

FEDERAL HIGHWAY ADMINISTRATION
CALIFORNIA DIVISION OFFICE
PROCEDURE MEMORANDUM

SUBJECT: Construction Monitoring Program (CMP)	D6420
	September, 2004

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I. REFERENCES

23 CFR 637	Inspections of Federal-aid Construction Projects
23 CFR 637B	Sampling and Testing Materials and Construction
23 CFR 630J	Traffic Safety in Highway and Street Work Zones
FAPG G6042.8	Construction Monitoring
FAPG G6042.4	Construction Projects Incorporating Experimental Features
FAPG G6090.17	Indian Reservation Roads and Interagency Agreement between BIA and FHWA dated May 24, 1983
T5080.1	Engineering Inspection of Highway and Street Construction on Federal-aid Projects
D-Memo1103	Federal Ineligibility Notification
D-Memo6416.1	Time Extensions
D-Memo6416.18	Contract Change Orders, Contract Addendums

D-Memo6416.2	Contract Claims
D-Memo6424	Construction Projects Incorporating Experimental Features
D-Memo6917	Bureau of Indian affairs Projects
D-Memo6942	Bureau of Land Management Projects
Notes	Sequence of Events to Process Full Oversight “N” Projects, Document #S40617
FHWA Website, Office of Infrastructure	Construction Program Management & Inspection Guide
Stewardship	Project Approval and Oversight Letter of Agreement Between the Federal Highway Administration and the California Department of Transportation; December 26, 2002. Document # S41120.
Letter	Advertisement, Award and Administration (AAA) of Non-Exempt Projects by Local Agencies; June 12, 2003. Document # S42666.

II. PURPOSE

This Division Office Procedure Memorandum (D-Memo) establishes the Division Office Construction Monitoring Program (CMP). This CMP develops those monitoring activities, which assess the responsible agency's procedures and controls on construction of Federal and Federal-aid projects to assure that projects are completed in reasonably close conformance to the plans and specifications (PS&E), to evaluate the quality of construction and to promote appropriate improvements in construction quality. This issuance supersedes January 26, 1993 D-Memo D6420 (Rev). This CMP will be updated as appropriate, and the updates shall be furnished to California Department of Transportation (Caltrans) for information and use.

III. OBJECTIVES

Obtain and maintain adequate resources in the Division Office to assure the necessary and appropriate oversight of Federal and Federal-aid construction projects.

Monitor and assess the procedures and controls used by Caltrans to assure satisfactory quality and progress of construction as well as compliance of Federal regulation on Federal-aid projects.

Encourage and assist the State to implement improvements or innovative techniques to enhance the quality of the constructed products.

Perform oversight such as PS&E, and final inspection on Federal construction projects administered by the Bureau of Land Management (BLM), the Bureau of Indian Affairs (BIA) and Defense Access Road (DAR) program.

Monitor and assess consistency of construction activities by the State and local agencies with the terms of the approved Stewardship agreement.

IV. CONSTRUCTION MONITORING PROGRAM (CMP)

To accomplish these objectives, this CMP provides for FHWA’s involvement on Full Oversight (formerly “Non-Exempt”) “N” projects for new or reconstruction on the Interstate highways which cost greater than \$1.0M pursuant to the Stewardship agreement, which was updated and approved on December 26, 2002.

A. Staff Responsibilities

Director, Field Operations, is responsible for implementation of this CMP, ongoing evaluation of its effectiveness and overall monitoring. The Director will prepare and recommend revisions to this CMP as appropriate with respect to resources, organizational priorities, the strategic plan and performance plans, and leadership emphasis.

Field Operations Team Leaders are responsible for overseeing the construction monitoring activities, reviewing the construction inspection reports and approving the Final Acceptance for completed projects.

