



<b>MANUAL CHANGE TRANSMITTAL</b>		NO. 04-1
TITLE: Department of Transportation <i>Construction Manual</i>	APPROVED BY:  Robert Pieplow Chief, Division of Construction	DATE ISSUED: July 1, 2004
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SUBJECT AREA Index, Appendix, Forms, and other areas of the <i>Construction Manual</i> listed below.	ISSUING UNIT Division of Construction	
SUPERSEDES CPB 04-1	DISTRIBUTION All Manual Holders	

The purpose of this manual change transmittal is to provide updates and corrections to the 2001 edition of the Caltrans *Construction Manual*. Please update your manual in accordance with the table below. The relevant pages are indicated in the table.

Section(s)	Remove Old Page(s)	Insert New/Revised Page(s)
Update: Table of Contents, is replaced with a revised section.	TOC.3 thru TOC.4	TOC.3 thru TOC.4
Update: Chapter 2, Section 215, "Construction Zone Enhanced Enforcement Program," is replaced with a revised section.	2-2.11 thru 2-2.16	2-2.11 thru 2-2.16
Update: Chapter 3, Section 606, "Out-of-State Fabrication," is replaced with a revised section.	3-6.3 thru 3-6.4	3-6.3 thru 3-6.4
Update: Chapter 3, Section 801C(1), "Substitution Process," is replaced with a revised section.	3-8.3 thru 3-8.4	3-8.3 thru 3-8.4
Update: Table 3-8.2, "Violation of Subletting and Subcontracting Fair Practices Act Flowchart," is replaced with a revised flowchart.	3-8.7 thru 3-8.8	3-8.7 thru 3-8.8

<b>Section(s)</b>	<b>Remove Old Page(s)</b>	<b>Insert New/Revised Page(s)</b>
Update: Golden Rod, Chapter 3, Section 9, "Measurement and Payment."	3-9.i thru 3-9.ii	3-9.i thru 3-9.ii
Update: Chapter 3, Section 909, "Retentions," and Section 910, "Payment After Acceptance," are replaced with revised sections.	3-9.23 thru 3-9.26	3-9.23 thru 3-9.26
Update: Chapter 4, Section 9003A, "Proportioning and Mixing Operations," is replaced with a revised section.	4-90.13 thru 4-90.16	4-90.13 thru 4-90.16
Update: Golden Rod, Chapter 5, Section 0, "Conduct of the Work," is replaced with a revised section.	5-0.i	5-0.i
New: Chapter 5, Section 008, "Solid Waste Disposal and Recycling Reporting."	N/A	5-0.11
Update: Golden Rod, Chapter 5, Section 1, "Project Records and Reports," is replaced with a revised section.	5-1.i thru 5-1.v	5-1.i thru 5-1.v
Update: Chapter 5, Section 1, "Project Records and Reports," is replaced with a revised section.	5-1.1 thru 5-1.72	5-1.1 thru 5-1.74
Update: Chapter 8, Section 102A(3), "Interviews with Contractor Personnel," is replaced with a revised section.	8-1.3 thru 8-1.6	8-1.3 thru 8-1.6
Update: Chapter 8, Section 103D(2), "Payrolls and Listings Involving Owner-Operator," is replaced with a revised section.	8-1.11 thru 8-1.12	8-1.11 thru 8-1.12

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Update: Chapter 8, Section 205, "On-Site Interviews," and Section 207, "Employee Complaints – Discrimination Complaint Processing," are replaced with a revised sections.	8-2.1 thru 8-2.2	8-2.1 thru 8-2.2
Update: Chapter 8, Section 304B, "Removing and Substituting DBEs or DVBEs," is replaced with a revised section.	8-3.9 thru 8-3.10	8-3.9 thru 8-3.10
Update: Golden Rod, Chapter 9, Section 1, "Construction Contract Administration for Projects Funded by Others"	9-1.i	9-1.i
Update: Chapter 9, Section 1, "Construction Contract Administration for Projects Funded by Others," is replaced with a revised section.	9-1.1 thru 9-1.5	9-1.1 thru 9-1.3
New: Golden Rod, Chapter 9, Section 2, "Projects Administered by a Local Agency on the State Highway System."	N/A	9-2.i
New: Chapter 9, Section 2, "Projects Administered by a Local Agency on the State Highway System."	N/A	9-2.1
Update: Golden Rod, Appendix is replaced with a revised section.	A-1.i thru A-1.ii	A-1.i thru A-1.iii
Update: Appendix is replaced with a revised section.	A-1.5 thru A-1.103	A-1.5 thru A-1.125
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- The existing protection at the crossing
- The date the detour will be put into use and the estimated time it will be in use
- The estimated volume of traffic to be detoured over the crossing
- Whether or not any additional protection is proposed

If construction involves any structure work, send a copy of the above information to the Office of Structure Design.

Contractors must make their own arrangements with the railroad representative to move materials or equipment across railroad tracks. Should it be required, a contractor must obtain a private crossing agreement.

### **2-214 Transportation Management Plans**

Transportation management plans, including increased ride sharing, service patrols, local agency traffic control officers, and extra media effort, in addition to conventional traffic control activities, have been developed by many districts to cover one or more contracts. The district construction office and the resident engineer must ensure that the contractor’s activities are compatible with the transportation management plan that affects the project.

### **2-214 Transportation Management Plans**

### **2-215 Construction Zone Enhanced Enforcement Program**

The Construction Zone Enhanced Enforcement Program (COZEEP) is based on a statewide master agreement between the California Highway Patrol (CHP) and Caltrans. Under the agreement, Caltrans pays the CHP for furnishing officers and cars for use in construction zones. Use the following guidelines and procedures to implement COZEEP.

### **2-215 Construction Zone Enhanced Enforcement Program**

#### 2-215A COZEEP Guidelines

The intent of the following guidelines is to provide a more uniform application of COZEEP resources throughout the state. Use the guidelines when determining when and how COZEEP is to be used on a project. Document the basis for COZEEP use.

#### *2-215A (1) Estimating Funding*

Consult your district COZEEP coordinator for a current estimate of hourly and mileage COZEEP cost.

#### *2-215A (2) Redirection of Project Funds*

In the detailed estimate, the initial funding level for COZEEP will be shown as supplemental funds for state-furnished materials and services. If additional funds are required during the life of the project, available contingency funds can be transferred to “state-furnished materials and services—COZEEP.” Likewise, unused COZEEP funds may be transferred to the contingency fund and used for other purposes.

#### *2-215A (3) Obtaining Additional Funds*

Additional funds may be obtained for capital projects and maintenance funded projects as follows:

- Capital projects—If insufficient funds are available in both the supplemental work funds and the contingency funds, propose a fund request. The request may be processed under the G-12 process or may require a California Transportation

Commission supplemental vote. The request should be processed, justified, and documented in the same manner as any other fund request.

- Maintenance funded projects—On maintenance projects, obtain additional funding through a request to the district maintenance unit.

#### 2-215A (4) *Responsibility of the Project Engineer*

On every project that requires the contractor to close traffic lanes, the project engineer must assess the need for COZEEP. This assessment will be reviewed as part of the project's safety review, constructability review, or both. The project engineer may recommend which specific construction operations should use COZEEP.

The project engineer should include adequate COZEEP funds in the project estimate. Look in the resident engineer's pending file for the design assumptions and estimate calculations.

#### 2-215A (5) *Responsibility of the Resident Engineer*

The resident engineer must administer the COZEEP program on the project. If COZEEP services are not available, then exercise judgement about whether to allow the work to proceed. If you do not permit the work to proceed and the controlling operation is adversely affected, you may grant a time extension in accordance with Section 8-1.07, "Liquidated Damages," of the *Standard Specifications*.

If the contractor requests additional CHP support beyond that which is included in the project plan, the resident engineer may, if appropriate, write a change order. The contractor must bear the costs and expenses for additional support from the CHP, and all associated costs are deducted from monies due to the contractor.

When evaluating cost reduction proposals and contract change orders requested by the contractor, take into account the costs and savings for COZEEP services.

Initiate and obtain CHP sign-off of Form CEM-2101, "COZEEP Daily Report." At the end of each CHP pay period, report the COZEEP used during the pay period to the district COZEEP coordinator.

#### 2-215A (6) *Using COZEEP on Freeways and Expressways*

Every attempt should be made to provide COZEEP for the following situations:

- All daytime or nighttime temporary closures of all lanes in the same direction of travel (full freeway closures)
- Nighttime closures of two or more lanes on a freeway with three or more lanes of travel in the same direction

Consider all other closures on a project specific basis.

In general, COZEEP is not necessary when only one lane is closed on freeways with four or more lanes in the same direction of travel.

#### 2-215A (7) *Using COZEEP on Connectors and Ramps*

For all lane closures on freeway-to-freeway connectors and for night closures of exit and entrance ramps, evaluate the risk factors. Daytime ramp closures usually do not need COZEEP.

### 2-215A (8) *Using COZEEP on Conventional Highways*

For complete highway closures and for nighttime closures of one or more lanes on multilane highways, evaluate project specific risk factors. In general, lane closures on two-lane highways and daytime closures on multilane highways do not require COZEEP.

### 2-215A (9) *Risk Factors*

The risk factors discussed below are not intended to be an all-inclusive listing. The safety reviews conducted during the project's development may identify other risks. If so, also consider these risks in the decision-making process.

- Worker escape routes may be blocked by a median barrier, bridge rail, or a retaining wall. Lack of escape options increases the likelihood of motorist involved accidents that will disrupt the traffic flow.
- Night construction activities that do not create an obvious construction zone except while operations are in progress create an unexpected condition for the driver, even to drivers familiar with the highway. Examples of these activities include pavement slab replacement, resealing bridge expansion joints, and replacing pavement markers.
- Construction activities, such as night paving, are a risk factor when they require a large number of truck movements into and out of the work area.
- End-of-queue management is desirable at locations where traffic queues are unavoidable.
- Speed management is desirable at locations such as rural freeways and expressways where traffic has been flowing in a high speed, free flow way for a significant period before encountering the work zone.
- Rural locations with a high volume of truck traffic, steep down grades, or both, also pose a high risk factor.

### 2-215A (10) *Estimating COZEEP Funding Requirements*

The cost estimate used in the plans, specifications, and estimate is based on the expected number of occurrences of the events needing COZEEP that have been identified during project development. This cost estimate should include an estimated number of COZEEP service hours and travel time converted into an equivalent dollar cost.

When estimating COZEEP hours, take into account the following CHP operating policies:

- CHP policy requires that between the hours of 10:00 p.m. and 6:00 a.m., two officers must be in each unit. (The Department obtained an exception to have one officer per vehicle whenever there are two or more units in close proximity of each other on the same project.)
- CHP officers are reimbursed at time and a half (officers provide COZEEP services on overtime).
- The CHP Memorandum of Understanding requires a minimum payment of four hours per officer.
- All times and mileage are based on the officer starting and stopping time at his or her reporting station and must include travel to and from the project.

The district COZEEP coordinator will provide current hourly and mileage reimbursement costs for the project location.

The project engineer should include in the project estimate the funds necessary to provide COZEEP as state-furnished services and supplies. The basis of the project engineer's estimate should be included in the resident engineer's pending file.

#### *2-215A (11) COZEEP Procedures*

The following procedures are intended to assist resident engineers in obtaining and tracking COZEEP services. These procedures were also designed to help Caltrans reconcile the CHP billing system and facilitate payment to the CHP.

#### *2-215A (12) Ordering Work*

The statewide master agreement for COZEEP requires that all Caltrans requests for support be received by the supporting CHP area office during normal working hours and at least 72 hours before the time needed.

#### *2-215A (13) Completing the Task Order*

To order work by the CHP, use and complete Form CEM-2102, "COZEEP/MAZEEP Task Order."

Before ordering the work, the resident engineer preparing the task order should check the following:

- That the CHP support is appropriate for the type of work to be performed
- That the request has been submitted in a timely manner
- That the project has sufficient funds available to pay for the CHP support

Ensure the task order, which has five parts where information must be entered, is completely filled out. Most of these parts are self explanatory. In Part 4, identify a Caltrans project supervisor, which in most cases will be the resident engineer or an assistant resident engineer.

You may submit a single task order to cover more than one day. For example, a project that will occur on Monday through Thursday for the next week would require only one task order. However, do not submit task orders that do not specify by date and time when a service is needed.

Once the task order is completed and signed by the Caltrans person requesting the services, fax or send it to the local CHP area office. The CHP coordinator at the local CHP area office will complete and sign the form and then return it to the Caltrans construction office.

#### *2-215A (14) Cancellations*

If it becomes necessary to cancel the work, contact the local CHP contact person listed in Part 4 of the task order as soon as possible. The statewide agreement requires that all cancellations be made during normal working hours and at least 24 hours before the time that the CHP is to arrive on the project. The cancellation may be written or called in by phone. If the cancellation is made by phone, ensure it is also confirmed in writing (complete Form CEM-2103, "COZEEP/MAZEEP Cancellation Form"). Once contact is made, the CHP coordinator will return the completed cancellation form.

In accordance with the agreement, cancellations received less than 24 hours before work is to begin will be charged a cancellation fee. If you cannot contact the officer in advance and the officer actually reports for duty, the fee will be equal to 4 hours of overtime pay. The local CHP contact person will note in the cancellation form if Caltrans is being charged with a cancellation fee or a 4-hour overtime fee. If the cancellation form indicates a fee is being charged, retain the notice in the project records under Category 21, "Construction Zone Enhanced Enforcement Program" and send a copy of the cancellation form to the district COZEEP coordinator.

For more information on cancellations, refer to the current COZEEP agreement.

#### *2-215A (15) Recording Work Performed*

When the officer or officers arrive at the project site, the senior CHP uniformed officer will check in with the Caltrans project supervisor. The project supervisor must initiate Form CEM-2101, "COZEEP Daily Report." The daily report number will also be the project expenditure authorization. In the daily report, enter a description of the services the CHP provided, for example providing traffic breaks, stationary patrol upstream of the work area, or circulating patrol. Also complete the CHP officer and CHP vehicle information. At the end of the shift, the senior CHP officer on the site must estimate the travel time and mileage for each officer to travel from the project site to the CHP office. Calculate the total estimated travel time and mileage and enter the total on the COZEEP daily report. Both the senior officer and the project supervisor must sign the completed COZEEP daily report.

The CHP has five working days to notify Caltrans if the actual travel time, mileage, or both, is greater than the allowances estimated on the daily report. The CHP notification must be submitted to the person who issued the daily report. If a notice of change is received, attach a copy to the resident engineer's copy of the COZEEP daily report and submit the original to the district COZEEP coordinator.

#### *2-215A (16) Tracking Expenditures*

Once the district COZEEP coordinator receives the COZEEP daily reports, they must be logged into the COZEEP service summary to track COZEEP use. A spreadsheet may be used for the summary.

Within 15 working days of the end of the CHP's pay period, the district COZEEP coordinator must electronically submit, either through e-mail or on a diskette, the COZEEP service summary to the accounting department at the CHP's headquarters. This electronic submittal must be confirmed with a hard copy.

The CHP will verify this report against its payroll records and add appropriate cost information to the spreadsheet. The CHP will then return the COZEEP service summary in electronic format with a confirming hard copy to the district COZEEP coordinator for payment.

#### *2-215A (17) Reconciling the CHP Invoice*

The CHP invoices will include monthly charges for services provided by a CHP area office. The backup for the invoice will include a printout of the COZEEP service summary and copies of any cancellation notices.

The COZEEP service summary, including cost information, must be resorted and subtotaled by project, verified and signed by the district COZEEP coordinator, and submitted for payment to the Caltrans Division of Accounting Services. This

During the term of the contract, the CHP may increase or decrease the rates shown in the contract by notifying the Caltrans statewide contract managers, who in turn will notify the district coordinators. For this reason, district coordinators should not return an invoice to the CHP because the billing rates shown on the invoice do not agree with the rates in the contract. In this situation, the district coordinator should contact the statewide contract manager to verify the correct billing rates.

*2-215A (18) Problem Resolution*

Drop from the COZEEP service summary any inconsistencies between the information Caltrans gives the CHP and the CHP's internal information obtained from its payroll system. Return the exceptions to the district and area offices involved for resolution. Every effort to resolve disputes at the lowest level (between the resident engineer and the CHP coordinator at the local CHP area office), must be made. If an impasse occurs, the district COZEEP coordinator and the designated contact person in the CHP division office must act as the second level of review. The last level of review will be the COZEEP statewide coordinator and the CHP statewide coordinator.

### 3-605A(1) *Resident Engineer Approval of Minimum Use Requirements*

Buy America requirements do not apply to a minimal use of iron and steel materials incorporated in the work provided that all foreign source items do not exceed one tenth of 1 percent (0.1 percent) of the total contract cost or \$2,500, whichever is greater. Before incorporating any foreign steel materials into the work, the contractor must submit documentation of the quantity and value of any foreign steel to the resident engineer. Review the documentation to determine if it supports the minimum use rule before allowing the material to be incorporated into the project. If the minimum use rule applies, approve the exception in writing. This applies as a one-time total exemption for each contract, not for each purchase. File the documentation, exceptions, and a running total of the value of foreign iron and steel allowed under the minimal use allowance under Category 41, "Report of Inspection of Materials." Foreign steel materials that exceed the minimal Buy America requirements cannot be designated as non-participating and therefore require a waiver. (See Section 3-605A(2)).

### 3-605A(2) *Federal Highway Administration Approval of Waivers*

Caltrans does not have the authority to waive the use of foreign steel and iron in federal aid projects without FHWA approval. The California FHWA Division administrator may grant waivers only upon receiving concurrence from FHWA headquarters in Washington D.C. Approval or denial may take several months.

The contractor must submit the following information to the resident engineer when requesting a waiver to Buy America requirements:

- A detailed description of the waiver item.
- Item cost – obtained from the manufacturer or supplier.
- The country of origin for the product.
- The reason for the waiver.

The resident engineer must provide the following information when preparing a waiver request for the FHWA engineer:

- The contractor's waiver submission.
- Federal aid project number, description, and location.
- Analysis of redesigns using alternate or approved equal domestic product for the project.

FHWA approval of the waiver is required prior to allowing foreign steel or iron into the project. Allowing foreign steel or iron products into a federal aid project without an FHWA approved waiver can result in the loss of all federal funds for the project.

## **3-606 Out-of-State Fabrication**

Sections 49, 51, 55, 56, and 75 of the *Standard Specifications* include reductions in payment for fabrication at some distance from Sacramento and Los Angeles. In addition, some special provisions may modify the amount to be deducted. Deduct the appropriate amount, applying it as an administrative deduction on estimates that include payment for the item. Use a standard description of "Out of State Inspect" on Form CEM-6001, "Project Record-Estimate Request." This deduction should be made in whole, when appropriate. However, if the deduction is rather large, the resident engineer has the option to deduct incremental amounts until the full deduction is made.

## **3-606 Out-of-State Fabrication**

**3-607 3-607 Local Materials**

**Local Materials**

Section 6-2, "Local Materials," of the *Standard Specifications*, covers the requirements for the use of local materials and the resident engineer's responsibility for testing the materials.

Section 6-2.02, "Possible Local Material Sources," of the *Standard Specifications* requires the contractor to execute certain documents when obtaining materials from property owners with whom Caltrans has arranged the use of such materials. These documents are titled "Supplemental Materials Site Agreement (1) and (2)." Samples of agreement (1) and agreement (2) follow:

**Supplemental Materials Site**

**Agreement (1)**

Contract No. \_\_\_\_\_  
District \_\_\_\_\_  
Date \_\_\_\_\_

TO: \_\_\_\_\_  
District Director, District  
\_\_\_\_\_, California

Dear \_\_\_\_\_,

In accordance with Section 6.2, "Local Materials," of the *Standard Specifications*, here is the agreement for using the materials source for the subject Contract, as required before removal of said materials:

WHEREAS, Contractor has entered into Contract No. \_\_\_\_ with the State of California, Department of Transportation, hereinafter called "Department," for the performance of \_\_\_\_\_ work on road \_\_\_\_\_, and

WHEREAS, Department has entered into an agreement dated \_\_\_\_\_, with \_\_\_\_\_ for the obtaining of materials from the property described in said arrangement.

NOW THEREFORE, pursuant to the terms of said arrangement and of said Contract No. \_\_\_\_\_, Contractor hereby agrees to comply with all terms and conditions of said arrangement between the Department and said property owner and further agrees to hold said property owner harmless from all claims for injury to persons or damage to property resulting from Contractor's operations on owner's property.

DATE \_\_\_\_\_  
\_\_\_\_\_  
Contractor  
By  
Authorized Agent  
Title \_\_\_\_\_

Origin.-Dist. Director  
Dupl.-Contr.  
Trip. -Prop. Owner  
Quad. -Res. Engr.



### 3-801C The Subletting and Subcontracting Fair Practices Act

Sections 4100 through 4114 of the Public Contract Code are called the “Subletting and Subcontracting Fair Practices Act” and apply to Caltrans construction projects. This act is designed to prevent prime contractors from “bid shopping” for subcontractors after bids are opened and the low bidder is known.

The act requires that subcontracted work in excess of 0.5 percent of the contractor’s bid amount or \$10,000 (whichever is greater), must be listed in the prime contractor’s bid proposal. Not listing a subcontractor indicates that the prime contractor will do the work with the contractor’s own forces. The act does not require the listing of second-tier subcontractors, vendors, and suppliers, or subcontractors performing temporary work, such as temporary traffic striping.

All subcontracted work in excess of 0.5 percent of the contractor’s bid amount must be listed if the work to be performed is a building project such as a maintenance station or other off-highway project.

The resident engineer must ensure that the listed subcontractor performs the work or that the contractor complies with the act regarding substitution.

Listed subcontractors can be substituted only if the act’s procedures have been followed.

#### *3-801C (1) Substitution Process*

To remove a subcontractor listed in the bid documents, the prime contractor must submit a written request. The contractor can request the removal of a listed subcontractor for the following reasons:

- The subcontractor fails or refuses to execute a written contract for the work specified in the subcontractor’s bid and at the price specified in the subcontractor’s bid, based upon the general terms, conditions, plans, and specifications for the project involved or the terms of the subcontractor’s written bid.
- The subcontractor becomes bankrupt or insolvent.
- The subcontractor refuses to perform the subcontract.
- The subcontractor fails or refuses to meet bond requirements.
- The prime contractor proves to the awarding authority that the subcontractor was listed as the result of an inadvertent clerical error. This reason can only be used shortly after bid opening.
- The subcontractor is not licensed.
- Caltrans determines that the listed subcontractor’s work is substantially unsatisfactory.
- The subcontractor is ineligible to work on a public works project pursuant to Section 1777.1 or 1777.7 of the Labor Code.
- Caltrans determines that a listed subcontractor is not a responsible contractor.
- It is in the best interests of the state.

For more detail on the authorized reasons for removing listed subcontractors, see Sections 4107 and 6109 of the Public Contract Code.

When the prime contractor requests a substitution, proceed as follows:

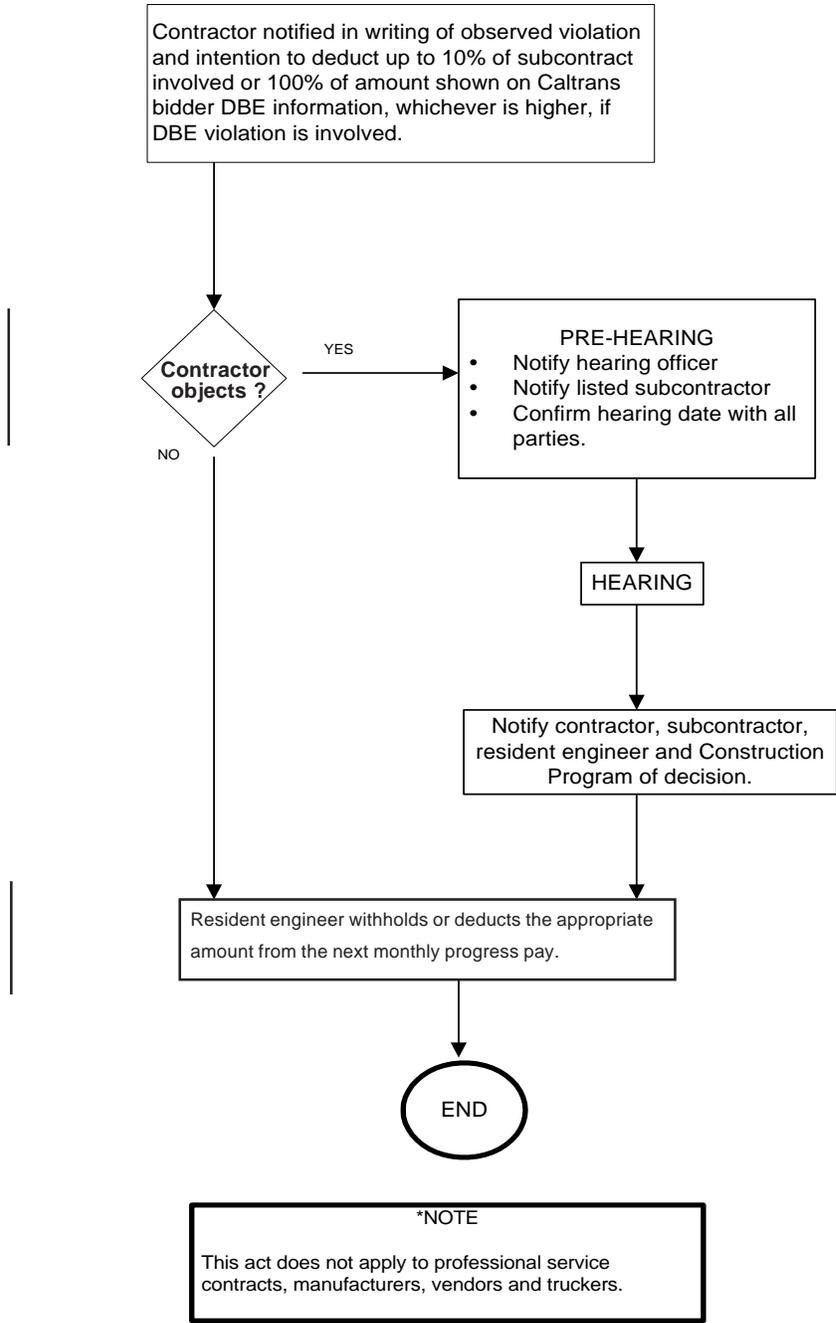
- Send the request, together with the reason, to the district construction office.

- If the prime contractor indicates that the listed subcontractor agrees with the removal, the prime contractor should submit a letter from the subcontractor agreeing with the removal. To verify the subcontractor wants to be removed, the resident engineer must also check with the subcontractor.
- If the subcontractor does not agree with the removal, the prime contractor must describe the reasons for the removal, and the reasons must match the authorized reasons described under the Subletting and Subcontracting Fair Practices Act.
- The district must notify the listed subcontractor by certified mail that the contractor has requested removal. The district must also provide a copy of the contractor's request to the subcontractor. The listed subcontractor has five working days to submit to Caltrans a written objection to the substitution. Failure to file a written objection constitutes the listed subcontractor's consent to the substitution.
- If the listed subcontractor does not respond within five working days, the resident engineer must approve the removal of the listed subcontractor. The resident engineer must then approve the new subcontractor (if qualified), following the guidelines under "Procedure for Approval or Acknowledgement of Subcontractors" in this section. If the removed subcontractor's firm was a DBE, the contractor must undertake efforts to replace that firm with another DBE. Assess a good faith effort before approving a replacement if the new subcontractor is not a DBE. See Section 8-3, "Disadvantaged Business," of this manual.
- If the listed subcontractor submits timely written objections to the substitution, the district will conduct a hearing. Normally, the hearing officer is the district construction deputy director. The prime contractor and the subcontractor objecting to the substitution must receive written notice of the hearing a minimum of five days before the hearing.
- Before the hearing, ensure the allegations are evaluated to determine whether a Caltrans attorney needs to attend the hearing to develop the record on a legal issue.
- The hearing can be informal, without strict rules of evidence. To substantiate the allegations, however, documents must be obtained from both parties. Either the hearing officer or another Caltrans representative must also develop a line of questioning to ensure sufficient evidence exists upon which Caltrans can base its decision about the request. Moreover, if the hearing officer requires legal or other assistance during the substitution or hearing process, the district must contact the construction field coordinator, who will arrange for such assistance as appropriate.
- During the hearing, tape recording can be used to assist in taking notes.
- After the hearing, the hearing officer will issue written findings, conclusions, and a decision on the substitution request. As soon as possible after the hearing, the prime contractor and the objecting subcontractor must receive a copy of the decision by certified mail return receipt. The Division of Construction must also receive a copy. If the prime contractor is found to be in violation of the act, the contractor must be assessed a penalty, taken as an administrative deduction, ranging from 0 to 10 percent of the subcontract amount. The district will determine the penalty amount, which will vary depending on the circumstances involved. The district hearing officer's finding is the final Caltrans administrative finding on the application and enforcement of the act.

The following flowchart shows the steps to take when the contractor is found to be in violation of the Subletting and Subcontracting Fair Practices Act.

Table 3-8.2 Violation of Subletting and Subcontracting Fair Practices Act Flowchart

### VIOLATION OF SUBLETTING AND SUBCONTRACTING FAIR PRACTICES ACT



### 3-801D Procedure for Approval or Acknowledgment of Subcontractors

The resident engineer has the responsibility for approving subcontractors on federally funded projects or acknowledging subcontractors on state-financed projects.

In general, approving or acknowledging subcontractors is necessary only for first-tier subcontractors.

To request subcontracting, the contractor must submit Form CEM-1201, "Subcontracting Request," to the resident engineer. When the contract was awarded, the contractor received a blank Form CEM-1201, along with other documents. The resident engineer should provide to the contractor additional blank forms when necessary. The back of the form contains instructions for completing the form.

Upon receipt of Form CEM-1201, the resident engineer will complete the lower portion of the form. Before approving the contractor's request, the resident engineer must do the following:

- Check the contractor's portion of the form.
- Complete lines 1 through 9. Lines 2 and 6 will contain running balances, so process requests in order of request number. Complete the remainder of the form as outlined on the form.
- Verify subcontractors comply with DBE goals submitted by the contractor before the contract award. Ensure no conflict exists between the DBE requirements and the listing requirements of the Subletting and Subcontracting Fair Practices Act.
- If the contractor's request meets all the requirements, sign and date the form and distribute it as indicated on the form.

The special provisions for most contracts considered non-highway related (building contracts) waive the requirements of Section 8-1.01, "Subcontracting," of the *Standard Specifications*. The effect of this waiver is that a subcontractor who is listed in the bid proposal may perform the work without advance notification to the resident engineer, and the requirements about the prime contractor performing 50 percent of the work are not applicable. However, those contracts that contain federal funding still require that subcontractors receive prior approval and that prime contractors perform a specified percentage of the work. Such federally funded contracts must be processed as discussed above.

## **3-802 3-802 Beginning of Work**

### **Beginning of Work**

This section covers the subject of when the contractor begins work. This subject is not to be confused with the beginning of contract time and the preparation of Form CEM-2701, "Weekly Statement of Working Days," which is covered below in Section 3-805, "Time of Completion."

The contract normally requires the contractor to begin work on a project within 15 calendar days after receiving notice that the contract has been approved. The special provisions may modify the 15-day requirement.

The resident engineer must determine when to record the beginning of work, based on judgment and experience. For example, setting up signs could be the only work under way. If conversations with the contractor indicate movement toward pursuing the work, the setting up of signs is sufficient to indicate the beginning of work. Record the date the contractor begins work on Form CEM-2701 in the resident

**Section 9 Measurement and Payment****3-901 General****3-902 Payment Methods****3-903 Measurement and Payment of Contract Item Quantities**

3-903A Method of Measurement

3-903B Accuracy

3-903C Source Documents

3-903D Audit Trail

3-903E Weighing and Metering Procedures

*3-903E (1) Personnel*

*3-903E (2) Responsibilities*

3-903E (2a) Resident Engineers

3-903E (2b) District Weights And Measures Coordinator

3-903E (2c) Assistant Resident Engineers

3-903E (2d) Contractors

3-903E (2e) Division of Construction Weights and Measures Coordinator

3-903F Adjustments in Compensation

3-903G Final Pay Items

**3-904 Payment for Extra Work**

3-904A Agreed Price

3-904B Force Account

*3-904B (1) Authorization for Force Account Payment*

*3-904B (2) Approval of Labor, Equipment, and Material*

*3-904B (3) Billing for Extra Work at Force Account*

*3-904B (4) Labor*

*3-904B (5) Equipment*

*3-904B (6) Material*

*3-904B (7) Work Performed by Special Forces*

3-904C Five Percent Markup for Subcontracted Work

3-904D Extra Work Records

3-904E Force Account Records

3-904F Tentative Agreements

3-904G Interest on Payments

## **3-905 Adjustment of Overhead Costs**

## **3-906 Stop Notice**

## **3-907 Partial Payments**

Example of source document

3-907A Contract Items

3-907B Adjustments in Compensation

3-907C Extra Work

3-907D Materials on Hand

*3-907D (1) Materials at the Project*

*3-907D (2) Materials Not at the Project*

## **3-908 Deductions**

## **3-909 Retentions**

3-909A Calculating Progress - Projects with Single Time

3-909B Calculating Progress for Landscape Projects

## **3-910 Payment After Acceptance**

3-910A Negative Estimates

3-910B Payment Offset

## **3-911 Payment of a Progress Estimate After Contract Acceptance**

## **3-912 Proposed Final Estimate**

## **3-913 Semifinal Estimate**

## **3-914 Final Estimate**

3-914A Material to Submit

Example 1: Form letter to Use When Submitting Proposed Final Estimate to the Contractor

Example 2: Acceptance Statement Form

Example 3: Sample of the Proposed final Estimate

Example 4: Sample of Project Record Estimate, Summary of Payment

Example 5: Schedule B - Extra Work and Adjustment of Compensation

Example 6: Schedule of Extra Work

Example 7: Schedule of Deductions

Example 8: Sample Notice of Opportunity for Offset Hearing



If the contractor requests a reduction of retention after 95 percent of the work has been completed, forward the written request to the disbursing officer in the Division of Accounting. CAS will reduce the retention when all the requirements specified in Section 9-1.06, "Partial Payments," of the *Standard Specifications*, have been met.

### 3-909A Calculating Progress - Projects with Single Time

Satisfactory or unsatisfactory progress is usually the determining factor for retentions. On projects without any federal funding, such progress is determined by comparing the contractor's actual progress with the curve on Form CEM-2601, "Construction Progress Chart." This requires calculation of the percent of work completed and the percent of time elapsed. If the plot of these percentages falls on or above the curve on Form CEM-2601, progress is considered satisfactory. Otherwise, it is considered unsatisfactory except under extenuating circumstances. For contracts with federal funding, the calculation of both the percent of work complete and the percent of time elapsed is defined in the special provisions.

The percent of work completed (except on landscape projects with Type 1 plant establishment) is determined by dividing the amount on the line entitled "Total Work Completed" on the "Project Record Estimate" by the "Authorized Final Cost" on the "Project Status." CAS calculates this percentage (except on projects with Type 1 plant establishment).

CAS computes the percent of contract time elapsed by dividing the number of working days elapsed to the date of the progress estimate, by the original working days specified in the contract plus "Total time extension days approved to date (contract change order plus other)," on Form CEM- 2701, "Weekly Statement of Working Days."

Occasionally the resident engineer has information indicating that the percent of time elapsed is different from that which CAS will calculate. The usual reason for this is that pending time extensions have not yet been approved and entered into the system. The percent of time elapsed can be calculated using the anticipated time extension in the formula in the preceding paragraph. The resident engineer must document the calculated percent of time elapsed as well as the reasons therefore. Enter the calculated percent of time elapsed in the appropriate place on Form CEM-6001, "Project Record-Estimate Request." CAS will calculate satisfactory or unsatisfactory progress based on this figure.

### 3-909B Calculating Progress for Landscape Projects

See Section 20-4.08, "Plant Establishment Work," of the *Standard Specification*, and Section 4-2003C (8), "Plant Establishment Work," of the *Construction Manual*, for specifications and administrative guidelines for plant establishment time requirements. For projects with Type 2 plant establishment, the percent of time elapsed and percent of work completed is determined in the normal manner as described above. For projects with Type 1 plant establishment, compute the percent of time elapsed and the percent of work completed as follows for the periods prior to the start of plant establishment.

Determine the percent of work completed by dividing the value of work accomplished by the authorized contract amount minus the authorized plant establishment work.

$$\% \text{ Complete} = \frac{\$ \text{ Value Completed Work}}{(\$ \text{ Total Auth. Contract Amt.} - \$ \text{ Plant Estab. Work})}$$

Determine the percent of time elapsed by dividing the number of working days elapsed to the time of the estimate on Form CEM-2701 by the total contract time limit plus "Total time extension days approved to date (contract change order plus other)" on Form CEM-2701 and minus the length of the plant establishment period.

(Working Days Elapsed)

$$\% \text{ Time} = \frac{\text{(Working Days Elapsed)}}{\text{(Orig. Cont. Time + Time Ext. to date - Plant Estab. Period)}}$$

On projects without federal funding, compare these two percentages to the curve on Form CEM-2601, "Construction Progress Chart." On projects with federal funding, compare these two percentages to the requirements specified in the special provisions. If progress is satisfactory, check the "Override Unsatisfactory Progress" on Form CEM-6001, "Project Record-Estimate Request."

After the start of Type 1 plant establishment, the resident engineer will decide if the progress is satisfactory. In general, consider progress considered satisfactory if the contractor entered the plant establishment period on time and carries out plant-establishment work on time. Progress will be considered unsatisfactory if there will be an overrun in contract time due to a delayed start of Type 1 plant establishment.

### **3-910 Payment After Acceptance**

#### **3-910 Payment After Acceptance**

Caltrans makes final payment as soon as possible after the contract is accepted and the contractor submits the required documents requested by the resident engineer. Any estimate covering a payment after contract acceptance is identified either as "after acceptance," "semifinal," or "final." Section 5-4, "Disputes," of the *Construction Manual* lists the timeline for completing payment steps after the acceptance process.

##### 3-910A Negative Estimates

Negative estimates reflect an overpayment made to the contractor, and should be avoided whenever possible. To reduce the processing time associated with negative estimates; contact the Division of Construction's progress pay coordinator to begin the process of generating a negative estimate.

The resident engineer is responsible for the accuracy of all payment estimates, including progress payment, after acceptance, semifinal, and final estimates. Verify the correctness of the contract item quantities and ensure the data submitted conforms to Caltrans policies. The district progress pay coordinator should hold the negative payment estimate for processing until approved by the deputy district director of construction, or delegate, and the Division of Construction field coordinator. The Division of Construction field coordinator discusses and resolves negative payment estimates with district construction to determine the best course of action. The Division of Construction progress pay coordinator processes only those negative estimates approved by the Division of Construction field coordinator.

When a negative payment estimate is approved for processing, the Division of Accounting creates an accounts receivable and directly bills the contractor for the amount due. The Division of Accounting provides a monthly listing of all pending accounts receivable and their status to the progress pay coordinators and expects that further action is taken as directed by district construction and the Division of Construction. Accounts receivable debts are automatically sent to collections after 90 calendar days. A collection fee is charged to the district's capital outlay support in either a phase 3 project expenditure authorization (EA), or an overhead EA. If the bill is not collectable, the nonrecoverable debt is charged against the district's capital funding allocation (phase 4) EA. If, for any reason, you believe that the accounts receivable should not go to collections, notify the district progress pay coordinator and the Division of Construction's progress pay coordinator. Once notified, the Division of Construction's progress pay coordinator, with the Division of Construction field coordinator's concurrence, will notify the Division of Accounting to hold the accounts receivable from going to collections.

Section 3-910B, "Payment Offset," describes another method available to the resident engineer and the Division of Accounting to resolve overpayment to the contractor.

#### 3-910B Payment Offset

A payment offset is a levy against future monies due to the contractor on other contracts Caltrans has awarded to the contractor. Offsets may be taken to retain adequate funds for stop notices, labor compliance violations, claim settlements, and determinations made by an arbitrator. The offset process is outlined in the flowchart on the following page, and should be completed within 90 calendar days of contract acceptance.

Send a "Notice of Opportunity for Offset Hearing" pursuant to Government Code Section 12419.5 (see Example 8) to the contractor, offset resident engineer, bonding company, and offset bonding company. The contractor has 20 calendar days to inform the resident engineer that an offset hearing was requested. If an offset hearing is requested, the hearing officer should conduct the offset hearing within 10 calendar days of receipt of the request. The hearing officer should examine the facts of the specific case, and validate the offset process. The hearing officer is the district director or designee. The designee must be at least a supervising transportation engineer or career executive appointment one manager. A summary of the facts of the account receivable, minutes of the offset hearing, and final determination report are prepared by the resident engineer. Notify the contractor, offset resident engineer, and bonding companies of the final determination of the hearing, including the date and amount of the offset. If the hearing officer determines the offset is warranted, or if the contractor does not request a hearing, request that the Division of Construction execute an offset. If the hearing officer determines that offset is not warranted, process a progress payment to clear the accounts receivable in the Construction Administration System. In the case of an arbitration settlement, the Division of Construction will recommend the district execute an offset. The Division of Accounting executes only those offsets authorized by the Division of Construction.

A payment offset may affect not only the contractor, but also multiple resident engineers, districts, and bonding companies. When choosing a contract to offset against, the following criteria, in preferential order should be considered:

1. Active contract with adequate retention to cover the offset.
2. Both contracts are bonded by the same bonding company.
3. Both contracts are administrated by the same resident engineer in the same district.

The bonding companies from both contracts and the contractor are given the opportunity to request an offset hearing. Any legal arguments presented by the contractor or its bonding companies should be referred to the Legal Division for review and advice to the hearing officer

During the offset hearing, the contractor should provide convincing factual evidence to refute the account receivable. The hearing officer should consider the size of the offset, progress of the work, percent complete and financial health of the contractor.

When justified by evidence of financial hardship, contractor proposed repayment plans to clear the account receivable may be coordinated with the Division of Accounting. The status of claims and disputes should not have an influence on the decision to execute an offset.

- During proportioning and mixing of materials, ensure the following occur in the quantities and by the methods specified:
  1. At least twice during each shift, ensure scales are balanced at zero load and inspect them for signs of sluggishness, inaccuracy, or damage. Should an apparent problem with the weighing or measurement systems exist, contact the district weights and measures coordinator for the method of correcting the problem. Also, check for sticking materials that do not discharge.
  2. Batch controllers that have the ability to provide for an estimate of returned concrete, for rebatching; must have that feature disabled. Check that delivery trucks are completely empty prior to loading. Ready-mix trucks can be verified to be empty by spinning the mixing drum in reverse immediately prior to loading.
  3. Check that the entry of water into the mixer is timed to ensure that some water is introduced in advance of aggregate and cement. Also, check that all water has been introduced by the end of the first one-fourth of the specified mixing time. Finally, see that no leakage exists that would affect the proper water content.
  4. Check the batch size to ensure it does not exceed the specified capacity or the limit to which the scales were tested during California Test 109, “Test for Weighing and Measuring Devices.”
  5. Check the mixer operation to ensure that the automatic timing device is interlocked as specified and that the mixing time is as specified.
  6. Observe the hand-mixing of concrete to ensure it is being mixed in the specified manner.
- For concrete used in pavement, or when required for other types of concrete, ensure that automatic devices perform the proportioning operation as specified. Require the plant operator to demonstrate the function of interlock devices. Limit this check of proportioning interlock tolerances to a visual witnessing of the maximum tolerance settings in the batch computer.
- Perform California Test 518, “Unit Weight of Fresh Concrete,” to verify the unit weight, volume, and cement content of concrete in accordance with the frequencies shown in Section 6-1, “Sample Types and Frequencies,” of this manual. Advise the contractor of any changes to be made when the test results do not confirm the correctness of the proportions being used.

Whenever California Test 518 is performed, the data for batch weights must be the *actual* weights as observed for the batch to be tested. Actual batch weights are available from the delivery ticket. It is not sufficiently accurate to use the ordered batch weights.

When the unit weight or cement factor varies considerably for no apparent reason, check the accuracy of the scales. For a quick method, weigh a loaded and unloaded truck on platform scales. With this method, you can also detect erratic weighing because of binding scales.

- When air-entraining agents are used, perform California Test 504, “Determining Air Content of Freshly Mixed Concrete by the Pressure Method” to determine the air content of concrete in accordance with the frequencies shown in Section 6-1 of this manual. For air content of more than 4 percent, ensure that the cement is added as specified.

- To determine the consistency of the concrete, perform California Test 533, “Method of Test for Ball Penetration in Fresh Portland Cement Concrete.” When specified values are exceeded, order adjustments in the mixture.

Also, use the results of California Test 533, and California Test 529, “Proportions of Coarse Aggregate in Fresh Concrete,” to determine the uniformity of concrete. When differences exceed specified values, require the contractor to improve the mixing operation.

- Periodically check the recording of data on tickets for truck mixers or agitators to ensure that the required information is being entered.
- Periodically determine the concrete’s temperature to ensure it falls within the specified values.
- Obtain samples of the completed concrete mixture and perform tests in accordance with Section 6-1, “Sample Types and Frequencies,” of this manual.

Analyze the test results continuously and remain alert to any changes in the concrete’s uniformity or consistency. When test results so indicate, order corrections in the production operation or provide the contractor with revisions in the mix design, or do both. Reject (based on penetration) excessively wet batches discharged from mixers and not used in the work. Prohibit indiscriminate additions of water to the mixer solely to increase the flow of already workable concrete.

Record all tests and keep them in the project files. When a specific form is not used for recording test results, such as California Test 533, record the results in the daily report.

#### 4-9003B Mixing and Transporting

During the work, do the following:

- Ensure concrete is transported in accordance with the applicable specifications.
- Ensure the proper mix design is being batched and arrives at the job site. The concrete must arrive with a load ticket that contains the specified information and a Certificate of Compliance for the cement and all mineral admixtures. The weight certificate must also show the actual scale masses (kilograms) for the ingredients batched. Prohibit theoretical or target batch masses as substitutes for actual scale masses. Check the load tickets, and verify that the specified information is actually on the ticket.
- As the concrete is placed, ensure that it is homogeneous and thoroughly mixed and that no lumps or evidence of undispersed cement exists.
- Check truck agitators to determine whether they are being operated at the speed designated by the manufacturer.
- Ensure that bodies on nonagitator hauling equipment do not leak and can self-clean during discharge.
- Ensure that concrete hauled in open-top vehicles is protected (covered) as specified.
- Verify the consistency of the concrete through California Test 533. Record the results on the daily report. If the concrete exceeds the nominal or maximum penetration allowed by the *Standard Specifications*, take appropriate action.

- Additional mix water, when necessary, can be added when the resident engineer or assistant resident engineers authorize. When additional mixing water is authorized, ensure it is mixed as specified. Make corrections in the proportioning if it is necessary to continuously order water at the discharge point.
- Measure the temperature of the concrete periodically. You can obtain the temperature of the fresh concrete from a sample withdrawn from the mixer just before discharge or from within the forms during or immediately after discharge from the mixer.
- When concrete is being hauled in truck mixers or agitators, ensure the discharge is completed within one and one-half hours or 250 revolutions as specified. If the concrete's temperature is 30° C or above, determine the time (less than one and one-half hours) that will be allowed. Advise the contractor accordingly.
- For proper mixing, verify that the concrete delivered in truck mixers or agitators has received the minimum number of revolutions recommended by the manufacturer. However, a minimum of 70 revolutions is a good rule of thumb.
- The temperature requirements for specialty concrete will vary. Refer to the special provisions.
- When nonagitating equipment is used, ensure the discharge is completed within one hour as specified. If the concrete's temperature is 30° C or above, or under other conditions contributing to quick stiffening of the concrete, ensure the discharge is completed within 45 minutes as specified.
- In the daily report, note the concrete's temperature and decisions relating to that measurement.
- For transit-mixed concrete, you cannot determine directly from the revolution counter the requirements for minimum and maximum revolutions of mixing at the mixing speed. However, in many instances, a simple calculation based on the total number of mixing revolutions and the hauling time will verify compliance with the specifications. If, because of the circumstances of long hauls or other reasons, such a calculation is not possible, you can ask the supplier for the schedule of time the drum will be operated at mixing speed. At the end of that time, the operator can reduce drum speed to agitating range. The number of revolutions at mixing speed is not considered to be as important as the total number of revolutions of mixing. However, at very low rpm's of the mixer and at the minimum number of revolutions, it is possible that inadequate mixing will result.
- Sample concrete and fabricate test cylinders in accordance with Section 6-1, "Sample Types and Frequencies," in this manual.
- Do not allow trucks to exceed the weight limits, especially for bridges, given in Section 7-1.02, "Load Limitations," of the *Standard Specifications*.

