



Construction Policy Bulletin

CPB 09-6 Oversight Project Completion Checklist

- References: *Oversight Engineer Field Guidelines* Chapter 4, "Project Completion"
- Construction Manual* Chapter 5, Section 5-007A, "Events Invoking Federal Highway Administration Involvement on Full Oversight Projects"
- Construction Manual* Example 5-0.1, "Final Acceptance Checklist for Federal-Aid "N" Projects"
- CPB 08-4 Federal Highway Administration Involvement in Contract Administration"

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Approved: _____


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Background

Caltrans, the local agency, and the contractor review a locally administered state highway construction project before contract acceptance. This review identifies and then allows the contractor to address discrepancies before demobilizing and allows the local agency to avoid remobilization costs. Caltrans oversight engineers conduct their own reviews and coordinate safety and maintenance reviews before the local agency review. The local agency also submits required contract, technical, and administrative documents before Caltrans accepts the project. The Caltrans project manager for the local agency project is responsible for closing out the project's cooperative agreement, which includes documenting all closeout actions. The final construction inspections are part of this closeout process.

Caltrans and the U.S. Federal Highway Administration (FHWA) entered into the *Joint Stewardship and Oversight Agreement* (Steward Agreement) on September 4, 2007, to define more clearly the two agencies' responsibilities and make reporting and final vouchering more efficient. CPB 08-4, "Federal Highway Administration Involvement in Contract Administration," documents additional changes resulting from this agreement.

Existing Procedure

Chapter 4, "Project Completion," of the *Oversight Engineer Field Guidelines* establishes procedures that Caltrans oversight engineers follow before Caltrans acceptance of the local agency project. The checklist section of the *Oversight Engineer Field Guidelines* includes FHWA form "CL-6, "FHWA Final Acceptance Checklist for Federal-Aid Full-Oversight Projects."

New Procedure

The oversight engineer performs a review and coordinates Caltrans safety and maintenance reviews of the local agency project at 95 percent completion. Before contract acceptance, the oversight engineer discusses the findings of the independent review, the safety review, the maintenance review, and the contractor's final project review with the local agency. During this discussion, the oversight engineer identifies items that might prevent Caltrans acceptance of the project and, therefore, need addressing.

When the project is "high-profile," Section 5-007A, "Events Invoking Federal Highway Administration Involvement on Full Oversight Projects," of the *Construction Manual* requires submission to FHWA of a final acceptance checklist when the local agency prepares a proposed final estimate. The Division of Construction created form CEM-6303, "Final Acceptance Checklist for Federal-Aid High-Profile Projects," to document project status for FHWA. The online form CEM-6303 replaces Example 5-0.1, "Final Acceptance Checklist for Federal-aid "N" Projects," in the *Construction Manual*. The form is used under the Stewardship Agreement to facilitate FHWA's final vouchering as part of the project acceptance process. For all high-profile projects administered by a local agency on the state highway system, after oversight engineers receive a copy of the local agency's proposed final estimate, they complete and submit form CEM-6303 to the FHWA engineer. Otherwise, procedures in the *Construction Manual* remain the same. Form CEM-6303 is available online at:

<http://www.dot.ca.gov/hq/construc/forms.htm>

Form CL-6 in the *Oversight Engineer Field Guidelines* has been updated and is now form OFG-6, "Final Acceptance Checklist for Caltrans Oversight Projects." The Division of Construction developed the checklist for the oversight engineers to use when doing the semifinal review, the safety and maintenance reviews, and final acceptance of the local agency-administered construction contract. Oversight engineers are required to use form OFG-6 to facilitate the review and acceptance by Caltrans of local agency-administered (or private entity-administered) construction projects on the state highway system. The district construction senior signs pages 3, 4, and 6 before the oversight engineer's final acceptance. This checklist must be filed in Caltrans project records after the construction senior's final review and approval. Form OFG-6 is available online at:

<http://www.dot.ca.gov/hq/construc/forms.htm>

If you have questions or comments about this bulletin, please contact Rick Gifford, Division of Construction, at Rick.Gifford@dot.ca.gov or (916) 657-5211.

Attachments: Form CEM-6303, "Final Acceptance Checklist for Federal-Aid High-Profile Projects"
Form OFG-6, "Final Acceptance Checklist for Caltrans Oversight Projects"