



## Federal Aid Series

Day 1: Getting Started

Day 2: Environmental

Day 3: Right of Way

Day 4: Project Development

***Day 5: Construction***

## Instructors

Mike Giuliano,  
Caltrans



# Construction

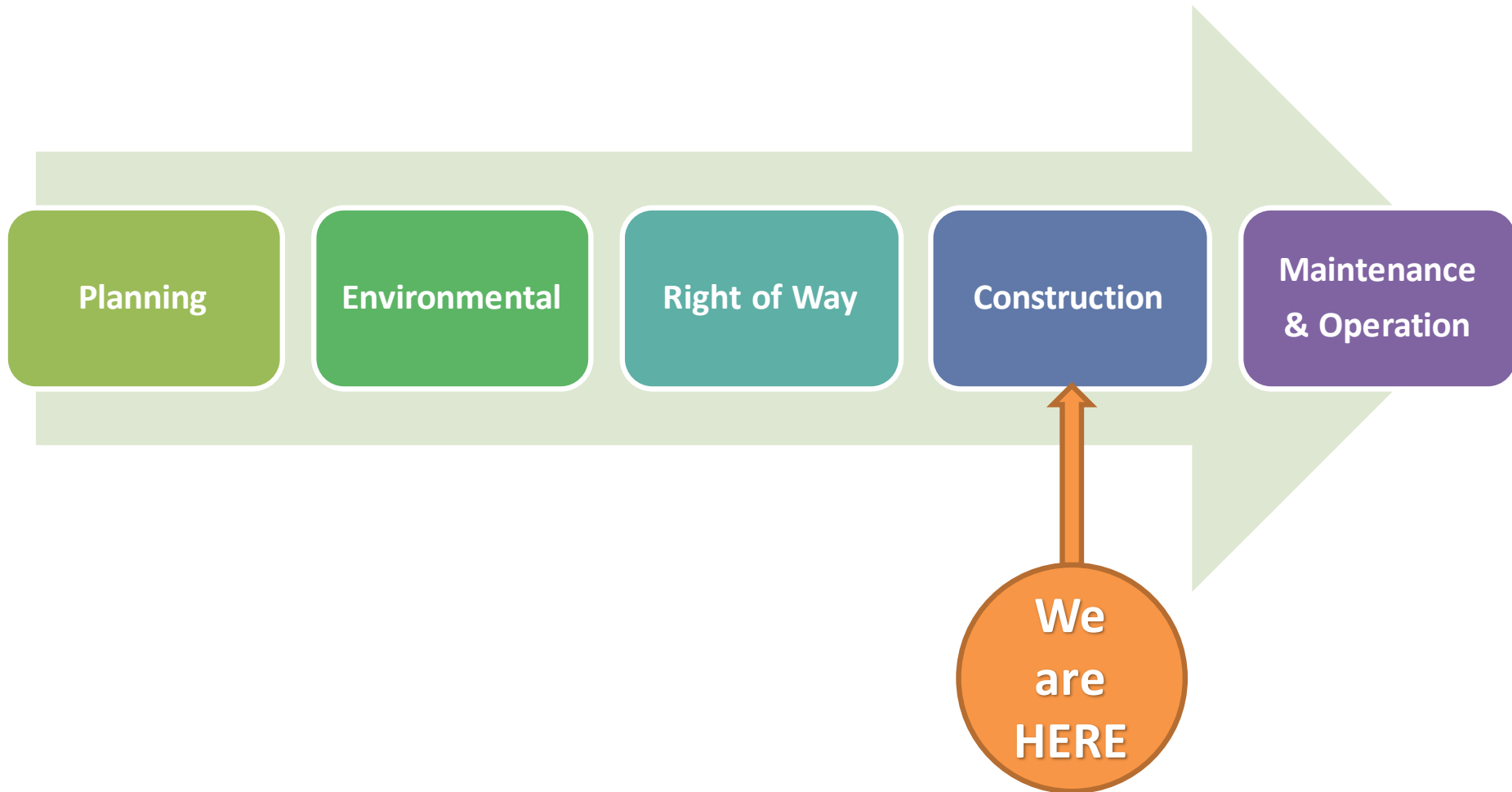
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- Housekeeping
  - Bathrooms
  - Refreshments
  - Questions as time permits
  - Cell phones OFF
  - Sign-in sheets
- Course Material
  - Slides
  - Exhibits
  - Quizzes
  - Exercises
- Schedule
  - 8:00 AM - 4:00 PM
  - 15-minute breaks
  - Lunch (11:30 – 12:30)



# Construction



# Two Checklists Today



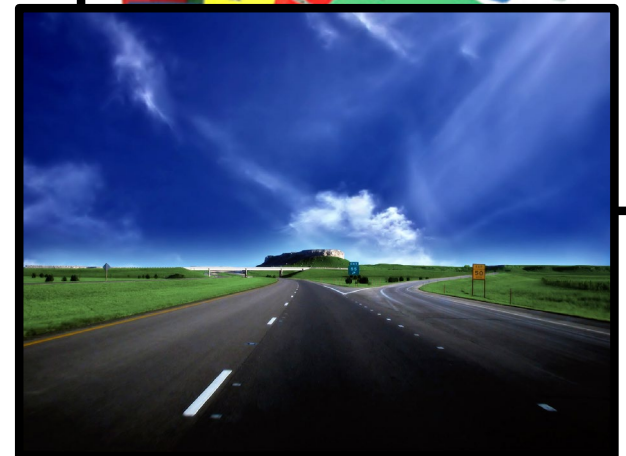
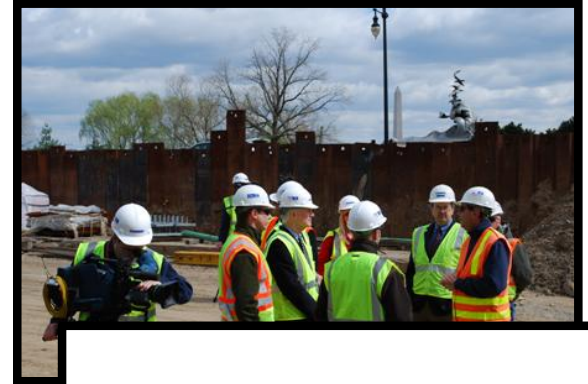
- Resident Engineer's Construction Contract Administration Checklist ([Exhibit 15-B](#))
- Final Report of Expenditures ([Exhibit 17-A](#))

Local Assistance Procedures Manual	Exhibit 17-A Cover Letter and Federal Report of Expenditures Checklist
<b>EXHIBIT 15-B</b>	<b>EXHIBIT 17-A COVER LETTER &amp; FEDERAL REPORT OF EXPENDITURES CHECKLIST</b>
This form is to be used by the Local Agency to document the Resident Engineer's review of the construction contract administration checklist.	Project No: _____
This form was developed for projects. This form is to be used by the Local Agency to document the Resident Engineer's review of the construction contract administration checklist.	(Name of DLAE) Dept. of Transportation Caltrans - Local Assistance (District Address City, CA Zip Code)
This form shall be reviewed by the Local Agency and the Federal-aid District Engineer.	Attn: (Name of Area Engineer)
1. Contractor's Name and Address	Dear (Name of District Local Assistance Engineer)
<input type="checkbox"/> Name and Address	Submitted for your consideration is:
<input type="checkbox"/> Date of Review	Federal Report of Expenditures
2. Authorized Representative	Local Agency Awarded
<input type="checkbox"/> Date of Review	Contract (County of Somewhere)
<input type="checkbox"/> Date of Review	
3. Contractor's Files	Project: (Project Location)
<input type="checkbox"/> Files	Contractor: (Contractor Name)
16.8 "Check one of the following"	Resident Engineer: (Resident Engineer Name)
4. Resident Engineer's Review	Sincerely,
<input type="checkbox"/> Shall be reviewed by the Resident Engineer	_____ Local Agency Representative
5. Construction Details	Concurred by,
<input type="checkbox"/> Details	_____ District Local Assistance Engineer
<input type="checkbox"/> Amount	
<input type="checkbox"/> Program	
<input type="checkbox"/> There	