#### 4-9003C Curing Concrete

Ensure the contractor applies the proper cure method in accordance with the specifications. Periodically check that the contractor is maintaining the cure through the curing period.

#### 4-9003D Protecting Concrete

Anticipate adverse weather conditions, and discuss options with the contractor. Require the contractor to submit a written plan on methods to protect the concrete if adverse weather sets in.

Concrete needs time to attain sufficient strength to carry loads. Do not allow anyone to drive or place equipment or loads on the pavement when those loads are greater than those allowed by the contract.

#### **4-9004 Measurement and Payment**

Measurement and payment must comply with the applicable sections of this manual and the special provisions, *Standard Specifications*, and *Bridge Construction Records and Procedures Manual*.

Review and document the results of acceptance testing in accordance with Chapter 6, "Sampling and Testing," of this manual. Take appropriate remedial action or deductions for failing results on acceptance tests.

### Conduct of the Work

#### 5-001 Resident Engineer's Pending File

#### 5-002 Preconstruction Conference with State Personnel

#### 5-003 Preconstruction Conferences with the Contractor

#### 5-004 Resident Engineer's Daily Report

#### 5-005 Assistant Resident Engineer's Daily Report

#### 5-006 Maintenance Reviews

#### 5-007 Federal Highway Administration Involvement in Contract Administration

5-007A Events invoking Federal Highway Administration Involvement on Nonexempt projects

#### 5-008 Solid Waste Disposal and Recycling Reporting

### **5-008 Solid Waste Disposal and Recycling Reporting**

Contracts containing special provisions for solid waste disposal and recycling reports require the contractor to chronicle landfill disposal and material recycling activity performed through the duration of the contract. The contractor reports this information via the Division of Construction Form CEM-2025, "Solid Waste Disposal and Recycling Report."

The contractor submits the annual report to the resident engineer by the 15th day of January, and five days following contract acceptance. If no work was conducted during the reporting period, the report states no work was performed during that period.

Contract special provisions require that all reports be received from the contractor in good order before the contract can be finalized. Review all reports submitted by the contractor for accuracy. Compare the total volumes of materials taken to, and diverted from, landfills from the Solid Waste Disposal and Recycling Reports with the approximate volume of work requiring the removal of materials. Before approving each report, resolve any discrepancies in material type or volume with the contractor. Each report submitted by the contractor that is either delinquent or grossly inaccurate is subject to a deduction of \$10,000 (ten thousand dollars) for non-compliance.

Submit the approved Solid Waste Disposal and Recycling Reports directly to the district recycling coordinator and a copy to the statewide recycle coordinator in the Division of Design. District and statewide recycling coordinators contact information is available via the following Internet address:

<http://www.dot.ca.gov/hq/oppd/ab75/coordinators.htm>

### **5-008 Solid Waste Disposal and Recycling Reporting**

**Section 1 Project Records and Reports****5-101 Forms Used For Contract Administration**

5-101A General

5-101B Construction Forms

- Form CEM-0101, Resident Engineer's Report of Assignment*
- Form CEM-0501, Relief from Maintenance*
- Form CEM-0601, Construction Safety Report*
- Form CEM-0602, Project Safety Program Statement*
- Form CEM-0603, Major Construction Incident Notification*
- Form CEM-1101, Documents Bond of State Highway Oversight Projects*
- Form CEM-1201, Subcontracting Request*
- Form CEM-2001, National Pollution Discharge Elimination System Annual Certification*
- Form CEM-2002, Notification of Construction (NOC)*
- Form CEM-2003, Notification of Completion of Construction (NCC)*
- Form CEM-2025, Solid Waste Disposal and Recycling Report*
- Form CEM-2101, COZEEP Daily Report*
- Form CEM-2102, COZEEP/MAZEEP Task Order*
- Form CEM-2103, COZEEP/MAZEEP Cancellation Form*
- Form CEM-2401, Substitution Report for Disadvantaged Business Enterprise/Disabled Veteran Business Enterprise*
- Form CEM-2402(F), Final Report- Utilization of Disadvantaged Business Enterprises (DBE), First - Tier Subcontractors (Federally Funded Projects)*
- Form CEM-2402(S), Final Report - Utilization of Disabled Veteran Business Enterprises (DVBE) State Funded Projects*
- Form CEM-2403(F), Disadvantaged Business Enterprises (DBE) Certification Status Change*
- Form CEM-2404(F), Monthly DBE Trucking Verification*
- Form CEM-2501, Fringe Benefit Statement*
- Form CEM-2502, Contractor/Subcontractor Payroll*
- Form CEM-2503, Statement of Compliance*
- Form CEM-2504, Employee Interview: Labor Compliance/EEO*
- Form CEM-2504 (Spanish), Entrevista de Empleado: Labor Compliance/EEO*
- Form CEM-2505, Owner - Operator Listing Statement of Compliance*
- Form CEM-2506, Labor Compliance – Wage Violation*
- Form CEM-2507, Labor Violation: Case Summary*

*Form CEM-2508, Contractor's Payroll Source Document Review*  
*Form CEM-2509, Checklist – Source Document Review*  
*Form CEM-2601, Construction Progress Chart*  
*Form CEM-2701, Weekly Statement of Working Days*  
*Form CEM-2702, Overrun in Contract Time*  
*Form CEM-3101, Notice of Materials to be Used*  
*Form CEM-3501, AC Production/Placement Checklist*  
*Form CEM-3701, Test Result Summary*  
*Form CEM-3702, Relative Compaction Summary*  
*Form CEM-4101, Materials Release Summary*  
*Form CEM-4102, Material Inspected and Released on Job*  
*Form CEM-4202, Material Plant Safety Checklist*  
*Form CEM-4204, California Test 109 Sticker*  
*Form CEM-4501, Resident Engineer's Daily Report/Assistant Resident Engineer's  
 Daily Report*  
*Form CEM-4601, Assistant Resident Engineer's Daily Report*  
*Form CEM-4701, Drainage System Summary*  
*Form CEM-4801, Quantity Calculations*  
*Form CEM-4900, Contract Change Order*  
*Form CEM-4901, Contract Change Order Input*  
*Form CEM-4902, Extra Work Bill (Short Form)*  
*Form CEM 4902A, Extra Work Bill - Title Page*  
*Form CEM-4902B, Extra Work Bill - Labor Charges*  
*Form CEM-4902C, Extra Work Bill - Equipment Charges*  
*Form CEM-4902D, Extra Work Bill - Material Charges*  
*Form CEM-4903, Contract Change Order Memorandum*  
*Form CEM-5101, Request for Payment for Materials on Hand*  
*Form CEM-6001, Project Record - Estimate Request*  
*Form CEM-6002, Contract Administration System (CAS) –Report Requests*  
*Form CEM-6003, Progress Pay - Estimate Project Initiation or Update*  
*Form CEM-6004, Contract Transactions Input*  
*Form CEM-6201, Notice of Potential Claim*  
*Form CEM-6201A, Initial Notice of Potential Claim*  
*Form CEM-6201B, Supplemental Notice of Potential Claim*  
*Form CEM-6201C, Full and Final Documentation of Potential Claim*  
*Form CEM-6202, Disputes Review Board (DRB) Establishment*  
*Form CEM-6203, Dispute Review Board (DRB) Update Report*  
*Form CEM-6204, Dispute Review Board (DRB) Issue Report*  
*Form CEM-6205, Dispute Review Board (DRB) Completion Report*  
*Form CEM-6301, Contract Acceptance*  
*Form CEM-9001, Construction Manual Proposed Change*

## 5-101C Division of Materials Engineering and Testing Services Forms

- Form TL-0028, Notice of Materials to be Inspected*
- Form TL-0029, Report of Inspection of Material*
- Form TL-0101, Sample Identification Card*
- Form TL-0502, Field Sample of Portland Cement Concrete Sample Card*
- Form MR-0518, Job Cement Samples Record*
- Form TL-0608, Notice of Materials to be Furnished*
- Form TL-0624, Inspection Release Tag*
- Form TL-0649, Inspector's Report of Material on Hand*
- Form TL-3096, Pavement Core Record*
- Form TL-6037, Fabrication Progress Report*

## 5-101D Other State Forms

- Form DAS-1, Apprentice Agreement*
- Form H-ESP-16, Request for Construction Staking*
- Form LA-16, Product, Material, or Method Report (For Highway Planting or Erosion Control)*
- Form LA-17, Report of Chemical Spray Operations*
- Form TR-0019, Notice of Change in Clearance or Bridge Weight Rating*
- Form TR-0020, Notice of Change in Vertical or Horizontal Clearance*
- Form TR-0029, Notice of Change in Clearance or Bridge Weight Rating*

## 5-101E Federal Forms

- Form FHWA-47M Statement of Materials and Labor Used By Contractors On Highway Construction Involving Federal Funds*
- Form FHWA-1022 United States Department of Transportation Notice*
- Form FHWA-1391 Federal-Aid Highway Construction Contractors Annual EEO Report*
- Form DOL SF-308 Request for Wage Determination and Response to Request Equal Employment Opportunity Is The Law Poster*
- Form FHWA-1495 Wage Rate Information Federal-Aid Highway Project*

## **5-102 Organization of Project Documents**

- 5-102A General
- 5-102B Indexing
- 5-102C Description of Categories
- 5-102D Category Numbers And Headings
- 5-102E Alphabetical Listing Of Categories

## **5-103 The Contract Administration System, CAS**

### 5-103A General

Table 3-2.1 The Contract Administration System

### 5-103B Project Initiation and Update

*5-103B (1) Completing Form CEM-6003, “Project Pay-Estimate Project Initiation or Update”*

5-103B (1a) Project Key

5-103B (1b) Card type C05 (each field is independent and can be updated separately)

5-103B (1c) Card type C06 to C08

5-103B (1d) Card type C09 to C14

5-103B (1e) Card type C15

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*5-103C (2) Completing Form CEM-6005, “Contract Transaction Input”*

5-103C (2a) Contract Item Entries

5-103C (2b) Miscellaneous Transactions

5-103C (2c) Contract Change Order Transactions

5-103C (2d) General

5-103C (2e) Audit Trail

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*5-103D (2) Edits*

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5-103E (1a) Basic Information (Title Page)

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5-103F (2a) Estimate Edits

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### *5-103F (3) Potential Problems*

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5-103H (2a) The Project File Status Report

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### *5-103H (4) Progress Payment-Work Done by Office of Structures (Copies)*

### *5-103H (5) Project Record-Estimate (Copies)*

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### *5-103H (9) CCO Master Listing*

### *5-103H (10) Bridge Quantities by Structure*

### *5-103H (11) District (XX) Status of Anticipated Changes*

### *5-103H (12) Project Record-Estimate (Dummy)*

### *5-103H (13) Contract Contents Report*

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### *5-103H (17) Daily Extra Work Report*

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## Section 1 Project Records and Reports

## Section 1 Project Records and Reports

### 5-101 Forms Used For Contract Administration

### 5-101 Forms Used For Contract Administration

#### 5-101A General

One of the duties of the resident engineer is to keep accurate and complete records of the work. This section includes a list of forms used in administering a construction project and maintaining records. Use forms not related directly to contract administration, such as personnel documents and accounting forms, in accordance with instructions contained in other Caltrans manuals.

The Division of Construction issues new or revised construction forms. All Division of Construction forms have a prefix of CEM and a number that is related to the form's uniform filing system category. If an existing form no longer meets the need that it was designed for, use the following procedure to implement a change:

- Complete Form CEM-9001, "Construction Manual Proposed Change", and send it to the Division of Construction forms coordinator. Explain the reason for the proposed change and attach a draft of the proposed revised form.
- The Division of Construction will review the proposed change and make a decision regarding any future revision.

Not all forms issued by the Office of Materials Engineering and Testing Services (METS) are listed in this manual. If a test method includes a specific form, contact METS.

A list of forms issued by the Division of Structure Construction is shown in Volume I, Section 16 of the *Bridge Construction Records and Procedures Manual*.

#### 5-101B Construction Forms

Order construction forms by stock number from district warehouses or stockrooms. Forms without stock numbers may be found on the Caltrans Electronic Form System's (CEFS) Intranet web site: <http://adsc.caltrans.ca.gov/CEFS/>. The appendix to the *Construction Manual* (manual) contains samples of the construction forms.

Following is a list and descriptions of the Division of Construction forms:

#### *Form CEM-0101, Resident Engineer's Report of Assignment*

When assigned to a new project, the resident engineer must use Form CEM-0101, "Resident Engineer's Report of Assignment." This provides contact information. Distribute copies of the report according to instructions on the form and any district instructions.

It is not necessary or desirable to hold the form until all information is available. Submit partial information with a note that a supplemental form will follow.

*Form CEM-0501, Relief from Maintenance*

The resident engineer uses Form CEM-0501, “Relief from Maintenance,” to recommend that the contractor be relieved from maintenance and responsibility in accordance with Section 7-1.15, “Relief from Maintenance and Responsibility,” of the *Standard Specifications*. For more information see Section 3-709, “Relief from Maintenance and Responsibility,” of this manual.

*Form CEM-0601, Construction Safety Report*

The resident engineer or the project safety coordinator uses Form CEM-0601, “Construction Safety Report,” to document monthly project safety reviews.

*Form CEM-0602, Project Safety Program Statement*

The resident engineer uses Form CEM-0602, “Project Safety Program Statement,” to list the Code of Safe Practices which apply to the project. This form may also be used to designate an employee as the project safety coordinator.

*Form CEM-0603, Major Construction Incident Notification*

The resident engineer uses Form CEM-0603, “Major Construction Incident Notification,” to report major construction incidents. Instructions for use are included on the back of the form.

*Form CEM-1101, Documents Bond of State Highway Oversight Projects*

The local agency and Caltrans project manager complete Form CEM -1101, “Documents Bond of State Highway Oversight Projects.” The project manager submits the form to the encroachment permits unit when local agencies have failed, in the past, to produce and submit required documents at the completion of a previous contract they administered on the state highway system. For details on the use of this form, see Section 4-101, “Projects with Documents Bond,” of the *Caltrans Oversight Engineer Field Guidelines*.

*Form CEM-1201, Subcontracting Request (Stock # 7541-3514-7)*

The contractor submits Form CEM-1201, “Subcontracting Request.” The resident engineer uses the form to calculate the percentage of work to be performed by the contractor. Section 2-08, “Prosecution and Progress,” of this manual describes the procedures. The resident engineer must approve this form before the contractor can begin on the applicable subcontracted work.

*Form CEM-2001, National Pollution Discharge Elimination System Annual Certification*

The resident engineer uses Form CEM-2001, “National Pollution Discharge Elimination System Annual Certification,” to file the annual storm water permit certification by July 1 of each year. See Chapter 7, “Environmental,” for details on the storm water permit certification.

*Form CEM-2002, Notification of Construction (NOC)*

The resident engineer, with the assistance of the district construction storm water coordinator, fills out Form CEM-2002, “Notification of Construction (NOC)”. The Caltrans National Pollutant Discharge Elimination System Permit requires Caltrans to submit the notification to the Regional Water Control Board. Instructions are included on the back of the form.



*Form CEM-2003, Notification of Completion of Construction (NCC)*

Submits Form CEM-2003, "Notification of Completion of Construction (NCC)," for projects requiring a storm water pollution prevention plan to the Regional Water Quality Control Board upon completion of construction. Usually, the resident engineer submits the notification. However, districts may elect to have the storm water coordinator, project manager, construction engineer, or other responsible staff submit this form. This form is not required for water pollution control plan projects. Directions are on the back of the form.

*Form CEM-2025, Solid Waste Disposal and Recycling Report*

The contractor completes and certifies the information reported on Form CEM-2025, "Solid Waste Disposal and Recycling Report." The resident engineer reviews all reports submitted by the contractor for accuracy. The resident engineer submits the approved form directly to the district recycling coordinator and a copy of the statewide recycle coordinator in headquarters Division of Design. The use of this form is described in Section 5-008, "Solid Waste Disposal and Recycling Reporting," of this manual.

*Form CEM-2101, COZEEP Daily Report*

Jointly, The California Highway Patrol and Caltrans use Form CEM-2101, "COZEEP Daily Report," to report highway patrol resources used for the Construction Zone Enhanced Enforcement Program. Chapter 2, "Safety and Traffic," of this manual describes the use of Form CEM-2101.

*Form CEM-2102, COZEEP/MAZEEP Task Order*

The resident engineer uses Form CEM-2102, "COZEEP/MAZEEP Task Order," to request highway patrol support for the Construction Zone Enhanced Enforcement Program. The use of this form is described in Section 2, "Safety and Traffic," of this manual.

*Form CEM-2103, COZEEP/MAZEEP Cancellation Form*

The resident engineer uses Form CEM-2103, "COZEEP/MAZEEP Cancellation Form," to cancel any previously requested highway patrol support for the Construction Zone Enhanced Enforcement Program. The use of this form is described in Section 2, "Safety and Traffic," of this manual.

*Form CEM-2401, Substitution Report for Disadvantaged Business Enterprise/  
Disabled Veteran Business Enterprise (Stock # 7541-3507-3)*

The contractor fills out Form CEM-2401, "Substitution Report for Disadvantaged Business Enterprise/Disabled Veteran Business Enterprise." The resident engineer uses the form to approve disadvantaged business enterprise (DBE) subcontractor substitutions. For more information on substituting subcontractors refer to Sections 3-8, "Prosecution and Progress," and 8-3, "Disadvantaged Business," of this manual.

*Form CEM-2402(F), Final Report- Utilization of Disadvantaged Business  
Enterprises (DBE), First - Tier Subcontractors (Federally  
Funded Projects) (Stock # 7541-3502-2)*

The contractor fills out and certifies Form CEM-2402(F), "Final Report- Utilization of Disadvantaged Business Enterprises (DBE), First - Tier Subcontractors (Federally Funded Projects)." The resident engineer verifies the form. It describes work performed and materials provided by disadvantaged business enterprise subcontractors. See Section 8-3, "Disadvantaged Business," of this manual for details.

*Form CEM-2402(S), Final Report - Utilization of Disabled Veteran Business Enterprises (DVBE) State Funded Projects*

The contractor fills out and certifies Form CEM-2402(S), "Final Report - Utilization of Disabled Veteran Business Enterprises (DVBE) State Funded Projects." The resident engineer verifies the form. It describes work performed and materials provided by disabled veteran business enterprise subcontractors on state funded projects. See Section 8-3, "Disadvantaged Business," of this manual for details.

*Form CEM-2403(F), Disadvantaged Business Enterprises (DBE) Certification Status Change*

The contractor fills out and certifies Form CEM-2403(F), "Disadvantaged Business Enterprises (DBE) Certification Status Change." The resident engineer uses this form to verify the actual dollar amount paid to DBE subcontractors on federally funded projects that have a change in certification status during the course of the contract. See Section 8-3, "Disadvantaged Business," of this manual for details.

*Form CEM-2404(F), Monthly DBE Trucking Verification*

The contractor must submit Form CEM-2404(F), "Monthly DBE Trucking Verification," before the 15th of each month. It lists the dollar amount paid to the DBE trucking companies for truck work performed by DBE certified truckers and for any fees or commissions for non-DBE truckers utilized each month on the project. Instructions for filling out this form are on the back of the form.

*Form CEM-2501, Fringe Benefit Statement*

The contractor completes Form CEM-2501, "Fringe Benefit Statement," for labor compliance purposes. See Section 8-1, "Labor Compliance," of this manual for more information.

*Form CEM-2502, Contractor/Subcontractor Payroll*

When it is requested, furnish "Form CEM-2502, Contractor/Subcontractor Payroll," to the contractor. It is used to fulfill the payroll submittal requirements of the contract. See Section 8-1, "Labor Compliance," of this manual for more information.

*Form CEM-2503, Statement of Compliance*

The contractor may use Form CEM-2503, "Statement of Compliance," for the required statement of compliance with payroll submittals. See Section 8-1, "Labor Compliance," of this manual for more information.

*Form CEM-2504, Employee Interview: Labor Compliance/EEO  
(Stock # 7541-3512-3)*

Use Form CEM-2504, "Employee Interview: Labor Compliance/EEO," to record information from interviews of contractors' employees. Directions to interviewer are on the back of the form. See Section 8-1, "Labor Compliance," of this manual for more information.

*Form CEM-2504 (Spanish), Entrevista de Empleado: Labor Compliance/EEO*

Same as above. Form printed in Spanish.

*Form CEM-2505, Owner - Operator Listing Statement of Compliance*

If they do not include this data on their certified payrolls, contractors may use Form CEM-2505, “Owner - Operator Listing Statement of Compliance,” for reporting payments made to owner-operators. See Section 8-1, “Labor Compliance,” of this manual for more information.

*Form CEM-2506, Labor Compliance – Wage Violation*

The district labor compliance officer uses Form CEM-2506, “Labor Compliance – Wage Violation,” to document labor compliance wage violations. See Section 8-1, “Labor Compliance,” of this manual for more information.

*Form CEM-2507, Labor Violation: Case Summary*

The district labor compliance officer uses Form CEM-2507, “Labor Violation: Case Summary,” in conjunction with Form CEM-2506 to summarize labor violation cases. See Section 8-1, “Labor Compliance,” of this manual for more information.

*Form CEM-2508, Contractor’s Payroll Source Document Review*

The district labor compliance officer uses Form CEM-2508, “Contractor’s Payroll Source Document Review” to document the verification of the contractors’ payroll source document review. See Section 8-1, “Labor Compliance,” of this manual for more information.

*Form CEM-2509, Checklist – Source Document Review*

The district labor compliance officer uses Form CEM-2509, “Checklist – Source Document Review,” during the contractor’s payroll source document review. See Section 8-1, “Labor Compliance,” of this manual for more information.

*Form CEM-2601, Construction Progress Chart*

The resident engineer maintains Form CEM-2601, “Construction Progress Chart,” for each project. See Section 3-8, “Prosecution and Progress,” of this manual for details.

*Form CEM-2701, Weekly Statement of Working Days (Stock # 7541-3528-7)*

The resident engineer uses Form CEM-2701, “Weekly Statement of Working Days,” to track contract time on construction contracts. The back of the form and Section 3-8, “Prosecution and Progress,” of this manual contain instructions for filling out the weekly statement of working days.

*Form CEM-2702, Overrun in Contract Time*

The Division of Construction uses Form CEM-2702, “Overrun in Contract Time,” to approve “director days.” For more information see Section 3-8, “Prosecution and Progress,” of this manual.

*Form CEM-3101, Notice of Materials to Be Used (Stock # 7541-3511-1)*

The contractor must use Form CEM-3101, “Notice of Materials to Be Used,” to list all materials to be used on the project. See Section 6-2, “Acceptance of Manufactured Material and Sampling Methods,” of this manual for details on the use of this form. Instructions to the contractor are on the back of the form.

*Form CEM-3501, AC Production/Placement Checklist*

Resident engineers and assistant resident engineers may use Form CEM-3501, “AC Production/Placement Checklist,” to identify asphalt concrete paving problems.

*Form CEM-3701, Test Result Summary*

Resident engineers may use Form CEM-3701, “Test Result Summary” to summarize acceptance tests on each material. See Category 37, “Initial Tests and Acceptance Tests,” in Section 5-102, “Organization of Project Documents,” of this manual for details.

*Form CEM-3702, Relative Compaction Summary*

Resident engineers may use Form CEM-3702, “Relative Compaction Summary,” to summarize compaction test results in the same manner that Form CEM-3701 is used for other tests.

*Form CEM-4101, Materials Release Summary*

Resident engineers use Form CEM-4101, “Materials Release Summary,” to summarize the materials released by METS and materials inspected at the job site.

*Form CEM-4102, Material Inspected and Released on Job*

Resident engineers use Form CEM-4102, “Material Inspected and Released on Job,” to list certain materials that may arrive on the job site without a Form TL-0029, “Report of Inspection of Material.” See Section 6-3, “Field Tests,” of this manual for details.

*Form CEM-4202, Material Plant Safety Checklist*

The materials plant inspector uses Form CEM-4202, “Material Plant Safety Checklist,” when checking a materials plant for safety.

*Form CEM-4204, California Test 109 Sticker*

The district weights and measures coordinator affixes Form CEM-4204, “California Test 109 Sticker” to each scale tested in accordance with California Test 109. Obtain the form from the Division of Construction weights and measures coordinator. Sample form not in appendix. See Section 3-903E, “Weighing and Metering Procedures,” of this manual for details.

*Form CEM-4501, Resident Engineer’s Daily Report/Assistant Resident Engineer’s Daily Report (Stock # 7541-3506-1)*

The resident engineer and the assistant resident engineers use Form CEM-4501, “Resident Engineer’s Daily Report/Assistant Resident Engineer’s Daily Report,” to record project activities daily. For more information see Section 5-0, “Conduct of the Work,” of this manual.

*Form CEM-4601, Assistant Resident Engineer’s Daily Report (Stock # 7541-3504-6)*

Assistant resident engineers use Form CEM-4601, “Assistant Resident Engineer’s Daily Report,” to record daily individual contract item activity. It is also used to record extra work activity and to verify contractors’ personnel listed on payrolls. For more information see Section 5-0, “Conduct of the Work,” of this manual.

*Form CEM-4701, Drainage System Summary* (Stock # 7541-3521-2)

Resident engineers and assistant resident engineers use Form CEM-4701, “Drainage System Summary,” to record progress and summarize activity on drainage contract items. See category 47, “Drainage Systems,” in Section 5-102, “Organization of Project Documents,” of this manual for details.

*Form CEM-4801, Quantity Calculations* (Stock # 7541-3520-0)

Resident engineers and assistant resident engineers use Form CEM-4801, “Quantity Calculations,” for the basic source document for most contract item quantity calculations.

*Form CEM-4900, Contract Change Order* (Stock # 7541-3501-0)

Resident engineers use Form CEM-4900, “Contract Change Order,” for contract change orders. See Section 5-3, “Contract Change Orders,” of this manual for information about contract change orders.

*Form CEM-4901, Contract Change Order Input* (Stock # 7541-3516-2)

Resident engineers and assistant resident engineers use Form CEM-4901, “Contract Change Order Input,” to input contract change orders for the project record and estimate data. See Section 5-103D, “Contract Change Orders,” of this manual for details.

*Form CEM-4902, Extra Work Bill (Short Form)* (Stock # 7541-3500-8)

Contractors use Form CEM-4902, “Extra Work Bill (Short Form),” for billing extra work. Details for use are on the back of the form and are also included in Section 5-103E, “Extra Work Billing,” of this manual. The resident engineer may approve contractor-designed forms. With prior approval from the Division of Construction, the contractor may submit extra work bill data on a computer report identical to Form CEM-4902 for all Caltrans projects.

*Form CEM 4902A, Extra Work Bill - Title Page* (Stock # 7541-3496-7)

Contractors use Form CEM 4902A, “Extra Work Bill - Title Page,” for billing extra work. It is the first page of the 4-part extra work bill. It identifies the project, contract change order number, method of payment and performer of work. This form also provides for manual calculation of the bill. Details for use are on the back of the form and are also included in Section 5-103E, “Extra Work Billing,” of this manual. The resident engineer may approve contractor-designed forms. With prior approval from the Division of Construction, the contractor may submit extra work bill data on a computer report identical to Form CEM-4902A for all Caltrans projects.

*Form CEM-4902B, Extra Work Bill - Labor Charges* (Stock # 7541-3497-9)

Contractors use Form CEM-4902B, “Extra Work Bill - Labor Charges,” for billing extra work. It is used to enter labor charges and other expense subject to labor markup. This form is used with CEM-4902A, “Extra Work Bill Title Page.” Details for use are on the back of the form and are also included in Section 5-103E, “Extra Work Billing,” of this manual. The resident engineer may approve contractor-designed forms. With prior approval from the Division of Construction, the contractor may submit extra work bill data on a computer report identical to Form CEM-4902B for all Caltrans projects.

*Form CEM-4902C, Extra Work Bill - Equipment Charges (Stock # 7541-3498-1)*

Contractors use Form CEM-4902C, “Extra Work Bill - Equipment Charges,” for billing extra work. It is used to enter equipment charges to the extra work bill. This form is used with CEM-4902A, “Extra Work Bill - Title Page.” Details for use are on the back of the form and are also included in Section 5-103E, “Extra Work Billing,” of this manual. The resident engineer may approve contractor-designed forms. With prior approval from the Division of Construction, the contractor may submit extra work bill data on a computer report identical to Form CEM-4902C for all Caltrans projects.

*Form CEM-4902D, Extra Work Bill - Material Charges (Stock # 7541-3499-3)*

Contractors use Form CEM-4902D, “Extra Work Bill - Material Charges,” for billing extra work. It is used to enter material charges to the extra work bill. This form is used with CEM-4902A, “Extra Work Bill - Title Page.” Details for use are on the back of the form and are also included in Section 5-103E, “Extra Work Billing,” of this manual. The resident engineer may approve contractor-designed forms. With prior approval from the Division of Construction, the contractor may submit extra work bill data on a computer report identical to Form CEM-4902D for all Caltrans projects.

*Form CEM-4903, Contract Change Order Memorandum (Stock # 7541-3544-0)*

Resident engineers use Form CEM-4903, “Contract Change Order Memorandum” in conjunction with Form CEM-4900, “Contract Change Order,” to report the necessary engineering and administrative data relative to the change. See Section 5-3, “Contract Change Orders,” of this manual for details.

*Form CEM-5101, Request for Payment for Materials on Hand  
(Stock # 7541-3522-4)*

Contractors use Form CEM-5101, “Request for Payment for Materials on Hand,” to request payment for materials on hand. Instructions for the form and administrative procedures are covered in Section 3-9, “Measurement and Payment,” of this manual.

*Form CEM-6001, Project Record - Estimate Request*

The resident engineer uses Form CEM-6001, “Project Record - Estimate Request,” to request that an estimate be run. See Section 5-103F (1), “Procedure,” of this manual for details.

*Form CEM-6002, Contract Administration System (CAS) - Report Requests*

Use Form CEM-6002, “Contract Administration System (CAS) - Report Requests,” to obtain reports available from the contract administration system. See Section 5-103, “The Contract Administration System (CAS),” of this manual for details.

*Form CEM-6003, Progress Pay - Estimate Project Initiation or Update*

Use Form CEM-6003, “Progress Pay - Estimate Project Initiation or Update,” to add new information or to change information in the contract administration system. For details see Section 5-103B, “Project Initiation and Update,” of this manual.

*Form CEM-6004, Contract Transactions Input (Stock # 7541-3515-0)*

Use Form CEM-6004, “Contract Transactions Input,” to input estimate data into the contract administration system for the project record and estimate. See Section 5-103C, “Contract Transactions,” of this manual for details.

*Form CEM-6201, Notice of Potential Claim*

Contractors use Form CEM-6201, “Notice of Potential Claim,” to submit notices of potential claims to the resident engineer. For details on the use of this form see Section 5-4, “Disputes,” of this manual.

*Form CEM-6201A, Initial Notice of Potential Claim*

Contractors use Form CEM-6201A, “Initial Notice of Potential Claim,” to submit an early notice of a potential claim issue. For details on the use of this form, see Section 5-4, “Disputes,” of this manual.

*Form CEM-6201B, Supplemental Notice of Potential Claim*

Contractors use Form CEM-6201B, “Supplemental Notice of Potential Claim,” to submit a detailed description along with the necessary attachments of the nature, circumstances, and estimated costs of a potential claim as a follow up to Form CEM-6201A, “Initial Notice of Potential Claim.”

*Form CEM-6201C, Full and Final Documentation of Potential Claim*

Contractors use Form CEM-6201C, “Full and Final Documentation of Potential Claim,” to submit a complete documentation of a potential claim after completion of the work for which Forms CEM-6201A and CEM-6201B have been submitted. For details on the use of this form, see Section 5-4, “Disputes,” of this manual.

*Form CEM-6202, Disputes Review Board (DRB) Establishment*

Resident engineers complete and submit Form CEM-6202, “Disputes Review Board (DRB) Establishment Report,” to the Division of Construction after the initial DRB meeting has been held. For details on the use of this form, see Section 5-4, “Disputes,” of this manual.

*Form CEM-6203, Dispute Review Board (DRB) Update Report*

Resident engineers complete and submit Form CEM-6203, “Disputes Review Board (DRB) Update Report,” to the Division of Construction yearly beginning on the anniversary of the contract first working day. For details on the use of this form, see Section 5-4, “Disputes,” of this manual.

*Form CEM-6204, Dispute Review Board (DRB) Issue Report*

Resident engineers complete and submit Form CEM-6204, “Disputes Review Board (DRB) Issue Report,” to the Division of Construction when Caltrans has sent a response to DRB recommendation and the contractor’s response has been received or has been accepted by default. For details on the use of this form see Section 5-4, “Disputes,” of this manual.

*Form CEM-6205, Dispute Review Board (DRB) Completion Report*

Resident engineers complete and submit Form CEM-6205, “Disputes Review Board (DRB) Completion Report,” to the Division of Construction 30 days after receipt of the contractor’s exceptions to the proposed final estimate. For details on the use of this form see Section 5-4, “Disputes,” of this manual.

*Form CEM-6301, Contract Acceptance*

Resident engineers use Form CEM-6301, “Contract Acceptance,” to document acceptance and the various quantities delivered by the contract. Instructions are on the back of the form. For details on the use of this form see Section 3-710, “Acceptance of Contract,” of this manual.

*Form CEM-9001 Construction Manual Proposed Change*

Caltrans personnel may use Form CEM-9001 “Construction Manual Proposed Change,” to submit a proposed change to the *Construction Manual*. Forms should be sent to the Division of Construction.

5-101C Office of Materials Engineering and Testing Services Forms (METS)

Order METS forms by stock number from district warehouses or stockrooms. Find forms without stock numbers on the Caltrans Electronic Form System’s (CEFS) Intranet web site: <http://adsc.caltrans.ca.gov/CEFS/>. The appendix of this manual contains samples the forms that are generated in construction. Forms without stock numbers can also be obtained by contacting METS.

*Form TL-0028, Notice of Materials to be Inspected*

METS uses Form TL-0028, “Notice of Materials to be Inspected,” to assign inspection duties. METS sends copies of these assignment forms to the resident engineer. Sample form not in appendix.

*Form TL-0029, Report of Inspection of Material (Stock # 7541-6001-2)*

METS will complete Form TL-0029, “Report of Inspection of Material,” to confirm the inspection of material to which the inspector has attached inspection release tags or other means of identification. METS mails the report to the resident engineer, who will compare it with inspection tags or markings on delivered materials. Sample form not in appendix.

*Form TL-0101, Sample Identification Card*

Use Form TL-0101, “Sample Identification Card,” to submit samples to METS or district materials laboratories for testing materials other than field samples of concrete (compressive strength) and cement samples.

*Form TL-0502, Field Sample of Portland Cement Concrete Sample Card*  
(Stock #7541-6018-8)

Use Form TL-0502, “Field Sample of Portland Cement Concrete Sample Card,” to submit compressive strength samples of concrete. Refer to Section 6-3, “Field Tests,” for details on marking of samples.

*Form MR-0518, Job Cement Samples Record (Stock # 7541-6019-0)*

Use Form MR-0518, “Job Cement Samples Record,” to submit cement samples for testing. Instructions for the use of this form are found in Section 6-2, “Acceptance of Manufactured Material and Sampling Methods,” of this manual.

*Form TL-0608, Notice of Materials to be Furnished*

METS uses Form TL-0608, “Notice of Materials to be Furnished,” to notify the manufacturer that a METS inspector has been assigned to inspect a specific item. See Section 6-2, “Acceptance of Manufactured Material and Sampling Methods,” of this manual for more details. Sample form not in appendix.



#### *Form TL-0624, Inspection Release Tag*

When a METS Inspector has inspected material, the inspector will attach Form TL-0624, “Inspection Release Tag,” with lot numbers, inspector’s initials, and date of inspection. For materials where it is not practicable to attach tags, the inspector will mark lot numbers on the material in lieu of attaching the tags. Sample form not in appendix.

#### *Form TL-0649, Inspector’s Report of Material on Hand*

METS uses Form TL-0649, “Inspector’s Report of Material on Hand,” to verify that material has been inspected and is in acceptable condition. See Section 3-9, “Measurement and Payment,” of this manual for details. Sample form not in appendix.

#### *Form TL-3096, Pavement Core Record*

The district materials unit uses Form TL-3096, “Pavement Core Record,” to record the data on cores that are taken to determine pavement thickness. See Section 4-40, “Portland Cement Concrete Pavement,” of this manual for details. Sample form not in appendix.

#### *Form TL-6037, Fabrication Progress Report*

DMETS uses Form TL-6037, “Fabrication Progress Report,” to notify resident engineers of progress being made on fabrication of various items. See Section 3-9, “Measurement and Payment,” for details. Sample form not in appendix.

#### 5-101D Other State Forms

Following is a list of state forms used in contract administration that are not issued by the Division of Construction or METS.

#### *Form DAS-1, Apprentice Agreement*

Form DAS-1, “Apprentice Agreement,” provides evidence of registration of the contractor’s apprenticeship program (Sample form not in appendix). Contractors obtain Form DAS-1 from the *California Department of Industrial Relations, Division of Apprenticeship Standards*.

#### *Form H-ESP-16, Request for Construction Staking (Stock #7541-4542-7)*

The contractor uses Form H-ESP-16, “Request for Construction Staking,” to request construction staking. The resident engineer and the survey party chief add information to the request. It serves as a record of construction staking and any charges to the contractor for re-staking. For information on construction surveys and use of Form H-ESP-16, see Chapter 12, “Construction Surveys,” of the *Caltrans Surveys Manual*.

#### *Form LA-16, Product, Material, or Method Report (For Highway Planting or Erosion Control)*

Use Form LA-16, “Product, Material, or Method Report (For Highway Planting or Erosion Control),” to report new products, materials, or methods for erosion control and highway planting. Send the completed report to the district landscape architect and to the Office of State Landscape Architecture. See section 4-2001, “General,” of this manual for details.

#### *Form LA-17, Report of Chemical Spray Operations*

The contractor uses Form LA-17, “Report of Chemical Spray Operations,” to submit the required weekly pesticide application report. See Section 4-2003C (2), “Pesticides,” of this manual for details.

*Form TR-0019, Notice of Change in Clearance or Bridge Weight Rating*

Use Form TR-0019, “Notice of Change in Clearance or Bridge Weight Rating,” to report permanent changes to vertical or horizontal clearance for vehicular traffic or permanent changes in bridge permit ratings on divided roadways. See Section 3-705B, “Clearance and Bridge Permit Rating Changes (Permanent),” of this manual for details.

*Form TR-0020, Notice of Change in Vertical or Horizontal Clearance*

Use Form TR-0020, “Notice of Change in Vertical or Horizontal Clearance,” to report permanent changes to vertical or horizontal clearance for vehicular traffic. See Section 3-705B, “Clearance and Bridge Permit Rating Changes (Permanent),” of this manual for details.

*Form TR-0029, Notice of Change in Clearance or Bridge Weight Rating*

Use Form TR-0029, “Notice of Change in Clearance or Bridge Weight Rating,” to report permanent changes to vertical or horizontal clearance for vehicular traffic or permanent changes in bridge permit ratings on undivided roadways. See Section 3-705B, “Clearance and Bridge Permit Rating Changes (Permanent),” of this manual for details.

5-101E Federal Forms

Following is a list of some federal forms that are used in contract administration.

*Form FHWA-47M Statement of Materials and Labor Used By Contractors On Highway Construction Involving Federal Funds*

The contractor must submit Form FHWA-47M “Statement of Materials and Labor Used By Contractors On Highway Construction Involving Federal Funds,” on federal-aid contracts when the amount paid to the contractor is in excess of \$1,000,000. Instructions are on the back of the form. Sample form not in appendix. Obtain the form from the United States Department of Transportation, Federal Highway Administration’s web site: <http://www.fhwa.dot.gov/>

*Form FHWA-1022 United States Department of Transportation Notice*

The contractor must post Form FHWA-1022 “United States Department of Transportation Notice,” on each federal-aid highway project in one or more places where it is readily available to all personnel associated with the project. The resident engineer must also post the notice at the Caltrans field office. (Sample form not in appendix). Obtain the form from the United States Department of Transportation, Federal Highway Administration’s web site: <http://www.fhwa.dot.gov/>

*Form FHWA-1391 Federal-Aid Highway Construction Contractors Annual EEO Report*

The contractor must submit Form FHWA-1391 “Federal-Aid Highway Construction Contractors Annual EEO Report,” on all federal aid contracts over \$10,000. All subcontractors on federal aid projects whose subcontracts exceed \$10,000 must also submit the report. Contractors and subcontractors include project employment data for the last full week of July on the report. Sample form not in appendix. Obtain the form from the United States Department of Transportation, Federal Highway Administration’s web site: <http://www.fhwa.dot.gov/>

### *Form DOL SF-308 Request for Wage Determination and Response to Request*

On federal-aid contracts, request wage rate determinations on the United States Department of Labor Form SF-308, “Request For Wage Determination and Response to Request.” Sample form not in appendix. Obtain the form from the United States Department of Transportation, Federal Highway Administration’s web site:  
<http://www.fhwa.dot.gov/>

### *Equal Employment Opportunity Is The Law Poster*

The contractor must post the “Equal Employment Opportunity Is The Law Poster” on each federal-aid highway project in one or more places where it is readily available to all personnel associated with the project. The resident engineer must also display the poster at the Caltrans field office. Sample form not in appendix. Obtain the poster from the United States Department of Transportation, Federal Highway Administration’s web site or the district labor compliance officer:  
<http://www.fhwa.dot.gov/>

### *Form FHWA-1495 Wage Rate Information Federal-Aid Highway Project*

The contractor must post Form FHWA-1495 “Wage Rate Information Federal-Aid Highway Project,” with the Secretary of Labor minimum wage rate schedule attached, at the jobsite where the workers can easily see it. Sample form not in appendix. Obtain the form from the Federal Highway Administration or the district labor compliance officer: <http://www.fhwa.dot.gov/>

## **5-102 Organization of Project Documents**

### 5-102A General

This section describes the uniform filing system for organizing project records and reports. The system uses numbered categories for filing project documents. Use the uniform filing system on all projects.

There are 63 categories in the filing system. There are several unassigned categories. Use them for project documents that do not fit in assigned categories. If necessary, divide a category into subcategories.

Assign the appropriate category numbers to documents filed at a separate location (such as a field office hanging file). The filing system will then be correct when records are brought together after project completion.

Obtain preprinted category labels, stock number 7690-0150-6, from the district warehouse.

### 5-102B Indexing

Use a category index, similar to the sample shown at the end of this section, or an index of categories that is supplied with the labels, for each project. Post the index in a prominent location.

When the location of a category is separate from the main file, indicate its location on the index under appropriate heading.

## **5-102**

## **Organization of Project Documents**

### 5-102C Description of Categories

The discussion below describes the documents that should be included in each category and, for some categories, a recommended order of the documents in the categories.

#### *Category 1, Project Personnel*

Include all personnel related records in this category. Suggested subcategories are listed below. On smaller projects, some of the listed subcategories may be combined when the amount of detail shown is not warranted.

- Form CEM-0101, “Resident Engineer’s Report of Assignment”
- Attendance Report
- Overtime Records
- Monthly Time Sheets
- Overtime Requests and Authorizations
- Absence Requests
- Personnel Transfer Records
- Personnel Roster
- Travel Expense Claims and Records
- Individual Personnel File. Use this for a file on each individual containing emergency telephone numbers, experience or training records, among other things.

#### *Category 2, Project Office Equipment and Supplies*

In this category, file those documents relating to equipment and supplies. Include records of equipment and supplies that have been received or returned. The subcategories listed below outline the scope of this category.

- Equipment Inventory
- Shipping Records (related shipping and receiving records should be stapled together)
- Receiving Records
- Transfer Requests
- Local Requests
- Automotive Records
- Cash Expenditure Vouchers
- Purchase Orders
- Bills of Lading

#### *Category 3, Equipment and Personnel Cost Reports*

In this category, file construction engineering cost reports.

#### *Category 4, Service Contracts*

In this category, file those documents related to the project office utilities and services. File requests for service along with all correspondence relating to project office service contracts in an appropriate subcategory. File the receiving records for bills for utilities and services in a “date received” sequence.

It is recommended that a separate subcategory be used for each company or each service agreement. File purchase orders for supplies in Category 2, “Project Office Equipment and Supplies.”

The subcategories that may be included in this category are as follows:

- Rent
- Electricity
- Gas
- Telephone
- Water
- Additional service agreements, as required

Do not confuse this category with Category 16, “Utility Agreements,” Category 17, “Utility Work Performed,” or a subcategory of Category 52, “Charges to Contract Allotment.” These are part of the project’s construction operations. Category 4 includes only those transactions connected with the resident engineer’s office.

#### *Category 5, General Correspondence*

In this category, file those letters that do not relate to any other category or subcategory in use. File correspondence concerning a subject that directly relates to some other category in that category. For example file correspondence developed in connection with a contract change order in the contract change order category file.

File correspondence filed in any subcategory in chronological order.

When the volume of correspondence builds up, segregate and divide it into more detailed subject subcategories. When appropriate, transfer correspondence from category 5 to a more specific category. For example, a property owner may object to certain conditions on the project. After considerable correspondence, The resident engineer writes a contract change order to solve the problem. At this point, the resident engineer should transfer all of the correspondence related to the contract change order to the contract change order category file.

A letter might cover subjects in different categories. When the letter relates directly to two subjects, file a copy in each category or cross-reference to the location of the original. Cross-referencing need be only a note describing the letter filed in the appropriate category.

The following are examples of the subcategories in category 5. The number of subcategories will depend on the volume of correspondence. Show all subcategories in the index.

- To district office
- From district office
- To contractor

- From contractor
- Property owners
- Utility companies
- Any additional subcategories that may be required depending on the volume of the correspondence.

#### *Category 6, Safety*

File project documents relating directly to safety in this category. Suggested subcategories are shown below:

- Employee Safety
- Contract Documents Relating to Safety
- Correspondence with the Division of Occupational Safety and Health (Cal/OSHA)
- A copy of the contractor's Code of Safe Practices in use for the project

#### *Category 7, Public Relations*

File the various documents covering the subject of public relations in this category.

#### *Category 8, Construction Surveys*

Use this category for filing all survey documents that do not directly or solely relate to another category.

File Form H-ESP-16, "Request for Construction Staking," in this category. Create subcategories for requests on which staking has been completed and for those where staking has not been completed. Cross-file staking requests that include restaking charges in Category 54, "Deductions from Payment to Contractor."

#### *Category 9, Welding*

In this category, file documents relative to welding in accordance with instructions in Section 180, "Welding," of the *Bridge Construction Records and Procedures Manual*.

#### *Category 10, Extra Category Number*

Use this extra category number for project documents that do not fit in presently established categories. When used, enter the name of the category on the index sheet.

#### *Category 11, Information Furnished at Start of Project*

In this category, file documents related to planning, design, contract funding, advertising, and opening bids. Do not file documents in this category that apply solely or directly to other established categories. This category should contain the following items. Create subcategories as necessary due to the volume of documents.

