to change an incorrect entry that showed the item was complete. Refer to Figure 5-1.2., Line 06 of this manual.

5-103C (1b) Miscellaneous Transactions

The four transaction types in the following list comprise "miscellaneous transactions," the second category of contract transactions:

- Anticipated change: Use this transaction to record anticipated additional or decreased work when it is not possible or desirable to tie the anticipated change to a specific contract item or change order. These transactions are not cumulative and will affect the project's estimated final cost only on the next progress pay estimate to be generated. Refer to Figure 5-1.2., Line 07 of this manual.

  These transactions are placed in the computer file, and their sum will appear on the next progress pay estimate that generates payment. If the next estimate is a supplemental progress pay estimate, only enter materials on hand payment requests if the materials on hand payment request was mistakenly omitted from the previously run progress pay estimate.
- For more information about materials on hand, refer to Section 3-9, "Payment," and Figure 5-1.2., Line 08 of this manual.

- State-furnished materials allotment transfer: Use this transaction to increase or decrease the value of the state-furnished materials allotment for the contract. The construction allotment will automatically adjust. To increase the state-furnished materials allotment, enter a positive number. This type of entry will decrease the contingency balance. Refer to Figure 5-1.2., Line 09 of this manual.
- Total allotment changes: Use this transaction to enter into the system any supplemental allotment that increases or decreases the contract's total allotment. The total allotment in the computer file will adjust automatically as will the construction allotment. The construction allotment is defined as the total allotment less the Caltrans-furnished materials allotment. Refer to Figure 5-1.2., Line 10 of this manual.

5-103C (1c) Change Order Transactions

The following 3 transaction types comprise "change order transactions," the final category of contract transactions:

- Change order anticipated change: This transaction has the same effect as the contract item anticipated change, except that a change order is being changed. Refer to Figure 5-1.2., Line 11 of this manual.
- Change order final balance: This transaction has the same effect as a contract item balance. When work on a change order is finished, mark it "Complete" by entering this transaction. As with contract items, additional change order bills may be paid, and the system will continue to balance the change order. Refer to Figure 5-1.2., Line 12 of this manual.
- Change order final balance ("Reopen"): This transaction reverses the status of the change order from "Complete" to "Active." Refer to Figure 5-1.2., Line 13 of this manual.

5-103C (2) Completing Form DOT CEM-6004, "Contract Transactions Input"

The resident engineer will use Form DOT CEM-6004 more often than any other form in CAS. This section contains a completed sample of the form in Figure 5-1.2., "Sample Form DOT CEM-6004, 'Contract Transactions Input.' "

Make the entries on Form DOT CEM-6004 as soon as the information becomes available. Partially filled pages are acceptable.

Figure 5-1.2. shows some transactions. Note that leading zeros are not required in the numeric fields and that the plus sign is not required in the plus or minus columns. The following instructions are for the fields common to all transactions:

- Enter the district, contract number, password if used, and page number. These fields must be completed. Warning: Assigning duplicate page numbers will cause all transactions on the page to be rejected.
- Enter the posting date.

- Enter the source document description. If the transaction type refers to a project source document, for example, a calculation sheet or a scale sheet, enter into the form's description column an adequate description of the source document. The source document must cross reference to Form DOT CEM-6004. Post the page number, line number, and posting date from Form DOT CEM-6004 to the source document. Refer to Figure 5-1.3., "Sample Form DOT CEM-4801, 'Quantity Calculations,' " for a typical source document.
- Note: The last 6 characters of the source document description can be the structure number if this item concerns structure work. Refer to Figure 5-1.2., Line 01 of this manual.
- Mark the structure field with the character "B" if this transaction concerns "structure work." Otherwise, leave the space blank. If the "Bridge Quantities by Structure," report is used, also enter the structure number in accordance with the instructions in Bridge Construction Memo C-9, "Preparation of Progress Payment Documents," of the *Bridge Construction Records and Procedures Manual, Vol. 1*.

The form's remaining fields are divided into two sections, "Contract Item Entries," and "All Other Entries." If any entry is made in one or more fields of one of the sections, all fields in the other section must be left blank. A single line entry cannot be used for both.

5-103C (2a) Contract Item Entries

Each type of contract item transaction has its own format on Form DOT CEM-6004. The following are the rules for making contract item entries:

- Quantity balance transactions:
  - Lump sum items cannot be quantity balanced. If this is attempted, the transaction will be rejected.
  - If the quantity balance is greater than the bid quantity, a warning message is issued.
  - If the value of the quantity balance exceeds $100,000, a warning message is issued.
  - The new authorized quantity is calculated. If it is negative, the transaction will be rejected.
  - If the new authorized quantity is less than the total payment for the next estimate, a warning message is issued. Take appropriate action on this warning, such as estimating the final quantity and entering the increase, covering the increase by change order, or requesting the computer to final balance the item. Such action is necessary to keep the project's status of funds current.
- For item final balance and item final balance "Reopen," the item status is set to "Complete," or "Active," respectively. The system does not check to see if the item is a lump sum item or a final pay item.

- Item anticipated quantity change:
  - If the anticipated quantity change is greater than the bid quantity, a warning message is issued.
  - If the value of the anticipated quantity change exceeds $100,000, a warning message is issued.
  - A new estimated final quantity is calculated. If this estimated final quantity is negative, a warning message is issued.
  - If the new estimated final quantity is less than the total payment for the next estimate, a warning message is issued.
- Item payment:
  - Any transactions for the item “Mobilization” are rejected.
  - Any transactions for a void item will be rejected.
  - If the payment quantity is greater than the bid quantity, a warning message is issued.
  - If the value of the payment quantity exceeds $100,000, a warning message is issued.
  - The new total payment for the next estimate is calculated. If the total is negative, the transaction is rejected. Negative transactions under “This Estimate” will be accepted.
  - If the contract item is a lump sum item and the total payment for the next estimate would exceed 100 percent, the transaction is rejected.
  - If the contract item is not a lump sum item, the new total payment for the next estimate is compared to 125 percent of the bid quantity and the authorized quantity. Warning messages are issued if the total payment is more than one or both of these.
  - If the system issues any warning or rejection messages while it processes transactions for a contract item, the complete status of the item will be printed on the Contract Transactions Input Edit report before the system begins processing the next contract item. Use this printout to determine the reason the system issued the message.
- Percentages for lump sum quantity payments must be expressed as decimals. Only 3 decimal places are available. If 5 percent is to be paid, it must be entered as 0.050; 5.00 is 500 percent.

5-103C (2b) Miscellaneous Transactions

The following are the rules for noting miscellaneous transactions:

- Anticipated changes:
  - If the amount anticipated exceeds $100,000, a warning message is issued.

- If the amount anticipated exceeds 10 percent of the construction allotment, a warning message is issued.

- Materials on hand payments:
  - If the amount exceeds $100,000, a warning message is issued.
  - If the amount is negative, a warning message is issued. The system assumes that this is a correcting entry to a previous transaction accepted by the system and not yet processed for payment.
  - A total is calculated for payment for the next estimate. This is the sum of all transactions since the last estimate. If the total is negative, a warning message is issued.
- Caltrans-furnished materials allotment transfer:
  - If the amount of the transfer exceeds $100,000, a warning message is issued.
  - A new total is calculated for the Caltrans-furnished materials allotment. If it is negative, the transaction is rejected.
- Total allotment changes:
  - If the amount exceeds $100,000, a warning message is issued.
  - If the amount exceeds 10 percent of the total allotment, a warning message is issued.
  - If the amount of the change is negative, a warning message is issued.
  - A new total allotment is calculated. If the amount is negative, the transaction is rejected.
  - If the new total allotment is less than the total paid to date on the last estimate, a warning message is issued.

5-103C (2c) Change Order Transactions

The following are the rules for change order transactions:

- For the change order anticipated change, the new estimated final cost is computed for the change order and reported. The system does not do any checking.
- Change order final balance and final balance “Reopen”:
  - The change order status is set to “Complete,” or “Active,” respectively. The system does not do any checking.
  - For a change order final balance “Reopen,” the word “Reopen” must be left-justified.

5-103C (2d) General

The Contract Transactions Processing Module will sort the transactions into order, will edit each transaction for reasonableness and conformance to this manual, and will either accept or reject each transaction. From this processing, the system will

issue a report titled “Contract Transactions Input Edit.” This report will list the disposition of each line entry that is submitted. A comprehensive set of warning messages exists. Do not ignore warning messages on the report.

Do not use the same page and line numbers again.

A summary can be found on the last page of the Contract Transactions Input Edit report. The summary lists each Form DOT CEM-6004 page that was processed and the numbers of transactions on that page that were accepted, for which warnings were issued, or that were rejected. Any missing line numbers on the page or breaks in the sequence of line numbers will be printed. Use this list to make sure that all the transactions are entered into the system.

Examine the remainder of the report. Respond to rejected entries and possibly to warnings.

