



## QUALITY ASSURANCE PROGRAM (QAP)

AGENCY: CITY OF CRESCENT CITY

The purpose of this program is to provide assurance that all materials incorporated into construction projects managed by the City of Crescent City are in conformance with the applicable contract specifications. This program should be updated every five (5) years, or more often if there are changes in the testing frequencies or to the tests themselves. For purposes of this program, the following terms and definitions will be used:

### DEFINITION OF TERMS

- Acceptance Testing (AT) – Sampling and testing or inspection to determine the degree of compliance with contract requirements.
- Independent Assurance Program (IAP) – Verification that AT is being performed correctly by qualified testers and laboratories.
- Quality Assurance Program (QAP) – A sampling and testing program that will provide assurance that the materials and workmanship incorporated into the construction project are in conformance with the contract specifications. The main elements of a QAP are the AT and IAP.
- Source Inspection – AT of manufactured and prefabricated materials at locations other than the job site, generally at the location of manufacture.
- City – City of Crescent City
- Caltrans – California Department of Transportation

### ACCEPTANCE TESTING (AT)

AT will be performed by a materials laboratory certified to perform the required tests. The tests results will be used to ensure that all materials incorporated into the project are in compliance with the contract specifications.

Testing methods will be in accordance with the CT Methods or a national recognized standard (i.e., AASHTO, ASTM, etc.) as specified in the contract specifications.

Sample locations and frequencies may be in accordance with the contract specifications. If not so specified in the contract specifications, samples shall be taken at the locations and frequencies as shown in Attachment #1 (Appendix D, "Acceptance Sampling and Testing Frequencies" of the QAP Manual).



The AT materials laboratory used shall provide documentation that the laboratory complies with the following procedures:

1. **Correlation Testing Program** – The materials laboratory shall be a participant in one or more of the following testing programs:
  - AASHTO Materials Reference Laboratory (AMRL)
  - Cement and Concrete Reference Laboratory (CCRL)
  - Caltrans Reference Sample Program (RSP)

The materials laboratory shall be required to provide evidence of the appropriate certification prior to commencing with AT. A copy of the materials laboratory certification shall be placed in the construction files.

2. **Certification of Personnel** – The materials laboratory shall use personnel who are certified by one or more of the following:
  - Caltrans District Materials Engineer
  - Nationally recognized non-Caltrans organizations (Such as, the American Concrete Institute, Asphalt Institute, National Institute of Certification of Engineering Technologies, etc.)
  - Other recognized organizations approved by the State of California and /or recognized by local governments or private associations.

The materials laboratory shall be required to provide evidence of the appropriate certifications of its personnel prior to commencing with AT. Copies of the Certifications of personnel shall be placed in the construction files.

3. **Laboratory and Testing Equipment** – The AT materials laboratory shall only use laboratory and testing equipment that is in good working order. All such equipment shall be calibrated at least once each year.

All testing equipment must be calibrated by impartial means using devices of accuracy traceable to the National Institute of Standards and Technology. A decal shall be firmly affixed to each piece of equipment showing the date of the last calibration.

Current AASHTO or Caltrans certification of the materials laboratory will be considered evidence that the testing equipment is in good working order and is properly calibrated.

### **Acceptance Testing (AT) Frequency**

The locations and frequencies for AT shall be identified in the contract specifications and shall be as approved by the City Engineer.



The “Sampling and Testing Frequencies” shown in Attachment 1 shall be used as a guide for the frequency of sampling under normal conditions. Material well within specifications and uniform in character may result in less frequent AT to ensure specification compliance, as approved by the City Engineer. Materials supplied from reliable sources and proven by frequent testing to be of uniform high quality, may subsequently receive less AT than indicated in the frequency tables; however, deviations from the frequency tables shall be noted and explained in the construction files. When materials are being furnished intermittently, the frequency of AT may need to be increased to ensure that specification materials are being incorporated into the work.

When tests fail, additional AT may be necessary to isolate the affected work. Documentation of the results of such additional tests shall be included in the construction files, including a description of the corrective measures taken.

As mentioned previously, Attachment 1 of the City’s QAP shall be used as a guide for all projects on City maintained roadways/rights-of-way. The City Engineer may choose to supplement the City’s QAP standards with some or all of Appendix D of the Caltrans QAP. As required by the Federal Highway Administration (FHWA), Appendix D of the Caltrans QAP shall be used for all projects on the National Highway System (NHS).

