A. PROJECT INFORMATION: **Date of Review:**

01. Federal Aid Project No.:
02. District: Pick
03. Local Public Agency (LPA):
04. Project Description:
05. Project Location:
    County:
    City:
    Street(s):
    Encroaching on a State Highway System: Pick
06. Funding Source(s):
07. Caltrans COE:
08. Caltrans DLAE:
09. Caltrans Participant(s):
10. FHWA Participant(s):
11. LPA Participant(s):
12. LPA Contact: Phone Number:
13. Consultant Participant(s):
14. Prime Contractor Firm:
15. Contract Award Amount:

B. PROJECT STAFFING (LAPM, Section 16.2) :

01. LPA Employee in Responsible Charge of Project: Phone Number:
02. Project Resident Engineer (RE):
03. Does RE work for LPA or Consultant? Pick
04. Is RE a licensed PE? Pick
    A. if yes, PE License No:
    B. if no, who is the licensed PE who delegated this responsibility? Lic. No?
05. If RE is a consultant, name of consultant firm:
06. Is there a list of project construction management team including names, titles and contact number on file? Pick
07. Is the construction management team adequately staffed? Pick
08. Is there an emergency contact information sheet on file containing names and contact information for local agency/consultants/contractor? This is typically a contact list of key personnel to be contacted in the event of an emergency on the project. This form is typically shared with fire, police and other emergency groups as necessary. Pick
09. Comments:

C. GENERAL PROJECT RECORDS (LAPM, Section 16.3) :

01. Are project records being kept in an organized manner with an index that describes each file category? Pick
02. Are there sufficient categories to organize all required project documents? Pick
03. Were requested records easily retrieved in a timely manner? Pick
04. Comments:

D. PROJECT STATUS AND CONTRACT TIME (LAPM, Section 16.6):

01. Has the LPA sent the project award package, Exhibit 15-L, to Caltrans? Pick
02. Has the LPA sent a copy of the project Notice to Proceed letter to Caltrans? Pick
03. What is the project construction progress?
    A. Approximate % dollars complete? 0.00% Approximate % time complete? 0.00%
04. Does the LPA utilize the weekly statement of working days (WSWD), Exhibit 16-A, or other acceptable method of tracking contract time? Pick
05: Is the controlling operation of work clearly noted on the WSWD? Pick
06. What is the original number of contract days?
07. Is this duration in working days (WD) or calendar days (CD) ? Pick
08. What is first working day per the contract?
09. What is computed date for contract completion?
10. What is extended date for contract completion?
    A. Number of Non-Working Days recorded to date:
    B. Number of CCO Days approved to date:
    C: Number of Contract Suspension Days approved to date:
11. Comments:

E. RESIDENT ENGINEER & ASSISTANT RESIDENT ENGINEER DAILY REPORTS (LAPM, Section 16.8):

01. Are Daily Reports, Exhibit 16-C, or similar up-to-date? e.g. no more than a week gap. Pick
02. Do Daily Reports contain the following information?
    A. Identify full names of labor force: Pick
    B. Identify labor classifications: Pick
    C. Identify employer (name of prime contractor or subcontractor): Pick
    D. Identify equipment make and model numbers: Pick
    E. Identify breakdown of man/equipment hours worked by contract item and CCO numbers: Pick
    F. Identify equipment idle or down time: Pick

03. Do Daily Reports contain a narrative that adequately capture daily occurrences, specific locations of overall operations, safety issues (traffic control), and significant conversations with the contractor? Pick
04. Do the Daily Reports clearly identify the author with signature and date? Pick
05. Is there adequate oversight of the Daily Reports by the RE? Pick
    A. RE prepares their own (Weekly) Summary Report: Pick
    B. RE reviews Daily Reports: Pick
    C. RE initials Daily Reports after reviewing them: Pick
06. Comments:

F. QUALITY ASSURANCE PROGRAM (QAP) & MATERIALS TESTING (LAPM, Section 16.11):

01. Does the LPA have a copy of their QAP in the project records? Pick
02. Is the approval date on the QAP less than five (5) years old? Pick
03. Does the QAP contain Acceptance Testing (AT) frequency tables? Pick
04. Have the AT frequency tables been modified from the Caltrans sample QAP, Exhibit 16-R? Pick
05. Which test methods contract documents specify? (CT/ASTM/AASHTO/Other) Pick
06. Based on the contract PS&E and the QAP, what tests have been (or will be) performed?
07. What entity is performing the AT on this project?
08. Are copies of up-to-date acceptance testers certifications, Exhibit 16-D, or similar in the project files? Pick
09. Have the acceptance testers been certified by Caltrans, the Joint Certification Testing Program (JCTP), or other test certifiers? Pick
    A. If by other test certifiers, who?
10. Is the materials laboratory's current certification/accreditation in the project files? Pick
11. Do the project records contain copies of mix designs and their formal approvals? Pick
12: Do delivery tickets/load slips contain a product or mix identification number that corresponds to the approved mix design? Pick
13. Are delivery tickets/load slips being collected and initialed at the time and point of delivery? Pick
14. Are the AT reports in the project files? Pick
15. Are there AT Results Summary Logs, Exhibit 16-Z2, or similar in the project files? Pick
16 Are there any failing AT results in project records? Pick
    A. If yes, are there corresponding passing AT reports or resolution explanation in project records? Pick
17. Are the AT being performed at the frequency required in the QAP? Pick
18. Is the AT being coordinated and monitored by the RE/inspector? Pick
19. Does the RE/Inspector see copies of the AT results in a timely manner? e.g. within 3 days Pick
20. Has there been any material delivery waste, rejected or unused in loads? Pick
    A. If yes, have deductions been taken from delivery load quantities? Pick

21. Is the contractor's Notice of Materials to be Used, Exhibit 16-I, or similar in project records? Pick
22. Are there any materials to be accepted into the project via source inspection? Pick
    A. If yes, what materials?
23. Is the Contractor required to submit Certificate of Compliance (COC) for any pre-manufactured materials incorporated into the work? Pick
    A, If yes, what materials?
24: Do the COCs contain the following information?
    A. Project ID or number? Pick
    B. A lot or heat number? Pick
    C. Statement that the material complies with the contract specifications? Pick
    D. Signature by manufacturer? Pick
25: Were the COCs accepted prior to issuing a progress payment to contractor? Pick
26. Are the required Buy America Statements/Certifications for those material made of iron or steel and permanently incorporated into the work in project records? Pick
27. Comments:

G. CONTRACT CHANGE ORDERS (LAPM, Section 16.10):

01. Are there any Contract Change Order (CCO) or Potential CCO in project yet? Pick
02. Is there a CCO Summary Log with contingency balance tracking on file? Pick
03. Are CCOs, Form CEM-4900, or similar contain the following information?
    A. Adequately detail the work to be performed? Pick
    B. Specify the location(s) of work? Pick
    C. Cite applicable specifications for the work? Pick
    D. Clearly depict the method of payments? Pick
    E. Address contract time adjustment? Pick
    F. Each have a memorandum that adequately explain the reason for the CCO and justify the need? Pick
04. If any of the CCOs were paid at an agreed lump sum or at agreed unit price(s), are there records on file supporting the establishment of those lump sum agreed prices? e.g. independent cost estimate by agency, force account analysis. Pick
05. If any of the CCOs were written and paid for at force account (time and materials), do they provide?
    A. Sufficient documentation on file listing the reasons for using the force account procedure? Pick
    B. Sufficient detail on Daily Reports to support the payment of time and materials on the CCO work? Pick
06. If any of the CCOs adjusted the contract unit bid price (adjustment in compensation) of an item(s), is there a force account cost analysis to adequately support the adjustment(s)? Pick
07. If any of the CCOs provide a contract time adjustment, are there records on file supporting the time adjustment? e.g. a time impact analysis. Pick
08. If any of the CCOs contain revised or new engineering drawings or specifications, have the CCO drawings or specifications been stamped by a professional engineer with a valid California PE license? Pick

