

# SC Staff Responsibilities for Performing Operational Activities

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This attachment identifies the essential features of the general working relationship and responsibilities of Structure Construction (SC) staff to ensure the quality, consistency, efficiency, safety, and productivity of SC and its partners when performing operational activities. SC staff are expected to be aware of these standard activities, which include operational activities for project documentation and retention, quality assurance of materials, safety awareness and training to support contract administration, and in support of the Caltrans Injury and Illness Prevention Program (IIPP). Below are lists of responsibilities that SC staff perform, arranged in the following five groups:

1. Operational Activities in Support of Equipment Use
2. Operational Activities in Support of Material Management
3. Operational Activities in Support of Project Closeout
4. Operational Activities in Support of Safety Management
5. Operational Activities in Support of SC HQ and Other Functional Units

## **1 - Operational Activities in Support of Equipment Use**

Operational activities in support of equipment use include the:

- Use of State computers
- Use of State cell phones
- Use of State vehicles

### **1-1 Use of State Computers**

Computer upgrades, modifications, repairs, etc. is performed by Caltrans Information Technology. Direction for use of State computers is provided in the:

- Caltrans [Deputy Directives](#) (DD):
  - DD 65, *Install and Maintain Network Level Anti-Virus Software on All Caltrans Networks*
  - DD-66, *Software Management and Licensing Program*
  - DD-67, *Software Piracy*
  - DD-89, *Security of Portable Computing Devices and Portable Electronic Storage Media*
- [Information Technology](#) intranet website

## 1-2 Use of State Cell Phones

Refer to Caltrans [Director's Policy 29](#), *Communication and Entertainment Devices in the Work Zone*.

## 1-3 Use of State Vehicles

SC staff must be familiar with all policies for the use of State vehicles. Vehicles are provided to SC field staff by the Districts. Relevant resources related to the use of State vehicles include:

1. Caltrans [DD-111](#), *Use of State Vehicles*
2. Caltrans [DD-96](#), *Unnecessary Idling of Department's Fleet Vehicles and Equipment*.
3. Division of Equipment (DOE), [Use of State Vehicle Guidelines](#)
4. [Maintenance Manual](#), Chapter 4, *Equipment*
5. Caltrans Health and Safety intranet, [Motor Vehicle Accident Reporting](#)
6. *Caltrans Employee Safety and Health Manual*:
  - a. [Chapter 17](#), *Motor Vehicle Safety*
  - b. [Chapter 18](#), *Motor Vehicle Accidents*
7. *Caltrans Travel Guide*, [Chapter 5](#), Section titled, *State Owned (Or Leased) Vehicles*
8. [Vehicle Home Storage Permits](#) Guidelines
9. *California Code of Regulations*, Title 2, [§559.800](#), *Use of State-Owned Vehicles – Definitions*
10. Local District vehicle policies.

SC staff responsibilities for use of State vehicles include:

1. Successful completion of [Defensive Driver Training](#) online or through the Learning Management System (LMS) at least once every four years.
2. Proper use, storage, and maintenance of State vehicles.
3. Ensure [Form STD 269](#), *Accident Identification*, is in the glove compartment of SC staff's State vehicle.
4. Complete Form [DME-0283](#), *Pre-Operation Inspection, Post Operation Report & Repair Request (Trucks & Construction Equipment)*, before and after repairs to the State vehicle are made.

5. Be familiar with policies, guidelines, and rules for driver training and the safe operation of motor vehicles.
6. Use a personal identification Key Fob for each trip in a State vehicle. Requirements may vary in each District, check with your local District policy. Frequently asked questions for Key Fobs can be found in the following link: [ID Key FAQ's](#).
7. Review and sign [Form DME-0310](#), *State-Owned Vehicle and Fuel Credit Card User Agreement*.
8. Lock the State vehicle when left unattended.
9. Be familiar with additional policies if on a long-term assignment and the State vehicle is the only means of transportation. Discuss with the SC Supervisor the following:
  - a. [Form FA-0041](#), *Personal Use of State Vehicle One-Way Commuting and/or Round Trip*
  - b. Public perception, as described below.
10. Understand the responsibilities and submission deadlines for reporting vehicle accidents. For accidents in State vehicles, refer to the procedures in:
  - a. *Caltrans Safety and Health Manual*, [Chapter 17](#), *Motor Vehicle Safety*
  - b. *Caltrans Safety and Health Manual*, [Chapter 18](#), *Motor Vehicle Accidents*
  - c. Caltrans Health and Safety intranet, [Motor Vehicle Accident Reporting](#)
  - d. SC Intranet, [Reporting an Accident](#)
  - e. Division of Engineering Services (DES) Intranet, [Vehicle Accident Reporting Flow Chart](#)
  - f. Send accident reports to the DES Safety Officer
  - g. Follow any District policy related to vehicle accident reporting.
11. In case of breakdown, contact the nearest DOE facility:
  - a. Each vehicle contains a directory that lists the shops and personnel to contact in case of a vehicle breakdown or emergency on the road.
  - b. Roadside assistance is available 24 hours a day through the phone number on the back of the official State credit card for fuel.
12. Report income on Form FA-0041, *Personal Use of State Vehicle One-Way Commuting and/or Round Trip*, when the State vehicle is used for commuting purposes.
13. Be familiar with the policies related to who may ride in a State vehicle.