Relatively minor quantities of construction materials may be accepted without AT provided acceptance conforms to the conditions stated in below:

1. The construction inspector, on the basis of a visual examination, may accept minor quantities of materials without testing, provided the source of the supplies is known to furnish similar materials for the project or other projects that have been found to be satisfactory using normal sampling and testing requirements.
2. Acceptance of a product may be based on a certificate of compliance.

Generally, this provides for accepting minor quantities of materials from a commercial source that is known to be a supplier of the specification material.

Documentation for acceptance of material as describe in above-paragraphs 1 and 2 shall be provided in the construction files. Documentation should include statements in the inspector’s reports that indicate conditions under which the material was accepted (e.g., description, quantity, location, where placed, certification numbers, and/or other accompanying data). City of Crescent City Page 4 of 7 Quality Assurance Program

As a guideline, the following list provides approximate maximum quantities of materials that maybe accepted under the conditions described in above-



paragraphs 1 and 2. (This list is not intended to be inclusive of all materials that may be accepted in this manner):

- Aggregates other than for use in Portland cement concrete (PCC)—not to exceed 100 tons per day may be sampled at Engineer’s discretion if project total is less than 500 tons.
- Bituminous mixtures (e.g., hot mix asphalt [HMA])—not to exceed 50 tons per day may be sampled at Engineer’s discretion if project total is less than 500 tons.
- Bituminous material (e.g., asphaltic emulsion) not to exceed 100 gallons per project may be sampled at Engineer’s discretion.
- Masonry items—at the Engineer’s discretion, check dimensions of products for specification compliance and uniformity of manufacture.
- Materials used for improvement projects with a total length not to exceed the distance of the frontage of one property

### **INDEPENDENT ASSURANCE (IA)**

IA testing may be used to verify that AT sampling and testing procedures are being performed properly and that all testing equipment is in good condition and properly calibrated. IA testing, when required, shall be provided by personnel from Caltrans or consultant’s certified materials laboratory.

IA personnel shall be certified in all required testing procedures, as part of IA, and shall not be involved in any aspect of AT.

The City shall perform IA testing on Federal-aid and other designated projects. The materials laboratory performing the IA testing shall be under the responsible management of a California registered civil engineer with experience in sampling, inspection, and testing of construction materials. The engineer shall certify the results of all tests performed by laboratory personnel under the Engineer’s supervision. The materials laboratory shall contain certified test equipment capable of performing the tests conforming to the provisions of this QAP.

IA shall be performed on every type of materials test required for the project. At the discretion of the City, proficiency tests shall be performed on Sieve Analysis, Sand Equivalent, and Cleanness Value tests.

Poor correlation between acceptance tester’s results and other test results may indicate probable deficiencies with the acceptance sampling and testing procedures. In cases of unresolved discrepancies, a complete review of AT shall be performed by IA personnel, or an independent materials laboratory chosen by the City of Crescent City. IA samples



and tests are not to be used for determining compliance with contract requirements. Compliance with contract requirements is determined only by AT.

## **TESTING OF MANUFACTURED MATERIALS**

Acceptance of manufactured and prefabricated structural materials shall be based on either source inspection or a certificate of compliance.

## **SOURCE INSPECTION**

If source inspection is determined to be appropriate, the inspection will normally be performed by a qualified consultant working for the City. If a qualified consultant is not available, and prior to submitting a request for authorization for the construction phase of a project, the City may submit a "Source Inspection Request" (see Exhibit 16-V of the *Local Assistance Procedures Manual* [LAPM]) to Caltrans. Caltrans source inspection services are performed on a reimbursable basis. The Caltrans source inspection shall be indicated on the request for authorization checklist and finance letter. If Caltrans accepts the request to conduct source inspection, all sampling, testing, and acceptance of manufactured and prefabricated materials will be performed by Caltrans' Office of Materials Engineering and Testing Services (METs). The Resident Engineer requests the Caltrans source inspection by completing and submitted a "Notice of Materials to be Used" from CEM-3101.

## **CERTIFICATE OF COMPLIANCE**

Certificates of compliance are appropriate for products, materials, or assemblies that are non custom structural items with a history of having met specifications based upon previous sampling and testing. A list of materials that can be accepted by a certificate of compliance is included in Attachment 2.