Field Operations staff is responsible for carrying out those activities described in this CMP. The Field Operations staff may coordinate with specialists in Engineering Services, Project Development & Environment (PD&E) or other Sections for inspection when necessary. The specialists will be tasked, as appropriate, to address specific monitoring activities, provide expertise in their subject area and assist with the project inspection activities. Field Operations staff is responsible for developing inspection reports to be submitted to their team leader for review, and updating Inspection Data information in the Division's Project Tracking System.

B. Types and Frequencies of Construction Inspections

The three construction inspection types are (1) Project Inspections and (2) Phase Inspections on the Federal-aid Full Oversight projects, as well as (3) Federal Lands Project Inspections. The Project Inspections are further divided into Initial, Intermediate and Final Inspections.

The success of this CMP evolves from the quality of information presented in construction inspection reports. The reporting must give clear and useful information for purposes of overall construction monitoring. Therefore, the inspection reports should document findings of fact from all construction inspections, and each report will conclude with a summary paragraph of finding(s), recommendation(s) and follow-up action(s). The report will also document substantive matters of discussion with project personnel. Subsequent construction inspections reports will document the follow-up and resolution from preceding reports.

For the most efficient performance of quality inspections within the overall objectives of this CMP, Field Operations staff should have personal knowledge of the scope of work, planned activities, environmental issues/commitments and local circumstances of the particular project.

1. Project Inspections

Project inspections are on-site reviews of the work in progress to evaluate the quality and progress of the work, and to follow-up on findings from previous inspections. For each Full Oversight project, at a minimum, there should be three documented inspections, initial, intermediate and final. The inspections must be sufficiently comprehensive to report the status and acceptability of ongoing work, planned future work, and the potential for delays or claims. During the life of the project, the reviews should encompass an assessment of the recordkeeping effort, including diaries, payrolls and statements, materials sampling and testing, independent assurance testing, measurement and payment of quantities, progress payments, and an assessment of overall adequacy or required corrective action. Not all of

the foregoing will be accomplished at each inspection. However, as a minimum for each inspection made, it should place emphasis on current project activities, major or controlling items of work underway, contract change order (CCO), time extension, work zone safety, and implementation of environmental commitments.

a. Initial and Intermediate Inspections

Quarterly inspections are normally expected, however, Field Operations staff may use their own judgment to establish a different inspection frequency if warranted. As a guideline, the inspection frequency can be based on contract time to provide for initial, intermediate, and final inspections on an interval not to exceed 90 days. The actual frequency will depend on items such as complexity, duration of major activities, timing, weather, controversy, and external forces such as labor strike or materials delay.

The inspection frequency may also be based on percent contract work completed. Further, the scope and nature of the project can be used as guides for determining the inspection frequency. As an example, a project for freeway-to-freeway connections greater than \$100M should be inspected more frequently than a project for new mainline capacity greater than \$10M, which should be inspected more frequently than a project for interchange reconstruction less than \$10M.

If a project is phased or constructed under separate contracts, work that would ordinarily be classified as State Authorized (formerly "Exempt") "E" projects, such as highway planting, ramp widening and/or metering, noise abatement or other environmental commitments, may have inspections deferred until completion of the entire project. This may be required to satisfy the National Environmental Policy Act (NEPA) requirements.

In addition, Full Oversight and State Authorized projects delegated to local agencies for Advertisement, Award and Administration (AAA) require Caltrans to be in responsible charge at all times. All of the standard requirements for Caltrans to follow in oversight and administration of Federal-aid projects are expected for these AAA projects, as well as the local agency in responsible charge. The Full Oversight AAA projects may require increased construction monitoring by the Division Office to ensure that Federal requirements are met. Caltrans will assign a full-time oversight engineer for the AAA projects, although the engineer need not be assigned solely to that project.

