FEDERAL HIGHWAY ADMINISTRATION (FHWA)
&
CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS)

INTERIM CONSTRUCTION OVERSIGHT PLAN

This plan provides guidelines to local agencies and Caltrans for all Federal-aid projects off the State Highway System (SHS)

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INTERIM CONSTRUCTION OVERSIGHT PLAN

Outlined in this plan are the Local Agency's, the District Local Area Engineer's (DLAE), and Division of Local Assistance's (DLA) responsibilities to ensure that the Local Agency Federal-aid Program is being implemented in substantial compliance with federal regulations.

Program-Level Oversight

Construction Performance Measures:

Caltrans DLA will provide quarterly reports to FHWA on the following data (from LP2000):

- Total Cost at Authorization and Date
- Award Amount and Date
- Original and final number of working days for project completion
- Total Final Cost and Invoice Date

Construction Outreach Information Notice (COIN)

Periodic outreach bulletins to DLAEs and Local Agencies – bulletins will serve as reminders and highlight aspects of contract administration that need improvement. **Attachment #1** is an example of the COIN template to be used. The COIN will be posted on the DLA website, sent to FHWA and the DLAEs for distribution to our Local Agency partners, and sent to the DLA list server subscribers. DLA and FHWA will collaborate to provide local agencies information through web conferencing.

Project-Level Oversight

New and existing responsibilities and oversight procedures for Local Agencies and Caltrans, respectively, per the Local Assistance Procedure Manual (LAPM). All exhibits referred to herein are from the LAPM.

Chapter 4 – Agreements

Local Agency

1. Prepare "Local Agency Agreement Checklist" (Exhibit 4-A) and the "Field Review Form" (Exhibit 7-B), if not previously submitted, for project and send to DLAE.
2. Receive Program Supplement Agreement from DLA. If there is no Master Agreement with Local Agency, send concurrently with Program Supplement Agreement.
3. Agreement(s) is signed by designated signatory or passed by resolution. Agreement(s) is sent back to DLA.
4. Receives a copy of executed agreement from DLA.

Caltrans DLAE

1. DLAE is the local agency point of contact and the liaison between DLA and Local Agency.
2. Input date of local agency QAP into LP2000 with, or prior to the request for authorization of construction.

Caltrans DLA

1. Prepare the Program Supplement Agreement after receiving Exhibits 4-A and 7-B from Local Agency and funds for project have been obligated and/or vote allocated by CTC. If there is no Master Agreement with Local Agency, prepare concurrently with Program Supplement Agreement.
2. Send Program Supplement Agreement to Local Agency, after funds are encumbered by Local Program Accounting.
3. Review and sign the returned Program Supplement Agreement signed by the Local Agency.
4. Copies of the executed Program Supplement Agreement are sent back to Local Agency and Local Program Accounting.
5. DLA will not allow an Authorization for Construction to go forward without an approved QAP.

Chapter 15 – Advertise and Award Project

Outlined in this section are project roles and responsibilities for advertising and awarding the Federal –aid construction project.

Local Agency

1. Receives Caltrans approval of its construction administration procedures, prior to advertising a major NHS project.
2. Prepares the "Local Agency Construction Contract Administration Checklist" (Exhibit 15-A), prior to advertising a construction project, and submits to DLAE.
3. Take all reasonable steps to ensure that DBEs are able to compete for and perform contracts.
4. Fills out the "PS&E Certification" (Exhibit 12-C) and certifies that the project's PS&E package meets all federal and state regulations.
5. Prepares a "Request for Authorization" and, along with other documents (see Section 3.3, "Request for Authorization," of LAPM) send to Caltrans for approval.
6. Advertises a project only after FHWA issues an "Authorization for Construction."
7. Provide the DLAE with one set (two sets for a bridge project) of "as advertised" plans and special provisions, as soon as project is advertised.
8. Advertises the project a minimum period of three weeks. Prepare a PIF and submit to the DLAE for approval, if the Local Agency proposes a shorter advertisement period.
9. Will follow its own established bid opening procedures, provided requirements described in Section 15.5, "Contract Bid Opening" are included.
10. After bid opening, complete the "Bid Tabulation Summary Sheet" (Exhibit 15-D) and the "Local Agency Bid Opening Checklist" (Exhibit 15-I) and place in project records. Also, place in the project records the "Local Agency Bidder – DBE (Construction Contracts) – Information" (Exhibit 15-G) and the "Noncollusion Affidavit (Exhibit 12-E, Attachment D), completed by the successful bidder. If the project is located on the NHS, complete the "Submission of Bid Tabulation" (Exhibit 15-E), and the "Bid Price Data" (Exhibit 15-F), if the project costs is $500,000 or more, and forward both to the DLAE immediately following bid opening.
11. Assure that all bid proposals submitted include a completed addenda certification statement.
12. Must ensure with the DLAE and the RTPA/MPO that there are enough funds available to award the contract, if the bid amount exceeds the Engineer's Estimate.

