

# Construction Contract Administration Guide



**Version 1.0**  
**August 2014**



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**ISSUE AND REVISION RECORD**

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Version / Revision	Date	Sections / Pages	Comments
1.0	August 2014	All	Initial Issue – Full Document

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## ACRONYMS

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A&E	Architectural and Engineering
AAA	advertise, award, and administer
ACM	Authority Construction Manager
APC	Administration and Projects Committee
AS	Approved Signatory
BATA	Bay Area Toll Authority
BMP	best management practice
BOE	Board of Equalization
Cal-OSHA	California Occupational Safety and Health Administration
Caltrans	California Department of Transportation
CCO	contract change order
CCTA	Contra Costa Transportation Authority
CFR	Code of Federal Regulations
CM	Construction Management
COSP	Code of Safe Practices
CTM	Construction Contract Manager
DBE	Disadvantaged Business Enterprise
DEP	data entry person
DTSC	Department of Toxic Substances Control
ECCRFFA	East Contra Costa Regional Fee and Financing Authority
EEO	Equal Employment Opportunity
FHWA	Federal Highway Administration
IIPP	Injury and Illness Prevention Program
LAPM	Caltrans Local Assistance Procedures Manual
LRP	legally responsible person
NOC	Notice of Completion
NOCC	Notice of Construction Completion
NOT	Notice of Termination
NPDES	National Pollutant Discharge Elimination System
NTB	Notice to Bidders
NTP	Notice to Proceed
OSE	Caltrans Oversight Engineer
PDM	Project Delivery Manager
PM	Project Manager

PS&E	plans, specifications, and estimates
QA	Quality Assurance
QC	Quality Control
QSD	Qualified SWPPP Developer
QSP	Qualified SWPPP Practitioner
RCRA	Resource Conservation and Recovery Act
RE	Resident Engineer
RWQCB	Regional Water Quality Control Board
SMARTS	Storm Water Multiple Application and Report Tracking System
SWPPP	Storm Water Pollution Prevention Plan
SWRCB	State Water Resources Control Board
US EPA	US Environmental Protection Agency
WPCP	Water Pollution Control Program

## TERMS AND DEFINITIONS

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**Approve the Contract as to Form:** The legal practice of validating documents submitted to a public agency. It signifies the attorney's determination that the submitted documents meet all legal requirements.

**Authority:** The Contra Costa County Transportation Authority (CCTA).

**Board Chairman (Chair):** The Chairman of the CCTA Board of Directors.

**Caltrans Oversight Engineer:** A Caltrans employee who performs independent quality assurance of the activities being performed by the resident engineer, the local agency structure representative, and others assigned to a construction project. The Oversight Engineer is the local agency's primary Caltrans contact. The Oversight Engineer ensures compliance with applicable state and federal regulations, contract requirements, Caltrans standards and practices, encroachment permit, and cooperative agreement requirements.

**Construction Contract Manager (CTM):** Responsible for managing assigned Architectural and Engineering (A&E), Construction Management (CM), and construction contracts.

**Construction Manual:** The *Caltrans Construction Manual* used as a resource for all personnel engaged in contract administration. The manual establishes policies and procedures for the construction phase of Caltrans projects.

**Contingency:** A budgeted line item in a construction contract, established in the Resolution to Award, which sets aside funds to pay for unforeseen construction issues that may arise.

**Contract Approval:** The date on which the fully executed contract is approved by CCTA as evidenced by the date entered by CCTA's counsel on the signature document.

**Contract Award:** The effective date on which the contract is awarded by CCTA as evidenced by a Resolution approved by CCTA's Board of Commissioners.

**Contractor:** The Prime Contractor responsible for the construction of a project.

**Construction Allotment:** The total budgeted (funded) amount established by the Resolution to Award a construction contract. The Construction Allotment is equal to the total of bid items (contractor's total bid amount) + Supplemental Work Funds + Owner-Furnished Materials + Contingency.

**Cooperative Agreement (Co-Op):** A formal, legally binding contract between (or among) agencies. Cooperative agreements outline responsibilities and respective obligations (including cost sharing) of the participants. This contract may address more than just the project construction. Cooperative agreements and maintenance or ownership obligations

are required when exchanges of funds or commitments of resources occur. Once signed by an authorized representative of the other party, the agreement becomes legally binding and becomes the highest authority in the hierarchy of contract documents.

**Encroachment Permit:** A permit issued by Caltrans granting permission to enter the state right-of-way and construct approved facilities. An encroachment permit is an enforceable contract when accepted by the permittee. An encroachment permit does not convey a real property right. It authorizes only the permittee or permittee's agent to perform work within the state right-of-way. The permittee may not transfer or assign an encroachment permit to another party.

**Inspector:** A field staff position, usually employed by the construction management (CM) firm, whose primary job function is to inspect work in progress or completed work elements for compliance with the contract documents and to document such field activities in conformance with the Construction Manual, the CM firm's contract, and other applicable requirements that may be specific to a particular project.

**Owner-Furnished Materials:** Materials to be furnished by the owner(s) and provided to the contractor for use or installation in a construction contract. Owner-furnished materials are not part of the contractor's bid, but they are included in the total construction allotment for a project.

**Quality Assurance (QA):** All planned and systematic actions necessary to provide confidence that a Quality Control (QC) process meets or exceeds its intended goals, or that installed materials or products will satisfy given requirements for quality.

**Quality Control (QC):** All contractor operational processes, techniques, and activities that are performed or conducted to ensure that placed materials meet or exceed the contract specifications and requirements.

**Resident Engineer (RE):** The person in responsible charge of performing construction management activities for a project, including contract administration, jobsite verification sampling, and testing and inspection of the contractor's QC operations. The RE is typically employed by a CM firm under direct contract to CCTA.

**Staff Report:** The Staff Report is the document used by CCTA staff to request an action by the Board of Commissioners. It may be used to request approval of contracts, change orders, co-op agreements, and contract amendments, and to officially establish or change a policy or procedure.

**Standard Specifications:** Caltrans Standard Specifications, available at this link:

[http://www.dot.ca.gov/hq/esc/oe/construction\\_contract\\_standards/std\\_specs/2010\\_StdSpecs/2010\\_StdSpecs.pdf](http://www.dot.ca.gov/hq/esc/oe/construction_contract_standards/std_specs/2010_StdSpecs/2010_StdSpecs.pdf)



**Supplemental Work:** The anticipated work within the scope of the project which is included in the engineer's estimate for a project to cover work of such an uncertain nature that is cannot be quantified as a contract bid item.

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# 1 INTRODUCTION

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## 1.1 Background

The Contra Costa Transportation Authority (CCTA or Authority) was originally formed to manage the funds generated by the half-cent transportation sales tax that Contra Costa County voters enacted in 1988, and to oversee the implementation of the Measure C Expenditure Plan. In 2004, the sales tax was renewed for an additional 25 years (beginning on April 1, 2009, through the year 2034), and a new expenditure plan, the Measure J Expenditure Plan was adopted.

CCTA is responsible for overseeing the use of revenues from the transportation sales taxes authorized and approved in Measures C and J. The Authority allocates the sales tax revenues from these measures to the projects identified in the Measures up to the total amount specified in the current Strategic Plan. Measure funds are available to fund both capital projects and local agency sponsored projects. Capital projects are those that are managed and administered directly by CCTA, whereas locally sponsored projects are managed and administered by local jurisdictions, with oversight by CCTA staff.

The Strategic Plan also fulfills three objectives related to the expenditure of sales tax funds generated by Measure J:

1. It provides a revenue correction by revising the overall estimate of anticipated sales tax revenues expected to be generated.
2. It includes policies to guide the overall programming of projects and implementation of Measure J.
3. It makes financial commitments to individual projects by fiscal year.

Operationally, the Authority is divided into four disciplines: Planning, Programming, Finance, and Projects. This Construction Contract Administration Guide is focused on construction of projects and is one of three operational guides for the Projects discipline; the other two are the *Project Management and Controls Guide* and the *Local Agency Coordination Guide*.

## 1.2 Purpose and Objective

This document provides CCTA staff, the Project Delivery Manager (PDM), the Construction Contract Manager (CTM), the Construction Management (CM) firm and its Resident Engineer (RE) and their various representatives a guide for administering CCTA construction contracts. This guide describes the administration practices, procedures, and activities of the CTM, the Agency Construction Manager (ACM), and Resident Engineer (RE) during the bid document preparation, advertisement, and construction phase of a project.

The guidelines presented herein cannot be used as a substitute for a project encroachment permit or cooperative agreement. The encroachment permit and the cooperative agreement outline the requirements and obligations for CCTA and the contractor. This guide does not replace or supersede the Standard Specifications, special provisions, project plans, or other construction contract documents.

Throughout this document, references are made to other guides and policy documents, which change over time. If the information contained in this guide conflicts with other state or federal regulations or policies, those regulations and policies shall govern. If any discrepancies between documents are encountered, the Agency Construction Manager should be notified (refer to Section 1.4 below).

CCTA typically contracts directly with a CM firm to perform construction management for projects. The CCTA contract with the CM firm must fully describe the roles and responsibilities, required personnel, and scope of services to be provided by the consultant.

### 1.3 Using This Guide

This guide is intended to be used as a tool for guidance and to consolidate information, forms, templates, and references into a single location for ease of use. It includes numerous web links to external information on the California Department of Transportation (Caltrans) and Federal Highway Administration (FHWA) websites and hot links to blank forms and templates that are commonly used in the pre-construction, procurement, and construction phases of a project, as well as some example documents.

### 1.4 Changes

This guide is intended as a living document to be updated periodically to incorporate revisions, clarifications, and changing policies, laws, and procedures. Suggested revisions or clarifications should be requested by completing the [Suggested Revisions](#) form in Appendix 1 and submitting it to the Agency Construction Manager (ACM). The ACM will review such requests for revision and will determine if an update to the guide is warranted and when such updates will be published.

The Version and Revision Record preceding the table of contents in this guide is used to track the initial issuance of the guide and subsequent updates.

## 2 OVERVIEW

### 2.1 Organization

Figure 2-1 illustrates the organization of the construction administration group within CCTA's organization.

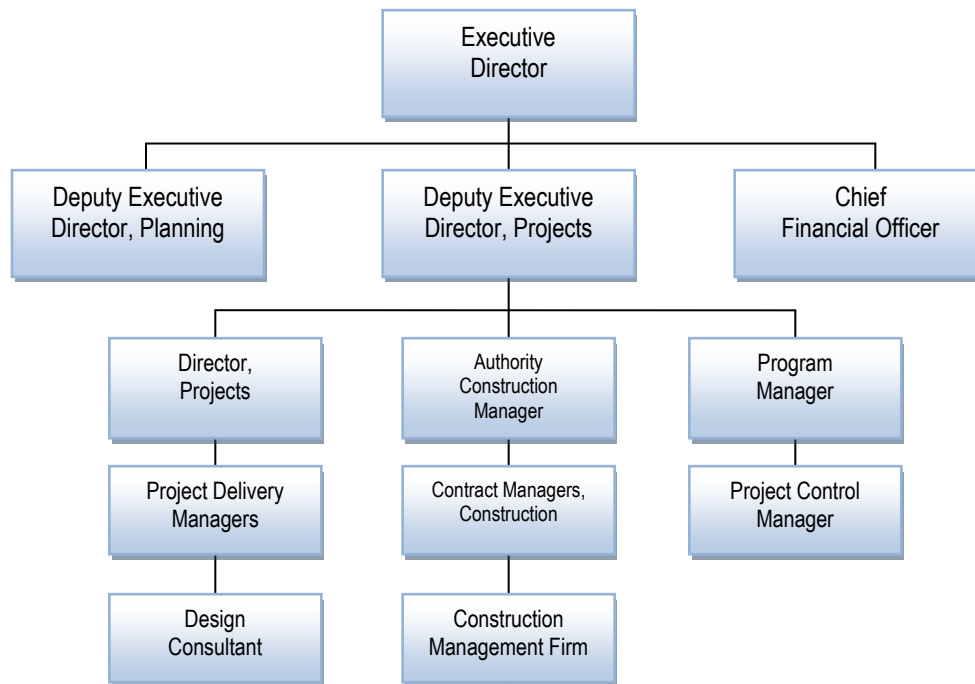


Figure 2-1: Organization Chart—Construction Administration

### 2.2 Roles

The following subsections briefly describe the roles and responsibilities for the staff shown in Figure 2-1.

#### 2.2.1 Construction Contract Manager (CTM)

For large projects or during the construction phase, a dedicated Construction Contract Manager (CTM) may be assigned to manage each contract. The CTM is responsible for managing and administering assigned A&E, CM, and construction contracts, and reports to the ACM.

#### 2.2.2 Construction Management (CM) Firm

For most projects, CCTA will retain the services of a CM firm through the consultant selection process. The CM firm will provide qualified construction management, surveying consultants, and specialty services to assist in executing construction projects. In general, the CM firm will perform the roles of Resident Engineer (RE) and Structures Representative as described in the

Caltrans Construction Manual. The CM is responsible for adhering to the Caltrans Local Agency Procedures Manual (LAPM) procedures for federal-aid projects or projects within Caltrans right-of-way.

### 2.2.3 Project Delivery Manager (PDM)

The Project Delivery Manager (PDM) is responsible for the overall delivery of a project from project initiation through completion.

## 3 CONTRACT ADVERTISEMENT, AWARD, AND ADMINISTRATION

### 3.1 Prepare Bid Documents

#### 3.1.1 Construction Management Firm Involvement

As part of the plan development and design process, the constructability review of the 65 percent stage of the plans, specifications, and estimate (PS&E) may be the first task for the CM firm. In addition, the CM firm is often contracted to compile the final bid documents and assist with administering the procurement process for the construction contract. Thus, procurement of the CM firm must be planned well in advance of the 65 percent PS&E review submittal and an approximate 6-month procurement process should be scheduled and planned.

For guidance in the procurement of the CM firm, refer to the Program Management & Controls Guide. (See [Appendix 3.9](#) for an example *Scope of Work for construction management services*.)

For federal-aid projects, special attention must be paid to the procurement of the CM firm for support of pre-construction activities, which are any activities prior to the award of the construction contract. Because federal construction funds cannot be used for pre-construction activities, the PDM and ACM should consider the following procurement options in order to comply with federal-aid requirements with regard to the CM firm involvement in pre-construction activities:

- ◆ Procure a single CM contract with two separate task orders, i.e., Task 1 for pre-construction activities and Task 2 for construction management activities following execution of the construction contract (often called post-award). In this case, federal funding could only be used for Task 2 activities; Task 1 activities would be paid using nonfederal funds.
- ◆ Procure two separate contracts: one for pre-construction activities and one for post-award activities, with only the latter being eligible for federal funding.
- ◆ Include the preconstruction activities in the design consultant's contract and procure a single CM firm contract to provide only post-award activities. Depending on the capabilities of the design firm and at the discretion of the PDM and CCTA, the CM firm could either complete the constructability review using their own staff, or subcontract these efforts to another consultant firm.

The process flow shown below outlines the pre-bid major process elements in which the CM firm may participate.



### 3.1.2 65 Percent PS&E Review (Constructability Review)

The purpose of involving the CM firm at the 65 percent submittal is to incorporate comments from a constructability and construction contract administration perspective into the final bid package. Because the CM firm will ultimately administer the construction contract and ensure that the project is constructed in compliance with the contract documents, the firm's review of and comments on the bid package is an important aspect of delivering high-quality bid documents and reducing the potential for construction delays and change orders resulting from errors, omissions, or conflicts within the contract and procurement documents. The CM firm review of the 65 percent submittal is commonly referred to as the Constructability Review.

### 3.1.3 Finalize Bid Documents

The Project Delivery Manager (PDM) is responsible for managing the delivery of the final bid document package. The design consultant will prepare the final project plans, bid item list, quantities, and special provisions. The boiler plate special provisions, which include CCTA policies and practices and other contractual requirements, are then adapted to meet the specific requirements of the project and added to the bid documents.

Depending on the design consultant's contractual scope of work, the PDM, in coordination with the ACM, may elect to have either the design consultant or the CM firm complete the special provisions and compile the final documents for advertisement.

After the special provisions are finalized and any cooperative agreement requirements are incorporated, the ACM will request a review by CCTA's legal counsel.

#### 3.1.3.1 *Special Considerations for Federal-Aid and Local Agency Projects*

If any portion of the construction is to be funded with federal funds, additional federal-aid provisions must be added to the procurement package. These federal contract provisions add contract language to include such items as Disadvantaged Business Enterprise (DBE) information and General Contract Provisions. These additional federal provisions are included in Appendix 4.

Because CCTA also advertises and administers contracts on behalf of other local agencies, special attention must be paid to such projects to ensure that any additional requirements and policies of the local agency are incorporated into the bid package. In all cases, approval of these additions or revisions must be approved by the ACM and the local agency.

After the special provisions are finalized and any cooperative agreement requirements are incorporated, the ACM requests a review by CCTA's legal counsel.



### 3.1.4 Request CCTA Board Approval to Advertise Contract

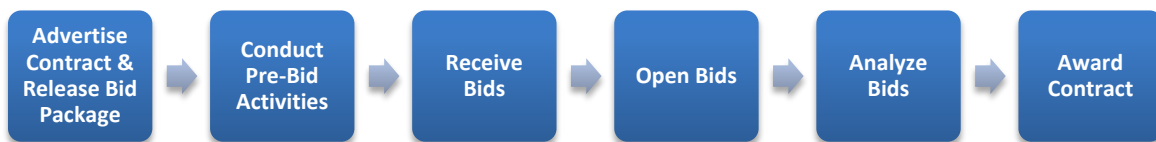
The PDM and CTM jointly develop and recommend a schedule that includes the advertisement dates and projected Administration and Projects Committee (APC) and CCTA Board dates for recommendation to award the construction contract. When the bid documents are complete, the ACM advises the Deputy Executive Director, Projects, who then recommends to the Executive Director that the contract be advertised.

The CTM prepares a staff report recommending approval of a Board Resolution authorizing the Executive Director (or his designated representative), to (1) publicly advertise the contract at his discretion, (2) approve changes and issue addenda to the bidding documents during the advertising period, and (3) publicly open all bids received. (See [Appendix 3.10 – Sample Staff Report and Resolution.](#))

## 3.2 Contract Advertisement

Typically, the CM firm administers the procurement process, is the point of contact for bidder inquiries, and prepares responses to inquiries and addenda in coordination with the PDM and the design consultant. However, the ACM may decide to assign these responsibilities to the CTM or PDM for a particular project.

The process flow below depicts the major steps in advertising and awarding a construction contract. Additional details for each step follow in this section.



### 3.2.1 Advertise Contract and Release Bid Package

#### 3.2.1.1 Notice to Bidders

When the Executive Director authorizes the advertisement, the CM firm will publish a Notice to Bidders (NTB) in newspapers of wide circulation, such as those in the Bay Area News Group:

- ◆ *Oakland Tribune*
- ◆ *Contra Costa Times*
- ◆ *East County Times*
- ◆ *San Ramon Valley Times*
- ◆ *The Argus*
- ◆ *Tri-Valley Times*

The advertisement period officially starts on the first date of such publication. The newspaper advertisement should be scheduled to be published once a week for two consecutive weeks (ten

business days) at the beginning of the bid process. For federal-aid projects, the minimum advertisement period is for three consecutive weeks. It is important that the start date of the newspaper advertisement coincide with the formal start of the Bid Advertisement Period.

Typically, the NTB will include the following information:

- ◆ Instructions to prospective bidders for acquiring bid documents for the project
- ◆ Instructions for submitting bidder inquiries
- ◆ The CCTA contact person's name and contact information (often delegated to the CM firm)
- ◆ Instructions for submitting sealed bids to CCTA Receptionist at CCTA's offices during normal business hours and prior to the time specified
- ◆ Date, time, and location of the public bid opening

### **3.2.1.2 Release Bid Package**

The CTM directs the CM firm to issue an electronic set of bidding documents to the third-party online plan room. The CM firm secures the services of the online plan room and transmits all procurement documents. This process ensures the integrity and consistency of the PS&E package. Some plan rooms only accept electronic files, but most still work with the traditional hard copy bid package. The online plan room also serves as a means to distribute bid inquiries and contract addenda. A list of potential plan rooms is provided in [Appendix 3.11 – Builders Exchange Plan Rooms](#).

The CM firm ensures that a list is maintained of all plan holders of record, i.e., those who have been issued or have purchased one or more sets of the bid documents. The CM firm provides the ACM with weekly summaries of current registered plan holders.

Finally, the CCTA staff ensures that the CCTA website is kept up to date with current advertisements.

## **3.2.2 Conduct Pre-Bid Activities**

### **3.2.2.1 Pre-Bid Meeting**

The ACM may elect to conduct a pre-bid meeting on a particular project and direct the CM firm to plan and conduct the meeting. All prospective bidders will be encouraged to attend, although attendance is typically optional on CCTA projects. The purpose of the meeting is to allow CCTA to direct the attention of prospective bidders to any critical aspects of the project and to allow those prospective bidders to ask questions of CCTA staff and consultants. The pre-bid meeting may include a tour of the project site. The CM firm will ensure minutes of the pre-bid meeting are prepared and made available to all attendees and all plan holders of record.

The following is an example pre-bid meeting agenda:

- ◆ Introductions
- ◆ Opening Remarks
- ◆ Project Description
- ◆ Important Dates
- ◆ Stormwater Pollution Prevention Plan (SWPPP) and Environmental Requirements
- ◆ Project-Specific Participation Goals
- ◆ Contract Advertisement, Bid Opening, and Award Process
- ◆ Question and Answer Period

### 3.2.2.2 Bidder Inquiries

The CM firm is the prospective bidders' single point of contact for bid inquiries throughout the bidding period. All information transmitted to prospective bidders is delivered by the designated CM contact person or CCTA. The CM firm provides a response to bidder inquiries in a timely manner, using input from the designer of record and others, as necessary. The bidder inquiries and responses are posted on the plan-room website and, as a courtesy notification, emails are sent to all registered plan holders. Bidder inquiry responses are also posted on the CCTA website. The CM firm provides the CCTA with weekly summaries of current registered plan holders and bidder inquiries. The deadline for bidders to submit inquiries must be included in the Notice to Bidders and is typically set to no later than five business days prior to the bid due date. Depending on the nature and complexity of the inquiries, and considering that addenda could be issued during the bid process and could materially change the plans, the ACM may decide to extend the bid opening date to allow bidders to digest the revised or new information and subsequently account for the changes in their bid pricing.

Although responses to inquiries are shared with bidders during the bid process, a final collection of all bidder inquiries and responses is issued as an addendum prior to the end of the bidding period to make this information part of the official procurement record.

### 3.2.2.3 Addenda

If, during the advertisement period, any matters arise that require clarification of the bid documents, the CM firm will prepare an addendum for the Executive Director's approval. Addenda are issued at CCTA's discretion to add or remove significant work, correct significant errors and omissions, and resolve conflicts in the contract documents.

The CM firm coordinates with the design engineer and PDM to prepare the plans, specifications, and cost estimate for an addendum request. If required, the design engineer secures approvals from Caltrans, FHWA, and other third parties. After review by the CTM and ACM, the

addendum is forwarded to the Executive Director for approval. The CM firm forwards the approved addenda to the on-line plan room for distribution and sends a copy to CCTA for posting on the CCTA website.

As stated in the NTB, the bidders are responsible to check with the on-line plan room for addenda. The ACM may elect to send emails to all registered plan holders as a courtesy notification. In addition to the online plan room, the CCTA website posts all addenda, bid inquiries, and a list of the registered plan holders. Responsive bidders must certify receipt of all addenda when submitting their bid.

For federal-aid projects, the federal wage rates must be checked 10 days prior to bid opening. Any change in the wage rates must be included in an addendum.

Review and approval of the addendum by third-party stakeholders, such as Caltrans, other agencies, or utilities, may be required. The design consultants must coordinate closely with the third party to obtain expeditious review and approval of the addenda.

#### **3.2.2.4 Communication with Bidders**

CCTA must designate a procurement contact person for each project, who must be identified in the Notice to Bidders. This person is the single point of contact for the agency throughout the bidding period. All information exchanged between bidders and CCTA during procurement must be routed through this individual, including bidder inquiries, responses to inquiries, addenda, and notices of pre-bid meetings.

To protect the integrity of the bidding process, no bidder can be given a real or perceived advantage over any other bidder. Any information provided to one bidder must also be provided to all other potential bidders at the same time. The design engineer or other nondesignated personnel must never respond directly to plan holders making bidder inquiries. The CM firm investigates bidder inquiries thoroughly and provides timely and conclusive responses through the designated contact person.

Communication with bidders is typically be through the third-party online plan room where the procurement contact person posts the NTB, plans, specifications, addenda, list of plan holders, bidder inquiry log, and pre-bid meeting information. The CM firm has sole responsibility for posting to the plan room.

In addition, the CCTA website is updated by CCTA staff as needed to keep the site current with documents related to the bid process. Documents posted on the CCTA website typically include the NTB, addenda, list of plan holders, bidder's inquiry log, links to the online plan room, and the pre-bid meeting summary. For federally funded projects, a notice with the DBE goal should also be posted on the CCTA website.

### 3.2.3 Receive Bids

Bid packages are delivered to the CCTA's office as designated in the NTB. CCTA's Executive Secretary or receptionist receives and time-stamps each sealed bid package and is responsible for safeguarding all accepted bids until they are either (1) withdrawn by the bidder prior to the deadline specified for bid submittal, (2) publicly opened, or (3) returned unopened to the bidder if the solicitation is canceled prior to the public opening of bids. Bids will not be accepted after the date and time specified in the bid documents.

### 3.2.4 Public Bid Opening

The Executive Director, or his representative, oversees the public opening of all bids at the time and location stated in the NTB. Changes, if any, to the originally specified bid opening time or location are made only by addendum.

On the day of the bid opening, the typical procedure is as follows:

1. The CCTA Executive Secretary is designated to receive the bid packages from the contractors.
2. The CM firm provides the Executive Secretary with the list of registered plan holders before the bids are accepted.
3. The Executive Secretary receives bids and time-stamps them up to the cut-off time designated in the NTB. The bidder's name is verified as a registered plan holder before the bid is officially accepted.
4. Following the submittal cut-off time, the bid packages are taken to the CCTA Board Room, which will be set up to display the bids on the large monitor as each bid is read aloud.
5. The CM firm designee opens each bid and verifies the contract number.
6. The Executive Director, or his representative, reads aloud the total bid price from each bid. The CM firm staff enters the bids into a spreadsheet for display on the large monitor. After the last bid is opened and recorded, the Executive Director (or his designee) announces the apparent low bidder.
7. Questions from the bidders present at the bid opening may, or may not, be taken. If questions are taken, the CM firm records any questions and the answers for later posting on the CCTA website.
8. After the bid opening, the CM firm electronically scans the bid forms from each bid and transmits them to the CCTA staff, who posts them on the CCTA website.

### 3.2.5 Analyze Bids

#### 3.2.5.1 Analysis

Following the bid opening, the CM firm analyzes each bid, beginning with the apparent low bidder, to ensure that all required forms are included (responsive) and mathematically verify each line item and the total bid amount (responsible). A Bid Summary form is completed to record the information on each bid. For federal-aid projects, the bids will also contain confirmation of DBE documentation (meeting the DBE goal or demonstration of good faith effort). Following bid analysis, the CM firm submits the bid summary and a letter of transmittal attesting to the verified responsive and responsible bids to the CTM, who forwards this information to the ACM.

If any bid contains irregularities that, in the ACM's opinion, could affect the determination of the lowest responsible and responsive bidder, the ACM notifies the Deputy Executive Director, Projects, who may refer the facts to the CCTA's legal counsel. In such an event, counsel makes a recommendation to the Deputy Executive Director, Projects, who makes the final determination on a course of action.

After the low bidder is verified, the CM firm completes an award recommendation memo and submits it to the ACM. This memo attests to the validity of the low bid package and includes a list of all bidders in descending order. Immediately following receipt of the recommendation memo, CCTA sends out Letters of Intent to Award to all bidders via registered mail. The bid protest period is specified in the special provisions and is typically five business days from the last bidder's receipt of the letter. (See [Appendix 3.12](#) for samples of Letters of Intent to Award.)

CCTA's goal is to analyze bids and resolve all irregularities and/or protests approximately 3 weeks prior to a regularly scheduled CCTA Board meeting.

#### 3.2.5.2 Bid Protests

Any bidder may submit a valid bid protest at any time after the bid opening and prior to the deadline stated in the Bid Protest Procedure. Valid bid protests are processed in accordance with the procedures contained in the contract special provisions. (See [Appendix 3.13](#) for the Bid Protest Procedure.)

### 3.2.6 Prepare Staff Report and Board Resolution

Following the bid analysis and resolution of any bid protests or irregularities, the CTM prepares a staff report recommending approval of a Board Resolution awarding the contract to the lowest responsible, responsive bidder. The Board Resolution states the construction allotment, contingency amounts (usually 10 percent of the contract amount), supplemental funds, and owner-furnished materials. It authorizes the Chair of the CCTA Board (Chair) to sign the contract. The Board Resolution also authorizes the Executive Director to prepare and sign any

other documents necessary to execute the contract and gives him the authority to approve contract change orders in accordance with the provisions of this guide. (See [Appendix 3.14](#) for sample Staff Report and [Appendix 3.15](#) for sample Resolution to Award Contract.)

The staff report recommending award of the contract is placed on the agenda of the Administration and Projects Committee (APC) of the CCTA and, provided the APC recommends award, the matter is placed on the agenda of the next regularly scheduled CCTA Board meeting. However, if the bid analysis and resolution of irregularities are not concluded prior to the APC meeting, staff could bring the contract award item directly to the full CCTA Board.

### 3.3 Contract Award and Approval

The process flow below depicts the major steps in contract award and approval. Additional details for each step follow in this section.



#### 3.3.1 Issue Notice of Award

After the Board has awarded the contract, the CTM prepares a Notice of Award letter to the selected contractor for the Executive Director's signature. This letter includes instructions to the contractor for submitting required information (insurance certificates, performance bonds, etc.) to CCTA within a specified time frame so the final construction contract can be compiled. The CM firm supports the CTM in this activity. (See [Appendix 3.16](#) for sample Notice of Contract Award letter.)

#### 3.3.2 Verify Contract Package

After the contractor has submitted the required contract documents (insurance certificates, performance bonds, etc.), the CM firm electronically scans all contents of the package and forwards it to the CCTA legal counsel for review and comment. The CM firm and CCTA legal counsel concurrently review the contractor's submittal package for conformance with contract requirements. Any comments from either party are consolidated by the CM firm and forwarded to the contractor to make corrections. This process is repeated until all documents are in compliance with the contract requirements. (See [Appendix 3.17](#) for sample Letter to Resubmit Contract Package.)

After all of the contractor-submitted forms are deemed to be in compliance with the contract requirements, the CM firm compiles the final contract package, including all forms, certificates,



and other attachments and submits it to the ACM along with a memo attesting to its conformance. (See [Appendix 3.18](#), *Certifying Contract Documents Memo*.) The ACM then forwards two copies of the contract to the contractor for signature.

### 3.3.3 Contract Approval

When all requirements have been satisfied and the contractor has signed and returned two copies of the contract to CCTA, the CCTA legal counsel “approves the contract as to form.” The contract is then sent to the Chair and the Executive Director for signature. After the contract is signed by the CCTA legal counsel, it is considered fully executed.

Following contract execution, the CTM prepares a Contract Approval Letter for the Executive Director’s signature. (See [Appendix 3.19](#) for sample *Contract Approval Letter*.)

The executed contract consists of two wet-signed copies of the contract. One copy is returned to the contractor and one copy is sent to the CCTA Administration staff. The CCTA Administration staff scans the executed contract, Board Resolution, and Contract Approval Letter to the CCTA’s shared computer drive. A scanned copy is forwarded to CCTA legal counsel for its records. The original hardcopy documents are placed in the CCTA’s fireproof cabinet.

The CM firm is responsible for ensuring that all bid securities are returned to the unsuccessful bidders at the appropriate time after successful execution of the contract.

## 3.4 Construction Contract Administration

### 3.4.1 Construction Management

After the construction contract has been executed, the CM firm has the primary responsibility for administering the construction contract, which includes providing a Resident Engineer (RE), office engineering, construction surveying, and materials testing and field inspection services.



Specific services will be defined in the CM firm's contract, but they generally include the following:	
<u>Construction</u>	<u>Post Construction</u>
<ul style="list-style-type: none"> <li>◆ Contract Administration</li> <li>◆ QA Inspection</li> <li>◆ Labor Compliance</li> <li>◆ Progress Payments</li> <li>◆ Change Order Processing</li> <li>◆ Materials Testing and Source Inspection</li> <li>◆ Construction Surveying</li> <li>◆ SWPPP Inspection</li> <li>◆ Third-Party Coordination</li> <li>◆ Submittal Reviews</li> <li>◆ Claims Support</li> <li>◆ Safety Reviews</li> <li>◆ Environmental /Biological Monitoring</li> </ul>	<ul style="list-style-type: none"> <li>◆ Process Final Payment</li> <li>◆ Project Acceptance</li> <li>◆ Final Project Documents</li> </ul>

From this point forward, throughout the remainder of the construction phase, the CM and his or her staff will be the CCTA's primary interface with the Contractor. All routine communications with the Contractor are handled through the CM firm's Resident Engineer.

### 3.4.2 Start of Construction

When notified of the contract approval, the contractor has a maximum of 55 calendar days to begin jobsite activities, according to specifications, although this may period be adjusted in the contract depending on the size and complexity of the project. The date on which the contractor starts jobsite activities establishes the start date for construction and the projected completion date based on the number of working days stated in the contract. Working days are usually based upon a 5-day work week, but will be as stated in the contract.

#### 3.4.2.1 Preconstruction Conference

After the contract has been officially executed, the CTM authorizes the RE to issue a Notice of Preconstruction Conference to the Contractor.

The preconstruction conference will include representatives from CCTA, the contractor and key subcontractors, the CM firm, relevant agencies (e.g., utilities), and the design consultant if requested by the CM firm. The RE leads the discussion of topics, which, at a minimum, include contract requirements, safety, and coordination with other projects and agencies and other concerns.

### 3.4.2.2 *Communications Protocol*

The RE is the single point of contact for the CM firm for all formal communications with the contractor and the responsible party for oversight and management of the construction contract. This ensures clear and consistent communication with the contractor and reduces the potential for providing conflicting information, which could lead to delays and potential claims.

Communications protocol must be consistent with that established by the RE prior to the start of work. During the course of any construction support, if the CCTA, design consultant, or Caltrans staff contacts the contractor or subcontractor forces, it should be made clear that any approval or direction of the work must come from the RE in writing. Any contacts with contractor forces would normally be very limited and would be made with the full knowledge of the RE.

### 3.4.2.3 *Partnering*

Partnering is a formalized process for building teamwork and cooperation between groups of people, with different outside goals and objectives, that will be working together to construct a project. Partnering seeks to unite the parties around the common goals and objectives within a project and is often employed on large or complex projects that require the careful coordination of construction activities to ensure the results desired.

CCTA's Executive Director is firmly committed to the principles of partnering in order to instill collaboration among stakeholders and deliver successful outcomes to all parties. Generally speaking, the desired outcome is a constructed project that meets or exceeds the contractual requirements, is constructed within the contractual schedule and budget with minimal impact to the public, and results in no claims between the contractor and the CCTA. Partnering is CCTA's principal method of resolving claims and disputes.

Partnering is specified in the contract specifications and is encouraged on all projects. If formal partnering is employed on a project, all partnering costs are shared equally between the CCTA and the contractor. Parties involved with the partnering process include the prime contractor, subcontractors, major suppliers, utility companies, CCTA, the CM firm, project designers, local government representatives, and other parties that will be directly affected by the project.

For information about partnering, refer to the Standard Specifications, Section 5-1.09 Partnering, and Caltrans' Field Guide to Partnering on Caltrans Construction Projects.

### 3.4.2.4 *Insurance - Contractor*

The contract documents require the Contractor to procure and maintain specific insurance of the type and scale appropriate with the project scope, which typically includes public liability, property damage, and workers' compensation insurance. Insurance coverage is evidenced by a certificate of insurance, which certifies that the policy is in effect. The contract documents typically require all Contractor insurance policies to list CCTA, and other entities as listed in the

NTB, as an “additionally insured” party. The Contractor must forward certificates of insurance for the required coverage to CCTA before the Contract is executed. To ensure that adequate insurance coverage is maintained in force, the RE monitors the effective periods of the insurance coverage on the project and must be aware of notifications of cancellations of the insurance coverage. If the Contractor fails to take appropriate action and the insurance coverage expires, the RE, with the approval of CCTA, issues a written stop work order to the Contractor, and work must not resume until the Contractor furnishes a valid certificate of insurance.

The Contractor is responsible for obtaining sufficient additional bonding and insurance if additional work is added that increases the total Contract value above the limits of the current bonding and insurance coverage. The RE ensures that the Contractor does not proceed with the additional work until the additional coverage limits are in effect.

The contractor must supply a performance and payment bond at least equal to 100 percent of the contract price.

#### *3.4.2.5 Insurance – Design Consultant*

The consultant providing design services during construction will have insurance requirements outlined in their contract agreement. Typical coverage includes general liability, automobile liability, workers compensation, professional liability and excess (or umbrella) liability. CCTA is typically listed as an “additionally insured” party. The CTM verifies adequate insurance coverage before the agreement is executed with the consultant. The CCTA staff members continue to monitor and verify insurance compliance after agreement signing.

#### *3.4.2.6 Insurance – Third- Parties*

During the course of the project, a third-party partner in the project, such as a utility company or railroad, may require CCTA to produce proof of insurance in order to allow CCTA staff access to its easement or right-of way. A copy of CCTA’s current certificate of insurance may be obtained from the CCTA administrative staff.

#### *3.4.2.7 Insurance – Coverage of Client Agency*

If the CCTA is administering a project on behalf of another local agency, the CM firm, its subconsultants, and the contractor must name the local agency as an “additional insured” with coverage equivalent to that provided to CCTA. This can be verified through the certificate of insurance submittals required by the contract or agreement.

#### *3.4.2.8 Audits*

The CM firm monitors and verifies that all insurance, bonds, and other contract documents required of the contractor are kept current and is responsible for monitoring the contractor’s

labor compliance practices. The CTM periodically verifies that the project is in compliance with applicable state and federal regulations.

### 3.4.3 Monthly Cycle of Activities

#### 3.4.3.1 Construction Progress Meetings and Reports

The RE conducts regular construction progress meetings with the contractor and the CTM. Other members of the project team are included on an as-needed basis. The objective of these meetings is to keep the project on track by reviewing the schedule, coordinating upcoming work, and resolving issues as quickly and economically as possible. The CTM attends the meetings and advises the ACM on project issues.

#### 3.4.3.2 Progress Payments

The CCTA goal is to pay invoices within 5 days of receiving the invoice. As a part of its commitment to being the “owner of choice,” CCTA has developed a streamlined process to issue progress payments to the construction contractors. The CTM notifies the RE of the following procedure.