5-103C (2e) Audit Trail

In any accounting procedure, it is necessary to link transactions to the specific source documents that generate the transactions. This linking is called an audit trail. Change orders and daily extra work reports carry unique identifying numbers that CAS uses in its processing. Here, a good audit trail is automatic. However, contract transactions are different, because there is no automatic reference to a unique source document.

CAS provides methods of cross-reference. Caltrans is responsible for an adequate audit trail. Note that Form DOT CEM-6004 is an intermediate document in this respect.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
CONTRACT TRANSACTIONS INPUT
DOT CEM-6004 (REV 02/2025) CT#7541-3515-0

1 DIST: 07 | 3 CONTRACT NO.: 1381U 4 | 9 PASSWORD: | CASØAT | PAGE NO. 004 (15–17)

LINE NO. (18)	DATE MO. (20)	DATE DAY (22)	SOURCE DOCUMENT DESCRIPTION (24–43)	RTE	CONTRACT ITEM ENTRIES: ITEM NO. (46)	+ - (48)	QUANTITY (UNITS) (49–60)	CODE	ALL OTHER ENTRIES: CCO NO. (82–84)	+ - (86)	AMOUNT(S) (88)	TYPE (74)	ENT BY	✓ BY
01	05	19	48-14-17	b	14		1,273						Time	URW
02	05	19	MAIL BOX ON ELM ST.		28		15	Q					Time	URW
03	05	19	ANT. ELIM. AC ON FL		38	-	1,500	A					Time	URW
04	05	19	BAL. COMPL. ITEM 6		6			F					Time	URW
05	05	19	48-8-2		8		152						Time	URW
06	05	19	RESTORE STATUS		39		REOPEN	F					Time	URW
07	05	19	REV GRADE FR2 LINE								15,000	ANT	Time	URW
08	05	19	51-4-2								2,174 7	MHS	Time	URW
09	05	19	52-4-1								2,000	SFM	Time	URW
10	05	19	11-3-1								315,000	TAC	Time	URW
11	05	19	DELET DRAINAGE						29		10,000	ACC	Time	URW
12	05	19	BAL. COMPL. CCO 18						18			BAL	Time	URW
13	05	19	RESTORE STATUS						5			BAL	Time	URW
14														
15											REOPEN			
16														
17														
18														
19														
20														
21														
22														
23														
24														

Refer to Section 5-103C (1) for a description of transaction types.

IN CASE OF QUESTION CONTACT: NAME _____ PHONE _____ VERIFY

93 95682

SAMPLE

Figure 5-1.2. Sample Form DOT CEM-6004, "Contract Transactions Input"

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

QUANTITY CALCULATIONS

DOT CEM-4801 (REV 09/2025) CT# 7541-3520-0

JOB STAMP	ITEM	FILE NUMBER
07-1381U4 07-LA-210-47.5/57.3 Fed. No. (NONE)	8 Temp Railing (Type K)	48-8-2
	LOCATION Ramp 3	SEGREGATION ☐ YES ☒ NO
	CALCULATED BY A. Rodriguez	DATE 08/27/2026
	CHECKED BY R. Jones	DATE 08/28/2026

Field Measurement:

Field Counted: Yes

Estimated Quantity: 400

Unit of Measurement: linear feet

Final Pay Item:

Unit Price: $25.00

75% = 300

125% = 500

Remarks or Other Calculations:

PAY THIS ESTIMATE: 200 feet

PREVIOUS PAID: 100 feet

TOTAL TO DATE: 300 feet

BID ITEM LIST QUANTITY 400 LF

APPROVED CHANGE ORDERS REVISED QUANTITY N/A

TOTAL AUTHORIZED QUANTITY N/A

PAY THIS SHEET 200 LF

PAY THIS ESTIMATE 200 LF

PREVIOUSLY PAID 100

TOTAL PAID TO DATE 300 LF

ITEM COMPLETED ☐ YES ☒ NO

POSTED BY	DATE	POSTED TO
Jim Smith	09/03/2026	DOT CEM-6004, page 4, line 5

SAMPLE

Figure 5-1.3. Sample Form DOT CEM-4801, "Quantity Calculations"

5-103C (3) Computer Processing

The contract item totals in the following list are kept for contract work and for structure work so that the totals can be reported separately when appropriate. Records of the financial status of the contract items are maintained as follows:

- Bid quantity: This quantity cannot be changed.
- Authorized quantity: This item is the total of the bid quantity and the algebraic sum of the quantity changes as a result of change orders that have been filed.
- Authorized quantity: This item is the total of the authorized quantity and the algebraic sum of the quantity balances that the engineer entered.
- Anticipated final quantity: This item is the total of the authorized quantity and the algebraic sum of the anticipated quantity changes that the engineer entered.
- Item status flag: This flag is a file mark that indicates whether a contract item is "Active," "Deleted," or "Completed."

5-103D Change Orders

Contract Administration System (CAS) maintains separate records for each authorized change order on a project. As each change order is authorized, it must be entered into CAS using Form DOT CEM-4901, "Change Order Input."

The method of entering each change order into the system may vary from district to district, but can be done as follows:

- The resident engineer writes a change order and completes Form DOT CEM-4901, "Change Order Input." For approval procedures, refer to Section 5-3, "Change Orders," of this manual. The approval date must be entered on Form DOT CEM-4901, and the Form DOT CEM-4901 data is then entered into CAS.
- The result of entering the form data for each change order will be a change order report and a disposition report.
- The resident engineer should review the change order report and correct any errors. CAS automatically makes the following changes to the contract records:
    - The authorized final cost, the estimated final cost, the authorized contingency balance, and the estimated final contingency balance are adjusted to new values.
    - The totals for changes in extra work, adjustment of compensation, and contract items are adjusted to new values.
    - Each affected contract item will have the authorized quantity adjusted to reflect the change.
- Immediately after Form DOT CEM-4901 has been processed, CAS will accept change order bills and anticipated changes that refer to the change order.

- When CAS processes a supplemental change order, the daily extra work reports that are in the holding file because of insufficient funds in the original change order will be made available for payment.

5-103D (1) Completing Form DOT CEM-4901, "Change Order Input"

Use Form DOT CEM-4901 to perform the following functions:

- File a new change order in the computer file.
- Update an existing change order in the computer file.
- Replace a filed change order with a different change order.
- Delete a change order from the computer file.

Completing the form depends on which of the functions is desired.

5-103D (1a) File

Enter the contract and change order numbers at the top of the form. The original change order is supplement "zero"; enter the zero on the form. Ignore the function and override boxes at the top of the form.

The remainder of the form is divided into five sections labeled "Card Type 1," "Card Type 2," "Card Type 3," "Card Type 4," and "Card Type 5." Complete only the applicable sections.

Card Type 1: This section is required. Complete each entry in the section. If the entry for the field "Net Money Change This CCO" is zero, enter $0.00. The field "Time Extension Days" should include the number of working days added or deleted, zero, or be coded "DEF" instead of a number if the change order was written with a deferred time adjustment clause. Enter a category code on every change order. Left-justify this code.

Card Type 2: If extra work or adjustment of compensation is not part of the change order, leave these fields blank. Otherwise, define the payment method by making three entries for each change:

1. Make the first entry by checking either the "EW" or "AC" box to indicate extra work or adjustment of compensation.
2. Make the second entry by choosing one of the "FA," "LS," or "UP" boxes to indicate whether payments will be made by force account, lump sum, or unit price.
3. Make the third entry by entering the dollar amount of the increase or decrease.

If multiple items of work in the change order are using the same pay method, they must be totaled. Each pay method can only be entered once on each change order. If there is more than one type of extra work or adjustment of compensation on the change order, continue making successive line entries.

Card Type 3: If there are no changes for contract item prices, do not complete this section of the form. Otherwise, furnish the item number and increase or decrease the quantity for each changed item.

Card Type 4: If all or part of the work to be done under the change order is structure work, enter the net dollar amount involved. This amount will contribute to the change order changes line of the structure totals shown on the next estimate.

If this section of the form does not apply or the amount is zero, leave the section blank.

Card Type 5: This section is required.

For federal participation, enter the FHWA funding participation determination on every change order. If participation is in part, indicate the breakdown for participation-in-part funding.

For federal segregation, if more than one funding source exists, show the percentage allotted to each federal funding source.

5-103D (1b) Update

Use this function in the following way to replace any incorrect information in Card Type 1 or Card Type 4:

- Enter the contract and change order numbers.
- Place the letter “U” in the function box at the top right of the form.
- Enter the correct information in the appropriate fields. All information in Card Type 1 is always required.
- Leave all other fields on the form blank.
- The module for processing change orders will identify the fields that have been completed and will change this information in the computer file.

5-103D (1c) Replace

If a change order has been stored with incorrect information that cannot be corrected by the update function, use the replace function in the following way:

- Complete the entire form exactly as it would be completed for the file function, using correct information.
- Place “R” in the function box at the top right of the form.

