



### **Caltrans Local Assistance**

## RESIDENT ENGINEER ACADEMY

# Module 4 Control of Work

## **Control of Work Objectives**

- Resources
- Write a Daily Report
- Know your authority
- Understand the contractor's obligations
- Approve subcontractors

## Resources

Caltrans Standards Specifications (<u>CTSS</u>)

https://dot.ca.gov/programs/design/ccs-standard-plans-and-standard-specifications

Ch. 5 - Control of Work

Greenbook

Section 2 - Scope of Work

Section 3 - Control of Work

Caltrans Construction Manual (<u>CTCM</u>)

https://dot.ca.gov/programs/construction/construction-manual

Ch. 3 - General Provisions
Section 5 - Control of Work

- Use The Daily Report Form <u>not</u> notebook!
- Form example is <u>LAPM Exhibit 16-C1</u>
  <a href="https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms">https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms</a>
- Include General information
  - Project name/Federal project number/location
  - ☐ Prime contractor's name
  - ☐ Date/day of the week
  - ☐ Weather and job site conditions

- Include Narrative
  - ☐ Location and description of work
  - Quantities placed/amount work completed
  - □ Significant discussions with the contractor

- Include Documentation of Inspection
  - □ Observations of compliance/non-compliance
  - □ Samples taken/test performed
  - Certificates obtained
  - □ Actions taken
  - □ Statements to contractor
  - □ Approvals given

## 4.1 Control of Work - Handout Include Labor and Equipment

Field force

- Name/class for each worker
- Employer (name of prime or sub)
- ☐ Hours worked by contract item or change order

#### **Equipment on site**

- ID number and/or make and model
- Hours operated
- Idle time
- Arrival and departure

## Sample Assistant Resident Engineer's Daily Report 4.1 Handout - page 2

	OF CALIFORNIA		ASSISTAN'	RESIDENT ENGI	NEER'S D	ARY REPO	DRT		į	
DEPAR	TMENT OF TRANSPORTATI	ON		JOB STAMP	ACST-P190(0)					
WEATHER					- 0.0/8.0 Tulare				ž.	
	LEAR CLOUDY	OVERCAST X SUNNY		in Poplar-Tip	tion from Rd180	to Rte 190/99		REPORT NO.:	46-540	
~ 0		OVERCAST X SUNNY	PARTLY					PAGE: 1	GF 1	_
	OLD RAIN	8NÓW WARM	FOG	TEMPERATURE RANGE				DATE:05/29/20	19	_
				65/89		MARK DAY OF T	HE WEEK		-	
D-ID	CONTRACTOR/SUB CONTRAC	CTOR NAME C-ID	CONTRACTOR/SUB	CONTRACTOR NAME		M T	W w			
'GP E	Yarb's Grading & Paving Tirinity Engineering Inc.	- 555	Select Sweeping S				X C			
					SHIFT HOURS	START	7:00 AM	_ sto	P 3:30 PM	_
	EQI	JIPMENT AND/OR LABOR IDENTIFICATION				HOURS ITEM	AND/OR COOW		- 1	
				#23	#07		ALCO TO OCCU		T-:	
GP	EMPLOYEE NAME	DESCRIPTION OF EQUIPMENT (LABOR	EQUIP. NO.	Roadway E	#27 c. AB Class 2					DOWN
GP GP	Judd Bretz - foreman Hugo Reves	2016 ford F350/ Foreman	3	4	4					<del></del>
GP	Jacob Coigny	CAT Water Truck /Labor	150095 Rental	4	4					
'GP	Cesar Reyes	Chevy S-10 / Labor/Labor Case 570MXT Skiploaded Operator	None HB3J78		88					
GP	Shandon Pierce	Hamm HD 70 i Roller	DT8P45	- 6						
GP .		Case 570MXT Skiplosder/ Operator	7382		6					
'GP	Robert Broome	CAT 140 M Blade / Operator	WS8X59	2	<del></del>	-				
GP	Raul Pelayo	Case 570MXT Skiploader/ Operator	7382	2	- 8			<del></del>		
GР		CAT 140 H Rental Blade / Operator	HG4U39	- 6	-			<del></del> -	1 -	+
GP		White ford F550	1					<del> </del>	-	
GP	Scott Lawson	Hamm HD 120 Roller	1052		8 -			+		8
'GP		CAT 623 F Motor Scraper	GM7988		<del> </del>				1	8
GP		Red 1989 Kenthwork Water Truck	7						-	8
-	21 1 7									
Ē	Salvador Zepeda	2017 Chevy Colorado	1		- 6					_
ss	Craig Diebert/ Operator	ODEO C. LLES BULLOS								
-	Craig Diebert Operator	2012 Freightliner Elgin Broom Bear	None	3						
					J					
DCATIO	N AND DESCRIPTION OF OPER	RATION: Job 06-461504 Project ID 080002	0148 06-Tul-190-0	0.0/8.0					į	
arbs on s	site for roadway excavation and A	B class 2. Yarbs start dumping AB class 2 fro	m station 240+00	dumping east Jarob /Dump e	an' collection for	est floores to unb alaba				
lobert kn	ockdown windrow with CAT 140	M Blade. Shandon roll behind blade with Rol	ler 70 i. Scott with B	olfor HD 130 rolf over been or	elis dende de edica	WELLINGTH BUCK GITS	G-5.			
necking f	insih grade for basa rock A total :	of 27 trucks cosite deliver materials to Jobsite.	Colonder from Tile	attended to the state of the st	cx. Juda checkin	grade on 99 ram	ip south side,		[	
CULT STATE	placement or florid out 1 2 2 and 4	I and state of the	Salvacor from Trin	inty preforming testing and sa	mpling as Quality	Control, Jason ar	site testing or	impaction.		
Our seems	pros were puriou out: 1,2,0,8110 4,	Load 11,60,92 and 136 station 255+00, 291-	H00, 298+00 and 28	9+50, time 7:18 am, 9:50 am,	11:50 am and 2	5 pm respective)	у.			
THE WESTER	TUCK Drishe for dust control. LTE	C ansite for underground utility work. Social	Gas onsite for gas li	ne work. Sweeping on site for	cleaning from sa	tion 123+00 clear	ting west.		-	
			1							
	lansiy									