- Project Report
- Preliminary Report
- Project Expenditure Authorization, (including Supplemental Allotments)
- Detailed Estimate of Project Cost



- Notice of Award of Contract
- Bid Summary Sheets
- Federal Detail Estimate
- Executed Contract, Special Provisions, and Plans
- Notice of Approval of the Contract.
- Environmental Permits
- Encroachment Permits and Cooperative Agreements
- Bidder Inquiry Information

#### *Category 12, Contractor*

Use this category to file the various documents that the contractor is required to submit. Do not use it for general correspondence or documents appropriate to another specific category. The following subcategories suggest the scope of the category:

- Contractor’s organization including the designation of the contractor’s authorized representative as required by Section 5-1.06, “Superintendence,” of the *Standard Specifications*
- Contractor’s equipment list
- Contractor’s borrow agreements
- List of subcontractors and other project documents concerning subcontracting
- Shop plans, if not filed under another appropriate category
- Falsework plans
- Insurance documents as required in Section 7-1.12, “Indemnification and Insurance,” of the *Standard Specifications*

#### *Category 13, Signs and Striping*

In this category, file all documents related to signing, delineation, and handling public traffic during construction. Suggested subcategories are listed below.

- Layout of Construction Signs
- Detour Design, Striping and Signing
- Traffic Striping Diagrams

#### *Category 14, Photograph Records*

File routine photographs and their identification in this category. File photographs relating to claims in Category 62, “Disputes.” It is a good practice to take photographs on a monthly basis to document the work during construction. Maintain videotapes and digital photo files in an organized manner. Note the location of these items in this category file.

Suggested subcategories for this category are:

- Before Construction
- During Construction
- After Construction

### *Category 15, Accidents*

In this category, file documents related to accidents. Subcategories may include:

- Caltrans Employee Accident and Injury Reports.
- Caltrans Vehicle Accident Reports.
- California Highway Patrol Accident Reports.
- Local Police Accident Reports.
- Records and Investigations of Public Traffic Accidents.
- Records and Investigations of Contractor Accidents.

### *Category 16, Utility Agreements*

In this category, file those documents that relate to work to be done to utility facilities in connection with the project.

Create subcategories for the various utility companies. Set up second level subcategories when required by the number of documents. The following are examples of subcategories within this category:

- 16.1.1 PG&E Co.—Agreements
- 16.1.2 PG&E Co.—Relocations
- 16.1.3 PG&E Co.—Encroachment Permit
- 16.2 AT&T Co.
- 16.3 Southern Pacific RR Co.

### *Category 17, Utility Work Performed*

In this category, file daily reports and other records of utility facility work. Create the same the primary subcategories as those used in Category 16.

Create second level subcategories when required by the number of documents and the amount of work. For example, where the work would develop just daily reports and receiving records of one utility relocation, these documents could be kept in one subcategory in chronological order. When the same utility company has more than one relocation a more detailed breakdown may be advisable.

### *Category 18, Agreements*

In this category, file agreements (except utility agreements) with third parties or other state or county agencies. The number and levels of subcategories will depend upon the agreements and the nature and extent of the work involved. A list of suggested subcategories follows:

- Right-of-Way Agreements—Without Obligations
- Right-of-Way Agreement—With Obligations
- Forest Service Agreements
- Borrow Agreements (between Caltrans and owner)
- Disposal Agreements (between Caltrans and owner)
- Service Agreements (these are utility service agreements such as for highway lighting)



- Disposal Permits
- Records of Royalty Payments
- Encroachment Permits

File an encroachment permit relating to a utility facility agreement under Category 16, “Utility Agreements.” File an encroachment permit relating to a right-of-way agreement in this category.

Where there are several right-of-way agreements requiring some degree of control, such as right-of-way agreements with obligations, maintain a summary to show the status of these agreements. An example of the status summary headings is shown below:

- The agreement number.
- The location of work to be performed.
- A brief description of work to be done and by whom.
- When the work is completed.
- The contract change order number if the required work is being done by contract change order.

*Category 19, Hazardous Waste and Hazardous Materials*

File any information regarding the discovery and removal of hazardous waste in this category.

*Category 20, Water Pollution Control Plan or Storm Water Pollution Prevention Plan*

File all correspondence regarding water pollution control plans (WPCP) or storm water pollution prevention plans (SWPPP) in this category. A list of suggested subcategories follows:

- Approved WPCP or SWPPP
- Amendments to WPCP or SWPPP
- Notification of Construction
- Correspondence
- Inspections by Contractor
- Inspections by Caltrans
- Inspections by Task Force Team
- Notices of Noncompliance
- Annual Certification of Compliance
- Notice of Termination

### *Category 21, Construction Zone Enhanced Enforcement Program*

File documents relating directly to the Construction Zone Enhanced Enforcement Program (COZEEP) in this category. Suggested subcategories are shown below:

- Form CEM-2103, “COZEEP/MAZEEP Cancellation Form.”
- Form CEM-2102, “COZEEP/MAZEEP Task Order.”
- Form CEM-2101, “COZEEP Daily Report.”

### *Category 22, Traffic Management Information*

Use this category to file information related to traffic management. Possible subcategories include:

- Contractor lane closure requests
- Lane closure requests submitted to the traffic management center
- Approved lane closures
- Contractor contingency plans
- Traffic count data

### *Category 23, Extra Category Number*

Use this extra category number for project documents that do not fit in presently established categories. When using an extra category, enter the category number and title in the index.

### *Category 24, Disadvantaged Business Enterprises and Disabled Veteran Business Enterprises*

Use this category for the following:

- Disadvantaged business enterprises (DBE) and disabled veteran business enterprises (DVBE) correspondence.
- The contractor’s DBE/DVBE utilization plan.
- DBE and DVBE substitution requests and approvals.
- DBE and DVBE monthly reports.
- Certified rosters.
- Form CEM-2402(S), “Final Report-Utilization of Disabled Veterans Business Enterprises (DVBE).”
- Form CEM-2402(F) “Final Report-Utilization of Disadvantaged Business Enterprises (DBE), First-Tier Subcontractors.”
- Other DBE and DVBE related documents.

### *Category 25, Labor Compliance and Equal Employment Opportunity*

In this category, file required labor compliance and equal employment opportunity information. See Sections 8-1, “Labor Compliance,” and 8-2, “Equal Employment Opportunity,” of this manual for details.

### *Category 26, Progress Schedule*

In this category, file the progress schedule, critical path method submittals, and other related information.

### *Category 27, Weekly Statement of Working Days*

In this category, file Form CEM-2701, “Weekly Statement of Working Days.” Also file correspondence relating to contract time in a subcategory of this category.

### *Category 28, Weekly Newsletter*

In this category, file periodic newsletters and reports that are prepared during the project. Include those weekly reports of a general nature pertaining to the progress of the contract.

### *Category 29, Materials Information and Preliminary Tests*

In this category, file materials information and preliminary test reports. Suggested subcategories follow:

- Materials information
- Report of foundation investigation
- Asphalt concrete aggregate (preliminary tests)
- Report of tests on aggregate base (preliminary tests)
- Report of tests on aggregate subbase (preliminary tests)

### *Category 30, Basement Soil Test Results*

In this category, file basement soil test results taken to determine structural section adequacy (taken during design phase).

### *Category 31, Notice of Materials to Be Used*

In this category, file Form CEM-3101, “Notice of Materials to Be Used.” Create a system for checking that notices have been received.

Make Form CEM-3101’s that contain information for structure items available for use by the structure representative. Consider filing the Form CEM-3101’s listing structure items in a separate subcategory of this category.

### *Category 32, Notice of Materials to be Inspected*

In this category, file Form TL-0028, “Notice of Materials to be Inspected.”

### *Category 33, Notice of Materials to be Furnished*

In this category, file Form TL-0608, “Notice of Materials to be Furnished.”

#### *Category 34, Treated Base*

In this category, file documents for cement-treated base, cement-treated permeable base, and asphalt-treated permeable base. Do not include those documents that are to be filed in other specific categories such as 37 and 48.

Use subcategories similar to the examples shown below. Create a numbering system that identifies the category, item and subcategory. For example, 34.26.3 indicates Category 34 “Treated Bases,” 26 is the contract item number of the material and also identifies the subcategory, and the 3 is the second level subcategory identifying the particular document.

- 34.26.1 Mix design data, cement-treated base
- 34.26.2 Plant records, cement-treated base
- 34.26.3 Spread records, cement-treated base
- 34.27.1 Mix design data, cement-treated permeable base
- 34.27.2 Plant records, cement-treated permeable base
- 34.27.3 Spread records, cement-treated permeable base
- 34.28.1 Mix design data, asphalt-treated permeable base
- 34.28.2 Plant records, asphalt-treated permeable base
- 34.28.3 Spread records, asphalt-treated permeable base
- 34.4 Certificates of Compliance for materials used in treated bases

#### *Category 35, Asphalt Concrete*

In this category, file documents related to asphalt concrete, except those to be filed in other specific categories such as in 37 and 48. Following are suggested subcategories:

- Mix designs and related project documents
- Plant records (other than acceptance tests)
- Spread records
- Certificates of Compliance for materials used in asphalt concrete

#### *Category 36, Portland Cement Concrete (other than structure items)*

In this category, file documents related to portland cement concrete. Do not include documents that are to be filed in other specific categories such as 37, 43 and 48. For structure items, the project documents are to be filed in Category 43. See the *Bridge Construction Records and Procedures Manual* for details. Following are suggested subcategories for this category:

- 36.1 Portland cement concrete Pavement
  - 36.1.1 Mix Designs
  - 36.1.2 Plant Records
  - 36.1.3 Certificates of Compliance for materials used in concrete pavement
- 36.2 Portland cement concrete, Class A Structure and minor concrete

- 36.2.1 Mix Designs
- 36.2.2 Plant Records
- 36.2.3 Certificates of Compliance for materials used in Class A structure concrete and minor concrete

*Category 37, Initial Tests and Acceptance Tests*

In this category, file initial tests and acceptance tests. File documents in each subcategory chronologically unless there is a specific reason for doing otherwise.

Use subcategories similar to the examples shown below. Create a numbering system that identifies the category, item and subcategory. For example, 37.21.3 indicates Category 37 “Acceptance Tests,” 21 is the contract item number of the material and also identifies the subcategory, and the 3 is the second level subcategory identifying the particular test result.

- Embankment
  - 37.10.1 Relative Compaction
- Structure Backfill
  - 37.14.1 Sand Equivalent
  - 37.14.2 Relative Compaction
- Aggregate Subbase
  - 37.21.1 Relative Compaction
  - 37.21.2 Moisture
  - 37.21.3 Sieve Analysis
  - 37.21.4 Sand Equivalent
  - 37.21.5 Record of Thickness (summarized in the order that the measurements are made)
- Aggregate Base
  - 37.22.1 Relative Compaction
  - 37.22.2 Moisture
  - 37.22.3 Sieve Analysis
  - 37.22.4 Sand Equivalent
  - 37.22.5 Record of Thickness (summarized in the order that the measurements are made)
- Asphalt Concrete
  - 37.31.1 Gradings and sand equivalent (file both in a single subcategory when both results appear on one test report)
  - 37.31.2 Extraction and Moisture
- Portland Cement Concrete Pavement
  - 37.42.1 Sand Equivalent

- 37.42.2 Cleanness Value
- 37.42.3 Sieve Analysis
- 37.42.4 Modulus of Rupture
- 37.42.5 Penetration Values
- 37.42.6 Cement Content
- 37.42.7 Profilograph Summary
- 37.42.8 Coefficient of Friction
- 37.42.9 Other related items

Use Form CEM-3701, “Test Result Summary” for each item of testing, and file it in the appropriate subcategory of this category.

Bills of lading and copies of sample identification tags may be filed in this category temporarily and discarded when their respective test reports are filed.

File test results for items assigned to Office of Structure Construction personnel in this category in accordance with instructions contained in the *Bridge Construction Records and Procedures Manual*.

*Category 38, Quality Control, Quality Assurance*

In this category, include all documents relating to quality control, quality assurance. Create a subcategory system to include the following:

- The contractor’s quality control plan
- Mix designs
- The contractor’s quality control tests
- Caltrans verification tests
- Pay factor calculations
- Copies of related correspondence

*Category 39, Materials Testing Certification of Employees*

In this category, file copies of certifications of the employees performing acceptance tests.

*Category 40, Field Laboratory Assistant Reports to Resident Engineer*

In this category, file chronologically any reports made out by the project’s materials tester. For more than one type of report, such as a report and a summary form, provide separate subcategories.

#### *Category 41, Report of Inspection of Material*

In this category, file Form TL-0029, “Report of Inspection of Material.” Create a subcategory for each contract item requiring inspection at the source by a Office of Materials Engineering and Testing Services inspector.

Place a summary sheet containing the date of inspection, quantity inspected, accumulated quantity, and lot numbers in each subcategory. Use form similar to that used by the Office of Structure Construction (Form DH-OS-C52, “Materials Release Summary”). The primary purpose of this form is to check that materials used in the work have been inspected.

Staple Form TL-0624, “Inspection Release Tag,” removed from materials received on the project, to the report of inspection on a letter-size sheet of paper and file it in the appropriate subcategory of this category. The sheet should contain the name of the engineer who removed it and the date removed. When lot numbers are marked on the items, note the observed lot number on the related Form TL-0029.

When the Form TL-0029 includes material for more than one item, include a reference on the summary sheet showing the file location of the TL-0029.

File test reports (usually on Form CEM-4102, “Material Inspected and Released on Job”) that cover material sampled on the job in lieu of source inspection in the appropriate subcategory of this category, not in Category 37.

File reports of inspection or certificates of compliance for materials assigned to the structure representative in this category in accordance with instructions contained in *Bridge Construction Records and Procedures Manual*.

#### *Category 42, Material Plants*

In this category, file Form CEM-4202, “Material Plant Safety Checklist” and all other project documents pertaining to material plant inspections.

#### *Category 43, Concrete and Reinforcing Steel*

In this category, file documents relative to concrete and reinforcing steel in accordance with instructions in the *Bridge Construction Records and Procedures Manual*.

#### *Category 44, Extra Category Number*

Use this extra category number for project documents that do not fit in presently established categories. When using an extra category, enter the category number and title in the index.

#### *Category 45, Resident Engineer’s Daily Reports*

In this category, file Form CEM-4501, “Resident Engineer’s Daily Report/Assistant Resident Engineer’s Report” and the structure representative’s daily report.

*Category 46, Assistant Resident Engineer's Daily Reports*

In this category, file Form CEM-4601, "Assistant Resident Engineer's Daily Report."

Subcategories may be used. They may vary depending on the complexity of the project and the desires of the district. The resident engineer and the structure representative must agree on the subcategories before the start of work. Follow the procedures described below to establish the subcategories.

1. Reports Covering Contract Items

Create a subcategory for each major operation so that all items affecting the major operations are grouped together. An example of a system for a relatively large project follows:

Category and Subcategory Number	Operations	Contract items Involved in the Operation
46.2	Clearing and Grubbing	5
46.3	Rdwy. Exc., Ditch Exc.	8,13,11,15,22
	Aggregate Subbase	
46.4	Salvage Fence, New Fence Gates	2,78,79,80
46.5	Guard Railing, Markers, Barricades	1,4,82,83,87
46.6	AB,CTB	23,24
46.7	AC Slurry Seals, Dikes	28,29,30,31,32
46.8	Concrete Paving	35,36,37
46.9	Curbs and Sidewalks, Slope Paving, Curb Drains, Spec. Gutter Drains	73,74,76,77
46.10	Minor Str., Precast MH and DI, Reinf. Steel, Misc. Iron and Steel	42,69,70,46,75
46.11	RCP, CMP, SSP Arch, Drainage Gates, Under/Down Drain, Str Exc., Str. Backfill	9,11,58
46.2	Preparing Slopes, Straw	16,17,18,19,20
46.13	Permanent Signing	52,53,54,55
46.14	Hwy. lighting and sign illumination	88
46.15	Finishing Roadway	21
46.16	Structure #1	89,90,91
46.17	Structure #2	89,90,91



Modify the above breakdown to conform to the size and nature of the project. Make the breakdown narrow enough so that reports covering any particular contract item may be obtained with ease. Review the breakdown to ensure it includes all contract items.

Make as many daily reports as necessary to cover all contract item work in the appropriate subcategories.

As indicated in the above example, set up a separate subcategory for each structure.

## 2. Reports Covering Extra Work

Pending receipt of the contractor's billing, file chronologically the original and one copy of Form CEM-4601, "Assistant Resident Engineer's Daily Report," covering extra work in a subcategory of this category. After receiving the extra work bill report and approving payment, record the extra work bill number on both copies of the daily report covering the extra work. Keep one copy of the daily report in this chronological file and use it to detect future billings for the same work. File the second copy with the daily extra work report in Category 49.

Extra work bills for material should show the date the material was supplied or placed and referenced to the invoice so that the particular material may be readily identified. Keep a summary of invoices paid and use it as a check against duplicate payment.

The specific system used for filing resident engineer's and assistant resident engineer's daily reports is optional (except for extra work). However, Category 45 and 46 must be used and the file index must clearly show the specific system being used.

### *Category 47, Drainage Systems*

In order to maintain a record of contract items for drainage systems, use Form CEM-4701, "Drainage System Summary."

Use a Form CEM-4701 for each drainage system shown on the drainage quantity plan sheet. The preliminary work required to set up each system summary includes entering the contract number, the system number, planned station and description of the system, and the preliminary or planned quantities which are entered from the drainage quantity plan sheet.

The assistant resident engineer describes progress on each drainage system in the daily report and enters estimates of work completed on the "Progress Record" portion of the drainage system summary.

Enter the quantity of work completed during an estimate period or near the end of the estimate period for each item in the "Estimate of Work Completed" portion of the drainage system summary. The quantities of work completed may then be entered on the Form CEM-6004, "Contract Transactions Input," and paid on the next estimate. Use the extra column next to the item quantity column to identify the Form CEM-6004 page and line number where the quantity was entered.

After all items for a particular drainage system have been calculated and checked, the final quantities are entered in the row labeled, "Actual Q."

In order to keep track of and reduce the number of drainage system summaries that have to be checked at the end of each estimate period, divide the category into the following subcategories:

- 47.1 Before Work Starts
- 47.2 Staked and Being Worked On
- 47.3 Drainage System Complete, Final Quantities Not Complete
- 47.4 Final Quantities Completed

Example:

47.1 Before Work Starts.

Place the preliminary drainage summaries in this subcategory in numerical order. Each drainage system summary will remain in this subcategory until work starts on that system.

47.2 Staked and Being Worked On.

When a drainage system is staked, transfer the drainage summary sheet from index 47.1, "Before Work Starts," to index 47.2, "Staked and Being Worked on." Transfer the individual quantity calculation sheets with the drainage summary.

47.3 Drainage System Complete, Final Quantities not complete

After all work is completed on a particular drainage system, transfer the summary sheet with its calculation sheets to this subcategory. Removing the summary from the preceding index (47.2, Staked and Being Worked On), precludes having to go through completed structure summaries at the end of each estimate period when making entries of work completed. Determination of pay quantities should be made as soon as possible after work on the system is complete.

47.4 Final Quantities Completed

After all quantity calculations for a drainage system are completed and the adjusted quantities entered into the project record, transfer the summary sheet and its calculation sheets to this subcategory.

Since all drainage quantity calculation sheets will remain filed in Category 47, some item-numbered folders in Category 48 may have no documents.

*Category 48, Contract Item Quantity Documents*

In this category, file source documents supporting contract item quantities. List the subcategories in category 48 by contract item number order. Identify individual calculation sheets for the various contract items in the following manner. A quantity sheet with the number 48-14-2 indicates that it is sheet number 2 covering contract item number 14 and filed in Category 48, "Contract Item Quantity Documents." Some drainage item quantity documents may be filed in Category 47.

### *Category 49, Contract Change Orders*

In this category, file contract change orders and supporting documents in numerical order.

Subcategories of this category are change order numbers in numerical order. Contained within each subcategory are:

- The Form CEM-4900, “Contract Change Order,” Form CEM-4903, “Contract Change Order Memorandum,” and any accompanying correspondence.
- Form CEM-4901, “Contract Change Order Input.”
- Daily extra work bills and reports matched with assistant resident engineer’s daily reports

Two additional subcategories may be:

- The *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book(s) applicable to the contract.
- Equipment rental rates and memos covering rates not shown in the *Labor Surcharge and Equipment Rental Rates Book*.

### *Category 50, Adjustment in Compensation Calculations*

In this category, file project documents and calculations to support adjustments in compensation.

After a contract change order is written, the supporting project documents may be transferred to the contract change order file or remain in this category. Provide cross references between categories 49 and 50 when the supporting documents and calculations remain in category 50.

List the subcategories under this category by contract item numbers.

### *Category 51, Materials on Hand*

In this category, file Form CEM-5101, “Request For Payment for Materials on Hand”, the related evidence of purchase, and any other project documents supporting material on hand payments.

### *Category 52, Charges to Total Contract Allotment*

In this category, file the documents related to and supporting charges to the contract allotment for materials and services supplied by Caltrans.

Divide the category into the subcategories indicated below:

- State Furnished Material And Expenses.

In this subcategory, file the contractor’s letters requesting delivery of state furnished materials. Also, file the receiving records or other records of material furnished by Caltrans. When state furnished material is received as evidenced by a shipping record and a receiving record, file the related shipping and receiving records together.

- Service Contracts.

In this subcategory file, supporting documents and records of project related services. These are not the service contracts connected with the project office.

### *Category 53, Credit to Contract*

In this category, include a subcategory to keep a record of any salvaged or surplus material. Also set up a subcategory for copies of daily extra work reports which cover repair of damage to state property by third parties (see “Reports of Damage to State Highway Property” in the *Caltrans Safety Manual*).

Credit received for salvaged or surplus material or repair of damage is not applied to the contract allotment and the project is not given credit for any additional money to spend.

### *Category 54, Deductions From Payment to Contractor*

In this category, file documents related to deductions from payments to contractors. Possible subcategories include the following:

- Royalties on material.
- Materials bought for the contractor by Caltrans.
- Laboratory testing done for the contractor (see Section 2.01, “General,” of the *Standard Specifications*).
- Engineering and inspection charged to the contractor (see Section 3-506, “Lines and Grades,” of this manual for restaking charges).
- Costs of damaged or missing state-owned signs.
- Railroad flagging charges.
- Noncompliance with the equal employment opportunity provisions of the contract.
- Liquidated damages (See Section 3-908, “Deductions,” of this manual).
- Any other deductions. (See Section 3-9, “Measurement and Payment” of this manual.)

### *Categories 55 through 58, Extra Category Numbers*

These are extra numbers that may be used for project documents that do not fit in presently established categories. When used, enter them on the index sheets.

### *Category 59, Bridge Estimate Data*

In this category, file the bridge estimate data as covered in the *Bridge Construction Records and Procedures Manual*.

### *Category 60, Project Status Sheets*

In this category, file the “Project Record Item Sheets.” Subcategories of this category are estimate numbers in numerical order. The subcategories contain documents resulting from the computerized contract administration system. Only the most current results need to be retained. Possible subcategories are:

- Project Record Item Sheets
- Form CEM-6003, “Progress Pay - Estimate Project Initiation or Update”
- Estimate Verification Form.
- Form CEM-6001, “Project Record - Estimate Request”
- Form CEM-6004, “Contract Transactions Input”



- Status of Contract Items
- Status of Contract Change Orders
- Contract Change Order Master Listing
- Daily Extra Work Report Edit Messages
- Form CEM-6002, “Contract Administration System (CAS) - Report Requests”

If desired, some of the above project documents (other than the “Project Record Item Sheets”) may be filed in extra category numbers.

#### *Category 61, Project Record-Estimate and Project Status*

In this category, file monthly estimate output documents.

The suggested subcategories of this category are:

- Progress Payment Voucher
- Project Record-Estimate and Project Status
- Estimate Processing Results

#### *Category 62, Disputes*

In this category, file notes, photographs, information, and other project documents that may be necessary to establish facts with respect to a dispute. Include any documents that may be related to a dispute in this category or briefly describe and cross-reference them.

Number notices of potential claims in chronological order. These numbers may then be used for subcategories.

The scope of this category may vary considerably, depending upon the nature and circumstances of the dispute. The following types of documents indicate the type of information that should be included:

- Form CEM-6201, “Notice of Potential Claim”
- Acknowledgment of the contractor’s dispute
- Disputes Review Board Agreement
- Contractor’s claim for a time extension (cross-reference to Category 27)
- Acknowledgment of the contractor’s claim for time extension
- Other correspondence relating to disputes
- Photographs pertaining to disputes

#### *Category 63, Project Completion Documents*

In this category, file documents related to the completion of the project. The following are suggested subcategories:

- Form CEM-6301, “Contract Acceptance”
- Form FHWA-47M, “Statement of Materials and Labor Used by Contractors On Highway Construction Involving Federal Funds”
- Materials certification
- Punchlist

### 5-102D Category Numbers And Headings

Category No.	Heading
1	Project Personnel
2	Project Office Equipment and Supplies
3	Equipment and Personnel Cost Reports
4	Service Contracts
5	General Correspondence
6	Safety
7	Public Relations
8	Construction Surveys
9	Welding
10	(Extra category number)
11	Information Furnished at Start of Project
12	Contractor
13	Signs and Striping
14	Photograph Records
15	Accidents
16	Utility Agreements
17	Utility Work Performed
18	Agreements
19	Hazardous Waste and Hazardous Materials
20	Water Pollution Control Plan or Storm Water Pollution Prevention Plan
21	Construction Zone Enhanced Enforcement Program
22	Traffic Management Information
23	(Extra Category Number)
24	Disadvantaged Business Enterprises and Disabled Veteran Business Enterprises
25	Labor Compliance and Equal Employment Opportunity
26	Progress Schedule
27	Weekly Statement of Working Days
28	Weekly Newsletter
29	Materials Information and Preliminary Tests
30	Basement Soil Test Results
31	Notice of Materials to Be Used (CEM-3101)
32	Notice of Materials to be Inspected (TL-0028)

33	Notice of Materials to be Furnished (TL-0608)
34	Treated Base
35	Asphalt Concrete
36	Portland Cement Concrete (other than structure items)
37	Initial Tests and Acceptance Tests
38	Quality Control Quality Assurance
39	Materials Testing Certification of Employees
40	Field Laboratory Assistant Reports to Resident Engineer
41	Report of Inspection of Material
42	Material Plants
43	Concrete and Reinforcing Steel
44	(Extra category number)
45	Resident Engineer's Daily Reports
46	Assistant Resident Engineer's Daily Reports
47	Drainage Systems
48	Contract Item Quantity Documents
49	Contract Change Orders
50	Adjustment in Compensation Calculations
51	Materials on Hand
52	Charges to Total Contract Allotment
53	Credit to Contract
54	Deductions from Payment to Contractor
55-58	(Extra category numbers)
59	Bridge Estimate Data
60	Project Status Sheets
61	Project Record-Estimate and Project Status
62	Disputes
63	Project Completion Documents

## 5-102E Alphabetical Listing Of Categories

Heading	Category No.
Accidents	15
Adjustment of Compensation Calculations	50
Agreements	18
Asphalt Concrete	35
Assistant Resident Engineer's Daily Reports	46
Basement Soil Test Results	30
Bridge Estimate Data	59
Treated Base	34
Charges to Total Contract Allotment	52
Concrete and Reinforcing Steel	43
Construction Surveys	8
Construction Zone Enhanced Enforcement Program	21
Contract Change Orders	49
Contract Item Quantity Documents	48
Contractor	12
Credit to Contract	53
Daily Reports, Assistant Resident Engineer's	46
Daily Reports, Resident Engineer's	45
Deductions from Payment to Contractor	54
Disadvantaged Business Enterprises and Disabled Veterans Business Enterprises	24
Disputes	62
Drainage Systems	47
Equipment and Personnel Cost Reports	3
Extra Categories	10, 23, 38, 56, 57, 58
Field Laboratory Assistant Reports to Resident Engineer	40
General Correspondence	5
Hazardous Waste and Hazardous Materials	19
Information Furnished at Start of Project	11
Initial Tests and Acceptance Tests	37
Labor Compliance and Equal Employment Opportunity	25
Materials on Hand	51
Material Plants	42
Materials Information and Preliminary Tests	29
Materials Testing Certification of Employees	39



Notice of Materials to be Furnished (Form TL-0608)	33
Notice of Materials to be Inspected (Form TL-0028)	32
Notice of Materials to Be Used (Form CEM-3101)	31
Photograph Records	14
Portland Cement Concrete (other than structure items)	36
Progress Schedule	26
Project Completion Documents	63
Project Office Equipment and Supplies	2
Project Personnel	1
Project Record Estimate and Project Status	61
Project Status Sheets	60
Public Relations	7
Quality Control Quality Assurance	38
Report of Inspection of Material (TL-0029)	41
Resident Engineer's Daily Reports	45
Safety	6
Service Contracts	4
Signs and Striping	13
Traffic Management Information	22
Utility Agreements	16
Utility Work Performed	17
Water Pollution Control Plan or Storm Water Pollution Prevention Plan	20
Weekly Newsletter	28
Weekly Statement of Working Days (Form CEM-2701)	27
Welding	9

**5-103  
The Contract  
Administration  
System (CAS)**

**5-103 The Contract Administration System (CAS)**

5-103A General

This section describes the Contract Administration System (CAS), sometimes referred to as “the progress pay system.” The primary purpose of this computer system is to help administer Caltrans construction projects. Various functional units within construction update and maintain records on individual contracts in CAS from the award and approval of the contract through to the completion and final payment.

CAS is one of three subsystems of the Project Information System and Analysis (PISA). The three subsystems of PISA make up the primary computer system that Caltrans uses for tracking contract capital costs. These subsystems are: planning and design, bidding and award, and project construction. In essentially a straight line, each module of PISA passes data to the next module as a project progresses from conception to completion. See Table 5-1, “Contract Administration System, Systems Interface,” for a general overview of how CAS relates to the other components of the Caltrans computer system used for tracking and paying contract capital costs.

CAS is also composed of separate modules, each of which accomplishes a distinct function. The following are the most common of CAS’s many modules:

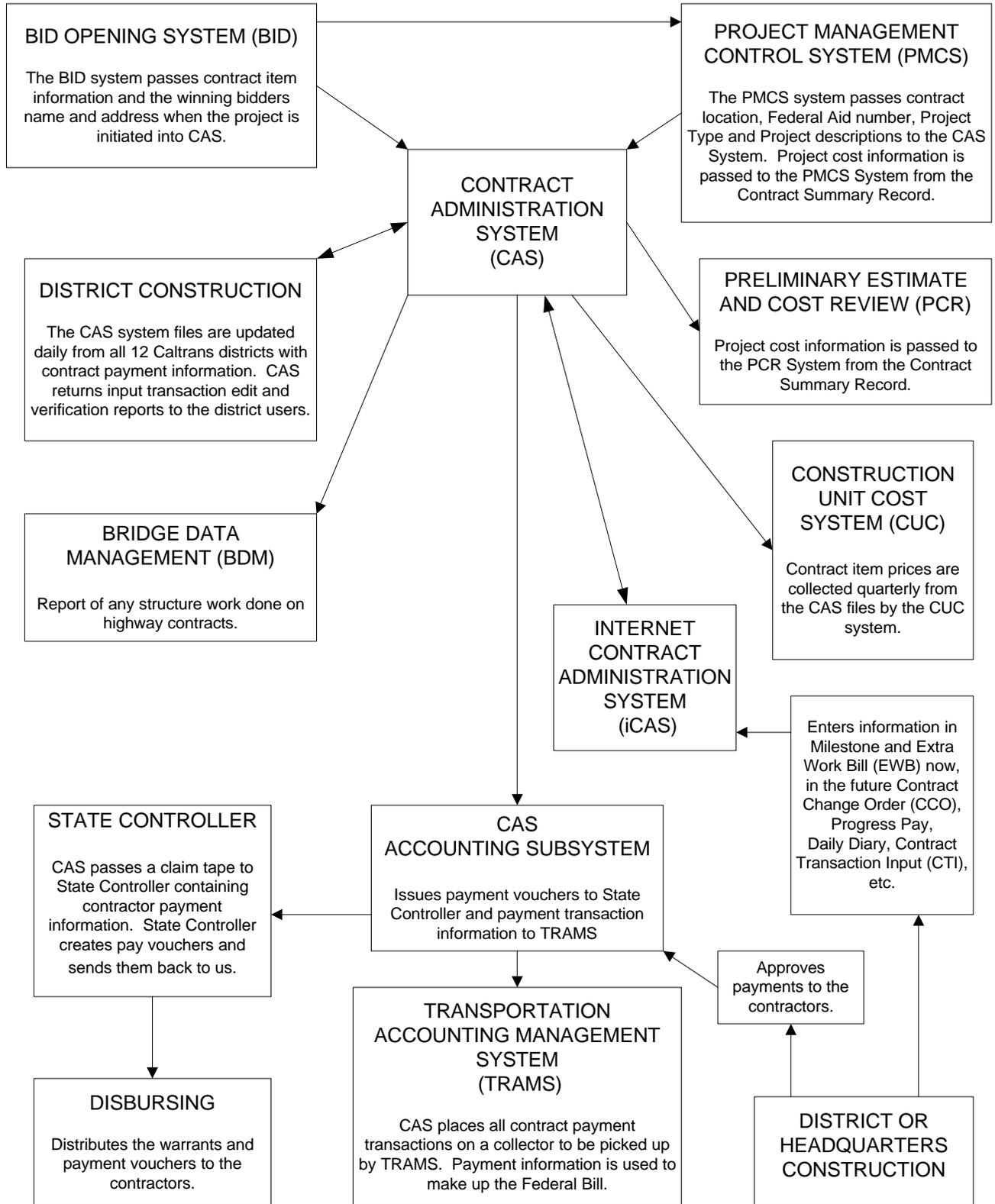
- Project initiation and update
- Contract transactions
- Contract change order
- Daily extra work report
- Project record estimate
- Reports
- Online update and inquiry

Resident engineers use these modules to do the following:

- Account for quantities from source documents
- Account for change orders and payments for extra work
- Determine the status of the projects’ financing
- Authorize payments to contractors



Table 5-1.1 Contract Administration System, Systems Interface



### 5-103B Project Initiation and Update

When Caltrans has determined the lowest responsible bidder, the Office of Office Engineer will transfer project data from the Bid Opening System to CAS. Usually, this data transfer will occur before awarding the contract and before determining the total allotment. When this information about the award and total allotment becomes available, the Division of Construction will then update the computer file (by adding to or changing existing information).

Immediately after the new contract information in the computer file has been transferred from the Bid Opening System, the data is available to the district for processing. The district must then update the file with district information such as the resident engineer's name and address, the bridge representative's name, and the project's password. To perform the update, the district uses Form CEM-6003, "Project Pay—Estimate Project Initiation or Update" which is explained in more detail under the heading "Filling Out Form CEM-6003," below.

The result of the district's file update will be a dummy Form CEM-6001, "Project Record-Estimate Request," and a contract contents report, which lists contract items. The form and report should be checked thoroughly and any discrepancies brought immediately to the attention of the Division of Construction progress pay coordinator.

During a contract's life, the district must maintain the accuracy of its information by using Form CEM-6003 for updates and changes.

#### *5-103B (1) Completing Form CEM-6003, "Project Pay-Estimate Project Initiation or Update"*

The purpose of Form CEM-6003 is to add new information, or to change information, in the computer file. The computer program will accept such changes only for contracts in your own district.

Except for the "Project Key," complete only the data fields that you wish to update. The computer program will ignore blank fields and will place the data from the completed fields in the file whether or not such information is already on file. Fields left blank on the input form do not change what is in the file.

Ensure the data you enter on the form conforms to these rules, listed by data field as follows:

#### 5-103B (1a) Project Key

Enter the letter "U" under "FB," and in the remaining spaces, enter the district and contract number.

#### 5-103B (1b) Card type C05 (each field is independent and can be updated separately)

For the following data fields under card type C05, do the following:

- Resident engineer's phone number.
- Responsible unit: The responsible unit may range from 501 to 545. Warning: Until this number is in the computer file, progress pay estimates cannot be processed.
- Date work started: Enter the date the contractor began work on the job site. If work has not begun, leave this field blank and submit an update when work begins.

- Estimated date for completion: Enter your best estimate, not the calculated completion date. When progress estimate requests are submitted, this date is updated.
- Password: Use of this feature is optional. Enter any combination of six characters. The characters may be alphabetic, numeric, or one of the following special characters: \*, /, =, (, ), +, -, @, #, %, &. Once established, this password is required when you file, among other things, contract item payments, using Form CEM-6004, "Contract Transactions Input." The password will restrict access to the computer files.
- Suspension or reactivation: If a contract is suspended, enter the date of suspension and "S" in the "SR" column. When the suspended contract is reactivated, enter the date of reactivation and "R" in the "SR" column. You only have 30 calendar days from the suspension or reactivation date to enter this information into the computer.
- Plant establishment: For projects requiring retentions be held at 5 percent for the contract's life, enter an "X" in the "PE" column.
- Begin construction date: Enter the date that contract time begins, usually 15 calendar days after the approval date. This is the date used to calculate the number of working days that determine satisfactory progress and the percent of time elapsed.

5-103B (1c) Card type C06 to C08

Resident engineer's mailing address: On the first line, enter the resident engineer's last name first, followed by a comma. Then enter a space and the first name, followed by a space and middle initial (SMITH, John C.). On the second and third lines, enter the mailing address of the construction field office. Warning: The computer program treats all three lines as a single "data field." If you need to change this field, you must reenter all three lines.

5-103B (1d) Card type C09 to C14

Contractor's name and address: The computer file contains two addresses, the local address and the contractor's legal name style address. The State Controller mails progress payment checks to the legal name style address. Only the Division of Construction progress pay coordinator can change this address. The district must keep the local address current.

Enter the contractor's name on line C09, and as necessary, continue the name on lines C10 through C12. Leave unused lines blank.

Enter the contractor's local address on lines C13 and C14. Also enter the contractor's local phone number on line C14. Warning: You must enter the entire name and address each time you wish to update any or all of these lines. You cannot update a single line.

5-103B (1e) Card type C15

For the following data fields under card type C15, do the following:

- Structure representative's name: If the contract requires structure work, enter the structure representative's name even if it is the same name as the resident engineer's. Enter only the last name and first initial (SMITH, J.)

- Structure responsible unit: This unit is the source unit that the Office of Structure Construction uses to code its time sheet. The unit may range from 550 to 599.
- Original authorized amount for structure work: At the contract's start, the resident engineer and the structure representative must determine the initial value of the required structure work. This value should include any portion of the contract item for mobilization that will be claimed as structure work. Warning: If this amount is not on file, the Office of Structure Construction cannot obtain any reports for this contract.
- Structure mobilization percentage: Enter, to the nearest whole percent, the portion of the contract item for mobilization that will be claimed as structure work.
- Structure completion: Enter a "C" to indicate the completion of structure work.

#### *5-103B (2) Processing*

CAS analyzes the changes made to the computer file and does the following:

- CAS notes whether the district is updating the "Responsible Unit" field for the first time. If so, CAS prints a dummy Project Record-Estimate form and a Contract Contents Report.
- If this update is not the first update, CAS prints only the first page of the Contract Contents Report. CAS prints the dummy Project Record-Estimate form only if the contractor's name and address field has been changed.
- CAS also prints a listing of update requests, which is a summary report of all fields that have been updated in this run.

#### 5-103C Contract Transactions

The majority of all data submitted to CAS will be contract transactions from the resident engineer on Form CEM-6004, "Contract Transactions Input." Contract transactions are divided into the following three categories:

- Contract item transactions: These consist of five types of transactions that refer to contract items.
- Miscellaneous transactions: These consist of four types of transactions to handle general project needs.
- Contract change order transactions: These consist of three types of transactions that refer to contract change orders.

The Contract Transaction Processing Module processes this total of 12 transaction types. Together with the services that the CCO and DEWR Processing Modules perform, these modules are sufficient to generate contract records that provide control of progress payments and track the financial status of the contract.

#### *5-103C (1) Transaction Types*

The following describes, by category, the 12 possible transaction types:

##### 5-103C (1a) Contract Item Transactions

CAS provides five different ways to refer to a contract item in Form CEM-6004, "Contract Transactions Input." Another way is by including the item as part of a contract change order. This will cause the approved quantity to be adjusted



automatically. Thus, you do not have to account for status changes due to contract change orders. You can reference contract items through the following contract item transactions:

- **Contract item payment:** Make item payments by posting line entries to Form CEM-6004 in any random order. Indicate bridge items by entering “B” in the proper column. If you use the report entitled *Bridge Quantities by Structure*, you will also need to enter the structure number in accordance with instructions in Volume I, Section 6, of the *Bridge Construction Records and Procedures Manual*.
- **Contract item quantity balance:** You may adjust the authorized quantity if necessary by submitting quantity balances as line entries on Form CEM-6004. You might need to make this type of transaction for various reasons. For example, a need might exist because of an incorrect engineer’s estimate for a contract item that would have a major impact on the contingency balance. This transaction type adjusts the authorized final cost for your project, as we will show in our later discussion of progress pay estimates.
- **Contract item anticipated change:** This transaction’s purpose is to give the engineer a method to allocate project funds to a specific contract item based on knowledge of anticipated additional or decreased work. Such transactions affect the estimated final quantity for the item and also the estimated final cost for the project. The effect of these transactions is cumulative. If additional work is authorized by contract change order, a reversing entry is necessary.
- **Contract item final balance:** When work is completed on a contract item, you should enter this fact into the system. This entry will mark the item in the computer file as “Complete.” On all subsequent progress pay estimates, the authorized quantity and the estimated final quantity will default to the amount paid to date, thus automatically balancing out the item. Additional item payments may be made, and the system will continue to balance the contract items.
- **Contract item final balance (“Reopen”):** This transaction allows you to reverse the status of the contract item from “Complete” to “Active.” For example, you would use “Reopen” to change an incorrect entry that showed the item was complete.

#### 5-103C (1b) Miscellaneous Transactions

The four transaction types listed below comprise “miscellaneous transactions,” the second category of contract transactions:

- **Anticipated change:** Use this transaction to record anticipated additional or decreased work when it is not possible or desirable to tie the anticipated change to a specific contract item or contract change order. These transactions are not cumulative and will affect the project’s estimated final cost only on the next progress pay estimate to be generated.
- **Material on hand payments:** These transactions are placed in the computer file, and their sum will appear on the next progress pay estimate that generates payment. For more information about materials on hand, see Section 3-9, “Measurement and Payment,” of this manual.

- State-furnished materials allotment transfer: Use this transaction to increase or decrease the value of the state-furnished materials allotment for your contract. The construction allotment will automatically adjust. To increase the state-furnished materials allotment, enter a positive number. (This type of entry will decrease the contingency balance.)
- Total allotment changes: Use this transaction to enter into the system any supplemental allotment that increases (or decreases) your contract's total allotment. The total allotment in the computer file will adjust automatically as will the construction allotment. The construction allotment is defined as the total allotment less the state-furnished materials allotment.

#### 5-103C (1c) Contract Change Order Transactions

The three transaction types listed below comprise "contract change order transactions," the final category of contract transactions:

- Contract change order anticipated change: This transaction has the same effect as does the contract item anticipated change except that a contract change order is being changed.
- Contract change order final balance: This transaction has the same effect as does a contract item balance. When work on a contract change order is finished, mark it "Complete" by entering this transaction. As with contract items, additional extra work bills may be paid, and the system will continue to balance the contract change order.
- Contract change order final balance ("Reopen"): This transaction allows you to reverse the status of the contract change order from "Complete" to "Active."

#### *5-103C (2) Completing Form CEM-6004, "Contract Transactions Input"*

The engineer will use Form CEM-6004 more often than any other form in CAS. Page 2 of the form provides instructions for completing it, and this section contains a completed sample of the form. See Example 5-1.2, "Contract Transaction Input."

We cannot overemphasize the importance of legible entries that conform to the instructions for completing the form. Also, because of the high volume of transactions, make your entries on Form CEM-6004 as soon as the information becomes available. Partially filled pages are acceptable.

The sample form in this section shows some transactions. Note that leading zeros are not required in the numeric fields and that the plus sign is not required in the +/- columns. The following instructions are for the fields common to all transactions:

- Enter the district, contract number, password (if used), and page number. When assigning a page number, be careful because duplicate numbers will cause all transactions on the page to be rejected. You must complete these fields.
- Enter the posting date.
- Enter the source document description. If the transaction type refers to a project source document, (for example, a calculation sheet or a scale sheet), enter into the form's description column an adequate description of the source

document. The source document must cross reference to Form CEM-6004. Post the page number, line number, and posting date from Form CEM-6004 to the source document. See Example 5-1.1, “Quantity Calculation,” for a typical source document.

- Note: The last six characters of the source document description can be the structure number if this item concerns structure work.
- Mark the structure field with the character “B” if this transaction concerns “structure work.” Otherwise, leave the space blank. If you use the report entitled *Bridge Quantities by Structure*, you will also need to enter the structure number in accordance with the instructions in Volume I, Section 6, of the *Bridge Construction Records and Procedures Manual*.

The form’s remaining fields are divided into two sections, “Contract Item Entries,” and “All Other Entries.” If you make any entry in one or more fields of one of the sections, all fields in the other section must be left blank. A single line entry cannot serve double duty.

#### 5-103C (2a) Contract Item Entries

Each type of contract item transaction has its own format. Fill in the various fields as shown on page 2 of Form CEM-6004. The following are the rules for making contract item entries:

- Quantity balance transactions:
  1. Lump sum items cannot be quantity balanced. If you attempt to quantity balance them, the transaction will be rejected.
  2. If the quantity balance is greater than the bid quantity, a warning message is issued.
  3. If the value of the quantity balance exceeds \$100,000, a warning message is issued.
  4. The new authorized quantity is calculated. If it is negative, the transaction will be rejected.
  5. If the new authorized quantity is less than the total payment for the next estimate, a warning message is issued. Take appropriate action on this warning, such as estimating the final quantity and inputting the increase, covering the increase by change order, or requesting the computer to final balance the item. Such action is necessary to keep the project’s status of funds current.
- For item final balance and item final balance (“Reopen”), the item status is set to “Complete,” or “Active,” respectively. The system does not check to see if the item is a lump sum item or a final pay item.
- Item anticipated quantity change:
  1. If the anticipated quantity change is greater than the bid quantity, a warning message is issued.
  2. If the value of the anticipated quantity change exceeds \$100,000, a warning message is issued.
  3. A new estimated final quantity is calculated. If this estimated final quantity is negative, a warning message is issued.

4. If the new estimated final quantity is less than the total payment for the next estimate, a warning message is issued.
- Item payment:
    1. Any transactions for the item “Mobilization” are rejected.
    2. Any transactions for a void item will be rejected.
    3. If the payment quantity is greater than the bid quantity, a warning message is issued.
    4. If the value of the payment quantity exceeds \$100,000, a warning message is issued.
    5. The new total payment for the next estimate is calculated. If the total is negative, the transaction is rejected. (Negative transactions under “This Estimate” will be accepted.)
    6. If the contract item is a lump sum item and the total payment for the next estimate would exceed 100 percent, the transaction is rejected.
    7. If the contract item is not a lump sum item, the new total payment for the next estimate is compared to 125 percent of the bid quantity and the authorized quantity. Warning messages are issued if the total payment is more than one or both of these.

If the system issues any warning or rejection messages while it processes transactions for a contract item, the complete status of the item will be printed on the Contract Transactions Input Edit report before the system begins processing the next contract item. Use this printout to determine the reason the system issued the message.

- Percentages for lump sum quantity payments must be expressed as decimals. Only three decimal places are available. If 5 percent is to be paid, it must be entered as 0.050; (5.00 is 500 percent).

#### 5-103C (2b) Miscellaneous Transactions

The following are the rules for making miscellaneous transactions:

- Anticipated changes:
  1. If the amount anticipated exceeds \$100,000, a warning message is issued.
  2. If the amount anticipated exceeds 10 percent of the construction allotment, a warning message is issued.
- Material on hand payments:
  1. If the amount exceeds \$100,000, a warning message is issued.
  2. If the amount is negative, a warning message is issued. (The system assumes that this is a correcting entry to a previous transaction accepted by the system and not yet processed for payment.)
  3. A total is calculated for payment for the next estimate. This is the sum of all transactions since the last estimate. If the total is negative, a warning message is issued.

- State-furnished materials allotment transfer:
  1. If the amount of the transfer exceeds \$100,000, a warning message is issued.
  2. A new total is calculated for the state-furnished materials allotment. If it is negative, the transaction is rejected.
- Total allotment changes:
  1. If the amount exceeds \$100,000, a warning message is issued.
  2. If the amount exceeds 10 percent of the total allotment, a warning message is issued.
  3. If the amount of the change is negative, a warning message is issued.
  4. A new total allotment is calculated. If the amount is negative, the transaction is rejected.
  5. If the new total allotment is less than the total paid to date on the last estimate, a warning message is issued.