The form template for construction inspection report, FHWA 1446A, shown on Attachment 1, lists the suggested items to be reviewed throughout the life of the construction project. This form template can be used to report the Initial, Intermediate and Final inspections. The template also provides guidelines on how to report those items reviewed. All FHWA's form templates are available on the FHWA's Intranet and on CA Division's MS Word form templates.

b. Final Inspections

The Final Inspection is an on-site review at or near the completion of contract work to ascertain that the project has been completed in reasonably close conformity to the plans, specifications, and authorized changes. The Final Inspection should establish sufficient assurances for findings such as CCOs, time extensions, claims, safety deficiencies and failed material tests are resolved to the extent that the Division Office

can accept the project. The Final Inspection also has the purpose of initiating corrective action as necessary while the contractor remains available for contract work. The Final Inspection should not occur prior to 95% completion of planned work.

The FHWA 1446A is also used for the Final Inspection report and the completed form shall include the following statement in the Remarks section: "I/we have ascertained that the project was reasonably constructed as programmed."

2. Phase Inspections

A Phase Inspection is a thorough on site review to evaluate a specific contract item, combination of items or a major phase of work. The Phase Inspection should be scheduled and conducted by the Field Operations staff. Other specialists having appropriate experience in the Division Office may be requested to participate as a team. The timing of a Phase Inspection should be sufficiently early in the phase to provide opportunity for remedial action if necessary.

Some examples of Phase Inspection topics are listed in Attachment 2. It is essential that the reviewer(s) be prepared and have a working knowledge of the operation to be reviewed. In addition, appropriate manuals, specifications, and other pertinent literature may be reviewed prior to the inspection.

The Phase Inspection may be reported with FHWA 1446A as one of the intermediate inspections. Findings from the inspection should be documented as a follow-up action for subsequent inspection. If the follow-up indicates unsatisfactory resolution, the conclusions should be documented and the findings should be considered major.

If findings are determined to be major, they should be discussed with the Director, Field Operations, to establish a course of action. If the discussion concludes that this finding is an isolated occurrence, it should be resolved at the project level and documented in the FHWA 1446A report as one of the intermediate inspections. If the finding is not an isolated occurrence, the course of action could include statewide Phase Inspections on other projects with participation by Caltrans Headquarters' staff. Conclusion of the statewide Phase Inspections will be reported in FHWA 1446A. This report will be sent to Caltrans with a cover letter summarizing the findings and request for response including corrective actions proposed.

3. Federal Lands Projects Inspections

The Bureau of Indian Affairs (BIA), Bureau of Land Management (BLM) and Defense Access Road (DAR) projects are under agreement with FHWA for technical assistance to comply with Federal construction guidelines and standards. Accordingly, PS&E review and final inspection by FHWA is required on all Federal projects administered and constructed by BIA, BLM or DAR program. On BLM projects, a joint BLM/FHWA inspection will be made prior to final acceptance; On BIA projects, BIA may request joint inspection or separate independent inspection may be performed by each agency; On DAR projects, required project inspections are outlined in CFR23 part 660E. The Field Operations staff will be responsible for these final inspections and the necessary documentation. Normally, a letter documenting combined or independent review sent to

the sponsor agency shall suffice for final inspection of these projects. The letter should state that the completed work is found acceptable and specific features or innovation may be emphasized.

C. Final Acceptance

The Final Acceptance report, FHWA1446B shown in Attachment 3, is critical to final reimbursement for contract costs incurred on Full Oversight projects. The Final Acceptance report is developed, following a variety of information including a documented final inspection, an acceptable materials certification, submittal of a complete and accurate form FHWA 47, a full accounting for CCOs, time extensions, project costs, final resolution of all claims and liquidated damages if any.

Document processing for form FHWA 47 entails the review for accuracy and submission of the original Form 47 to the Washington Headquarters Office (refer to FAPG G6011.11 and the reverse side of the form for guidance). At the time of preparation and submission of the Final Acceptance report, the contract plans should be stripped to a minimum of Title sheet and cross sections and the project file purged for archival.

The Final Acceptance report is numbered consecutively following the Final Inspection report. The information required for the Final Acceptance report, includes completion and acceptance dates by the State and the approved contract time extensions. Supplementary information to be included in the Remarks section should include the State Expenditure Authorization (EA), type of work, status of liquidated damages for overrun of contract time, and a summary of nonparticipating items such as CCOs, time extensions, and claims, as well as other comments as appropriate.

