

A. PROJECT INFORMATION:

Date of Review:

01. Federal Aid Project No.:	Number		
02. District:			
03. Local Public Agency (LPA):			
04. Project Description:			
05. Project Location:			
County:			
City:			
Street(s):			
Encroaching on a State Highway System:			
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?			
04. Is RE a licensed PE?			
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?			
07. Is the construction management team adequately staffed?			
08. Is there an emergency contact information sheet on file containing names and contact information for 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.			
09. Comments:			
Text			

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?

02. Are there sufficient categories to organize all required project documents?

03. Were requested records easily retrieved in a timely manner?

04. Comments:

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

01. Has the LPA sent the project award package, Exhibit 15-L, to Caltrans?

02. Has the LPA sent a copy of the project Notice to Proceed letter to Caltrans?

03. What is the project construction progress?

A. Approximate % dollars complete?

Approximate % time complete?

04. Does the LPA utilize the weekly statement of working days (WSWD), Exhibit 16-A or other acceptable method of tracking contract time?

05: Is the controlling operation of work clearly noted on the WSWD?

06. What is the original number of contract days?

07. Is this duration in working days (WD) or calendar days (CD) ?

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. What is ACTUAL construction completion date by the contractor?

12. Was the project completed within the allotted contract time (including time extensions)?

A. If not, were liquidated damages assessed?

13. Comments:

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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.

02. Do Daily Reports contain the following information?

A. Identify full names of labor force:

B. Identify labor classifications:

C. Identify employer (name of prime contractor or subcontractor):

D. Identify equipment make and model numbers:

E. Identify breakdown of man/equipment hours worked by contract item and CCO numbers:

F. Identify equipment idle or down time:

03. Do Daily Reports contain a narrative that adequately capture daily occurrences, specific locations of work, overall operations, safety issues (traffic control), and significant conversations with the contractor?

04. Do the Daily Reports clearly identify the author with signature and date?

05. Is there adequate oversight of the Daily Reports by the RE?

A. RE prepares their own (Weekly) Summary Report:

B. RE reviews Daily Reports:

C. RE initials Daily Reports after reviewing them: "

06. Comments:

Yes/No/Not Yet/NA

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?

02. Is the approval date on the QAP less than five (5) years old?

03. Does the QAP contain Acceptance Testing (AT) frequency tables?

04. Have the AT frequency tables been modified from the Caltrans sample QAP, Exhibit 16-R?

05. Which test methods contract documents specify? (CT/ASTM/AASHTO/Other)

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?

09. Have the acceptance testers been certified by Caltrans, the Joint Certification Testing Program (JCTP), or other test certifiers?

A. If by other test certifiers, who?

10. Is the materials laboratory's current certification/accreditation in the project files?

11. Do the project records contain copies of mix designs and their formal approvals?

12. Do delivery tickets/load slips contain a product or mix identification number that corresponds to the approved mix design?

13. Are delivery tickets/load slips being collected and initialed at the time and point of delivery?

14. Are the AT reports in the project files?

15. Are there AT Results Summary Logs, Exhibit 16-Z2, or similar in the project files?

16. Are there any failing AT results in project records?

A. If yes, are there corresponding passing AT reports or resolution explanation in project records?

17. Are the AT being performed at the frequency required in the QAP?

18. Is the AT being coordinated and monitored by the RE/inspector?

19. Does the RE/Inspector see copies of the AT results in a timely manner? e.g. within 3 days

20. Has there been any material delivery waste, rejected or unused in loads?

A. If yes, have deductions been taken from delivery load quantities?

21. Is the contractor's Notice of Materials to be Used, Exhibit 16-I, or similar in project records?
22. Are there any materials to be accepted into the project via source inspection?
- 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?
- A. If yes, what materials?
24. Do the COCs contain the following information?
- A. Project ID or number?
- B. A lot or heat number?
- C. Statement that the material complies with the contract specifications?
- D. Signature by manufacturer?
25. Were the COCs accepted prior to issuing a progress payment to contractor?
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?
27. Is the LPA's Materials Certificate, Exhibit 17-G, signed and on file?
28. Comments:

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

01. Are there any Contract Change Order (CCO) or Potential CCO in project yet?
02. Is there a CCO Summary Log with contingency balance tracking on file?
03. Are CCOs, Form CEM-4900, or similar contain the following information?
- A. Adequately detail the work to be performed?
- B. Specify the location(s) of work?
- C. Cite applicable specifications for the work?
- D. Clearly depict the method of payments?
- E. Address contract time adjustment?
- F. Each have a memorandum that adequately explain the reason for the CCO and justify the need?
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.
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?
- B. Sufficient detail on Daily Reports to support the payment of time and materials on the CCO work?
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)?
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.
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?

