



**STATE OF CALIFORNIA**  
**DEPARTMENT OF TRANSPORTATION**  
**DIVISION OF LOCAL ASSISTANCE**  
**Office of Guidance and Oversight**

**Construction Oversight Program**  
**PERFORMANCE MEASURES #18-02**

**FINAL REPORT**  
**December 2018**





It should be acknowledged that this report was prepared by the Construction Oversight Program team under the Office of Guidance & Oversight, with the support of Caltrans Division of Local Assistance and its staff. The team consists of as follows:

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## I. Executive Summary

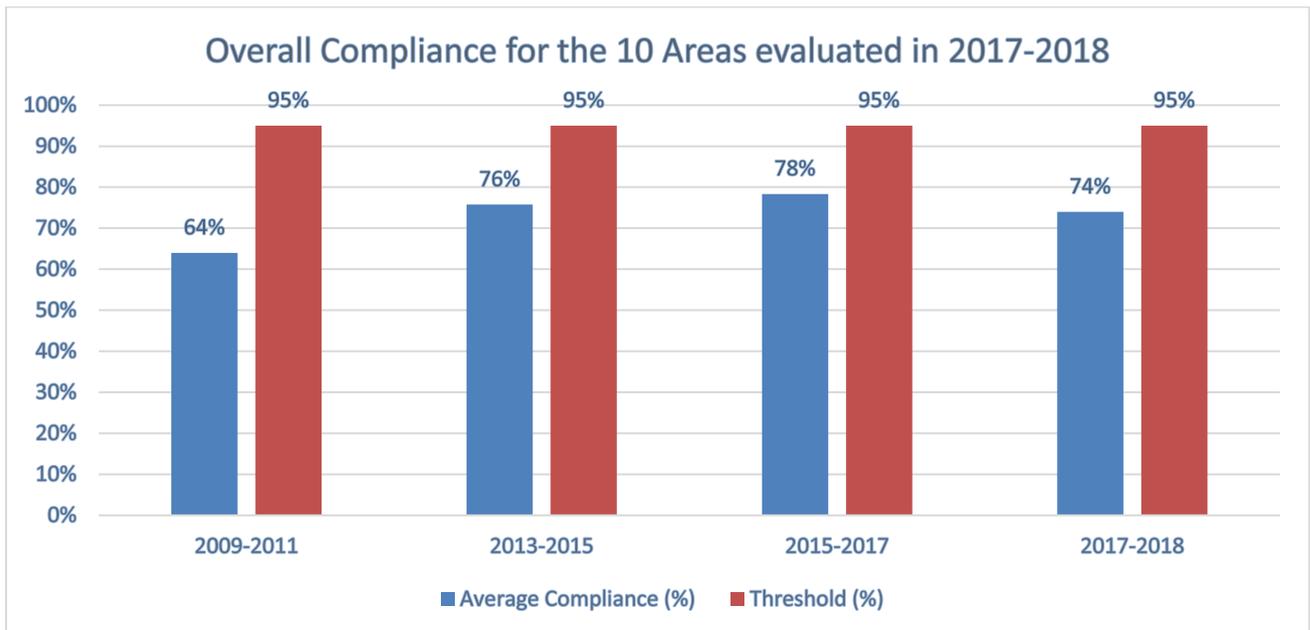
This performance measures report (PMR) by the California Department of Transportation (Caltrans) – Division of Local Assistance (DLA)’s Construction Oversight Program covers the period of July 1, 2017 through June 30, 2018.

It chronicles the Construction Oversight Engineer (COE) reviews and discusses the review findings and trends as compared to the previous reports, ‘Executive Summary, Construction Oversight of Local Agency Federal-Aid Projects’ dated October 2015, and details other tasks that COEs perform as part of their roles in the Local Assistance Program.

To assure compliance with federal and state requirements, the DLA recently conducted a performance measures review of construction projects being administered by local agencies. There are 10 specific areas included in this review which were used as a baseline in this report. The evaluations in this report are conducted on the data which were reported by COEs using ‘Checklist’ forms for three types of construction reviews, namely, ‘Pre-Construction’, ‘Mid-Construction’, and ‘Post-Construction’. The review was performed depending on the status of the construction project at the time of review. In total, 255 review reports were evaluated in this report.

Chart 1 below reveals that the overall compliance found for the 10 comparable areas measured in 2018 is 74%. There was a drop of four percent compared to the previous report, continuous efforts should be made to reach the ultimate program goal of a 95% compliance rate by implementing the recommendations suggested in this report and developing a comprehensive strategic plan for the Construction Oversight Program.

**Chart 1: Overall Average Compliance of Performance Measures**



## II. Process Review

### A. Background

Beginning with the 2009 American Recovery and Reinvestment Act (ARRA) timeframe, the Caltrans Local Assistance Construction Oversight Program is now in its 9<sup>th</sup> year of implementation.

The program now employs seven Construction Oversight Engineers (COEs) that cover the entire State. The assigned areas for the COEs are shown in Attachment A. One of the primary roles of these COEs is to conduct reviews of construction projects being administered by local agencies to assure conformance with federal and State requirements, and to educate local agency staff and management on how to properly administer and manage these projects going forward.

Caltrans DLA conducted a process review to establish a baseline of compliance and areas for improvement, as reported in 'Executive Summary, Construction Oversight of Local Agency Federal-Aid Projects' dated October 2015. The documentation (i.e., Checklists) related to the construction activities was collected and analyzed for the local agencies' compliance during the construction phases of their federal-aid projects. The data represented here in this report are collected from all the federal-aid projects throughout the state for the time frame between July 2017 and June 2018. The analyzed results were compared with the results from the previous reviews and discussed later in this report.

### B. Process Review Goals and Methodology

The primary goal of this performance measures report (PMR) was to measure the effectiveness of the Construction Oversight Program by providing guidance, oversight, training, and outreach to the local agencies. The outcome of these efforts is expected to reduce deficiencies in complying with federal and state regulations during the construction phase of the federal-aid projects. The goal of the Construction Oversight Program for 2018 is to reach 85% compliance for the 10 areas of concern analyzed in this PMR with an ultimate goal of 95% compliance. The specific questions for each area can be found in Attachment B.

The analysis was based on data extracted from applicable questions found in any type of review reports, 'Pre-Construction', 'Mid-Construction', or 'Post-Construction', within this PMR period. The latest versions of each Checklist are presented as attachments C, D, and E.

The number of checklists reviewed over the July 1, 2017 to June 30, 2018 period is listed in Table 1 by each type of construction review and district.

**Table 1: Number of Checklists/Projects Reviewed between July 2017 and June 2018**

District	Type of Construction Review			Total	No. of Projects Evaluated by District
	Pre-Construction	Mid-Construction	Post-Construction		
01	0	3	2	5	5
02	0	5	4	9	9
03	3	13	17	33	33
04	26	34	11	70	70
05	4	6	5	16	16
06	1	6	0	7	7
07	16	10	11	37	37
08	17	24	17	58	58
09	0	2	4	6	6
10	2	4	0	6	6
11	2	1	0	3	3
12	2	0	3	5	5
Total	73	108	74	255	255
No. of Projects	73	108	74	255	

Note: Unintentionally, some review reports were performed within the study period but did not make it into the database such as districts 11 & 12 had 11 reviews (8 Mid-Construction and three Post Construction) that were not included in this PMR analysis.

### C. Process Review Analysis

The reviews consist of going over a ‘Review Checklist’ in detail and verifying that the project’s construction files contain the proper documentation. The specific areas of interest for this review were selectively chosen from the Review Checklists to align with Federal Highway Administration (FHWA)’s Construction Program Analysis and Risk Assessment of the Construction Program Report. The areas selected and evaluated were:

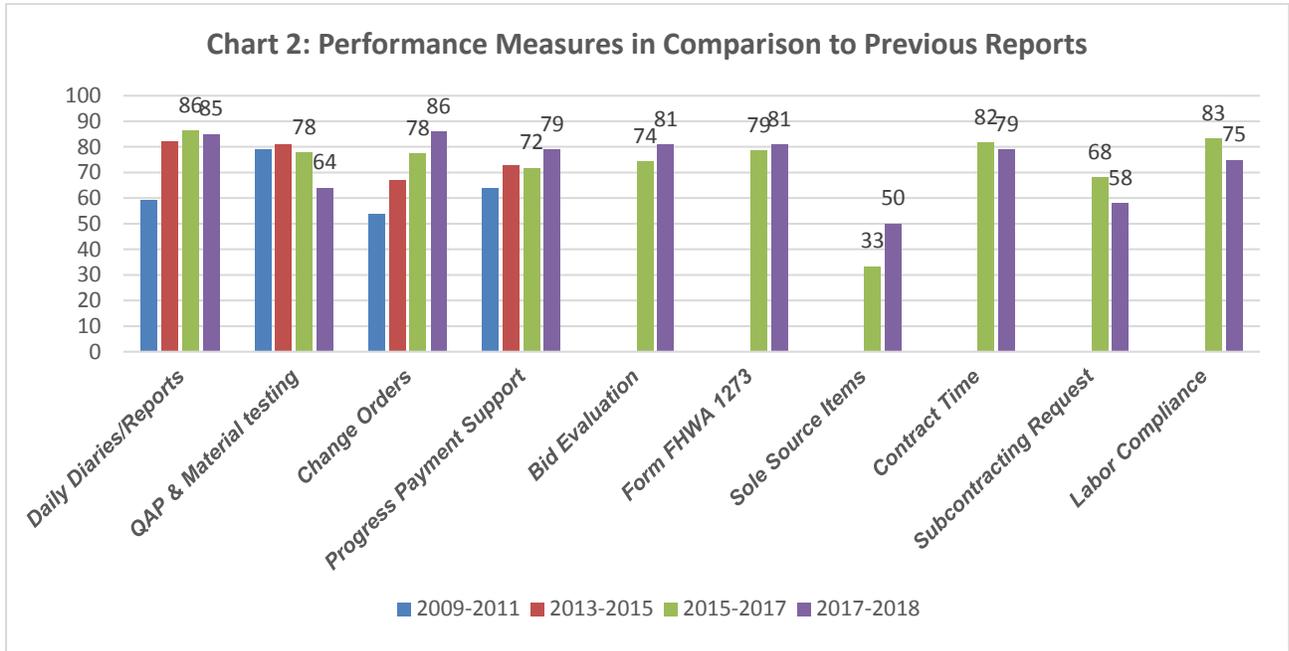
1. Daily Reports
2. Quality Assurance/Materials Testing
3. Contract Change Orders (CCOs)
4. Progress Payment Support
5. Bid Evaluation
6. Form FHWA 1273
7. Sole Source Items
8. Contract Time
9. Subcontracting Request
10. Labor Compliance

The first four review areas (1-4) were identified by the Office of Inspector General (OIG) as deficient areas in their July 2011 report. These four areas were also evaluated in this 2017-2018 process review and compared to the previous reviews while the rest of the areas were evaluated in this review for the

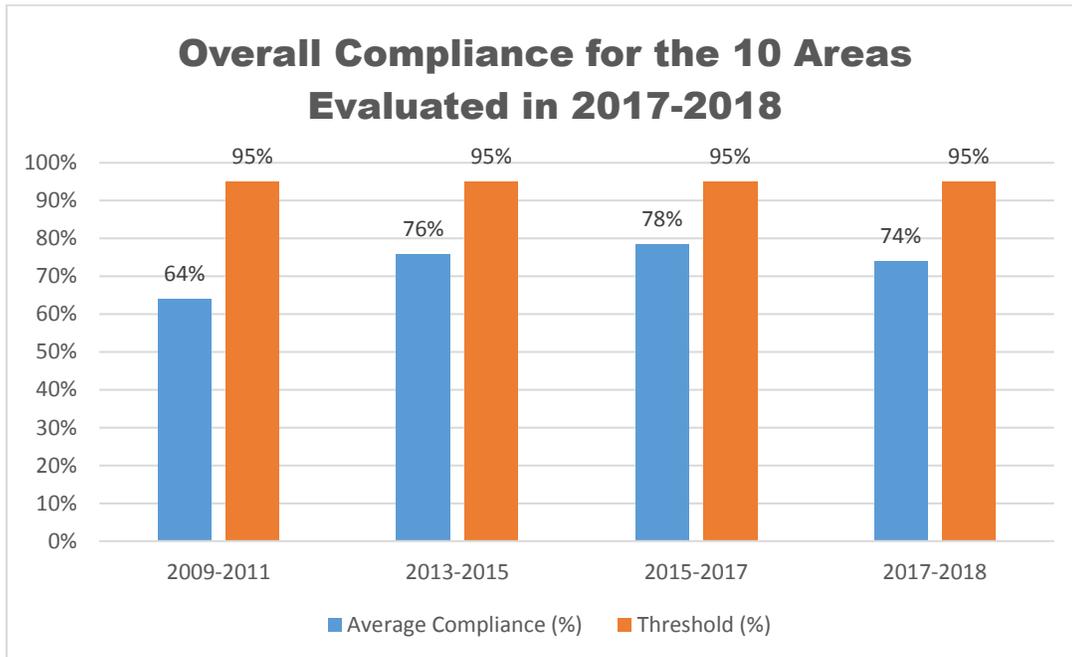


second time. Chart 2 depicts the analysis of these reviews in terms of compliance rate for each evaluated area in percentage.

**Chart 2: Performance Measures for the Comparable Areas to Previous Reviews**



**Chart 3: Overall Compliance Rate for All 10 Areas Evaluated in 2017-2018**



The overall compliance rate for all 10 areas evaluated was found to be 74% as shown in Chart 3.

Table 2 shows the compliance rates of the reviewed areas for 2017-2018. Shown to the right of each item is the average compliance percentage by each reviewed area, and to the bottom of the table is the average compliance rate by each type of construction review. These compliance rates were calculated by dividing the number of checklists in compliance for a specific area reviewed by the total number of the checklists reviewed for the specific area. The previous report measured all the 10 areas.

**Table 2: Average Compliance Rates by Type/Area for 2017-2018**

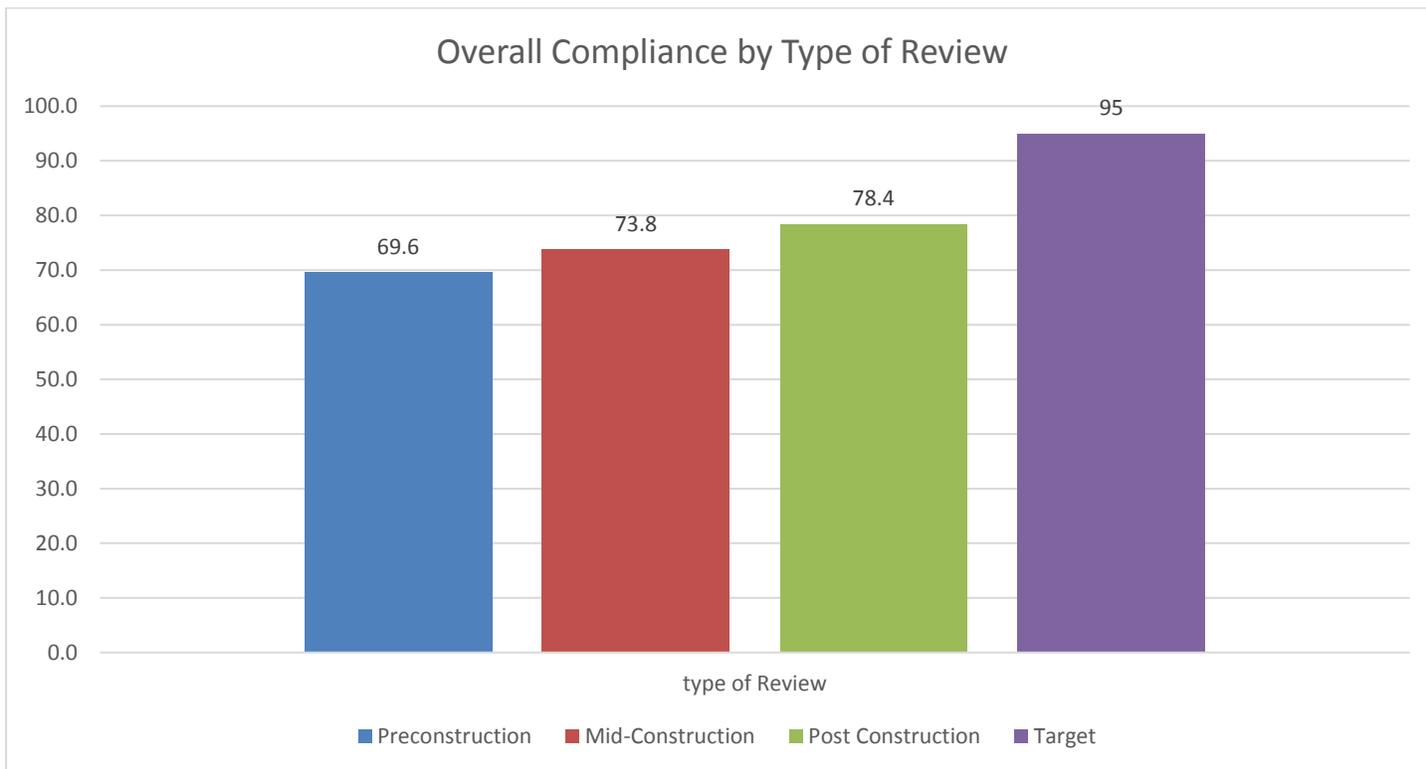
Area No	Area Evaluated	Compliance Rate/Type of Construction Review			Average Compliance Rate by Area (%)
		Pre-Construction	Mid-Construction	Post-Construction	
1	Daily Reports	N/A	84.02%	84.94%	<b>84.48</b>
2	Quality Assurance/Materials Testing	N/A	57.67%	70.66%	<b>64.16</b>
3	Change Orders (CCOs)	N/A	86.25%	85.88%	<b>86.06</b>
4	Progress Payment Support	N/A	72.40%	85.88%	<b>79.14</b>
5	Bid Evaluation	80.65%	N/A	N/A	<b>80.65</b>
6	Form FHWA 1273	76.71%	85.19%	81.69%	<b>81.20</b>
7	Sole Source Items	50.00%	N/A	N/A	<b>50.00</b>
8	Contract Time	N/A	75.93%	82.05%	<b>78.99</b>
9	Subcontracting Request	N/A	53.85%	62.12%	<b>57.98</b>
10	Labor Compliance	73.97%	75.46%	74.30%	<b>74.58</b>
<b>Average Compliance Rate by Type of Construction Review (%)</b>		<b>70.33</b>	<b>73.84</b>	<b>78.44</b>	

It is worthwhile to note that not all of the areas were measured for each type of construction review due to their relative nature of the work during the construction period reviewed. For example, Areas 5-7 are only categorical interests that are suitable and included for the ‘Pre-Construction’ review period. Likewise, Areas 5 and 7 are excluded from the analysis for the ‘Mid-‘ and ‘Post-Construction’ review periods. The only review area that covers all the construction periods is Area 6, ‘Form FHWA 1273’.

