



Caltrans Local Assistance

RESIDENT ENGINEER ACADEMY

Module 4

Control of Work

November 2025

Control of Work Objectives

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

Resources

- **Caltrans Standards Specifications ([CTSS](https://dot.ca.gov/programs/design/ccs-standard-plans-and-standard-specifications))**
<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 ([CTCM](https://dot.ca.gov/programs/construction/construction-manual))**
<https://dot.ca.gov/programs/construction/construction-manual>
 Ch. 3 - General Provisions
 Section 5 - **Control of Work**

Assistant RE Daily Report

- Use The Daily Report Form – *not notebook!*
- Form example is [LAPM Exhibit 16-C1](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>
- Include General information
 - Project name/Federal project number/location
 - Prime contractor's name
 - Date/day of the week
 - Weather and job site conditions

Assistant RE Daily Report

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

Assistant RE Daily Report

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

Assistant RE Daily Report

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

STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION

ASSISTANT RESIDENT ENGINEER'S DIARY REPORT

JOB STAMP
06-461504 ACST-P190(022)E
06-TUL-190-0.0/8.0 Tulare Co.
in Poplar-Tipton from Rd180 to Rte 190/99

WEATHER

CLEAR CLOUDY OVERCAST SUNNY PARTLY
 COLD RAIN SNOW WARM FOG

TEMPERATURE RANGE

65/89

REPORT NO.: 46-640

PAGE: 1 OF 1

DATE: 05/28/2019

C-ID

CONTRACTOR/SUB CONTRACTOR NAME

YGP

Yarb's Grading & Paving

C-ID

CONTRACTOR/SUB CONTRACTOR NAME

ITE

Trinity Engineering Inc.

SSS

Select Sweeping Service

MARK DAY OF THE WEEK

M T W TH F S S

SHIFT HOURS

START 7:00 AM

STOP 3:30 PM

EQUIPMENT AND/OR LABOR IDENTIFICATION

C-ID	EMPLOYEE NAME	DESCRIPTION OF EQUIPMENT / LABOR	EQUIP. NO.	HOURS ITEM AND/OR CROW							IDLE OR DOWN
				#23 Roadway Ex.	#27 AB Class 2						
YGP	Judd Bretz - foreman	2016 ford F350/ Foreman	3	4	4						
YGP	Hugo Reyes	CAT Water Truck /Labor	150096 Rental	4	4						
YGP	Jacob Coigny	Chevy S-10 / Labor/Labor	None		8						
YGP	Gesar Reyes	Case 570MXT Skiploader/ Operator	H83J78	6							
YGP	Shendon Pierce	Hamm HD 70 I Roller	DT8P45		6						
YGP		Case 570MXT Skiploader/ Operator	7382	2							
YGP	Robert Broome	CAT 140 M Blade / Operator	WS6X50		6						
YGP	Raul Pelayo	Case 570MXT Skiploader/ Operator	7382	2							
YGP		CAT 140 H Rental Blade / Operator	HG4U39	6							
YGP		White ford F550	1								8
YGP	Scott Lawson	Hamm HD 120 Roller	1052		8						8
YGP		CAT 623 F Motor Scraper	GM7988								8
YGP		Red 1980 Kenworth Water Truck	7								8
ITE	Salvador Zapeda	2017 Chevy Colorado	1		8						
SSS	Craig Diebert/ Operator	2012 Freightliner Elgin Broom Bear	None	3							

LOCATION AND DESCRIPTION OF OPERATION: Job 06-461504 Project ID 0900020148 06-Tul-190-0.0/8.0

Yarbs on site for roadway excavation and AB class 2. Yarbs start dumping AB class 2 from station 240+00 dumping east. Jacob (Dump man) collecting ticket from truck drivers.

Robert knockdown windrow with CAT 140 M Blade. Shendon roll behind blade with Roller 70 I. Scott with Roller HD 120 roll over base rock. Judd checking grade on 99 ramp south side.

checking finish grade for base rock. A total of 27 trucks onsite deliver materials to jobsite. Salvador from Trinity performing testing and sampling as Quality Control. Jason on site testing compaction.

Four samples were pulled out: 1,2,3, and 4, Load 11.60, 92 and 136 station 255+00, 291+00, 298+00 and 299+50, time 7:18 am, 9:50 am, 11:50 am and 2:15 pm respectively.

