



Division of Local Assistance Quarterly Report on Construction Oversight of Local Agency ARRA Projects

2011 Federal Fiscal Year
4th Quarter



Office of Policy Development & Quality Assurance

November 2011

Federal Fiscal Year 2011 4th Quarter Information

Background:

As a result of a budget change proposal, seven construction oversight engineer positions were created within the division of local assistance to perform construction oversight of local agencies' contract administration of ARRA funded transportation projects. These positions were filled in early 2010 and consist of six senior engineers located across the state performing project reviews and one senior engineer located in Sacramento serving as program coordinator. Currently, construction oversight engineers are performing both Caltrans reviews and joint reviews with FHWA on local agency ARRA projects. The joint review projects are selected by FHWA and utilize a checklist developed by FHWA that covers a wide range of items from project development through construction contract closeout. Caltrans reviews and the related checklists are focused on contract administration and are performed at three milestones (preconstruction, mid-project and after-acceptance) during the life of the selected projects. At preconstruction reviews, expectations for contract administration are discussed with the local agency's contract administration personnel. During the mid-project reviews, feedback is provided to the local agency on how contract administration is being performed thereby allowing corrections in procedures to be made in a more timely manner. After acceptance reviews provide a detailed view of the project's contract administration and may allow local agencies a final opportunity to address noted shortcomings. At the completion of joint reviews and each Caltrans review, results are shared with the local agency and transmitted to the program coordinator for compilation in a quarterly report to FHWA. Common problem areas are noted in the report and a recommendation section proposes how to address areas of significant concern through issuance of Caltrans oversight information notices (COINs) for direction to existing policy or procedures, development of office bulletins for new policy or procedures, modification of training modules, or performance of process reviews to further analyze areas of concern. The quarterly reports are issued to FHWA and posted on division of local assistance's website for local agencies use. COINs and office bulletins are issued directly to those members of the subscription service. Any significant project issues or deficiencies are discussed and resolved with the project's district local assistance engineer (DLAE).

Performance/Narrative:

- As of the end of the fourth quarter, the following ARRA project reviews have been performed:
 - 389 joint reviews with 275 different local agencies involving \$415 million in ARRA dollars
 - 668 Caltrans reviews with 302 different local agencies involving \$455 million in ARRA dollars
 - Caltrans reviews to date are comprised of 189 preconstruction reviews, 187 mid-project reviews and 294 after-acceptance reviews
- As of March 15, 2011 approximately 880 local agency ARRA projects have been authorized. Forty-four percent of authorized ARRA projects have received joint reviews and forty-five percent of authorized ARRA projects have received Caltrans reviews. In combination, seventy percent of authorized ARRA projects have received either joint or Caltrans reviews. Joint reviews have been performed on sixty-five percent of local agencies administering ARRA projects. Caltrans reviews have been performed on seventy-two percent of local agencies administering ARRA projects. In combination, ninety-five percent of local agencies administering ARRA projects have received either joint or Caltrans reviews.
- The top ten frequently observed problem areas noted from all joint reviews performed to date have been tabulated and are included within this report. Note that no new joint reviews were performed in the last two quarters.
- Caltrans reviews this quarter consisted of 3 (4%) preconstruction reviews, 15 (20%) mid project reviews and 56 (76%) after acceptance reviews. As the limited number of ARRA projects have aged through authorization, advertisement, award, construction and acceptance milestones, preconstruction reviews as a percentage have been decreasing over the last six quarters. Correspondingly, after-acceptance reviews as a percentage continue to increase.
- The number of reviews performed each quarter has continued to decline due to a shrinking universe of ARRA projects and increased efforts in resolving previously noted project deficiencies. One change in project selection implemented this quarter was to examine non-ARRA federal-aid projects of agencies that showed weaknesses on their ARRA federal-aid projects. The purpose of these non-ARRA reviews is to verify that local agencies have corrected their policies, procedures or practices that were found to be deficient during their ARRA reviews. These type of non-ARRA reviews will not follow the three-part review process (i.e. preconstruction, mid project and after acceptance reviews), but rather utilize either mid project or an after acceptance review to validate the agencies policies, procedures or practices.

Federal Fiscal Year 2011 4th Quarter Information

Trends:

- An analysis of the 15 mid-project reviews performed this quarter has been included in this report and compared against the previous five quarters results for trend analysis. Significant items from this analysis are as follows:

- Six of the categorical composite areas showed positive trends, while four showed negative trends and one was unchanged.
- The largest positive increase (+11%) was noted in the labor compliance & equal employment opportunity category while the contract change order review area showed the largest decreases (-10%).

-An analysis of the 56 after-acceptance reviews performed this quarter has been included in this report and compared against the previous four quarters results for trend analysis. Significant items from this analysis are as follows:

- Six of the categorical composite areas showed positive trends, while four showed negative trends and one was unchanged.
- The largest positive increase (+5%) was noted in the contract change order review category while the resident engineer and inspector daily diaries category showed the largest decrease (-3%).

-It is important to note that this quarter's after acceptance reviews consisted of a high percentage of projects that had not received previous reviews [i.e. 55% of after acceptance reviews this quarter did not have preceding reviews]. These type of projects were targeted this quarter because opportunities to perform preconstruction reviews have lessened with the aging of the ARRA program. Similar to last quarter's report, a comparison of projects receiving only after acceptance reviews to those receiving after acceptance reviews and other reviews is included. There appears to be significant performance improvement in those projects which received more than an after acceptance review.

Improvements and Actions:

- One Caltrans oversight information notice (COIN) was issued in August concerning "Buy America" requirements.

-Two COINs were issued in March concerning support documentation for payments and administration of contract time.

-The COINs may be viewed at <http://www.dot.ca.gov/hq/LocalPrograms/COIN/index.htm>

-The Caltrans three-part checklist was revised to provide additional details in the areas of daily diaries and prompt payment.

In addition, certain questions were modified based on previous difficulties in obtaining subject information. The use of the revised checklist began on October 1, 2010.

-The Local Assistance Resident Engineer Academy was revised to update materials and include a portion regarding construction oversight and frequently observed problem areas in contract administration. A total of three academies were delivered in this quarter (Sacramento – February 14th through February 18th, Moreno Valley – March 21st through March 25th, and Oxnard - March 28th through April 1st).

-Due to the aging of ARRA projects, project reviews will consist largely of after acceptance reviews on remaining ARRA projects.

-An increasing number of non-ARRA federal aid project reviews will be performed to determine if local agencies have made corrective changes to their policies and procedures that were identified during their ARRA project reviews.

Recommendations:

-It is suggested, that where practical, Caltrans project reviews include other local agency personnel to broaden the effectiveness of project performance and future projects administered by the local agencies involving federal funds.

-It is recommended that the department pursue the means to expand these construction oversight reviews to all federal-aid projects.

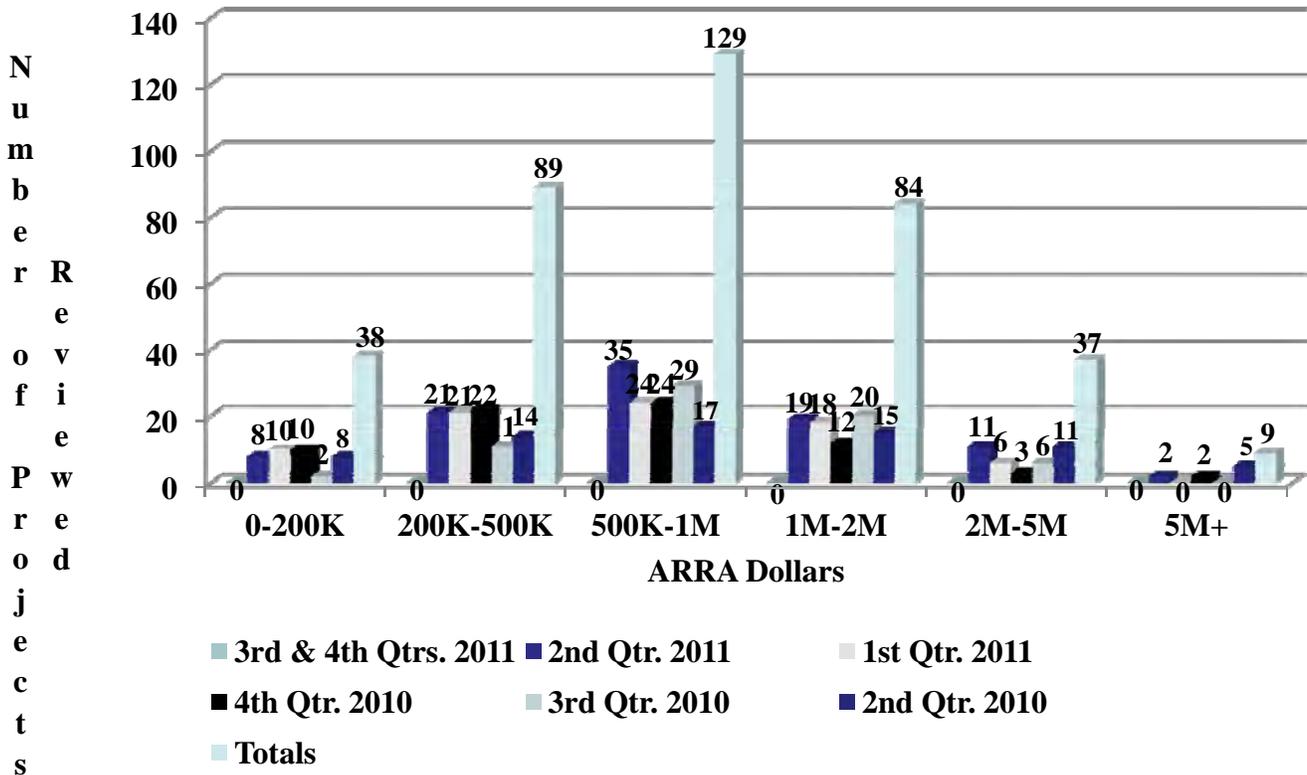
-COINs and training will continue to be used to address noted programmatic deficiencies.

