



Caltrans Local Assistance

RESIDENT ENGINEER ACADEMY

Module 2

Pre-Construction Preparation

November 2025

Pre-Construction Preparation: Objectives

Be able to...

- Define role of *Person in Responsible Charge*
- List RE's duties
- Staff your project appropriately
- Procure a consultant
- Know what's in an award package
- Create a project records filing index
- Develop a pre-construction meeting agenda

Pre-Construction Preparation: Person in Responsible Charge

Person in Responsible Charge of the project must be a **full time, public employee** of the agency.

23 CFR 172.9 & 23 CFR 635.105

Responsible for:

- Construction Contract
- Consultant Contract

Person in Responsible Charge

2.1 Handout - FHWA August 4, 2011

Person in Responsible Charge

Ensure work delivered is complete, accurate, and consistent with the terms, conditions, and specifications of the contract.

- Ensures project staff, agency or consultant, perform proper project administration, including documentation.
- Maintains familiarity with day-to-day project operations, including safety.
- Performs field reviews.
- Approves:
 - Contract changes
 - Contractor payments
 - Time extensions

United States Department of Transportation



U.S. Department of Transportation
Federal Highway Administration

About FHWA

[Home](#) / [Federal-aid Essentials](#) / [Videos](#)

Federal-aid Essentials for Local Public Agencies

About >

Videos >

- List of All Videos
- Federal-aid Program Overview
- Finance

All Federal-aid Essentials Videos

Library Directory (click to navigate)

- [Federal-aid Program Overview](#)
- [Finance](#)
- [Right-of-Way](#)
- [Environment](#)
- [Civil Rights](#)
- [Project Development](#)
- [Project Construction and Contract Administration](#)
- [Other Programs](#)

FHWA Videos:
<https://www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=15>

Project Management

Supervising Agency Requirements

<https://highways.dot.gov/fed-aid-essentials/videos#project-const>

Video: Project Management: Supervising Agency Requirements (Responsible Charge)

<https://highways.dot.gov/fed-aid-essentials/videos/project-construction-and-contract-administration/project-management>

Pre-Construction Preparation: Resident Engineer Role

Resident Engineer (RE):

- Administers the construction contract
- Provides construction engineering
- Documents the process

Resident Engineer Role

Administer construction contract:

- Supervise project staff
- Know and understand the contract
- Identify and solve problems
- Facilitate project coordination

Resident Engineer Role

Administer construction contract (continued):

- Verify quality of materials and workmanship
- Monitor safety
- Ensure compliance with State and Federal laws
- Pay contractor
- Close out project

Project Staff

- Resident Engineer (RE)
- Assistant RE/Inspectors
- Structures Representative/Engineer
- Office Engineer/Assistant
- Specialists?

Project Staff

Specialists:

- Material Tester
- Surveyor
- Labor Compliance Liaison
- Electrical Inspector
- Landscape Inspector
- Storm Water Reviewer
- Scheduler
- Claims Analyst
- Archaeologist

Procuring Consultants

Local agencies are required to award on the basis of *fair and open competitive negotiations*, *demonstrated competence, and professional qualification.*

Brooks Act (40 USC, Section 1104)

Comply with Chapter 10 or
be ineligible for reimbursement!

LAPM Chapter 10, Consultant Selection

Procuring Consultants

Consultant selection documentation:

- Establish evaluation criteria
- Put out RFP or RFQ
- Receive submittals
- Evaluate
- Negotiate