Manufactured products, materials, or assemblies used on the basis of certificates may be sampled again at the job site and tested at any time during the life of the contract. Items found later not in conformance with contract requirements shall be subject to rejection whether in place or not.

Certificates of compliance for each item shall be placed in the construction project files.

Acceptance of additional materials approved by means of certificates of compliance shall be as approved by the City Engineer. All certificates of compliance shall conform to the requirements of the contract specifications and state that the included materials and workmanship conform in all respects to the project specifications for the material. The certified material lot number and project name shall be clearly identified on the certificate and on lot tags affixed or stenciled to the released materials. Project



inspectors shall reference certificates, materials incorporated into work, and lot numbers in daily inspection reports. An example certificate of compliance is included in Attachment 2

### **REPORTING TEST RESULTS**

Generally, test results should be reported to the Resident Engineer within 24 hours after sampling. Test results for materials with wait-times (e.g., concrete cylinders) should be reported to the Resident Engineer within 24 hours after testing. Test results that indicate non-compliant work shall be reported to the Resident Engineer immediately after the testing is completed.

### **TESTING OF MANUFACTURED MATERIALS**

During the Design phase of the project, the Project Engineer may submit a "Source Inspection Request" see Attachment#2 (Exhibit 16-V of the LAPM), to the City of Crescent City, consultant, or Caltrans for inspection and testing of manufactured and prefabricated materials by their materials laboratory. A list of materials that can be typically accepted on the basis of certificates of compliance during construction is found in Attachment #3 (Appendix F of the QAP Manual). All certificates of compliance shall conform to the requirements of the contract specifications, for examples see Attachment #4 (Appendix J of the QAP Manual).

Should the City of Crescent City request Caltrans to conduct the source inspection, and the request is accepted, all sampling, testing, and acceptance of manufactured and prefabricated materials will be performed by Caltrans' Office of Materials Engineering and Testing Services.

For Federal-aid projects on the National Highway System (NHS), Caltrans will assist in certifying the materials laboratory, and the acceptance samplers and testers. For Federal-aid projects off the NHS, Caltrans may be able to assist in certifying the materials laboratory, and the acceptance samplers and testers.

### **REPORTING TEST RESULTS**

Generally, test results should be reported to the Resident Engineer within 24 hours after sampling. Test results for materials with wait-times (e.g., concrete cylinders) should be reported to the Resident Engineer within 24 hours after testing. Test results that indicate non-compliant work shall be reported to the Resident Engineer immediately after the testing is completed.



## **PROJECT CERTIFICATION**

Upon completion of a Federal-aid project, a "Materials Certificate" (Exhibit 17-G of the LAPM) shall be completed by the Resident Engineer. The City of Crescent City shall include a "Materials Certificate" in the Report of Expenditures submitted to the Caltrans upon project completion. A copy of the "Materials Certificate" shall also be included in the construction project files. All materials incorporated into the work, but that did not conform to specifications, must be explained and justified on the "Materials Certificate," including changes by virtue of contract change orders.

## **RECORDS**

All material records of samples and tests, material releases and certificates of compliance for the construction project shall be incorporated into the Resident Engineer's project file. If a Federal-aid project:

- In general, the files shall be organized as described in Chapter 16 "Administer Construction Contracts" of the Local Assistance Procedures Manual.
- Complete project files should be available at a single location for inspection by Caltrans and FHWA personnel.
- The project files shall be available for at least three years following the date of final project voucher.
- The use of a summary log is required. The summary log shall include appropriate data, such as, station, location, depth of sample, approximately quantity of material represented by the test sample, test result and tester. Failing test results shall be addressed by the Resident Engineer. Generally, failed tests require retesting of the material with cross-reference of the retest to the initial failing test result previously entered in the summary log. There will be times, where it is appropriate for inspection staff to use professional judgement to accept a material with a failed test result (e.g., a failed subgrade compaction test that gets re-compacted by the Contractor when the AT personnel are not immediately available to perform a re-test).

When two or more projects are being furnished identical materials simultaneously from the same plant, it is not necessary to take separate samples or perform separate tests for each project; however, copies of the test reports are to be provided for each of the projects to complete the records.