-The Office of Policy Development and Quality Assurance intends to utilize the Caltrans checklist to perform a process review on non-ARRA federal-aid projects. Any potential shortcomings in the checklist that are identified as a result of the process review will be considered for correction at the next opportunity.

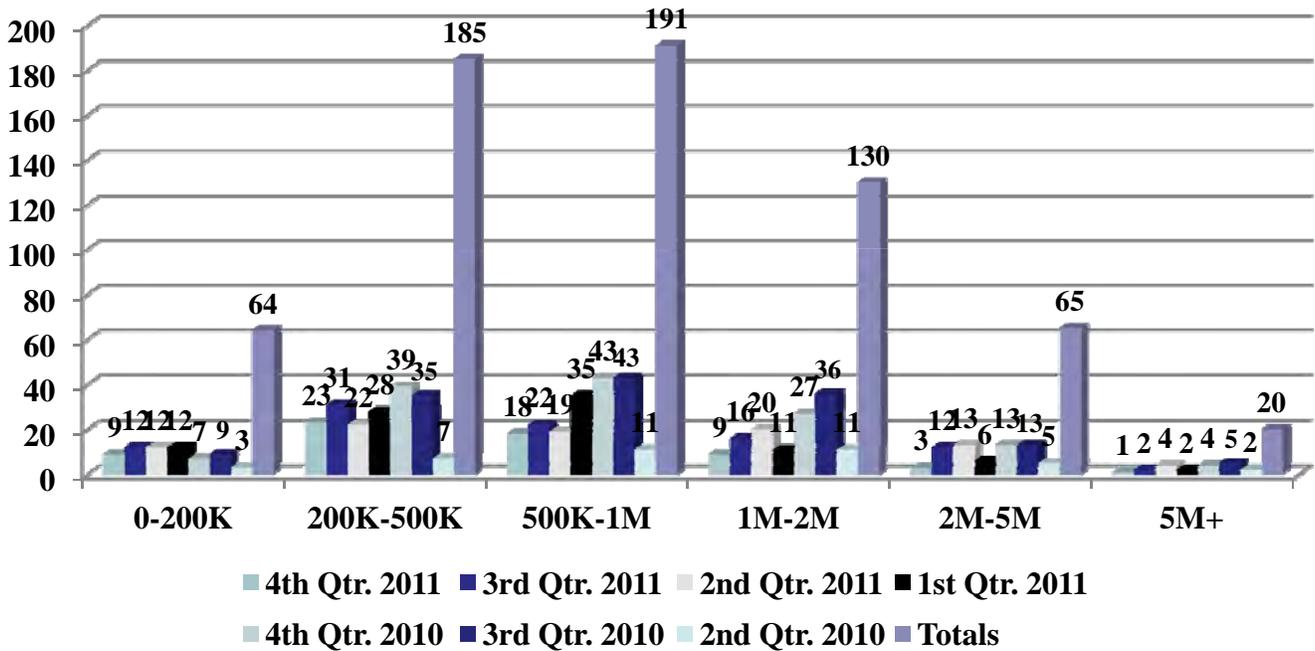
Top 10 Observed Deficiencies on Joint Reviews to Date		
<u>Ranking</u>	<u>Deficiency</u>	<u>Frequency</u>
1	Deficient diaries	43%
2	Progress payment support documentation deficient	34%
3	Documentation of posted posters deficient	32%
4	Contract time/WSWDs deficient	30%
5	Certified payroll checking deficient	29%
6	Frequency of employee interviews deficient	22%
7	Required job posters not visible or accessible	21%
8	Frequency of sampling/testing deficient	19%
9	Sampler's/Tester's certifications incomplete	18%
10	Consultant selection documentation missing/deficient	16%