# Contract Management and Closeout



- Contract administration
- Federal requirements
- Documentation
- Records & Accounting
- Finalize project
- For more detail and info attend the RE Academy
- [Video: Construction and Contract Administration](#)





# Introductions

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**Name & agency**

**Federal projects**

**Expectations**



# RESOURCES

# DLA Website



The screenshot shows the Caltrans website with the 'Division of Local Assistance' section highlighted. The header includes the CA.GOV logo, the Caltrans logo, and a navigation menu with links: Home, Travel, Working with CT, Online Services, News, Contact Us, A to Z, and Get to Know Caltrans. A large banner image shows three men in hard hats and safety vests on a construction site. Below the banner, the 'Division of Local Assistance' section is titled with a dropdown arrow icon. It includes a 'Share via' section with social media icons (Facebook, Twitter, LinkedIn, YouTube, and Email). The main text describes the Caltrans' Local Assistance Program, which oversees more than one billion dollars annually available to over 600 cities, counties, and regional agencies for improving transportation infrastructure or providing transportation services. It also mentions that this funding comes from various Federal and State programs specifically designed to assist the transportation needs of local agencies. Additionally, it states that annually, over 1,200 new projects are authorized through the Local Assistance Program, of which approximately 700 are construction projects. To the right of the main text, there are two boxes: one for the California Governor, Gavin Newsom, with a link to 'Visit Governor's Website', and another for the Caltrans Director, Laurie Berman, with a link to 'Caltrans'. Below these, there is a box for the Division Chief, Local Assistance, Ray Zhang, with a link to 'Visit Website'. At the bottom right, there is a 'Division Links' section with a dropdown arrow icon, listing various links: Local Assistance Home Page, DLA Sitemap, ADA, Consultant Selection and Procurement, Disadvantaged Business Enterprise, Earmark Repurposing, E-76, Invoices and PSA (with sub-links for E-76 Waiting List and E-76 Obligated List), and E-76 Obligated List.

**Division of Local Assistance**

Share via: [f](#) [t](#) [in](#) [y](#) [e](#)

Caltrans' Local Assistance Program oversees more than one billion dollars annually available to over 600 cities, counties and regional agencies for the purpose of improving their transportation infrastructure or providing transportation services.

This funding comes from various Federal and State programs specifically designed to assist the transportation needs of local agencies.

Annually, over 1,200 new projects are authorized through the Local Assistance Program of which approximately 700 are construction projects.

**Welcome to the Division of Local Assistance**

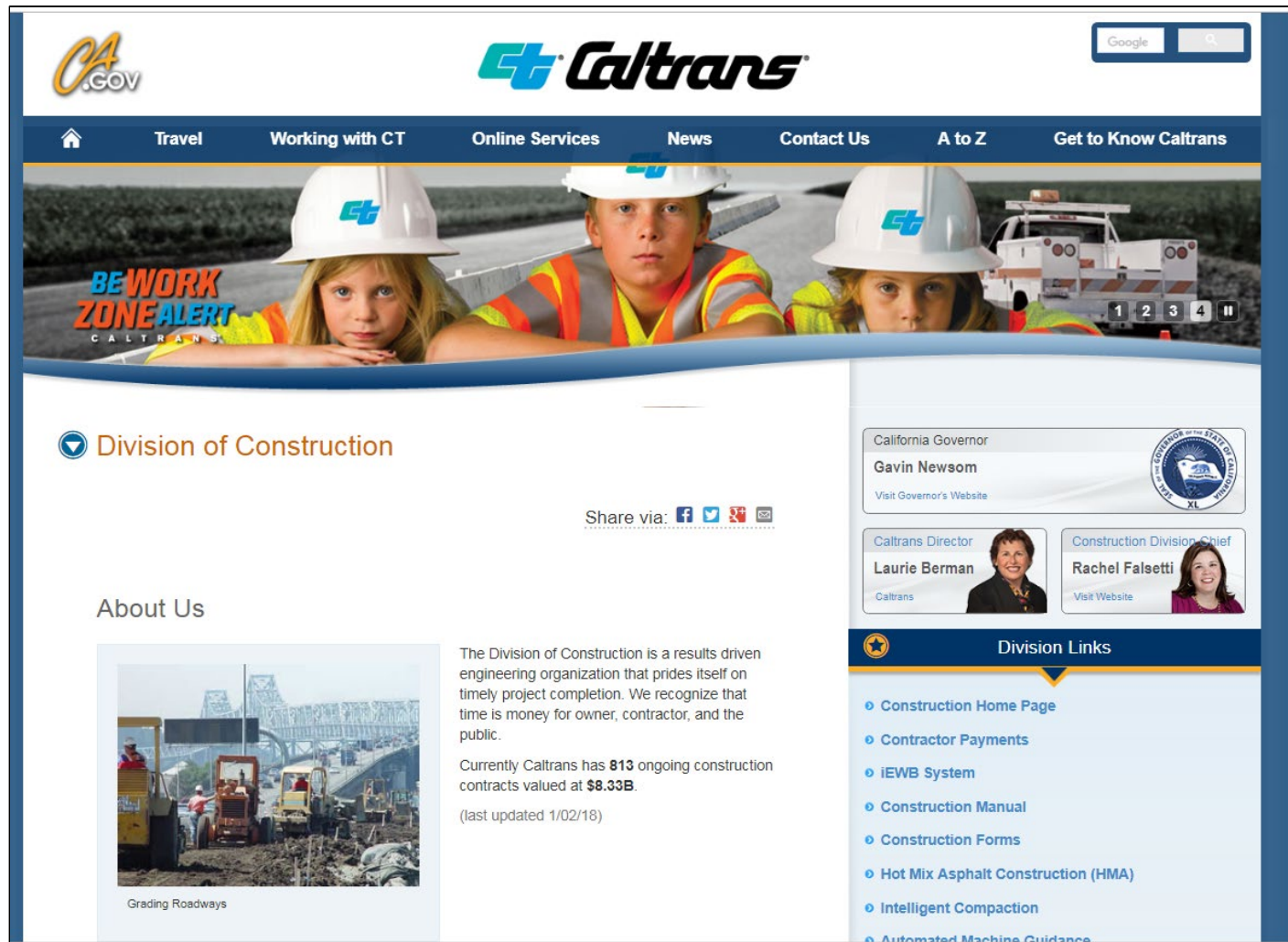
The Local Assistance Program, made up of the Division of Local Assistance in Headquarters and 12 District Local Assistance Offices, assist Local and Regional Agencies by ensuring specific program requirements are met, project applications are processed, and projects are delivered in accordance with Federal and State requirements. The overhead associated with providing this support is only \$27 M, or 2% of the capital funds that flow through to the local

**Division Links**

- Local Assistance Home Page
- DLA Sitemap
- ADA
- Consultant Selection and Procurement
- Disadvantaged Business Enterprise
- Earmark Repurposing
- E-76, Invoices and PSA
  - E-76 Waiting List
  - E-76 Obligated List

[www.dot.ca.gov/hq/LocalPrograms](http://www.dot.ca.gov/hq/LocalPrograms)

# Caltrans Construction Website



The screenshot shows the Caltrans Construction website. At the top, there is a navigation bar with links: Home, Travel, Working with CT, Online Services, News, Contact Us, A to Z, and Get to Know Caltrans. Below the navigation bar is a large banner image featuring three children wearing hard hats and safety vests, with a construction vehicle in the background. The banner includes the text "BE WORK ZONE ALERT" and "CALTRANS".

