



**Caltrans Local Assistance**

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# RESIDENT ENGINEER ACADEMY

## Module 4

### Control of Work

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January 2025

# Control of Work Objectives

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- Resources
- Write a Daily Report
- Know your authority
- Understand the contractor's obligations
- Approve subcontractors

# Resources

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- **Caltrans Standards Specifications ([CTSS](https://dot.ca.gov/programs/design/ccs-standard-plans-and-standard-specifications))**  
<https://dot.ca.gov/programs/design/ccs-standard-plans-and-standard-specifications>  
Ch. 5 - **Control of Work**
- **Green Book**  
Section 2 - **Scope of Work**  
Section 3 - **Control of Work**
- **Caltrans Construction Manual ([CTCM](https://dot.ca.gov/programs/construction/construction-manual))**  
<https://dot.ca.gov/programs/construction/construction-manual>  
Ch. 3 - **General Provisions**  
Section 5 - **Control of Work**

# Assistant RE Daily Report

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- Use The Daily Report Form – *not notebook!*
- Form example is [LAPM Exhibit 16-C1](https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms)  
<https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms>
- Include General information
  - Project name/Federal project number/location
  - Prime contractor's name
  - Date/day of the week
  - Weather and job site conditions

# Assistant RE Daily Report

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- Include Narrative
  - Location and description of work
  - Quantities placed/amount work completed
  - Significant discussions with the contractor

# Assistant RE Daily Report

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- Include Documentation of Inspection
  - Observations of compliance/non-compliance
  - Samples taken/test performed
  - Certificates obtained
  - Actions taken
  - Statements to contractor
  - Approvals given

# Assistant RE Daily Report

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## 4.1 Control of Work - Handout

### Include Labor and Equipment

#### Field force

- Name/class for each worker
- Employer (name of prime or sub)
- Hours worked – by contract item or change order

#### Equipment on site

- ID number and/or make and model
- Hours operated
- Idle time
- Arrival and departure

# Sample Assistant Resident Engineer's Daily Report

## 4.1 Handout - page 2

STATE OF CALIFORNIA  
DEPARTMENT OF TRANSPORTATION

### ASSISTANT RESIDENT ENGINEER'S DIARY REPORT

JOB STATE  
06-461504 ACST-P190(022)E  
06-TUL-190- 0.0/8.0 Tulare Co.  
in Poplar-Tipton from Rd180 to Rte 190/99

REPORT NO.: 46-540

WEATHER

CLEAR  CLOUDY  OVERCAST  SUNNY  PARTLY  
 COLD  RAIN  SNOW  WARM  FOG

TEMPERATURE RANGE

65/89

PAGE: 1 OF 1

DATE: 05/28/2019

C-ID

YGP  
TE

CONTRACTOR/SUB CONTRACTOR NAME

Yarb's Grading & Paving  
Trinity Engineering Inc.

C-ID

SSS

CONTRACTOR/SUB CONTRACTOR NAME

Select Sweeping Service

MARK DAY OF THE WEEK

M T W TH F S S

SHIFT HOURS

START 7:00 AM

STOP 3:30 PM

C-ID	EQUIPMENT AND/OR LABOR IDENTIFICATION			HOURS ITEM AND/OR GCD#							IDLE OR DOWN
	EMPLOYEE NAME	DESCRIPTION OF EQUIPMENT / LABOR	EQUIP. NO.	#23 Roadway Ex.	#27 AB Class 2						
YGP	Judd Bretz - foreman	2016 ford F350/ Foreman	3	4	4						
YGP	Hugo Reyes	CAT Water Truck /Labor	150085 Rental	4	4						
YGP	Jacob Coigny	Chevy S-10 / Labor/Labor	None		8						
YGP	Cesar Reyes	Case 570MXT Skiploader/ Operator	HB3J78	6							
YGP	Shandon Pierce	Hamm HD 70 I Roller	DT8P45		6						
YGP		Case 570MXT Skiploader/ Operator	7382	2							
YGP	Robert Broome	CAT 140 M Blade / Operator	WS8X58		8						
YGP	Raul Pelayo	Case 570MXT Skiploader/ Operator	7382	2							
YGP		CAT 140 H Rental Blade / Operator	HG4U39	6							
YGP		White ford F550	1								
YGP	Scott Lawson	Hamm HD 120 Roller	1052		8						8
YGP		CAT 623 F Motor Scraper	GM7988								8
YGP		Red 1989 Kenworth Water Truck	7								8
TE	Salvador Zapeda	2017 Chevy Colorado	1		8						
SSS	Craig Diebert/ Operator	2012 Freightliner Elgin Broom Bear	None	3							