09. Were all CCOs approved prior to beginning work on the CCO?
- A. If not, was the LPA's prior authorization process followed and documented?
- B. If not, was the contractor given written authorization to proceed with the CCO work?
- C. If not, was the CCO ultimately approved in a timely manner? e.g. within 30 days.
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?

11: Comments:

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H. PROJECT PAYMENTS (LAPM, Section 16.13):

01. Has the LPA processed a progress payment to the contractor on this contract yet?
- 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.
03. Are there separate Q-Sheets for each item being paid on each progress payment?
- 04: Does each Q-Sheets identify the specific portion of the work to which it applies? e.g. location, stations, etc.
- 05: Does each Q-Sheets include the measurements and calculations by which the quantity was determined?
- 06: Are weight tickets on file supporting quantities for items paid by weight?
- 07: Are Q-Sheets signed and dated?
- 08: Are Q-Sheets being checked and signed by a separate individual?
- 09: Are quantities paid to date being monitored and checked against estimated quantities?
10. Comments:

Yes/No/Not Yet/NA

Yes/No/Not Yet/NA
Yes/No/Not Yet/NA
Yes/No/Not Yet/NA
Yes/No/Not Yet/NA
Yes/No/Not Yet/NA
Yes/No/Not Yet/NA

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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?
03. Were the applicable federal minimum wage rates physically attached to the prime-contractor signed construction contract?
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?
05. If necessary, did the LPA issue an addendum to incorporate the latest federal wage rates revision into contract?
06. Have required payrolls been received from the contractor to date?
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?

Yes/No/Not Yet/NA

Yes/No/Not Yet/NA

Yes/No/Not Yet/NA

Yes/No/Not Yet/NA

Yes/No/Not Yet/NA

Yes/No/Not Yet/NA

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|--|-------------------|
| 08. Are payrolls spot-checked and initialed for proper hours, wage rates and OT by the checker? | Yes/No/Not Yet/NA |
| 09. Are required federal jobsite posters and applicable wage rates posted in plain view of workers in the | Yes/No/Not Yet/NA |
| 10. Are required Employee Interviews, either Exhibit 16-N or 16-P, or similar being conducted? | Yes/No/Not Yet/NA |
| A. Are the interviews conducted at an acceptable frequency? (Min. 2 interviews per contract per month) | Yes/No/Not Yet/NA |
| B. Do the employee interviews include the appropriate signatures and dates? | Yes/No/Not Yet/NA |
| 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.: | Yes/No/Not |
| 12. Comments: | |

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

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| 01. Who is the LPA's DBE liaison officer? | |
| 02. What is the Project DBE percentage goal? | |
| 03. What is the Construction Contract DBE Commitment, Exhibit 15-G percentage goal commitment? | |
| 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? | Yes/No/Not Yet/NA |
| 05. Is there any commitment to utilize DBE trucking for this contract? | Yes/No/Not Yet/NA |
| If yes, are Monthly DBE Trucking Verification, Exhibit 16-Z1, on file? | Yes/No/Not Yet/NA |
| 06. Has contractor submitted any request to substitute a DBE as listed on Exhibit 15-G yet? | Yes/No/Not Yet/NA |
| If yes, has appropriate DBE substitution process been followed and documented by LPA? | Yes/No/Not Yet/NA |
| 07. Has any CCO affected the amount of DBE work? | Yes/No/Not Yet/NA |
| 08. Did the contractor submit the Final Report of DBE Utilization, Exhibit 17-F? | Yes/No/NA |
| A. If yes, did the RE review and sign the above Exhibit 17-F? | Yes/No/NA |
| 09. Did the prime contractor fulfill its DBE commitment plus any approved DBE substitution? | Yes/No/NA |
| A. If not, is a valid explanation/justification provided in the project file? | Yes/No/NA |
| B. Where there was no valid explanation, was payment for the committed to DBE work withheld? | Yes/No/NA |
| 10. Has the prime contractor submitted and RE approved the Subcontracting Request, Exhibit 16-B, prior any subcontractor work being performed? | Yes/No/Not Yet/NA |
| 11. Comments: | |