#### 5-103C (2c) Contract Change Order Transactions

The following are the rules for contract change order transactions:

- For the contract change order anticipated change, the new estimated final cost is computed for the contract change order and reported. The system does not do any checking.
- Contract change order final balance and final balance (“Reopen”):
  1. The contract change order status is set to “Complete,” or “Active,” respectively. The system does not do any checking.
  2. For a contract change order final balance (“Reopen”), the word “Reopen” must be left-justified.

#### 5-103C (2d) General

The Contract Transactions Processing Module will sort your transactions into order, will edit each transaction for reasonableness and conformance to this manual, and will either accept or reject each transaction. From this processing, the system will issue a report entitled “Contract Transactions Input Edit.” This report will list the disposition of each line entry that you submitted. A comprehensive set of warning messages exists. Do not ignore warning messages on the report.

Do not use the same page and line numbers again.

You will find a summary on the last page of the Contract Transactions Input Edit report. The summary lists each Form CEM-6004 page that was processed and the numbers of transactions on that page that were accepted, for which warnings were issued, or that were rejected. Any missing line numbers on the page (breaks in the sequence of line numbers) will be printed. Use this list to ensure that all the transactions were entered into the system.

Examine the remainder of the report. You must respond to rejected entries and possibly to warnings.

5-103C (2e) Audit Trail

In any accounting procedure, it is necessary to link transactions to the specific source documents that generate the transactions. This linking is called an audit trail. Contract change orders and daily extra work reports carry unique identifying numbers that CAS uses in its processing. Here, a good audit trail is automatic. However, contract transactions are different since there is no automatic reference to a unique source document.

CAS provides methods of cross-reference. You are responsible for an adequate audit trail. Note that Form CEM-6004 is an intermediate document in this respect.



## Example 5-1.1 Quantity Calculation

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

**QUANTITY CALCULATIONS**  
CEM-4801 (REV 11/1992) CT# 7541-3520-0

SHEET OF

<p style="text-align: center; background-color: #cccccc; margin: 0;"><b>JOB STAMP</b></p> <p>07-1381U4 07-LA-210-47.5/57.3 Fed. No.: None</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="font-size: small;">ITEM</td> <td style="text-align: center;">8 Temp. Railing (Type K)</td> </tr> <tr> <td style="font-size: small;">LOCATION</td> <td style="text-align: center;">Ramp 3</td> </tr> <tr> <td style="font-size: small;">CALC. BY</td> <td style="text-align: center;">I.M. Engineer</td> </tr> <tr> <td style="font-size: small;">CHK. BY</td> <td style="text-align: center;">U.R. Wright</td> </tr> </table>	ITEM	8 Temp. Railing (Type K)	LOCATION	Ramp 3	CALC. BY	I.M. Engineer	CHK. BY	U.R. Wright	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="font-size: small;">FILE NO.</td> <td style="text-align: center;">48-8-2</td> </tr> <tr> <td style="font-size: small;">SEGREGATION</td> <td style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></td> </tr> <tr> <td style="font-size: small;">DATE</td> <td> </td> </tr> <tr> <td style="font-size: small;">DATE</td> <td> </td> </tr> </table>	FILE NO.	48-8-2	SEGREGATION	YES <input type="checkbox"/> NO <input type="checkbox"/>	DATE		DATE	
ITEM	8 Temp. Railing (Type K)																	
LOCATION	Ramp 3																	
CALC. BY	I.M. Engineer																	
CHK. BY	U.R. Wright																	
FILE NO.	48-8-2																	
SEGREGATION	YES <input type="checkbox"/> NO <input type="checkbox"/>																	
DATE																		
DATE																		

Field Measurement: Field Counted: ✓ Final Pay Item:	Estimated Quantity: 450 Unit of Measure: meter Unit Price: \$20.00 75% = 337.5 125% = 562.5	
Remarks Or Other Calculations:  152.4 meters placed on 5-03-01 at Maple St. onramp ✓		
Material Inspection/Release: Certificates of compliance obtained on 4-29-01		
<table border="1" style="margin: auto;"> <tr> <td style="padding: 5px;">                     PAY THIS ESTIMATE: 152.4 ✓                      PREVIOUS PAID: 140.2 ✓                      TOTAL TO DATE: 292.6 ✓                 </td> </tr> </table>		PAY THIS ESTIMATE: 152.4 ✓ PREVIOUS PAID: 140.2 ✓ TOTAL TO DATE: 292.6 ✓
PAY THIS ESTIMATE: 152.4 ✓ PREVIOUS PAID: 140.2 ✓ TOTAL TO DATE: 292.6 ✓		

POSTED BY Office Engineer	DATE 05/19/01	POSTED TO CEM-6005, page 4, line 5
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CEM4801





1 1 0 3 CONTRACT NO. 1 2 3 4 5 4 1 5 # 2  
DIST 9 PASSWORD

CASØØ

PAGE NO. 0 4 17

LINE NO.	DATE		SOURCE DOCUMENT DESCRIPTION	CONTRACT ITEM ENTRIES		ALL OTHER ENTRIES			ENT BY	BY
	MO.	DAY		ITEM NO.	QUANTITY (UNITS)	CCO NO.	AMOUNT(\$)	TYPE		
01	05	19	48-114-117	0114	1,273.00				IME	URW
02	05	19	MAIL BOXES ON ELM ST	028	1,500.00				IME	URW
03	05	19	ANT. ELEM. AC ON FLZ		1,500.00				IME	URW
04	05	19	BAL. COMPL. ITEM 6	006					IME	URW
05	05	19	48-8-2	008	1,524.00				IME	URW
06	05	19	RESTORE STATUS	039	REOPEN				IME	URW
07	05	19	REV GRADE FR2 LINE						IME	URW
08	05	19	51-4-2				12,174.37	MHS	IME	URW
09	05	19	52-4-1				12,000.00	SFM	IME	URW
10	05	19	53-4-1				31,500.00	TAC	IME	URW
11	05	19	DELETE DRAINAGE				10,000.00	ACC	IME	URW
12	05	19	BAL. COMPL. CCO 118					BAL	IME	URW
13	05	19	RESTORE STATUS				REOPEN	BAL	IME	URW
14										
15										
16										
17										
18										
19										
20										
21										
22										
23										
24										

IN CASE OF QUESTION CONTACT: NAME I. M. Engineer  
PHONE (123) 345-6789

VERIFY

### 5-103C (3) Computer Processing

The contract item totals listed below are kept for contract work and also for structure work so that the totals can be reported separately when appropriate. Records of the financial status of the contract items are maintained as follows:

- Bid quantity: This quantity cannot be changed.
- Approved quantity: This item is the total of the bid quantity and the algebraic sum of the quantity changes due to contract change orders that have been filed.
- Authorized quantity: This item is the total of the approved quantity and the algebraic sum of the quantity balances that the engineer entered.
- Anticipated final quantity: This item is the total of the authorized quantity and the algebraic sum of the anticipated quantity changes that the engineer entered.
- Item status flag: This flag is a file mark that indicates whether a contract item is “Active,” “Deleted,” or “Completed.”

### 5-103D Contract Change Orders

The CAS maintains separate records for each approved contract change order on a project. As each contract change order is approved, it must be entered into CAS through the use of Form CEM-4901, “Contract Change Order Input.”

The method of entering each contract change order into the system may vary from district to district, but can be done as follows:

- The resident engineer writes a contract change order and completes Form CEM-4901. For approval procedures, see Section 5-3, “Contract Change Orders,” of this manual. The approval date must be entered on Form CEM-4901, and the Form CEM-4901 data is then entered into CAS.
- The result of entering the form data for each contract change order will consist of a contract change order report and a disposition report.
- The resident engineer should review the contract change order report and correct any errors. CAS automatically makes the following changes to the contract records:
  1. The authorized final cost, the estimated final cost, the authorized contingency balance, and the estimated final contingency balance are adjusted to new values.
  2. The totals for changes in extra work, adjustment of compensation, and contract items are adjusted to new values.
  3. Each affected contract item will have the approved quantity adjusted to reflect the change.
- Immediately after Form CEM-4901 has been processed, CAS will accept extra work bills and anticipated changes that refer to the contract change order.
- When CAS processes a supplemental contract change order, the daily extra work reports in the holding file (due to insufficient funds in the original contract change order) will be made available for payment.

### 5-103D (1) *Completing Form CEM-4901, "Contract Change Order Input"*

Use Form CEM-4901 to perform the following functions:

- File a new contract change order in the computer file.
- Update (change existing information) a contract change order in the computer file.
- Replace a filed contract change order with another contract change order.
- Delete a contract change order from the computer file.

Completing the form depends on which of the above functions you desire.

#### 5-103D (1a) File

Enter the contract and contract change order numbers at the top of the form. The original contract change order is supplement "zero"; enter the zero on the form. Ignore the function and override boxes at the top of the form.

The remainder of the form is divided into five sections labeled "Card Type 1," "Card Type 2," "Card Type 3," "Card Type 4," and "Card Type 5." Complete only those sections that are applicable.

**Card Type 1:** This section is required. Complete each entry in the section. If the entry for the field "Net Money Change This CCO" is zero, enter \$0.00. The field "Time Extension Days" should include the number of working days added (or deleted), zero (0), or be coded "DEF" (instead of a number) if the contract change order was written with a deferred time adjustment clause. Enter a category code on every contract change order. Left-justify this code.

**Card Type 2:** If extra work or adjustment of compensation is not part of your contract change order, leave these fields blank. Otherwise, define the payment method by making three entries for each change:

- Make the first entry by checking either the "EW" or "AC" box to indicate extra work or adjustment of compensation.
- Make the second entry by choosing one of the "FA," "LS," or "UP" boxes to indicate whether payments will be made by force account, lump sum, or unit price.
- Make the third entry by entering the dollar amount of the change (increase or decrease).

If multiple items of work in the change order are using the same pay method, they must be totaled. Also, you can enter each pay method only once per change order. If there is more than one type of extra work or adjustment of compensation on the contract change order, continue making successive line entries.

**Card Type 3:** If you have no changes for contract item prices, do not complete this section of the form. Otherwise, furnish the item number and increase or decrease the quantity for each changed item.

**Card Type 4:** If all or part of the work to be done under the contract change order is structure work, enter the net dollar amount involved. This amount will contribute to the contract change order changes line of the structure totals shown on the next estimate.



If this section of the form does not apply or the amount is zero, leave the section blank.

Card Type 5: This section is required.

For federal participation, enter the FHWA funding participation determination on every contract change order. If participation is in part, indicate the breakdown for participation-in-part funding.

For federal segregation, if more than one funding source exists, show the percentage allotted to each federal funding source.

#### 5-103D (1b) Update

Use this function in the following way to replace any incorrect information in Card Type 1 or Card Type 4:

- Enter the contract and contract change order numbers.
- Place the letter “U,” in the function box at the top right of the form.
- Enter the correct information in the appropriate fields. All information in Card Type 1 is always required.
- Leave all other fields on the form blank.
- The module for processing contract change orders will identify the fields that you have completed and will change this information in the computer file.

#### 5-103D (1c) Replace

If a contract change order has been stored with incorrect information that cannot be corrected by the update function, use the replace function in the following way:

- Complete the entire form exactly as you would for the file function, using correct information.
- Place “R,” in the function box at the top right of the form.

The module for processing contract change orders will replace the data stored in the computer file with the new contract change order.

If payments have already been recorded against a payment method that you are trying to eliminate, it is not possible to immediately replace an old contract change order with a new one. The same holds true if the payment to date exceeds the authorized amount. In these cases, the system requires that you do the following:

- Enter corrections for the extra work bills that reverse payments to date to zero for the particular method of payment to be eliminated. For payments exceeding the authorized amount, enter corrections for the extra work bills to reduce payments below the authorized amount.
- Submit the replace request.
- After the contract change order has been replaced, reenter the extra work bills that were reversed.

When possible, use the update function instead of the replace function.

#### 5-103D (1d) Delete

You can eliminate a contract change order from the computer file as follows:

- Enter the contract and contract change order numbers.
- Place the letter “D,” in the function box at the top right of the form.

As with the replace function, a contract change order cannot be deleted until all payments have been reduced to zero through correcting entries on the daily extra work reports.

#### *5-103D (2) Edits*

The following lists some of the edits that a contract change order must pass through before the system will accept it:

- The contract change order number and the change order supplement number must be filled in or the change order will be rejected.
- The contract change order description cannot be blank, or the contract change order will be rejected.
- The net change amount cannot exceed the construction allotment. If the net change amount does exceed the construction allotment, the system will issue a warning message but will still file the contract change order.
- The approval date must be after the bid opening date and less than or equal to “today’s” date; otherwise, the contract change order will be rejected.
- If the time extension days exceed 10 percent of the working days in the contract, the system issues a warning message but will still file the contract change order.
- If any payment method appears more than once on the input cards, the contract change order will be rejected.
- If you enter any contract item change for a void item, the system will reject the contract change order.
- Lump sum items may appear on contract change orders only as a deletion of that item. Any increase or decrease in a lump sum item will be rejected.
- You can enter a contract item on a contract change order as an increase and also as a decrease. If the item appears a third time, the system will reject the contract change order.
- If the contract item “mobilization” appears on a contract change order, the contract change order will be rejected.
- If the quantity change entry for a contract item exceeds the bid quantity, a warning message will be issued.
- The net dollar amount for the structure work on the contract change order must be greater than the sum of the negative changes and less than the sum of the positive changes, or the contract change order will be rejected.
- The net dollar change for the contract change order must equal the sum of the dollar amount in Card Type 2 and the extended dollar amounts for the quantities in Card Type 3, or the contract change order will be rejected.

- If the contract change order is already on file, the system will reject this duplicate entry. Additionally, if this contract change order's number exceeds by five the largest contract change order number on file, or if the supplement's number is more than two above the latest supplement on file for this contract change order, the system will reject the contract change order. However, if you checked the override field on the input field, the system will bypass such responses.
- If the contract is completed, a warning is issued.

If you request the replace or delete function, more extensive processing is done. The system checks to see if it can maintain the payment to date under a payment method. If the system cannot maintain the payment to date in this way, it rejects the request to replace or delete. A rejection notice is generated along with an explanation of what must be done to resolve this unacceptable situation.

The following is an example of this type of problem:

- A contract change order is entered for extra work at force account and accepted by the system.
- Subsequently, extra work bill payments are recorded against the contract change order.
- A request is entered to delete the contract change order from the computer file. In this case, the system will reject the delete request because the payment method would be eliminated. There are no other supplements to this contract change order. The system requires that entries to correct extra work bills be to reverse payments to date to zero. In such a case, the system would accept a delete request. In the more complicated cases where supplements to a contract change order exist, the system makes similar demands.

At this point, the processing of the contract change order is complete. However, when a supplemental contract change order is processed, the daily extra work reports in the holding file (due to insufficient funds in the original contract change order) will be made available for payment. The system produces a report, called a "DEWR Release From the Holding File." This report shows the action the system took.

#### 5-103E Extra Work Billing

This module's purpose is to compute the amount of payment for extra work performed under a contract change order. This includes the following:

- Editing input information
- Retrieving and updating the contract change order
- Performing logic edits
- Conducting audit checks
- Performing computations
- Filing the extra work bill for payment
- Producing an edit report and daily extra work report

In addition to these functions, this module allows for entering corrections to filed extra work bills. Extra work bills or corrections to filed extra work bills will not be rejected because of insufficient funds (subject to the limitations in Section 3-904, "Payment for Extra Work," of this manual). Instead, the system will place the extra work bills or the corrections to filed extra work bills in a holding file to await the

resident engineer's further action. Usually, the resident engineer must write a supplemental contract change order to provide additional funds; the supplemental contract change order will make the appropriate extra work bills available for payment.

Use Form CEM-4902, "Extra Work Bill (Short Form)," to enter basic information related to extra work performed under a contract change order. The following describes the procedures for obtaining the information from the contractor, entering the information into the computer, and producing the daily extra work reports.

*5-103E (1) Preparing Form CEM-4902, Extra Work Bill (Short Form)*

The contractor may enter extra work bills on the Form CEM-4902, "Extra Work Bill (Short Form)." Or, if more entries are required for equipment, labor, or material, the contractor must use the four part forms CEM-4902A, CEM-4902B, CEM-4092C, and CEM-4902D.

The contractor initiates forms containing force account payment and submits them to the resident engineer. The resident engineer initiates forms containing payment at agreed prices. The backs of the forms contain the basic instructions for completing the forms. The following information supplements the instructions on the forms:

5-103E (1a) Basic Information (Title Page)

Do the following for the basic information:

- The contract change order number: Right-hand justify this number; for instance, contract change order 1 is 001, contract change order 10 is 010.
- Report number: The contractor should leave the report number blank. Duplicate numbers will be rejected (except for corrections to previous bills).
- Date performed: A separate extra work bill must exist for each day on which force account work is performed (except for work done by a specialist). Enter the date the work was performed in these spaces. For extra work bills covering invoices only, enter the date on which the material was used. If this entry is not practical, enter the current date. You must enter a date in this field. You may enter the acronym "VAR" in the date performed field if the pay method is lump-sum unit-price or if equipment and labor are not present on the bill.
- Date of report: Enter the date on which the report is prepared.
- Payment method: Ensure the method selected matches one of the methods authorized by the contract change order.
- Bridge: Place the letter "T" in this box if toll bridge work is involved and you want to apply a 10 percent markup to equipment and material and a 25 percent markup to labor.
- Fifty percent flagging: You must include on the extra work bill the total hours spent on flagging because the computer will make payment of only 50 percent of the total. For flagging that is not subject to the 50 percent split, submit separate extra work bills.

- Labor surcharge: The contractor should enter this surcharge as a whole number; for instance, “15 percent” is entered as “15.” The contractor should obtain the applicable percent from the effective *Labor Surcharge & Equipment Rental Rates (Cost of Equipment Ownership)* book. This surcharge is for regular hours. The system will apply the overtime surcharge based on the regular hour surcharge.
- Work performed by: This field should contain the name of the organization (the contractor, subcontractor or other) that performed the work. If the extra work bill is for an invoice only, enter the name of the organization to which the invoice was addressed. Submit a separate daily extra work bill for each organization’s work.

#### 5-103E (1b) Equipment

Do the following for equipment:

- Equipment identification number: Enter this number (Required.) It can be any number that the contractor assigned to the equipment for specific identification.
- Equipment description: Enter the description, which consists of four items: the “Class,” “Make,” “Code,” and “Attach” (attachments). The equipment description must come from the applicable *Labor Surcharge & Equipment Rental Rates (Cost of Equipment Ownership)* book. Make a copy of this publication available to the contractor. You can obtain from the Division of Construction’s web site a listing of miscellaneous equipment, for equipment not shown in the *Labor Surcharge & Equipment Rental Rates (Cost of Equipment Ownership)* book.
- For equipment that is neither in *Labor Surcharge & Equipment Rental Rates (Cost of Equipment Ownership)* book nor available from the web site’s miscellaneous listing, the contractor must request a rate from the resident engineer. The resident engineer will obtain an approved rate from the Division of Construction’s rental rate engineer.
- Equipment for which a contract change order has established the rental rate will not have an equipment description and must be included as a unit price payment on the material charges portion of Form CEM-4902, lines 24–33 of the daily extra work report.
- The following explains the procedures for “Class,” “Make,” “Code,” and “Attach,” within equipment description:
  1. Class: This portion of the equipment description will be found in the *Labor Surcharge & Equipment Rental Rates (Cost of Equipment Ownership)* book under the heading for a particular class. For instance, after “Hydraulic Cranes and Excavators, Crawler Mounted” you will find the class “HCECL.”
  2. Make: For the equipment illustrated under “Class” above, you will find the “Make” portion of the equipment description in the left-hand column. For instance, after “Bantam” you will find the make “BANT.”
  3. Code: For the equipment illustrated under “Class” and “Make” above, you will find the “Code” portion of the equipment description in the “Code” column. For instance, after “Model C-266” you will find the code “0680.”

4. **Attach:** You will find this portion of the equipment description in the front of the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book. The rate for the equipment under "Class," "Make," and "Code" above includes all attachments and accessories. Therefore, leave this column blank.

Enter all equipment descriptions beginning at the left of each field. Include all letters, numbers, dashes, or other symbols as they are shown in the *Labor Surcharge & Equipment Rental Rates (Cost of Equipment Ownership)* book.

- **Regular hours for which payment is to be made:** Enter the regular hours for which payment is to be made. Regular hours may not exceed 8 unless you are entering a daily rate item. If the date the work was performed is various, you may enter up to 99 in the regular hours field. Various is used for equipment at day rates.
- **Overtime hours:** Enter the overtime hours worked. Overtime hours may not exceed 16.

#### 5-103E (1c) Other Expenses Subject to Labor Markup

This portion of the form is for travel expenses that cannot be entered as "Subsistence" under "Labor."

If the units and rate are already entered, the computer will calculate the amount. Otherwise, enter the amount, and this figure will be used.

Note: If you use the "Unit" and "Rate" fields, leave the "Amount" field blank. If you enter an amount in the "Amount" field, don't make an entry in the "Unit" and "Rate" fields.

#### 5-103E (1d) Material or Work Done by Specialists, Lump Sum, or Unit Price Payments

The following explains the procedures for completing the Form CEM-4902 material section:

- **Material:** Note that the material entry will not be processed unless there is a value in both the "Units" and the "Unit Cost or Net Pay" fields. Do the following for material:
  1. **Invoice date:** Preferably, enter the date of the invoice to help in checking for duplicate billing. However, if entering the invoice date is not practical, enter the date the material was used.
  2. **Invoice description:** Enter a brief description of material.
  3. **Units:** Normally, enter the unit one (1.00) for materials used.
  4. **Unit cost or net pay:** In this column, enter the amount for which payment is due. Normally, this amount is the cost of the material plus tax, if applicable, less any discount offered.
- **Work Done by Specialists:** Enter this item in the same manner as described under "Material" above.

- Lump Sum: Follow the procedures below for this entry:
  1. Vendor name and invoice number: You do not need to make any entries in the vendor column or the invoice number column.
  2. Date: Enter the date the work was performed. When entering this date is not practical, enter the current date.
  3. Invoice description: Enter “per CCO No. \_\_\_\_\_.”
  4. Units: Enter the units to be paid as a percentage of the lump sum amount, expressed in decimals. For instance, express 75 percent as 0.75. This figure must never exceed a total of 1.000.
  5. Unit cost or net pay: Enter the lump sum amount from the contract change order.
- Unit price payments: Enter this item in the same manner as described under “Lump Sum” above.
- Units: enter the number of units to be paid.
- Unit cost or net pay: enter the unit cost from the contract change order.

5-103E (1e) Signature of Prime Contractor’s Representative

For all force account payments, the contractor or contractor’s authorized representative must sign the extra work bill. For agreed price payments, the signature is not required.

### 5-103E (2) Processing Form CEM-4902

The resident engineer receives Form CEM-4902, "Extra Work Bill (Short Form)," from the contractor, reviews the form, and if it is satisfactory, signs the extra work bill and approves it for entry into CAS. When reviewing the submitted extra work bill, the resident engineer must be guided by the policy contained in Section 3-9, "Measurement and Payment," of this manual. The following explains how the system will process Form CEM-4902:

- You must request CAS to print a copy of the extra work bill after it has been entered into the system before it will be paid.
- Computer programs will perform the following processes:
  1. Edit all information for acceptability. For example, numeric data must be in numeric form, or the program will issue a warning.
  2. Select information from the equipment database, for example, rates, descriptions, and attachments.
  3. Validate the contract number, contract change order number, report number, type of work (payment method), dates, corrections, labor surcharge, and equipment description.
  4. Audit right-of-way delay and the hours equipment and labor are used for work.
  5. Compute extensions, markups and summaries.
  6. Ensure the authorized amount (for instance 100 percent or \$15,000) is not exceeded.
  7. File a validated extra work bill for payment at the estimate time.
  8. Produce a daily extra work report. This report will contain all the information as entered on the extra work bill plus equipment descriptions, extensions, markups, total payment, and contract information.
  9. Produce an edit report. This report will contain processing results. These results are tabulated by contract change order within a contract. If the system rejects an entry, the rejection messages will be included on the daily extra work report. If the system accepts the extra work bill, all warning messages will be contained on the edit report.
- After the reports have been printed and the district construction office has received them, the district will forward copies to the resident engineer. Daily extra work reports are printed in two parts, one for the contractor, one for the resident engineer.

### 5-103E (3) Corrections to Extra Work Bills

You can make corrections to the extra work bill after it has been entered into the system, but there is a limit of four corrections per extra work bill. See *Entry of Extra Work Bills Manual (CASEWBM)*

### 5-103F Generating Estimates

CAS produces the following five types of estimates on demand:

- Monthly progress estimate
- Progress estimate after acceptance



- Supplemental progress estimate
- Semifinal estimate
- Final estimate

The resident engineer will regularly request the monthly progress and the progress after acceptance estimates while the remaining three types of estimates usually will be requested in cooperation with, or by, the district construction office.

Supplemental progress estimates may only be run between the completion of the monthly progress estimate run and the 15<sup>th</sup> of the following month.

Producing an estimate is completely automatic, based on data previously stored in the computer.

In addition, CAS will produce two other types of estimates that do not generate payments. These estimates are simply statements of the current status of the computer files. The following are the two types:

- Status purpose only estimate
- Proposed final estimate

#### *5-103F (1) Procedure*

Before requesting the first monthly progress estimate, enter the date work started and the responsible unit on Form CEM-6003, "Progress Pay-Estimate Project Initiation or Update." The Division of Construction progress pay coordinator enters the approval date. If the approval date is not in the computer file, the system will reject the estimate request.

The procedure for processing an estimate involves the following steps:

- Preparing Form CEM-6001, "Project Record-Estimate Request," and verifying the estimate. Transmit these to the district office.
- Computer processing your estimate and printing the reports.
- The district construction office verifies the estimate results.
- Returning the estimate reports to the resident engineer.

The schedule for completing the pay process and making payment to the contractor is rigid. This rigid schedule means all people involved must adhere to their individual schedules. District construction offices will advise resident engineers of the schedules.

#### 5-103F (1a) Preparing Form CEM-6001, "Project Record-Estimate Request"

To request an estimate, prepare Form CEM-6001, "Project Record-Estimate Request." Complete this form accurately in accordance with the following:

#### 5-103F (1b) Estimate Parameters:

For the estimate parameters follow the instructions below.

- Enter the contract number.
- Enter the estimate number. This number must be one greater than the last estimate that was successfully processed and paid.

- Enter the work period's ending date in the estimate for the form's "Work Performed Through" field. For a progress estimate or a supplemental progress estimate, enter the 20<sup>th</sup> day of the month. For all other types of estimates, use the date of completion.
- If this is a monthly progress estimate, place an "X" in the matching box on the form; otherwise, leave the box blank.
- If this is a progress estimate after acceptance, place an "X" in the matching box on the form; otherwise, leave the box blank.
- Enter the estimated date of completion. This date should be the resident engineer's best estimate, not necessarily the computed date. If this estimate is not a progress estimate, enter the date of completion.
- Enter the values as of the "date work performed through" for chargeable working days, weather nonworking days, approved time extension days (contract change order), and approved time extension days (other) in the four matching fields of the form. The system will check the chargeable working days and weather nonworking days against the working days calendar and inform you of possible entry errors. However, it cannot check the two types of time extension days. These values affect the system's computation of percent time elapsed.
- If you have a landscape contract that is in the plant establishment period, check one of the two boxes to indicate whether progress is satisfactory or unsatisfactory. These boxes are not for highway contracts that contain "Type 2" plant establishment periods. If you are unsure of this status, contact the district construction office after reading the special provisions.
- The system determines whether contract progress is satisfactory or unsatisfactory. Occasionally, a situation arises where, even though progress is mathematically unsatisfactory, the resident engineer wishes to override the system and record satisfactory progress. To accomplish this override, place an "X" in the field, "Override Unsatisfactory Progress." Also see the second bullet below this one about projects with dual time limits.
- For some contracts, the standard manual formula does not apply for computing percent time elapsed. For such contracts, interpret the special provisions, and determine this percentage. Enter the percent in the box on the form; this will override the system's calculation.
- If you have checked "Override Unsatisfactory Progress" (see the bullet two up from this one that discusses overriding the system) or entered a number in percent time elapsed (see the previous bullet), enter a short explanation in the 25 spaces immediately below these fields on the form. Typical entries might be "CCO days pending" or "Nonstandard time format."
- If the estimate is a supplemental progress estimate, proposed final estimate, semifinal estimate, or final estimate, check the appropriate box. Note that on a supplemental progress estimate the date for "Estimate for Work Performed Through" and all of the working day information should be the same as the date for the last estimate.

- If this estimate is a rerun (a recalculation) of a prior successful estimate, check the recalculation box. Note that, if the last estimate processed was a status purpose only estimate, you are not rerunning an estimate this month; instead, you are trying to run the estimate that did not generate payment. Normally, the district office will enter requests to rerun an estimate.

#### 5-103F (1c) Deductions:

If you wish to take one or more deductions or to return one or more deductions from a prior estimate, enter them on Form CEM-6001. If you wish to rerun an estimate or to pay an estimate after a status only estimate, you still must enter the deductions again because any deduction stored in the computer file and carrying this estimate number will be erased automatically. You can enter five types of deductions on this form. Each deduction entered requires an alpha code to be placed in the form's type field and an entry in the description field. Use a minus sign to take a deduction and a plus sign to return a previous deduction. The following lists the rules by type of description:

- Administrative deductions: Enter "ADM" in the type field. Both plus and minus deductions are allowed.
- Equal employment opportunity deductions: Enter "EEO" in the type field. Both plus and minus deductions are allowed, but plus deductions should be adjustments or reversals of deductions taken on prior estimates. If you wish to take an EEO deduction on this estimate, leave the amount field blank. The system will compute the deduction amount for you. Only one "blank" EEO deduction, normally entered by the labor compliance officer, can appear on the form. Note: The system will not accept EEO deductions if the contract item payment for this estimate is zero. It may be necessary to enter the minimum amount of \$1000.
- Labor compliance violation deductions: The labor compliance officer usually makes these entries on the form. The officer will enter "LCV" in the type field. The rules for LCV deductions are identical to those for EEO deductions. Note: "LCV" deductions will not be taken if the contract item payment for this estimate is zero. It may be necessary to enter the minimum amount of \$1000.
- Liquidated damages deductions: Enter "LIQ" in the type field. Both plus and minus deductions are allowed. Plus deductions reverse earlier deductions.
- Other outstanding documents deductions: Enter "OOD" in the type field. If you wish to take this deduction, leave the amount field blank. The system will compute the amount for you. Take this deduction only once per contract. The system will maintain the correct deduction on subsequent estimates by generating "OOD" in the type field with a description, "MAINTAIN OOD DEDUCT." You can reverse the deduction at any time by entering a plus amount that exactly reverses the OOD deductions to date from the previous estimate. Negative OOD deduction amounts are never allowed on the input form.

After carefully preparing Form CEM-6001, promptly send it to the district office. The specific deadline for submittal may vary by district.

### 5-103F (2) *Computer Processing*

Once you have made your entries on Form CEM-6001 and transferred them to the computer, the system edits the estimates and then produces reports showing the results of the system's processing.

#### 5-103F (2a) Estimate Edits

Once Form CEM-6001 has been entered into CAS, CAS will do the following:

- Edit Form CEM-6001 for consistency with previous estimates and with the working days calendar stored in the computer.
- Identify and summarize all daily extra work reports entered in the system and eligible for payment since the last estimate.
- Identify and summarize all contract transactions entered in the system since the last estimate.
- Identify and balance the contract change orders that require balancing.
- Identify and balance the contract items that require balancing.
- Make calculations for the item "Mobilization" (if necessary), for the various deductions and retentions, for percent time elapsed, for percent complete, and for various status totals, such as authorized final cost. The system also determines whether the contractor's progress is satisfactory.
- Edit any deduction submitted for processing on Form CEM-6001. Special attention is given to three of the deductions as follows:
  1. If the resident engineer has submitted an EEO deduction, CAS computes the amount as 10 percent of the contract item payment on this estimate, or a minimum of \$1,000 or a maximum of \$10,000, and places the deduction on file.
  2. If the resident engineer has submitted an LCV deduction, the system performs the same calculation as for EEO deductions described above.
  3. If the resident engineer has submitted an OOD deduction, the system will compute the deduction under the following conditions:
    - a. The contract has been completed, or retention is being reduced because the percent complete exceeds 95 percent. If one of these conditions is not met, the deduction will be rejected.
    - b. The total of all OOD deductions from prior estimates must be zero, or the deduction will be rejected. An OOD deduction should be taken only once for a contract.
    - c. If the first two conditions are met, the amount of the deduction is calculated as 5 percent of the total work completed to date less mobilization, or \$10,000, whichever is less.
- Further deduction processing as follows:
  1. If the total to date for an OOD deduction is negative, the system will check whether the value for has changed since the last estimate for total work completed to date less mobilization. If the value has changed, the system will generate a new OOD deduction with a description,

“MAINTAIN OOD DEDUCT,” and an amount equal to the difference between the amount demanded by the formula and the amount of the total to date for this type of deduction. Thus, an OOD deduction, once submitted, will be maintained at the formula’s value unless it is exactly reversed by a positive deduction entry on Form CEM-6001.

2. For each type of deduction, you cannot give back more than has been taken. If you make this error, the estimate will fail. Messages are produced stating which deduction is in error.
  3. At this point in the processing, the final values are computed for total work completed and total payment to the contractor. If there are “Limitation of Payment” dates and amounts in the special provisions for this contract, the Division of Construction progress pay coordinator will have entered them in the computer. The system will check the period ending date of this estimate and will generate or return any split-year-financing deductions that are necessary under the contract’s terms.
  4. If retention is being released on this estimate and the total to date for liquidated damages is zero, the system will issue a warning message.
  5. The system automatically computes overbid item deductions as required. These deductions are taken and returned at the appropriate times.
- Makes calculations for the progress payment voucher, including retentions and payments to escrow accounts.
  - Determining the success of the estimate’s processing.
  - If processing is successful, CAS prints your estimate.
  - If this estimate is for a zero or negative progress payment, the system prints a status purpose only estimate.
    1. If the total authorized final cost is greater than the construction allotment, CAS will issue a severe warning.
    2. If the total payment to date to the contractor on this estimate is greater than the construction allotment, the estimate will fail.

#### 5-103F (2b) Estimate Output

Once CAS has processed the estimates, it produces the following reports:

- Schedule of extra work
- Schedule of deductions
- Project record estimate
- Project status
- Work done by office of structures
- Progress payment voucher

Only two copies of the estimate will be sent to the field, one for the resident engineer and one for the contractor. The contractor also must receive the first three reports listed above and the last report listed above.

In addition to the estimate documents listed above, CAS also produces a report called “Estimate Processing Results.” This report is the tool by which the resident engineer can check the “estimate package.” This report has the following sections:

- Edit messages: The system can produce many possible messages. If your estimate is rejected, the exact reason will be found here. To assist in preventing overpayments, among other problems, warning messages have been set based on carefully chosen tolerances. You must read these messages carefully.
- Transaction selection: The system will print a list of the exact pages and lines of contract transactions that were used to produce the estimate. This list enables you to verify that all the contract transactions you submitted were used to produce the estimate.
- Contract change order processing: This lists any balancing of contract change orders by the system. Occasionally, the list contains warning messages, too.
- Contract item processing: This part of the report does the same things as described in the bullet above, but for contract items instead of contract change orders.
- Contract transactions list: This list identifies all contract transactions used to generate your estimate. If you question any line item on the project record-estimate, examine the detailed records to see how the system derived its totals.
- Structure totals: This item summarizes all structure work the system found while processing the estimate.

### *5-103F (3) Potential Problems*

For the unwary, several points in the estimate process can cause errors. These problems result from misunderstanding what constitutes an estimate and how the estimate number should be increased from estimate to estimate.

On the title page of the project record-estimate and in the estimate processing results, the system will print the type of estimate generated. If the estimate is one of the five types listed previously under the heading “Generating Estimates,” a valid estimate was generated.

The progress pay system requires that the estimate number be increased only by valid estimates. Thus, if you request estimate number 3 to be processed, but the system generates a status purpose only estimate, a valid estimate was not generated. Request estimate number 3 again for the next estimate.

Another potential problem involves two types of contract transaction: materials on hand and anticipated changes. These transactions apply to a specific estimate period. If the estimate generated by the system is a status purpose only estimate, these transactions have not been “used.” They will appear on the next valid estimate generated. If their appearance on the next estimate is not satisfactory, you must use reversing entries before requesting the next estimate from the system.

If the estimate has failed for any reason, the system will print, with one exception, as many of the estimate reports as possible to help you analyze the problem. The one exception, the progress payment voucher, is only printed for successful estimates that are eligible for payment according to the system’s standards.

Processing the estimate is done by a series of computer programs that perform the following functions:

- Input edit of the CEM-6001, “Project-Record Estimate Request.”
- Select from the computer file the extra work bills that will be used to generate this estimate.
- Select from the computer file the contract transactions that will be used to generate this estimate.
- Process the contract change orders.
- Process contract items.
- Process deductions.
- Conduct miscellaneous computations.
- Generate reports.

#### 5-103G Approval of Estimates

The authority to approve an estimate depends on the type of estimate being run. The following is the general outline and method for approving contract estimates.

##### *5-103G (1) The Resident Engineer*

After an estimate has been run, the resident engineer must approve it before the process of payment is continued. To expedite payment, the resident engineer can approve through a memo, form letter, or telephone call with subsequent written confirmation to the district office.

##### *5-103G (2) The District Director*

At the time the estimate was produced, so was Form FA 729A, “Progress Payment Voucher.” If the estimate is a final estimate, an individual who has been formally delegated by the district director to do so must sign the form.

##### *5-103G (3) Flagging an Estimate for Payment*

Flagging an estimate in the computer system for payment indicates that Form FA 729A has been verified and approved.

For payments on after acceptance estimates, semifinal estimates, and final estimates, the Division of Construction progress pay coordinator must flag the estimates in the computer system for payment after the district’s flagging.

#### 5-103H Reports Available Through CAS

CAS provides many reports that must be requested specifically. Normally, resident engineers must request reports through the district construction office. Use Form CEM-6002, “Contract Administration System (CAS)-Report Requests,” to obtain the reports. The following are the instructions for completing Form CEM-6002. A sample of Form CEM-6002 is included in the appendix.

##### *5-103H (1) District (XX) Estimate Status*

This report, which is also available statewide, provides information on the pay status of each contract in the district. For each contract, the report includes the following:

- Contract number
- Date of last estimate processed (if there was one)

- Number of the estimate
- Number of days elapsed since the estimate was processed
- Type of estimate
- Pay status and date paid (if paid)
- Date on which the payment voucher was approved
- Resident engineer's name and phone number
- Responsible unit
- Password

*5-103H (2) Project Management*

The project management report is for use by the district office and Division of Construction managers. This report consists of the following two separate reports that are produced whenever "Project Management" is requested.

5-103H (2a) The Project File Status Report

This report lists all contracts in the district (or statewide) that are on the computer's active list. For each contract, the report provides the following information:

- Contract number
- Status
- Date bids were opened
- Date of award
- Date of approval
- Date of acceptance
- Bid amount
- Name of contractor

After bid opening, projects are added to the list automatically. After the final estimate and approvals from the districts and the disbursing office, the Division of Construction removes the projects from the list.

5-103H (2b) The Exceptional Contracts Report

This report lists all contracts for which the following applies:

- More than 60 days have elapsed since the bid opening.
- More than 10 days have elapsed since the completion date and the contract needs an acceptance date.
- More than 45 days have elapsed since completion, but the proposed final estimates have not been run.
- More than 180 days have elapsed since completion, but the final estimates have not been run.

### *5-103H (3) District (XX) Project Status*

This report is for use by construction managers. It lists all active contracts, and for each contract, provides the following information:

- Contract number
- Contractor's name and county-route-kilopost
- Date of the last estimate
- Percent complete
- Percent of time elapsed
- Construction allotment
- Total amount paid to date
- Estimated final cost
- Estimated final contingency balance

### *5-103H (4) Progress Payment-Work Done by Office of Structure Construction (Copies)*

This report is for use by the Office of Structure Construction. For details, see Volume I, Section 6, of the *Bridge Construction Records and Procedures Manual*.

### *5-103H (5) Project Record-Estimate (Copies)*

A request for estimate copies will produce all of the documents that were produced automatically during the previous estimate's run. Normally, therefore, you should not need to order copies through this program. For the estimate, the report contains the following information:

- Schedule of extra work
- Schedule of deductions
- Project record-estimate
- Project status
- Progress payment voucher

### *5-103H (6) Status of Contract Items*

Normally, the district office requests this report monthly for all ongoing contracts. The report must be filed in Category 60, "Progress Status Sheets."

For this report, the system prints one line of information for each contract item and summarizes the net effect of all contract transactions that have been entered against the item. This report allows the resident engineer to review each item and determine whether quantity balances and anticipated changes, among other things, are necessary.

If any particular number on the report seems questionable, the project record item sheets provide supporting detail. For example, if the approved quantity differs from the bid quantity, the project record item sheets describe, under the item number, any changes due to contract change orders.

When applicable, take particular care to flag an item “COMPLETE” (using the item final balance transaction on Form CEM-6001) so that an accurate project status will be produced. Remember, flagging an item “COMPLETE” does not mean that contract item transactions will no longer be accepted; it means only that you have commanded the system to keep the item in balance at all times.

#### *5-103H (7) Project Record Item Sheet*

Normally, the district office requests this report monthly for all ongoing contracts. The report must be filed in Category 60.

With the following exceptions, the project record item sheets list every contract transaction entered into the system since the beginning of the contract:

- Item and contract change order final balance transactions will appear only on the report following the next estimate. Thereafter, they are dropped from the report.
- Miscellaneous anticipated change transactions also appear only on the report following the next estimate.

The report lists the contract transactions first by the estimate number on which they were paid and then by the page and line number of the input form. The total to date will be printed.

Do not retain previous issues of this report in the project’s files. However, one issue, usually the one requested immediately after all final quantities have been paid, must be retained in the project’s files.

#### *5-103H (8) Status of Contract Change Orders*

Normally, the district office requests this report monthly for all ongoing contracts. The report must be filed in Category 60, “Progress Status Sheets.”

This report is similar to the status of contract items, which allows the engineer to review each contract change order.

Use the report to determine when supplemental contract change orders will be necessary to complete the work. The report also facilitates a review of those contract change orders where a credit is due Caltrans.

When applicable, flag contract change orders “COMPLETE” (using the contract change order final balance transaction) so that an accurate project status can be produced. Similar to flagging a contract item, flagging a contract change order “COMPLETE” means only that you have commanded the system to keep the contract change order in balance at all times.

#### *5-103H (9) CCO Master Listing*

Normally, the district office requests this report monthly for all ongoing contracts. The report must be filed in Category 60.

This report summarizes all contract change orders stored in the computer file. It also contains the contract change order time extension and contract change order category code. The report lists each individual supplement with all the information the system contains. Do not retain previous issues in the project’s files. However, one issue, usually the one requested immediately after final payment has been made on all contract change orders, must be retained in the project’s files.

*5-103H (10) Bridge Quantities by Structure*

This report is for use by Office of Structure Construction personnel. It is available on all projects for which Form CEM-6003, "Progress Pay-Estimate Project Initiation or Update," has been filed. The filing of this form indicates a structure work amount and structure numbers have been entered for the contract transaction in accordance with the instructions in Volume 1, Section 6 of the *Bridge Construction Records and Procedures Manual*.

*5-103H (11) District (XX) Status of Anticipated Changes*

This report is for use by the district and Division of Construction managers.

*5-103H (12) Project Record-Estimate (Dummy)*

A request for this item will produce the same form that was produced automatically when Form CEM-6003, "Progress Pay-Estimate Project Initiation or Update" was filed.

This form is identical to a project record-estimate, except that it does not contain an estimate number or dates and no entries appear under "This Estimate" or "Total Estimate." It is a blank estimate form, valuable only if it became necessary to make an estimate manually.

*5-103H (13) Contract Contents Report*

This report contains information that is currently in the file as a result of automatic entries or entries from Form CEM-6003 "Progress Pay-Estimate Project Initiation or Update."

Most of the information in this report is included already in other reports and forms that are produced automatically. Therefore, you do not need to request it routinely.

*5-103H (14) Contract Contents Report-Contract Item Records*

This report provides the following information:

- Contract item number
- Contract item index number
- Item description
- Unit of measure
- Bid price
- Bid quantity
- Bid amount
- Amount overbid
- Void items
- Plant establishment items

Most of the information in this report is included already in other reports and forms that are produced automatically. Therefore, you do not need it for routine contract administration.

#### 5-103H (15) *Contract Contents Report-Contract Progress*

For each contract item, this report includes a detailed analysis of the current and prior quantities and payment status. It also summarizes all other payments or deductions as well as data on contract time. The information in this report is included already in various other reports that are produced automatically. Therefore, you do not need it for routine contract administration.

#### 5-103H (16) *DEWRs in Holding File*

This report lists extra work bills that are in the holding file for all contracts in the district. If there are reports in the holding file, process supplemental contract change orders to provide additional funds. The system will then automatically release the bills for the next estimate.

#### 5-103H (17) *Daily Extra Work Report*

Copies of daily extra work reports are produced under the procedure outlined earlier in this section under "Extra Work Billing." You can obtain copies by using the second page of the report request form.

#### 5-103H (18) *Rental Rates and Codes for Miscellaneous Equipment*

This report provides a listing of equipment codes and related descriptive information for equipment that is not included in the *Labor Surcharge and Equipment Rental Rates (Cost of Equipment Ownership)* book.

#### 5-103H (19) *Reports for the Office of Structure Construction*

In addition to the reports discussed above, CAS provides reports for the Office of Structure Construction. For details, see Volume I, Section 6, of the *Bridge Construction Records and Procedures Manual*.

#### 5-103I Field Audits by Accounting Office

In accordance with instructions from the Division of Administrative Services, personnel from the Accounting Office will periodically review record-keeping procedures for construction projects. The accounting reviewer will prepare a report of the findings, a copy of which will be sent to the deputy district director of construction and the resident engineer.

District construction must then report back to the Accounting Office, stating what actions it took in response to the report's recommendations. If the district's actions result in a dispute, the deputy district director of construction will resolve the dispute

## **5-104 Final Construction Project Records**

### **5-104 Final Construction Project Records**

#### 5-104A General

Construction project records consist of all material in the construction files, whether in the field office, the district construction office, or the Division of Construction office. This section contains guidelines for the disposition of construction project records after Caltrans makes the final payment. This section also provides guidelines for allowing public access to construction project records and for producing a set of as-built plans for each completed construction project. In addition to construction project records, the district keeps a project history file. For information about this history project file, see Chapter 7, "Uniform File System," of the *Project Development Procedures Manual*.



#### 5-104B Public Access to Project Records

The California Public Records Act permits anyone to obtain any written information relating to the conduct of the public's business that is prepared, owned, used, or retained by any state agency, regardless of the physical form or characteristic of the writing. Although the act includes exemptions for certain categories of records, most construction project records fall within the description of documents that must be produced upon proper demand. Except for preliminary drafts or notes that are not retained in the ordinary course of business, permanent project records that are reasonably identified are subject to inspection and copy.

Records exempt from disclosure include the following:

- Estimated project cost before bidding.
- Contract claim analysis.
- Personal information, such as home addresses, telephone numbers, medical records, and similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy.
- Accident reports. If accident reports produced by another agency are requested, such as accident reports by the California Highway Patrol, refer the requester to the other agency.

If copies of payroll records are requested, see Section 7-1.01A(3), "Payroll Records," of the *Standard Specifications* for the procedures to follow.

Resident engineers should refer all requests for copies of any records to the district construction office and follow procedures established in the district for copying and charging for record copies.

Allow contractors and subcontractors to review records used to determine contract payment in the construction field office.

#### 5-104C Disposition of Construction Project Records

District construction personnel who are responsible for the disposition of construction project records must coordinate their activities with the district records officer.

