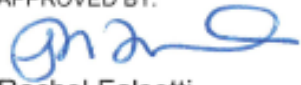


MANUAL CHANGE TRANSMITTAL		NO. 18-3
TITLE: California Department of Transportation <i>Construction Manual</i>	APPROVED BY:  Rachel Falsetti Chief, Division of Construction	DATE ISSUED: 5/2/18
SUBJECT AREA Section 1-0, 9-2 of the <i>Construction Manual</i>	ISSUING UNIT Division of Construction	
SUPERSEDES None	DISTRIBUTION All Requested Manual Holders	

The purpose of this manual change transmittal is to announce updates and corrections to the Caltrans *Construction Manual*. Please note the updates, and print new sections for your manual as needed. Updates are published on <http://www.dot.ca.gov/hq/construc/constmanual/> and are indicated by the date listed in the right-hand column. Specific changes are enumerated below:

Section 1-0, “Construction Manual Overview”

- Section 1-004, “Changes,” specifies that updates to the *Construction Manual* will be announced by Manual Change Transmittals and will be incorporated into the manual on an ongoing basis. Interim Policy Change Bulletins no longer will be necessary.

Section 9-2, “Projects Administered by a Local Agency on the State Highway System”

- Section 9-203, “Reimbursement,” specifies that the quality assurance and quality control are the responsibility of the implementing agency, unless a quality assurance test can only be performed by Caltrans. Caltrans will perform the test as reimbursed work.

Section(s)	Background or reason for change	References
Section 1-0, “Construction Manual Overview”	Beginning in March 2018, updates to the <i>Construction Manual</i> will be made as new policies arise, discontinuing the process of announcing changes in interim Construction Policy Bulletins until manual sections were updated. Bulletins issued after the July 2017 manual update will be wrapped into the manual by the end of 2018.	None listed

Section(s)	Background or reason for change	References
Section 9-2, “Projects Administered by a Local Agency on the State Highway System”	Quality assurance and quality control are now the responsibility of the implementing agency unless <u>only</u> Caltrans can perform the test. It will be performed as reimbursed work.	None listed

Section 0 Construction Manual Overview

Section 0 Construction Manual Overview

1-001 Purpose

1-001 Purpose

When applying Caltrans policy to the administration of construction contracts, knowing how to interpret contract documents and plans, and how to apply engineering experience and judgment is important. The *Construction Manual* provides guidance for the administration of construction contracts and is not a replacement but rather a supplement to engineering experience and judgment, as well as personnel training and development.

Caltrans intends that this manual be used as a resource to provide procedural guidance for personnel engaged in contract administration. This manual is a guide, not a compilation of mandatory instructions. Unless guiding language is explicitly mandatory, personnel are expected to perform in accordance with the guidance in this manual within the resources allotted for construction contract administration. The resident engineer has a primary role of contract administration and is in responsible charge for administration of the contract. The assistant resident engineer (inspector) has a primary role of field inspection of contractor quality of work. The resident engineer coordinates with inspectors to determine appropriate priorities for testing and inspection of work quality based on contractor-proposed order of work for the shift. A contract may have one or more inspectors assigned and each may have one or more activities to inspect as part of their daily responsibilities. There is no contractual requirement to provide full time inspection of any activity; inspectors may not be on site from start to end of contractor operations, and they may be required, due to staffing levels, to rotate inspection activities among their assigned work areas during the work shift or as work progresses. The provisions herein for contract inspection are only applicable when the inspector is present and observing a particular contractor operation and recognizes the issue as it develops or after completion of the work.

The manual establishes policies and procedures for the construction phase of Caltrans projects. However, this manual is not a contract document. It imposes no obligations or requirements on contractors. Resident engineers and other Caltrans personnel who administer Caltrans contracts must never use the manual as a substitute or supplement to the specifications and other contract requirements. Similarly, the guidance in this manual does not relieve contractors from their obligation and responsibility for their means and methods, quality control, and compliance with contract requirements.