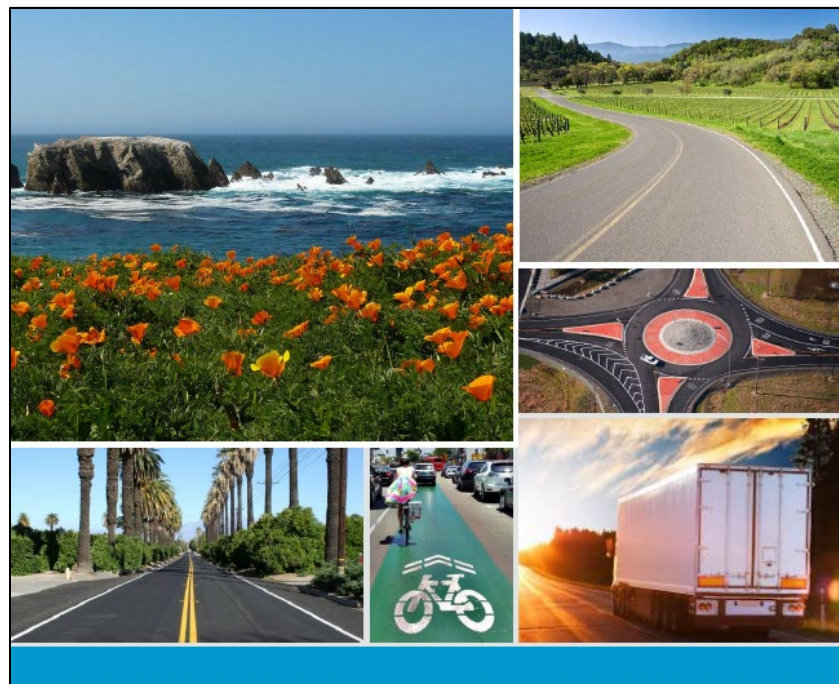
Below the banner, the "Division of Construction" is highlighted. To the right, there are profiles for the California Governor (Gavin Newsom), Caltrans Director (Laurie Berman), and Construction Division Chief (Rachel Falsetti). Below these profiles is a "Division Links" section with a list of links: Construction Home Page, Contractor Payments, IEWB System, Construction Manual, Construction Forms, Hot Mix Asphalt Construction (HMA), Intelligent Compaction, and Automated Machine Guidance.

On the left side, under "About Us", there is a photo of a construction site with the caption "Grading Roadways". To the right of the photo, the text states: "The Division of Construction is a results driven engineering organization that prides itself on timely project completion. We recognize that time is money for owner, contractor, and the public. Currently Caltrans has **813** ongoing construction contracts valued at **\$8.33B**. (last updated 1/02/18)".

<http://www.dot.ca.gov/construction>



# LAPM Content



## LOCAL ASSISTANCE PROCEDURES MANUAL

State of California  
Department of Transportation  
Division of Local Assistance

2018



Caltrans provides a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability



Local Assistance Procedures Manual (LAPM)

Table of Contents

## Local Assistance Procedures Manual

### TABLE OF CONTENTS

CHAPTER	PAGE
1 INTRODUCTION AND OVERVIEW .....	1-1
2 ROLES AND RESPONSIBILITIES .....	2-1
3 PROJECT AUTHORIZATION .....	3-1
4 AGREEMENTS .....	4-1
5 INVOICING .....	5-1
6 ENVIRONMENTAL PROCEDURES .....	6-1
7 FIELD REVIEW .....	7-1
8 PUBLIC HEARINGS .....	8-1
9 CIVIL RIGHTS AND DISADVANTAGED BUSINESS ENTERPRISES .....	9-1
10 CONSULTANT SELECTION .....	10-1
11 DESIGN STANDARDS .....	11-1
12 PLANS, SPECIFICATIONS & ESTIMATE .....	12-1
13 RIGHT OF WAY .....	13-1
14 UTILITY RELOCATIONS .....	14-1
15 ADVERTISE AND AWARD PROJECT .....	15-1
16 ADMINISTER CONSTRUCTION CONTRACTS .....	16-1
17 PROJECT COMPLETION .....	17-1
18 MAINTENANCE .....	18-1
19 OVERSIGHT & PROCESS REVIEWS .....	19-1
20 DEFICIENCIES AND SANCTIONS .....	20-1



# 2014 Contract Administration Core Curriculum



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## Contract Administration Core Curriculum Manual

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October 2014

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Federal Highway Administration  
HIPA-30

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[www.fhwa.dot.gov/programadmin/contracts/coretoc.cfm](http://www.fhwa.dot.gov/programadmin/contracts/coretoc.cfm)



# Other Websites

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- Caltrans Home Page:  
[www.dot.ca.gov](http://www.dot.ca.gov)
- QAP Manual for use by Local Agencies:  
[http://www.dot.ca.gov/hq/LocalPrograms/public/QAP\\_Manual.pdf](http://www.dot.ca.gov/hq/LocalPrograms/public/QAP_Manual.pdf)
- Contract Cost Data:  
<http://www.dot.ca.gov/hq/esc/oe/awards/>
- FHWA Home Page:  
[www.fhwa.dot.gov/](http://www.fhwa.dot.gov/)
- Federal Aid Essentials for Local Public Agencies:  
[www.fhwa.dot.gov/federal-aidessentials/index.cfm](http://www.fhwa.dot.gov/federal-aidessentials/index.cfm)
- Federal & State Posters:  
<http://www.dot.ca.gov/hq/construc/LaborCompliance/posters.htm>
- The Local Assistance Blog (“LAB”):  
[www.localassistanceblog.com](http://www.localassistanceblog.com)



# DLAE Contact Information

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## District 01 Local Assistance

Suzi Theiss - Suzanne.Theiss@dot.ca.gov  
Public: (707) 445-6399, FAX: (707) 441-2048

## District 02 Local Assistance

Ian Howat - Ian.Howat@dot.ca.gov  
Public: (530) 225-3484, FAX: (530) 225-3020

## District 03 Local Assistance

David Giongco - David.Giongco@dot.ca.gov  
Public: (530) 741-5450, FAX: (530) 741-5466

## District 04 Local Assistance

Sylvia Fung - Sylvia.Fung@dot.ca.gov  
Public: (510) 286-5226, FAX: (510) 286-5229

## District 05 Local Assistance

Heidi Borders – Heidi.Borders@dot.ca.gov  
Public: (805) 549-3120, FAX: (805) 549-3746

## District 06 Local Assistance

Jim Perrault - James.Perrault@dot.ca.gov  
Public: (559) 445-5417, FAX: (559) 445-5425

## District 07 Local Assistance

Steve Novotny - Steve.Novotny@dot.ca.gov  
Public: (213) 897-4289, FAX: (213) 897-2999

## District 08 Local Assistance

David Lee – David.lee@dot.ca.gov  
Public: (909) 806-4759, FAX: (909) 383-7131

## District 09 Local Assistance

Forest Becket - Forest.Becket@dot.ca.gov  
Public: (760) 872-0681, FAX: (760)-872-5236

## District 10 Local Assistance

Parminder Singh - Parminder.Singh@dot.ca.gov  
Public: (209) 948-3689, FAX: (209) 948-3820

## District 11 Local Assistance

Bing Luu – Bing.Luu@dot.ca.gov  
Public: (619) 220-5311, Fax: (619) 220-5432

## District 12 Local Assistance

Tifini Tran – Tifini.Tran@dot.ca.gov  
Public: (657) 328-6275

[www.dot.ca.gov/hq/LocalPrograms/dlae.htm](http://www.dot.ca.gov/hq/LocalPrograms/dlae.htm)



# Construction Oversight Engineer (COE) Contact Information

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## Districts 1, 2 & 3

Osama Abu-Markhieh  
Public: (916) 205-8813

## District 4 (North)

Moe Shakernia  
Public: (510) 286-5541

## Districts 4 (South) & 5 (North)

Siobhan Saunders  
Public: (916) 539-5081

## Districts 5 (South), 6, & 10

Mike Giuliano  
Public: (805) 549-3072

## Districts 7

Mohammed Pasebani  
Public: (213) 897-3222

## Districts 8,9

Chad Yang  
Public: (916) 205-8639

## Districts 11 & 12

Anna Alonso  
Public: (657) 328-6170  
Mobile: (916) 205-9947



# Control of Materials/QAP: METS Contacts



## Independent Assurance

**METS offers free Tester Certification and Lab Accreditation for Federal-aid projects that use California Test Methods.**