Within 2 days of receiving the contractor’s payment proposal, the RE discusses the estimate with the contractor and resolves differences. No later than two business days following the 20th calendar day of the current monthly pay period, the RE emails a color image (in pdf format) of the signed contractor progress payment, including all supporting documents, to the Accounting Clerk, Cindy Walker-Sayles ([csayles@ccta.net](mailto:csayles@ccta.net)), and provides cc copies to the following:

- ◆ Deputy Executive Director, Projects – Ross Chittenden ([rchittenden@ccta.net](mailto:rchittenden@ccta.net))
- ◆ Authority Construction Manager – Ivan Ramirez ([iramirez@ccta.net](mailto:iramirez@ccta.net))
- ◆ Senior Administrator – Desiree Acol ([desiree.acol@parsons.com](mailto:desiree.acol@parsons.com))
- ◆ Construction Contract Manager (CTM)

The subject line on the email must include the CCTA Contract Number and Resolution Number, for example, “Contractor Payment – Contract No. 337/Res No. 12-12-P.” The RE marks the email as “High Importance.” No hard copy original shall be mailed or hand delivered separately to the CCTA. The emailed progress payment request becomes the original document with regard to processing the payment. The RE calls the Authority Construction Manager (ACM) after the email has been sent.

This process will not be used when issuing the proposed final estimate.

### 3.4.3.3 Contract Change Orders

The contract award Board Resolution identifies the contract amount and sets aside a contingency amount and supplemental funds available. (See [Appendix 3.15](#) for sample *Resolution to Award Contract*.)

The CCTA's policy is that contract change orders (CCOs) be approved as follows:

- ◆ **CCOs with a value of up to \$50,000:** The Executive Director has the authority to approve. The Executive Director may delegate approval of such CCOs to the Deputy Executive Director, Projects.
- ◆ **CCOs with a value greater than \$50,000 but not greater than \$100,000:** The Executive Director has the authority to approve following consultation with the Chair. All such approved CCOs are reported at the next regularly scheduled APC meeting.
- ◆ **CCOs with a value greater than \$100,000:** The Executive Director must seek the approval of the full CCTA Board. If the Board's regular meeting schedule precludes timely consideration of such CCOs and time is of the essence, the Executive Director has the authority to approve the CCO following consultation with, and concurrence of, two or more members of the Executive Committee (Chair and Vice Chair of the CCTA Board, the Chair of APC, and the Chair of the Planning Committee). Such consultation may be conducted on an individual basis. Any CCO so approved must be reported at the next regularly scheduled APC meeting.

At each regularly scheduled APC meeting, the ACM reports the following:

- ◆ Each CCO approved since the last report with a cost that exceeds \$25,000 on projects under \$15 million, and CCOs that exceed \$50,000 on projects over \$15 million; or a time extension greater than 10 working days
- ◆ Overall status of CCOs
- ◆ Status of the contingency amount for the projects with change orders.

See *Appendix 3.20 CCO Form*, *Appendix 3.21 CCO transmittal memorandum*, and *Appendix 3.22 CCO Report to the Board*.

### 3.4.3.4 CCO Logs

The RE is responsible for maintaining records of the actual or expected cost of all approved, pending, and potential CCOs, and all potential claims. At least once per month, the RE reports to the CTM the expected combined cost of these items and the base contract. This information is, in turn, regularly reported to the APC.

The RE must create and maintain records of an independent estimate and time impact analysis for each change order.

### 3.4.4 Claims

#### 3.4.4.1 *Disputes and Claims by the Contractor*

A claim is a demand by the contractor for a time extension; payment of money or damages arising from work done by, or on behalf of, the contractor pursuant to the contract, and payment of which is not otherwise expressly provided for or that the contractor is not otherwise entitled to as determined by CCTA in response to a contractor change request; or an amount the payment of that is disputed by the CCTA.

Procedures for the contractor to file a claim against CCTA are described in the contract special provisions and, by reference, the Caltrans Standard Specifications. Special attention should be paid to the response time required by the RE and CCTA.

The RE assigns a unique number to each claim submitted and maintains a log of claims from beginning through to final disposition. The RE notifies CCTA immediately when a notice of claim is submitted and provides a copy of the claim itself. The RE confers with the CCTA on the appropriate action for each claim, but at a minimum, the RE should gather relevant documentation and provide an initial summary review of the claim.

#### 3.4.4.2 *Damage Claims against CCTA*

If a member of the public feels that he/she have suffered damage as a result of any action or inaction by the Authority they can file a claim directly with CCTA. The CCTA standard claim form (Appendix 3.23) should be provided to the claimant in a timely manner. It is important to note that the claim must be postmarked no later than 6 months after the date of the incident.

#### 3.4.4.3 *Stop Payment Notice Filing*

A Stop Payment Notice is a verified written Notice signed by the Claimant which formally notifies the Authority that the Claimant has not been paid for its labor, service, equipment, or materials provided to the construction project. When the CCTA receives a properly prepared and timely *served* Stop Payment Notice, it is required to withhold from the Contractor the amount claimed owed from the *undisbursed* Construction Funds. The amount demanded in a stop payment notice is limited to the amount due for work provided through the date of the stop payment notice.

For those companies not contracting directly with the prime contractor, a preliminary notice must be filed with the Authority and the prime contractor in order to serve a stop payment notice. Preliminary notice must be given within 20 days of first furnishing labor and/or materials to the construction project.

The stop payment notice must be served on, and delivered to, the implementing agency, which may be either CCTA or Caltrans. The stop payment notice cannot be served on the CM firm or prime contractor. A stop payment notice must be served by registered, certified, or express mail; by overnight delivery; or by personal delivery.

The deadlines for serving a stop payment notice are different for a prime contractor, subcontractor, or material supplier:

- ◆ Prime Contractors:
  - No later than the earlier of:
    - 90 days after completion of the project; *or*
    - 60 days after a notice of completion or cessation
- ◆ Subcontractors and Material Suppliers:
  - No later than the earlier of:
    - 90 days after completion of the project; *or*
    - 30 days after a notice of completion or cessation

### 3.4.5 Stormwater Monitoring

#### 3.4.5.1 Stormwater and Water Pollution Control

Caltrans has a comprehensive program for preventing water pollution during construction activities on the state highway system. CCTA's advertise, award, and administer (AAA) projects on the state highway system are held to these same standards, except that projects with permits issued to CCTA must be tracked through the State Water Resources Control Board's (SWRCB's) Storm Water Multiple Application and Report Tracking System (SMARTS; <https://smarts.waterboards.ca.gov/smarts/faces/SwSmartsLogin.jsp>). This program can also be used as a guideline for CCTA projects not on the state highway system. The CM firm is responsible for oversight of the contractor's compliance with these requirements.

Caltrans water pollution control manuals provide direction on how to prepare a Stormwater Pollution Prevention Plan (SWPPP) and Water Pollution Control Program (WPCP). Electronic templates of these documents have been prepared to assist construction contractors in their preparation of these documents. Caltrans has also developed and obtained SWRCB approval of numerous best management practices (BMPs) for preventing water pollution.

Copies of Caltrans training documents, other training resources, and a list of training facilities are available to assist construction managers and construction contractors' implementation of the water pollution prevention program. See <http://www.dot.ca.gov/hq/construc/stormwater/> for additional information.



### 3.4.5.2 State Water Resources Control Board

In addition to the Caltrans website, the SWRCB has a website at <http://www.waterboards.ca.gov/> that provides additional information regarding SWPPP and WPCP. Information regarding payment of initial and annual permits is provided on this website.

Projects in Contra Costa County will be in either Region 4 or Region 5 with the border between regions at approximately the border of Pittsburgh and Antioch.

### 3.4.5.3 SMARTS Account Set-up

CCTA has an account set up on the SMARTS website in the name of CCTA employees at <https://smarts.waterboards.ca.gov/smarts/faces/SwSmartsLogin.jsp>. Several classifications of persons are able to access the account for a project. For CCTA, the legally responsible person (LRP) for a project is Ross Chittenden. The Approved Signatory (AS) is Ivan Ramirez.

The CM firm for a new project should identify a Qualified SWPPP Developer (QSD)/Qualified SWPPP Practitioner (QSP) as a data entry person (DEP) on the SMARTS website; similarly, the contractor should also identify a QSD/QSP as a DEP. The LRP or AS must create a user profile for each DEP and must authorize / link the DEP to the CCTA account. [Appendix 3.30 – SMARTS Electronic Authorization Example](#) provides a hard copy form with signature for the LRP and AS, which must be mailed to SMARTS Registration. The legal responsibilities of each person are described on the SMARTS website.

### 3.4.5.4 SMARTS Project Permit

Once a DEP is created in SMARTS, that person may then prepare the various forms, such as a Notice of Intent, within the CCTA SMARTS account for a project. Formal submittal of prepared forms must be by the LRP or AS accounts. At the start of a project, an SWRCB – Notice of Intent – General Permit to Discharge Storm Water associated with Construction Activity should be prepared and submitted. (See [Appendix 3.31](#) for *Notice of Intent (NOI) Example*; and [Appendix 3.32](#) *Receipt of NOI Letter Example*.) Initial and annual permit fees should be paid to the SWRCB as a project cost, when required.

The CM firm is responsible for ensuring that the contractor prepares the various SWPPP forms throughout the life of the project and for notifying the AS to submit these documents. Ad hoc reports for notice of rain events and notice of non-stormwater discharge events should be prepared and submitted when required. A stormwater annual report must be submitted by September 1 of each year for each permitted project. See [Appendix 3.33 – Annual Report for Stormwater Discharges](#) example.

A Notice of Termination (NOT) must be submitted upon completion of the project. The NOT should be submitted in a timely manner to avoid additional annual permit fees.



#### 3.4.5.5 SWPPP Inspections

For projects on the state highway system, Caltrans will perform SWPPP inspections and provide copies of Stormwater Site Inspection Reports. A copy of an example report is provided in [Appendix 3.34 – Caltrans Stormwater Site Inspection Report](#) example. Any deficiencies noted should be brought to the attention of the contractor and corrected. Any significant deficiencies or non-stormwater discharge events should be brought to the attention of the CCTA LRP and AS.

### 3.4.6 Hazardous Material Monitoring

#### 3.4.6.1 Hazardous Waste Disposal Permits

Removal and disposal of hazardous waste is regulated by the US EPA and the California Department of Toxic Substances Control (DTSC), <http://www.dtsc.ca.gov>. In addition, the State of California Board of Equalization collects fees annually for generation, transportation, and disposal of hazardous waste. The CM firm, with assistance from the Engineer of Record, is responsible for obtaining and managing the required permits.

#### 3.4.6.2 Department of Toxic Substances Control – EPA ID Number

Each project must obtain a DTSC EPA ID Number if hazardous waste will be generated. For a short-term project (less than 90 days in duration), a temporary EPA ID may be obtained; otherwise, a permanent EPA ID number is required. Information regarding application for a new temporary or permanent EPA ID, deactivating an existing permanent ID, or updating information for an ID can be found at <http://www.dtsc.ca.gov/IDManifest/index.cfm>. Requests for access to an account ID and password for the CCTA DTSC account should be directed to the ACM (Ivan Ramirez) and/or Brian Kelleher. See [Appendix 3.40 – DTSC CA Hazardous Waste Permanent ID Number Application](#) example; and [Appendix 3.41 – DTSC CA Hazardous Waste Permanent ID Record](#) example.)

#### 3.4.6.3 California Board of Equalization - Hazardous Waste Generator Fees

The California Board of Equalization (BOE) collects Hazardous Waste Generator fees on an annual basis. Payment of Hazardous Waste Generator Fees is determined based on number of sites (by EPA ID) and amount of hazardous waste generated in a calendar year. Fees are due by February 28 of the following year. See [Appendix 3.42 – Board of Equalization \(BOE\) Information Notice](#); and [Appendix 3.43 BOE Hazardous Waste Generation Fee Return](#).

When a new EPA ID is obtained for a new site, the EPA ID must be added as a new location to the existing CCTA BOE account at <https://efile.boe.ca.gov/ereg/index.boe>. BOE account information can be obtained from either the ACM (Ivan Ramirez) or Brian Kelleher.

#### 3.4.6.4 US Environmental Protection Agency – RCRA ID Number

In addition to the California DTSC EPA ID number, a US EPA – Resource Conservation and Recovery Act (RCRA) ID number may also be required for transportation and disposal of hazardous waste from a project site. For information on requirements for and obtaining an RCRA ID number, see <http://www.epa.gov/region9/waste/epanums.html>. (An example application is provided in [Appendix 3.44 – USEPA RCRA Application for Temporary ID](#); and [Appendix 3.45 – USEPA RCRA Application for Permanent ID](#).) The Engineer of Record should help prepare this application to ensure that the information provided for a project is correct. [Appendix 3.46 – USEPA RCRA Application - Project Limits](#) provides additional information likely to be requested by the agency. A permanent ID should be obtained for projects with a duration of more than 90 days.

### 3.4.7 Employment Practices

#### 3.4.7.1 Labor Compliance Monitoring

Special Provision Section 5-1.12 Labor Compliance Monitoring provides requirements for labor compliance monitoring tasks such as posting of labor compliance posters and submittal of certified payrolls. The CM firm is responsible for oversight of contractor compliance with these requirements.

#### 3.4.7.2 Labor Compliance Posters

In California, all employers are required to post the Department of Fair Employment and Housing’s poster “Discrimination and Harassment in Employment are Prohibited by Law” (DFEH-162/DFEH-162S) and the Department of Industrial Relations’ poster “Payday Notice” (DSLE 8). Caltrans Division of Local Assistance website provides a list of required posters: <http://www.dot.ca.gov/hq/construc/LaborCompliance/posters.htm>.

For federally funded projects, additional posters can be found at Department of Labor website at <http://www.dol.gov/whd/resources/posters.htm> and at the Federal Highway Administration website at <http://www.fhwa.dot.gov/programadmin/contracts/poster.cfm>.

The CM firm must verify that required posters are in good condition and posted in plain view of workers. See <http://www.dot.ca.gov/hq/construc/LaborCompliance/LCProgramBulletinBoardInspection.pdf> for a contractor bulletin board inspection form.

#### 3.4.7.3 Verify Payrolls

The CM firm must review the certified payrolls for completeness and certification, and then “spot-check” items such as classification, hourly rate, authorized deduction, fringe benefits, overtime hours and rate, and net wages paid. Through employee interviews, good cross reference checks can be made on classifications and hourly rates.

#### 3.4.7.4 Determine Applicable Wage Rates

The Caltrans Office of Local Assistance Federal Wage Rates page is available at <http://www.dot.ca.gov/hq/LocalPrograms/fedwages.htm>.

Davis Bacon wage rates are available at <http://www.wdol.gov/dba.aspx>. To locate the wage determination for highway work in Contra Costa County, select the link under Davis Bacon Act → Selecting DBA WDs, then search for California → Contra Costa → Highway.

Wage Determination Number CA29 is the current (as of May 30, 2014) wage determination for highway work in Contra Costa County. A pdf file of the wage determination should be saved for the project records and can be generated by selecting the printer friendly tab.

#### 3.4.7.5 Physical Submission of Certified Payrolls

The CM firm must verify that the contractor and each subcontractor has furnished certified payroll records on a monthly basis. An example Public Works Payroll Form is available at <http://www.dir.ca.gov/dlse/DLSEFormA-1-131.pdf>.

California Public Law regarding submission of certified payrolls is available at <https://www.dir.ca.gov/t8/16401.html>.

#### 3.4.7.6 Electronic Submission of Certified Payrolls

Certified payrolls are submitted by contractors and subcontractors via the PWC100 website, <https://www.dir.ca.gov/pwc100ext/index.html>. Use of MyLCM for submittal of certified payrolls is no longer available. Contract special provisions that specify the use of MyLCM for submission of electronic certified payrolls should be updated for use of the PWC100 website. The Department of Industrial Relations Public Works Monitoring Unit Manual – Certified Payroll Records Application – Contractor’s User Guide is available at <http://www.dir.ca.gov/dlse/cmu/eCPRApplicationManual.pdf>. This manual provides information for contractors to set up an account for electronic submission of certified payrolls. FAQs for PWC100 can be found at [http://www.dir.ca.gov/dlse/cmu/eCPRs\\_FAQs.pdf](http://www.dir.ca.gov/dlse/cmu/eCPRs_FAQs.pdf).

Currently, CCTA staff is responsible initiating a project into the PWC100 system by entering the required project information. The RE must verify that project information for a new project has been properly entered into this site. (See [Appendix 3.50 – Electronic Certified Payroll Examples](#).)

To directly look up CCTA projects entered into the PWC100 website, see <https://www.dir.ca.gov/pwc100ext/ExternalLookup.aspx> and enter Contra Costa Transportation Authority into the Awarding Body search field. The ability to review certified payroll information submitted by contractors and subcontractors is currently a planned future enhancement to the website.

#### 3.4.7.7 Employee Interviews

The CM firm is responsible for conducting employee interviews and should interview contractor and subcontractor employees regularly throughout the life of a project. Federal contract provisions do not have a specific requirement for interview frequency; however, federal requirements state that sufficient interviews/investigation be carried out to *assure compliance with the labor standards clauses required by 29 CFR Part 5.5, and further investigations shall be made ... with such frequency as may be necessary to assure compliance.*

Caltrans interview requirements are more stringent regarding the specifics on employee interviews. The Construction Manual, Chapter 8, section 8-204, states in part, *Conduct employee interviews for nondiscrimination and [equal employment opportunity] EEO at the rate of at least two employees per contract, per month including at least one interview from the prime contractor and each subcontractor until the contract is accepted or all employees on the project have been interviewed. Record interviews on form CEM-2504.*

CCTA's policy is to follow the Caltrans interview requirements for frequency requirements along with the federal provision that, should an irregularity be discovered during the interview or payroll review process, the CM firm must follow up with further investigation until the issue is resolved or reported to the proper authority for further action, starting with the CTM and ACM. The most common form of noncompliance is an employee working outside of his or her classification (e.g., a laborer operating heavy equipment or performing carpentry).

Forms for employee interviews are available on the Caltrans Department of Local Assistance website; go to <http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapmforms.htm>, then click on Chapter 16 *Administer Construction Contracts*: Exhibit 16-N – *Employee Interview: Labor Compliance/EEO*; and Exhibit 16-P – *Employee Interview: Labor Compliance/EEO (Spanish form)*.

#### 3.4.7.8 Annual EEO Report

For federally funded projects, prime contractors and subcontractors must submit an Annual Equal Employment Opportunity (EEO) Report. The report must be submitted by August 15 of each year for federal aid projects with a cost exceeding \$10,000. Go to <http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapmforms.htm>, then click on Chapter 16 *Administer Construction Contracts*: Exhibit 16-O: *Federal-Aid Highway Construction Contractor's Annual EEO Report* for additional information. Verify that DBE goals, commitments, good faith effort analysis, performance, and commercially useful function have been met. Monthly DBE Trucking Verification requirements can be found in Exhibit 16-Z: *Monthly DBE Trucking Verification*.

### 3.4.7.9 Training Requirements

The CM must verify that employee training requirements identified in the special provisions have been performed and must report any nonconformances to the CTM and ACM.

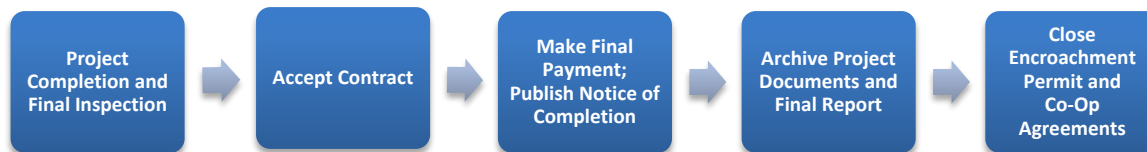
### 3.4.7.10 Caltrans Audit of Labor Compliance

Caltrans Department of Local Assistance provides information regarding labor compliance and submittal of certified payrolls on Caltrans-administered projects. A Caltrans Local Assistance audit of AAA projects will be made based on these requirements. The construction review checklist that will be used by Caltrans to audit AAA projects is available at [http://www.dot.ca.gov/hq/LocalPrograms/DLA\\_OB/ob-13-03.xlsx](http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/ob-13-03.xlsx). The RE must be familiar with the content of this audit form and must be prepared to answer any questions that any auditor may have with regard to the project.

For additional information, links to the Caltrans website for Labor Compliance are available at <http://www.dot.ca.gov/hq/construc/LaborCompliance/> and [http://www.dot.ca.gov/hq/construc/publications/Internet\\_Instructions.pdf](http://www.dot.ca.gov/hq/construc/publications/Internet_Instructions.pdf).

## 3.5 Project Closeout

The process flow below depicts the major steps in construction project closeout. Additional details for each step are provided in the following subsections.



### 3.5.1 Project Completion and Final Inspection

When the contract work nears substantial completion, the RE schedules a final inspection of the project. Inspection participants include the CTM, the contractor, and the design consultant. If the project is under the jurisdiction of other agencies, such as Caltrans or BART, those agencies are also included in the inspection. The CTM and RE verify that the requirements of the contract, encroachment permit, and cooperative agreement have all been met. If necessary, the RE also requests a safety review by Caltrans. The RE develops a punchlist for remaining items to be completed or nonconformances to be repaired or replaced and transmits the punchlist to the Contractor.

### 3.5.2 Accept Contract

After the contractor has satisfactorily completed all punchlist items and has completed all project closeout requirements in accordance with the contract, the RE notifies the CTM. If the project is

under Caltrans' jurisdiction, the CTM confirms that the contract work has been completed to Caltrans' satisfaction, if required by the applicable Cooperative Agreement.

The CTM prepares a staff report, board resolution, and other documents required for the CCTA Board to accept the project construction contract and make final payment.

### 3.5.3 Final Payment and Publish Notice of Completion

The RE, in conjunction with the contractor, prepares and forwards the final pay request to the ACM for processing and final payment.

Following adoption of the Board Resolution authorizing project acceptance, the ACM publishes a Notice of Completion (NOC) in local newspaper(s) of general circulation.

At the expiration of the statutory period following publication of the NOC, if no mechanics liens have been filed against the project, the Deputy Executive Director, Projects, authorizes the release of the contractor's retention. If any liens have been filed, the Deputy Executive Director, Projects, authorizes the release of the contractor's retention less the amount of all liens and refers the matter to CCTA's legal counsel for resolution.

### 3.5.4 Archive Project Documents and Final Report

#### 3.5.4.1 Project Documents

Project documentation collected and maintained by the RE depends on the following considerations:

- ◆ Whether the project is within or outside of Caltrans right-of-way;
- ◆ If the project is advertised, awarded, and administered (AAA) by Caltrans, CCTA, or a local agency; and
- ◆ If the project is a federal-aid project.

Early in the project, the RE should discuss end of project records with the CTM and CCTA staff (and Caltrans and/or local agencies, as directed by the CTM or ACM) to ensure that an appropriate documentation system is established to collect, organize, distribute, and store end-of-project documentation.

If the project is within Caltrans' jurisdiction, required project documentation must be submitted to Caltrans before closeout of the encroachment permit. Note that there is typically a maximum time period to submit project documentation after the CCTA's construction contract acceptance. For oversight projects without a cooperative agreement, it is 30 calendar days. For oversight projects with a cooperative agreement, it is 90 calendar days for projects with less than 300 plan sheets, and 180 calendar days for projects with 300 or more plan sheets.



Depending on the requirements of the project cooperative agreement and encroachment permit, required project documentation may consist of the following:

- ◆ Contract records
- ◆ Survey and right-of-way documents requested by Caltrans survey and right-of-way offices
- ◆ As-built plans
- ◆ Microfilms
- ◆ Warranties
- ◆ Maintenance agreements
- ◆ Structure construction records

The RE verifies the list of required documents with the Caltrans Oversight Engineer.

#### *3.5.4.2 Project Completion Report*

At the conclusion of the project, the RE prepares and submits a project completion report.

#### *3.5.4.3 Records Retention*

When the CCTA is required to hold contract files, the retention period will be referenced in the cooperative agreement. For federal-aid projects, the construction management files are to be retained a minimum of 3 years after the final reimbursement or payment by Caltrans to the CCTA. The CM firm is responsible for retaining all CM documents until further action is directed by CCTA.

### **3.5.5 Close Encroachment Permit and Cooperative Agreements**

The CTM coordinates with the PDM to verify that the requirements of the encroachment permit and cooperative agreement have been met. If the project is within state right-of-way, the PDM notifies Caltrans upon completion of the requirements. The encroachment permit and cooperative agreement requirements are typically fulfilled when all of the following conditions are met:

- ◆ Construction is completed in compliance with the contract documents, cooperative agreement, and encroachment permit
- ◆ All required encroachment permit and cooperative agreement project documentation is delivered to Caltrans
- ◆ All necessary highway right-of-way is conveyed to the State
- ◆ Notice of Construction Completion (NOCC) has been submitted to the Regional Water Quality Control Board (RWQCB) once construction for projects covered by the National Pollutant Discharge Elimination System (NPDES) permit is completed.

The general provisions of the encroachment permit require the permittee to notify the Caltrans representative when work is completed. Completing Caltrans Form TR-0128, Notice of Completion Card, provides such notification.

#### 3.5.5.1 *Relief from Maintenance and Responsibility*

On projects within Caltrans right-of-way, due to language included in the special provisions, the authority to grant “Relief from Maintenance and Responsibility” is transferred from Caltrans to the CCTA. Consequently, CCTA, not Caltrans, is automatically responsible for maintenance of the accepted work upon transfer from the contractor.

By the terms of the cooperative agreement, the State will accept control and maintenance under the following conditions:

- ◆ The construction contract is complete and the project has been accepted by CCTA;
- ◆ The state representative is satisfied that the project was satisfactorily completed in compliance with the contract documents and permits; and
- ◆ A maintenance agreement exists.

An encroachment permit rider may be issued to alter the original scope of the encroachment permit to allow Caltrans to accept control and maintenance of that segment prior to satisfying the above conditions.

## 3.6 Project Funding

### 3.6.1 Local Projects

CCTA projects may be funded by any combination of local (Measure J/C, BATA, ECCRFFA, etc), state, and federal funds. The CM firm, in coordination with the PDM, develops a documentation strategy to ensure that compliance with all project reporting and documentation requirements for the various funding sources and local jurisdictional agencies, if applicable. It is extremely important to establish these requirements and a documentation strategy before work begins in order to ensure that the project and elements within the project are not disqualified for payment by the funding sources that were programmed to pay for them.

### 3.6.2 Federal-Aid Projects

Federal-aid projects require adherence to specific procedures. Although some of the broad requirements have been noted above, Caltrans Local Assistance regularly updates the federal-aid procedures and required submittals. Prior to advertising a federal-aid contract, the PDM and CTM should review the Caltrans *Local Assistance Procedures Manual* website:

<http://www.dot.ca.gov/hq/LocalPrograms/index.htm>. Chapter 15, Advertise and Award Project, and Chapter 17, Project Completion, include required submittals to Caltrans Local Assistance.



Chapter 16, Administer Construction Contracts, should also be reviewed to ensure that relevant scope items are included in the CM firm contract.

Appendix 4 of this guide provides sample federal-aid forms for reference. These forms are subject to frequent updates and change; therefore, it is important to check the website for current requirements prior to the start of a construction project.

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## 4 SAFETY AND EMERGENCY ACTION PLANS

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### 4.1 Safety

#### 4.1.1 General

Employers must comply with occupational safety and health standards established by federal and state laws (California Occupational Safety and Health Administration [Cal-OSHA]). These laws require all employers to provide a safe place of employment that is reasonably free from danger to life or health and to maintain a written Injury and Illness Prevention Program (IIPP).

#### 4.1.2 Code of Safe Practices

The prime contractor's IIPP and construction Code of Safe Practices (COSP) define standard safety practices for construction activities and operations. Subcontractors generally follow the prime contractor's IIPP and COSP unless the subcontractor's IIPP and COSP are more stringent, in which case the subcontractor must follow its own IIPP and COSP.

Although not a primary field safety representative, the RE verifies that the contractor has an IIPP and COSP for the project. The RE also conducts occasional field review safety audits and interviews with on-site contractor personnel to ensure that safe practices are adhered to and that the contractor is following its project COSP and applicable Cal-OSHA regulations.

The RE also develops a project-specific construction management COSP that defines the standard safety practices for the CM firm employees and subconsultants involved with the inspection of construction activities and operations. CCTA staff, visitors, and guests to the project site must be aware of, and comply with, the appropriate project IIPP and COSP. The RE is responsible for ensuring that the CM firm staff, CCTA staff, visitors, and guests comply with the IIPP and COSP and that all receive the necessary training in project safety issues prior to visiting the construction site.

#### 4.1.3 Site Safety

The contractor is responsible for the safety of its personnel and, through the specifications, the safety of the public traveling through the construction site.

The RE observes, through the course of daily activities, the safe execution of the contractor's activities and documents compliance with contract safety requirements. This applies to all aspects of the permanent and temporary work such as lane closures, signing, night work, detours, dust control, quality of temporary pavements, crash cushions, temporary railings, pavement transitions, and delineation.

Work within the state highway right-of-way is performed under an encroachment permit from Caltrans. Therefore, the Caltrans Oversight Engineer is authorized to stop the contractor's

operation, wholly or in part, and to take appropriate action if he/she feels that employee or public safety is jeopardized.

## 4.2 Reporting Procedures for Accidents and Incidents

In an effort to better serve the public and elected officials, it is very important that the RE keep CCTA informed of issues related to construction that could affect the traveling public or that may be of interest to the media. Before construction begins, the CTM should ensure that the RE understands the protocol for reporting accidents and incidents related to the project.

During the construction phase, the RE must immediately report all major accidents and incidents within the limits of the project. At such time, the RE should notify the CCTA staff listed in Table 4-1. For emergency situations, the RE will call the first name on the list as soon as practical. If there is no answer, the RE will leave a voicemail and call the next person on the list and repeat calling until contact is established.

Table 4-1: Emergency Contacts

Name	Title	Telephone	
		Office	Mobile
Ivan Ramirez	Agency Construction Manager	(925) 256-4737	(415) 694-3945
Ross Chittenden	Deputy Executive Director, Projects	(925) 256-4735	(916) 716-3774
Randy Iwasaki	Executive Director	(925) 256-4724	(925) 416-8602

## APPENDIX 1 SUGGESTED REVISIONS FORM

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Construction Contract Administration Guide

**Suggested Revisions Form**

To: Ivan Ramirez, CCTA Construction Manager (iramirez@ccta.net)

From: \_\_\_\_\_

Date: \_\_\_\_\_

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Description of suggested changes:

<Include page and/or section number. Be specific and include suggested language if possible and include additional sheets for reference materials, charts or graphics>

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## APPENDIX 2    RESPONSIBILITY AUTHORITY MATRIX

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## APPENDIX 2 RESPONSIBILITY AUTHORITY MATRIX

### RESPONSIBILITY MATRIX - PROJECTS DEPARTMENT

**PDM** Project Delivery Manager (PDM) is responsible for the overall delivery of a project from project initiation through construction.

**CTM** Contract Manager (CTM) is responsible for managing assigned A&E, CM and construction contracts.

**PCM** Project Control Manager (PCM) works collaboratively with PDM and CTM to improve project delivery.

**FM** Funding Manager

**PCS** Project Control Specialist (PCS) is responsible for the project control system and coordination with the LOGOS accounting system.

A = Approve

R = Responsible (Primary)

I = Involved (Secondary)

Process Groups Tasks	Authority Board	Deputy Executive Director, Projects	Director, Projects	Manager, Construction	PDM	CTM	PCM	FM	PCS
<b>Initiate and Plan Project/Phase (Section 4)</b>									
Develop Project Management Plan					R		I		
Develop Project Baseline		A	A		R			I	I
Funding Plan /Strategy		I	I		R			I	
Secure A&E services	A	I	I	I	R				
Prepare staff reports for APC/Board Items	A	I	I		R	I			
Issue notice to proceed (NTP)					R	I			
Set up account in LOGOS					I	R			I
<b>Execute and Monitor Work (Section 6)</b>									
Monitor contract deliverables and project schedule						R			
Attend PDT meetings					R	I			
Facilitate technical meetings to resolve issues					R	I	I		
Review and approve consultant Invoices						R			
Communicate QA requirements					R	I			
Ensure funding requirements are met (E-76, field review, etc.)					R			I	
Ensure permit requirements are incorporated into project					R				
Review consultant's risk register			I		I	R			
Develop communication plan					R				
Coordinate with stakeholder jurisdictions			I		R	I			
Review consultant's schedule						R			
R/W acquisition coordination					R	I			
Right-of-Way closeout – parcel transfers					I	R			
Major issues resolution		I	I		R	I			
Attend weekly CM meetings						R			
Review contractor NOPCs and critical path schedule implications				I		R			
Review three-week look ahead construction schedule				I		R			
Analyze and review CCOs				I		R			
Oversee advertise and award process				R		I			
<b>Change Control (Section 7)</b>									
Prepare Change Request					I	R			
Review/Approve Extra Work Request		I	A		I	I			
Review/Approve Amendment	A	A	A		I	I			
Review/Approve Scope Change Only			I		I	A			
Review/Approve Contract Schedule Extension	A	A	A		I	I			
<b>Manage Project Plan (Section 9)</b>									
Record baseline estimates					I				R
Update fund register					I			R	I
Import/review actual costs from LOGOS									R
Update EcoSys financial plan ETCs					I	A			R
Prepare Compass Report					A	I			R
Assign funds to ETC					I			R	I
Quarterly cash flow updates					I			R	I

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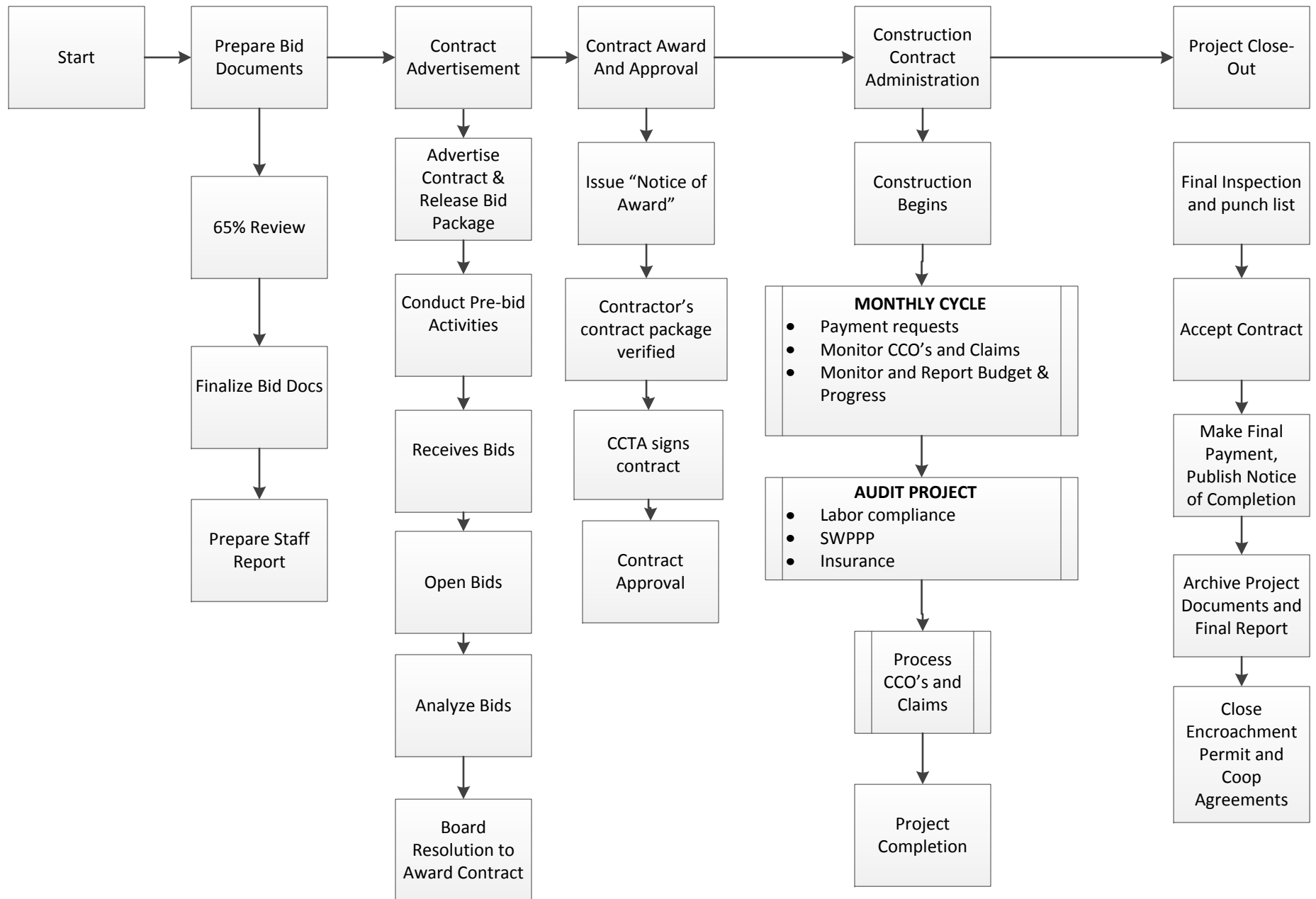
## APPENDIX 3      PROCESS FLOW CHARTS AND SAMPLE FORMS

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- [3.1    Overall Process](#)
- [3.2    Prepare Bid Documents Process](#)
- [3.3    Advertisement Process](#)
- [3.4    Award and Approval Process](#)
- [3.5    Construction Contract Administration Process](#)
- [3.6    Closeout Process](#)
- [3.9    Example CM Firm Scope of Work](#)
- [3.10   Staff Report and Resolution to Advertise](#)
- [3.11   Builders Exchange Plan Room Listing](#)
- [3.12   Letters of Intent to Award, 1-4](#)
- [3.13   Bid Protest Procedure](#)
- [3.14   Staff Report to Award Contract](#)
- [3.15   Resolution to Award Contract](#)
- [3.16   Notice of Contract Award Letter](#)
- [3.17   Resubmit Contract Package Letter](#)
- [3.18   Certifying Contract Documents Memo](#)
- [3.19   Contract Approval Letter](#)
- [3.20   Contract Change Order Form](#)
- [3.21   CCO Transmittal Letter Form](#)
- [3.22   CCO Report to Board](#)
- [3.23   Claim against CCTA Form](#)
- [3.30   SMARTS Electronic Authorization Form](#)
- [3.31   Notice of Intent \(NOI\)](#)
- [3.32   Receipt of NOI Letter](#)
- [3.33   Annual Report for Storm Water Discharges](#)
- [3.34   Caltrans Stormwater Site Inspection Report](#)
- [3.40   DTSC CA Hazardous Waste Permanent ID Application](#)
- [3.41   DTSC CA Hazardous Waste Permanent ID Record](#)
- [3.42   Board of Equalization \(BOE\) Information Notice](#)
- [3.43   BOE Hazardous Waste Generation Fee Return](#)
- [3.44   USEPA RCRA Application for Temporary ID](#)
- [3.45   USEPA RCRA Application for Permanent ID](#)
- [3.46   USEPA RCRA Application – Project Limits](#)
- [3.50   Electronic Certified Payroll Examples](#)