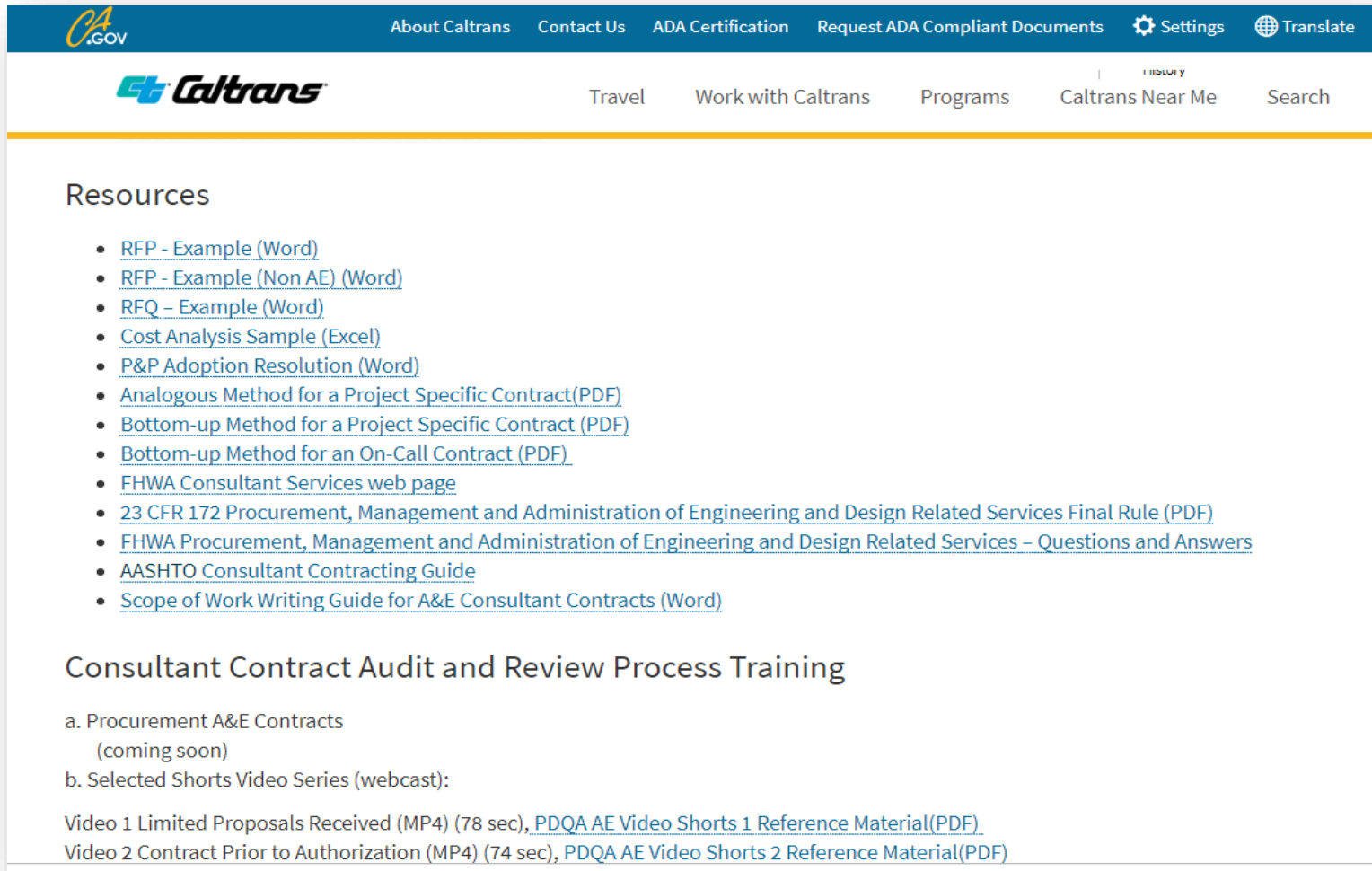
3 Years After Final Voucher

Consultant Selection & Procurement

The screenshot shows the Caltrans website interface. At the top, there is a navigation bar with the Caltrans logo on the left and links for 'About Caltrans', 'Contact Us', 'ADA Certification', 'Request ADA Compliant Documents', 'Settings', and 'Translate'. Below this is a secondary navigation bar with icons and labels for 'Travel', 'Work with Caltrans', 'Programs', 'Caltrans Near Me', and 'Search'. The main content area has a breadcrumb trail: 'Home | Programs | Local Assistance | Environmental and Other Policy Issues | Consultant Selection and Procurement'. The title 'Consultant Selection and Procurement' is prominently displayed. Under 'Background', a paragraph explains that Caltrans provides guidance on consultant selection for federal aid highway projects, citing federal requirements like 23 USC Part 112 and 40 USC Section 1101-1104. It defines A&E services as program management, construction management, feasibility studies, preliminary engineering, design, engineering, surveying, mapping, or architectural services. The 'Guidance' section lists five links: 'Local Assistance Procedures Manual, Chapter 10, Consultant Selection (PDF)', 'RFP vs RFQ Matrix(PDF)', 'Federal vs State Procurement Matrix(PDF)', 'Most Frequent Errors made by local agencies during A&E Contract Procurement (Last updated January 2016) (PPT)', and 'A&E Consultant Procurement Checklist(Word)'. The 'Resources' section lists five links: 'RFP - Example (Word)', 'RFP - Example (Non AE) (Word)', 'RFQ - Example (Word)', 'Cost Analysis Sample (Excel)', and 'P&P Adoption Resolution (Word)'. The page is partially obscured by a shadow effect.

<https://dot.ca.gov/programs/local-assistance/guidance-and-oversight/consultant-selection-procurement>

Use of Consultant Resources



The screenshot shows the Caltrans website interface. At the top, there is a blue navigation bar with the Caltrans logo on the left and links for 'About Caltrans', 'Contact Us', 'ADA Certification', 'Request ADA Compliant Documents', 'Settings', and 'Translate'. Below this is a white header with the Caltrans logo on the left and links for 'Travel', 'Work with Caltrans', 'Programs', 'Caltrans Near Me', and 'Search'. The main content area is titled 'Resources' and contains a list of 12 links. Below the list is a section titled 'Consultant Contract Audit and Review Process Training' with two sub-points: 'a. Procurement A&E Contracts (coming soon)' and 'b. Selected Shorts Video Series (webcast):'. Under point 'b', there are two video links: 'Video 1 Limited Proposals Received (MP4) (78 sec), PDQA AE Video Shorts 1 Reference Material(PDF)' and 'Video 2 Contract Prior to Authorization (MP4) (74 sec), PDQA AE Video Shorts 2 Reference Material(PDF)'.

