



Pre-Construction Preparation



Pre-Construction Preparation: Objectives



Be able to...

- Define role of *Responsible Person in Charge*
- List RE's duties
- Staff your project appropriately
- Know what's in an award package
- Create a project records filing index
- Develop a pre-construction meeting agenda



Pre-Construction Preparation: Person in Responsible Charge



Person in Responsible Charge of the project must be a ***full time, public employee*** of the agency.

23 CFR 172.9

23 CFR 635.105

- Responsible for:
 - Construction Contract
 - Consultant Contract



Pre-Construction Preparation: Person in Responsible Charge



Person in Responsible Charge

Ensure work delivered is complete, accurate, and consistent with the terms, conditions, and specifications of the contract.

- Ensures project staff, agency or consultant, perform proper project administration, including documentation.
- Maintains familiarity with day to day project operations, including safety.
- Performs field reviews.
- Approves
 - Contract changes.
 - Contractor payments.
 - Time extensions.

FHWA August 4, 2011 (Course Handout Pgs. 1-3)



Pre-Construction Preparation: RE Role



Resident Engineer (RE) –

- *Administers the construction contract*
- *Provides construction engineering*
- *Documents the process*



Pre-Construction Preparation: RE Role



Administer construction contract:

- Supervise project staff
- Know and understand the contract
- Identify and solve problems
- Facilitate project coordination



Pre-Construction Preparation: RE Role



Administer construction contract (cont.):

- Verify quality of materials and workmanship
- Monitor safety
- Ensure compliance with State and Federal laws
- Pay contractor
- Close out project



Pre-Construction Preparation: Project Staff



- Resident Engineer (RE)
- Assistant RE/Inspectors
- Structures Representative/Engineer
- Office Engineer/Assistant
- Specialists?



Pre-Construction Preparation: Project Staff



Specialists:

- Material Tester
- Surveyor
- Labor Compliance Liaison
- Electrical Inspector
- Landscape Inspector
- Storm Water Reviewer
- Scheduler
- Claims Analyst
- Archaeologist



Pre-Construction Preparation: Procuring Consultants



Local agencies are required to award on the basis of *fair and open competitive negotiations*, *demonstrated competence*, and *professional qualification*.

Brooks Act (40 USC, Section 1104)

Comply with Chapter 10 or be *ineligible for reimbursement!*

LAPM Chapter 10, Consultant Selection



Pre-Construction Preparation: Procuring Consultants



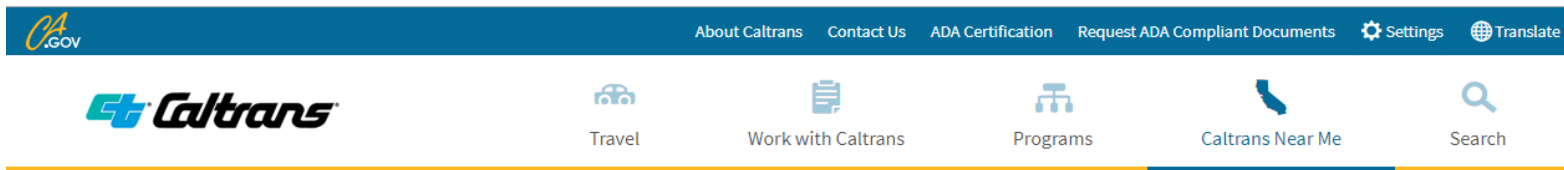
Consultant selection documentation:

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





Pre-Construction Preparation: Use of Consultants



[Home](#) | [Programs](#) | [Local Assistance](#) | [Environmental and Other Policy Issues](#) | [Consultant Selection and Procurement](#)

Consultant Selection and Procurement

Background

Caltrans Division of Local Assistance provides guidance to local agencies on consultant selection and procurement process related to Federal aid highway projects. Consultant services contracts funded in whole, or in part, with Federal aid highway program funds shall be procured in accordance with federal requirements of Uniform Administrative Requirements, Cost principles, and Audit Requirements for Federal Awards in 2 CFR Part 200. In addition, consultant contract for engineering and design, also known as Architectural and Engineering or A&E, must also comply with the requirements established in 23 USC Part 112, 40 USC Section 1101-1104 (Brooks Act), and 23 CFR Part 172.

A&E services are defined as “program management, construction management, feasibility studies (includes environmental studies and analysis), preliminary engineering, design, engineering, surveying, mapping or architectural related services”.