## **ATTACHMENTS:**

1. Acceptance Sampling and Testing Frequencies
2. Sample Certificate of Compliance and list of Materials Typically Accepted by a Certificate of Compliance.

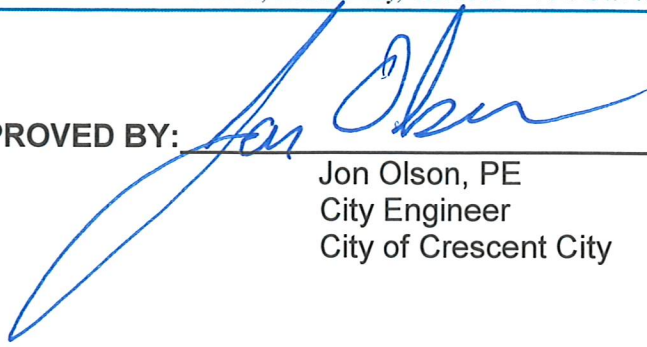


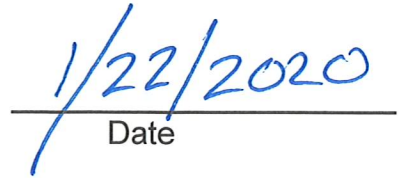
**City of Crescent City**  
*Where the Redwoods Meet the Sea*

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APPROVED BY:

  
\_\_\_\_\_  
Jon Olson, PE  
City Engineer  
City of Crescent City

  
\_\_\_\_\_  
Date



# Attachment 1

## Acceptance Sampling and Testing Frequencies

### 1. Roadway Excavation and Embankment:

Test Method	Description	Minimum AT Frequency
CT 231	Relative Compaction by the Area Concept Using Nuclear Gages	As specified in the Caltrans procedure but not less than: <ul style="list-style-type: none"> <li>• 1 test for each 2 feet of embankment measured vertically and a minimum of 3 tests for areas less than 1,000 sq-yds</li> <li>• 1 test for every 300 feet of trench length and for every 3 feet of trench depth</li> </ul>
CT 301	Resistance (R) Value	<ul style="list-style-type: none"> <li>• 1 test on material below the grading plane for every 1,000 feet of roadway length at the discretion of the Engineer</li> </ul>

### 2. Imported Borrow:

Test Method	Description	Minimum AT Frequency
CT 301	Resistance (R) Value	<ul style="list-style-type: none"> <li>• 1 test for each supplier and product<sup>1,2</sup></li> </ul>
1. If required by County Engineer 2. Contractor must provide current test results of proposed material(s) prior to use.		

### 3. Structure Backfill

Test Method	Description	Minimum AT Frequency
Various	Certificates of Compliance for imported backfill materials	<ul style="list-style-type: none"> <li>• 1 for each supplier and product</li> </ul>
CT 202	Sieve Analysis.	<ul style="list-style-type: none"> <li>• 1 test for each supplier and product<sup>1,2</sup></li> </ul>
CT 231	Relative Compaction by the Area Concept Using Nuclear Gages	As specified in the Caltrans procedure but not less than: <ul style="list-style-type: none"> <li>• 1 test for each 2 feet of embankment measured vertically and a minimum of 3 tests for areas less than 1,000 sq-yds</li> <li>• 1 test for every 300 feet of trench length and for every 3 feet of trench depth</li> </ul>
1. If required by County Engineer 2. Contractor must provide current test results of proposed material(s) prior to use.		

**4. Rock Slope Protection:**

Test Method	Description	Minimum AT Frequency
Various	Certificates of Compliance for imported materials	<ul style="list-style-type: none"> <li>1 for each supplier and product.</li> </ul>
CT 206	Specific Gravity and Absorption of Coarse Aggregate	<ul style="list-style-type: none"> <li>1 test for each supplier and product for significant projects in the County right-of-way<sup>1,2</sup></li> </ul>
CT 229	Durability Index	
<ol style="list-style-type: none"> <li>If required by County Engineer</li> <li>Contractor must provide current test results of proposed material(s) prior to use.</li> </ol>		

**5. Concrete Backfill and Slurry Backfill:**

Test Method	Description	Minimum AT Frequency
Various	Mix Design Submittal	<ul style="list-style-type: none"> <li>Minimum 1 design mix submittal for each material type<sup>1</sup></li> </ul>
	Weighmaster Certificates	<ul style="list-style-type: none"> <li>1 for each material delivery</li> </ul>
<ol style="list-style-type: none"> <li>Contractor must provide current test results of proposed material(s) prior to use.</li> </ol>		