REPORT No. DIR\_316\_120314\_MAB.xlsx

Date the Shift Began: 3/14/12

NIGHTWORK

WED

									Shift Hours	Stan	t 4:00	Stop	15:3
PROJECT		OCTA	NO.	CONTR	RACT N	D.		MP HIGH	WEATHER/PRECIP		WORKING	G DAY#	
	nyon Avenue Grade Separation	TR	TR202 C			C-0-1662 54			P. CLOUDY			315	
		HOURS - ITEM NO.						CONTRACTO			RS		
	ITEM NO. >>	8	7	242	216	cco	cco		Prime	С	CMyers	3	(P)
	Daily Quantity >>					.5	27	1	Sub #1		SRD		(1)
		İ			Ę,		_		Sub #2		IRWD		(2)
				⊕ ₽	CML&C		1 =	₹	Sub #3	5	Sterndahl		(3)
		5		gine			gg	8	Sub #4		CGO		(4)
		喜	ance	estr	200	P	8	8	3 <sup>RD</sup> Party #1				(5)
RAILROAL	D FLAGGER	5	ten	in St.	Temporary Pipeline)	를	Ę	DLE OR DOWN	3 <sup>RD</sup> Party #2				(6)
		a	Mai	and 0 wi	and e C	8 8	8	-	3 <sup>RD</sup> Party #3				(7)
EQUIPME	NT AND/OR LABOR:	Ę	6	ish s 35	Pip Pip	ig	S S		3 <sup>RO</sup> Party #4				(8)
EQPT.	DESCRIPTION	Clearing and Grubbing	SWPPP Maintenance	Furnish and install 10" DIP Class 350 with Restrained	Furnish and install 20 Steel Pipe Class 200 Lemporary Pipeline) Additional Striping		Remove Oak Trees Stage 1B		REMARK		KS		è s
NO.	(Equipment/Labor)	RT/OT	RT/OT	RT/OT	RT/OT	RT/OT	_	Y/N	Name		Classification		Prime
	Superintendent	4	4						Steve Gray		Superint	endent	P
10-463	Pick Up Truck	4	4						F-350				Р
	Laborer	8							Ricardo Ruelas		Labo	orer	P
10-222	Truck	8							F-250				Р
	Laborer		4	2			2		Raul Alvarez		Laborer		Р
	Laborer		4	2			2		Rodrigo Zavala				Р
10-215	Traffic Control Trk		4	2			2		Arrow board/Cone Tr	uck	F-Supe	r Duty	Р
	Safety Officer	4		2	2				Brian Brock				P
10-396	Pick Up Truck	4		2	2				F-150				Р
25-014	Loader							8	Cat 966				P
68-13	Arrow Board						6	2	Solar Tech				Р
80	Arrow Board							8	Wanco				Р
68-42	Arrow Board							8	Amida				Р
68-44	Arrow Board	24							Solar Tech		Stag	e 1B	P
68-46	Arrow Board							8	Solar Tech				Р
68-08	Arrow Board			8					Solar Tech				Р
													$\Box$
													$\top$
	IRWD Inspector			2	1				Mike Fredrickz		IRV	VD	2
	Truck			2	1						IRV	VD	2
													$\top$
	Foreman			8					Glenn Martinez		Fore	man	1
T-32	Pick up Truck		$\Box$	8					F-250				1
LD-02	Loader							8	80Z Kawasaki				1
	Laborer			8					Jose Lopez				1
	Laborer			8					Leo Hernandez				1