Based on the analysis for 2017-2018 review period, examined were not only the compliance rates for the review areas, but also the compliance rates for the types of construction reviews. Chart 4 below indicates the average compliance of each type of construction review and reveals that the compliance rate hits the highest (78.4%) for the ‘Post-Construction’ review, which is better than that of the ‘Mid-Construction’ (73.8%). This observation was evaluated. Considering the identical questions asked for both ‘Mid-‘ and ‘Post-Construction’ reviews, it was expected that the compliance rates would improve which is a 4% improvement in this PMR. However, both reviews were not necessarily conducted on the same projects in that some projects were reviewed for ‘Mid-Construction’ only and some for ‘Post-Construction only. The projects that were reviewed for both types of construction reviews were estimated to be less than 30%. This fact indicates that the difference shouldn’t be

recognized as an uptrend between these reviews but understood as a statistical variance. The standard deviations of these reviews also affirm this argument because of the difference between two compliance rates (4%).

**Chart 4: Compliance Rates for Types of Construction Reviews in 2017-2018**



A comprehensive plan for 2018-2019 will be addressed in the recommendation section of this report to accomplish a minimum 85% compliance for each individual 10 areas, which will also be expanded to address deficiencies in other areas of importance and consider the overall compliance per Construction Review Period and per District. This information will help refine the training and outreach to focus on critical areas needing improvements.

## D. Observations

A brief discussion on the notes and observations pertaining to the issues causing the local agency to be out of compliance with quantitative findings in Chart 2, and Table 2 are highlighted below.

### Area 1 Daily Reports

- A noticeable improvement in this category is observed.
- The overall compliance is about 85% which equal or exceeds our current target of 85%.
- As shown on table 3 that Q E25, “Breakdown of hours worked by contract item and CCO work,” has the lowest compliance rate which requires attention.
- The positive trend observed for this review area was believed to benefit from the COE’s continuous efforts in issuing guidance and educating local agencies of the importance of daily reports.
- Considering its importance, it is recommended to continue to discuss daily reports prominently in the future reviews and provide even greater emphasis at the training courses such as the RE Academy and Federal-Aid Series.

Table 3: Daily Reports Detailed Analysis for 2017-2018

Question	Daily Diaries Questions Detail	Mid-Construction			Post Construction			Difference
		No	Yes	Compliance	No	Yes	Compliance	
Q E1	Are daily reports up-to-date?	14	94	87.04%	8	65	89.04%	2.00%
Q E21	Full names of labor force	12	96	88.89%	11	62	84.93%	-3.96%
Q E22	Identify employer (prime contractor vs. subcontractor)	14	94	87.04%	7	66	90.41%	3.37%
Q E23	Labor classifications	13	95	87.96%	8	65	89.04%	1.08%
Q E24	Equipment types and model numbers	17	91	84.26%	15	58	79.45%	-4.81%
Q E25	Breakdown of hours worked by contract item and CCO work	38	70	64.81%	19	54	73.97%	9.16%
Q E3	Do daily reports adequately capture daily occurrences, locations of work, overall operations	7	101	93.52%	6	67	91.78%	-1.74%
Q E5	Are Resident Engineer (RE) diaries up-to-date (either daily or weekly)?	27	81	78.64%	18	55	80.88%	2.24%
<b>Average Compliance</b>				84.02%			84.94%	0.92%

### Area 2 Quality Assurance/Materials Testing

- This PMR included more questions than the previous one as shown on Table 4.
- The overall compliance rate of this area went down by 14% in comparison of the previous report as shown on Chart 2.
- This area needs attention due to its importance in verifying the quality of the material incorporated into the work will serve the designed service life of the product. Also, this area was targeted and addressed in multiple external audits in the past.
- It is observed that most of local agencies are not equipped with their own in-house materials testers and laboratory, and thus utilize consultant materials testing firms. The problem is that the local agencies tend to delegate all aspects of the materials testing to the consultants without a full understanding of the QC/QA concepts.

Move to next page for title of table. Table 4: QAP & Material Testing Detailed Analysis for 2017-2018



Question	QAP/ Material Testing Questions Detail	Mid-Construction			Post Construction			Difference
		No	Yes	Compliance	No	Yes	Compliance	
Q F9	Is there a log of acceptance testing results in the project files?	46	51	52.58%	29	36	55.38%	2.81%
Q F11	Are copies of up-to-date acceptance testers certifications in the project files?	46	54	54.00%	23	44	65.67%	11.67%
Q F12	If using CT methods, have the acceptance testers been certified by Caltrans?	49	39	44.32%	13	48	78.69%	34.37%
QF131	If using other test methods (ASTM, etc...), have the acceptance testers been certified?	28	29	50.88%	22	19	46.34%	-4.54%
Q F14	Is the materials laboratory's current certification/accreditation in the project files?	44	57	56.44%	17	48	73.85%	17.41%
Q F17	If there are failing tests, are there corresponding passing tests or resolution explanation?	23	39	62.90%	10	29	74.36%	11.46%
Q F18	Do the project records contain copies of mix designs and their formal approvals?	11	90	89.11%	5	64	92.75%	3.64%
Q F231	certificates of compliance contain Project ID or number?	49	53	51.96%	26	46	63.89%	11.93%
Q F232	certificates of compliance contain Specific lot number?	47	53	53.00%	28	44	61.11%	8.11%
Q F 233	certificates of compliance contain Citation of spec. No.'s in compliance with?	46	55	54.46%	21	51	70.83%	16.38%
Q F 234	certificates of compliance contain Signature by manufacturer?	40	62	60.78%	18	54	75.00%	14.22%
Q F24	Buy America statements/certifications for Iron and Steel incorporated into the work	33	53	61.63%	4	36	90.00%	28.37%
<b>Average Compliance</b>				57.67%			70.66%	12.99%

Note: The highlighted questions are new which were not included in the previous PMR

### Area 3 Contract Change Orders (CCOs)

- A Contract Change Order (CCO) is a document that alters the terms of the construction contract. As such, many of these CCOs result in additional payment to the contractor. The timely preparation and final approval of CCOs by the project owner (local agency) is critical to minimize actual project delays.
- Based on this review, this is an area with the greatest amount of improvement observed. The 2017 review found 78% compliance with this review noting an 8% increase in compliance.
- This area has the best overall compliance of 86% in this report.
- Every element of this area scored above 85% except question G6, a contract time adjustment supporting documents, which scored 76% as shown on table 5.
- A great improvement in the weakest part of this area in the previous report which is payment methods and its supporting records assisting in the establishment of agreed prices for CCOs. It has an 87% compliance rate in this report.
- It should be noted that the COEs are receiving more requests to review CCOs, and thus are becoming more involved in the issues related to CCOs.

Table 5: Change Order Detailed Analysis for 2017-2018

Question	Change Orders Question Detail	Mid-Construction			Post Construction			Difference
		No	Yes	Compliance	No	Yes	Compliance	
Q G1	Change orders log	15	86	85.15%	8	51	86.44%	1.29%
Q G2	Justification memo	10	91	90.10%	15	44	74.58%	-15.52%
Q G3	AUP/ALS Supporting document	13	88	87.13%	11	48	81.36%	-5.77%
Q G4	at force account reflected on daily diaries	11	90	87.91%	5	54	91.53%	3.61%
Q G6	a contract time adjustment supporting documents	18	83	76.32%	9	50	84.75%	8.43%
Q G7	revised or new engineering drawings or specifications Stamped	5	50	90.91%	2	57	96.61%	5.70%
<b>Average Compliance</b>				86.25%			85.88%	-0.38%

Note: Q G5 was replaced by Q G6 from the previous PMR.

### Area 4 Progress Payment Support

- CFR 635.123, Determination and Documentation of Pay Quantities, requires that each state Department of Transportation have procedures in place which provide adequate assurance that the quantities of completed work are determined accurately and on a uniform basis throughout the state for all federal-aid projects, including those administered by local agencies.



- The overall compliance of this area is 79%.
- Compared to the previous review, a 5% improvement in compliance has been observed for this review area.
- See questions H5 and H7 which scored the lowest compliance in this report.
- This review area will always be an area of interest/focus for external auditors so COEs continue to guide and educate agencies to comply.

