



Contract Administration of Federal Aid Projects Administered by Local Public Agencies

Construction Oversight Program Workshop
July 2012

Workshop Guidance

REQUIREMENTS (Statutes)

- 23 CFR 635.105
- 49 CFR
- 23 USC 106

REFERENCE GUIDANCE

- LAPM – Local Assistance Procedure Manual
<http://www.dot.ca.gov/hq/LocalPrograms/>
- LAPG – Local Assistance Program Guidance
<http://www.dot.ca.gov/hq/LocalPrograms/>
- Caltrans Construction Manual
<http://www.dot.ca.gov/hq/construc/constmanual/>

Control of Work

Project Personnel

Project Records (Documentation)

Prosecution and Progress

Contract Change Orders

Measurement and Payment



Project Records

➤ Uniform Filing System–Organization of Project Records



Chapter 16 LAPM states (p 16-11):

- *a separate record file for each federal-aid highway project.*
- *project files should **support**:*
 - *adequacy of field control*
 - *conformance to contract specifications,*
 - *contract payments to the contractor.*
- *The file must be*
 - *complete*
 - *at a single location*
 - *organized*

Project Personnel (Staffing)

Chapter 16 LAPM states (p16-5):

- *Adequate construction personnel shall be provided.*
- *Local agencies shall include in the project records the names and titles of all staff assigned to each federal-aid project.*
 - *List of all Staff*
 - *Include Titles*
 - *Include Consultants*

Safety Information

➤ Emergency contact/After Hours information sheet in project file

- Local Agency
- Consultant Information
- Contractor Information

Resident Engineer & Inspector Daily Diaries

Chapter 16-7 LAPM states:

The administering agency's Resident Engineer, Assistant Resident Engineers, and construction inspectors shall keep daily reports to record work in progress.

- *Names of Labor*
- *Classification*
- *Employer*
- *Make and Model of all Equipment*
- *Hours Worked broken out by Contract Item*
 - *For equipment*
 - *For labor*
- *Note significant breakdown/idle time*



RE/ARE/Inspector Daily Diaries

- *The narrative portion should include:*
 - *description of operation*
 - *location*
 - *weather*
 - *significant conversations*
 - *tests*
 - *quantities*
 - *materials tags*

[illegible]

<http://www.dot.ca.gov/hq/construction/forms.htm>

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION			Lock Data on Form	
RESIDENT ENGINEER'S DAILY REPORT				
ASST. RESIDENT ENGINEER'S DAILY REPORT				
CEM-4501 (REV 11/2006) CT# 7541-3506-1				
<input type="checkbox"/> RESIDENT ENGINEER'S DAILY REPORT <input type="checkbox"/> ASST. RESIDENT ENGINEER'S DAILY REPORT			JOB STAMP	
REPORT NUMBER _____		DATE _____ S M T W T F S (Circle Day)		
SHIFT HOUR: START STOP		TEMPERATURE MIN MAX		
WEATHER _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____				
PRINT NAME _____		SIGNATURE _____		TITLE _____

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

ARE/Inspector Daily Diary Example

Good Diary? – Why?

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
**ASSISTANT RESIDENT ENGINEER'S
DAILY REPORT**
CEM 4601 (REV 4/1999) CT# 7541-3504-6

JOB STAMP

10-123544

Lock Data on Form

Report No. 370
Date 09/01/10
S M T ☒ W T F S Circle Day
Shift Hours Start 6:00 AM Stop 2:30 PM

ASSISTANT RESIDENT ENGINEER'S DAILY Location B REPORT

Location and Description of Operation 1. Contractor A - Continued paving operations on northbound I5 from Sta. 32+15 to 35+60 along "B" line in lane 4. 2. Subcontractor X - Began metal beam guard rail operations near Elm Ave. exit (approx. 30' right of "J" line from Sta. 0+30 to 1+05). 3. Subcontractor Y - Set, maintained and removed traffic control for paving and guard rail operations.

				HOURS - ITEM NO.								WEATHER
				1 - Items 45 and 48								Partly cloudy
				2 - Item 78								Low: Mid 60s
				3 - Item 1								High: High 90s
				1 - Item 1								
				CCO #2 - Concrete Removal								
				NOPC #1 Tracking								
EQUIPMENT AND LABOR:				IDLE OR DOWN								REMARKS (Reason for idleness or other remarks)
EQUIPMENT NO.	NO. PERSONS	DESCRIPTION (Equipment or Labor)										
	1	Laborer - M. Sanchez	7				1					
	1	Laborer - S. Holmes	7						1		No AC-Plant Problems from 8:30-9:30	
	1	Laborer - J. Rice	7						1		No AC-Plant Problems from 8:30-9:30	
	1	Labor Foreman - R. Lott	7						1		No AC-Plant Problems from 8:30-9:30	
#F 123	1	PU - F350	7						1		No AC-Plant Problems from 8:30-9:30	
	1	Operator - B. Walsh	7						1		No AC-Plant Problems from 8:30-9:30	
#12	1	AC paver - Cat. AP1000	7						1		No AC-Plant Problems from 8:30-9:30	
	1	Laborer - S. Wynn		8								
	1	Laborer - B. Gates		8								
	1	Labor 4man - P. Allen		8								
04	1	PU - F350		8								
	2	Laborer - J. Smit/R. Lee			16/2							
X2	1	PU w/ arrow board		9								

Sub Y began placing traffic control at 0530 on I5 NB from Acorn Ave. OC to Lone Pine Rd. exit. Informed TMC that traffic control was set at 0550. Contractor A began paving operations at 0600. Contractor's QC testers and our QA testers were present in the field during paving operations (reference QA tester's diary for sampling and testing information). Our plant inspector (J. Smith) contacted me at 0800 and explained that the plant had broken down due to a mechanical problem. Plant operations resumed at 0900. Paving operations stopped at 0830 and resumed at 0930 due to the plant issue. Contractor placed 650 tons of 3/4" RAC (mix #234895) refer to summary report attached to delivery tickets. Sub X began layout and distribution of metal beam guard rail (MBGR). Discussed apparent MBGR layout conflict at Station 0+65 with R. Lee. Agreed on post adjustment in the field and noted on as-builts. Sub Y began removing traffic control at 1430 and completed removal at 1500. Notified TMC of removal of traffic control at 1503. * Received initial notice of potential claim #3 (NOPC) today from R. Lott concerning yesterday's paving operations which were cut short due to their subcontractor's failure to maintain traffic control. Placed NOPC in RE's in box this afternoon.

PRINT NAME George Richards SIGNATURE TITLE Assistant Resident Engineer

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

ARE/Inspector Daily Diary Example

Awesome Diary – Why?