Distribution of Reviews by Dollars

Distribution of Joint Reviews Based on ARRA Dollars

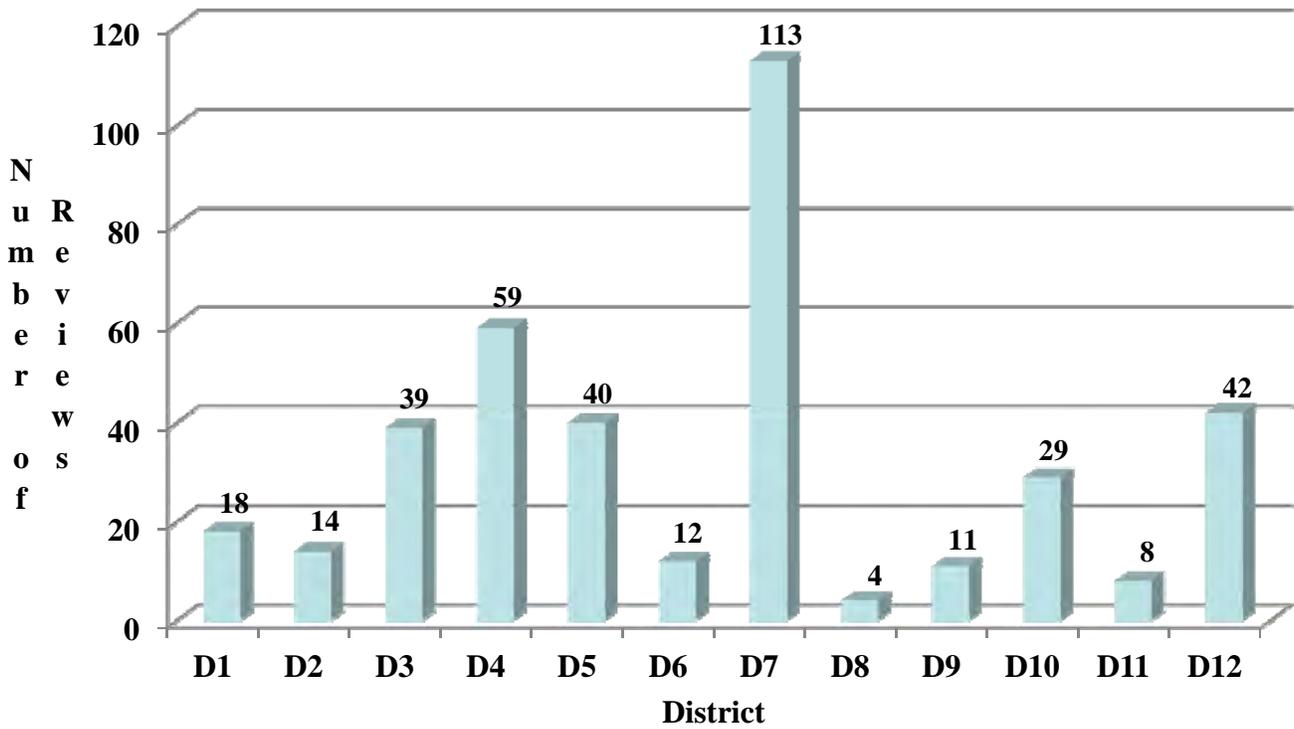


Distribution of Caltrans Reviews Based on ARRA Dollars

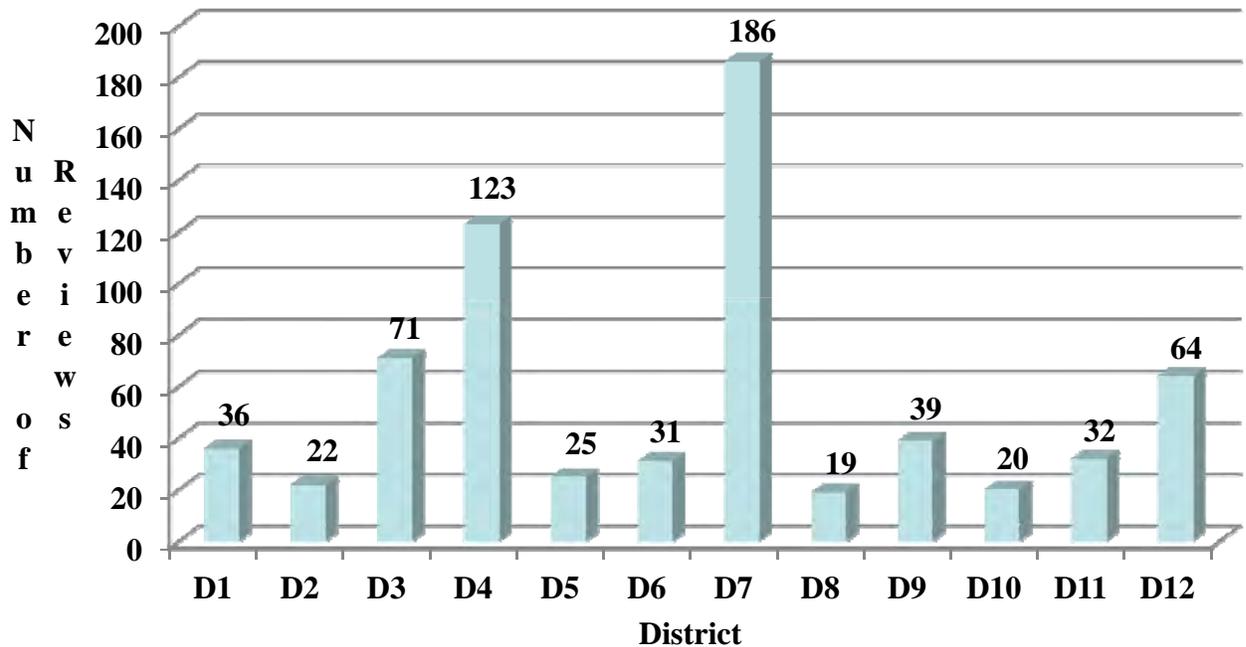


Distribution of Reviews by District

Joint Reviews By District

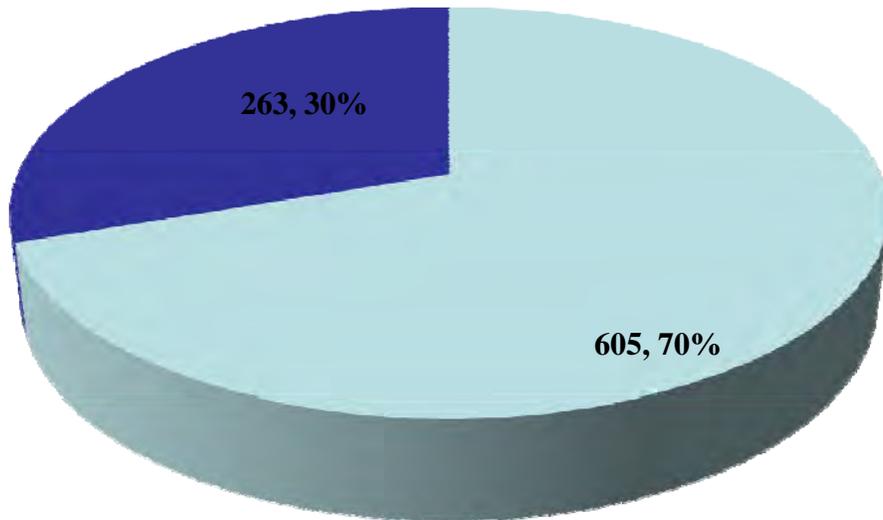


Caltrans Reviews By District



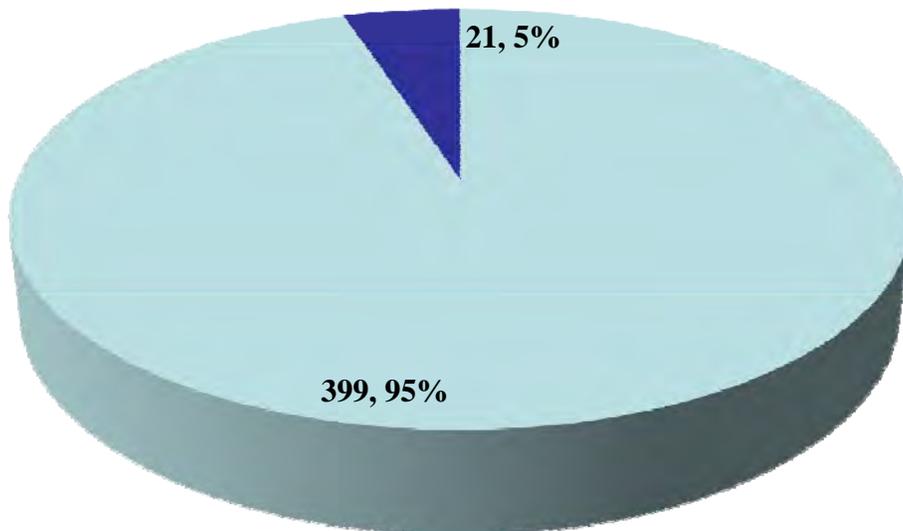
Combined Joint and Caltrans Review Information