LOCATION AND DESCRIPTION OF OPERATION: Job 06-461504 Project ID 0600020148 06-Tul-190-0.0/8.0

Yarbs on site for roadway excavation and AB class 2. Yarbs start dumping AB class 2 from station 240+00 dumping east. Jacob (Dump man) collecting ticket from truck drivers.

Robert knockdown windrow with CAT 140 M Blade. Shandon roll behind blade with Roller 70 I. Scott with Roller HD 120 roll over base rock. Judd checking grade on 99 ramp south side,

checking finish grade for base rock. A total of 27 trucks onsite deliver materials to jobsite. Salvador from Trinity performing testing and sampling as Quality Control. Jason on site testing compaction.

Four samples were pulled out: 1,2,3, and 4. Load 11,80,92 and 136 station 255+00, 281+00, 288+00 and 289+50, time 7:18 am, 9:50 am, 11:50 am and 2:15 pm respectively.

One water truck onsite for dust control. LTEC onsite for underground utility work. Scott Gas onsite for gas line work. Sweeping on site for cleaning from station 123+00 cleaning west.

Mouth Alansly  
ASSISTANT RESIDENT ENGINEER (Signature)



Assistant Resident Engineer  
TITLE





**DAILY INSPECTION REPORT**

REPORT No. DIR\_316\_120314\_MAB.xlsx

Date the Shift Began: **3/14/12**

NIGHTWORK **WED**

Shift Hours Start 4:00 Stop 15:30

PROJECT	OCTA NO.	CONTRACT NO.	TEMP		WEATHER/PRECIP	WORKING DAY #					
			LOW	HIGH							
Sand Canyon Avenue Grade Separation	TR202	C-0-1662	54	70	P. CLOUDY	315					
<b>HOURS - ITEM NO.</b>			<b>CONTRACTORS</b>								
ITEM NO. >>	8	7	242	216	CCO	CCO					
Daily Quantity >>					5	27					
<input type="checkbox"/> RAILROAD FLAGGER	Clearing and Grubbing	SWPPP Maintenance	Furnish and install 10" DIP, Class 350 with Restrained	Furnish and install 24" CWL&C	Steel Pipe Class 200 (Temporary Pipeline)	Additional Striping	Remove Oak Trees Stage 1B	IDLE OR DOWN	Prime	<b>CCMyers</b>	(P)
									Sub #1	SRD	(1)
									Sub #2	IRWD	(2)
									Sub #3	Sterndahl	(3)
									Sub #4	CGO	(4)
									3 <sup>RD</sup> Party #1		(5)
									3 <sup>RD</sup> Party #2		(6)
									3 <sup>RD</sup> Party #3		(7)
									3 <sup>RD</sup> Party #4		(8)
<b>EQUIPMENT AND/OR LABOR:</b>									<b>REMARKS</b>		
EQPT. NO.	DESCRIPTION (Equipment/Labor)	RT/OT		RT/OT		RT/OT		Y/N	Name	Classification	Prime / Sub
		RT/OT	RT/OT	RT/OT	RT/OT	RT/OT	RT/OT				
	Superintendent	4	4						Steve Gray	Superintendent	P
10-463	Pick Up Truck	4	4						F-350		P
	Laborer	8							Ricardo Ruelas	Laborer	P
10-222	Truck	8							F-250		P
	Laborer		4	2			2		Raul Alvarez	Laborer	P
	Laborer		4	2			2		Rodrigo Zavala		P
10-215	Traffic Control Trk		4	2			2		Arrow board/Cone Truck	F-Super Duty	P
	Safety Officer	4		2	2				Brian Brock		P
10-396	Pick Up Truck	4		2	2				F-150		P
25-014	Loader						8		Cat 966		P
68-13	Arrow Board						6	2	Solar Tech		P
80	Arrow Board						8		Wanco		P
68-42	Arrow Board						8		Amida		P
68-44	Arrow Board	24							Solar Tech	Stage 1B	P
68-46	Arrow Board						8		Solar Tech		P
68-08	Arrow Board			8					Solar Tech		P
	IRWD Inspector			2	1				Mike Fredrickz	IRWD	2
	Truck			2	1					IRWD	2
	Foreman			8					Glenn Martinez	Foreman	1
T-32	Pick up Truck			8					F-250		1
LD-02	Loader						8		80Z Kawasaki		1
	Laborer			8					Jose Lopez		1
	Laborer			8					Leo Hernandez		1

