



Caltrans Local Assistance

RESIDENT ENGINEER ACADEMY

Module 2

Pre-Construction Preparation

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



FHWA Videos:

https://www.fhwa.d ot.gov/federalaidessentials/catm od.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

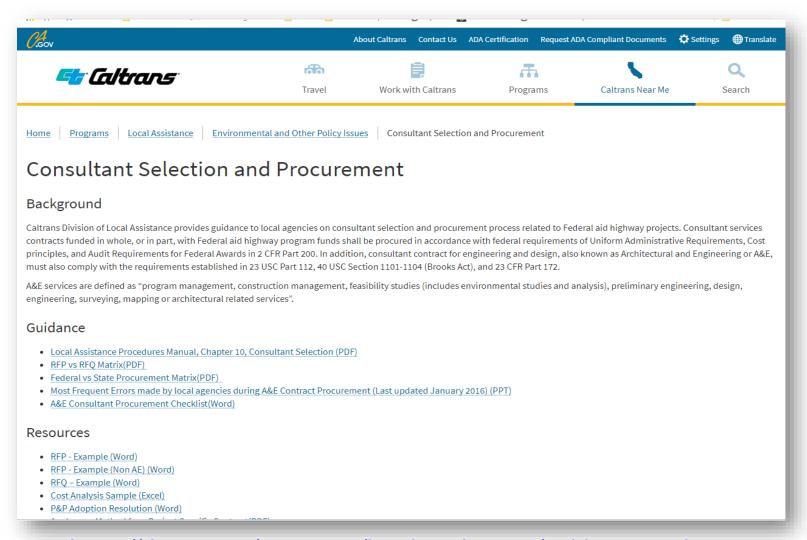
Consultant selection documentation:

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



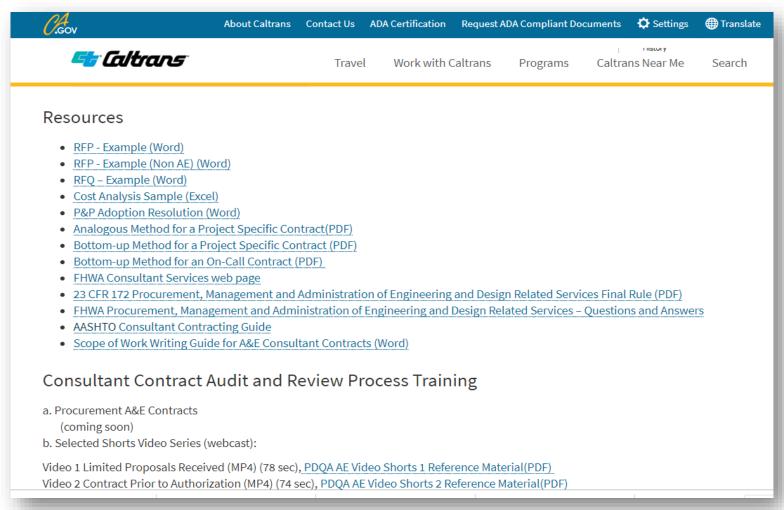
3 Years After Final Voucher

Consultant Selection & Procurement



https://dot.ca.gov/programs/local-assistance/guidance-andoversight/consultant-selection-procurement

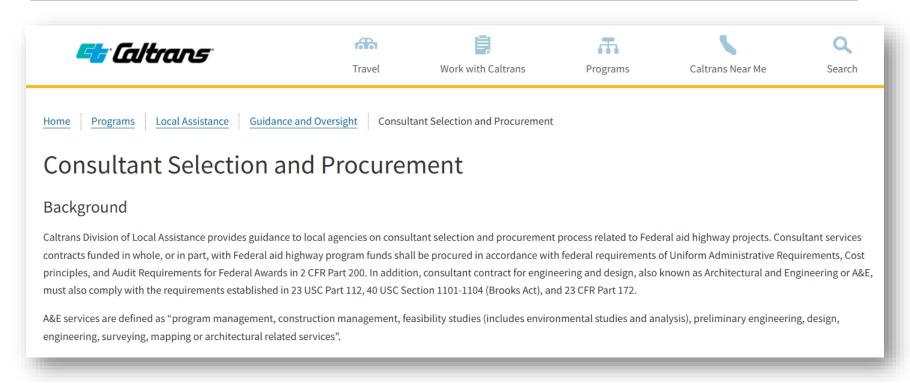
Use of Consultant Resources



https://dot.ca.gov/programs/local-assistance/guidanceand-oversight/consultant-selection-procurement