The module for processing change orders will replace the data stored in the computer file with the new change order.

If payments have already been recorded against a payment method that is being eliminated, it is not possible to immediately replace an old change order with a new one. The same holds true if the payment to date exceeds the authorized amount. In these cases, do the following (required by the system):

- Enter corrections for the change order bills that reverse payments to date to zero for the particular method of payment to be eliminated. For payments exceeding

the authorized amount, enter corrections for the change order bills to reduce payments below the authorized amount.

- Submit the replace request.
- After the change order has been replaced, reenter the change order bills that were reversed. When possible, use the update function instead of the replace function.

5-103D (1d) Delete

To eliminate a change order from the computer file, do the following:

- Enter the contract and change order numbers.
- Place the letter “D” in the function box at the top right of the form.

As with the “replace” function, a change order cannot be deleted until all payments have been reduced to zero through correcting entries on the daily extra work reports.

5-103D (2) Edits

The following lists some of the edits that a change order must pass through before the system will accept it:

- The change order number and the change order supplement number must be filled in, or the change order will be rejected.
- The change order description cannot be blank, or the change order will be rejected.
- The net change amount cannot exceed the construction allotment. If the net change amount does exceed the construction allotment, the system will issue a warning message but will still accept the change order.
- The approval date must be after the bid opening date and be before or the same as “today’s” date; otherwise, the change order will be rejected.
- If the time extension days exceed 10 percent of the working days in the contract, the system issues a warning message but will accept the change order.
- If any payment method appears more than once on the input cards, the order will be rejected.
- If any contract item change for a void item is entered, the system will reject the change order.
- Lump sum items may appear on change orders only as a deletion of that item. Any increase or decrease in a lump sum item will be rejected.
- A contract item on a change order can be entered as an increase and as a decrease. If the item appears a third time, the system will reject the change order.
- If the contract item “mobilization” appears on a change order, the change order will be rejected.

- If the quantity change entry for a contract item exceeds the bid quantity, a warning message will be issued.
- The net dollar amount for the structure work on the change order must be greater than the sum of the negative changes and less than the sum of the positive changes, or the change order will be rejected.
- The net dollar change for the change order must equal the sum of the dollar amount in Card Type 2 and the extended dollar amounts for the quantities in Card Type 3, or the change order will be rejected.
- If the change order is already on file, the system will reject a duplicate entry. Additionally, if this change order's number exceeds by five the largest change order number on file, or if the supplement's number is more than two above the latest supplement on file for this change order, the system will reject the change order. However, if the override field on the input field is checked, the system will accept such responses.
- If the contract is completed, a warning is issued.

If the replace or delete function is requested, more extensive processing is done. The system checks to see if it can maintain the payment to date under a payment method.

If the system cannot maintain the payment to date in this way, it rejects the request to replace or delete. A rejection notice is generated along with an explanation of what must be done to resolve the situation.

Following is an example:

- A change order is entered for extra work at force account and accepted by the system.
- Subsequently, change order bill payments are recorded against the change order.
- A request is entered to delete the change order from the computer file. In this case, the system will reject the request to delete because the payment method would be eliminated. There are no other supplements to this change order. Before the system allows the change order to be deleted, all payments previously made against that change order must be reversed first so the payment to date balance equals $0. In such a case, the system would accept a delete request. In the more complicated cases where supplements to a change order exist, the system makes similar demands.

At this point, the processing of the change order is complete. However, when a supplemental change order is processed, the daily extra work reports in the holding file, because of insufficient funds in the original change order, will be made available for payment. The system produces a report, called a "DEWR Release From the Holding File." This report shows the action the system took.

5-103E Change Order Billing

Change order billing is input, revised, corrected, and submitted for payment using the internet extra work billing system (iEWB) at:

https://dot.ca.gov/programs/construction/iewb

Computer-based training for learning how to use the iEWB system is available at:

https://dot.ca.gov/programs/construction/iewb

The iEWB system allows authorized users to correct extra work bills that have been previously processed and paid. Change order bills or corrected approved extra work bills that need to be paid but have insufficient funds will not be rejected because of insufficient funds, subject to the limitations in Section 3-906C, "Extra Work," of this manual. Instead, the system will place these change order bills in a pending status to await the resident engineer's further action. If there are insufficient funds to pay the extra work bill, usually, the resident engineer must write a supplemental change order to provide additional funds; the supplemental change order will make the appropriate change order bills available for payment. Once additional funds are added by the supplemental change order in CAS, the iEWB system will automatically process and pay the extra work bills that have been previously approved and are in the pending funds status.

All standard contracts are required to use the iEWB system to process payments for change orders.

For contracts that are not in CAS and therefore are not using the iEWB system, the Form DOT CEM-4902, "Extra Work Bill (Short Form)," can be used. This form is only used on contracts that are not in CAS.

Use Form DOT CEM-4902 to enter basic information related to extra work performed under a change order. The following describes procedures for obtaining the information from the contractor, entering the information into the computer, and producing the daily extra work reports.

5-103E (1) Preparing Form DOT CEM-4902, "Extra Work Bill (Short Form)"

The contractor may enter change order bills on Form DOT CEM-4902, "Extra Work Bill (Short Form)." Or, if more entries are required for equipment, labor, or material, the contractor must use the four-part Forms DOT CEM-4902A, "Extra Work Bill–Title Page," DOT CEM-4902B, "Extra Work Bill–Labor Charges," DOT CEM-4902C, "Extra Work Bill–Equipment Charges," and DOT CEM-4902D, "Extra Work Bill–Material Charges."

The contractor initiates forms containing force account payment and submits them to the resident engineer. The resident engineer initiates forms containing payment at agreed prices. The backs of the forms contain the basic instructions for completing the forms. The following information supplements the instructions on the forms:

5-103E (1a) Basic Information (Title Page)

Enter the following basic information:

- The change order number: Right-justify this three-digit number; for instance, change order 1 is 001, change order 10 is 010.
- Report number: The contractor should leave the report number blank. Duplicate numbers will be rejected unless they are corrections to previous bills.
- Date performed: A separate change order bill must exist for each day on which force account work is performed except for work done by a specialist. Enter the date the work was performed in these spaces. For change order bills covering invoices only, enter the date on which the material was used. If this entry is not practical, enter the current date. Entering a date in this field is required. Enter the acronym “VAR” in the date performed field if the pay method is lump-sum, unit-price, or if equipment and labor are not present on the bill.
- Date of report: Enter the date on which the report is prepared.
- Payment method: Make sure the method selected matches one of the methods authorized by the change order.
- Bridge: Place the letter “T” in this box if toll bridge work is involved and the resident engineer wants to apply a 10 percent markup to equipment and material and a 25 percent markup to labor.
- Flagging: Including the total hours spent on flagging on the change order bill is required.
- Labor surcharge: The contractor should enter this surcharge as a whole number; for instance, “15 percent” is entered as “15.” The contractor should obtain the applicable percentage from the effective *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book. This surcharge is for regular hours. The system will apply the overtime surcharge based on the regular hour surcharge.
- Work performed by: This field should contain the name of the contractor, subcontractor, or other organization that performed the work. If the change order bill is for an invoice only, enter the name of the organization to which the invoice was addressed. Submit a separate daily change order bill for each organization’s work.

5-103E (1b) Equipment

Do the following for equipment:

- Equipment identification number: Entering this number is required. It can be any number that the contractor assigned to the equipment for specific identification.
- Equipment description: Enter the description, which consists of four items: the “Class,” “Make,” “Code,” and “Attach,” for attachments. The equipment description must come from the applicable *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book. Make a copy of this

publication available to the contractor. A listing of miscellaneous equipment, for equipment that is not shown in the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book, is available from the Division of Construction's website.

- For equipment that is neither in *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book nor available from the website's miscellaneous listing, the contractor must request a rate from the resident engineer. The resident engineer will obtain an authorized rate from the Division of Construction's rental rate engineer.
- Equipment for which a change order has established the rental rate will not have an equipment description and must be included as a unit price payment on the material charges portion of Form DOT CEM-4902, "Extra Work Bill (Short Form)," lines 24–25, or Form DOT CEM-4902D, "Extra Work Bill–Material Charges," lines 24-33, of the daily extra work report.
- The following explains the procedures for "Class," "Make," "Code," and "Attach," within equipment description:
    - Class: This portion of the equipment description will be found in the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book under the heading for a particular class. For instance, after "Hydraulic Cranes and Excavators, Crawler Mounted," find the class "HCECL."
    - Make: For the equipment listed by "Class," find the "Make" portion of the equipment description in the left-hand column. For instance, after "Bantam," find the make "[BANT]."
    - Code: For the equipment listed by "Class" and "Make," find the "Code" portion of the equipment description in the "Code" column. For instance, after "Model C-266," find the code "0680."
    - Attachments: Find this portion of the equipment description in the front of the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book. The rate for the equipment under "Class," "Make," and "Code" above includes all attachments and accessories. Therefore, leave this column blank.