Resources

- [RFP - Example \(Word\)](#)
- [RFP - Example \(Non AE\) \(Word\)](#)
- [RFQ - Example \(Word\)](#)
- [Cost Analysis Sample \(Excel\)](#)
- [P&P Adoption Resolution \(Word\)](#)
- [Analogous Method for a Project Specific Contract\(PDF\)](#)
- [Bottom-up Method for a Project Specific Contract \(PDF\)](#)
- [Bottom-up Method for an On-Call Contract \(PDF\)](#)
- [FHWA Consultant Services web page](#)
- [23 CFR 172 Procurement, Management and Administration of Engineering and Design Related Services Final Rule \(PDF\)](#)
- [FHWA Procurement, Management and Administration of Engineering and Design Related Services – Questions and Answers](#)
- [AASHTO Consultant Contracting Guide](#)
- [Scope of Work Writing Guide for A&E Consultant Contracts \(Word\)](#)

Consultant Contract Audit and Review Process Training

a. Procurement A&E Contracts
(coming soon)

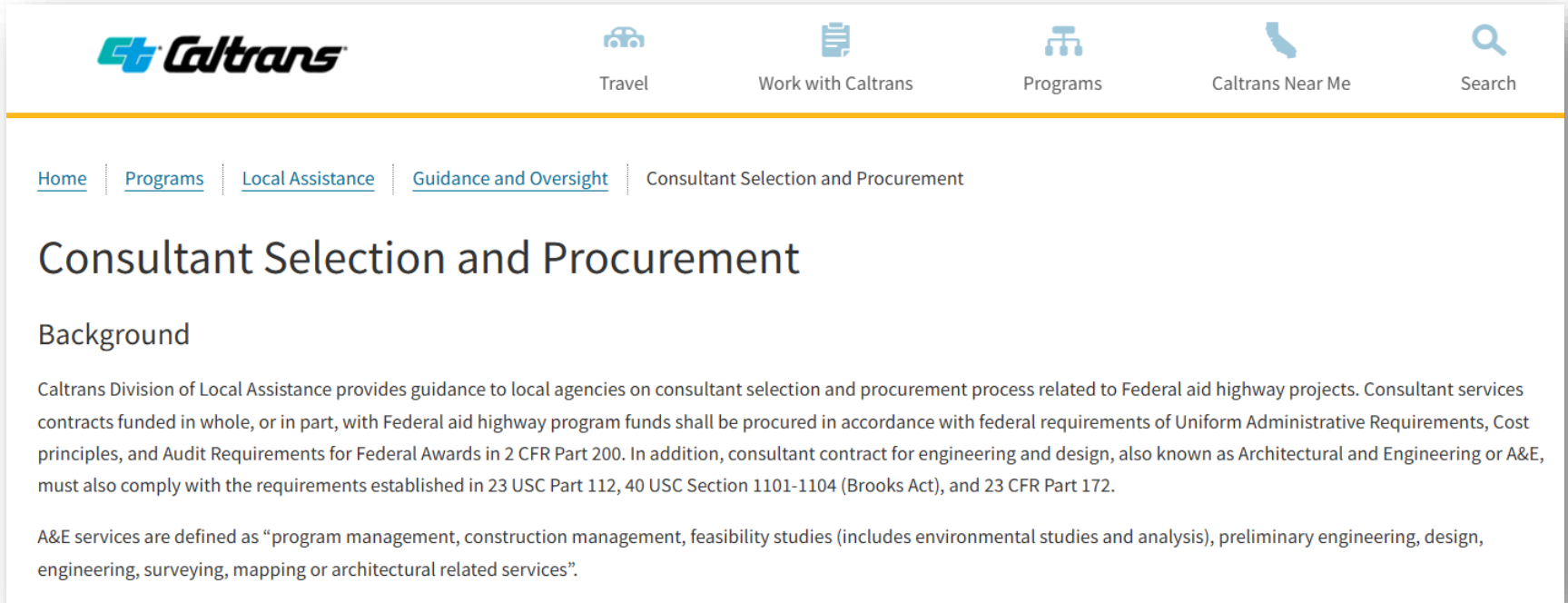
b. Selected Shorts Video Series (webcast):

Video 1 Limited Proposals Received (MP4) (78 sec), [PDQA AE Video Shorts 1 Reference Material\(PDF\)](#)

Video 2 Contract Prior to Authorization (MP4) (74 sec), [PDQA AE Video Shorts 2 Reference Material\(PDF\)](#)

<https://dot.ca.gov/programs/local-assistance/guidance-and-oversight/consultant-selection-procurement>

Architectural & Engineer Consultant Selection & Procurement Specialists



The screenshot shows the Caltrans website interface. At the top left is the Caltrans logo. To its right are navigation icons for Travel, Work with Caltrans, Programs, Caltrans Near Me, and Search. Below these is a breadcrumb trail: Home | Programs | Local Assistance | Guidance and Oversight | Consultant Selection and Procurement. The main heading is "Consultant Selection and Procurement". Underneath is a "Background" section with two paragraphs of text. The first paragraph discusses the procurement process for federal aid highway projects, mentioning Uniform Administrative Requirements, Cost principles, and Audit Requirements for Federal Awards in 2 CFR Part 200. The second paragraph defines A&E services as "program management, construction management, feasibility studies (includes environmental studies and analysis), preliminary engineering, design, engineering, surveying, mapping or architectural related services".

**Contact a Caltrans District Local Assistance Engineer (DLAE)
to be connected with your local A&E Specialist**

Caltrans HQ Consultant Selection & Procurement Specialists

<https://dot.ca.gov/programs/local-assistance/guidance-and-oversight/consultant-selection-procurement>

Use of Consultants

- Cannot add CM/CE to an existing design contract
- If your PWD or City Engineer is a consultant, his/her consulting company is not recommended to submit proposals – **conflict of interest**, appearance of conflict of interest.