## Sample Assistant Resident Engineer's Daily Report

### **Local Agency Form**

4.1 Handout - page 3

## **Engineer's Daily Report**

Resident Engineer's Daily Report

- Weather
- □ Controlling operation
- Progress or delays
- □ Discussions and agreements with contractor or others

LAPM 16.8, Engineer's Daily Reports
CM 5-004, RE's Daily Report
Greenbook 7-4.4, Daily Reports (Extra work)



#### DEPARTMENT OF PUBLIC WORKS AND PLANNING

#### RESIDENT ENGINEER'S DAILY REPORT

#### CONTRACT IDENTIFICATION

Laton Pedestrian and Drainage Improvements Federal Project Number: ATPL-5942(275)

CONTRACT NO. 20-05-C CONTRACTOR: Emmett's Excavation Inc.

Daily Inspections by: Ruben Garcia & Kao Xiong Contractor's Foreman: Joey Ramirez & Chad Young Wednesday, March 31, 2021 WEATHER CONDITIONS: Sunny & Clear Low 52° High 84° (HOLIDAY)

Ruben Garcia and Kao Xiong were on site to perform project inspections. Please see their diaries for information on the Contractor's activities throughout the day.

Today is a Holiday for the County of Fresno to observe Cesar Chavez Day.

The Contractor worked but the contract will not be charged a working day for today.

The Contractor's crew continued to install concrete forms for the culvert walls and deck for Grant Canal and install concrete forms for the eastside "A" ditch Retaining Wall Footings. The rebar installation subcontractor was on site to continue installation of steel reinforcement for the eastside Grant Canal walls and deck. Review of the installed rebar reinforcement found areas that did not have the required clearances. The rebar installation crew were notified of the areas needing correction.

The Contractor's crew graded and compacted subgrade for the concrete sidewalk and driveway installations.

Fresno Concrete was on site to form and pour sidewalk and driveways on the eastside of Bliss.

The Contractor removed the existing manhole cone for the sewer manhole at the south end of Fowler Avenue near the Park entrance. A new eccentric manhole cone was installed and adjusted to finished grade to be outside of the curb ramp area. The eccentric manhole cone will be installed and negotiated at an "agreed price" change order. The Contractor is responsible for adjustment, yet an eccentric manhole cone will move the manhole cover outside of the curb ramp to be a benefit pedestrians and the County of Fresno.

It was noted that some areas of curb & gutter where a Type B driveway is to be installed had slopes greater than 5%. The Contractor was notified that the transition areas of the curb & gutter will have to be removed and extended to be within the maximum 5% grade tolerances. The driveways noted to be out of tolerance were at approximately Sta. 103+00 LT and Sta. 110+50 LT.

Weekly Statement of Working Days #16 and #17 were sent to the Contractor by email.

A draft copy of Pay Estimate #4 was sent to the Contractor for their review and comments prior to processing.