District	Contact	Phone
HQ Leadworker	Bomasur Banzon	(916) 227-7234
1, 2 & 3	Ignoncencio Herrera	(916) 227-7192
4, 5, & 10	David Small	(916) 247-7923
6 (North of Bakersfield)	David Small	(916) 247-7923
6 (South of Bakersfield)	Seree Yenjai	(916) 247-1911
7, 8 & 9	Seree Yenjai	(916) 247-1911
11 & 12	Afsaneh Ostovar	(916) 247-6311


# Consultant Contracts

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- Solicitation Documents and Advertisement
- Evaluation and Selection of Consultant
- Contract Negotiations
- Contract Execution
- Small Purchase Procedures (under \$150,000)
- LAPM Chapter 10 “Consultant Selection”
- Procuring A&E Contracts

<http://www.dot.ca.gov/hq/LocalPrograms/AE/index.htm>



# **RESIDENT ENGINEER'S CONSTRUCTION CONTRACT ADMINISTRATION CHECKLIST**

***(EXHIBIT 15-B)***



# Contract Staffing

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- Resident Engineer – Registered?
- Staff for field operations and office
- Staff must know the contract
- Names of staff, consultants, labs, etc. must be on file
- Employee in Responsible Charge



# Employee in Responsible Charge

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- Local Agency full-time employee oversights consultants for CE
- Administer consultant contracts
  - Scope of work
  - Milestones
  - Costs
- Evaluate and participate in project decisions





# Pre-Construction Conference

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- Prime, agency, and subs
- Safety
- Labor compliance/EEO/DBE
- Important aspects of contract
  - Traffic, Utilities, Environmental, etc.
- Early submittals
  - Materials
  - Work Drawings
  - Project Schedule
- Claim process
- Partnering
- Document the meeting



# CT Construction Safety Checklist



- CT not DLA's
- CEM-0606
- Personnel
- Flagging
- Traffic Control
- Electrical
- Excavations
- [Video: Job Site Worker Safety](#)

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION CONSTRUCTION SAFETY CHECKLISTS CEM-0606 (REV 8/2013)				Look Data on Form
<b>Introduction</b>				
This document consists of checklists that identify safety items associated with a task. The checklists provide project safety coordinator and inspectors with a baseline list of a task's safety-related items. The items are not all inclusive and may not cover or consider other parts of the operation.				
In general, if you address the items on these sheets, you will have completed the primary portions of the task safely. The checklists do not replace experience or common sense. Refer to the Construction Manual and the references for further guidance.				
Complete checklists applicable to your job online or print and attach them to your safety diary with your narrative of that day's ongoing work.				
<b>Abbreviations</b>				
ANSI	American National Standards Institute	KBP	KwikBond Polymers	
ATSSA	American Traffic Safety Services Association	MEKP	Methyl Ethyl Ketone Peroxide	
CA MUTCD	California Manual of Uniform Traffic Control Devices	MSDS	Material Safety Data Sheets	
CFR	Code of Federal Regulations	PPC	Polyester Polymer Concrete	
CBO	Construction Safety Order (Title 8)	SS	Standard Specifications	
ESD	Electrical Safety Order (Title 8)	SSP	Standard Special Provision	
GISO	General Industry Safety Order (Title 8)	TMC	Traffic Management Center	
<b>Online References</b>				
• Title 8 Safety Orders: <a href="http://www.dir.ca.gov/samples/search/soenvr.htm">http://www.dir.ca.gov/samples/search/soenvr.htm</a>				
• CA MUTCD: <a href="http://www.dot.ca.gov/hq/traffops/signtech/mutcdsuppica_mutcd.htm">http://www.dot.ca.gov/hq/traffops/signtech/mutcdsuppica_mutcd.htm</a>				
<b>Contents</b>				
<b>Topic</b>	<b>Page</b>	<b>Topic</b>	<b>Page</b>	
Personnel	1	Polyester Polymer Concrete—Specific	12	
Flaggers	1	Methacrylate—Specific	12	
Heavy and Jobsite Vehicles	2	Hazardous Waste (Caltrans generated)	13	
Excavations	3	Hazardous Materials	14	
Structures Work	6	Fire Protection	14	
Work Over or Near Water	7	Cranes—Certifications and Inspections	15	
Tools and Equipment	8	Cranes—General	16	
Powder-Actuated Tools (Hilti Guns)	8	Cranes—Personnel Lifts	17	
Scaffolds, General	9	Cranes—Electrical (up to 350kV)	18	
Scaffolds, Metal	9	Traffic Control—General	19	
Electrical, General	10	Traffic Control Checklist	20	
Low-Voltage Electrical	10	Traffic Control Devices—General	21	
High-Voltage Electrical (>600 volts)	10	Traffic Control Devices—Nighttime	21	
Ladders	11	Permit-Required Confined Space	22	
Polyester Concrete and Methacrylate—General	12	Other Confined Spaces	22	
<b>ADA Notice</b>				
For individuals with sensory disabilities, this document is available in alternate formats. For information, call (916) 654-6410, TTY 711, or write to Records and Forms Management, 1120 N Street, MS-88, Sacramento, CA 95814.				

# Notice to Proceed Submittal

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- Federal-aid projects off the SHS
- Notice to Proceed or Notice of Contract Award to Contractor cc: DLAE
- Helps COEs and FHWA





# Quiz – A: True or False?

5) Partnering requires a PIF and is not federally participating.

DLAE.

contract requirements.

**TRUE**

**FALSE**





# Authorization



- Authorization date
- Date project was advertised
- Make sure RE and staff are fully aware of the funding limits
- E-76 and all funding documents in project files





# Contract Files



- All information related to the work & requirements of the contract
- Organized files show good management
- Maintain files for minimum 3 years after final voucher
- COEs and Auditors
- Not in file – never happened



# Project Records (LAPM 16.3)

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1. Award Package
2. Project Personnel
3. Correspondence
4. Weekly Record of Working Days
5. Quality Assurance
6. Engineer's Daily Reports
7. Photographs
8. Contract Item Pay Quantity
9. Contract Change Orders
10. Progress Pay Estimates and Status of Funds
11. Labor Compliance and Equal Employment Opportunities (EEO) Records
12. Disadvantage Business Enterprise (DBE) Records



# Engineer's Daily Reports



- Daily reports are the narrative of the project
- Sufficient detail:
  - to check cost of work using force account
  - ensure contract compliance
- Timely
- File
- Factual, no opinions





**Handout – Pg 19**

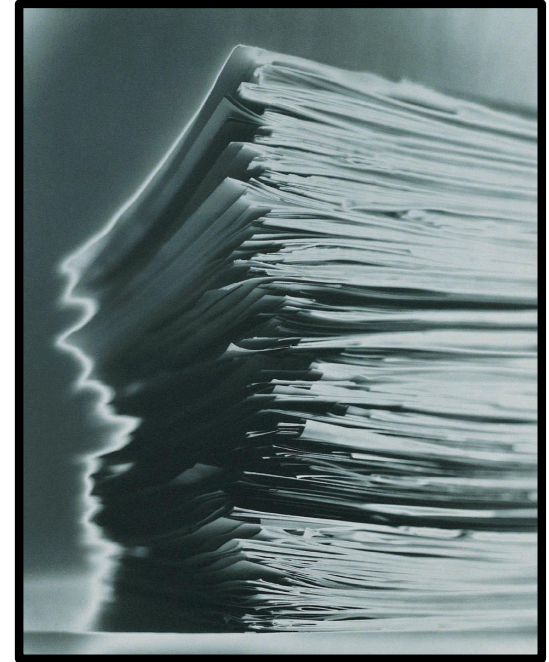


# Records & Accounting Procedures

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- Source documents for each contract item paid (important for invoicing)
- Invoices to the State match payments to contractor
- Administrative deductions
- Contingency balance
- Estimate Final Cost