13. Should perform a bid analysis to justify the award or rejection of the bids for the project in accordance with Subsection "Bid Analysis Process." For a project on the NHS the Local Agency is required to perform a bid analysis.
14. Shall award the project to the lowest responsive and responsible bidder following its normal procedures. If the contract is awarded to other than the lowest bidder, written justification needs to be included in the project records. Also, retain in the project records the executed contract, document the award date and preconstruction meeting minutes. [15-13] (Exceptions to the competitive bid process are described Section 12-4, "Method of Construction," specifically force account.)
15. Conduct approximately every 2 years a post-award review of projects to see if any abnormal bid patterns exist.
16. Shall terminate and complete defaulted federal-aid contracts in accordance with Subsection "Termination of Contracts."
17. Will submit within 60 days of award and with the first invoice the following documents to the DLAE:

    "Local Agency Contract Award Checklist" (Exhibit 15-L)

    "Detail Estimate" (Exhibit 15-M)

    "Finance Letter" (Exhibit 15-N)

    "Resident Engineer's Construction Contract Administration Checklist" (Exhibit 15-B)

    "Local Agency Bidder – DBE (Construction Contracts) Information" (Exhibit 15-G (2))

Caltrans DLAE

1. Approves PIF for contract advertisement period of less than 3 weeks.
2. Approves the construction administration procedures for major NHS projects.
3. Reviews and concurs with the Local Agency on terminating a contract for a FHWA High Profile project. Forwards the recommendation to DLA to FHWA for approval.
4. Review the "Local Agency Contract Award Checklist" (Exhibit 15-L) to determine if project is eligible for federal funds.
5. Reviews all documents sent from the Local Agency for format and reasonableness. Required documents are sent to DLA. If the documents include the first invoice also send to Local Program Accounting, after review and approval.
6. Will prepare a revised E-76 after receiving the "Detail Estimate" (Exhibit 15-M) from the Local Agency.

Caltrans DLA

1. Will review the award package supplied with the first invoice, and will track forms included or missing from the award package and ensure that the DBE information provided is entered into LP2000. If the DBE information supplied is not entered into LP2000, will enter it. A copy of the "Local Agency Bidder – DBE (Construction Contracts) Information" (Exhibit 15-G (2)) will be kept on file.

Chapter 16 – Administer Construction Contract

Outlined in this section are project roles and responsibilities for administering the Federal-aid construction contract.

Local Agency

1. Ensures that force account work is in compliance with Section 12.4, "Contracting Method," of the LAPM.
2. Will provide adequate field staff and equipment to administer the construction project, including a qualified engineer, and fulfill all requirements of the contract. Names and titles of the staff members shall be kept in the project records.
3. Will employ field staff that are knowledgeable of safety rules and regulations, i.e., FHWA Form 1273 Section VIII, "Safety – Accident Prevention," and the California Division of Industrial Safety "Construction Safety Orders."
4. If using a consultant for construction engineering, will provide a full-time employee that is in responsible charge of the project. However, this requirement is waived if a consultant is being retained as the City Engineer.
5. Will ensure that the contractor designates, in writing, a person authorized to supervise the work and to act for the contractor.
6. Ensures that material samples are taken and testing performed in accordance with the Local Agency's Quality Assurance Program and contract special provisions.
7. Ensures that daily reports are kept by the engineer and inspectors of their and the Contractor's activities. Daily reports will follow the guidelines in Section 16.7, "Engineer's Daily Reports."
8. Resident Engineer may ask for help from the DLAE, if a construction problem arises.
9. Is encouraged to partner with the Contractor to maintain open communication and to mutually resolve field problems to the benefit of all parties.
10. Should schedule a preconstruction meeting with the Contractor, major subcontractors, DLAE and other affected agencies; local, state or federal authorities and utility companies.
11. Shall maintain a record of the contractor's progress and keep track of the number of working days.
12. Shall follow the subcontracting procedures outlined in Section 16.6, "Subcontracting," for federal-aid projects on the NHS. Specifically, minimum percentage of work that a Contractor must do with their work force and the substitution of first tier subcontractors.
13. Ensures job records are complete, in one location, and organized in accordance with subsection "Organization of Files."
14. Will prepare a progress invoice and submit to the DLAE and Local Program Accounting Branch for reimbursement. The progress invoice will be supported with documentation outlined in Section 16.9, "Construction Records and Accounting Procedures."
15. Will designate a labor compliance officer who will ensure that labor compliance regulations are met in accordance with the contract special provisions and Section 16.11, "Labor Compliance."
16. For labor compliance violations the Local Agency will notify DLAE and the US Department of Labor.
17. Will document the Contractor's compliance with EEO requirements in accordance with FHWA Form 1273. Will collect and submit to the DLAE FHWA form PR-1391 by August 25 of each year.
18. Shall prepare change orders for changes to the contract work. Change orders shall be executed by the Local Agency prior to the start of the change order work. Will not execute change orders that require authorization of additional federal funds, until receiving written confirmation from the DLAE and RTPA/MPO that funds are available. However, if the change order is for emergency work, verbal approval from the DLAE and RTPA/MPO is acceptable, to be followed up in writing. For additional information on change orders, see Section 16.13, "Contract Change Order," and Chapter 5, "Change Orders," of the Caltrans Construction Manual.