Combined Reviews of ARRA Projects



■ Reviewed ■ Remaining

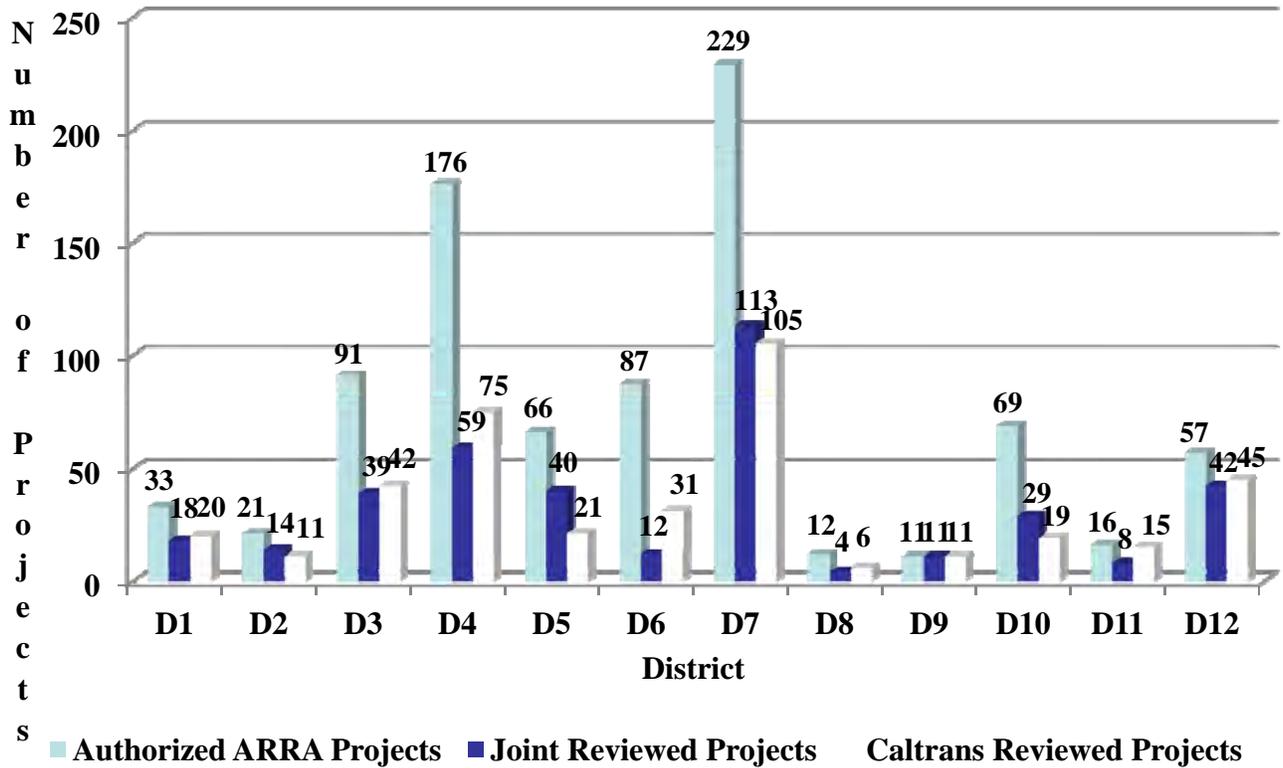
Combined Reviewed ARRA Agencies



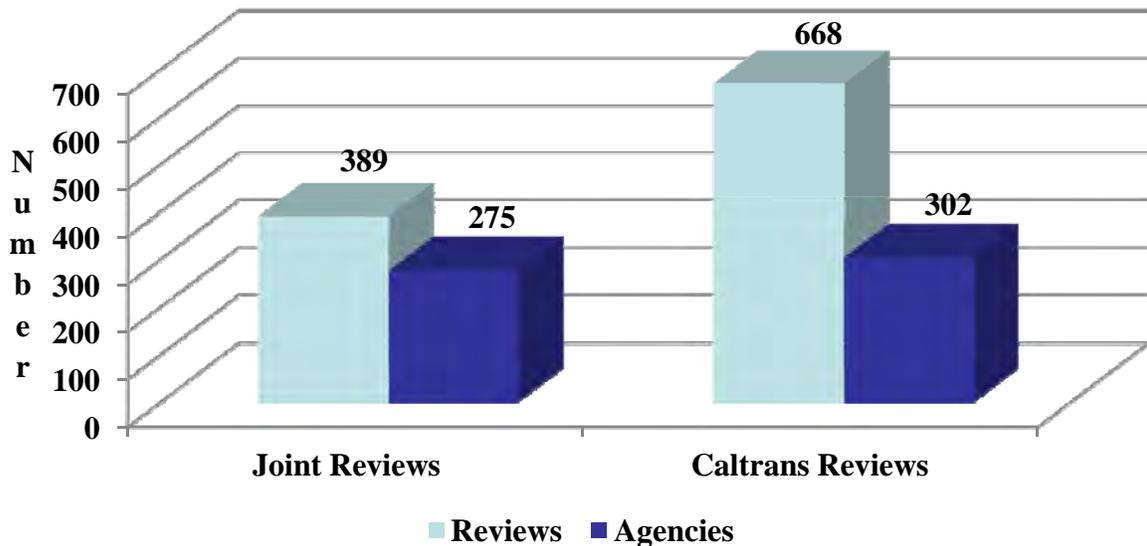
■ Reviewed ■ Remaining

Review Metrics

Authorized ARRA Projects and Reviewed ARRA Projects

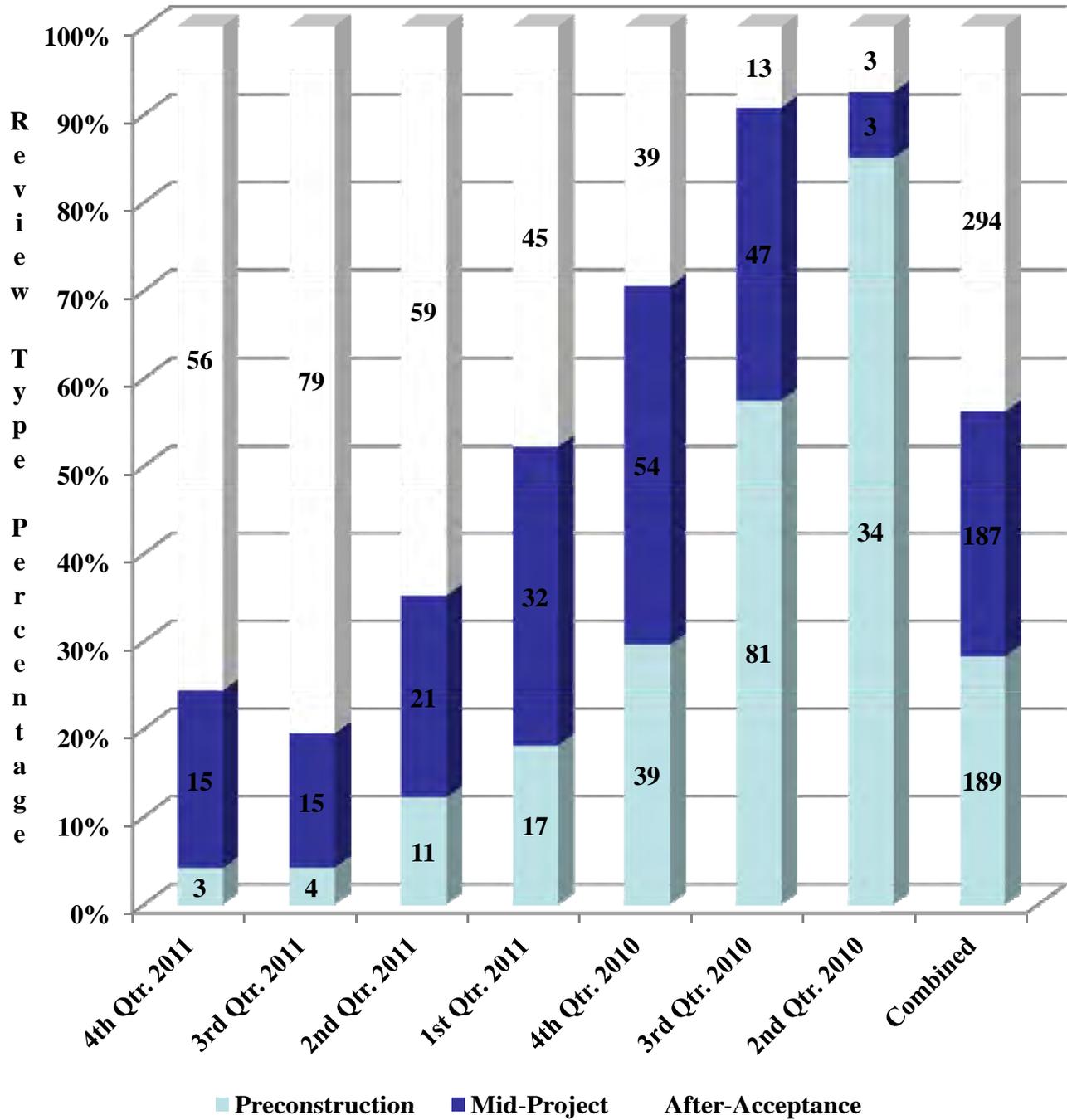


Joint Reviews and Caltrans Reviews - Reviews and Agencies



Review Metrics

Caltrans Review Types



2010 3rd & 4th Quarter and 2011 1st, 2nd, 3rd and 4th Quarter Mid Project Reviews

Safety Information:

1. Is the emergency contact information sheet on file containing names and contact information for local agency/consultants/contractor? (Y/N)
2. Is there a map showing the location of a neighborhood medical facility with their address, telephone and office hours? (Y/N)

2010 3rd Qtr. %age Y	Cat. Rating	4th Qtr. %age Y	Cat. Rating	2011 1st Qtr. %age Y	Cat. Rating	2nd Qtr. %age Y	Cat. Rating	3rd Qtr. %age Y	Cat. Rating	4th Qtr. %age Y	Cat. Rating	Trend
77%	62%	79%	68%	81%	81%	95%	95%	100%	100%	100%	100%	↔
47%		57%										

General Project Records:

1. Are project records being kept in an organized manner with an index that describes each file category? (Y/N)
2. Does the local agency use a single method of project record keeping (e.g. index of categories) for both contracts with federal funds and those without? (Y/N)
3. Is there a copy of the detailed estimate in the project records? (Y/N)
4. Is there a copy of the finance letter in the project records? (Y/N)
5. Can the resident engineer point to the amount of federal-aid funds encumbered for this project (Y/N)

91%	95%	100%	100%	81%	91%	100%	100%	100%	100%	93%	98%	↓
62%		65%		63%		75%		85%		93%		
98%		100%		94%		100%		100%		100%		
96%		100%		94%		100%		100%		100%		
96%		100%		94%		100%		100%		100%		

Resident Engineer and Inspector Daily Diaries:

1. Are diaries up-to-date? (Y/N) [i.e. no more than a week gap]
2. Do diaries appear to contain sufficient information for documentation purposes (i.e. location, operations, labor, equipment, material, hours, field conditions, discussions, down-time, inefficiencies, etc.)? (Y/N)
3. Do daily diaries contain names of labor, equipment identification and employer identifications? (Y/N)
4. Do daily diaries contain labor classification (e.g. laborer, carpenter, operator, etc.) and equipment classification (e.g. make and model) necessary for proper documentation? (Y/N)
5. Do daily diaries segregate the work hours for labor and equipment by each item, extra work (CCO #) and dispute (NOPC #)? Y/N
6. Where contractor's labor and equipment were down or idle, has the local agency noted the reason for down or idle time and segregated the work hours to quantify the impact? (Y/N)
7. Do daily diaries adequately capture daily occurrences in the field (e.g. conversations with the contractor, weather conditions, etc.)? (Y/N)
8. Do the daily diaries clearly identify the author and when developed (e.g. author's printed name, author's signature and date)? (Y/N)

94%	86%	91%	78%	97%	83%	81%	87%	86%	79%	100%	89%	↑
79%		66%										
				87%		86%		64%		92%		
				90%		90%		85%		92%		
				58%		67%		62%		62%		
				58%		92%		73%		75%		
				97%		100%		100%		100%		
				90%		90%		85%		100%		

Quality Assurance Program (QAP):

(Y/N)

2. Is the approval date on the QAP less than 5 years old? (Y/N)
3. What entity is performing acceptance testing for this project?
4. Are copies of the acceptance testers' and laboratory certifications up-to-date and appropriate for the acceptance testing for this contract? (Y/N)
5. What entity is performing independent assurance on this contract?
6. Has the independent assurance entity/personnel been certified by Caltrans? (Y/N)
7. If no, explain why?
8. Are copies of independent assurance certifications up-to-date and appropriate for this contract? (Y/N)
9. Does the QAP for this contract contain acceptance testing frequency tables? (Y/N)
10. If so, have the frequency tables been modified from those in the Local Assistance sample QAP? (Y/N)

89%	80%	96%	82%	100%	85%	95%	91%	100%	88%	93%	90%	↑
89%		96%		94%		100%		100%		100%		
		NA										
59%		56%		56%		70%		62%		73%		
		NA										
61%		67%		80%								
		NA										
76%		68%		52%								
85%		80%		90%		100%		92%		93%		
				7%								

Material Testing Review:

1. Are there acceptance sampling and acceptance tests in the project files? (Y/N)
2. Are acceptance sampling and acceptance testing conforming to the frequency requirements in the QAP? (Y/N) [Randomly check sampling and test results of at least two significant items containing materials identified in the frequency tables and compare against quantities placed to date.]
3. Is the frequency of acceptance sampling and acceptance testing being monitored? (Y/N)
4. Are the sampling and testing being performed by individuals certified for those items (i.e. spot-check persons performing sampling and testing vs. certifications on file)? (Y/N)
5. Does the resident engineer see copies of the test results in a timely manner? (Y/N)
6. Are records of testing equipment calibrations being maintained? (Y/N)
7. Are there records of corroboration testing between the acceptance tester and independent assurance personnel? (Y/N)
8. Is there a summary log of acceptance testing results? (Y/N)
9. If there is a record of a failing material acceptance test, is there a corresponding passing material test or resolution explanation tied to the failing test? (Y/N)
10. Do project records contain copies of approved mix designs and approval letters? (Y/N)
11. Do delivery tickets/load slips contain a product identification number that corresponds to an approved mix design on file in the project records? (Y/N)
12. Do material certificates of compliance contain the necessary information? (Y/N)
13. Are required "Buy America" statements included on invoices and certifications for iron and steel products? (Y/N)

76%	73%	89%	76%	95%	75%	100%	78%	92%	84%	82%	77%	↓
81%		80%		95%		94%		100%		90%		
82%		79%		96%		88%		82%		80%		
70%		67%		61%		94%		82%		75%		
80%		86%		82%		84%		73%		89%		
56%		66%		59%		56%		64%		80%		
		62%										
35%		50%		42%		44%		73%		71%		
65%		86%		69%		62%		75%		50%		
92%		89%		78%		89%		100%		90%		
86%		78%		74%		82%		100%		90%		
62%		69%		76%		78%		91%		78%		
89%		69%		88%		63%		80%		50%		

Contract Change Order Review:

1. If any of the change orders contain lump sum or unit prices outside of the original bid items, are there records on file supporting the establishment of those lump sum or unit prices (e.g. force account analysis)? (Y/N)
2. If any of the change orders provide a contract time adjustment, are there records on file supporting the time adjustment (e.g. time impact analysis)? (Y/N)
3. If any of the change orders were written with deferred time, has the time adjustment been made in a timely manner (e.g. within 30 days of completion of the affected work)? (Y/N)
4. If any of the change orders contain revised or new engineering drawings or specifications, have the change order drawings or specifications been stamped by a professional engineer with a valid California PE license? (Y/N)
5. Were contract change orders approved or proper prior authorization obtained prior to beginning work on the contract change orders? (Y/N)
6. If a prior authorization process was used, is there documentation in the project records supporting the prior authorization approval and notice to proceed with the work? (Y/N)
7. If a prior authorization process was utilized, was a timely contract change order approved? (e.g. less than one month) (Y/N)
8. If any of the change orders contain a time and material method of payment (e.g. force account), do daily diaries provide sufficient support for payment of time and materials on the related change order work? (Y/N)
9. Is the local agency monitoring authorized contract change order amounts versus reserve balances (e.g. contingency amounts)? (Y/N)
10. Is the local agency monitoring individual contract change order amounts versus amounts expended on the change to date? (Y/N)
11. Are all approved contract change orders within the project limits and the project's environmental document? (Y/N)

59%	78%	59%	73%	53%	77%	73%	75%	70%	81%	83%	71%	↓
71%		50%		36%		29%		50%		67%		
75%		50%		67%		67%		100%		0%		
78%		57%		60%		67%		57%		33%		
79%		88%		79%		100%		90%		75%		
71%		88%		80%		90%		100%		100%		
67%		56%		88%		78%		75%		83%		
77%		65%		100%		57%		71%		60%		
91%		95%		88%		92%		100%		88%		
90%		92%		94%		77%		82%		88%		
100%		100%		100%		93%		92%		100%		

Payment Review:

1. Has the local agency processed a progress payment to the Contractor on this contract? (Y/N)
2. If yes, does the progress payment provide a suitable accounting trail to support documentation for contract work (e.g. items, CCOs, etc.)? [Spot check only]
3. Are weighmaster certificates being validated by the administering agency at point of delivery? (Y/N)
4. Are there separate quantity pay sheets for each item being paid on each progress payment? (Y/N)
5. Are quantity pay sheets signed and dated? (Y/N)
6. Are quantity pay sheet calculations being checked by a separate individual? (Y/N)

83%	71%	90%	70%	77%	63%	90%	60%	93%	73%	93%	75%	↑
77%		74%		48%		63%		62%		71%		
87%		75%		96%		88%		80%		90%		
52%		49%		30%		52%		64%		62%		
61%		60%		35%		47%		75%		80%		
44%		50%		40%		40%		55%		60%		

- 7. Are quantities paid to date being monitored and checked against estimated quantities? (Y/N)
- 8. How many of the contract items have been completed as of the last progress payment? (Y/N)
- 9. Has retainage been released on the completed contract items? (Y/N)
- 10. Is the local agency conforming to their selection (Option 1, 2 or 3) for prompt payment? (Y/N)

94%	93%	100%	90%	92%	92%
		6%			
		67%	64%	69%	62%
		71%	47%	67%	62%

- 11. Does the local agency have an established method to ensure subcontractors receive prompt payment or resolve related complaints? (Y/N)

Labor Compliance & Equal Employment Opportunity:

- 1. Are wage rates determined by the US Department of Labor included in the contract? (Y/N)
- 2. Are payrolls certified by the contractor? (Y/N)
- 3. Are payrolls checked and initialed by the local agency? (Y/N)
- 4. Are diaries and payrolls being spot-checked and compared by the local agency? (Y/N)
- 5. Are required federal posters (<http://www.fhwa.dot.ca.gov/programadmin/contracts/poster.cfm>) in good shape and posted in plain view of workers? (Y/N)
- 6. Are interviews being conducted at a regular acceptable frequency? (Y/N)
- 7. Do the interviews include the appropriate signatures and dates? (Y/N)