DAILY INSPECTION REPORT

REPORT No. DR_218_100312_MAR.docx

Date the Skill Report: 3/14/12

WED

Start: 4:00 Stop: 10:30

PROJECT		OCTA NO.	CONTRACT NO.	TFHP	WT-A1-46N-2-CLU	WORKING DAY
Sand Canyon Avenue Grade Separation		TR292	C-0-1682	54 70	P. CLOUDY	315
<div> <div> ITEM NO. >> Daily Quantity >> </div> <div> HOURS - ITEM NO. 8 7 242 216 CDO CDO : : : : : : </div> </div>						
<div> <div> <input type="checkbox"/> RATT ROAD FLANGER </div> <div> <div> Cleaning and Grubbing SWPPP Maintenance Pavement and Inlet 10' x 10' Grass and Inlet 10' x 10' Grass and Inlet 10' x 10' Steel Pipe Class 200 (Temporary Erosion) Additional Striping Remove Oak Trees Stage 1B </div> <div> IDLE OR DOWN </div> </div> <div> CONTRACTORS Prime CCMyers (1) Sub #1 SRD (1) Sub #2 BRWD (2) Sub #3 Steradale (2) Sub #4 CGO (4) 3rd Party #1 (1) 3rd Party #2 (1) 3rd Party #3 (1) 3rd Party #4 (1) </div> </div>						
EQUIPMENT AND/OR LABOR:						
EQUIP. NO.	DESCRIPTION (Equipment/Labor)	RTCT	R-201	R-201	R-201	RTCT
	Superintendent	4	4			Steve Gray Superintendent P
10-463	Pick Up Truck	4	4			F-550 P
	Laborer	8				Ricardo Ruelas Laborer P
10-222	Truck	8				F-250 P
	Laborer	4	2		2	Raul Alvarez Laborer P
	Laborer	4	2		2	Rodrigo Zavala P
10-215	Traffic Control Trk	4	2		2	Arrow board/Cone Truck P-Super Duty P
	Safety Officer	4	2	2		Brian Brock P
10-286	Pick Up Truck	4	2	2		F-150 P
25-014	Loader				8	Cal 868 P
68-12	Arrow Board				5	2 Solar Tech P
80	Arrow Board				8	Wanco P
68-42	Arrow Board				8	Ameko P
68-44	Arrow Board	24				Solar Tech Stage 1B P
68-46	Arrow Board				8	Solar Tech P
68-08	Arrow Board		8			Solar Tech P
	IRWD Inspector		2	1		Mike Fredrick IRWD 2
	Truck		2	1		IRWD 2
	Foreman		8			Glen Martinez Foreman 1
T-32	Pick up Truck		8			F-250 1
LD-82	Loader				8	802 Kawasaki 1
	Laborer		8			Jose Lopez 1
	Laborer		8			Leo Hernandez 1

Contract Time

Chapter 16.5 LAPM (p 16-8):

- The administering agency shall maintain a written record of project progress.
 - Document each work day or non work day.
 - Document time extensions granted by CCO's.
 - Indicate controlling operation
 - Filled out weekly by Resident Engineer and submitted to Contractor to allow 15 days to protest correctness.

•

WSWD (Exh. 16-A, Form CEM 2701)

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
WEEKLY STATEMENT OF WORKING DAYS
CEM-2701 (REV. 2/2012) CT # 7541-3528

ADA Notice

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

JOB STAMP

REPORT NUMBER

CONTRACTOR

WEEK ENDING (month, day, year)

Date	Day	Weather, Weather Conditions, or Other Conditions ¹	Working Day	Nonworking Day	Working Day No Work Done on Controlling Operation ²
	Monday				
	Tuesday				
	Wednesday				
	Thursday				
	Friday				

Days this week

Days previously reported

Total days to date

Time Extensions

CCO Numbers³

Days Approved

Days this report

Days previously reported

Total days to date

Computation of Extended Date for Completion

Number of Days

Numbered Day⁵

Date

1. First working day
2. Working days specified in contract
3. COMPUTED DATE FOR COMPLETION (line 1 + line 2 - 1)
4. Days contract suspended to date
5. Total time extension days approved to date
6. Total Nonworking days to date
7. Subtotal (line 4 + line 5 + line 6)
8. EXTENDED DATE FOR COMPLETION (line 3 + line 7)
9. Revised working days for contract (line 2 + line 5)
10. Total working days to date
11. WORKING DAYS REMAINING (line 9 - line 10)

CONTROLLING OPERATION(S)

REMARKS

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

DATE

Distribution: Original – Contractor; Copies – District, resident engineer

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
WEEKLY STATEMENT OF WORKING DAYS
CEM-2701 (REV. 2/2012) CT # 7541-3528

FOOTNOTE INSTRUCTIONS TO RESIDENT ENGINEER

¹ When recording nonworking days due to weather, *state the reason why the day is unworkable* when the weather description itself does not adequately describe conditions. For example, "clear-wet grade" to describe conditions when the weather is clear, but the grade is too wet to work. *Do not* list days merely as "Unworkable."

² Enter days on which no productive work has been performed on the controlling operation(s) for reasons other than weather.

³ List numbers of change orders providing for time extensions.

⁴ Do not include nonworking days which occur after expiration of the **Extended Date of Completion**. On contracts that are overtime, the total under Working Days shall not be greater than the total of **Revised Working Days (line 9)**. After approved total of working days has been reached, continue recording working and nonworking days but do not add into the totals. Make a statement under **Remarks** that working and nonworking days are shown for record only since the contract time has elapsed.

If an extension of time is subsequently approved, determine the new **Extended Date** by taking into account all nonworking **days** that are reachable.

⁵ From the calendar issued by the Division of Construction with working days numbered for convenience in computations.

Weekly Statement of Working Days (WSWD)

- CT Workday Calendars for 5 day workweek or 7 day workweek
[Caltrans Working Days Calendar](http://www.dot.ca.gov/hq/construc/calendar/index.htm)
<http://www.dot.ca.gov/hq/construc/calendar/index.htm>

Contract Change Order Review

Chapter 16.13 LAPM states:

*Any change of the approved plans or specifications or work required which was not included in the contract must be covered by a contract change order. All change orders are to be approved by the administering agency **in advance** of any work being done on the change.*

Contract Change Order Review

Necessary CCO Documents

- *Copy of the Executed CCO*
- *A letter explaining the change order (Transmittal Memo)*
- *Written Prior Approval to Contractor to Proceed (IA)*
- ***Independent** Cost Calculations*
- *Justification of Time Extensions*
- *Extra Work Reports (IA)*

Contract Change Order Review

What requires a CCO? (P16-19 LAMP)

- Revisions to:
 - geometric design
 - structural section
 - major structures
 - planned access

Contract Change Order Review

What requires a CCO? (continued)

- Revisions to:
 - scope
 - standards
 - type or quality of materials
 - specifications

Contract Change Order Review

What requires a CCO? (continued)

- Adjustments of Contract Item Prices Per:
 - *Section 9-1.08. Changes. (SS)*
(+/- 25% to a significant item)
 - *Section xx-xx Change in the Character of the Work*
- Force account work over \$15,000

Contract Change Order Review

CT involvement?

- Changes to :
 - Environmental mitigation commitments
 - Permit conditions
 - Agreements with resource agencies
- Introduction of New Issues:
 - social
 - environmental
 - economic

Contract Change Order Review

Is the Change Order Eligible for Federal
Reimbursement?

Contract Change Order Review

Examples of Non-Participating Work (p16-20):

- Outside Project Limits
- Deviations from Design Standards
- Maintenance Work
- Equipment Rental Rates in Excess of FHWA allowed

(more examples can be found in the LAMP)

Contract Change Order Review

Nonparticipation should not be a determination used in order to circumvent federal requirements (i.e., waiver of Buy America in order to accept foreign materials would jeopardize project funding).