The district construction office must establish a procedure for handling construction project records. This procedure must meet Caltrans record keeping policy and achieve the following objectives:

- Relieve the resident engineer of the responsibility for storing the records before or at the time final payment is made.
- Avoid unnecessary long-term storage of duplicate copies.
- Before the records are destroyed, transfer material that has historical value to the project history file.
- Retain construction project records as follows:
  1. For projects that involve federal participation, retain the records for a minimum of three years after submission of the final voucher.
  2. For projects that do not involve federal participation, retain the records for a minimum of three years after the date on which the final estimate is scheduled for payment.

3. For projects on which some legal question exists, such as a pending claim, a labor compliance case, or litigation, retain the records for three years after settlement. The district construction office must send a memorandum to the district records officer to hold these records until further notice.

When the district no longer needs the records in categories 1, 2, 3, 4, 7, and 28, destroy them. Do not retain them as part of the project construction records.

After records from the resident engineer's office are sent to the district construction office, eliminate duplicate records.

Copies of Form CEM-6301, "Contract Acceptance," and the final Form CEM-2701, "Weekly Statement of Working Days," are sent to the progress pay coordinator in the Division of Construction.

When records are sent from the district construction office to the State Record Center or to another district, prepare a transmittal list specifying the contents of each box. In a separate file in the district construction office, retain a copy of the transmittal list.

The Division of Construction also retains project records to ensure that adequate records are available to defend Caltrans in civil suits, especially those related to contractor's claims. After projects have been completed, the Division of Construction transfers files listed in the current "records retention schedule" for the Division of Construction to the State Records Center.

The *Bridge Construction Records and Procedures Manual* should be referenced for bridge and structure's related records that are transmitted to the Office of Structure Construction at the completion of the project for permanent storage.

#### 5-104D As-Built Plans

Districts are responsible for all as-built road plans, and the Office of Structure Design is responsible for all as-built structure plans. To handle as-built plans, use the following procedure:

The district design unit will give the resident engineer full-size prints of all road plans. Prints of structure plans will be supplied to the structure representative. The plans may also be transmitted in electronic form when field forces have the capability of computer-aided drafting and design (CADD). As-built information is recorded on the full-size drawings or recorded on a set of contract plans using CADD.

Each sheet of as-built plans must be clearly identified as such. All sheets upon which changes are made must contain the name of the resident engineer or structure representative.

#### *5-104D (1) District Procedure on As-Built Plans*

The district will maintain a set of original project plan sheets. Field changes will be made on full-size prints or in a field CADD system and afterwards transferred to the original CADD files in the district office. The set of plans, with changes delineated by the district design unit, becomes the as-built plans.

To attain uniformity in final project plans, include the following data on the as-built plans:

- Contract change order number.
- Revisions in alignment and right of way.
- Grade revisions in excess of 30 mm.

- Changes in length, size, flow line elevations, and station of culverts. When alternate types of culverts are permitted, show which alternate was used.
- Drainage changes.
- Location of sewers, conduits, and other features.
- Location of monuments, bench marks, freeway fences, and gates.
- Revision of typical cross sections.
- Changes in pavement lanes, tapers, ramps, frontage roads, road connections, driveways, sidewalks, islands, and median openings.
- Curb and gutter changes.
- Electrical conduits, pull boxes, and service points.
- Revision in location of utility crossings and irrigation crossovers.

Do not show the following on as-built plans:

- Construction quantities.
- Property fences.
- Miscellaneous small features, such as markers and delineators, which are readily changed by maintenance forces.

The resident engineer must complete the as-built plans as soon as possible after work is completed, but no later than 60 days after contract acceptance.

After the district design unit has completed the transfer of as-built information on the final as-built drawings, the unit will return the plans to the resident engineer for review and signature of final approval. For the processing and disposition of as-built plans after the construction review, see Chapter 15, “Final Project Development Procedures,” of the *Project Development Procedures Manual*.

#### 5-104D (2) *Procedure on As-Built Plans for Bridges and Structures*

The Office of Structure Construction must handle structure as-built plans in the following manner:

- From the resident engineer, obtain full-size prints of all sheets with “Structure” signature blocks. If these prints are not available from the resident engineer, the structure representative must contact the Office of Structure Design.
- The structure representative will make the as-built corrections to these prints and forward them to the Sacramento office of the Office of Structure Construction. These corrected prints must be forwarded to the Sacramento office as soon as possible after completion of the structures, but no later than 30 days after the completion of the project.
- For prints of projects consisting solely of roadside rests or maintenance facilities, the Sacramento office of the Office of Structure Construction must forward the prints directly to the Office of Structure Design, documents unit. All other projects must be forwarded to the Office of Structure Maintenance and Investigations, which determines which sheets should be microfilmed for the structure files. In identifying prints to be processed, the Office of Structure Maintenance and Investigations must include all sheets prepared by the Office of Transportation Architecture. This office will then forward all the prints to the Office of Structure Design, documents unit.

- Those prints not identified for filing by the Office of Structure Maintenance and Investigations will be forwarded to the appropriate district office for the preparation of as-built plan sheets. The Office of Structure Design will make the as-built corrections on the original plan sheets. If the original plan sheet is not presently stored in the Office of Structure Design, it may be obtained from the district.

On state projects that do not have a representative from the Office of Structure Construction, the resident engineer must make the as-built changes on the full-size prints bearing “Structure” signature blocks. As soon as possible after completion of the structures, forward the prints to the Office of Structure Construction in Sacramento. The procedure outlined above must then be followed.

When the corrections have been made, the as-built plan sheets will be forwarded to headquarters microfilm services unit for microfilming and distributing.

On projects funded by others, where the local entity or private entity is the sponsor, follow the procedure for as-built plans for bridges and structures described in the Office of Special Funded Projects’ *Information and Procedures Guide* and the *Encroachment Permits Manual*.

For additional guidelines and details for completing structure as-built plans, see the *Bridge Construction Records and Procedures Manual*.

#### *5-104D (3) Projects Not on State Highways*

On all district-administered projects not on state highways, the information to be included on as-builts will remain the same as for contracts on state highways. The district will be fully responsible for completing as-built project plans and forwarding them to the local agencies. If the district desires for its own records, these plans may be sent to headquarters microfilm services unit for microfilming before being returned to the local government.

The engineer responsible for structure work will place as-built corrections on structure plans of all state and federally funded projects for local roads and streets. On Caltrans administered contracts, follow normal Caltrans procedures for processing these plans. On locally administered contracts, the engineer responsible for structure work will provide the Office of Structure Design, Local Assistance Section, a set of original tracings or duplicates of reproducible quality with as-built corrections. After microfilming, return these tracings or duplicates to the local agency.

- Document labor compliance project activities on the assistant resident engineer’s daily report. Minimally, this documentation must include the following information:
  1. Contract number
  2. Name of contractor with name of employee
  3. Hours worked
  4. Classification of employees
  5. Items of work with description and operated equipment with name of operator and name of operator’s employer
- Confirm that wage rates and hours listed on extra work bills match prevailing wage rates and hours listed on the contractor’s certified payrolls.
- Ensure that Caltrans personnel under resident engineer supervision properly record charges for labor compliance activities. Details are available from the district labor compliance officer and the Caltrans *Coding Manual*.
- Conduct employee interviews, and transmit to the district labor compliance office fully completed interview forms. (For more information about these interviews and forms, see below under the heading “Interviews With Contractor Personnel.”) The frequency of these interviews should be at the rate of three employees per contract, per month, including at least one interview from the prime contractor and each subcontractor until such time as the contract is accepted or that all employees on the project have been interviewed. The number of interviews taken must constitute a representative sample of workers employed on the project.

#### 8-102A (3) *Interviews With Contractor Personnel*

The contract labor standards require the contractor to allow authorized Caltrans personnel to interview contractor employees during working hours.

Generally, record employee interviews on Form CEM-2504, “Employee Interview: Labor Compliance/EEO” or Form CEM-2504 (Spanish), “Entrevista de Empleado: Labor Compliance/EEO,” if applicable. The employee interview is used to check the validity of information shown on the payrolls and payroll records. The employee is asked questions regarding wage rates, hours of work, and type of work performed. When an interview indicates a reporting deficiency or labor compliance violation, notify the labor compliance officer, who will conduct a full investigation. Send the original form to the district labor compliance officer.

Conduct a minimum of three prime contractor interviews for each contract each month. Conduct at least one interview for each subcontractor. A variety of crafts and trades should be interviewed.

In the case of a small contractor having two or three employees on the project for several months, you won’t need to keep taking interviews once all the contractor’s staff have been interviewed and the resident engineer is satisfied that the contractor is fully compliant with the labor compliance provisions of the contract. If the resident engineer chooses to suspend further interview activity, document the decision in the project records.

During the interviews, assure the interviewees that their statements, whether oral or written, will be confidential. Do not disclose to the employer the identity of the employee without the employee’s consent.

In addition to conducting the usual interviews, interview truck and equipment operators designated as “owner-operator” to determine the correctness of this classification. Factors that establish the validity of the “owner-operator” classification are described below in Section 8-103D (2), “Payrolls and Listings Involving Owner-Operator.”

#### 8-102B District Labor Compliance Officer

The district labor compliance officer administers and monitors the labor compliance policy by assisting resident engineers in the enforcement of the labor compliance requirements in the contract special provisions.

##### *8-102B (1) District Labor Compliance Officer General Responsibilities*

Under the general direction of the district construction deputy director, the district labor compliance officer has immediate charge of the district labor compliance office and must directly supervise and train those assigned to assist in administering and monitoring labor compliance and other related contractual obligations. Further, the district labor compliance officer must ensure that employees use proper charging practices when performing labor compliance activities.

The administration and monitoring of labor compliance provisions extends to all types of state and federal highway construction projects including the following:

- Minor contracts
- Service contracts
- Maintenance contracts
- Right-of-way demolition contracts
- Local assistance projects

##### *8-102B (2) Labor Compliance Officer Project Responsibilities*

The district labor compliance officer’s specific responsibilities, in assisting the resident engineer to administer contracts, are:

- Attend or delegate attendance at the preconstruction conference. Discuss the labor compliance, DBE or DVBE, EEO and subcontracting provisions of the contract.
- Provide appropriate labor compliance training for district project personnel.
- Review employee interviews and cross-check wage rates and classifications against certified payrolls. Forward one copy of the employee interview to the Division of Construction’s labor compliance unit.
- For investigation and follow-up, refer EEO complaints to the contract compliance unit of Civil Rights. For detailed information on the EEO complaint process, refer to Section 8-2, “Equal Employment Opportunity,” of the *Construction Manual* (manual).
- To ensure certified payrolls are accurate and complete, use random sampling to crosscheck the payrolls against assistant resident engineers’ diaries. Crosscheck classifications, hours, names, and state and federal prevailing wage rates. To supplement payrolls, use apprenticeship agreements and fringe benefit statements.
- When necessary, recommend to the resident engineer that appropriate deductions be withheld from progress payments made to the contractor.

- To determine if the labor compliance provisions of the contract have been breached and to verify the accuracy of payrolls, review source documents at the contractors' office and collect evidence.
- During the life of a contract, review contractors and subcontractors with a history of poor labor standards practices. The Division of Construction's labor compliance unit maintains a master file of contractors' payroll source documents reviews. The objective of the master file is to avoid unnecessary or repetitious source document reviews. Therefore, when a district anticipates making a review, first call the Division of Construction's labor compliance unit to determine if a similar review occurred recently on the same contractor. When a review has been completed, fill out Form CEM-2508, "Contractor's Payroll Source Document Review," and Form CEM-2509, "Checklist - Source Document Review." Forward these forms to the Division of Construction's labor compliance unit.
- When wage underpayments have occurred, prepare labor compliance violation cases and submit them to the Construction Program labor compliance unit for approval. Upon review and approval, the Construction Program labor compliance unit will submit the case to the California Department of Industrial Relations for state labor code violations. A copy must be retained in the project records when federal labor laws have been violated.
- If the contractor appeals the findings and final recommendations of a labor compliance violation case, represent the district during the administrative hearing process or during court proceedings.

#### 8-102C Contractor

Labor compliance regulations are included in the contract special provisions. The prime contractor is responsible for labor compliance for its own company as well as all subcontractors. In this section, the term "subcontractor" applies to all subcontractors (approved or not) employed by the prime contractor and all lower-tier subcontractors who perform "covered" employment as described under the heading "Covered and Noncovered Employment" later in this section. On federal contracts, the prime contractor must insert the labor regulations in all subcontracts and in turn subcontractors must include these regulations in all lower-tier subcontracts. Labor provisions of the contract require the same standard of performance from prime contractors and subcontractors as expected of all other requirements of the contract. For noncompliance with contract labor provisions, Caltrans has statutory authority to withhold payment to the prime contractor for back wages and penalties.

### **8-103 Certified Payroll Requirements**

A payroll is a record of all payments a contractor made to employees working on the project. A certified payroll is one that contains the written declaration required in Section 7-1.01(3), "Payroll Records," of the *Standard Specifications*.

Subcontractors must submit to the prime contractor all certified payrolls, owner-operator listings, and statements of compliance. In turn, the prime contractor must submit these documents to either the resident engineer or the district labor compliance office by the 15<sup>th</sup> of the following month for the previous month. The payrolls can be submitted on the state-furnished Form CEM-2502, "Contractor/Subcontractor Payroll," or any alternate form that includes a statement of compliance with wording identical to that on Form CEM-2503, "Statement of Compliance." For every person employed at the job site that performed a part of the work, the following information must be contained on the certified payroll form:

### **8-103 Certified Payroll Requirements**

- The employee’s full name, address, and social security number. The employee’s address and social security number need only appear on the first payroll on which the employee’s name appears. Company owners, superintendents, and nonworking foremen need only be listed by name, title, and hours worked. The employee’s classification, including craft, group, and level of expertise. The labor classification used must be descriptive of the work actually performed and match the nomenclature used in the prevailing wage decisions.
- The employee’s hourly wage rate. If the employee worked overtime hours, then report the applicable overtime hourly wage rate.
- The daily and weekly hours worked in each classification, including actual overtime hours worked. Add any premium for overtime hours worked to the rate of pay, not the reported number of hours worked.
- The gross wages, itemized deductions, withholdings, and net wages paid.

#### 8-103A Review of Payrolls

Payrolls must conform to federal and state labor laws. The following are guidelines for checking certified payrolls. In most cases the labor compliance officer will conduct the payroll review; however in some districts, payroll documents are checked by the resident engineer.

#### *8-103A (1) Fringe Benefit Statement*

Contractors must use Form CEM-2501, “Fringe Benefit Statement,” or equivalent to indicate payment of fringe benefits as a supplement to the certified payroll. A fringe benefit statement is a breakdown of benefits in addition to hourly wage rates that the contractor pays on behalf of the employee. Typical fringe benefits include vacation, health benefits, pension plans and training funds listed in the prevailing wage rates. The fringe benefit statement should also indicate to whom the fringe benefits have been paid, such as a union trust fund or as a cash payment made directly to the employee.

#### *8-103A (2) Travel and Subsistence*

When a project is located in a geographic area designated as a subsistence area, contractors are required to make travel and subsistence payments to their employees in accordance with the current collective bargaining agreements on file with the Department of Industrial Relations. Subsistence is to be paid as a lump sum daily payment or as an increased hourly wage rate, depending on the craft, classification, and bargaining agreement for each craft.

#### *8-103A (3) Workday*

Each workday is considered to begin at 12:01 am and to extend a full 24-hour period, ending at 12:00 pm. For those contractors working at night, for instance a Friday evening and Saturday morning, the payrolls should reflect regular pay rates of hours worked on Friday, and applicable premium rates of pay for all work beginning at 12:01 am on Saturday morning.

#### *8-103A (4) Assistant Resident Engineers’ Daily Reports*

Using assistant resident engineers’ daily reports, verify that the payroll reflects the labor used and the hours worked for each day of work at the job site, including weekends and holidays. The method of reporting hours is accurate, that the actual number of hours worked is clear, and the rate of pay can be readily determined.

- The tractor license number. If the equipment is used off highway, the contractor must provide a complete description of the equipment and include the dates that equipment was operated on the project.
- Operator labor classification
- Hours worked by the owner-operator as reported on a daily basis.
- Hourly rental rate paid for the owner-operated equipment
- Gross estimate or actual payments earned.

This information must be provided by the contractor on Form CEM-2505, “Owner-Operator Listing Statement of Compliance,” supplied by Caltrans. Certification will be accepted only from the contractor employing the owner-operator. It is not appropriate to accept certified payrolls or an owner operator listing directly from the owner-operator unless that owner operator is a licensed contractor and is also an approved subcontractor or recognized lower tier subcontractor.

#### *8-103D (1) Calculating Equipment Owner-Operator Payment Breakdown*

From the information shown in the payroll, determine the hourly wage rate due by deducting the prevailing equipment rental rate for the area from the gross hourly rate shown on the owner-operator listing. The contract rental rate (without markup) may be used as a guide. Since this may not be the local prevailing rate, it may be necessary to canvass local rental agencies or other sources to determine the actual prevailing equipment rental rate.

Compare the hourly wage rate so determined to the applicable basic wage plus fringe benefits to determine compliance.

#### *8-103D (2) Payrolls and Listings Involving Owner-Operator*

Use the following requirements to differentiate an owner-operator from a contractor’s employee:

- If review of payroll records show that deductions for social security taxes or state unemployment insurance taxes are withheld for the owner-operator, it is an indication that the operator is an employee rather than an independent contractor.
- An employee interview can be taken from the owner-operator on Form CEM-2504, “Employee Interview: Labor Compliance / EEO” or Form CEM-2504 (Spanish), “Entrevista de Empleado: Labor Compliance/EEO,” if applicable. If it is apparent that an owner-operator is in fact an employee, then all of the information required by interview Form CEM-2504, including the equal employment opportunity portion, is to be filled out completely and brought to the attention of the district labor compliance officer.

#### 8-103D (2a) For truck owner-operators:

- The operator should be the registered owner of the vehicle. The name of the driver should match the name of the registered owner on the Department of Motor Vehicles’ registration.
- If the legal owner is a firm or corporation, and the firm or corporate name is shown on the vehicle registration slip, request that the driver furnish evidence that they are leasing or purchasing the vehicle. It is common for the name of the finance or leasing company to be listed on the registration. If the owner operator is leasing or financing the vehicle, then the operator should be able

to furnish such evidence. If the owner operator is unable to substantiate purchase or lease of the equipment, the resident engineer should disallow use of the owner-operator classification for this truck and contact the labor compliance officer.

- Insurance for the vehicle should be carried in the driver's name. Further checking is required if the name on the policy does not match the name of the driver.
- The California identification (CA) number issued by the California Highway Patrol (CHP) should be in the driver's name. If the name on the CA number doesn't match the name of the driver, further investigation is warranted.

If the ownership of a vehicle cannot be determined from the insurance, registration, or title, forward the license number or a CA number to the district labor compliance officer. The district labor compliance officer will send information to the Division of Construction labor compliance unit to be run through Department of Motor Vehicles' or CHP Motor Carrier Permit Division record check.

8-103D (2b) For equipment other than trucks:

If the owner operator is leasing or financing the equipment, then the operator should be able to furnish such evidence. If the owner operator is unable to substantiate that they are purchasing or leasing the equipment, the resident engineer should disallow use of the owner-operator classification for this piece of equipment. The contractor must establish proof of ownership in cases where there is doubt as to the validity of the owner-operator designation. If difficulty is encountered in determining truck ownership, all pertinent data should be submitted to the Division of Construction labor compliance unit.

**8-104 Covered and Non-Covered Employment**

Caltrans is responsible for enforcement of both federal and state labor compliance requirements for all contracts it advertises and awards. The California Labor Code requires that all public works projects are subject to the payment of prevailing wages for the immediate geographic area in and adjacent to the project.

Every laborer or mechanic employed at the job site who performs a part of the contract work is subject to the labor provisions of the contract. The laborer or mechanic may be either an employee of the prime contractor, an employee of an approved or listed subcontractor, or some other person or firm who furnishes on-site labor, including specialists.

The terms "jobsite" or "site of the work" as applied to labor compliance are not limited to the actual geographic location or limits of the project. In addition, these terms include any location or facility established for the sole or primary purpose of contributing to the specific project. Typical examples of these types of locations or facilities include material sites, processing plants, fabrication yards, garages, or staging sites set up for the exclusive or nearly exclusive furtherance of work required by the project. Essential criteria for job site or off site work is whether these facilities have been operating on a commercial basis for a period of at least two months prior to the award of the contract or whether that site performs a commercially useful function exclusively for this project.

Employees working at a job site or site of work are covered by the prevailing wage law and the provisions of the specific contract under investigation. In those cases when the distinction between covered and non-covered employment is not clear, the matter should be referred to the district labor compliance officer for evaluation.



**Section 2 Equal Employment Opportunity****Section 2  
Equal  
Employment  
Opportunity****8-201 General****8-201  
General**

This section presents the guidelines for administration of the nondiscrimination and equal employment opportunity provisions of the contract. The total equal employment opportunity program is complex and involves functional units outside of construction. The guidelines in this section apply primarily to activities and responsibilities resulting from contractual requirements and are not necessarily complete insofar as the total responsibilities and activities for either Caltrans or the contractor.

**8-202 Laws, Regulations, and Specifications****8-202  
Laws, Regulations,  
and Specifications**

California requirements for public works contractors on the subjects of nondiscrimination and equal employment opportunity are located in the Government Code, Sections 12990 and following, and in the regulations of the Fair Employment and Housing Commission in Title 2, California Code of Regulations, Sections 8100, “Contractor Nondiscrimination and Compliance,” and following. Section 7-1.01A(4), “Labor Nondiscrimination,” of the *Standard Specifications*, and the “Fair Employment Practices” section of the contract special provisions call the contractor’s attention to these and other requirements. Federal requirements which apply to contracts of federal-aid construction projects are located in the “Equal Employment Opportunity” sections of the contract special provisions. Under the terms of the contract, the contractor has responsibility for compliance by its subcontractors.

**8-203 Preconstruction Conference****8-203  
Preconstruction  
Conference**

Either the resident engineer or the district labor compliance officer must cover the equal employment opportunity and fair employment practices provisions of the contract at the preconstruction conference. See Section 5-0, “Conduct of the Work,” of the *Construction Manual* (manual) for details on preconstruction conferences.

**8-204 Reports to Other Agencies****8-204  
Reports to Other  
Agencies**

Contractors and certain subcontractors are required by terms of the contract to submit information and reports directly to the United States Department of Labor’s director, Office of Federal Contract Compliance Programs, and to the administrator, Office of Compliance Programs, California Department of Fair Employment and Housing. Normally, there will be no copies of these reports sent to Caltrans. Contractors are also required by law to send notices of their status as equal employment opportunity employers to the labor unions or other worker organizations with which they have agreements.

**8-205 On-Site Interviews****8-205  
On-Site Interviews**

District labor compliance officers or project personnel are to conduct on-site interviews with employees of the contractor and subcontractors. The interviews are to be recorded on Form CEM-2504, “Employee Interview: Labor Compliance / EEO” or Form CEM-2504 (Spanish), “Entrevista de Empleado: Labor Compliance/EEO,” if applicable.

These interviews are done in conjunction with the labor compliance interviews as a means to verify that the contractors and subcontractors are in compliance with the equal employment opportunity and the labor nondiscrimination contract provisions as mandated by state and federal statutes and regulations.

When an employee's response to the equal employment opportunity questions in Form CEM-2504 indicate possible irregularities, then a copy of that interview must be forwarded from the district labor compliance officer to the Division of Construction labor compliance unit for further action.

See Section 8-102A (3), "Interviews With Contractor Personnel," for interview sampling and frequency.

## **8-206 Federal-Aid Project Equal Employment Opportunity Posters**

### **8-206 Federal-Aid Project Equal Employment Opportunity Posters**

Check to see that the contractor has posted the company's equal employment opportunity policy at each construction location as required by the specifications. The contractor must also post the "Equal Employment is the Law" poster as specified in the contract. This poster will be furnished at the preconstruction conference.

The district labor compliance officer will verify that these posting are posted at off site locations during source document reviews. If the contractor is found to be in noncompliance the district labor compliance officer will provide additional posters to affect compliance. The district labor compliance officer will then write a memo to the resident engineer for inclusion in the project file, advising the resident engineer of the contractor's compliance status.

The "Equal Employment Opportunity is the Law" poster must also be posted in the resident engineer's office.

## **8-207 Employee Complaints - Discrimination Complaint Processing**

### **8-207 Employee Complaints - Discrimination Complaint Processing**

While the overall equal employment opportunity program and responsibility rests with Civil Rights, enforcement of equal employment opportunity contract provisions rests with district construction and the Division of Construction. The resident engineer should be aware of the general civil rights requirements of the contract.

When a contractor's employee lodges a complaint concerning the equal employment opportunity or fair employment practices provision of the contract, the resident engineer is to notify the district labor compliance officer. The district labor compliance officer or resident engineer will conduct an employee interview with the complainant and complete a Form CEM-2504, "Employee Interview: Labor Compliance / EEO" or Form CEM-2504 (Spanish), "Entrevista de Empleado: Labor Compliance/EEO," if applicable. The district labor compliance officer will present the complainant with a copy of the flyers: *Department of Fair Employment and Housing's A Guide For Complainants* and the United States Equal Employment Opportunity Commission's *Filing a Charge*. The district labor compliance officer will forward a copy of the Form CEM-2504 to the Division of Construction labor compliance unit. The complaint will be logged and tracked by the Division of Construction. The labor compliance unit will forward a copy of the interview (alleged complaint) to Civil Rights. Within 2 business days the district labor compliance officer will prepare and send a letter to the prime contractor with a copy to Civil Rights that an employee has alleged a discrimination complaint and that the employee was given notice of their proper recourse. The employee's name shall not be divulged unless the employee gives permission. Further district construction actions should only be taken upon the advice and guidance of the Division of Construction.

8. The names of agencies contacted to provide assistance in contacting, recruiting, and using DBE or DVBE firms.
  9. Any additional data to support a demonstration of good faith efforts.
- Caltrans has consultant contracts with technical services contractors on federal aid projects to provide assistance to DBE subcontractors. The resident engineer can also use the services of the technical services contractor to help gather information for the substitution process or to encourage the subcontractor to perform the work so that no substitution is necessary. The resident engineer can also encourage the prime contractor to use the services of the technical services contractor in finding replacements for DBE subcontractors. For the names and addresses of the technical services contractors, see the DBE portion of the contract's special provisions. However, the prime contractor should not use technical services contractors as its sole effort to satisfy the good faith requirement.
  - The substitution request will be approved if such documentation indicates the contractor exerted a good faith effort to replace in kind the DBE or DVBE. If there is any reason to doubt the adequacy of the contractor's effort, consult the district or the Division of Construction. If the decision is not to approve the good faith efforts, the contractor must take such additional steps as are necessary to find a replacement firm. Advise the prime contractor that performance of the work without the resident engineer's prior written approval will result in an administrative deduction for the value of the work listed on the DBE or DVBE usage commitment. When the final review is complete and a decision is reached, the district will notify the resident engineer.
  - The resident engineer must give the contractor written notice of the decision. Send a separate written notification to the contractor regarding substitutions covered by the Subletting and Subcontracting Fair Practices Act. Place copies of all correspondence in the project's file.
  - Once the substitution has occurred, the resident engineer must prepare Form CEM-2401, "Substitution Report for Disadvantaged Business Enterprise/ Disabled Veteran Business Enterprise," and request the prime contract furnish a revised Form CEM-1201, "Subcontracting Request," if applicable.

Clearly, substitution of a listed DBE or DVBE may be a lengthy process. However, contractors are not entitled to either time adjustments or increased costs as a result of substituting the DBE or DVBE firm the contractor originally listed for goal attainment.

### **8-305 Caltrans Civil Rights**

Caltrans Civil Rights develops policy related to and generally administers and oversees the DBE program for Caltrans. Additionally, among other duties, Civil Rights certifies DBEs, publishes the lists of the certified firms, and determines whether those firms meet the requirements of applicable federal regulations. The California Department of General Services certifies DVBEs, and determines whether these firms meet the requirements of applicable state regulations.

Civil Rights also sets goals, determines goal attainment during contract award and at project completion, and performs equal employment opportunity compliance reviews of Caltrans' contractors.

### **8-305 Caltrans Civil Rights**

Although overall program responsibility rests with Civil Rights, specific construction project responsibility rests with district construction and the Division of Construction. The resident engineer must be aware of the general civil rights requirements, and when a question arises about civil rights requirements or a violation of those requirements has apparently occurred, the resident engineer must immediately notify the district construction office.

If the district needs assistance, the district must contact the Division of Construction labor compliance unit. If a complaint is received from a DBE or DVBE firm regarding treatment on the project, and the firm alleges that the claimed mistreatment is due to its DBE or DVBE status, the resident engineer must promptly notify the district labor compliance officer. If an investigation or other action is appropriate, the district labor compliance officer will make a request to the Division of Construction.

The Division of Construction will arrange for any necessary additional steps, including assistance from other functions, such as the Legal Service Center, Civil Rights, or Audits and Investigations. District construction should only take additional actions that may be necessary after receiving the Division of Construction's advice and guidance.

**Section 1 Construction Contract Administration for Projects Funded by Others**

**9-101 General**

**9-102 Advertise, Award, and Administer Construction Contracts**

**9-103 Caltrans Administered Projects Funded by Others**

9-103A Requesting Additional Funds for Local Federal-aid (Subvention) Projects

9-103B Requesting Additional Funds for Locally Funded Projects

**Section 1 Construction Contract Administration for Projects Funded by Others****Section 1 Construction Contract Administration for Projects Funded by Others****9-101 General****9-101 General**

Caltrans has encouraged local and private funding of state highway improvements for the past 20 years. Local agencies develop and implement local funding programs that supplement federal and state funding programs to meet their current and future transportation needs. Projects funded by others that are constructed on the state highway system are sponsored by a city, county, local transportation authority, local transit agency, or private entity and use local or private funding. Local revenues for state highway projects may include local sales tax, other local funds, local federal-aid funds (Surface Transportation Program (STP), Congestion Mitigation Air Quality (CMAQ), Transportation Enhancement Activities (TEA), and other funds), and private funds. Local agencies may combine their local funds with state and federal funds (State Transportation Improvement Program (STIP), Interregional Improvement Program (IIP), State Highway Operation and Protection Program and Minor Projects (SHOPP and Minor)) to develop transportation improvements.

The term “local agency” used throughout this section means any public entity (federal, state, Regional Transportation Planning Agencies (RTPA), county, city, or other local government entity) that sponsors or administers a construction contract on the state highway system. In addition, any private entity that sponsors or administers construction contracts on the state highway system, unless otherwise noted can be considered a local agency.

Caltrans policy states that the local or private entities sponsoring state highway system projects financed with local and private funds are responsible for construction contract administration. Caltrans will consider performing construction contract administration on a reimbursed basis in certain cases that are described in Section 9-103.

**9-102 Advertise, Award, and Administer Construction Contracts****9-102 Advertise, Award, and Administer Construction Contracts**

Caltrans policy states that advertising, award, and contract administration shall not be divided among different entities; that is, the entity that advertises the project shall also award and administer the construction contract. Only the Chief, Division of Construction can waive this policy.

**9-103  
Caltrans  
Administered  
Projects Funded by  
Others**

**9-103 Caltrans Administered Projects Funded by Others**

The district may honor local agency requests that Caltrans advertise, award and administer the construction contract for local funded projects at the discretion of the district director, and subject to availability of resources. The local agency must accept the processing procedures applied normally to regular state highway projects, since the local funded project will be processed along with the Caltrans regular workload associated with developing the statewide transportation program.

The district director determines the appropriate method for advertising, awarding and administering a construction contract project funded by others. The District Director should consider advertising, awarding, and administering contracts in these instances:

- The project involves major urban freeway or expressway construction, where heavy public traffic will occur through construction.
- The project requires extensive night work.
- The project involves long and unusual structures.
- The FHWA requests administration by Caltrans.

Caltrans administered projects that are funded by others follow the *Construction Manual* and the terms of the cooperative agreement. Whenever Caltrans advertises, awards, and administers the contract, the project is considered “state administered.” Caltrans personnel perform the construction engineering in most cases. Arrangements may be made, however; for Caltrans to provide the resident engineer, structures representative, lead inspectors, and the remainder of the construction engineering staff to be local agency personnel, local agency hired consultants, or a combination of the two. In the latter case, the district (not the local agency) must ensure that such a project is properly staffed. The district must not allow a project to be inadequately staffed because the local agency does not furnish the expected personnel. The cost of the construction engineering team provided by a local agency is considered part of the local agency’s share of the project costs.

Caltrans personnel make charges against the expense authorization for state administered projects similar to charging practices used on Caltrans projects. As a result of using this charging method, the local agency shares the engineering costs according to the cooperative agreement between the local agency and Caltrans. Charges made for the local agency’s personnel or consultants on state administered projects are also charged against the project and shared in accordance with the cooperative agreement. The method of charging the project for local agency personnel may vary depending on the entity and the agreement.

The Caltrans claims process in consultation with the fund provider is used when Caltrans administers a construction contract. For more information about this process, refer to Section 5-4, “Disputes,” of the *Construction Manual*. The agreement must state that the fund provider will abide by the outcome of the Caltrans claims process.



#### 9-103A Requesting Additional Funds for Local Federal-aid (Subvention) Projects

If the project is funded in whole or part with local federal-aid funds, and the resident engineer determines that additional funds are needed, the resident engineer follows the procedures outlined in Section 5-203, “Obtaining Additional Funds,” with the following changes:

- The meeting with the resident engineer, construction engineer, construction field coordinator, and project manager to discuss funding needs and alternatives shall also include the district local assistance engineer and a representative of the local agency that sponsored the project. The meeting should include a representative of the local Regional Transportation Planning Agency (RTPA) if the local federal-aid funds are programmed by the RTPA. The meeting should include the Federal Highway Administration transportation engineer for nonexempt projects.
- The memorandum to request additional funds will be processed through the RTPA or district local assistance engineer. The meeting participants decide who receives the memorandum.
- If state funds are funding part of the project costs, the meeting will determine the responsibilities for the additional funds request. Project managers process the request for additional state (STIP, IIP, SHOPP and Minor) funds as outlined in Section 9-103B. The request for additional local federal-aid funds will be processed as determined at the meeting.

#### 9-103B Requesting Additional Funds for Locally Funded Projects

If the project is not funded by local federal-aid funds, and the resident engineer determines that additional funds are needed, the resident engineer follows the procedures outlined in Section 5-203, “Obtaining Additional Funds,” with the following changes:

- Include a representative of the local agency that sponsored the project when discussing funding need and alternatives during the meeting with the resident engineer, construction engineer, construction field coordinator, and project manager.
- Send the memorandum to request additional local funds to the local agency.
- Determine the split on the responsibility for the additional funds request during the meeting, if state funds are funding part of the project costs. Project managers process the request for additional state (STIP, IIP, SHOPP and Minor) funds as outlined. The request for additional local funds will be processed as determined at the meeting.

**Section 2 Projects Administered by a Local Agency on the State Highway System**

**9-201 General**

**Section 2 Projects Administered by a Local Agency on the State Highway System****9-201 General**

The local agency will administer the contract under an encroachment permit, a cooperative agreement (if required), and Caltrans approved Plans, Specifications, & Estimate. In addition, the local agency will provide the resident engineer and construction engineering team, while Caltrans provides quality assurance and oversight of construction.

Caltrans must oversee the contract administration of construction contracts administered by local agencies to ensure compliance with applicable state and federal regulations and Caltrans standards and practices. This quality assurance and oversight means Caltrans provides policy and procedural direction to non-Caltrans organizations, personnel, or companies administering construction contracts on projects under encroachment permit on the state highway system. In addition Caltrans provides direction for similar organizations and personnel for projects that will become part of the state highway system in the future.

The Division of Construction's *Oversight Field Guidelines* provide policy and procedures related to the duties of Caltrans construction quality assurance and oversight personnel on local agency administered construction projects. The guidelines establish policy and procedure, and should be used as a resource for Caltrans employees that are providing quality assurance and oversight on projects administered by others on the existing or future state highway system. Caltrans personnel who provide quality assurance and oversight should never attempt to use the *Oversight Field Guidelines* as a substitute for the encroachment permit or the cooperative agreement.

**Section 1 Projects Administered by a Local Agency on the State Highway System****9-201 General**

**Forms Used For Contract Administration**

**Page No.**

**Division of Construction Forms**

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Form CEM-0501, Relief from Maintenance .....	A-1.2
Form CEM-0601, Construction Safety Report .....	A-1.3
Form CEM-0602, Project Safety Program Statement .....	A-1.4
Form CEM-0603, Major Construction Incident Notification.....	A-1.5
Form CEM-1101, Documents Bond of State Highway Oversight Projects.....	A-1.7
Form CEM-1201, Subcontracting Request .....	A-1.9
Form CEM-2001, National Pollution Discharge Elimination System Annual Certification .....	A-1.11
Form CEM-2002, Notification of Construction (NOC).....	A-1.13
Form CEM-2003, Notification of Completion of Construction (NCC).....	A-1.17
Form CEM-2025, Solid Waste Disposal and Recycling Report.....	A-1.19
Form CEM-2101, COZEEP Daily Report .....	A-1.21
Form CEM-2102, COZEEP/MAZEEP Task Order.....	A-1.23
Form CEM-2103, COZEEP/MAZEEP Cancellation Form.....	A-1.25
Form CEM-2401, Substitution Report for Disadvantaged Business Enterprise/Disabled Veteran Business Enterprise.....	A-1.27
Form CEM-2402(F), Final Report- Utilization of Disadvantaged Business Enterprises (DBE), First - Tier Subcontractors (Federally Funded Projects).....	A-1.29
Form CEM-2402(S), Final Report - Utilization of Disabled Veteran Business Enterprises (DVBE) State Funded Projects.....	A-1.31
Form CEM-2403(F), Disadvantaged Business Enterprises (DBE) Certification Status Change .....	A-1.33
Form CEM-2404(F), Monthly DBE Trucking Verification .....	A-1.35
Form CEM-2501, Fringe Benefit Statement.....	A-1.37
Form CEM-2502, Contractor/Subcontractor Payroll .....	A-1.38
Form CEM-2503, Statement of Compliance.....	A-1.39
Form CEM-2504, Employee Interview: Labor Compliance/EEO.....	A-1.41
Form CEM-2504 (Spanish), Entrevista de Empleado: Labor Compliance/EEO.....	A-1.43
Form CEM-2505, Owner - Operator Listing Statement of Compliance .....	A-1.45
Form CEM-2506, Labor Compliance – Wage Violation .....	A-1.47
Form CEM-2507, Labor Violation: Case Summary.....	A-1.49
Form CEM-2508, Contractor’s Payroll Source Document Review .....	A-1.51
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Form CEM-2702, Overrun in Contract Time.....	A-1.59

<i>Form CEM-3101, Notice of Materials to be Used.....</i>	<i>A-1.61</i>
<i>Form CEM-3501, AC Production/Placement Checklist .....</i>	<i>A-1.63</i>
<i>Form CEM-3701, Test Result Summary .....</i>	<i>A-1.65</i>
<i>Form CEM-3702, Relative Compaction Summary.....</i>	<i>A-1.66</i>
<i>Form CEM-4101, Materials Release Summary.....</i>	<i>A-1.67</i>
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<i>Form CEM-4202, Material Plant Safety Checklist .....</i>	<i>A-1.69</i>
<i>Form CEM-4501, Resident Engineer’s Daily Report/Assistant Resident Engineer’s Daily Report .....</i>	<i>A-1.70</i>
<i>Form CEM-4601, Assistant Resident Engineer’s Daily Report .....</i>	<i>A-1.71</i>
<i>Form CEM-4701, Drainage System Summary .....</i>	<i>A-1.73</i>
<i>Form CEM-4801, Quantity Calculations.....</i>	<i>A-1.75</i>
<i>Form CEM-4900, Contract Change Order.....</i>	<i>A-1.76</i>
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<i>Form CEM-4902, Extra Work Bill (Short Form) .....</i>	<i>A-1.81</i>
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<i>Form CEM-6201, Notice of Potential Claim .....</i>	<i>A-1.99</i>
<i>Form CEM-6201A, Initial Notice of Potential Claim .....</i>	<i>A-1.101</i>
<i>Form CEM-6201B, Supplemental Notice of Potential Claim .....</i>	<i>A-1.103</i>
<i>Form CEM-6201C, Full and Final Documentation of Potential Claim .....</i>	<i>A-1.105</i>
<i>Form CEM-6202, Disputes Review Board (DRB) Establishment .....</i>	<i>A-1.107</i>
<i>Form CEM-6203, Dispute Review Board (DRB) Update Report .....</i>	<i>A-1.109</i>
<i>Form CEM-6204, Dispute Review Board (DRB) Issue Report .....</i>	<i>A-1.111</i>
<i>Form CEM-6205, Dispute Review Board (DRB) Completion Report .....</i>	<i>A-1.113</i>
<i>Form CEM-6301, Contract Acceptance .....</i>	<i>A-1.115</i>
<i>Form CEM-9001, Construction Manual Proposed Change.....</i>	<i>A-1.117</i>



**Office of Materials Engineering and Testing Services Forms**

*Form TL-0101, Sample Identification Card* .....A-1.118  
*Form TL-0502, Field Sample of Portland Cement Concrete Sample Card* .....A-1.119  
*Form MR-0518, Job Cement Samples Record*.....A-1.120

**Other State Forms**

*Form LA-16, Product, Material, or Method Report (For Highway Planting or  
Erosion Control)* .....A-1.121  
*Form LA-17, Report of Chemical Spray Operations* .....A-1.122  
*Form TR-0019, Notice of Change in Clearance or Bridge Weight Rating*.....A-1.123  
*Form TR-0020, Notice of Change in Vertical or Horizontal Clearance* .....A-1.124  
*Form TR-0029, Notice of Change in Clearance or Bridge Weight Rating*.....A-1.125



**MAJOR CONSTRUCTION INCIDENT NOTIFICATION**

CEM-0603 (NEW 3/2001)

**URGENT - DELIVER IMMEDIATELY**

**FAX this form (no cover sheet) IMMEDIATELY to:**

- Headquarters Office of Safety and Health @ 916-227-2639, CALNET 8-498-2639
- Construction Program Manager/Safety Coordinator @ (916) 654-6345, CALNET 8-464-6345
- District Construction Safety Coordinator @ \_\_\_\_\_

Follow district procedure for notifying personnel within your area. Completion of this form does not relieve the federal and Cal/OSHA reporting requirements. See the construction and safety manuals for more information on reporting requirements.

**Report**

Report Date \_\_\_\_ / \_\_\_\_ / \_\_\_\_ Report Time \_\_\_\_ : \_\_\_\_  AM  PM  
 Initial Report  Updated Report  Final Report

Person Preparing Report \_\_\_\_\_ Phone # (\_\_\_\_) - \_\_\_\_ - \_\_\_\_

**Incident Site Information**

Incident Date \_\_\_\_ / \_\_\_\_ / \_\_\_\_ Incident Time \_\_\_\_ : \_\_\_\_  AM  PM

Location: District/Co./Rte/Kilo or Mile Post \_\_\_\_\_ Direction:  NB  SB  EB  WB  
 \_\_\_\_ / \_\_\_\_ / \_\_\_\_ / \_\_\_\_ Weather \_\_\_\_\_

Resident Engineer \_\_\_\_\_ Phone # \_\_\_\_\_

Prime Contractor \_\_\_\_\_ E.A. # \_\_\_\_\_

Is incident within a construction zone?  Yes  No

Describe nature of work: \_\_\_\_\_

CHP Officer: I.D. # \_\_\_\_\_ CHP Report # \_\_\_\_\_

	STATE	CONSULTANT	CONTRACTOR	PUBLIC
FATAL				
SERIOUS				

Name of Hospital: \_\_\_\_\_

**Description (facts only-use additional sheet if necessary)**

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

**MAJOR CONSTRUCTION INCIDENT NOTIFICATION**  
**URGENT - DELIVER IMMEDIATELY**

**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.



## INSTRUCTIONS

Use this *fax report form* to report any fatal or serious accident or any accident with the potential to be fatal or disabling. The "Person Preparing Report" is to FAX the information to the Headquarters Office of Safety and Health, the Construction Program, and the district construction safety coordinator. Fax an Initial Report immediately, even if information is minimal. The *Initial Report* is intended to notify management as-soon-as possible. An *Updated Report* may be used to provide supplementary information when deemed necessary. Follow district procedure for notifying personnel within the district.

### INCIDENTS TO BE REPORTED USING THIS FAX REPORT FORM (no cover sheet)

- Incidents involving death or serious injury to a state or a consultant employee or resulting in the death of a contractor's employee. Telephone in notice of the incident, in advance of the fax when possible:
  1. Phone HQ - Office of Safety & Health @ 916-227-2640
  2. Phone HQ - Construction Program Manager/Safety Coordinator @ 916-654-2157/916-654-4580
  3. Phone District Construction Management/Safety Coordinator @ \_\_\_\_\_
- Incidents resulting in serious injury to a contractor's employee
- Incidents involving serious damage to equipment owned by the state, consultants or the contractor.
- Incidents resulting in the serious injury or death of a member of the public within the construction zone, or influenced in any manner by construction-related activities, conditions, equipment or personnel.
- All catastrophic type of incidents or incidents receiving wide media coverage.
- Incidents which may result in a significant delay to the traveling public.
- Incidents with no injuries, but with a high potential for being fatal or disabling include, but are not limited to: false-work or guying system failures, overturned cranes, high-voltage contacts, trench excavation or shoring failures, gas or fuel line fire or explosions, hazardous utilities breaks, and collisions with structures under construction or their supporting false-work that cause displacement of a major member.

### A SERIOUS INJURY IS ANY INJURY MEETING ONE OF THE FOLLOWING CRITERIA:

- The injured person misses three days or more of work (submit report if deemed possible).
- Two or more employees miss more than one day of work (submit report if deemed possible).
- Any injury resulting in hospital admission other than for medical observation. If the medical condition of the victim is unknown, but the victim was transported by ambulance then the injury should be considered as serious until more information becomes available.

### REQUIRED CONTENT OF FAX REPORT FORM

- Contact information about person preparing report (name, and phone number).
- Contract identification (contract number, any federal project number, county, route, and kilo-post limits, resident engineer, and the prime contractor).
- Basic incident information (date, time, specific location, and prevailing weather conditions). This should be in sufficient detail to enable the Construction Program to obtain the California Highway Patrol's or local police report if necessary.
- Names of the persons involved in the incident and their affiliation with the contract (contractor, consultant, state employee, or private citizen).
- Description of the incident and how it occurred (**facts only**).
- Identification of other agencies making an investigation, and the names, badge numbers and report numbers when this information is available.

**The resident engineer should take sufficient photographs or videotapes to document the conditions that existed at the time of the incident, including all signing and traffic control features that may have been in effect at the time of the accident. Depending on district policy and the nature and severity of the accident, additional documentation may be required. The construction safety coordinator should be consulted for additional information in such cases.**

**DOCUMENTS BOND OF STATE HIGHWAY OVERSIGHT PROJECTS**

CEM-1101 (NEW 02/2004)

(To Accompany the Permit)  
Streets and Highways Code Section 678

PRINCIPAL		BOND NUMBER	BOND'S EFFECTIVE DATE	PERMIT NUMBER
<b>LOCATION</b>	DISTRICT	COUNTY	ROUTE	KP/PM
PROJECTS NAME			PROJECT'S E.A. NUMBER	
DISTRICT PROJECT MANAGER		PROJECT MANAGER'S MAILING ADDRESS		BUSINESS PHONE NUMBER

(PLEASE FILL OUT THE FORM)

**Know All Persons By These Presents:**That \_\_\_\_\_, as **PRINCIPAL**, and \_\_\_\_\_a surety company qualified and duly licensed to do business in the State of California, as **SURETY**, are held and firmly bound to the**STATE OF CALIFORNIA**, as **OBLIGEE**, in the sum of: **TWENTY THOUSAND dollars (\$20,000.00)**, lawful money of the UnitedStates of America, to be paid to the **OBLIGEE**, for which payment, we bind ourselves, our heirs, executors, administrators, successors,

and assigns, jointly and severally, to those persons referred to in item #4.

