MEMORANDUM

To: DEPUTY DISTRICT DIRECTORS, Construction  
DEPUTY DISTRICT DIRECTORS, Project Management  
DEPUTY DIVISION CHIEF, Structure Construction  
DEPUTY DIVISION CHIEF, Materials and Testing  
CONSTRUCTION MANAGERS  
SENIOR CONSTRUCTION ENGINEERS  
RESIDENT ENGINEERS

From: MARK LEJA  
Chief  
Division of Construction

Date: August 20, 2008

File: Division of Construction CPD 08-5

Subject: Quality Management Work on the State Highway System

Deputy Directive 90, “Funding of Quality Management Work on State Highway Projects,” outlines how quality management work will be performed for state highway system (SHS) projects and requires the implementing agency to develop a quality control plan for the construction phase.

Deputy Directive 23-R1, “Roles and Responsibilities for Development of Projects on the State Highway System,” requires that Caltrans ensure that all projects on or proposed for the SHS are constructed efficiently and effectively in accordance with standards and practices defined in various Caltrans policies, procedures, manuals, and guidance documents.

During construction, the implementing agency is the entity that advertises, awards, and administers the construction contract. For example, Caltrans is the implementing agency on contracts that it advertises, awards, and administers.

When Caltrans is the implementing agency for construction contracts, quality management work consists of quality control, quality assurance, and independent quality assurance (IQA) activities described in the contract, structures construction technical manuals, and the Construction Manual.

When a government agency or private entity is the implementing agency, Caltrans performs IQA services to ensure that quality management work is performed by the implementing agency. When the implementing agency is a private entity, Caltrans performs IQA services at the private entity’s expense. Caltrans may also perform a limited amount of quality assurance work for the private entity on a reimbursement basis. When a government agency is the implementing agency, Caltrans IQA services are provided at state expense. Caltrans may perform a limited amount of the government agency’s quality assurance responsibilities on a reimbursed basis. These activities could include source inspection, acceptance testing, and construction inspection.

When a government agency or private entity is the implementing agency:

1. The contractor is responsible for providing quality control as described in the construction contract and encroachment permit.

2. The implementing agency’s resident engineer is responsible for providing quality assurance as detailed in the Construction Manual Supplement for Local Agency Resident Engineers.

“Caltrans improves mobility across California”
3. The implementing agency’s structure representative is responsible for providing quality assurance as detailed in the *Local Agency Structure Representative Guidelines*.

4. The Caltrans district construction oversight engineer’s IQA work is defined in the *Oversight Engineer Field Guidelines*.

The *Construction Manual Supplement for Local Agency Resident Engineers* and the *Local Agency Structure Representative Guidelines*, attached to this directive, provide guidance to the implementing agency when it administers a construction project that modifies, maintains, or improves the SHS. District and Office of Structures Construction oversight engineers should provide copies of these guidelines to the implementing agency at the project development team meeting where the construction phase cooperative agreement is discussed or at the pre-construction meeting where roles, responsibilities, and procedures are discussed.

In the new PACT (Project Agreement Construction Tool), standard language to prepare cooperative agreements requires the implementing agency for the construction phase to develop a quality management plan. The *Construction Manual Supplement for Local Agency Resident Engineers* and the *Local Agency Structure Representative Guidelines* are for government agencies and private entities to use to prepare their quality management plan. Caltrans district construction, with input from structures construction for projects involving structures, must approve the quality management plan before the encroachment permit for construction is issued. A recommended outline for a quality management plan is attached to this directive. The Division of Construction has also posted the outline on its website:

http://www.dot.ca.gov/hq/construc/

For construction projects where the implementing agency is not Caltrans, Caltrans may provide source inspection on a reimbursed basis to the implementing agency. If the implementing agency proposes to perform its own source inspection, it is required to prepare a separate source inspection quality management plan. The state materials engineer must approve each source inspection quality management plan prior to issuance of the encroachment permit for construction. The state materials engineer will ensure that the implementing agency has prepared a quality management plan conforming to Caltrans standards. A recommended outline for source inspection quality management plan is attached to this directive. The Division of Construction has also posted the outline on its website:

http://www.dot.ca.gov/hq/construc/

The Division of Construction offers training to government agencies or private entities about construction management and quality management plans. For further information, please contact Rick Gifford, Office of Contract Administration at (916) 657-5211 or Rick_Gifford@dot.ca.gov.

Attachments

cc: Terry Abbott
    Robert Copp
    Bob Pieplow
    David Youmans

“Caltrans improves mobility across California”