93%	82%	93%	82%	100%	85%	100%	82%	100%	80%	100%	91%	↑
92%		100%		100%		90%		93%		91%		
74%		74%		75%		70%		79%		90%		
73%		71%		69%		65%		71%		82%		
74%		76%		85%		71%		73%		83%		
84%		88%		91%		95%		73%		100%		
86%		70%		79%		80%		69%		90%		

DBE/UDBE:

- 1. What is the UDBE goal for this contract? (%)
- 2. What is the UDBE commitment for this contract? (%)
- 3. If the contractor did not meet the goal for this contract, was a Good Faith Effort (GFE) Analysis performed and is a copy filed in the project records? (Y/N)
- 4. Is UDBE goal compliance being checked by the local agency? (Y/N)
- 5. Is UDBE performance of a commercially useful function being checked? (Y/N)
- 6. Have any contract change orders affected the UDBE's work? (Y/N)
- 7. If the contract's UDBE goals have changed, have the changes been approved by Caltrans HQ and local agency? (Y/N)

	87%	NA	94%		89%		89%		92%		85%	↓
		NA										
79%		89%		85%		91%		100%		80%		
83%		96%		96%		88%		93%		92%		
87%		93%		86%		88%		85%		83%		
9%		15%		14%		13%						
0%		0%										

Training Requirements:

- 1. Are on-the job training provisions a part of this contract? (Y/N)
- 2. If yes, what is the goal for this contract?
- 3. Do project records contain documentation to account for apprentices on the project? (Y/N)

18%	11%	3%	14%	64%	40%
	NA				
58%	80%	100%	20%	38%	33%

Environmental:

1. Is the environmental document for this project on file? (Y/N)
2. Is the construction project adhering to mitigation requirements in the environmental documents? (Y/N)

96%	96%	98%	97%	90%	95%	100%	100%	93%	96%	100%	100%	↑
96%		97%		100%		100%		100%		100%		

Other:

1. Does the agency have a means to track, monitor and report on contract time? (Y/N)
2. Is the agency tracking, monitoring and reporting contract time in accordance with their procedure? (Y/N)
3. Does the project have a procedure for submitting and filing a "Notice of Materials to be Used" type document? (Y/N)
4. Has this procedure been followed? (Y/N)
5. Does the project have a procedure for submitting and filing certificates of compliance for materials? (Y/N)
6. Has this procedure been followed? (Y/N)
7. Does the project have traffic control plan requirements? (Y/N)
8. Are the traffic control plan requirements being followed? (Y/N)

85%	82%	88%	87%	97%	87%	100%	85%	100%	87%	100%	92%	↑
89%		88%		97%		95%		100%		100%		
60%		67%		64%		56%		64%		87%		
84%		91%		89%		71%		78%		100%		
84%		84%		69%		71%		91%		80%		
77%		86%		83%		83%		82%		85%		
84%		90%		97%		100%		92%		86%		
95%		100%		97%		100%		92%		100%		

**2010 4th Quarter and 2011 1st, 2nd, 3rd and 4th Quarter After Acceptance
Project Reviews**

	2010		2011				Trend				
	4th Qtr.	Cat. Rating	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.					
	%age Y		%age Y	%age Y	%age Y	%age Y					
Safety Information:											
1. Is the emergency contact information sheet on file containing names and contact information for local agency/consultants/contractor? (Y/N)	92%	72%	91%	91%	92%	92%	97%	97%	95%	95%	↓
2. Is there a map showing the location of a neighborhood medical facility with their address, telephone and office hours? (Y/N)	51%										
General Project Records:											
1. Are project records being kept in an organized manner with an index that describes each file category? (Y/N)	90%	97%	96%	99%	92%	97%	91%	97%	98%	98%	↑
2. Does the local agency use a single method of project record keeping (e.g. index of categories) for both contracts with federal funds and those without? (Y/N)	85%		84%		66%						
3. Is there a copy of the detailed estimate in the project records? (Y/N)	100%		100%		100%		100%		96%		
4. Is there a copy of the finance letter in the project records? (Y/N)	100%		100%		98%		99%		96%		
5. Can the resident engineer point to the amount of federal-aid funds encumbered for this project (Y/N)	100%		100%		97%		100%		100%		
Resident Engineer and Inspector Daily Diaries:											
1. Are diaries up-to-date? (Y/N) [i.e. no more than a week gap]	97%	80%	95%	83%	93%	76%	96%	79%	95%	76%	↓
2. Do diaries appear to contain sufficient information for documentation purposes (i.e. location, operations, labor, equipment, material, hours, field conditions, discussions, down-time, inefficiencies, etc.)? (Y/N)	62%										
3. Do daily diaries contain names of labor, equipment identification and employer identifications? (Y/N)			86%		66%		68%		69%		
4. Do daily diaries contain labor classification (e.g. laborer, carpenter, operator, etc.) and equipment classification (e.g. make and model) necessary for proper documentation? (Y/N)			80%		77%		78%		80%		
5. Do daily diaries segregate the work hours for labor and equipment by each item, extra work (CCO #) and dispute (NOPC#)? (Y/N)			55%		54%		57%		52%		
6. Where contractor's labor and equipment were down or idle, has the local agency noted the reason for down or idle time and segregated the work hours to quantify the impact? (Y/N)			76%		54%		69%		55%		
Do daily diaries adequately capture daily occurrences in the field (e.g. conversations with the contractor, weather conditions, etc.)? (Y/N)			98%		95%		96%		96%		
8. Do the daily diaries clearly identify the author and when developed (e.g. author's printed name, author's signature and date)? (Y/N)			93%		95%		86%		89%		

Quality Assurance Program (QAP):											
1. Does the local agency have a copy of their QAP in the project records? (Y/N)	90%	82%	96%	89%	97%	82%	92%	84%	98%	87%	↑
2. Is the approval date on the QAP less than 5 years old? (Y/N)	82%		100%		95%		91%		94%		
3. What entity is performing acceptance testing for this project?	NA										
4. Are copies of the acceptance testers' and laboratory certifications up-to-date and appropriate for the acceptance testing for this contract? (Y/N)	74%		73%		51%		72%		69%		
5. What entity is performing independent assurance on this contract?											
(Y/N)	74%		79%								
7. If no, explain why?											
8. Are copies of independent assurance certifications up-to-date and appropriate for this contract? (Y/N)	67%		64%								
9. Does the QAP for this contract contain acceptance testing frequency tables? (Y/N)	84%		88%		86%		80%		87%		
10. If so, have the frequency tables been modified from those in the Local Assistance sample QAP? (Y/N)			11%								
Material Testing Review:											
1. Are there acceptance sampling and acceptance tests in the project files? (Y/N)	97%	79%	95%	82%	91%	82%	91%	78%	94%	80%	↑
2. Are acceptance sampling and acceptance testing conforming to the frequency requirements in the QAP? (Y/N) [Randomly check sampling and test results of at	68%		85%		87%		79%		77%		
3. Is the frequency of acceptance sampling and acceptance testing being monitored? (Y/N)	83%		92%		88%		82%		83%		
4. Are the sampling and testing being performed by individuals certified for those items (i.e. spot-check persons performing sampling and testing vs. certifications	88%		80%		82%		86%		80%		
(Y/N)	85%		90%		88%		87%		91%		
6. Are records of testing equipment calibrations being maintained? (Y/N)	64%		68%		57%		73%		65%		
7. Are there records of corroboration testing between the acceptance tester and independent assurance personnel? (Y/N)	63%										
8. Is there a summary log of acceptance testing results? (Y/N)	63%		57%		67%		58%		59%		
9. If there is a record of a failing material acceptance test, is there a corresponding passing material test or resolution explanation tied to the failing	60%		59%		81%		73%		68%		
10. Do project records contain copies of approved mix designs and approval letters? (Y/N)	89%		90%		92%		94%		87%		
11. Do delivery tickets/load slips contain a product identification number that corresponds to an approved mix design on file in the project records? (Y/N)	77%		92%		88%		63%		69%		
12. Do material certificates of compliance contain the necessary information? (Y/N)	78%		77%		81%		74%		86%		
13. Are required "Buy America" statements included on invoices and certifications for iron and steel products? (Y/N)	100%		100%		80%		77%		100%		