# 16-Y: Monthly Progress Payment Item Quantity Calculation Sheet



- One per item per pay period
- Pay per Contract: lump sum, approximate pay, final pay
- Calculation: formula, field measure, weigh tickets, plans
- Dates & location conform with diaries
- Independent Contractor
- Prepared and checked
- File

Local Assistance Procedures Manual		Exhibit 16-Y	
Monthly Progress Pay Item Quantity Calculation Sheet			
Exhibit 16-Y Monthly Progress Payment Item Quantity Calculation Sheet			
CONTRACT NUMBER:	ITEM:	UNITS:	
	FILE NUMBER:		
PROJECT NAME:	CALC. BY:	DATE:	
	PRINT AND SIGN		
	CHECKED BY:	DATE:	
	PRINT AND SIGN		
Note: Include detailed location of work, measurements and calculations.			
As per contract specifications, these quantities were:			
<input type="checkbox"/> Field measured by			
<input type="checkbox"/> Taken from dimensions shown of plans			
<input type="checkbox"/> Taken from weigh tickets			
Original Planned Quantity:			
Change Order Revisions:			
New Authorized Quantity:			
Previously Paid:			
PAY THIS SHEET:			
Total Paid to Date:			



# Quiz – B: True or False?

5) Daily RE reports are critical to tracking project progress and help establish progress payments to the contractor.  
documentation and be easily retrievable.

**TRUE**

**FALSE**





# Tracking Contract Time



- Document total project time and time used
- Controlling operation(s)
- Working day vs. non-working day
- Contract time extensions
- Liquidated damages (LDs)
- [Video: Contract Time and Schedule Management](http://www.dot.ca.gov/hq/construc/calendar/index.htm)

CONSTRUCTION WORKDAY CALENDAR													
Year 2018													
JANUARY							JULY						
SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI	SAT
	1	2	3	4	5	6	1	2	3	4	5	6	7
7	8	9	10	11	12	13	8	9	10	11	12	13	14
14	15	16	17	18	19	20	15	16	17	18	19	20	21
21	22	23	24	25	26	27	22	23	24	25	26	27	28
28	29	30	31				29	30	31				
FEBRUARY							AUGUST						
				1	2	3							
4	5	6	7	8	9	10	4	5	6	7	8	9	10
11	12	13	14	15	16	17	11	12	13	14	15	16	17
18	19	20	21	22	23	24	18	19	20	21	22	23	24
25	26	27	28	29	30		25	26	27	28	29	30	31
MARCH							SEPTEMBER						
				1	2	3							
4	5	6	7	8	9	10	4	5	6	7	8	9	10
11	12	13	14	15	16	17	11	12	13	14	15	16	17
18	19	20	21	22	23	24	18	19	20	21	22	23	24
25	26	27	28	29	30	31	25	26	27	28	29	30	
APRIL							OCTOBER						
1	2	3	4	5	6	7	1	2	3	4	5	6	7
8	9	10	11	12	13	14	8	9	10	11	12	13	14
15	16	17	18	19	20	21	15	16	17	18	19	20	21
22	23	24	25	26	27	28	22	23	24	25	26	27	28
29	30						29	30	31				
MAY							NOVEMBER						
				1	2	3							
4	5	6	7	8	9	10	4	5	6	7	8	9	10
11	12	13	14	15	16	17	11	12	13	14	15	16	17
18	19	20	21	22	23	24	18	19	20	21	22	23	24
25	26	27	28	29	30	31	25	26	27	28	29	30	
JUNE							DECEMBER						
					1	2							
3	4	5	6	7	8	9	3	4	5	6	7	8	9
10	11	12	13	14	15	16	10	11	12	13	14	15	16
17	18	19	20	21	22	23	17	18	19	20	21	22	23
24	25	26	27	28	29	30	24	25	26	27	28	29	30

249 Working Days Rev. 2-08

<http://www.dot.ca.gov/hq/construc/calendar/index.htm>



- |                                                                                                                                                                                                                                                       |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------------------------------------------------------------|----------------------------|---------------------------------------------------------------------------------------------------------|--------------------------------------------------|----------------------------------------------------------------------------------------|--|
| STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION                                                                                                                                                                                                    |           |                                                               |                            | JOB STAMP                                                                                               |                                                  | Lock Data on Form                                                                      |  |
| <b>WEEKLY STATEMENT OF WORKING DAYS</b>                                                                                                                                                                                                               |           |                                                               |                            | <div style="border: 1px solid black; height: 100px; width: 100%;"></div>                                |                                                  | Page 1 of 2                                                                            |  |
| CEM-2701 (REV. 04/2015)                                                                                                                                                                                                                               |           |                                                               |                            |                                                                                                         |                                                  | REPORT NUMBER: <div style="border: 1px solid black; height: 20px; width: 100%;"></div> |  |
| <b>ADA Notice</b><br>For individuals with sensory disabilities, this document is available in alternate formats. For information, call (916) 445-1233, TTY 711, or write to Records and Forms Management, 1120 N Street, MG-89, Sacramento, CA 95814. |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| CONTRACTOR: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>                                                                                                                                                                   |           |                                                               |                            | WEEK ENDING (month, day, year): <div style="border: 1px solid black; height: 20px; width: 100%;"></div> |                                                  |                                                                                        |  |
| Date                                                                                                                                                                                                                                                  | Day       | Weather, Weather Conditions, or Other Conditions <sup>1</sup> | Working Day                | Nonworking Day                                                                                          | Working Day No Work Done on Controlling Activity |                                                                                        |  |
|                                                                                                                                                                                                                                                       |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
|                                                                                                                                                                                                                                                       | Monday    |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
|                                                                                                                                                                                                                                                       | Tuesday   |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
|                                                                                                                                                                                                                                                       | Wednesday |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
|                                                                                                                                                                                                                                                       | Thursday  |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
|                                                                                                                                                                                                                                                       | Friday    |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
|                                                                                                                                                                                                                                                       |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
|                                                                                                                                                                                                                                                       |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| Days this week _____                                                                                                                                                                                                                                  |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| Days previously reported _____                                                                                                                                                                                                                        |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| Total days to date _____                                                                                                                                                                                                                              |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| Change Order Time Adjustments                                                                                                                                                                                                                         |           |                                                               | Change Order Days Approved | Change Order Numbers <sup>2</sup>                                                                       |                                                  |                                                                                        |  |
| Days this report _____                                                                                                                                                                                                                                |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| Days previously reported _____                                                                                                                                                                                                                        |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| Total change order days to date _____                                                                                                                                                                                                                 |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| Computation of Extended Date for Completion                                                                                                                                                                                                           |           |                                                               | Number of Days             | Numbered Day <sup>4</sup>                                                                               | Date                                             |                                                                                        |  |
| 1. First working day _____                                                                                                                                                                                                                            |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| 2. Original working days specified in contract _____                                                                                                                                                                                                  |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| 3. COMPUTED DATE FOR COMPLETION (line 1 + line 2 - 1) _____                                                                                                                                                                                           |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| 4. Total change order days approved to date -----                                                                                                                                                                                                     |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| 5. Total Nonworking days to date <sup>3</sup> _____                                                                                                                                                                                                   |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| 6. EXTENDED DATE FOR COMPLETION (line 3 + line 4 + line 5) _____                                                                                                                                                                                      |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| 7. Revised working days for contract (line 2 + line 4) _____                                                                                                                                                                                          |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| 8. Total working days to date _____                                                                                                                                                                                                                   |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| 9. WORKING DAYS REMAINING (line 7 - line 8) _____                                                                                                                                                                                                     |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| CONTROLLING ACTIVITY(IES):                                                                                                                                                                                                                            |           |                                                               |                            | <div style="border: 1px solid black; height: 100%; width: 100%;"></div>                                 |                                                  |                                                                                        |  |
|                                                                                                                                                                                                                                                       |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| REMARKS:                                                                                                                                                                                                                                              |           |                                                               |                            | <div style="border: 1px solid black; height: 100%; width: 100%;"></div>                                 |                                                  |                                                                                        |  |
|                                                                                                                                                                                                                                                       |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| The contractor will be allowed fifteen (15) days in which to protest in writing the correctness of the statement; otherwise, the statement shall be deemed to have been accepted by the contractor as correct.                                        |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| NOTE: Footnote Instructions to resident engineer are on reverse side.                                                                                                                                                                                 |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |
| RESIDENT ENGINEER SIGNATURE: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>                                                                                                                                                  |           |                                                               |                            | DATE: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>                           |                                                  |                                                                                        |  |
| Distribution: Original -- Contractor; Copies -- District, resident engineer                                                                                                                                                                           |           |                                                               |                            |                                                                                                         |                                                  |                                                                                        |  |