FHWA's Final Acceptance Checklist for Federal-aid "N" Project shown in attachment 4 should be used to verify that all the appropriate data, forms and reports are completed for a project acceptance.

D. Federal-aid Ineligibility Notification (FIN)

There are work items in construction projects, which may be deemed ineligible for Federal funding participation by the Field Operations staff. These are work items typically performed through CCOs issued by Caltrans. D-Memo, D1103, details requirements, processing and follow-ups of FINs. A blank FIN is shown in Attachment 5. Traditionally, the Form FHWA-1367 is a pink sheet form for easy identification.

E. Special Review, Reports and Presentations

Special review, reports or presentations relating to construction activities are encouraged. These efforts may be exclusive of normal project inspections, and are not limited to Full Oversight projects. Suggested topics include review of new technology, experimental materials or research functions, supplier of a specific product, innovative construction methods or techniques, technology transfer, statewide program reviews, or other timely construction subjects presented to Caltrans' Headquarters or District personnel, various meetings, or special projects.

V. DISTRIBUTION OF REPORTS

See Attachment 6 for required processing and distribution of inspection reports and other reviews and reports.

David A. Nicol
Chief Operating Officer

Attachment 1



**CONSTRUCTION INSPECTION
REPORT**

U.S. Department of Transportation
Federal Highway Administration

DIVISION	REPORT NO.	DATE OF INSPECTION	LAST INSPECTION	DATE OF REPORT	PROJECT NO.
California	(X)	(M/D/YY)	(M/D/YY)	(M/D/YY)	(XXXXXX-XXX-X (XXX) XN)

(Check appropriate box)

INSPECTION MADE BY (Name, Title)	QUALITY OF WORK <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> Satisfactory	PROGRESS OF WORK <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> Satisfactory	TIME ELAPSED [] %	WORK COMPLETED [] %
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IN COMPANY WITH

(Name, Title)

- Initial Final Inspection
 Intermediate Phase (Inspection-in-Depth)

LOCATION: (fill in the blank)

PROJECT DESCRIPTION/WORK TYPE: (fill in the blank)

PROJECT INFORMATION: (Acquire a copy of Contract Award Summary once at the beginning of the project)

CONTRACTOR (Name)
 (Address)
 (City)
 (Phone)
 CONTRACT AMOUNT (\$XXXX)
 STATE CONTRACT OR EA NO. (XX-XXXXXX)
 RESIDENT ENGINEER (RE) (Name)
 (Address)
 (City)
 (Phone)
 (Fax)
 (E-mail)

CONTRACT TIME SUMMARY: (Acquire a copy of Weekly Statement of Working Days & Progress Payment Voucher after each construction inspection)

STATUS OF CONTRACT TIME AS OF (M/D/YY)
 CONTRACT AWARDED (M/D/YY)
 FIRST WORKDAY (M/D/YY)
 ESTIMATED COMPLETION DATE (M/D/YY)
 WORKING DAYS IN CONTRACT (XX)
 TIME EXTENSIONS (XX)*
 NON-WORKING DAYS (XX)

Attachment 1

REVISED WORKING DAYS (XX)

TOTAL WORKING DAYS TO DATE (XX)

REMAINING WORKING DAYS (XX)

* Note: If a CCO is non-participating then days are non-participating.

PURPOSE OF INSPECTION: The purpose of this inspection was to review and discuss the completed work, work in progress, and to evaluate the performance and effectiveness of the contract administration performed by the Department/Local Agency (AAA).