19. Will use the Dataquest Rental Rate Blue Book or Caltrans' Labor Surcharge & Equipment Rental Rate to determine change order costs for the Contractor's equipment.
20. Will determine if the change order work is participating or not, in regards to using federal funds. Questions regarding this matter may be directed to the DLAE.
21. Will have an updated Quality Assurance Program, for testing materials, that is in accordance with the Caltrans "Quality Assurance Program (QAP) Manual For Use by Local Agencies" Manual, as posted on the Local Assistance web site.
22. Will notify the DLAE and METS when independent assurance assistance is needed and will have METS review the local agency's QAP.
23. Will provide as needed source inspections for manufactured and prefabricated materials at locations other than the construction site. If the Local Agency is unable to perform source inspection and qualified consultants are unavailable, contact the DLAE and request that Caltrans perform the source inspection in accordance with subsection "Source Inspection."
24. Will incorporate into the job records all material records of samples and tests, material releases, certificate of compliance, weight slips/tags, and initial test reports.
25. Shall provide the DLAE a "Materials Certificate" after the project has been completed.
26. Will avoid claims by preparing contract documents that are accurate, current, and complete. However, if claims do occur the Local Agency will follow the administrative claims procedure in the contract special provisions. Complex claims should be brought to the attention of the DLAE.
27. Will provide the Contractor with all required posters to be posted on the job site.
28. Shall have a traffic control plan (TCP) for handling traffic through the construction work zone and a responsible person to assure that the TCP is followed.

Caltrans DLAE

1. DLAE will participate in and document pre-construction meetings on a periodic basis.
2. DLAE provides assistance to Local Agency Resident Engineers if staff is available.
3. Review all local agency invoices (progress/final) and support documentation and approve before sending to Local Program Accounting. See Chapter 5, "Accounting/Invoices" for detailed progress/final invoice format, support documentation and processing requirements
4. DLAE shall periodically perform inspections of the Local Agency's job records.
5. DLAE will keep track of labor compliance violations on projects.
6. DLAE and District Labor Compliance will monitor Local Agency labor compliance through a process review or mini process review.
7. DLAE will collect the FHWA form PR-1391 and forward to the Division of Local Assistance Civil Rights Coordinator no later than August 30 of each year.
8. Will help Local Agencies determine if change order work is participating or not, in regards to using federal funds.
9. Will conduct process reviews to monitor change orders annually.
10. Will assist the Local Agency in obtaining independent assurance (IA) services and source inspection from METS.
11. Will provide limited guidance to the Local Agency on contractor claims, depending on the complexity and size of the claim, and the availability of the DLAE's staff.

Caltrans DLA

1. Delegates responsibility of contract administration and construction inspection to Local Agencies by way of master agreements and program supplements.

Caltrans METS

1. Will perform independent assurance (IA) services, in accordance with the QAP Manual, for Local Agencies with Federal-aid projects on and off the NHS. Will certify Local Agency and consultant material labs, samplers and testers in the use of the California Test Methods. Will review the Local Agency's or consultant's submitted QAP and provide feedback to the Local Agency, consultant and DLAE.
2. While performing IA services, will interview R.E. with a set of questions, see **Attachment #2**, to test R.E.'s knowledge of the QAP and maintaining material records. Responses to question will be kept in a database and will help identify for METS changes needed to enhance future IA service to local agencies.
3. Will perform source inspections for Local Agencies, if resources are available.