Award Package

Contract Award Checklist (15-L)

Award package for federal-aid projects:

- Low Bid
- Low Bid Summary (15-D)
- Bidder DBE Commitment (15-G)
- Detail Estimate (15-M)
- RE's Con. Contract Admin. Checklist (15-B)

EXHIBIT 15-L LOCAL AGENCY CONTRACT AWARD CHECKLIST

Administering Agency: Kern County Public Works Department
 Federal-aid Project Number: CML-5950(462)
 Project Locator: 08-KER-HOPE LN, TATUM ST, WILSON LN-CR-0-KCPW
 Caltrans District – County – 0 or State Route – Administering Agency
 Project Limits: Hall Rd to Habecker Rd and Hope Ln/Ave to end of Wilson Ln
 (Physical limits reference intersections or post miles limits)

Has Caltrans issued an "Authorization to Proceed" (E-76) in writing with federal funds included for construction, and is the amount correct?	Yes
Copy of engineers estimate:	to be attached
Is material testing and sampling arranged?	Yes
Copy of low bidder's proposal	to be attached
Low Bid signed in ink?	Yes
Is a Good Faith Effort Statement of DBE Participation (Exhibit 15-H) included in the low bidder's proposal? (Only required if DBE goal is not achieved)	Yes
Construction Contract DBE Commitment (Exhibit 15-G)	to be attached
Is the Non-Collusion Affidavit (Exhibit 12-H, Sample Bid) included in the low bidders' proposal?	Yes
Is the Bid summary (itemized bids for 3 lowest bidders) complete?	Yes
Addendum procedures adhered to?	Yes
TIP information, Authorized amount	\$ 748,500.00
Include TIP page number or amendment number here:	19FTIP pg 45
Bid opening procedures were adhered to?	Yes
Date DLA's Federal Wage Rate website was checked for updates *	10/28/2020
Date of bid opening	11/04/2020
Date of award	12/08/2020
Amount of award	\$ 348,655.00
Detail Estimate (Exhibit 15-M)	to be attached
LAPM 3-A	N/A
Resident Engineer's Construction Contract Administration Checklist (Exhibit 15-B)	to be attached
Is successful bidder licensed?	Yes

NOTE: If the answer is "no" to any of the above questions, a letter of explanation is required. The DLAE shall review the explanation and determine if the local agency is eligible for federal funds.

* If the date listed is more than 10-calendar days before bid opening, local agency must provide documentation that web site was subsequently checked within the 10-calendar day period or after bid opening, and there were no changes in the applicable federal wage rates, otherwise an addendum may be required.

Distribution: 1) Original plus one copy –DLAE
 2) Copy- Local Agency Project files

Reviewed by:


 (Signature of Administered Agency Representative)

Darren Qu
 (Name printed or typed)

Title: Engineering Manager

Date: 01/11/2021

Phone Number: (661) 862-5252

2.1 Handout page 5

Sample of Completed Local Agency Contract Award Checklist (15-L)

Sample of Completed Local Agency Contract Award Checklist (15-L)

Bid opening procedures were adhered to?..... Yes

Date DLA's Federal Wage Rate website was checked for updates*..... 08/16/2022

Date of bid opening 07/20/2022

Date of award 09/14/2022

Amount of award..... \$ 11,793,221.33

Detail Estimate (Exhibit 15-M) Attached

LAPM 3-A Attached

Resident Engineer's Construction Contract Administration Checklist (Exhibit 15-B) Attached

Is successful bidder licensed? Yes

NOTE: If the answer is "no" to any of the above questions, a letter of explanation is required. The DLAE shall review the explanation and determine if the local agency is eligible for federal funds.

■ If the date listed is more than 10-calendar days before bid opening, local agency must provide documentation that web site was subsequently checked within the 10-calendar day period or after bid opening, and there were no changes in the applicable federal wage rates, otherwise an addendum may be required.

Distribution: 1) Original plus one copy –DLAE
2) Copy- Local Agency Project files

Reviewed by: _____
(Signature of Administered Agency Representative)

Naomi Diep
(Name printed or typed)

Title: _____ Project Engineer

Date: _____ 01/12/23

Phone Number: _____ 213-847-4783

Page 1 of 1
January 2020

..... Yes

..... 08/16/2022

..... 07/20/2022

..... 09/14/2022

..... \$ 11,793,221.33

..... Attached

Federal 10 Day Rule

**MAIN STREET BRIDGE
 OVER SANTA ROSA CREEK
 CAMBRIA, CA
 CONTRACT NO. 300180
 FEDERAL PROJECT NO. BRLO-5949(065)
 BID PROPOSAL**

