

TABLE 7.2-1(1) DOCUMENTATION & NOTICE REQUIREMENTS FROM CONTRACTORS

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VCSS §	SUBJECT MATTER	ACTION REQUIRED OF CONTRACTOR & REMARKS	WHEN REQUIRED
2-1.3	Execution of Contract Documents	Submit documents to ESD. Must be executed by Agency before Notice to Proceed is issued.	Before starting work.
2-2	Assignment of Contracts or Payments	Send written request to ESD. Assign of payments will be made on request. Assignment of contract requires Board approval.	When action desired.
2-3	List of Subcontractors	Furnish PM list of subcontractors to be used on the project including both listed subcontractors and those exempt from the listing law (i.e., Second or lower tier Subs and First tier Subs performing: a) less than 1/2 of 1% of prime contract; b) less than \$10,000 on road projects; or c) CCO work). List to include name, contractor license number and address of Subs and description and value of work subcontracted.	Before subcontractor starts work. May submit list before start of project and add exempt Subs and approved substituted Subs before they start work.
2-3	Substitution for Listed Subcontractors	Request substitution in writing and receive approval before Sub starts to work. See PPPM Supplement 7.2-1 . PM will furnish Contractor copy. ESD assists in processing requests for substitution for Listed Subcontractors.	When action desired. Must allow for statutory notification and hearing times.
2-5	Plans and Specifications	Maintain a copy of Plans & Specifications at work site, accessible to PM and Inspector. If a building permit is issued for the project, Building & Safety requires that a set of prints approved by them be at the site.	Continuous.
2-5.1	Notice of Errors or Omissions	Call to PM's attention, errors or omissions in Plans & Specifications.	When discovered.
2-5.3	Shop Drawings	Prepare, or have prepared, review, approve and transmit by letter, shop drawings and other required submittals to PM. Certain shop drawing require preparation by California Registered Engineer either by requirements of the specifications or by state registration laws.	Twenty working days before they are needed by the Contractor and before work on the item is started.
2-5.4	Record Drawings	Prepare and maintain a set of prints, in PM's field office, showing locations plumbing, mechanical and electrical facilities not fully detailed on plans, and authorized changes from original plans.	Continuous.
2-9.2	Field Survey Notes or Diagrams	Furnish copy of survey notes to PM.	Promptly after survey is made.
2-9.3.1	Discrepancies in Control Points	Notify PM of discrepancies in Agency set survey control points.	Before proceeding with construction.
2-11	Inspection Required	Perform all work in presence of Inspector, unless otherwise authorized. Notify PM of need for inspection.	Before noon of previous work day
2-11.1	Permit Inspection	Arrange for Code Compliance Inspections by all agencies having jurisdiction. Assure that required inspection record cards are signed and maintained.	As required by code enforcement agencies.
3-1	Changes Requested by Contractor	Request change in writing. Must be no cost or at reduced cost. Engineer's approval must be in writing (a CCO).	Before work is performed. Allow time for approval.