Guidance

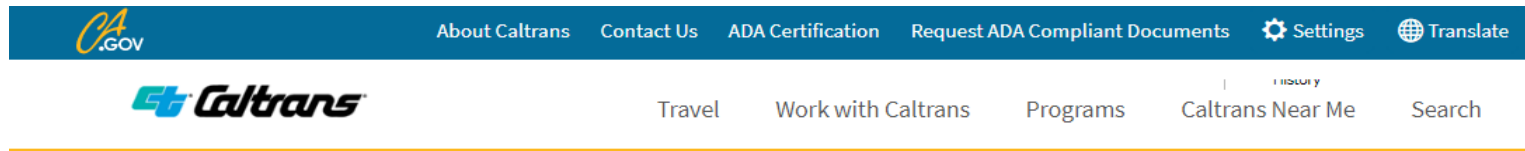
- [Local Assistance Procedures Manual, Chapter 10, Consultant Selection \(PDF\)](#)
- [RFP vs RFQ Matrix\(PDF\)](#)
- [Federal vs State Procurement Matrix\(PDF\)](#)
- [Most Frequent Errors made by local agencies during A&E Contract Procurement \(Last updated January 2016\) \(PPT\)](#)
- [A&E Consultant Procurement Checklist\(Word\)](#)

Resources

- [RFP - Example \(Word\)](#)
- [RFP - Example \(Non AE\) \(Word\)](#)
- [RFQ - Example \(Word\)](#)
- [Cost Analysis Sample \(Excel\)](#)
- [P&P Adoption Resolution \(Word\)](#)

<https://dot.ca.gov/programs/local-assistance/guidance-and-oversight/consultant-selection-procurement>

Pre-Construction Preparation: Use of Consultants



Resources

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- [Cost Analysis Sample \(Excel\)](#)
- [P&P Adoption Resolution \(Word\)](#)
- [Analogous Method for a Project Specific Contract \(PDF\)](#)
- [Bottom-up Method for a Project Specific Contract \(PDF\)](#)
- [Bottom-up Method for an On-Call Contract \(PDF\)](#)
- [FHWA Consultant Services web page](#)
- [23 CFR 172 Procurement, Management and Administration of Engineering and Design Related Services Final Rule \(PDF\)](#)
- [FHWA Procurement, Management and Administration of Engineering and Design Related Services – Questions and Answers](#)
- [AASHTO Consultant Contracting Guide](#)
- [Scope of Work Writing Guide for A&E Consultant Contracts \(Word\)](#)

Consultant Contract Audit and Review Process Training

- a. Procurement A&E Contracts
(coming soon)
- b. Selected Shorts Video Series (webcast):

Video 1 Limited Proposals Received (MP4) (78 sec), [PDQA AE Video Shorts 1 Reference Material \(PDF\)](#)

Video 2 Contract Prior to Authorization (MP4) (74 sec), [PDQA AE Video Shorts 2 Reference Material \(PDF\)](#)

<https://dot.ca.gov/programs/local-assistance/guidance-and-oversight/consultant-selection-procurement>



Pre-Construction Preparation: Use of Consultants



HQ Consultant Selection and Procurement Specialists

Caltrans Local Assistance			
OFFICE OF GUIDANCE AND OVERSIGHT			
A&E Oversight Branch			
The' Pham	Acting Program Manager D 4, 9	the.pham@dot.ca.gov	(916) 651-8903
John Z. Yang	D1, 2, 3	john.z.yang@dot.ca.gov	(916) 651-6552
Trina Lou	D5, 7, 11, 12	Trina.lou@dot.ca.gov	(916) 653-4342
Carol Green	D 6, 8, 10	carol.green@dot.ca.gov	(916) 651-8909



Pre-Construction Preparation: Use of Consultants



- Cannot add CM/CE to an existing design contract
- If your PWD or City Engineer is a consultant, his/her consulting company is not recommended to submit proposals – **conflict of interest**, appearance of conflict of interest.



Pre-Construction Preparation: Award Package



Award package for federal-aid projects:

- Contract Award Checklist (15-L)
- Low Bid
- Bidder DBE Commitment (15-G)
- Low Bid Summary (15-D)
- Detail Estimate (15-M)
- Finance Letter (15-N)
- RE's Con. Contract Admin. Checklist (15-B)

EXHIBIT 15-L LOCAL AGENCY CONTRACT AWARD CHECKLIST

Project Sponsor: County of Los Angeles Department of Public Works

Federal-aid project #: BRLSZD-5953 (541)

Location: 07-LA-0-CR
DIST-----CO-----(Road/Street or RTE)-----PM-----Agency

Limits: Willow Street over Coyote Creek
(Physical limits reference post miles or intersections)