1-002 Scope

1-002 Scope

This manual covers topics in two general areas:

1. Policies and procedures related to Caltrans construction personnel. This topic includes internal policies and procedures for the following areas:
 - Safety
 - Training
 - Acquiring and using resources

- Public relations
 - Coordinating with other Caltrans units and outside agencies and organizations
2. Construction contract administration. This topic includes the following areas:
- Making timely and accurate contract payments
 - Inspection, testing, and documenting the contractor's compliance with contract requirements

The manual uses the *Standard Specifications* and some of the more frequently used special provisions as the basis for contract administration instructions and guidelines. Before attempting to apply these instructions and guidelines, the engineer working in the field must have a thorough understanding of the specifications and other contract requirements.

The manual contains many references to other publications and documents, including other Caltrans manuals and publications. However, we have made a concerted effort to minimize any repetition of information found in other publications.

This manual is not designed to establish a legal standard of care. It is published solely for the information and guidance of the employees of Caltrans. Also, it is not intended that any standard of conduct or duty toward the public shall be created or imposed by the publication of this manual. Each chapter in this manual is subject to modifications as conditions warrant.

1-003 Format

1-003 Format

The manual has been carefully organized to reflect, as much as possible, the general organization of the *Standard Specifications*. Chapters are organized to logically lead the user through the general process of contract administration. For quick reference, an outline of many sections is included at the beginning of those sections, and the major headings are shown in the outside margin of each page.

1-004 Changes

1-004 Changes

The Division of Construction issues Manual Change Transmittals to announce changes of information, guidance, or instruction in the manual.

New or revised specifications that may affect the current manual guidelines for contract administration will be reflected as soon as possible in updated manual sections. As specifications, practices, procedures, and policies change, revisions will be made to the manual posted at:

<http://www.dot.ca.gov/hq/construc/constmanual/>

If a policy contained in this manual is unclear or has been superseded, use the following procedure to recommend a manual change:

Complete Form CEM-9001, "Construction Manual Proposed Change," and send it to Construction.Publications@dot.ca.gov. Explain the reason for the proposed change and attach a draft of the proposed revision.

The Division of Construction will review the proposed change and make a decision regarding future revision.

Section 2 Projects Administered by a Local Agency on the State Highway System

9-201 General

9-202 Quality

9-203 Reimbursement

9-204 Source Inspection

9-205 Project Review

Section 2 Projects Administered by a Local Agency on the State Highway System

9-201 General

Ensure that all projects on or proposed for the state highway system are constructed efficiently and effectively in accordance with Deputy Directive 23-R1, “Roles and Responsibilities for Development of Projects on the State Highway System.” The directive requires local agencies to conform to Caltrans standards and practices as defined in policies, procedures, manuals, and guidance documents.

The implementing agency is that entity charged with successful completion of each project component as defined in California Government Code, Section 14529 (b) of which one component is construction, construction management, and engineering, including surveys and inspection. To establish clear lines of responsibility, contract advertisement, award, and administration shall be completed by the same implementing agency.

Work in partnership with the local agency by committing to fulfill all Caltrans promises as established by Director’s Policy DP-10, “Department Commitments.” These commitments will have been agreed to in the cooperative agreement and the encroachment permit.

Obtain a copy of the cooperative agreement and encroachment permit before work begins. Comply with the terms of both agreements or jointly amend them as necessary.

Perform quality management work in accordance with Deputy Directive 90, “Funding of Quality Management Work on State Highway Projects,” that outlines how quality management work will be performed for state highway system projects. That directive requires the implementing agency, other than Caltrans, to develop a quality control plan for construction administration.

The local agency must obtain an encroachment permit and use Caltrans approved plans and specifications before performing any construction administration or work on the state highway system. The local agency will provide the resident engineer and construction engineering team. Caltrans will provide independent quality assurance (IQA) and oversight of construction.

The *Construction Manual Supplement for Local Agency Resident Engineers* and the *Local Agency Structure Representative Guidelines* provide guidance to the implementing agency when it administers a construction project that modifies, maintains, or improves the state highway system. District construction and Structure Construction oversight resident engineers should provide copies of these guidelines to the implementing agency at the project development team meeting where the construction phase cooperative agreement is discussed and at the preconstruction

Section 2 Projects Administered by a Local Agency on the State Highway System

9-201 General

meeting where roles, responsibilities, and procedures are discussed. The local agency is expected to conform to these guidelines.

9-202 **9-202** **Quality** **Quality**

When Caltrans is the implementing agency for construction administration, quality assurance consists of quality control, department acceptance, and IQA activities described in the contract, structure construction technical manuals, the *Construction Quality Assurance Program* manual and this manual.

When a government agency or private entity is the implementing agency, it is responsible for implementing quality control and quality assurance procedures for the project that comply with Caltrans policies, procedures, standards and best practices such that the local agency's:

1. Contractor is responsible for quality control that consists of operational techniques and activities that are performed or conducted to fulfill contract requirements for quality.
2. Resident engineer is responsible for quality assurance that consists of planned and systematic actions necessary to provide confidence that product or service quality will satisfy the contract requirements as detailed in the *Construction Manual Supplement for Local Agency Resident Engineers*.
3. Structure representative is responsible for providing quality assurance as detailed in the *Local Agency Structure Representative Guidelines*.

The *Construction Manual Supplement for Local Agency Resident Engineers* and the *Local Agency Structure Representative Guidelines* are used by government agencies and private entities to prepare their quality management plan and to administrate the construction contract. A recommended local agency quality management plan outline is provided in the *Oversight Resident Engineer Guidelines*:

<http://www.dot.ca.gov/hq/construc/publicationlist.htm>

Caltrans district construction, with input from Structure Construction for projects involving structures, must approve the quality management plan before the encroachment permit for construction is issued.

Caltrans oversees construction administration of the project administered by local agencies for compliance with state and federal regulations and laws, and Caltrans standards. This IQA means Caltrans provides policy and procedural oversight to non-Caltrans organizations, personnel, or companies administering construction contracts on projects under encroachment permit on the state highway system. Caltrans provides direction for similar organizations and personnel for projects that will become a part of the state highway system.

The Division of Construction's *Oversight Resident Engineer Guidelines* provides policy and procedures related to the duties of Caltrans construction IQA personnel on local agency-administered construction projects. These guidelines are to be used as a resource for Caltrans employees who provide IQA on projects administered by others on the existing or future state highway system. The *Oversight Resident Engineer Guidelines* should not be used as a substitute for the encroachment permit or the cooperative agreement.

9-203 Reimbursement

When the implementing agency is a private entity, Caltrans performs IQA services at the private entity's expense. When another government agency is the implementing agency, Caltrans IQA services are typically provided at state expense. Reimbursement of Caltrans activities would be documented in a cooperative agreement prior to start of construction. Quality assurance and quality control activities are the responsibility of the implementing agency, unless a quality assurance test can only be performed by Caltrans. Caltrans will perform the test as reimbursed work.

9-204 Source Inspection

The local agency provides source inspection on projects they administer.

The local agency is required to prepare a Source Inspection Quality Management Plan (SIQMP). Prior to issuance of the encroachment permit for construction, the SIQMP must be approved by the state materials engineer.

The recommended *SIQMP Outline* was introduced with the "Materials Engineering and Testing Services Source Inspection Quality Management Plan Outline" memorandum dated April 20, 2012, from the Division of Engineering Services, Deputy Division Chief for Materials Engineering and Testing Services (METS).

METS developed the *SIQMP Outline* to help local agencies manage their source inspection efforts when administering construction projects within the state highway system. The outline is provided in the *Oversight Resident Engineer Guidelines*:

<http://www.dot.ca.gov/hq/construc/publicationlist.htm>

9-205 Project Review

Caltrans, the local agency, and the contractor review a locally-administered state highway construction project prior to Caltrans' acceptance of the work.

Prior to this review, Caltrans oversight personnel perform a separate review and coordinate Caltrans safety and maintenance reviews of the local agency project at 90 percent complete.

Before acceptance of the work, Caltrans oversight personnel discuss the findings of the independent review, safety review, and maintenance review with the local agency.

The local agency must submit all required contract, technical, and administrative documents, including change orders and project history file, before Caltrans accepts the work.

Caltrans oversight personnel must use Form OFG-6, "Final Acceptance Checklist for Caltrans Oversight Projects," to facilitate the review and acceptance by Caltrans of local agency or private entity-administered construction projects on the state highway system.

9-203 Reimbursement

9-204 Source Inspection

9-205 Project Review