# Sample Assistant Resident Engineer's Daily Report

## Local Agency Form 4.1 Handout - page 3

# Engineer's Daily Report

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## Resident Engineer's Daily Report

- Weather
- Controlling operation
- Progress or delays
- Discussions and agreements with contractor or others

**LAPM 16.8 Engineer's Daily Reports**  
**CM 5-004 RE's Daily Report**  
**GB 7-4.4 Daily Reports (Extra work)**



DEPARTMENT OF PUBLIC WORKS AND PLANNING

RESIDENT ENGINEER'S DAILY REPORT

CONTRACT IDENTIFICATION

*Laton Pedestrian and Drainage Improvements  
Federal Project Number: ATPL-5942(275)*

CONTRACT NO. 20-05-C  
CONTRACTOR: Emmett's Excavation Inc.

Daily Inspections by: Ruben Garcia & Kao Xiong  
Contractor's Foreman: Joey Ramirez & Chad Young

Wednesday, March 31, 2021  
WEATHER CONDITIONS:  
Sunny & Clear  
Low 52° High 84°  
(HOLIDAY)

Ruben Garcia and Kao Xiong were on site to perform project inspections. Please see their diaries for information on the Contractor's activities throughout the day.

*Today is a Holiday for the County of Fresno to observe Cesar Chavez Day.  
The Contractor worked but the contract will not be charged a working day for today.*

The Contractor's crew continued to install concrete forms for the culvert walls and deck for Grant Canal and install concrete forms for the eastside "A" ditch Retaining Wall Footings. The rebar installation subcontractor was on site to continue installation of steel reinforcement for the eastside Grant Canal walls and deck. Review of the installed rebar reinforcement found areas that did not have the required clearances. The rebar installation crew were notified of the areas needing correction.

The Contractor's crew graded and compacted subgrade for the concrete sidewalk and driveway installations.

Fresno Concrete was on site to form and pour sidewalk and driveways on the eastside of Bliss.

The Contractor removed the existing manhole cone for the sewer manhole at the south end of Fowler Avenue near the Park entrance. A new eccentric manhole cone was installed and adjusted to finished grade to be outside of the curb ramp area. The eccentric manhole cone will be installed and negotiated at an "agreed price" change order. The Contractor is responsible for adjustment, yet an eccentric manhole cone will move the manhole cover outside of the curb ramp to be a benefit pedestrians and the County of Fresno.

It was noted that some areas of curb & gutter where a Type B driveway is to be installed had slopes greater than 5%. The Contractor was notified that the transition areas of the curb & gutter will have to be removed and extended to be within the maximum 5% grade tolerances. The driveways noted to be out of tolerance were at approximately Sta. 103+00 LT and Sta. 110+50 LT.

Weekly Statement of Working Days #16 and #17 were sent to the Contractor by email.

A draft copy of Pay Estimate #4 was sent to the Contractor for their review and comments prior to processing.