PROJECT STATUS:

- **WORK COMPLETED** (Comments :)

- **CONTROLLING ITEM** (Comments :)

- **WORK IN PROGRESS** (Comments :)

- **CONSTRUCTION ACTIVITIES OBSERVED** (Comments :)
 - (Photos of the project and any current work that may be taking place)
 - Work zone safety: (note any of the following)
 - Cones, drums, tabular delineators, barricades (type I, II, III)
 - Detours
 - Concrete barriers
 - Signs
 - Pavement markings
 - Workers, equipment, material
 - Clear zone
 - Use of ITS

- **UPCOMING WORK** (report)

- **RECORDS REVIEW**
 - Is the uniform filing system being used?
 - The following records were reviewed at the construction field office:
 - Contract Change Orders (list of approved and pending) – To date, a total of (XX) CCOs have been issued for this project and are considered minor change orders. Since the last inspection of (M/D/YY), the following minor CCOs have been updated or issued for this project. FHWA has reviewed and issued prior approvals for CCO# (XX).
 - Were there any CCOs requiring prior approval that were executed without receiving prior approval or prior to making a contact with FHWA? If so, what steps are being taken to assure that FHWA sees these major CCOs in the future?
 - Were there any CCOs that might cause an environmental issue?

Attachment 1

- How is contingency balance on the contract being tracked?
- Notice of Potential Claim (NOPC)
 - Up to now how many NOPCs have you received from the contractor for your job? What are the related issues?
 - How many NOPCs were found to have no merit?
 - How many NOPCs did the contractor drop?
 - How many NOPCs were considered incomplete (i.e. missing costs, reference to correct plan or specification, reason for submittal)?
 - How many NOPCs were resolved to the satisfaction of both parties?
 - Are all NOPCs on file?
 - Material Testing – Test reports (were or were not) reviewed. Were forms TL-29 & HC-30 on file?
 - Are Certifications of Compliance being filed? If so, do they contain the required information? “Buy America” requirements included on invoices and certifications for **all** iron and steel products?
 - Are Acceptance Sampling and Testing Reports in the files?
 - Is there a “Summary Log” of tests?
 - What types of material have been tested for this project? Are they on file?
 - Were the materials sampling and testing being conducted under the required frequencies shown in the Construction Manual?
 - Is the frequency of tests being monitored?
 - Are failed tests documented in the files with the cross-references to re-tests?
 - Does the Resident Engineer see the test reports?
 - Has there been any disputes resulted from failing tests? If yes, then what were the solutions for?
 - Are signed material certifications on file?
 - Are approved mix designs for AC and PCC on file?
 - Are trial batch test results properly identified and acceptable?
 - Review the construction area and the contractor on-site yard; check to make sure foreign iron and steel is not being incorporated into the project.
 - Independent Assurance (IA) records – Forms TL-0100, TL-0108T, TL-0108L, etc.
 - Are copies of the material tester’s certification in the project files? If not, where?
 - Has a consultant been hired to do the materials testing for this project? If so, is there a copy of the consultant material tester’s certifications in the project files?
 - DBE (Disadvantaged Business Enterprise) – A review of the DBE records indicated the following:
 - Is a copy of the contract Bidder DBE Information Form in the project files?
 - What was the contract DBE goal?
 - What is the contractor’s DBE goal?
 - If the contractor’s goal is less than the contract goal, is there a “good faith” statement in the project files?
 - How are you checking for DBE goal compliance and that the DBEs listed are performing a commercial useful function? By payrolls, interviews, diaries, or material invoices? Any changes made?
 - REs Daily Diaries – Records reviewed and (were or were not) current, thorough, well organized, neat, and up to date.

Attachment 1

- Labor Compliance – (were or were not) any withholding for missing payrolls, wage underpayment made by the Department.
 - Are diaries spot-checked against certified payrolls?
 - What is the established method?
 - Federal wage rates posted and accessible to workers?
- EEO/Wage Rate Posters
 - Are the Federal posters posted for every worker to see at, or near, the contractor's office at the construction site, or at the contractors' central gathering point for workers?
- Employee Interviews
 - Are employee interviews being conducted? Findings? Frequency?
- Federal Training Requirements
 - Are training requirements included in the contract?
 - Is there documentation to show that the contractor and/or subcontractors are meeting the apprenticeship (training) goal?
 - Is there CCO for reimbursement for contractor apprentice training programs?
- Prompt Payment
 - Are the subcontractor prompt payment requirements in the contract (CM 3-807)? Being followed?
 - Are there complaints by DBE or subcontractors?
- Environmental Commitments
 - Is the environmental document or Project Report for this project in the RE's files?
 - Are you aware of any environmental commitments on your project? If there are some environmental commitments on your project, then what is your action plan to work with the Contractor to commit these requirements?
 - Is the construction project adhering to the mitigation requirements in the environmental document? How?
 - SWPPP/BMP, water quality control, erosion control, pollution controls on plants and equipment?
 - ESAs marked and delineated? Observed?
- Progress Payment
 - Are there on file any Contractor-submitted monthly lists of items and quantities for payment?
 - EWB/DEWRs? Monitored? Interest payments thereon?
 - Review the estimate for accuracy prior to its being approved for payment.
 - What do you do to prevent double payment of contract items?
- Traffic Control
 - Has the State approved a traffic contingency plan from the Contractor for the job?
 - What does contingency plan include?
 - Were the Contractor's traffic control plans adequate? Were they approved by the RE and when (before or after construction began)?
 - Were there any substantial changes made to the traffic control plans? Would these changes result in additional costs and/or delays, or savings?
 - A drive through the project (day and/or night) for traffic control was made. Project's traffic control measures appeared to be (adequate or inadequate). (i.e., signs clean, reflective, distance, etc.)
 - TMP, public awareness or information program?
- Safety – Records reviewed and there (were XX or were not) injury/fatal/non-fatal accidents reported within the construction zone. Meeting scheduled every (XX) weeks.
- Contractors Safe Practices Manual on file?

Attachment 1

- MSDS sheets on file?
- CHP accident reports on file? Reviewed for cause?
- Public damage claims processed through District or HQ?

- CPM Schedule – (XX) Revisions have been made and (were or were not) available for our review. Baseline?

- Monthly updates submitted? Reviewed and approved?

- Contract includes TRO specifications?

- Pre-Construction Meeting – Records reviewed and the attendee list (were or were not) found.

- Partnering, DRB in contract? Assess effectiveness of DRB?

- Storm Water Pollution Prevention Plan (SWPPP)
 - Approved by the RE?
 - Date?
 - Before construction started?
 - Has the project's SWPPP been updated to reflect the recent changes required by State Water Resource Board? Is the updated SWPPP on file?
 - Any problems? Any monitoring?

- Utility/ROW Delays – (were or were not) any utility/ROW delay at this review. Review FHWA position?

- Public Notification – News release notices (were or were not) sent out notifying the public of construction activities taking place.

FINDINGS AND RECOMMENDATIONS:

Other findings:

FOLLOW-UP CONCLUSION:

To date, the overall progress of the contract and quality of work is (satisfactory or unsatisfactory).

cc: (Email)


(Name), Caltrans District X (Deputy Director for Construction)
(REs name), Caltrans District X (Construction)

Attachment 2

Examples of Phase Inspection Topics

- Earthwork
- Excavation and Embankment
- Roadway Excavation
- Structure Excavation and Backfill
- Base and Sub-base
- AC Pavement
- PCC Pavement
- Use of Consultants
- Bridges and Major Structures
- Traffic Safety Through Construction
- DBE and Labor Compliance
- Bank/Slope Protection
- Drainage and Culverts
- Traffic Signals, Loop Detectors and Ramp Metering
- Guard Rail, Median Barrier, Delineators, Pavement Marking and Striping
- Project Recordkeeping