# Labor Compliance



- Prevailing Wage Rates
  - Hourly rates for each craft per Federal (USDOL) and State (DIR)
  - Overtime and associated pay
  - Workday & Workweek
- Certified Payrolls
  - Payrolls must be submitted with wet signature and checked vs. diaries
- Covered vs. non-covered work
- Labor Compliance Officer must be designated
- [Video: Payroll Compliance](#)



California Department of Transportation, Labor Compliance  
Prejob Checklist  
Revised 6/26/14

## FEDERAL-AID CONTRACT

Contract #:	Federal-Aid #:	Date:
Date Advertised for Bids:		Bid Opening Date:
Contract Bid Amount:	Working Days:	Contract Type: Construction
Description of Project: Project location, county, description		
Labor Compliance Contact Information:	NAME ADDRESS CITY, STATE ZIP PHONE FAX	
Prime Contractor:	NAME ADDRESS CITY, STATE ZIP	
Resident Engineer:	Prejob performed by: LCO or RE Name	

### POSTERS/NOTICES

Contractors are required to post all required state and federal posters on the jobsite in an area accessible to all workers, including subcontractors. Posters must be readable and placed in visible areas allowing workers to access the posters before, during, and after work shifts. Jobsites with multiple locations must include a portable poster board to ensure continued access to the information. Posters placed in Foreman, Supervisor, or employee vehicles, in an offsite job trailer, or inside a temporary restroom do not meet the posting requirement. Resident Engineers, Contract Managers, and other delegated Caltrans staff will verify the prime contractor has posted the following:

- ☐ State General Prevailing Wage Determinations in effect on date advertised  
General prevailing wage determination \_\_\_\_\_  
Journeyman and Apprentice Prevailing Wage Rates can be accessed at the following websites:  
<http://www.dir.ca.gov/dlsr/DPreWageDetermination.htm> and <http://www.dir.ca.gov/das/publicworks.html>  
Reference: Labor Code 1773.2
- ☐ Federal Prevailing Wage Determinations in effect on bid date  
General Decision #: \_\_\_\_\_ Modification #: \_\_\_\_\_ Publication Date: \_\_\_\_\_  
General Decision County Index for CA: <http://www.wdol.gov/wdol/scafiles/davisbacon/ca.html>  
Select the county where the work will be performed. Reference: Davis Bacon Act
- ☐ Company EEO policy Reference: Standard Specifications, Section 7, Legal Relations and Responsibility to the Public, Special Provision, FHWA 1273
- ☐ Department of Fair Employment and Housing (DFEH) Forms 162 (English) and 162(S) (Spanish), Harassment or Discrimination in Employment is Prohibited by Law
- ☐ Pay Day Notice
- ☐ Notice of Labor Compliance Program Approval, English and Spanish Reference: CCR 16429
- ☐ Equal Employment Opportunities Commission (EEOC)-P/E-1, English and Spanish  
Equal Employment Opportunity is THE LAW
- ☐ Federal Highway Administration (FHWA)-1022, NOTICE Reference: Special Provisions, FHWA-1273

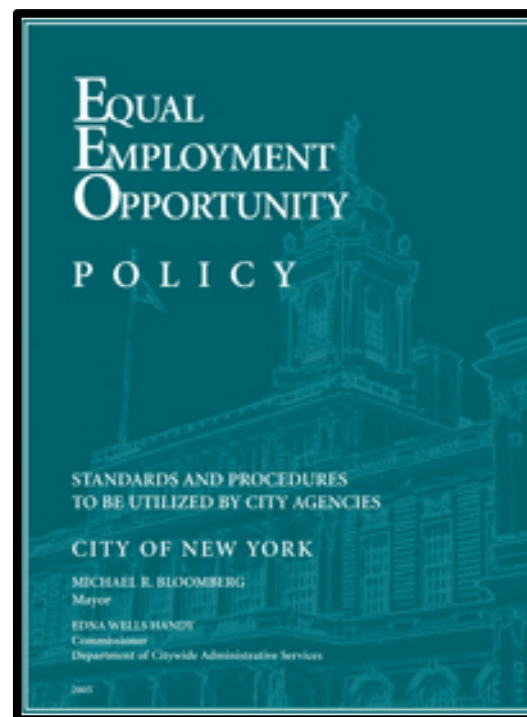
Initials of Prime: \_\_\_\_\_

Page 1 of 8

# Equal Employment Opportunity (EEO)



- Race, religion, sex, color, national origin, age or disability
- Contractor must furnish EEO policy/officer
- Conduct periodic interviews
- Verify EEO posters
- [Form 1391 : Exhibit 16-O](#) last payroll in July
- Report violations to USDOL Exhibit 16-Q





# Employee Interviews



- Minimum two employees, one prime and each subcontractor until project completion or all employees are interviewed
- Exhibit 16-N (English) or Exhibit 16-P (Spanish), total 2 per month
- Check against certified payroll
- Contact EEO Officer or DIR if problems exist
- File





# EEO/Wage Rate/False Statements



- Must be posted in conspicuous location, gathering area
- If site is mobile, consider “sandwich” board style
- Take picture of posters and file
- Up to date versions see website below
- [Video: Job Site Posters](#)



<http://www.dot.ca.gov/hq/construc/LaborCompliance/posters.htm>

# Exhibit 16-B: Subcontracting Request



- Compare to “List of Subcontractors”
- Work greater than 0.5% of total bid or \$10,000
- Prime to perform minimum 30% of work
- Check DIR website for debarred contractors
- FHWA 1273
- Substitution of a subcontractor Public Contract Code 4107

Local Assistance Procedure Manual						Exhibit 16-B Subcontracting Request		
EXHIBIT 16-B SUBCONTRACTING REQUEST								
CONTRACTOR NAME					COUNTY	ROUTE		
BUSINESS ADDRESS					CONTRACT NUMBER			
CITY AND STATE				ZIP CODE	FEDERAL-AID PROJECT NUMBER			
A. SUBCONTRACTOR (Name, Business Address, Phone)	B. BID ITEM NUMBER (S)	C. PERCENTAGE OF BID ITEM SUBCONTRACTED	D. SUB LISTED AT BID TIME		E. CERTIFIED DBE		F. DESCRIBE WORK WHEN LESS THAN 100% OF WORK IS SUBCONTRACTED	G. DOLLAR AMOUNT BASED ON THE BID AMOUNT
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>		
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>		
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>		
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>		
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>		
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>		

I certify that:

- The Standard Provisions for labor set forth in the contract apply to the subcontracted work.
- If applicable, Form FHWA- 1273 of the Special Provisions have been inserted in the subcontracts and should be incorporated in any lower-tier subcontract. Written contracts have been executed for the above noted subcontracted work.