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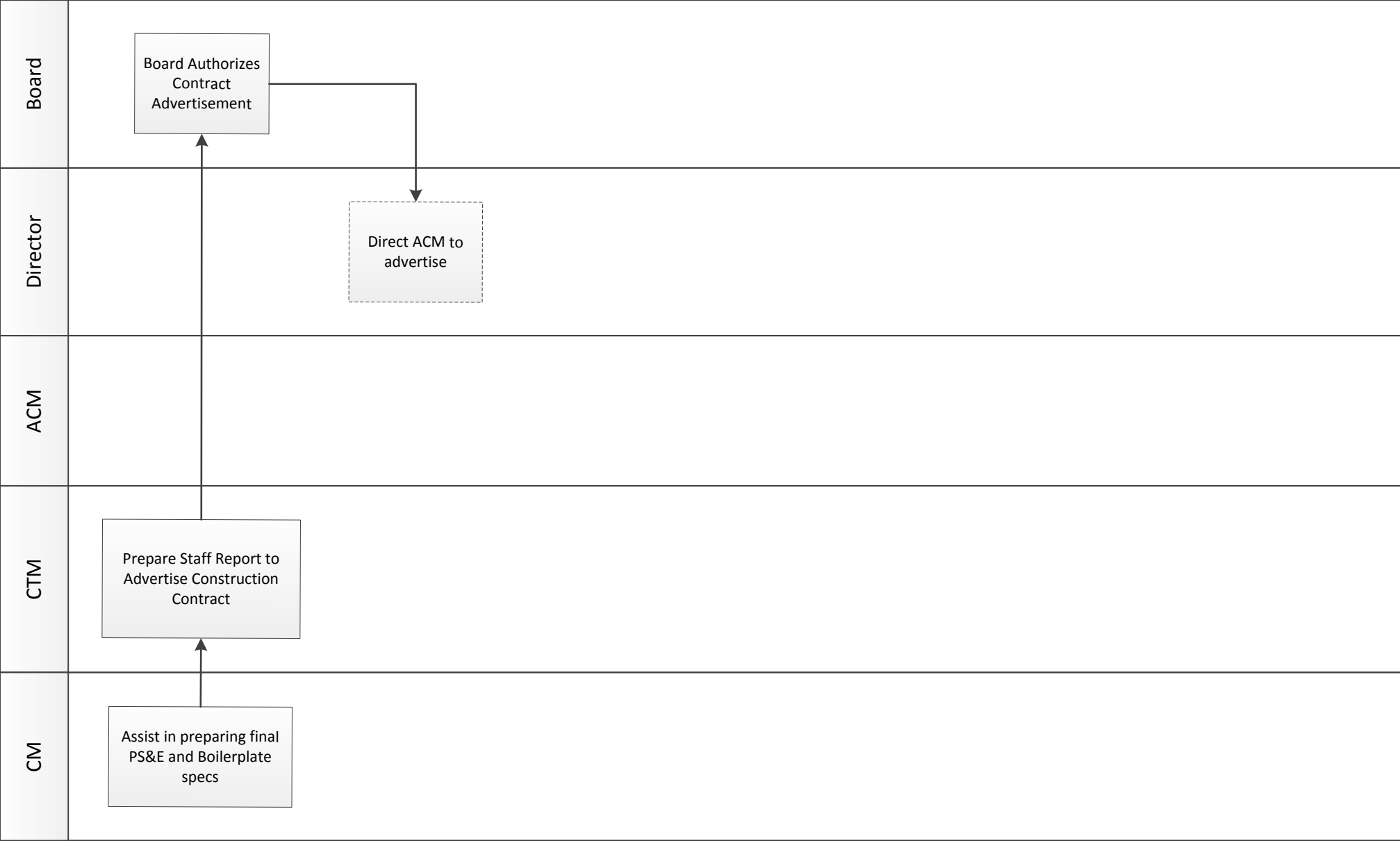
## Appendix 3.1 Overall Process



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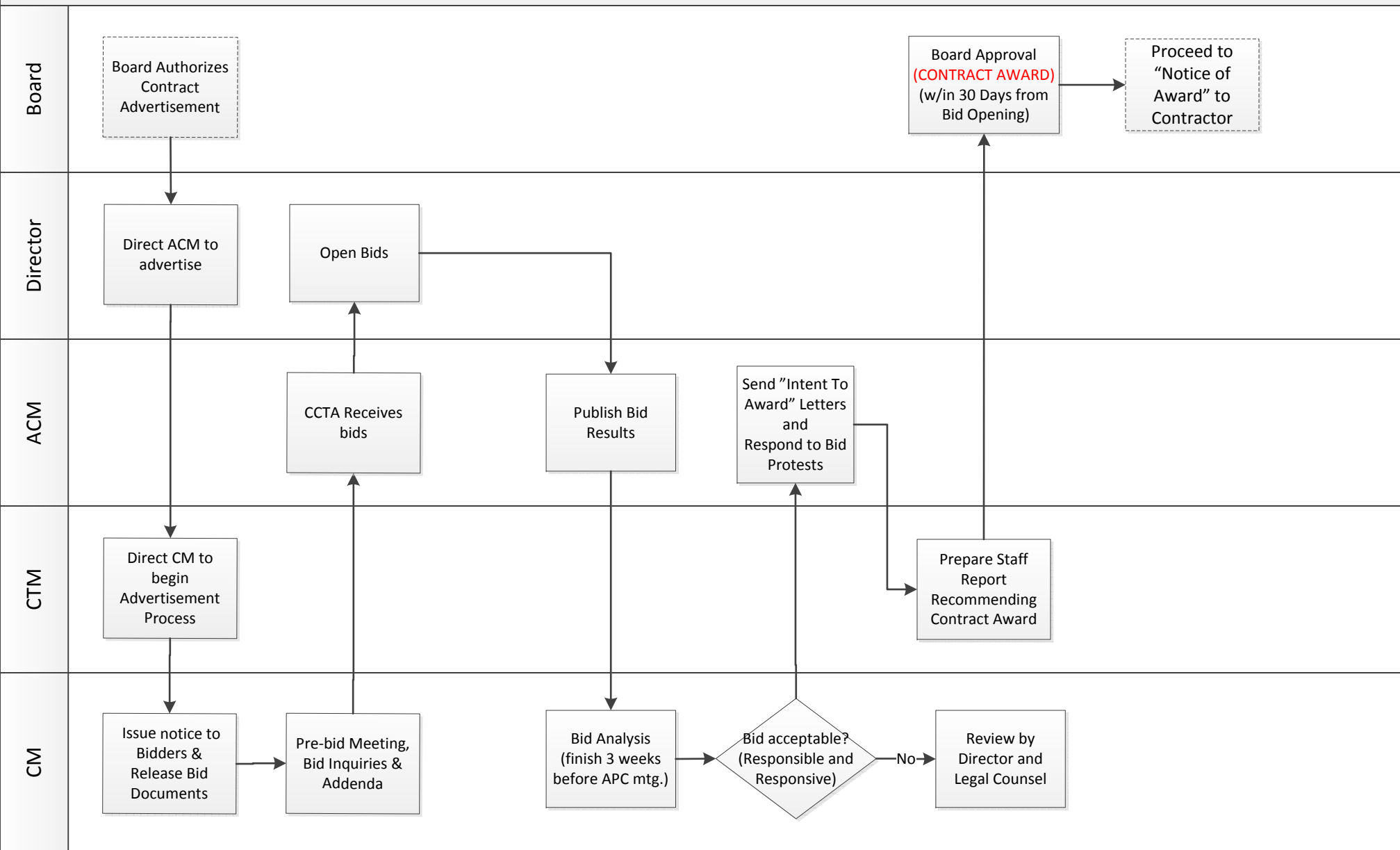


Appendix 3.2 Prepare Bid Documents Process



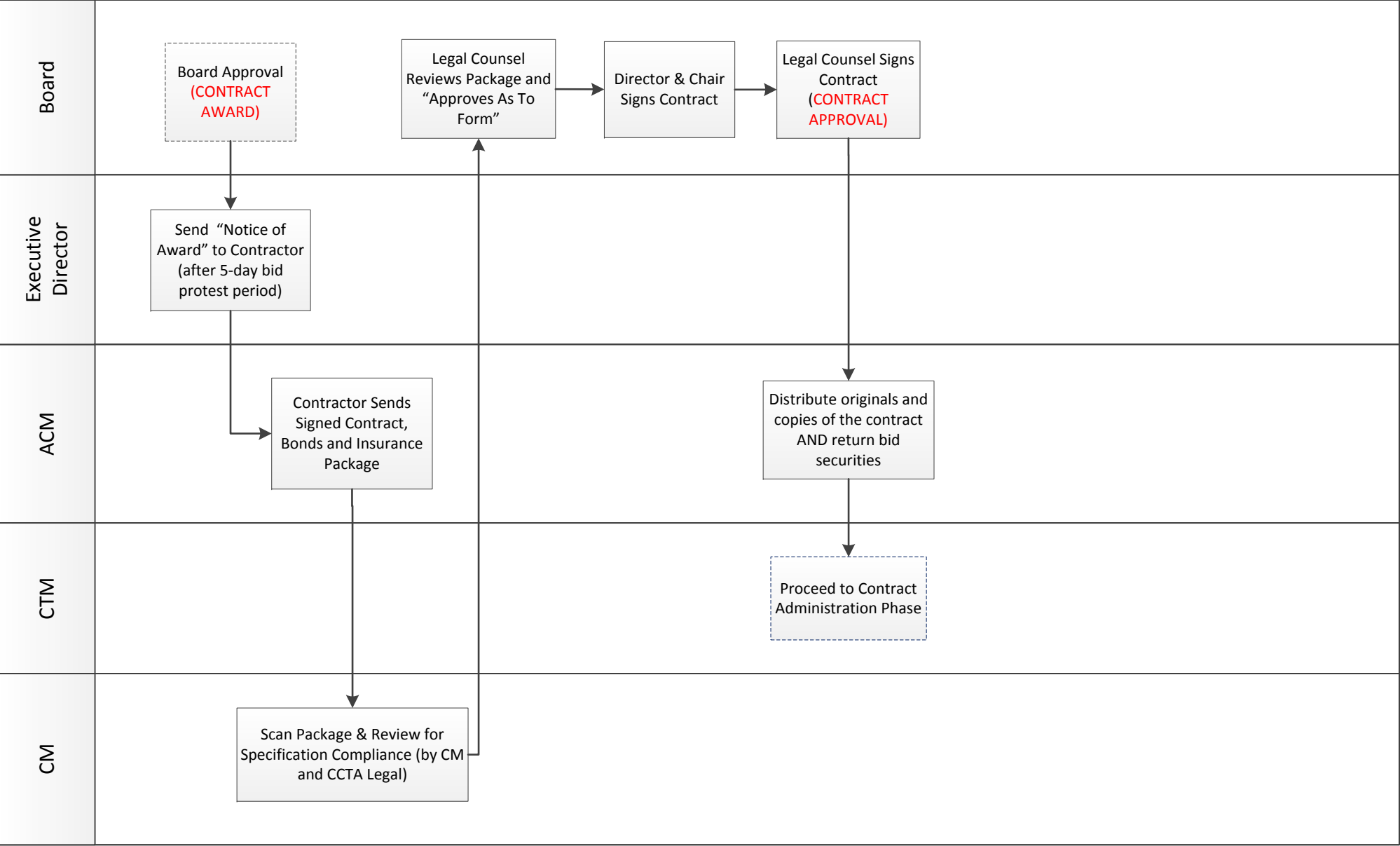
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### Appendix 3.3 Advertisement Process



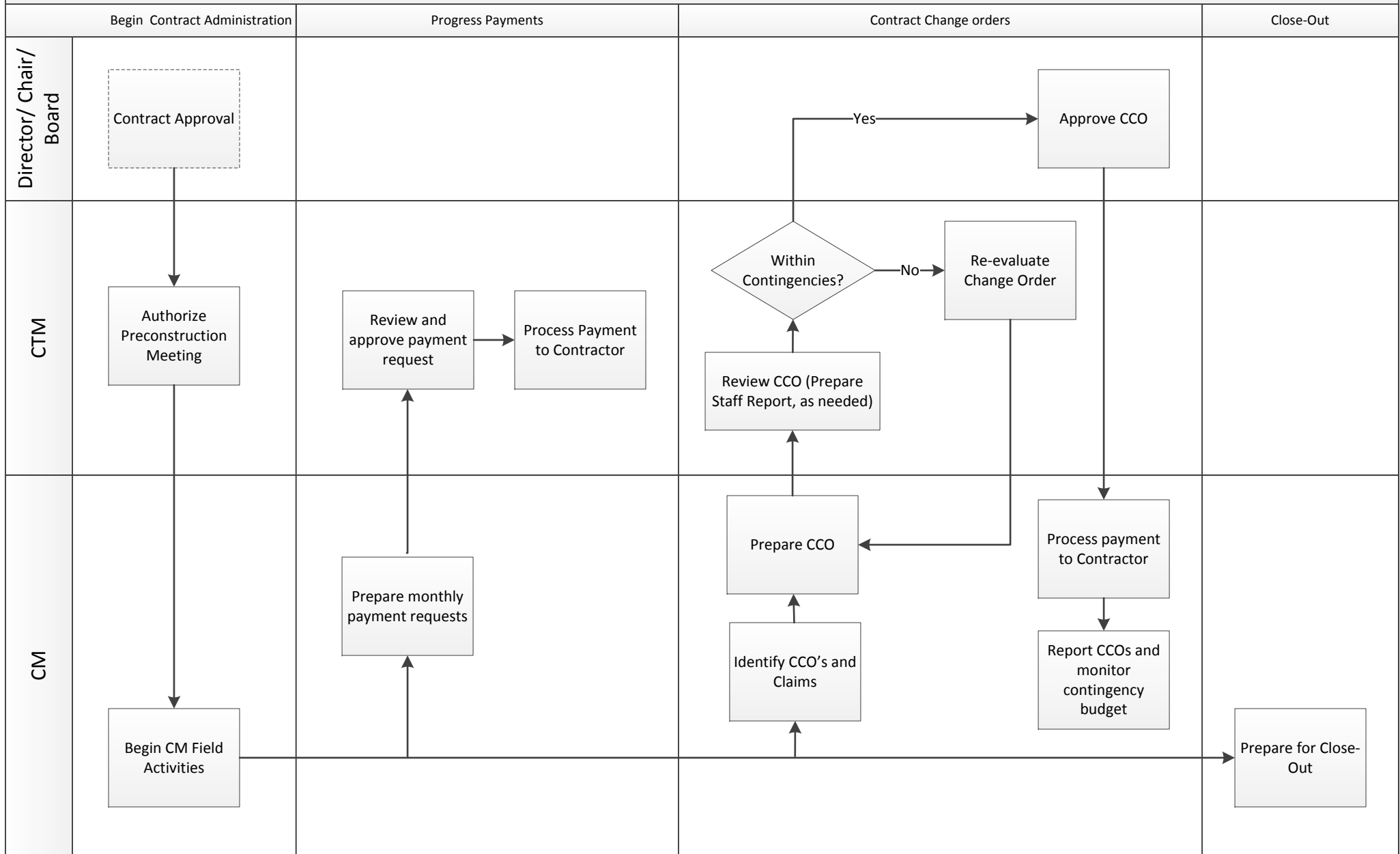
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Appendix 3.4 Award and Approval Process



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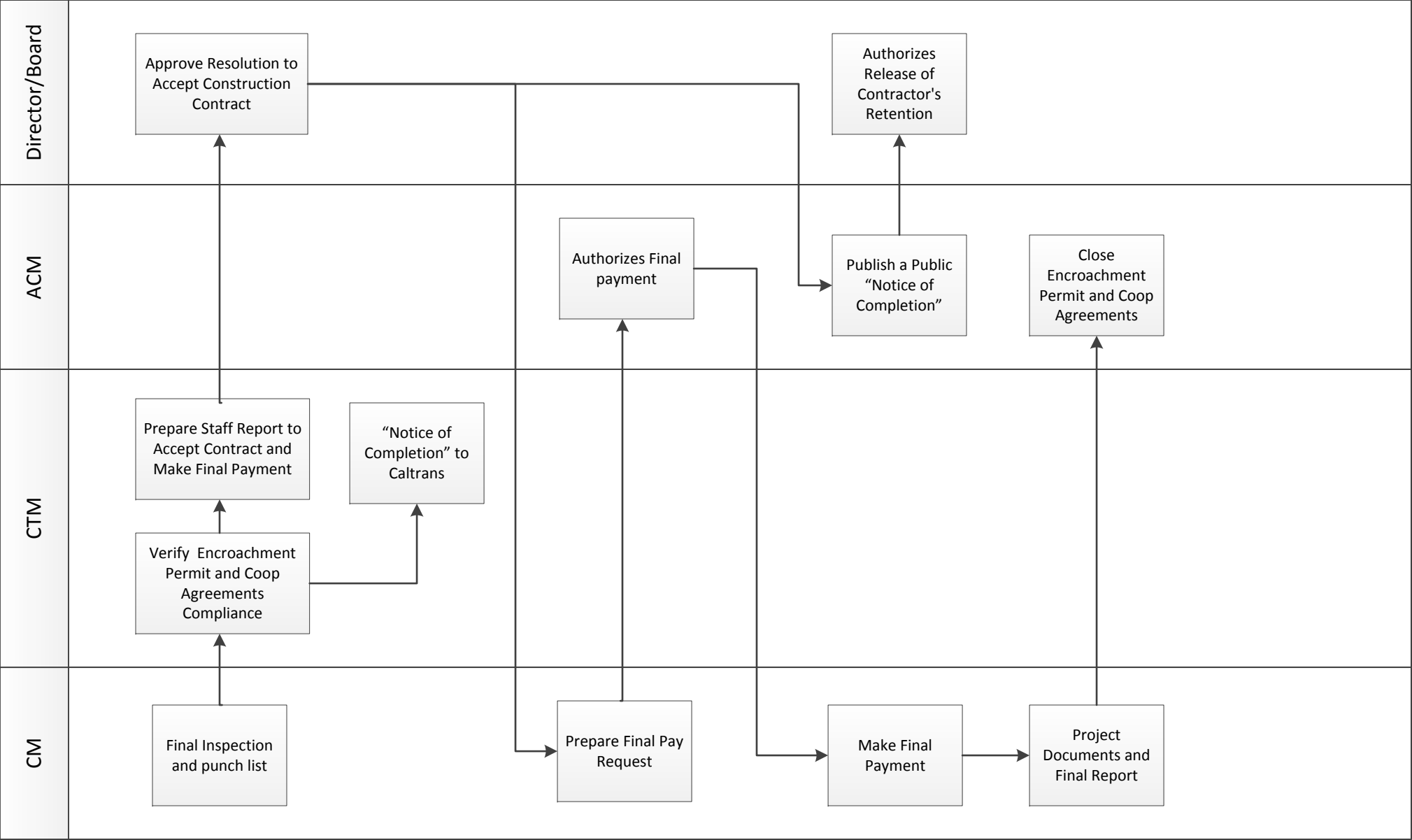
## Appendix 3.5 Construction Contract Administration Process



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Appendix 3.6 Close-Out Process



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CONTRA COSTA TRANSPORTATION  
AUTHORITY CONTRACT NO. 999  
CONSULTANT: CM FIRM

EXHIBIT B

SCOPE OF SERVICES

CONSULTANT agrees to perform said services all in accordance with the terms of its proposal dated July 2014, incorporated herein as Attachment 1 to Exhibit B.

When there is no response to a request for proposal or when the final negotiated scope is in any way different from the response to a request for proposal, CONSULTANT agrees to perform services all in accordance with the detailed description of services to be provided by CONSULTANT in this Exhibit B.

Notwithstanding any other provision of this Agreement, CONSULTANT shall submit written reports as provided in both this Exhibit B, Scope of Services and Subsection 6.1, Exhibit A. AUTHORITY shall determine format for the contents of such reports. The timely submission of all reports is a necessary and material term and condition of this Agreement. The reports, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible. CONSULTANT shall submit, with each invoice, a brief report on the work performed and charged to the invoice.

CONSULTANT shall perform all services in accordance to CALTRANS standards.

CM FIRM Scope of Services - CCTA Project

CM FIRM will be providing Construction Management Services in compliance with the following CCTA & Caltrans Policy and Procedural manuals and CM FIRM's Quality Management Plan. This includes, but is not limited to the following:

- Contract Plans and Special Provisions
- 2010 Standard Specs and Standard Plans
- Construction Manual
- Bridge Records and Procedures Manual
- Local Agency Oversight Manual
- Office of Structural Material Practices and Procedure Manual
- Construction Manual Supplement for Local Agency Resident Engineers
- CCTA/Caltrans Co-op agreement
- Caltrans encroachment permit

## Pre-Construction (Advertise &amp; Award)

- Biddability review - plans, specs and estimates complete, permits & coops in place
- Constructability review
- Advertise & Award -
  1. Advertise the project
  2. Store and distribute contract documents (provided by others).
  3. Maintain a plan holder's list
  4. Schedule/conduct a pre-bid conference
  5. Receive/coordinate responses to bidder inquiries
  6. Issue/track/log addenda
  7. Conduct the bid opening
  8. Perform bid analysis
  9. Verify bonding compliance
  10. Recommend contract award
- Pre-condition survey
- Project controls setup
- RE field office
- Biological survey
- Manage any Bid protest
- Create SIQMP and meet Caltrans requirements for its approval

## Construction

- Construction project coordinator
- Single point of contact with the contractor and affected third parties.
- Public outreach services including groundbreaking ceremony and ribbon cutting ceremony.
- Review and monitor the construction schedule
- Construction contract administration
- QA construction inspection
- RE and Inspector Daily Diaries
- Labor Compliance
- Progress Payments
- Change order processing, tracking and summary
- Review of submittals and RFI's
- Evaluate, negotiate, recommend, and prepare change orders (CCOs)
- Coordinate with designers
- Materials Testing and Acceptance including Source Inspection per SIQMP
- Construction surveying
- Utility coordination/Railroad coordination
- SWPPP inspection
- Schedule review and monitoring
- Progress reports (RE + PM)
- Progress meetings w/contractor and CCTA
- Coordinate with the local agencies and third parties
- Participate in coordination meetings with adjacent highway projects
- As-built red-lined plans (ongoing)
- Falsework & Trenching shoring reviews
- NOPC and/or claims support
- Tailgate safety meetings and Safety reviews
- Biological and environmental monitoring
- Photo document project (delivering electronic photos to CCTA on a monthly basis)
- Partnering participation with the contractor and project partners.

## Post-Construction

- Contract closeout
- Resolve outstanding issues
- Punchlist

- Finalize As-Builts
- Process final payment
- Safety and final walkthrough
- Project acceptance
- Deliver to CCTA final project documents



## *Administration and Projects Committee* **STAFF REPORT**

**Meeting Date:** September 5, 2013

<b>Subject</b>	<b>State Route 4/State Route 160 Connector Ramps (Project 5001) - Approval of the Plans, Specifications, and Estimate (PS&amp;E) for Construction, and Authorization for the Executive Director to Advertise for Bids</b>
<b>Summary of Issues</b>	<p>The preparation of the PS&amp;E for the State Route 4/State Route 160 Connector Ramps has been completed and is currently in the Caltrans final review phase. Per the draft Cooperative Agreement No. 04-2495 with Caltrans, the Authority must approve the design for this project to protect design immunity.</p> <p>The final contract documents will be ready for advertisement on September 19, 2013. Staff seeks authority to advertise the project construction contract contingent on full execution of a cooperative agreement with Caltrans, and meeting the requirements set forth therein. This project is fully funded with Bridge Toll funds and East Contra Costa Regional Fee and Financing Authority (ECCRFFA) funds.</p>
<b>Recommendations</b>	Adopt Resolution 13-40-P, which approves the design for the project, and authorizes the Executive Director to (1) publicly advertise the construction contract at the Director's discretion; (2) approve changes and issue addenda to the bidding documents during the advertising period, and (3) publicly open all bids received.
<b>Financial Implications</b>	Sufficient funds are programmed by the Bay Area Toll Authority (BATA) and ECCRFFA to complete the project.
<b>Options</b>	The Authority could elect not to adopt the Resolution at this time. However, adopting the Resolution at a later date will delay the advertisement, award, and construction start of the contract.
<b>Attachments</b>	<b>A.</b> Resolution 13-40-P

Administration and Projects Committee **STAFF REPORT**

September 5, 2013

Page 2 of 2

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**Changes from  
Committee**

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**Background**

Rajappan and Meyer Consulting Engineers, Inc. have completed the PS&E for the State Route 4/State Route 160 Connector Ramps under Authority consultant Agreement No. 329. Caltrans is currently reviewing the final PS&E documents. Authority staff and consultants are coordinating to package the PS&E and contract documents to be ready to bid on September 19, 2013. It is anticipated that construction will begin in early 2014 and should be substantially complete by fall 2015.

The Engineer's Estimate of the construction cost, including the contract bid items, supplemental work funds, owner-furnished materials, and contingency is approximately \$38.9 million. The project is fully funded with Bridge Toll funds and ECCRFFA funds. Fifty (\$50) million in Bridge Toll funds will be expended first, and any project costs over \$50 million will be paid with ECCRFFA funds. The current overall estimated cost to complete the project is \$50.35 million.

Pursuant to statutes and as documented in Cooperative Agreement No. 04-2495 with Caltrans, the Authority must approve the project design pursuant to Government Code Section 830.6 to preserve design immunity. Staff and consultants have reviewed the plans. Staff seeks the Authority's approval of the project design to comply with this requirement.

Therefore, staff recommends adoption of Resolution 13-40-P, which authorizes the Executive Director to publicly advertise the construction contract at the Director's discretion, approve changes and issue addenda to the bidding documents during the advertising period, and publicly open all bids received.





### RESOLUTION 13-40-P

**RE: Authorization to Advertise for Bids for State Route 4 / State Route 160 Connector Ramps (Project 5001)**

**WHEREAS**, the Authority wishes to advertise, award, and administer the construction contract for the State Route 4 / State Route 160 Connector Ramps (Project 5001); and

**WHEREAS**, the Authority wishes to advertise the contract as soon as possible; and

**WHEREAS**, pursuant to existing statutes and Cooperative Agreement No. 04-2495 with the California Department of Transportation (Caltrans), the Authority must approve the project design per Government Code Section 830.6 to preserve design immunity;

**NOW, THEREFORE BE IT RESOLVED**, that the Contra Costa Transportation Authority hereby approves the project design in accordance with Government Code Section 830.6; and

**BE IT FURTHER RESOLVED**, that the Contra Costa Transportation Authority hereby authorizes the Executive Director to (1) publicly advertise the construction contract for the project at the Director's discretion; (2) approve changes and issue addenda to the bidding documents during the advertising period as appropriate, and (3) publicly open all bids received; and

**BE IT FURTHER RESOLVED**, that prior to advertising for bids, the Executive Director shall ensure that the bidding documents are adequate for the intended purpose, that Caltrans and the Authority has fully executed Cooperative Agreement No. 04-2495, that Caltrans has approved the Plans, Specifications, and Estimate (PS&E), that Caltrans has approved the environmental re-validation, and that Caltrans has approved the Right-of-Way Certification for the project.

---

Janet Abelson, Chair

This RESOLUTION was entered into at a meeting of the Contra Costa Transportation Authority held on September 18, 2013 in Walnut Creek, California.

Attest: \_\_\_\_\_  
 Danice J. Rosenbohm, Executive Secretary

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# APPENDIX 3.11 BUILDERS EXCHANGE PLAN ROOM LISTING

<b>Builders Exchange Plan Room</b>	<b>Phone</b>	<b>Contact/Email</b>
Contra Costa Builders Exchange 2440 Stanwell Dr., Suite B Concord, CA 94520	925-685-8630	April Hamilton Richard@beac.com
Builders Exchange Alameda County 3055 Alvarado Street San Leandro, CA 94577	510-483-8880 510-352-1509	Richard Owen Richard@beac.com
San Francisco Builders Exchange 850 So. Van Ness Avenue San Francisco, CA 94110	415-282-8220 415-821-0363	Deanna Johnson djohnsonsf@sbcglobal.net
Peninsula Builders Exchange 735 Industrial Road, Suite 100 San Carlos, CA 94070	650-591-4486 650-591-8108	Andrea Nettles Support@constructionplans.org
Builders Exchange Santa Clara 400 Reed Street Santa Clara, CA 95050	408-727-4000 408-727-2779	Kanani Fonseca plans@bxscco.com
Marin Builders Association 660 Las Gallinas Avenue San Rafael, CA 94903	415-462-1220 415-462-1225	Diane Van Renselaar Charge to advertise - \$80/wk
Solano - Napa Builders Exchange 135 Camino Dorado Napa, CA 94558	707-255-2515 707-255-2749	Dave York planroom@snbe.com
Builders Exchange Sacramento 1331 T Street Sacramento, CA 95814	916-442-8991 916-446-3117	Cheryl Lynch yelenam@sacregionbx.com
Sacramento Builders Exchange 151 N. Sunrise Ave., Suite 511 Roseville, CA 95678	916-782-4762 916-782-4792	Rosie Kimes Closed office
Placer County Builders Exchange 10656 Industrial Ave., Suite 160 Roseville, CA 95678	916-771-7229 916-771-0556	Dianne Barnao planroom@placerbx.com
Builders Exchange Stockton 7500 West Lane Stockton, CA 95210	209-478-1005 209-478-2132	Janette Luna jluna@besonline.com
Valley Builders Exchange 1118 Kansas Avenue Modesto, CA 95351	209-522-9031 209-522-0616	Angelica Baca habowden@valleybx.com
McGraw Hill – Xerox 3315 Central Avenue Hot Springs, AR 71913	916-797-1006 626-226-4027	Sue Schoen dodge_reocwe@mcgraw-hill.com
iSqFt 325 W. Washington St., Ste. 2212 San Diego, CA 92103	800-364-2059 866-570-8187	Michael Huston California@isqft.com

This information is current as of the publication date.

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Vice Chair

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Dave Hudson

Mike Metcalf

Karen Mitchoff

Julie Pierce

Robert Taylor

Randell H. Iwasaki,  
Executive Director

November 14, 2013

Mr. William S. Stewart, President  
RGW Construction, Inc.  
550 Greenville Road  
Livermore, CA 94550

**Subject:** Results of Bid Opening and Intent to Award Contract  
CCTA Contract No. 377- State Route 4/State Route 160 Connector Ramps

**Dear Mr. Stewart:**

Sealed bids for CCTA Contract No. 377, State Route 4/State Route 160 Connector Ramps Project, were received and opened at 2:00 PM on November 13, 2013. A total of six bids were received and are under review by AECOM, our construction management consultant. The six bids received are as follows:

BIDDER	SUBMITTED AMOUNT
RGW Construction, Inc.	\$ 31,797,904.44
Brosamer & Wall, Inc.	\$ 31,961,757.36
Bay Cities/Meyers JV	\$ 32,479,810.00
MCM-Teichert JV	\$ 34,056,103.00
Flatiron West, Inc.	\$ 35,863,263.25
De Silva Gates/ Meyers and Sons JV	\$ 39,312,355.70

Congratulations, RGW Construction, Inc. is the lowest responsible bidder. Once the CCTA Board authorizes its Executive Director to award the contract on November 20, 2013, and pending resolution of any bid protest received, the Notice of Award will be sent to you with further instructions in accordance with the contract special provisions. Your bid security will be retained by the Authority until successful execution of the contract.

2999 Oak Road  
Suite 100  
Walnut Creek  
CA 94597  
PHONE: 925.256.4700  
FAX: 925.256.4701  
www.ccta.net

Mr. William Stewart  
RGW Construction, Inc.  
November 14, 2013  
Page 2

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Please consider this letter as the written notice by the Authority of the staff's preliminary recommendation for award of the contract to RGW Construction, Inc.

Sincerely,



Randell H. Iwasaki  
Executive Director

cc: Ross Chittenden, CCTA  
Ivan Ramirez, CCTA



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Robert Taylor

Randell H. Iwasaki,  
Executive Director

November 14, 2013

Mr. Robert G. Brosamer, President  
Brosamer & Wall, Inc.  
1777 Oakland Boulevard, Suite 110  
Walnut Creek, CA 94596

Subject: Results of Bid Opening and Intent to Award Contract  
CCTA Contract No. 377- State Route 4/State Route 160 Connector Ramps

Dear Mr. Brosamer: *Bob*

Sealed bids for CCTA Contract No. 377, State Route 4/State Route 160 Connector Ramps Project, were received and opened at 2:00 PM on November 13, 2013. A total of six bids were received and are under review by AECOM, our construction management consultant. The six bids received are as follows:

BIDDER	SUBMITTED AMOUNT
RGW Construction, Inc.	\$ 31,797,904.44
Brosamer & Wall, Inc.	\$ 31,961,757.36
Bay Cities/Meyers JV	\$32,479,810.00
MCM-Teichert JV	\$ 34,056,103.00
Flatiron West, Inc.	\$ 35,863,263.25
De Silva Gates/ Meyers and Sons JV	\$ 39,312,355.70

Brosamer & Wall is the second lowest bidder. In the event that the contract cannot be executed with the apparent low bidder, RGW Construction, Inc., you will be contacted by CCTA. Your bid package and security will be retained by CCTA until successful execution of the contract.

Please consider this letter as the written notice by the Authority of staff's preliminary recommendation for award of the contract to RGW Construction, Inc.

2999 Oak Road  
Suite 100  
Walnut Creek  
CA 94597  
PHONE: 925.256.4700  
FAX: 925.256.4701  
www.ccta.net

Mr. Robert Brosamer  
Brosamer & Wall  
November 14, 2013  
Page 2

---

We appreciate your interest in doing business with the CCTA.

Sincerely,

A handwritten signature in blue ink that appears to read "Randy".

Randell H. Iwasaki  
Executive Director

cc: Ross Chittenden, CCTA  
Ivan Ramirez, CCTA



November 14, 2013

Mr. Daniel Himick  
 Bay Cities/Meyers JV  
 3286 Fitzgerald Road  
 Rancho Cordova, CA 95742

Subject: Results of Bid Opening and Intent to Award Contract  
 CCTA Contract No. 377- State Route 4/State Route 160 Connector Ramps

Dear Mr. Himick:

Sealed bids for CCTA Contract No. 377, State Route 4/State Route 160 Connector Ramps Project, were received and opened at 2:00 PM on November 13, 2013. A total of six bids were received and are under review by AECOM, our construction management consultant. The six bids received are as follows:

BIDDER	SUBMITTED AMOUNT
RGW Construction, Inc.	\$ 31,797,904.44
Brosamer & Wall, Inc.	\$ 31,961,757.36
Bay Cities/Meyers JV	\$ 32,479,810.00
MCM-Teichert JV	\$ 34,056,103.00
Flatiron West, Inc.	\$ 35,863,263.25
De Silva Gates/ Meyers and Sons JV	\$ 39,312,355.70

Bay Cities/Meyers JV is the apparent third low bidder. In the event that the contract cannot be executed with the other bidders, you will be contacted by CCTA. Your bid package and security will be retained by CCTA until successful execution of the contract.

Please consider this letter as the written notice by the Authority of staff's preliminary recommendation for award of the contract to RGW Construction, Inc.

We appreciate your interest in doing business with the CCTA.

Sincerely,

Randell H. Iwasaki,  
Executive Director

cc: Ross Chittenden, CCTA  
Ivan Ramirez, CCTA



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Mike Metcalf

Karen Mitchoff

Julie Pierce

Robert Taylor

Randell H. Iwasaki,  
Executive Director

November 14, 2013

Mr. Edmundo A. Puchi  
MCM-Teichert JV  
6413 32nd Street  
North Highlands, CA 95660

**Subject:** Results of Bid Opening and Intent to Award Contract  
CCTA Contract No. 377- State Route 4/State Route 160 Connector Ramps

Dear Mr. Puchi: *Ed*

Sealed bids for CCTA Contract No. 377, State Route 4/State Route 160 Connector Ramps Project, were received and opened at 2:00 PM on November 13, 2013. A total of six bids were received and are under review by AECOM, our construction management consultant. The six bids received are as follows:

BIDDER	SUBMITTED AMOUNT
RGW Construction, Inc.	\$ 31,797,904.44
Brosamer & Wall, Inc.	\$ 31,961,757.36
Bay Cities/Meyers JV	\$ 32,479,810.00
MCM-Teichert JV	\$ 34,056,103.00
Flatiron West, Inc.	\$ 35,863,263.25
De Silva Gates/ Meyers and Sons JV	\$ 39,312,355.70

RGW Construction, Inc. is the lowest responsible bidder. Please consider this letter as the written notice by the Authority of staff's preliminary recommendation for award of the contract to RGW Construction, Inc.

2999 Oak Road  
Suite 100  
Walnut Creek  
CA 94597  
PHONE: 925.256.4700  
FAX: 925.256.4701  
www.ccta.net

Mr. Edmundo Puchi  
MCM-Teichert JV  
November 14, 2013

Page 2

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We thank each bidder for the time and effort spent in preparing a response to this solicitation. Your bid package and bid security will be returned to you shortly.

We appreciate your interest in doing business with the CCTA.

Sincerely,

A handwritten signature in blue ink that reads "Randy".

Randell H. Iwasaki  
Executive Director

cc: Ross Chittenden, CCTA  
Ivan Ramirez, CCTA

### **Bid Protest Procedure**

A bid protest is a challenge to the award or proposed award of a contract for procurement of goods and services or a challenge to the terms of a solicitation for such a contract. A bid might be protested or cancelled by an interested party when it claims that the Authority's selection procedure was based on improprieties in the award of the contract. An interested party could be a potential bidder for the contract or an actual bidder that did not win the contract. Other factors, such as the bidder's standing in the competition and the nature of the issues raised may affect whether it qualifies as an interested party.

The following is an excerpt from the Notice to Bidders Specifications.

#### **3-1.02 BID PROTESTS**

For purpose of this bid protest procedure, the following definitions apply:

- (a) "Bid Protest" means a protest filed by the bidder on this contract which
  - (i) claims that one or more bidders on the contract should be disqualified or rejected for any reason;
  - (ii) contests an Authority staff recommendation to award the contract to a particular bidder; or
  - (iii) contests an Authority staff recommendation to disqualify or reject one or more bidders on the contract.
- (b) "Protested Bidder" means a bidder on a contract which the bid protest claims should be disqualified or rejected.
- (c) "Protesting Bidder" means a bidder on a contract, or such bidder's authorized representative, who files a bid protest on the contract.
- (d) "Written Notice" means notice to be given in writing addressed to the Authority, the protesting bidder or protested bidder (as appropriate). Delivered by registered or certified mail (return receipt requested), by personal delivery or by any other method that provides reliable evidence of the date and time of receipt. Written notice provided by personal delivery will be deemed received on the date and time of delivery, except as expressly authorized, facsimile or electronic mail will not be used to provide written notice. If permitted, facsimile or electronic mail notice will be considered received on the date and time that transmission is confirmed by the transmitting equipment.

Only a bidder on a contract or such bidder's authorized representative may file a bid protest.

Bid protest must be received after bid opening and before 4:00 PM on the fifth working day after receipt of staff's recommendation for award of the contract. Recommendation for award may be transmitted by facsimile. Bid protests received after the deadline or otherwise in violation of these requirements will not be considered.

