



Change Orders

Revision and Approval

Revision	Date	Nature of Changes	Approved By
0	06-30-2020	Original Issue	Richard Foley

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Background

This process establishes Structure Construction (SC) roles, responsibilities, and procedures for the preparation, review, and concurrence of change orders for structure work on field construction projects. This applies to all change orders whether they are initiated in the field or by the designer.

Caltrans policy for change orders is in the:

1. *Construction Manual*, [Section 5-3](#), *Contract Administration – Change Orders*.

Prior to reviewing this Bridge Construction Memo (BCM), it is essential to review any policy documents referenced above. The information in the policy documents typically will not be repeated in the text of this BCM.

Process Inputs

1. An occurrence on the project requiring a change to the contract documents such as:
 - a. A plan conflict, unknown as-built or field condition, or situation.
 - b. A Designer of Record request, a contractor request, or public or private agencies request.
 - c. Division of Construction, [Construction Procedure Directives](#) (CPDs).

Procedure

1. All work associated with this process is charged as [Project Direct-Construction](#).

2. SC Structure Representative (SR) and/or Assistant Structure Representative responsibilities include:
 - a. Review the need for a change order (CO) based on:
 - i. An unknown as-built or field condition, issue, occurrence, or situation at the job site.
 - ii. Review of contract documents for plan conflicts.
 - iii. An established need or reason for a change order.
 - iv. Additional item(s) requested by the Designer of Record.
 - v. Request for Information or Potential Claim Record from the contractor.
 - b. SR will determine if “prior authorization to proceed” is needed per the *Construction Manual*, [Section 5-311C](#), *Contract Administration – Change Orders – Change Order Approval Process – Authorization to Proceed*.
 - c. SR will discuss SC findings with the Resident Engineer, the Bridge Construction Engineer (BCE), and/or the Area Construction Manager.
 - d. SR will review Caltrans’ original agreement with the contributing agency for locally funded state highway projects to verify the changes are within scope of the agreement.
 - e. Determine whether the proposed change requires input from the Designer of Record:
 - i. For changes that require a change to the contract documents:
 1. Discuss the proposed change with the Designer of Record and come to an agreement on the basis and scope of the change.
 2. Verify the Designer of Record and/or Specification Engineer generates and submits the change order package (revised contract documents, revised cost estimates, and [Form SC-4902](#), *Request for Change Order*) to the SC HQ office. The SC HQ office reviews the change order package, and, if concurs, sends the change order package to the Structure Representative.
 3. Include the change order package with the initial draft change order.
 - ii. For changes that do not require submittal from the Designer of Record or Structures Specifications:
 1. Obtain SC concurrence from the BCE via [Form SC-4901](#), *SC Concurrence for Change Orders Involving Structure Work*.
 - f. Determine the terms of the change order with the contractor.

- g. Complete the initial draft change order and change order memorandum using [Form CEM-4900](#), *Change Order*, and [Form CEM-4903](#), *Change Order Memorandum*, and:
 - i. Establish and file cost estimate data associated with the change order.
 - ii. Complete a time impact analysis to justify any time adjustment.
 - iii. Include names and correspondence of persons who concur with the change order on the change order memorandum.
 - h. Provide the initial draft Form CEM-4900, *Change Order*, and Form CEM-4903, *Change Order Memorandum*, to the Resident Engineer.
 - i. Assist the Resident Engineer to finalize Form CEM-4900, *Change Order*, and Form CEM-4903, *Change Order Memorandum*, and gain approval of the change order from/through District construction office/HQ as specified in the *Construction Manual*, Section 5-311A, *Division of Construction Approval*.
 - j. Review the change order for accuracy and design intent before it is sent to the contractor for review and timely response.
 - k. Discuss and distribute the change order to Assistant SRs and stakeholders.
3. SC Supervisor will:
- a. Review with the SR on the need for change order for structure work.
 - b. Review and provide change order concurrence via Form SC-4901, *SC Concurrence for Change Orders Involving Structure Work*, or Form SC-4902, *Request for Change Order*.
4. SC Manager will:
- a. Review and provide change order concurrence via Form SC-4901, *SC Concurrence for Change Orders Involving Structure Work*, or Form SC-4902, *Request for Change Order* when requested.
5. Document all discussions pertinent to this BCM, in the Daily Reports per [BCM C-7](#), *Daily and Weekly Reports*.
6. File all change order documents and Daily Reports in the appropriate category in the project records as specified in the *Construction Manual*, [5-102](#), *Contract Administration – Project Records and Reports – Organization of Project Documents*.

Process Outputs

- 1. Draft change order and change order memorandum.
- 2. Completed Form SC-4901, *SC Concurrence for Change Orders Involving Structure Work* and Form SC-4902, *Request for Change Order*.

Attachments

None