Enter all equipment descriptions beginning at the left of each field. Include all letters, numbers, dashes, or other symbols as they are shown in the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book.

- Regular hours for which payment is to be made: Enter the regular hours for which payment is to be made. Regular hours may not exceed 8 unless entering a daily rate item. If the date the work was performed is various, entering up to 99 in the regular hours field is acceptable. Various is used for equipment at day rates.
- Overtime hours: Enter the overtime hours worked. Overtime hours may not exceed 16.

5-103E (1c) Other Expenses Subject to Labor Markup

This portion of the form is for travel expenses that cannot be entered as "Subsistence" under "Labor."

If the units and rate are already entered, the computer will calculate the amount. Otherwise, enter the amount, and this figure will be used.

Note: When entering a number in the "Unit" and "Rate" fields, leave the "Amount" field blank. When entering a number in the "Amount" field, leave the "Unit" and "Rate" fields blank.

5-103E (1d) Material or Work Done by Specialists, Lump Sum, or Unit Price Payments

The following explains the procedures for completing the Form DOT CEM-4902, "Extra Work Bill (Short Form)," material section:

- Material: Note that the material entry will not be processed unless there is a value in both the "Units" and the "Unit Cost or Net Pay" fields. Enter the following for material:
  - Invoice date: Preferably, enter the date of the invoice to help in checking for duplicate billing. However, if entering the invoice date is not practical, enter the date the material was used.
  - Invoice description: Enter a brief description of material.
  - Units: Normally, enter the unit one (1.00) for materials used.
  - Unit cost or net pay: In this column, enter the amount for which payment is due. Normally, this amount is the cost of the material plus tax, if applicable, less any discount offered.
- Work Done by Specialists: Enter this item in the same manner as described in the preceding "Material" section.
- Lump Sum: Follow these procedures for this entry:
  1. Vendor name and invoice number: It's not necessary to make any entries in the vendor column or the invoice number column.
  2. Date: Enter the date the work was performed. When entering this date is not practical, enter the current date.
  3. Invoice description: Enter "per Change Order No._____."
  4. Units: Enter the units to be paid as a percentage of the lump sum amount, expressed in decimals. For instance, express 75 percent as 0.75. This figure must never exceed a total of 1.000.
  5. Unit cost or net pay: Enter the lump sum amount from the change order.
- Unit price payments: Enter this item in the same manner as described under "Lump Sum" in the previous bullet.
- Units: enter the number of units to be paid.

- Unit cost or net pay: enter the unit cost from the change order.

5-103E (1e) Signature of Prime Contractor's Representative

For all force account payments, the contractor or contractor's authorized representative must sign the change order bill. For agreed price payments, the signature is not required.

5-103E (2) Processing Form DOT CEM-4902

The resident engineer receives Form DOT CEM-4902, "Extra Work Bill (Short Form)," from the contractor, reviews the form, and if it is satisfactory, signs the change order bill and authorizes it for entry into CAS. When reviewing the submitted change order bill, the resident engineer must be guided by the policy contained in Section 3-9, "Payment," of this manual. The following explains how the system will process Form DOT CEM-4902:

- Request that CAS print a copy of the change order bill after it has been entered into the system before it will be paid.
- Computer programs will perform the following processes:
  - Edit all information for acceptability. For example, numeric data must be in numeric form, or the program will issue a warning.
  - Select information from the equipment database, for example, rates, descriptions, and attachments.
  - Validate the contract number, change order number, report number, type of work or payment method, dates, corrections, labor surcharge, and equipment description.
  - Audit right-of-way delay and the hours equipment and labor are used for work.
  - Compute extensions, markups, and summaries.
  - Verify that the authorized amount, for instance, 100 percent or $15,000, is not exceeded.
  - File a validated change order bill for payment at the estimate time.
  - Produce a daily extra work report. This report will contain all the information as entered on the change order bill plus equipment descriptions, extensions, markups, total payment, and contract information.
  - Produce an edit report. This report will contain processing results. These results are tabulated by change order within a contract. If the system rejects an entry, the rejection messages will be included on the daily extra work report. If the system accepts the change order bill, all warning messages will be contained in the edit report.
- After the reports have been printed and the district Construction office has received them, the district will forward copies to the resident engineer. Daily extra

work reports are printed in two parts, one for the contractor and one for the resident engineer.

5-103E (3) Corrections to Change Order Bills

It's possible to make corrections to a change order bill after it has been entered into the system, but there is a limit of 4 corrections for each change order bill. Refer to the "Reverse/Correct" section of the *Internet Extra Work Billing System (iEWB) User Guide* at:

https://dot.ca.gov/programs/construction/iewb

5-103F Generating Estimates

CAS produces five types of estimates on demand:

- Monthly progress estimate
- Progress estimate after acceptance
- Supplemental progress estimate
- Semifinal estimate
- Final estimate

The resident engineer will regularly request the monthly progress and the progress after acceptance estimates while the remaining three types of estimates usually will be requested in cooperation with, or by, the district Construction office.

Supplemental progress estimates may only be run between the completion of the monthly progress estimate run and the 15th of the following month.

Producing an estimate is completely automatic, based on data previously stored on the computer.

In addition, CAS will produce two other types of estimates that do not generate payments. These estimates are simply statements of the current status of the computer files. The following are the two types:

- Status purpose only estimate
- Proposed final estimate

5-103F (1) Procedure

Before requesting the first monthly progress estimate, enter the date work started and the responsible unit on Form CEM-6003, "Progress Pay—Estimate Project Initiation or Update." The Division of Construction progress pay coordinator enters the approval date. If the approval date is not in the computer file, the system will reject the estimate request.

The procedure for processing an estimate includes the following steps:

1. Preparing Form DOT CEM-6101, "Project Record—Estimate Request," and verifying the estimate. Transmit these to the district office.

2. Computer processing of the estimate and printing the reports.
3. Verifying the estimate results at the district Construction office.
4. Returning the estimate reports to the resident engineer.

The schedule for completing the pay process and making payment to the contractor is rigid. This rigid schedule means all people involved must adhere to their individual schedules. District Construction offices will advise resident engineers of the schedules.

5-103F (1a) Preparing Form DOT CEM-6101, "Project Record—Estimate Request"

To request an estimate, complete this form accurately in accordance with the following subsections.

5-103F (1b) Estimate Parameters

For the estimate parameters, follow these instructions:

- Enter the contract number.
- Enter the estimate number. This number must be one greater than the last estimate that was successfully processed and paid.
- Enter the work period ending date in the estimate for the form's "Work Performed Through" field. For a progress estimate or a supplemental progress estimate, enter the 20th day of the month. For all other types of estimates, use the date of completion.
- If this is a monthly progress estimate, place an "X" in the matching box on the form; otherwise, leave the box blank.
- If this is a progress estimate after acceptance, place an "X" in the matching box on the form; otherwise, leave the box blank.
- Enter the estimated date of completion. This date should be the resident engineer's best estimate, not necessarily the computed date. If this estimate is not a progress estimate, enter the date of completion.
- Enter the values as of the "date work performed through" for chargeable working days, weather nonworking days, and authorized time extension days from a change order in the three matching fields of the form. As of February 16, 2012, "Other day" time extensions are no longer allowed, therefore do not increase this value to more than existed before this date. In most cases, this value should always be zero. The system will check the chargeable working days and weather nonworking days against the working days calendar and point out possible entry errors. However, it cannot check the two types of time extension days. These values affect the system's computation of percent time elapsed.
- If a landscape contract is in the plant establishment period, check one of the two boxes to indicate whether progress is satisfactory or unsatisfactory. These boxes are not for highway contracts that contain "Type 2" plant establishment periods.

When uncertain about this status, contact the district Construction office after reading the special provisions.

- The system determines whether contract progress is satisfactory or unsatisfactory. Occasionally, a situation arises in which, even though progress is mathematically unsatisfactory, the resident engineer wishes to override the system and record satisfactory progress. To accomplish this override, place an "X" in the field, "Override Unsatisfactory Progress." Also refer to the following item about projects with dual time limits.
- For some contracts, the standard manual formula does not apply for computing percent time elapsed. For such contracts, interpret the special provisions, and determine this percentage. Enter the percentage in the box on the form; this will override the system's calculation.
- If "Override Unsatisfactory Progress" has been checked or a number in percent time elapsed has been entered, enter a short explanation in the 25 spaces immediately below these fields on the form. Typical entries might be "change order days pending" or "nonstandard time format."
- If the estimate is a supplemental progress estimate, proposed final estimate, semifinal estimate, or final estimate, check the appropriate box. Note that on a supplemental progress estimate the date for "Estimate for Work Performed Through" and all the working day information should be the same as the date for the last estimate.
- If this estimate is a recalculation of a previous successful estimate, check the recalculation box. If the most recently processed estimate was for status purposes only and did not generate payment, do not check the recalculation box. Instead, request the unpaid estimate be rerun. The district office normally submits requests to rerun an estimate.