Has Caltrans issued an "Authorization to Proceed" in writing with federal funds included for construction, and is the amount correct?	Yes
Copy of engineers estimate:	Attached
Is material testing and sampling arranged?	Yes
Copy of low bidder's proposal:	Attached
Low Bid signed in ink?	Yes
Local Agency Bidder DBE Commitment included (Exhibit 15-G1)	Attached
Is the Noncollusion Affidavit (Chapter 12, "PS&E," Exhibit 12-E, Attachment D) included in the low bidders' proposal?	Yes
Is the Bid summary (itemized bids for 3 lowest bidders) complete?	Yes
Addendum procedures adhered to?	Yes
TIP information, Authorized amount	\$291,375.00
Include TIP page number or amendment number here:	LA000800
Bid opening procedures were adhered to?	Yes
Date DLA's Federal Wage Rate website was checked for updates *	March 31, 2008
Date of bid opening	April 8, 2008
Date of award	June 17, 2008
Amount of award	\$ 229,132.00
Detail Estimate (Exhibit 15-M):	Attached
Finance Letter (Exhibit 15-N):	Attached
Resident Engineer's Construction Contract Administration Checklist	Attached
Is successful bidder licensed?	Yes

Reviewed by: Ruben Amezcua
(SIGNATURE OF LOCAL AGENCY REPRESENTATIVE)
Ruben Amezcua
(NAME PRINTED OR TYPED)

Title: Civil Engineer

Date: 6-26-08

Phone Number: (626) 458-4942

**Sample of
Completed
Local Agency
Contract Award
Checklist (15-L)**
(Course Handout Pg. 4)

MAIN STREET BRIDGE
OVER SANTA ROSA CREEK
CAMBRIA, CA
CONTRACT NO. 300180
FEDERAL PROJECT NO. BRLO-5949(065)
BID PROPOSAL

ITEM NO.	CODE NO.	DESCRIPTION OF ITEM	ESTIMATED QUANTITY	UNIT	BID UNIT PRICE	BID PRICE
1	071325	TEMPORARY FENCE (TYPE ESA)	1310	LF	5.25	6,943-
2	066018	FIELD OFFICE	1	LS	LUMP SUM	9,626-
3	-	TEMPORARY CREEK DIVERSION SYSTEM	2	EA	23,000-	46,000-
4	072008	SHEETING, SHORING, & BRACING	1	LS	LUMP SUM	21,000-
5	074018	HEALTH AND SAFETY PLAN	1	LS	LUMP SUM	5,500-
6	074020	WATER POLLUTION CONTROL	1	LS	LUMP SUM	165,000-
7	120090	CONSTRUCTION AREA SIGNS	1	LS	LUMP SUM	12,000-
8	120100	TRAFFIC CONTROL SYSTEM	1	LS	LUMP SUM	23,000-
9	126550	PORTABLE CHANGEABLE MESSAGE SIGNS	3	EA	1,634-	4,902-
10	150606	REMOVE FENCE (TYPE BW)	620	LF	2.20	1,364-
11	150609	REMOVE FENCE (WOOD PICKET)	150	LF	5.25	825-
12	150662	REMOVE METAL BEAM GUARD RAILING	515	LF	8-	4,120-
13	150745	REMOVE ROADSIDE SIGN	5	EA	73-	365-
14	150806	REMOVE CMP PIPE	80	LF	9-	720-
15	152386	RELOCATE ROADSIDE SIGN (ONE POST)	3	EA	165-	495-
16	152440	ADJUST MANHOLE TO GRADE	1	EA	680-	680-
17	153114	COLD PLANE ASPHALT PAVEMENT (0.20" MAX)	7200	SF	1.33	9,576-
18	157550	BRIDGE REMOVAL	1	LS	LUMP SUM	92,000-
19	160101	CLEARING AND GRUBBING	1	LS	LUMP SUM	30,000-
20	190101	ROADWAY EXCAVATION	3300	CY	22-	72,600-
21	194001	DITCH EXCAVATION	15	CY	93-	1,395-

DB-9(a)

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**Sample of
Contractor's
Low Bid**
(Course Handout
Pg. 5)

**Sample of
Completed
Local Agency
Bidder DBE
Commitment (15-G)
(Course Handout Pg. 6)**

DISTRIBUTION: 1. Original – Local Agency
2. Copy – Gallatin District Local Assistance Engineer (DLAE). Failure to submit to DLAE within 30 days of Contract execution may result in de-obligation of federal funds on Contract. Include additional copy with award package.

POLYESTER CONCRETE BRIDGE DECK OVERLAY &
METHACRYLATE BRIDGE DECK SEAL AT
VARIOUS LOCATIONS
PROJECT NO. 1143

Sample Itemized Bids of Lowest 3 Bidders (15-D)

(Course Handout Pg. 7)

Montego Street North Sidewalk, Phase II
City of Arroyo Grande
PW 2013-02
Federal Aid Project No. SRTSL-5199 (026)
Bid Opening: 06/13/13

