



Construction Oversight Program

Construction Oversight Program: Guidance / Helpful Reminders



Caltrans Oversight Information Notice (COIN)

CALTRANS DIVISION OF LOCAL ASSISTANCE

Home Travel Business Engineering News Maps Jobs About Caltrans Contact Us

Caltrans > Local Assistance > Publications > COIN

Caltrans Oversight Information Notice (COIN)

The Caltrans Local Assistance Program Caltrans Oversight Information Notice, or "COIN" for short, are single-topic bulletins intended to provide outreach information and guidance to local agencies on all issues pertaining to the Federal-aid projects. They cover a wide variety of subjects, including discussions of findings resulting from process reviews by Caltrans and/or FHWA, changes in procedures or regulations, reminders of existing procedures or best practices, and other timely information. The goal is to help local agencies ensure proper and timely delivery of Federal-aid projects.

Listed below are the COINs that Caltrans Division of Local Assistance has completed to date:

- COIN #24 16-01: [Timely Preparation and Approval of Contract Change Orders](#)
- COIN #23 15-04: [Assurance that Construction Subcontracts Contain All Federal Requirements and Pertinent Provisions \(Form](#)
- COIN #22 15-03: [Title VI Compliance by Local Agencies](#)
- COIN #21 15-02: [Protected Bikeways and Flexible Design](#)
- COIN #20 15-01: [Non-Traditional \(Electronic\) Advertising for Contract Bids or Proposals](#)
- COIN #19 14-02: [Contractor Registration with California Department of Industrial Relations](#)
- COIN #18 14-01: [Use of Extra Work at Force Account](#)
- COIN #17 12-03: [Bio-acoustic Requirements for Bridge Projects Involving Pile Driving and Demolition](#)
- COIN #16 12-02: ["MAP-21 - Expansion of the National Highway System"](#)
- COIN #15 12-01: [Poster Requirements on Federally-Funded Construction Projects](#)
- COIN #14 11-04: [Buy America Requirements](#)
- COIN #13 11-03: [Support Documentation for Payments](#)
- COIN #12 11-02: [Administration of Contract Time](#)
- COIN #11 11-01: [Pre-award Audit Requirements for A&E Consultants](#)



Construction Oversight Program: Roles



- **Perform Project Reviews with Local Agency Staff and their Construction Management Consultants**
 - Not Auditors, but Measure FHWA Compliance
 - Issue Findings
- **Resource for Local Agency Questions / Issues**
 - Can Review CCOs for Quality and Participation
- **Issues Guidance on Current Issues as Necessary**
 - Publishes Office Bulletins, COINS on Loc Asst Website
- **Conducts Training**
 - RE Academy, Federal-Aid Series, Individual Agency / Regional Agency Training
- **Assists District Local Assistance Engineers**



Construction Oversight Program: Reviews



- Approximately 2 to 3 weeks notice
- Review checklist provided in advance
- Attendance:
 - COE
 - RE
 - Responsible Person in Charge
 - Any others welcome
- All project records
- All Contract documents



Construction Oversight Program: Reviews



Types of COE Reviews

- Preliminary Construction Reviews
- Mid-Project Reviews
- Post Construction Reviews



Preliminary Construction Review Checklist



(Handout Pgs. 7-8)

Division of Local Assistance Construction Review Checklist

(Non applicable items are to be left blank)

Review Type: Preliminary Construction Oversight Review

| | | | |
|---|--|---------------|---------------|
| Local Agency: | | Review Date: | |
| Federal Aid Project No.: | | Contract No.: | |
| Project Description: | | | |
| Project location [county, city, street]: | | | |
| Project Type: | | | |
| Funding Source(s): | | | |
| Caltrans Reviewer(s): | | | |
| Caltrans Construction Oversight Engineer: | | | |
| Caltrans DLAE: | | | |
| FHWA Participant(s) (if applicable): | | | |
| Local Agency Participant(s): | | | |
| Resident Engineer: | | Local Agency | or Consultant |
| If RE is Consultant, Name of Company: | | | |
| If RE is Consultant, Name of Local Agency Employee of Record: | | | |