5-103F (1c) Deductions

To take one or more deductions or to return one or more deductions from a previous estimate, enter them on Form DOT CEM-6101, "Project Record—Estimate Request." To rerun an estimate or to pay an estimate after a status only estimate, enter the deductions again because any deduction stored in the computer file and carrying this estimate number will be erased automatically. Five types of deductions can be entered on this form. Each deduction entered requires an alpha code to be placed in the form's Type field and an entry in the Description field. Use a minus sign to take a deduction and a plus sign to return a previous deduction. The following lists the rules by type of description:

- Administrative deductions: Enter "ADM" in the type field. Both plus and minus deductions are allowed.
- Equal employment opportunity (EEO) deductions: Enter "EEO" in the type field. Both plus and minus deductions are allowed, but plus deductions should be adjustments or reversals of deductions taken on previous estimates. To take an EEO deduction on this estimate, leave the amount field blank. The system will

compute the deduction amount automatically. Only one “blank” EEO deduction, usually entered by the Labor Compliance officer, can appear on the form. Note: The system will not accept EEO deductions if the contract item payment for this estimate is zero. It may be necessary to enter the minimum amount of $1,000.

- Labor compliance violation deductions: The Labor Compliance officer usually makes these entries on the form. The officer will enter “LCV” in the type field. The rules for LCV deductions are identical to those for EEO deductions. Note: “LCV” deductions will not be taken if the contract item payment for this estimate is zero. It may be necessary to enter the minimum amount of $1,000.
- Liquidated damages deductions: Enter “LIQ” in the type field. Both plus and minus deductions are allowed. Plus deductions reverse earlier deductions. Only use this type of deduction when liquidated damages are being assessed. If, during the course of the work, the contractor’s progress is unsatisfactory and has progressed to a point at which a reasonably accurate estimate of possible liquidated damages can be made, make a deduction instead of any retention for unsatisfactory progress using an ADM in the type field with the text “Antic.Liq.Damages.” Reverse the ADM when the actual liquidated damages are being assessed by using LIQ in the type field. Refer to Sections 3-807, “Liquidated Damages,” and 3-906G, “Deductions,” of this manual for more detailed guidance.
- Other outstanding documents deductions: Enter “OOD” in the Type field. To take this deduction, leave the amount field blank. The system will compute the amount. Take this deduction only once on each contract. The system will maintain the correct deduction on subsequent estimates by generating “OOD” in the Type field with a description, “MAINTAIN OOD DEDUCT.” Reversing the deduction at any time by entering a plus amount that exactly reverses the OOD deductions to date from the previous estimate is acceptable. Negative OOD deduction amounts are never allowed on the input form.

After carefully preparing Form DOT CEM-6101, “Project Record—Estimate Request,” promptly send it to the district office. The specific deadline for submittal may vary by district.

5-103F (2) Computer Processing

Once the entries are made on Form DOT CEM-6101, “Project Record—Estimate Request,” and transferred to the computer, the system edits the estimates and then produces reports showing the results of the system’s processing.

5-103F (2a) Estimate Edits

Once Form DOT CEM-6101, “Project Record—Estimate Request,” has been entered into CAS, the system will do the following:

- Edit Form DOT CEM-6101 for consistency with previous estimates and with the working days calendar stored on the computer.

- Identify and summarize all daily extra work reports entered in the system and eligible for payment since the last estimate.
- Identify and summarize all contract transactions entered in the system since the last estimate.
- Identify and balance the change orders that require balancing.
- Identify and balance the contract items that require balancing.
- Make calculations for the item “Mobilization,” if necessary, for the various deductions and retentions, for percent time elapsed, for percent complete, and for various status totals, such as authorized final cost. The system also determines whether the contractor’s progress is satisfactory.
- Edit any deduction submitted for processing on Form DOT CEM-6101, “Project Record—Estimate Request.” Special attention is given to three of the deductions as follows:
    - CAS computes the amount as 10 percent of the contract item payment on this estimate, subject to a minimum deduction of $1,000 and a maximum deduction of $10,000, and places the deduction on file.
    - If the resident engineer has submitted an LCV deduction, the system performs the same calculation as for EEO deductions.
    - If the resident engineer has submitted an OOD deduction, the system will compute the deduction under the following conditions:
        - The contract has been completed, or retention is being reduced because the percentage complete exceeds 95 percent. If one of these conditions is not met, the deduction will be rejected.
        - The total of all OOD deductions from previous estimates must be zero, or the deduction will be rejected. An OOD deduction should be taken only once for a contract.
        - If the first 2 conditions are met, the amount of the deduction is calculated as 5 percent of the total work completed to date less mobilization, or $10,000, whichever is less.
- Process further deductions as follows:
    - If the total to date for an OOD deduction is negative, the system will check whether the value has changed since the last estimate for total work completed to date less mobilization. If the value has changed, the system will generate a new OOD deduction with a description, “MAINTAIN OOD DEDUCT,” and an amount equal to the difference between the amount demanded by the formula and the amount of the total to date for this type of deduction. Thus, an OOD deduction, once submitted, will be maintained at the formula’s value unless it is exactly reversed by a positive deduction entry on Form DOT CEM-6101, “Project Record—Estimate Request.”

- For each type of deduction, more cannot be returned than has been taken. If this error is made, the estimate will fail. Messages are produced stating which deduction is in error.
- At this point in the processing, the final values are computed for total work completed and total payment to the contractor. If there are “Limitation of Payment” dates and amounts in the special provisions for this contract, the Division of Construction progress pay coordinator will have entered them in the computer. The system will check the period ending date of this estimate and will generate or return any split-year-financing deductions that are necessary under the contract’s terms.
- If retention is released on this estimate and the total to date for liquidated damages is zero, the system will issue a warning message.
- The system automatically computes overbid item deductions as required. These deductions are taken and returned at the appropriate times.

- Make calculations for the progress payment voucher, including retentions and payments to escrow accounts.
- If processing is successful, CAS prints the estimate.
- If this estimate is for a zero or negative progress payment, the system prints a status purpose only estimate.
  - If the total authorized final cost is greater than the construction allotment, CAS will issue a severe warning.
  - If the total payment to date to the contractor on this estimate is greater than the construction allotment, the estimate will fail.

5-103F (2b) Estimate Output

Once CAS has processed the estimates, it produces the following reports:

- Schedule of extra work
- Schedule of deductions
- Project record estimate
- Project status
- Work done by Structures
- Progress payment voucher

Only two copies of the estimate will be sent to the field, one for the resident engineer and one for the contractor. The contractor must also receive copies of the reports listed.

In addition to the estimate documents previously listed, CAS produces a report called “Estimate Processing Results.” This report is the tool by which the resident engineer can check the “estimate package.” This report has the following sections:

- Edit messages: The system can produce many possible messages. If the estimate is rejected, the exact reason will be found here. To assist in preventing overpayments, among other problems, warning messages have been set based on carefully chosen tolerances. Read these messages carefully.
- Transaction selection: The system will print a list of the exact pages and lines of contract transactions that were used to produce the estimate. This list verifies that all the contract transactions submitted were used to produce the estimate.
- Change order processing: This lists any balancing of change orders by the system. Occasionally, the list also contains warning messages.
- Contract item processing: This part of the report does the same things as described for change order processing, but for contract items.
- Contract transactions list: This list identifies all contract transactions used to generate the estimate. If any line item on the project record-estimate is in question, examine the detailed records to see how the system derived its totals.
- Structure totals: This item summarizes all structure work the system found while processing the estimate.

5-103F (3) Potential Problems

Several points in the estimate process can cause errors. These problems result from misunderstanding what constitutes an estimate and how the estimate number should be increased from estimate to estimate.

On the title page of the project record estimate and in the estimate processing results, the system will print the type of estimate generated. If the estimate is one of the five types listed in Section 5-103F, “Generating Estimates,” of this manual a valid estimate was generated.

The progress pay system requires that the estimate number be increased only by valid estimates. A “status-purpose-only estimate” is an informational snapshot of the job’s current financial status. It does not generate payment, and it is not counted in the estimates. For example, if processing is requested for estimate number 3, but the system generates a status-purpose-only estimate, a valid estimate was not generated. Request estimate number 3 again for the next estimate.

Another potential problem involves two types of contract transactions: materials on hand and anticipated changes. These transactions apply to a specific estimate period. If the estimate generated by the system is a status-purpose-only estimate, these transactions have not been “used.” They will appear on the next valid estimate generated. If their appearance on the next estimate is not satisfactory, use reversing entries before requesting the next estimate from the system.

If the estimate has failed for any reason, the system will print, with one exception, as many of the estimate reports as possible to help analyze the problem. The one exception, the progress payment voucher, is only printed for successful estimates that are eligible for payment according to the system’s standards.