Architectural & Engineer

Consultant Selection & Procurement Specialists



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)

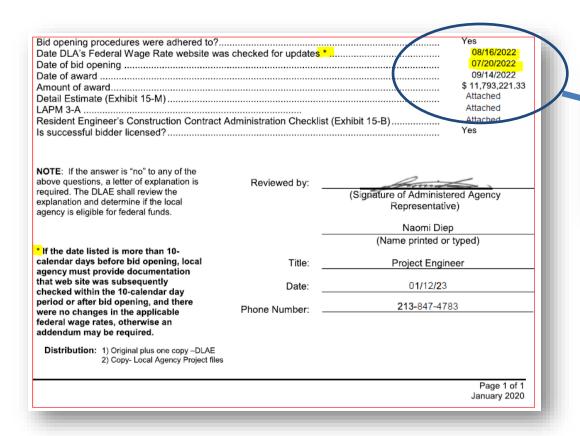
EXHIBIT 15-L LOCAL AGENCY CONTRACT AWARD CHECKLIST

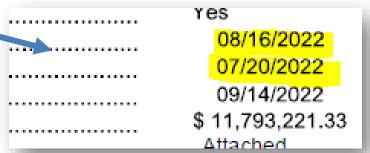
Administering Agency:	Kern County Pub	ic Works Department		
Federal-aid Project Number:	CML-5950(462)			
Project Locator:	06-KER-HOPE LI	N, TATUM ST, WILSON	LN-CR-0-KCPW	
	Caltrans District -	- County - 0 or State Ro	oute – Administering Agency)	
Project Limits:		ker Rd and Hope Ln/Ave		
	(Physical lin	nits reference intersection	ons or post miles limits)	
for construction, and is the Copy of engineers estimate	amount correct?		with federal funds included	Yes to be attached Yes
Copy of low bidder's propo Low Bid signed in ink?	sal			to be attached
Is a Good Faith Effort State	ement of DBE Pa	rticipation (Exhibit 15-F		Yes
				to be attached
Is the Non-Collusion Affida Is the Bid summary (itemiz	vit (Exhibit 12-H, ed bids for 3 lowe	Sample Bid) included i est bidders) complete?	n the low bidders' proposal?	Yes Yes
			***************************************	Yes. \$ 748,500.00
Include TIP page number of	r amendment nu	mher here	***************************************	19FTIP pg 45
Bid opening procedures we	ere adhered to?	nuoi nore	***************************************	Yes
Date DLA's Federal Wage	Rate website was	checked for updates "	•	10/28/2020
Date of bid opening	ridic webbite mad	circuited for appealed		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 Constr ls successful bidder license	ruction Contract A	Administration Checklis	t (Exhibit 15-B)	to be attached Yes
NOTE: If the answer is "no" to	any of the		T	
above questions, a letter of ex	planation is	Reviewed by:		
required. The DLAE shall revie explanation and determine if the agency is eligible for federal fu	ne local	energia de la composición della composición dell	(Signature of Administer Representative	
			Darren Qu	
			(Name printed or t	vped)
If the date listed is more that			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,
alendar days before bid opening, local		Title:	Engineering Manager	
igency must provide docum hat web site was subsequer	ntly	Date:	01/11/2021	
	hecked within the 10-calendar day eriod or after bid opening, and there			
were no changes in the appli ederal wage rates, otherwise addendum may be required.	icable	Phone Number: _	(661) 862-525	2
Distribution: 1) Original plus 2) Copy- Local /	one copy -DLAE Agency Project files			

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)