Bid protests must be in writing and must:

1. Include the name, address, telephone, and facsimile telephone numbers of the Protesting Bidder
2. Identify the contract which the bid protest pertains to, including the contract number and the date of bid opening
3. identify and explain the factual and legal basis for the protest,
4. Include, as attachments, any written materials that the bid protester wishes to have considered in connection with the protest.

Submit bid protest to:

Deputy Executive Director, Projects  
Contra Costa Transportation Authority  
2999 Oak Road, Suite 100  
Walnut Creek, CA 94597

If the bid protest is properly filed, a copy will be provided to the Protested Bidder and the protest will be reviewed by the Authority staff. On request, the Protesting Bidder will provide promptly any additional information necessary for Authority staff to conduct its review of the bid protest. Authority staff may, but will not be obligated, to hold a meeting or meetings to obtain additional information and to seek to resolve the matter. If a meeting is held, Authority staff will give notice to the Protesting Bidder and the Protested Bidder, indicating the time and place of the meeting. A bid protest will be withdrawn and no longer considered by the Authority if the Protesting Bidder fails to attend any meeting.

At the conclusion of its review, Authority staff will provide the Protesting Bidder and the Protested Bidder written notice of their recommendation with a brief explanation with respect to the bid protest. No later than 4:00 PM on the third working day after the date notice is received, any party objecting to the recommendation will provide written notice to the Authority requesting a hearing on the bid protest. If no such notice is received, the recommendation of Authority staff will be considered accepted by the parties, and the recommendation will be forwarded to the Authority Board for action.

If a timely request for a hearing is received the matter will be referred to a Bid Protest Panel consisting of three persons; one member of Authority staff, one member of the Authority Board, and one non-Authority staff member knowledgeable with respect to matters related to public contracts and bid protests, who may be an employee of another public agency. The Chair of the Authority will select the panel member from the Authority Board, who will be the Chair of the panel. The Executive Director will select the remaining panel members. The Chair of the Bid Protest Panel will promptly convene the panel to hear the bid protest. Notice will be given to the Protesting Bidder and the Protested Bidder of the time and place of the hearing.

The bid protest and Authority staff's recommendation regarding the protest will be submitted to the Bid Protest Panel for consideration at the hearing. The Bid Protest Panel will allow the parties and Authority

staff an opportunity to present additional evidence and argument limited to the facts and legal issues raised in the bid protest at the hearing. After the hearing, the Bid Protest Panel will do one of the following:

- A. Accept the recommendation of staff as submitted,
- B. Amend the staff recommendation, or
- C. Recommend the rejection of all bids.

The decision of the Bid Protest Panel is final with respect to the disposition of bid protest. The Bid Protest Panel's recommendation will be forwarded to the Authority Board. The Authority Board's role is limited to either awarding the contract as recommended by the Bid Protest Panel or rejecting all bids.

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## *Administration and Projects Committee Meeting **STAFF REPORT***

**Meeting Date:** November 1, 2012

<b>Subject</b>	<b>State Route 4 Widening – Somersville Road to SR 160 – Segment 3B, Hillcrest Avenue Interchange (Project 1407/3001) – Award of Construction Contract No. 351</b>
<b>Summary of Issues</b>	The Authority Advertised, and will also Award and Administer (AAA), the construction contract for Segment 3B of Project 1407/3001. Bids were opened on October 16, 2012. Under law, the project must be awarded to the lowest responsible and responsive bidder. Staff reviewed and evaluated the three bids that were received and subsequently issued a preliminary Recommendation of Award to Bay Cities/Myers JV, who submitted a bid of \$48,660,743.77.
<b>Recommendations</b>	Adopt Resolution 12-62-P, which authorizes the Executive Director to award the construction contract to Bay Cities/Myers JV, the lowest responsible and responsive bidder, and authorizes the Chair to execute Contract No. 351 with the Bay Cities/Myers JV.
<b>Financial Implications</b>	None. The construction contract is fully funded with Measure J funds and \$5.868 million of State-Local Partnership Program (SLPP) funds.
<b>Options</b>	The Authority could elect not to adopt the Resolution at this time. However, adopting the Resolution at a later date will delay the award of the contract and the start of construction.
<b>Attachments</b>	<ul style="list-style-type: none"> <li>A. Verified Bid Results</li> <li>B. Transmittal Letter from S&amp;C Engineers, Inc. dated October 18, 2012 to Ross Chittenden, Contra Costa Transportation Authority, Subject: Recommendation of Award to Bay Cities/Myers JV</li> <li>C. Letter dated October 19, 2012 to Daniel E. Himick, Bay Cities/Myers JV, Subject: Results of Bid Opening and Intent to Award Contract</li> <li>D. Letters dated October 19, 2012 to the other two bidders, Subject: Results of Bid Opening and Intent to Award Contract</li> <li>E. Resolution 12-62-P</li> <li>F. Draft Letter to Daniel E. Himick, Bay Cities/Myers JV, Subject: Notice of Contract Award</li> </ul>

Administration and Projects Committee Meeting **STAFF REPORT**

November 1, 2012

Page 2 of 3

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**Changes from  
Committee**

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**Background**

The Authority's consultant, T.Y. Lin International, prepared the Plans, Specifications, and Estimate (PS&E) for the State Route 4 Widening – Somersville Road to SR 160 – Segment 3B, Hillcrest Avenue Interchange Project (Project). The PS&E was reviewed and approved by Caltrans. The Authority and Caltrans have agreed the Authority will Advertise, Award and Administer (AAA) the construction contract for the Project under Cooperative Agreement No. 90.14.26 (Caltrans Agreement No. 04-2451).

The Authority advertised the Project on July 19, 2012, and subsequently issued five addendums to the bid documents. The original bid opening date was scheduled for October 2, 2012, however the Authority extended the advertisement period for an additional two weeks at the request of contractors due to the high volume of contracts that were concurrently being advertised by Caltrans. Additionally, multiple items within the contract bid schedule on which the bidding contractors insert their bids, were revised via addenda towards the end of the originally scheduled advertisement period. The two-week extension of the advertisement period does not affect the completion date of the construction project.

Three sealed bids were received and opened at 11:00 AM on October 16, 2012. On October 17<sup>th</sup> and 18<sup>th</sup>, the Authority's construction management consultant, S&C Engineers, Inc. (S&C), reviewed and evaluated the bids. The verified bid results are listed in Attachment A. The verified bid results, tabulation of bid items and the bid books from all three bidders are posted on the Authority's website ([www.ccta.net](http://www.ccta.net)).

S&C issued a recommendation to award the construction contract to Bay Cities/Myers JV in a Transmittal letter to the Authority dated October 18, 2012 (Attachment B). Authority staff issued the Bid Opening Results and Intent to Award Contract in separate letters dated October 19, 2012 to the low bidder (Attachment C) and the other two bidders (Attachment D). As allowed by the contract specifications, the letters were transmitted via facsimile and US Mail. The bid protest period, as outlined in the contract specifications, ends at 4:00 PM on October 26, 2012. As of the date of production of this staff report, the Authority has not received a formal bid protest.

Administration and Projects Committee Meeting **STAFF REPORT**

November 1, 2012

Page 3 of 3

Therefore, staff recommends adoption of Resolution 12-62-P (Attachment E), which authorizes the Executive Director to sign the Notice of Award (Attachment F), and authorizes the Chair to execute Contract No. 351 with Bay Cities/Myers JV, the lowest responsible and responsive bidder with a bid of \$48,660,743.77. Resolution 12-62-P also authorizes a construction allotment of \$56,113,357.77 to cover the contract award amount, supplemental work funds, owner-furnished materials, and contingency.

Discussion of Construction Capital Allotment and Construction Milestone Schedule

The Engineer's Estimate for the Project's construction cost was \$55,712,000. The Engineer's Estimate does not reflect potential changes that were a result of addenda issued. The lowest bid of \$48,660,743.77 is approximately 13% below the Engineer's Estimate. The Engineer's Estimate also included \$1,486,500 for supplemental work and \$864,900 for owner-furnished materials. Staff recommends a 10% contingency that produces a total Construction Allotment of \$56,113,357.77.

Construction is scheduled to begin in January 2013 and should be substantially completed in summer 2015. The following is a tentative milestone schedule of the Project process and events for contract award and construction:

<u>Event</u>	<u>Date</u>
Bid Opening	October 16, 2012
Bid Evaluations and Analysis/Posting	October 17 & 18, 2012
Letters sent to all bidders for intent of award	October 19, 2012
End of period for bid protests	October 26, 2012
APC meeting and recommendation for award	November 1, 2012
Authority meeting and recommendation for award	November 14, 2012
Award letter from Executive Director to Contractor	November 15, 2012
Contractor returns signed Contract & other documents	November 30, 2012
Contract Approval and Notice To Proceed	December 14, 2012
First work day	January 2, 2013
Anticipated Groundbreaking	February 2013
Anticipated completion	Summer 2015

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**Attachment E**



**RESOLUTION 12-62-P**

**RE: Award of Construction Contract For State Route 4 Widening – Somersville Road to SR 160 – Segment 3B, Hillcrest Avenue Interchange (Project1407/3001) Project – Contract No. 351**

**WHEREAS**, the Authority wishes to construct the State Route 4 Widening – Somersville Road to SR 160 – Segment 3B, Hillcrest Avenue Interchange project (PROJECT); and

**WHEREAS**, the Authority and the California Department of Transportation (Caltrans) have agreed the Authority will award and administer the construction contract for the PROJECT; and

**WHEREAS**, plans and specifications have been prepared for a contract for the PROJECT; and

**WHEREAS**, bids for that contract have been duly invited, received, and were publicly opened on October 16, 2012; and

**WHEREAS**, the lowest bid was submitted by Bay Cities/Myers JV whose bid amount was \$48,660,743.77; and

**WHEREAS**, Bay Cities/Myers JV is deemed to be the lowest responsible and responsive bidder; and

**WHEREAS**, on October 19, 2012, all bidders were notified of staff's preliminary recommendation to award the contract to Bay Cities/Myers JV; and

**WHEREAS**, in accordance with Authority procedures, bidders had until 4:00 PM, Friday, October 26, 2012, to submit bid protests and no bid protests were received by Authority staff; and

**WHEREAS**, the construction contract for the PROJECT is fully funded with Measure J funds and \$5.868 Million of State-Local Partnership Program (SLPP) funds,

**THEREFORE NOW BE IT RESOLVED**, the Contra Costa Transportation Authority hereby:

- 1) authorizes the Executive Director to award Contract No. 351, to construct the State Route 4 Widening – Somersville Road to SR 160 – Segment 3B, Hillcrest Avenue Interchange project, to Bay Cities/Myers JV in the amount of \$48,660,743.77; and
- 2) authorizes the Chair to execute the contract; and
- 3) authorizes the Executive Director to prepare and to sign any and all documents that may be required to execute the contract; and
- 4) authorizes establishing the Construction Allotment at \$56,113,357.77 to be funded from Measure J funds and \$5.868 Million of State-Local Partnership Program (SLPP) funds in the amounts shown in the table below.

	<u>Construction Allotment</u>
Bid Items	\$48,660,743.77
Supplemental Work Funds	\$ 1,486,500.00
Owner-Furnished Materials	\$ 864,900.00
Contingency 10% for award	\$ 5,101,214.00
<b>TOTAL</b>	<b><u>\$56,113,357.77</u></b>

\_\_\_\_\_  
Don Tatzin, Chair

This RESOLUTION was entered into at a meeting of the Contra Costa Transportation Authority held on November 14, 2012 in Walnut Creek, California.

Attest: \_\_\_\_\_  
Danice J. Rosenbohm, Executive Secretary



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## COMMISSIONERS

Janet Abelson, Chair

Kevin Romick,  
Vice Chair

Newell Arnerich

Tom Butt

David Durant

Federal Glover

Dave Hudson

Mike Metcalf

Karen Mitchoff

Julie Pierce

Robert Taylor

Randell H. Iwasaki,  
Executive Director

December 19, 2013

William S. Stewart  
RGW Construction, Inc.  
550 Greenville Road  
Livermore, CA 94550

**Subject:** Notice of Contract Award**Reference:** CCTA Contract No. 377: State Route 4/State Route 160 Connector Ramps

Dear Mr. Stewart:

Congratulations! The Contra Costa Transportation Authority (CCTA) has awarded CCTA Contract No. 377: State Route 4/State Route 160 Connector Ramps to RGW Construction, Inc., in accordance with your bid submitted on November 13, 2013. We look forward to partnering with RGW Construction on this important transportation project in Contra Costa. As such, two originals of the Contract signature document are enclosed in accordance with project specifications. These original Contract signature documents must be signed and returned within 10 business days to the Authority to the attention of Ross Chittenden, Deputy Executive Director, Projects, along with all other required documents in accordance with the Contract, such as those described in Sections 3-1.05 and 3-1.18 of the Special Provisions. Once the contract is approved, a copy will be returned to you for your records.

If you have any questions, please feel free to contact the Authority's designated construction manager, Jason Tom of AECOM, at (510) 229-0854, or the Authority's Deputy Executive Director, Ross Chittenden at (925) 256-4735.

Sincerely,

Randell H. Iwasaki,  
Executive Director

**Attachment:** Contract signature document (2 Originals)

cc: Ross Chittenden (CCTA)  
Ivan Ramirez (CCTA)

2999 Oak Road  
Suite 100  
Walnut Creek  
CA 94597  
PHONE: 925.256.4700  
FAX: 925.256.4701  
www.ccta.net

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## COMMISSIONERS

Janet Abelson, Chair

Kevin Romick,  
Vice Chair

Newell Arnerich

Tom Butt

David Durant

Federal Glover

Dave Hudson

Mike Metcalf

Karen Mitchoff

Julie Pierce

Robert Taylor

Randell H. Iwasaki,  
Executive Director

January 7, 2014

William S. Stewart  
RGW Construction, Inc.  
550 Greenville Road  
Livermore, CA 94550

**Subject:** Contract Review Comments**Reference:** CCTA Contract No. 377: State Route 4/State Route 160 Connector Ramps

Dear Mr. Stewart:

We are in receipt of the two original signed contracts submitted by RGW Construction, Inc. on December 27, 2013. However, upon review of the submitted contract material, we find issues that must be addressed and the contract package resubmitted in order for CCTA to approve the contract. The issues identified in Contract #377 are as follows:

Payment and Performance Bond Forms

- 1) RGW must add CCTA and Caltrans as obligees on the Performance Bond (per Section 1-1.12 & 3-1.05 Special Provisions).
- 2) RGW must add CCTA and Caltrans as obligees on the Payment Bond (per Section 1-1.12 & 3-1.05 Special Provisions).
- 3) Submit original and one (1) copy of each Bond (Section 3-1.18A Special Provisions). The package, as submitted, had only one original per signed contract.

Insurance Submittal

- 1) RGW submitted only an insurance certificate, which is informational only and does not afford any coverage to the certificate holder, i.e., CCTA.
- 2) Commercial General Liability
  - a) Additional Insured Endorsement – RGW must submit an additional insured endorsement naming the additional insured parties. Section 2.0(G) of the Railroad Relations and Insurance Requirements provides that the Contractor must provide ISO form CG 20 26 or equivalent showing Union Pacific as additional insured and providing coverage notwithstanding Union Pacific's negligence and not limited to any contractual indemnity provisions.

2999 Oak Road  
Suite 100  
Walnut Creek  
CA 94597  
PHONE: 925.256.4700  
FAX: 925.256.4701  
www.ccta.net

Mr. William Stewart  
RGW Construction, Inc.  
*January 7, 2014*  
*Page 2*

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- b) Waiver of Subrogation Endorsement – RGW is required to waive subrogation rights against the additional insured parties, including Union Pacific. Although RGW waived its right of recovery as against any additional insured party under the Standard Specifications and Special Provisions, RGW did not submit a waiver of subrogation endorsement and must do so as the insurer cannot hold any greater rights than the insured.

The original contract packages are attached. Please address the above comments and resubmit the contract packages to the Authority, to the attention of Ross Chittenden, Deputy Executive Director, Projects, along with all other required documents.

If you have any questions, please feel free to contact the Authority's designated construction manager, Jason Tom of AECOM, at (510) 229-0854, or myself at (925) 256-4735.

Sincerely,

Ross Chittenden,  
Deputy Executive Director

Attachment: Contract signature document (2 Originals)

cc: Ivan Ramirez (CCTA)  
Jason Tom (AECOM)



AECOM  
2101 Webster Street Suite 1900 510-622-6600 tel  
Oakland, CA 94612  
www.aecom.com

## Letter of Transmittal

**To:** Contra Costa Transportation Authority      **Date:** January 24, 2014  
2999 Oak Road, Suite 100  
Walnut Creek, CA 94597  
Attention: Ross Chittenden

**From:** Jason Tom, Project Manager      **Project Name:** SR4/SR160 Ramp Connectors Project  
SR4/160 Ramp Connectors  
Project

**Project No.** CCTA Contract No. 377

**SUBJECT:** RGW Contract #377 review

### The following is being transmitted

- |   |   |                                       |                                  |
|---|---|---------------------------------------|----------------------------------|
| <input type="checkbox"/> Shop drawings  | <input type="checkbox"/> Prints         | <input type="checkbox"/> Plans        | <input type="checkbox"/> Samples |
| <input type="checkbox"/> Specifications | <input type="checkbox"/> Copy of letter | <input type="checkbox"/> Change order | Other X                          |

Item	Copies	Date	Description
1	2	1/23/2014	RGW Contract #377 2 <sup>nd</sup> resubmittal (Original)

- |   |   |
|---|---|
| <input type="checkbox"/> Attached                     | <input type="checkbox"/> Under separate cover     |
| <input type="checkbox"/> For approval                 | <input type="checkbox"/> Approved as submitted    |
| <input checked="" type="checkbox"/> For your use      | <input type="checkbox"/> Approved as noted        |
| <input type="checkbox"/> Resubmit copies for approval | <input type="checkbox"/> For review and comment   |
| <input type="checkbox"/> As requested                 | <input type="checkbox"/> Returned for corrections |
|   | <input type="checkbox"/> Return corrected prints  |
|   | <input type="checkbox"/> Other For Signature      |

**Remarks:** The AECOM CM team, in conjunction with Kevin Wang (CCTA Legal Consul), have completed review of the 2<sup>nd</sup> re-submittal of Contract #377 for SR4/SR160 Connector Ramps Project and have found it complete. We recommend CCTA sign and execute the contract with RGW Construction, Inc.

Copy to File Cat 5

**Signed**   
Jason Tom  
Project Manager

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CONTRA COSTA  
transportation  
authority

## COMMISSIONERS

Janet Abelson, Chair

Kevin Romick,  
Vice Chair

Newell Arnerich

Tom Butt

David Durant

Federal Glover

Dave Hudson

Mike Metcalf

Karen Mitchoff

Julie Pierce

Robert Taylor

Randell H. Iwasaki,  
Executive Director

January 24, 2014

William S. Stewart  
RGW Construction, Inc.  
550 Greenville Road  
Livermore, CA 94550

**Subject:** Contract Approval**Reference:** CCTA Contract No. 377: State Route 4/State Route 160 Connector Ramps

Dear Mr. Stewart:

We received the two signed contracts from RGW Construction, Inc. on January 23, 2014. We are please to inform you that they satisfy all specification requirements. The Contract for CCTA Contract No. 377- State Route 4/State Route 160 Connector Ramps Project is approved. Per Section 3-1.18 of the Contract Special Provisions, please consider this letter as the written notice by the Authority of Contract Approval to RGW Construction, Inc.

AECOM, our construction management consultant, will be administering this contract on behalf of CCTA. All correspondence shall be directed to the Resident Engineer, Ken Lee, P.E., whose office is located at 1781 Vineyard, Suite 204, Antioch, CA, 94509, phone (510) 851-1967.

If you have any questions, please feel free to contact the Authority's designated construction manager, Jason Tom of AECOM, at (510) 229-0854, or the Authority's Deputy Executive Director, Ross Chittenden at (925) 256-4735.

Sincerely,

Randell H. Iwasaki,  
Executive Director

**Attachment:** Approved contract (one set)

cc: Ross Chittenden (CCTA)  
Ivan Ramirez (CCTA)  
Jason Tom (AECOM)  
Ken Lee (AECOM)

2999 Oak Road  
Suite 100  
Walnut Creek  
CA 94597  
PHONE: 925.256.4700  
FAX: 925.256.4701  
www.ccta.net

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**CONTRA COSTA TRANSPORTATION AUTHORITY****CONTRACT CHANGE ORDER NO. 001 SUPPLEMENT 0 Sheet 1 of 1**

<b>PROJECT NAME:</b>	<b>PROJECT NUMBER/CALTRANS EA:</b>	<b>DATE:</b>
<b>TO CONTRACTOR:</b>	<b>CHANGE REQUESTED BY:</b>	
<p>You are hereby directed to make the herein described changes from the plans and specifications, or do the following described work not included in the plans and specifications on this contract</p> <p><b>NOTE:</b> This change order is not effective until approved by the CCTA Deputy Director of Projects.</p> <p>Description of work to be done, estimate of quantities, and prices to be paid. Segregate between additional work at contract price, agreed price and force account. Unless otherwise stated, rates for rental of equipment cover only such time as equipment is actually used and no allowance will be made for idle time.</p>		
<p><b>BY REASON OF THIS CHANGE - 0 WORKING DAYS EXTENSION OF TIME WILL BE ALLOWED.</b></p> <p>We, the undersigned contractor, have given careful consideration to the change proposed and hereby agree, if this proposal is approved, that we will provide all equipment, furnish all materials, except as may otherwise be noted above, and perform all services necessary for the work above specified, and will accept as full payment therefore the prices shown above.</p>		
<p>(1) SUBMITTED:</p> <p>_____ DATE</p> <p><b>RESIDENT ENGINEER</b></p>	<p>(2) APPROVED:</p> <p>_____ DATE</p> <p><b>ROSS CHITTENDEN,</b> <b>DEPUTY EXECUTIVE DIRECTOR, PROJECTS</b></p>	
<p>(3) ACCEPTED BY CONTRACTOR:</p> <p>_____ DATE</p>		

If the contractor does not sign acceptance of this order, his attention is directed to the requirements of the specifications as to proceeding with the ordered work and filing a written protest within the time therein specified.

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**CONTRACT CHANGE ORDER MEMORANDUM**

(rev. 5/19/2014)

**DATE:**

TO: <u>Ross Chittenden</u>		Project:
FROM: _____		Project Number:
CCO No. 001	SUPPLEMENT. NO. _____	Board Chair approval required? YES <input type="checkbox"/> NO <input type="checkbox"/> (\$50k<CCO≤\$100k? If YES, attach approval documentation)
\$ _____	INCR. <input type="checkbox"/> DECR. <input type="checkbox"/>	Full Board approval required? YES <input type="checkbox"/> NO <input type="checkbox"/> (CCO>\$100k? If YES, attach Exec. Comm. approvals)
SUPPLEMENTAL FUNDS PROVIDED: \$ <u>0</u>		Caltrans concurrence required? YES <input type="checkbox"/> NO <input type="checkbox"/>
		Designer concurrence required? YES <input type="checkbox"/> NO <input type="checkbox"/>

THIS CHANGE ORDER PROVIDES FOR:

CONCURRED BY		ESTIMATE OF COST		
PROJECT MANAGER	DATE	THIS REQUEST		TOTAL TO DATE
DESIGN ENGINEER	DATE	ITEMS	<u>\$0.00</u>	<u>\$0.00</u>
		FORCE ACCOUNT	<u>.00</u>	<u>.00</u>
CALTRANS REPRESENTATIVE	DATE	AGREED PRICE	<u>\$0.00</u>	<u>\$0.00</u>
		ADJUSTMENT	<u>\$0.00</u>	<u>\$0.00</u>
OTHER (SPECIFY)	DATE	TOTAL	<u>.00</u>	<u>.00</u>
OTHER (SPECIFY)	DATE			
OTHER (SPECIFY)	DATE			
RESIDENT ENGINEER SIGNATURE	DATE			
:				

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## Contra Costa Transportation Authority **STAFF REPORT**

**Meeting Date:** July 3, 2013

<b>Subject</b>	<b>Listing of Contract Change Orders (CCOs) Greater than \$25k for Contracts Less than \$15M, and Greater than \$50k for Contracts Larger than \$15M</b>
<b>Summary of Issues</b>	CCOs are used during a project's construction phase to adjust the construction price to reflect agreed-upon changes in the plans, schedule, or in the working conditions that the contract was originally based upon. Authority policy requires that this list be submitted to the APC for information.
<b>Recommendations</b>	Report is provided as information only.
<b>Financial Implications</b>	None. Unless noted, CCOs are funded from project contingencies or budgeted supplemental funds.
<b>Options</b>	
<b>Attachments</b>	<b>A.</b> List of approved CCOs meeting policy criteria.
<b>Changes from Committee</b>	

### Background

CCOs are agreements executed subsequent to construction contract award between the contractor and the project proponent to address supplemental work or deviations from the contract plans. Deviations may occur for any of the following reasons; unforeseen events (weather, hazardous materials, etc.), unknown obstructions, contractor proposed changes to reduce time or costs, corrections to contract plans or specifications, or proponent proposed change in scope.

In 1992, the Authority adopted Resolution 92-08-P for certain policies relative to the administration of construction CCOs. Resolution 92-08-P was amended in December 2010. Among other requirements, Resolution 92-08-P (Amendment 1) requires that CCOs that exceed \$25,000 on projects under \$15 million and CCOs that exceed \$50,000 on project over \$15 million be reported as an informational item to the Authority Board. The attachment includes CCOs that meet these criteria.

**Construction Change Orders (CCOs) greater than \$25k for contracts less than \$15M, and greater than \$50k for contracts greater than \$15M.**

**Caldecott Fourth Bore Project – Project 1001**  
**(Contractor's Bid Amount \$214,806,175)**

The project is 78% complete and 100% of the contingency has been committed to executed and potential Construction Change Orders.

The current contingency balance is positive, but the potential CCOs will cause the contingency to be depleted. The contingency has been replenished with \$11.043 million of CMIA funds and with \$13 million of reserve funds from RM2 and Measure J. Additional funds are being requested at the July APC meeting to replenish the contingency.

Proj.	CCO No.	Description of Change Order
1001	18.5	<p>Maintain Existing Electrical Systems</p> <p>This CCO provided additional funds to compensate the contractor for maintaining the existing electrical systems that is not shown on the plans to keep tunnel/highway operational.</p> <p>The cost of this CCO is \$100,000. It is funded from the project contingency funds. Total to date is \$335,000.</p>
	127.4	<p>Resolution of Notice of Potential Claim (NOPC) No. 4 -Trucking Cost for Disposal of Non-Suitable, Non-Contaminated Excavated Material</p> <p>The contract provided for disposal of clean excavated soil and contaminated excavated soil. It did not provide for disposal for non-suitable non-contaminated material which could not be disposed at the clean material site. The contractor filed a NOPC. The issue was taken to the Dispute Resolution Board who recommended the claim had merit. Caltrans was able to mitigate the size of the claim by having the soil taken to another Caltrans project site that needed imported soil. Once that site was filled, the balance of the non-suitable non-contaminated material was taken to Keller Canyon Landfill.</p>

This CCO reimburses the contractor for the cost of trucking the additional material to another location.

The previous CCOs for this item totaled \$1,939,150. This CCO provides an additional \$55,000 and resolves the NOPC. It is funded from the project contingency funds.

154 Differing Site Condition - Second Sandstone Bench

During the tunnel excavation of the bench at various locations the contractor encountered ground conditions with higher rock strength and differing rock mass structure in the Second Sandstone than was described in the construction documents. This change resulted in in substantial delays to the excavation operation and additional costs. This change order compensates the contractor for this extra work.

The cost of this CCO is \$4,350,000. It is funded from the project contingency funds.

162.1 700 MHz and 800 MHz Radio Upgrade in Bores 1 and 2

The emergency radio frequency changed from what was in the contract. Caldecott Bores 3 & 4 equipment was changed to the new 700 MHz Public Safety band. This change doubled the capacity of the system. The Caltrans Director has ordered the upgrade of Bores 1 and 2 from existing 150 MHz radio system to 700/800 MHz radio system, as well.

The previous CCO for Bores 3 and 4 was \$600,000 and this CCO provides an additional \$350,000 for Bores 1 and 2. It is funded from additional funds provided by Caltrans through the HM-7 program.

175 Out of Sequence Footing Excavation

During a section of the bench excavation it was determined that the ground conditions encountered were weaker than anticipated. The Contractor was directed by the State to perform the excavation of the bench and footings in a different sequence than was planned and that had been used for the rest of bench and footing excavation. This resulted in inefficiencies and additional work for the contractor. This change order reimburses the contractor for these added costs.

The cost of this CCO is \$96,000. It is funded from the project contingency funds.

**SR4 Widening – Somersville Road to SR 160 Project – Segment 1 (Somersville) – Project 1407/3001**

**(Contractor's Bid Amount \$35, 727, 083.49)**

The project construction is 86% complete and 77% of the contingency has been committed to executed and potential Contract Change Orders.

Proj.	CCO No.	Description of Change Order
1407/3001	1, 1.1, 1.2, 1.3, 1.4	<p>Roadway Maintenance and Traffic Controls.</p> <p>Change order 1 and Supplements 1.1, 1.2, 1.3 and 1.4 direct the Contractor to maintain the roadway and provide additional traffic control for the safety and convenience of the public. It also provides payment for the State's share of flagging costs.</p> <p>No additional time is granted for this change.</p> <p>The estimated cost of this CCO, including recently executed Supplement 4 for an additional \$50,000, is now \$350,000 and is funded from the Project supplemental funds.</p>
1407/3001	19, 19.1, 19.2	Maintain Electrical Facilities

Change order 19 and Supplements 19.1 and 19.2 provide for maintaining electrical facilities for the Somersville Project. Extra Work includes removing and relocating pull boxes, removing already set boxes, and placing base rock, temporary signal and lighting not included in the plans. The work will be paid for by extra work at force account.

No additional time is granted for this change.

The estimated cost of this CCO, including recently executed Supplement 2 for an additional \$50,000, is now \$150,000 and is funded from the Project contingency funds.

1407/3001     51, 51.1

#### Stage 2A Traffic Handling Changes

This change order supplement provides for the time adjustment for changes made by the Engineer to the traffic handling plans for Stage 2A in order to complete the Stage 1B to Stage 2A traffic switch. This change order resolves the deferred time status of CCO 51, Supplement 0.

Adjustment to contract time is 19 working days.

The estimated cost of increased Unit Items for 19 working days for this Supplement 1 is a net increase of \$45,593 and for a revised total CCO cost of \$144,593. The CCO is funded from the Project contingency funds.

### **SR4 Widening – Somersville Road to SR 160 Project – Segment 3A (Lone Tree) – Project 1407/3001**

#### **(Contractor's Bid Amount \$52, 222, 222.22)**

The project construction is 28% complete with a contingency balance of \$ 4,849,679.11.

1407/3001     23-S1

#### DDSD Inefficiencies and Extra Work

This change order supplement provides additional funding for additional extra work and compensation for delays and loss of productivity as a result of coordination with and changes by the Delta Diablo Sanitation District (DDSD).

Extra work in the amount of \$10,000 includes DDSD requested changes to the work, additional mobilization and premium time costs for paving Drake Street to reduce inconvenience to residents due to the DDSD delays.

Adjustment in compensation in the amount of \$32,936 is due to the numerous changes and coordination issues with DDSD causing the work to be performed inefficiently.

The costs are in addition to the original change order for EWFA in the amount of \$40,000, for a total amount of \$85,686.



**CLAIM AGAINST CONTRA COSTA TRANSPORTATION AUTHORITY**

LD-0274-CCTA

**PERSONAL INFORMATION NOTICE**

Pursuant to the Federal Privacy Act (P.L. 93-579) and the Information Practices Act of 1977 (Civil Code Sections 1798, et seq.), notice is hereby given for the request of personal information by this form. The requested information is voluntary. The principal purpose of the voluntary information is to facilitate the processing of this form. The failure to provide all or any part of the requested information may delay processing of this form. No disclosure of personal information will be made unless permissible under Article 6, Section 1798.24 of the IPA of 1977. Each individual has the right upon request and proper identification, to inspect all personal information in any record maintained on the individual by an identifying particular. Direct any inquiries on information maintenance to your IPA Officer.

PLEASE: Print or use a typewriter when filling out form.

Sign and date claim form.

**(UNSIGNED AND UNDATED FORMS WILL NOT BE ACCEPTED)**

**WARNING: GOVERNMENT CODE § 911.2 PROVIDES SIX MONTHS FROM THE DATE OF INCIDENT TO FILE A CLAIM FOR PERSONAL INJURY OR PROPERTY DAMAGE.**

			<b>CCTA USE ONLY</b>	
1. NAME: LAST	FIRST	MIDDLE	FILE NUMBER	
HOME ADDRESS		BUSINESS PHONE	HOME PHONE	
CITY		STATE	ZIP CODE	
2. PUT A SPECIFIC TIME AND DATE WHEN THE DAMAGE FIRST OCCURED		TIME OF INCIDENT	<input type="checkbox"/> AM <input type="checkbox"/> PM	DATE OF INCIDENT
3. STATE THE LOCATION OF THE INCIDENT WITHIN ONE-HALF MILE (CITY, COUNTY, HIGHWAY, NEAREST OFF-RAMP, CROSS STREET, OR POSTMILE).				
4. EXPLAIN HOW THE INJURY OR DAMAGE OCCURRED				
5. WHAT DO YOU CLAIM CCTA OR ITS CONTRACTOR DID TO CAUSE YOUR INJURY OR DAMAGE?				
6. WHAT INJURY OR DAMAGE ARE YOU CLAIMING HAPPENED?				
7. WHAT IS THE DOLLAR AMOUNT OF YOUR CLAIM FOR DAMAGES? (SUBMIT TWO ESTIMATES OR PAID RECEIPTS) \$				
8. <b>INSURANCE INFORMATION IS REQUIRED</b>		NAME OF INSURER		
HAVE YOU SUBMITTED A CLAIM TO YOUR INSURANCE CARRIER?			<input type="checkbox"/> YES <input type="checkbox"/> NO	
IF YES, WERE YOU PAID?		FOR WHAT AMOUNT? \$		
<input type="checkbox"/> YES <input type="checkbox"/> NO				
9. ARE YOU THE REGISTERED OWNER? <input type="checkbox"/> YES <input type="checkbox"/> NO				
MAKE OF VEHICLE	MODEL	COLOR	YEAR	VEHICLE LICENSE NO.
I HEREBY CERTIFY UNDER PENALTY OF PERJURY, THAT THE FOREGOING FACTS ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE AND BELIEF.				
10. SIGNATURE OF CLAIMANT				DATE

**REVERSE SIDE FOR STATE USE AND FILING INFORMATION ON CLAIMS**

**CLAIM AGAINST CONTRA COSTA TRANSPORTATION AUTHORITY**

LD-0274-CCTA

**PLEASE PROVIDE THE FOLLOWING RELEVANT INFORMATION:**

1. HOW WAS THIS AMOUNT CALCULATED (PLEASE ITEMIZE AND ATTACH BILLS, REPAIRS RECEIPTS, ETC.; IF VEHICLE DAMAGE, OBTAIN AND ATTACH TWO REPAIR ESTIMATES)?

2. WHAT IS THE BASIS FOR CLAIMING THE ENTITY OR ENTITY'S EMPLOYEE(S), CONTRACTORS AND/OR CONSULTANTS ARE THE CAUSE OF YOUR INJURY, DAMAGES, OR LOSS? (USE THE BACK OF THIS FORM TO ATTACH A SEPARATE SHEET IF NECESSARY TO ANSWER THIS QUESTION IN DETAIL)

3. WHAT IS THE NAME, ADDRESS, AND PHONE NUMBER OF ANY WITNESSES WHO CAN SUBSTANTIATE YOUR CLAIM?

4. ANY ADDITIONAL INFORMATION THAT YOU BELIEVE MIGHT BE HELPFUL TO THE AGENCY IN CONSIDERING THIS CLAIM:

5. ALL NOTICES AND COMMUNICATIONS WITH REGARD TO THIS CLAIM WILL BE DIRECTED TO THE CLAIMANT SHOWN AS THE "REPRESENTATIVE" BELOW, UNLESS YOU COMPLETE THE FOLLOWING TO IDENTIFY TO WHOM FURTHER COMMUNICATION SHOULD BE DIRECTED:

NAME:	LAST	FIRST	RELATIONSHIP
ADDRESS	DAYTIME PHONE		HOME PHONE
CITY	STATE		ZIP CODE

**CLAIMS OFFICER**  
**Contra Costa Transportation Authority**  
2999 Oak Road, Suite 100  
Walnut Creek, CA 94597

**FOR CCTA USE ONLY (BELOW)**

DATE CLAIM RECEIVED	REVIEWED BY: CLAIMS OFFICER	APPROVED AMOUNT \$	<input type="checkbox"/>
<input type="checkbox"/> CCTA RESPONSIBILITY	<input type="checkbox"/> CONTRACTOR RESPONSIBILITY	DENIED	<input type="checkbox"/>
I hereby certify upon my own personal knowledge that the budgeted funds are available for the period and purpose of the expenditure stated above.		CLAIMS OFFICER SIGNATURE	DATE

**SMARTS Electronic Authorization Form**

Directions: To complete the SMARTS registration process, please print, sign, and mail this form to the address at the bottom of this page.

I, Mauricio Rivera  
certify I meet the signatory requirements to sign application and/or reports ([40 Code of Federal Regulations section 122.22](#)) for:

Contra Costa Transportation Authority - 618848

2999 Oak Road

Walnut Creek CA 94597

My signature on this form also certifies that I agree my user ID, password, and response to security challenge questions constitute my electronic signature and any information I indicate I am electronically certifying contains my signature. I understand that I am legally bound, obligated, or responsible by use of my electronic signature as much as by a handwritten signature.

I also certify that my electronic signature is for my own use that I will keep confidential and protect it from any other person's use, including subordinates and consultants. If I suspect my electronic signature has been lost, stolen, or otherwise compromised, including discrepancies in data and reports, I will contact the Water Boards within 24-hours of discovery.

Please select your user role:

☐ Discharger or  
Legally Responsible Person

☐ Duly Authorized Representative or  
Approved Signatory

I certify that the above information is true and correct. By signing this registration form, I agree, on behalf of myself and Contra Costa Transportation Authority to be bound by its terms.