Contract Change Order Review:											
1. If any of the change orders contain lump sum or unit prices outside of the original bid items, are there records on file supporting the establishment of those	76%	80%	52%	69%	70%	86%	74%	75%	55%	80%	↑
2. If any of the change orders provide a contract time adjustment, are there records on file supporting the time adjustment (e.g. time impact analysis)? (Y/N)	36%		47%		77%		35%		47%		
3. If any of the change orders were written with deferred time, has the time adjustment been made in a timely manner (e.g. within 30 days of completion of	100%		29%		83%		44%		86%		
4. If any of the change orders contain revised or new engineering drawings or specifications, have the change order drawings or specifications been stamped	80%		53%		56%		53%		45%		
5. Were contract change orders approved or proper prior authorization obtained prior to beginning work on the contract change orders? (Y/N)	88%		94%		91%		81%		92%		
6. If a prior authorization process was used, is there documentation in the project records supporting the prior authorization approval and notice to proceed with the	73%		86%		93%		84%		100%		
7. If a prior authorization process was utilized, was a timely contract change order approved? (e.g. less than one month) (Y/N)	80%		91%		93%		89%		88%		
8. If any of the change orders contain a time and material method of payment (e.g. force account), do daily diaries provide sufficient support for payment of time	68%		79%		87%		74%		74%		
9. Is the local agency monitoring authorized contract change order amounts versus reserve balances (e.g. contingency amounts)? (Y/N)	88%		90%		96%		94%		98%		
10. Is the local agency monitoring individual contract change order amounts versus amounts expended on the change to date? (Y/N)	88%		90%		96%		99%		100%		
11. Are all approved contract change orders within the project limits and the project's environmental document? (Y/N)	100%		97%		100%		99%		98%		
Payment Review:											
1. Has the local agency processed a progress payment to the Contractor on this contract? (Y/N)	100%	76%	98%	73%	100%	68%	99%	72%	98%	72%	↔
2. If yes, does the progress payment provide a suitable accounting trail to support documentation for contract work (e.g. items, CCOs, etc.)? [Spot check only]	68%		76%		61%		61%		58%		
3. Are weighmaster certificates being validated by the administering agency at point of delivery? (Y/N)	92%		88%		91%		91%		88%		
4. Are there separate quantity pay sheets for each item being paid on each progress payment? (Y/N)	61%		49%		47%		41%		45%		
5. Are quantity pay sheets signed and dated? (Y/N)	69%		60%		50%		59%		52%		
6. Are quantity pay sheet calculations being checked by a separate individual?	53%		55%		41%		39%		43%		
7. Are quantities paid to date being monitored and checked against estimated quantities? (Y/N)	92%		95%		95%		97%		100%		
8. How many of the contract items have been completed as of the last progress payment?											

9. Has retainage been released on the completed contract items? (Y/N)			51%								
10. Is the local agency conforming to their selection (Option 1, 2 or 3) for prompt payment? (Y/N)			67%		69%		76%		83%		
11. Does the local agency have an established method to ensure subcontractors receive prompt payment or resolve related complaints? (Y/N)			70%		57%		83%		83%		
Labor Compliance & Equal Employment Opportunity:											
1. Are wage rates determined by the US Department of Labor included in the contract? (Y/N)	100%	82%	100%	89%	98%	90%	99%	82%	100%	80%	↓
2. Are payrolls certified by the contractor? (Y/N)	97%		100%		100%		100%		100%		
3. Are payrolls checked and initialed by the local agency? (Y/N)	79%		78%		88%		82%		63%		
4. Are diaries and payrolls being spot-checked and compared by the local agency? (Y/N)	72%		79%		88%		64%		73%		
5. Are required federal posters (http://www.fhwa.dot.ca.gov/programadmin/contracts/poster.cfm) in good shape	71%		82%		79%		61%		73%		
6. Are interviews being conducted at a regular acceptable frequency? (Y/N)	79%		98%		90%		81%		74%		
7. Do the interviews include the appropriate signatures and dates? (Y/N)	78%		88%		89%		90%		77%		
DBE/UDBE:											
1. What is the UDBE goal for this contract? (%)	NA	83%		97%		86%		90%		89%	↓
2. What is the UDBE commitment for this contract? (%)	NA										
3. If the contractor did not meet the goal for this contract, was a Good Faith Effort (GFE) Analysis performed and is a copy filed in the project records? (Y/N)	92%		100%		74%		85%		85%		
4. Is UDBE goal compliance being checked by the local agency? (Y/N)	91%		100%		94%		93%		91%		
5. Is UDBE performance of a commercially useful function being checked? (Y/N)	90%		91%		90%		91%		91%		
6. Have any contract change orders affected the UDBE's work? (Y/N)	30%		20%								
7. If the contract's UDBE goals have changed, have the changes been approved by Caltrans HQ and local agency? (Y/N)	40%		0%								
Training Requirements:											
1. Are on-the job training provisions a part of this contract? (Y/N)	0%		0%		10%		5%		9%		
2. If yes, what is the goal for this contract?	NA										
3. Do project records contain documentation to account for apprentices on the project? (Y/N)	0%		0%		90%		50%		63%		
Environmental:											
1. Is the environmental document for this project on file? (Y/N)	100%	100%	100%	96%	97%	97%	97%	97%	96%	98%	↑
2. Is the construction project adhering to mitigation requirements in the environmental documents? (Y/N)	100%		92%		98%		97%		100%		

Other:											
1. Does the agency have a means to track, monitor and report on contract time? (Y/N)	97%	83%	96%	81%	88%	79%	89%	85%	89%	86%	↑
2. Is the agency tracking, monitoring and reporting contract time in accordance with their procedure? (Y/N)	97%		96%		89%		85%		84%		
3. Does the project have a procedure for submitting and filing a "Notice of Materials to be Used" type document? (Y/N)	62%		67%		56%		61%		67%		
4. Has this procedure been followed? (Y/N)	88%		84%		91%		96%		92%		
5. Does the project have a procedure for submitting and filing certificates of compliance for materials? (Y/N)	77%		73%		71%		81%		83%		
6. Has this procedure been followed? (Y/N)	87%		82%		86%		89%		86%		
7. Does the project have traffic control plan requirements? (Y/N)	100%		93%		86%		84%		91%		
8. Are the traffic control plan requirements being followed? (Y/N)	94%		98%		100%		98%		98%		
9. Has the project's material certificate been completed and properly filed? (Y/N)	44%		43%		43%		84%		80%		

2011 4th Quarter After Acceptance Project Review Comparison

	Composite		Multiple Project Reviews		Final Project Review Only	
	% Y	Cat. Rating	%Y	Cat. Rating	%Y	Cat. Rating
Safety Information:						
1. Is the emergency contact information sheet on file containing names and contact information for local agency/consultants/contractor? (Y/N)	95%	95%	100%	100%	90%	90%
2. Is there a map showing the location of a neighborhood medical facility with their address, telephone and office hours? (Y/N)						
General Project Records:						
1. Are project records being kept in an organized manner with an index that describes each file category? (Y/N)	98%	98%	100%	96%	97%	99%
2. Does the local agency use a single method of project record keeping (e.g. index of categories) for both contracts with federal funds and those without? (Y/N)						
3. Is there a copy of the detailed estimate in the project records? (Y/N)	96%		92%		100%	
4. Is there a copy of the finance letter in the project records? (Y/N)	96%		92%		100%	
5. Can the resident engineer point to the amount of federal-aid funds encumbered for this project (Y/N)	100%		100%		100%	
Resident Engineer and Inspector Daily Diaries:						
1. Are diaries up-to-date? (Y/N) [i.e. no more than a week gap]	95%	76%	92%	92%	97%	63%
2. Do diaries appear to contain sufficient information for documentation purposes (i.e. location, operations, labor, equipment, material, hours, field conditions, discussions, down-time, inefficiencies, etc.)? (Y/N)						
3. Do daily diaries contain names of labor, equipment identification and employer identifications? (Y/N)	69%		100%		43%	
4. Do daily diaries contain labor classification (e.g. laborer, carpenter, operator, etc.) and equipment classification (e.g. make and model) necessary for proper documentation? (Y/N)	80%		100%		63%	
5. Do daily diaries segregate the work hours for labor and equipment by each item, extra work (CCO #) and dispute (NOPC#)? (Y/N)	52%		71%		37%	
6. Where contractor's labor and equipment were down or idle, has the local agency noted the reason for down or idle time and segregated the work hours to quantify the impact? (Y/N)	55%		78%		26%	
Do daily diaries adequately capture daily occurrences in the field (e.g. conversations with the contractor, weather conditions, etc.)? (Y/N)	96%		100%		93%	
8. Do the daily diaries clearly identify the author and when developed (e.g. author's printed name, author's signature and date)? (Y/N)	89%		100%		80%	
Quality Assurance Program (QAP):						
1. Does the local agency have a copy of their QAP in the project records? (Y/N)	98%	87%	100%	97%	97%	79%
2. Is the approval date on the QAP less than 5 years old? (Y/N)	94%		100%		90%	
3. What entity is performing acceptance testing for this project?						
4. Are copies of the acceptance testers' and laboratory certifications up-to-date and appropriate for the acceptance testing for this contract? (Y/N)	69%		86%		56%	
5. What entity is performing independent assurance on this contract?						