Federal 10 Day Rule

MAIN STREET BRIDGE OVER SANTA ROSA CREEK CAMBRIA, CA

CONTRACT NO. 300180

FEDERAL PROJECT NO. BRLO-5949(065) BID PROPOSAL

ITEM NO.	CODE NO.	DESCRIPTION OF ITEM	ESTIMATED QUANTITY	UNIT	BID UNIT PRICE	BID PRICE
1	071325	TEMPORARY FENCE (TYPE ESA)	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 SAFTEY PLAN	1	LS	LUMP SUM	5,50n-
6	074020	WATER POLLUTION CONTROL	1	LS	LUMP SUM	65,000
7	120090	CONSTRUCTION AREA SIGNS		LS	LUMP SUM	13,000-
8	120100	TRAFFIC CONTROL SYSTEM	ı	LS	LUMP SUM	23,000-
9	128650	PORTABLE CHANGEABLE MESSAGE SIGNS	3	EA	1.634-	4,902-
10	1.90606	REMOVE FENCE (TYPE BW)	620	LF	2.20	1,364-
11	150609	REMOVE FENCE (WOOD PICKET)	150	LF	5, 25	\$35-
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	L	EA	<u>ි</u> ප්ර	080
17	133114	COLD PLANE ASPHALT PAVEMENT (0,20' MAX)	7200	SF	1.33	9576-
18	157550	BRIDGE REMOVAL	1	LS	LUMP SUM	92,000:-
19	160101	CLEARING AND GRUBBING	l .	LS	LUMP SUM	30,000
20	190101	ROADWAY BXCAVATION	3300	CY	22-	72,600-
21	194001	DITCH EXCAVATION	15	CY	93-	1.395

DB-9(a)

2.1 Handout page 6

Sample of Contractor's Low Bid

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

				Brough Constr 634 Printz Rd	ruction	IJ Fisher Cons PO Box 422	truction Inc.	R. Burke Corp PO Box 957	poration	V. Lopez Jr. & 200 E Fesler St	
				Arroyo Grande		Arroyo Grande				Santa Maria, G	
	Item Description	Quantity	Unit	Unit Price	Item Total	Unit Price	Item Total		Hem Total	Unit Price	Item Total
1	Mobilization, Bonds & Insurance	1	LS	\$8,100.00		\$10,000.00		\$14,000.00	\$14,000.00	* - *	\$1,000.00
2	Traffic Control & Construction Signing	1	LS	\$5,000.00	\$5,000.00			\$11,000.00	\$11,000.00	53,000.00	\$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	(F	\$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	57.00	\$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	\$16,623.00
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
В	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	5200.00	\$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	52.50.00	\$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	5400.00	\$1,600.00	\$270.00	\$1,080.00	\$250.00	\$1,000.00
13	Paint "STOP" Legend	1	EA	\$500.00	\$500.00	5300.00	00.00EZ	\$400.00	\$400.00	\$250.00	\$250.00
_	Bid Totals	-			\$13/,486.00	 	\$145,207.50	-	\$153,015.00		\$167,365.00
		Usted Sub	15	Apodaca Paving PO Bux 1 Grover Beach, C License No: 415 Predsion Concer 759 Hartnell Rd. Santz Maria, CA	A 93483 318 A ete Inc.	Toste Grading & PO Bux 407 Grover Beach, C		AA & P Contrai Salicoy, CA License No: 626		Ferravanti Grad 395 Hunter Plac Paso Robies, CA License No: 833 Teste Construct 2651 Green Plac Arroyo Grande,	e 93446 407 A don

Exhibit 15-G Construction Contract DBE Commitment

Local Agency: County of Monterery De	pt. of Public Works	2. Contract DBE G	lest:	5%	
Project Description: Polyester Concrete	Bridge Deck Overlay	and Methacrylate I	Bridge De	ck Seal a	Various Locations
Project Location Various Locations in	Monterey County, CA	4			
Bidder's Name: American Civil Constructor	s West Coast LLCs, Pri	ine Certified DBE:	₹ Bid And	ount: \$	2,280,000.00
Total Dollar Amount No ALL Subcontractors: _	\$807,747.00	9. Total Number of	ALL Subce	ritractors	