Mid-Project Review Checklist



(Handout Pgs. 9-17)

Division of Local Assistance Mid-Project Review Checklist

Review Type: Mid-Project

Date of Review: _____

A. PROJECT INFORMATION

1. Federal Aid Project No.: _____
2. District: _____
3. Agency: _____
4. Project Description: _____

5. Project Location:
 - County: _____
 - City: _____
 - Street(s): _____
6. Project Type: _____
7. Funding Source(s): _____
8. Caltrans Reviewer(s): _____



Post-Construction Review Checklist



(Handout Pgs. 18-26)

Division of Local Assistance Post-Construction Review Checklist

Review Type: **Post-Construction**

Date of Review: _____

A. PROJECT INFORMATION

1. Federal Aid Project No.: _____
2. District: _____
3. Agency: _____
4. Project Description: _____

5. Project Location:
 - County: _____
 - City: _____
 - Street(s): _____
6. Project Type: _____
7. Funding Source(s): _____
8. Caltrans Reviewer(s): _____



Construction Oversight Program: Review Findings



- Sent to
 - Local Agency
 - DLAE
- Major deficiencies identified require a corrective action plan



Construction Oversight Program: Corrective Action Plans



Must be ...

- Submitted by agency within 30 days
- Detail corrective actions
 - Modify policy and procedures
 - Provide training
 - Add staff
 - Other?
- Include timelines



Construction Oversight Program: Top Ten Non Compliance Areas



- | | | |
|-----|---|-----|
| 1. | Log of Acceptance Testing in Project Files | 63% |
| 2. | Up-to-Date Tester Certifications in Project Files | 64% |
| 3. | Quality of Materials Certificates of Compliance | 65% |
| 4. | Subcontracting Request Submitted / Approved | 67% |
| 5. | Extra Work at Force Account Hours in Daily Reports | 70% |
| 6. | Support of Adjustment of Compensation Prices on CCOs | 71% |
| 7. | Daily Report Breakdown of Hours by Contract Item / CCO Work | 75% |
| 8. | Federal EEO Poster Board Posted in Clearly Visible Location | 76% |
| 9. | Controlling Operation of Work Noted on Weekly Statement of WD | 78% |
| 10. | Presence / Quality of Buy America Certifications | 80% |



Construction Oversight Program: Other Types of Reviews



- Local Agency project records are subject to:
 - Process Reviews
 - Audits
- May be either Federal or State



Construction Oversight Program: Get to Know Your COE



- *Resource* to Local Agency
 - Answer questions
 - Make recommendations
 - Provide training
 - Act as liaison to other CT staff
- Ensure Agency compliance with:
 - Laws
 - Regulations
 - Policies



Construction Oversight Engineers (COE)



| District | COE | Phone |
|-----------|--------------------|----------------|
| 1, 2, 3 | Osama Abu-Markhieh | (916) 205-8813 |
| 4 (North) | Moe Shakernia | (510) 286-5541 |
| 4 (South) | Siobhan Saunders | (916) 539-5081 |
| 5 (North) | Siobhan Saunders | (916) 539-5081 |
| 5 (South) | Mike Giuliano | (916) 205-6145 |
| 6,10 | Mike Giuliano | (916) 205-6145 |
| 7 | Mohammed Pasebani | (213) 897-3222 |
| 8,9 | Chad Yang | (916) 205-8639 |
| 11, 12 | Anna Alonso | (916) 205-9947 |

Construction Oversight Program

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Subscribe to the Division of Local Assistance (DLA) Email Notification List to receive timely notices of our publications updates and policy/procedure changes related to federal-aid funding, as well as training opportunities and informative posts from the Local Assistance Blog (LAB).

* Email Address

First Name

Last Name

Company

* District (1-12, HQ, Other)

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



Questions?