***Attachment D—Sample Justification for Supplemental Work Items Memorandum***

State of California Business, Transportation and Housing Agency

**DEPARTMENT OF TRANSPORTATION**

### M e m o r a n d u m

**To:** DEPARTMENT OF TRANSPORTATION **Date:**

 *Deputy District Director’s (or Region Chief’s) Name,*

 Deputy District Director (or Region Chief), Design **File:** District-EA

 District \_\_ (or \_\_\_\_\_Region) County-Rte-PM

**From:** DEPARTMENT OF TRANSPORTATION

####  *Project Engineer’s Name*

####  Project Engineer

**Subject:** Justification for Supplemental Work Items

**Project Description**

The project is located in \_\_\_\_\_\_\_\_\_ County on Route \_\_\_\_\_\_ near \_\_\_\_\_\_\_, from \_\_\_\_\_\_\_\_\_\_\_
to \_\_\_\_\_\_\_\_\_\_\_\_. This project will (describe scope of work for this project). Funds are to be provided by the \_\_\_\_\_\_\_ program in the \_\_\_\_\_ fiscal year. The estimated cost for contract items on this project is \_\_\_\_\_\_\_\_\_\_, and the cost for supplemental work is \_\_\_\_\_\_\_\_, or \_\_\_\_\_\_ percent of the contract items. Contingencies for unforeseen work will be in addition to these amounts.

**Supplemental Work Items—on FHWA Pre-Approved Supplemental Work Items List**

The basic rationale for the need for these items is included in “FHWA Pre-Approved Supplemental Work Items” list. The cost justifications for the following supplemental work items are as follows:

1. 066070 Maintain Traffic $\_\_\_\_\_\_\_\_.

The cost justification is based on traffic items involved and duration of the project. The cost was estimated at $\_\_\_\_\_\_\_\_ per day for \_\_\_\_\_\_\_\_ days.

1. 066666 Compensation Adjustments for Price Index Fluctuations of Paving Asphalt **$\_\_\_\_\_\_\_\_**

The first 5 percent escalation in the unit cost for paving asphalt is included in the bid prices for the various items using paving asphalt. Any escalation in the asphalt price index above 5 percent will result in additional payments to the contractor. The justification of cost is based on an estimated 15 percent cost increase beyond the 5 percent trigger calculated as follows:

0.15 x Total Paving Asphalt Tonnage (Qa) x California Paving Asphalt Price Index (Ib).

For this project the total paving asphalt planned for use in the (list items that use paving asphalt) (Qa) is \_\_\_ tons and the California Paving Asphalt Price Index for (Month, Year) is \_\_\_\_\_ (Ib). Supplemental funds required for Compensation Adjustments for Price Index Fluctuations of Paving Asphalt equals 0.15 x \_\_\_\_ x \_\_\_\_ = $\_\_\_\_\_, rounded to $\_\_\_\_\_\_\_.

1. 066596 Additional Water Pollution Control $\_\_\_\_\_\_\_\_

The cost was established with the input from the District National Pollutant Discharge Elimination System (NDPES) unit based on the various additional BMPs that might be required during heavier or more frequent than expected storm events. The cost justification for additional water pollution control is estimated based on \_\_\_\_% of the engineer's estimate of $\_\_\_\_\_\_\_\_\_ for a total cost of $\_\_\_\_\_\_\_\_.

1. 066597 Stormwater Sampling and Analysis $\_\_\_\_\_\_\_\_

The cost was established with the input from the District National Pollutant Discharge Elimination System (NDPES) unit. Sampling runs about $\_\_\_\_\_\_\_\_ per storm event. For this project there is assumed potential for \_\_\_\_\_\_ storm events for a total cost of $\_\_\_\_\_\_\_\_.

1. 066610 Partnering $\_\_\_\_\_\_\_\_\_

The State will pay the cost for the "Training in Partnering Concepts" trainer and training site, and the State and Contractor will share equally the cost of the "Partnering Workshop" facilitator and workshop site. The Caltrans Ready to List (RTL) Guide Section 7.15 “Partnering” provides criteria for determining cost justification based on the number of working days for the contract and engineer’s estimated total project cost. The cost justification for partnering is based on the RTL Guide criteria using the engineer’s estimated contract cost of $\_\_\_\_\_\_\_\_\_ and number of working days of \_\_\_\_\_\_\_\_\_ to determine an estimated cost of $\_\_\_\_\_\_\_\_.

**Supplemental Work Items –on Acceptable Supplemental Work Items List**

These supplemental work items are needed for this project and are described in the specifications to be used for this project. The need and cost justification for each of these supplemental work items are as follows:

1. Additional Non-Destructive Testing $\_\_\_\_\_\_\_\_

This item is required by special provision S8-W04 paragraph 10, additional NDT as determined by the engineer will be paid as extra work. Per METS the amount of supplemental funds for this item should be 1 percent of the furnished steel items not to exceed $10,000. The justification of costs for additional non-destructive testing is based on the engineer’s cost estimate for structural steel of $\_\_\_\_\_\_\_\_ multiplied by 1 percent to determine an estimated cost of $\_\_\_\_\_\_\_\_.

**Non-Standard Supplemental Work Items**

This supplemental work item is needed for this project and is described in the non-standard special provision, (NSSP No. and/or Title), approved for this project on (Date) by (Name) of the (Division of Construction, or other specification owners' functional unit). The non-federal source of funding for this item will be \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. (If NSSP has not been approved prior to submittal attach proposed NSSP and funding source information).

1. (Supplemental Work Item Description) $\_\_\_\_\_\_\_\_

(Explain why this needs to be supplemental work instead of contract bid item work, or instead of unforeseen work which should be funded from contingencies. Explain the basis for the cost estimate for this work.)

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

*Name*

Project Engineer

*Required when total non-excluded supplemental work items cost exceeds five percent and for supplemental items not on approved supplemental item lists:*

Recommended by:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Name*

Deputy District Director, Design

(or Region Chief, Design)

District \_\_\_ (or \_\_\_\_\_\_\_\_ Region)

*Required when total non-excluded supplemental work items cost is between five and ten percent:*

Approved:

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

*Name*

District Director

District \_\_\_

*Required for supplemental items not on approved supplemental item lists:*

Recommended by:

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

*Name*

District Director

District \_\_\_

*Required when total non-excluded supplemental work items cost exceeds ten percent and for supplemental items not on approved supplemental item lists:*

Approved:

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

Mark Leja

Chief

Division of Construction