Caltrans DLA - Construction Oversight Engineers

The construction oversight engineers will be located throughout California and will be responsible for monitoring local agency federal-aid construction projects off the state highway system taking place in a region or district.

Oversight engineers will be responsible for the following:

1. Visit 5 to 10 project sites per month.
2. Visit project site 3 times:
   a) Start of construction, preferably at the pre-construction meeting or before the work has started. Will go over "Review Form," see **Attachment #3**, with R.E. and answer any questions he or she may have.
   b) Mid-point of project or during active construction season. Will perform review in accordance with the "Review Form."
   c) After job acceptance, perform another review.
3. "Review Form" will be graded on % of yes responses. Overall goal is 100%. The oversight engineer will also comment in writing on outstanding issues both good and bad.
4. "Review Form" will go to HQ and DLAE
5. DLAE will send to Local Agency and work with Local Agency on any shortcomings
6. Conflict between DLAE, Oversight Engineer and Local Agency will be decided by DLA.

Caltrans DLA - Construction Oversight Program Coordinator

A Senior Level Engineer will act as the Statewide Construction Oversight Program Coordinator in Division of Local Assistance Headquarters, and will be responsible for the following:

1. Will determine projects to be reviewed. This will be done using LP2000 and choosing projects at random.
2. Will work with oversight engineers to ensure consistency in evaluating local agencies. This may include traveling with oversight engineers and observing site reviews.
3. Will act as a liaison with FHWA and oversight engineers.
4. Prepare quarterly reports to FHWA:
   a) List number and type of negative responses
   b) Scores – Goal is 100%
   c) Number of projects reviewed
   d) Stage of construction, i.e., first or last inspection
   e) Actions to correct problems – COIN, training or withholds
5. Ensure data from reviews is input into database.
6. Will input data from "Review Form" into LP2000.
7. Help resolve conflicts between parties, i.e., local agency, DLAE and oversight engineer and if conflicts can not be resolved to the satisfaction of all the parties, will make the final decision.
8. Work with other divisions within Caltrans/FHWA to keep up with construction practices.
9. Modify "Review Form" to keep current and proactive.
10. Prepare Construction Outreach Information Notice (COIN), a periodic outreach bulletin to DLAEs and Local Agencies that will serve as a reminder and highlight areas and aspects of contract administration needing improvement. The COIN will be posted on the DLA website, sent to FHWA and the DLAEs for distribution to our Local Agency Partners, and also sent to the DLA list server subscribers.

Division of Occupational Safety and Health

Will inspect construction site for worker safety and take action if unsafe or unsanitary conditions exist.

FHWA

Review job records in field.

Chapter 17 – Project Completion

Outlined in this section are project roles and responsibilities for closing a Federal-aid construction contract.

Local Agency

1. Shall document environmental mitigation commitments for the final inspection Report of Expenditures in accordance with Section 17.3, "Final Inspection Procedures for Federal-aid Projects."
2. Will create punch list of work to be completed prior to contract acceptance. After all work has been finished and the construction contract has been accepted, will complete Item 1-10 of the "Local Agency Final Inspection Form" (Exhibit 17-C) and forward to the DLAE.
3. Shall provide "As-Built" plans of the structure work to the DLAE.

4. Will prepare the "Report of Expenditures" within 6 months after project completion and submit to the DLAE. It shall include the following:

    a) Cover Letter and Report of Expenditures Checklist (Exhibit 17-A)
    b) Local Agency Final Inspection Form (Exhibit 17-C)
    c) Final Invoice (Exhibit 17-D)
    d) Final Detail Estimate – see Section 15.7 "Award Package"
    e) Change Order Summary (Exhibit 17-E)
    f) Final Report, Utilization of Disadvantaged Business (DBE) and Woman-Owned Business Enterprise (Exhibit 17-F)
    g) Disadvantaged Business Enterprises (DBE) Certification Status Change (Exhibit 17-O)
    h) Materials Certificate (Exhibit 17-G)
    i) Cover Letter and Report of Completion of Structures on Local Streets and Roads (Exhibit 17-I and 17-J)
    j) Report of Completion of Right of Way Expenditures (Exhibit 17-K)
    k) Report of Expenditures for Force Account Projects (Exhibit 17-L)

6. Ensure the Final Invoice and the Final Detail Estimate match.

7. Maintain project documentation for three years from the date of the final invoice.

Caltrans DLAE

1. Will review the job site, after receiving the "Local Agency Final Inspection Form" (Exhibit 17-C) from the Local Agency, and verify that the project was completed within scope of the work contemplated and in accordance with the contract plans. If the work is satisfactory, will complete Item 11-13 of the" Local Agency Final Inspection Form" (Exhibit 17-C), sending a copy to the Local Agency.