James Drews
Resident Engineer

Page 1 of 1 2005C RE Daily Report 3-31-21.docx

# Sample Resident Engineer's Daily Report

4.1 Handout - page 4

	3)		
		JOB STAMP	
REPORT NUMBER		DATE S M T W T	F S (CIRCLE DAY) WEATHER
SHIFT HOUR START	STOP	TEMPERATURE MIN MA	AX
DESCRIPTION/NOTES			
PRINT NAME	s	IGNATURE	TITLE

## Resident Engineer's Daily Report

**LAPM Exhibit 16-C2** 

### 4.2 Contol of Work – Exercise Daily Report

#### **Instructions:**

Working together in breakout groups, use the project information and inspector's field notes provided to complete the Assistant Resident Engineer Daily Report (LAPM Exhibit 16-C1) found at the link below and next slide:

<u>LAPM 16 webpage: https://dot.ca.gov/programs/local-assistance-procedures-manual-forms</u>

□ LAPM 16-C1: Assistant Engineer's Daily Report

The project information and inspector's field notes are in the next slide.

**Time:** 30 minutes to complete the Daily Report Exercise.

**Exercise Debrief:** Each breakout group will designate 1 student to share Daily Report Exercise Results with entire group.

PROJECT NO.									F	REPO	RT NO.		
FEDERAL PROJE	ECT NO.									ATE	_		
PROJECT NAME											-		
CONTRACTOR				DAY:	Пs		М	Пτ	П	w [	]тн □ г	S (CHE	CK O
		SHIFT HOUR:		STAR		_	•	_	_	_	STOP:		
		TEMP		MIN:	' -						MAX:		
					_						_		
LOCATION	OF WORK (ROAD	WAY and STATIONS)	HOL	JRS –	BID	ITEM	NO.	DES	CRIPT	TION	WEATHE	R CONDITION	(TEM
										-			
			2							8			
			ВІО ПЕМ							80			
			_ =							IDLE OR DOWN			
NAME	CLASSIFICAT	ION EQUIPMENT TYPE	<b>=</b>							=		REMARKS	
			+										
				_									
			+	-		_			$\vdash$				
			+	$\vdash$		_							
			+	$\vdash$		$\vdash$			$\vdash$				
			$\top$										
ESCRIPTION O	F WORK PERFO	RMED FOR THE DAY											
ESCRIPTION	F WORK PERFO	RMED FOR THE DAT											_
NAME		SIGNATURE	MAKEN							TITLE			

## Assistant Engineer's Daily Report

**LAPM Exhibit 16-C1** 

#### RESIDENT ENGINEERS ACADEMY DAILY DIARY EXERCISE

Using the inspector's peg notes and project information below, complete an Assistant Resident Engineer's Daily Report (Exhibit 16C) for our sample project.

#### **Peg Notes**

#### Project Information

September 7, 2012

Project Name: Slippery Slope Rehab Fed Number: ACNH-P020(125)E

Clear 65°- 105°

Project Number: 03-381504

ABC Contractor:

Bid Item #36 is Roadway Excavation

Chang

Bid Item #50 is Drainage

Rick Riley – Operator /Foreman- Ford F150 PU James Kelley – Operator CAT 631D Scraper Change Order #1 is Additional Traffic Control

James Kelley – Operator CAT 631D Scraper Ron Thomas – Operator CAT 14G Grader Trevor Wilson – Laborer, Grade Setter

Wesley Butler- Owner/Operator Ford 4000GL Water Truck

0700: Contractor plans to perform earthwork from Sta. 112+50 to 125+00, hauling usable cut material from Sta. 112+50 to  $115\pm$  for embankment work starting at Sta. 121+00.

0800: Riley, R. installed contractor furnished "No Pedestrians or Bicycles" R5-10b signs at locations I marked out yesterday, under CO#1 for 1 hour.

1000: Foreman, grader and water truck begin work on drainage item #50 at Sta. 120+00 for 2 hours.

1100: Scraper becomes out of service with flat tire. Riley called in to request a mechanic.

1230: Checked cut slope at Sta. 113± and informed Riley & grade setter that slopes were undercut and that there will be no pay outside of the planned excavation limits.

1300: Scraper S0094 back in operation. Scheduled a compaction test for embankment at 1400.

1415: Tester takes compaction test Sta. 121+00 to 124+50, test taken at elevation ≈ 1490. Passed 93%.