One water truck onsite for dust control. LTEC onsite for underground utility work. Social Gas onsite for gas line work. Sweeping on site for clearing from station 123+00 cleaning west.

Mouth Alansy
ASSISTANT RESIDENT ENGINEER (Signature)



Assistant Resident Engineer
TITLE



DAILY INSPECTION REPORT

REPORT No. DIR_316_120314_MAB.xlsx

Date the Shift Began: **3/14/12**

NIGHTWORK **WED**

Shift Hours Start 4:00 Stop 15:30

PROJECT		OCTA NO.		CONTRACT NO.		TEMP		WEATHER/PRECIIP		WORKING DAY #									
Sand Canyon Avenue Grade Separation		TR202		C-0-1662		LOW	HIGH	P. CLOUDY		315									
		HOURS - ITEM NO.						CONTRACTORS											
		ITEM NO. >>	8	7	242	216	CCO	CCO	Prime			CCMyers (P)							
		Daily Quantity >>					5	27	Sub #1			SRD (1)							
		<input type="checkbox"/> RAILROAD FLAGGER EQUIPMENT AND/OR LABOR: EQPT. NO. DESCRIPTION (Equipment/Labor) RT/OT RT/OT RT/OT RT/OT RT/OT RT/OT Y/N	Clearing and Grubbing	SWPPP Maintenance	Furnish and install 10" DIP, Class 350 with Restrained	Furnish and install 24" CM&C Steel Pipe Class 200 (Temporary Pipeline)	Additional Striping	Remove Oak Trees Stage 1B	IDLE OR DOWN	Sub #2			IRWD (2)						
Sub #3										Sterndahl (3)									
Sub #4										CGO (4)									
3 RD Party #1										(5)									
3 RD Party #2										(6)									
3 RD Party #3										(7)									
3 RD Party #4										(8)									
REMARKS																			
										Name		Classification		Prime/ Sub					
	Superintendent									4	4						Steve Gray	Superintendent	P
10-463	Pick Up Truck	4	4						F-350		P								
	Laborer	8							Ricardo Ruelas	Laborer	P								
10-222	Truck	8							F-250		P								
	Laborer		4	2				2	Raul Alvarez	Laborer	P								
	Laborer		4	2				2	Rodrigo Zavala		P								
10-215	Traffic Control Trk		4	2				2	Arrow board/Cone Truck	F-Super Duty	P								
	Safety Officer	4		2	2				Brian Brock		P								
10-396	Pick Up Truck	4		2	2				F-150		P								
25-014	Loader							8	Cat 966		P								
68-13	Arrow Board							6	Solar Tech		P								
80	Arrow Board							8	Wanco		P								
68-42	Arrow Board							8	Amida		P								
68-44	Arrow Board	24							Solar Tech	Stage 1B	P								
68-46	Arrow Board							8	Solar Tech		P								
68-08	Arrow Board			8					Solar Tech		P								
	IRWD Inspector			2	1				Mike Fredrickz	IRWD	2								
	Truck			2	1					IRWD	2								
	Foreman			8					Glenn Martinez	Foreman	1								
T-32	Pick up Truck			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

4.2 Control 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:

[LAPM 16 webpage: 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)

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.

**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

September 7, 2012

Clear 65°- 105°

ABC Contractor:

Rick Riley – Operator /Foreman- Ford F150 PU
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± 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' +/- . Contractor excavated approximately 3000 CY based on average end areas calculations.

Note: Contractor took half hour unpaid lunch.

Project Information

Project Name: Slippery Slope Rehab

Fed Number: ACNH-P020(125)E

Project Number: 03-381504

Bid Item #36 is Roadway Excavation

Bid Item #50 is Drainage

Change Order #1 is Additional Traffic Control

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 Engineer makes the final decision 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

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
DLA SUBCONTRACTING REQUEST
LAPM 16-B (NEW 12/2021)

Page 1 of 2
REQUEST NUMBER _____

CONTRACTOR NAME		COUNTY		ROUTE	
BUSINESS ADDRESS				CONTRACT NUMBER	
CITY AND STATE		ZIP CODE		FEDERAL-AID PROJECT NUMBER (from special provisions)	