to Bid item Number	11. Description of Work, Service, or Material Supplied	fs 12 DBE Cartification Number	13. DBI! Contact laternation (Mast be cartified on the diffe bids are opened)	14. DSE Dotar Amount
20 21	Clean Expansion Joint Joint Seal (1" <mr<2")< td=""><td>#13602 #13602</td><td>Austin Enterprise P.O. Box 81926, Bakersfield, CA (3380, (661)589-1001</td><td>\$42,633.00 \$32,499.00</td></mr<2")<>	#13602 #13602	Austin Enterprise P.O. Box 81926, Bakersfield, CA (3380, (661)589-1001	\$42,633.00 \$32,499.00
23	Joint Seal (2" <mr<4")< td=""><td>#13802</td><td></td><td>\$162,032.00</td></mr<4")<>	#13802		\$162,032.00
21. Local Ac	Local Agency to Complete this Section			\$237,164.00
22. Federal 23. Bid Ope	Aid Project Number: BPMPL 59 41 ning Date: 05/12 /2017	+(122)	16. YOTAL CLAIMED DIS PARTICIPATION	10.4 %
Local Agency this form to c 26. Local / TH An 27. Local / ENGINO	Award Date: C7/II / C0/T by certifies that all DBE certifications are which as complete and accurate. C/Agency Representative a Signature 2e. Dir.	109 12017 100 1755 -468	EVECRTANT: Nemity all DEE force being claimed it segmiless of Set Names of Set Pisst The DBE Substitute representation above in 30 met leads above must be where applicable with the names and state of the se "Substitute above the set of t	entractors and consistent, ork in the confirmation of 2/17

DISTRIBUTION 1. Original - Local Agency

Copy – California District Local Assistance Engineer (DLAE). Failure to submit to DLAE within 30 days of Contact execution may result in de-obligation of federal funds on Contract. Include additional copy with sound package.

ADA Note

TO YESTAMAN OF THE RESIDENCE THE STATE OF TH

POS VESTER CONCRETE BRIDGE DICK OVERLLAY & COTTACRYLATE BRIDGE DICK SEAL AT

VARIOUS LOCATION

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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: 8^{IH} 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
	Mobilization				
1	(Item 1 not to exceed \$10,000.00)	LS	1	\$10,000.00	\$10,000.00
	Traffic Control Plan				
2	(Item 2 not to exceed \$5,000.00)	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.		
Subtotal		\$159,008.00
Contingencies (including supplemental work) (13)		
Subtotal + Contingencies = Contract Total		\$159,008.00
Construction Engineering (14)	\$23,852.00	
Contract Total + Construction Engineering = TOTAL COST		\$182,860.00

Page 1 of 4 January 2020

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		\$0	\$0	\$0	\$0
Right of Way					
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

Page 2 of 4 January 2020

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	Local Agency Name City of Firebsugh				
Feder	al-aid Project No. STPL-5224(025)				
1.	Contract Staffing:				
abla	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:				
1	Date of the "Authorization to Proceed with Construction" D9/08/20				
7	Date the project was advertised 01/14/2021				
3.	Contract Files:				
Ø	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-ald jobs only.				
4.	Resident Engineer's/Construction Inspectors Dally Diarles:				
7	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-sid funds encumbered for the project \$270,000				
✓	Program Supplemental Agreement is in the project files.				
\checkmark	There shall be source documents supporting progress payments made to Contractor.				
4	There shall be separate item sheets for each contract item paid.				