James Drews  
Resident Engineer

# Sample Resident Engineer's Daily Report

## 4.1 Handout - page 4

Lock Form

JOB STAMP

REPORT NUMBER	DATE	S	M	T	W	T	F	S (CIRCLE DAY)	WEATHER
SHIFT HOUR	START	STOP	TEMPERATURE		MIN	MAX			
DESCRIPTION/NOTES									
PRINT NAME	SIGNATURE				TITLE				

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# Resident Engineer's Daily Report

## LAPM Exhibit 16-C2

## 4.2 Control of Work – Exercise Daily Report

### Instructions:

Working together in breakout groups, use the project information and inspector's field notes provided to complete the Assistant Resident Engineer Daily Report (LAPM Exhibit 16-C1) found at the link below and next slide:

[LAPM 16 webpage: https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms](https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms)

#### LAPM 16-C1: Assistant Engineer's Daily Report

The project information and inspector's field notes are in the next slide.

**Time:** 30 minutes to complete the Daily Report Exercise.

**Exercise Debrief:** Each breakout group will designate 1 student to share Daily Report Exercise Results with entire group.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION  
**DLA ASSISTANT ENGINEER'S DAILY REPORT**  
 DOT LAPM 16-C1 (NEW 10/2023)

PROJECT NO. \_\_\_\_\_ REPORT NO. \_\_\_\_\_  
 FEDERAL PROJECT NO. \_\_\_\_\_ DATE \_\_\_\_\_  
 PROJECT NAME \_\_\_\_\_  
 CONTRACTOR \_\_\_\_\_ DAY:  S  M  T  W  TH  F  S (CHECK ONE)  
 SHIFT HOURS START: \_\_\_\_\_ STOP: \_\_\_\_\_  
 TEMP MIN: \_\_\_\_\_ MAX: \_\_\_\_\_

LOCATION OF WORK (ROADWAY and STATIONS) HOURS – BID ITEM NO./DESCRIPTION WEATHER CONDITION (TEMP)

NAME	CLASSIFICATION	EQUIPMENT TYPE	BID ITEM								IDLE OR DOWN	REMARKS

DESCRIPTION OF WORK PERFORMED FOR THE DAY

NAME \_\_\_\_\_ SIGNATURE \_\_\_\_\_ TITLE \_\_\_\_\_

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# Assistant Engineer's Daily Report

## LAPM Exhibit 16-C1

**RESIDENT ENGINEERS ACADEMY  
DAILY DIARY EXERCISE**

Using the inspector's peg notes and project information below, complete an Assistant Resident Engineer's Daily Report (Exhibit 16C) for our sample project.

**Peg Notes**

September 7, 2012

Clear 65°- 105°

ABC Contractor:

Rick Riley – Operator /Foreman- Ford F150 PU  
James Kelley – Operator CAT 631D Scraper  
Ron Thomas – Operator CAT 14G Grader  
Trevor Wilson – Laborer, Grade Setter

Wesley Butler- Owner/Operator Ford 4000GL Water Truck

0700: Contractor plans to perform earthwork from Sta. 112+50 to 125+00, hauling usable cut material from Sta. 112+50 to 115± for embankment work starting at Sta. 121+00.

0800: Riley, R. installed contractor furnished "No Pedestrians or Bicycles" R5-10b signs at locations I marked out yesterday, under CO#1 for 1 hour.

1000: Foreman, grader and water truck begin work on drainage item #50 at Sta. 120+00 for 2 hours.

1100: Scraper becomes out of service with flat tire. Riley called in to request a mechanic.

1230: Checked cut slope at Sta. 113± and informed Riley & grade setter that slopes were undercut and that there will be no pay outside of the planned excavation limits.

1300: Scraper S0094 back in operation. Scheduled a compaction test for embankment at 1400.

1415: Tester takes compaction test Sta. 121+00 to 124+50, test taken at elevation ≈ 1490. Passed 93%.

1500: Riley advises that his crew will be working two extra hours (1530-1730) to make up for down time.

1700: Material from Sta. 115± hauled to 125±. Last material being hauled with scraper.

1730: Shift ends. Embankment elevation 1500' +/- . Contractor excavated approximately 3000 CY based on average end areas calculations.

Note: Contractor took half hour unpaid lunch.