Processing the estimate is done by a series of computer programs that perform the following functions:

- Edit data input on Form DOT CEM-6101, “Project Record—Estimate Request”
- Select from the computer file the change order bills that will be used to generate this estimate
- Select from the computer file the contract transactions that will be used to generate this estimate
- Process change orders
- Process contract items
- Process deductions
- Conduct miscellaneous computations
- Generate reports

5-103G Approval of Estimates

The authorization of an estimate depends on the type of estimate being run. The following is the general outline and method for approving contract estimates.

5-103G (1) Resident Engineer

After an estimate has been run, the resident engineer must authorize it before the process of payment is continued. To expedite payment, the resident engineer can authorize through a memo, form letter, or telephone call with subsequent written confirmation to the district office.

5-103G (2) District Director

At the time the estimate was produced, so was a payment voucher. If the estimate is a final estimate, an individual who has been formally delegated by the district director to do so must sign the form.

5-103G (3) Flagging an Estimate for Payment

Flagging an estimate in the computer system for payment indicates that a payment voucher has been verified and authorized.

For payments on after-acceptance estimates, semifinal estimates, and final estimates, the Division of Construction progress pay coordinator must flag the estimates in the computer system for payment after the district’s flagging.

5-103H Reports Available Through the Contract Administration System

Contract Administration System (CAS) online reporting through CA-Output Management Web Viewer is available at:

https://gc.webviewer.cdt.ca.gov/CAOMWebViewer12/login.jsf

For Caltrans staff, CA-View user guide and tips may be found on the Information Technology Onramp intranet webpage called “Information About CAS.”

5-103H (1) District (XX) Estimate Status

This report, which is available statewide, provides information on the pay status of each contract in the district. For each contract, the report includes the following:

- Contract number
- Date of last estimate processed, if there was one
- Number of the estimate
- Number of days elapsed since the estimate was processed
- Type of estimate
- Pay status and date paid
- Date on which the payment voucher was authorized
- Resident engineer’s name and phone number
- Responsible unit
- Password

5-103H (2) Project Management

The project management report is for use by the district office and Division of Construction managers. This report consists of the following two separate reports that are produced whenever “Project Management” is requested.

5-103H (2a) Project File Status Report

This report lists all contracts in the district or statewide that are on the computer’s active list. For each contract, the report provides the following information:

- Contract number
- Status
- Date bids were opened
- Date of award
- Date of approval
- Date of acceptance
- Bid amount
- Name of contractor

After bid opening, projects are added to the list automatically. After the final estimate and approvals from the districts and the disbursing office, the Division of Construction removes the projects from the list.

5-103H (2b) Exceptional Contracts Report

This report lists all contracts for which the following applies:

- More than 60 days have elapsed since the bid opening.
- More than 10 days have elapsed since the completion date and the contract needs an acceptance date.
- More than 45 days have elapsed since completion, but the proposed final estimates have not been run.
- More than 180 days have elapsed since completion, but the final estimates have not been run.

5-103H (3) District (XX) Project Status

This report is for use by Construction managers. It lists all active contracts and, for each contract, provides the following information:

- Contract number
- Contractor's name and county-route-postmile
- Date of the last estimate
- Percentage complete
- Percentage of time elapsed
- Construction allotment
- Total amount paid to date
- Estimated final cost
- Estimated final contingency balance

5-103H (4) Progress Payment—Work Done by Structure Construction (Copies)

This report is for use by Structure Construction. For details, refer to Bridge Construction Memo C-9, "Preparation of Progress Payment Documents," of the *Bridge Construction Records and Procedures Manual*, *Vol. 1.*

5-103H (5) Project Record—Estimate (Copies)

A request for estimate copies will produce all the documents that were produced automatically during the previous estimate's run; ordering copies through this program is not necessary. For the estimate, the report contains the following information:

- Schedule of extra work
- Schedule of deductions
- Project record-estimate
- Project status

- Progress payment voucher

5-103H (6) Status of Contract Items

The district office requests this report monthly for all ongoing contracts. The report must be filed in Category 60, “Contract Administration System Inputs and Reports.”

For this report, the system prints one line of information for each contract item and summarizes the net effect of all contract transactions that have been entered against the item. This report allows the resident engineer to review each item and determine whether quantity balances and anticipated changes, among other things, are necessary.

If any number on the report seems questionable, the project record item sheets provide supporting detail. For example, if the authorized quantity differs from the bid quantity, the project record item sheets describe, under the item number, any changes because of change orders.

When applicable, take particular care to flag an item “COMPLETE” using the item final balance transaction on Form DOT CEM-6101, “Project Record—Estimate Request,” so that an accurate project status will be produced. Remember, flagging an item “COMPLETE” does not mean that contract item transactions will no longer be accepted; it means only that the system was commanded to always keep the item in balance.

5-103H (7) Project Record Item Sheet

The district office requests this report monthly for all ongoing contracts. The report must be filed in Category 60, “Contract Administration System Inputs and Reports.”

With the following exceptions, the project record item sheets list every contract transaction entered into the system since the beginning of the contract:

- Item and change order final balance transactions will appear only in the report following the next estimate. Thereafter, they are dropped from the report.
- Miscellaneous anticipated change transactions also appear only in the report following the next estimate.

The report lists the contract transactions, first by the estimate number on which they were paid, and then by the page and line number of the input form. The total to date will be printed.

This is a cumulative report. Do not retain previous issues of this report in the project files. However, one issue of the report, usually the one requested immediately after all final quantities have been paid, must be retained in the project files.

5-103H (8) Status of Change Orders

Normally, the district office requests this report monthly for all ongoing contracts. The report must be filed in Category 60, “Contract Administration System Inputs and Reports.”

This report is similar to the status of contract items, which allows the engineer to review each change order.

Use the report to determine when supplemental change orders will be necessary to complete the work. The report also facilitates a review of those change orders where a credit is due to Caltrans.

When applicable, flag change orders “COMPLETE” using the change order final balance transaction, so that an accurate project status can be produced. Similar to flagging a contract item, flagging a change order “COMPLETE” means only that the system was commanded to always keep the change order in balance.

5-103H (9) Change Order Master Listing

Normally, the district office requests this report monthly for all ongoing contracts. The report must be filed in Category 60.

This report summarizes all change orders stored in the computer file. It also includes the change order time extension and change order category code. The report lists each individual supplement with all the information the system contains. Do not retain previous issues in the project files. However, one issue, usually the one requested immediately after final payment has been made on all change orders, must be retained in the project files.

5-103H (10) Bridge Quantities by Structure

This report is for use by Structure Construction personnel. It is available on all projects for which Form CEM-6003, “Progress Pay—Estimate Project Initiation or Update,” has been filed. The filing of this form indicates a structure work amount and structure numbers have been entered for the contract transaction in accordance with Bridge Construction Memo C-9, “Preparation of Progress Payment Documents,” of the *Bridge Construction Records and Procedures Manual, Vol. 1*.

5-103H (11) District (XX) Status of Anticipated Changes

This report is for use by the district and Division of Construction managers.

5-103H (12) Project Record-Estimate (Dummy)

A request for this item will produce the same form that was produced automatically when Form CEM-6003, “Progress Pay—Estimate Project Initiation or Update,” was filed.

This form is identical to a project record-estimate, except that it does not contain an estimate number or dates and no entries appear under “This Estimate” or “Total Estimate.” It is a blank estimate form, valuable only if it becomes necessary to make an estimate manually.

5-103H (13) Contract Contents Report

This report contains information that is currently in the file because of automatic entries or entries from Form CEM-6003 “Progress Pay—Estimate Project Initiation or Update.”

Most of the information in this report is included already in other reports and forms that are produced automatically. Therefore, it’s not necessary to request it routinely.

5-103H (14) Contract Contents Report—Contract Item Records

This report provides the following information:

- Contract item number
- Contract item index number
- Item description
- Unit of measure
- Bid price
- Bid quantity
- Bid amount
- Amount overbid
- Void items
- Plant establishment items

Most of the information in this report is included already in other reports and forms that are produced automatically. Therefore, it’s not necessary for routine contract administration.

5-103H (15) Contract Contents Report—Contract Progress

For each contract item, this report includes a detailed analysis of the current and previous quantities paid for each contract bid item and payment status. It also summarizes all other payments or deductions as well as data on contract time. The information in this report is included already in other reports that are produced automatically. Therefore, it’s not necessary for routine contract administration.

5-103H (16) Daily Extra Work Reports in Holding File

This daily extra work report lists change order bills that are in the holding file for all contracts in the district. If there are reports in the holding file, process supplemental change orders to provide additional funds. The bill must be re-approved in the iEWB system in order to be released for payment on the next estimate.