Page 1 of 4 January 2021

2.1 Handout pages 11-14

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

Page <u>1</u> of 4

1	There shall be a procedure for Administrative or Labor Compliance deductions.			
\square	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:			
7	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: Bor 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: Ren 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:			
10.	Employee Interviews: There shall be employee interviews conducted (see Exhibit 16-N).			
_	• • •			
7	There shall be employee interviews conducted (see Exhibit 16-N).			
√ 11,	There shall be employee interviews conducted (see Exhibit 16-N). OJT: (Refer to Chapter 12, Section 12.8: Federal Contract Requirements)			
√ 11,	There shall be employee interviews conducted (see Exhibit 16-N). OJT: (Refer to Chapter 12, Section 12.8: Federal Contract Requirements) Is the Job less than 100 working days? Yes \subseteq No			
√ 11,	There shall be employee interviews conducted (see Exhibit 16-N). OUT: (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.			
√ 11,	There shall be employee interviews conducted (see Exhibit 16-N). OJT: (Refer to Chapter 12, Section 12.8: Federal Contract Requirements) Is the job less than 100 working days? Yes \(\frac{1}{2} \) No \(\frac{1}{2} \) 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:			
√ 11,	There shall be employee interviews conducted (see Exhibit 16-N). OJT: (Refer to Chapter 12, Section 12.8: Federal Contract Requirements) Is the job less than 100 working days? Yes \(\subseteq \) No \(\subseteq \) If yes, proceed to Item #12. If No, answer the questions below. What is the total dolfar amount of the items listed in Table 12-2: What is the required number of trainees for this contract?			
11.	There shall be employee interviews conducted (see Exhibit 16-N). OUT: (Refer to Chapter 12, Section 12.8: Federal Contract Requirements) Is the job less than 100 working days? Yes No flyes, proceed to Item #12. If No, answer the questions below. What is the total dolfar 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.			
11. 12.	There shall be employee interviews conducted (see Exhibit 16-N). OJT: (Refer to Chapter 12, Section 12.8: Federal Contract Requirements) Is the job less than 100 working days? Yes \(\subseteq \) No \(\subseteq \) 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: \(\subseteq \subseteq \) What is the required number of trainees for this contract? \(\subseteq \subseteq \) Documentation will be retained in project files to account for the apprentices on the job. DBE:			
11.	There shall be employee interviews conducted (see Exhibit 16-N). OJT: (Refer to Chapter 12, Section 12.8: Federal Contract Requirements) Is the job less than 100 working days? Yes \(\subseteq \) No \(\subseteq \) If yes, proceed to Item #12. If No, answer the questions below. What is the total dolfar amount of the items listed in Table 12-2: What is the required number of trainees for this contract? Doc_Imentation will be retained in project files to account for the apprentices on the job. DBE: DBE Contract Goal Percentage Exhibit 9-D: 12%			
11. 12.	There shall be employee interviews conducted (see Exhibit 16-N). OJT: (Refer to Chapter 12, Section 12.8: Federal Contract Requirements) Is the job less than 100 working days? Yes \(\frac{1}{2} \) No \(\text{If No.} \) If yes, proceed to Item #12. If No. answer the questions below. What is the total dolfar 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. DBE: DBE Contract Goal Percentage Exhibit 9-D: 12% Local Agency's DBE Lialson Officer: Ben Gellegos			
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January 2021

2.1 Handout pages 11-14

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

Page <u>2</u> of 4

2.1 Handout pages 11-14

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

Page <u>3</u> of 4

Local	Assistance Proceduros Manual	; Resident Engineer's Construct	Exhibit 15-B on Contract Adminishation Checklist	
16. ✓	Environmental The approved NEPA document is in	the project files.		
<u></u>	The construction project shall adhere to the mitigation requirements in the approved NEPA document.			
17.	For Projects on the State Highwa A Caltrans Encroachment Permit h			
	Local Agency shall comply with Sta	te's Representative's oversight	requirements.	
Local	I Agency's Resident Engineer	, Mario B. Gouvela, PE		
	ek Appropriate Box:			
	gency Employee onsultant			
	04/06/2021	Signi	ng means yοι	
	onsultant, please sign below		aware of the	
Loca".	Agency's person in 'Responsible (Lo er if Resident Engineer is a Consulta		quirements!	
	C4/CB/2021 Date Callegos Callegos			
Die tri bu	ution: 1) Todal Agency Project File 2) DLAE (please put on hist page only)			
-			Page 4 of 4 January 2021	

2.1 Handout pages 11-14

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

Page <u>4</u> of 4

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

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

Recommended Attendees

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

CM 5-003 PreCon Conference with Contractor

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

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

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
 - <u>LAPM</u> Ch 16.4 to develop a pre-construction meeting agenda

Document... document... document!

Pre-Construction Preparation - Quiz

Questions 1-3

#1. All federal-aid projects must use the Caltrans Project Record Filing Index.

True or False

Answer - False

#1. All federal-aid projects must use the Caltrans Project Record Filing Index.

Only if the project is on the State Highway System

#2. The designated Person in Responsible Charge may be a consultant as long as they are working full-time for the Agency.

True or False

Answer - False

#2. The designated Person in Responsible Charge may be a consultant as long as they are working full-time for the Agency.

The Person in Responsible Charge must be an employee of the Agency and cannot be a consultant.

- #3. Choose the information that is <u>not</u> typically found in the award package:
 - a. Contractor's Bid Prices
 - b. Subcontractor's Bid Prices
 - c. DBE Commitments
 - d. Amount of project federal-aid

#3. Choose the information that is <u>not</u> typically found in the award package:

Answer: b.

- a. Contractor's Bid Prices
- b. Subcontractor's Bid Prices
- c. DBE Commitments
- d. Amount of project federal-aid