2.1 Handout page 6

Sample of Contractor's Low Bid

ITEM NO.	CODE NO.	DESCRIPTION OF ITEM	ESTIMATED QUANTITY	UNIT	BID UNIT PRICE	BID PRICE
1	071325	TEMPORARY FENCE (TYPE BSA)	1310	LF	5.35	6,943-
2	066018	FIELD OFFICE	1	LS	LUMP SUM	9,626-
3	-	TEMPORARY CREEK DIVERSION SYSTEM	2	EA	23,000-	46,000-
4	072008	SHEETING, SHORING, & BRACING	1	LS	LUMP SUM	21,000-
5	074018	HEALTH AND SAFETY PLAN	1	LS	LUMP SUM	5,500-
6	074020	WATER POLLUTION CONTROL	1	LS	LUMP SUM	165,000-
7	120090	CONSTRUCTION AREA SIGNS	1	LS	LUMP SUM	12,000-
8	120100	TRAFFIC CONTROL SYSTEM	1	LS	LUMP SUM	23,000-
9	128650	PORTABLE CHANGEABLE MESSAGE SIGNS	3	EA	1,634-	4,902-
10	150606	REMOVE FENCE (TYPE BW)	620	LF	2.20	1,364-
11	150609	REMOVE FENCE (WOOD PICKET)	130	LF	5.25	825-
12	150662	REMOVE METAL BEAM GUARD RAILING	515	LF	8-	4,120-
13	150745	REMOVE ROADSIDE SIGN	5	EA	73-	365-
14	150806	REMOVE CMP PIPE	80	LF	9-	720-
15	152386	RELOCATE ROADSIDE SIGN (ONE POST)	3	EA	165-	495-
16	152440	ADJUST MANHOLE TO GRADE	1	EA	680-	680-
17	153114	COLD PLANE ASPHALT PAVEMENT (0.20' MAX)	7200	SF	1.33	9,576-
18	157550	BRIDGE REMOVAL	1	LS	LUMP SUM	92,000-
19	160101	CLEARING AND GRUBBING	1	LS	LUMP SUM	30,000-
20	190101	ROADWAY EXCAVATION	3300	CY	22-	72,600-
21	194001	DITCH EXCAVATION	15	CY	93-	1,395-

DB-9(a)

Sample Itemized Bids of Lowest 3 Bidders (15-D)

2.1 Handout page 7

Montego Street North Sidewalk, Phase II

City of Arroyo Grande

PW 2013-02

Federal Aid Project No. SRTSL-5199 (026)

Bid Opening: 06/13/13

Item #	Item Description	Quantity	Unit	Brough Construction 634 Printz Rd Arroyo Grande, CA 93420		Jl Fisher Construction Inc. PO Box 422 Arroyo Grande, CA 93421		R. Burke Corporation PO Box 957 San Luis Obispo, CA 93406		V. Lopez Jr. & Sons G.E.C., Inc 200 E Fesler St Suite 101 Santa Maria, CA 93454	
				Unit Price	Item Total	Unit Price	Item Total	Unit Price	Item Total	Unit Price	Item Total
1	Mobilization, Bonds & Insurance	1	LS	\$8,100.00	\$8,100.00	\$10,000.00	\$10,000.00	\$14,000.00	\$14,000.00	\$1,000.00	\$1,000.00
2	Traffic Control & Construction Signing	1	LS	\$5,000.00	\$5,000.00	\$2,000.00	\$2,000.00	\$11,000.00	\$11,000.00	\$3,000.00	\$3,000.00
3	Storm Water Pollution Control Program	1	LS	\$2,100.00	\$2,100.00	\$2,000.00	\$2,000.00	\$3,000.00	\$3,000.00	\$2,000.00	\$2,000.00
4	Concrete Curb & Gutter	980	LF	\$32.00	\$31,360.00	\$40.00	\$39,200.00	\$40.00	\$39,200.00	\$40.00	\$39,200.00
5	Concrete Sidewalk / Driveway	4,365	SF	\$7.00	\$30,555.00	\$8.00	\$34,920.00	\$8.00	\$34,920.00	\$11.00	\$48,015.00
6	Concrete Driveway Approach (City Std. 110-AG)	875	SF	\$22.00	\$19,250.00	\$10.50	\$9,187.50	\$13.00	\$11,375.00	\$19.00	\$16,625.00
7	Concrete Driveway Approach (Caltrans Std. A87A)	800	SF	\$16.00	\$12,800.00	\$11.00	\$8,800.00	\$13.00	\$10,400.00	\$20.00	\$16,000.00
8	Construct 18" X 24" Catch Basin	1	EA	\$3,000.00	\$3,000.00	\$6,500.00	\$6,500.00	\$2,700.00	\$2,700.00	\$3,675.00	\$3,675.00
9	Construct Curb Drain	5	EA	\$114.00	\$570.00	\$200.00	\$1,000.00	\$160.00	\$800.00	\$1,000.00	\$5,000.00
10	Remove & Replace 4" HMA (Class C2-PG64-10)	4,900	SF	\$4.40	\$21,560.00	\$5.50	\$26,950.00	\$4.50	\$22,050.00	\$6.00	\$29,400.00
11	Remove & Relocate Mailbox	11	EA	\$121.00	\$1,331.00	\$250.00	\$2,750.00	\$190.00	\$2,090.00	\$200.00	\$2,200.00
12	Install New Water Meter Box & Adjust to Grade	4	EA	\$340.00	\$1,360.00	\$400.00	\$1,600.00	\$270.00	\$1,080.00	\$250.00	\$1,000.00
13	Paint "STOP" Legend	1	EA	\$500.00	\$500.00	\$300.00	\$300.00	\$400.00	\$400.00	\$250.00	\$250.00
Bid Totals				\$137,486.00		\$145,207.50		\$153,015.00		\$167,365.00	
Listed Subs				Apodaca Paving Inc. PO Box 1 Grover Beach, CA 93483 License No: 415318 A		Toste Grading & Paving PO Box 407 Grover Beach, CA 93433		AA & P Contractors Salicoy, CA License No: 626248 CB		Ferravanti Grading & Paving 395 Hunter Place Paso Robles, CA 93446 License No: 833407 A	
				Predison Concrete Inc. 759 Hartnell Rd. Santa Maria, CA 93455 License No: 463452 CB						Toste Construction 7651 Green Place Arroyo Grande, CA 93420 License No: 879465 A	