				Brough Construction 634 Printz Rd Arroyo Grande, CA 93420		JJ Fisher Construction Inc. PO Box 422 Arroyo Grande, CA 93421		R. Burke Corporation PO Box 957 San Luis Obispo, CA 93406		V. Lopez Jr. & Sons G.E.C., Inc 200 E Fesler St Suite 101 Santa Maria, CA 93454	
Item #	Item Description	Quantity	Unit	Unit Price	Item Total	Unit Price	Item Total	Unit Price	Item Total	Unit Price	Item Total
1	Mobilization, Bonds & Insurance	1	LS	\$8,100.00	\$8,100.00	\$10,000.00	\$10,000.00	\$14,000.00	\$14,000.00	\$1,000.00	\$1,000.00
2	Traffic Control & Construction Signing	1	LS	\$5,000.00	\$5,000.00	\$2,000.00	\$2,000.00	\$11,000.00	\$11,000.00	\$3,000.00	\$3,000.00
3	Storm Water Pollution Control Program	1	LS	\$2,100.00	\$2,100.00	\$2,000.00	\$2,000.00	\$3,000.00	\$3,000.00	\$2,000.00	\$2,000.00
4	Concrete Curb & Gutter	980	LF	\$32.00	\$31,360.00	\$40.00	\$39,200.00	\$40.00	\$39,200.00	\$40.00	\$39,200.00
5	Concrete Sidewalk / Driveway	4,365	SF	\$7.00	\$30,555.00	\$8.00	\$34,920.00	\$8.00	\$34,920.00	\$11.00	\$48,015.00
6	Concrete Driveway Approach (City Std. 110-AG)	875	SF	\$22.00	\$19,250.00	\$10.50	\$9,187.50	\$13.00	\$11,375.00	\$19.00	\$16,625.00
7	Concrete Driveway Approach (Caltrans Std. A87A)	800	SF	\$16.00	\$12,800.00	\$11.00	\$8,800.00	\$13.00	\$10,400.00	\$20.00	\$16,000.00
8	Construct 18" X 24" Catch Basin	1	EA	\$3,000.00	\$3,000.00	\$6,500.00	\$6,500.00	\$2,700.00	\$2,700.00	\$3,675.00	\$3,675.00
9	Construct Curb Drain	5	EA	\$114.00	\$570.00	\$200.00	\$1,000.00	\$160.00	\$800.00	\$1,000.00	\$5,000.00
10	Remove & Replace 4" HMA (Class C2-PG64-10)	4,900	SF	\$4.40	\$21,560.00	\$5.50	\$26,950.00	\$4.50	\$22,050.00	\$6.00	\$29,400.00
11	Remove & Relocate Mailbox	11	EA	\$121.00	\$1,331.00	\$250.00	\$2,750.00	\$190.00	\$2,090.00	\$200.00	\$2,200.00
12	Install New Water Meter Box & Adjust to Grade	4	EA	\$340.00	\$1,360.00	\$400.00	\$1,600.00	\$270.00	\$1,080.00	\$250.00	\$1,000.00
13	Paint "STOP" Legend	1	EA	\$500.00	\$500.00	\$300.00	\$300.00	\$400.00	\$400.00	\$250.00	\$250.00
Bid Totals					\$137,486.00		\$145,207.50		\$153,015.00		\$167,365.00
Listed Subs				Apodaca Paving Inc. PO Box 1 Grover Beach, CA 93483 License No: 415318 A		Toste Grading & Paving PO Box 407 Grover Beach, CA 93433		AA & P Contractors Salicoy, CA License No: 626248 C8		Ferravanti Grading & Paving 395 Hunter Place Paso Robles, CA 93446 License No: 833407 A	
				Predison Concrete Inc. 759 Hartnell Rd. Santa Maria, CA 93455 License No: 463452 C8						Toste Construction 2651 Green Place Arroyo Grande, CA 93420 License No: 879465 A	

EXHIBIT 15-M DETAIL ESTIMATE

File: _____
 Federal Project No.: _____
 Project Location: _____
 Date: _____

To be used as a basis of agreement for Federal-aid Project No. (1): _____
 In the City/County of (2): _____
 Construction Authorization Date (3): _____
 Type (4): _____
 Preliminary Engineering (Authorization Date) (5): _____
 Right of Way (Acquisition Authorization Date) (6): _____

Acquisition (No. of Parcels)		
RAP (No. of Homes)		
RAP (No. of Businesses)		
LRH (Parcel No. & Name)		
TOTAL COST (7)		0.00

Utilities Authorization Date (8): _____
 Total Cost: \$ 0.00
 Improvement Type Code (9): _____
 Length (miles) (10): _____

ITEM ESTIMATE (11)

Item No.	Item Description	Unit	Quantity	Unit Price	Amount
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00

Subtotal Contract Items	
Agency/State Furnished Materials (12)	
Force Account (Day Labor) – striping, etc.	
<i>Subtotal</i>	\$ 0.00
Contingencies (including supplemental work) (13)	
<i>Subtotal + Contingencies = Contract Total</i>	\$ 0.00
Construction Engineering (14)	
<i>Contract Total + Construction Engineering = TOTAL COST</i>	\$ 0.00