**6. Aggregate Base and Subbase:**

Test Method	Description	Minimum AT Frequency
Various	Certificates of Compliance	<ul style="list-style-type: none"> <li>1 for each supplier and product.</li> </ul>
CT 202	Sieve Analysis of Fine and Coarse Aggregates	<ul style="list-style-type: none"> <li>1 test for each supplier and product for significant projects in the County right-of-way</li> <li>1 test for each 1,000 cy placed.<sup>1,2</sup></li> </ul>
CT 217	Sand Equivalent	
CT 229	Durability Index	
CT 231	Relative Compaction of Aggregates by the Area Concept Utilizing Nuclear Gages	<ul style="list-style-type: none"> <li>1 test for every 300 feet of street length and 1 for each localized area for significant projects in the County right-of-way</li> </ul>
CT 301	Resistance (R) Value	<ul style="list-style-type: none"> <li>1 test for each supplier and product for significant projects in the County right-of-way<sup>1,2</sup></li> </ul>
<ol style="list-style-type: none"> <li>If required by County Engineer</li> <li>Contractor must provide current test results of proposed material(s) prior to use.</li> </ol>		

**7. Hot Mix Asphalt:**

Test Method	Description	Minimum AT Frequency
Various	Various	In accordance with Caltrans Section 39, Standard Process

### 8. Structural Concrete:

Test Method	Description	Minimum AT Frequency
Various	Mix Design Submittal	<ul style="list-style-type: none"> <li>Minimum 1 design mix submittal for each material type<sup>1</sup></li> </ul>
CT 202	Sieve Analysis of Fine and Coarse Aggregates	<ul style="list-style-type: none"> <li>1 test on material in mix design for significant projects in the County right-of-way must be submitted, not more than 60 days before notice to proceed.</li> </ul>
CT 206	Specific Gravity and Absorption of Coarse Aggregate	
CT 211	Abrasion of Coarse Aggregate By Use of The Los Angeles Rattler Machine	
ASTM C595, ASTM C 150-02a	Certificate of Compliance for Cement	<ul style="list-style-type: none"> <li>1 certificate for each supplier and product for significant projects in the County right-of-way<sup>1</sup></li> </ul>
ASTM C260	Certificate of Compliance for Air Entrainment Admixture	
ASTM C494	Certificate of Compliance for Water Reducers or Set Retarder Admixtures	
ASTM C309	Certificate of Compliance for Curing Compound	
CT 521	Concrete Compressive Strength	<ul style="list-style-type: none"> <li>1 set for each 150 cubic yards placed but not less than one set for day during structural concrete placement.</li> </ul>
CT 543	Air Content of Freshly Mixed Concrete By the Volumetric Method	
CT 556	Slump of Fresh Portland Cement Concrete	
CT 557	Temperature of Portland Cement Concrete at Time of Placement	
1. Contractor must provide current test results of proposed material(s) prior to use.		

### 9. Slurry Seals

Test Method	Description	Minimum AT Frequency
CT 217	Sand Equivalent for Aggregate	<ul style="list-style-type: none"> <li>1 test for each supplier and product for significant projects in the County right-of-way <sup>1,2</sup></li> </ul>
CT 202	Sieve Analysis for Aggregate	
CT 229	Durability Index	
1. If required by County Engineer.		
2. Contractor must provide current test results of proposed material(s) prior to use.		

### 10. Chip Seals

Test Method	Description	Minimum AT Frequency
CT 217	Sand Equivalent for Aggregate	<ul style="list-style-type: none"> <li>1 test for each supplier and product for significant projects in the County right-of-way <sup>1,2</sup></li> </ul>
CT 202	Sieve Analysis for Aggregate	
CT 229	Durability Index	
1. If required by County Engineer.		
2. Contractor must provide current test results of proposed material(s) prior to use.		

**11. Emulsions**

<b>Test Method</b>	<b>Description</b>	<b>Minimum AT Frequency</b>
Various	Certificates of Compliance	• 1 for each supplier and product
AASHTO T59	Residue	• 1 test for each supplier and product for significant projects in the County right-of-way <sup>1,2</sup>
AASHTO T49	Penetration	
1. If required by County Engineer 2. Contractor must provide current test results of proposed material(s) prior to use.		