Exhibit 15-G Construction Contract DBE Commitment

1. Local Agency: County of Monterey Dept. of Public Works 2. Contract DBE Goal: 5%
 3. Project Description: Polyester Concrete Bridge Deck Overlay and Methacrylate Bridge Deck Seal at Various Locations
 4. Project Location: Various Locations in Monterey County, CA
 5. Bidder's Name: American Civil Constructors West Coast LLC, Prime Certified DBE: Bid Amount: \$2,280,000.00
 6. Total Dollar Amount for ALL Subcontractors: \$607,747.00 9. Total Number of ALL Subcontractors: 4

10. Bid Item Number	11. Description of Work, Service, or Materials Supplied	12. DBE Certification Number	13. DBE Contact Information (Must be certified on the date bids are opened)	14. DBE Dollar Amount
20	Clean Expansion Joint	#13802	Austin Enterprise, P.O. Box 81926,	\$42,633.00
21	Joint Seal (1"<MR<2")	#13802	Bakersfield, CA 93380, (661)589-1001	\$32,499.00
23	Joint Seal (2"<MR<4")	#13802		\$152,032.00
Local Agency to Complete this Section				
21. Local Agency Contract Number:				\$ 237,184.00
22. Federal-Aid Project Number: <u>BPMPL 5944(122)</u>				15. TOTAL CLAIMED DBE PARTICIPATION
23. Bid Opening Date: <u>05/12/2017</u>				10.4 %
24. Contract Award Date: <u>07/11/2017</u>				
Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.				
26. Local Agency Representative's Signature: <u>[Signature]</u>		28. Date: <u>6/09/2017</u>	IMPORTANT: List all DBE firms being claimed for credit, regardless of size. Names of the First Tier DBE Subcontractors and their respective list(s) of work listed above must be consistent, where applicable with the names and items of the work in the "Subcontractor List" submitted with your bid. Written confirmation of each listed DBE is required.	
27. Local Agency Representative's Name: <u>THOMAS J. MUMFITT</u>		29. Phone: <u>(831) 795-4634</u>	16. Preparer's Signature: <u>[Signature]</u>	
28. Local Agency Representative's Title: <u>ENGINEERING MANAGER</u>			17. Date: <u>05/12/17</u>	
29. Local Agency Representative's Title:			18. Preparer's Name: <u>Andrew Keough</u>	
			19. Phone: <u>(707) 742-6422</u>	
			20. Preparer's Title: <u>Estimator</u>	

DISTRIBUTION: 1. Original - Local Agency
 2. Copy - Caltrans District Local Assistance Engineer (DLAE). Failure to submit to DLAE within 30 days of Contract execution may result in de-obligation of federal funds on Contract. Include additional copy with award package.

ADA Notice: For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 864-6410 or TDD (916) 654-3085 or write Records and Forms Management, 1120 N Street, MS-30, Sacramento, CA 95814.

2.1 Handout page 8

Sample of Completed Local Agency Bidder DBE Commitment (15-G)

- Bid Amount
- Total Claimed DBE Participation

Exhibit 15-M: Detail Estimate

File: 06-FRE-0-FIRE
 Federal Project No.: STPL-5224(025)
 Project Location: 8th Street from P St to SR33
 Date: March 4, 2021

To be used as a basis of agreement for Federal-aid Project No. (1): STPL-5224(025)
 In the City/County of (2): Firebaugh/Fresno County
 Construction Authorization Date (3): 09/08/2020
 Type (4): 4R Maintenance-Restoration & Rehab
 Preliminary Engineering (Authorization Date) (5): N/A
 Right of Way (Acquisition Authorization Date) (6): N/A

Acquisition (No. of Parcels)		\$
RAP (No. of Homes)		\$
RAP (No. of Businesses)		\$
LRH (Parcel No. & Name)		\$
TOTAL COST (7)		\$

Utilities Authorization Date (8): N/A
 Total Cost: \$ _____
 Improvement Type Code (9): 06, 17
 Length (miles) (10): 0.15

ITEM ESTIMATE (11)

Item No.	Item Description	Unit	Quantity	Unit Price	Amount
1	Mobilization <i>(Item 1 not to exceed \$10,000.00)</i>	LS	1	\$10,000.00	\$10,000.00
2	Traffic Control Plan <i>(Item 2 not to exceed \$5,000.00)</i>	LS	1	\$5,000.00	\$5,000.00
3	Pulverize and Grade Pavement	SF	41,374	\$1.00	\$41,374.00
4	Furnish & Place Asphalt Concrete	TN	815	\$100.00	\$81,500.00
5	Adjust Storm Drain Junction Box to Grade	EA	2	\$1,100.00	\$2,200.00
6	Adjust Valve Box to Grade	EA	11	\$900.00	\$9,900.00
7	Adjust Manhole Cover to Grade	EA	3	\$1,000.00	\$3,000.00
8	Apply Double 4-Inch Thermoplastic Striping	LF	638	\$5.00	\$3,190.00
9	Apply Thermoplastic Markings	SF	474	\$6.00	\$2,844.00