**THAT THE CONDITION OF THIS OBLIGATION IS SUCH,**

1. That whereas **PRINCIPAL** has made, or is about to make a submittal to the State of California for an oversight project, to be constructed under an encroachment permit, in accordance with Article 2, Chapter 3, Division 1 of the Streets and Highways Code to place, change or renew an encroachment in, under or over any portion of a state highway. A bond payable to the State of California is a required condition of the Streets and Highways Code Section 678. Therefore, this bond is executed and tendered in accordance with the Streets and Highways Code.
2. This bond shall be subject to all the previously mentioned terms and provisions of the Streets and Highways Code.
3. That if the **PRINCIPAL** shall fail to faithfully provide all final documentation as required in item #9, then the **SURETY** herein shall pay for the production of these documents by others.
4. No right of action shall accrue under this bond to or for the use of any person or entity other than the State of California.
5. That this bond shall be deemed continuous in form, remain in full force and effect, until notice is given to the **SURETY** by the Department of Transportation. The notice shall include that the **PRINCIPAL** has fulfilled their obligations and provided the Department of Transportation with all the required documents listed in item #9.
6. The **SURETY** shall give at least thirty (30) days written notice of the termination, cancellation or material change of the policy. Such notices shall be sent to the Department of Transportation's district project manager as listed in the heading. The notice shall include the permit number and the projects EA number, location, county, route, and kilometer post (KP) or post mile (PM).
7. That the **SURETY** shall bear no liability on this bond in the event the encroachment permit issued to the **PRINCIPAL** is cancelled or withdrawn prior to commencement of work on state property by the **PRINCIPAL**.
8. This bond is executed to comply with the provisions of Chapter 3, Division 1 of the Streets and Highways Code and of Chapter 2, Title 14, Part 2 of the Code of Civil Procedure, and said bond shall be subject to all of the terms and provisions thereof.

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**DOCUMENTS BOND OF STATE HIGHWAY OVERSIGHT PROJECTS**

CEM-1101 (NEW 02/2004)

9. That the following checklist of documents is prepared in accordance with all appropriate Department of Transportation manuals, plans and specifications, encroachment permits, and project cooperative agreements. The completed documents are required upon completion of the project and are subject to the approval of the Department of Transportation's State Representative.

<b>AS-BUILT PLANS PER COOPERATIVE AGREEMENT AND ENCROACHMENT PERMITS</b> <input type="checkbox"/>		
<b>PROJECTS WITH STRUCTURES</b> <input type="checkbox"/>		
Red Marked As-Built for Structures <input type="checkbox"/> Final As-Built for Structures <input type="checkbox"/> Shop Drawings On Microfilm <input type="checkbox"/> Joint Movement Calculations for Structures <input type="checkbox"/> DSD-D0129 <input type="checkbox"/> Structure Construction Records _____ Other Structure Construction Records _____	Structures AS-Built Route Slip <input type="checkbox"/> Report Of Completion For Structures <input type="checkbox"/> DS-OS C3 <input type="checkbox"/>	Driven Pile Records for Structures DC-C78 <input type="checkbox"/> DH-OS C79 <input type="checkbox"/> DH-OS C80 <input type="checkbox"/> Paint Records for Structures DH-OS M5 <input type="checkbox"/> DH-OS M11 <input type="checkbox"/> DH-OS M8 <input type="checkbox"/> DH-OS M78 <input type="checkbox"/>
<b>SURVEY AND RIGHT-OF-WAY DOCUMENTS</b> <input type="checkbox"/>		
Title Insurance Policy <input type="checkbox"/>		
<b>WARRANTIES</b> <input type="checkbox"/>	<b>MAINTENANCE AGREEMENTS</b> <input type="checkbox"/>	
<b>FEDERAL-AID PROJECTS</b> <input type="checkbox"/>		
Final Inspection of Federal Aid Project FHWA 1446C <input type="checkbox"/> Final Inspection Form 17-C LAPM <input type="checkbox"/> Material Certification FHWA-47M <input type="checkbox"/> Contractor's Written Statement of Claims <input type="checkbox"/> Final Report CEM-2402F (Utilization of DBE) <input type="checkbox"/> List of Contract Change Orders <input type="checkbox"/>	FHWA 47 <input type="checkbox"/> Final Report of Expenditures 17-M LAPM <input type="checkbox"/> Last Statement of Working Days <input type="checkbox"/> List of Time Extensions <input type="checkbox"/> Mitigation Monitoring Reporting Records <input type="checkbox"/>	

10. The documents listed above shall be submitted to the Department of Transportation's State Representative within  30  90  180 days of completing the project.

<b>PRINCIPAL</b>		DATE
BUSINESS ADDRESS OF <b>PRINCIPAL</b>		BUSINESS PHONE
CITY	STATE	ZIP CODE
PRINT OR TYPE NAME OF AUTHORIZED SIGNATURE AND TITLE		AUTHORIZED SIGNATURE AND TITLE
<b>NAME OF SURETY</b>		DATE
BUSINESS ADDRESS OF <b>SURETY</b>		BUSINESS PHONE
CITY	STATE	ZIP CODE
I certify (or declare) under penalty of perjury that I have executed the foregoing bond under an unrevoked power of attorney, executed on _____, in _____, _____, under the laws of the State of California.		
PRINT OR TYPE NAME OF ATTORNEY-IN-FACT FOR <b>SURETY</b>		SIGNATURE OF ATTORNEY-IN-FACT FOR <b>SURETY</b>



			REQUEST NUMBER		
CONTRACTOR NAME			COUNTY		ROUTE
BUSINESS ADDRESS			CONTRACT NO.		
CITY/STATE		ZIP CODE	FEDERAL AID PROJECT NO. <i>(From Special Provisions)</i>		

SUBCONTRACTOR <i>(Name, Business Address, Phone)</i>	BID ITEM NUMBER(S)	% OF BID ITEM SUBBED	CHECK IF: <i>(See Categories Below)</i>			DESCRIBE WORK WHEN LESS THAN 100% OF WORK IS SUBBED	\$ AMOUNT BASED ON BID \$ AMOUNT
			(1)	(2)	(3)		

**Categories:**                      1) Speciality                      2) Listed Under Fair Practices Act                      3) Certified DBE/DVBE

**I Certify That:**

- The Standard Provisions for labor set forth 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 subcontracts and will be incorporated in any lower-tier 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

1.	Total of bid items .....	\$	
2.	Speciality items (previously requested).....	\$	
3.	Speciality items (this request).....	\$	
4.	Total (lines 2+3).....	\$	
5.	Contractor must perform with own forces (lines 1 minus 4) .....	%	\$
x	.....	\$	
6.	Bid items previously subcontracted .....	\$	
7.	Bid items subcontracted (this request) .....	\$	\$
8.	Total (lines 6+7) .....	\$	
9.	Balance of work Contractor to perform (lines 1 minus 8) .....		

<b>APPROVED</b>	
RESIDENT ENGINEER'S SIGNATURE	DATE

**COPY DISTRIBUTION:**      **Original** - Contractor      **Green** - Resident Engineer      **Canary** - Dist. Const Office/Labor Compliance Officer  
    **Pink** - HQ Construction Program      **Goldenrod** - Contractor's Information Copy

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**INSTRUCTIONS FOR COMPLETING SUBCONTRACTING REQUEST FORM**

***All First-tier subcontractors must be included on a subcontracting request.***

Submit in accordance with Sections 8-1.01 of the Standard Specifications. Type or print requested information. Information copy (goldenrod) is to be retained by the contractor. Submit other copies to the project's Resident Engineer. After approval, the original will be returned to the contractor.

When an entire item is subcontracted, the value to be shown is the contractor's bid price.

When a portion of an item is subcontracted, describe the portion, and show the % of bid item and value.

**THIS FORM IS NOT TO BE USED FOR SUBSTITUTIONS.**

Prior submittal of a CP-CEM-1201 involving a replacement Subcontractor, submit a separate written request for approval to substitute a listed subcontractor. Section 4107 of the Government Code covers the conditions for substitution.

Submit a separate written request for approval of any DBE/DVBE substitution. Include appropriate backup information and state what efforts were made to accomplish the same dollar value of work by other certified DBE/DVBEs.

**NOTE:** For contractors who will be performing work on railroad property, it is necessary for the contractor to complete and submit the Certificate of Insurance (State Form DH-OS-A10A) naming the subcontractor as insured. ***No work will be allowed which involves encroachment on railroad property until the specified insurance has been approved.***

**NATIONAL POLLUTION DISCHARGE ELIMINATION SYSTEM ANNUAL CERTIFICATION**

CEM-2001 (NEW 9/95)

RESIDENT ENGINEER NAME		CALTRANS CONTRACT NO.
PROPOSED STARTING DATE	PROPOSED COMPLETION DATE	COUNTRY, ROUTE, POST MILES
WORK DESCRIPTION		

*I certify under penalty of law that this document was prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.*

CONTRACTOR SIGNATURE

DATE

THIS CERTIFICATION COMPLIES WITH THE REQUIREMENTS OF THE STATEWIDE NATIONAL POLLUTION DISCHARGE ELIMINATION SYSTEM PERMIT NO. CAS000002, ORDER NO. 92-08-DWQ FOR CONSTRUCTION.

**APPROVAL**

RESIDENT ENGINEER'S SIGNATURE

DATE

**Note to Resident Engineer:**

If you cannot certify compliance, notify the appropriate Regional Water Board. Identify the type of non-compliance and the action necessary to achieve compliance. Include a time schedule for achieving compliance. This notification must be made within 30 days.

**ADA Notice**

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**NOTIFICATION OF CONSTRUCTION**

CEM-2002 (NEW 4/10/2000)

IN COMPLIANCE WITH CALTRANS STATEWIDE NPDES STORM WATER PERMIT Order No. 99-06 DWQ, NPDES No. CAS000003

**I. IDENTIFICATION - Attach Vicinity Map, 1/2 size copy of Title Sheet**

PROJECT		CHECK ONE: <input type="checkbox"/> First Submittal or <input type="checkbox"/> Amendment No.		CONTRACT NUMBER EA	DATE MM/DD/YYYY
CITY (if applicable)	COUNTY	TENTATIVE START DATE		TENTATIVE END DATE	
ROUTE	POST MILE	KILOMETER POST	TENTATIVE DATE SWPPP AVAILABLE		

**II. CALIFORNIA REGIONAL WATER QUALITY CONTROL BOARDS**

- |  |   |   |   |
|--|---|---|---|
| <input type="checkbox"/> Region 1, North Coast       | <input type="checkbox"/> Region 5, Central Valley | <input type="checkbox"/> Region 6, Lahontan | <input type="checkbox"/> Region 7, Colorado River |
| <input type="checkbox"/> Region 2, San Francisco Bay | <input type="checkbox"/> Sacramento               | <input type="checkbox"/> South Lake Tahoe   | <input type="checkbox"/> Region 8, Santa Ana      |
| <input type="checkbox"/> Region 3, Central Coast     | <input type="checkbox"/> Fresno                   | <input type="checkbox"/> Victorville        | <input type="checkbox"/> Region 9, San Diego      |
| <input type="checkbox"/> Region 4, Los Angeles       | <input type="checkbox"/> Redding                  |   |   |

**III. CALTRANS DISTRICT**

NAME/NUMBER	PROJECT CONTACT
ADDRESS	POSITION TITLE
CITY	PHONE

**IV. CONSTRUCTION FIELD OFFICE - Attach Location Map**

STREET ADDRESS			CONSTRUCTION CONTACT
PHYSICAL LOCATION IF DIFFERENT THAN ADDRESS ABOVE			POSITION TITLE
CITY	STATE	ZIP	PHONE

**V. CONSTRUCTION SITE INFORMATION**

DESCRIPTION AND TYPE OF WORK

ADDITIONAL RELATED REQUIRED APPROVALS:  DTSC Variance  CWA 404/401  DFG 1601  NPDES/WDRs  OTHER  
DESCRIBE:

TOTAL CONSTRUCTION AREA:	ACRES	HECTARES	TOTAL DISTURBED AREA:	ACRES	HECTARES
RECEIVING WATER NAME:			PROJECT IN OR ADJACENT TO RECEIVING WATER? <input type="checkbox"/> YES		
PROJECT DISCHARGES TO?	<input type="checkbox"/> GROUNDWATER INFILTRATION	BASIN LOCATION:	MUNICIPAL/OTHER SYSTEM NAME:		

**VI. CERTIFICATION**

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or to those persons directly responsible for gathering the information, the information submitted is true, accurate and belief. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment of knowing violations.

SIGNATURE	DATE
PRINT/TYPE NAME	TITLE

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**NOTIFICATION OF CONSTRUCTION (NOC) INSTRUCTIONS**

CEM-2002 (NEW 4/10/2000)

## CALTRANS STATEWIDE NPDES PERMIT Order No. 99-06 DWQ, NPDES CAS000003

The Permit requires that a Notification of Construction (NOC) for construction projects covered by the Permit be submitted to the appropriate Regional Water Quality Control Board (RWQCB) at least 30 days prior to the start of construction. In some cases, the RWQCB may view two or more smaller projects in the same corridor as part of a larger common plan of development. The Project Manager should be aware of other projects in the corridor. If needed, these projects should be mentioned in section V. Construction Site Information.

Typically, most of the information on the form is completed by the District Storm Water Coordinator, Environmental staff, Project Manager or Project Engineer. That individual also submits the NOC to the appropriate RWQCB(s) at the same time the PS&E package is transmitted to the Office Engineer. No fees are to be submitted to the RWQCBs. A copy should also be transmitted to the District Construction Division.

At the time of the first submittal to the RWQCB, the District may elect to leave blank the information in Section IV. Construction Field Office and resubmit a copy of the form with that information filled in at the time the Resident Engineer (RE) is assigned. Alternately, the District may wish to fill in a contact name of someone other than the RE, such as the Area Senior Construction Engineer or Project Manager, who will remain the contact for that project until the NOC is resubmitted with the new contact information, or until the Notice of Completion of Construction (NCC) is filed.

The form may be filled in electronically or by printing legibly.

**I. IDENTIFICATION.** Provide a brief project descriptive name, a "nickname." When the NOC is first submitted to the RWQCB, check the First Submittal box. For subsequent changes of information, including contact information, enter the amendment number.

Enter the Contract Number. Use the construction phase EA.

Enter the date that the NOC is first submitted to the Regional Water Quality Control Board (RWQCB), or date of subsequent submittals.

Provide a "to scale" or "to approximate scale" drawing of the construction site and the immediate surrounding area. Limit the map to an 8.5" x 11" or 11" x 17" size. At a minimum, the map must show the site perimeter, the geographic features surrounding the site, general topography, and location of the construction project in relation to surface waters and named streets, roads, intersections, or landmarks. Do not submit a drawing unless it meets the above size limits.

Enter the city, if applicable, or N/A if not within city limits. Enter the county or counties, route number, post mile and kilometer post. Also enter the tentative start and end dates.

Enter a tentative date the Storm Water Pollution Prevention Plan (SWPPP) will be available.



## CALTRANS STATEWIDE NPDES PERMIT Order No. 99-06 DWQ, NPDES CAS000003

### II. CALIFORNIA REGIONAL WATER QUALITY CONTROL BOARD(S).

Check the box of the RWQCB(s) that has jurisdiction over the area that the project is in.

**III. CALTRANS DISTRICT.** Enter the name and address of the Caltrans District individual responsible for submittal of the NOC to the RWQCB. Typically that individual is the Project Engineer, Project Manager, the District Storm Water Coordinator, or Environmental Program staff.

**IV. CONSTRUCTION FIELD OFFICE.** Enter Caltrans field office information, if known, and Construction Contact person information. As discussed above, the District may elect to use the contact information for the RE after the project has been assigned, or another individual, such as the Area Senior or Project Manager. If the Construction Contact information changes, then the District should resubmit a revised form to the RWQCB(s). Provide the physical address of the field office, or a description of the physical location of the field office if no physical address is available and a location map.

**V. CONSTRUCTION SITE INFORMATION.** Provide a brief narrative description of the work. You can attach a checklist of permanent and/or temporary BMPs if needed, or required by a RWQCB. A checklist of construction BMPs can also be attached later as an amendment after the SWPPP is completed.

Check the box or boxes to indicate any additional required approvals, permits or certifications. Some examples are: variance from the Department of Toxics Substances Control (DTSC) for reuse of soil containing lead, dredge or fill operations requiring Army Corps of Engineers 404 certification and/or Clean Water Act 401 certification, streambed alteration requiring Department of Fish and Game 1601 permit and non-storm water discharges requiring separate waste discharge requirements. Describe the condition and whether the approval, permit or certification has been issued. If the project involves soils subject to the DTSC variance, notify the appropriate RWQCB(s) to determine if separate waste discharge requirements must be issued. The RWQCBs have up to 120 days to issue waste discharge requirements, so the RWQCBs should be notified early in the process.

Indicate the total size in acres and hectares, of the construction project. Also indicate the size of the disturbed soil area. Disturbed soil area is defined in the Storm Water Management Plan as "areas of exposed, erodible soil, including stockpiles, that are within the construction limits and that result from construction activities."

Identify the name of the surface receiving water body for the storm water discharge. Indicate whether the project is in or immediately adjacent to the receiving water. If the storm water is infiltrated, check the box for infiltration basin, and identify the basin's location. If the discharge is to a separate storm sewer system, such as a collection system operated by a municipality, flood control district, utility, or similar entity, check the box for municipal/other system and the name of the system owner.

**VI. CERTIFICATIONS.** The permit requires that all reports and information requested by the SWRCB or RWQCBs be signed by an Executive Officer, Executive Director or a duly authorized representative if the authorization is made in writing. If signature authority is delegated to staff, a copy of that delegation letter should be sent to the Storm Water Manager at Headquarters.



**NOTICE OF COMPLETION OF CONSTRUCTION**

CEM-2003 (NEW 4/12/2000)

IN COMPLIANCE WITH CALTRANS STATEWIDE NPDES STORM WATER PERMIT Order No. 99-06 DWQ, NPDES No. CAS000003

**I. IDENTIFICATION**

PROJECT		CONTRACT NUMBER EA		DATE MM/DD/YYYY	
CITY (if applicable)	COUNTY	ROUTE	KILOMETER POST / POST MILE (S)	START DATE	END DATE

**II. CALIFORNIA REGIONAL WATER QUALITY CONTROL BOARDS**

- |  |   |   |   |
|--|---|---|---|
| <input type="checkbox"/> Region 1, North Coast       | <input type="checkbox"/> Region 5, Central Valley | <input type="checkbox"/> Region 6, Lahontan | <input type="checkbox"/> Region 7, Colorado River |
| <input type="checkbox"/> Region 2, San Francisco Bay | <input type="checkbox"/> Sacramento               | <input type="checkbox"/> South Lake Tahoe   | <input type="checkbox"/> Region 8, Santa Ana      |
| <input type="checkbox"/> Region 3, Central Coast     | <input type="checkbox"/> Fresno                   | <input type="checkbox"/> Victorville        | <input type="checkbox"/> Region 9, San Diego      |
| <input type="checkbox"/> Region 4, Los Angeles       | <input type="checkbox"/> Redding                  |   |   |

**III. CALTRANS DISTRICT**

NAME/NUMBER		PROJECT CONTACT
ADDRESS		POSITION TITLE
CITY	ZIP	PHONE

**IV. BASIS OF COMPLETION**

- 1. The construction job is complete and requirements met as of **Date:** \_\_\_\_\_
- 2. Construction activities have been suspended, as of **Date:** \_\_\_\_\_ **Expected Start Up Date:** \_\_\_\_\_
- 3. Site can not discharge storm water to waters of the United States **Reason:** \_\_\_\_\_
- 4. Discharge is now subject to NPDES Permit **No.** \_\_\_\_\_ **Date:** \_\_\_\_\_

**V. DESCRIPTION OF COMPLETION (Attach site photographs)**

**VI. CERTIFICATION**

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or to those persons directly responsible for gathering the information, the information submitted is true, accurate, and complete to the best of my knowledge and belief. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment of knowing violations.

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
PRINT/TYPE NAME

\_\_\_\_\_  
DATE

\_\_\_\_\_  
TITLE

**ADA Notice** For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 263-2041 or TDD (916) 263-2044 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.



## NOTICE OF COMPLETION OF CONSTRUCTION (NCC) INSTRUCTIONS

CEM-2003 (NEW 4/12/2000)

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### CALTRANS STATEWIDE NPDES PERMIT Order No. 99-06 DWQ, NPDES CAS000003

I. IDENTIFICATION. The project name, contract number, city, county, route, kilometer post and post mile information should be identical to that on the Notification of Construction form. Enter the date the Completion of Construction (NCC) is submitted to the Regional Water Quality Control Boards (RWQCB) and the start and end dates of construction.

II. CALIFORNIA REGIONAL WATER QUALITY CONTROL BOARDS. Check the box next to the appropriate RWQCB(s).

III. CALTRANS DISTRICT. Provide the Caltrans District information and the name, title and phone of the construction contact, which by District policy may be the Resident Engineer (RE), the Area Senior, the Program Manager, National Pollution Discharge Elimination System (NPDES) Coordinator or other responsible staff. The contact should be someone who can address RWQCB staff questions about project storm water controls or who can refer a RWQCB staff to a someone who can.

IV. BASIS OF COMPLETION. Check one of the boxes:

1. The construction project has been completed and

- all elements of the Storm Water Pollution Prevention Plan (SWPPP) have been completed;
- construction materials and equipment maintenance waste have been disposed of properly;
- final stabilization requirements have been met, i.e., when all soil disturbing activities are completed and either:
  - a. a uniform vegetative cover with 70 percent coverage has been established or
  - b. equivalent stabilization measures have been employed. (i.e., erosion resistant soil coverings or treatments).  
Caltrans projects typically include erosion control on all disturbed areas, which is considered to be equivalent stabilization.
- the post-construction storm water operation and management plan is in place.

2. Construction activities have been suspended, either temporarily or indefinitely and

- all elements of the SWPPP have been completed;
- construction materials and equipment maintenance waste have been disposed of properly;
- all denuded areas and other areas of potential erosion are stabilized;
- an operation and maintenance plan for erosion and sediment control is in place;
- the date construction activities were suspended, and the expected start up date

3. The construction site can not discharge storm water to waters of the United States. Indicate how prevention of all discharge is ensured, and if all storm water is retained on site or collected offsite.

4. The discharge of construction storm water from the site is now subject to another NPDES general permit or an individual NPDES permit. The general permit or individual permit NPDES number and the date coverage began should be provided.

V. DESCRIPTION OF COMPLETION

Briefly describe how the completion requirements have been met. Attach site photographs.

VI. CERTIFICATION

The permit requires information submitted be signed by the District Director or a duly authorized representative. If the District Director elects to delegate signature authority, the District must first have submitted the list of authorized representatives to the appropriate RWQCB.



STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**SOLID WASTE DISPOSAL AND RECYCLING REPORT**  
 CEM-2025 (NEW 12/2003)

**ADA Notice**  
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Project Name: \_\_\_\_\_ Type of Work: \_\_\_\_\_

Contract Number: \_\_\_\_\_ Co./Rte/PM \_\_\_\_\_ Reporting period (month and year): \_\_\_\_\_ to \_\_\_\_\_  
 from \_\_\_\_\_ Phone Number \_\_\_\_\_ FAX Number \_\_\_\_\_

Contractor Name: \_\_\_\_\_ City, State, Zip \_\_\_\_\_

Street Address: \_\_\_\_\_

Preparer's Name (Please Print) \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**\*NOTE: Earth and rock material shall not be reported as either waste material diverted from or disposed to landfills.**

Name and location of Recycling or Disposal Facility	Type of material Enter letter as follows: A=Asphalt C=Concrete M=Metal D=Mixed Debris W=Wood/cleared vegetation O=Other [described] <b>* See Note above</b>	Type of activity Enter number as follows: 1=Source-Separated Materials Recycling 2=On-Site Reuse 3=Mixed Debris Recycling 4=Reuse of salvageable items 5=Disposal at landfill or Transfer Station 6=Other [described]	Amount of material taken to landfills quantity (tonne or M <sup>3</sup> )	Amount of material diverted from landfills quantity (tonne or M <sup>3</sup> )

I certify under penalty of perjury that the information provided above is complete and accurate.

CONTRACTOR SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

The information provided by the contractor has been reviewed.

RESIDENT ENGINEER SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_



STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**SOLID WASTE DISPOSAL AND RECYCLING REPORT**  
 CEM-2025 (NEW 12/2003)

<u>FIELD</u>	<u>INSTRUCTIONS</u>
Project Name	Description of the project
Type of Work	General work description (Example: demolition, AC grinding)
Contract Number	District - Expenditure Authorization
Co/Rte/PM	County/Route/Post Mile
Reporting Period (month and year): From and To	Start and end dates of the reporting quarter
Contractor Name	Contractor's full name
Street Address, City, State, Zip	Contractor's street address, including city, state and zip code
Phone and Fax	Contractor's telephone and fax number
Preparer's Signature	Signature of the person who completed the report
Date Completed	Date the form was completed
Name and Location of Recycling or Disposal Facility	Full name and address of recycling or disposal facility
Type of Material	Enter one of the following code letters: A = Asphalt C = Concrete M = Metal D = Mixed Debris W = Wood or cleared vegetation O = Other (please describe)
Type of Activity	Enter one of the following activity numbers: 1 = Source-Separated Materials Recycling 2 = On-site reuse 3 = Mixed debris recycling 4 = Reuse of salvageable items 5 = Disposal at Landfill or Transfer Station 6 = Other (please describe)
Amount of Material taken to Landfills	Include all material disposed of that has not been recycled, reused, etc. Quantity shall be reported in tonne or cubic meters.
Amount of Material Diverted from Landfills	Quantity shall be reported in tonne or cubic meters. If scales are available, report tonne.
Contractors Certification	The contractors must sign and date the form attesting that all the information provided is complete and accurate.
Resident Engineer	Resident engineer will sign and date that the information provided by the contractor has been reviewed, not certified.



(JOB STAMP)

DATE \_\_\_\_\_

DAILY REPORT NUMBER \* DISTRICT \_\_\_\_\_ EA \_\_\_\_\_ **4** SPECIAL DESIGNATION - **COZEEP**  
 Object Code: **042**

**PROJECT LOCATION/DESCRIPTION**

COUNTY \_\_\_\_\_ ROUTE \_\_\_\_\_ POST MILE \_\_\_\_\_  
 DESCRIPTION OF WORK \_\_\_\_\_

<b>OFFICER/SERGEANT/VEHICLE INFORMATION</b>		CHP DIVISION/AREA CODE _____			
		CHP SPECIAL PROJECT CODE _____			
<b>CHP</b>	<i>(Please Print)</i>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
	MEMBER NAME				
	ID NUMBER				
	CHP Office				
	RANK				
	VEHICLE NUMBER				
	ENDING TIME**				
	STARTING TIME				
	TOTAL TIME**				
	ENDING MILEAGE**				
	STARTING MILEAGE				
	TOTAL MILEAGE**				
INITIALS <i>(end of shift)</i>					

**CALTRANS INFORMATION**

NAME AND TITLE <i>(print)</i>	RESIDENT ENGINEER'S NAME <i>(print)</i>	COST CENTER
SIGNATURE <i>(End of Shift)</i>	PHONE	FIELD OFFICE

\* Use District Expenditure Authorization (EA) as the Daily Report Number.  
 \*\* These figures are estimates and may be increased or decreased in accordance with the terms of the contract.

WHITE - CHP Officer                      YELLOW - Resident Engineer (Project Files)                      PINK - District COZEEP Coordinator

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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**COZEEP/MAZEEP TASK ORDER**  
 CEM-2102 (REV 10/2003)

DIST/EA	DATE OF REQUEST	CONTRACT NUMBER
---------	-----------------	-----------------

This task order is entered into pursuant to the provisions of the Interagency Agreement No. \_\_\_\_\_ for the period of July 1, --- to June 30, ---, between Caltrans and the California Highway Patrol (CHP).

1. Project Description and Location (include the county, route, and post mile)

2. Type of Services Required

3. Date(s) and time(s) services are to be provided

Reporting Date \_\_\_\_\_ Reporting Date \_\_\_\_\_ Reporting Date \_\_\_\_\_

Reporting Time \_\_\_\_\_ Reporting Time \_\_\_\_\_ Reporting Time \_\_\_\_\_

\*Completion Time \_\_\_\_\_ \*Completion Time \_\_\_\_\_ \*Completion Time \_\_\_\_\_

Reporting Date \_\_\_\_\_ Reporting Date \_\_\_\_\_ Reporting Date \_\_\_\_\_

Reporting Time \_\_\_\_\_ Reporting Time \_\_\_\_\_ Reporting Time \_\_\_\_\_

\*Completion Time \_\_\_\_\_ \*Completion Time \_\_\_\_\_ \*Completion Time \_\_\_\_\_

\* Estimated

4. Project Officials

Caltrans Project Supervisor

Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone No. \_\_\_\_\_

Facsimile No. \_\_\_\_\_

CHP Coordinator (completed by CHP)

Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone No. \_\_\_\_\_

Facsimile No. \_\_\_\_\_

5. Reporting

Caltrans and CHP agree that all reporting for this job shall be accomplished through the standard COZEEP/MAZEEP Daily Report Form. Revisions, other versions, or additional forms shall not be used.

Approvals

Caltrans

California Highway Patrol

By \_\_\_\_\_  
 (Name and Title)

By \_\_\_\_\_  
 (Name, ID # and Title)

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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**COZEEP/MAZEEP CANCELLATION FORM**  
 CEM-2103 (NEW 10/2003)

FIRST CANCELLATION

Resident Engineer's Name:			Phone Number:		
Project EA			Scheduled Work Date and Time		
Cancellation Notice Issued By (name of Caltrans Employee)			Signature:		
Officer's Name	Officer's ID	When Notified	No Charge	\$50	4 Hours
Person Receiving Notification (Print Name/ID#):			Signature		
Date and Time Notification RECEIVED BY CHP					

SECOND CANCELLATION

Resident Engineer's Name:			Phone Number:		
Project EA			Date and Time Notification Issued		
Cancellation Notice Issued By (name of Caltrans Employee)			Signature:		
Officer's Name	Officer's ID	When Notified	No Charge	\$50	4 Hours
Person Receiving Notification (Print Name/ID#):			Signature		
Date and Time Notification RECEIVED BY CHP					

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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**SUBSTITUTION REPORT FOR DISADVANTAGED BUSINESS ENTERPRISE/DISABLED  
 VETERAN BUSINESS ENTERPRISE**

CEM-2401 (REV 3/1999) CT# 7541-3507-3

**INSTRUCTIONS**

- Contract Number** Example: 01-234567
- State Funded/Federal Aid** Check one only.
- Approval** Resident Engineer can approve if:  
 One DB is to be substituted for another DB if the same items of work are involved or, if different items, the dollar value is equal to or greater than the original proposal; the new DB is certified.
- Good Faith Effort** DDD or his/her designee must approve if:  
 A good faith effort was made to substitute listed subcontractor, but proposed subcontractor is not certified as DBE.
- Date** Date of approval by Resident Engineer/Deputy District Director.
- Listed/Proposed Subcontractor** Indicate name of subcontractors involved. Check one box only, as applicable.
- Item Number** From Special Provisions.
- Work Description** Corresponds to Item #, Special Provisions. List only items or partial items of work allocated to subcontractor being removed.
- Dollar** Dollar amount of work completed by previously approved contractor, and dollar amount of remaining work. (If a portion of the work has been done, explain in the remarks section or on attachment.)
- Reasons for Substitution** Check appropriate box.



**FINAL REPORT - UTILIZATION OF DISADVANTAGED BUSINESS ENTERPRISES (DBE), FIRST-TIER SUBCONTRACTORS**

CEM-2402F (REV. 10/1999) CT# 7541-3502-2

The form requires specific information regarding the construction project: Contract Number, County, Route, Post Miles/ Post Kilometers, a box to check that the project is indeed a Federal Aid Project, the Administering Agency (Caltrans), the Contract Completion Date and the Estimated Contract Amount. It requires the prime contractor name and business address. The focus of the form is to describe who did what by contract item numbers and descriptions, asking for specific dollar values of item work completed broken down by subcontractors who performed the work, both DBE and non-DBE work forces. DBE prime contractor's are required to show the date of work performed by their own forces along with the corresponding dollar value of work.

The form has a column to enter the Contract Item No. (or Item No's) and description of work performed or materials provided, as well as a column for the subcontractor name and business address. For those firms who are DBE, there is a column to enter their DBE Certification Number. The DBE should provide their certification number to the contractor and notify the contractor in writing with the date of the decertification if their status should change during the course of the project.

The form has five columns for the dollar value to be entered for the item work performed by the subcontractor.

The Non-DBE column is used to enter the dollar value of work performed for firms who are not certified DBE.

The decision of which column to be used for entering the DBE dollar value is based on what program(s) the firm is certified. This Program status is determined by the Civil Rights Certification Unit based on ethnicity, gender, ownership and control issues at time of certification. The certified firm is issued a certificate by the Civil Rights Unit that states their program status as well as the firms expiration date. DBE Program status may be obtained by accessing the civil rights website (<http://www.dot.ca.gov/hq/bep/>) and downloading the Calcert Extract or by calling (916) 227-2207. Based on this DBE Program status, the following table depicts which column to be used:

<b>DBE Program Status</b>	<b>Column to be used</b>
If program status shows DBE only with no other programs listed.	DBE
If program status shows DBE, SMBE	DBE Minority
If program status shows DBE, SMBE, SWBE	DBE (Minority Women)
If program status shows DBE, SWBE	DBE (Non-Minority Women)

If a contractor performing work as a DBE on the project becomes decertified and still performs work after their decertification date, enter the total value performed by this contractor on Form 2402(F) under the appropriate DBE Program Status (include all work performed after decertification) and complete and submit Form CEM-2403 (F) as appropriate. Any comments to be made on the Form CEM-2403(F) is being submitted.

If a contractor performing work as a Non-DBE on the project becomes certified as a DBE enter the dollar value of all work performed as a DBE on CEM-2402(F) and CEM-2403(F). Any comments to be made on the form 2402(F) are to be explained on the reverse side of the form. Indicate in the Comments section that Form CEM-2403(F) is being submitted.

There is a space provided on the CEM-2402(F) where TOTAL is entered for these five columns.

There is a column on the CEM-2402(F) to enter the Date Work Complete as well as a column to enter the Date of Final Payment, which is an indicator of when the prime contractor made the "final payment" to the subcontractor for the portion of work listed as being completed.

The Original Commitment area on the CEM\_2402(F) is based in information at award time of the project and is the dollar value of those subcontractors listed as being at award based on the above table.

The CEM-2402(F) has an area at the bottom where the contractor and the resident engineer sign and date that the information provided is complete and correct.



STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**FINAL REPORT - UTILIZATION OF DISABLED VETERAN BUSINESS ENTERPRISES (DVBE)**  
**STATE FUNDED PROJECTS**  
 CEM-2402S (REV. 10/1999) CT# 7541-3502-2

CONTRACT NUMBER \_\_\_\_\_ COUNTY \_\_\_\_\_ ROUTE \_\_\_\_\_ POST MILES  POST KILOMETERS  STATE FUNDED  ADMINISTERING AGENCY \_\_\_\_\_ CONTRACT COMPLETION DATE \_\_\_\_\_

PRIME CONTRACTOR \_\_\_\_\_ BUSINESS ADDRESS \_\_\_\_\_ ESTIMATED CONTRACT AMOUNT \$ \_\_\_\_\_

CONTRACT ITEM NO.	DESCRIPTION OF WORK PERFORMED AND MATERIALS PROVIDED	SUBCONTRACTOR NAME AND BUSINESS ADDRESS	DBE CERT NO	CONTRACT PAYMENTS			COMMENTS
				DVBE (STATE-FUNDED PROJECTS ONLY)	DATE WORK COMPLETED	DATE OF FINAL PAYMENT	
ORIGINAL COMMITMENT							
TOTALS							

List all Disabled Veterans Business Enterprises (DVBE's) regardless of tier, whether or not the firms were originally listed for goal credit. If actual DVBE utilization (or item of work) was different than that approved at time of award, provide comments. List actual amount paid to each DVBE, even if different than originally listed for goal credit.

I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT

CONTRACTOR REPRESENTATIVE'S SIGNATURE \_\_\_\_\_ BUSINESS PHONE NUMBER \_\_\_\_\_ DATE \_\_\_\_\_

RESIDENT ENGINEER'S SIGNATURE \_\_\_\_\_ TO THE BEST OF MY INFORMATION AND BELIEF, THE ABOVE INFORMATION IS COMPLETE AND CORRECT \_\_\_\_\_ BUSINESS PHONE NUMBER \_\_\_\_\_ DATE \_\_\_\_\_

**COPY DISTRIBUTION:** Original - Construction Program Green - Business Enterprise Program Canary - Contractor Pink - District Construction Golden Rod - Resident Engineer  
 ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 263-2041 or TDD (916) 263-2044 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.



## **FINAL REPORT - UTILIZATION OF DISABLED VETERAN BUSINESS ENTERPRISES (DVBE) STATE FUNDED PROJECTS**

CEM-2402S (REV. 10/1999) CT# 7541-3502-2

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The form requires specific information regarding the construction project: Contract Number, County, Route, Post Miles/ Post Kilometers, a box to check that the project is indeed a State-Funded Project, the Administering Agency (Caltrans), the Contract Completion Date and the Estimated Contract Amount. It requires the prime contractor name and business address. The focus of the form is to describe by contract item numbers, descriptions of the work performed, and specific dollar values of the actual item work completed by the certified DVBE contractor(s).

The form has a column to enter the Contract Item No. (or Item No's) and description of work performed or materials provided, as well as a column for the subcontractor name and business address. There is a column to enter the DVBE Certification Number. The DVBE should provide their certification number to the contractor.

The form has a column DVBE (State-Funded Projects Only) for the dollar value to be entered for the item(s) work performed by the DVBE subcontractor as well as a column to enter the Date Work Completed. In the column Date of Final Payment, this is where the prime contractor enters the date for the "final payment" to the subcontractor for work completed.

The box addressed as "TOTAL" is where the total dollar value of the column DVBE (State Funded Projects Only) is entered.

The Original Commitment area on the CEM-2402(S) is based in information at award time of the project and is the dollar value of the DVBE subcontractors listed at award.

There is a comments section for any additional information that may need to be provided regarding any of the above transactions.

The CEM-2402(S) has an area at the bottom where the contractor and the resident engineer sign and date that the information provided is complete and correct.



**DISADVANTAGED BUSINESS ENTERPRISES (DBE)  
CERTIFICATION STATUS CHANGE**

CEM-2403(F) (NEW 10/1999)

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The top of the form requires specific information regarding the construction project: Contract Number, County, Route, Post Miles/ Post Kilometers, the Administering Agency (Caltrans), the Contract Completion Date and the Estimated Contract Amount. It requires the prime contractor name and business address. The focus of the form is to substantiate and verify the actual DBE dollar amount paid to contractors on federally funded projects that had a change in certification status during the course of the completion of the contract. The two situations that are being address by CEM 2403(F) are if a firm certified as a DBE and doing construction work on the contract during the course of the project becomes decertified, and if a non-DBE firm doing work on the contract during the course of the project becomes certified as a DBE.

The form has a column to enter the Contract Item No. (or Item No's), as well as a column for the Subcontractor name and Business Address, Business Phone and contractor's Certification Number.

The column entitled Amount Paid While Certified will be used to enter the actual dollar value of the work performed by those contractors who meet the conditions as outlined above during the time period they are certified as a DBE. This column on the CEM-2403(F) should only reflect the dollar value of work performed while the firm was certified as a DBE.

The column called Certification/Decertification Date (Letter attached) will reflect either the date of the Decertification Letter sent out by the Civil Rights or the date of the Certification Certificate mailed out by the Civil Rights. There is a box to check that support documentation is attached to the CEM-2403(F) form.

There is a comments section for any additional information that may need to be provided regarding any of the above transactions.

The CEM-2403(F) has an area at the bottom where the contractor and the resident engineer sign and date that the information provided is complete and correct.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**MONTHLY DBE TRUCKING VERIFICATION**  
 CEM-2404(F) (NEW 12/1999)

CONTRACT NO.		MONTH				YEAR	
Truck Owner	DBE Cert. No.	Company Name and Address	Truck No.	California Hwy. Patrol CA No.	Commission Or Amount Paid*	Date Paid	Lease Arrangement (✓ if applicable)
					\$		<input type="checkbox"/> Lease Agreement <input type="checkbox"/> Non-DBE <input type="checkbox"/> DBE
					\$		<input type="checkbox"/> Lease Agreement <input type="checkbox"/> Non-DBE <input type="checkbox"/> DBE
					\$		<input type="checkbox"/> Lease Agreement <input type="checkbox"/> Non-DBE <input type="checkbox"/> DBE
					\$		<input type="checkbox"/> Lease Agreement <input type="checkbox"/> Non-DBE <input type="checkbox"/> DBE
					\$		<input type="checkbox"/> Lease Agreement <input type="checkbox"/> Non-DBE <input type="checkbox"/> DBE
					\$		<input type="checkbox"/> Lease Agreement <input type="checkbox"/> Non-DBE <input type="checkbox"/> DBE
					\$		<input type="checkbox"/> Lease Agreement <input type="checkbox"/> Non-DBE <input type="checkbox"/> DBE
					\$		<input type="checkbox"/> Lease Agreement <input type="checkbox"/> Non-DBE <input type="checkbox"/> DBE
					\$		<input type="checkbox"/> Lease Agreement <input type="checkbox"/> Non-DBE <input type="checkbox"/> DBE
					\$		<input type="checkbox"/> Lease Agreement <input type="checkbox"/> Non-DBE <input type="checkbox"/> DBE
<b>TOTAL AMOUNT PAID</b>					\$		
PRIME CONTRACTOR			BUSINESS ADDRESS			BUSINESS PHONE NUMBER	

\* Upon request all Lease Agreements shall be made available, in accordance with the Special Provisions.

**I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT**

CONTRACTOR REPRESENTATIVE'S SIGNATURE \_\_\_\_\_ TITLE \_\_\_\_\_ DATE \_\_\_\_\_

CEM-2404F (NEW 12/1999) COPY DISTRIBUTION: ORIGINAL - RESIDENT ENGINEER

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## MONTHLY DBE TRUCKING VERIFICATION

CEM-2404(F) (NEW 12/1999)

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The top of Form CEM-2404(F) contains boxes to put in the Contract Number, the Month of the reporting period and the Year of the reporting period.

The Form CEM-2404(F) has a column to enter the name of the Truck Owner, the DBE Cert. No. (if DBE certified) and the Name and Address of the trucking company. The Form CEM-2404(F) also requires the Truck No. and the California Highway Patrol CA No.

Form CEM-2404(F) is to be submitted prior to the 15th of each month and must show the dollar amount paid to the DBE trucking company(s) for truck work performed by DBE certified trucks and for any fees or commissions of nonDBE trucks utilized each month on the project. The amount paid to each trucking company is to be entered in the column called "Commission or Amount Paid", in accordance with the Special Provisions Section 5-1.X.

Payment information is derived using the following:

- 1.) 100% for the trucking services provided by the DBE using trucks it owns, operates and insures.
- 2.) 100% for the trucking services provided by trucks leased from other DBE firms.
- 3.) The fee or commission paid on non-DBEs for the lease of trucks. The prime does not receive 100% credit for these services because they are not provided by a DBE company.

The total dollar figure of this column is to be placed in the box labeled "Total Amount Paid".

The column "Date Paid" requires a date that each trucking company is paid for services rendered. The next column contains information that must be completed if a lease arrangement is applicable. Located at the bottom of Form is a space to put the name of the "Prime Contractor", their "Business Address" and their "Business Phone No."

At the bottom of Form there is a space for the Contractor or designee "Contractor Representative's Signature, Title and Date" certifying that the information provided on the form is complete and correct.



**FRINGE BENEFIT STATEMENT**

CEM-2501 (REV. 8/1994)

CONTRACTOR/SUBCONTRACTOR (Please Print)	CONTRACT NUMBER	FEDERAL AID PROJECT NUMBER	DATE
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TO: RESIDENT ENGINEER/DISTRICT LABOR COMPLIANCE OFFICER	BUSINESS ADDRESS
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The following information (as shown or referenced on wage rate determinations) paid to or on behalf of employees in various crafts or classifications is used to check payrolls or applied to force account work on the above contract.

**THIS FORM MUST BE COMPLETED AND SUBMITTED WITH THE FIRST CERTIFIED PAYROLL, OR WHEN THERE HAVE BEEN ANY CHANGES.**

CLASSIFICATION	FRINGE BENEFIT HOURLY AMOUNT	NAME AND ADDRESS OF PLAN, FUND, OR PROGRAM
Effective Date _____	Vacation \$ _____	_____
_____	Health & Welfare \$ _____	
_____	Pension \$ _____	
Subsistence and/or Travel Pay: \$ _____	Apprentice \$ _____ /	
	Other \$ _____	

CLASSIFICATION	FRINGE BENEFIT HOURLY AMOUNT	NAME AND ADDRESS OF PLAN, FUND, OR PROGRAM
Effective Date _____	Vacation \$ _____	_____
_____	Health & Welfare \$ _____	
_____	Pension \$ _____	
Subsistence and/or Travel Pay: \$ _____	Apprentice \$ _____ /	
	Other \$ _____	

CLASSIFICATION	FRINGE BENEFIT HOURLY AMOUNT	NAME AND ADDRESS OF PLAN, FUND, OR PROGRAM
Effective Date _____	Vacation \$ _____	_____
_____	Health & Welfare \$ _____	
_____	Pension \$ _____	
Subsistence and/or Travel Pay: \$ _____	Apprentice \$ _____ /	
	Other \$ _____	

***I certify under penalty of perjury that fringe benefits are paid to the approved Plans, Funds, or Programs as listed above.***

NAME AND TITLE (Please Print)	
SIGNATURE	BUSINESS TELEPHONE NUMBER

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**STATEMENT OF COMPLIANCE**

CEM-2503 (REV 8/96)

CONTRACTOR/SUBCONTRACTOR	CONTRACT NUMBER
FIRST DAY AND DATE OF PAY PERIOD	LAST DAY AND DATE OF PAY PERIOD

I do hereby certify under penalty of perjury:

- (1) That I pay or supervise payment to employees of the above-referenced contractor on the above-referenced contract. All persons employed on said project for the above-referenced time period have been paid their full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said contractor from the full weekly wages earned by any person and that no deductions have been made either directly or indirectly from the full wages earned by any person other than permissible deductions.
- (2) That any payrolls otherwise under this control required to be submitted for the above period are correct and complete; that the wage rates for laborers or mechanics contained therein are not less than the applicable wages rates:
  - (a)  Specified in the applicable wage determination incorporated into the contract;
  - (b)  Determined by the Director of Industrial Relations for the county or counties in which the work is performed; that the classification set forth therein for each laborer or mechanic conform with the work he or she performed.
- (3) That any apprentices employed in the above period are duly registered in a bona fide apprenticeship program registered with a State apprenticeship agency.
- (4) That fringe benefits as listed in the contract:
  - (a)  Have been or will be paid to the approved plan(s), fund(s), or program(s) for the benefit of listed employee(s), except as noted below.
  - (b)  Have been paid directly to the listed employee(s), except as noted below.
  - (c)  See exceptions noted below.

EXCEPTION CRAFT	EXPLANATION

REMARKS:

NAME (PLEASE PRINT.)	TITLE
SIGNATURE	DATE

On federally-funded projects, permissible deductions are defined in Regulation, Part 3 (29 CFR, Subtitle A), issued by the Secretary of Labor under the Copland Act, as amended (48 Stat. 948 63 Stat. 108,72 State. 967;76 Stat 357:40 U. S. C. 276c).

Also, the willful falsification of any of the above statements may subject the contractor or subcontractor to civil or criminal prosecution (See Section 1001 of Title 18 and Section 231 of Title 31 of the United States Code).

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CEM2503



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This statement of compliance meets needs of the state and federal payroll requirements to pay fringe benefits in addition to payment of the minimum rates. The contractor's obligation to pay fringe benefits may be met by payment of the fringes to the various preapproved plans, funds, or programs or by making these payments directly to the employees as part of their weekly wage payments.