6. Has the independent assurance entity/personnel been certified by Caltrans? (Y/N)						
7. If no, explain why?						
8. Are copies of independent assurance certifications up-to-date and appropriate for this contract? (Y/N)						
9. Does the QAP for this contract contain acceptance testing frequency tables? (Y/N)	87%		100%		75%	
10. If so, have the frequency tables been modified from those in the Local Assistance sample QAP? (Y/N)						
Material Testing Review:						
1. Are there acceptance sampling and acceptance tests in the project files? (Y/N)	94%	80%	100%	89%	89%	72%
2. Are acceptance sampling and acceptance testing conforming to the frequency requirements in the QAP? (Y/N) [Randomly check sampling and test results of at least two significant items containing materials identified in the frequency tables and compare against quantities placed to date.]	77%		91%		64%	
3. Is the frequency of acceptance sampling and acceptance testing being monitored? (Y/N)	83%		91%		76%	
4. Are the sampling and testing being performed by individuals certified for those items (i.e. spot-check persons performing sampling and testing vs. certifications on file)? (Y/N)	80%		95%		68%	
5. Does the resident engineer see copies of the test results in a timely manner? (Y/N)	91%		90%		92%	
6. Are records of testing equipment calibrations being maintained? (Y/N)	65%		73%		58%	
7. Are there records of corroboration testing between the acceptance tester and independent assurance personnel? (Y/N)						
8. Is there a summary log of acceptance testing results? (Y/N)	59%		78%		42%	
9. If there is a record of a failing material acceptance test, is there a corresponding passing material test or resolution explanation tied to the failing test? (Y/N)	68%		84%		47%	
10. Do project records contain copies of approved mix designs and approval letters? (Y/N)	87%		96%		80%	
11. Do delivery tickets/load slips contain a product identification number that corresponds to an approved mix design on file in the project records? (Y/N)	69%		78%		62%	
12. Do material certificates of compliance contain the necessary information? (Y/N)	86%		91%		81%	
13. Are required "Buy America" statements included on invoices and certifications for iron and steel products? (Y/N)	100%		100%		100%	
Contract Change Order Review:						
1. If any of the change orders contain lump sum or unit prices outside of the original bid items, are there records on file supporting the establishment of those lump sum or unit prices (e.g. force account analysis)? (Y/N)	55%	80%	61%	86%	50%	75%
2. If any of the change orders provide a contract time adjustment, are there records on file supporting the time adjustment (e.g. time impact analysis)? (Y/N)	47%		53%		40%	

3. If any of the change orders were written with deferred time, has the time adjustment been made in a timely manner (e.g. within 30 days of completion of the affected work)? (Y/N)	86%
4. If any of the change orders contain revised or new engineering drawings or specifications, have the change order drawings or specifications been stamped by a professional engineer with a valid California PE license? (Y/N)	45%
5. Were contract change orders approved or proper prior authorization obtained prior to beginning work on the contract change orders? (Y/N)	92%
6. If a prior authorization process was used, is there documentation in the project records supporting the prior authorization approval and notice to proceed with the work? (Y/N)	100%
7. If a prior authorization process was utilized, was a timely contract change order approved? (e.g. less than one month) (Y/N)	88%
8. If any of the change orders contain a time and material method of payment (e.g. force account), do daily diaries provide sufficient support for payment of time and materials on the related change order work? (Y/N)	74%
9. Is the local agency monitoring authorized contract change order amounts versus reserve balances (e.g. contingency amounts)? (Y/N)	98%
10. Is the local agency monitoring individual contract change order amounts versus amounts expended on the change to date? (Y/N)	100%
11. Are all approved contract change orders within the project limits and the project's environmental document? (Y/N)	98%

Payment Review:

1. Has the local agency processed a progress payment to the Contractor on this contract? (Y/N)	98%
2. If yes, does the progress payment provide a suitable accounting trail to support documentation for contract work (e.g. items, CCOs, etc.)? [Spot check only]	58%
3. Are weighmaster certificates being validated by the administering agency at point of delivery? (Y/N)	88%
4. Are there separate quantity pay sheets for each item being paid on each progress payment? (Y/N)	45%
5. Are quantity pay sheets signed and dated? (Y/N)	52%
6. Are quantity pay sheet calculations being checked by a separate individual? (Y/N)	43%
7. Are quantities paid to date being monitored and checked against estimated quantities? (Y/N)	100%
8. How many of the contract items have been completed as of the last progress payment?	
9. Has retainage been released on the completed contract items? (Y/N)	
10. Is the local agency conforming to their selection (Option 1, 2 or 3) for prompt payment? (Y/N)	83%
11. Does the local agency have an established method to ensure subcontractors receive prompt payment or resolve related complaints? (Y/N)	83%

Labor Compliance & Equal Employment Opportunity:

100%	67%
80%	17%
95%	88%
100%	100%
82%	100%
80%	63%
100%	96%
100%	100%
95%	100%

98%	72%	96%	80%	100%	66%
58%		91%		33%	
88%		91%		86%	
45%		83%		17%	
52%		65%		39%	
43%		61%		26%	
100%		100%		100%	
83%		67%		96%	
83%		70%		96%	

1. Are wage rates determined by the US Department of Labor included in the contract? (Y/N)	100%	80%	100%	93%	100%	69%
2. Are payrolls certified by the contractor? (Y/N)	100%		100%		100%	
3. Are payrolls checked and initialed by the local agency? (Y/N)	63%		83%		46%	
4. Are diaries and payrolls being spot-checked and compared by the local agency? (Y/N)	73%		91%		60%	
5. Are required federal posters (http://www.fhwa.dot.ca.gov/programadmin/contracts/poster.cfm) in good shape and posted in plain view of workers? (Y/N)	73%		96%		52%	
6. Are interviews being conducted at a regular acceptable frequency? (Y/N)	74%		92%		59%	
7. Do the interviews include the appropriate signatures and dates? (Y/N)	77%		92%		63%	
DBE/UDBE:						
1. What is the UDBE goal for this contract? (%)		89%		94%		84%
2. What is the UDBE commitment for this contract? (%)						
3. If the contractor did not meet the goal for this contract, was a Good Faith Effort (GFE) Analysis performed and is a copy filed in the project records? (Y/N)	85%		93%		79%	
4. Is UDBE goal compliance being checked by the local agency? (Y/N)	91%		96%		85%	
5. Is UDBE performance of a commercially useful function being checked? (Y/N)	91%		94%		89%	
6. Have any contract change orders affected the UDBE's work? (Y/N)						
7. If the contract's UDBE goals have changed, have the changes been approved by Caltrans HQ and local agency? (Y/N)						
Training Requirements:						
1. Are on-the job training provisions a part of this contract? (Y/N)	9%		16%		3%	
2. If yes, what is the goal for this contract?						
3. Do project records contain documentation to account for apprentices on the project? (Y/N)	63%		67%		50%	
Environmental:						
1. Is the environmental document for this project on file? (Y/N)	96%	98%	92%	96%	100%	100%
2. Is the construction project adhering to mitigation requirements in the environmental documents? (Y/N)	100%		100%		100%	
Other:						
1. Does the agency have a means to track, monitor and report on contract time? (Y/N)	89%	86%	100%	88%	80%	83%
2. Is the agency tracking, monitoring and reporting contract time in accordance with their procedure? (Y/N)	84%		92%		76%	
3. Does the project have a procedure for submitting and filing a "Notice of Materials to be Used" type document? (Y/N)	67%		75%		61%	
4. Has this procedure been followed? (Y/N)	92%		90%		94%	
5. Does the project have a procedure for submitting and filing certificates of compliance for materials? (Y/N)	83%		88%		80%	
6. Has this procedure been followed? (Y/N)	86%		95%		73%	
7. Does the project have traffic control plan requirements? (Y/N)	91%		100%		84%	
8. Are the traffic control plan requirements being followed? (Y/N)	98%		96%		100%	

9. Has the project's material certificate been completed and properly filed? (Y/N)	80%
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