Sample of Detailed Estimate (15-M) (Course Handout Pg. 8)

DETAIL ESTIMATE SUMMARY (15)

	Improvement Type Code	Total Cost	Participating Cost	Federal Funds	Other Funds
Preliminary Engineering		\$ 0.00			
Right of Way		\$ 0.00			
Construction		\$ 0.00			
Force Account		\$ 0.00			
Construction Engineering		\$ 0.00			
TOTAL COST		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

Contract Items Participating (16)	0.00%
Contract Items Nonparticipating	0.00%
TOTAL	100%

*Reimbursement Ratio (17): _____ 0.00%

Program Code(s) (18): _____

Name/Date Prepared: _____

*Reimbursement ratios may vary within each phase of work such as Emergency Relief PE for Emergency Repair (100%) and Preliminary Engineering for restoration (88.53%). In these cases, the detailed estimate shall include two separate lines of Preliminary Engineering.

Distribution: All Projects (1) Original & 1 copy to Caltrans DLAE
(2) Copy to Local Agency Project File

**Sample of
Detailed
Estimate
(15-M)**
(Course Handout Pg. 9)

Sample of Completed Finance Letter (15-N) (Course Handout Pg. 10)

Local Assistance Procedures Manual
Exhibit 3-O

LOCAL FEDERAL-AID PROJECT FINANCE LETTER

DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

ATTN: Tammy Mar

Work on State Highway (Y or N): N If yes, provide following:
 Administered by State or Local? _____
 Project Manager Name: _____
 Accounting Program Code(s): _____
 Coop or Contribution Agrmnt No.: _____

Date: 5/22/2013
 Agency: 05-SLO-6-CR
 Fed Project No.: BRLO-5949(065)
 Advantage ID: 050000624
 Bridge No: 49C-0337

PRELIMINARY ENGINEERING
 Agency Preliminary Engineering
 State Furnished Preliminary Engineering
 Overhead at _____ %
RIGHT OF WAY (R/W)
 R/W Engineering & Admin Costs
 R/W Acquisition
CONSTRUCTION
 Contract Items \$3,562,731.66
 Utilities
 Supplemental Work \$190,000.00
 Contingencies \$356,273.34
 Trainees \$2,400.00
 Agency/State Furn. Mat.
 Contract Total: \$4,111,405.00
CONSTRUCTION ENGINEERING
 Agency Construction Engineering
 State Furnished Construction Engineering
 Overhead at _____ %
 State Furnished Materials Testing
 Overhead at _____ % Subjob _____
 Striping by Agency
 Force Account Work by Agency

"P" or "L"*	TOTAL COST OF WORK	FEDERAL PARTICIPAT. COST	FEDERAL FUND (1) TYPE Q110	FEDERAL FUND (2) TYPE LICE	FEDERAL FUND (3) TYPE L11E	FEDERAL FUND (4) TYPE L1C0	FEDERAL FUND (5) M240	LOCAL MATCH FUNDS
P	\$1,000,000	\$1,000,000	\$560,000	\$160,000	\$80,000	\$0	\$0	\$200,000
P	\$40,000	\$40,000	\$8,000	\$16,000	\$0	\$0	\$8,000	\$8,000
P	\$119,600	\$119,600	\$0	\$79,680	\$0	\$0	\$16,000	\$23,920
P	\$4,111,405	\$4,110,725	\$0	\$0	\$0	\$4,110,725	\$0	\$680
P	\$668,000	\$668,000	\$0	\$0	\$0	\$668,000	\$0	\$0
P	\$30,000	\$30,000	\$0	\$0	\$0	\$30,000	\$0	\$0
	\$5,969,005	\$5,968,325	\$568,000	\$255,680	\$80,000	\$4,808,725	\$24,000	\$232,600

Federal Participation: 100%
 Federal Appn. Code(s): Q110, L1CE, L11E, L1C0, M240
 Federal Reimbursement Rate(s) for Progress Invoice:

PHASE	FED (1)	FED (2)	FED (3)	FED (4)	FED (5)
PE	80%	80%	80%		
R/W	80%	80%			80%
CON				100%	
CE				100%	

TOTALS: _____

Certification
 I certify that this Finance Letter accurately reflects the current cost estimate for all phases of the project obligated but not fully expended.
 Signature: [Signature]
 Title: Project Manager - County of San Luis Obispo - Dept. of Public Works
 Project location: Main Street Bridge at Santa Rosa Creek, Cambria, CA
 Remarks: Finance Letter - Contract Award

For questions regarding finance letter, contact:
 Printed Name: Cori Marsalek
 Telephone No.: (805)781-4995

Distribution: (1) Original + 4 copies-Caltrans DLAE
 (2) Copy-Local Agency Project File

EXHIBIT 15-B RESIDENT ENGINEER'S CONSTRUCTION CONTRACT ADMINISTRATION CHECKLIST

This form is to be completed and signed by the local agency's Resident Engineer and submitted with Local Agency's Award Package

This form was created to help local agency Resident Engineers with the administration of the federal-aid projects. This list does not contain all the federal-aid requirements for administration of federal-aid projects. Resident Engineers are advised to review the *Local Assistance Procedures Manual* to be familiar with all the federal-aid requirements.