**SAMPLE COVER MEMO SOURCE  
INSPECTION REQUEST FROM  
LOCAL AGENCY TO  
CALTRANS' DISTRICT LOCAL ASSISTANCE ENGINEER**  
*(Prepared By Applicant On Applicant Letterhead)*

To: (DLAE name)  
Caltrans' District Local Assistance Engineer  
Caltrans' Local Assistance Office  
(District office Address)

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

Federal-aid Project Number: \_\_\_\_\_ (if one has been assigned)

Project Description \_\_\_\_\_

Project Location: \_\_\_\_\_

Subject: (Source Inspection for Project Name, County) \_\_\_\_\_

We are requesting that Caltrans provide Source Inspection (reimbursed) services for the above mentioned project. We understand we are responsible for paying for this service provided for by the State. Listed below are the materials for which we are requesting Caltrans' Source Inspection (reimbursed) services.

Materials that will require source inspection:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Justification for request: (Based on the requirements in Section 16.14 under "Source Inspection") \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Any question you might have about the above materials should be directed

to: \_\_\_\_\_, at (phone #) \_\_\_\_\_.

**Approved:**

\_\_\_\_\_  
(Applicant Representative Name)

\_\_\_\_\_  
(DLAE name)  
District Local Assistance Engineer

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Local agency, name & address)

## **Construction Materials Typically Accepted by a Certificate of Compliance**

- Soil Amendment
- Fiber Mulch, Seeds and Straw
- Cobbles
- Stabilizing Emulsion
- Plastic Pipe Supply, Irrigation Lines and Related Hardware
- Irrigation Controllers
- Lime
- Preformed Elastomeric Joint Seal
- Plan and Fabric Reinforced Elastomeric Bearing Pads
- Steel Reinforced Elastomeric Bearing Pads
- Waterstops
- Geotextiles
- Reinforcing Steel (Including Epoxy Coated)
- Structural Timber and Lumber
- Treated Timber and Lumber
- Timber and Lumber
- Manholes, Catch Basins and Drainage Inlets (Including Misc. Iron and Steel)
- Culvert and Drainage Pipe Joints
- Reinforced Concrete Pipe
- Corrugated Steel Pipe and Corrugated Steel Pipe Arches
- Structural Metal Plate Pipe Arches and Pipe Arches
- Perforated Steel Pipe
- Plastic Pipe
- Steel Entrance Tapers, Pipe Down drains, Reducers, Coupling Bands and Slip Joints
- Aluminum Pipe (Entrance Tapers, Arches, Pipe Down drains, Reducers, Coupling Bands and Slip Joints)
- Fencing and Related Hardware
- Metal Railings, Barriers and Related Hardware
- Metal Target Plates
- Sign Posts, Panels and Related Hardware
- Delineators and Markers
- Electrical Conductors and Related Hardware
- Signal and Street Lighting Foundation Bolts, Standards, Mast Arms, Fixtures and Related Hardware
- Portland Cement
- Concrete Coarse Aggregate (Minor Projects)
- Concrete Fine Aggregate (Minor Projects)
- PCC Admixtures
- Minor Concrete
- Asphalt (Oil), Liquid Asphalt and Asphaltic Emulsion
- Epoxy
- Truncated Domes
- Paint and Thermoplastic

# Sample Certificate of Compliance

## COMPANY LETTERHEAD

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### CERTIFICATE OF COMPLIANCE

For Contract \_\_\_\_\_

I certify that the material listed below complies with the material and workmanship requirements of the Caltrans Contract Plans, Special Provisions, Standard Specifications and Standard Plans for the contract listed above.

I also certify that I am an official representative for \_\_\_\_\_, the manufacturer of the material listed below. Furthermore, I certify that where California Test methods, physical, or chemical test requirements are part of the specifications, that the manufacturer has performed the necessary quality control to substantiate this certification.

**Material Description:**

Manufacturer: _____
Model: _____
Serial Number (if applicable): _____
Quantity to be supplied: _____
Remarks: _____

Signed by: \_\_\_\_\_

Printed Name: \_\_\_\_\_

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

Company: \_\_\_\_\_

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



**Appendix K - Examples of Materials Certificates/Exceptions  
 (Signed by the Resident Engineer at the Completion  
 of the Project)**

Federal-aid Project No.: Project HP21L – 5055 – 111

**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.

All materials exceptions to the plans and specifications on this project are noted below.