Printed Name: Mauricio Rivera

Title: Project Manager

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(Please sign in blue ink)

Mail completed form to:  
**SMARTS Registration**  
**P.O. Box 1977**  
**Sacramento, CA 95812**

Express Mailing Address:  
**SWRCB**  
**Attn: Storm Water**  
**1001 I Street - 15th Floor**  
**Sacramento, CA 95814**

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State Water Resources Control Board  
**NOTICE OF INTENT**  
 GENERAL PERMIT TO DISCHARGE STORM WATER  
 ASSOCIATED WITH CONSTRUCTION ACTIVITY  
 (WQ ORDER No. 2009-0009-DWQ)



WDID: 5S07C365932

Risk Level: Level2

**Property Owner Information**

Type: County Agency

Name: Contra Costa Transportation Authority

Contact Name: Ivan Ramirez

Address: 2999 Oak Road

Title: Senior Engineer

Address 2: Suite 100

Phone #: 925-256-4737

City/State/Zip: Walnut Creek CA 94597

Email: iramirez@ccta.net

**Contractor/Developer Information**

Name: Contra Costa Transportation Authority

Contact Name: Ross Chittenden

Address: 2999 Oak Road

Title: Deputy Executive Director, Projects

Address 2: Suite 100

Phone #: 925-256-4735

City/State/Zip: Walnut Creek CA 94597

Email: rchittenden@ccta.net

**Construction Site Information**

Site Name: State Route 4 Widening Segment 3B

Contact Name: Mauricio Rivera

Address: State Route 4 From West of Hillcrest Ave to West of State

Title: Construction Manager

City/State/Zip: Antioch CA 94531

Site Phone #: 510-774-8994

County: Contra Costa

Email: mauricio\_rivera@scengineers.com

Latitude: 37.9959

Longitude: -121.7847

Total Size of Construction Area: 41.7

Construction Start: March 14, 2013

Total Area to be Disturbed: 41.7

Complete Grading:

Final Stabilization: September 08, 2015

**Risk Values**

R: 65.79

K: 0.24

LS: 0.34

Beneficial Uses/303(d): Yes

Type of Construction: \*Transportation

Receiving Water: Suisun Bay, 1.7, 1.5 and 1.2 miles downstream of Markley Creek, West and East Antioch Creek

Qualified SWPPP Developer: Christine Williams

Certification #: 00432

RWQCB Jurisdiction: Region 5S - Sacramento

Phone: 916-464-3291

Email: r5s\_stormwater@waterboards.ca.gov

**Certification**

Name Amin AbuAmara

Date: March 11, 2013

Title:

Version 1.0, August 2014

CCTA - Construction Contract Administration Guide

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EDMUND G. BROWN JR.  
GOVERNORMATTHEW RODRIQUEZ  
SECRETARY FOR  
ENVIRONMENTAL PROTECTION

## State Water Resources Control Board

**Approved Date:** March 21, 2013

Ivan Ramirez

Contra Costa Transportation Authority  
2999 Oak Road Suite 100  
Walnut Creek CA 94597

### RECEIPT OF YOUR NOTICE OF INTENT (NOI)

The State Water Resources Control Board (State Water Board) has received and processed your NOI to comply with the terms of the General Permit to Discharge Storm Water Associated with Construction Activity. Accordingly, you are required to comply with the permit requirements.

The Waste Discharger Identification (WDID) number is: **5S07C365932** Please use this number in any future communication regarding this permit.

<b>OWNER:</b>	<b>SITE DESCRIPTION</b>
	Contra Costa Transportation Authority
<b>DEVELOPER:</b>	Contra Costa Transportation Authority
<b>SITE INFORMATION:</b>	State Route 4 Widening Segment 3B
	State Route 4 From West of Hillcrest Ave to West of State R
	Antioch
<b>TOTAL DISTURBED ACRES:</b>	41.7
<b>START DATE:</b>	March 14, 2013
<b>COMPLETION DATE:</b>	September 08, 2015
<b>COUNTY:</b>	Contra Costa

**When the Owner changes , a new NOI, site map, and fee must be submitted by the new Owner.** As the previous owner, you are required to submit a Notice of Termination (NOT) to the local Regional Water Board stating you no longer own or operate the Site and coverage under the General Permit is not required. Unless notified, you will continue and are responsible to pay the annual fee invoiced each January.

If you have any questions regarding permit requirements, please contact your Regional Water Board at 916-464-3291 . Please visit the storm water web site at [http://www.waterboards.ca.gov/water\\_issues/programs/stormwater/](http://www.waterboards.ca.gov/water_issues/programs/stormwater/) to obtain an NOT and other storm water related information and forms.

Sincerely,

Storm Water Section  
Division of Water Quality

FELICIA MARCUS, CHAIR | THOMAS HOWARD, EXECUTIVE OFFICER

1001 I Street, PO Box 1977, Sacramento, California, 95812 | [www.waterboards.ca.gov](http://www.waterboards.ca.gov), ph:1-866-563-3107, fax:(916) 341-5543

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EDMUND G. BROWN JR.  
GOVERNORMATTHEW RODRIQUEZ  
SECRETARY FOR  
ENVIRONMENTAL PROTECTION

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## State Water Resources Control Board

To Interested Parties:

### 2012 - 2013 **RISK LEVEL 2 ANNUAL REPORT FOR STORM WATER DISCHARGES ASSOCIATED WITH CONSTRUCTION ACTIVITIES**

Annual Reports will be submitted electronically via SMARTS. To register to use SMARTS please visit [smarts.waterboards.ca.gov](http://smarts.waterboards.ca.gov).

For all questions please contact the Storm Water Section at (866) 563-3107 or by email at [stormwater@waterboards.ca.gov](mailto:stormwater@waterboards.ca.gov).

Sincerely,

Storm Water Section

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State of California  
STATE WATER RESOURCES CONTROL BOARD

2012 - 2013

**RISK LEVEL 2 ANNUAL REPORT**  
FOR  
STORM WATER DISCHARGES ASSOCIATED  
WITH CONSTRUCTION ACTIVITIES (RISK LEVEL 2)

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Reporting Period **July 1, 2012** through **June 30, 2013**

**In compliance with the Construction General Permit (CGP) an annual report is required to be submitted electronically via SMARTS by September 1 of each year.** This document must be certified and signed, under penalty of perjury, by the appropriate official of your company.

If you have any questions, please contact your Regional Board Storm Water Permit Contact. The names, telephone numbers and e-mail addresses of the Regional Board contacts, as well as the Regional Board office addresses can be found at: [http://www.waterboards.ca.gov/water\\_issues/programs/stormwater/contact.shtml](http://www.waterboards.ca.gov/water_issues/programs/stormwater/contact.shtml). To find your Regional Board information, match the first digit of your WDID number with the corresponding number that appears in parenthesis on the first line of each Regional Board office.

**GENERAL INFORMATION:**

**A. Property Owner Information:**

**Site WDID No:** 5S07C365932

Owner's Name: Contra Costa Transportation Authority

Physical Address: 2999 Oak Road

City: Walnut Creek

Contact Person: Ivan Ramirez

e-mail: iramirez@ccta.net

CA Zip: 94597 Phone: 925-256-4737

**B. Site Information:**

Site Name: State Route 4 Widening Segment 3B

Mailing Address: State Route 4 From West of Hillcrest Ave to West of State Route 160

City: Antioch

Contact Person: Mauricio Rivera

e-mail: mauricio\_rivera@scengineers.com

State: CA Zip: 94531 Phone: 510-774-8994

**FORM 1**  
**SPECIFIC INFORMATION**

**C. STORMWATER POLLUTION PREVENTION PLAN (SWPPP) [CGP Section XIV]**

1. Has a SWPPP been prepared by a Qualified SWPPP Developer (QSD) for the construction project?

☒**YES**☐**NO**

2. Does the SWPPP include a Construction Site Monitoring Program (CSMP) section/element?

☒**YES**☐**NO**

3. Are these documents kept onsite?

☒**YES**☐**NO**

**D. GOOD SITE MANAGEMENT "HOUSEKEEPING" [CGP Attachment D, Section B]**

1. Were required good site management "housekeeping" measures for construction materials fully implemented on-site?

☒**YES**☐**NO**☐**NA**

- a. Was an inventory of the products used and/or expected to be used conducted?

☒**YES**☐**NO**

2. Were required good site management "housekeeping" measures for waste management fully implemented on-site?

☒**YES**☐**NO**

- a. Is there a spill response and implementation element of the SWPPP?

☒**YES**☐**NO**

3. Were required good site management "housekeeping" measures for vehicle storage and maintenance fully implemented on-site?

☒**YES**☐**NO**

4. Were required good site management "housekeeping" measures for landscape materials fully implemented on-site?

☐**YES**☐**NO**☒**NA**

5. Was a list of potential pollutant sources developed?

☒**YES**☐**NO**

6. Were good site management "housekeeping" measures to control air deposition of site materials and from site operations implemented on-site?

☒

YES

☐

NO

**E. NON-STORM WATER MANAGEMENT [CGP Attachment D, Section C]**

1. Were measures to control all non-storm water discharges during construction implemented?

☒

YES

☐

NO

2. Were vehicles washed in such a manner as to prevent non-storm water discharges to surface waters or to MS4 drainage systems?

☒

YES

☐

NO

☐

NA

3. Were streets cleaned in such a manner as to prevent unauthorized non-storm water discharges from reaching surface waters or MS4 drainage systems?

☒

YES

☐

NO

**F. EROSION CONTROLS [CGP Attachment D, Section D]**

1. Were required erosion controls fully implemented on your site?

☒

YES

☐

NO

**G. SEDIMENT CONTROLS [CGP Attachment D, Section E]**

1. Were required sediment controls fully implemented on your site?

☒

YES

☐

NO

2. Were immediate access roads inspected on a daily basis?

☒

YES

☐

NO

**H. RUN-ON AND RUN-OFF CONTROLS [CGP Attachment D, Section F]**

1. Was all site run-on and run-off effectively managed?

☒

YES

☐

NO

2. If run-on from the surrounding area is believed to contribute to an exceedance of the NALs, was this documented and was the run-on monitored?

☐

YES

☐

NO

☒

NA

**I. RAIN EVENT ACTION PLAN (REAP) [CGP Attachment D, Section H]**

1. Were REAPs developed 48 hours prior to all likely precipitation events (50% or greater probability of producing precipitation)?

☒

YES

☐

NO

2. Did the REAPs developed meet the minimum criteria listed in **CGP Attachment D, Section H**?

☒

YES

☐

NO

3. Was a phase specific REAP (ex: grading and land development, streets and utilities, vertical construction, final landscaping & site stabilization) prepared for each likely precipitation event?

☒

YES

☐

NO

**J. INSPECTION, MAINTENANCE AND REPAIR [CGP Attachment D, Section G]**

1. Were all site inspections, maintenance, and repairs performed or supervised by a Qualified SWPPP Practitioner (QSP)?

☒

YES

☐

NO

2. Were site inspections conducted weekly and at least once each 24-hour period during extended storm events?

☒

YES

☐

NO

3. Were post rain event inspections conducted?

☐

YES

☒

NO

4. Do your inspection forms/ checklists meet the minimum criteria listed in **CGP Attachment D, Section G.5**?

☒

YES

☐

NO

5. During any site inspection, were BMP inadequacies noticed?

☒YES (Provide description in **Form 3**)☐

NO

6. If BMP inadequacies were observed, did BMP repairs/replacement occur within 72 hours?

☒

YES

☐

NO

☐

NA

**K. VISUAL MONITORING [CGP Attachment D, Section I.3]**

1. Were all storm water discharges that occurred at all discharge locations observed within 2 business days (48 hours) after each qualifying rain event (producing precipitation of ½ inch or more at the time of discharge)?

☒

YES

☐

NO

2. Were all storm water discharges that occurred from storage or containment systems visually observed prior to discharge?

☒

YES

☐

NO

3. Were the time, date, and rain gauge reading recorded for each qualifying rain event?

☐

YES

☐

NO

4. Within 2 business days (48 hours) prior to each predicted qualifying rain event, were visual inspections conducted in compliance with **CGP Attachment D, Section I.3.e&f**?

☒

YES

☐

NO

5. Are all visual inspection records retained on-site?

☒

YES

☐

NO

**L. WATER QUALITY SAMPLING AND ANALYSIS [CGP Attachment D, Section I.4]**

1. How many qualifying storm events (producing precipitation of ½ inch or more at the time of discharge) occurred this past reporting year? 0

2. How many qualifying storm events (producing precipitation of ½ inch or more at the time of discharge) were sampled? 0

Explain Un-sampled events: \_\_\_\_\_

3. For the sampled events, did you collect three samples (representative of the flow and characteristics) each day of discharge per qualified event?

☐

YES

☐

NO

☒

NA

4. Were grab samples analyzed for pH and turbidity? (Analytical data must be entered in the **RAW DATA** tab in SMARTS)

☐

YES

☐

NO

☒

NA

5. Were Active Treatment System (ATS) effluent samples taken? (Applies to projects that deployed ATS)

☐

YES

☐

NO

☒

NA

**M. NON-STORM WATER DISCHARGE MONITORING [CGP Attachment D, Section I.10]**

1. Were all drainage areas monitored for authorized/ unauthorized non-storm water discharges quarterly? (Complete Form 2)

☒

YES

☐

NO

2. Did visual observations indicate any authorized/ unauthorized non-storm water discharges?

☐

YES

☒

NO Skip to next Section

3. Were effluent samples taken of the authorized/ unauthorized non-storm water discharge? (Analytical data must be entered in the **RAW DATA** tab in SMARTS)

☐

YES

☐

NO Skip to next Section

☒

NA

4. Were the effluent samples sent to a laboratory certified for such analyses by the State Department of Health Services?

☐

YES

☐

NO

☒

NA

5. Were unauthorized non-storm water discharges eliminated?

☐

YES

☐

NO

☒

NA

**N. NON-VISIBLE POLLUTANT MONITORING [CGP Attachment D, Section I.11]**

1. Were any breaches, malfunctions, leakages, or spills observed during a visual inspection?

☐

YES

☒

NO Skip to next Section

2. How many potential discharges of non-visible pollutants were identified? \_\_\_\_\_

3. For each discharge event (of non-visible pollutants), were samples collected in compliance with **CGP Attachment D, Section I.11.d?** (Analytical data must be entered in the **RAW DATA** tab in SMARTS)

☐

YES

☐

NO

☒

NA

4. For each discharge event was a comparison sample collected (uncontaminated sample that did not come into contact with the pollutant)? (Analytical data must be entered in the **RAW DATA** tab in SMARTS)

☐

YES

☐

NO

☒

NA

**O. WATERSHED MONITORING [CGP Attachment D, Section I.12]**

1. Are you part of a qualified regional watershed-based monitoring program approved by the Regional Water Board?

☐

YES

☒

NO

**P. RECORDS [CGP Attachment D, Section I.14]**

1. Are all records of all storm water monitoring information retained on-site?

☒

YES

☐

NO

**Q. NAL EXCEEDANCES [CGP Attachment D, Section I.15]**

1. Were any
- Numeric Action Levels (NALs)**
- exceeded?

☐

YES

☒

NO Skip to next Section

2. Were corrective actions taken to address the NAL exceedances?

☐

YES

☐

NO

☒

NA

If **YES**, please provide information about the corrective actions taken on **Form 3**

3. Were analytical results from any/all NAL exceedances submitted electronically to the State Water Board no later than 10 days after the conclusion of the storm event?

☐

YES

☐

NO

☒

NA

4. Were any NAL Exceedance Reports submitted to the Regional Water Board?

☐

YES

☐

NO

☒**\*Section R - Not applicable to Risk Level 2****\*Section S - Not applicable to Risk Level 2****T. TRAINING**

1. Was a Qualified SWPPP Practitioner (QSP) in reasonable charge of SWPPP implementation?

☒

YES

☐

NO

If **Yes**, Provide Name and Certificate Number: Christine Williams

00432

2. Were all individuals conducting BMP installation, inspection, maintenance and repairs trained appropriately?



☒

**YES**

☐

**NO**

3. Are complete training records kept on-site and available upon request?

☒

**YES**

☐

**NO**

**ANNUAL REPORT CERTIFICATION**

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system or those persons directly responsible for gathering the information, to the best of my knowledge and belief, the information submitted is, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.

Printed Name: Ross Chittenden

Signature: \_\_\_\_\_ Date: 10/16/2013

Title: \_\_\_\_\_

## ***DESCRIPTION OF ANALYTICAL PARAMETERS***

The Construction Activities Storm Water General Permit (General Permit) requires you to analyze storm water samples for at least two parameters. These are pH and turbidity. In addition, you must monitor for any other pollutants which you believe to be present in your storm water discharge (i.e. non-visible pollutants) as a result of construction site materials.

**pH (required)** - is a numeric measure of the hydrogen-ion concentration. The neutral, or acceptable, range is within 6.5 to 8.5 (Numeric Action Level-NAL range). At values less than 6.5, the water is considered acidic; above 8.5 it is considered alkaline or basic. The Numeric Effluent Limitation (NEL) for pH is 6.0-9.0. An example of an acidic substance is vinegar, and an alkaline or basic substance is liquid antacid. Pure rainfall tends to have a pH of a little less than 7. There may be sources of materials or construction activities which could increase or decrease the pH of your storm water discharge.

**Turbidity (required)** - is the cloudiness of water quantified by the degree to which light traveling through a water column is scattered by the suspended organic and inorganic particles it contains. The turbidity test is reported in Nephelometric Turbidity Units (NTU) or Jackson Turbidity Units (JTU). The NAL for turbidity in this General Permit is 250 NTU. The NEL is 500 NTU

**Suspended Sediment Concentration (SSC)** - is the measure of the concentration of suspended solid material in a water sample by measuring the dry weight of all of the solid material from a known volume of a collected water sample. Results are reported in mg/L.

**Benthic Macroinvertebrate Bioassessment** – evaluation of animals without backbones, living in or on sediments or other substrates, of a size large enough to be seen by the unaided eye, and which can be retained by a U.S. Standard No. 30 sieve (28 openings per inch, 0.595-mm openings) to assess the biological conditions (health) of a waterbody.

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**See Storm Water Contacts at**

**[http://www.waterboards.ca.gov/waterboards\\_map.shtml](http://www.waterboards.ca.gov/waterboards_map.shtml)**

**FORM 2- VISUAL OBSERVATIONS OF AUTHORIZED & UNAUTHORIZED  
NON-STORM WATER DISCHARGES (NSWDs)**

- \* Dry weather visual observations are required of each authorized NSWD.
- Observe each authorized NSWD source, impacted drainage area, and discharge location.

- Make additional copies of this form as necessary.

**U. AUTHORIZED NSWDs DISCHARGED**

WERE ANY <u>AUTHORIZED</u> NSWDs DISCHARGED OBSERVED FROM JULY-SEPTEMBER?	<input type="checkbox"/> YES (If Yes, fill out side 2)
	<input checked="" type="checkbox"/> NO
WERE ANY <u>AUTHORIZED</u> NSWDs DISCHARGED OBSERVED FROM OCTOBER-DECEMBER?	<input type="checkbox"/> YES (If Yes, fill out side 2)
	<input checked="" type="checkbox"/> NO
WERE ANY <u>AUTHORIZED</u> NSWDs DISCHARGED OBSERVED FROM JANUARY-MARCH?	<input type="checkbox"/> YES (If Yes, fill out side 2)
	<input checked="" type="checkbox"/> NO
WERE ANY <u>AUTHORIZED</u> NSWDs DISCHARGED OBSERVED FROM APRIL-JUNE?	<input type="checkbox"/> YES (If Yes, fill out side 2)
	<input checked="" type="checkbox"/> NO

**V. UNAUTHORIZED NSWDs DISCHARGED**

WERE ANY <u>UNAUTHORIZED</u> NSWDs DISCHARGED OBSERVED FROM JULY-SEPTEMBER?	<input type="checkbox"/> YES (If Yes, fill out side 2)
	<input checked="" type="checkbox"/> NO
WERE ANY <u>UNAUTHORIZED</u> NSWDs DISCHARGED OBSERVED FROM OCTOBER-DECEMBER?	<input type="checkbox"/> YES (If Yes, fill out side 2)
	<input checked="" type="checkbox"/> NO
WERE ANY <u>UNAUTHORIZED</u> NSWDs DISCHARGED OBSERVED FROM JANUARY-MARCH?	<input type="checkbox"/> YES (If Yes, fill out side 2)
	<input checked="" type="checkbox"/> NO
WERE ANY <u>UNAUTHORIZED</u> NSWDs DISCHARGED OBSERVED FROM APRIL-JUNE?	<input type="checkbox"/> YES (If Yes, fill out side 2)
	<input checked="" type="checkbox"/> NO

APPENDIX 3.33 ANNUAL REPORT FOR STORM WATER DISCHARGES SAMPLE

2012-2013

**ANNUAL REPORT**

FORM 2 - QUARTERLY VISUAL OBSERVATIONS OF AUTHORIZED  
NON-STORM WATER DISCHARGES (NSWDs)

Quarter	Date/Time(HH:MM )	Source and Location of Authorized NSWD	Name of Authorized NSWD	Authorized NSWD Characteristics at Source	Authorized NSWD Characteristics at Drainage Area and Discharge Location	Revised or New BMPs Description and Implementation Date

# APPENDIX 3.33 ANNUAL REPORT FOR STORM WATER DISCHARGES SAMPLE

2012-2013

## ANNUAL REPORT

FORM 2 - QUARTERLY VISUAL OBSERVATIONS OF UNAUTHORIZED  
NON-STORM WATER DISCHARGES (NSWDs)

Quarter	Date/Time(HH:MM )	Source and Location of Unauthorized NSWD	Name of Unauthorized NSWD	Unauthorized NSWD Characteristics at Source	Unauthorized NSWD Characteristics at Drainage Area and Discharge Location	Revised or New BMPs Description and Implementation Date

# APPENDIX 3.33 ANNUAL REPORT FOR STORM WATER DISCHARGES SAMPLE

2012-2013

## ANNUAL REPORT

FORM 3

July-Sept Quarter	Oct-Dec Quarter	Jan-March Quarter?	April-June Quarter
Not in Progress	Not in Progress	Install and Maintain Silt Fence, Inlet Protection, DSA and stockpile covers, and Construction Entrances. Pick up trash for rain.	Install and Maintain Silt Fence, Inlet Protection, DSA and stockpile covers, and Construction Entrances. Pick up trash for rain.

# APPENDIX 3.33 ANNUAL REPORT FOR STORM WATER DISCHARGES SAMPLE

2012-2013

## ANNUAL REPORT

EXPLANATIONS SPECIFIED FOR VARIOUS YES/NO QUESTIONS IN THE REPORT

Explanation Question	Explanation Text
J3	No qualifying rain events recorded since project started.

### Attachments:

Attachment Title	Description	Date Uploaded	Attachment Type	Attachment Hash	Doc Part No/Total Parts
CEM-2070 SWPPP Annual Certification	CEM 2070 SWPPP Annual Certification of Compliance	2013-10-07 14:13:16.0	Supporting Documentation		1/1



**DISTRICT 4 STORMWATER SITE INSPECTION REPORT** [2/13]**INSPECTION INFORMATION:**WPC TYPE: **SWPPP - RL2**D4 WPC INSPECTOR: **AMAN SINGH**PARTICIPANTS: RE/SENIOR: ☒CONTRACTOR/OTHERS: **Michael Galusha**

INSPECTION RATING FLAG:

**Green – Few minor or Insignificant deficiencies exist**INSPECTION TYPE: **REGULAR**

INSPECTION DATE: 5/6/2014

WPC CT INSPECTOR: ☒**CONTRACT INFORMATION:**CONTRACT NO.: **04-1G9414 [04000211041]**CO/RTE/PM: **04-CC-4-R28.6/T30.56**JOB DESCRIPTION: **State Route 4 East, Segment 3B**CONSTRUCTION PHASE: **Highway Construction**PLANT ESTABLISHMENT PHASE: **NA**ATS PRESENT: **NA**PERMITS: 401☒; 404☒; F&G☒; USFWS☒; NMFS☐; CC☐; OTHER:RE NAME: **Azita Bagherli**WPC CT INSPECTOR: **Bassey Effiong**OS RE NAME: **Michael K. Chan (S & C Engineers, Inc.)**CONTRACTOR: **C.C. Myers, Inc.**WPCM NAME (QSD/QSP): **Christine Williams (925) 919-2409**WPC INSPECTOR (QSP): **Christine Williams (925) 919-2409**OVERSIGHT: ☐ LEAD AGENCY:

If Yes, PEP Duration (days):





ATS INUSE: **NA**RE PHONE: **925-602-9019**WPC CT INSPECTOR PH.: **510-714-7075**OS RE PHONE: **510-272-2970****DOCUMENT/FIELD REVIEW AND GENERAL OBSERVATIONS:**

No.	DOCUMENT CHECKLIST		DATE LAST ON FILE
1	Approved SWPPP/ WPCP on file.	Yes	
2	Approved SWPPP/WPCP, and/or Amendments reflect current construction operations. (CEM-2009)	Yes	
3	Any SWPPP-related document, such as a dewatering plan, up to date, approved, or on file.	NA	
4	Annual Certification (CEM-2070) is complete for FY & on file (July 15):	NA	
5	Weekly BMP status report(s) (CEM-2034) are on file:	Yes	
6	Site inspections (CEM-2030) by Caltrans staff are being conducted weekly with photographs.	NA	
7	Site inspections (CEM-2030) by Contractor are being conducted in accordance with the contract specifications. <i>Inspections done jointly by CT &amp; Contractor:</i> <input checked="" type="checkbox"/>	Yes	3/27/2014
8	Correction of previously identified deficiencies is documented. (CEM-2035)	Yes	3/28/2014
9	Rain gauge on site.	Yes	
10	Adequate documentation of rain gauge readings is on file. (CEM- 2041)	NA	
11	Documentation for a previous qualifying rain event is on file. Ex. Inspection reports and sample results. (CEM-2045, CEM-2046, CEM-2047)	Yes	
12	Stormwater Samples taken of last rain event? (CEM-2052)	NA	
13	Adequate documentation of hazardous or contaminated soils that are found or suspected to exist within the project limits.	Yes	
14	Adequate documentation of training of Contractor's staff including subcontractors. (CEM-2023)	Yes	2/18/2014
14	Daily printed weather forecast report(s) are on file. (CEM-2040)	Yes	
15	For Risk Level 2 and 3 - REAP is properly documented. (within 72 hours when applicable)	Yes	4/24/2014
16	For Risk Level 2 - NAL Exceedance Report are on file. (CEM-2062)	NA	
17	For Risk Level 3 – NEL Exceedance Report are on file. (CEM-2063)	NA	







**General Notes:** (*Correction Action Plan is required for question(s) answered "No"*)

- Training of all employees for SWPPP and construction site management is required.
- Attention is directed to the Water Pollution Control Manager Responsibilities.
- Provide effective soil cover for inactive areas [Inactive areas of construction are areas of construction activity that have been disturbed and are not scheduled to be re-disturbed for at least 14 days.] and all finished slopes, open space, utility backfill, and completed lots.

**DISTRICT 4 STORMWATER SITE INSPECTION REPORT** [2/13]**PHOTO LOG, FIELD OBSERVATIONS, COMMENTS AND CORRECTION ACTION PLAN:**

1=V-good (100%-90% effective/correct) 2=Good (89%-75% effective/correct) 3=Fair (74%-65% effective/correct) 4=Poor (64%-50% effective/correct) 5=V Poor (Less 50% effective/correct)		<b>Notes :</b> <b>Reviewers:</b> In the comments sections provide balanced reporting, identify items done well & items that need improvement. Provide stations or landmarks for comments provided. <b>RE:</b> All items with a rating of 3 or more require a correction action.
CORRECTIVE ACTION REQUIRED FOR DOCUMENT DEFICIENY(s)		
#		
CORRECTIVE ACTION REQUIRD FOR FIELD DEFICIENY(s)		
#	PICTURE	FIELD OBSERVATIONS AND COMMENTS
1		SC-1 Silt Fence LOCATION: Hillcrest Ave RATING: 3 DEFICIENCY TYPE: Minor DEFICIENCY REASON: BMP NOT maintained COMMENT: Maintain silt fence.
2		WM-1 Material Delivery and Storage WM-5 Solid Waste Management LOCATION: Hillcrest Ave RATING: 3 DEFICIENCY TYPE: Minor DEFICIENCY REASON: BMP NOT maintained COMMENT: Pick up and remove waste/debris from the job site at least once a week. Material storage (spray cans) should be in secondary containment.
3		SC-4 Check Dams SC-6 Gravel Bag Berm LOCATION: Sunset Dr. RATING: 3 DEFICIENCY TYPE: Minor DEFICIENCY REASON: BMP missing COMMENT: Place berm and checks at the down gradient of the work area.
GOOD "HOUSEKEEPING" AND TEMPORARY BMP(s) IMPLEMENTATION OBSERVED		
#	PICTURE	FIELD OBSERVATIONS AND COMMENTS
1		TC-1 Stabilized Construction Entrance/Exit LOCATION: Larkspur Dr. RATING: 2 DEFICIENCY TYPE: NA DEFICIENCY REASON: NA COMMENT: Maintain BMP as needed.

**DISTRICT 4 STORMWATER SITE INSPECTION REPORT** [2/13]

2		<p>SC-1 Silt Fence  LOCATION: Larkspur Dr.  RATING: 2  DEFICIENCY TYPE: NA  DEFICIENCY REASON: NA  COMMENT: Maintain BMP as needed.</p>
3		<p>WM-9 Sanitary/Septic Waste Management  LOCATION: Hillcrest Ave. off ramp  RATING: 2  DEFICIENCY TYPE: NA  DEFICIENCY REASON: NA  COMMENT: Maintain BMP as needed.</p>
4		<p>TC-1 Stabilized Construction Entrance/Exit  LOCATION: Hillcrest Ave. off ramp  RATING: 2  DEFICIENCY TYPE: NA  DEFICIENCY REASON: NA  COMMENT: Maintain BMP as needed.</p>
5		<p>NS-1 Water Control and Conservation  LOCATION: Hillcrest Ave. off ramp  RATING: 2  DEFICIENCY TYPE: NA  DEFICIENCY REASON: NA  COMMENT: Maintain BMP as needed.</p>
6		<p>NS-1 Water Control and Conservation  LOCATION: Sunset Dr.  RATING: 2  DEFICIENCY TYPE: NA  DEFICIENCY REASON: NA  COMMENT: Maintain BMP as needed.</p>
7		<p>WM-8 Concrete Waste Management  LOCATION: Hillcrest Ave.  RATING: 2  DEFICIENCY TYPE: NA  DEFICIENCY REASON: NA  COMMENT: Maintain BMP as needed.</p>



**DISTRICT 4 STORMWATER SITE INSPECTION REPORT** [2/13]

8		TC-1 Stabilized Construction Entrance/Exit LOCATION: Sunset Dr. RATING: 2 DEFICIENCY TYPE: NA DEFICIENCY REASON: NA COMMENT: Maintain BMP as needed.
9		TC-1 Stabilized Construction Entrance/Exit LOCATION: Hillcrest Ave. off ramp RATING: 2 DEFICIENCY TYPE: NA DEFICIENCY REASON: NA COMMENT: Maintain BMP as needed.
10		TC-1 Stabilized Construction Entrance/Exit LOCATION: Hillcrest Ave. off ramp RATING: 2 DEFICIENCY TYPE: NA DEFICIENCY REASON: NA COMMENT: Maintain BMP as needed.
<b>PERMANENT EROSION CONTROL &amp; DESIGN DEFICIENCY(s) OBSERVED</b>		
#	PICTURE	FIELD OBSERVATIONS AND COMMENTS



Matthew Rodriguez  
Secretary for  
Environmental Protection

## Department of Toxic Substances Control

Deborah O. Raphael, Director  
1001 "I" Street  
P.O. Box 806  
Sacramento, California 95812-0806



Edmund G. Brown Jr.  
Governor

RECEIVED  
OCT 17 2013

BY: .....

ATTN: MIKE CHAN  
CONTRA COSTA TRANSPORTATION AUTH  
2999 OAK RD STE 100  
WALNUT CREEK CA 94597

EPA ID Number Issued: October 09, 2013  
**Location Address:**  
STATE ROUTE 4 PM R28.6/T30.5 FROM  
ANTIOCH CA 94531

**PERMANENT RECORD - DO NOT DESTROY  
YOUR CALIFORNIA EPA IDENTIFICATION NUMBER IS:**

# CAL000390159

This is to acknowledge that a permanent California Environmental Protection Agency Identification (EPA ID) Number has been assigned to your place of business.

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***An EPA ID Number is assigned to a person or business at a specific site. It is only valid for the location and person or business to which it was assigned. If your business has multiple generation sites, each site must have its own unique number. If you stop handling hazardous waste, move your business, change ownership, change mailing address, or change the type or amount of waste you handle, you must notify the Department of Toxic Substances Control immediately. If your business has moved, your EPA ID Number must be canceled. A new number must be obtained for your new location if you continue to generate hazardous waste.***

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This EPA ID Number must be used for all manifesting, record keeping, and reporting requirements. Please retain this notice in your files.

Department of Toxic Substances Control  
Generator Information Services Section  
Telephone: (916) 255-1136 or California Only Toll-free Number: (800) 618-6942

**Operator's Initials:** ASanders

version: January 2011



Printed on Recycled Paper





Matthew Rodriguez  
Secretary for  
Environmental Protection



## Department of Toxic Substances Control

Deborah O. Raphael, Director  
8800 Cal Center Drive  
Sacramento, California 95826-3200



Edmund G. Brown Jr.  
Governor

### Information for ID Number Holders

**PLEASE CAREFULLY READ ALL OF THE INFORMATION  
IN THIS PACKET & KEEP FOR YOUR RECORDS**

You have been issued a permanent ID number for the generation, transportation and/or disposal of hazardous waste. Your ID number must be used for all manifesting, record keeping and reporting requirements.

As a holder of a permanent ID number, you are required by law to respond to the annual business information *Verification Questionnaire* and pay an annual ID number verification fee, if applicable. If you generate hazardous waste at your business location and use manifests to ship it from your site to a disposal facility, you may also be required to pay manifest fees. Please visit our web page for additional information on ID numbers, manifests and fees at <http://www.dtsc.ca.gov/IDManifest/index.cfm>.

If you move your business or your business ownership changes you must get a new ID number. For information on how to update your information or apply for a new California ID number go to our website at <http://www.dtsc.ca.gov/IDManifest/index.cfm>.

If you generate or produce five (5) or more tons of hazardous waste per calendar year, regardless of the final disposition of the waste, you must apply for a hazardous waste account online by using eReg. To apply, please visit the State Board of Equalization's website at <http://www.boe.ca.gov/electsrv/eServices.htm>. Failure to pay fees due will result in interest and a 10% penalty. See page 2 of this packet for specific details.

When starting a new business that handles hazardous waste or if you move your business, contact your local environmental health department, environmental materials department or local Certified Unified Program Agency and inquire what you must do at the local level. Any of these agencies, may be at the county or city level, or may even be your local fire department. If you do not know which local entity to contact, you may want to start at <http://www.calepa.ca.gov/CUPA/Directory/default.aspx>.

DTSC's Hazardous Waste Tracking System (HWTS) is available at [www.hwts.dtsc.ca.gov](http://www.hwts.dtsc.ca.gov). HWTS has reports to find ID numbers, businesses, manifest data and waste produced in the State.

You can get fact sheets, news releases, regulations, public notices, information about managing hazardous waste, compliance and enforcement, and pollution prevention at DTSC's website. The web address is [www.dtsc.ca.gov](http://www.dtsc.ca.gov).

If you have questions, please contact our Telephone Information Center at (800) 618-6942 or (916) 255-1136 if calling from outside the U.S.

(version 10/12)

# Hazardous Waste Fee Information

## STATE BOARD OF EQUALIZATION

### SPECIAL TAXES & FEES

PO Box 942879  
Sacramento, CA  
94279-0088

### BOE TAXPAYER INFORMATION SECTION

Monday – Friday  
8:00a.m. – 5:00p.m.

1-800-400-7115  
TTY: 711

### BOE WEBSITES

[www.boe.ca.gov](http://www.boe.ca.gov)

Electronic Registration  
System (eReg). Apply  
online at  
<http://www.boe.ca.gov/electsrv/eServices.htm>

The State Board of Equalization (BOE) administers six hazardous waste fee programs in cooperation with the Department of Toxic Substances Control (DTSC). The fee programs are: Environmental Fee, Generator Fee, Activity Fee, Disposal Fee, Transportable Treatment Unit Fee and the Facility Fee. As a result, if you are required to obtain a federal or state EPA ID number you may also be responsible for additional fees imposed by the State of California. Each fee is outlined below. It is important that you review this information carefully, so that you understand your BOE fee obligations.

**Environmental Fee** - The Environmental Fee is a fee on businesses in industry groups that use, generate or store hazardous materials or that conduct activities related to those materials. In the past, the annual fee only applied to certain corporations. Beginning January 1, 2007, Assembly Bill 1803 (Stats. 2006, ch. 77) expanded the fee to include: general partnerships, limited partnerships, limited liability partnerships, limited liability companies and sole proprietorships, in addition to corporations (including nonprofit corporations, "S" corporations and out-of-state corporations) operating in California. In general, the annual fee applies to businesses that have 50 or more employees who are employed more than 500 hours in California during the previous calendar year. The fee is graduated based on the number of employees; for more information, see BOE Publication 90.

**Generator Fee** - The Generator Fee applies to every person who generates five or more tons of hazardous waste in California within a calendar year for a specific site. The fee is determined by the total tonnage of waste generated per site. This includes recycled waste, treated wood waste and waste sent outside California for disposal. If you generate or produce five (5) or more tons of hazardous waste per calendar year, regardless of the final disposition of the waste, you must apply with the BOE using eRegistration (eReg), available on BOE's website at <http://www.boe.ca.gov/electsrv/eServices.htm> 24 hours a day. Utilization of a waste hauler or a hazardous waste contractor to remove your hazardous waste does not relieve you of the liability for the fees which result from the generation and/or disposal of your hazardous waste. If the Facility Fee is being paid for a site, the Generator Fee does not apply.

**Disposal Fee** - The Disposal Fee applies to any waste disposed of by depositing the waste on or into land in California. The Disposal Fee is paid directly to the Disposal Facility where the waste is submitted for disposal. The fee is determined by the total tonnage of waste disposed of and returns are only required to be filed by the Disposal Facilities.

**Transportable Treatment Unit Fee** - The Transportable Treatment Unit Fee applies to owners or operators of sites that treat hazardous waste but, due to the volume of waste treated or waste stored, do not warrant a full facility permit. The fee is assessed as a flat rate fee per unit and by permit modification, pursuant to information provided by the DTSC.

**Activity Fee** - Activity Fees are based upon specific activities performed by DTSC. The fees are assessed upon notice to BOE from DTSC that a fee is due and are the result of an action requested by the fee payer, such as a new permit, permit modification, variance or site mitigation assessment fee.

**Facility Fee** - The Facility Fee applies to an owner or operator of a site that is permitted by DTSC to dispose, treat or store hazardous waste. The fee varies according to the permitted level.

To obtain a copy of Regulation 3000, Generator of Hazardous Waste go to BOE's website at [www.boe.ca.gov](http://www.boe.ca.gov) or call BOE's Taxpayer Information Section toll free at 1-800-400-7115 (TTY: 711).

For additional information regarding all Special Taxes & Fees Programs administered by BOE go to [www.boe.ca.gov](http://www.boe.ca.gov).



## STATE REQUIREMENTS AND INSTRUCTIONS FOR GENERATORS HOLDING CALIFORNIA ISSUED ID NUMBERS

The U.S. Environmental Protection Agency (U.S. EPA) revised the Uniform Hazardous Waste Manifest effective September 5, 2006 and requires the use of only this version. Enclosed is manifest information you should read and save for future reference.

Manifest forms are available from printers approved by U.S. EPA. Approved printers can be found at <http://www.epa.gov/epawaste/hazard/transportation/manifest/index.htm>

### **SMALL QUANTITY GENERATOR INFORMATION**

*From this point forward any reference to manifests applies to the federal manifest.*

The term "Small Quantity Generator" is a federally defined term, but we will use it here for ease of reading. Small Quantity Generators are persons or businesses that generate monthly quantities of hazardous waste, not including Universal Waste (see page 6) that are greater than 100 kilograms (about 220 lbs) but less than 1,000 kilograms (2,200 lbs). Technically, the term only applies to persons that generate federally regulated (Resource Conservation and Recovery Act, or "RCRA") waste, but the following state and federal requirements apply to all businesses that generate less than 1,000 kg of hazardous waste in any calendar month.

If you're not sure how much these metric measures represent: 1,000 kg is about 250 gallons of water, or about five 55-gallon drums; 100 kg equals about 27 gallons of water, which is about one-half of a 55-gallon drum; and one kg equals one liter, which is a bit more than a quart. The term "month" or "monthly" refers to any calendar month.

### **General Requirements**

- a. Determine if the waste you generate is hazardous waste. Universal waste should not be included in the calculations. [(Chapter 12, Section 66262.11, Title 22, California Code of Regulations (CCR)].
- b. Track the amount of waste that you generate in each calendar month to make sure you are a small quantity generator. Do not use a monthly average.
- c. If you generate more than 100 kg of RCRA waste in any calendar month, you must use a federal EPA Identification Number (EPA ID Number). If you generate up to 100 kg of RCRA waste, you must use a California ID number. If you generate any amount of California only waste you must use a California ID number. Check the DTSC fact sheet "EPA Identification Numbers for Generators" for further information about the differences between the numbers. The fact sheet is available via the ID Number webpage at [http://www.dtsc.ca.gov/IDManifest/ID\\_Numbers.cfm](http://www.dtsc.ca.gov/IDManifest/ID_Numbers.cfm)

- d. You should inform your local Certified Unified Program Agency (CUPA) that you are a small quantity generator of hazardous waste. A CUPA directory search is available at <http://www.calepa.ca.gov/CUPA/Directory/default.aspx>

### **Rules on Accumulation Times**

1. If you generate less than 1,000 kg of hazardous waste per month, you may accumulate waste on-site in containers or tanks for no more than 180 days except as noted in subsections 2 and 3 below. If you generate more than 100 kg of waste in a month, the 180-day period begins on the date the waste first begins to accumulate. If hazardous waste is accumulated in tanks, a generator must comply with federal regulations in Title 40 Code of Federal Regulations, sections 262.34(f) and 265.201 as it applies to small quantity generator tank requirements. Any amount of acutely or extremely hazardous waste can be accumulated onsite for only 90 days. However, if the total amount of hazardous waste that your site generates in a calendar month is 100 kg or less (or 1 kg of acutely or extremely hazardous (EH) waste), the accumulation time period begins on the date that the 100 kg of hazardous waste or one kg of acutely or extremely hazardous waste limit is reached.

The Generator Accumulation fact sheet provides additional information you may need.

[http://www.dtsc.ca.gov/HazardousWaste/upload/FS\\_OAD\\_Accumulation.pdf](http://www.dtsc.ca.gov/HazardousWaste/upload/FS_OAD_Accumulation.pdf)

In addition the Generator Requirements fact sheet has general information.

[http://www.dtsc.ca.gov/HazardousWaste/upload/HWM\\_FS\\_Generator\\_Requirements.pdf](http://www.dtsc.ca.gov/HazardousWaste/upload/HWM_FS_Generator_Requirements.pdf)

- a. The date that you begin accumulating waste must be clearly marked on the container, portable tank or tank as soon as you place waste in it, and the date must be visible for inspection (Chapter 12, Section 66262.34 (f)(1) & (2), Title 22, CCR)
- b. All containers, portable tanks and tanks that hold hazardous waste must be labeled. Chapter 12, Section 66262.34 (f)(3), Title 22, CCR).

Each container, portable tank and tank must be labeled or marked clearly with the words "Hazardous Waste", the accumulation start date (as discussed in (a)) and the generator's ID number. If you are accumulating waste in containers or portable tanks, the label must include the following additional information:

- (1) Composition and physical state of the waste.
- (2) Statement or statements that call attention to the particular hazardous properties of the waste (e.g., flammable, reactive, etc.)
- (3) Name and address of person or company producing the waste.  
(Chapter 12, Section 66262.34(f) (1), (2), (3), (A), (B) & (C), Title 22, CCR)

2. Small quantity generators whose businesses are long distances (200 miles or farther) away from their waste treatment, storage and disposal facilities may accumulate their waste onsite for up to 270 days if all of the following apply:
  - a. The quantity of hazardous waste accumulated onsite never exceeds 6,000 kg.
  - b. The generator does not hold acutely hazardous waste or extremely hazardous waste in an amount greater than one kg for more than 90 days.
  - c. The generator complies with the requirements of subdivisions (d), (e) and (f) of Section 262.34 of Title 40 of the Code of Federal Regulations.
3. Satellite accumulation: A generator may also hold, at an accumulation area, up to 55 gallons of hazardous waste for more than 180 days if all of the following requirements are met with respect to the 55 gallons or one quart of acutely or extremely hazardous waste:
  - a. The generator must not hold the accumulated waste onsite for more than one year from the initial date of accumulation;
  - b. The generator may only accumulate the waste in containers, not tanks. The waste must be at or near the area where the waste is generated and which is under the control of the operator of the process generating the waste;
  - c. The generator must label the containers used for accumulating the hazardous waste with the words "Hazardous Waste". Labels must also include information on the composition and physical state of the waste, the hazardous properties of the waste, the name and address of person producing the waste and the generator's ID number, plus the initial date;
  - d. The generator must comply with the requirements of Sections 66265.171, 66265.172, 66265.173(a), Title 22, CCR;
  - e. Within 3 days of reaching the 55 gallon/one quart quantity limitation, the generator must:
    - (1) Date the holding container with the date on which the limit was reached.
    - (2) Move the waste to the "90/180 -day" accumulation area or offsite, and;
    - (3) Comply with the requirements of Chapter 12, Article 3, Section 66262.34(a), Title 22, CCR and other applicable provisions. For those facilities that remove their hazardous waste directly from the accumulation area within the three days allowed, this provision does not apply.

### **RULES FOR SHIPPING HAZARDOUS WASTE**

In some cases your waste could be exempt from manifest requirements. Briefly, those include: Universal waste shipments (see information and link below), some photographic and silver waste and some self-transported waste (50 pounds or five

gallons per trip, more if taken to certain household hazardous waste facilities or to used oil recycling centers or facilities).

**CESQGs:** Conditionally exempt small quantity generators (not more than 100 kg in any month) may be eligible for certain transportation allowances. These generators are allowed to take up to a total volume of 5 gallons or not to exceed a total weight of 50 pounds to a permitted facility if they meet the requirements given in Section 25163(c) of the Health and Safety Code. Only generators that do not accumulate more than 1,000 kg onsite at any one time can use this provision. (All extremely or acutely hazardous wastes generated by any business must be shipped on a manifest only.)

In addition, a business that meets the federal definition of Conditionally Exempt Small Quantity Generator found in 40 CFR Section 2615 may be able to dispose of their hazardous waste at certain household hazardous waste facilities. Contact a household hazardous waste facility in your area to find out if business-generated waste is accepted and what the transportation limits are. You can find a program at <http://www.calrecycle.ca.gov/HomeHazWaste/Directory/default.aspx>.

As a generator, you can use consolidated manifesting to dispose of your hazardous waste. Consolidated manifesting exempts you from filling out a hazardous waste manifest. A consolidated transporter completes both the generator and transporter sections of the manifest and leaves a receipt or bill of lading for your records. You can find more information about rules pertaining to generators using consolidated manifesting at <http://www.dtsc.ca.gov/HazardousWaste/Transporters/index.cfm>

1. When shipping hazardous waste off your premises you must:
  - a. Use only transporters that have registered with DTSC and have obtained an ID number. (Chapter 12, Section 66262.12(c), Title 22, CCR)
  - b. Comply with Department of Transportation (DOT) requirements for packaging, labeling, and marking. (Chapter 12, Section 66262.30, 66262.31, 66262.32 and 66262.33, Title 22, CCR). DOT also requires that the packager of waste be trained.
  - c. Ship waste only to hazardous waste facilities approved for your waste type. (Chapter 12, Section 66262.20(b) & (c), title 22 CCR)
2. Use of the manifest. Mandatory use of the federal manifest began on September 5, 2006. Please see the enclosed material entitled "*Supplemental California Manifest Instructions*". DTSC has a dedicated manifest page on its website at <http://www.dtsc.ca.gov/IDManifest/Manifests.cfm>.

Manifest forms are available only from printers approved by U.S. EPA. Approved printers are posted on their website at <http://www.epa.gov/epawaste/hazard/transportation/manifest/index.htm>

When you sign the manifest, you are certifying that the information on it is correct, so take care in reviewing the manifest if someone else has filled it out for you. After you have signed and dated item 15 of the completed manifest, the transporter will sign and date item 17 and give you two copies. **You are required to send a legible photocopy of the manifest to DTSC within 30 days of each shipment** (Chapter 12, Section 66262.23, Title 22, CCR).

When the designated treatment, storage or disposal facility (TSDF) receives and accepts your waste, their representative will sign and date item 20 on the manifest. California TSDFs are required to send the completed signed copy of the manifest to DTSC, and send a copy to the generator. You are required to keep the generator copy and the signed copy from the California TSDF for at least three years. (Chapter 12, Section 66262.40(a), Title 22, CCR). TSDFs in other states are required to submit copies to DTSC when waste generated in California is received out of state.

If you are a generator of greater than 1000 kg per month and you do not receive a copy of the manifest signed by the TSDF representative within 45 days of the date the waste was accepted by the initial transporter, you are required to file an Exception Report with DTSC. If you are a generator of less than 1000 kg per month and you do not receive a copy of the manifest signed by the TSDF representative within 60 days of the date the waste was accepted by the initial transporter you are required to file an Exception Report with DTSC. Please send a legible copy of the manifest with a cover letter explaining what you did to locate the hazardous waste and the results of your efforts. Please send your Exception Report to: DTSC Report Repository, Generator Information Services Section, P.O. Box 806, R1-4, Sacramento, CA 95812-0806. A copy of the Exception Report must be retained in your records for three years. (Chapter 12, section 66262.42(b), title 22, CCR)

## **UNIVERSAL WASTE**

Universal wastes are hazardous wastes that are generated by a wide variety of people every day. Since February 8, 2006, universal waste may not be discarded in solid waste landfills. Scientists at DTSC have found that these wastes will leak toxic substances, mostly metals, in a typical landfill. Some examples of universal waste include: batteries, fluorescent tubes (lamps), electronic devices (cell phones, computers, televisions), cathode ray tubes (CRTs) (computer monitors, televisions), mercury wastes (thermometers and toys), and non-empty aerosol cans. Additional information can be found at:

<http://www.dtsc.ca.gov/HazardousWaste/UniversalWaste/index.cfm>

Many local government agencies run programs that help households and small businesses recycle or properly dispose of their hazardous wastes. Some retailers collect certain universal wastes, such as batteries, electronics and fluorescent light tubes. For information on local collection programs, contact your municipal waste service provider, or local household hazardous waste program. You can check

<http://www.earth911.org> for a universal waste collection program near you. Use the toolbar on the left to navigate the site.

### **MANIFEST INFORMATION**

We ask that you pay particular attention to some problems we have seen on manifests submitted to DTSC.

- ***Generator Copies:***

- Mail a legible copy to P.O. Box 400 within 30 days of shipping the waste. If the waste is being shipped to a California disposal facility, the generator may submit Copy 2 instead of submitting a photocopy.
- Legible Copies: Photocopy quality has been **very poor** and many of the manifests are illegible. The photocopy must be legible; otherwise it cannot be entered into our tracking system.
- Only shipping descriptions are allowed in Item 9b on the manifest (no ERG, profiles, etc.)
- DTSC is providing information on top offenders to local enforcement agencies (CUPAs).

- ***Changing Names and Addresses Using the Wrong Box:***

- Addresses are being changed after the manifest is first completed. This is acceptable **ONLY** if all changes are made in the original box for Item 8. Address changes **cannot** be included in the box for Item 14 or 18b.
- Writing an address in the box for Item 18b is **only allowed** when a TSDF rejects a shipment, not when there is a change made in the destination before it arrives at the disposal facility. This type of change is only made in the box for Item 8. These changes are noticed by our inspectors about shipment irregularities.

- ***State Waste Code Omissions:***

- Every waste stream line on the manifest must have one California waste code if the manifest begins or ends in California. If a waste is federally-regulated, it also needs one or more RCRA waste codes. No more than six State and RCRA waste codes are allowed for each waste stream.

### **The Manifest Correction Process**

DTSC receives numerous manifests with errors. It is extremely important that the information you complete and sign for on each manifest is accurate. If your transporter, service provider or your office staff completes a manifest for you, please check the accuracy of the information printed on the manifest before signing it and releasing the waste for transport. Per Health and Safety Code section 25160.5, DTSC is authorized to charge a \$20 manifest correction fee per each incomplete or improperly completed manifest. The most common errors are transposed digits in EPA ID numbers, incorrect or incomplete dates with the signatures, (past or future dates), missing waste codes or quantities.

If you discover that you have made an error on a manifest, you should immediately notify DTSC of the error(s). DTSC does not charge the \$20 manifest correction fee if you submit the manifest correction letter before being notified by DTSC of the manifest error. Following are specific guidelines for manifest corrections.

To submit a letter, please provide the manifest corrections on company letterhead, and include the following information:

1. Manifest Tracking Number; either 8-digits (pre-Sept. 5, 2006 shipments, DTSC 8022A), or the unique three-letter suffix preceded by nine numerals which is pre-printed in Item 4 of the manifest (shipments on or after September 5, 2006, EPA 8700-22, new federal form).
2. Generator date; the date the generator signed the manifest.
3. Generator EPA ID number used on the original manifest, even if it was incorrect.
4. The incorrect or incomplete item number from the manifest.
5. The corrected information.
6. Signature, title, mailing address, and phone number of person submitting the correction.

Note: One manifest correction letter that corrects several manifests is sufficient provided it contains the items listed above for each manifest. Mail manifest correction letters to:

Department of Toxic Substances Control  
Generator Information Services Section  
Attention: Manifest Corrections  
P. O. Box 806, MS R1-4  
Sacramento, CA 95812-0806

More information on hazardous waste manifests can be found at  
<http://www.dtsc.ca.gov/IDManifest/Manifests.cfm>.

### **TREATED WOOD WASTE**

In 2007 regulations were adopted establishing alternative management standards for treated wood waste that are hazardous waste. Treated wood is wood that has been treated with a chemical preservative to protect the wood from insects and other environmental conditions that can lead to wood decay. Wood was likely treated if it was used in direct contact with the ground or installed for harsh outdoor use. Common surface coatings such as paint, varnish, and oil stain are not considered wood preservatives under these regulations.

The regulations require that generators of more than 10,000 pounds of treated wood waste in a calendar year obtain an EPA ID number if they do not already have one for the site where the waste is generated. Additional information on treated wood and the regulations can be found at  
[http://www.dtsc.ca.gov/HazardousWaste/Treated\\_Wood\\_Waste.cfm](http://www.dtsc.ca.gov/HazardousWaste/Treated_Wood_Waste.cfm).

### **DTSC WEB PAGES**

Below are web addresses for DTSC's website that may be of interest to you. These pages contain information and links to other services that provide information for businesses that are conditionally exempt small quantity generators, in addition to households.

They are Household Hazardous Waste (HHW) at <http://www.dtsc.ca.gov/HazardousWaste/UniversalWaste/HHW.cfm>, Universal Waste at <http://www.dtsc.ca.gov/HazardousWaste/UniversalWaste/index.cfm>, and E-Waste at <http://www.dtsc.ca.gov/HazardousWaste/EWaste/index.cfm>. There is also information on the California Take-It-Back Partnership to encourage retailers to accept back batteries, fluorescent lamps and electronic devices, including cell phones. Check out <http://www.dtsc.ca.gov/TIB/index.cfm>.

### **FEDERAL HAZARDOUS WASTE INFORMATION**

The U.S. Environmental Protection Agency's Office of Solid Waste has developed a web-based document, entitled the Hazardous Waste Generator Regulations (v. August 2012).

It is intended to serve as a reference regarding the current Resource Conservation and Recovery Act (RCRA) hazardous waste generator regulatory requirements. The document is available at <http://www.epa.gov/osw/hazard/downloads/tool.pdf>. This is an excellent reference document; however it **does not** contain supplemental information that explains how California requirements are different. In addition, **it is a very large document**, so we do not recommend that you print it first. We encourage you to start with the following two DTSC fact sheets. The first fact sheet is entitled *Hazardous Waste Generator Requirements*

[http://www.dtsc.ca.gov/HazardousWaste/upload/HWM\\_FS\\_Generator\\_Requirements.p  
df](http://www.dtsc.ca.gov/HazardousWaste/upload/HWM_FS_Generator_Requirements.pdf) and the second fact sheet is *Accumulating Hazardous Waste at Generator Sites* [http://www.dtsc.ca.gov/HazardousWaste/upload/HWM\\_FS\\_Accumulating\\_HazWaste\\_G  
enerators.pdf](http://www.dtsc.ca.gov/HazardousWaste/upload/HWM_FS_Accumulating_HazWaste_Generators.pdf). You can go to the federal document shown above and search for the information that is of interest to you.

DTSC's Regulatory Assistance Officers are available to answer your questions. They are located throughout the State and can be reached at (800) 728-6942, by email at [RAO@dtsc.ca.gov](mailto:RAO@dtsc.ca.gov), or at <http://www.dtsc.ca.gov/ContactDTSC/Regulatory-Assistance-Officers.cfm>



## California Compliance School

California Compliance School (CCS) is an innovative, activity-based training program that will teach you the basics of complying with the confusing maze of environmental regulations in a fun and interesting format!

Using experts in the field of adult learning principles, the team of curriculum development specialists at CCS put together a performance-based program that addresses the most common questions and practices of environmental compliance for hazardous waste generators.

"Performance-based" means that, during the course of the class, you will learn what you need to know to apply these skills for your business operations. This keeps you in compliance, saves money through waste reduction, and may prevent you from getting fined!

As you can imagine, this format is dramatically different from sitting for eight hours in front of an instructor who lectures the whole time, without really giving you an opportunity to demonstrate that you have learned anything--or to practice what you may have learned.

The credit for the CCS concept goes to employees of the Department of Toxic Substances Control. They realized the need for basic hazardous waste management training, but recognized that an institution of adult learning (a college) would be better equipped to develop and provide the training than a regulatory agency. Their vision was a "Traffic School" for hazardous waste generators, which would allow fines for certain violations to be "forgiven" by DTSC and today that vision is a reality.

The 2013 Hazardous Waste Generator (Modules I-IV/V) Schedule is attached. Ready to take the course? Go to [www.compliance.org](http://www.compliance.org)

If you have any questions and/or comments, contact:

**Central Environmental Training Center**

**California Compliance School**

2100 Chester Avenue

Bakersfield, CA 93301-4009

Telephone: (800) 337-1422 Fax: (661) 395-4134

## California Compliance School

### 2013 HW Generator (Modules I-IV/V) Course Schedule

Course Date	Course Name	Course Location	Address
January 8-10	Hazardous Waste Generator (Modules I-IV/V)	Sacramento Area	California Dept. of Toxic Substance Control 8800 Cal Center Drive Sacramento, CA. 95826
January 29-31	Hazardous Waste Generator (Modules I-IV/V)	San Diego Area	Residence Inn by Marriott-San Diego Central 5400 Kearny Mesa Road San Diego, CA. 92111
February 11-13	Hazardous Waste Generator (Modules I-IV/V)	Orange County Area	North Orange County Community College 1830 West Romneya Drive Anaheim, CA. 92801
March 13-15	Hazardous Waste Generator (Modules I-IV/V)	San Jose Area	Mission College 3000 Mission College Blvd. MS#1, Santa Clara, CA 95054
April 9-11	Hazardous Waste Generator (Modules I-IV/V)	Los Angeles Area	Residence Inn Marriott 2135 E El Segundo Blvd El Segundo, CA. 90245
May 7-9	Hazardous Waste Generator (Modules I-IV/V)	Sacramento Area	California Dept. of Toxic Substance Control 8800 Cal Center Drive Sacramento, CA. 95826
May 20-22	Hazardous Waste Generator (Modules I-IV/V)	Orange County Area	North Orange County Community College 1830 West Romneya Drive Anaheim, CA. 92801
June 11-13	Hazardous Waste Generator (Modules I-IV/V)	San Diego Area	Residence Inn by Marriott-San Diego Central 5400 Kearny Mesa Road San Diego, CA. 92111
June 25-27	Hazardous Waste Generator (Modules I-IV/V)	Kern County Area	Kern Community College District 2100 Chester Ave Bakersfield, CA 93301
July 23-25	Hazardous Waste Generator (Modules I-IV/V)	San Jose Area	Mission College 3000 Mission College Blvd. MS#1, Santa Clara, CA 95054
September 10-12	Hazardous Waste Generator (Modules I-IV/V)	Orange County Area	North Orange County Community College 1830 West Romneya Drive Anaheim, CA. 92801
September 17-19	Hazardous Waste Generator (Modules I-IV/V)	Sacramento Area	California Dept. of Toxic Substance Control 8800 Cal Center Drive Sacramento, CA. 95826
October 8-10	Hazardous Waste Generator (Modules I-IV/V)	San Diego	Residence Inn by Marriott-San Diego Central 5400 Kearny Mesa Road San Diego, CA. 92111
November 5-7	Hazardous Waste Generator (Modules I-IV/V)	San Jose Area	Mission College 3000 Mission College Blvd. MS#1, Santa Clara, CA 95054

Effective  
09/05/2006

# Supplemental California Manifest Instructions

Revised June 2007

## Federal and State hazardous waste manifest regulations changed on **September 5, 2006.**

Detailed manifest instructions are printed on the back of the new federal manifest. These Supplemental California Instructions cover additional California requirements. Please use the instructions printed on the new manifest for item by item directions. Materials are available at [www.dtsc.ca.gov](http://www.dtsc.ca.gov) (under ID numbers, Manifests & Fees, Hazardous Waste Manifests), including fact sheets and California's manifest regulations, sample manifests, and federal instructions. For load rejections and consolidated manifesting, refer to the regulations and fact sheets.

### **IMPORTANT MANIFEST CHANGES - PLEASE READ AND SAVE AS A REFERENCE**

The U.S. Environmental Protection Agency (EPA) revised the Uniform Hazardous Waste Manifest and requires the use of only the new version nationally after September 4, 2006. **States are no longer allowed to modify the form or the instructions.** Old versions of the California manifest, or manifests from other states, may not be used after September 4, 2006. The new manifest form is no longer color coded, and the new six-part form does not include a copy for generators to submit to their state, although California requires the generator to submit a copy.

#### Additional Information and Instruction Changes:

- Adds space for emergency response number;
- Adds Generator's site address;
- Allows up to six waste codes for each waste stream;
- Adds a box to indicate if waste stream is U.S. DOT regulated;
- Adds space for import/export information;
- Adds room for destination facilities to note discrepancies or if container residues exceed empty levels;
- Adds a new field for a manifest reference number when waste is rejected or if container residues are shipped on a new manifest;
- Adds a separate field for alternative facility information and signatures;
- Uses HW Report Management Codes to replace handling codes;
- Prohibits the use of fractions or decimal points in waste quantities in Item 10; and
- Discourages use of large quantity units in Item 11 (e.g. tons or cubic yards) when other units, i.e. pounds, are more accurate.

## Where Do I Get Manifests?

California does not sell the new manifest forms. Forms are available only from private printers approved by EPA. EPA posts approved printers at [www.epa.gov/epaoswer/hazwaste/gener/manifest/registry/index.htm](http://www.epa.gov/epaoswer/hazwaste/gener/manifest/registry/index.htm).

## Generators Must Submit Manifest Copies!

California requires generators and permitted transfer, treatment, storage, and disposal Facilities (Facilities) to submit manifests. The federal manifest form does not include a Generator-to-State submittal page, like the old manifest did (the blue page). Within 30 days of shipping the waste, generators must submit a copy of each manifest to DTSC. This copy can either be a legible photocopy or the "Generator Retains" copy, if the generators receive a signed facility copy back within 30 days. Generators may submit a copy of the "Generator Retains" copy (page 6), the top page (the most legible one - page 1), or any other page, as long as it is legible.

## What About Submitting Manifests for Rejected Loads?

Generators should send copies of manifests they sign when **receiving** rejected waste or container residues to the Department of Toxic Substances Control's (DTSC) Facility Manifests at P.O. Box 3000. Facilities **signing** new manifests for rejected loads should submit the generator copy to DTSC Generator Manifests at P.O. Box 400. See the rejected load fact sheet on DTSC's web site.

## How Are California Manifest Requirements Different from Federal?

- California requires conditionally exempt small quantity generators to use manifests and regulates more waste as hazardous.
- DTSC uses the submitted generator and facility manifest copies for cradle-to-grave tracking of waste.
- California's definition of an "empty" container is more stringent. Non-empty containers must be manifested, including bulk containers, whether the waste is federal RCRA or non-RCRA.
- Facilities in other states are required to submit copies to DTSC when waste generated in California is received out of state. Out-of-state generators sending waste to California facilities, or that will be exported through California, are encouraged to submit manifest copies.

#### Where Do I Mail Manifests? Same P.O. Boxes - No Change

#### GENERATORS SEND TO:

**DTSC Generator Manifests**  
P.O. Box 400  
Sacramento, CA 95812-0400

#### TSDFs/DESIGNATED FACILITIES SEND TO:

**DTSC Facility Manifests**  
P.O. Box 3000  
Sacramento, CA 95812-3000

## Where Do I Find California Waste Codes?

### The new manifest has six blank boxes for waste codes for each waste stream.

If the waste is RCRA regulated, at least one box must include a RCRA waste code. For waste generated in or shipped to California, a CA state waste code is also required. The additional boxes are for other states' codes when the waste is sent out of state to a state with codes, or for extra RCRA codes. California Waste Codes are printed on the reverse side of these instructions only, not on the instructions printed on the manifest. They are also found in Title 22, California Code of Regulations, Appendix XII to Chapter 11 of Division 4.5.

## What are Hazardous Waste Report Management Method Codes (HWRMM Codes)?

Previously, California's manifest instructions required Designated Facilities to use one of 10 handling codes to report how the waste was handled at that facility. The new manifest uses 28 Management Method Codes. These are the same codes used in Biennial Reports. One of the HWRMM codes shown on the other side must be added on the manifest by the Facilities only. **Generators and transporters do not add these codes.**

## Contact Information:

First, visit the DTSC web page at [www.dtsc.ca.gov/IDManifest](http://www.dtsc.ca.gov/IDManifest) for training information and review the basic instructions printed on the manifest. This document includes Supplemental Instructions only for use in California. For more information, contact your transporter or facility, or call DTSC's Regulatory Assistance Officer at 800-72-TOXIC.



California Restricted Wastes – Use First, if applicable	
711	Liquids with cyanides $\geq 1000$ mg/l
721	Liquids with arsenic $\geq 500$ mg/l
722	Liquids with cadmium $\geq 100$ mg/l
723	Liquids with chromium (VI) $\geq 500$ mg/l
724	Liquids with lead $\geq 500$ mg/l
725	Liquids with mercury $\geq 20$ mg/l
726	Liquids with nickel $\geq 134$ mg/l
727	Liquids with selenium $\geq 100$ mg/l
728	Liquids with thallium $\geq 130$ mg/l
731	Liquids with polychlorinated biphenyls $\geq 50$ mg/l
741	Liquids with halogenated organic compounds $\geq 1000$ mg/l
751	Solids or sludge with halogenated organic comp. $\geq 1000$ mg/kg
791	Liquids with pH $\leq 2$
792	Liquids with pH $\leq 2$ with metals
801	Waste potentially containing dioxins
CALIFORNIA NON-RESTRICTED WASTES	
Inorganics	
121	Alkaline solution (pH $\geq 12.5$ ) with metals (antimony, arsenic, barium, beryllium, cadmium, chromium, cobalt, copper, lead, mercury, molybdenum, nickel, selenium, silver, thallium, vanadium, and zinc)
122	Alkaline solution without metals (pH $\geq 12.5$ )
123	Unspecified alkaline solution
131	Aqueous solution ( $2 < \text{pH} < 12.5$ ) containing reactive anions (azide, bromate, chlorate, cyanide, fluoride, hypochlorite, nitrite, perchlorate, and sulfide anions)
132	Aqueous solution w/metals ( $<$ restricted levels and see waste code 121 for a list of metals)
133	Aqueous solution with 10% or more total organic residues
134	Aqueous solution with $<10\%$ total organic residues
135	Unspecified aqueous solution
141	Off-specification, aged, or surplus inorganics
151	Asbestos-containing waste
161	Fluid-cracking catalyst (FCC) waste
162	Other spent catalyst
171	Metal sludge (see 121)
172	Metal dust (see 121) and machining waste
181	Other inorganic solid waste
Organics	
211	Halogenated solvents (chloroform, methyl chloride, perchloroethylene, etc.)
212	Oxygenated solvents (acetone, butanol, ethyl acetate, etc.)
213	Hydrocarbon solvents (benzene, hexane, Stoddard, etc.)
214	Unspecified solvent mixture
221	Waste oil and mixed oil
222	Oil/water separation sludge
223	Unspecified oil-containing waste
231	Pesticide rinse water
232	Pesticides and other waste associated with pesticide production
241	Tank bottom waste
251	Still bottoms with halogenated organics
252	Other still bottom waste
261	Polychlorinated biphenyls and material containing PCB's
271	Organic monomer waste (includes unreacted resins)
272	Polymeric resin waste
281	Adhesives
291	Latex waste
311	Pharmaceutical waste
321	Sewage sludge
322	Biological waste other than sewage sludge
331	Off-specification, aged, or surplus organics
341	Organic liquids (nonsolvents) with halogens
342	Organic liquids with metals (see 121)
343	Unspecified organic liquid mixture
351	Organic solids with halogens
352	Other organic solids

Sludge	
411	Alum and gypsum sludge
421	Lime sludge
431	Phosphate sludge
441	Sulfur sludge
451	Degreasing sludge
461	Paint sludge
471	Paper sludge/pulp
481	Tetraethyl lead sludge
491	Unspecified sludge waste
Miscellaneous	
511	Empty pesticide containers 30 gallons or more
512	Other empty containers 30 gallons or more
513	Empty containers less than 30 gallons
521	Drilling mud
531	Chemical toilet waste
541	Photochemicals / photo processing waste
551	Laboratory waste chemicals
561	Detergent and soap
571	Fly ash, bottom ash, and retort ash
581	Gas scrubber waste
591	Baghouse waste
611	Contaminated soil from site clean-ups
612	Household waste
613	Auto shredder waste
614	Treated wood waste (new in 2007)
HW REPORT MANAGEMENT METHOD CODES	
New Codes	Descriptions
H010	Metals recovery including retorting, smelting, chemicals, etc.
H020	Solvents recovery
H039	Other recovery or reclamation for reuse including acid regeneration, organics recovery, etc.
H050	Energy recovery at this site -- use as fuel (includes on-site fuel blending)
H061	Fuel blending prior to energy recovery at another site
H040	Incineration--thermal destruction other than use as a fuel
H071	Chemical reduction with or without precipitation
H073	Cyanide destruction with or without precipitation
H075	Chemical oxidation
H076	Wet air oxidation
H077	Other chemical precipitation with or without pre-treatment
H081	Biological treatment with or without precipitation
H082	Adsorption
H083	Air or steam stripping
H101	Sludge treatment and/or dewatering
H103	Absorption
H111	Stabilization or chemical fixation prior to disposal at another site
H112	Macro-encapsulation prior to disposal at another site
H121	Neutralization only
H122	Evaporation
H123	Settling or clarification
H124	Phase separation
H129	Other treatment
H131	Land treatment or application (to include on-site treatment and/or stabilization)
H132	Landfill or surface impoundment that will be closed as landfill (to include on-site treatment and/or stabilization)
H134	Deepwell or underground injection (with or without treatment)
H135	Discharge to sewer/POTW or NPDES (with prior storage--with or without treatment)
H141	Storage, bulking, and/or transfer off site--no treatment/recovery (H010-H129), fuel blending (H061), or disposal (H131-H135) at this site



STATE OF CALIFORNIA

STATE BOARD OF EQUALIZATION  
PROPERTY AND SPECIAL TAXES DEPARTMENT  
450 N STREET, SACRAMENTO, CALIFORNIA  
PO BOX 942879, SACRAMENTO, CALIFORNIA 94279-0088  
800-400-7115 (TTY:711)  
[www.boe.ca.gov](http://www.boe.ca.gov)

RECEIVED  
OCT 09 2013  
BY: .....

October 4, 2013

BETTY T. YEE  
First District, San Francisco

SEN. GEORGE RUNNER (Ret.)  
Second District, Lancaster

MICHELLE STEEL  
Third District, Orange County

JEROME E. HORTON  
Fourth District, Los Angeles

JOHN CHIANG  
State Controller

CYNTHIA BRIDGES  
Executive Director

CONTRA COSTA TRANSPORTATION AUTHORITY  
2999 OAK RD STE 100  
WALNUT CREEK CA 94597-2011

EPA No.: CAC002744255

STATE ROUTE 4, PM R28.6/T30.5, FROM  
ANTIOCH CA 94531

### INFORMATIONAL NOTICE

The Department of Toxic Substances Control (DTSC) has advised the State Board of Equalization (BOE) that you are a recent recipient of an EPA identification number. The BOE administers six hazardous waste fee programs in cooperation with the DTSC. As a holder of a state or federal EPA ID number you *may* also be required to register with the BOE to report your generator activities.

**If you do not generate or produce five (5) or more tons of hazardous waste per calendar year, you should disregard this notice.** It is not necessary for you to register as a generator with the BOE. For questions specific to the EPA number or site referenced above, contact DTSC at 800-618-6942.

**If the amount of hazardous waste generated or produced is equal to five (5) or more tons during a calendar year,** regardless of whether the waste is recycled, treated, or disposed of, you should contact the BOE to obtain a hazardous waste generator fee account number. Using a waste hauler or a hazardous waste contractor to remove your hazardous waste does not relieve you of the liability for the fees that result from the generation, recycling and/or disposal of your hazardous waste.

Additional information regarding the generator fee is available on our website in Regulation 3000, *Generator of Hazardous Waste*.

If you qualify as a generator based on the above criteria you may register for an account using BOE's eRegistration (eReg), available on our website at [www.boe.ca.gov](http://www.boe.ca.gov), or call us at the number listed below.

For more information, visit the BOE website at [www.boe.ca.gov](http://www.boe.ca.gov). You may also call the Taxpayer Information Section at 800-400-7115 (TTY:711); from the main menu, select the option Special Taxes and Fees. Customer service representatives are available weekdays from 8:00 a.m. to 5:00 p.m. (Pacific time), except state holidays.

STATE BOARD OF EQUALIZATION  
Special Taxes and Fees

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## HAZARDOUS WASTE GENERATOR FEE RETURN

u019008p

DUE ON OR BEFORE Feb 28, 2014 for Year - Jan through Dec 2013

4213

[ FOID ]

HG

STF

YOUR ACCOUNT NO.

36-064507

-

HG

Mail to:

BOARD OF EQUALIZATION  
SPECIAL TAXES AND FEES  
P.O. BOX 942879  
SACRAMENTO CA 94279-6009CONTRA COSTA TRANSPORTATION AUTHORITY  
ATTN: BRIAN KELLEHER  
2999 OAK RD STE 100  
WALNUT CREEK CA 94597-2011

## BOE USE ONLY

RA-B/A AUD REG

RR-QS FILE REF

EFF

RTS-HG  
HWCA  
9999READ INSTRUCTIONS  
BEFORE PREPARING

CAC002744255

ANTIOCH, STATE ROUTE 4, PM R28.6/

☐ Please check this box if sites below include Treated Wood Waste.

1. ☐ Please check this box if you no longer generate hazardous waste at this site. Enter the date of last generation: \_\_\_\_\_ . Your account will be closed as of the date entered. For consolidated accounts, use the enclosed Schedule G to indicate the date each site last generated waste if hazardous waste is no longer being generated at that site.

A CLASSIFICATION OF GENERATING SITES (Based on amounts of hazardous waste generated during the calendar year or portion thereof)	B NUMBER OF SITES (Do not list tonnage)	C AMOUNT OF FEES	D TOTAL FEES DUE (column B x C)
2. Generators which generate less than 5 tons	2.	0.00	
3. Generators which generate an amount equal to or more than 5 tons, but less than 25 tons	3.	209.00	
4. Generators which generate an amount equal to or more than 25 tons, but less than 50 tons	4.	1669.00	
5. Generators which generate an amount equal to or more than 50 tons, but less than 250 tons	5.	4173.00	
6. Generators which generate an amount equal to or more than 250 tons, but less than 500 tons	6.	20865.00	
7. Generators which generate an amount equal to or more than 500 tons, but less than 1,000 tons	7.	41730.00	
8. Generators which generate an amount equal to or more than 1,000 tons, but less than 2,000 tons	8.	62595.00	
9. Generators which generate an amount equal to or more than 2,000 tons	9.	83460.00	
10. Amount of fees (add lines 3 through 9 in column D)	10.	\$	
11. Less prepayment credit	11.	\$	
12. Total fee due (subtract line 11 from line 10)	12.	\$	
13. Penalty [multiply line 12 by 10% (0.10) if payment is made after the due date shown above]	PENALTY 13.	\$	
14. INTEREST: One month's interest is due on the total fee for each month or fraction of a month that payment is delayed after the due date. The adjusted monthly interest rate is .005 (6% divided by 12).	INTEREST 14.	\$	
15. TOTAL AMOUNT DUE AND PAYABLE (add lines 12, 13, and 14)	15.	\$	

I hereby certify that this return, including any accompanying schedules and statements, has been examined by me and to the best of my knowledge and belief is a true, correct, and complete return.

EMAIL ADDRESS

SIGNATURE

PRINT NAME AND TITLE

TELEPHONE

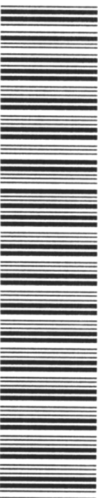
( )

DATE

Make check or money order payable to State Board of Equalization.

501HG 002

HG



## HAZARDOUS WASTE GENERATOR FEE RETURN INSTRUCTIONS

**Payments:** To make your payment online, go to our website at [www.boe.ca.gov](http://www.boe.ca.gov) and select the "Make a Payment" tab. You can also pay by credit card on our website, or by calling 1-855-292-8931. If paying by check or money order, be sure to include your account number.

### GENERAL

The Generator Fee is imposed on each site that generates (produces) hazardous waste of 5 tons or more in each calendar year. The fee is calculated for each site's generation of waste regardless of the waste's final disposition (for example, recycling or disposal).

### EXEMPTIONS FROM THE GENERATOR FEE

- 1) Used oil removed from motor vehicles that is recycled by a recycler permitted by the Department of Toxic Substances Control (DTSC). "Motor vehicle" includes locomotives, vessels, and self-propelled, off-road equipment, whether or not the equipment moves or is permitted to move on public highways.
- 2) Waste that is generated, recycled, and used onsite and not transferred offsite at any time.
- 3) Aqueous waste treated in a treatment unit operating, or which subsequently operates, under a permit by rule, conditional authorization, or conditional exemption. However, hazardous waste generated by the treatment unit is subject to the generator fee.

### FILING REQUIREMENTS

Under section 43152.7 of the Hazardous Substances Tax Law, every site that generates hazardous waste is required to file a return with a remittance payable to the State Board of Equalization. Under section 43155 of the Hazardous Substances Tax Law, late payment will result in a 10 percent (0.10) penalty and interest at an adjusted annual rate established under section 6591.5 of the Revenue and Taxation Code.

Fee returns and payments that are mailed must be postmarked on or before the due date shown on the return. If the due date falls on a Saturday, Sunday, or legal holiday, returns postmarked on the next business day are considered timely. Facility operators who pay the Facility Fee are not subject to the Generator Fee for the facility site.

### FILING INSTRUCTIONS

Please select the appropriate fee category in column A on the front of the return for each site where hazardous waste was generated in this state. Be sure to include non-manifested **Treated Wood Waste** in the total tonnage. Multiply the number of generating sites in column B by the amount of fees in column C and enter the amount of fees due in column D.

If you are reporting for more than one site, please use the enclosed Schedule G or provide the site address, EPA number, and appropriate fee category for each site on an attachment.

### UNIFORM HAZARDOUS WASTE MANIFEST

To calculate the tonnages, obtain the information from your copy of the Uniform Hazardous Waste Manifest. Total quantity and weight are indicated in boxes 11 and 12 of the manifest.

To convert a unit of measurement to tons, take the appropriate factor from below and multiply by your total quantity.

<b>G = Gallon</b>	<b>0.00417 (Water)</b>	<b>T = Ton</b>	<b>1.0 (2,000 lbs.)</b>
<b>P = Pound</b>	<b>0.0005 (Pounds)</b>	<b>Y = Yard</b>	<b>1.35 (Soil)</b>

**Note:** The conversion above provides a general guideline. Due to the characteristics of your waste, the tonnage may be calculated with weight tickets.


### PREPAYMENT CREDIT (LINE 11)

Some accounts were required to file a prepayment by August 31. If you paid a prepayment, enter on line 11 the amount of fee paid. If delinquency charges were paid, **do not** include those amounts in the credit. If, after claiming the prepayment, the total amount due and payable on line 15 is a credit, include a letter with your return requesting the amount be refunded to you.

If you need additional information, please contact the State Board of Equalization, Special Taxes and Fees, P.O. Box 942879, Sacramento, CA 94279-0088. You may also visit the BOE website at [www.boe.ca.gov](http://www.boe.ca.gov) or call the Customer Service Center at 1-800-400-7115 (TTY:711); from the main menu, select the option Special Taxes and Fees.



OMB# 2050-0024; Expires \_\_\_\_\_

<b>SEND COMPLETED FORM TO:</b> The Appropriate State or Regional Office.	<b>United States Environmental Protection Agency RCRA SUBTITLE C SITE IDENTIFICATION FORM</b>		
<b>1. Reason for Submittal</b>  MARK ALL BOX(ES) THAT APPLY	<b>Reason for Submittal:</b> <input checked="" type="checkbox"/> To provide an Initial Notification (first time submitting site identification information / to obtain an EPA ID number for this location) <input type="checkbox"/> To provide a Subsequent Notification (to update site identification information for this location) <input type="checkbox"/> As a component of a First RCRA Hazardous Waste Part A Permit Application <input type="checkbox"/> As a component of a Revised RCRA Hazardous Waste Part A Permit Application (Amendment # _____) <input type="checkbox"/> As a component of the Hazardous Waste Report (If marked, see sub-bullet below) <input type="checkbox"/> Site was a TSD facility and/or generator of $\geq 1,000$ kg of hazardous waste, $>1$ kg of acute hazardous waste, or $>100$ kg of acute hazardous waste spill cleanup in <u>one or more months</u> of the report year (or State equivalent LQG regulations)		
<b>2. Site EPA ID Number</b>	<b>EPA ID Number</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
<b>3. Site Name</b>	<b>Name:</b> State Route 4, PM R28.6/T30.5, from 0.32 mile east west to 1.53 miles east of Hillcrest Ave. Overcrossing		
<b>4. Site Location Information</b>	<b>Street Address:</b> Construction Office, S&C Engineers, 2729 Hillcrest Avenue		
	<b>City, Town, or Village:</b> Antioch		<b>County:</b> Contra Costa County
	<b>State:</b> CA	<b>Country:</b> USA	<b>Zip Code:</b> 94531
<b>5. Site Land Type</b>	<input type="checkbox"/> Private <input type="checkbox"/> County <input type="checkbox"/> District <input type="checkbox"/> Federal <input type="checkbox"/> Tribal <input type="checkbox"/> Municipal <input checked="" type="checkbox"/> State <input type="checkbox"/> Other		
<b>6. NAICS Code(s) for the Site (at least 5-digit codes)</b>	<b>A.</b> <input type="text"/> 4 <input type="text"/> 8 <input type="text"/> 5 <input type="text"/> 1 <input type="text"/> 1		<b>C.</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	<b>B.</b> <input type="text"/> 4 <input type="text"/> 8 <input type="text"/> 8 <input type="text"/> 9 <input type="text"/> 9		<b>D.</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<b>7. Site Mailing Address</b>	<b>Street or P.O. Box:</b> Same as item 4.		
	<b>City, Town, or Village:</b>		
	<b>State:</b>	<b>Country:</b>	<b>Zip Code:</b>
<b>8. Site Contact Person</b>	<b>First Name:</b> Mike		<b>MI:</b>
	<b>Last:</b> Chan		
	<b>Title:</b> Resident Engineer		
	<b>Street or P.O. Box:</b> 2729 Hillcrest Avenue		
	<b>City, Town or Village:</b> Antioch		
	<b>State:</b> CA	<b>Country:</b> USA	<b>Zip Code:</b> 94531
	<b>Email:</b> mike_chan@scengineers.com		
<b>9. Legal Owner and Operator of the Site</b>	<b>A. Name of Site's Legal Owner:</b> California Department of Transportation (Caltrans)		<b>Date Became Owner:</b> 1949
	<b>Owner Type:</b> <input type="checkbox"/> Private <input type="checkbox"/> County <input type="checkbox"/> District <input type="checkbox"/> Federal <input type="checkbox"/> Tribal <input type="checkbox"/> Municipal <input checked="" type="checkbox"/> State <input type="checkbox"/> Other		
	<b>Street or P.O. Box:</b> 111 Grand Avenue		
	<b>City, Town, or Village:</b> Oakland		<b>Phone:</b> 510.622.8750
	<b>State:</b> CA	<b>Country:</b> USA	<b>Zip Code:</b> 94597
	<b>B. Name of Site's Operator:</b> Contra Costa Transportation Authority		<b>Date Became Operator:</b> 2011
	<b>Operator Type:</b> <input type="checkbox"/> Private <input type="checkbox"/> County <input type="checkbox"/> District <input type="checkbox"/> Federal <input type="checkbox"/> Tribal <input type="checkbox"/> Municipal <input type="checkbox"/> State <input checked="" type="checkbox"/> Other		

EPA ID Number OMB#: 2050-0024; Expires **10. Type of Regulated Waste Activity (at your site)**Mark "Yes" or "No" for all current activities (as of the date submitting the form); complete any additional boxes as instructed.**A. Hazardous Waste Activities; Complete all parts 1-10.**Y ☒ N ☐**1. Generator of Hazardous Waste**

If "Yes", mark only one of the following – a, b, or c.

- ☐ a. LQG: Generates, in any calendar month, 1,000 kg/mo (2,200 lbs./mo.) or more of hazardous waste; or Generates, in any calendar month, or accumulates at any time, more than 1 kg/mo (2.2 lbs./mo) of acute hazardous waste; or Generates, in any calendar month, or accumulates at any time, more than 100 kg/mo (220 lbs./mo) of acute hazardous spill cleanup material.

- ☒ b. SQG: 100 to 1,000 kg/mo (220 – 2,200 lbs./mo) of non-acute hazardous waste.

- ☐ c. CESQG: Less than 100 kg/mo (220 lbs./mo) of non-acute hazardous waste.

If "Yes" above, indicate other generator activities in 2-4.

Y ☒ N ☐

- 2. Short-Term Generator** (generate from a short-term or one-time event and not from on-going processes). If "Yes", provide an explanation in the Comments section.

Y ☐ N ☒

- 3. United States Importer of Hazardous Waste**

Y ☐ N ☒

- 4. Mixed Waste (hazardous and radioactive) Generator**

Y ☒ N ☐**5. Transporter of Hazardous Waste**

If "Yes", mark all that apply.

- ☒ a. Transporter  
☐ b. Transfer Facility (at your site)

Y ☐ N ☒

- 6. Treater, Storer, or Disposer of Hazardous Waste** Note: A hazardous waste Part B permit is required for these activities.

Y ☐ N ☒**7. Recycler of Hazardous Waste**Y ☐ N ☒

- 8. Exempt Boiler and/or Industrial Furnace** If "Yes", mark all that apply.

- ☐ a. Small Quantity On-site Burner Exemption  
☐ b. Smelting, Melting, and Refining Furnace Exemption

Y ☐ N ☒**9. Underground Injection Control**Y ☐ N ☒

- 10. Receives Hazardous Waste from Off-site**

**B. Universal Waste Activities; Complete all parts 1-2.**Y ☒ N ☐

- 1. Large Quantity Handler of Universal Waste** (you accumulate 5,000 kg or more) [refer to your State regulations to determine what is regulated]. Indicate types of universal waste managed at your site. If "Yes", mark all that apply.

- a. Batteries ☐  
b. Pesticides ☐  
c. Mercury containing equipment ☐  
d. Lamps ☐  
e. Other (specify) MBGR POSTS ☒  
f. Other (specify) \_\_\_\_\_ ☐  
g. Other (specify) \_\_\_\_\_ ☐

Y ☐ N ☒**2. Destination Facility for Universal Waste**

Note: A hazardous waste permit may be required for this activity.

**C. Used Oil Activities; Complete all parts 1-4.**Y ☐ N ☒

- 1. Used Oil Transporter** If "Yes", mark all that apply.

- ☐ a. Transporter  
☐ b. Transfer Facility (at your site)

Y ☐ N ☒

- 2. Used Oil Processor and/or Re-refiner** If "Yes", mark all that apply.

- ☐ a. Processor  
☐ b. Re-refiner

Y ☐ N ☒**3. Off-Specification Used Oil Burner**Y ☐ N ☒


- 4. Used Oil Fuel Marketer** If "Yes", mark all that apply.

- ☐ a. Marketer Who Directs Shipment of Off-Specification Used Oil to Off-Specification Used Oil Burner  
☐ b. Marketer Who First Claims the Used Oil Meets the Specifications





OMB# 2050-0024; Expires \_\_\_\_\_

<b>SEND COMPLETED FORM TO:</b> The Appropriate State or Regional Office.	<b>United States Environmental Protection Agency RCRA SUBTITLE C SITE IDENTIFICATION FORM</b>																		
<b>1. Reason for Submittal</b>  MARK ALL BOX(ES) THAT APPLY	<b>Reason for Submittal:</b> <input checked="" type="checkbox"/> To provide an Initial Notification (first time submitting site identification information / to obtain an EPA ID number for this location) <input type="checkbox"/> To provide a Subsequent Notification (to update site identification information for this location) <input type="checkbox"/> As a component of a First RCRA Hazardous Waste Part A Permit Application <input type="checkbox"/> As a component of a Revised RCRA Hazardous Waste Part A Permit Application (Amendment # _____) <input type="checkbox"/> As a component of the Hazardous Waste Report (If marked, see sub-bullet below) <input type="checkbox"/> Site was a TSD facility and/or generator of $\geq 1,000$ kg of hazardous waste, $>1$ kg of acute hazardous waste, or $>100$ kg of acute hazardous waste spill cleanup in one or more months of the report year (or State equivalent LQG regulations)																		
<b>2. Site EPA ID Number</b>	EPA ID Number <table border="1" style="display: inline-table;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																		
<b>3. Site Name</b>	Name: State Route 4, PM R28.6/T30.5, from 0.32 mile east west to 1.53 miles east of Hillcrest Ave. Overcrossing																		
<b>4. Site Location Information</b>	Street Address: Construction Office, S&C Engineers, 2729 Hillcrest Avenue																		
	City, Town, or Village: Antioch		County: Contra Costa County																
	State: CA	Country: USA	Zip Code: 94531																
<b>5. Site Land Type</b>  NAICS Code(s) for the Site (at least 5-digit codes)	<input type="checkbox"/> Private <input type="checkbox"/> County <input type="checkbox"/> District <input type="checkbox"/> Federal <input type="checkbox"/> Tribal <input type="checkbox"/> Municipal <input checked="" type="checkbox"/> State <input type="checkbox"/> Other																		
	A. <table border="1" style="display: inline-table;"><tr><td>4</td><td>8</td><td>5</td><td>1</td><td>1</td></tr></table>		4	8	5	1	1	C. <table border="1" style="display: inline-table;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>											
	4	8	5	1	1														
B. <table border="1" style="display: inline-table;"><tr><td>4</td><td>8</td><td>8</td><td>9</td><td>9</td></tr></table>	4	8	8	9	9	D. <table border="1" style="display: inline-table;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>													
4	8	8	9	9															
<b>7. Site Mailing Address</b>	Street or P.O. Box: Same as item 4.																		
	City, Town, or Village:																		
	State:	Country:	Zip Code:																
<b>8. Site Contact Person</b>	First Name: Mike      MI:      Last: Chan																		
	Title: Resident Engineer																		
	Street or P.O. Box: 2729 Hillcrest Avenue																		
	City, Town or Village: Antioch																		
	State: CA	Country: USA	Zip Code: 94531																
	Email: mike_chan@scengineers.com																		
	Phone: 510.774.6119	Ext.:	Fax: 510.272.2972																
<b>9. Legal Owner and Operator of the Site</b>	A. Name of Site's Legal Owner: California Department of Transportation (Caltrans)		Date Became Owner: 1949																
	Owner Type: <input type="checkbox"/> Private <input type="checkbox"/> County <input type="checkbox"/> District <input type="checkbox"/> Federal <input type="checkbox"/> Tribal <input type="checkbox"/> Municipal <input checked="" type="checkbox"/> State <input type="checkbox"/> Other																		
	Street or P.O. Box: 111 Grand Avenue																		
	City, Town, or Village: Oakland		Phone: 510.622.8750																
	State: CA	Country: USA	Zip Code: 94597																
	B. Name of Site's Operator: Contra Costa Transportation Authority		Date Became Operator: 2011																
	Operator Type: <input type="checkbox"/> Private <input type="checkbox"/> County <input type="checkbox"/> District <input type="checkbox"/> Federal <input type="checkbox"/> Tribal <input type="checkbox"/> Municipal <input type="checkbox"/> State <input checked="" type="checkbox"/> Other																		

EPA ID Number OMB#: 2050-0024; Expires **Eligible Academic Entities with Laboratories—Notification for opting into or withdrawing from managing laboratory hazardous wastes pursuant to 40 CFR Part 262 Subpart K**❖ You can **ONLY** Opt into Subpart K if:

- you are at least one of the following: a college or university; a teaching hospital that is owned by or has a formal affiliation agreement with a college or university; or a non-profit research institute that is owned by or has a formal affiliation agreement with a college or university; AND
- you have checked with your State to determine if 40 CFR Part 262 Subpart K is effective in your state

Y ☐ N ☒ 1. Opting into or currently operating under 40 CFR Part 262 Subpart K for the management of hazardous wastes in laboratories  
See the item-by-item instructions for definitions of types of eligible academic entities. Mark all that apply:

- ☐ a. College or University
- ☐ b. Teaching Hospital that is owned by or has a formal written affiliation agreement with a college or university
- ☐ c. Non-profit Institute that is owned by or has a formal written affiliation agreement with a college or university

Y ☐ N ☒ 2. Withdrawing from 40 CFR Part 262 Subpart K for the management of hazardous wastes in laboratories**11. Description of Hazardous Waste****A. Waste Codes for Federally Regulated Hazardous Wastes.** Please list the waste codes of the Federal hazardous wastes handled at your site. List them in the order they are presented in the regulations (e.g., D001, D003, F007, U112). Use an additional page if more spaces are needed.

U051	U144					

**B. Waste Codes for State-Regulated (i.e., non-Federal) Hazardous Wastes.** Please list the waste codes of the State-Regulated hazardous wastes handled at your site. List them in the order they are presented in the regulations. Use an additional page if more spaces are needed.

LEAD						

EPA ID Number OMB#: 2050-0024; Expires **10. Type of Regulated Waste Activity (at your site)**Mark "Yes" or "No" for all current activities (as of the date submitting the form); complete any additional boxes as instructed.**A. Hazardous Waste Activities; Complete all parts 1-10.**

- Y ☒ N ☐ **1. Generator of Hazardous Waste**  
If "Yes", mark only one of the following – a, b, or c.
- ☐ a. LQG: Generates, in any calendar month, 1,000 kg/mo (2,200 lbs./mo.) or more of hazardous waste; or Generates, in any calendar month, or accumulates at any time, more than 1 kg/mo (2.2 lbs./mo) of acute hazardous waste; or Generates, in any calendar month, or accumulates at any time, more than 100 kg/mo (220 lbs./mo) of acute hazardous spill cleanup material.
- ☒ b. SQG: 100 to 1,000 kg/mo (220 – 2,200 lbs./mo) of non-acute hazardous waste.
- ☐ c. CESQG: Less than 100 kg/mo (220 lbs./mo) of non-acute hazardous waste.

If "Yes" above, indicate other generator activities in 2-4.

- Y ☒ N ☒ **2. Short-Term Generator** (generate from a short-term or one-time event and not from on-going processes). If "Yes", provide an explanation in the Comments section.

- Y ☐ N ☒ **3. United States Importer of Hazardous Waste**
- Y ☐ N ☒ **4. Mixed Waste (hazardous and radioactive) Generator**

- Y ☒ N ☐ **5. Transporter of Hazardous Waste**  
If "Yes", mark all that apply.

- ☒ a. Transporter
- ☐ b. Transfer Facility (at your site)

- Y ☐ N ☒ **6. Treater, Storer, or Disposer of Hazardous Waste** Note: A hazardous waste Part B permit is required for these activities.

- Y ☐ N ☒ **7. Recycler of Hazardous Waste**

- Y ☐ N ☒ **8. Exempt Boiler and/or Industrial Furnace**  
If "Yes", mark all that apply.

- ☐ a. Small Quantity On-site Burner Exemption
- ☐ b. Smelting, Melting, and Refining Furnace Exemption

- Y ☐ N ☒ **9. Underground Injection Control**

- Y ☐ N ☒ **10. Receives Hazardous Waste from Off-site**

**B. Universal Waste Activities; Complete all parts 1-2.**

- Y ☒ N ☐ **1. Large Quantity Handler of Universal Waste** (you accumulate 5,000 kg or more) [refer to your State regulations to determine what is regulated]. Indicate types of universal waste managed at your site. If "Yes", mark all that apply.

- a. Batteries ☐
- b. Pesticides ☐
- c. Mercury containing equipment ☐
- d. Lamps ☐
- e. Other (specify) MBGR POSTS ☒
- f. Other (specify)                      ☐
- g. Other (specify)                      ☐

- Y ☐ N ☒ **2. Destination Facility for Universal Waste**  
Note: A hazardous waste permit may be required for this activity.

**C. Used Oil Activities; Complete all parts 1-4.**

- Y ☐ N ☒ **1. Used Oil Transporter**  
If "Yes", mark all that apply.

- ☐ a. Transporter
- ☐ b. Transfer Facility (at your site)

- Y ☐ N ☒ **2. Used Oil Processor and/or Re-refiner**  
If "Yes", mark all that apply.

- ☐ a. Processor
- ☐ b. Re-refiner

- Y ☐ N ☒ **3. Off-Specification Used Oil Burner**

- Y ☐ N ☒ **4. Used Oil Fuel Marketer**  
If "Yes", mark all that apply.

- ☐ a. Marketer Who Directs Shipment of Off-Specification Used Oil to Off-Specification Used Oil Burner
- ☐ b. Marketer Who First Claims the Used Oil Meets the Specifications

EPA ID Number

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

OMB#: 2050-0024; Expires \_\_\_\_\_

**12. Notification of Hazardous Secondary Material (HSM) Activity**

Y ☐ N ☒ Are you notifying under 40 CFR 260.42 that you will begin managing, are managing, or will stop managing hazardous secondary material under 40 CFR 261.2(a)(2)(ii), 40 CFR 261.4(a)(23), (24), or (25)?

If "Yes", you must fill out the Addendum to the Site Identification Form: Notification for Managing Hazardous Secondary Material.

**13. Comments**

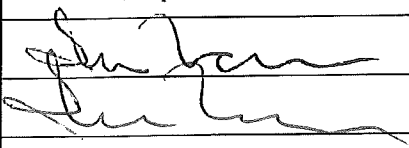

#8: Keith Rhodes; TYLin International (Engineer of Record); 3301 C Street, Bldg 100M, Sacramento, CA 95816; (916) 366-6331 o; (916) 366-6536 f

Jill Pollock; Caltrans District 4 (Environmental); 111 Grand Avenue, Oakland, CA 94623; 510-622-8750 o; 510-286-4563 f

Ivan Ramirez; CCTA (Project Manager); 2999 Oak Road, Suite 100, Walnut Creek, CA 94597; 415-694-3945

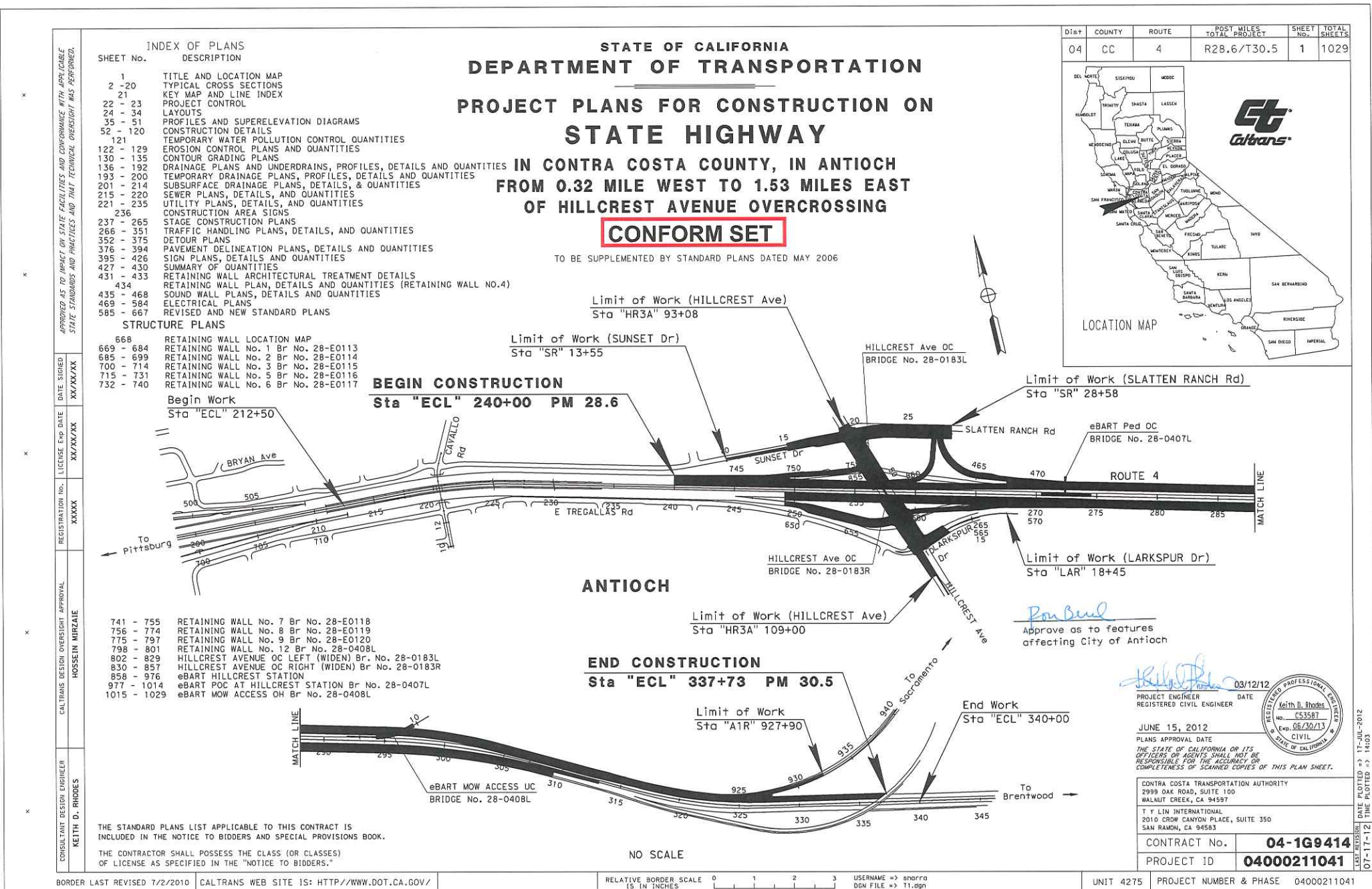
#10: Approximately 15 tons of existing metal beam guard railing posts treated with creosote will be removed from the project site as part of the SR4 Widening Segment 3B construction contract.

**14. Certification.** I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fines and imprisonment for knowing violations. For the RCRA Hazardous Waste Part A Permit Application, all owner(s) and operator(s) must sign (see 40 CFR 270.10(b) and 270.11).

Signature of legal owner, operator, or an authorized representative	Name and Official Title (type or print)	Date Signed (mm/dd/yyyy)
	Ivan Ramirez CCTA, Construction Project Manager	7/24/2013
	" "	5/19/2014



# APPENDIX 3.46 USEPA RCRA APPLICATION - PROJECT LIMITS SAMPLE



DATE SIGNED: XX/XX/XX

LICENSE Exp DATE: XX/XX/XX

REGISTRATION No.: XXXXX

CALTRANS DESIGN OVERSIGHT APPROVAL: HOSSEIN MIRZAEI

CONSULTANT DESIGN ENGINEER: KEITH D. RHODES

THE STANDARD PLANS LIST APPLICABLE TO THIS CONTRACT IS INCLUDED IN THE NOTICE TO BIDDERS AND SPECIAL PROVISIONS BOOK.

THE CONTRACTOR SHALL POSSESS THE CLASS (OR CLASSES) OF LICENSE AS SPECIFIED IN THE "NOTICE TO BIDDERS."

BORDER LAST REVISED 7/2/2010

CALTRANS WEB SITE IS: [HTTP://WWW.DOT.CA.GOV/](http://www.dot.ca.gov/)

RELATIVE BORDER SCALE 15 IN INCHES

USERNAME => snarra

DDN FILE => 11.dgn

UNIT 4275

PROJECT NUMBER & PHASE 04000211041



APPENDIX 3.46 USEPA RCRA APPLICATION - PROJECT LIMITS SAMPLE





## APPENDIX 3.50 ELECTRONIC CERTIFIED PAYROLL EXAMPLES



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Select the ID number below to see more information about the project.

## SEARCH RESULTS

Click the ID number to see more information about the project.

ID	Awarding Body	Project Name	Contractor	Sub Contractor	Site Address
<a href="#">04-2G5104</a>	Contra Costa Transportation Authority	SR4/SR160 Ramp Connectors  Amount: \$31797904.44	<b>Name:</b> R G W CONSTRUCTION INC <b>CSLB/Certificate Number:</b> 591940	<b>Name:</b> - <b>CSLB/Certificate Number:</b> -	1781 Vineyard Drive Suite 204 Antioch, CA 94509
<a href="#">5002</a>	Contra Costa Transportation Authority	State Route 4 Bypass Sand Creek Rd Interchange and 4-Lane Widening Lane Tree Way to Sand Creek  Amount: \$23500000.00	<b>Name:</b> BAY CITIES / MYERS JV <b>CSLB/Certificate Number:</b> 940169	<b>Name:</b> MYERS C On New State C INC <b>CSLB/Certificate Number:</b> 331359 <b>Name:</b> BAY CITIES PAVING & GRADING INC <b>CSLB/Certificate Number:</b> 238650	Route 4 (previously known SR 4 Bypass) from Lone Tree Way to Sand Creek Road
<a href="#">3001</a>	Contra Costa Transportation Authority	State Route 4 Widening Somersville Road to SR 160 Segment 3B Hillcrest Avenue Interchange  Amount: \$48660743.77	<b>Name:</b> BAY CITIES / MYERS JV <b>CSLB/Certificate Number:</b> 940169	<b>Name:</b> BAY CITIES PAVING & GRADING INC <b>CSLB/Certificate Number:</b> 238650 <b>Name:</b> MYERS C C INC <b>CSLB/Certificate Number:</b> 331359	Intersection of State Route 4 and Hillcrest Avenue in Antioch.

APPENDIX 3.50 ELECTRONIC CERTIFIED PAYROLL EXAMPLES

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## APPENDIX 3.50 ELECTRONIC CERTIFIED PAYROLL EXAMPLES

[CA.gov](#) | [Contact Us](#) | [DLSE](#)**Division of Apprenticeship Standard / Division of Labor Standards Enforcer**[DIR](#) [Labor Law](#) [Cal/OSHA](#) [Workers' Comp](#) [Apprenticeship](#) [Statistics & Research](#) [Mediation](#) [Boards](#) [Media](#)[Home](#) | [Search PWC-100](#) | [Record](#)**Project #:** 3001**Contract #:** 351**Project Award Date:** 11/15/2012**AWARDING BODY INFORMATION**

<b>Name:</b>	Contra Costa Transportation Authority	<b>Primary Contact:</b>	Amin AbuAmara
<b>Address:</b>	2999 Oak Road Suite 100 Walnut Creek, CA 94597	<b>Primary Email:</b>	aabuamara@ccta.net
		<b>Work Phone:</b>	9252564740

**PROJECT INFORMATION**

<b>Project Name:</b> State Route 4 Widening Somerville Road to SR 160 Segment 3B Hillcrest Avenue Interchange	<b>Brief Description:</b> State Route 4 Widening, Hillcrest Ave Interchange reconstruction and Hillcrest Ave bridge widening and eBART facilities	
<b>Contract Amount:</b> \$48660743.77	<b>Total Project Cost:</b> \$48660743.77	<b>Alternative Model:</b> None Apply

**Physical Address / Location**

<b>Description of Location:</b>	<b>County:</b>
Intersection of State Route 4 and Hillcrest Avenue in Antioch.	CONTRA COSTA

[State Statutes](#)

## APPENDIX 3.50 ELECTRONIC CERTIFIED PAYROLL EXAMPLES

None of these statutes apply

State Bond Source	Estimated Bond Amount
Proposition 1B [2006] Transportation	\$5868000.00

**General Contractor 1**

CSLB/Certificate Number	NAME	Address	Email	Classification
238650	BAY CITIES PAVING & GRADING INC	P O BOX 6227 CONCORD, CA 94524	jcavanagh@ccmyersinc.com	LABORER
331359	MYERS C C INC	3286 FITZGERALD ROAD RANCHO CORDOVA, CA 95742	jcavanagh@ccmyersinc.com	LABORER
940169	BAY CITIES / MYERS JV	3286 FITZGERALD ROAD RANCHO CORDOVA, CA 95742	jcavanagh@ccmyersinc.com	LABORER

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## APPENDIX 4      SAMPLE FEDERAL AID FORMS

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<a href="#"><u>4.1 - 15-A</u></a>	<a href="#"><u>Local Agency Construction Contract Administration Checklist</u></a>
<a href="#"><u>4.2 - 15-B</u></a>	<a href="#"><u>Resident Engineer's Construction Contract Administration Checklist</u></a>
<a href="#"><u>4.3 - 15-C</u></a>	<a href="#"><u>Local Agency Project Advertising Checklist</u></a>
<a href="#"><u>4.4 - 15-G</u></a>	<a href="#"><u>Local Agency Bidder DBE Commitment</u></a>
<a href="#"><u>4.5 - 15-H</u></a>	<a href="#"><u>DBE Information – Good Faith Efforts</u></a>
<a href="#"><u>4.6 - 15-I</u></a>	<a href="#"><u>Local Agency Bid Opening Checklist</u></a>
<a href="#"><u>4.7 - 15-L</u></a>	<a href="#"><u>Local Agency Contract Award Checklist</u></a>
<a href="#"><u>4.8 - 15-M</u></a>	<a href="#"><u>Detail Estimate</u></a>
<a href="#"><u>4.9 - 17-A</u></a>	<a href="#"><u>Cover Letter and Federal Report of Expenditures Checklist</u></a>
<a href="#"><u>4.10 - 17-B</u></a>	<a href="#"><u>Final Inspection of Federal Aid Project</u></a>
<a href="#"><u>4.11 - 17-C</u></a>	<a href="#"><u>Final Inspection Form</u></a>
<a href="#"><u>4.12 - 17-E</u></a>	<a href="#"><u>Sample Change Order Summary</u></a>
<a href="#"><u>4.13 - 17-F</u></a>	<a href="#"><u>Final Report – Utilization of DBE First Tier Subcontractors</u></a>
<a href="#"><u>4.14 - 17-G</u></a>	<a href="#"><u>Materials Certificate</u></a>
<a href="#"><u>4.15 - 17-O</u></a>	<a href="#"><u>DBE Certification Status Change</u></a>

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**EXHIBIT 15-A LOCAL AGENCY CONSTRUCTION CONTRACT ADMINISTRATION CHECKLIST****Local Agency** \_\_\_\_\_**I. ADVERTISE AND AWARD PROJECT****A. Project Advertisement**

- ☐ Projects are not advertised until the Authorization to Proceed (E-76) for the construction phase has been approved by Caltrans FHWA.
- ☐ For all Federal-aid projects, a minimum of three weeks for project advertisement is required (15.4 "Project Advertisement").

**B. Contract Bid Opening**

- ☐ All bids are opened publicly and read aloud either item-by-item, or by total amount. If a bid is not read, the bidder is to be identified and the reason for not reading the bid announced (15.5 "Contract Bid Opening")

The following documents will be completed and retained in the project files.

- ☐ For federal-aid projects, a list of bidders and total amount bid with an item-by-item breakdown (Exhibit 15-D, "Sample Bid Tabulation Summary Sheet") of the three lowest bidders.
- ☐ Bidders' list to be compiled from prime and subcontractors bidding or quoting on contract.
- ☐ If a DBE goal is specified, the original of the Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G).
- ☐ EEO Certification (Exhibit 12-E, Attachment C), The Noncollusion Affidavit (Exhibit 12-E, Attachment D), Non-Lobbying Certification (Exhibit 12-E, Attachment F), Disclosure of Lobbying Activities (Exhibit 12-E, Attachment G)
- ☐ Local Agency Bid Opening Checklist (Exhibit 15-I)

**C. Contract Award**

- ☐ Contracts are awarded on the basis of the lowest responsive bid from a responsible bidder (15.6 "Contract Award").
- ☐ For all NHS projects, a bid analysis will be performed (15.6 "Contract Award").
- ☐ No negotiations with contractor occurred prior to award (not allowed).

**EXHIBIT 15-A****Local Assistance Procedures Manual****Local Agency Construction Contract Administration Checklist**

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The following documents will be forwarded to the Caltrans District Local Assistance Engineer immediately after award of the contract:

- ☐ Contract Award Checklist (Exhibit 15-L)
- ☐ Detail Estimate (Exhibit 15-M)
- ☐ One copy of the Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G)
- ☐ Finance Letter
- ☐ RE's Checklist

**D. Subcontracting**

- ☐ For all federal-aid transportation projects, at least 30% of the contract work is to be performed by the prime contractor (see Chapter 16, Section 16.6 "Subcontractors")

\_\_\_\_\_  
Local agency's person in "Responsible Charge"

\_\_\_\_\_  
(date)

**Distribution:** (1) Original Local Agency Project File  
(2) One copy - DLAE

**EXHIBIT 15-B RESIDENT ENGINEER'S CONSTRUCTION CONTRACT ADMINISTRATION CHECKLIST**

This form is to be completed and signed by the local agency's Resident Engineer and submitted with Local Agency's Award Package

This form was created to help local agency Resident Engineers with the administration of the federal-aid projects. This list does not contain all the federal-aid requirements for administration of federal-aid projects. Resident Engineers are advised to review the *Local Assistance Procedures Manual* to be familiar with all the federal-aid requirements.

This form shall be used as reference if the local agency's federal-aid project is subject to a Process Review.

**Local Agency Name:** \_\_\_\_\_

**Federal-aid Project No.:** \_\_\_\_\_

**1. Contract Staffing:**

☐ Names and titles of all staff assigned to the contract shall be in the contract files and shall be adequate (see Chapter 16, Section 16.3 "Project Supervision and Inspection").

☐ Date of Pre-construction Conference: (Attendees list in contract file) \_\_\_\_\_

**2. Authorization:**

☐ Date of the "Authorization to Proceed with Construction": \_\_\_\_\_  
(Shall be prior to date project was advertised)

☐ Date the project was advertised: \_\_\_\_\_

**3. Contract Files:**

☐ Files shall be in an established order and separate from other contracts (see Chapter 16, Section 16.8 "Project Files").

Check one of the following:

Index used on this project is ☐ Local agency's standard for all jobs,  
☐ or for federal-aid jobs only

**4. Resident Engineer's/Construction Inspectors Daily Diaries:**

☐ Shall be current thorough and neat with detailed information on all work performed (see Chapter 16, Section 16.7 "Engineer's Daily Reports").

**EXHIBIT 15-B****Local Assistance Procedures Manual****Resident Engineer's Construction Contract Administration Checklist**

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**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 shall be source documents supporting progress payments made to Contractor.
- ☐ There shall be separate item sheets for each contract item paid.
- ☐ There shall be a procedure for Administrative or Labor Compliance deductions.
- ☐ Invoices to the State shall match progress payments made to the Contractor.

**6. Contract Time:**

- ☐ A method shall be established to determine contract time (see Chapter 16, Section 16.5 "Contract Time").

**7. Labor Compliance:**

- ☐ Certified payrolls shall be spot-checked against daily diaries and prevailing wages (see Chapter 16, Section 16.11 "Labor Compliance").  
Local agency's Labor Compliance Officer: \_\_\_\_\_

**8. EEO:**

- ☐ Maintain records to ensure EEO requirements are performed and documented in contract record (see Chapter 16, Section 16.12 "Equal Employment Opportunity").
- ☐ Local agency's EEO Compliance Officer: \_\_\_\_\_

**9. EEO/Wage Rate/False Statements Posters:**

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

**10. Employee Interviews:**

- ☐ There shall be employee interviews conducted (see Chapter 16, Exhibit 16-N).