**Project Information**

Project Name: Slippery Slope Rehab  
Fed Number: ACNH-P020(125)E  
Project Number: 03-381504  
Bid Item #36 is Roadway Excavation  
Bid Item #50 is Drainage  
Change Order #1 is Additional Traffic Control

# Daily Report (Diary) Exercise

## 4.2 Control of Work - Exercise

# Contractor's Equipment

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Enforce the requirement for the Contractor to...

- Submit list describing each piece of equipment and its ID number
- Stencil ID number on each piece of equipment

**CTSS 5-1.33, Equipment**  
**Green Book 2-5**  
**CM 5-1.09**



# Governing Order Contract Documents

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## CTSS 5-1.02

1. Special Provisions
2. Project Plans
3. **Standard Specifications**
4. Revised Standard Specifications
5. Revised Standard Plans
6. **Standard Plans**
7. Supplemental Project Information

## Green Book 2-5.2

1. Permits
2. CCO
3. Contract/Agreement
4. Addenda
5. Bid/Proposal
6. **Special Provisions**
7. **Plans**
8. **Standard Plans**
9. **Standard Specifications**
10. Reference Specification

# Governing Order Contract Documents

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- Written numbers and notes on a drawing govern over graphics
- Detail drawing governs over a general drawing
- Specific specification governs over a general specification
- Specification in a section governs over a specification referenced by that section

**CTSS 5-1.02**

# Authority of Engineer

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- The Engineer makes the final decision on questions regarding the Contract, including:
  - Work quality and acceptability
  - Manner of performance of the work
  - Drawing and specification interpretation
  - Contract fulfillment
  - Time and progress rate
  - Measurement and payment

**CTSS 5-1.03 Engineer's Authority**

**Green Book, 3-4 Authority of the Board and of the Engineer**

# Contractor's Obligations

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- The Contractor must...
  - Provide QC
  - Ensure safe and unrestricted access to the work
  - Furnish facilities necessary for the Department's inspection.
  - Use contract administration forms at the Department's website

**CTSS 5-1.01, General  
Green Book, 3-5, Inspection**

# Contractor's Obligations

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- Before starting work, the Contractor must assign a representative to:
  - Receive the Engineer's orders
  - Prosecute the Engineer's orders
  - Supervise the workers
  - Coordinate the subcontractors' work

**CTSS 5-1.16 Representative**  
**Green Book 3-6 Contractor's Representative**

# Contractor's Obligations

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- Representative must...
  - Be present at the job site while work is in progress
  - Be easily contacted after-hours to perform emergency work
  - Read, speak and write English (Green Book only)

**CTSS 5-1.16 Representative**  
**Green Book 3-6 Contractor's Representative**

# Contractors

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- Contractor must...
  - ❑ Perform 30% – FHWA requirement
    - CTSS 5-1.13 – 30%
    - Green Book 3-2 – 50%
- Does not apply to building-construction

**Green Book 3-2 Self-Performance**  
**CTSS 5-1.13A Subcontracting**

# Subcontractors

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Before a sub starts work,  
Contractor must submit for approval a  
*Subcontracting Request* form.

(LAPM Exhibit 16-B)

**CTSS 5-1.13 Subcontracting**  
**Green Book 3-3 Subcontractors**  
**LAPM 16-7 Subcontractors**



# Subcontracting Request

## Exhibit 16-B

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**DLA SUBCONTRACTING REQUEST**  
 LAPM 16-B (NEW 12/2021)

Page 1 of 2

REQUEST NUMBER \_\_\_\_\_

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CONTRACTOR NAME \_\_\_\_\_ COUNTY \_\_\_\_\_ ROUTE \_\_\_\_\_

BUSINESS ADDRESS \_\_\_\_\_ CONTRACT NUMBER \_\_\_\_\_

CITY AND STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_ FEDERAL-AID PROJECT NUMBER (from special provisions) \_\_\_\_\_

SUBCONTRACTORS (Name, Business Address, Phone)	CA STATE CONTRACTOR LICENSE NUMBER	PUBLIC WORKS CONTRACTOR REGISTRATION NUMBER	BID ITEM NUMBER(S) (1 per line)	PERCENTAGE OF BID ITEM SUBCONTRACTED	CHECK IF (See Categories Below)		DESCRIBE WORK WHEN LESS THAN 100% OF WORK IS SUBCONTRACTED	DOLLAR AMOUNT BASED ON BID AMOUNT
					1	2		