TABLE 7.2-1(2) DOCUMENTATION & NOTICE REQUIREMENTS FROM CONTRACTORS

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VCSS §	SUBJECT MATTER	ACTION REQUIRED OF CONTRACTOR & REMARKS	WHEN REQUIRED
3-2	Change Orders (CCOs)	Must be written and fully executed by Agency & Contractor before work is performed. If not executed by contractor, see Disputed Work, VCSS §3-5.	Before work is performed.
3-3.2.2 (e)	Invoices for Material & Equipment Rental	For Extra Work payment, furnish PM invoices for materials purchased, equipment rented and other costs to establish payment amount.	Promptly, otherwise PM establishes costs.
3-3.3	Extra Work Daily Reports	Furnish PM daily reports on Extra Work performed on Agency forms. See VCSS §3-3.3 for contents. Forms must be completed as to Labor classifications & hours, Equipment types & hours, and Material types and quantities used. Rates for labor & equipment and costs of materials & certified payrolls can be furnished later but before payment is made.	By close of work on next working day. Failure to furnish on time waives payment.
3-4	Changed Conditions	Notify PM in writing of alleged Changed Conditions before they are disturbed so that PM can investigate and notify the Contractor whether the PM agrees that there are changed conditions. If PM decides that there are no changed conditions, PM will direct Contractor to proceed under the contract. If contractor disagrees, file written Notice of Potential Claim per VCSS §3-4 & §6-11. If PM agrees that there are Changed Conditions, a CCO will be issued.	Upon discovery of Changed Conditions and before they are disturbed.
3-5	Disputed Work	Perform work if PM decides Disputed Work is part of contract and orders it in writing. If Contractor disagrees, file Notice of Potential Claim (VCSS §6-11) and make daily Extra Work Report (VCSS §3-3.3) as if the work is Extra Work. If a CCO is issued by Agency and Contractor does not agree to the compensation, file Notice of Potential Claim (VCSS §6-11), perform work and make Daily Extra Work Reports (VCSS §3-3.3). Payment will be made per CCO until disagreement is settled.	Notice of Potential Claim before performing work; Daily Extra Work Reports before close of following work day.
4-1.3.1	Certificates of Compliance	Furnish for specified pipe materials.	Before delivery or installation.
4-1.3.2	Inspection of Materials Not Locally Produced.	Arrange for inspection or testing and obtain PM's approval of Inspector or Testing Agency. Furnish reports required by PM.	Before start of manufacturer of material or items, or before delivery if already manufactured.
4-1.3.4	Certificates of Compliance	Furnish for any material or manufactured items produced outside jobsite when requested by PM and for other items as specified in the Special Provisions.	Before installation.

TABLE 7.2-1(3) DOCUMENTATION & NOTICE REQUIREMENTS FROM CONTRACTORS

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4-1.4	Tests of Materials	Notify PM in writing of intention to use materials for which tests are specified, naming supplier & source. Furnish & deliver samples of materials for testing as PM requires. Renotify PM if material tested has been used up and new material is to be used.	15 days minimum before use on job.
4-1.5	Certification of Materials	Furnish certification of material and test data when PM waives testing requirements of specifications.	Before use on job.
4-1.6	"Equals" Substitution	Submit information and tests to support requested substitution.	Within 35 days of Award of Contract. Allow time for review, possible rejection or approval.
4-1.7	Scales Accuracy	Submit Certificate of Compliance with accuracy standards.	Prior to use and later when requested by PM. Allow time for approval.
5-1	Utility Location	Request marking of underground utilities by Underground Service Alert of So. Calif. (USA).	Two days in advance of performing excavation in area.
5-2	Omitted or Incorrectly Located Utilities	Notify PM in writing.	When found.
5-2	Disturbed Utilities	Notify PM and utility owner if any utility is disturbed.	Immediately on disrupting.
5-2	Embedment or Damage to Coatings or Cathodic Protection	Notify PM and secure advice of utility owner if work damages coating or will embed any metallic pipeline or cathodic protection system.	Before embedment and upon causing damage.
5-5	Utility Caused Delays	Notify PM in writing of required timing of utility relocation, removal or protection needs necessary to maintain the planned and revised construction schedules.	As far in advance as possible.
6-1	Construction Schedule	Submit Construction Schedule complying with VCSS §6-1.	With signed contract.
6-1	Revised Construction Schedule	Submit revised Construction Schedule complying with VCSS §6-1.	Prior to making major changes in methods of operation; when schedule fails to reflect actual progress; when progress falls below fixed line on chart; or when required by Special Provisions.
6-1.1	Beginning of Work	Notify PM.	24 hours in advance.
6-6.4	Payment for Delays or Extensions of Time	File written request for payment and report as to cause and extent of delays.	Within 30 days after beginning of delay and at least 15 days before specified completion date.

TABLE 7.2-1(4) DOCUMENTATION & NOTICE REQUIREMENTS FROM CONTRACTORS

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6-6.4.1	Materials or Equipment Caused Delays	Furnish documentary proof of delays caused by inability to obtain materials or equipment per VCSS §6-6.4.1.	When requesting extension of time.
6-7.2.1	Working on Holidays	Obtain prior written approval of PM to work on holidays listed in column "A". Provide advance notice to PM of intention to work on holidays listed in column "B".	Two days prior to holiday.
6-7.3	Contract Time Accounting	File written notice of protest for disagreement with contract time charged as shown on biweekly Statements of Working Days.	Within 15 days after receipt of Statement.
6-8	Completion of Work	Furnish written assertion to PM that the Work has been completed. Note definition of "Work" in VCSS §1-2. For projects requiring any permits for construction, obtain an occupancy clearance from agencies issuing permits.	Prior to PM scheduling a Final Inspection.
6-8.6	Written Guarantees	Obtain and endorse all written guarantees required to be furnished by the specifications. This is part of the "Work".	Prior to PM scheduling a Final Inspection.
6-10	Use of Improvements by Agency	Obtain written notice from PM of taking over part of the work, to be relieved of responsibility for protecting completed work and cleaning it up.	When PM indicates a takeover of completed work except as provided by the specifications.
6-11	Notice of Potential Claim	Provide Engineer written Notice of Potential Claim (NPC) if it is believed that additional compensation is due under the contract and agreement can not be reached promptly. NPC shall include reasons for claim, nature of costs involved, and insofar as possible, the amount of the claim. See VCSS §3-4, §6-6.4, and §6-7.3 for exceptions to the requirement for NPC in specific situations and for the other types of notice required. No NPC is required for assertion of a claim based on differences in measurements or computation of quantities.	If based on an act or failure to act of the Engineer, prior to commencing the work on which claim is based. Otherwise, within 15 days after the occurrence giving rise to the potential claim. As PM & Contractor are to try to resolve disputes promptly, most claims will be based on decisions of PM.
6-12	Appeals of Decision of PM	Appeals to PM of PM's decision may be either oral or in writing. Appeals to the Department Director or Director of Public Works Agency shall be in writing with supporting evidence attached. Appeals must be made in the sequence provided by VCSS §6-12.2.	With in 21 days of receipt of decision being appealed. This includes decisions at each level of appeal.
6-12.3	Demand for Arbitration	Demand for Arbitration must follow exhaustion of administrative review as specified in VCSS 6-12.2.	File within 90 days of receipt of final written decision of Agency or, if none, within 300 days of acceptance of Work by Agency.
6-13.3	Contractor's Working Hours	Obtain written approval of PM for working at times prohibited by VCSS §6-13.1 & §6-13.2, except for emergency work.	Request 2 days in advance of time work is to be performed.

TABLE 7.2-1(5) DOCUMENTATION & NOTICE REQUIREMENTS FROM CONTRACTORS

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7-2.2	Payroll Records	Maintain payroll records for all workers including all tiers of subcontractors. Furnish records when required by Notice to Proceed, when requested by PM and as required by PCC §1776. Payrolls must be submitted for all work that is to be paid for under the "Extra Work" provisions.	On Federally financed jobs and jobs where continually submitted payrolls are required, within 10 working days after end of each payroll period. Others, within 10 working days after request.
7-2.2.2	Labor Code Sections in Subcontracts	LC § 1771, 1775, 1776, 1777.5, 1813 & 1815 must be included in all subcontracts.	When contracts are entered into.
7-4	Insurance Requirements	All required insurance must be kept in full force throughout the life of the contract and certificates of insurance furnished to the Agency.	Before Notice to Proceed is issued, and afterwards, before expiration of policies.
7-5, 7-5.2 & 7-5.4	Permits Required for Contractor Operations	Obtain permits required for Contractor's methods of operation and for any work performed outside of Agency's right-of-way or work area.	Before performing work requiring a permit.
7-5.1	Highway and Railroad Permits	Obtain permits from CALTRANS & railroads for work within their rights-of-way, even though Agency has already obtained a permit from them.	Before performing work requiring a permit.
7-5.3	Building Permits	Sign for any Building permits obtained by Agency.	Before performing work requiring a permit.
7-6	Contractor's Representative	Designate in writing a representative and, if desired, an alternate.	Before starting work, and if changed.
7-8.6	Water Pollution Control	Complete Storm Water Pollution Control Plan or Storm Water Pollution Prevention Plan as required.	Prior to issuance of Notice to Proceed.
7-9	Notice to Adjacent Property Owners	Notify adjacent property owners before damaging or removing plants, trees, fences, sprinkler systems, mail boxes & other improvements in Agency's rights-of-way or work area.	Allow reasonable time for owners to salvage.
7-10.3	Road Closures	Notify Police, Fire, Traffic and Engineering Departments of jurisdictions involved. Obtain approval of PM in writing if intending not to comply with all their requirements.	48 hours in advance of closing or partially closing street, alley or other public thoroughfare.
7-10.4.1	Safety Orders (Excavations over 5 feet in depth)	Submit to PM detailed plan showing design of shoring, bracing, sloping or other trench safety provisions. Variations from state standards require preparation by Registered Civil Engineer. Submit copy of State Division of Industrial Safety permit to PM.	Before any excavation deeper than 5 feet is started.
7-10.4.2	Explosives	Obtain PM's written approval.	Before use of explosives.
7-10.4.3	Hazardous Substances	Notify PM if a specified product cannot be used under safe conditions. Obtain Material Safety Data Sheets.	As early as possible & before use.
7-10.4.4	Confined Spaces Entry	Prepare & submit confined spaces entry program. Obtain permit as required.	Before entry into confined space.
7-10.4.5	Asbestos Warning Signs	Post area with warning signs complying with specifications if Agency employees working in existing buildings may come into contact with asbestos or products containing asbestos.	Before work is performed.

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7-12	Job Site Signs	Obtain PM's approval of size and location of signs.	Before posting.
7-15	Recyclable Wastes	Submit to Engineering Service Department a Construction & Demolition Debris Waste Diversion Plan (Form B) approved by PWA W&SD Integrated Waste Management Division (IWMD). Submit to Project Manager a Construction & Demolition Debris Waste Reporting form (Form C) approved by IWMD.	Prior to issuance of Notice to Proceed Prior to Project Manager authorizing the processing of final payment documents.
9-1.3	Weighmaster's Certification	Furnish PM duplicate weighmaster's certificates when payment is to be made on basis of weight.	As delivered.
9-2	Lump Sum Breakdown	Submit to PM in triplicate, a schedule, to be used for payment, of a Lump Sum contract or for each Lump Sum bid item (generally this is only required if the bid item is large and the work included is not all of one type).	Within 15 days after contract award.
9-3.1 & 9-4	Release on Contract	Furnish Agency a notarized Release on Contract on form prepared by Agency & furnished to Contractor.	Prior to Agency making Final Payment.
9-3.2	Change in Progress Payment Closure Date Payment for Extra Work	May make written request to Agency. Approval subject to Agency's need to spread payment date through the first 28 days of each month. Generally, only one change will be made for any contract. (Contracts with an Asphalt Index Adjustment clause will have closure date of the first of the month so that each months estimate will use only one index. No change in closure date will be made in this case.) Submit completed and approved Daily Extra Work Reports, invoices for materials and equipment and Certified Payrolls.	Must be received several days before requested closure date. Before payment for Extra Work will be processed.
9-3.2 & 9-3.2.1	Release of Retained Earnings; Escrow	If release of retained earnings is desired, set up escrow account, obtain Escrow Agreement & Escrow Instruction forms from Agency (don't use sample forms in bid documents), execute the forms, have Escrow (Bank) execute forms, and return to Agency. (Note that Escrow must furnish written determination of value of securities held before each closure date.)	Before closure date for which it is to be effective. Escrow monthly determination before date stated in Instructions.
9-3.3	Payment for Delivered Material	If payment is desired for material delivered to the project site but not yet incorporated in the Work, submit a certification on Agency's form, and invoices for, material on hand meeting the requirements of the specifications. A new certification must be made each month even if the same material and quantity is involved. Certification subject to PM's verification.	Prior to closure date.
10-3	Water Control Plan	Submit a Water Control Plan to PM if Work requires diverting or controlling water to allow construction in the "dry".	Before diverting or controlling water, and if plan is changed.

TABLE 7.2-1(7) DOCUMENTATION & NOTICE REQUIREMENTS FROM CONTRACTORS

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Proposal Form, Special Provisions, Law	Federal Requirements	If project uses any Federal funding, many special laws govern project and many reports are required. Certified Payrolls are required on a regular basis. See specifications for details.	As required by Law & Specifications.
Special Provisions	Other Requirements	Special Provisions and Laws may contain requirements for other types of documentation. PM should include in the Notice of Award Information Sheet, a list of items not required by VCSS that must be checked by ESD-Contract Service Specialist before issuing Notice to Proceed.	As required by Special Provisions or by Law.