1500: Riley advises that his crew will be working two extra hours (1530-1730) to make up for down time.

1700: Material from Sta. 115± hauled to 125±. Last material being hauled with scraper.

1730: Shift ends. Embankment elevation 1500 $^{\prime}$  +/-. Contractor excavated approximately 3000 CY based on average end areas calculations.

Note: Contractor took half hour unpaid lunch.

# Daily Report (Diary) Exercise

## 4.2 Control of Work - Exercise

## **Contractor's Equipment**

Enforce the requirement for the Contractor to...

- □ Submit list describing each piece of equipment and its ID number
- □ Stencil ID number on each piece of equipment

CTSS 5-1.33, Equipment Greenbook 2-5, The Contractor's Equipment and Facilities CM 3-517, Equipment

## **Governing Order Contract Documents**

#### **CTSS 5-1.02**

- 1. Special Provisions
- 2. Project Plans
- 3. Standard Specifications
- 4. Revised Standard Plans
- 5. Standard Plans
- 6. Supplemental Project Information

#### Greenbook 3-7.2

- 1. Permits
- 2. CCO
- 3. Contract/Agreement
- 4. Addenda
- 5. Bid/Proposal
- 6. Special Provisions
- 7. Plans
- 8. Standard Plans
- 9. Standard Specifications
- 10. Reference Specification

## **Governing Order Contract Documents**

- Written numbers and notes on a drawing govern over graphics
- Detail drawing governs over a general drawing
- Specific specification governs over a general specification
- Specification in a section governs over a specification referenced by that section

**CTSS 5-1.02, Contract Components** 

## **Authority of Engineer**

- The <u>Engineer makes the final decision</u> on questions regarding the Contract, including:
  - Work quality and acceptability
  - Manner of performance of the work
  - Drawing and specification interpretation
  - □ Contract fulfillment
  - ☐ Time and progress rate
  - Measurement and payment

CTSS 5-1.03, Engineer's Authority

Greenbook, 3-4 Authority of the Board and of the Engineer

## **Contractor's Obligations**

- The Contractor must...
  - Provide QC
  - Ensure safe and unrestricted access to the work
  - ☐ Furnish facilities necessary for the Department's inspection.
  - Use contract administration forms at the Department's website

CTSS 5-1.01, General

**Greenbook 3-5, Inspection** 

## **Contractor's Obligations**

- Before starting work, the Contractor must assign a representative to:
  - ☐ Receive the Engineer's orders
  - ☐ Prosecute the Engineer's orders
  - ☐ Supervise the workers
  - ☐ Coordinate the subcontractors' work

CTSS 5-1.16, Representative Greenbook 3-6, The Contractor's Representative

## **Contractor's Obligations**

- Representative must...
  - Be present at the job site while work is in progress
  - Be easily contacted after-hours to perform emergency work
  - Read, speak and write English (Greenbook only)

**CTSS 5-1.16, Representative Greenbook 3-6, The Contractor's Representative** 

## **Contractors**

- Contractor must...
  - ☐ Perform 30% FHWA requirement
    - CTSS 5-1.13 30%
    - Greenbook 3-2 50%

Does not apply to building-construction

Greenbook 3-2, Self-Performance CTSS 5-1.13A, Subcontracting

## **Subcontractors**

Before a sub starts work, Contractor must submit for approval a Subcontracting Request form.

(LAPM Exhibit 16-B)

CTSS 5-1.13, Subcontracting Greenbook 3-3, Subcontractors LAPM 16-7, Subcontractors