2. Will forward structure "As-Built" plans on to the Division of Construction, along with a copy of the "Report of Completion of Structures" (Exhibit 17-J).

3. DLAE will review the Report of Expenditures for correct format and obvious error and/or admissions. After the DLAE verifies the report shall forward to Local Program Accounting.

4. Will input final cost and final invoice date into LP2000.

5. Will receive the Cover Letter and Report of Completion of Structures on Local Streets and Roads (Exhibit 17-I and 17-J) from the Local Agency.

Caltrans Oversight Engineer

1. Will review FHWA Full Oversight (New or Reconstruction > $1 Million) project site, after receiving the "Local Agency Final Inspection Form" (Exhibit 17-C) from the Local Agency, to ensure that the project has been completed in accordance with the plans and specifications. If all work is satisfactory, will forward the information to FHWA.

2. Coordinate final inspection with FHWA in accordance with Caltrans "Oversight Field Engineer Guidelines."

Caltrans DLA

Receive copy of the Final Report of Expenditure and close out project after Local Program Accounting submits final invoice to Local Agency.

FHWA

For "High Profile" Projects (for criteria see California Stewardship & Oversight Agreement signed (September 4, 2007) inspect to ensure that the project has been completed in accordance with the plans and specifications.

FEDERAL-AID PROJECT RESPONSIBILITIES FOR DELEGATED PROJECTS OFF THE NATIONAL HIGHWAY SYSTEM[1]

(Pursuant to the 2007 FHWA and Caltrans - *Joint Stewardship and Oversight Agreement*)

Project Action/Activity	Local Agency	Caltrans DLAE	Caltrans DLA	FHWA
Project Authorization (Chapter 3)				
Construction Authorization [23 CFR 630.110]	Prepare	Recommend	Recommend	Approve[2]
Obligate Funds	-	-	-	Approve
Vouchers	-	-	-	Approve
Advertise & Award Project (Chapter 15)				
Consultant Agreements [23 CFR 172.7-172.9]	Approve	-	-	-
Public Interest Finding (PIF) - Advertising Less than 3 Weeks [23 CFR 635.112]	Prepare	Approve	-	-
Advertise Project	Approve	-	-	-
Advertisement Addendum [23 CFR 635.1129(c)]	Approve	-	-	-
Award of Project [23 CFR 635.114]	Approve	-	-	-
Rejection of All Bids [23 CFR 635.114]	Approve	-	-	-
Award Package – Including DBE Reporting	Prepare	Accept	-	-
Administer Construction Contract (Chapter 16)				
Contract Administration and Inspection	Certify	Verify[3]	-	Verify[2]
Subcontracting Requirements [23 CFR635.114]	Certify	-[2]	-	--[2]
Quality Assurance Program	Approve	Accept[2]	-	--[2]
Contract Change Orders (no increase in federal funds)	Approve	--[2]	-	--[2]
E-76 Modification for CCO with increases in federal funds	Prepare	Recommend	Recommend	Approve[1]
Environmental Commitments	Implement	-[2]	-	-[2]
Contract Time Extensions [23 CFR635.120&121]	Approve	-[2]	-	-[2]
Termination of Construction Contract [23 CFR 635.125]	Approve	-[2]	-	-[2]
Settlement of Construction Contract Claims	Approve	-[2]	-	-[2]
Incentive/Disincentive Amount Justification [23 CFR 635.127]	Approve	-[2]	-	-[2]
Liquidated Damages [23 CFR 635.127]	Approve	-[2]	-	-[2]
Materials Certification [23 CFR 637.207]	Certify	Accept	-	-
Reimbursement Invoice	Prepare	Recommend	Recommend	Approve
Project Completion (Chapter 17)				
Final Inspection/Contract Acceptance [23 USC 114(a)]	Approve	-	-	-
Project Verification	Recommend	Approve	-	-

[1] These project responsibilities also apply to delegated activities on High Profile Projects.
[2] FHWA performs a cursory review of all authorizations, modifications and final vouchers; a more in-depth review is performed on sampled projects.
[3] Verification is defined as routine, independent confirmation of local agency self-certifications for sampled projects. Caltrans and FHWA can verify any aspect of construction contract administration as part of construction field reviews.