SUBCONTRACTORS (Name, Business Address, Phone)	CA STATE CONTRACTOR LICENSE NUMBER	PUBLIC WORKS CONTRACTOR REGISTRATION NUMBER	BID ITEM NUMBER(S) (1 per line)	PERCENTAGE OF BID ITEM SUBCONTRACTED	CHECK IF (See Categories Below)		DESCRIBE WORK WHEN LESS THAN 100% OF WORK IS SUBCONTRACTED	DOLLAR AMOUNT BASED ON BID AMOUNT
					1	2		

Categories: 1. Listed Under Fair Practices Act 2. Certified Disadvantaged Business Enterprise/Disabled Veteran Business Enterprise

I certify that:

- The specifications for labor set forth in the contract apply to the subcontracted work.
- If applicable (federal-aid projects only), Form FHWA-1273 has been inserted in the subcontracts and will be incorporated in any lower-tier subcontract.
- Written contracts have been executed for the subcontracted work noted above.

CONTRACTOR'S SIGNATURE	DATE
This section is to be completed by the resident engineer.	
1. Total of bid items	\$ _____
2. Bid items previously subcontracted	\$ _____
3. Bid items subcontracted (this request)	\$ _____
4. Total of lines 2 and 3	\$ _____
5. Maximum amount of work allowed to be subcontracted (multiply line 1 by %)	\$ _____
6. Minimum amount prime contractor must perform with own forces (multiply line 1 by %)	\$ _____

RESIDENT ENGINEER'S SIGNATURE	APPROVED	DATE
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Copy Distribution: Original - Contractor Copy - Resident Engineer

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<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 <https://www.dir.ca.gov/Public-Works/Contractor-Registration.html>. 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).

FEDERAL PROJECT NUMBER: _____

Photocopy this form for additional firms.

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

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

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

Exhibit 12-B: Bidder's List of Subcontractor

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 [here](#). 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 for additional firms.** Federal Project Number: 5368(022)

Subcontractor Name and Location	Line Item & Description	Subcontract Amount	Percentage of Bid Item Sub-contracted	Contractor License Number	DBE (Y/N)	DBE Cert. Number	Annual Gross Receipts
				DIR Reg Number			
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	<input type="checkbox"/> <\$1 million <input type="checkbox"/> <\$5 million <input type="checkbox"/> <\$10 million <input type="checkbox"/> <\$15 million Age of Firm: _____ yrs.
City, State: Visalia, CA				1000004730			
Name: Myers Foundaiton Drilling	40 CIDH Piling	\$63,000.00	100	4572254	N	NA	<input type="checkbox"/> <\$1 million <input type="checkbox"/> <\$5 million <input type="checkbox"/> <\$10 million <input type="checkbox"/> <\$15 million Age of Firm: _____ yrs.
City, State: Morro Bay Ca				1000010277			
Name: Central Coast Fence	64 MBGR 70 Chain Link Fence	\$36,000.00	100	463992	N	NA	<input type="checkbox"/> <\$1 million <input type="checkbox"/> <\$5 million <input type="checkbox"/> <\$10 million <input type="checkbox"/> <\$15 million Age of Firm: _____ yrs.
City, State: Grover Beach, Ca				ation Number:10000 +			
Name: CMC Rebar	45 Construct Abutment Walls (partial) 71 Construct Bridge Deck (partial) furnish and install rebar only	\$116,000.00	20 20	778010	N	NA	<input type="checkbox"/> <\$1 million <input type="checkbox"/> <\$5 million <input type="checkbox"/> <\$10 million <input type="checkbox"/> <\$15 million Age of Firm: _____ yrs.
City, State: San Bernadino, CA				1000000298			

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 1st 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

Federal Project No. Local Public Agency (LPA):
Project Name:

Construction of the project was completed and a final inspection of the job site by the LPA was performed. The work was performed as authorized and in conformance with State and Federal requirements.

Name of Resident Engineer	Date of Final Inspection
<input type="text"/>	<input type="text"/>
Signature	Date
<input type="text"/>	<input type="text"/>

Name of LPA Person in Responsible Charge (if Resident Engineer is a Consultant)

Signature	Date
<input type="text"/>	<input type="text"/>

Caltrans Inspection Verification (by DLAE or designee)

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)
<input type="text"/>	<input type="text"/>
Title	
<input type="text"/>	
Signature	Date
<input type="text"/>	<input type="text"/>

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 ([Exh. 16-F](#)) 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