Table 6: Progress Payment Detailed Analysis for 2017-2018

Question	Progress Payment Questions Detail	Mid-Construction			Post Construction			Difference
		No	Yes	Compliance	No	Yes	Compliance	
Q H2	does the progress payment provide suitable backup/documentation to support quantities	21	75	78.13%	8	51	86.44%	8.32%
Q H3	Are there separate quantity calculation sheets for each item being paid on each PP	24	72	75.00%	15	44	74.58%	-0.42%
Q H4	Does each quantity calc sheet identify the specific portion of the work to which it applies?	25	71	73.96%	11	48	81.36%	7.40%
Q H5	Does each quantity calc sheet include the measurements and calculations by which the quantity	30	66	68.75%	5	54	91.53%	22.78%
Q H6	Are quantity calc sheets signed and dated?	22	74	77.08%	9	50	84.75%	7.66%
Q H7	Are quantity calc sheets being checked by a separate individual?	37	59	61.46%	2	57	96.61%	35.15%
	<b>Average Compliance</b>			72.40%			85.88%	13.48%

**Area 5 Bid Evaluation**

- The administering local agency should conduct a bid evaluation for each project. A proper bid evaluation better ensures that funds are being used in the most effective manner.
- This area has been flagged by FHWA as a frequent deficiency. Agencies are required to analyze bids before award to determine if the lowest bidder is responsible and responsive.
- This review area is performed during a pre-construction period to check if the local agency conducts, documents, and files a bid analysis prior to project award. The compliance rate has improved from 74% to 81% which is up by 5%.

Table 7: Bid Evaluation Detailed Analysis for 2017-2018

Question	Bid Evaluation Questions Detail	Preconstruction		
		No	Yes	Compliance
Q 05	bid Analysis	12	50	80.65%
	<b>Average Compliance</b>			80.65%
Note:	11 projects had a not applicable (NA) answer so they were not included in the analysis			

**Area 6 Form FHWA 1273**

- Based on DLA COIN #15-04, issued on November 10, 2015, several recent and ongoing FHWA Compliance Assessment Program (CAP) audits/reviews emphasized inclusion of Form FHWA 1273, which is required by 23 CFR 633.102. In addition, Chapter 12 of the LAPM notes that failure to include the form in the construction contract and subcontracts as an “unrecoverable project deficiency and shall make the construction phase of the project ineligible for federal reimbursement.”
- Among all the reviewed areas in this report, this is one of two areas that covers all three types of construction reviews.



- A primary intent of this evaluation is to see if the contract provisions form (Form FHWA 1273) is physically included in the signed/executed construction contract and subcontracts. And about 81% of the compliance rate was observed for the area with an improvement of 2% from the previous report.

Table 8: FHWA Form 1273 Detailed Analysis for 2017-2018

Type of Review	Question	FHWA Form 1272 Questions Detail	Compliance			Difference
			No	Yes	Compliance	
Preconstruction	Q 03	Is FHWA form 1273 physically included in the signed contract?	17	56	76.71%	
Mid-Construction	Q 12	Is FHWA form 1273 physically included in the signed contract?	16	92	85.19%	8.47%
Post Construction	Q 12	Is FHWA form 1273 physically included in the signed contract?	13	58	81.69%	-3.50%
<b>Average Compliance</b>					81.20%	

### Area 7 Sole Source Items

- This review area applies only to pre-construction reviews. And this area is found to have 50% compliance rate with a 17% improvement from the previous report but it still the lowest compliance rate among all the review areas.
- A main cause of this deficiency was found that the local agencies did not include a public interest finding (PIF) in the project records covering each sole source item.
- Due to the lowest performance rate, the significant improvement should be sought to meet the current set goal (85%) and eventually the goal (95%). Intensive training and direct assistance on the issue may help the local agencies understand the importance of the area and improve the conforming rate.
- This area should be addressed by different DLA unit since it occurs during PS&E and the COE role starts during the advertisement and the award of the project.

Table 9: Sole Source Detailed Analysis for 2017-2018

Question	Sole Source Questions Detail	Preconstruction		
		No	Yes	Compliance
Q 20	If yes, has the local agency oncluded a PIF (Exhibit12-F in the project records covering each proprietary item or process)?	10	4	28.57%
Q21	Has the approved PIF and Certification, if applicable, been emailed to Proprietary.PIF@dot.ca.gov? (Certification is required if product is essential for synchronization, on suitable alternative exists, or the product	4	10	71.43%
<b>Overall Compliance</b>				<b>50.00%</b>
Note:	Only 14 projects had applicable answer so they were included in the analysis			

### Area 8 Contract Time

- It has been indicated that some local agencies struggle with proper administration of contract time. Consequently, poor contract time administration can result in contractor claims against the local agency, extra CE costs, public inconvenience, and failure in delivering project in a timely manner
- A major reason for this review area was to investigate if a construction project is finished on time as planned in a prime contract.



- The overall compliance rate for this area is 79% which down by 3% from the previous report.
- 51% of the reviewed projects overrun the original duration of contract time. Agencies need to provide concrete documentation any time they grant contract extension.
- Question D8 shown on table 10 was not included in the calculation of the overall compliance rate of this area since the overrun is not a deficiency if the time extension was legitimate and well documented.

Table 10: Contract Time Detailed Analysis for 2017-2018

Type of Review	Question	Contract Time Questions Detail				Average Compliance
			No	Yes	Compliance	
Mid-Construction	Q D5	Does the agency utilize the weekly statement of working days or other acceptable	8	100	92.59%	75.93%
	Q D9	Is the controlling operation of work clearly noted on the WSWD?	44	64	59.26%	
Post Construction	Q D3	Does the agency utilize the weekly statement of working days or other acceptable	4	70	94.59%	82.05%
	Q D4	Is the controlling operation of work clearly noted on the WSWD?	19	55	74.32%	
	Q D5	Is the final WSWD (or other contract time document) on file	17	57	77.03%	
	Q D8	Did the contract overrun the original number of days?	36	38	51.35%	
	Q D10	Is there adequate written documentation on file to support the additional time gran	11	51	82.26%	
		<b>Difference in Compliance</b>				<b>6.13%</b>
	Note:	Q D8 for information only not included in the compliance analysis				
		Q D10 had only 62 applicable projects included in the compliance analysis				

**Area 9 Subcontracting Request**

- Chapter 16 of the LAPM states that the contractor must request permission in writing and receive written consent from the local agency before subletting any portion of a contract to a first-tier subcontractor.
- This area was found to have at the second lowest compliance rate of all areas reviewed. The Contractor is to submit Exhibit 16-B, Subcontracting Request Form for approval by the RE prior to starting any subcontracted work. Neglecting the importance of the approval process of the request form is regarded as a key reason for the non-compliance.
- Certainly, this review area should be one of the focused areas for the improvement in the future. In-depth review and training emphasizing the importance of this form-approval process will increase compliance, and improve agency monitoring of DBE programs and the Fair Practices Act.



- Compliance with this area will help Area 6 (Form FHWA 1273) to comply in the subcontracts since subcontracting form has a disclaimer.
- The overall compliance rate of this area in this report went down 10% from 68% to 58%.

Table 10: Subcontracting Request Detailed Analysis for 2017-2018

Question	Subcontracting Request Question Detail	Mid-Construction			Post Construction			Difference	
		No	Yes	Compliance	No	Yes	Compliance		
Q J05	Has the prime contractor submitted and the resident engineer approved the subcontracting request form (Ex 16-B of the LAPM) prior to any subcontractor work being performed	48	56	53.85%	25	41	62.12%	8.28%	
<b>Overall Compliance in Submitting Subcontracting Request</b>							<b>57.98%</b>		
Note:	7 projects had a not applicable (NA) answer so they were not included in the analysis								

### Area 10 Labor Compliance

- As described in Chapter 16 of the LAPM, the administering local agency is responsible to ensure that all labor compliance requirements are performed and documented in the project file.
- Along with posting the required federal jobsite posters, a proper check of payrolls regarding hours, wage rates, overtime pay, deductions, or other actions should be more carefully and frequently performed to improve the compliance rate for the area.
- The overall compliance rate of this area in this report went down 8% from 83% to 75%

Table 11: Labor Compliance Detailed Analysis for 2017-2018

Type of Review	Question	Labor compliance Questions Detail				Average Compliance	Difference
			No	Yes	Compliance		
Preconstruction	Q 03	Form 1273	17	56	76.71%	73.97%	
	Q 04	Federal wage	21	52	71.23%		
Mid-construction	Q I1	Federal wage	21	87	80.56%	75.46%	1.49%
	Q I2	Form 1273	16	92	85.19%		
	Q I7	Fed posters	35	73	67.59%		
	Q I8	Employee interviews	34	74	68.52%		
Post construction	Q I1	Federal wage	19	52	73.24%	74.30%	-1.17%
	Q I2	Form 1273	13	58	81.69%		
	Q I7	Fed posters	18	53	74.65%		
	Q I8	Employee interviews	23	48	67.61%		
<b>Overall Compliance</b>						<b>74.58%</b>	
Note:	The highlighted questions were included in the analysis						

## **General Observations**

It should be noted that out of 10 review areas, only two areas met the current set goal of the 85% compliance rate. Moreover, the current overall average compliance rate (74%) which is down by 4% from the previous report and significantly deviated from the 95% of the ultimate program goal. Therefore, a comprehensive and strategic plan needs to be developed and implemented coupled with continued efforts by the COEs in both project reviews and training for the local agencies. The areas of special interest should be focused on the following topics, as identified in this process review:

- Quality Assurance/Materials Testing
- Bid Evaluation
- Sole Source Items
- Subcontracting Request
- Labor Compliance
- Progress Payment
- Contract Time
- FHWA Form 1273

These areas that require special attention are selected because of their importance and relatively low compliance rates, which all fell below 85%.