Project Action/Activity	Local Agency	Caltrans DLAE	Caltrans DLA	FHWA
Final Report of Expenditures	Prepare	Approve	?	Approve[1]
Post-Project Audits			?	Verify[2]

DIVISION OF LOCAL ASSISTANCE

CONSTRUCTION OVERSIGHT INFORMATION NOTICE

DLA COIN Issue #09-01 Release date: April 28, 2009

Welcome to C O I N !

This is the first issue of a new Caltrans Local Assistance Program publication — the Construction Oversight Information Notice, or "**COIN**" for short. These short, single-topic bulletins are intended to provide outreach information and guidance to local agencies on issues pertaining to the construction of Federal-aid projects. They will cover a wide variety of subjects, including discussions of findings resulting from process reviews by Caltrans and/or FHWA, changes in procedures or regulations, reminders of existing procedures or best practices, and other timely information. The goal is to ensure proper and timely delivery of Federal-aid projects. Please ensure that Resident Engineers on all Federal-aid projects receive copies of these notices.

Our First Topic: Keeping Adequate Construction Records

The issue: A significant point made in the FHWA "Local Agency Program Review, Phase II" report, dated September 2008, relates to project records. Specifically, one of the most recurrent findings was that project files were incomplete, and that documentation problems were most often found in the construction phase. As the report states, "**complete and organized projects files are essential in demonstrating compliance with laws, regulations and policies.**" Important construction record keeping areas include:

- Project correspondence
- Materials data (including inspection and testing reports)
- Resident Engineer/Construction Inspector daily diaries
- Contract item pay quantity documents
- Contract Change Orders (CCO's) and claims
- Labor Compliance/EEO records (including certified payrolls and employee interviews)
- DBE participation reports

Our advice: The best source of information for construction project record keeping requirements is the **Caltrans Local Assistance Procedures Manual (LAPM)**. In particular, **Exhibit 15-B, the "Resident Engineer's Construction Contract Administration Checklist"**, and **Chapter 16, "Administer Construction Contracts"** contain valuable information on this subject. You can find these resources at our website, **http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm**. Your Caltrans District Local Assistance Engineer (DLAE) can also help you with any questions you may have.

The Construction Oversight Information Notice (COIN) is prepared by Caltrans, Division of Local Assistance, Office of Policy Development and Quality Assurance. Comments or suggestions should be directed to the COIN Editor: Tom_Glover@dot.ca.gov .

LOCAL ASSISTANCE CONSTRUCTION OVERSIGHT

ASSESSMENT NO. (example NO. IA09- 01David, or I IA09-02David, so on)
FEDERAL AID NO.
PROJECT:
LOCAL AGENCY:
RESIDENT ENGINEER: DATE:

A. QUESTIONS FOR RESIDENT ENGINEER	Unsatisfactory*	Satisfactory	Excellent*
1. Is there an approved Quality Assurance Program (QAP)?			
2. Is the QAP being followed?			
3. Are records of material tests organized and accessible?			
4. Is staffing available to perform materials testing as needed?			
5. Are samplers, testers, and laboratory certified and by whom?			
6. What materials are accepted by the RE by certification?			
7. Do records show failed tests and actions taken by RE?			
8. Are Certificates of Compliance being provided per the contract?			
9.Is source inspection occurring of material listed in LAPM Exh16-I?			
10. Are "Buy America" requirements met on invoices/certifications?			
	* Provide written justification		

4.17.09

B. DISCUSSION

Discuss the following areas below with the local agency:

1. How is Independent Assurance (IA) now performed?
2. Is the local agency aware of METS IA services?
3. Is their present IA program satisfactory?
4. What are their material testing capabilities?
5. Is contractor paid only for acceptable materials?
6. Is a consultant being used for materials testing?
7. If so, how was the consultant selected?
8. Are California Test Methods used? If not, what are?

Distribution: Original: IA file, Copy: METS, DLAE (for action), DLA Oversight Engr

9/06/01

District Construction Monitor
Review Form

Local Agency: _____ **Project No.** _____
Reviewed by: _____
Date: _____ **Contract Amount $** _____ **% Work Complete** _____
Type of Work: _____ **Location:** _____

(LAPM Page #)

Project Staffing: (16-5)
Is there a list of names and titles of all staff assigned to the project?
yes ☐ no ☐ Comments:

Who is the Resident Engineer, and is that person in responsible charge of the project?
yes ☐ no ☐ Comments:

In Case of Emergency: (16-13)

Is there a list of names, addresses, and telephone numbers of responsible members of Local Agency/Consultant/Contractor's personnel?
yes ☐ no ☐ Comments:

Is there a map showing the location of a neighborhood medical facility with their address, telephone number and office hours? (Review jobsite)
yes ☐ no ☐ Comments:

Authorization: (15-6)
What is the date of the "Authorization to Proceed for Construction"?