**11. OJT: (Refer to Chapter 12, "Federal Trainee Program" under Section 12.8, of the LAPM)**

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

If Yes, proceed to Item #12. If No, answer the questions below:

What is the total dollar amount of all required Federal Trainee Program work categories? \_\_\_\_\_

What is the required number of trainees for this contract? \_\_\_\_\_

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

**12. DBE:**

- ☐ DBE Contract Goal Percentage: \_\_\_\_\_
- ☐ Local Agency's DBE Liaison Officer: \_\_\_\_\_
- ☐ Verified that a copy of the complete Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G) have been submitted to the DLAE within 30 days of contract award
- ☐ The original completed Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G) is in the project files.
- ☐ Contractor has been provided "Monthly DBE Trucking Verification" Form (see Chapter 16, Exhibit 16-Z, of the LAPM)

**13. CCOs/CLAIMS:**

- ☐ A CCO approval process shall be established. For NHS projects major change orders will be approved by DLAE prior to performance of work (see Chapter 16, Section 16.13 "Contract Change Orders").
- ☐ There shall be a list of the approved CCOs.
- ☐ All CCOs shall note federal-aid eligibility or not.
- ☐ Pending claims to be identified and documentation in contract file

**14. Traffic Safety in Highway and Street Work Zones:**

- ☐ Traffic Control Plan (TCP)/Traffic Management Plan (TMP) in the PS&E? Yes ☐ No ☐  
(see Chapter 16, Section 16.6 "Traffic Safety in Highway and Street Work Zones")  
Comments: \_\_\_\_\_
- ☐ Responsible Person \_\_\_\_\_ (if not the RE)
- ☐ Local Agency shall field review the project to see that the TCP agrees with the actual conditions.
- ☐ Local Agency shall be analyzing 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 Chapter 16, Section 16.14 "Quality Assurance Program").
- ☐ There shall be procedures for and filing of: (if appropriate) Notice of Materials to be used, Certifications of Compliance, "Buy America" Requirements
- ☐ Acceptance Sampling and Testing Reports shall be in the files.
- ☐ There shall be a "Summary Log" of tests.
- ☐ Frequency tables shall be used.
- ☐ Failed tests shall be documented in the files with cross references to re-tests.
- ☐ Resident Engineer shall review all test reports.

**EXHIBIT 15-B****Local Assistance Procedures Manual****Resident Engineer's Construction Contract Administration Checklist**

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**16. Environmental:**

- ☐ The approved NEPA document is in the project files.
- ☐ The construction project shall 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.
- ☐ Local Agency shall comply with State's Representative's oversight requirements.

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Local Agency's Resident Engineer  
(Local) agency employee or Consultant,  
Consultant. (Consultants on retainer are  
considered Local Agency employees)

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Local Agency's person in "Responsible  
Charge" if Resident Engineer is a

Date: \_\_\_\_\_

**Distribution:** 1) Local Agency Project File  
2) DLAE

**LOCAL AGENCY PROJECT ADVERTISING CHECKLIST**Project: \_\_\_\_\_  
DIST-----CO-----RTE-----PM-----Agency

Federal Project # \_\_\_\_\_

Location: \_\_\_\_\_

Limits: \_\_\_\_\_

	<b>YES</b>	<b>NO</b>	<b>NOT APPLICABLE</b>
PS&E Review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the following complete?			
Mitigation commitments incorporated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Right of Way Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Traffic (Electrical/Signing/Striping)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Materials	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Landscaping	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hydraulics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Permits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bridge Plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are all encroachments permits obtained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are design exceptions approved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is material testing and sampling arranged?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DBE Contract Goal Included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there force account work for this project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is agency furnished material approved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the federal funds for construction authorized?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has a fund allocation been approved by the California Transportation Commission (if required)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have a complete set of Plans and Special Provisions been sent to the Caltrans District Local Assistance Engineer (two copies if structures (bridges) are involved)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How long is the advertisement period? _____			

Reviewed by: \_\_\_\_\_

(Name of Local Agency Representative)

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**Distribution:** Local Agency Project File

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## EXHIBIT 15-G LOCAL AGENCY BIDDER DBE COMMITMENT (CONSTRUCTION CONTRACTS)

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

LOCAL AGENCY: \_\_\_\_\_ LOCATION: \_\_\_\_\_

PROJECT DESCRIPTION: \_\_\_\_\_

TOTAL CONTRACT AMOUNT: \$ \_\_\_\_\_

BID DATE: \_\_\_\_\_

BIDDER'S NAME: \_\_\_\_\_

CONTRACT DBE GOAL: \_\_\_\_\_

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

**For Local Agency to Complete:**

Local Agency Contract Number: \_\_\_\_\_

Federal-aid Project Number: \_\_\_\_\_

Federal Share: \_\_\_\_\_

Contract Award Date: \_\_\_\_\_

Local Agency certifies that all DBE certifications have been verified and information is complete and accurate.

\_\_\_\_\_

Print Name

Local Agency Representative

\_\_\_\_\_

Signature

\_\_\_\_\_

Date

(Area Code) Telephone Number: \_\_\_\_\_

Total Claimed DBE  
Participation

\$ \_\_\_\_\_

\_\_\_\_\_ %

\_\_\_\_\_

Signature of Bidder

\_\_\_\_\_

Date

(Area Code) Tel. No.

\_\_\_\_\_

Person to Contact

(Please Type or Print)

Local Agency Bidder DBE Commitment (Construction Contracts)  
(Rev 6/26/09)

**Distribution:**

- (1) Copy – Fax or scan a copy to the Caltrans District Local Assistance Engineer (DLAE) within 30 days of contract execution. Failure to send a copy to the DLAE within 30 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

## **INSTRUCTIONS - LOCAL AGENCY BIDDER DBE COMMITMENT (CONSTRUCTION CONTRACTS)**

### **ALL BIDDERS:**

**PLEASE NOTE:** This information may be submitted with your bid. If it is not, and you are the apparent low bidder or the second or third low bidder, it must be submitted and received as specified in the Special Provisions. Failure to submit the required DBE commitment will be grounds for finding the bid nonresponsive

The form requires specific information regarding the construction contract: Local Agency, Location, Project Description, Total Contract Amount, Bid Date, Bidder's Name, and Contract DBE Goal.

The form has a column for the Contract Item Number and Item of Work and Description or Services to be Subcontracted or Materials to be provided by DBEs. Prime contractors shall indicate all work to be performed by DBEs including, if the prime is a DBE, work performed by its own forces, if a DBE. The DBE shall provide a certification number to the Contractor and expiration date. Enter the DBE prime's and subcontractors' certification numbers. The form has a column for the Names of DBE contractors to perform the work (who must be certified on the date bids are opened and include the DBE address and phone number).

**IMPORTANT:** Identify **all** DBE firms participating in the project regardless of tier. Names of the First-Tier DBE Subcontractors and their respective item(s) of work listed should be consistent, where applicable, with the names and items of work in the "List of Subcontractors" submitted with your bid.

There is a column for the DBE participation dollar amount. Enter the Total Claimed DBE Participation dollars and percentage amount of items of work submitted with your bid pursuant to the Special Provisions. (If 100% of item is not to be performed or furnished by the DBE, describe exact portion of time to be performed or furnished by the DBE.) See Section "Disadvantaged Business Enterprise (DBE)," of the Special Provisions (construction contracts), to determine how to count the participation of DBE firms.

Exhibit 15-G must be signed and dated by the person bidding. Also list a phone number in the space provided and print the name of the person to contact.

**Local agencies** should complete the Local Agency Contract Award, Federal-aid Project Number, Federal Share, Contract Award Date fields and verify that all information is complete and accurate before signing and filing.

**EXHIBIT 15-H DBE INFORMATION —GOOD FAITH EFFORTS****DBE INFORMATION - GOOD FAITH EFFORTS**

Federal-aid Project No. \_\_\_\_\_ Bid Opening Date \_\_\_\_\_

The \_\_\_\_\_ (City/County of) \_\_\_\_\_ established a Disadvantaged Business Enterprise (DBE) goal of \_\_\_\_\_% for this project. The information provided herein shows that a good faith effort was made.

Lowest, second lowest and third lowest bidders shall submit the following information to document adequate good faith efforts. Bidders should submit the following information even if the “Local Agency Bidder DBE Commitment” form indicates that the bidder has met the DBE goal. This will protect the bidder’s eligibility for award of the contract if the administering agency determines that the bidder failed to meet the goal for various reasons, e.g., a DBE firm was not certified at bid opening, or the bidder made a mathematical error.

Submittal of only the “Local Agency Bidder DBE Commitment” form may not provide sufficient documentation to demonstrate that adequate good faith efforts were made.

The following items are listed in the Section entitled “Submission of DBE Commitment” of the Special Provisions:

- A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder (please attach copies of advertisements or proofs of publication):

Publications	Dates of Advertisement
_____	_____
_____	_____
_____	_____

- B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested (please attach copies of solicitations, telephone records, fax confirmations, etc.):

Names of DBEs Solicited	Date of Initial Solicitation	Follow Up Methods and Dates
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

- C. The items of work which the bidder made available to DBE firms including, where appropriate, any breaking down of the contract work items (including those items normally performed by the bidder with its own forces) into economically feasible units to facilitate DBE participation. It is the bidder's responsibility to demonstrate that sufficient work to facilitate DBE participation was made available to DBE firms.

Items of Work	Bidder Normally Performs Item (Y/N)	Breakdown of Items	Amount (\$)	Percentage Of Contract

- D. The names, addresses and phone numbers of rejected DBE firms, the reasons for the bidder's rejection of the DBEs, the firms selected for that work (please attach copies of quotes from the firms involved), and the price difference for each DBE if the selected firm is not a DBE:

Names, addresses and phone numbers of rejected DBEs and the reasons for the bidder's rejection of the DBEs:

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Names, addresses and phone numbers of firms selected for the work above:

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- E. Efforts made to assist interested DBEs in obtaining bonding, lines of credit or insurance, and any technical assistance or information related to the plans, specifications and requirements for the work which was provided to DBEs:

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- F. Efforts made to assist interested DBEs in obtaining necessary equipment, supplies, materials or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate:

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- G. The names of agencies, organizations or groups contacted to provide assistance in contacting, recruiting and using DBE firms (please attach copies of requests to agencies and any responses received, i.e., lists, Internet page download, etc.):

Name of Agency/Organization	Method/Date of Contact	Results
<hr/>		
<hr/>		

- H. Any additional data to support a demonstration of good faith efforts (use additional sheets if necessary):

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**NOTE:** USE ADDITIONAL SHEETS OF PAPER IF NECESSARY.

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**EXHIBIT 15-I LOCAL AGENCY BID OPENING CHECKLIST**

Project Sponsor: \_\_\_\_\_

Federal-aid Project Number: \_\_\_\_\_

Project Location: \_\_\_\_\_  
(Caltrans District, County, Road/Street or route, Jurisdiction)Project Limits: \_\_\_\_\_  
(Physical limits reference post miles or intersections)

Bid opening date and time

Bid opening by

Name: \_\_\_\_\_

Bids publicly opened and read aloud?

(Yes/No)

Addenda certified by

Advertisement date

Engineers Estimate Compared?

(Yes/No)

Low Bidder Name

Amount

Number of Bidders

Bid irregularities?

(Yes/No)

Noncollusion affidavit included (Exhibit 12-E, Attachment D)?

(Yes/No)

Low Bid signed?

(Yes/No)

Exhibit 15-G *Local Agency Bidder DBE Commitment* included?

(Yes/No)

All Addenda certified by all bidders?

(Yes/No)

Reviewed by: \_\_\_\_\_  
(Name of Local Agency Representative)

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**Distribution:** Original - Local Agency Project File

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**EXHIBIT 15-L LOCAL AGENCY CONTRACT AWARD CHECKLIST**

Project Sponsor: \_\_\_\_\_

Federal-aid project #: \_\_\_\_\_

Project Location: \_\_\_\_\_  
(Caltrans District, County, Road/Street or Route, Jurisdiction)Project Limits: \_\_\_\_\_  
(Physical limits reference, Post miles or Intersections)

Has Caltrans issued an "Authorization to Proceed" in writing with federal funds included for construction, and is the amount correct? .....	(yes/no)
Copy of engineers estimate .....	to be attached
Is material testing and sampling arranged? .....	(yes/no)
Copy of low bidder's proposal .....	to be attached
Low Bid signed in ink? .....	(yes/no)
Is a Good Faith Effort Statement of DBE Participation (Exhibit 15-H) included in the low bidder's proposal? (Only required if DBE goal is not achieved) .....	(yes/no/not applicable)
Local Agency Bidder DBE Information (Exhibit 15-G) .....	to be attached
Is the Noncollusion Affidavit (Exhibit 12-E <i>PS&amp;E Checklist Instructions, Attachment D</i> ) included in the low bidders' proposal? .....	(yes/no)
Is the Bid summary (itemized bids for 3 lowest bidders) complete? .....	(yes/no)
Addendum procedures adhered to? .....	(yes/no)
TIP information, Authorized amount .....	(\$ amount)
Include TIP page number or amendment number here: .....	
Bid opening procedures were adhered to? .....	(yes/no)
Date DLA's Federal Wage Rate website was checked for updates * .....	(date)
Date of bid opening .....	(date)
Date of award .....	(date)
Amount of award .....	(\$ amount)
Detail Estimate (Exhibit 15-M) .....	to be attached
Finance Letter (Exhibit 15-N) .....	to be attached
Resident Engineer's Construction Contract Administration Checklist .....	to be attached
Is successful bidder licensed? .....	(yes/no)
Estimated construction completion date .....	(date)

Reviewed by: \_\_\_\_\_  
(Signature of Local Agency Representative)\_\_\_\_\_  
(Name printed or typed)

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Phone Number: \_\_\_\_\_

**EXHIBIT 15-L****Local Assistance Procedures Manual****Local Agency Contract Award Checklist**

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**NOTE:** If the answer is “no” to any of the above questions, a letter of explanation is required. The DLAE shall review the explanation and determine if the local agency is eligible for federal funds.

- \* **If the date listed is more than 10-calendar days before bid opening, local agency must provide documentation that web site was subsequently checked within the 10-calendar day period or after bid opening, and there were no changes in the applicable federal wage rates.**

**Distribution:** For all NHS Projects    1) Original plus one copy –DLAE  
2) Copy- Local Agency Project files

**EXHIBIT 15-M DETAIL ESTIMATE**

File: \_\_\_\_\_  
 Federal Project No.: \_\_\_\_\_  
 Project Location: \_\_\_\_\_  
 Date: \_\_\_\_\_

To be used as a basis of agreement for Federal-aid Project #(1) \_\_\_\_\_  
 in the City/County of(2) \_\_\_\_\_

Construction Authorization Date:(3) \_\_\_\_\_,

Type: (4)

Preliminary Engineering (Authorization Date:(5) \_\_\_\_\_,

Right of way (Acquisition Authorization Date:(6) \_\_\_\_\_,

Acquisition (No. Parcels \_\_\_\_\_) \$ \_\_\_\_\_

RAP

(number homes \_\_\_\_\_) \$ \_\_\_\_\_

(number businesses \_\_\_\_\_) \$ \_\_\_\_\_

LRH (Parcel No. Name \_\_\_\_\_) \$ \_\_\_\_\_

TOTAL COST \$(7) \_\_\_\_\_

Utilities (Authorization Date:(8) \_\_\_\_\_,

Total Cost \$ \_\_\_\_\_

Improvement Type Code: (9) \_\_\_\_\_

Length (10) \_\_\_\_\_ (miles)

**Item Estimate (11)**

ITEM NO.	ITEM DESCRIPTION	UNIT	QUANTITY	UNIT PRICE	AMOUNT
1	ITEM DESCRIPTION	UNIT	QUANTITY	UNIT PRICE	\$
2	ITEM DESCRIPTION	UNIT	QUANTITY	UNIT PRICE	\$
3	ITEM DESCRIPTION	UNIT	QUANTITY	UNIT PRICE	\$
"	"	"	"	"	"
"	"	"	"	"	"

Subtotal Contract Items \$ \_\_\_\_\_

Agency/State Furnished Materials \$(12) \_\_\_\_\_

Force Account (Day Labor) - striping, etc. \$ \_\_\_\_\_

Total \$ \_\_\_\_\_

Contingencies (Including supplemental work) \$(13) \_\_\_\_\_

Contract Total \$ \_\_\_\_\_

Construction Engineering \$(14) \_\_\_\_\_

**TOTAL COST** \$ \_\_\_\_\_

**Distribution:** All Projects: (1) Original + 4 copies-Caltrans District Local Assistance Engineer. (2) Copy-Local Agency Project File

**EXHIBIT 15-M  
Detail Estimate****Local Assistance Procedures Manual****DETAIL ESTIMATE  
SUMMARY (15)**

	<b>Total Cost</b>	<b>Participating Cost</b>	<b>Federal Funds</b>	<b>Other Funds</b>
Preliminary Engineering	\$ _____	\$ _____	\$ _____	\$ _____
Right of way	\$ _____	\$ _____	\$ _____	\$ _____
Construction: <u>Improvement type</u>				
Code _____	\$ _____	\$ _____	\$ _____	\$ _____
Code _____	\$ _____	\$ _____	\$ _____	\$ _____
Construction Engineering:				
Total Cost	\$ _____	\$ _____	\$ _____	\$ _____

Contract Items Participating	=	\$ (16) _____	=	_____ %
Contract Items nonparticipating	=	\$ _____	=	_____ %
Total	=	\$ _____	=	100.00 %

\* Reimbursement Ratio: (17) \_\_\_\_\_ %

Appropriation Code(s) (18)

Name/Date Prepared \_\_\_\_\_

\* Reimbursement ratios may vary within each phase of work such as Emergency Relief PE for Emergency Repair (100%) and PE for restoration (88.53%). In these cases, the detailed estimate shall include two separate lines of preliminary engineering.

**Distribution:** All Projects (1) Original + 4 copies-Caltrans District Local Assistance Engineer.  
(2) Copy-Local Agency Project File

**DETAIL ESTIMATE INSTRUCTIONS**

1. File
    - Fill in project identification  
example:                      Dist-County-Rte-City: 07-LA-0-LA
    - Federal-aid Project #:        STPL-5006(023)
    - Federal-aid Program:        Surface Transportation Program, population > 200,000
  2. Project Location
    - Fairly detailed (list intersections or project limits, etc.) Should agree with Authorization to Proceed
  3. Construction Authorization Date
    - FHWA/Caltrans authorization date on the Authorization to Proceed
  4. Type
    - General type of work (signalization, widening, construct four-lane divided street, etc.) Chapter 3, "Project Authorization," Exhibit 3-F-(Item 38)
  5. P.E. Authorization
    - FHWA/Caltrans authorization date on the Authorization to Proceed
  6. Right of way Authorization
    - FHWA/Caltrans authorization date on the Authorization to Proceed
  7. Right of way Costs
    - Total for project
  8. Utility Authorization
    - FHWA/Caltrans authorization date on the Authorization to Proceed
  9. Improvement Type Code
 

01 New Construction Roadway 03 Reconstruction, Added Capacity 04 Reconstruction, No added Capacity 05 4R Maintenance Resurfacing 06 4R Maintenance-Restoration & Rehab 07 4R Maintenance-Relocation 08 Bridge, New Construction 10 Bridge Repl. Added Capacity ** 11 Bridge Repl. No Added Capacity ** 13 Bridge Rehab. Added Capacity ** 14 Bridge Rehab. No Added Capacity ** 15 Preliminary Engineering * 16 Right of Way 17 Construction Engineering * 18 Planning 20 Environmental Only 21 Safety 22 Rail/Highway Crossing	23 Transit 24 Traffic Management/Eng. HOV 26 Ferry Boats 28 Facilities for Pedestrian & Bicycle * 29 Acquisition of Scenic Easements * 30 Scenic or Historic Highway Prog. * 31 Landscaping & Scenic Beautification* 32 Historic Preservation* 33 Rehab & Operation of Historic Facility* 36 Archeological Plan & Research * 37 Mitigation of Water Pollution* 38 Safety & Education of Ped. Bike* 39 Establishment of Transp. Museum* 40 Special Bridge* 42 Training 43 Utilities 44. Other 45Debt Service
--	--
- \*Transportation Enhancement Projects must use these Types of Improvements.
- \*\*Projects using these Improvement Types must report a National Bridge Inventory Structure Number.
10. Length
    - Length in miles (to nearest 0.1) is required for roadway codes and for bridge codes
    - Measured along center line
    - Not required for "Miscellaneous" codes

**11. Item Estimate**

- List Each bid item per sample format
- Separate by “improvement type code” as noted above in item # 9. (should be same as preliminary estimate)
- Place nonparticipation work directly following participating work of similar codes
- Separate as “not part of Federal-aid Project” that work which is beyond project limits of federal participation but is being done under the same contract

**12. State/Agency Furnished Materials**

- List each item and cost of all items or expenses that are to be furnished by other than contractor
- Should agree with items listed in Special Provisions and Plans

**13. Contingencies**

- Generally 5% to 10%
- FHWA does not want supplemental work segregated from contingencies
- If large amount of supplemental work, 10% may be exceeded, but contingencies should always be at least 5%
- Separate for each code, etc.

**14. Construction Engineering**

- Separate for each code, etc.
- Indicate staking, construction trailer, etc., if claimed for reimbursement

**15. Detail Estimate Summary**

- Summary generally broken down only between P.E., Construction, and Right of way
- Improvement Type Codes and nonparticipating involved, must be outlined in summary
- Calculate P.E., Construction (by code) and Right of way separately at appropriate reimbursement ratio
- Federal funds share of phase cannot be more than the fund reimbursement ratio times the participating costs. (Always round down to the nearest dollar).

**16. Federal Participation Calculation**

- Use contract items only

**17. Reimbursement Ratio (Federal) (See list in Chapter 3, “Project Authorization”)**

- Use current ratio
- Project ratio if under funded

**18. Program Code(s) (Federal) NOTE: Formerly known as Appropriation Code(s)**

- Program code(s) applicable to the program(s) involved (see list in Chapter 3, “Project Authorization”)

**19. Revised Detail Estimate or Modification**

- Required when federal funds are to be changed from what was previously under agreement
- Changes can be accomplished by updating item costs, supplemental work, contingencies, etc.
- Change Title to “Revised Detail Estimate.”
- Must remain consistent with FTIP/FSTIP rules
- Wording to be changed in Item 2 by adding “To be used as basis for modification of agreement for federal-aid project.”
- Remaining instructions are unchanged

**EXHIBIT 17-A COVER LETTER & FEDERAL REPORT OF EXPENDITURES CHECKLIST**

Project No: STPL-5999(001)

Mrs. Jane Doe  
District Director of Transportation  
Caltrans - Local Assistance  
P. O. Box 007  
Pickit, CA 90000-0007

Attention: Mr. Roland N. DaMoney,  
District Local Assistance Engineer

Dear Mrs. Doe:

Submitted for your consideration is:

FEDERAL REPORT OF EXPENDITURES

LOCAL AGENCY AWARDED CONTRACT

COUNTY OF SOMEWHERE

PROJECT: Sawpit Avenue, PM 13.2-14.5

CONTRACTOR: A thru Z Contractors

RESIDENT ENGINEER: Sam Strait

Sincerely,

---

Local Agency Representative

Reviewed by:

---

District 4 Local Assistance Engineer

**COVER LETTER-CONTINUED**

Federal Project No.: STPL-5920(001)

Description of Project

The work done consisted, in general, of asphalt concrete overlays on Sawpit Avenue, asphalt concrete replacement, cold planing performed, and shoulder backing and pavement markers and metal beam guardrail installed. Other misc. items and details shown in the project plans, Standard Specifications, and Special Provisions were installed.

Contract Chronology

1.	Bids Opened	03/30/93
2.	Contract Approved by local agency	04/27/93
3.	First chargeable working day	05/21/93
4.	Contract Time (Working Days)	40
5.	Unworkable Days - weather	0
6.	Time Extensions - CCOs	0
7.	Time Extensions - other	0
8.	Number of working days suspended	0
9.	Extended Date of Completion	07/30/93
10.	Date work accepted by Resident Engineer	09/21/93
11.	Liquidated damage days charged (calendar days)	0
12.	Date accepted by County Supervisors	09/21/93



**FEDERAL REPORT OF EXPENDITURES CHECKLIST**

Federal-aid Project Number: \_\_\_\_\_

Project Name: \_\_\_\_\_

Project Location: \_\_\_\_\_  
\_\_\_\_\_

- ( ) Final Inspection of Federal-aid Project (See Exhibit 17-B for FHWA Full Oversight projects) or Local Agency Final Inspection Form (See Exhibit 17-C for State-Authorized projects)
- ( ) Final Invoice (See Exhibit 17-D)
- ( ) Final Detail Estimate and Detail Estimate Summary (See Exhibit 15-M)
- ( ) Change Order Summary (See Exhibit 17-E)
- ( ) Statement of the existence or absence of liquidated damages and/or contractor's claims(See Exhibit 17-E)
- ( ) Date of completion:\_\_\_\_\_
- ( ) Date of acceptance:\_\_\_\_\_
- ( ) Final Report- Utilization of Disadvantaged Business Enterprise (DBE), First-Tier Subcontractors (See Exhibit 17-F)
- ( ) Materials Certificate (Exhibit 17-G)
- ( ) \* Report of Completion of Structure (two copies) (*Shall include one set of "As Built" Plans*)(See Exhibit 17-I and Exhibit 17-J)
- ( ) Disadvantaged Business Enterprises (DBE) Certification Status Change (Exhibit 17-O)

**Note:** A single submittal of all these documents will facilitate timely project closure.

\* Additional documents required on bridge/major structural project or projects which meet specified conditions (described under **Reports at Completion of Contract**). Send Original copy to structures.

**Distribution:** (All projects): (1) Original Report of Expenditures  
(2) Local Agency project files

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U.S. DEPARTMENT OF TRANSPORTATION FEDERAL HIGHWAY ADMINISTRATION		
<b>FINAL INSPECTION OF FEDERAL-AID PROJECT</b> CONSTRUCTED UNDER 23 U.S.C. 117		
INSTRUCTIONS: DLAE is to complete items 1 - 7 and submit original and three (3) copies to the Federal Highway Administration Division Office.		
1. PROJECT NO.	2. COUNTY	3. STATE
4. DESCRIPTION OF IMPROVEMENT AS PROGRAMMED		
5. CONTRACTOR'S NAME		6. CONTRACT AMOUNT \$
7. NOTICE OF COMPLETION: The above listed project has been completed and is ready for final inspection.  SIGNATURE (DLAE OFFICIAL) _____  TITLE _____		
8. FEDERAL HIGHWAY ADMINISTRATION INSPECTION MADE BY		9. DATE OF INSPECTION
10. IN COMPANY WITH		
11. REMARKS		
12. SIGNATURE	13. TITLE	14. DATE

FORM FHWA-1446C

**Distribution:** Original and one copy to DLA for review and forward to FHWA (Prepared By District).

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CALIFORNIA DEPARTMENT OF TRANSPORTATION  
Division of Local Assistance**LOCAL AGENCY FINAL  
INSPECTION FORM**

INSTRUCTIONS: Local agency is to complete Items 1-10. DLAE completes Items 11-13 and submits original plus two (2) copies to the Division of Local Assistance.

1. PROJECT NO.:	2. DIST-CO-RTE-AGENCY:	3. COMPLETION DATE:
4. LOCATION OF IMPROVEMENTS AS PROGRAMMED:		
5. TYPE OF WORK:		
6. CONTRACTOR'S NAME:		7. CONTRACT AMOUNT:
8. DATE OF CONTRACT ACCEPTANCE		
<p>9. FINAL INSPECTION. The above listed project was completed and a final inspection has been made. The project was completed as programmed and in compliance with all state and federal requirements.</p> <p>(Check appropriate box)</p> <p><input type="checkbox"/> This project is Delegated and not subject to FHWA oversight. FHWA Final Inspection not required.</p> <p><input type="checkbox"/> This project is an FHWA High Priority project. FHWA Final Inspection required.</p>		
SIGNATURE (Local Agency Rep)		DATE:
TITLE:		
10. REMARKS:		
11. DISTRICT REVIEW MADE BY (print name):		12. DATE OF PROJECT REVIEW:
<p>13. PROJECT VERIFICATION: This verification of completion also constitutes approval to pay costs shown in the Final Invoice included in the Report of Expenditures. The person listed above has reviewed the job site and found the project constructed in accordance with the scope and description of the project authorization document.</p> <p>SIGNATURE: _____ DATE: _____</p> <p>District Local Assistance Engineer/Oversight Engineer</p>		

Form FIF-6/05

**Distribution:** (1) Caltrans - Original plus two copies (2) Local Agency – Retain a copy

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**SAMPLE CHANGE ORDER SUMMARY**

Change Order No.	Brief Description	Contract Item Price *	Amt. Part.	Amt. Exp. Extra Work **	Amt. Part.
1	Traffic Control	0.00	0.00	\$4,527.25	\$4,527.25
2	6" PCC Driveway at Sta. 41+50 RT.	255.00	255.00	0.00	0.00
3	Additional 18" RCP at 67+70 LT.	96.00	0.00	0.00	0.00
4	Relocate waterline at 14+25 RT.	0.00	0.00	145.15	145.15
5	Adjust Compensation AC overrun	0.00	0.00	(-832.00)	(-832.00)
6	Delete Valley Gutters	<u>(-255.00)</u>	<u>(-255.00)</u>	<u>0.00</u>	<u>0.00</u>
		\$ 96.00	\$ 0.00	\$3,840.40	\$3,840.40

The amount shown as extra work is to be reported as a supplemental expenditure on the final Detail Estimate.

Liquidated Damages/contractors claim: None

Date of completion: 1/2/96

Date of acceptance: 1/5/96

\* Amounts shown are included at Bid Prices on Detail Estimate.

\*\* Extra Work (Payment under force account or agreed price).

**Distribution:** (1) Original-included in Report of Expenditures  
(2) Copy retained by Local Agency Project File

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STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION  
**FINAL REPORT-UTILIZATION OF DISADVANTAGED BUSINESS ENTERPRISES  
 (DBE), FIRST-TIER SUBCONTRACTORS**

CEM-2402F (REV 02/2008)

**ADA Notice**

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814

CONTRACT NUMBER		COUNTY	ROUTE	POST MILES	FEDERAL AID PROJECT NO.	ADMINISTERING AGENCY		CONTRACT COMPLETION DATE	
PRIME CONTRACTOR				BUSINESS ADDRESS				ESTIMATED CONTRACT AMOUNT \$	
ITEM NO.	DESCRIPTION OF WORK PERFORMED AND MATERIAL PROVIDED	COMPANY NAME AND BUSINESS ADDRESS	DBE CERT. NUMBER	CONTRACT PAYMENTS			DATE OF FINAL PAYMENT		
				NON-DBE	DBE	DATE WORK COMPLETE			
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
				\$	\$				
ORIGINAL COMMITMENT \$			TOTAL	\$	\$				
DBE  List all First-Tier Subcontractors, Disadvantaged Business Enterprises (DBEs) regardless of tier, whether or not the firms were originally listed for goal credit. If actual DBE utilization (or item of work) was different than that approved at time of award, provide comments on back of form. List actual amount paid to each entity.									
<b>I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT</b>									
CONTRACTOR REPRESENTATIVE'S SIGNATURE					BUSINESS PHONE NUMBER		DATE		
<b>TO THE BEST OF MY INFORMATION AND BELIEF, THE ABOVE INFORMATION IS COMPLETE AND CORRECT</b>									
RESIDENT ENGINEER'S SIGNATURE					BUSINESS PHONE NUMBER		DATE		

Copy Distribution-Caltrans contracts:

**Original** - District Construction**Copy**- Business Enterprise Program**Copy**- Contractor**Copy** Resident Engineer

Copy Distribution-Local Agency contracts:

**Original** - District Local Assistance Engineer  
(submitted with the Report of Expenditure)**Copy**- District Local Assistance Engineer**Copy**- Local Agency file

**EXHIBIT 17-F****Local Assistance Procedures Manual****Final Report-Utilization of Disadvantaged Business Enterprises (DBE), First-Tier Subcontractors**

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FINAL REPORT – UTILIZATION OF DISADVANTAGED BUSINESS  
ENTERPRISES (DBE), FIRST-TIER SUBCONTRACTORS  
CEM 2402(F) (Rev. 02/2008)

The form requires specific information regarding the construction project: Contract Number, County, Route, Post Miles, Federal-aid Project No., the Administering Agency, the Contract Completion Date and the Estimated Contract Amount. It requires the prime contractor name and business address. The focus of the form is to describe who did what by contract item number and descriptions, asking for specific dollar values of item work completed broken down by subcontractors who performed the work both DBE and non-DBE work forces. DBE prime contractors are required to show the date of work performed by their own forces along with the corresponding dollar value of work.

The form has a column to enter the Contract Item No. (or Item No's) and description of work performed or materials provided, as well as a column for the subcontractor name and business address. For those firms who are DBE, there is a column to enter their DBE Certification Number. The DBE should provide their certification number to the contractor and notify the contractor in writing with the date of the decertification if their status should change during the course of the project.

The form has six columns for the dollar value to be entered for the item work performed by the subcontractor.

The Non-DBE column is used to enter the dollar value of work performed for firms who are not certified DBE.

The decision of which column to be used for entering the DBE dollar value is based on what program(s) status the firm is certified. This program status is determined by the California Unified Certification Program by ethnicity, gender, ownership, and control issues at time of certification. To confirm the certification status and program status, access the Department of Transportation Civil Rights web site at:  
<http://www.dot.ca.gov/hq/bep> or by calling (916) 324-1700 or the toll free number at (888) 810-6346.

Based on this DBE Program status, the following table depicts which column to be used:

<b>DBE Program Status</b>	<b>Column to be used</b>
If program status shows DBE only with no other programs listed	DBE

If a contractor performing work as a DBE on the project becomes decertified and still performs work after their decertification date, enter the total dollar value performed by this contractor under the appropriate DBE identification column.

If a contractor performing work as a non-DBE on the project becomes certified as a DBE, enter the dollar value of all work performed after certification as a DBE under the appropriate identification column.

Enter the total of each of the six columns in Form CEM-2402(F).

Any changes to DBE certification must also be submitted on Form-CEM 2403(F).

Enter the Date Work Completed as well as the Date of Final Payment (the date when the prime contractor made the “final payment” to the subcontractor for the portion of work listed as being completed).

The contractor and the resident engineer sign and date the form indicating that the information provided is complete and correct.

## EXHIBIT 17-G MATERIALS CERTIFICATE

## Materials Certificate

CITY/COUNTY LETTERHEAD  
(Sample)Date: \_\_\_\_\_  
Federal-Aid Project No.: \_\_\_\_\_  
Caltrans File Category 61: \_\_\_\_\_  
Job Stamp \_\_\_\_\_

Subject: Materials Certification

This is to certify that:

The results of the tests on acceptance samples indicate that the materials incorporated in the construction work and the construction operations controlled by sampling and testing were in conformity with the approved plans and specifications.

- ☐ Exceptions to the plans and specifications are explained on the back of this memorandum (or on attached sheet).
- ☐ No exceptions to the plans and specifications were found.

\_\_\_\_\_  
Signature of local agency engineer in responsible charge of project and title

**Distribution:** ( For all projects ) 1) Local agency Project Files (original)  
2) DLAE (1 copy in Report of Expenditures)  
(For projects on the NHS) 3) FHWA (1 copy)

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**EXHIBIT 17-O DISADVANTAGED BUSINESS ENTERPRISES (DBE) CERTIFICATION STATUS CHANGE**

 STATE OF CALIFORNIA – DEPARTMENT OF TRANSPORTATION  
 CP-CEM-2403(F) (New. 10/99)

CONTRACT NUMBER	COUNTY	ROUTE	POST MILES	ADMINISTERING AGENCY	CONTRACT COMPLETION DATE
PRIME CONTRACTOR	BUSINESS ADDRESS			ESTIMATED CONTRACT AMOUNT	

*Prime Contractor: List all DBEs with changes in certification status (certified/decertified) while in your employ, whether or not firms were originally listed for good credit.  
 Attach DBE certification/Decertification letter in accordance with the Special Provisions*

CONTRACT ITEM NO.	SUBCONTRACT NAME AND BUSINESS ADDRESS	BUSINESS PHONE	CERTIFICATION NUMBER	AMOUNT PAID WHILE CERTIFIED	CERTIFICATION/ DECERTIFICATION DATE Letter attached
				\$	
				\$	
				\$	
				\$	
				\$	
				\$	
				\$	
				\$	
				\$	
				\$	
				\$	

Comments:

**I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT**

CONTRACTOR REPRESENTATIVE SIGNATURE	TITLE	BUSINESS PHONE NUMBER	DATE
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**TO THE BEST OF MY KNOWLEDGE, THE ABOVE INFORMATION IS COMPLETE AND CORRECT**

RESIDENT ENGINEER	BUSINESS PHONE NUMBER	DATE
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**Distribution** Original copy -DLAE  
 Copy -1) Business Enterprise Program 2) Prime Contactor 3) Local Agency 4) Resident Engineer

**EXHIBIT 17-O****Local Assistance Procedures Manual****Disadvantaged Business Enterprises (DBE) Certification Status Change**

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Form CP-CEM 2403(F) (New 10/99)

**DISADVANTAGED BUSINESS ENTERPRISES (DBE) CHANGE IN CERTIFICATION STATUS REPORT**

The top of the form requires specific information regarding the construction project: Contract Number, County, Route, Post Miles, the Administering Agency, the Contract Completion Date, and the Estimated Contract Amount. It requires the Prime Contractor's name and Business Address. The focus of the form is to substantiate and verify the actual DBE dollar amount paid to contractors on federally funded projects that had a changed in Certification status during the course of the completion of the contract. The two situations that are being addressed by CP-CEM 2403(F) are, if a firm certified as a DBE and doing work on the contract during the course of the project becomes Decertified, and if a non-DBE firm doing work on the contract during the course of the project becomes Certified as a DBE.

The form has a column to enter the Contract Item No (or Item Nos.) as well as a column for the Subcontractor's Name, Business Address, Business Phone, and contractor's Certification Number.

The column entitled Amount Paid While Certified will be used to enter the actual dollar value of the work performed by those contractors who meet the conditions as outlined above during the time period they are Certified as a DBE. This column on the CP-CEM-2403(F) should only reflect the dollar value of work performed while the firm was Certified as a DBE.

The column called Certification/Decertification Date (Letter attached) will reflect either the date of the Decertification Letter sent out by the Civil Rights Program or the date of the Certification Certificate mailed out by the Civil Rights Program. There is a box to check that support documentation is attached to the CP-CEM-2403 (F) form.

There is a Comments section for any additional information that may need to be provided regarding any of the above transactions.

The CEM-2403(F) has an area at the bottom where the Contractor and the Resident Engineer sign and date that the information provided is complete and correct.

There is a Comments section for any additional information that may need to be provided regarding any of the above transactions.

The CEM-2403(F) has an area at the bottom where the Contractor and the Resident Engineer sign and date that the information provided is complete and correct.