No exceptions were found to the plans and specifications on this project.

Bill Sanders  
 Resident Engineer (Print Name)

Bill Sanders  
 Resident Engineer (Signature)

7/7/07  
 (Date)

**Note:** The signed original of this certificate is placed in the Resident Engineer’s project files and one copy is mailed to the DLAE and filed under “Report of Expenditures.”

**See the attachment (next page)**





# Local Agencies Quality Assurance Program (QAP) Review

1. Local Agency Name: **City of Crescent City**

2. Date of QAP Revision: **1/22/2020**

3. Date of Original QAP: **1/22/2020**

4. Name of the local agency engineer who approved the QAP: **John Olson, PE Ciy Engineer City of Crescent City.**

(Note: QAP must be approved by a registered Public Works director or a registered engineer.)

5. Does local agency currently have any Federal-aid transportation project on the NHS or SHS?

Yes

No

(Note: Local agencies must construct at least one project on the NHS or SHS to be qualified for Caltrans Independent Assurance services.)

6. What **Standard Plans and Specifications** have been used by local agency?

AASHTO

ASTM

Caltrans

Greenbook

Others (Please specify:.....)

**Not Disclosed**

7. What **Testing Methods** have been used by local agency?

AASHTO

ASTM

CTMs

Greenbook

Others (Please specify:.....)

8. How does local agency perform **Materials Testing** on its construction projects?

Local agency owns fully functional materials testing laboratories.

Local agency contracts-out all its sampling and testing services.

Local agency uses a combination of both - public labs and private labs.

9. Has local agency adopted the latest **Caltrans QAP** (Rev. Dec. 08)?

Yes

No

(If the answer is "No", please proceed to item 11.)

(Item 10 must be answered if local agency has adopted Caltrans QAP.)

10. Which items from the following have been included in the local agencies QAP?

Acceptance Sampling and Testing Frequency Tables

A Sample of Source Inspection Requests

Construction Materials Accepted by a Certificate of Compliance

Example of a Vendor's Certificates of Compliance

Example of Materials Certificates / Exceptions signed at the completion of the projects

11. Does local agency have any **Independent Assurance (IA)** program in place for its Federal-aid projects off the NHS?

Yes

No

12. How do local agency laboratories perform their annual **Proficiency Tests** (Correlation Tests)?

Through Caltrans Reference Sample Program (for CTMs)

Through AMRL and/or CCRL (for ASTM and AASHTO standards)

None

(Items 13 through 15 must be answered if local agency has developed its own QAP and IA program.)

13. Verify if local agency **Acceptance Testing** procedure includes:

Testing Frequency Tables

Maintaining Acceptance Testing Records and Materials Documents



Continue on next page  
**Local Agencies**  
**Quality Assurance Program (QAP) Review**

Continued from previous page

14. Verify if local agency **IA program** includes:

- Procedure to qualify materials testing laboratories and testing personnel
- Procedure to calibrate and test equipments being used for acceptance tests
- Procedure for witnessing sampling and testing by acceptance testers
- A written procedure for dispute resolution

15. Is there any procedure for **Testing / Accepting of Manufactured & Prefabricated Materials** either by source inspection, job inspection or certificate of compliance in the local agency QAP?

- Yes       No

Based on the criteria described in “*Caltrans Local Assistance Procedure Manual*” and “*Caltrans Manual of Quality Assurance Procedure for use by Local Agencies*” this QAP, which has been submitted by local agency described in sections 1 through 4 of this document,

- complies with Caltrans current requirements
- does not comply with Caltrans requirements

Please update your QAP according to the following recommendation and re-submit it to your local DLAE, District Local Assistance Engineer, office for further review and consideration:

This QAP seems to be in compliance with the minimum Caltrans QAP Requirements.

Reminder:

According to the "Caltrans Manual of Quality Assurance Program For Use by Local Agencies", revision Dec. 2008, a QAP should be updated as needed, and at least once every five years.

This document has been prepared by Ignocencio Herrera, Caltrans, METS, Local Assistance IA staff. Print Name

Ignocencio Herrera  
Signature

2/14/20  
Date