Categories: 1. Listed Under Fair Practices Act 2. Certified Disadvantaged Business Enterprise/Disabled Veteran Business Enterprise

I certify that:

- The specifications for labor set forth in the contract apply to the subcontracted work.
- If applicable (federal-aid projects only), Form FHWA-1273 has been inserted in the subcontracts and will be incorporated in any lower-tier subcontract.
- Written contracts have been executed for the subcontracted work noted above.

CONTRACTOR'S SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

This section is to be completed by the resident engineer.

1. Total of bid items \$ \_\_\_\_\_

2. Bid items previously subcontracted \$ \_\_\_\_\_

3. Bid items subcontracted (this request) \$ \_\_\_\_\_

4. Total of lines 2 and 3 \$ \_\_\_\_\_

5. Maximum amount of work allowed to be subcontracted (multiply line 1 by %)

6. Minimum amount prime contractor must perform with own forces (multiply line 1 by %)

**APPROVED**

RESIDENT ENGINEER'S SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

Copy Distribution: Original - Contractor Copy - Resident Engineer

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<https://forms.dot.ca.gov/v2Forms/servlet/FormRenderer?frmid=DOTLAPM16B>

# Control of Work: Subcontractors

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## Purpose of the *Subcontracting Request...*

- RE verify Contractor complies with
  - Subletting and Subcontracting Fair Practices Act
  - DBE laws and commitments
  - Having signed sub-contracts
  - Self-Performing 30%/50% of work
  - Certification from Prime Contractor that the requirements (Form FHWA-1273) have been inserted in the subcontracts and will be incorporated in any lower-tier contract, and that written subcontracts have been executed for any subcontracted work

# Subcontractors

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- Before **approving** the *Subcontracting Request* compare it to:
  1. **Bidder's List of Subs, Exhibit 12-B**
  2. **Bidder DBE Commitment, Exhibit 15-G**

**CTSS 5-1.13 Subcontracting**  
**Green Book 3-3 Subcontractors**  
**LAPM 16-7 Subcontractors**

### Exhibit 12-B: Bidder's List of Subcontractor (DBE and Non-DBE) - Part 1

As of March 1, 2015 Contractors (and sub-contractors) wishing to bid on public works contracts must be registered with the State Division of Industrial Relations and certified to bid on Public Works contracts. Please register at <https://www.dir.ca.gov/Public-Works/Contractor-Registration.html>. The local agency will verify registration of all contractors and subcontractors on public works projects at bid and thereafter annually to assure that yearly registration is maintained throughout the life of the project.

In accordance with Title 49, Section 26.11 of the Code of Federal Regulations, and Section 4104 of the Public Contract Code of the State of California, as amended, the following information is required for each sub-contractor who will perform work amounting to more than one half of one percent (0.5%) of the Total Base Bid or \$10,000 (whichever is greater).

FEDERAL PROJECT NUMBER:

**Photocopy this form for additional firms.**

Subcontractor Name & Location	Line Item & Description	Subcontract Amount	Percentage of Bid Item Subcontracted	Contractor License Number		DBE (Y/N)	DBE Cert Number	Annual Gross Receipts	
					DIR Reg Number				
NAME								< \$1 million	
								< \$5 million	
								< \$10 million	
City, State								< \$15 million	
								Age of Firm in years	
NAME								< \$1 million	
								< \$5 million	
								< \$10 million	
City, State								< \$15 million	

## 1. Check against Bidder's List of Subcontractors, Exhibit 12-B Required by "Subletting and Subcontracting Fair Practices Act"

								Age of Firm in years	
NAME								< \$1 million	
								< \$5 million	
								< \$10 million	
City, State								< \$15 million	
								Age of Firm in years	
NAME								< \$1 million	
								< \$5 million	
								< \$10 million	

# Exhibit 12-B: Bidder's List of Subcontractor

## Exhibit 12-B: Bidder's List of Subcontractor (DBE and Non-DBE) Part 1

As of March 1, 2015 Contractors (and sub-contractors) wishing to bid on public works contracts shall be registered with the State Division of Industrial Relations and certified to bid on Public Works contracts. Please register [here](#). The local agency will verify registration of all contractors and subcontractors on public works projects at bid and thereafter annually to assure that yearly registration is maintained throughout the life of the project.