14. Complete [Form STD 377](#), *Vehicle Home Storage Request/Permit*, if a State vehicle is taken home regularly between work shifts.
15. Make vehicle available for use by others when not in use.

### 1-3.01 Public Perception

The operation of a State vehicle is a highly visible activity. Regulations and policy limit the use of State vehicles to official use only.

Because it is difficult to define precisely and conclusively the limits of "official business", SC relies heavily on the good judgment and integrity of its staff. The use of State vehicles within the job limits during working hours is a clear-cut example of official use. However, the operation of State vehicles before and/or after working hours, or away from places directly or indirectly related to the job may under some circumstances be perceived by the public as private or personal use.

It is recognized that employees assigned to construction projects away from their place of residence and means of private transportation, need to obtain meals and occasionally other necessary items of personal use. SC sanctions the reasonable use of State vehicles to obtain personal necessities where State vehicles are the employee's sole means of transportation. Use of State vehicles for reasons other than to obtain personal necessities (as they may occur while the employee is dependent on a State vehicle) is not permitted.

SC staff are reminded that the use of State vehicles is subject to public scrutiny and that allegations of misuse will occasionally be made. Therefore, when possible, a State vehicle should not be operated when there is appearance of misuse, even though the employee is able to show that the use of the vehicle is legitimate.

## **2 - Operational Activities in Support of Material Management**

Operational activities in support of material management include:

- Certification of Materials Testers
- Acceptance of Materials
- Certification of Materials

## 2-1 Certification of Materials Testers

Obtain certification as material testers prior to performing materials sampling and testing, including selection of test methods. The SC Supervisor and Structure Representative (SR) are responsible for ensuring that consultant engineers hired by Caltrans to perform materials sampling and testing on construction projects obtain and maintain certification as material testers per *American Society for Testing and Materials (ASTM) Test Methods* and [California Tests](#) (CT). The SC Supervisor states the requirement to the consultant contractor and the SR verifies the certification is and remains valid. Record of certifications is kept in the project files. SC staff generally perform field testing of freshly mixed concrete and bridge profilograph testing but may perform other field testing as well. Certification is required for all who perform materials sampling and testing per the *Construction Manual (CM)*, Chapter 6, *Sampling and Testing*.

## 2-2 Acceptance of Materials

Conduct field tests to ensure that all materials meet specifications per the *CM*, Chapter 6, [Section 6-107](#), *Sampling and Testing – Sample Types and Frequencies – Materials Acceptance Sampling and Testing*.

Regardless of previous release by the Transportation Laboratory, it is the SR's responsibility to be certain that all materials used in structure work complies with the *Contract Specifications*, and that proper written evidence of such compliance may be found in the job records. Materials may be damaged after release and no longer meet contract standards. If this occurs, coordinate with the METS Representative ([METS Rep](#)) and the SC Supervisor.

## 2-3 Certification of Materials

For all federally funded projects, the SC Supervisor is responsible for the certification of materials incorporated into the structure work of a Caltrans construction project as specified in the *CM*, [Chapter 6](#), *Sampling and Testing*. The certification is required by the Division of Construction (DOC) and is submitted prior to processing the final or semi-final estimate. To determine if a project is federally funded, check the cover of the *Special Provisions*. The certification is based on inspection by the SR or the SR's assignee. The SR prepares [Form SC-6306](#), *Structure Construction Materials Certification*, which is based on results of acceptance samples and tests, independent assurance samples and tests, final samples, and reports of inspection taken throughout the project. These test results are filed in job categories 37-39, 41 and 42 of the project records per the *CM*, Chapter 6, [Section 6-106](#), *Sampling and Testing – Sample Types and Frequencies – Project Materials Certification*. The SC Supervisor or SC Manager must concur with the certification on Form SC-6306.