## **Subcontracting Request**

#### Exhibit 16-B

LA SUBCONTRACTING APM 16-B (NEW 12/2021)	REQUEST							REQUEST NUMBER
ONTRACTOR NAME				COUNTY			ROUTE	
USINESS ADDRESS							CONTRACT NUMBER	
ITY AND STATE				ZIP CODE			PEDERAL-AID PROJECT NUME	ER (from special provisions
SUBCONTRACTORS Name, Business Address, Phone)	CA STATE CONTRACTOR LICENSE NUMBER	PUBLIC WORKS CONTRACTOR REGISTRATION NUMBER	BID ITEM NUMBER(S) (1 per live)	PERCENTAGE OF BID ITEM SUBCONTRACTED	CHEO (See Ca Belo 1	CK IF stegoties ow)	DESCRIBE WORK WHEN LE THAN 100% OF WORK IS SUBCONTRACTED	SS DOLLAR AMDUN' BASED ON BID AMOUNT
ategories: 1. Listed Unde certify that. The specifications for labor set If applicable (federal-aid projec Written untracts have been ex	r Fair Practices Ac forth in the contract ts only), Form FHW ecuted for the subc	apply to the subco	ntracted work.				veteran Business Enterprise	
ONTRACTOR'S SIGNATURE								DATE
ns section is to be completed by Total of bid items Bid items previously subcontrac		er.					\$	
Bid items subcontracted (tris re- Total of lines 2 and 3 Maximum amount of work allow	ed to be subcontrac						\$ \$ \$	- - -
Minimum amount prime contract	tor must perform wit	th own forces (multi	ply line 1 by	%) APPROVED			\$	
ESIDENT ENGINEER'S SIGNAT	URE			AFFROVED				DATE

https://forms.dot.ca.gov/v2Forms/servlet/FormRenderer?frmid=DOTLAPM16B

## **Control of Work: Subcontractors**

#### Purpose of the Subcontracting Request...

- ☐ RE verify Contractor complies with
  - Subletting and Subcontracting Fair Practices Act
  - DBE laws and commitments
  - Having signed sub-contracts
  - Self-Performing 30%/50% of work
  - Certification from Prime Contractor that the requirements (Form FHWA-1273) have been inserted in the subcontracts and will be incorporated in any lower-tier contract, and that written subcontracts have been executed for any subcontracted work

## **Subcontractors**

- Before approving the Subcontracting Request compare it to:
  - 1. Bidder's List of Subs, Exhibit 12-B
  - 2. Bidder DBE Commitment, Exhibit 15-G

CTSS 5-1.13, Subcontracting Greenbook 3-3, Subcontractors LAPM 16-7, Subcontractors

#### Exhibit 12-B: Bidder's List of Subcontractor (DBE and Non-DBE) - Part 1

As of March 1, 2015 Contractors (and sub-contractors) wishing to bid on public works contracts must be registered with the State Division of Industrial Relations and certified to bid on Public Works contracts. Please register at <a href="https://www.dir.ca.gov/Public-Works/Contractor-Registration.html">https://www.dir.ca.gov/Public-Works/Contractor-Registration.html</a>. The local agency will verify registration of all contractors and subcontractors on public works projects at bid and thereafter annually to assure that yearly registration is maintained throughout the life of the project.

In accordance with Title 49, Section 26.11 of the Code of Federal Regulations, and Section 4104 of the Public Contract Code of the State of California, as amended, the following information is required for each sub-contractor who will perform work amounting to more than one half of one percent (0.5%) of the Total Base Bid or \$10,000 (whichever is greater).

Photocopy this form fo	r additional firms.				1	DERAL PROJECT NUMBER	
Subcontractor Name & Location	Line Item & Description	Subcontract Amount	Percentage of Bid Item Subcontracted	Contractor License Number  DIR Reg Number	DBE (Y/N)	DBE Cert Number	Annual Gross Receipts
NAME City, State							< \$1 million < \$5 million < \$10 million < \$15 million < \$15 million Age of Firm in
NAME City, State							years < \$1 million < \$5 million < \$10 million < \$10 million < \$15 million

1. Check against Bidder's List of Subcontractors, Exhibit 12-B Required by "Subletting and Subcontracting Fair Practices Act"

				A	ge of Firm in years
NAME					< \$1 million < \$5 million
					< \$10 million
City, State				Ц.	< \$15 million
				А	ge of Firm in years
NAME					< \$1 million
					< \$5 million

#### Exhibit 12-B: Bidder's List of Subcontractor

Local Assistance Procedures Manual

Exhibit 12-B

Bidder's List of Subcontractors (DBE and NON-DBE)

#### Exhibit 12-B: Bidder's List of Subcontractor (DBE and Non-DBE) Part 1

As of March 1, 2015 Contractors (and sub-contractors) wishing to bid on public works contracts shall be registered with the State Division of Industrial Relations and certified to bid on Public Works contracts. Please register <a href="https://example.com/hereit/herei

In accordance with Title 49, Section 26.11 of the Code of Federal Regulations, and Section 4104 of the Public Contract Code of the State of California, as amended, the following information is required for each sub-contractor who will perform work amounting to more than one half of one percent (0.5%) of the Total Base Bid or \$10,000 (whichever is greater).