## **E. Findings Summary**

It has been observed that there are moderate improvements from a comparison between the above observations and the 2017 review performed by Caltrans DLA, in which identical areas of interest were reviewed. The quantitative findings show positive results in five out of 10 areas while the other five suffered decline in the compliance rate. The overall compliance decline was due to multiple factors such as:

1. Database entries were filtered more conservatively and accurately. For example, entries such as “YES/NO” (meaning partial compliance), and blank entries were counted as “No”. Entries of “Not Yet” were filtered for appropriate context and many were changed to “No”.
2. The COEs tend to focus their reviews on underperforming agencies, agencies new to (or who rarely administer) federal-aid projects, and agencies with high turnover of staff.
3. Data from D8 and D9 did not exist last year due to a staff vacancy. The inclusion of these agencies, who have had limited oversight for the past 2 years, has lowered our compliance scores
4. The analyses included new questions and eliminated others. Many small agencies don’t get federal projects that often so COEs did not have chance to interact with them previously.



## **F. Recommendations**

Several recommendations for moving forward to enhance the local agencies' competence level to conform to federal and state regulations are being developed by the Construction Oversight Program team. Developing a comprehensive plan to address the identified issues is also of importance and working with FHWA to resolve the issues pertaining to specific areas with deficiencies is necessary. In addition, customized training, oversight, and assistance for the local agencies' needs may be required to significantly increase compliance. The following recommendations are suggested by the review team in some specific areas as follows:

### ***Addressing Inquiries/Providing Feedback***

One of general concurrences among all the COE team members is to continue to try to resolve questions/issues of varying levels of complexity from local agencies and from Caltrans District staff, typically through telephone or email correspondence. In addition, providing feedback to local agencies for the findings of the process reviews including the results pertaining to specific projects is also suggested.

### ***Providing Review and Concurrence***

An increasing role in reviewing documents such as CCOs as requested by local agencies as well as Caltrans District staff may help local agencies improve compliance rates. The extent of the review is for proper justification, documentation, cost backup, and overall eligibility for federal participation. This review work often spawns follow-up documentation, discussion and direction from/to the local agencies and the districts.

### ***Providing Training***

Caltrans DLA has utilized the training courses such as the Resident Engineers (RE) academy and the Federal-Aid Series since 2013. For the same review period of this report, nine Federal-Aid Series and ten RE Academy trainings were conducted throughout the state. Along with these formalized training courses, conducting customized training sessions upon request of either individual agencies or Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs) has been recommended. This has proven to be an excellent way of outreaching and networking with the local partners. The Construction Oversight Program Manager should develop an overall strategic training and outreach plan to provide continued support to the local agencies in this area.

### ***Enhanced Participation/Involvement on 'Higher Significance' Projects***

On an as-requested basis from FHWA, Caltrans District or HQ Local Assistance (DLA), Caltrans Audits and Investigations (A&I), local agencies, and/or the COEs should maintain a higher level of involvement or approval authority if and as appropriate for construction phase activities. This involvement may include an assessment of local agency qualifications, participation in periodic project meetings and reviews, and more formalized Change Order review and approval.



***Assisting FHWA and Caltrans A&I on Reviews and Audits***

As requested and as necessary, COEs have and should continue to make themselves available to accompany FHWA and/or Caltrans A&I at reviews and audits, and to provide construction-related input, consultation and follow up actions as appropriate.

***Encouraging Local Agencies for More Active Involvement***

Considering significant influences of the administering local agencies' roles, it is important to encourage the agencies to participate more in and have their functional teams on-board during development of the project's PS&E package and performance of construction activities. This will help streamline the contract time process in a most effective manner.



# **Attachment A**

## **Construction Oversight Engineers District Assignments**

### **Construction Oversight Engineers District Assignments**



COE	Area
Osama Abu-Markhieh	D1, D2, D3
Moe Shakernia	North of D4
Siobhan Saunders	North of D5 & South of D4
Mike Giuliano	D6, D10, South of D5, D9
Mohammad Pasebani	D7
Chad Yang	D7, D8, D9
Anna Alonso	D11, D12



# **Attachment B**



## Division of Local Assistance Pre-Construction Review Checklist

**Review Type: Pre-Construction**

**A. PROJECT INFORMATION**

01. Federal Aid Project No.:		Date of Review	
02. District:			
03. Agency:			
04. Project Description:			
05. Project Location:			
County:			
City:			
Street(s):			
06. Project Type:			
07. Funding Source(s):			
08. Caltrans Reviewer(s):			
09. Caltrans Construction Oversight Engineer:			
10. Caltrans DLAE:			
11. FHWA Participant(s) (if applicable):			
12. Local Agency Participant(s):			

**B. PROJECT STAFFING**

01. Local Agency Employee in Responsible Charge of Project:			
02. Project Resident Engineer (RE):	Does RE Work For:	Local Agency	
Dane Schilling		Consultant	
03. Is RE a licensed PE?	If yes, PE License No		
04. If not, who is the licensed PE who delegated this responsibility?			
05. If RE is a consultant, name of consultant firm:			
06. Prime Contractor:			

**C. CONTRACT INFORMATION**

FHWA Construction Authorization (E-76) Date:			
Engineer's Estimate Amount (Bid Items Only):			
Alternative Contracting Method?			
(If yes, what method? (design-build, cost-plus-time (A+B), etc.)			
Advertising Date:	Bid Opening Date:	Award Date:	
Low Bid Amount:	High Bid Amount:		
Contract Award Amount:	Percent Award over/under Engineer's Estimate:		
No. of Bids:	No. of competitive bids (No. of bids w/in 20% of low bid):		
Contract Time:	Standard Working Days	or Calendar Days	
Notice to Proceed Date:	Estimated Date of First Working Day:		
Estimated Completion Date:			
01. Has the agency sent Caltrans the notice to proceed letter?			
02. Has the agency sent Caltrans the award package?			
03. Has the FHWA-1273 contract provisions form physically attached to the prime-contractor signed construction contract?			
04. Has the applicable federal minimum wage rates physically attached to the prime-contractor signed construction contract?			
05. Did the agency perform, document, and file a bid analysis prior to project award? (Written justifications for projects where low est responsible bidder exceed engineer estimate by 10% or more)			



- 06. If the lowest responsible bidder exceeds the engineer's estimate by 10% or more, is written justification on file?
- 07. Is Local Agency Bidder DBE Commitments (Form 15-G) on file?
- 08. Is DBE Evaluation of GFE (Exhibit 9-E) on file? (Required when contract DBE goal is not met)
- 09. Does the approved project PS&E include a TMP/TTC plan or provisions for the contractor to develop a plan? (TTC for projects that have less than significant work zone impacts)
- 10. Does the contract specify that the prime contractor must perform work equaling at least 30% of total bid?
- option selected on Exhibit 9-B, Local Agency DBE Annual Submittal Form?
- 12. Is the project Environmental Commitment Record (ECR) in the files?
- 13. Are liquidated damage provisions included in the contract?
- 14. If yes, what is the dollar amount of liquidated damages per day?
- 15. Does the project contain incentive/disincentive provisions?
- 16. Are there any local agency furnished materials for this contract?
- 17. If yes, has the local agency included a public interest finding (PIF) in the project records covering each local agency furnished material?
- 18. Where local agency furnished materials are used, has the local agency provided documentation showing a competitive process was used for procuring those materials?
- 19. Does the contract contain any sole source items?
- 20. If yes, has the local agency included a PIF in the project records covering each sole source
- 21. Will the local agency be using consultant contract for contract administration, materials testing,
- 22. Where consultant contracts will be utilized for the construction phase, identify the following information:

Consultant Service	Consultant Company	Contract Type	Consultant Selection

23. Comments:

**D. WORK STATUS:**

Review taking place prior to first working day?	<input type="checkbox"/>
If not, Percent work complete (\$)	<input type="checkbox"/> & percent time complete
Pre-bid meeting held	<input type="checkbox"/> Mandatory or Optional
Preconstruction conference held or to be held	<input type="checkbox"/>
Estimated or actual date of preconstruction conference	<input type="checkbox"/>
Review of applicable detailed mid-project and after-acceptance project survey questions with resident	<input type="checkbox"/>
Mid-project review scheduled date:	<input type="checkbox"/>