Subtotal Contract Items (11)	\$159,008.00
Agency/State Furnished Materials (12)	
Force Account (Day Labor) – striping, etc.	
<i>Subtotal</i>	<i>\$159,008.00</i>
Contingencies (including supplemental work) (13)	
<i>Subtotal + Contingencies = Contract Total</i>	<i>\$159,008.00</i>
Construction Engineering (14)	\$23,852.00
Contract Total + Construction Engineering = TOTAL COST	\$182,860.00

2.1 Handout page 9

Sample of Completed Detailed Estimate (15-M)

DETAIL ESTIMATE SUMMARY (15)

	Improvement Type Code	Total Cost	Participating Cost	Federal Funds	Other Funds
Preliminary Engineering Right of Way		\$0	\$0	\$0	\$0
Construction	06	\$159,008.00	\$159,008.00	\$159,008.00	\$0
Force Account Construction Engineering	17	\$23,852.00	\$23,852.00	\$23,852.00	\$0
TOTAL COST		\$182,860.00	\$182,860.00	\$182,860.00	\$0

Contract Items Participating (16)	\$159,008.00	100%
Contract Items Nonparticipating	\$0	%
TOTAL	\$159,008.00	100%

*Reimbursement Ratio (17): 100%

Program Code(s) (18): Z230

Name/Date Prepared: Terri Chagnon, March 4, 2021

*Reimbursement ratios may vary within each phase of work such as Emergency Relief PE for Emergency Repair (100%) and Preliminary Engineering for restoration (88.53%). In these cases, the detailed estimate shall include two separate lines of Preliminary Engineering.

Distribution: All Projects (1) Original & 1 copy to Caltrans DLAE
(2) Copy to Local Agency Project File

2.1 Handout page 14

Sample of Completed Detailed Estimate (15-M)

Exhibit 15-B: Resident Engineer's Construction Contract Administration Checklist

This form is to be completed and signed by the local agency's Resident Engineer and submitted with Local Agency's Award Package

This form was created to help local agency Resident Engineers with the administration of the federal-aid projects. This list does not contain all the federal-aid requirements for administration of federal-aid projects. Resident Engineers are advised to review the Local Assistance Procedures Manual to be familiar with all the federal-aid requirements.

This form shall be used as reference if the local agency's federal-aid project is subject to a Process Review.

Local Agency Name City of Firebaugh

Federal-aid Project No. S1PL-5224(025)

1. Contract Staffing:

- Names and titles of all staff assigned to the contract shall be in the contract files and shall be adequate (see LAPM Chapter 16, Section 16.2: Project Supervision and Inspection).
- Date of Pre-construction Conference (Attendees list in contract file) _____

2. Authorization:

- Date of the "Authorization to Proceed with Construction" 09/06/20
(Shall be prior to date project was advertised)
- Date the project was advertised 01/14/2021

3. Contract Files:

- Files shall be in an established order and separate from other contracts (see LAPM Chapter 16, Section 16.3: Maintaining Project Records). Check one of the following:

Index used on this project is Local agency's standard for all jobs, or
 For federal-aid jobs only.

4. Resident Engineer's/Construction Inspectors Daily Diaries:

- Shall be current, thorough and neat with detailed information on all work performed (see LAPM Chapter 16, Section 16.8: Engineer's Daily Reports).

5. Construction Records and Accounting Procedures:

- Detail Estimate(s) and Finance Letter(s) are in the project files.
- Amount of federal-aid funds encumbered for the project \$270,000
- Program Supplemental Agreement is in the project files.
- There shall be source documents supporting progress payments made to Contractor.
- There shall be separate item sheets for each contract item paid.

2.1 Handout pages 11-14

Sample of Completed RE's Construction Contract Administration Checklist (15-B)

Page 1 of 4

- There shall be a procedure for Administrative or Labor Compliance deductions.
- Invoices to the State shall match progress payments made to the Contractor.
- 6. Contract Time:**
- A method shall be established to determine contract time (see LAPM Chapter 16, Section 16.6: Tracking Contract Time).
- 7. Labor Compliance:**
- Certified payrolls shall be spot-checked against daily diaries and prevailing wages (see LAPM Chapter 16, Section 16.9: Labor Compliance).
Local agency's Labor Compliance Officer: Ben Gallegos
- 8. EEO:**
- Maintain records to ensure EEO requirements are performed and documented in contract record (see LAPM Chapter 16, Section 16.9: Equal Employment Opportunity).
Local agency's EEO Compliance Officer: Ben Gallegos
- 9. EEO/Wage Rate/False Statements Posters:**
- Federal posters shall be posted for every worker to see at, or near, the contractor's office at the construction site or at the workers central gathering point.
- 10. Employee Interviews:**
- There shall be employee interviews conducted (see Exhibit 16-N).
- 11. QJT: (Refer to Chapter 12, Section 12.8: Federal Contract Requirements)**
- Is the job less than 100 working days? Yes No
- If yes, proceed to Item #12. If No, answer the questions below.
- What is the total dollar amount of the items listed in Table 12-2: _____
- What is the required number of trainees for this contract? _____
- Documentation will be retained in project files to account for the apprentices on the job.
- 12. DBE:**
- DBE Contract Goal Percentage Exhibit 9-D: 12%
- Local Agency's DBE Liaison Officer: Ben Gallegos
- Verified that a copy of the completed Local Agency Bidder DBE Commitment (Construction Contract's) (Exhibit 15-G) has been submitted to the DLAE within 30 days of contract award.
- Contractor has been provided "Monthly DBE Trucking Verification" Form (see LAPM Chapter 16, Exhibit 16-Z1)
- Contractor has been provided the monthly Exhibit 9-F: DBE Running Tally of Payments