## **3 - Operational Activities in Support of Project Closeout**

Operational activities in support of project closeout include:

- Final Disposition of Project Records

### **3-1 Final Disposition of Project Records**

SC staff must identify what project records must be submitted to SC and to the District construction staff.

[BCM C-6](#), *Required Documents to be Submitted During Construction*, details which project records are submitted to SC and how.

Upon completion of the contract and prior to departure of the SR, all job records shall be transferred to the Resident Engineer (RE) with [Form SC-6307](#), *Transfer of Structure Construction Job Records*. This includes, but is not limited to, field books, concrete pour records, and survey notes. A copy of Form SC-6307 should be filed in Category 63, *Project Completion Documents*. Any duplicate records already obtained and filed by the RE may be discarded. Additional information regarding project record disposition can be found in the *CM*, Chapter 5, [Section 5-104](#), *Contract Administration – Project Records and Reports – Final Construction Project Records*.

Upon completion of construction work, the RE must certify that the project materials conform to the approved plans and specifications. The SR sends Form SC-6306, *Structure Construction Materials Certification*, to certify the materials were inspected by SC staff as discussed in Section 2-3, *Certification of Materials*, above.

When SC staff perform field inspection for District items, such as a District retaining walls, concrete barrier rails, or concrete drainage structures, the as-built information for these structures must be submitted to the RE instead of submitting to SC. Requirements for District as-built preparation can be found in the *CM*, Chapter 5, [Section 5-104D\(1\)](#), *Contract Administration – Project Records and Reports – Final Construction Project Records – As-Built Plans – District Procedure on As-Built Plans*.

## **4 - Operational Activities in Support of Safety Management**

Operational activities in support of safety management, as part of the Caltrans Accident Prevention and Safety Program, are non-technical construction administration activities

owned by the Office of Employee Health and Safety and the DOC. The following documents provide safety management guidance:

- California Code of Regulations, Title 8, Chapter 4, *Division of Industrial Safety*:
  - [Subchapter 4](#), *Construction Safety Orders (CSO)*
  - [Subchapter 7](#), *General Industry Safety Orders (GISO)*
  - [Subchapter 20](#), *Tunnel Safety Orders (TSO)*
  - [Subchapter 5](#), *Electrical Safety Orders (ESO)*
- [Caltrans Health and Safety Manual](#)
- [SC Code of Safe Practices](#)
- *Construction Manual*, Chapter 2, [Section 2-106](#), *Safety and Traffic – Safety Caltrans-Specific Safe Practices*
- Local District policies.

SC staff must identify and recognize their responsibilities regarding safe work practices for field projects. These activities must be performed in a timely manner. Some topics are included in the contract documents and, following the organization of this BCM, are covered in [Attachment 2](#), *SC Staff Responsibilities for Performing Standard Construction Activities*. Important safety topics not specifically covered in Attachment 2 include:

1. Safe work practices
2. Fall protection
3. Tailgate safety meetings
4. Confined spaces
5. Respirators
6. Safety document retention
7. Peer defusing and grief counseling.

## **4-1 Code of Safe Practices (COSP)**

Each project must adopt a written COSP signed by all project staff. The written COSP must include the following two sections, the:

1. [Division of Construction COSP](#)
2. [Structure Construction COSP Addendum](#).

Review both sections and sign the cover sheet of the Division of Construction COSP prior to visiting the project site. If items of work are not covered by the COSP, bring this to the attention of the SR or a SC Supervisor. If unique contract safety items are not



addressed in the COSP, the COSP must be amended per guidance in [Section 2-1.06A](#), *Safety and Traffic – Safety – Caltrans-Specific Safe Practices – Caltrans Division of Construction Code of Safe Practices*, of the CM.

Additional information regarding the COSP is found in Caltrans Director's Policy [DP-003](#), *Employee Health and Safety*.

## 4-2 Fall Protection

Acquire and maintain fall protection training provided by SC. Request the training from your supervisor and Area Senior Specialist. Numerous Cal/OSHA CSO regulations address fall protection and are provided below:

- [Section 1541](#), *Excavations – General Requirements*
- [Section 1620](#), *Standard Railings – Design and Construction of Railings*
- [Section 1670](#), *Fall Protection - Personal Fall Arrest Systems, Personal Fall Restraint Systems and Positioning Devices*
- [Section 1712](#), *Erection and Construction – Requirements for Impalement Protection*.