What was the date the project was advertised?

What was the bid opening date?

Project Files: (16-10)
Are the files in an established order?
yes ☐ no ☐ Comments:

Index used on this project is local agency's standard for all jobs ☐
Or, for Federal-aid jobs only ☐
Comments:

Resident Engineer's/Construction Inspectors Daily Diaries: (16-10 & 16)
Are they current, thorough, and neat?
yes ☐ no ☐ Comments:

Construction Records and Accounting Procedures: (16-12)
Is the Detailed Estimate and Finance Letter in the project files?
yes ☐ no ☐ Comments:

Does the RE know the amount of Federal-aid funds encumbered for the project?
yes ☐ no ☐ Comments:

Is the Program Supplement Agreement on file?
yes ☐ no ☐ Comments:

Is the RE aware of the Program Supplement Agreement covenants?
yes ☐ no ☐ Comments:

Are there source documents supporting progress payments made to contractor?
yes ☐ no ☐ Comments:

Are there separate item sheets for each contract item paid? Randomly check.
yes ☐ no ☐ Comments:

Is there a procedure for Administrative or Labor Compliance deductions in the contract?
yes ☐ no ☐ Comments:

Is the State invoiced after progress payments are made to the contractor?
yes ☐ no ☐ Comments:

Contract Time: (16-8)
Is there an established method to account for contract time?
yes ☐ no ☐ Comments:

Labor Compliance: (16-15)
Are diaries spot-checked against certified payrolls?
yes ☐ no ☐ Comments:

What is the established method?

EEO/Wage Rate Posters: (16-16)
Are the Federal posters posted for every worker to see at, or near, the contractor's office at the construction site, or at the worker's central gathering point? (Review jobsite)
yes ☐ no ☐ Comments:

Employee Interviews: (16-16)
Is the local agency conducting employee interviews?
yes ☐ no ☐ Comments:

Have the interviews been signed and dated?
yes ☐ no ☐ Comments:

OJT: (12-22 & 16-16)
Are OJT requirements included in the contract?
yes ☐ no ☐ Comments:

Is there documentation to account for the apprentices on the job?
yes ☐ no ☐ Comments:

DBE: (9-4)
Is a copy of the contract Bidder DBE Information Form in the project files?
yes ☐ no ☐ Comments:

What was the contract DBE goal?

What is the contractor's DBE goal?

If the contractor's goal is less than the contract goal, is there a "good faith" statement in the project files?
yes ☐ no ☐ Comments:

How is the local agency checking for DBE goal compliance?

Payrolls?
yes ☐ no ☐ Comments:

Interviews?
yes ☐ no ☐ Comments:

Diaries?
yes ☐ no ☐ Comments:

Additional Methods:

Prompt Payment: (9-9)
What does the RE know about the subcontractor prompt payment requirements in the contract?
yes ☐ no ☐ Comments:

CCOs: (16-18)
Is there a process for CCO approval?
yes ☐ no ☐ Comments:

List of the approved CCOs.
yes ☐ no ☐ Comments:

Randomly check CCOs for Federal-aid eligibility, report on findings.
Comments:

Traffic Safety in Highway and Street Work Zones: (16-45)
(If the project involves work on a existing highway or roadway)

Is there a Traffic Control Plan (TCP)/Traffic Management Plan (TMP) in the PS&E?
yes ☐ no ☐ Comments:

Field review the project to see if the TCP/TMP agrees with the actual conditions, report on findings.
Comments:

Is the local agency analyzing construction work site traffic accidents for the purpose of correcting deficiencies, which might be found to exist on individual projects and to improve the content of future TCP/TMPs?

Materials Files: (16-23)
Is the Local Agency's Quality Assurance Program (QAP) in the RE's Office?
yes ☐ no ☐ Comments:

If local agency staff is performing acceptance testing, are copies of the local agency material tester's certification in the project files?
yes ☐ no ☐ Comments:

Has the local agency hired a consultant to do the materials testing for this project?
yes ☐ no ☐ Comments:

Is there a copy of the consultant's QAP in the project files?
yes ☐ no ☐ Comments:

Is the local agency adhering to their QAP?
yes ☐ no ☐ Comments:

Do the files back it up?
yes ☐ no ☐ Comments:

Does the local agency have a procedure for and filing of:

Notice of Materials to be used?
yes ☐ no ☐ Comments:

Certifications of Compliance?
yes ☐ no ☐ Comments:

Do all Certifications of Compliance contain the required information?
yes ☐ no ☐ Comments:

"Buy America" Requirements included on invoices and certifications?
yes ☐ no ☐ Comments:

Are there Acceptance Sampling and Testing Reports in the files?
yes ☐ no ☐ Comments:

Are trial batch test results properly identified and acceptable?
yes ☐ no ☐ Comments:

Is there a "Summary Log" of tests?
yes ☐ no ☐ Comments:

What is the frequency of tests?