**Follow up items for significant deficiencies:**

Deficiency Description	Course of Action	Action Dates

**Local Agency Contact:**

**Local Agency Contact Phone Number:**

**E. SUMMARY**

# Attachment C

## Mid-Construction Review Checklist



### Mid-Construction Review Checklist

<b>Division of Local Assistance Mid-project Review Checklist</b>	
<b>Review Type: Mid-project</b>	Date of Review: <input type="text"/>
<b>A. PROJECT INFORMATION</b>	
1. Federal Aid Project No.	<input type="text"/>
2. District:	<input type="text"/>
3. Agency:	<input type="text"/>
4. Project Description:	<input type="text"/>
5. Project Location:	
County:	<input type="text"/>
City:	<input type="text"/>
Street(s):	<input type="text"/>
6. Project Type:	<input type="text"/>
7. Funding Source(s):	<input type="text"/>
8. Caltrans Reviewer(s):	<input type="text"/>
9. Caltrans Construction Oversight Engineer:	<input type="text"/>
10. Caltrans DLAE:	<input type="text"/>
11. FHWA Participant(s) (if applicable):	<input type="text"/>
12. Local Agency Participant(s):	<input type="text"/>
13. Contract Award Amount:	<input type="text"/>
<b>B. PROJECT STAFFING</b>	
1. Local Agency Employee in Responsible Charge of Project:	<input type="text"/>
2. Project Resident Engineer (RE):	<input type="text"/>
	Does RE Work For
	Local Agency <input type="checkbox"/>
	Consultant <input type="checkbox"/>
3. Is RE a licensed PE?	<input type="checkbox"/> If yes, PE License No: <input type="text"/>
4. if not, who is the licensed pe who delegated this responsibility?	<input type="text"/>
5. If RE is a consultant, name of consultant firm:	<input type="text"/>
6. Is there a listing of all project staff with their respective titles on file?	<input type="text"/>
7. Is the project adequately staffed?	<input type="text"/>
8. 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 (e.g. traffic accident). This form is typically shared with fire, police and other emergency groups as necessary.	<input type="text"/>
9. Comments:	<input type="text"/>



**C. GENERAL PROJECT RECORDS**

1. Are project records being kept in an organized manner with an index that describes each file category?
2. Are there sufficient categories to organize all required project documents?
3. Comments:

**D. PROJECT STATUS AND CONTRACT TIME**

1. Has the project begun active construction operations?
2. What is the original number of contract working days?
3. Is this duration in working days (WD) or calendar days (CD) ?
4. What is the percent dollars complete?  Percent time complete?
5. Does the agency utilize the weekly statement of working days or other acceptable method of tracking contract time?
6. What was the date of the first working day?
7. What is the original contract completion date?
8. What is the current contract completion date?
- Non-Working Days to date
- Approved CCO days to date
- Contract Suspension days to date
9. Is the controlling operation of work clearly noted on the WSWD?
10. Has the agency copied Caltrans with the notice to proceed letter?
11. Has the agency sent the award package to Caltrans?
12. Comments:

**E. RESIDENT ENGINEER REPORTS AND ASSISTANT RESIDENT ENGINEER DAILY DIARIES (REPORTS)**

1. Are daily reports up-to-date? [i.e. no more than a week gap]
2. Do daily reports contain the following information?
  - Full names of labor force
  - Identify employer (prime contractor vs. subcontractor)
  - Labor classifications
  - Equipment types and model numbers
  - Breakdown of hours worked by contract item and CCO work
  - Idle or down time
3. Do daily reports adequately capture daily occurrences, locations of work, overall operations, work performed in the field, and significant conversations with the contractor?
4. Do the daily reports clearly identify the author and when developed (e.g. author's printed name, author's signature and date)?
5. Are resident engineer (RE) diaries up-to-date (either daily or weekly)?
6. Comments:



<b>F. QUALITY ASSURANCE PROGRAM / MATERIALS TESTING</b>			
1. Does the local agency have a copy of their QAP in the project records?			
2. Is the approval date on the qap less than 5 years old?			
3. Does the qap for this contract contain acceptance testing frequency tables?			
4. If so, have these frequency tables been modified from the caltrans sample qap?			
5. Which test methods do the contract documents specify? (CT/ASTM/AASHTO/Other)			
6. Are there acceptance sampling and test record data sheets in the project files?			
7. Based on the contract work and the QAP, what tests have been (or will be) performed?			
8. What entity is performing the acceptance testing on this project?			
9. Is there a log of acceptance testing results in the project files?			
10. Is the acceptance testing conforming to the frequency requirements of the QAP?			
11. Are copies of up-to-date acceptance testers certifications in the project files?			
12. If using ct methods, have the acceptance testers been certified by Caltrans?			
13. If using other test methods (ASTM, etc...), have the acceptance testers been certified?			
	If so, by whom?		
14. Is the materials laboratory's current certification/accreditation in the project files?			
15. Is the acceptance testing being coordinated with and monitored by the RE/inspector?			
16. Does the RE/Inspector see copies of the test results in a timely manner (within 3 days)?			
17. If there are failing tests, are there corresponding passing tests or resolution explanation?			
18. Do the project records contain copies of mix designs and their formal approvals?			
19. Are delivery tickets/load slips being collected and initialed at the time and point of delivery?			
20. Do delivery tickets/load slips contain a product or mix identification number that corresponds to the approved mix design?			
21. Are deductions being taken for waste, rejected loads, or unused material in the last load?			
22. Are there any materials to be accepted into the project via source inspection?			
23. Do materials certificates of compliance contain the following necessary information?			
	Project id or number?		
	Specific lot number?		
	Citation of spec no.'s in compliance with?		
	Signature by manufacturer?		
24. Are the required buy america statements/certifications included in certificates of compliance for iron and steel incorporated into the work?			
25. Comments:			



<b>G. CONTRACT CHANGE ORDERS</b>	
1. Is there a log of all contract change orders (CCO's) on file?	
2. Are all CCO's properly justified via documentation that shows the reason for the change?	
3. If any of the change orders 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)?	
4. If any of the change orders were written and paid for at force account (time and materials), do the daily re/inspector reports provide sufficient detail to support the payment of time and materials on the related change order work?	
5. If any of the change orders adjusted the unit bid price (adjustment in compensation) of an item or items, is there a force account cost analysis to adequately support the adjustment(s)?	
6. If any of the change orders provide a contract time adjustment, are there records on file supporting the time adjustment (e.g. a time impact analysis)?	
7. 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?	
8. Were all contract change orders approved prior to beginning work on the contract change orders?	
9. If not,	A. Was the agency's prior authorization process followed and documented?
	B. Was the contractor given written authorization to proceed with the work?
	C. Was the change order ultimately approved in a timely manner?
10. Is the local agency monitoring authorized contract change order amounts versus available contingency balances?	
11. Comments:	
<b>H. PROJECT PAYMENTS</b>	
1. Has the local agency processed a progress payment to the contractor on this contract?	
2. If so, does the progress payment provide suitable backup/documentation to support quantities and dollars amounts paid for contract item work and change order work (ie. quantity calc sheets, quantity notations in daily reports/diaries, etc...)?	
3. Are there separate quantity calculation sheets for each item being paid on each progress	
4. Does each quantity calc sheet identify the specific portion of the work to which it applies (location information, stations/offsets, etc...)?	
5. Does each quantity calc sheet include the measurements and calculations by which the quantity was determined? )	
6. Are quantity calc sheets signed and dated?	
7. Are quantity calc sheets being checked by a separate individual?	
8. Are quantities paid to date being monitored and checked against estimated quantities?	
9. Comments:	



<b>I. LABOR COMPLIANCE AND EEO</b>	
1. Are federal (US Department of Labor) wage rates physically included in the signed contract?	<input type="checkbox"/>
2. Is FHWA Form 1273 physically included in the signed contract?	<input type="checkbox"/>
3. Did the agency check (at ten days before bid opening) to see if the wage rates changed from when the project was first advertised?	<input type="checkbox"/>
4. Have any payrolls been received from the contractor as of yet?	<input type="checkbox"/>
5. Are payrolls properly certified (wet ink signature, statements) by the contractor/subcontractor ?	<input type="checkbox"/>
6. Are payrolls spot-checked for proper hours/wage rates, and initialed by the checker?	<input type="checkbox"/>
7. Are required federal jobsite posters ( <a href="http://fhwa.dot.ca.gov/programadmin/contracts/poster.cfm">http://fhwa.dot.ca.gov/programadmin/contracts/poster.cfm</a> ) in good shape and posted in plain view of workers ?	<input type="checkbox"/>
8. are employee interviews (Ex 16-N of LAPM) being conducted at an acceptable frequency?	<input type="checkbox"/>
9. Do the employee interviews include the appropriate signatures and dates?	<input type="checkbox"/>
10. Comments:	<input type="text"/>
<b>J. DBE</b>	
1. Who is the local agency's labor compliance/dbe officer?	<input type="text"/>
2. What is the dbe goal for this contract? (%)	<input type="checkbox"/>
3. What is the contractor's dbe commitment for this contract? (% in Exhibit 15-G)	<input type="checkbox"/>
4. If the contractor did not meet the goal for this contract, was a good faith effort (GFE) analysis performed by the agency and is a copy filed in the project records?	<input type="checkbox"/>
5. Has the prime contractor submitted and the resident engineer approved the subcontracting request form (Ex 16-B of the LAPM) prior to any subcontractor work being performed?	<input type="checkbox"/>
6. If dbe trucking is part of the dbe commitment for this project, are the contractor's monthly dbe trucking verification forms on file?	<input type="checkbox"/>
7. Has the contractor utilized all of the listed dbe subcontractors on this project?	<input type="checkbox"/>
8. If not, are the contractor's substitution request and the agency's approval on file?	<input type="checkbox"/>
9. Have any contract change orders affected the amount of dbe work?	<input type="checkbox"/>
10. Comments:	<input type="text"/>
<b>K. TRAINEES (APPRENTICES)</b>	
1. Are training (apprentices) provisions a part of this contract?	<input type="checkbox"/>
2. If so, what is the goal (number of trainees) for this contract?	<input type="checkbox"/>
3. If a goal, is the contractor's submitted training plan and agency approval on file?	<input type="checkbox"/>
4. Does the plan include the following?	<input type="checkbox"/>
A. The number of apprentices for each classification?	<input type="checkbox"/>
B. The starting date for each apprentice?	<input type="checkbox"/>
C. The apprentice's registration in an approved program ?	<input type="checkbox"/>
5. Comments:	<input type="text"/>