## 4-3 Tailgate Safety Meetings

SC staff must be aware of their responsibilities for tailgate safety meetings, including who conducts, who attends, what is discussed, and how records are retained and documented as specified in:

- *Construction Manual*, [Section 2-106B](#), *Tailgate Safety Meetings*
- *Caltrans Health and Safety Manual*, Chapter 2, [Section 2.05](#), *Safety Meetings – Tailgate Safety Meetings for Field Personnel*
- Cal/OSHA TSO, [§ 8406\(d\)](#), *Injury and Illness Prevention Program*.

SC staff must document attendance by using the correct charge codes on timesheets and by completing a [Tailgate Safety Meeting Sign-in form](#). If field operations prevent attendance, review the safety meeting documents, or attend a contractor safety meeting. Document the alternate method of attending a required safety meeting.

## 4-4 Respirators

Certain construction operations may require the use of respirators. Acquire and maintain respirator training if needed for field inspection duties. SC staff must be able to identify such tasks, choosing the appropriate type of respirator for the task.

Relevant references include:

- Cal/OSHA GISO, Group 16, *Control of Hazardous Substances*, [Article 107](#), *Dusts, Fumes, Mists, Vapors and Gases*, Subsection 5144, *Respiratory Protection*, and
- *Caltrans Health and Safety Manual*, [Chapter 15](#), *Respiratory Protection Program*.
- [Respirator Q&A](#) on the SC intranet under the “Safety” tab.

For most situations, suitable respiratory protection can be obtained through the SC HQ Equipment Coordinator or SC Safety Liaison. Respirator fit testing is provided by the District’s Construction Safety Coordinator. Respirator medical evaluation, training, and fit testing are required initially (prior to first use) and annually thereafter. Contact the [SC Safety Liaison](#) for forms and procedures for obtaining a respirator medical evaluation.

## 4-5 Safety Document Retention

Retain safety related documents in the project records, including but not limited to tailgate safety meeting minutes, accident reports, safety inspections, and major incidents. References for safety document retention include:

- *Construction Manual*, [Section 2-106](#), *Caltrans-Specific Safe Practices*
- *Construction Manual*, [Section 2-109](#), *Project Safety Reviews*
- *Construction Manual*, [Section 5-102C](#), *Description of Categories, Category 6: Safety*
- *Caltrans Employee Safety and Health Manual*, Chapter 1, [Section 1.11](#), *The Caltrans Injury and Illness Prevention Program – Recordkeeping*.

## 4-6 Peer Defusing and Grief Counseling

Peer defusing and grief counseling can be an effective means of assisting SC staff and others affected by a death or serious injury to a fellow employee in the immediate aftermath of the occurrence. Although SC staff have no direct responsibility for peer diffusing and grief counseling, they are responsible to be aware of availability of such services through the Office of Health and Safety and the CT Employee Assistance Program (EAP). Relevant references for peer defusing and grief counseling include:

1. [What To Do When an Employee Fatality Occurs](#) – a checklist with guidance on what tasks must be complete and by whom.
2. [Employee Assistance Program](#) (EAP)
3. [Grief: How to Help Yourself and Others Through the Grieving Process](#)
4. [How to Cope After a Traumatic Event](#)
5. CalHR [EAP Supervisor Handbook](#)

6. [HQ Office of Health and Safety Contact List](#)
7. [Caltrans EAP Contacts](#)

## **5 - Operational Activities in Support of SC HQ and Other Functional Units**

SC staff must identify and recognize their roles and responsibilities regarding expectations from SC HQ and other functional units.

### **5-1 Excess Leave Reduction Plans**

Excess leave balance reduction plans are required for all SC personnel that have leave balances in excess of 640 hour of vacation or annual leave in accordance with the requirements of the applicable Personnel Information Bulletin (PIB), currently [PIB 17-25](#), *Leave Balance Limits/Cap* and State Employee Bargaining Unit Memorandums of Understanding (MOU). Occasionally, State Employee Bargaining Unit MOU's may temporarily modify the limits established in PIB 17-25.

### **5-2 Communication between SC Staff and SC HQ**

Whenever possible, questions concerning construction methods and/or details, as well as routine questions concerning administrative procedures should be discussed with the SC Supervisor and/or the SC Manager (ACM) where the project is located. If an answer or decision is needed immediately and the SC Supervisor or the SC Manager cannot be contacted, contact the SC HQ Office Senior Liaison for the area in which your project is located per the SC website [Structure Construction Headquarters Contact List](#).