Attachment 3

			
<h2>FINAL ACCEPTANCE REPORT</h2>			
DIVISION	REPORT NO.	DATE OF FINAL INSPECTION REPORT	PROJECT NO.
DATE CONTRACT STARTED	DATE WORK COMPLETED	ACCEPTANCE BY CONTRACT AGENCY	TIME ELAPSED %
LOCATION			
SCOPE OF PROJECT			
<p>NOTE: FHWA-47 <input type="checkbox"/> Submitted</p> <p>Materials Certification <input type="checkbox"/> Submitted</p> <p>There is compliance with section 1.23 of the Regulations pertaining to encroachments on the right-of-way.</p>			
<p>REMARKS: <input type="checkbox"/> SHA procedures and controls were sufficient to assure that this project completed in reasonable close conformance with the approved plans and specifications including authorized changes and extra work.</p>			
ACCEPTANCE OF PROJECT IS RECOMMENDED		ACCEPTED BY FEDERAL HIGHWAY ADMINISTRATION	
Signature		Signature	
Title	Date	Title	Date

Attachment 4

FHWA
Final Acceptance Checklist for Federal-aid “N” Projects

Project Information:

EA No.	Federal-aid No.			
Project Description:				
District/County/Route/KP:				
Date Awarded:	Approved Date:			
Time Started:	Work Started:			
Contract Days:	Final No. Working Days:			
Completion Date:	State Acceptance Date:			
Liquidated Damages (No of days and total amount):				
Submittals:				
	Submitted?			Date:
Material Certification (CM 6-1.1)	Yes	No	N/A	
Form FHWA-47M	Yes	No	N/A	
Proposed Final Estimate	Yes	No	N/A	
Last Statement of Working Days	Yes	No	N/A	
Contractor’s Written Statement of Claims (Submitted Separately)	Yes	No	N/A	
List of CCOs	Yes	No	N/A	
(Approved and Pending)	Yes	No	N/A	
(Participating/Non-Participating)	Yes	No	N/A	
List of Time Extensions	Yes	No	N/A	
FHWA Approved/Not Approved	Yes	No	N/A	
Form CEM-2402 (F) Final Report Utilization of DBE	Yes	No	N/A	
Mitigation Monitoring Reporting Record	Yes	No	N/A	
(If available, status of environmental commitments if not completed)				
Additional Information:				
Labor Compliance:				
Any other changes:				
(Original – Project File cc – FHWA – with Proposed Final Estimate)				



U.S. Department of Transportation
Federal Highway Administration

Federal-Aid Ineligibility Notification

TO: _____ NOTIFICATION NUMBER: _____

Initial }
 Revised }
 Cancelled }

Use the same notification number shown on the initial notification.

PROJECT NUMBER: _____

Items identified below or on the attached sheet have been determined to be ineligible for Federal-aid reimbursement for the reasons stated:

ITEM:	TOTAL COST:
TOTAL INELIGIBLE COST	\$ _____
FEDERAL SHARE BILLED	\$ _____

The above items shall not be claimed until corrective action has been taken and approved by FHWA on a Form FHWA-1367. If the costs have been paid by FHWA, credits are due on the next request for reimbursement.

DISTRIBUTION:

SIGNATURE:	TITLE	DATE

Attachment 6

Processing and Distribution of Reports

Construction inspection reports should be prepared, processed and maintained electronically in accordance with guidance promulgated at Division Office Procedure Memorandum D1110, *Electronic Records*.

Initial, Intermediate or Final Construction Inspection Reports_(Form FHWA 1446A)

Copy to Director, Field Operations

Copy to the Field Operations Staff with collateral duty for Construction Monitoring
(see D-Memo D1106)

Copy to Division Specialist as appropriate.

Copy to Caltrans District or Resident Engineer

Copy to the Caltrans Construction Program (MS44)

Final Acceptance Report (Form FHWA 1446B)

Original to HFM (fiscal file)

Copy to Director, Field Operations

Copy to the Field Operations Engineer with collateral duty for Construction Monitoring
(see D-Memo D1106)

Copy to Caltrans Federal Resources (MS23) for State projects

Phase Inspection reports should be treated as Intermediate Inspection reports (as above).

Special Reports and Reviews should be prepared and transmitted as designated by the author(s). Such reports, reviews and presentations should also be designated for the appropriate subject file, if any.

Final inspection of Federal Lands Projects should be documented to project file by copy of the letter from FHWA to the sponsoring agency.