This form shall be used as reference if the local agency's federal-aid project is subject to a Process Review.

Local Agency Name

Federal-aid Project No.

1. Contract Staffing:

- ☐ Names and titles of all staff assigned to the contract shall be in the contract files and shall be adequate (see Chapter 16, Section 16.3 "Project Supervision and Inspection").
- ☐ Date of Pre-construction Conference (Attendees list in contract file)

2. Authorization:

- ☐ Date of the "Authorization to Proceed with Construction"
(Shall be prior to date project was advertised)
- ☐ Date the project was advertised

3. Contract Files:

- ☐ Files shall be in an established order and separate from other contracts (see Chapter 16, Section 16.8 "Project Files").

Check one of the following: Index used on this project is ☐ Local agency's standard for all jobs, or
☐ For federal-aid jobs only.

4. Resident Engineer's/Construction Inspectors Daily Diaries:

- ☐ Shall be current, thorough and neat with detailed information on all work performed (see Chapter 16, Section 16.7 "Engineer's Daily Reports").

5. Construction Records and Accounting Procedures:

- ☐ Detail Estimate(s) and Finance Letter(s) are in the project files.
- ☐ Amount of federal-aid funds encumbered for the project,
- ☐ Program Supplemental Agreement is in the project files.
- ☐ There shall be source documents supporting progress payments made to Contractor.

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

Page 1 of 4

(Course Handout Pgs. 11-14)

- ☐ There shall be separate item sheets for each contract item paid.
- ☐ There shall be a procedure for Administrative or Labor Compliance deductions.
- ☐ Invoices to the State shall match progress payments made to the Contractor.
6. **Contract Time:**
- ☐ A method shall be established to determine contract time (see Chapter 16, Section 16.5 "Contract Time").
7. **Labor Compliance:**
- ☐ Certified payrolls shall be spot-checked against daily diaries and prevailing wages (see Chapter 16, Section 16.11 "Labor Compliance").
Local agency's Labor Compliance Officer: _____
8. **EEO:**
- ☐ Maintain records to ensure EEO requirements are performed and documented in contract record (see Chapter 16, Section 16.12 "Equal Employment Opportunity").
Local agency's EEO Compliance Officer: _____
9. **EEO/Wage Rate/False Statements Posters:**
- ☐ Federal posters shall be posted for every worker to see at, or near, the contractor's office at the construction site or at the workers central gathering point.
10. **Employee Interviews:**
- ☐ There shall be employee interviews conducted (see Chapter 16, Exhibit 16-N).
11. **OJT: (Refer to Chapter 12, Section 12.8)**
- ☐ Is the job less than 100 working days? Yes ☐ No ☐
- If yes, proceed to Item #12. If No, answer the questions below.
- What is the total dollar amount of the items listed on page 12-24: \$ _____
- What is the required number of trainees for this contract? _____
- ☐ Documentation will be retained in project files to account for the apprentices on the job.
12. **DBE:**
- ☐ DBE Contract Goal Percentage Exhibit 9-D: _____
- ☐ Local Agency's DBE Liaison Officer: _____

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

Page 2 of 4

(Course Handout Pgs. 11-14)

- ☐ Verified that a copy of the completed Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G) has been submitted to the DLAE within 30 days of contract award.
- ☐ Contractor has been provided "Monthly DBE Trucking Verification" Form (see Chapter 16, Exhibit 16-Z, of the LAPM)
13. **CCOs/CLAIMs:**
- ☐ A CCO approval process shall be established. For NHS projects, major change orders will be approved by DLAE prior to performance of work (see Chapter 16, Section 16.13 "Contract Change Orders").
- ☐ There shall be a list of the approved CCOs.
- ☐ All CCOs shall note federal-aid eligibility or not.
- ☐ Pending claims to be identified and documentation in contract file
14. **Traffic Safety in Highway and Street Work Zones:**
- ☐ Traffic Control Plan (TCP)/Traffic Management Plan (TMP) in the PS&E? Yes ☐ No ☐
(see Chapter 16, Section 16.6 "Traffic Safety in Highway and Street Work Zones")
Comments:
- Responsible Person (if not the RE)
- ☐ Local Agency shall field review the project to see that the TCP agrees with the actual conditions.
- ☐ Local Agency shall be analyzing construction work site accidents for the purpose of correcting deficiencies which might be found to exist on these projects and to improve the content of future TCPs.
15. **Materials Files:**
- ☐ The Quality Assurance Program (QAP) is in the project files (see Chapter 16, Section 16.14 "Quality Assurance Program").
- ☐ There shall be procedures for and filing of: (if appropriate)
Notice of Materials to be used
Certifications of Compliance
"Buy America" Requirements
- ☐ Acceptance Sampling and Testing Reports shall be in the files.
- ☐ There shall be a "Summary Log" of tests.
- ☐ Frequency tables shall be used.
- ☐ Failed tests shall be documented in the files with cross references to re-tests.