5-103H (17) Daily Extra Work Report

Copies of daily extra work reports are produced under the procedure outlined in Section 5-103E, “Change Order Billing,” of this manual. Obtain copies by using the

second page of the report request form or receive reports directly from the iEWB system. Refer to the *iEWB User Guide* for details.

5-103H (18) Rental Rates and Codes for Miscellaneous Equipment

This report provides a listing of equipment codes and related descriptive information for equipment that is not included in the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book.

5-103H (19) Reports for Structure Construction

In addition to the reports discussed in the previous sections, CAS provides reports for Structure Construction. For details, refer Bridge Construction Memo C-9, "Preparation of Progress Payment Documents," of the *Bridge Construction Records and Procedures Manual*, *Vol. 1*.

5-103I Field Audits

The Caltrans Internal Audits Office within the Division of Risk and Strategic Management or the Independent Office of Audits and Investigations within the Inspector General California Department of Transportation may periodically review record-keeping procedures for construction projects. The reviews will often result in a report of the findings, a copy of which will be sent to the deputy district director of Construction and the resident engineer.

District Construction must then report back to the audit group, stating what actions it took in response to the report's recommendations. If the district's actions result in a dispute, the deputy district director of Construction will resolve the dispute.

5-104 Final Construction Project Records

5-104A General

Construction project records consist of all material in the construction files, whether in the field office, the district Construction office, or filed in the Falcon electronic document management system (FalconDMS). This section contains guidelines for the disposition of construction project records after Caltrans makes the final payment to the contractor. This section also provides guidelines for allowing public access to construction project records and for producing a set of as-built plans for each completed construction project. In addition to construction project records, the district keeps a project history file.

For construction project records not stored in FalconDMS, when the construction project is completed, the resident engineer initiates assembly of the project history file by transmitting designated records to the district Construction staff for compilation. The project history file is stored in a secure, central file location within the district. For information about the project history file, refer to Chapter 7, "Uniform Filing System," of the *Project Development Procedures Manual.* The construction records retention schedule, Form STD 73, "Records Retention Schedule," lists

records that are retained by the districts and Construction headquarters. For specific records stored in the project history file, refer to Section 5-104C, “Disposition of Construction Project Records,” of this manual.

For construction project records that are solely stored in FalconDMS, the project records will be retained in FalconDMS on the district server. When project files are stored in FalconDMS, there is no need to assemble a hard copy project history file for retention in the district Construction office. Records will be retained in FalconDMS in accordance with the requirements listed in Section 5-104C of this manual, and the retention schedule will be managed within FalconDMS.

When resident engineers on construction projects with an award date before July 1, 2021, choose to switch from storing project records in hard copy format to storing projects records in FalconDMS midway through the project, the resident engineer must initiate assembly of the project history file in electronic format by having the designated hard copy records scanned and saved electronically and combined with the designated electronic records stored in FalconDMS. The remainder of the project records can be retained in both hard copy and electronic format in accordance with the requirements listed in Section 5-104C.

5-104B Public Access to Project Records

The California Public Records Act permits anyone to obtain any written information relating to the conduct of the public’s business that is prepared, owned, used, or retained by any state agency, regardless of the physical form or characteristic of the writing. Although the act includes exemptions for certain categories of records, most construction project records fit within the description of documents that must be produced upon proper demand. Except for preliminary drafts or notes that are not retained in the ordinary course of business, permanent project records that are reasonably identified are subject to inspection and copy.

Records exempt from disclosure include the following:

- Estimated project cost before bidding.
- Contract claim analysis.
- Personal information, such as home addresses, telephone numbers, medical records, and similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy.
- Accident reports. If accident reports produced by another agency are requested, such as accident reports by the California Highway Patrol, refer the requester to the other agency.

If copies of payroll records are requested, refer to Section 7-1.02K(3), “Certified Payroll Records (Labor Code §1776),” of the *Standard Specifications* for the procedures to follow.

Resident engineers should refer all requests for copies of any records to the district Construction office and follow procedures established in the district for copying and charging for record copies.

Allow contractors and subcontractors to review records used to determine contract payment in the construction field office.

5-104C Disposition of Construction Project Records

District Construction personnel who are responsible for the disposition of construction project records must coordinate their activities with the district records officer.

District Construction offices must follow the statewide procedure for handling project records. This procedure is in accordance with the statewide records retention schedule and achieves the following objectives:

- Relieves the resident engineer of the responsibility for storing the records before or at the time final payment is made.
- Avoids unnecessary long-term storage of duplicate copies.

Before the records are destroyed, transfer material that has historical value to the project history file.

Retain construction project records in accordance with Table 5-1.4., “Construction Records Retention Schedule,” of this manual and as follows:

- For projects that involve federal participation, retain the records for a minimum of 3 years after submission of the final federal voucher.
- For projects that do not involve federal participation, retain the records for a minimum of 3 years after the date on which the final estimate is scheduled for payment.
- For projects on which some legal questions exist, such as a pending claim, a labor compliance case, or litigation, retain the records for 3 years after settlement. The district Construction office must send a memorandum to the district records officer to hold these records until further notice.

After records from the resident engineer’s office are sent to the district Construction office, eliminate duplicate records.

The construction project records retention schedule lists the length of time certain files must be retained, as well as files that must be kept permanently in the project history files in accordance with federal requirements.

Table 5-1.4. Construction Records Retention Schedule (1 of 6)

Project Record Category	Project Funding Type	Retention
1. Project Personnel	State only	Until final estimate
2. Project Office Equipment and Supplies	State only	Until final estimate
3. Equipment and Personnel Cost Reports	State only	Until final estimate
4. Service Contracts	State only	Until final estimate
5. General Correspondence	State or Federal	3 years beyond final estimate or final federal voucher
6. Safety	State or Federal	3 years beyond final estimate or final federal voucher
7. Public Relations	State only	Final estimate
8. Construction Surveys	State or Federal	3 years beyond final estimate or final federal voucher
9. Welding	State or Federal	3 years beyond final estimate or final federal voucher
10. (extra category number)	To be announced	To be announced
11. Information Furnished at Start of Project, except documents listed in 11a-f	State or Federal	3 years beyond final estimate or final federal voucher
11a. Detail Estimate of Project Cost	Federal and State	Permanent project file
11b. Notice of Award of Contract	Federal and State	Permanent project file
11c. Contract Special Provisions and Addendums	Federal and State	Permanent project file
11d. Notice of Approval of the Contract	Federal and State	Permanent project file
11e. Executed Contract	Federal and State	Permanent project file
11f. Bid Book	Federal and State	Permanent project file
12. Contractor, except 12a documents	State or Federal	3 years beyond final estimate or final federal voucher
12a. Contractor's Borrow Agreements	Federal and State	Permanent project file

Table 5-1.4. Construction Records Retention Schedule (2 of 6)

Project Record Category	Project Funding Type	Retention
13. Signs and Striping	State or Federal	3 years beyond final estimate or final federal voucher
14. Photo Records	Federal and State	Permanent project File
15. Accidents	State or Federal	3 years beyond final estimate or final federal voucher
16. Utility Agreements	State or Federal	Permanent project file
17. Utility Work Performed	State or Federal	3 years beyond final estimate or final federal voucher
18. Agreements, except documents listed in 18a–e	State or Federal	3 years beyond final estimate or final federal voucher
18a. Right of Way Agreements, with or without obligation	Federal and State	Permanent project file
18b. Forest Service Agreements	Federal and State	Permanent project file
18c. Borrow Agreements between Caltrans and Owner	Federal and State	Permanent project file
18d. Disposal Agreements between Caltrans and owner	Federal and State	Permanent project file
18e. Service Agreements charged to contract allotment	Federal and State	Permanent project file
19. Hazardous Waste and Hazardous Materials	Federal and State	Permanent project file
20. Water Pollution Control Plan or Stormwater Pollution Prevention Plan	State or Federal	3 years beyond final estimate or final federal voucher
21. Construction or Maintenance Zone Enhanced Enforcement Program	State or Federal	3 years beyond final estimate or final federal voucher
22. Traffic Management Information	State or Federal	3 years beyond final estimate or final federal voucher
23. Temporary Pedestrian Access Routes	State only	Until final estimate

Table 5-1.4. Construction Records Retention Schedule (3 of 6)

Project Record Category	Project Funding Type	Retention
24. Disadvantaged Business Enterprises and Disabled Veteran Business Enterprises	State or Federal	3 years beyond final estimate or final federal voucher
25. Labor Compliance and Equal Employment Opportunity	State or Federal	3 years beyond final estimate or final federal voucher
26. Progress Schedule	State or Federal	3 years beyond final estimate or final federal voucher
27. Weekly Statement of Working Days	State or Federal	3 years beyond final estimate or final federal voucher
28. Weekly Newsletter	State only	Until final estimate
29. Materials information and Preliminary Tests	State or Federal	3 years beyond final estimate or final federal voucher
30. Basement Soil Test Results	State or Federal	3 years beyond final estimate or final federal voucher
31. Notice of Materials to be Used	State or Federal	3 years beyond final estimate or final federal voucher
32. Notice of Materials to be Inspected for the Job Site	State or Federal	3 years beyond final estimate or final federal voucher
33. Notice of Materials to be Furnished	State or Federal	3 years beyond final estimate or final federal voucher
34. Treated Base	State or Federal	3 years beyond final estimate or final federal voucher
35. Hot Mix Asphalt	State or Federal	3 years beyond final estimate or final federal voucher
36. Concrete, Other Than Structure Items	State or Federal	3 years beyond final estimate or final federal voucher