In accordance with Title 49, Section 26.11 of the Code of Federal Regulations, and Section 4104 of the Public Contract Code of the State of California, as amended, the following information is required for each sub-contractor who will perform work amounting to more than one half of one percent (0.5%) of the Total Base Bid or \$10,000 (whichever is greater). **Photocopy this form for additional firms.** Federal Project Number: 5368(022)

Subcontractor Name and Location	Line Item & Description	Subcontract Amount	Percentage of Bid Item Sub-contracted	Contractor License Number	DBE (Y/N)	DBE Cert Number	Annual Gross Receipts
				DIR Reg Number			
Name: KRC Safety Co, Inc	7 Construction Area Signs 8 Traffic Control ( only for grinding and paving work.)	\$8,000.00 \$22,000.00	100 25	831844	N	NA	<input type="checkbox"/> <\$1 million
City, State: Visalia, CA				1000004730			<input type="checkbox"/> <\$5 million
							<input type="checkbox"/> <\$10 million
							<input type="checkbox"/> <\$15 million
							Age of Firm: ___ yrs.
Name: Myers Foundaiton Drilling	40 CIDH Piling	\$63,000.00	100	4572254	N	NA	<input type="checkbox"/> <\$1 million
City, State: Morro Bay Ca				1000010277			<input type="checkbox"/> <\$5 million
							<input type="checkbox"/> <\$10 million
							<input type="checkbox"/> <\$15 million
							Age of Firm: ___ yrs.
Name: Central Coast Fence	64 MBGR 70 Chain Link Fence	\$36,000.00	100	463992	N	NA	<input type="checkbox"/> <\$1 million
City, State: Grover Beach, Ca				ation Number:10000			<input type="checkbox"/> <\$5 million
							<input type="checkbox"/> <\$10 million
							<input type="checkbox"/> <\$15 million
							Age of Firm: ___ yrs.
Name: CMC Rebar	45 Construct Abutment Walls (partial) 71 Construct Bridge Deck (partial) furnish and install rebar only	\$116,000.00	20 20	778010	N	NA	<input type="checkbox"/> <\$1 million
City, State: San Bernadino, CA				1000000298			<input type="checkbox"/> <\$5 million
							<input type="checkbox"/> <\$10 million
							<input type="checkbox"/> <\$15 million
							Age of Firm: ___ yrs.

# Subcontractors

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Common potential violations of

“Subcontracting Fair Practices Act”

- Subbing additional work to a “listed” sub where the work was not originally listed, and is > threshold
- Using a sub not listed at bid time whose dollar value of work is > threshold
- Substituting a sub without the Agency’s written consent
- Performing work with his/her own forces that was for a sub to perform



**EXHIBIT 15-G2 LOCAL AGENCY BIDDER DBE INFORMATION (CONSTRUCTION CONTRACTS)**  
(inclusive of all DBEs including the UDBEs listed at bid proposal)

**NOTE: PLEASE REFER TO INSTRUCTIONS ON THE REVERSE SIDE OF THIS FORM**

LOCAL AGENCY: City of South San Francisco LOCATION: South San Francisco  
 PROJECT DESCRIPTION: SSF Regional Gap Closure Project  
 TOTAL CONTRACT AMOUNT: \$ 158,215.  
 BID DATE: 9/10/12  
 BIDDER'S NAME: Granite Rock Company dba Pavex Construction Division  
 CONTRACT UDBE GOAL: 6.5%