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

Page 3 of 4

(Course Handout Pgs. 11-14)

- ☐ Resident Engineer shall review all test reports.
16. **Environmental**
- ☐ The approved NEPA document is in the project files.
- ☐ The construction project shall adhere to the mitigation requirements in the approved NEPA document.
17. **For Projects on the State Highway System**
- ☐ A Caltrans Encroachment Permit has been issued.
- ☐ Local Agency shall comply with State's Representative's oversight requirements.

Local Agency's Resident Engineer

Check Appropriate Box:

- ☐ Agency Employee
- ☐ Consultant

Date:

If a Consultant, please sign below

Local Agency's person in "Responsible (Local) Charge" if Resident Engineer is a Consultant.

Signature

Date

Signing means you
are aware of the
requirements!

Distribution: 1) Local Agency Project File
2) DLAE (PLEASE PUT ON FIRST PAGE ONLY)

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

Page 4 of 4
(Course Handout Pgs. 11-14)



Pre-Construction Preparation: Project Records



The project records must:

- Support
 - Adequacy of the field control
 - Conformance to contract specifications
 - Payments to contractor
- Contain all data pertinent to the work
- Be complete and well organized



Pre-Construction Preparation: Project Records



The local agency must:

- Adopt a numbered filing index
- Use the same index for all federal-aid projects
- Maintain a separate record file for each project

LAPM 16.3 Maintaining Project Records



Pre-Construction Preparation: Project Records



For large projects:

Recommend CT filing index

- 63 Categories
- Section 5-102, Organization of Project Documents, of the CT CM

**[http://www.dot.ca.gov/hq/construc/constmanual/
chapter5/sec5-1.pdf](http://www.dot.ca.gov/hq/construc/constmanual/chapter5/sec5-1.pdf)**



Pre-Construction Preparation: Project Records



CT Uniform Filing Index (partial):

Numerical (to file)

Alphabetical (to find)

Category No.	Heading
25	Labor Compliance and Equal Employment Opportunity
26	Progress Schedule
27	Weekly Statement of Working Days
28	Weekly Newsletter
29	Materials Information and Preliminary Tests
30	Basement Soil Test Results
31	Notice of Materials to Be Used (CEM-3101)
32	Notice of Materials to be Inspected (TL-0026)
33	Notice of Materials to be Furnished (TL-0608)
34	Treated Base
35	Hot Mix Asphalt
36	Concrete (other than structure items)
37	Initial Tests and Acceptance Tests
38	Quality Control Quality Assurance
39	Materials Testing Qualifications of Employees
40	Field Laboratory Assistant Reports to Resident Engineer
41	Report of Inspection of Material
42	Material Plants
43	Concrete and Reinforcing Steel
44	Recycle Materials and Diversion of Solid Waste
45	Resident Engineer's Daily Reports
46	Assistant Resident Engineer's Daily Reports
47	Drainage Systems
48	Contract Item Quantity Documents
49	Change Orders
50	Adjustment in Compensation Calculations
51	Materials on Hand
52	Charges to Total Contract Allotment
53	Credit to Contract
54	Deductions from Payment to Contractor
55	Partnering
56-58	(Extra category numbers)
59	Bridge Estimate Data
60	Contract Administration System Inputs and Reports
61	Estimate and Project Status
62	Disputes
63	Project Completion Documents



<u>5-102F Alphabetical Listing Of Categories</u>	
Heading	Category No.
Accidents	15
Adjustment of Compensation Calculations	50
Agreements	18
Assistant Resident Engineer's Daily Reports	46
Basement Soil Test Results	30
Bridge Estimate Data	59
Change Orders	49
Charges to Total Contract Allotment	52
Concrete and Reinforcing Steel	43
Concrete (other than structure items)	36
Construction Surveys	8
Construction Zone Enhanced Enforcement Program	21
Contract Administration System Inputs and Reports	60
Contract Item Quantity Documents	48
Contractor	12
Credit to Contract	53
Daily Reports, Assistant Resident Engineer's	46
Daily Reports, Resident Engineer's	45
Deductions from Payment to Contractor	54
Disadvantaged Business Enterprises and Disabled Veterans Business Enterprises	24
Disputes	62
Drainage Systems	47
Estimate and Project Status	61
Equipment and Personnel Cost Reports	3
Extra Categories	10, 23, 56, 57, 58
Field Laboratory Assistant Reports to Resident Engineer	40
General Correspondence	5
Hazardous Waste and Hazardous Materials	19
Hot Mix Asphalt	35
Information Furnished at Start of Project	11
Initial Tests and Acceptance Tests	37
Labor Compliance and Equal Employment Opportunity	25
Materials on Hand	51
Material Plants	42
Materials Information and Preliminary Tests	29
Materials Testing Qualifications of Employees	39
Notice of Materials to be Furnished (Form TL-0608)	33