SC HQ staff is comprised of the Deputy Division Chief, Office Chief, Office Seniors, Office Associates, and SC Administrative Support.

During construction, it is permissible for field staff to communicate directly with personnel in other subdivisions within the DES. The SR's first-line supervisor must be kept informed of any matter affecting the work. Confirm understanding in writing when discussions result in an appreciable change or in the preparation of a change order. Include the SC Supervisor on such correspondence.

Central email accounts have been established by SC HQ to efficiently facilitate communication between SC Staff and SC HQ. Documents are forwarded to the appropriate recipient(s). Each contact serves a specific function as listed below.

Email account or Contact	Services
<p>SC Administration central email account:  <a href="mailto:osc.administration@dot.ca.gov">osc.administration@dot.ca.gov</a></p>	<p>Transmittal (from SC Field Staff) of:</p> <ul style="list-style-type: none"> <li>• ACM Bi-Monthly Reports.</li> <li>• Parking pass requests.</li> <li>• Phone Bridge Reservation requests.</li> <li>• Request to change a headquarter address.</li> <li>• Request to add a consultant for WEAT assignments.</li> <li>• Personnel documents that do not require a “wet” signature: <ul style="list-style-type: none"> <li>• Change of Address forms.</li> <li>• Emergency Notification forms.</li> <li>• Excess Leave Reduction plans.</li> <li>• From Rotators assigned to SC: <ul style="list-style-type: none"> <li>• Form FA-1350, <i>Long Term Assignment (LTA) Information and Certification of Subsistence Rates.</i></li> <li>• Form PM0915, <i>Authorization for Caltrans Long Term Assignment Differential</i></li> <li>• Form FA-1310, <i>Caltrans Long-Term Assignment Cost Analysis</i></li> </ul> </li> <li>• Safety Documents – Accident Reports.</li> </ul> </li> </ul>
<p>SC Office Associates central email account:  <a href="mailto:SC.Office.Associates@dot.ca.gov">SC.Office.Associates@dot.ca.gov</a></p>	<p>Transmittal (from SC Field Staff) of:</p> <ul style="list-style-type: none"> <li>• Constructability Review comments to the Designer.</li> <li>• Notification of Structure Maintenance upon Structure Completion per BCM 9-9.0.</li> <li>• Project records:</li> <li>• As-Built Plans.</li> <li>• Certification of Materials.</li> <li>• Joint Movement Calculations</li> <li>• Permanent Vertical Clearance.</li> <li>• Pile Driving Records.</li> <li>• Progress Schedule.</li> <li>• Report of Completion for Structures.</li> <li>• Shop Drawings.</li> <li>• Unrecoverable Final Records</li> </ul>

Email account or Contact	Services
	Transmittal (from other Caltrans staff) of: <ul style="list-style-type: none"> <li>• Constructability Review requests from the designer.</li> <li>• Change Order Requests</li> <li>• PS&amp;E Submittals</li> <li>• Structure RE Pending File questions</li> </ul>
SC Resources central email account: <a href="mailto:osc.resources@dot.ca.gov">osc.resources@dot.ca.gov</a>	Transmittal (from SC Field Staff) of PRSM issues related to Task Management: <ul style="list-style-type: none"> <li>• Add/Transfer ETC hours to units.</li> <li>• Assign and Remove units from Task 275.</li> <li>• Expenditure Reports.</li> <li>• PRSM/VISION Questions.</li> <li>• SCIMS login problems.</li> <li>• Task 275 close-out.</li> <li>• Task 275 Task Management edit support.</li> <li>• Time Charging.</li> <li>• Update percent complete.</li> <li>• Update Task 275 Start and Finish Dates.</li> </ul>
Current webmaster listed at the bottom of the website	SC Intranet site: <a href="http://des.onramp.dot.ca.gov/structure-construction">http://des.onramp.dot.ca.gov/structure-construction</a>

BCM C-6, *Project Specific Documents Required to be Submitted During Construction*, further details the requirements for the documents that are required to be submitted to SC Headquarters.

### 5-3 Encroachment Permits

Structure Construction may be requested by the District Permit Engineer (DPE) to assist at various stages of the encroachment process through the District’s Branch or Office Chief. When assisting with the encroachment process from constructability review to field inspection, SC staff is expected to refer to relevant SC guidance in the technical manuals. The DPE will provide charge codes for SC to charge their time using the DPE’s unit. Resources for encroachment permits are as follows:

- *Encroachment Permits Manual*, [Chapter 600](#), *Utility and Broadband Permits*
- [Project Development Procedures Manual](#)