Frequency tables used?
yes ☐ no ☐ Comments:

Is the frequency of tests being monitored?
yes ☐ no ☐ Comments:

Are failed tests documented in the files with cross references to re-tests?
yes ☐ no ☐ Comments:

Does the Resident Engineer see the test reports?
yes ☐ no ☐ Comments:

Environmental: (6-15)
Is the environmental document for this project in the RE's files?
yes ☐ no ☐ Comments:

Is the construction project adhering to the mitigation requirements in the document?
yes ☐ no ☐ Comments:

Bridge Projects (only)

Concrete records (16-23)

Are all approved concrete mixes on file?
yes ☐ no ☐ Comments:

Was a letter of approval written for all approved mixes?
yes ☐ no ☐ Comments:

Are proper tests being recorded on pour record?
yes ☐ no ☐ Comments:

Are load slips for PCC being properly filled out?
yes ☐ no ☐ Comments:

Bridge CCO's (16-18)

For bridge design changes, has the bridge designer authorized the change?
yes ☐ no ☐ Comments:

Review set of approved falsework plans.(16-3)

Is the falsework log on file?
yes ☐ no ☐ Comments:

Properly stamped?
yes ☐ no ☐ Comments:

Plans for erection & striping provided?
yes ☐ no ☐ Comments:

Calculations complete?
yes ☐ no ☐ Comments:

Are the records of camber and falsework deflection calculations performed by the Engineer?
yes ☐ no ☐ Comments:

Are records of falsework soffit and deck grades supplied to the contractor by the Engineer which will accommodate falsework settlement, falsework deflection, and the bridge camber requirements?
yes ☐ no ☐ Comments:

Is there a letter from the contractor certifying that the erected falsework substantially meets the approved falsework plans **prior** to concrete pour of bridge soffit/deck ?
yes ☐ no ☐ Comments:

Are there any records of falsework settlement during and after the concrete pour?
yes ☐ no ☐ Comments:

Prestressing (16-3)

(If the contract requires prestressing.)

Are the initial shop drawings for prestressing (submitted by the contractor) on file?
yes ☐ no ☐ Comments:

Are they properly stamped?
yes ☐ no ☐ Comments:

Are the final set of shop drawings for prestressing on file?
yes ☐ no ☐ Comments:

Properly stamped?
yes ☐ no ☐ Comments:

Is there a record in the RE/inspector's diary to indicate that the prestressing ducts were checked for any obstruction after the soffit/deck concrete pour, and before placing the strands?
yes ☐ no ☐ Comments:

Are the records of actual prestressing in file?
yes ☐ no ☐ Comments:

Are the contractor's pressure gauges certified? Is the gauge certification still valid?
yes ☐ no ☐ Comments:

Is there a proper documentation of, i) Actual strand elongation v/s theoretical elongation?, ii) Load cell readings v/s contractor's gauge readings?
yes ☐ no ☐ Comments:

Are there records of grouting in file? Is the certificate of compliance for the cement used in file?
yes ☐ no ☐ Comments:

Profilographs (16-23)

(If there is a new bridge deck, or if the existing deck has been modified)

Are the profilographs taken before and after the deck grinding? Are all the profilograph records in file?

Review set of approved shoring plans (16-3)

(If there is shoring on the project.)
Properly stamped?
yes ☐ no ☐ Comments:

Calculations complete?
yes ☐ no ☐ Comments:

Welding (16-23)

(If there is welding in the contract.)

Does the contract require the Contractor to have a Quality Control Plan for welding?
yes ☐ no ☐ Comments:

Is a copy on file?
yes ☐ no ☐ Comments:

Are all Welder qualification tests on file?
yes ☐ no ☐ Comments:

Are the Weld Procedures Specifications on file?
yes ☐ no ☐ Comments:

Are the Contractor's certified copies of test reports for electrodes on file?
yes ☐ no ☐ Comments:

Are "As built" changes being currently maintained on a set of plans or in a file? (17-4)
yes ☐ no ☐ Comments:

Additional comments: