



SC Administration of Projects by Other Implementing Agencies

Revision and Approval

Revision	Date	Nature of Changes	Approved By
0	04-25-2023	Original Issue	Richard Foley

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Background

This process establishes SC responsibilities and procedures for the administration of structure work for projects advertised, awarded, and administered by the implementing local agency. Types of projects include:

1. Local sales tax measure projects
2. Locally funded projects (non-tax measure)
3. Privately funded projects
4. Toll road projects
5. Jointly funded or cooperative projects
6. Encroachment permit program projects.

This process addresses traditional design, bid, build projects, and does not address projects delivered using alternative delivery methods.

Process Inputs

1. Cooperative agreement or highway improvement agreement (HIA) notification from the Project Manager
2. Encroachment permit notification from permit writer

Procedure

1. All work associated with this process is charged as:
 - a. [Project Direct – Preconstruction](#), for cooperative agreement or HIA and encroachment permit development, project development team (PDT) meetings, constructability reviews, and other duties as requested.
 - b. [Project Direct – Construction](#) for oversight of construction activities.
2. Inspection of field work for this process is:
 - a. [Benchmark](#) for reviewing project progress with sponsoring local agency's staff.
 - b. [Intermittent](#) for oversight of field work.
 - c. [Continuous](#) presence of oversight operations is generally not required. The SC Oversight Representative should however consider the experience of the local agency's Oversight Structure Representative and risk level of the operation to determine the appropriate amount of oversight. Operations affecting public safety, like constructing falsework that will stand over traffic, setting precast elements, jacking or lowering bridge elements justify additional effort. This could take the form of being an active participant in the pre-operations meetings, requesting additional supervision from the Local Agency's Oversight Representatives' firm, to additional in-person presence by the SC Oversight Representative.
3. Oversight Structure Representative:
 - a. Review the following to gain familiarity with the project and contract administration requirements prior to start of project. Note that cooperative agreement will always be attached to an encroachment permit; however, an encroachment permit will not always have a cooperative agreement.
 - i. Cooperative agreement or HIA, and [Cooperative Agreement Handbook](#)
 - ii. Encroachment permit
 - iii. Contract documents
 - iv. [Local Agency Structure Representative Guidelines](#)
 - v. [Construction Manual Supplement for Local Agency Resident Engineers](#)
 - vi. [Oversight Resident Engineer Guidelines](#)
 - b. Provide oversight of the structure work in cooperation with the District Construction Oversight Engineer.

- c. When there is a cooperative agreement with the local agencies, provide oversight of structure work in accordance with the cooperative agreement.
- d. When there is a HIA with private entities, provide oversight of structure in accordance with the HIA.
- e. When there is no cooperative agreement attached to the encroachment permit, provide oversight of the structure work per [Attachment 1](#), *Guidance for Administration of Projects by Other Implementing Agencies*.
- f. Verify the local agency or the private entity complies with the requirement that structure work is completed in accordance with the details provided in:
 - i. The cooperative agreement or the HIA
 - ii. (Or) the encroachment permit (if there is no cooperative agreement or HIA)
 - iii. (And) per Attachment 1 if there is no cooperative agreement.
- g. Discuss project requirements and expectations with the sponsoring local agency's primary contact person. This person may be the Project Manager, Project Engineer or Administrator for the local agency.
- h. Review Contractor submittals, work, and project records as necessary to verify conformance.
- i. Note instances of nonconformances with the requirements of the contract documents, or governing agreements. Discuss with the SC Supervisor and the implementing agency's representative (usually this means the consultant that is hired for contract administration) all nonconformance items and maintain a log of these items through the resolution of each item.
- j. Record work progress, conversations, and events on standard construction forms (e.g., [Form CEM-4601](#), *Assistant Resident Engineer's Daily Report*, [Form CEM-4501](#), *Resident Engineer's Daily Report* or *Assistant Resident Engineer's Daily Report*). Use [Form TR-0130](#), *Encroachment Permit Report (Diary)*, to report inspections of the work performed if requested by the Permit Engineer.
- k. Perform independent quality assurance (IQA) by auditing the Structure Representative's (SR) project records to verify the SR is maintaining the project records.
- l. Discuss submission of project completion records with the implementing local agency or private entity to meet requirement from sponsoring funding entities.
- m. All project completion records must be submitted to and approved by Caltrans prior to close out of the encroachment permit and oversight projects.

4. SC Supervisors:

- a. Review or participate in the development of the cooperative agreement and encroachment permit for the project with the sponsoring local agency as requested by permit writer/project engineer.
 - b. Participate in project development by attending PDT meetings and type selection meetings, and complete constructability reviews.
 - c. Assist the sponsoring local agency in assigning, reviewing, and evaluating the qualifications of possible consultant structure staff for the project. Duties may include:
 - i. Participate in the selection or hiring interviews conducted by the sponsoring local agency.
 - ii. Authorize the local agency consultant Structure Representative.
 - d. Assist Structure Representative with resolution of contract disputes.
 - e. Assign the Oversight Structure Representative in [WEAT](#).
 - f. Perform field review of the installations, together with the SC Oversight Structure Representative before concrete is placed per the *Falsework Manual*, Chapter 9, [Section 9-3.27](#), *Inspection - Erection – Bridge Construction Engineer Review*.
5. SC Managers:
- a. Participate in partnering and dispute meetings as appropriate.

Process Outputs

1. Complete project files
2. Daily reports per Procedure step 3.j
3. Project completion records

Attachments

1. [Attachment 1](#), *Guidance for Administration of Projects by Other Implementing Agencies*