Contractor Signature		Date
----------------------	--	------

This section is to be completed by the resident engineer

1. Total of bid items		\$	
2. Contractor must perform with own forces (lines 1 X contract req. %) _____		\$	
3. Bid items previously subcontracted		\$	
4. Bid items subcontracted (this request)		\$	
5. Total bid items subcontracted (lines 3 + 4)		\$	
6. Balance of work contractor to perform (lines 1 minus 5)		\$	

Approved	
RESIDENT ENGINEER'S SIGNATURE	DATE

Copy Distribution : Original-Contractor Copy- Resident Engineer Copy- OBE- [smallbusinessadvocate@dot.ca.gov](mailto:smallbusinessadvocate@dot.ca.gov) or fax to (916) 324-1949

Page 1 of 2  
January 2018



# On the Job Training

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- If specified in contract, must be under contractors plan or union apprenticeship program
- Agency to approve prior to start of work
- Payment per contract specs (min \$.80/hr) administrative costs





# Disadvantage Business Enterprise



- DBE contract goal
- Track DBE commitment, per Exhibit 15-G, in field and with payroll
- DBE Trucking, [Exhibit 16-Z1](#)
- File documentation regularly
- Include [15-G](#) in bid docs, submit to CT
- [Video: DBE Contract Administration](#)



# DBE Subcontractor

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## **DBE Substitution:**

- For justification see contract
- GFE to replace
- Reasonable cost
- Must perform same amount of work needed to meet goal

## **Commercially Useful Function**

- DBE responsible and controls the work (min 30%)
- DBE work per industry practice
- Extra participant
- Work paid = performed

If DBE Commitment is not met withhold progress payment

# Contract Change Orders (CCO)

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## Reasons for a CCO:

- Change contract plans or specifications
- Work stipulated in contract to be paid as extra work
- Changed conditions
- Clarify contract terms
- Resolve a dispute/claim

## CCO Consists of:

- Work description
- Location & limits of the work
- New or referenced specifications
- Method and amount of payment
- Time adjustment



# CCO Issues

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- Follow established CCO approval process
- Prior authorization to start of CCO work
- Changes to specs or plans signed by a PE
- Cost and time adjustment backup in file
- Payment made prior to CCO approval
- Timely preparation of CCO
- Sufficient funds in contract
- Identify if federally eligible or not
- [Video: Change Orders](#)

# Claims



- Follow claim procedures in contract provisions
- If using CTSS use Exhibits 16-UI, 16-UF and 16-US (Section 5-1.43 “Potential Claims and Dispute Resolution”)
- Timely submittal
- Document & file



# Claim Avoidance

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- Maintain respectful relationship with Contractor
- Communicate with Contractor
- Define critical issues
- Gather the facts
- Review pertinent parts of contract
- Determine responsibilities
- Consult subject matter experts
- Work within contractual constraints
- Communicate position timely
- Provide fair reasons when no merit exists
- Compensate Contractor promptly
- Document resolution and elevate, if needed



## Quiz – D: Changed Site Conditions. Should a contract change order be issued?

a) The Court found that the agency's non-disclosure of material information was a misrepresentation of site conditions for which recovery is allowed. **Claim is accepted.**

necessary to meet compaction requirements, then the contractor was required to take them, without specific moisture control instructions in the specifications. **The claim should be rejected.** with gravel. The Contractor argued that this was a constructive change because the contract did not call for backfilling with gravel.



# Traffic Safety in Work Zones



- Traffic Control Plan
- Traffic Management Plan
- Identify responsible person if not RE
- Field inspection – accidents, delays & complaints
- Identify deficiencies to improve future TCP/TMP





# Quality Assurance Program

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- [QAP](#)
  - Material acceptance
  - Independent Assurance (IA)
  - Dispute resolution
- QAP Attachments
  - Min sampling & testing frequency
  - Certificate of Compliance per contract
  - Sample Testing Summary logs
- No QAP = No Authorization
- Review/update every 5 years
- QAP-One size doesn't fit all
- Test Data/Summary Logs
- Failed test – document corrective measures taken
- Acceptance of Minor Quantities w/o testing
- Source inspection
- [Video: Buy America Field Compliance](#)
- [Video: Quality Assurance](#)

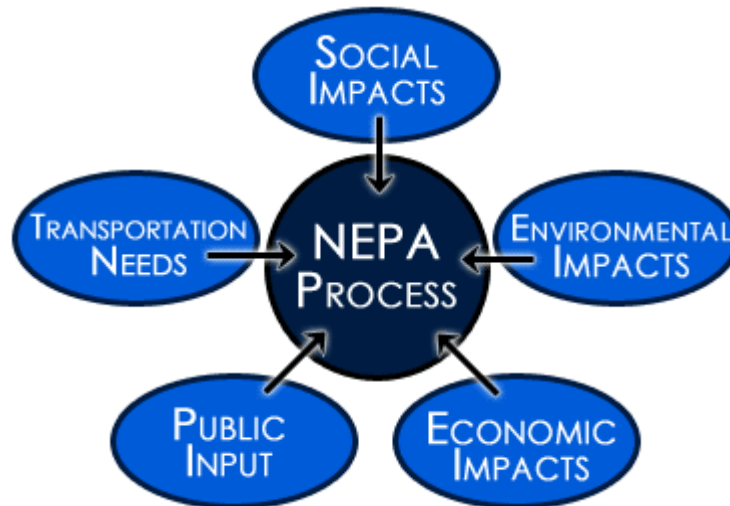


# Environmental

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- NEPA document in files
- Make sure mitigation requirements are adhered to
- SWPPP or WPCP
- Notify foreman/site supervisor of any discrepancies

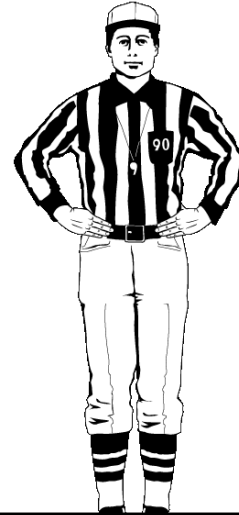




# For Projects on the State Highway System



- Make sure Caltrans encroachment permit or Cooperative Agreement is on file
- Comply with state's oversight requirements





# RE Checklist

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## Sign and Date

- Local agency's RE as employee or consultant
- Local agency's person in responsible charge if consultant

*John Adams*  
*G. J. Washington*



# Quiz – E: Buy America Requirements. Are the following valid Buy America conditions?

5) Sheet piling manufactured in Japan.  
Mexico.

**YES**

**NO**





# **FINAL REPORT OF EXPENDITURES (EXHIBIT 17-A)**



# Final Report of Expenditures

---



## Prepare and Submit After...

- Contract completion
- Contract acceptance
- Environmental mitigations and long-term maintenance addressed
- Documentation is complete and organized
- Submit to DLAE promptly, no longer than 6 months after project completion
- [Video: Project Closeout](#)





# Final Report of Expenditures

---



## Components

- Cover sheet and letter
- Checklist
- Attach forms
  - Final Inspection Form [\(17-C\)](#)
  - Final Invoice [\(17-D\)](#)
  - Final Detail Estimate and Summary [\(15-M\)](#)
  - Change Order Summary, LDs, Claims [\(17-E\)](#)
  - Final DBE Utilization [\(17-F\)](#)
  - Materials Certificate [\(17-G\)](#)
  - Completion of Structures and As-built Plans [\(17-I and 17-J\)](#)
  - DBE Certification Status Change [\(17-O\)](#)



# Final Report of Expenditures

---



## Cover Letter and Checklist

- Use Form 17-A
- Submit as cover to Final Report of Expenditures
- Maintain in project files



# Final Report of Expenditures



## Final Invoice

- Use format shown in [Exhibit 17-D](#)
- Make sure invoice agrees with final estimate, E-76, PSA
- Submit one original to DLAE

Local Assistance Procedures Manual

EXHIBIT 17-D

Sample Federal-aid Final Invoice

**SAMPLE FEDERAL-AID FINAL  
INVOICE Single-Phase EA  
Two Appropriation Codes (33D and 33T)  
(Letterhead of Local Agency)**

*Date of Final Invoice*  
(For Final Invoice)

Name of Director \_\_\_\_\_ District Director

Department of Transportation

Street Address

City, CA Zip Code

Attention: Name of DLAE

Billing No: Final

Invoice No: Local Agency's Invoice Number

Federal Aid Project No:

Tax Identification No: Agency IRS ID Number

Date Accepted by City/County: Final Date

Project Location: Project Limits

Reimbursement for Federal Funds are claimed pursuant to Local Agency-State Agreement

No. \_\_\_\_\_ Agreement Number \_\_\_\_\_, Program Supplement No. \_\_\_\_\_, Supplement Number \_\_\_\_\_, executed on Date Executed \_\_\_\_\_.

	Preliminary Engineering	Construction Engineering	Construction Contract	Total
Federal Appropriation Code				
Expenditure Authorization No				
Federal Authorization Date				
Federal participating costs from _____ to _____				
Total Costs	\$ 5,000.00	\$ 4,000.00	\$ 4,000.00	\$ 13,000.00
Less: Retention	(\$ 1,000.00)	(\$ 500.00)	(\$ 700.00)	(2,200.00)
Non participating Costs	(\$ 100.00)	(\$ 200.00)	(\$ 300.00)	(\$ 600.00)
Subtotal	\$ 3,900.00	\$ 3,300.00	\$ 3,000.00	\$ 10,200.00
Plus: Payment of Previously Withheld Retention	4,000.00	1,200.00	2,000.00	\$ 7,200.00
Federal Participating Costs to Date	7,900.00	4,500.00	5,000.00	\$ 17,400.00
Less: Participating Costs on Previous Invoice	(200.00)	(4,200.00)	(6,000.00)	(\$ 10,400.00)
Change in Participating Costs Reimbursement Ratio	7,700.00	300.00	(1,000.00)	\$ 7,000.00 88.53%
Amount This Claim				\$ 6,197.10

# Final Report of Expenditures



## Final Detail Estimate

- Use same format as estimate at award
- Show final quantities
- Show all costs through closeout
- Do not file if unresolved claims remain
- Must agree with final invoice
- Submit to DLAE

Item Number	Item Description	Unit	Quantity	Unit Price	Amount TOTAL
1	Cold Plane AC Pavement	SY	12,000	10	120,000
2	Leveling course	SY	12,000	15	180,000
3	Paving Mat	SY	12,000	10	120,000
4	ARHM Gap Graded (AC)	TON	1,000	130	130,000
5	Pavement Marking	SF	1,000	5	5,000
6	Thermoplastic Striping	LF	15,000	5	75,000
7	Adjust Manhole Cover	EA	10	1,500	15,000
9	SWPPP	LS	1	50,000	50,000
10	Construction Signs/Traffic	LS	1	50,000	50,000
11	Repair Sidewalk	LS	1	100,000	100,000
12	Mobilization	LS	1	40,174	40,174
Participating Items - SUBTOTAL					885,174
Participating Items - Contingencies 10%					88,518
Participating Items - TOTAL					973,692
Participating Items - Construction Engineering 15%					145,703
NON-PARTICIPATING ITEMS					
8	Adjust Gas Valve Cover	EA	10	1,206	12,060
Non-Participating Items - SUBTOTAL					12,060
Non-Participating Items - Contingencies 10%					1,205
Non-Participating Items - TOTAL					13,265
Non-Participating Items - Construction Engineering 15%					2,340
SUBTOTAL					\$897,234
Contingencies 10%					\$89,723
TOTAL					\$986,957
Construction Engineering 15%					\$148,043

Length in Miles:

Made By: Engineer



# Final Report of Expenditures



## Change Order Summary

- Use [Exhibit 17-E](#)
- If no change orders, simply write “None” on the form
- Indicate liquidated damages/claims
- Show dates of completion and acceptance

Change Order No.	Brief Description	Contract Item Price *	Amt. Part.	Amt. Exp. Extra Work **	Amt. Part.
1	Traffic Control	0.00	0.00	\$4,527.25	\$4,527.25
2	6" PCC Driveway at Sta. 41+50 RT.	255.00	255.00	0.00	0.00
3	Additional 18" RCP at 67+70 LT.	96.00	0.00	0.00	0.00
4	Relocate waterline at 14+25 RT.	0.00	0.00	145.15	145.15
5	Adjust Compensation AC overrun	0.00	0.00	(-832.00)	(-832.00)
6	Delete Valley Gutters	<u>(-255.00)</u>	<u>(-255.00)</u>	<u>0.00</u>	<u>0.00</u>
		\$ 96.00	\$ 0.00	\$3,840.40	\$3,840.40

The amount shown as extra work is to be reported as a supplemental expenditure on the final Detail Estimate.

Liquidated Damages/contractor claim: None

Date of completion: 1/2/96

Date of acceptance: 1/5/96

\* Amounts shown are included at Bid Prices on Detail Estimate.

\*\* Extra Work (Payment under force account or agreed price).



## Handout – Pg. 42



# Final Report of Expenditures



## Materials Certificate

- Use [Exhibit 17-G](#)
- Certifies materials were to specifications
- Sign and indicate title

EXHIBIT 17-G MATERIALS CERTIFICATE

Materials Certificate

CITY/COUNTY LETTERHEAD  
(Sample)

Date: \_\_\_\_\_  
Federal-Aid Project No.: \_\_\_\_\_  
Caltrans File Category 61: \_\_\_\_\_  
Job Stamp \_\_\_\_\_

Subject: Materials Certification

This is to certify that:

The results of the tests on acceptance samples indicate that the materials incorporated in the construction work and the construction operations controlled by sampling and testing were in conformity with the approved plans and specifications.

☐ Exceptions to the plans and specifications are explained on the back of this memorandum (or on attached sheet).

☐ No exceptions to the plans and specifications were found.

\_\_\_\_\_  
Signature of local agency engineer in responsible charge of project and title



# Final Report of Expenditures



## Completion of Structures

- Use [Exhibits 17-I and 17-J](#)
- Show type of bridge funding, locator code, project number, date
- Identify bridge name, road name, and bridge number
- Contractor and RE sign
- Include Page 2

### EXHIBIT 17-I SAMPLE COVER LETTER FOR THE REPORT OF COMPLETION OF STRUCTURES

\_\_\_\_\_  
Type of Funding

\_\_\_\_\_  
Dist.- Co.-Rte.

\_\_\_\_\_  
State Contract No.

\_\_\_\_\_  
Fed. Project No.

\_\_\_\_\_  
Date:

Chief, Office of Structures Maintenance and Investigations  
Caltrans Engineering Service Center, Mail Station 9  
P. O. Box 942874  
Sacramento, CA 94274-0001

Attention: \_\_\_\_\_ Structures Local Assistance Engineer

Dear: \_\_\_\_\_

Submitted herewith is the REPORT OF COMPLETION OF STRUCTURES ON LOCAL STREETS AND  
ROADS for the structures listed below:

\_\_\_\_\_  
Bridge Name  
(future intersected)

\_\_\_\_\_  
Road Name  
(facility carried)

\_\_\_\_\_  
State Bridge No.

\_\_\_\_\_  
Contractor

\_\_\_\_\_  
Bridge Resident Engineer



## Handout – Pgs. 47-48



# Final Report of Expenditures

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## Final Notes

- Your agency will be reviewed during the life of your project at least once, as many as three times, by a Construction Oversight Engineer.
- Know what items are most critical and strive to keep files neat and orderly.

# Most Frequently Observed Deficiencies



Observed Deficiencies (Joint Reviews)	Ranking	Frequency
Daily diaries	1	50%
Employee interview frequency	2	34%
Contract time administration	3	33%
Monitoring of material sampling and testing frequency	4	31%
Visibility and accessibility of required job posters	4	31%
Documentation of posting required job posters	6	29%
Checking of certified payroll	7	24%
Documentation of certifications for material samplers, testers or laboratories	8	21%
Support for progress payments	8	21%
Documentation of material sampling or testing results	10	20%
Consultant selection documentation	10	20%

Source: Caltrans COIN 10-04, dated May 17, 2010



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# **Wrap-up & Review**

**Objectives**

**Expectations**

**Evaluations**