Table 5-1.4. Construction Records Retention Schedule (4 of 6)

Project Record Category	Project Funding Type	Retention
37. Initial Tests and Acceptance Tests	State or Federal	3 years beyond final estimate or final federal voucher
38. Quality Control	State or Federal	3 years beyond final estimate or final federal voucher
39. Materials Testing Qualifications of Employees	State or Federal	3 years beyond final estimate or final federal voucher
40. Field Laboratory Assistant Reports to Resident Engineer	State or Federal	3 years beyond final estimate or final federal voucher
41. Report of Inspection Material	State or Federal	3 years beyond final estimate or final federal voucher
42. Material Plants	State or Federal	3 years beyond final estimate or final federal voucher
43. Concrete and Reinforcing Steel	State or Federal	3 years beyond final estimate or final federal voucher
44. Recycle Materials and Diversion of Solid Waste	State or Federal	3 years beyond final estimate or final federal voucher
45. Resident Engineer's Daily Reports	State or Federal	3 years beyond final estimate or final federal voucher
46. Assistant Resident Engineer's Daily Reports	State or Federal	3 years beyond final estimate or final federal voucher
47. Drainage Systems	State or Federal	3 years beyond final estimate or final federal voucher
48. Bid Item Quantity Documents	State or Federal	3 years beyond final estimate or final federal voucher
49. Change Orders, except documents listed in 49a–b	State or Federal	3 years beyond final estimate or final federal voucher

Table 5-1.4. Construction Records Retention Schedule (5 of 6)

Project Record Category	Project Funding Type	Retention
49a. Change Orders, no drafts	Federal and State	Permanent project files
49b. Memorandums, no drafts	Federal and State	Permanent project files
50. Adjustment in Compensation Calculations	State or Federal	3 years beyond final estimate or final federal voucher
51. Materials on Hand	State or Federal	3 years beyond final estimate or final federal voucher
52. Charges to Total Contract Allotment	State or Federal	3 years beyond final estimate or final federal voucher
53. Credit to Contract	State or Federal	3 years beyond final estimate or final federal voucher
54. Deductions from Payment to Contractor	State or Federal	3 years beyond final estimate or final federal voucher
55. Partnering	State or Federal	3 years beyond final estimate or final federal voucher
56. (extra category number)	To be announced	To be announced
57. Permanent Pedestrian Facilities	State or Federal	3 years beyond final estimate or final federal voucher
58. (extra category number)	To be announced	To be announced
59. Bridge Estimate Data	State or Federal	3 years beyond final estimate or final federal voucher
60. Contract Administration System Inputs and Reports	State or Federal	3 years beyond final estimate or final federal voucher
61. Estimate and Project Status, except documents listed in 61a–b	State or Federal	3 years beyond final estimate or final federal voucher
61a. Final Estimate	Federal and State	Permanent project records
61b. Invoice and Receiving Records, if applicable	Federal and State	Permanent project records

Table 5-1.4. Construction Records Retention Schedule (6 of 6)

Project Record Category	Project Funding Type	Retention
62. Disputes	State or Federal	3 years beyond final estimate or final federal voucher
63. Project Completion Documents, except documents listed in 63a–c	State or Federal	3 years beyond final estimate or final federal voucher
63a. Contract Acceptance	Federal and State	Permanent project records
63b. Final Materials Certification	Federal and State	Permanent project records
63c. Final Acceptance Checklist for Federal Aid High Profile Projects	Federal and State	Permanent project records

Prepare a transmittal list specifying the contents of each box when records are sent from the district Construction office to the State Records Center or to another district. In a separate file in the district Construction office, retain a copy of the transmittal list. Files stored electronically must also be sent.

Reference the *Bridge Construction Records and Procedures Manual* for structure-related records that are transmitted to Structure Construction for permanent storage at the completion of the project.

5-104D As-Built Plans

Districts are responsible for all as-built road plans, and Structure Design is responsible for all as-built structure plans. For as-built plans, use the following procedure:

- The district Design Unit will give the resident engineer full-size prints of all road plans. Prints of structure plans will be supplied to the Structure representative. The plans may also be transmitted in electronic form when field forces have the capability of Computer-Aided Design and Drafting (CADD). As-built information is recorded on the full-size drawings or recorded on a set of contract plans using CADD.
- Each sheet of as-built plans must be clearly identified as such. All sheets that include changes must contain the name of the resident engineer or Structure representative.

5-104D (1) District Procedure on As-Built Plans

The district will maintain a set of original project plan sheets. Field changes will be made on full-size prints or in a field CADD system and afterward transferred to the original CADD files in the district office. The set of plans, with changes delineated by the district Design Unit, becomes the as-built plans.

To attain uniformity in final project plans, include the following data on the as-built plans:

- Change order number.
- Revisions in alignment and right-of-way.
- Grade revisions more than 0.1 foot.
- Changes in length, size, flow line elevations, and station of culverts. When alternate types of culverts are permitted, show which alternate was used.
- Drainage changes.
- Location of sewers, conduits, and other features.
- Location of monuments, benchmarks, freeway fences, and gates.
- Revisions of typical cross sections.
- Changes in pavement lanes, tapers, ramps, frontage roads, road connections, driveways, sidewalks, islands, and median openings.
- Curb and gutter changes.
- Electrical conduits, pull boxes, vaults, cabinets, enclosures, and service points.
- Revisions in location of utility crossings and irrigation crossovers.

Do not show the following data on as-built plans:

- Construction quantities
- Property fences
- Miscellaneous small features, such as markers and delineators, which are readily changed by maintenance forces

The resident engineer must complete the as-built plans as soon as possible after work is completed to make sure they are compliant with the archiving of as-built plans, but no later than 90 days after contract acceptance.

After the district Design Unit has completed the transfer of as-built information on the final as-built drawings, the unit will return the plans to the resident engineer for review and signature of final approval. For the processing and disposition of as-built plans after the construction review, refer to Chapter 15, “Final Project Development Procedures,” of the *Project Development Procedures Manual*.

5-104D (2) Procedure on As-Built Plans for Bridges and Structures

Structure Construction must handle structure as-built plans in the following manner:

- From the resident engineer, obtain full-size prints of all sheets with “Structure” signature blocks. If these prints are not available from the resident engineer, the Structure representative must contact Structure Design.
- The Structure representative will make the as-built corrections to these prints and forward them to Sacramento Structure Construction. These corrected prints must

be forwarded to the Sacramento office as soon as possible after completion of the structures, but no later than 30 days after the completion of the project.

- For prints of projects consisting solely of roadside rest or maintenance facilities, Sacramento Structure Construction must forward the prints directly to Structure Design, Documents Unit. Prints from all other projects must be forwarded to Structure Maintenance and Investigations, which determines which sheets should be microfilmed for the structure files.
- Prints not identified for filing by Structure Maintenance and Investigations will be forwarded to the appropriate district office for the preparation of as-built plan sheets. Structure Design will make the as-built corrections on the original plan sheets. If the original plan sheet is not currently stored in Structure Design, it may be obtained from the district.

On state projects that do not have a representative from Structure Construction, the resident engineer must make the as-built changes on the prints bearing “Structure” signature blocks. As soon as possible after completion of the structures, forward the prints to Structure Construction in Sacramento. The previously listed procedure must then be followed.

On projects funded by others in which the local entity or private entity is the sponsor, follow the procedure for as-built plans for bridges and structures described in the *Office of Special Funded Projects Information and Procedures Guide* and the *Encroachment Permits Manual*.

For additional guidelines and details for completing structure as-built plans, refer to the *Bridge Construction Records and Procedures Manual*.

5-104D (3) Projects Not on State Highways

- On all district-administered projects not located on state highways, the required as-built information will remain the same as for state-highway contracts. The district will be fully responsible for completing as-built project plans and forwarding them to the local agencies. If desired, the district can make a copy of the plans for their own records before returning them to the local agencies.
- The engineer responsible for structure work will place as-built corrections on structure plans of all state and federally funded projects for local roads and streets. On Caltrans-administered contracts, follow normal Caltrans procedures for processing these plans. On locally administered contracts, the engineer responsible for structure work will provide the Office of Special Funded Projects, and Structures Local Assistance with a set of original tracings or duplicates of reproducible quality with as-built corrections. After microfilming, return these tracings or duplicates to the local agency.