Photocopy this form for additional firms.

Photocopy this form for additional firms.

Subcontractor Name and Location	Line Item & Description	Subcontract Amount	Percentage of Bid Item Sub- contracted	Contractor License Number DIR Reg Number	DBE (Y/N)	DBE Cert Number	Annual Gross Receipts
Name: KRC Safety Co, Inc	7 Construction Area Signs 8 Traffic Control (only for grinding and paving work.)	\$8,000.00 \$22,000.00	100 25	831844	N	NA	<\$1 million <\$5 million <\$10 million
City, State: Visalia, CA	griding the paving work.			1000004730			\$10 million \$15 million Age of Firm: yrs.
Name: Myers Foundaiton Drilling	40 CIDH Piling	\$63,000.00	100	4572254	N	NA	<\$1 million <\$5 million
City, State: Morro Bay Ca				1000010277			<pre>&lt;\$10 million     &lt;\$15 million Age of Firm: yrs.</pre>
Name: Central Coast Fence	64 MBGR 70 Chain Link Fence	\$36, 000.00	100	463992	N	NA	<\$1 million <\$5 million <\$10 million
City, State: Grover Beach, Ca				ation Number:1000			\$15 million Age of Firm: yrs.
Name: CMC Rebar	45 Construct Abutment Walls (partial)	\$116.000.00	20	778010	N	NA	<\$1 million <\$5 million
City, State: San Bernadino, CA	71 Construct Bridge Deck (partial) furnish and install rebar only		20	1000000298			<\$10 million <\$15 million

## **Subcontractors**

#### Common potential violations of

"Subcontracting Fair Practices Act"

- Subbing additional work to a "listed" sub where the work was not originally listed, and is > threshold
- Using a sub not listed at bid time whose dollar value of work is > threshold
- Substituting a sub without the Agency's written consent
- Performing work with his/her own forces that was for a sub to perform

## **Subcontractors**

### Common potential DBE violations to look for:

- Substituting subcontractors without the agency's written consent
- Performing work with his/her own forces that the bid documents designated a DBE subcontractor to perform

## **Contractors Records**

#### Contractor must...

- Retain project records from bid preparation through final payment/claims resolution.
- For at least 3 years after retain records of:
  - 1. Bid preparation
  - 2. Overhead
  - 3. Payrolls
  - 4. Payments to subcontractors and suppliers

CTSS 5-1.27, Records

## **Contractors Records**

#### Contractor must...

- Maintain cost accounting records for the project
- Make records available for inspection, copying, and auditing
- Make subcontractor's records available

CTSS 5-1.27, Records

## Non-Compliant & Unauthorized Work

"The Engineer may reject work that does not comply with the Contract at any time, including after a payment has been made."

- Notify the Contractor in writing
- Do not pay for:
  - Corrective, removal, or replacement work
  - Unauthorized work

CTSS 5-1.03, Engineer's Authority Greenbook, 4-1, General CM, 3-514 Noncompliant and Unauthorized Work

## **Property & Facility Preservation**

- Be sure the Contractor...
  - Preserves property and facilities
  - ☐ If you cause damage, you are responsible
  - Notifies USA prior to excavating

CTSS 5-1.36, Property and Facility Preservation
Greenbook 400, Protection and Restoration
(Existing Improvements)
CM 3-518, Property and Facility Preservation

## **Maintenance & Protection**

- Be sure the Contractor...
  - ☐ Maintains and protects the work
  - □ Prevents equipment that exceeds max weight per VC operating on completed or existing *treated base*, pavement, or structures
  - ☐ Restores damaged work to the same state of completion as before the damage, before acceptance

CTSS 5-1.39 Damage Repair and Restoration
Greenbook 400 Protection and Restoration
CM 3-519 Maintenance and Protection

# **Final Inspection**

- Before Final Inspection...
  - ☐ Review job with other stakeholders
  - ☐ Give contractor a punch list
  - □ Perform a final inspection
  - ☐ Document in RE Daily Report

