

Exhibit 15-B: Resident Engineer's Construction Contract Administration Checklist

This checklist is intended to assist Local Public Agency (LPA) Resident Engineers (REs) with the administration of federal-aid projects. It is to be completed and signed by the LPA's RE and submitted with the LPA's Award Package.

This checklist does not contain all the federal-aid requirements for administration of federal-aid projects; the RE is advised to review the Local Assistance Procedures Manual (LAPM) to be familiar with all the federal-aid requirements.

Local Public Agency: _____ Federal Project No.: _____

1. Contract Staffing

- Names and titles of all staff assigned to the contract must be in the contract files and must be adequate (see LAPM Chapter 16.2: Project Supervision and Inspection).
- Date of pre-construction conference (attendees list in contract file): _____

2. Authorization

- Date of Authorization to Proceed with Construction: _____ (must be prior to date project was advertised)
- Date the project was advertised: _____

3. Contract Files

- Files must be in an established order and separate from other contracts (see LAPM Chapter 16.3: Maintaining Project Records).

Index used on this project is (check one of the following):

- LPA's standard for all jobs
- For federal-aid jobs only

4. Resident Engineer's / Construction Inspector's Daily Diaries

- Must be current, thorough, and neat with detailed information on all work performed (see LAPM Chapter 16.8: Engineer's Daily Reports).

5. Construction Records and Accounting Procedures

- Detail Estimate(s) and Finance Letter(s) are in the project files
- Amount of federal-aid funds encumbered for the project: \$ _____
- Program Supplemental Agreement is in the project files
- There must be source documents supporting progress payments made to the Contractor
- There must be separate item sheets for each contract item paid
- There must be a procedure for Administrative or Labor Compliance deductions
- Invoices to the State must match progress payments made to the Contractor

6. Contract Time

- A method must be established to determine contract time (see LAPM Chapter 16.6: Tracking Contract Time)

7. Labor Compliance

- Certified payrolls must be spot-checked against daily diaries and prevailing wages (see LAPM Chapter 16.9: Labor Compliance) LPA's Labor Compliance Officer: _____

8. Equal Employment Opportunity (EEO)

- Records must be maintained to ensure EEO requirements are performed and documented in the contract records (see LAPM Chapter 16.9: Equal Employment Opportunity)
LPA's EEO Compliance Officer: _____

9. EEO / Wage Rate / False Statement Posters

- Federal posters must be posted for every worker to see at or near the contractor's office at the construction site, or at the worker's central gathering point

10. Employee Interviews

- Employee interviews must be conducted (LAPM 16-N or LAPM 16-N ESP)

11. On-the-Job-Training (OJT) – see LAPM Chapter 12.8: Federal Contract Requirements

- Is the job less than 100 working days? Yes No

If yes, proceed to Item #12.

If no, answer the following questions in relation to Table 12-2: Federal Trainee Schedule

- What is the total cost for the work categories: \$ _____
- What is the required number of trainees for this contract? _____

- Documentation will be retained in the project files to account for the apprentices on the job

12. Disadvantaged Business Enterprise (DBE)

- DBE Contract Goal Percentage Exhibit 9-D: _____
- LPA's DBE Liaison Officer: _____
- Verified that a copy of the completed Exhibit 15-G: Construction Contract DBE Commitment has been submitted to the DLAE within 30 days of contract award
- Contractor has been provided Exhibit 16-Z1: Monthly DBE Trucking Verification
- Contractor has been provided Exhibit 9-F: Monthly DBE Payment (for projects awarded between March 1, 2020 and September 1, 2023)
- Contractor has been provided Exhibit 9-P: Prompt Payment Certification (for projects awarded on or after September 1, 2023)
- Contractor has been provided LAPM 9-J: DBE Commercially Useful Function Evaluation
- Contractor has been provided LAPM 9-K: DBE Joint Check Agreement Request

13. Change Order (CO) / Claims

- A CO approval process must be established; for NHS projects, major COs must be approved by the DLAE prior to performance of work (see LAPM Chapter 16.10: Change Order)
- There must be a list of the approved COs
- All COs must note federal-aid eligibility or not
- Pending claims must be identified and documented in the contract file

14. Traffic Safety in Highway and Street Work Zones – see LAPM Chapter 16.15: Traffic Safety in Highway and Street Work Zones

- Traffic Control Plan (TCP) / Traffic Management Plan (TMP) in the PS&E? Yes No

Comments:

- Responsible Person (if not the RE): _____
- LPA must field review the project to ensure that the TCP agrees with actual conditions
- LPA must analyze construction work site accidents for the purpose of correcting deficiencies which might be found to exist on these projects and to improve the content of future TCPs

15. Materials Files

- The Quality Assurance Program (QAP) is in the project files (see LAPM Chapter 16.11: Quality Assurance Program)
- There must be procedures for and the filing of (if appropriate):
 - Notice of Materials to be Used
 - Certificates of Compliance
 - Buy America Requirements
- Acceptance Sampling and Test Reports must be in the project files
- There must be a Summary Log of tests
- Frequency tables must be used
- Failed tests must be documented in the project files with cross references to re-tests
- RE must review all test reports

16. Environmental

- The approved NEPA document is in the project files
- The construction project must adhere to the mitigation requirements in the approved NEPA document

17. For Projects on the State Highway System

- A Caltrans Encroachment Permit has been issued
- LPA must comply with the State's Representative's oversight requirements

18. Signatures

Name of LPA Resident Engineer

LPA Resident Engineer (Signature)

Date

Check one of the following to indicate that the RE is a: LPA employee Consultant

If the RE is a consultant, the LPA's Person in Responsible Charge must also sign below:

Name

Signature

Date