09. Were all CCOs approved prior to beginning work on the CCO? Pick
    A. If not, was the LPA's prior authorization process followed and documented? Pick
    B. If not, was the contractor given written authorization to proceed with the CCO work? Pick
    C. If not, was the CCO ultimately approved in a timely manner? e.g. within 30 days. Pick
10. Did the LPA make sure that no payment was made to the contractor for work under a CCO until the date that the CCO was fully approved? Pick
11: Comments:

H. PROJECT PAYMENTS (LAPM, Section 16.13):

01. Has the LPA processed a progress payment to the contractor on this contract yet? Pick
02: Does the progress payment provide suitable backup/documentation to support quantities and dollars amounts paid for contract item and CCO works? e.g. quantity calculation sheets (Q-Sheets, Exhibit 16-Y, or similar), quantity notations in daily reports/diaries, etc. Pick
03. Are there separate Q-Sheets for each item being paid on each progress payment? Pick
04: Does each Q-Sheets identify the specific portion of the work to which it applies? e.g. location, stations, etc. Pick
05: Does each Q-Sheets include the measurements and calculations by which the quantity was Pick
06: Are weight tickets on file supporting quantities for items paid by weight? Pick
07: Are Q-Sheets signed and dated? Pick
08: Are Q-Sheets being checked and signed by a separate individual? Pick
09: Are quantities paid to date being monitored and checked against estimated quantities? Pick
10. Comments:

I. LABOR COMPLIANCE & EEO (LAPM, Section 12.9):

01. Who is the LPA's Labor Compliance officer?
02. Was the Required Contract Provisions,Form FHWA-1273, physically attached to the prime-contractor signed construction contract? Pick
03. Were the applicable federal minimum wage rates physically attached to the prime-contractor signed construction contract? Pick
04. Did the LPA check at ten days (federal 10-days rule) before bid opening if the wage rates changed from when the project was first advertised? Pick
05. If necessary, did the LPA issue an addendum to incorporate the latest federal wage rates revision into contract? Pick

06. Have required payrolls been received from the contractor to date? Pick
07. Are payrolls properly certified (original handwritten or electronic signatures) using Form WH-347, or similar including all required language of Section 3.b.(2) of FHWA-1273 Form by the contractor/subcontractors? Pick
08. Are payrolls spot-checked and initialed for proper hours, wage rates and OT by the checker? Pick
09. Are required federal jobsite posters and applicable wage rates posted in plain view of workers in the Pick
10. Are required Employee Interviews, either Exhibit16-N or 16-P, or similar being conducted? Pick
    A. Are the interviews conducted at an acceptable frequency? (Min. 2 interviews per contract per month) Pick
    B. Do the employee interviews include the appropriate signatures and dates? Pick
11. Has contractor submitted required Federal-Aid Highway Construction Contractors Annual EEO Report, Exhibit 16-O, and LPA reviewed, signed, and submitted the Exhibit to Caltrans? This requirement applies to all contractors who have federal-aid contracts exceeding $10,000 and who worked any part of the last full week of July.: Pick

12 Comments:

J. DBE & SUBCONTRACTING ADMINISTRATION (LAPM, Sections 16.9 & 16.7):

01. Who is the LPA's DBE liaison officer?
02. What is the Project DBE percentage goal? 0.00%
03. What is the Construction Contract DBE Commitment, Exhibit 15-G percentage goal commitment? 0.00%
04: If contractor did not meet the Project DBE percentage goal, did the LPA perform and file an Evaluation of Good Faith Effort, Exhibit 9-E, or similar in the project records? Pick
05. Has contractor utilized all DBEs listed on Exhibit 15G as required to date? Pick
06. Is there any commitment to utilize DBE trucking for this contract? Pick
    If yes, are Monthly DBE Trucking Verification, Exhibit 16-Z1, on file? Pick
07. Has contractor submitted any request to substitute a DBE as listed on Exhibit 15-G yet? Pick
    If yes, has appropriate DBE substitution process been followed and documented by LPA? Pick
08. Has any CCO affected the amount of DBE work? Pick
09. Has the prime contractor submitted and the RE approved the Subcontracting Request, Exhibit 16-B, prior to any subcontractor work being performed? Pick
10. Comments:

K. APPRENTICES (TRAINEES) (LAPM, Section 16.9):

1. Are training (apprentice) provisions a part of this contract? Pick
   If yes, what is the number of trainees (apprentices) for this contract?
2. Did the RE approve and file the contractor's training plan prior to start of work? Pick

03. Does the training plan include the following?
    A. Number of trainees to be trained for each classification? Pick
    B. Training program to be used (approved by USDOL)? Pick
    C. Training start date for each classification? Pick
    D. Copies of registered trainees certifications by USDOL, Bureau of Apprenticeship and Training? Pick
04. Comments:

L. ENVIRONMENTAL COMMITMENTS (LAPM, Section 16.12)

01. Is project's environmental clearance in project file? e.g. NEPA Clearance Pick
02. Is the construction project adhering to all mitigation requirements contained in the environmental document and any regulatory permits? Pick
03: Is there any written documentation to support such adherence similar to an Environmental Commitment Record (ECR) in the project records? Pick
04. Comments:

M. TRAFFIC MANAGEMENT PLAN (LAPM, Section 16.5):

01. Is the Traffic Management Plan (TMP) contained in the project PS&E or do the project specifications require the contractor submit one? Pick
02. If contractor submitted the TMP, is a formal agency approval contained in the project files? Pick
03: If necessary, does TMP provide detours built to accommodate people with disabilities, pedestrians, and bicyclists where allowed? Pick
04. Comments:

N. FOLLOW UP ITEMS FOR SIGNIFICANT FINDINGS:

Finding Description	Corrective Action	Action Plan Submittal Date

O: Estimated date of post-construction review, if necessary:

P. ADDITIONAL ITEMS FOR BRIDGE PROJECTS:

Concrete Records:

01. Are all approved concrete mixes on file? Pick
02. Are all letters of concrete mix approvals on file? Pick
03. Are samples and testing notations included on pour records or diaries? Pick
04. Comments:

Bridge CCOs:

01. For bridge design changes, has the bridge designer authorized the change? Pick
02. Comments:

Falsework Plans:

01. Is there a falsework log on file showing falsework submittal history? Pick
02. Are the falsework plans properly stamped? Pick
03. Do the falsework plans include erection and stripping operations? Pick
04. Are the falsework calculations on file and complete? Pick
05. Are there records of camber and falsework deflection calculations performed by a registered engineer? Pick
06. Are there records of falsework soffit and deck grades supplied to the contractor by the Engineer, which accommodate falsework settlements and deflections and bridge camber requirements? Pick
07. Is there a letter from the contractor certifying that the erected falsework substantially meets approved falsework plans dated prior to concrete pours of bridge soffit and deck? Pick
08. Are there any records of observed falsework settlement during and after the concrete pour? Pick
09. Comments:

Prestressing:

01. Are the initial shop drawings for prestressing (submitted by the contractor) on file? Pick
02. Are the initial plans properly stamped? Pick
03. Is the final set of shop drawings for prestressing on file? Pick
04. Are the final plans properly stamped? Pick
05. Is there a record in the diaries to indicate that the prestressing ducts were checked for any obstruction after the soffit/deck pours and prior to placing the strand? Pick

06. Are there records of actual prestressing in the file? Pick
07. Are there records indicating the contractor's pressure gauges and jack(s) were certified and valid at stressing? Pick
08. Is there proper documentation of both i) actual strand elongation vs. theoretical elongation and ii) load readings vs. contractor gauge readings? Pick
09. Do the records show grouting was performed and include a copy of the certificate of compliance for the cement used? Pick
10. Comments:

Profilographs (if there is a new bridge deck or if the existing bridge deck has been modified and finish surface requirements are included in the contract):

01. Are there records showing profilographs were taken before and after deck grinding? Pick
02. Are all the profilograph records on file? Pick
03. Comments:

Shoring Plans (if there is/was shoring on the project):

01. Are the shoring plans properly stamped? Pick
02. Do the project records include complete shoring calculations? Pick
03. Comments:

Welding (if there is welding in the contract)

01. Does the contract require the contractor to have a Quality Control Plan for welding? Pick
    If yes, is the contractor's welding Quality Control Plan on file? Pick
02. Comments:

Q. Summary