The contractor must **show on the face of his or her payroll all monies paid to the employees** whether as basic rates or total hourly wage amount in lieu of fringes. The contractor shall report in the statement of compliance that **he or she is paying to others** fringes required by the contract and not paid directly to the employees in lieu of fringes.

Detailed instructions follow:

**Contractors required to pay Federal Wage Rates:**

Such a contractor shall check paragraph 2(a) of the statement to indicate that the wage rates for laborers or mechanics contained in the payroll are not less than the applicable wage rates specified in the applicable wage determination incorporated into the contract.

**Contractors required to pay the State Prevailing Wage Rates as determined by the Director of Industrial Relations:**

Such a contractor shall check paragraph 2(b) of the statement to indicate that the wage rates for laborers or mechanics contained in the payroll are not less than the applicable wage rates determined by the Director of Industrial Relations for the county or counties in which the work is preformed.

**Contractor who pay all required fringe benefits:**

A contractor who pays fringe benefits to approved plans, funds, or programs in amounts not less than were determined in the applicable wage decisions shall continue to show on the face of his or her payroll the basic hourly rate and overtime rate paid to his or her employees, just as he or she has always done. Such a contractor shall check paragraph 4(a) of the statement to indicate that he or she is also paying approved plans, funds, or programs within the times required for the receipt of those sums, not less than the amount predetermined as fringe benefits for each craft. Any exception shall be noted in Section 4(c).

**Contractors who pay no fringe benefits:**

A contractor who does not pay fringe benefits to an approved plan shall pay a like amount to the employee. This payment can be reported by inserting in the straight time hourly rate column of his or her payroll an amount not less than the predetermined rate for each classification plus the amount of fringe benefits determined for each classification in the applicable wage decision. Inasmuch as it is not necessary to pay time and a half on wages paid in lieu of fringes, the overtime rate shall be not less than one and one-half the basic predetermined rate, plus the required cash in lieu of fringes at the straight time rate. To simplify computation of overtime, it is suggested that the straight time basic rate and payment in lieu of fringes be separately stated in the hourly rate column, thus \$14.56/5.11. In addition, the contractor shall check paragraph 4(b) of the statement to indicate that he or she is paying fringe benefits directly to his or her employees. Any exceptions shall be noted in Section 4(c).

**Use of Section 4(c), Exceptions:**

Any contractor who is making payment to approved plans, funds, or programs in amounts less than the wage determination required is obligated to pay the deficiency directly to the employees as wages in lieu of fringes. Any exceptions to Section 4(a) and 4(b), whichever the contractor may check, shall be entered in Section 4(c). Enter in the Exception column the craft, and enter in the Explanation column the hourly amount paid the employees as wages in lieu of fringes, and the hourly amount paid to plans, funds, or programs as fringes.



**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.*

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
<b>MINIMUM BASE WAGE PER CONTRACT:</b>	BASE RATE      FRINGE BENEFITS
<b>MINIMUM BASE WAGE PER PAYROLL (If available):</b>	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 Rate and Fringe Benefits (Compare to Payroll)]	DO YOU KEEP A RECORD OF THE HOURS YOU <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	HOW OFTEN? WHO IS THE EEO OFFICER FOR THE PROJECT? IF YES, PLEASE EXPLAIN

**3. ADDITIONAL QUESTIONS FOR OWNER OPERATORS**

A. EQUIPMENT DESCRIPTION	TRUCK LICENCE NO.	TRUCK (CAL-T) NO.
HOURLY RATE <i>(Fully operated and maintained)</i> \$	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? <input type="checkbox"/> YES <input type="checkbox"/> NO <i>(Interviewer Note Response)</i>	
LEGAL OWNER	REGISTERED OWNER	

**4. EMPLOYEE COMMENTS**

DO YOU HAVE ANY COMMENTS OR COMPLAINTS ABOUT WAGES OR EEO POLICIES? BE SPECIFIC:

**5. INTERVIEWER'S COMMENTS**

INTERVIEWER'S SIGNATURE	DATE	RESIDENT ENGINEER'S SIGNATURE	DATE
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**EMPLOYEE INTERVIEW: LABOR COMPLIANCE / EEO**

CEM 2504 (REV 6/1999) (Back) CT #7541-3512-3

***DIRECTIONS TO INTERVIEWER***

1. ***Fill in Section 1 from payroll records, if available, after interview.***
2. ***Fill in Section 2 completely. (does not apply to owner operators)***
3. ***Fill in Section 3 completely.***
4. ***Employee comments optional in Section 4.***
5. ***Interviewer comments on findings and recommends further actions to be taken. Attach additional sheets if necessary.***



**ENTREVISTA DE EMPLEADO: LABOR COMPLIANCE / EEO**

CEM-2504 (Spanish) (NEW 11/2003) (Frente)

**AVISO ADA**

Para personas con incapacidad sensorial, este documento esta disponible en forma alternativa. Para mas informacion llame a (916) 654-6410 or TDD (916) 654-3880o escriba a Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

**CONFIDENCIAL**

*Este documento contiene informacion personal y de acuerdo al codigo civil 1798.21 debera ser mantenida confidencialmente con el fin de protegerla contra divulgaciones no autorizadas.*

INSTRUCCIONS - (VEA EL REVERSO)

No DE CONTRATO

No DE FED

**1. A SER LLENADO POR EL ENTREVISTADOR (Los datos pueden ser obtenidos de las planillas de pago o durante la revision de documentos)**

NOMBRE DEL EMPLEADO		CLASIFICACION DEL TRABAJO
SUELDO BASICO MINIMO POR CONTRATO:	SUELDO BASICO	BENEFICIOS EMPRESARIALES
SUELDO BASICO MINIMO POR PLANILLA:	SUELDO BASICO	BENEFICIOS EMPRESARIALES
EMPLEADOR	CONTRATISTA PRINCIPAL EN EL PROYECTO (SI ES EL MISMO, INDIQUE)	
TRABAJO REALIZADO AL MOMENTO DE LA ENTREVISTA		

**2. PREGUNTAS AL EMPLEADO**

A. CUANTO TIEMPO HA TRABAJADO CON ESTA EMPRESA?		CUANTO TIEMPO HA TRABAJADO EN ESTE PROYECTO?
B. DESCRIBA EL TIPO DE TRABAJO HECHO EN LA ULTIMA SEMANA		
C. CUAL ES SU SUELDO? [Incluya sueldo basico y beneficios (Compara con Planilla)]		USTED ANOTA SUS HORAS TRABAJADAS? <input type="checkbox"/> SI <input type="checkbox"/> NO
D. USTED TRABAJA HORAS EXTRAS? <input type="checkbox"/> FRECUENTEMENTE <input type="checkbox"/> POCO <input type="checkbox"/> NUNCA	LE PAGARON TIEMPO Y MEDIO POR LAS HORAS EXTRAS? <input type="checkbox"/> SI <input type="checkbox"/> NO	SI ES NO, EXPLIQUE
E. LE HA ORIENTADO SU EMPLEADOR ACERCA DE AFICHES (TABLAS) DE LA ESCALA SALARIAL COLOCADOS EN EL PROYECTO? <input type="checkbox"/> SI <input type="checkbox"/> NO	HA VISTO USTED ESOS AFICHES (TABLAS)? <input type="checkbox"/> SI <input type="checkbox"/> NO	SI ES NO, EXPLIQUE
F. ESTA USTED ENTERADO DE LAS REGLAS DEL CONTRATISTA ACERCA DEL IOE?? <input type="checkbox"/> SI <input type="checkbox"/> NO	REALIZA EL CONTRATISTA REUNIONES (JUNTAS) ACERCA DEL IOE? <input type="checkbox"/> SI <input type="checkbox"/> NO	CON QUE FRECUENCIA?
QUIEN DIRIGE LAS REUNIONES (JUNTAS)?	QUIEN ES EL REPRESENTANTE DEL IOE POR PARTE DE LA EMPRESA?	QUIEN ES EL REPRESENTANTE DEL IOE EN EL PROYECTO?
G. ESTA USTED INTERESADO O SU EMPLEADOR LE HA INFORMADO ACERCA DE PROGRAMAS DE ASCENSO Y POSIBILIDADES DE ENTRENAMIENTO? <input type="checkbox"/> SI <input type="checkbox"/> NO		SI ES SI, EXPLIQUE

**3. PREGUNTAS ADICIONALES PARA OPERADORES PROPIETARIOS**

A. DESCRIPCION DEL EQUIPO		NUMERO DE LICENCIA DEL CAMION	NUMERO CA # DEL CAMION
PRECIO POR HORA (Operacion y Mantenimiento Total) \$	PRECIO BASICO DE RENTA DE EQUIPO \$	COMO ESTABLECE EL PRECIO DE LA RENTA DEL EQUIPO? <input type="checkbox"/> POR HORA <input type="checkbox"/> SEMANAL <input type="checkbox"/> MENSUAL	
B. ES USTED EL PROPIETARIO DEL EQUIPO? <input type="checkbox"/> SI <input type="checkbox"/> NO		PUEDO VER SU CERTIFICADO DE PROPIEDAD? <input type="checkbox"/> SI <input type="checkbox"/> NO	
PROPIETARIO LEGAL		PROPIETARIO REGISTRADO	

4. COMENTARIOS DEL EMPLEADO		5. COMENTARIOS DEL ENTREVISTADOR	
TIENE USTED ALGUN COMENTARIO O QUEJA ACERCA DE LOS SUELDOS O LAS REGLAS DEL IOE? SEA ESPECIFICO			
FIRMA DEL ENTREVISTADOR		FECHA	FIRMA DEL INGENIERO RESIDENTE
			FECHA



**ENTREVISTA DE EMPLEADO : LABOR COMPLIANCE / EEO**

CEM 2504 (Spanish) (NEW 11/2003) (REVERSO)

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**DIRECCIONES PARA EL ENTREVISTADOR**

1. **Llene la seccion numero 1 con los datos de planilla, si estan disponibles y despues de la entrevista.**
2. **Llene la seccion numero 2 completamente. (No se aplica a los operadores propietarios.)**
3. **Llene la seccion numero 3 completamente.**
4. **Los comentarios del Empleado en la seccion numero 4 son opcionales.**
5. **Los comentarios del Entrevistador aerea de los hechos encontrados y recomendaciones de futuras acciones a ser tomadas. Adjunte hojas adicionales si es necesario.**



**OWNER-OPERATOR LISTING STATEMENT OF COMPLIANCE**

CEM-2505 (REV 05/2001)

Date \_\_\_\_\_

\_\_\_\_\_  
(Name of signatory party) \_\_\_\_\_ (Title) do hereby state:

(1) That I pay or supervise the payment of the persons reported on this form as Owner-operators by \_\_\_\_\_  
(Contractor or subcontractor)  
 on the \_\_\_\_\_,  
(Building or work)  
 that during the payroll period commencing on the \_\_\_\_\_ day of \_\_\_\_\_  
 \_\_\_\_\_ and ending \_\_\_\_\_ day of \_\_\_\_\_, all persons working on said project have been paid the full weekly sums earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said \_\_\_\_\_  
(Contractor or subcontractor)  
 from the full weekly sums earned by any person and that no deductions have been made either directly or indirectly from the full sums earned by any person, other than permissible deductions, as described below:

(2) That any payrolls or listings or otherwise under this contract required to be submitted for the above period are correct and complete; that the wage rates for laborers or mechanics contained therein are not less than the applicable wage rates contained in any wage determination incorporated into the contract; that the classifications set forth therein for each laborer or mechanic conform with the work he performed.

(3) That any apprentices employed in the above period are duly registered in a bona fide apprenticeship program registered with a State apprenticeship agency.

(4) That:

(a) WHERE FRINGE BENEFITS ARE PAID TO APPROVED PLANS, FUNDS, OR PROGRAMS

In addition to the basic hourly wage rates paid to each laborer or mechanic listed in the above referenced payroll or listings payments of fringe benefits as listed in the contract have been or will be made to appropriate programs for the benefit of such employees, except as noted in Section 4(c) below.

(b) WHERE FRINGE BENEFITS ARE PAID IN CASH

Each Laborer or mechanic listed in the above referenced payroll or listings has been paid as indicated on the payroll or listings an amount not less than the sum of the applicable basic hourly wage rate plus the amount of the required fringe benefits as listed in the contract, except as noted in Section 4(c) below:

(c) EXCEPTIONS

EXCEPTION (CRAFT)	EXPLANATION

Remarks: \_\_\_\_\_

NAME AND TITLE	SIGNATURE

On federally-funded projects, permissible deductions are defined in regulations, Part 3 (29 CFR Subtitle A), issued by the Secretary of Labor under the Copeland Act, as amended (48 Stat. 948 63 Stat. 108, 72 Stat. 967; 76 Stat. 357; 40 U.S.C. 276c).

Also, the willful falsification of any of the above statements may subject the contractor or subcontractor to civil or criminal prosecution (see Section 1001 of Title 18 and Section 231 of Title 31 of the United States Code).

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CONTRACTOR INFORMATION		CONTRACTOR INFORMATION	
CONTRACTOR INVOLVED		CONTRACT NUMBER	FEDERAL NUMBER(S)
ADDRESS		CONTRACT ADVERTISEMENT DATE	AWARD DATE
PRIME CONTRACTOR <input type="checkbox"/> SAME		COMPLETION OR ESTIMATED COMPLETION DATE	ACCEPTANCE DATE
ADDRESS		COUNTY WHERE WORK WAS PERFORMED	RESIDENT ENGINEER

**WAGES AND PENALTIES**

TOTAL WAGES UNDERPAID (STRAIGHT TIME)	\$	TOTAL STATE PENALTIES (STRAIGHT TIME)	x\$25	\$
TOTAL UNDERPAYMENTS OF TRAVEL and/or SUBSISTENCE	\$	TOTAL STATE PENALTIES (FAILURE TO SUBMIT PAYROLL RECORDS, PER L.C. 1776(F))		\$
TOTAL WAGES UNDERPAID (OVERTIME)	\$	NO. OF EMPLOYEES x DAYS x\$25.00/DAY		
TOTAL RESTITUTION TO DATE	\$	TOTAL STATE PENALTIES (OVERTIME)	x\$25	\$
TOTAL WAGES STILL DUE (STRAIGHT TIME, TRAVEL/SUBSISTENCE & OVERTIME)	\$	TOTAL FEDERAL PENALTIES (OVERTIME)	x\$10	\$
NUMBER OF UNDERPAID WORKERS		CASE TOTAL		\$
WAGE RESTITUTION VERIFIED BY: (NAME OF PERSON)		DISTRICT DEDUCTION FOR THIS CASE		\$
HOW VERIFIED:		APPLICABLE STATE GENERAL PREVAILING WAGE RATE BOOK	MONTH	YEAR
<input type="checkbox"/> CANCELLED CHECKS	<input type="checkbox"/> INTERVIEW(S)	FEDERAL WAGE DETERMINATION NUMBER(S)	MONTH	DAY
OR			YEAR	

**INVESTIGATION BACKGROUND**

(FOR THIS SECTION, USE ADDITIONAL SHEET IF NECESSARY - SHOW ITEM NUMBER)

1. BRIEF, CONCISE STATEMENT OF THE NATURE OF THE CIRCUMSTANCES PROMPTING THE INVESTIGATION

2. BRIEF DESCRIPTION OF THE NATURE AND EXTENT OF THE INVESTIGATION

3. BRIEF, CONCISE STATEMENT OF THE FACTS RELATING TO THE DISCREPANCIES

**CHRONOLOGY**

DATE	DISTRICT ACTION	DATE	HEADQUARTERS ACTION
	Case began (problem discovered)		Concurrence Letter
	Letter of contractor requesting review		Request to Director for authority to withhold
	confirmation of review - letter/telephone		Letter to prime regarding withhold and rights of appeal
	Case to Headquarters		
DISTRICT INVESTIGATOR		DISTRICT LABOR COMPLIANCE OFFICER - SIGNATURE	
		DATE	



### CONTRACTOR'S PAYROLL SOURCE DOCUMENT REVIEW

CEM-2508 (REV. 10/1998)

CONTRACTOR REVIEWED

CONTRACT NUMBER	FEDERAL NUMBER	DATE REVIEWED
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CONTRACTOR'S ADDRESS

LOCATION OF DOCUMENTS (IF DIFFERENT FROM CONTRACTOR'S ADDRESS)

NAME/TELEPHONE NUMBER OF CONTACT AT LOCATION OF DOCUMENTS

PRIME CONTRACTOR

SAME

ADDRESS:

REASON FOR REVIEW:

DEFICIENCIES

NO

YES (BRIEFLY IDENTIFY BELOW)

DISTRICT ACTION, RECOMMENDATION & CONCLUSIONS

DEFICIENCIES CORRECTED

CASE PREPARED

DISTRICT REVIEWER	DATE	SIGNATURE OF DISTRICT LC OFFICER	DATE
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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**CHECKLIST - SOURCE DOCUMENT REVIEW**  
 CEM-2509 (Rev. 11/1998) (USE WITH FORM CEM-2508)

CONTRACTOR REVIEWED	CONTRACT NUMBER
COMPLETION DATE	R.E.

N/A = NOT APPLICABLE					S/R = SEE REMARKS					PR = PAYROLLS								
ITEM	ITEM	YES	NO	N/A	S/R	ITEM	ITEM	YES	NO	N/A	S/R	ITEM	ITEM	YES	NO	N/A	S/R	
A	GENERAL					E	MISCELLANEOUS											
A1	Prime notified					E1	Business license:											
A2	Sub notified						Co./City # Yr.											
A3	Sub approved					E2	Subcontract contain Section 6											
A4						E3	Home office bulletin board in order											
B	PAYROLLS					E4												
B1	Same as submitted					E5												
B2	Time Cards/PR agree					F	INVESTIGATION											
B3	Canceled Checks/PR agree					F1	Number of payrolls reviewed:											
B4	Wages pd at/above contract min.						All Random											
B5	Nonworking supv. shown on PR					F2	Number of wage underpayments											
B6	Fed/State tax held from employee wages					F3	Number of workers underpaid:											
B7	Employee interview on file (No. )					F4												
B8	Employee interview reflect problem					G	CONCLUSIONS											
B9						G1	Payrolls okay											
C	PROPRIETORSHIP					G2	Discepancies intentional											
C1	Sole proprietor					G3												
C2	Partnership					G4												
C3	Partnership papers available					H	DISTRICT RECOMMENDATIONS											
C4	Partnership profit papers available					H1	Assess State penalties											
C5	Corporation					H2	Assess Federal penalties											
C6	Are corp. officers laborers/mechanics					H3	Contractor aware of findings											
C7	If so, recieving proper wages					H4	Case to Hqs											
C8						H5												
D	BENEFITS					H6												
D1	Fringes paid cash					ENTER	REMARKS											
D2	Fringes paid to a trust fund				ITEM #													
D3	Trust fund approved																	
D4	Trust statements available																	
D5	Statement hrs per employee per month equal or exceed total PR hours																	
D6	Canceled checks agree with payments																	
D7	Canceled checks agree with statements																	
D8																		
D9																		
DISTRICT REVIEWER		DATE			DISTRICT LC OFFICER			DATE										

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**CHECKLIST - SOURCE DOCUMENT REVIEW**

CEM-2509 (Rev. 11/1998) (USE WITH FORM CEM-2508)

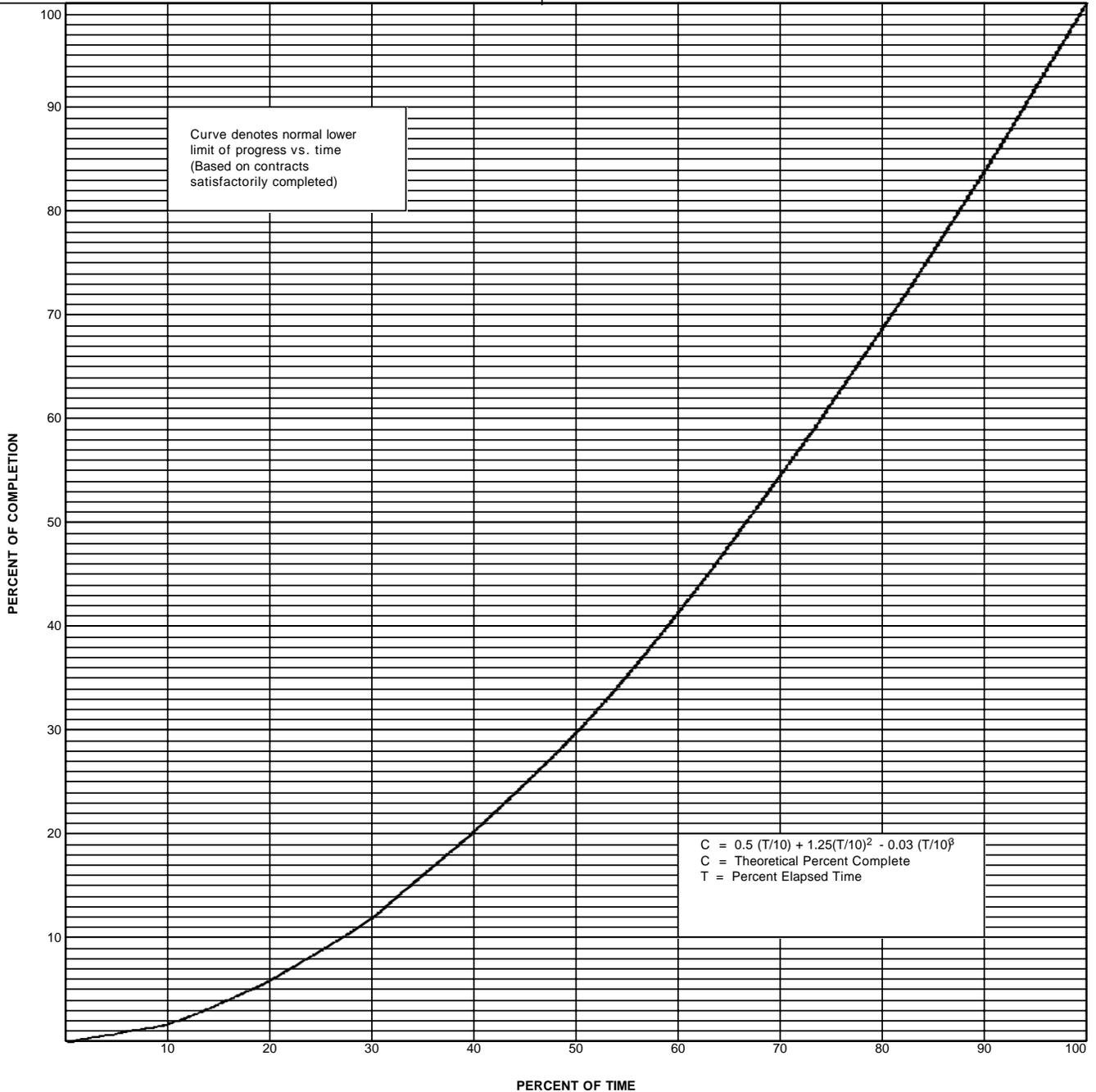
CONTRACTOR REVIEWED	CONTRACT NUMBER
COMPLETION DATE	R.E.



# CONSTRUCTION PROGRESS CHART

CEM-2601 (REV. 6/1983)

CONTRACT NUMBER	ROAD	BID
LIMITS		
DESCRIPTION		WORKING DAYS
RESIDENT ENGINEER		CONTRACTOR





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REPORT NUMBER \_\_\_\_\_

CONTRACTOR \_\_\_\_\_ WEEK ENDING (month, day, year) \_\_\_\_\_

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

Days this week \_\_\_\_\_  
 Days previously reported \_\_\_\_\_  
 Total days to date \_\_\_\_\_

Time Extensions <sup>3</sup>	CCO Numbers <sup>4</sup>	Days Approved	
		CCO	Other
Days this report _____			
Days previously reported _____			
Total days to date _____			

Computation of Extended Date for Completion	Number of Days	Numbered Day <sup>5</sup>	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 (CCO plus other) _____			
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*



**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. **Time Extensions, Other**, are to be explained under **Remarks** and the following information is to be included:
  - a. *Cause of delay and specification reference under which approval was granted.*
  - b. *Statement as to what controlling operation or operations are being delayed and to what extent.*
  - c. *Dates for which the extension was granted.*
  - d. *Reference to supporting data.*
4. List numbers of contract change orders providing for time extensions.
5. 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 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.
6. From calendar issued by the Division of Construction with working days numbered for convenience in computations.

## OVERRUN IN CONTRACT TIME

CEM-2702 (REV 04/2001)

CONTRACT NO.	COUNTY, ROUTE, BRIDGE OR POST KILOMETERS	FEDERAL NO.
CONTRACTOR'S NAME		
DATE WORK COMPLETED		
DATE FOR COMPLETION (Including extensions authorized by the engineer)		
CALENDAR DAYS OVERRUN	WORKING DAYS OVERRUN	

The recommendation for acceptance of this contract was approved by the director subject to determination that if there was an overrun in contract time, a decision relative to assessing the contractor for liquidated damages or extending the contract time and charging the contractor for engineering and inspection costs would be deferred pending further study. The attached information (in the form of a memorandum or determination of claim) contains the result of the study.

RECOMMENDED ACTION CONCERNING TIME EXTENSION, LIQUIDATED DAMAGES AND ENGINEERING AND INSPECTION COSTS (Per Section 8-1.07, *Standard Specifications*):

- The determination of claim for elimination of liquidated damages is that all of the time involved **was within the control of the contractor**. It is that **no extension of time be granted** and that the contractor be assessed liquidated damages of \$ \_\_\_\_\_ per calendar day for the period from \_\_\_\_\_ to \_\_\_\_\_, both dates inclusive, for a total of \_\_\_\_\_ days and \$ \_\_\_\_\_.
  
- A delay of \_\_\_\_\_ working days was caused by circumstances over which **the contractor had no control**. It is recommended that a **time extension of \_\_\_\_\_ working days be granted**. Such action will extend the date for completion to \_\_\_\_\_, reducing the overrun to \_\_\_\_\_ calendar days. It is further recommended:
  - That during the period of such extension **the contractor shall be charged** engineering and inspection charges in the amount of \$ \_\_\_\_\_.
  - That during the period of such extension **the contractor not be charged** engineering and inspection costs.
  - That for the remaining overrun of \_\_\_\_\_ calendar days, from \_\_\_\_\_ to \_\_\_\_\_ both dates inclusive, **the contractor shall be assessed** liquidated damages of \$ \_\_\_\_\_ per calendar day for a total amount of \$ \_\_\_\_\_.
  - The contractor has agreed to accept this decision** as to assessment of liquidated damages, and charges for engineering and inspection costs as full settlement of any claim for return of liquidated damages.

RECOMMENDED BY	APPROVED AS RECOMMENDED
	Director of Transportation
BY (Coordinator, Division of Construction)	BY (Chief, Division of Construction)
Date	Date

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## INSTRUCTIONS TO CONTRACTOR

Section 6 of the *Standard Specifications* states that the contractor shall furnish the resident engineer a list of the contractor's sources of materials and the locations at which those materials will be available for inspection. The list shall be submitted on a state-furnished form and shall be furnished to the resident engineer in sufficient time to permit inspecting and testing of materials to be furnished from the listed sources in advance of their use.

In order to avoid delay in approval of materials, the Department of Transportation must receive notice as soon as possible.

Please comply with the following as closely as possible:

The contract number and job limits should be the same as appears on the special provisions.

The column headed "Contract Item No." should show all the item numbers for which the material is to be used.

The column headed "Material Type" should be a description of the material and not necessarily the name of the contract item.

The column headed "Name and Address of Inspection Site" should be that of the actual source of supply and not subcontractor or jobber.

If the sources of all materials are not known at the beginning of a contract, report those known. Supplemental "Notice of Materials to Be Used" should be submitted for the others as soon as possible thereafter. Do not delay submitting the original notice until all information is known.

All changes in kinds and sources of materials to be used should be reported on supplemental "Notices of Materials to Be Used" immediately.

Retain your copy and mail all other copies to the resident engineer.

Note: When placing orders for materials that required inspection prior to shipment, be sure to indicate on your order that state inspection is required.

**PROJECT IDENTIFICATION**

PROJECT EA		ROUTE		POST KILOMETERS		COMPLETION DATE (Contract)	
COMPLETION DATE (Expected)	DATE PROBLEM DETECTED	CURRENT DATE	JOB SUSPENDED <input type="checkbox"/> YES <input type="checkbox"/> NO		AC (Tonnes Produced To Date)	AC (Tonnes Remaining)	
PROBLEM STATEMENT							

**MIX PROPERTIES**

TYPE MIX	TYPE GRADING	MAX GRADING (mm)	ADDITIVES	AGGREGATE TYPE	ASPHALT GRADE
<input type="checkbox"/> A	<input type="checkbox"/> DENSE	<input type="checkbox"/> 38	<input type="checkbox"/> LIME	<input type="checkbox"/> A or	<input type="checkbox"/> AR-1000 <input type="checkbox"/> PBA-1
<input type="checkbox"/> B	<input type="checkbox"/> GAP	<input type="checkbox"/> 19	<input type="checkbox"/> LIQUID ANTI-STRIP	<input type="checkbox"/> B	<input type="checkbox"/> AR-2000 <input type="checkbox"/> PBA-1a
<input type="checkbox"/> RECYCLED	<input type="checkbox"/> OPEN GRADED	<input type="checkbox"/> 12.5	<input type="checkbox"/> CEMENT	<input type="checkbox"/> ABSORPTIVE or	<input type="checkbox"/> AR-4000 <input type="checkbox"/> PBA-2
	<input type="checkbox"/> COARSE	<input type="checkbox"/> 9.5	<input type="checkbox"/> OTHER	<input type="checkbox"/> NON-ABSORPTIVE	<input type="checkbox"/> AR-8000 <input type="checkbox"/> PBA-3
	<input type="checkbox"/> MEDIUM			<input type="checkbox"/> OTHER	<input type="checkbox"/> AR-16000 <input type="checkbox"/> PBA-4
					<input type="checkbox"/> PBA-5
					<input type="checkbox"/> PBA-6a
					<input type="checkbox"/> PBA-6b
					<input type="checkbox"/> PBA-7

<b>APPEARANCE</b> <input type="checkbox"/> OK <input type="checkbox"/> SEGREGATED <input type="checkbox"/> RICH <input type="checkbox"/> DRY <input type="checkbox"/> TENDER <input type="checkbox"/> COLOR <input type="checkbox"/> OTHER	<b>PLANT TYPE</b> <input type="checkbox"/> BATCH or <input type="checkbox"/> CONTINUOUS  <input type="checkbox"/> PORTABLE or <input type="checkbox"/> STATIONARY	BACKGROUND DATA - Attach Test Method 109 verification, mix design, plant and street test results ACTUAL ASPHALT CONTENT - Attach test results (including target asphalt content, source and date; note lift and location) ACTUAL STABILITY OF STREET SAMPLES - Attach test results (note lift and location) TEST MAXIMUM DENSITY - Attach test results (note lift and location) MIX SUPPLIER AND LOCATION(S) -
---	--	--

**FIELD CONDITIONS (at paving operation)**

GENERAL	WEATHER	AIR TEMPERATURE (°C)	SURFACE TEMPERATURE (°C)	MIX TEMP AT PLANT (°C)
<input type="checkbox"/> COASTAL	<input type="checkbox"/> CLEAR	<input type="checkbox"/> UNDER 4	<input type="checkbox"/> UNDER 4	<input type="checkbox"/> UNDER 121
<input type="checkbox"/> VALLEY	<input type="checkbox"/> CLOUDY	<input type="checkbox"/> 4-9	<input type="checkbox"/> 4-15	<input type="checkbox"/> 121-134
<input type="checkbox"/> MOUNTAIN	<input type="checkbox"/> FOGGY	<input type="checkbox"/> 10-15	<input type="checkbox"/> 16-26	<input type="checkbox"/> 135-162
<input type="checkbox"/> DESERT	<input type="checkbox"/> RAINY or WORSE	<input type="checkbox"/> 16-20	<input type="checkbox"/> 27-37	<input type="checkbox"/> 163-190
	<input type="checkbox"/> HUMID or	<input type="checkbox"/> 21-25	<input type="checkbox"/> 38-48	<input type="checkbox"/> 191-204
	<input type="checkbox"/> DRY	<input type="checkbox"/> 26-32	<input type="checkbox"/> 49-60	<input type="checkbox"/> GREATER THAN 204
	<input type="checkbox"/> WINDY or	<input type="checkbox"/> 33-38	<input type="checkbox"/> GREATER THAN 60	
	<input type="checkbox"/> CALM	<input type="checkbox"/> GREATER THAN 38		

MIX TEMP AT WINDOW (°C)	MIX TEMP AT BREAKDOWN ROLLER (°C)	DISTANCE, PAVER TO BREAKDOWN ROLLER (METER)	WINDOW LENGTH (Meter)	AVERAGE ONE WAY HAUL TIME (hours)
<input type="checkbox"/> UNDER 65	<input type="checkbox"/> UNDER 65	<input type="checkbox"/> UNDER 15	<input type="checkbox"/> 0	<input type="checkbox"/> UNDER 1/2
<input type="checkbox"/> 65-89	<input type="checkbox"/> 65-89	<input type="checkbox"/> 15-75	<input type="checkbox"/> 0-30	<input type="checkbox"/> 1/2-1
<input type="checkbox"/> 90-125	<input type="checkbox"/> 90-125	<input type="checkbox"/> 76-150	<input type="checkbox"/> 31-61	<input type="checkbox"/> 1-2
<input type="checkbox"/> GREATER THAN 125	<input type="checkbox"/> 126-150	<input type="checkbox"/> 151-229	<input type="checkbox"/> 62-91	<input type="checkbox"/> 2-3
	<input type="checkbox"/> GREATER THAN 150	<input type="checkbox"/> 230-300	<input type="checkbox"/> 92-122	<input type="checkbox"/> GREATER THAN 3
		<input type="checkbox"/> GREATER THAN 300	<input type="checkbox"/> 123-152	
			<input type="checkbox"/> GREATER THAN 152	

CEM3501



# AC PRODUCTION/PLACEMENT CHECKLIST

CEM-3501 (REV. 11/2000)

## STRUCTURAL PROPERTIES

PAINT BINDER (tack coat)	TACK SPREAD RATE (liters per metered square)	MIX THICKNESS (Compacted)	UNDERLYING CONDITIONS
<input type="checkbox"/> ASPHALT	<input type="checkbox"/> 0.45	FIRST LIFT	<input type="checkbox"/> OK
<input type="checkbox"/> EMULSION	<input type="checkbox"/> 0.68	SECOND LIFT	<input type="checkbox"/> GRINDER PREPARED
<input type="checkbox"/> OTHER	<input type="checkbox"/> 0.95	THIRD LIFT	<input type="checkbox"/> CRACK & SEAT
	<input type="checkbox"/> 1.13		<input type="checkbox"/> PRE LEVELED
	<input type="checkbox"/> OTHER		<input type="checkbox"/> CRACKED
			<input type="checkbox"/> FABRIC
			<input type="checkbox"/> OTHER

PAVER

MAKE  
MODEL

PAVER OPTIONS

- PICKUP MACHINES
- SCREED EXT. (length )
- SKI (length )
- JOINT MATCHER
- GRADE WIRE
- OTHER

## MECHANICAL PROPERTIES

<input type="checkbox"/> METHOD SPECIFICATION	or	NUCLEAR DENSITY GAGE	MAKE	CALIBRATION (date)
<input type="checkbox"/> END RESULT COMPACTION	SPECIAL PROVISION	MODEL	MODEL	AVERAGE RELATIVE COMPACTION

BREAKDOWN ROLLER(S)

TYPE  
WEIGHT

INTERMEDIATE ROLLER(S)

TYPE  
WEIGHT

FINISH ROLLER(S)

TYPE  
WEIGHT

IF VIBRATORY ROLLERS ARE USED:

ON CALTRANS APPROVED LIST  YES  NO

MAKE  
MODEL

SPEED  
ACTUAL  
SPECIFIED

FREQUENCY  
ACTUAL  
SPECIFIED

AMPLITUDE  
ACTUAL  
SPECIFIED

\* A completed copy of this form should be filed in Category 35 of the Project Documents. A description of the form is included in the *Construction Manual*.

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MATERIAL	ITEM NUMBER
----------	-------------

SUPPLIER

DATE OF INSPECTION	QUANTITY INSPECTED (#/ UNIT)
--------------------	------------------------------

**BASIS FOR ACCEPTANCE - (INITIAL EACH CATEGORY)**

- 1. CERTIFICATION OF COMPLIANCE (ATTACHED)
- 2. TEST RESULTS FROM MANUFACTURE (ATTACHED)
- 3. CERTIFICATE OF BUY AMERICA, AS APPLICABLE
- 4. VISUAL INSPECTION FOR OVERALL QUALITY, WORKMANSHIP, VERIFICATION OF MARKINGS
- 5. OTHER (EXPLAIN)

REMARKS:

INSPECTED BY:	RESIDENT ENGINEER SIGNATURE
---------------	-----------------------------

CEM4102

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NOTE: The contractor is responsible for all plant safety issues, regardless of any Caltrans' listing of acceptable or deficient items.

Report No.		Plant Owner	
Inspection By		Plant Location	
Inspection Date	District	Plant Make	Plant Type
EA		Plant Safety Certification Supplied By	Certification Date

INSPECTION AREA	PLANT FEATURE	<small>spec</small>	DEFICIENT	REMARKS
<b>A. Asphalt Sample Area</b>	1. Sampling height	<input type="checkbox"/>		
	2. Plumbing size	<input type="checkbox"/>		
	3. Insulation	<input type="checkbox"/>		
	4. Shielding	<input type="checkbox"/>		
	5. Housekeeping	<input type="checkbox"/>		
	6. Fire protection	<input type="checkbox"/>		
	7. Underground tank access	<input type="checkbox"/>		
<b>B. Aggregate/Cement Sample Area</b>	1. Access stairs	<input type="checkbox"/>		
	2. Access stairs, agg	<input type="checkbox"/>		
	3. Access stairs, binder	<input type="checkbox"/>		
	4. Guardrails	<input type="checkbox"/>		
	5. Floor holes	<input type="checkbox"/>		
	6. Housekeeping, agg	<input type="checkbox"/>		
	7. Sample size, agg	<input type="checkbox"/>		
	8. Sample size RAP	<input type="checkbox"/>		
	9. Conveyor lockout, agg	<input type="checkbox"/>		
	10. Conveyor lockout RAP	<input type="checkbox"/>		
	11. Site, dust control	<input type="checkbox"/>		
	12. Sample support rails	<input type="checkbox"/>		
	13. Conveyor startup warning	<input type="checkbox"/>		
<b>C. Aggregate Belts and Drivers</b>	1. Drive belt guards	<input type="checkbox"/>		
	2. Conveyor guards	<input type="checkbox"/>		
	3. Under conveyor clearance	<input type="checkbox"/>		
	4. Other conveyors	<input type="checkbox"/>		
<b>D. Control Room</b>	1. Stairs	<input type="checkbox"/>		
	2. Landings	<input type="checkbox"/>		
	3. Guardrails	<input type="checkbox"/>		
	4. Fire protection	<input type="checkbox"/>		
	5. Emergency exit	<input type="checkbox"/>		
	6. First aid	<input type="checkbox"/>		
	7. Drinking water	<input type="checkbox"/>		
	8. Toilet facilities	<input type="checkbox"/>		
<b>E. Yard Equipment</b>	1. Loaders	<input type="checkbox"/>		
	2. Trucks	<input type="checkbox"/>		
<b>F. General Items</b>	1. Lighting	<input type="checkbox"/>		
	2. Wash pits	<input type="checkbox"/>		
	3. Yard pits	<input type="checkbox"/>		
	4. Electrical	<input type="checkbox"/>		
	5. Auto control equipment	<input type="checkbox"/>		

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**CONTRACT CHANGE ORDER**

CEM-4900 (REV 05/2001) CT# 7541-3501-0

Sheet \_\_\_\_\_ of \_\_\_\_\_

Change Requested by:  engineer  contractor

CCO NUMBER	SUPL. 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:  Decrease  Increase \$

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
-----------	----------------------	------



**CONTRACT CHANGE ORDER**

CEM-4900 (REV 05/2001) CT# 7541-3501-0

Sheet \_\_\_\_\_ of \_\_\_\_\_

Change Requested by:  engineer  contractor

CCO NUMBER	SUPL. 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.

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**CONTRACT CHANGE ORDER INPUT**

CEM-4901 REV 5/1993 CT# 7541-3516-2

HEADING	INSTRUCTIONS
Contract Number	Required
CCO Number	Enter CCO and Supplement Numbers.
<b>CARD TYPE 1</b>	
CCO Description	CCO Description must be entered.
Net Money Change This CCO	Enter the amount of change. Enter zero if there is no net change. Indicate negative or positive amount.
Approval Date	Enter the month, day, year and the <u>Approval Date</u> . The change order will not be filed until it has been approved.
Time extension days	One of the following entries must be made: <ol style="list-style-type: none"> <li>1. Enter zero if there is no time extension.</li> <li>2. Enter the number of Time Extension Days.</li> <li>3. Enter "DEF" if consideration of a time extension has been deferred.</li> </ol>
Category	Enter alpha-numeric code. Left justify if less than four characters.
<b>CARD TYPE 2</b>	
EW or AC	Mark either the Extra Work or the Adjustment of Compensation boxes.
Payment Method	Mark one of the three Payment Method boxes, Force Account, Lump Sum or Unit price.
\$ Amount	Enter the dollar amount of the change.
<b>CARD TYPE 3</b>	
Item Number Quantity	Enter the contract item number and the quantity change for each item shown on the change order.
<b>CARD TYPE 4</b>	
Bridge Work	Enter the net amount of Bridge Work contained in this change order. Leave blank if zero.
<b>CARD TYPE 5</b>	
Federal Participation	Enter FHWA Funding Participation determination on every change order.
Participating-in-Part funding	Indicate breakdown for Participating-in-Part funding.
Federal Segregation	If more than one funding source, mark if the CCO is to be funded as prescribed in contract or show the percentage allotted to each Federal funding source.



STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**EXTRA WORK BILL (SHORT FORM)**  
 CEM-4902 REV 7/94 CT# 7541-3500-8

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**CASEWB**  
 REPORT NO. \_\_\_\_\_  
 CONTRACT NO. \_\_\_\_\_

01	DATE PERFORMED	CONTRACTOR JOB	CONTRACTOR RPT. NO.	E.W.	A.C.	BRT * 50%	SUB	R7W	PARTNERING	LABOR	WCT	CLASS	WCT	RATE
02	WORK PERFORMED BY			+ -	F	LS	UP	F	LS	UP	SW	FLAG	WORK	DELAY
03	DESCRIPTION OF WORK													

EQUIPMENT ID NUMBER	CLASS	EQUIPMENT DESCRIPTION		REGULAR HOURS	OVERTIME HOURS	FOR RESIDENT ENGINEERS ONLY			
		MAKE	CODE			ATTACH			
04						<input type="checkbox"/>	NEW BILL	<input type="checkbox"/>	APPROVED FOR PAYMENT
05						<input type="checkbox"/>	RESUBMITTAL	<input type="checkbox"/>	RETURNED FOR CORRECTION
06							DATE RECEIVED		DATE OF ACTION
07									
08									
09									
10									

MATERIAL and/or WORK DONE BY SPECIALIST OR LUMP OR UNIT PRICE PAYMENTS									
VENDOR NAME	INVOICE NUMBER	MO	DAY	YR					
INVOICE DESCRIPTION	UNITS	UNIT COST OR NET PAY							
VENDOR NAME	INVOICE NUMBER	MO	DAY	YR					
INVOICE DESCRIPTION	UNITS	UNIT COST OR NET PAY							

CRAFT ID	LABOR NAME LAST	LABOR REGULAR HOURS		OVERTIME HOURS		SUBSISTENCE	
		HRS	RATE	HRS	RATE	UNITS	RATE
34							
35							
36							
37							
38							
39							
40							

SIGNATURE OF RESIDENT ENGINEER \_\_\_\_\_  
 IN CASE OF QUESTIONS CONTACT: (Resident Engineers Use Only)  
 SIGNATURE OF PRIME CONTRACTORS REPRESENTATIVE \_\_\_\_\_  
 NAME \_\_\_\_\_ BUSINESS PHONE \_\_\_\_\_





# EXTRA WORK BILL (SHORT FORM)

CEM-4902 REV 7/94 CT # 7541-3500-8

## Preparing Form CEM 4902

This form is provided for entry of basic information related to extra work performed on a Contract Change Order. The majority of all Extra Work Bills will fit on this form. If more entries are required for equipment, labor or material, you must use the four part forms. (CEM-4902A, CEM-4902B, CEM-4902C, CEM-4902D)

The top of this form includes fields that are used to record basic information required on all Extra Work Bills. Following is a list of these fields: All switch fields, Bridge, flagging, sub work, RAW Delay and Partnering are set by entering a "Y" in the appropriate box. To remove a switch from an existing bill, place an "N" in the appropriate box.

### FIELD

### REMARKS

- Contract Number Identifies the project. Must be a valid contract number that is on file in the Progress Pay System.
- CCO Number Identifies the Contract Change Order.
- Report Number This is assigned by the submitter (R.E.), in sequential order beginning with 0001 for each CCO.
- Line 01:
- Date Performed Enter the work performed date. "VAR" may be entered in this field if the pay method is lump-sum or unit-price and equipment.
- Date of Report Enter the date the bill is prepared.
- Contractor Job No. This is used by the contractor to identify the extra work bill.
- Contractor Rpt. No. This is used by the contractor to identify the extra work bill.
- Payment Method Required entry. Indicate + or -, and place an "X" in the appropriate box. A blank is considered a +.
- BR SW Set to "Y" in if the CCO indicates work on structure items.
- 50% Flag Set to "Y" if the bill is for flagging. This will reduce the bill by 50%.
- Sub Work Set to "Y" to add subcontractor markup.
- R/W Delay Set to "Y" if bill is for right of way delay. No markup will be applied to the bill.
- Partnering Switch Set to "Y" if bill is for partnering. No markup will be applied to the bill.
- Labor Sur Enter the labor surcharge for the type of work normally performed by that contractor.

### Line 02 and 03

Work Performed By Identify the party that is performing the work.  
Description of Work Identify the location and description of the work.

### Lines 04 - 10 Equipment Charges

Equipment Description Enter equipment ID, Class, Make, Code. If any are missing the bill will not be accepted.  
Equipment Attachments Enter attachment codes.  
Equipment Hours Enter regular and overtime hours. Hours must be greater than zero.

### Lines 24 - 25 Materials and/or Work done by Specialist or Lump or Unit Price Payments

Vendor Name Enter the vendor's name.  
Invoice data Enter the invoice number, date, and description.  
Invoice units & cost Enter the number of units and the unit cost or net pay.

### Lines 34 - 40 Labor Charges

Labor Description Enter labor craft, initial and last name.  
Labor Hours & Rate Enter regular and overtime hours and rates. Hours and rates must not be zero.  
Subsistence Enter subsistence hours and rate if subsistence was paid.

