

# DIVISION OF LOCAL ASSISTANCE



## CONSTRUCTION OVERSIGHT INFORMATION NOTICE



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### Welcome to COIN!

This is the first issue of a new Caltrans Local Assistance Program publication — the **Construction Oversight Information Notice**, or “**COIN**” for short. These short, single-topic bulletins are intended to provide outreach information and guidance to local agencies on issues pertaining to the construction of Federal-aid projects. They will cover a wide variety of subjects, including discussions of findings resulting from process reviews by Caltrans and/or FHWA, changes in procedures or regulations, reminders of existing procedures or best practices, and other timely information. The goal is to ensure proper and timely delivery of Federal-aid projects. Please ensure that Resident Engineers on all Federal-aid projects receive copies of these notices.

### ***Our First Topic: Keeping Adequate Construction Records***

The issue: A significant point made in the FHWA “Local Agency Program Review, Phase II” report, dated September 2008, relates to project records. Specifically, one of the most recurrent findings was that project files were incomplete, and that documentation problems were most often found in the construction phase. As the report states, “**complete and organized projects files are essential in demonstrating compliance with laws, regulations and policies.**” Important construction record keeping areas include:

- Project correspondence
- Materials data (including inspection and testing reports)
- Resident Engineer/Construction Inspector daily diaries
- Contract item pay quantity documents
- Contract Change Orders (CCO’s) and claims
- Labor Compliance/EEO records (including certified payrolls and employee interviews)
- DBE participation reports

Our advice: The best source of information for construction project record keeping requirements is the **Caltrans Local Assistance Procedures Manual (LAPM)**. In particular, **Exhibit 15-B, the “Resident Engineer’s Construction Contract Administration Checklist”**, and **Chapter 16, “Administer Construction Contracts”** contain valuable information on this subject. You can find these resources at our website, <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>. Your Caltrans District Local Assistance Engineer (DLAE) can also help you with any questions you may have.

*The Construction Oversight Information Notice (COIN) is prepared by Caltrans, Division of Local Assistance, Office of Policy Development and Quality Assurance. Comments or suggestions should be directed to the COIN Editor: Tom\_Glover@dot.ca.gov .*