CONTRACT ITEM NO.	ITEM OF WORK AND DESCRIPTION OR SERVICES TO BE SUBCONTRACTED OR MATERIALS TO BE PROVIDED (or contracted if the bidder is a DBE)	DBE CERT NO. AND EXPIRATION DATE	NAME OF EACH DBE (Must be certified on the date bids are opened - include DBE address and phone number)	DOLLAR AMOUNT DBE
4 (partial)	street sweeping	#39197 (does not expire)	Moore Sweeping 7450 Gallant Circle Citrus Heights, CA 95621 (916) 527-4144	\$2,400.
4 (partial)	hauling & disposal	#5242 4/1/2014	D & S Trucking 6429 Sunnyslope Ave Castro Valley, CA 94552 (510) 541-8496	\$6,082.
<b>For Local Agency to Complete:</b> Local Agency Contract Number: <u>TR-10-05/510-99999-TR111</u> Federal-aid Project Number: <u>CML-5117(027)</u> Federal Share: <u>\$170,121</u> Contract Award Date: <u>10/10/12</u>				Total Claimed DBE Participation \$ <u>8,482.</u> <u>5.4</u> %

## 2. Check against Exhibit 15-G, Local Agency Bidder's DBE Information

**For Caltrans Review:**

Print Name _____ Caltrans District Local Assistance Engineer	Signature _____ Date _____	Local Agency Bidder DBE Information (Construction Contracts) (Rev 6/26/09)
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**Distribution:** (1) Copy - Fax or scan a copy to the Caltrans District Local Assistance Engineer (DLAE) within 15 days of contract execution. Failure to send a copy to the DLAE within 15 days of contract execution may result in de-obligation of funds for this project.  
 (2) Copy - Include in award package to Caltrans District Local Assistance  
 (3) Original - Local agency files

# Subcontractors

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Common potential DBE violations to look for:

- Substituting subcontractors without the agency's written consent
- Performing work with his/her own forces that the bid documents designated a DBE subcontractor to perform



# Contractors Records

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## Contractor must...

- Retain project records from bid preparation through final payment/claims resolution.
- For at least 3 years after retain records of:
  1. Bid preparation
  2. Overhead
  3. Payrolls
  4. Payments to subcontractors and suppliers

**CTSS 5-1.27 Records**

# Contractors Records

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## Contractor must...

- Maintain cost accounting records for the project
- Make records available for inspection, copying, and auditing
- Make subcontractor's records available

**CTSS 5-1.27 Records**

# Non-Compliant & Unauthorized Work

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“The Engineer may reject work that does not comply with the Contract at any time, including after a payment has been made.”

- Notify the Contractor in writing
- Do not pay for:
  - Corrective, removal, or replacement work
  - Unauthorized work

**CTSS 5-1.03, Engineer's Authority**

**Green Book 4-1**

**CM 5-1.09**

# Property & Facility Preservation

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- Be sure the Contractor...
  - Preserves property and facilities
  - If you cause damage, you are responsible
  - Notifies USA prior to excavating

**CTSS 5-1.36, Property and Facility Preservation**  
**Green Book 400 Protection and Restoration (Existing**  
**Improvements)**  
**CM 3-518**

# Maintenance & Protection

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- Be sure the Contractor...
  - Maintains and protects the work
  - Prevents equipment that exceeds max weight per VC operating on completed or existing *treated base, pavement, or structures*
  - Restores damaged work to the same state of completion as before the damage, before acceptance

**CTSS 5-1.39 Damage Repair and Restoration**

**Green Book 400 Protection and Restoration**

**CM 3-519 Maintenance and Protection**

# Final Inspection

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- Before Final Inspection...
  - Review job with other stakeholders
  - Give contractor a punch list
  - Perform a final inspection
  - Document in RE Daily Report

**CTSS 5-1.46 Final Inspection and Acceptance**

**LAPM 16.16 Final Inspection**

**CM 3-523 Final Inspection**

# Guarantee

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Contractor is required to guarantee work for  
1 year from Contract Acceptance  
or Relief of Maintenance.

**CTSS 5-1.47 Guarantee**

**CM 3-524 Guarantee**

# Control of Work

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## Remember...

- List resources
- Write a Daily Report
- Know your authority
- Understand the contractor's obligations
- Approve subcontractors before arriving onsite