2.1 Handout pages 11-14

Sample of Completed RE's Construction Contract Administration Checklist (15-B)

Page 2 of 4

13. CCOs/CLAIMs:

- A CCO approval process shall be established. For NHS projects, major change orders will be approved by DLAE prior to performance of work (see LAPM Chapter 16, Section 16.10: Change Orders).
- There shall be a list of the approved CCOs.
- All CCOs shall note federal-aid eligibility or not.
- Pending claims to be identified and documentation in contract file.

14. Traffic Safety in Highway and Street Work Zones:

- Traffic Control Plan (TCP)/Traffic Management Plan (TMP) in the PS&E? Yes No
(see LAPM Chapter 16, Section 16.15: Traffic Safety in Highway and Street Work Zones)
Comments:
Responsible Person _____ (if not the RE)
- Local Agency shall field review the project to see that the TCP agrees with the actual conditions.
- Local Agency shall be analyzing construction work site accidents for the purpose of correcting deficiencies which might be found to exist on these projects and to improve the content of future TCPs.
- 15. Materials Files:**
- The Quality Assurance Program (QAP) is in the project files (see LAPM Chapter 16, Section 16.11: Quality Assurance Program).
- There shall be procedures for and filing of: (if appropriate)
Notice of Materials to be used
Certifications of Compliance
"Buy America" Requirements
- Acceptance Sampling and Testing Reports shall be in the files.
- There shall be a "Summary Log" of tests.
- Frequency tables shall be used.
- Failed tests shall be documented in the files with cross references to re-tests.
- Resident Engineer shall review all test reports.

2.1 Handout pages 11-14

Sample of Completed RE's Construction Contract Administration Checklist (15-B)

Page 3 of 4

16. Environmental

- The approved NEPA document is in the project files.
- The construction project shall adhere to the mitigation requirements in the approved NEPA document.

17. For Projects on the State Highway System

- A Caltrans Encroachment Permit has been issued.
- Local Agency shall comply with State's Representative's oversight requirements.



 Local Agency's Resident Engineer

Mario B. Gouveia, PE


Check Appropriate Box:

- Agency Employee
- Consultant

Date: 04/08/2021

If a Consultant, please sign below

Local Agency's person in Charge (Local)
Change if Resident Engineer is a Consultant.



 Ben Gallegos
 City Manager/Public Works
 Director

04/08/2021

Date

Signing means you are aware of the requirements!

2.1 Handout pages 11-14

Sample of Completed RE's Construction Contract Administration Checklist (15-B)

Page 4 of 4

Distribution: 1: Local Agency Project File
2: DLAC (please put on first page only)

Project Records

The project records must:

- Support
 - Adequacy of the field control
 - Conformance to contract specifications
 - Payments to contractor
- Contain all data pertinent to the work
- Be complete and well organized

Project Records

The local agency must:

- Adopt a numbered filing index
- Use the same index for all federal-aid projects
- Maintain a separate record file for each project
- Should include topics listed in LAPM 16.3

LAPM 16.3 Maintaining Project Records

Project Records

All contract documentation and backup records shall be available for inspection by Caltrans and FHWA:

- At any time for a minimum of **three (3) years** after the final voucher is received by agency
- At a **single location** for the reviews and audits



3 years After Final Voucher

LAPM 19.2, Records and Documentation

Pre-Construction Conference

A pre-construction conference with contractor is required.

Required Attendees

- **LA Person in Responsible Charge**
- **RE** (if not same as above)
- **Contractor**

**LAPM 16.4, Pre-Construction
CTSS 8-1.03 Preconstruction Conference**

Pre-Construction Conference

Recommended Attendees

- Labor Compliance Officer
- Emergency Services
- Public Utilities
- Other Agencies
- Others?

CM 5-003 PreCon Conference with Contractor

Pre-Construction Conference

Agenda

Required Topics

- Safety
- Equal Employment Opportunity
- Labor Compliance
- Subcontracting
- Contract Training (Apprentice) Goals
- ~~DBE~~
- Environmental Concerns
- Water Pollution Control
- Traffic or Pedestrian Handling
- Buy America-De Minimis Requests

Pre-Construction Conference

Agenda

Recommended Topics

- Progress Schedule
- Work Plans
- QC/QA
- Materials Requiring Certificates of Compliance
- Materials Requiring Buy America Certificates
- Contract Change Order Process
- Dispute Process
- Potential Utility Conflicts

Pre-Construction Conference

Conference Documentation Kept in Project File

- A written record of attendance
- Copy of agenda



Pre-Construction Preparation

Remember

- Person in Responsible Charge must be a full-time public employee of Local Public Agency
- Staff your project appropriately to meet the requirements of project
- Know what's in the Award Package
- Reference
 - [LAPM](#) Ch 16.3 Maintaining Project Records
 - [LAPM](#) Ch 16.4 to develop a pre-construction meeting agenda

Document... document... document!