Contract Change Order Review

TIME EXTENSIONS (p16-20 LAMP)

- *CCO Days : Work must affect the Controlling Operation.*
- All time extensions must be documented in a contract change order.
- A time impact analysis must accompany the CCO to justify any time extensions.
- Once the CCO is approved, the time is added in the weekly statement of working days.
-

CCO Transmittal Memo & CCO Forms

You can save data typed into this form for later editing.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
CONTRACT CHANGE ORDER MEMORANDUM
CEM-4903 (REV 06/2006)

Page 1 of 1
DATE _____

TO _____		FILE _____	
FROM _____		E. A. _____	
		CO-RTE-PM _____	
		FED NO. _____	
CCO NO. _____	SUPPLEMENT NO. _____	CATEGORY CODE _____	CONTINGENCY BALANCE (including this change): \$ _____
CCO AMOUNT \$ _____		<input type="checkbox"/> INCREASE <input type="checkbox"/> DECREASE	HEADQUARTERS APPROVAL REQUIRED? <input type="checkbox"/> YES <input type="checkbox"/> NO
SUPPLEMENTAL FUNDS PROVIDED \$ _____		IS THIS REQUEST IN ACCORDANCE WITH ENVIRONMENTAL DOCUMENTS? <input type="checkbox"/> YES <input type="checkbox"/> NO	
ORIGINAL CONTRACT TIME: _____ DAY(S)	TIME ADJUSTMENT THIS CHANGE: _____ DAY(S)	PREVIOUSLY APPROVED CCO TIME ADJUSTMENTS: _____ DAY(S)	PERCENTAGE TIME ADJUSTED (including this change) _____ %
TOTAL # OF UNRECONCILED DEFERRED TIME CCOs (including this change) _____			

THIS CHANGE ORDER PROVIDES FOR (Use additional pages as needed):

CONCURRED BY:		ESTIMATE OF COST	
	DATE	THIS REQUEST	TOTAL TO DATE
CONSTRUCTION ENGINEER/BRIDGE ENGINEER	_____	ITEMS _____	_____
PROJECT ENGINEER	_____	FORCE ACCOUNT _____	_____
PROJECT MANAGER	_____	AGREED PRICE ADJUSTMENT _____	_____
FWHA REP.	_____	TOTAL \$0.00	\$0.00
ENVIRONMENTAL	_____	FEDERAL PARTICIPATION	
OTHER (SPECIFY) _____	_____	<input type="checkbox"/> PARTICIPATING <input type="checkbox"/> PARTICIPATING IN PART <input type="checkbox"/> NONE	
	_____	<input type="checkbox"/> NON-PARTICIPATING (Maintenance) <input type="checkbox"/> NON-PARTICIPATING	
	_____	FEDERAL SEGREGATION (if more than one funding source or P.L.P. type)	
	_____	<input type="checkbox"/> CCO FUNDED PER CONTRACT <input type="checkbox"/> CCO FUNDED AS FOLLOWS	
	_____	FEDERAL FUNDING SOURCE _____	PERCENT _____
HS OR DISTRICT PRIOR APPROVAL BY	_____	_____	_____
RESIDENT ENGINEER SIGNATURE	_____	_____	_____

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
CONTRACT CHANGE ORDER
CEM-4900 (REV 05/2001) CTR 7541-3501-0

Sheet 1 of 1
Change Requested by: ☐ engineer ☐ contractor

CCO NUMBER _____	SUPPL. NUMBER _____	CONTRACT NUMBER _____	ROAD _____	FEDERAL NUMBER(S) _____
TO _____				
contractor				

You are directed to make the following changes from the plans and specifications or do the following described work not included in the plans and specifications for this contract. **NOTE: This change order is not effective until approved by the engineer.**

Description of work to be done, estimate of quantities and prices to be paid. (Segregate between additional work at contract price, agreed price and force account.) Unless otherwise stated, rates for rental of equipment cover only such time as equipment is actually used and no allowance will be made for idle time. The last percentage shown is the net accumulated increase or decrease from the original quantity in the engineer's estimate.

Estimated Cost: ☐ increase ☐ decrease \$ _____

By reason of this order the time of completion will be adjusted as follows:

SUBMITTED BY	
SIGNATURE _____	(PRINT NAME & TITLE) _____ DATE _____
APPROVAL RECOMMENDED BY	
SIGNATURE _____	(PRINT NAME & TITLE) _____ DATE _____
ENGINEER APPROVAL BY	
SIGNATURE _____	(PRINT NAME & TITLE) _____ DATE _____

We the undersigned contractor, have given careful consideration to the change proposed and agree, if this proposal is approved, that we will provide all equipment, furnish the materials, except as may otherwise be noted above, and perform all services necessary for the work above specified, and will accept as full payment therefor the prices shown above. **NOTE:** If you, the contractor, do not sign acceptance of this order, your attention is directed to the requirements of the specification as to proceeding with the ordered work and filing a written protest within the time therein specified.

CONTRACTOR ACCEPTANCE BY	
SIGNATURE _____	(PRINT NAME & TITLE) _____ DATE _____

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

Progress Payment Review

Chapter 16.9 LAPM (p16-13):

Project records must contain a file of source documents supporting payments made to contractors.

Progress Payment Review

- Chapter 16.9 LAPM (p16-13):
 - Specify the portion of work being paid
 - Show measurements and/or calculations
 - Include Weight Tickets (IA)
 - Name the individual who made the determination
 - Name the Checker
 - Min: One “Q” sheet/contract item paid/ pay estimate

Progress Payment Review

Chapter 16.9 LAPM states:

Pay Estimate Document Should also contain:

- Contingency Balance
- Anticipated Changes
- Estimated Final Project Costs
- Retain records 3 yrs !

Labor Compliance & Equal Employment Opportunity

3 key elements (p16-16):

1. Payrolls
2. Employee Interviews
3. Federal Posters

Labor Compliance & Equal Employment Opportunity

1. Payrolls

- Submitted monthly by Contractor/Subcontractors
- Certified by Contractors
- Verified by Local Agency

Labor Compliance & Equal Employment Opportunity

1. Payrolls (cont'd)

- Every Payroll
 - Verify Correct Wage Rates
- One employee for 1 week each month:
 - Wages
 - Classification
 - Hours
 - OT

2. Employee Labor Compliance Interviews (p16-16):

- 2 per month (min)
- Form CEM 2504 or similar
- Check against wage rates for contract.
- Check against dairies and certified payrolls
- RE should sign .

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION		ADA Notice	
EMPLOYEE INTERVIEW: LABOR COMPLIANCE / EEO		For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-85, Sacramento, CA 95814.	
CEM 2504 (REV 6/1999) (Front) CT #7541-3512-3			
<div style="border: 1px solid black; padding: 5px;"> CONFIDENTIAL This document contains personal information and pursuant to Civil Code 1798.21 it shall be kept confidential in order to protect against unauthorized disclosure. </div>		CONTRACT NO. FED. NO.	
INSTRUCTIONS - (SEE REVERSE SIDE)			
1. TO BE FILLED IN BY INTERVIEWER (Data may be obtained from payroll records or during source document review)			
EMPLOYEE NAME		LABOR CLASSIFICATION	
MINIMUM BASE WAGE PER CONTRACT:	BASE RATE	FRINGE BENEFITS	
MINIMUM BASE WAGE PER CONTRACT:	BASE RATE	FRINGE BENEFITS	
EMPLOYER		PRIME CONTRACTOR ON THE PROJECT (IF SAME, SO STATE)	
WORK BEING PERFORMED AT TIME OF INTERVIEW			
2. QUESTIONS TO BE ASKED OF EMPLOYEE			
A. HOW LONG HAVE YOU WORKED FOR YOUR PRESENT EMPLOYER?		HOW LONG ON THIS PROJECT?	
B. DESCRIBE THE TYPE OF WORK YOU HAVE BEEN DOING THIS PAST WEEK			
C. WHAT IS YOUR WAGE (Include Base and Fringe Benefits (Compare to Payroll))			DO YOU KEEP A RECORD OF THE HOURS YOU WORK? <input type="checkbox"/> YES <input type="checkbox"/> NO
D. DO YOU WORK OVERTIME? <input type="checkbox"/> FREQUENTLY <input type="checkbox"/> SELDOM <input type="checkbox"/> NONE		ARE YOU PAID TIME AND ONE-HALF FOR OVERTIME? <input type="checkbox"/> YES <input type="checkbox"/> NO	
E. HAS YOUR EMPLOYER DIRECTED YOUR ATTENTION TO THE REQUIRED WAGE RATE POSTERS ON THE PROJECT? <input type="checkbox"/> YES <input type="checkbox"/> NO		HAVE YOU SEEN THOSE POSTERS? <input type="checkbox"/> YES <input type="checkbox"/> NO	
F. ARE YOU AWARE OF THE CONTRACTOR'S EEO POLICIES? <input type="checkbox"/> YES <input type="checkbox"/> NO		DOES THE CONTRACTOR HOLD REGULAR EEO MEETINGS? <input type="checkbox"/> YES <input type="checkbox"/> NO	
WHO CONDUCTS THE MEETINGS?		WHO IS THE EEO OFFICER FOR YOUR EMPLOYER?	
G. ARE YOU INTERESTED IN / OR HAS YOUR EMPLOYER INFORMED YOU OF UPGRADING AND TRAINING POSSIBILITIES? <input type="checkbox"/> YES <input type="checkbox"/> NO		WHO IS THE EEO OFFICER FOR THE PROJECT?	
3. ADDITIONAL QUESTIONS FOR OWNER OPERATORS			
A. EQUIPMENT DESCRIPTION		TRUCK LICENCE NO.	
HOURLY RATE (Fully operated and maintained) \$		TRUCK CA #	
BASE EQUIPMENT RATE \$		ON WHAT DO YOU BASE YOUR EQUIPMENT RENTAL RATE? <input type="checkbox"/> HOURLY <input type="checkbox"/> WEEKLY <input type="checkbox"/> MONTHLY	
B. DO YOU OWN THE EQUIPMENT? <input type="checkbox"/> YES <input type="checkbox"/> NO		MAY I SEE YOUR CERTIFICATE OF OWNERSHIP? (Interviewer Note Response)	
LEGAL OWNER		REGISTERED OWNER	
4. EMPLOYEE COMMENTS		5. INTERVIEWER'S COMMENTS	
DO YOU HAVE ANY COMMENTS OR COMPLAINTS ABOUT WAGES OR EEO POLICIES? BE SPECIFIC:			
NAME OF INTERVIEWER (PRINT)		NAME OF RESIDENT ENGINEER (PRINT)	
DATE		DATE	
SIGNATURE OF INTERVIEWER		SIGNATURE OF RESIDENT ENGINEER	

Labor Compliance & Equal Employment Opportunity

3. Posters

- Verify all required documents posted
www.fhwa.dot.gov/programadmin/contracts/coretoc.cfm
- Ensure readily accessible and in plain sight
- Readable and in good condition.
- Document compliance

Disadvantaged Business Enterprises (DBE)

Chapter 9.5 of the LAPM states:

Caltrans is required under 49 CFR, Part 26 to administer a DBE Program. The DBE Program is intended to ensure a level playing field and foster equal opportunity in federal-aid contracts.

Disadvantaged Business Enterprises (DBE)

Chapter 9.5 of the LAPM (p9-13):

Each Local Agency must designate a DBE Liason Officer (DBELO) ...

This person shall be responsible for the duties describe in the “Caltrans DBE Program Implementation Agreement for Local Agencies” (Exhibit 9-A).

- Exhibit 15-G , “Local Agency Bidder DBE Commitment”

Local Assistance Procedures Manual EXHIBIT 15-G
Local Agency Bidder DBE Commitment (Construction Contracts)

EXHIBIT 15-G LOCAL AGENCY BIDDER DBE COMMITMENT (CONSTRUCTION CONTRACTS)

NOTE: PLEASE REFER TO INSTRUCTIONS ON THE REVERSE SIDE OF THIS FORM

LOCAL AGENCY: _____ LOCATION: _____

PROJECT DESCRIPTION: _____

TOTAL CONTRACT AMOUNT: \$ _____

BID DATE: _____

BIDDER'S NAME: _____

CONTRACT DBE GOAL: _____

[illegible]

For Local Agency to Complete:

Local Agency Contract Number: _____	Total Claimed DBE Participation _____	\$ _____
-------------------------------------	---------------------------------------	----------

Federal-aid Project Number: _____

Federal Share: _____

Contract Award Date: _____

Total Claimed DBE Participation \$ _____

Local Agency certifies that all DBE certifications have been verified and information is complete and accurate.

Signature of Bidder

Date (Area Code) Tel. No.

Print Name _____ Signature _____ Date _____

Local Agency Representative	Person to Contact	(Please Type or Print)
-----------------------------	-------------------	------------------------

Person to Contact (Please Type or Print)

(Area Code) Telephone Number: _____ Local Agency Bidder DBE Commitment (Construction)

Local Agency Bidder DBE Commitment (Construction Contracts)
(Rev 6/26/09)

Distribution: (1) Copy – Fax or scan a copy to the Caltrans District Local Assistance Engineer (DLAE) within 30 days of contract execution. Failure to send a copy to the DLAE within 30 days of contract execution may result in de-obligation of funds for this project.
(2) Copy – include in award package to Caltrans District Local Assistance
(3) Original – Local agency files

Good Faith Effort (GFE) (p12-22 LAMP)

Local Assistance Procedures Manual

Exhibit 15-H
DBE Information - Good Faith Effort

EXHIBIT 15-H DBE INFORMATION —GOOD FAITH EFFORTS

DBE INFORMATION - GOOD FAITH EFFORTS

Federal-aid Project No. _____ Bid Opening Date _____

The _____ (City/County of) _____ established a Disadvantaged Business Enterprise (DBE) goal of _____ % for this project. The information provided herein shows that a good faith effort was made.

Lowest, second lowest and third lowest bidders shall submit the following information to document adequate good faith efforts. Bidders should submit the following information even if the "Local Agency Bidder DBE Commitment" form indicates that the bidder has met the DBE goal. This will protect the bidder's eligibility for award of the contract if the administering agency determines that the bidder failed to meet the goal for various reasons, e.g., a DBE firm was not certified at bid opening, or the bidder made a mathematical error.

Submission of only the "Local Agency Bidder DBE Commitment" form may not provide sufficient documentation to demonstrate that adequate good faith efforts were made.

The following items are listed in the Section entitled "Submission of DBE Commitment" of the Special Provisions:

A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder (please attach copies of advertisements or proofs of publication):

Publications

Dates of Advertisement

<u>Publications</u>	<u>Dates of Advertisement</u>

B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested (please attach copies of solicitations, telephone records, fax confirmations, etc.):

Names of DBEs Solicited

Date of Initial
Solicitation

Follow Up Methods and Dates

<u>Names of DBEs Solicited</u>	<u>Date of Initial Solicitation</u>	<u>Follow Up Methods and Dates</u>

OB 12-44

Page 15-1
June 29, 2012

(Exhibit 15-H)

Also see DLA-OB 11.04
Evaluating and Submitting
GFE

Monitoring of DBE by Resident Engineer

(Chapter 9, LAMP)

Is DBE goal compliance being checked by the RE?

1. Is correct subcontractor performing the designated work?
2. Is DBE performing a commercially useful function?
3. Is Exh. 7-F, “Final Report–Utilization of DBE” complete.

Monitoring of DBE by Resident Engineer

1. Is correct subcontractor performing the designated work?

Section 16-6, Subcontracting, LAMP (p16-9):

*The Contractor must request permission in writing and receive written consent from the local agency **before** subletting any portion of a contract to a first tier subcontractor.*

Section 5-1.13, Subcontracting, 2010 SS (p36):

*“Before subcontracted work starts, submit a **Subcontracting Request form.**”*

Monitoring of DBE by Resident Engineer

Exh. 16-B,
LAMP
Handout 13

Local Assistance Procedures Manual						EXHIBIT 16-B Subcontracting Request																												
STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION SUBCONTRACTING REQUEST DC-CRM-1201 (REV. 6/94) (OLD DC-45) C79 7141-0014.7						PROJECT See Instructions On Back																												
CONTRACTOR NAME						COUNTY	ROUTE																											
BUSINESS ADDRESS						CONTRACT NO.																												
CITY/STATE						FEDERAL AID PROJECT NO. (From Special Provisions)																												
SUBCONTRACTOR (Name, Business Address, Phone)		NO. OF BID ITEMS (NUMBER)	% OF BID ITEMS AWARDED	CHECK IF: (See Categories Below)	DISCLOSE WORK WHEN LEAST 10% OF WORK IS AWARDED	\$ AMOUNT BASED ON NO. \$ AMOUNT																												
				10 25 50																														
Categories: 1) Specialty 2) Labor-Related Trade/Trade Provisions Aid 3) Certified DISC/MINORITY/WH/DFW/VE																																		
I Certify That: <ul style="list-style-type: none"> The Standard Provisions for labor and trade in the contract apply to the subcontracted work. If applicable, (Federal Aid Projects only) Section 14 (Federal Requirements) of the Special Provisions have been inserted in the subcontract and shall be incorporated in any future for subcontract. Written contracts have been executed for the above noted subcontracted work. 																																		
CONTRACTOR'S SIGNATURE						DATE																												
NOTE: This section is to be completed by the Resident Engineer. <table border="0"> <tr> <td>1. Total of bid items.....</td> <td>2</td> <td>\$</td> </tr> <tr> <td>2. Specialty items (previously requested).....</td> <td>2</td> <td>\$</td> </tr> <tr> <td>3. Specialty items (this request).....</td> <td>2</td> <td>\$</td> </tr> <tr> <td>4. Total (items 2+3).....</td> <td>2</td> <td>\$</td> </tr> <tr> <td>5. Contractor must perform with own forces (item 1 minus 4).....</td> <td>2</td> <td>\$</td> </tr> <tr> <td>6. Bid items previously subcontracted.....</td> <td>2</td> <td>\$</td> </tr> <tr> <td>7. Bid items subcontracted (this request).....</td> <td>2</td> <td>\$</td> </tr> <tr> <td>8. Total (items 6+7).....</td> <td>2</td> <td>\$</td> </tr> <tr> <td>9. Balance of work Contractor to perform (item 1 minus 8).....</td> <td>2</td> <td>\$</td> </tr> </table>								1. Total of bid items.....	2	\$	2. Specialty items (previously requested).....	2	\$	3. Specialty items (this request).....	2	\$	4. Total (items 2+3).....	2	\$	5. Contractor must perform with own forces (item 1 minus 4).....	2	\$	6. Bid items previously subcontracted.....	2	\$	7. Bid items subcontracted (this request).....	2	\$	8. Total (items 6+7).....	2	\$	9. Balance of work Contractor to perform (item 1 minus 8).....	2	\$
1. Total of bid items.....	2	\$																																
2. Specialty items (previously requested).....	2	\$																																
3. Specialty items (this request).....	2	\$																																
4. Total (items 2+3).....	2	\$																																
5. Contractor must perform with own forces (item 1 minus 4).....	2	\$																																
6. Bid items previously subcontracted.....	2	\$																																
7. Bid items subcontracted (this request).....	2	\$																																
8. Total (items 6+7).....	2	\$																																
9. Balance of work Contractor to perform (item 1 minus 8).....	2	\$																																
RESIDENT ENGINEER'S SIGNATURE						DATE																												
DISTRIBUTION: 1. Original - Contractor 2. Copy - Local Agency Resident Engineer 3. Copy - Emergency Labor Compliance Office 4. Contractor's Information Copy																																		

Monitoring of DBE by Resident Engineer

Section 5-1.13B Disadvantage Business Enterprises

2010 CTSS

Use each DBE subcontractor as listed on the ***Subcontractor List*** form and the ***Caltrans Bidder – DBE Information*** form unless you receive authorization for a substitution.

Monitoring of DBE by Resident Engineer

Subletting/Subcontracting Fair Practices Act

Requires contractor to **list subcontracted work** in excess of 0.5 of 1% of the contractors' bid amount or \$10,000 (whichever is greater) **with the bid**

Monitoring of DBE by Resident Engineer

Subcontractor List

Exhibit 12-B of LAMP

Handout 13

Monitoring of DBE by Resident Engineer

Is DBE performing a commercially useful function?

Three Type of DBEs

1. Subcontractors
2. Trucking Co.
3. Suppliers

Monitoring of DBE by Resident Engineer

Is DBE performing a commercially useful function?

1. DBE Subcontractor

Must:

- Perform at least 30% of the subcontract work with its own work force
- Be responsible for execution of the work
- Be responsible for materials/supplies

Monitoring of DBE by Resident Engineer

Is DBE performing a commercially useful function?

2. DBE Trucking

- Be sure correct trucking company is on site.
- Ensure Contractor submits Exhibit 16-Z, “Monthly DBE Trucking Verification”.
- Perform Labor Compliance Interviews of drivers.
 - Must own at least one truck
 - Must employ at least one driver
 - (Chapter 9 , LAMP)

Monitoring of DBE by Resident Engineer

Is DBE performing a commercially useful function?

Monthly DBE Trucking Verification

Exhibit 16-Z

Sample 19

Monitoring of DBE by Resident Engineer

Is DBE performing a commercially useful function?

3. Suppliers

- Materials obtained from a DBE manufacturer, count 100 percent of the cost toward DBE participation.
- If the materials are purchased from a DBE regular dealer, count sixty percent of the cost of the materials or supplies toward DBE participation.

(p 9-25 LAMP)

Monitoring of DBE by Resident Engineer

Exhibit 17-F , Final Report – Utilization of DBE

Local Assistance Procedures Manual

EXHIBIT 17-F
Final Report-Utilization of Disadvantaged Business Enterprises (DBE), First-Tier Subcontractors

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
FINAL REPORT-UTILIZATION OF DISADVANTAGED BUSINESS ENTERPRISES (DBE), FIRST-TIER SUBCONTRACTORS

CEM-3402F (REV 02/2006)

ADA Notice
For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814

CONTRACT NUMBER		COUNTY	ROUTE	POST MILES	FEDERAL AID PROJECT NO.		ADMINISTERING AGENCY	CONTRACT COMPLETION DATE	
PRIME CONTRACTOR				BUSINESS ADDRESS				ESTIMATED CONTRACT AMOUNT \$	
ITEM NO.	DESCRIPTION OF WORK PERFORMED AND MATERIAL PROVIDED	COMPANY NAME AND BUSINESS ADDRESS	DBE CERT. NUMBER	CONTRACT PAYMENTS		DATE WORK COMPLETE	DATE OF FINAL PAYMENT		
				NON-DBE	DBE				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
ORIGINAL COMMITMENT									
\$			TOTAL	\$	\$				
DBE									
List all First-Tier Subcontractors, Disadvantaged Business Enterprises (DBEs) regardless of tier, whether or not the firms were originally listed for goal credit. If actual DBE utilization (or item of work) was different than that approved at time of award, provide comments on back of form. List actual amount paid to each entity.									

I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT		
CONTRACTOR REPRESENTATIVE'S SIGNATURE	BUSINESS PHONE NUMBER	DATE
TO THE BEST OF MY INFORMATION AND BELIEF, THE ABOVE INFORMATION IS COMPLETE AND CORRECT		
RESIDENT ENGINEER'S SIGNATURE	BUSINESS PHONE NUMBER	DATE

Copy Distribution-Caltrans contracts:
Copy Distribution-Local Agency contracts:

Original - District Construction
Original - District Local Assistance Engineer
(submitted with the Report of Expenditures)

Copy- Business Enterprise Program
Copy- District Local Assistance Engineer

Copy- Contractor
Copy- Local Agency file

Copy Resident Engineer

Apprentice Training Program

Chapter 12 LAPM 12-23

- Provide training for women and minorities to:
 - upgrade their job skills
 - increase access to higher-paying jobs
- Ensure :
 - diverse work force
 - meet future labor needs in the construction industry.

Apprentice Training Program

- Federal Trainees :
 - For projects with more than 100 working days.
 - Calculated during PS&E stage.
 - Will be stated in the Contract Documents

\$ Value	No. of Trainees
< \$200,000	0
\$400,000	1
\$700,000	2
\$1,000,000	3
\$1,500,000	4
\$2,000,000	5
\$2,500,000	6
\$3,000,000	7
\$4,000,000	8
\$5,000,000	9
\$6,500,000	10
\$8,000,000	11
\$10,000,000	12
> \$10,000,000	Add 1 trainee per \$5,000,000

Apprentice Training Program

- Before Starting work the Contractor must submit a plan including:
 - 1. *Number of apprentices or trainees to be trained for each classification*
 - 2. *Training program to be used*
 - 3. *Training starting date for each classification*

From Required Federal-aid Contract Language
Exhibit 12-G

Apprentice Training Program

- Before Starting work the Contractor must submit a plan including:
 - 1. *Number of apprentices or trainees to be trained for each classification*
 - 2. *Training program to be used*
 - 3. *Training starting date for each classification*

From Required Federal-aid Contract Language
Exhibit 12-G

Apprentice Training Program

- *Each Apprentice or trainee must:*
 1. *Begin training on the project as soon as feasible after the start of work involving the apprentice's or trainee's skill.*
 2. *Remain on the project as long as training opportunities exist in the apprentice's or trainee's work classification or until the apprentice or trainee has completed the training program.*

From Required Federal-aid Contract Language
Exhibit 12-G

Environmental Requirements

Chapter 12 LAPM states:

COMPLIANCE WITH ENVIRONMENTAL LAWS

The local agency is responsible for ensuring that mitigation measures presented as commitments in environmental documents, and that conditions and restrictions associated with regulatory permits, are incorporated into appropriate contract documents...,

Environmental Requirements

Types of Environmental Documents:

- *Categorical Exclusion (CE)*
- *Environmental Assessment (EA)*
- *Environmental Impact Statement (EIS)*

What is an ECR?

Quality Assurance For Local Agencies

Control of Materials



QAP Manual

Per Section 3, QAPM (p 5), LAMP (p16-25)

A Quality Assurance Program(QAP) is:

- Required for all Local Assistance projects
- Signed by PWD or next highest PE
- Update once every 5 years

LAPM

Chapter 16.14 LAMP, “Quality Assurance Program”

- A sampling and testing program that will provide assurance that the materials and workmanship incorporated in each highway construction project are in conformance with the contract specifications.

Reference Manuals

LAPM

Section 16.14:

Quality Assurance Program

STATE OF CALIFORNIA
Department of Transportation
Division of Local Assistance
Office of Procedures Development & Training



LOCAL ASSISTANCE PROCEDURES MANUAL

Processing Procedures for
Implementing Federal and/or
State Funded Local Public
Transportation Projects




February 10, 2009

Reference Manuals (cont.)

Quality Assurance Program (QAP) Manual for Use by Local Agencies


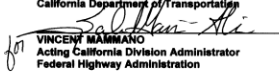
CALIFORNIA DEPARTMENT OF TRANSPORTATION



Quality Assurance Program (QAP) Manual
for Use by Local Agencies

This manual provides quality assurance guidelines for materials used
in Federal-aid projects off the State Highway System.

APPROVED BY:

 DENIX D. ANBIAH Chief Division of Local Assistance California Department of Transportation	<u>01/06/09</u> Date
 VINCENT MAMMIANO Acting California Division Administrator Federal Highway Administration	<u>1/02/09</u> Date

December 2008
Division of Local Assistance

Note: Quality Assurance Programs should be reviewed and updated every five years or more frequently.

Reference Manuals (cont.)

CT Independent Assurance Manual

California Department of Transportation



Independent Assurance Manual

*Procedures for Accreditation of Laboratories
and Qualification of Testers*

JULY 2005

ISSUED BY:

DIVISION OF ENGINEERING SERVICES,
MATERIALS ENGINEERING AND TESTING SERVICES

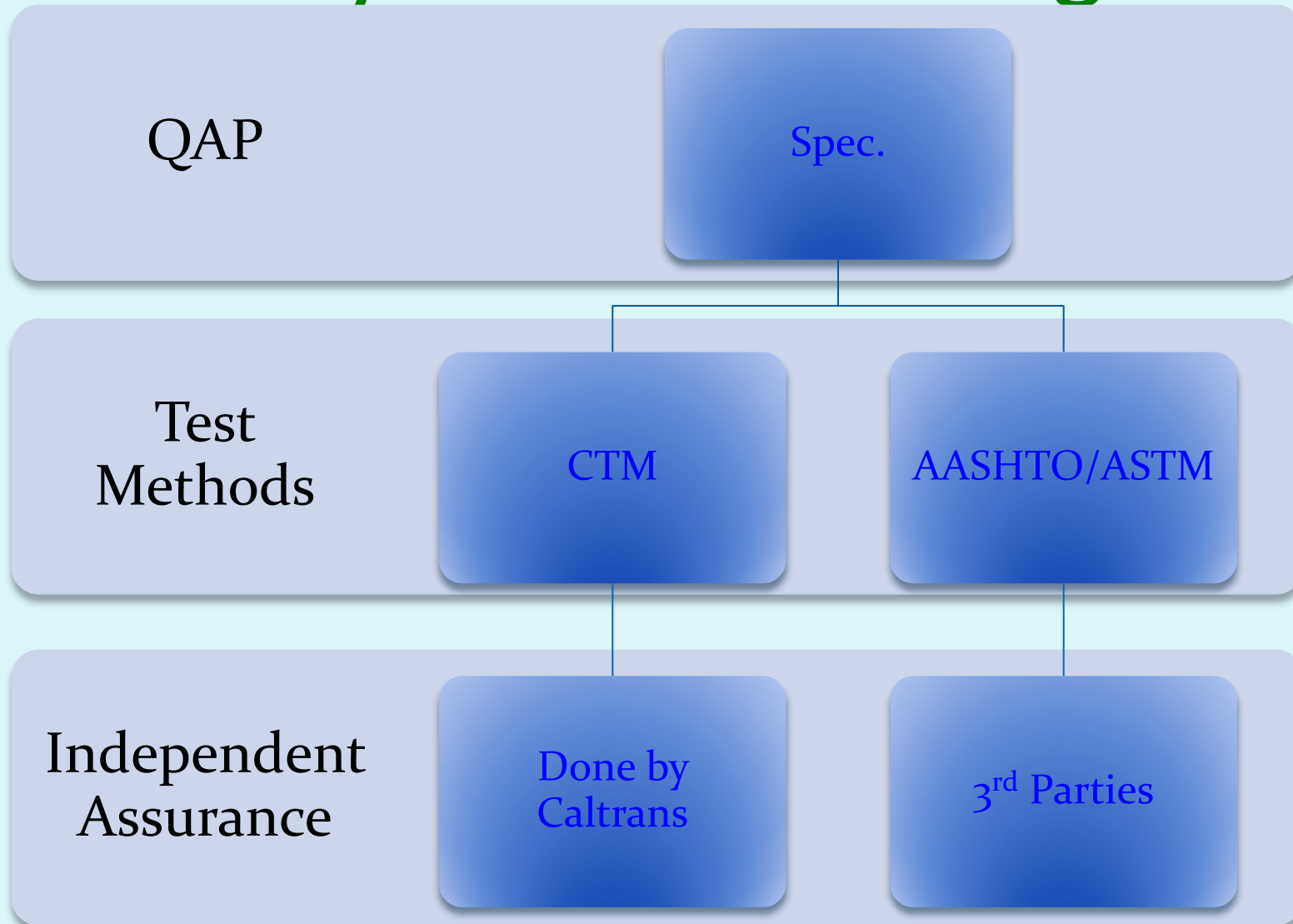
Quality Assurance Program

The 2 main elements of a QAP are :

1. **Independent Assurance Program**
2. **Acceptance Program**

(Section 16.14, LAPM)

Quality Assurance Program



Quality Assurance Program

- Appendix Y QAP Manual

ACCEPTANCE TESTING (AT)

AT will be performed by a materials laboratory certified to perform the required tests. The tests results will be used to ensure that all materials incorporated into the project are in compliance with the contract specifications.

Testing methods will be in accordance with the CT Methods or a national recognized standard (i.e., AASHTO, ASTM, etc.) as specified in the contract specifications.

Section 6-3.05 QUALITY ASSURANCE

For a material specified to comply with a property shown in the following table, the Department tests under the corresponding California Test shown:

California Tests	
Property	California Test
Relative compaction	216 or 231
Sand equivalent	217
Resistance (R-value)	301
Grading (sieve analysis)	202
Durability index	229

Quality Assurance Program

1. – Independent Assurance (IA) Program

3 Key elements of an IA Program

- A. Tester Certification
- B. Laboratory Qualification
- C. Equipment Calibration

Quality Assurance Program

1. – Independent Assurance Program

TL-0111

A. Certificate Of Proficiency

Look for:

1. Name of Tester
2. Methods Certified
3. Expiration Date

TL-0111 (REV 06/00)

CALIFORNIA DEPARTMENT OF TRANSPORTATION

Tester Name _____ is
CERTIFIED IN PROFICIENCY
Employer _____

TIM THOMSON

Earth Systems Southern California

who is qualified to perform the following tests:

CT105 Exp. 10/26/2011	CT106 Exp. 10/26/2011
CT201 Exp. 10/26/2011	CT202 Exp. 10/26/2011
CT206 Exp. 11/18/2011	CT207 Exp. 11/18/2011
CT211 Exp. 10/26/2011	CT217 Exp. 10/26/2011
CT226 Exp. 10/26/2011	CT227 Exp. 10/26/2011
CT229 Exp. 10/26/2011	CT301 Exp. 10/26/2011
CT304 Exp. 10/26/2011	CT308 Exp. 10/26/2011
CT309 Exp. 10/26/2011	CT366 Exp. 10/26/2011
CT382 Exp. 10/26/2011	CT521 Exp. 11/18/2011
CT539 Exp. 11/18/2011	CT367 Exp. 08/19/2011

Test method & expiration date

Test method & expiration date

IA #. 93, Seree Yenjai, PE
(916) 247-1911

Certified Independent Assurance (IA)

Date Issued: February 28, 2011

Note: This certificate is valid as long as the Tester complies with applicable requirements in Caltrans' Independent Assurance Program Manual.

Quality Assurance Program

1. – Independent Assurance Program


TL-0113

B. Caltrans Qualified Laboratory Inspection Report

Look for:

1. Lab Name and Location
2. Test Methods
3. Expiration

State of California Department of Transportation
QUALIFYING LABORATORIES
Form TL-0113



Expiration date: 10-Mar-12
Inspected by: Seree Yenjai
IA No.: 093
Phone: 916-247-1911
File: Materials Category 500

Laboratory: LGC Inland, Inc.
Address: 41531 Date Street
City: Murrieta State: California Zip: 92582
Lab QC Mgr.: Tim Neville e-mail: _____
Telephone: (951) 461-1919 Fax #: _____

A certified Independent Assurance (IA) visited this laboratory on (Date) 10-Mar-11
Only the equipment to be used on Caltrans construction projects and/or local construction projects on the National Highway System was checked for qualification.

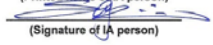
At the time of qualification, this laboratory had all necessary equipment to perform the California Tests (CT) indicated below. Sampling/Testing personnel shall possess current Caltrans Form TL-0111.
"Certificate of Proficiency" prior to performing any sampling or testing.

<u>CT-105</u>	<u>CT-106</u>	<u>CT-125</u>	<u>CT-201</u>	<u>CT-202</u>
<u>CT-216</u>	<u>CT-217</u>	<u>CT-226</u>	<u>CT-231</u>	<u>CT-309</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

A visual check was performed and documents provided as necessary for the following items:

<input checked="" type="checkbox"/>	A written in-house Safety Program
<input checked="" type="checkbox"/>	A written in-house Quality Control Program
<input checked="" type="checkbox"/>	Copies of current (applicable) test procedures
<input checked="" type="checkbox"/>	Verification that the laboratory participates in Caltrans RSP correlation program
<input checked="" type="checkbox"/>	Test equipment summary for calibration/service of equipment
<input checked="" type="checkbox"/>	Calibration stickers affixed to test equipment (dated within the 12 months)
<input checked="" type="checkbox"/>	Summaries of training records
<input checked="" type="checkbox"/>	Personnel certifications/qualifications
<input checked="" type="checkbox"/>	Work experience summaries
<input checked="" type="checkbox"/>	Nuclear gage license


On 11-Mar-11 this laboratory was qualified by _____
Date

Seree Yenjai #093
(Printed name of IA person)

(Signature of IA person)

Quality Assurance Program

1. Independent Assurance Testing

- All signed and dated by Caltrans Independent Assurance staff who issued TL-0111 and TL-0113

Test method & expiration date	Test method & expiration date
	IA #. 93, Seree Yenjai, PE (916) 247-1911
Certified Independent Assurance (IA)	Note: This certificate is valid as long as the Tester complies with applicable requirements in Caltrans' Independent Assurance Program Manual.
Date Issued: <u>February 28, 2011</u>	

Quality Assurance Program

1. – Independent Assurance Program

C. Calibration of Equipment

Make sure the nuclear gauge has a current valid CT calibration sticker on it.

Quality Assurance Program

The main elements of a QAP are :

1. Independent Assurance Program
- 2. Acceptance Program**

Quality Assurance Program

The main elements of the :

2.– Acceptance Program

- A. Acceptance Testing
- B. Certificate of Compliance
- C. Source Inspection

2. Acceptance Program

A. Acceptance Testing

- Frequency Tables:

Appendix D - Acceptance Sampling and Testing Frequencies

Note: It may be desirable to sample and store some materials. If warranted, testing can be performed at a later date.

Portland Cement (Hydraulic Cement)

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Cement/fly ash (Sampling only)	8-lb. sample	If possible, take a least one sample per job, even if the material is accepted based on a Certificate of Compliance.	ASTM D75, C494 CT 125 AASHTO T127, M85, M295	Standard for sampling hydraulic cement or fly ash.
Cement (Testing Only)	8-lb. sample	If the product is accepted based on a Certificate of Compliance, testing is not required. If the product is not accepted using a Certificate of Compliance, test at least once per job.	ASTM C109 CT 515 AASHTO T106	If testing appears warranted, fabricate six 2-in. mortar cubes using the Portland (or hydraulic cement). Test for compressive strength.

Portland Cement Concrete (Hydraulic Cement Concrete)

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Aggregate for Hydraulic Cement Concrete (Sampling & Testing)	50-lb. sample	Take one aggregate sample for each 1000 cu. yd. of PCC/HCC concrete. Test at least one sample per job.	ASTM D75 CT 125 AASHTO M6, T2, M80	Sample aggregate from belt or hopper (random basis).
Water (Sampling & Testing)	Take a two-quart sample using a clean plastic jug (with lining) and sealed lid. Sample at the point of use.	If the water is clean with no record of chlorides or sulfates greater than 1%, no testing is required. If the water is dirty do not use it. Test only when the chloride or sulfates are suspected to be greater than 1%.	CT 405, CT 422, CT 417 AASHTO R23	If testing appears warranted, test for chlorides and sulfates.

22



2.– Acceptance Program

A. Acceptance Testing

Results :

- Timely hard copy to RE (most 24hrs to 72 hrs – see p 16-34)
- RE review/initial
- Log on Summary Sheet
- File

2.– Acceptance Program

A. Acceptance Testing

Chapter 16.14 LAPM (p16-31):

Resident Engineer shall maintain a material and testing “Summary Log” for each material requiring multiple sampling and testing. Include:

- Area Represented: stations, offsets
- depth of test
- Approximate quantity of material represented by the test
- Test results
- Name of Tester
- Cross referencing of failing tests to subsequent passing re-tests.

Material Testing Summary Log (Exh. X-x)

ADA Notice

2.– Acceptance Program

A. Acceptance Testing

If testing is done by a Consultant Laboratory -

- Lab shall have California PE in responsible charge of lab
- The PE shall certify all test results

(p 16-27 LAMP)

Quality Assurance Program

The main elements of a QAP (continued) :

2.– Acceptance Program

- A. Acceptance Testing
- B. Certificate of Compliance**
- C. Source Inspection

2.– Acceptance Program

B. Certificate of Compliance

Chapter 16.14 LAPM (p16-30):

- **Contract documents state which materials can be accepted by COC.**
- **COC shall be furnished with each lot delivered to the work.**

COC shall include:

- **Project number**
- **Manufacturer's Signature (not Contractor's)**
- **Lot number matching material delivered**
- **Statement that it meet the contract specification**

2.– Acceptance Program

B. Certificate of Compliance

Materials Typically Accepted by
Certificate of Compliance per CT
Standard Specifications
(Exhibit 16-T, LAMP)

MATERIALS TYPICALLY ACCEPTED BY CERTIFICATE OF COMPLIANCE
PER CALTRANS STANDARD SPECIFICATIONS - 1995 Edition

Section Material	Page	
20-2.03	Soil amendment	20-2
20-2.07	Fiber	20-2
20-2.08	Mulch	20-3
20-2.11	Stabilizing emulsion	20-4
20-2.15B(1)	Plastic pipe supply line (Limited circumstance)	20-6
20-2.15B(2)	Plastic pipe irrigation line	20-7
24-1.02	Line	24-1
51-1.12F(3)	Preformed elastomeric joint seal	51-19
51-1.12H(1)	Plain and fabric reinforced elastomeric bearing pads	51-22
51-1.12H(2)	Steel reinforced elastomeric bearing pads	51-24
51-1.14	Waterstops (Special Condition)	51-26
52-1.02B	Epoxy coated bar reinforcement	52-1
52-1.04	Reinforcing steel	52-3
55-1.03	Structural Steel	55-2
57-1.02A	Structural Timber & Lumber	57-1
57-1.02A	Treated Timber and Lumber	57-1
58-1.03	Lumber and timber	58-1
61-1.02	Culvert and drainage pipe joints	61-3
64-1.02	Plastic pipe	64-1
65-1.02A(2)	Reinforced concrete pipe	65-4
66-2.02	Aluminum pipe and aluminum pipe arch	66-4
66-3.02	Corrugated steel pipe and corrugated steel pipe arch	66-5
67-1.02	Structural metal plate pipe arches and pipe arches	67-1
68-1.02F	Perforated steel pipe	68-2
68-1.02J	Aluminum underdrain pipe	68-3
68-1.02K	Polyvinyl chloride pipe or polyethylene tubing	68-3
69-1.02A	Steel entrance tapers, pipe downdrains, reducers, coupling bands and slip joints	69-1
69-1.02F	Aluminum entrance tapers, pipe downdrains, reducers, coupling bands and slip joints	69-2
82-1.02D	Metal target plates	82-3
84-3.02	Paint (Traffic stripe)	84-3
86-2.08	Conductors	86-18
86-2.16	Painting of electrical equipment	86-33
86-4.01C	Electrical Components	86-43
88-1.01	Engineering fabric	88-1
90-2.01	Portland Cement	90-3
90-2.02A	Concrete coarse aggregate (Cleaness value)	90-5
90-2.02B	Concrete fine aggregate (Sand equivalent)	90-6
90-4.03	PCC admixtures	90-10
90-10.03	Minor concrete	90-33
92-1.03	Asphalt (Oil)	92-2
93-1.02	Liquid asphalt	93-2
94-1.05	Asphaltic emulsion	94-6
95-1.02	Epoxy	95-1

- Notice of Materials to be Used

- Notice of Materials to be Used

Quality Assurance Program

Mix Designs

- Submittal of Mix Designs by Contractor
 - Mix Design Number
 - Product
 - Specify Area/Location or Item of Work
- Reviewed and Approved by R.E.
 - In writing
 - Copy to File

Buy America



Chapter 12 LAPM states:

All manufacturing processes involved in steel or iron products must occur within the United States.

23 CFR 635.410 AND 23 U.S.C.313

- Rolling
- Extruding
- Machining
- Bending
- Grinding
- Drilling
- Coating
- Welding
- Smelting

Buy America



Buy America Certificate of Compliance must:

- Accompany all steel and iron
- Specify the project number
- Specify lot-number or mill marking
- State that the material complies with the the contract specification (name spec by number)
- Signed by the manufacturer (Not the Contractor)

Buy America



Does not apply to:

- Minimal use of all foreign material in which the total delivery cost to the project site is less than \$2500 or 0.1 percent of the contract amount, whichever is greater.
- Temporary steel (even if left in place for Contractor's convenience)
 - Falsework
 - Sheet piling
 - Shoring

Quality Assurance Program

Materials Certificate

Signing off that “materials
...conform to the plans
and specifications”

(Exhibit 17-G)

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION		
FINAL MATERIALS CERTIFICATION		
CEM-6302 (NEW 7/2009)		
CONTRACT NUMBER	COUNTY, ROUTE, POST MILES	FEDERAL NUMBER
CONTRACTOR NAME AND BUSINESS ADDRESS		
MATERIALS CERTIFICATION		
This is to certify that the results of the tests on acceptance samples show that both the materials used in the construction work and the construction operations controlled by sampling conform to the approved plans and specifications.		
<input type="checkbox"/> No exceptions to the plans and specifications were found.		
<input type="checkbox"/> Exceptions to the plans and specifications are explained below (or on attached sheet).		
RESIDENT ENGINEER SIGNATURE		DATE
DISTRIBUTION: Original - Resident Engineer File Copies - District Construction and FHWA		
ADA Notice: For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-69, Sacramento, CA 95814.		