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

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| 1. Are training (apprentice) provisions a part of this contract? | |
| 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? | |

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

Yes/No/Not Yet/NA
Yes/No/Not Yet/NA
Yes/No/Not Yet/NA
Yes/No/Not Yet/NA

04. Comments:

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L. ENVIRONMENTAL COMMITMENTS (LAPM, Section 16.12)

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

Yes/No/Not Yet/NA

Yes/No/Not Yet/NA

Yes/No/Not Yet/NA

04. Comments:

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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?
02. If contractor submitted the TMP, is a formal agency approval contained in the project files?
- 03: If necessary, does TMP provide detours built to accommodate people with disabilities, pedestrians, and bicyclists where allowed?

Yes/No/Not Yet/NA

04. Comments:

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N. FOLLOW UP ITEMS FOR SIGNIFICANT FINDINGS:

Finding Description	Corrective Action	Action Plan Submittal Date

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

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P. ADDITIONAL ITEMS FOR BRIDGE PROJECTS:**Concrete Records:**

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

Yes/No/Not Yet/NA
Yes/No/Not Yet/NA
Yes/No/Not Yet/NA

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Bridge CCOs:

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

Yes/No/Not Yet/NA

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Falsework Plans:

01. Is there a falsework log on file showing falsework submittal history?
02. Are the falsework plans properly stamped?
03. Do the falsework plans include erection and stripping operations?
04. Are the falsework calculations on file and complete?
05. Are there records of camber and falsework deflection calculations performed by a registered engineer?
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?
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?
08. Are there any records of observed falsework settlement during and after the concrete pour?
09. Comments:

Yes/No/Not Yet/NA
Yes/No/Not Yet/NA
Yes/No/Not Yet/NA
Yes/No/Not Yet/NA
Yes/No/Not Yet/NA

Yes/No/Not Yet/NA

Yes/No/Not Yet/NA
Yes/No/Not Yet/NA

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Prestressing:

- | | |
|--|-------------------|
| 01. Are the initial shop drawings for prestressing (submitted by the contractor) on file? | Yes/No/Not Yet/NA |
| 02. Are the initial plans properly stamped? | Yes/No/Not Yet/NA |
| 03. Is the final set of shop drawings for prestressing on file? | Yes/No/Not Yet/NA |
| 04. Are the final plans properly stamped? | Yes/No/Not Yet/NA |
| 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? | Yes/No/Not Yet/NA |
| 06. Are there records of actual prestressing in the file? | Yes/No/Not Yet/NA |
| 07. Are there records indicating the contractor's pressure gauges and jack(s) were certified and valid at stressing? | Yes/No/Not Yet/NA |
| 08. Is there proper documentation of both i) actual strand elongation vs. theoretical elongation and ii) load readings vs. contractor gauge readings? | Yes/No/Not Yet/NA |
| 09. Do the records show grouting was performed and include a copy of the certificate of compliance for the cement used? | Yes/No/Not Yet/NA |
| 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? | Yes/No/Not Yet/NA |
| 02. Are all the profilograph records on file? | Yes/No/Not Yet/NA |
| 03. Comments: | |

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

- | | |
|---|-------------------|
| 01. Are the shoring plans properly stamped? | Yes/No/Not Yet/NA |
| 02. Do the project records include complete shoring calculations? | Yes/No/Not Yet/NA |
| 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? | Yes/No/Not Yet/NA |
| If yes, is the contractor's welding Quality Control Plan on file? | Yes/No/Not Yet/NA |
| 02. Comments: | |

Q. Summary