**L. ENVIRONMENTAL COMMITMENTS**

1. Is the environmental document for this project on file?	
2. Is the construction project adhering to mitigation requirements in the environmental document?	
3. Is the environmental commitment record (ECR) contained in the project files?	
4. Comments:	

**M. TRAFFIC MANAGEMENT PLAN**

1. Does the approved PS&E include a traffic management plan (TMP) or does it contain provisions for the contractor to develop/submit the TMP? (PS&E/C)	
2. If the traffic management plan is contractor-submitted, is a formal agency approval contained in the project files?	
3. Are the traffic management plan requirements being followed?	
4. Comments:	
After-acceptance review scheduled date (estimated):	

**Follow up items for significant deficiencies:**

Deficiency description	Course of action	Action dates



<b>Additional Items for Bridge Projects:</b>									
<b>Concrete Records:</b>									
1. Are all approved concrete mixes on file?									<input type="checkbox"/>
2. Are all letters of concrete mix approvals on file?									<input type="checkbox"/>
3. Are samples and testing notations included on pour records or diaries?									<input type="checkbox"/>
4. Comments:									<input type="text"/>
<b>Bridge CCOs:</b>									
1. For bridge design changes, has the bridge designer authorized the change?									<input type="checkbox"/>
2. Comments:									<input type="text"/>
<b>Approved Falsework Plans:</b>									
1. Is there a falsework log on file showing falsework submittal history?									<input type="checkbox"/>
2. Are the falsework plans properly stamped?									<input type="checkbox"/>
3. Do the falsework plans include erection and stripping operations?									<input type="checkbox"/>
4. Are the falsework calculations on file and complete?									<input type="checkbox"/>
5. Are there records of camber and falsework deflection calculations performed by a registered engineer?									<input type="checkbox"/>
6. 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?									<input type="checkbox"/>
7. 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?									<input type="checkbox"/>
8. Are there any records of observed falsework settlement during and after the concrete pour?									<input type="checkbox"/>
9. Comments:									<input type="text"/>
<b>Prestressing:</b>									
1. Are the initial shop drawings for prestressing (submitted by the contractor) on file?									<input type="checkbox"/>
2. Are the initial plans properly stamped?									<input type="checkbox"/>
3. Is the final set of shop drawings for prestressing on file?									<input type="checkbox"/>
4. Are the final plans properly stamped?									<input type="checkbox"/>
5. 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?									<input type="checkbox"/>
6. Are there records of actual prestressing in the file?									<input type="checkbox"/>
7. Are there records indicating the contractor's pressure gauges and jack(s) were certified and valid at time of stressing?									<input type="checkbox"/>
8. Is there proper documentation of both i) actual strand elongation vs. theoretical elongation and ii) load cell readings vs. contractor gauge readings?									<input type="checkbox"/>
9. Do the records show grouting was performed and include a copy of the certificate of compliance for the cement used?									<input type="checkbox"/>
10. Comments:									<input type="text"/>



**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):**

- 1. Are there records showing profilographs were taken before and after deck grinding?
- 2. Are all the profilograph records on file?
- 3. Comments:

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

- 1. Are the shoring plans properly stamped?
- 2. Do the project records include complete shoring calculations?
- 3. Comments:

**Welding (if there is welding in the contract)**

- 1. Does the contract require the contractor to have a Quality Control Plan for welding?
- 2. If yes, is the contractor's welding Quality Control Plan on file?
- 3. Comments:

**Summary**



# **Attachment D**

## **Post-Construction Review Checklist**



### Post-Construction Review Checklist

<b>Division of Local Assistance</b>			
<b>Post-Construction Review Checklist</b>			
<b>Review Type: Post-Construction</b>		Date of Review: <input style="width: 100px;" type="text"/>	
<b>A. PROJECT INFORMATION</b>			
1. Federal aid project No.:	<input style="width: 90%; height: 20px;" type="text"/>		
2. District:	<input style="width: 90%; height: 20px;" type="text"/>		
3. Agency:	<input style="width: 90%; height: 20px;" type="text"/>		
4. Project description:	<input style="width: 95%; height: 25px;" type="text"/>		
5. Project Location:	<input style="width: 95%; height: 25px;" type="text"/>		
County:	<input style="width: 90%; height: 20px;" type="text"/>		
City:	<input style="width: 90%; height: 20px;" type="text"/>		
Street(s):	<input style="width: 90%; height: 20px;" type="text"/>		
6. Project type:	<input style="width: 95%; height: 20px;" type="text"/>		
7. Funding source(s):	<input style="width: 95%; height: 20px;" type="text"/>		
8. Caltrans Reviewer(s):	<input style="width: 95%; height: 20px;" type="text"/>		
9. Caltrans Construction Oversight Engineer:	<input style="width: 95%; height: 20px;" type="text"/>		
10. Caltrans DLAE:	<input style="width: 95%; height: 20px;" type="text"/>		
11. FHWA participant(s) (if applicable):	<input style="width: 95%; height: 20px;" type="text"/>		
12. Local agency participant(s):	<input style="width: 95%; height: 20px;" type="text"/>		
13. Contract award amount:	<input style="width: 90%; height: 20px;" type="text"/>		
<b>B. PROJECT STAFFING</b>			
1. Local agency employee in responsible charge of project:	<input style="width: 95%; height: 20px;" type="text"/>		
2. Project resident engineer (RE):	<input style="width: 95%; height: 20px;" type="text"/>		
Does RE work for	Local Agency	<input style="width: 40px;" type="text"/>	
	Consultant	<input style="width: 40px;" type="text"/>	
3. Is RE a licensed PE?	<input style="width: 40px;" type="text"/>	If yes, PE License No:	<input style="width: 80px;" type="text"/>
4. If not, who is the licensed pe who delegated this responsibility?	<input style="width: 95%; height: 20px;" type="text"/>		
5. If RE is a consultant, name of consultant firm:	<input style="width: 95%; height: 20px;" type="text"/>		
6. Is there a listing of all project staff with their respective titles on file?	<input style="width: 95%; height: 20px;" type="text"/>		
7. Is the Project Adequately Staffed?	<input style="width: 95%; height: 20px;" type="text"/>		
8. 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 (e.g. traffic accident). This form is typically shared with fire, police and other emergency groups as necessary.	<input style="width: 95%; height: 20px;" type="text"/>		
9. Comments:	<input style="width: 95%; height: 40px;" type="text"/>		



**C. GENERAL PROJECT RECORDS**

- 1. Are project records being kept in an organized manner with an index that describes each file category?
- 2. Are there sufficient categories to organize all required project documents?
- 3. Comments:

**D. PROJECT STATUS AND CONTRACT TIME**

- 1. What was the original number of contract working days?
- 2. Was this duration in working days (WD) or calendar days (CD) ?
- 3. Did the agency utilize the weekly statement of working days (WSWD) or other acceptable method of tracking contract time?
- 4. Was the controlling operation of work clearly noted on the WSWD?
- 5. Is the final wswd (or other contract time document) on file?
- 6. What was the date of the first working day?
- 7. What was the date the project was accepted (the final working day)?
- 8. Did the contract overrun the original number of days?
- 9. Were contract time extensions (number of days) granted?
- If YES, How Many
- Non-Working Days
- CCO Additional Days
- Overall Contract Suspensions
- 10. Is there adequate written documentation on file to support the additional time granted?
- 11. Comments:

**E. RESIDENT ENGINEER REPORTS AND ASSISTANT RESIDENT ENGINEER DAILY DIARIES (REPORTS)**

- 1. Are daily reports up-to-date? [i.e. no more than a week gap]
- 2. Do daily reports contain the following information?
- Full names of labor force
- Identify employer (prime contractor vs. subcontractor)
- Labor classifications
- Equipment types and model numbers
- Breakdown of hours worked by contract item and cco work
- Idle or down time
- 3. Do daily reports adequately capture daily occurrences, locations of work, overall operations, work performed in the field, and significant conversations with the contractor?
- 4. Do the daily reports clearly identify the author and when developed (e.g. author's printed name, author's signature and date)?
- 5. Are resident engineer (re) diaries up-to-date (either daily or weekly)?
- 6. Comments:



<b>F. QUALITY ASSURANCE PROGRAM / MATERIALS TESTING</b>			
1. Does the local agency have a copy of their QAP in the project records?			
2. Is the approval date on the gap less than 5 years old?			
3. Does the QAP for this contract contain acceptance testing frequency tables?			
4. If so, have these frequency tables been modified from the caltrans sample QAP?			
5. Which test methods do the contract documents specify? (CT/ASTM/AASHTO/Other)			
6. Are there acceptance sampling and test record data sheets in the project files?			
7. Based on the contract work and the gap, what tests were performed?			
8. What entity performed the acceptance testing on this project?			
9. Is there a log of acceptance testing results in the project files?			
10. Did the acceptance testing conform to the frequency requirements of the QAP?			
11. Are copies of up-to-date acceptance testers certifications in the project files?			
12. If using CT methods, were the acceptance testers certified by Caltrans?			
13. If using other test methods (ASTM, etc...), were the acceptance testers certified?			
If so, by whom?			
14. Is the materials laboratory's current certification/accreditation in the project files?			
15. Was the acceptance testing coordinated with and monitored by the RE/Inspector?			
16. Did the re/inspector see copies of the test results in a timely manner (within 3 days)?			
17. If there were failing tests, were there corresponding passing tests or resolution explanation?			
18. Do the project records contain copies of mix designs and their formal approvals?			
19. Were delivery tickets/load slips being collected and initialed at the time and point of delivery?			
20. Do delivery tickets/load slips contain a product or mix identification number that corresponds to the approved mix design?			
21. Were deductions taken for waste, rejected loads, or unused material in the last load?			
22. Were there any materials accepted into the project via source inspection?			
23. Do materials certificates of compliance contain the following necessary information?			
Project ID or number?			
Specific lot number?			
Citation of spec No.'s in compliance with?			
Signature by manufacturer?			
24. Are the required buy america statements/certifications included in certificates of compliance for iron and steel incorporated into the work?			
25. Is the materials certificate (Exhibit 17-G of the LAPM) signed and on file?			
26. Comments:			



**G. CONTRACT CHANGE ORDERS**

1. Is there a log of all contract change orders (CCO's) on file?
2. Are all CCO's properly justified via documentation that shows the reason for the change?
3. If any of the change orders 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)?
4. If any of the change orders were written and paid for at force account (time and materials), do the daily re/inspector reports provide sufficient detail to support the payment of time and materials on the related change order work?
5. If any of the change orders adjusted the unit bid price (adjustment in compensation) of an item or items, is there a force account cost analysis to adequately support the adjustment(s)?
6. If any of the change orders provide a contract time adjustment, are there records on file supporting the time adjustment (e.g. a time impact analysis)?
7. 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?
8. Were all contract change orders approved prior to beginning work on the contract change
9. If not,
  - A. Was the agency's prior authorization process followed and documented?
  - B. Was the contractor given written authorization to proceed with the work?
  - C. Was the change order ultimately approved in a timely manner?
10. Is the local agency monitoring authorized contract change order amounts versus available contingency balances?
11. Comments:

**H. PROJECT PAYMENTS**

1. Do progress payments provide suitable backup/documentation to support quantities and dollars amounts paid for contract item work and change order work (ie. quantity calc sheets, quantity notations in daily reports/diaries, etc...)?
2. Are there separate quantity calculation sheets for each item being paid on each progress payment?
3. Does each quantity calc sheet identify the specific portion of the work to which it applies (location information, stations/offsets, etc...)?
4. Does each quantity calc sheet include the measurements and calculations by which the quantity was determined? )
5. Are quantity calc sheets signed and dated?
6. Are quantity calc sheets being checked by a separate individual?
7. Are quantities paid to date being monitored and checked against estimated quantities?

8. Comments:

**I. LABOR COMPLIANCE AND EEO**

- 1. Were federal (US Ddepartment of Labor) wage rates physically included in the signed contract?
- 2. Is FHWA Form 1273 physically included in the signed contract?
- 3. Did the agency check (at ren days before bid opening) to see if the wage rates changed from when the project was first advertised?
- 4. Were all payrolls received for all covered work from the prime and the subcontractors?
- 5. Are payrolls properly certified (wet ink signature, statements) by the contractor/subcontractor ?
- 6. Were payrolls spot-checked for proper hours/wage rates, and initialed by the checker?
- 7. Were proper deductions or other actions taken for missing or uncorrected payrolls?
- 8. Were required federal jobsite posters (<http://fhwa.dot.ca.gov/programadmin/contracts/poster.cfm>) In good shape and posted in plain view
- 9. Were employee interviews (Ex 16-N of LAPM) being conducted at an acceptable frequency?
- 10. Do the employee interviews include the appropriate signatures and dates?

11. Comments:

**J. DBE**

- 1. Who is the local agency's labor compliance/dbe officer?
- 2. What was the dbe goal for this contract? (%)
- 3. What was the contractor's dbe commitment for this contract? (% in exhibit 15-g))
- 4. If the contractor did not meet the goal for this contract, was a Good Faith Effort (GFE) analysis performed by the agency and Is a copy filed in the project records?
- 5. Did the prime contractor submit and the Resident Engineer approve the Ssubcontracting Request Form (Exh 16-B of the LAPM) prior To any subcontractor work being performed?
- 6. If DBE trucking was part of the DBE commitment for this project, are the contractor's monthly DBE trucking verification forms on file?
- 7. Did the contractor utilize all of the listed DBE subcontractors on this project?
- 8. If not, are the contractor's substitution request and the agency's approval on file?
- 9. Did any contract change orders affect the amount of DBE work?
- 10. Did the contractor submit the final report of DBE utilization (exhibit 17-f of the LAPM)?
- 11. Did the RE review and sign the above exhibit 17-F?
- 12. Did the prime contractor fulfill his original DBE commitment (per exhibit 15-G)?
- 13. If no (question 12), is a valid explanation/justification provided in the project file?
- 14. If no (question 12), was payment for the committed to DBE work withheld?

15. Comments:

**K. TRAINEES (APPRENTICES)**

- 1. Are training (apprentices) provisions a part of this contract?
- 2. If so, what is the goal (number of trainees) for this contract?
- 3. If a goal, is the contractor's submitted training plan and agency approval on file?
- 4. Does the plan include the following?
  - A. The number of apprentices for each classification?
  - B. The starting date for each apprentice?
  - C. The apprentice's registration in an approved program ?

5. Comments:



**L. ENVIRONMENTAL COMMITMENTS**

1. Is the environmental document for this project on file?	<input type="checkbox"/>
2. Were all environmental mitigation commitments met and documented in the environmental commitment record (ECR) and in the project file?	<input type="checkbox"/>
3. Comments:	<input type="text"/>

**M. TRAFFIC MANAGEMENT PLAN**

1. Does the approved PS&E include a traffic management plan (TMP) or does it contain provisions for the contractor to develop/submit the TMP? (PS&E/C)	<input type="checkbox"/>
2. If the traffic management plan is contractor-submitted, is a formal agency approval contained in the project files?	<input type="checkbox"/>
3. Are the traffic management plan requirements being followed?	<input type="checkbox"/>
4. Comments:	<input type="text"/>
After-acceptance review scheduled date (estimated):	<input type="text"/>

**Follow up items for significant deficiencies:**

Deficiency description	Course of action	Action dates



<b>Additional Items for Bridge Projects:</b>									
<b>Concrete Records:</b>									
1. Are all approved concrete mixes on file?									
2. Are all letters of concrete mix approvals on file?									
3. Are samples and testing notations included on pour records or diaries?									
4. Comments:	[Redacted]								
<b>Bridge CCOs:</b>									
1. For bridge design changes, has the bridge designer authorized the change?									
2. Comments:	[Redacted]								
<b>Approved Falsework Plans:</b>									
1. Is there a falsework log on file showing falsework submittal history?									
2. Are the falsework plans properly stamped?									
3. Do the falsework plans include erection and stripping operations?									
4. Are the falsework calculations on file and complete?									
5. Are there records of camber and falsework deflection calculations performed by a registered engineer?									
6. 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									
7. 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?									
8. Are there any records of observed falsework settlement during and after the concrete pour?									
9. Comments:	[Redacted]								
<b>Prestressing:</b>									
1. Are the initial shop drawings for prestressing (submitted by the contractor) on file?									
2. Are the initial plans properly stamped?									
3. Is the final set of shop drawings for prestressing on file?									
4. Are the final plans properly stamped?									
5. 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?									
6. Are there records of actual prestressing in the file?									
7. Are there records indicating the contractor's pressure gauges and jack(s) were certified and valid at time of stressing?									
8. Is there proper documentation of both i) actual strand elongation vs. theoretical elongation and ii) load cell readings vs. contractor gauge readings?									
9. Do the records show grouting was performed and include a copy of the certificate of compliance for the cement used?									
10. Comments:	[Redacted]								



**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):**

- 1. Are there records showing profilographs were taken before and after deck grinding?
- 2. Are all the profilograph records on file?
- 3. Comments:

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

- 1. Are the shoring plans properly stamped?
- 2. Do the project records include complete shoring calculations?
- 3. Comments:

**Welding (if there is welding in the contract)**

- 1. Does the contract require the contractor to have a Quality Control Plan for welding?
- 2. If yes, is the contractor's welding Quality Control Plan on file?
- 3. Comments:

**Summary**