CTSS 5-1.46 Final Inspection and Acceptance

LAPM 16.16 Final Inspection

CM 3-523 Final Inspection and Contract Acceptance

# **Perform Final Inspection**

#### **All Federal-aid Projects**

#### Resident Engineer must perform final inspection:

- Document fulfillment of Environmental Mitigation Commitments (use Environmental Commitment Record)
- Develop a punch list
- Verify corrective actions completed by Contractor
- Initiates 1<sup>st</sup> half of Final Inspection Form (Exh. 16-F)
- Submit form to the Caltrans DLAE
- Done prior to Contract Acceptance by the Agency

# Final Inspection Form LAPM Form Exhibit 16-F

STATE OF CALIFORNIA - DEPARTMENT FINAL INSPECTION FORM DOT LAPM 16-F (REV 07/2025)		Lock Form
Federal Project No.	Local Public Agency (LPA):	
Project Name:		
Construction of the project was comp authorized and in conformance with S	eleted and a final inspection of the job site by the LPA was performed state and Federal requirements.	ed. The work was performed as
Name of Resident Engineer		Date of Final Inspection
Signature		Date
(BOING)		
Name of LPA Person in Responsible Charge (if Resident Engineer is a Consultant)		
Signature		Date
MON ENGL		
Caltrans Inspection Verification (by Remarks:		
A final inspection was performed, and the project was found to be constructed in accordance with the scope and description of work in the project authorization documents and in reasonable conformance with the plans and specifications.		
Name of DLAE (or designee)		Date of Job Site Review (if applicable)
Title		
Signature		Date

Formatted for eSignatures 0

Americans with Disabilities Act (ADA) Notice: This document is available in alternative accessible formats. For more information, please contact the Forms Management Unit at (279) 234-2284, TTY 711, in writing at Forms Management Unit, 1120 N Street, MS-89, Sacramento, CA 95814, or by email at Forms.Management.Unit@dot.ca.gov.

# **Perform Final Inspection**

# District Local Assist. Engineers performs project verification:

- Reviews the job site
- Verifies construction per scope and description
- Completes Caltrans Inspection Verification portion of (<u>Exh. 16-F</u>) and signs
- Provides signed copy to agency

#### **Guarantee**

Contractor is required to guarantee work for 1 year from Contract Acceptance or Relief of Maintenance.

CTSS 5-1.47 Guarantee CM 3-524 Guarantee

#### **Control of Work**

#### Remember...

- List resources
- Write a Daily Report
- Know your authority
- Understand the contractor's obligations
- Approve subcontractors before arriving onsite

# **Control of Work - Quiz**

#### Questions 1 - 3

Choose the least accurate for non-change order work.

- #1. The authority of the Engineer allows the Engineer to:
  - a. Determine the acceptability of work
  - b. Direct the means and methods of the contractor's work
  - c. Determine interpretation of plans and specifications
  - d. Determine compensation

#### Answer: b.

- #1. The authority of the Engineer allows the Engineer to:
  - a. Determine the acceptability of work
  - b. <u>Direct the means and methods of the contractor's work</u>
  - c. Determine interpretation of plans and specifications
  - d. Determine compensation

#### **True or False**

- #2. The governing order of the contract documents are:
  - 1. Special provisions
  - 2. Project plans
  - 3. The project specific Geotechnical Report
  - 4. Standard specifications
  - 5. Standard plans
  - 6. Supplemental project information

#### **Answer: False**

- #2. The governing order of the contract documents are:
  - 1. Special provisions
  - 2. Project plans
  - 3. The project specific Geotechnical Report
  - 4. Standard specifications
  - 5. Standard plans
  - 6. Supplemental project information

#### Choose the best answer.

- #3. The best places to get answers to federal-aid project administration questions are:
  - a. FHWA websites
  - b. Caltrans websites
  - c. Caltrans manuals
  - d. Google
  - e. Caltrans Construction Oversight Engineer
  - f. All of the above

#### Answer: f.

- #3. The best places to get answers to federal-aid project administration questions are?
  - a. FHWA websites
  - b. Caltrans websites
  - c. Caltrans manuals
  - d. Google
  - e. Caltrans Construction Oversight Engineer
  - f. All of the above