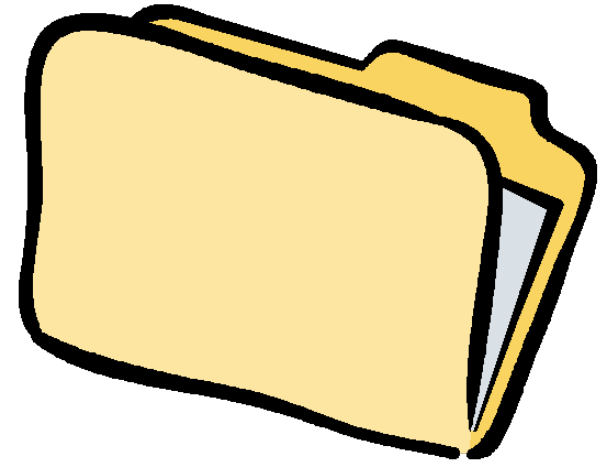


Pre-Construction Preparation: Project Records



Sample Small Projects Filing Index :

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 Documents
9. Contract Change Orders
10. Progress Pay Estimates
11. Labor Compliance and EEO Records





Pre-Construction Preparation: Project Records



All contract documentation and backup records shall be available for inspection by Caltrans and FHWA:

- At any time for a minimum of **three (3) years** after the final voucher is received by agency
- At a **single location** for the reviews and audits



LAPM 19.2, Records and Documentation



Pre-Construction Preparation: Pre-Construction Conference



A pre-construction conference with contractor is required.

Required Attendees:

- LA Person in Responsible Charge
- RE (if not same as above)
- Contractor

LAPM 16.4, Pre-Construction

CTSS 8-1.03 Preconstruction Conference



Pre-Construction Preparation: Pre-Construction Conference



Recommended Attendees:

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

CM 5-003 PreCon Conference with Contractor



Pre-Construction Preparation: Pre-Construction Conference



Pre-Construction Conference Agenda

Required Topics:

- Safety
- Equal Employment Opportunity
- Labor Compliance
- Subcontracting
- Contract Training (Apprentice) Goals
- DBE
- Environmental Concerns
- Water Pollution Control
- Traffic or Pedestrian Handling



Pre-Construction Preparation: Pre-Construction Conference



Pre-Construction Conference Agenda

Recommended Topics:

- Progress Schedule
- Work Plans
- QC/QA
- Materials Requiring Certificates of Compliance
- Materials Requiring Buy America Certificates
- Contract Change Order Process
- Dispute Process
- Potential Utility Conflicts

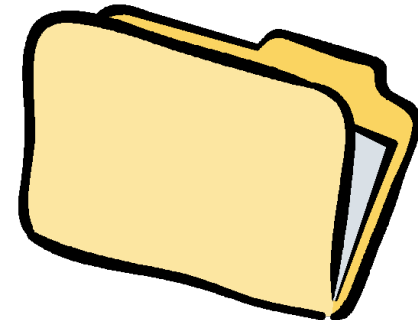


Pre-Construction Preparation: Pre-Construction Conference



Pre-Construction Conference Records

- A written record of attendance
- Copy of agenda





Pre-Construction Preparation: Quiz





Pre-Construction Preparation: Quiz



True or False:

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



Pre-Construction Preparation: Quiz



True or False:

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

False: Only if the project is on the SHS



Pre-Construction Preparation: Quiz





Pre-Construction Preparation: Quiz



True or False:

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



Pre-Construction Preparation: Quiz



True or False:

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

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



Pre-Construction Preparation: Quiz





Pre-Construction Preparation: Quiz



Choose the information that is not typically found in the award package:

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



Pre-Construction Preparation: Quiz



Choose the information that is not typically found in the award package:

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



Pre-Construction Preparation: Instructions

Create a RE Pending File

What documents do you want the PM and design engineer to put into your RE file prior to start of construction?

Note – think of a current or future project.

Project type will determine what goes in the file.





Pre-Construction Preparation:

Exercise – Create a RE Pending File

- 1. Copy the link from the chat box into your Chrome Internet Browser to access the directions.***
- 2. Working in small groups, select one person within your group to type a list of all the items that should be in an RE's Pending file into a word document. This person will share their screen with other s? in their group.***
- 3. Select one person to report out when returning to the main room.***