CEM4902

CONTRACT NO. \_\_\_\_\_ CCO NO. \_\_\_\_\_ REPORT NO. \_\_\_\_\_ PAGE \_\_\_\_\_ OF \_\_\_\_\_

E.W.	A. C.				SUB WORK	RW DELAY	PARTNERING SWITCH
	FA	LS	UP	FA			
+/-							

0 1	DATE PERFORMED	DATE OF	CON. JOB. NO.	CONT. RPT. NO.
0 2	WORK PERFORMED BY			
0 3	DESCRIPTION OF WORK			

**FOR RESIDENT ENGINEERS USE ONLY**

New Bill  Approved for Payment

Resubmittal  Returned for Correction

DATE RECEIVED \_\_\_\_\_

DATE OF ACTION \_\_\_\_\_

ATTACHED TO THIS BILL ARE:

Labor Charges CEM-4902B

Equipment Charges CEM-4902C

Material Charges CEM-4902D

**TOTAL COST SUMMARY, STANDARD MARK-UPS & SUBCONTRACTOR MARK-UP**

Total Equipment (A)		Total Other Expense (F)	
Total Materials (B)		Subtotal (C) + (D) + Regular Surcharge + Premium Surcharge + (E) + (F)	
Subtotal Equipment & Materials (A) + (B)		% Standard Mark-up	
% Standard Mark-up		<b>Total Labor (C) + (D) + Surcharge + (E) + (F) + Mark-up</b>	
<b>Total Equipment &amp; Materials (A) + (B) + Standard Mark-up</b>		<b>Total Equipment &amp; Materials</b>	
Total Regular Labor (C)		<b>Total Equipment &amp; Materials + Total Labor</b>	
% Regular Labor Surcharge		% of Mark-up on Subcontracted Work (Only)	
Total Premium Labor (D)		<b>GRAND TOTAL</b>	
% Premium Labor Surcharge			
Subtotal Regular & Premium (C+D)			
Subtotal (C) + (D) + Regular Surcharge + Premium Surcharge			
Total Subsistence (E)			

SIGNATURE (Resident Engineer) \_\_\_\_\_

SIGNATURE (Prime Contractor's Representative) \_\_\_\_\_

NAME \_\_\_\_\_ BUSINESS PHONE \_\_\_\_\_

WHITE - Data Entry      CANARY - Resident Engineer      PINK - Contractor (After Approval)      GOLDENROD - Contractor      CEM4902A









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**Preparing Form CEM 4902B**

Form CEM 4902B is provided for entry of the contractor labor costs used to perform work on a contract change order. Information in the shaded area will not become part of the electronic copy of the bill. The top of this form includes fields that are used to record or calculate labor surcharges. Following is a list of these fields:

<u>FIELD</u>	<u>REMARKS</u>
Contract Number	Required entry, same as on the Title Page
CCO Number	Required entry, same as on the Title Page
Report Number	Required entry, same as on the Title Page
Labor Surcharge	Enter Surcharge percent as a whole number. Use Surcharge rate that was in effect when the work was done. This percent surcharge will apply to all labor lines on this Bill.
WCI Class	Optional entry. Choose one of the WCI Classes G01, S01-S09, or D01
WCI Rate	Enter WCI rate if the WCI Class is entered. This rate will apply to all labor lines on this Bill and must be substantiated by the Contractor.
Craft ID	Required entry.
Name - Initial	Required entry.
Name - Last	Required entry.
Regular Hours - Hours	Enter number of regular hours worked.
Regular Hours - Rate	Enter the regular rate.
Premium Hours - Hours	Enter number of Premium hours worked.
Premium Hours - Rate	Enter the Premium rate.
Subsistence - Units	Enter the Units if subsistence was paid.
Subsistence - Rate	Enter the Rate if subsistence was paid.
Other - Description & Amount	Optional entry for expenses not included in equipment, labor or invoices.
Travel Expenses - Units & Rate	Optional entry when travel expense was required.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**EXTRA WORK BILL - EQUIPMENT CHARGES**  
 CEM-4902C NEW 7/94 CT# 7541-3498-1

**CASEWB**

EQUIP ID NUMBER	EQUIPMENT DESCRIPTION			REGULAR HOURS	OVERTIME HOURS	REG RATE	OT RATE	EXTENDED AMOUNT
	CLASS	MAKE	CODE					
04								
05								
06								
07								
08								
09								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								
21								
22								
23								
SIGNATURE OF RESIDENT ENGINEER								
SIGNATURE OF PRIME CONTRACTORS REPRESENTATIVE								
IN CASE OF QUESTION CONTACT: (RESIDENT ENGINEERS USE ONLY)								
<b>TOTAL (A)</b>								<b>BUSINESS PHONE</b>

CONTRACT NO. \_\_\_\_\_ CCO NO. \_\_\_\_\_ REPORT NO. \_\_\_\_\_ PAGE \_\_\_\_\_ of \_\_\_\_\_





**Preparing Form CEM-4902C**

Form CEM-4902C is provided for entry of the contractor equipment costs used to perform work on a contract change order. Information in the shaded area will not become part of the electronic copy of the bill. Following is a list of these fields:

<u>FIELD</u>	<u>REMARKS</u>
Contract No.	Required entry, same as on the Title Page
CCO No.	Required entry, same as on the Title Page
Report No.	Required entry, same as on the Title Page
Equipment ID	Required entry. Enter the equipment's I.D. number.
Equipment Description	Each piece of equipment is identified by code. This code is either in the Equipment Rental Rate Book or is included in the Miscellaneous Equipment Listing.
Equipment Class	Required entry. In the Equipment Rental Rate book, this code is included in the heading for the class of equipment and is set off by brackets [ ].
Equipment Make	Required entry. In the Equipment Rental Rate book, this code is included in the subheading adjacent to the Manufacturer's name and is set off by brackets [ ].
Equipment Code	Required entry. In the Equipment Rental Rate book, this code is included in the line of the equipment being identified under the subheading "CODE".
Attach	Optional entry. In the equipment Rental Rate Book, the attachment codes are in the class "ATTACHMENTS" and are identified under the subheading "CODE."
Regular Hours	Enter the number of Regular hours worked.
Premium Hours	Enter the number of Premium hours worked.

**NOTE:** If the equipment was on R/W delay, place a "Y" in the R/W Delay box on the Title Page Form.

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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**EXTRA WORK BILL - MATERIAL CHARGES**  
 CEM-4902D NEW 7/94 Front CT# 7541-3499-3

MATERIAL and/or WORK done by  
 specialist

**CASEWB**

CONTRACT NO.	CCO NO.	REPORT NO.	PAGE
			1 of

VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR
24							
VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR
25							
VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR
26							
VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR
27							
VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR
28							
VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR
29							
VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR
30							
VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR
31							
VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR
32							
VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR
33							
VENDOR NAME	INVOICE NUMBER	UNIT COST OR NET PAY	UNITS	EXTENDED TOTAL	MO	DAY	YR

SIGNATURE OF RESIDENT ENGINEER	SIGNATURE OF PRIME CONTRACTOR'S REPRESENTATIVE
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**Preparing Form CEM-4902D**

Form CEM 4902D is provided for entry of the contractor material and/or work done by specialist or LUMP SUM or UNIT PRICE PAYMENTS. It is not practical to use the Extra Work Bill to compute invoices, due to tax and discount; the net amount of the invoice should be entered as a unit. Information in the shaded area will not become part of the electronic copy of the bill. Following is a list of these fields:

<u>FIELD</u>	<u>REMARKS</u>
Contract No.	Required entry, same as on the Title Page
CCO Number	Required entry, same as on the Title Page
Report No.	Required entry, same as on the Title Page
Vendor Name	Optional entry.
Invoice Number	Optional entry.
Invoice Date	Optional entry. "VAR" is an acceptable invoice date entry.
Invoice Description	Optional entry.
Units	Required entry. Both lump-sum and unit-price entries require a unit to be input.
Unit Cost or Net Pay	

**NOTE:** The Material entry will not be processed unless there is a value in both the Unit and the Unit Cost fields.

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DATE \_\_\_\_\_

TO			FILE
FROM			E. A. _____
CCO NO.	SUPPLEMENT NO.	CATEGORY CODE	CO-RTE-PM _____
\$ _____			FED NO. _____
\$ _____			CONTINGENCY BALANCE (Including this change):
\$ _____			\$ _____
\$ _____			HEADQUARTERS APPROVAL REQUIRED? <input type="checkbox"/> YES <input type="checkbox"/> NO
\$ _____			IS THIS REQUEST IN ACCORDANCE WITH ENVIRONMENTAL DOCUMENTS? <input type="checkbox"/> YES <input type="checkbox"/> NO
THIS CHANGE ORDER PROVIDES FOR (Use additional pages as needed):			

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

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







**CONTRACT ADMINISTRATION SYSTEM (CAS) - REPORT REQUESTS**

CEM-6002 (REV. 02/2001)

To: EDP: Please obtain the reports indicated below.

NOTE: See Section 5-1  
of the *Construction*

Priority Class  S/C 5092

Procedure: **CASRPT**

REQUESTS <span style="border: 1px solid black; padding: 2px;">R</span> 1	TITLE OF REPORT	SELECTION CRITERIA <span style="border: 1px solid black; padding: 2px;">S</span> 1
		DISTRICT <span style="border: 1px solid black; padding: 2px;">2</span> <span style="border: 1px solid black; padding: 2px;">3</span>
	DISTRICT (XX) ESTIMATE STATUS	<input type="checkbox"/> 2 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	PROJECT MANAGEMENT (Exceptional Contracts, Project File Status and Summary of Control Report)	<input type="checkbox"/> 3 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	DISTRICT (XX) PROJECT STATUS	<input type="checkbox"/> 4 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	PROGRESS PAYMENT-WORK DONE BY OFFICE OF STRUCTURES	<input type="checkbox"/> 5 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	PROJECT RECORD ESTIMATE (Schedule of Extra Work, Schedule of Deductions, Project Record Estimate, Progress Payment Voucher)	<input type="checkbox"/> 6 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	STATUS OF CONTRACT ITEMS	<input type="checkbox"/> 7 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	PROJECT RECORD ITEM SHEET	<input type="checkbox"/> 8 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	STATUS OF PROJECT CHANGE ORDERS	<input type="checkbox"/> 9 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	CCO MASTER LISTING	<input type="checkbox"/> 10 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	BRIDGE QUANTITIES BY STRUCTURE	<input type="checkbox"/> 11 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	DISTRICT (XX) STATUS OF ANTICIPATED CHANGES	<input type="checkbox"/> 12 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	PROJECT RECORD-ESTIMATE (DUMMY)	<input type="checkbox"/> 13 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	CONTRACT CONTENTS REPORT	<input type="checkbox"/> 14 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	CONTRACT CONTENTS REPORT (Contract Item Records)	<input type="checkbox"/> 15 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	CONTRACT CONTENTS (Contract Progress)	<input type="checkbox"/> 16 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	DEWRS IN HOLDING FILE	<input type="checkbox"/> 17 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>
	RENTAL RATES & CODES FOR MISCELLANEOUS EQUIPMENT	<input type="checkbox"/> 18 <span style="border: 1px solid black; padding: 2px;">4</span> <span style="border: 1px solid black; padding: 2px;">10</span>

IN CASE OF QUESTION CONTACT

S/C 5092

NAME \_\_\_\_\_

VERIFY

PHONE \_\_\_\_\_ DATE \_\_\_\_\_

PAGE \_\_\_\_\_ OF \_\_\_\_\_

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**PROJECT KEY**

FB	DIST.		CONTRACT NUMBER	
1	2	3	4	9
			4	

**INSTRUCTIONS FOR CARD C05**  
 -CONTRACT SUSPENSION: ENTER SUSPENSION DATE AND 'S' IN SR  
 -CONTRACT REACTIVATION: ENTER REACTIVATION DATE AND 'R' IN SR  
 -FOR CORRECTION: ENTER CORRECT DATE OR 00/00/0000 AND 'C' IN SR  
 -FOR PROJECT REQUIRING 5% RETENTION: ENTER 'X' IN PE  
 -FOR PROJECTS AWARDED AFTER 1/1/88:  
 ENTER DATE WHICH IS 15 CALENDAR DAYS AFTER APPROVAL DATE IN BEGIN CONSTRUCTION DATE

**MISCELLANEOUS INPUT**

C	CARD TYPE	RESIDENT ENGINEERS PHONE NUMBER	RESPON. UNIT	DATE WORK STARTED	EST. DATE FOR COMPLETION	PASSWORD	SUSPENSION OR REACTIVATION DATE	S	P	BEGIN CONSTRUCTION DATE
C	0, 5							R	E	

**RESIDENT ENGINEERS MAILING ADDRESS**

C	0, 6	
C	0, 7	
C	0, 8	

**CONTRACTOR NAME AND ADDRESS**

C	0, 9	NAME
C	1, 0	ADDRESS
C	1, 1	
C	1, 2	
C	1, 3	CONTRACTORS PHONE NUMBER
C	1, 4	

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**BRIDGE DEPARTMENT DATA**

C	CARD TYPE	BRIDGE REP. NAME	RESPON. UNIT	ORIGINAL AUTHORIZED AMOUNT FOR BRIDGE WORK *	MOBIL %	C
C	1, 5					

\* (INCLUDE MOBIL-AMT.)

**REMARKS**

BY: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

NAME \_\_\_\_\_

PHONE \_\_\_\_\_

DATE

VERIFY

1 DIST 3 CONTRACT NO. 4 PASSWORD

LINE NO.	DATE			SOURCE DOCUMENT DESCRIPTION	BRIDGE	CONTRACT ITEM ENTRIES			ALL OTHER ENTRIES			ENT BY	BY	
	MO.	DAY	YEAR			ITEM NO.	QUANTITY (UNITS)	CODE	CCO NO.	AMOUNT (\$)	TYPE			
18	20	22	24		43									
01														
02														
03														
04														
05														
06														
07														
08														
09														
10														
11														
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14														
15														
16														
17														
18														
19														
20														
21														
22														
23														
24														

VERIFY

IN CASE OF QUESTION CONTACT: NAME \_\_\_\_\_ PHONE \_\_\_\_\_



## CONTRACT TRANSACTIONS INPUT

1. Enter district and contract numbers on each input page.
2. Enter the password assigned to this contract number.
3. Assign page numbers sequentially throughout the life of the contract starting with Page Number 001. Be careful. This number is important.
4. Each line entry must include the date and a source document description. All source documents are to be cross referenced to this input page using the page and line numbers and the "date of entry." There are two classes of transaction entries.

A. Contract Item Transactions:

<u>TRANSACTION TYPE</u>	<u>ITEM NO.</u>	<u>QUANTITY</u>	<u>CODE</u>
Item Payment	Enter	Enter	Blank
Item Quantity Balance	Enter	Enter	Q
Anticipated Change to Item	Enter	Enter	A
*Item Final Balance	Enter	Blank	F
*Item Final Balance (Reopen)	Enter	'Reopen'	F

\*Source Document Description may be left blank and a standard description will be supplied.

B. All Other Entries:

<u>TRANSACTION TYPE</u>	<u>CCO NO.</u>	<u>AMOUNT</u>	<u>TYPE</u>
Anticipated Change	Blank	Enter	ANT
Materials on Hand	Blank	Enter	MHS
SFM & E Allotment Change	Blank	Enter	SFM
Total Allotment Change	Blank	Enter	TAC
Anticipated Change to CCO	Enter	Enter	ACC
*CCO Final Balance	Enter	Blank	BAL
*CCO Final Balance (Reopen)	Enter	'Reopen'	BAL

\*Source Document Description may be left blank and a standard description will be supplied.

**NOTICE OF POTENTIAL CLAIM**

CEM-6201 (REV 3/2001)

FOR STATE USE ONLY	
Received by _____ (For resident engineer)	Date _____

TO _____ (resident engineer)	CONTRACT NUMBER _____	DATE _____
---------------------------------	-----------------------	------------

**This is a Notice of Potential Claim for additional compensation under the provisions of Section 9-1.04 of the *Standard Specifications*. The act of the engineer, or his/her failure to act, or the event, thing, occurrence, or other cause giving rise to the potential claim occurred on**

DATE \_\_\_\_\_

The particular circumstances of this potential claim are described in detail as follows:

The reasons for which I believe additional compensation may be due are:

The nature of the costs involved and the amount of the potential claim are described as follows:  
(If accurate cost figures are not available, provide an estimate, or describe the types of expenses involved.)

***The undersigned originator (Contractor or Subcontractor as appropriate) certifies that the above statements are made in full cognizance of the California False Claims Act, Government Code sections 12650-12655. The undersigned further understands and agrees that this potential claim to be further considered unless resolved, must be restated as a claim in response to the states proposed final estimate in accordance with Section 9-1.07B of the Standard Specifications.***

\_\_\_\_\_  
SUBCONTRACTOR or CONTRACTOR  
(Circle one)

\_\_\_\_\_  
(Authorized Representative)

**For subcontractor notice of potential claim**

***This notice of potential claim is acknowledged and forwarded***

\_\_\_\_\_  
PRIME CONTRACTOR

\_\_\_\_\_  
(Authorized Representative)

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CEM6201





FOR STATE USE ONLY	
Received By	Date
(For resident engineer)	

TO	CONTRACT NUMBER	DATE	IDENTIFICATION NUMBER
(resident engineer)			

**This is an Initial Notice of Potential Claim for additional compensation submitted as required under the provisions of Section 9-1.04, "Notice of Potential Claim," of the Standard Specifications. The act of the engineer, or his/her failure to act, or the event, thing, occurrence, or other cause giving rise to the potential claim occurred on:**

**DATE:**

The particular nature and circumstances of this potential claim are described as follows:

(attach additional sheets as needed)

*The undersigned originator (Contractor or Subcontractor as appropriate) certifies that the above statements and attached documents are made in full cognizance of the California False Claims Act, Government Code sections 12650-12655. The undersigned further understands and agrees that this potential claim to be further considered, unless resolved, must fully conform to the requirements in Section 9-1.04 of the Standard Specifications and must be restated as a claim in the Contractors written statement of claims in conformance with Section 9-1.07B of the Standard Specifications.*

\_\_\_\_\_  
SUBCONTRACTOR or CONTRACTOR  
(Circle One)

\_\_\_\_\_  
(Authorized Representative)

**For a subcontractor potential claim**

**This notice of potential claim is acknowledged, certified and forwarded by**

\_\_\_\_\_  
PRIME CONTRACTOR

\_\_\_\_\_  
(Authorized Representative)

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FOR STATE USE ONLY	
Received By	Date
(For resident engineer)	

TO	CONTRACT NUMBER	DATE	IDENTIFICATION NUMBER
(resident engineer)			

This is a Supplemental Notice of Potential Claim for additional compensation submitted as required under the provisions of Section 9-1.04, "Notice of Potential Claim," of the Standard Specifications. The act of the engineer, or his/her failure to act, or the event, thing, occurrence, or other cause giving rise to the potential claim occurred on:

DATE:

The particular nature and circumstances of this potential claim are described in detail as follows:

(attach additional sheets as needed)

The basis of this potential claim including all relevant contract provisions are listed as follows:

(attach additional sheets as needed)

The estimated dollar cost of the potential claim including a description of how the estimate was derived and an itemized breakdown of individual costs are attached hereto.

(attach sheets as required)

A time impact analysis of the disputed disruption has been performed and is attached hereto. The affect on the scheduled project completion date is as follows:

(attach time impact analysis as required)

*The undersigned originator (Contractor or Subcontractor as appropriate) certifies that the above statements and attached documents are made in full cognizance of the California False Claims Act, Government Code sections 12650-12655. The undersigned further understands and agrees that this potential claim to be further considered, unless resolved, must fully conform to the requirements in Section 9-1.04 of the Standard Specifications and must be restated as a claim in the Contractors written statement of claims in conformance with Section 9-1.07B of the Standard Specifications.*

\_\_\_\_\_  
SUBCONTRACTOR or CONTRACTOR  
(Circle One)

\_\_\_\_\_  
(Authorized Representative)

**For a subcontractor potential claim**

This notice of potential claim is acknowledged, certified and forwarded by

\_\_\_\_\_  
PRIME CONTRACTOR

\_\_\_\_\_  
(Authorized Representative)

**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.



FOR STATE USE ONLY	
Received By	Date
(For resident engineer)	

TO	CONTRACT NUMBER	DATE	IDENTIFICATION NUMBER
(resident engineer)			

**This is the Full and Final Documentation of Potential Claim for additional compensation submitted as required under the provisions of Section 9-1.04, "Notice of Potential Claim," of the Standard Specifications. The act of the engineer, or his/her failure to act, or the event, thing, occurrence, or other cause giving rise to the potential claim occurred on:**

**DATE:**

The complete and factual narration of events which fully describe the nature and circumstances that caused the dispute or disagreement and potential claim are attached hereto.

(attach sheets as required for full and final documentation)

The basis of this claim including all relevant contract provisions and a statement of the reasons these provisions support and provide basis for entitlement of the potential claim are attached hereto.

(attach sheets as required for full and final documentation)

The identification and copies of any documents and substance of any oral communication that support the potential claim are attached hereto.

(attach sheets as required for full and final documentation)

The exact dollar amount requested and an itemized breakdown of individual costs segregated by labor, materials, equipment and other are attached hereto.

(attach sheets as required for full and final documentation)

The exact amount of any time adjustment requested including justification thereof and time impact analysis are attached hereto.

(attach sheets as required for full and final documentation)

*The undersigned originator (Contractor or Subcontractor as appropriate) certifies that the above statements and attached documentation are made in full cognizance of the California False Claims Act, Government Code sections 12650-12655. The undersigned further understands and agrees that this potential claim to be further considered, unless resolved, must fully conform to the requirements in Section 9-1.04 of the Standard Specifications and must be restated as a claim in the Contractors written statement of claims in conformance with Section 9-1.07B of the Standard Specifications.*

\_\_\_\_\_  
 SUBCONTRACTOR or CONTRACTOR  
 (Circle One)

\_\_\_\_\_  
 (Authorized Representative)

**For a subcontractor potential claim**

This notice of potential claim is acknowledged, certified and forwarded by

\_\_\_\_\_  
 PRIME CONTRACTOR

\_\_\_\_\_  
 (Authorized Representative)

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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**DISPUTES REVIEW BOARD (DRB) ESTABLISHMENT**  
 CP-CEM-6202 (New 02/2002)

Instructions for use - Complete this form after the initial DRB meeting has been held. Fax the completed form to the Division of Construction (headquarters) DRB coordinator.

**CURRENT DATE** \_\_\_\_\_

**CONTRACT NUMBER** \_\_\_\_\_ **ROUTE** \_\_\_\_\_

**WORK DESCRIPTION** \_\_\_\_\_

**CONTRACTOR** \_\_\_\_\_

**RESIDENT ENGINEER** \_\_\_\_\_ **PHONE** \_\_\_\_\_

**ENGINEER'S ESTIMATE** \_\_\_\_\_ **BID AMOUNT** \_\_\_\_\_

**ORIGINAL NUMBER OF PROJECT WORKING DAYS** \_\_\_\_\_

**BID OPENING DATE** \_\_\_\_\_ **CONTRACT AWARD DATE** \_\_\_\_\_

**CONTRACT APPROVAL DATE** \_\_\_\_\_ **FIRST WORKING DAY DATE** \_\_\_\_\_

**DRB ESTABLISHMENT DATE** \_\_\_\_\_ **DRB AGREEMENT DATE** \_\_\_\_\_

**DRB CCO APPROVAL DATE** \_\_\_\_\_

**INITIAL DRB MEETING DATE** \_\_\_\_\_

**SUBSEQUENT STATUS MEETING SCHEDULED DATE** \_\_\_\_\_

**PLANNED FREQUENCY OF DRB STATUS MEETINGS (4 months max.)** \_\_\_\_\_

**DRB MEMBERS**

NAME	NOMINATED	NOMINATION	APPROVED BY	APPROVAL DATE
	Department		Contractor	
	Contractor		Department	
	DRB members		Cont./Dept. - HQ*	

\*DRB chairman nomination requires the Division of Construction (headquarters) construction coordinator approval. Enter both the contractor's

**RETENTION TAKEN FOR DELAYED DRB ESTABLISHMENT** \_\_\_\_\_ **YES** \_\_\_\_\_ **NO**

**COMMENTS** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**ADA Notice** For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 653-3657 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.





**DISPUTE REVIEW BOARD (DRB) UPDATE REPORT**

CEM-6203 (NEW 02/2002)

Instructions for use - Complete this form yearly beginning on the anniversary of the first contract working day. Fax the completed form to the Division of Construction (headquarters) DRB coordinator.

**CURRENT DATE** \_\_\_\_\_

**CONTRACT NUMBER** \_\_\_\_\_

**RESIDENT ENGINEER** \_\_\_\_\_ **PHONE** \_\_\_\_\_

**INITIAL DRB MEETING DATE:** \_\_\_\_\_

**DRB STATUS MEETINGS:**

STATUS MEETING DATE	DRB SITE VISIT INCLUDED (Y/N)

**DRB ISSUE MEETINGS:**

ISSUE MEETING DATE	BRIEF DESCRIPTION OF ISSUE

**TOTAL NUMBER OF POTENTIAL CLAIMS RECEIVED TO DATE** \_\_\_\_\_

**TOTAL NUMBER OF UNRESOLVED POTENTIAL CLAIMS** \_\_\_\_\_

**TOTAL NUMBER OF DISPUTE ISSUES REFERRED TO DRB** \_\_\_\_\_

**TOTAL NUMBER OF DRB RECOMMENDATIONS\*** \_\_\_\_\_

\* Typically there is one recommendation per issue referral. Occasionally one recommendation will address more than referred issue. Record the total number of issues the DRB has provided recommendations on.

**DRB EXPENDITURES TO DATE (DRB CCO COSTS)** \_\_\_\_\_

**COMMENTS** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

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# DISPUTE REVIEW BOARD (DRB) ISSUE REPORT

CEM-6204 (NEW - 02/2002)

Instructions for use - Complete this form when the Department's response to the DRB recommendation is sent and the contractor's response has been received or has been accepted by default. Fax the completed form, the DRB recommendation, and the Department's response to the Division of Construction (headquarters) DRB coordinator.

**CURRENT DATE** \_\_\_\_\_

**CONTRACT NUMBER** \_\_\_\_\_

**RESIDENT ENGINEER** \_\_\_\_\_ **PHONE** \_\_\_\_\_

**ISSUE INFORMATION:**

**BRIEF DESCRIPTION OF ISSUE:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**DATE OF INITIAL NOTICE OF POTENTIAL CLAIM** \_\_\_\_\_

**NOTICE OF POTENTIAL CLAIM NUMBER** \_\_\_\_\_

**DATE OF ENGINEER'S RESPONSE TO POTENTIAL CLAIM** \_\_\_\_\_

**DATE OF REFERRAL TO DRB** \_\_\_\_\_

**DATE OF ISSUE MEETING** \_\_\_\_\_

**DOLLAR VALUE OF POTENTIAL CLAIM (per contractor)** \_\_\_\_\_

**DELAY DAYS ON NON CONTROLLING ITEM(S) OF WORK (per contractor)** \_\_\_\_\_

**DELAY DAYS ON CONTROLLING ITEM(S) OF WORK (per contractor)** \_\_\_\_\_

**DRB RECOMMENDATION INFORMATION:**

**DRB REQUEST FOR ADDITIONAL INFORMATION (Y/N)** \_\_\_\_\_

**ADDITIONAL INFORMATION REQUESTED FROM (DEPT./CONT.)** \_\_\_\_\_

**DRB RECOMMENDATION DATE** \_\_\_\_\_

**DRB RECOMMENDATION IN FAVOR OF WHICH PARTY** \_\_\_\_\_

**DEPARTMENT RESPONSE (ACCEPTED/REJECTED\*)** \_\_\_\_\_

\*Rejection of any DRB decision requires approval of the Chief of Division of Construction. Acceptance of an unfavorable DRB recommendation requires approval in conformance with the CCO approval authority table.

**DATE OF DEPARTMENT RESPONSE APPROVAL** \_\_\_\_\_

**NAME & TITLE OF APPROVAL AUTHORITY** \_\_\_\_\_

**CONTRACTOR'S RESPONSE (ACCEPTED/REJECTED)** \_\_\_\_\_

**RESOLUTION INFORMATION:**

**HAS THE DISPUTE ISSUE BEEN RESOLVED IN ITS ENTIRETY (Y/N)** \_\_\_\_\_

(If yes, provide the details in the "comments" section below. Include quantification of the dispute resolution in time and dollars and identify the corresponding CCO.)

**COMMENTS:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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**CONTRACT ACCEPTANCE**

CEM 6301 (Rev. 1/2001)

CONTRACT NUMBER	COUNTY, ROUTE, BRIDGE, POST KILOMETERS	FEDERAL NO.
CONTRACTOR NAME AND BUSINESS ADDRESS		

CONTRACT DESCRIPTION AND DELIVERY

DESCRIPTION	QUANTITY DELIVERED	UNITS
New Construction		Centerline Kilometers
		Lane Kilometers
		Structures
Reconstruction		Lane Kilometers
		Structures
New HOV		Lane Kilometers
Operations		Lane Kilometers
Rehabilitation		Lane Kilometers
Preservation		Lane Kilometers
Roadside: New Highway Planting		Hectares
Soundwall		Linear Kilometers

**CONTRACT WORK WAS SATISFACTORILY COMPLETED** \_\_\_\_\_  
Date

**CONTRACT ACCEPTANCE IS RECOMMENDED - in accordance with Section 7-1.17, "Acceptance of Contract," of the Standard Specifications.**

\_\_\_\_\_  
Signature, Resident Engineer

**CONTRACT IS ACCEPTED IN ACCORDANCE WITH ABOVE RECOMMENDATION**

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature, District Division Chief  
for the Director

## CONTRACT ACCEPTANCE

CEM 6301 (Rev. 1/2001)

---

### Instructions for Form CEM-6301, *Contract Acceptance*

#### Contract Description Definitions:

##### New Construction:

New transportation facility that did not previously exist in the corridor or as the addition of an interchange. Lane kilometers include High Occupancy Vehicles (HOV) lanes.

##### Reconstruction:

- Addition of a mainline through lane, including HOV lanes
- Significant changes in horizontal and vertical alignment
- Reconstruction of an interchange by adding, moving or relocating ramps
- Replacement of an entire bridge or major portions of an existing bridge on a new vertical or horizontal alignment
- Seismic Retrofit

##### Operations:

Turnouts, passing lanes, truck climbing lanes

##### Rehabilitation:

Restoration and replacement of lanes, excluding any major maintenance of lanes (AC overlays greater than 25mm)

##### Preservation:

Major maintenance and other pavement life extension work (Thin blanket AC overlays 25mm or less, chip seals, slurry seals, etc.)

##### Roadside-New Highway Planting:

Landscaping

##### Soundwalls:

Linear kilometers of new soundwall

---

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# CONSTRUCTION MANUAL PROPOSED CHANGE

CEM-9001 (New 11/1992)

### ADA Notice

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CHAPTER	SECTION	PAGE
SUBMITTED BY	DISTRICT/UNIT	DATE
PROPOSED CHANGE		

NUMBER OF ATTACHED PAGES

APPROVED BY

APPROVAL DATE



<input type="checkbox"/> PRELIMINARY TESTS	SAMPLE SENT TO: <input type="checkbox"/> HDQTRS. LAB <input type="checkbox"/> BRANCH LAB <input type="checkbox"/> DIST. LAB	FIELD NO.
<input type="checkbox"/> PROCESS TESTS		DIST. LAB NO.
<input type="checkbox"/> ACCEPTANCE		LOT NO.
INDEPENDENT ASSURANCE TESTS <input type="checkbox"/> DIST. LAB <input type="checkbox"/> TRANS. LAB	SHIPMENT NO.	P.O. OR REQ. NO.
<input type="checkbox"/> SPECIAL TESTS	AUTHORIZATION NO.	

SAMPLE OF \_\_\_\_\_  
 FOR USE IN \_\_\_\_\_

SAMPLE FROM \_\_\_\_\_

DEPTH \_\_\_\_\_

LOCATION OF SOURCE \_\_\_\_\_

THIS SAMPLE IS SHIPPED IN (NO. CONTAINERS)	AND IS ON E OF A GROUP OF	SAMPLES REPRESENTING (TONS, GALS, BBLs)
OWNER OR MANUFACTURER		

TOTAL QUANTITY AVAILABLE	TEST RESULTS DESIRED <input type="checkbox"/> NORMAL <input type="checkbox"/> PRIORITY	DATE NEEDED
REMARKS		

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

COVER ADDITIONAL INFORMATION WITH LETTER  
 DATE SAMPLED \_\_\_\_\_

BY _____	TITLE _____
DIST, CO, RTE, PM _____	

LIMITS \_\_\_\_\_

CONT. NO. \_\_\_\_\_

FED. NO. \_\_\_\_\_

RES. ENGR. OR SUPT. \_\_\_\_\_

ADDRESS \_\_\_\_\_

CONTRACTOR \_\_\_\_\_

<input type="checkbox"/> PRELIMINARY TESTS	SAMPLE SENT TO: <input type="checkbox"/> HDQTRS. LAB <input type="checkbox"/> BRANCH LAB <input type="checkbox"/> DIST. LAB	FIELD NO.
<input type="checkbox"/> PROCESS TESTS		DIST. LAB NO.
<input type="checkbox"/> ACCEPTANCE		LOT NO.
INDEPENDENT ASSURANCE TESTS <input type="checkbox"/> DIST. LAB <input type="checkbox"/> TRANS. LAB	SHIPMENT NO.	P.O. OR REQ. NO.
<input type="checkbox"/> SPECIAL TESTS	AUTHORIZATION NO.	

SAMPLE OF \_\_\_\_\_  
 FOR USE IN \_\_\_\_\_

SAMPLE FROM \_\_\_\_\_

DEPTH \_\_\_\_\_

LOCATION OF SOURCE \_\_\_\_\_

THIS SAMPLE IS SHIPPED IN (NO. CONTAINERS)	AND IS ON E OF A GROUP OF	SAMPLES REPRESENTING (TONS, GALS, BBLs)
OWNER OR MANUFACTURER		

TOTAL QUANTITY AVAILABLE	TEST RESULTS DESIRED <input type="checkbox"/> NORMAL <input type="checkbox"/> PRIORITY	DATE NEEDED
REMARKS		

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

COVER ADDITIONAL INFORMATION WITH LETTER  
 DATE SAMPLED \_\_\_\_\_

BY _____	TITLE _____
DIST, CO, RTE, PM _____	

LIMITS \_\_\_\_\_

CONT. NO. \_\_\_\_\_

FED. NO. \_\_\_\_\_

RES. ENGR. OR SUPT. \_\_\_\_\_

ADDRESS \_\_\_\_\_

CONTRACTOR \_\_\_\_\_



**FIELD SAMPLE OF PORTLAND CEMENT CONCRETE**

**SAMPLE CARD**

TL-0502 (REV. 6/97)

NO.			
CONTR. NO		FED NO.	
DIST.	CO.	RT.	P.M.
LIMITS OF WORK			

RES. ENG. OR SUPT

ADDRESS

CONTRACTOR

**SOURCE OF MATERIALS**

CEMENT	CERTIFICATE NO.
FINE AGGREGATE	SMARA
COARSE AGGREGATE	SMARA

FIELD SAMPLE NO.	
SIZE OF SPECIMEN - mm	
DATE CAST	
CEMENT - kg/m <sup>3</sup>	
PERCENT AIR	
KELLY BALL PENETRATION	
WATER - kg/m <sup>3</sup>	
SAMPLED FROM	
ADMIXTURE	

REMARKS

SAMPLED BY

TITLE

**ENCLOSURE WITH SAMPLE**

**FIELD SAMPLE OF PORTLAND CEMENT CONCRETE**

**SAMPLE CARD**

TL-0502 (REV. 6/97)

NO.			
CONTR. NO		FED NO.	
DIST.	CO.	RT.	P.M.
LIMITS OF WORK			

RES. ENG. OR SUPT

ADDRESS

CONTRACTOR

**SOURCE OF MATERIALS**

CEMENT	CERTIFICATE NO.
FINE AGGREGATE	SMARA
COARSE AGGREGATE	SMARA

FIELD SAMPLE NO.	
SIZE OF SPECIMEN - mm	
DATE CAST	
CEMENT - kg/m <sup>3</sup>	
PERCENT AIR	
KELLY BALL PENETRATION	
WATER - kg/m <sup>3</sup>	
SAMPLED FROM	
ADMIXTURE	

REMARKS

SAMPLED BY

TITLE

**ENCLOSURE WITH SAMPLE**

STATE OF CALIFORNIA-DEPARTMENT OF TRANSPORTATION  
**JOB CEMENT SAMPLES RECORD**  
 MR 0518 (Rev. 6/93)#CT-7541-6019-0

024070

**Note:** THIS IS A RECORD OF JOB CEMENT SAMPLES SHIPPED  
 TO THE LABORATORY BY THE RESIDENT ENGINEER.

DISTRICT	COUNTY	ROUTE	P.M.
----------	--------	-------	------

CONTRACT OR W.O. NUMBER

CONTRACTOR

RESIDENT ENGINEER

PHONE NUMBER

ADDRESS

SAMPLE REPRESENTS *(bbl.)*

TYPE *(Circle one.)*

I II III IV V 1P N F C

BRAND

Mineral admixture  Cement

MILL OR SOURCE LOCATION

TYPE WORK

<b>Certificate of Compliance Received From (name)</b>	MILL OR SOURCE
	READY-MIX MANUFACTURER
	CONCRETE PRODUCTS MANUFACTURER

CERTIFICATE OF COMPLIANCE NUMBERS

SAMPLED BY *(print)*

DATE SAMPLED

REMARKS

White--Enclose with sample  
 Yellow--For Resident Engineer

G920167 93 96159



STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**PRODUCT, MATERIAL, OR METHOD REPORT**  
**(For Highway Planting or Erosion Control)**  
 LA - 16 (REV 04/2001)

**Purpose of Report:** \_\_\_\_\_

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

LOCATION		DISTRICT	COUNTY	ROUTE	P.M. OR STA. AT EACH LOCATION
INSTALLED BY		CONTRACT NUMBER		MAINTENANCE OR OTHER	
DATE INSTALLED	COSTS		PLANS ATTACHED <input type="checkbox"/> YES <input type="checkbox"/> NO		

**Evaluation and Comments:** \_\_\_\_\_

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

FINANCIAL SAVINGS	ADDITIONAL EVALUATION REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO
-------------------	---

**If yes, state reason:** \_\_\_\_\_

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

INITIATED BY	DEPARTMENT	PHONE
REVIEWED BY	DEPARTMENT	PHONE

Send copy to: California Department of Transportation  
 Office of State Landscape Architecture, MS 28  
 Standards Branch  
 1120 N Street, Sacramento, CA 95814

DATE
------

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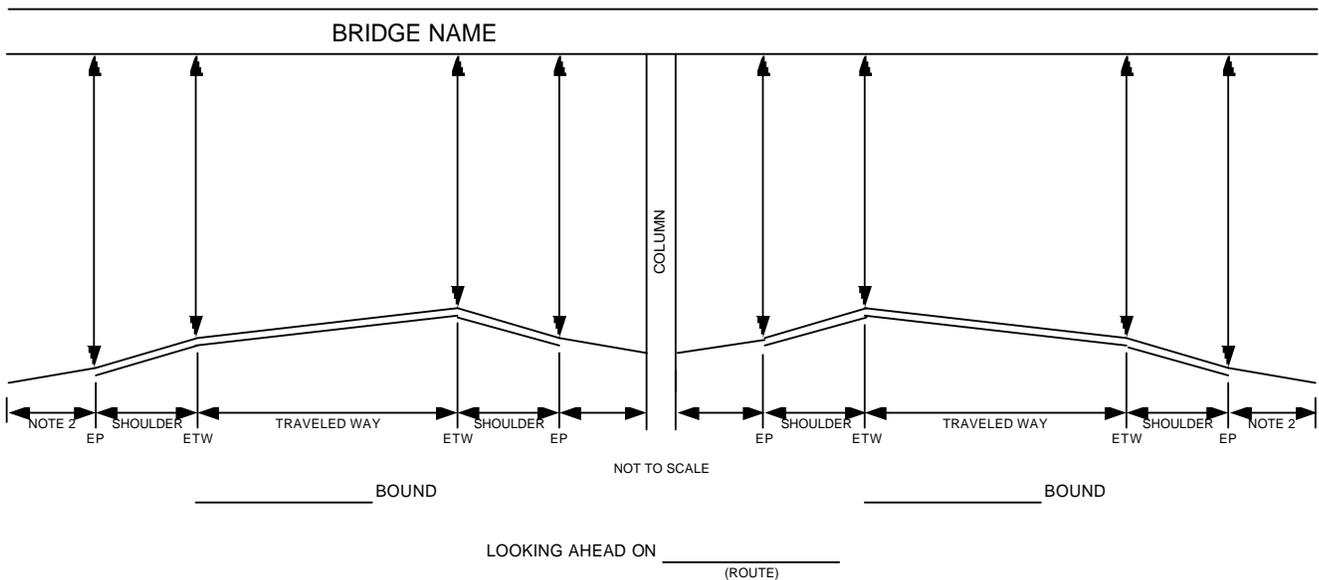
**NOTICE OF CHANGE IN CLEARANCE OR BRIDGE WEIGHT RATING**

TR-0019 (NEW 6/2000)

PLEASE FAX THIS FORM TO: NORTH REGION CONST/MAINT LIAISON (916) 322-4081  
 SOUTH REGION CONST/MAINT LIAISON (909) 383-4296

BRIDGE NAME			BRIDGE NUMBER		DATE
DISTRICT	COUNTY	ROUTE	PM	CITY	
SUBMITTED BY		PHONE NUMBER		FAX NUMBER	
TYPE OF CHANGE (SELECT ONE) <input type="checkbox"/> PERMANENT <input type="checkbox"/> TEMPORARY (SEE NOTE 1)		TENTATIVE START DATE		TENTATIVE END DATE	
BRIDGE WEIGHT RATING CHANGE (SELECT ONE) <input type="checkbox"/> YES <input type="checkbox"/> NO		EXISTING BRIDGE WEIGHT RATING		NEW BRIDGE WEIGHT RATING	

**CLEARANCE DIAGRAM**



**NOTES:**

- 1) FOR TEMPORARY VERTICAL CLEARANCE CHANGES, DIMENSIONS ARE TO BOTTOM OF FALSEWORK
- 2) INCLUDE DISTANCE TO ANY OBSTRUCTION (i.e. -GUARDRAIL, COLUMNS, K-RAIL)

FOR LIAISON USE ONLY:

DATE RECEIVED BY LIAISON	DATE OF RCD/TRD CHANGE	LIAISON SIGNATURE
--------------------------	------------------------	-------------------



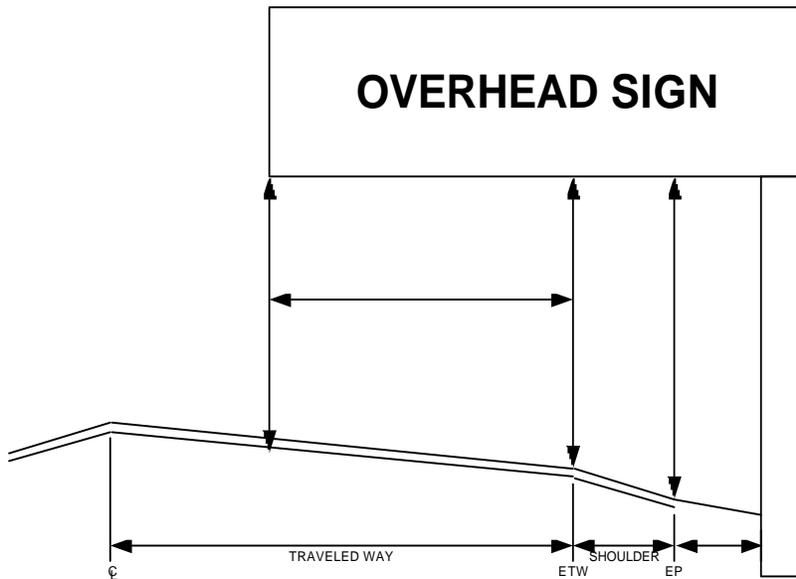
**NOTICE OF CHANGE IN VERTICAL OR HORIZONTAL CLEARANCE**

TR-0020 (NEW 6/2000)

PLEASE FAX THIS FORM TO: NORTH REGION CONST/MAINT LIAISON (916) 322-4081  
 SOUTH REGION CONST/MAINT LIAISON (909) 383-4296

SIGN NAME			SIGN NUMBER		DATE
DISTRICT	COUNTY	ROUTE	PM	CITY	
SUBMITTED BY		PHONE NUMBER		FAX NUMBER	

**CLEARANCE DIAGRAM**



NOT TO SCALE

LOOKING \_\_\_\_\_ ON \_\_\_\_\_  
 (DIRECTION) (ROUTE)

MAINLINE       RAMP

FOR LIAISON USE ONLY:

DATE RECEIVED BY LIAISON	DATE OF RCD/TRD CHANGE	LIAISON SIGNATURE
--------------------------	------------------------	-------------------



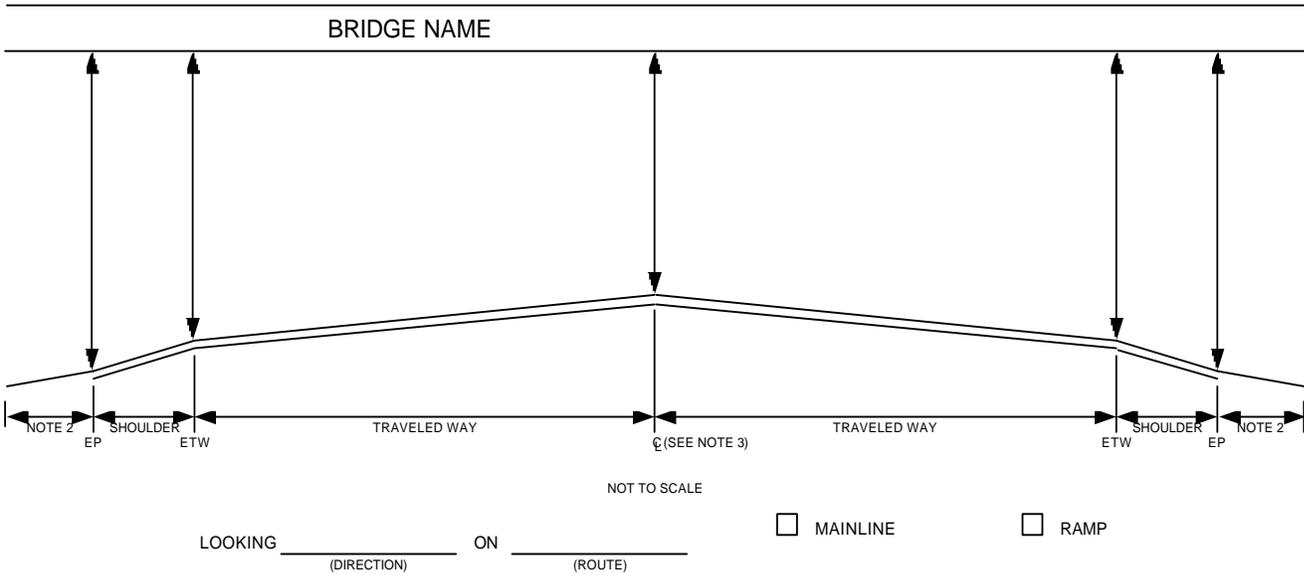
**NOTICE OF CHANGE IN CLEARANCE OR BRIDGE WEIGHT RATING**

TR-0029 (NEW 6/2000)

PLEASE FAX THIS FORM TO: NORTH REGION CONST/MAINT LIAISON (916) 322-4081  
 SOUTH REGION CONST/MAINT LIAISON (909) 383-4296

BRIDGE NAME		BRIDGE NUMBER		DATE
DISTRICT	COUNTY	ROUTE	PM	CITY
SUBMITTED BY		PHONE NUMBER	FAX NUMBER	
TYPE OF CHANGE (SELECT ONE) <input type="checkbox"/> PERMANENT <input type="checkbox"/> TEMPORARY (SEE NOTE 1)		TENTATIVE START DATE	TENTATIVE END DATE	
BRIDGE WEIGHT RATING CHANGE (SELECT ONE) <input type="checkbox"/> YES <input type="checkbox"/> NO		EXISTING BRIDGE WEIGHT RATING	NEW BRIDGE WEIGHT RATING	

**CLEARANCE DIAGRAM**



**NOTES:**

- 1) FOR TEMPORARY VERTICAL CLEARANCE CHANGES, DIMENSIONS ARE TO BOTTOM OF FALSEWORK
- 2) INCLUDE DISTANCE TO ANY OBSTRUCTION (i.e. -GUARDRAIL, COLUMNS, K-RAIL)
- 3) FOR DIVIDED HIGHWAYS, USE FORM NUMBER TR-0019

FOR LIAISON USE ONLY:

DATE RECEIVED BY LIAISON	DATE OF RCD/TRD CHANGE	LIAISON SIGNATURE
--------------------------	------------------------	-------------------



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