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

2011 Federal Fiscal Year
1st Quarter

Office of Policy Development & Quality Assurance

February 2011

Federal Fiscal Year 2011 1st Quarter Information

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

Performance/Narrative:
- As of the end of the first quarter, the following ARRA project reviews have been performed:
- 290 joint reviews with 195 different local agencies involving $298 million in ARRA dollars
- 407 Caltrans reviews with 195 different local agencies involving $313 million in ARRA dollars
- Caltrans reviews to date are comprised of 171 preconstruction reviews, 136 mid-project reviews and 100 after-acceptance reviews

- As of September 15, 2010 approximately 870 local agency ARRA projects have been authorized. Thirty-four percent of authorized ARRA projects have received joint reviews and thirty percent of authorized ARRA projects have received Caltrans reviews. In combination, fifty-one percent of authorized ARRA projects have received either joint or Caltrans reviews. Joint reviews have been performed on forty-six percent of local agencies administering ARRA projects. Caltrans reviews have been performed on forty-six percent of local agencies administering ARRA projects. In combination, sixty-seven percent of local agencies administering ARRA projects have received either joint or Caltrans reviews.
- The top ten frequently observed problem areas noted from this quarter's joint reviews have been tabulated and are included within this report.
- Caltrans reviews this quarter consisted of 17 (18%) preconstruction reviews, 32 (34%) mid project reviews and 45 (48%) after acceptance reviews. As the limited number of ARRA projects have aged through authorization, advertisement, award, construction and acceptance milestones, preconstruction reviews as a percentage have been decreasing over the last three quarters. Correspondingly, mid-project and after-acceptance reviews as a percentage continue to increase.

Federal Fiscal Year 2011 1st Quarter Information

Trends:

- An analysis of the 32 mid-project reviews performed this quarter has been included in this report and compared against the previous two quarter results for trend analysis. Significant items from this analysis are as follows:

- Five of the categorical composite areas showed positive trends, while five showed negative trends and one was unchanged.
- The largest positive increase (+13%) was noted in the safety response category while the general project records category showed the largest decrease (-9%). It should be noted that both of these categories composite calculations were impacted by the deletion or addition of questions on the revised checklist.

-An analysis of the 45 after-acceptance reviews performed this quarter has been included in this report and compared against last quarter's after-acceptance reviews. Significant items from this analysis are as follows:

- Seven of the categorical composite areas showed positive trends, while four showed negative trends.
- The largest positive increase (+19%) was noted in the safety response category while the contract change order category showed the largest decrease (-11%). It should be noted that the safety category's composite calculation was impacted by the deletion of a question on the revised checklist.

Improvements and Actions:

-Two Caltrans oversight information notices (COINs) were issued in August concerning the importance of providing accurate engineer estimates and prompt payment requirements including enforcement mechanisms. The two COINs may be viewed at http://www.dot.ca.gov/hq/LocalPrograms/COIN/index.htm

-The Caltrans three-part checklist was revised to provide additional details in the areas of daily diaries and prompt payment. In addition, certain questions were modified based on previous difficulties in obtaining subject information. The use of the revised checklist began on October 1, 2010.

-The Local Assistance Resident Engineer Academy has been revised to update materials and include a portion regarding construction oversight and frequently observed problem areas in contract administration. In addition, the construction oversight engineers and DLAEs compiled a list of agencies which have been targeted for the next academy offerings. There will be a total of three academies delivered in the next quarter (Sacramento – February 14th through February 18th, Moreno Valley – March 21st through March 25th, and Oxnard - March 28th through April 1st).

Recommendations:

-It is recommended that Caltrans reviews continue to focus primarily on those projects that are earlier in their construction life where opportunities exist to avoid problems prior to their formation by providing contract administration expectations, guidance and feedback.

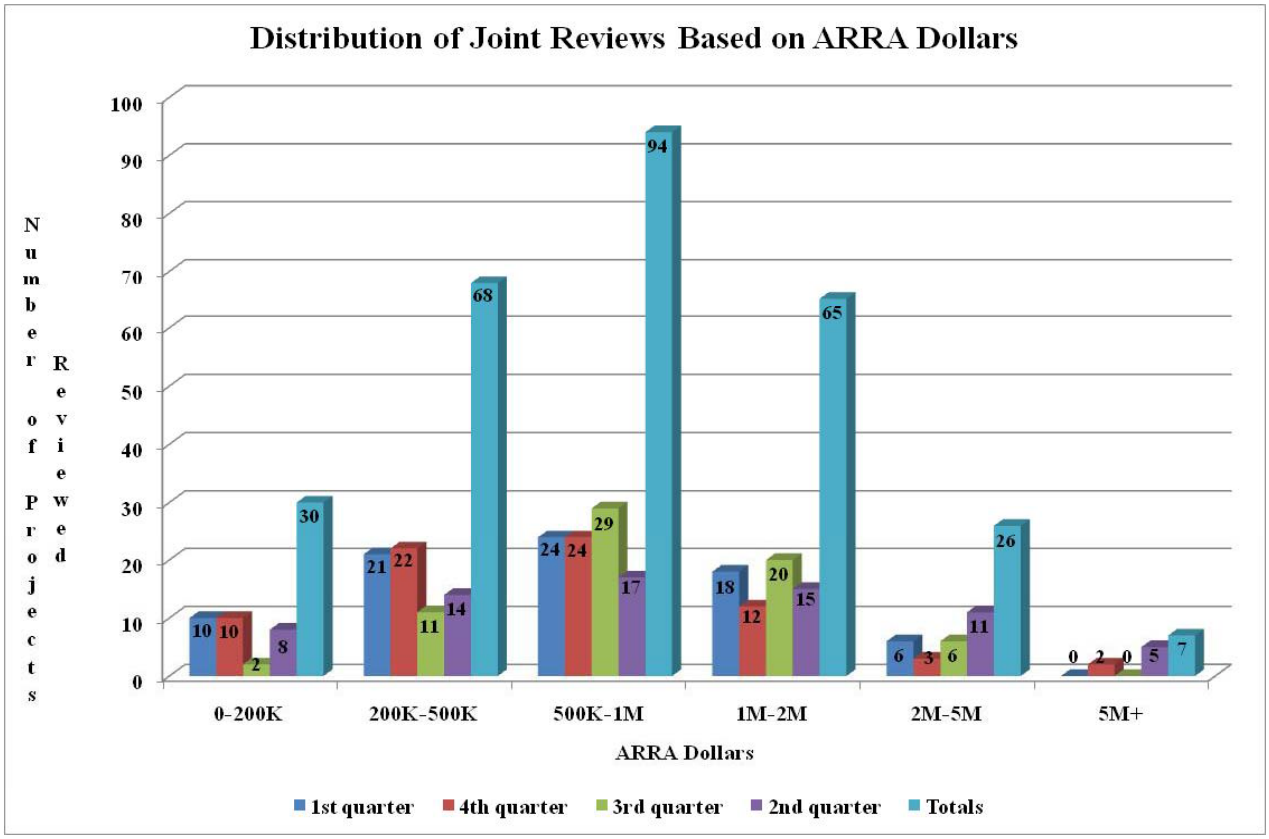
-It is also suggested, that where practical, Caltrans project reviews include other local agency personnel to broaden the effectiveness of project performance and future projects administered by the local agencies involving federal funds.

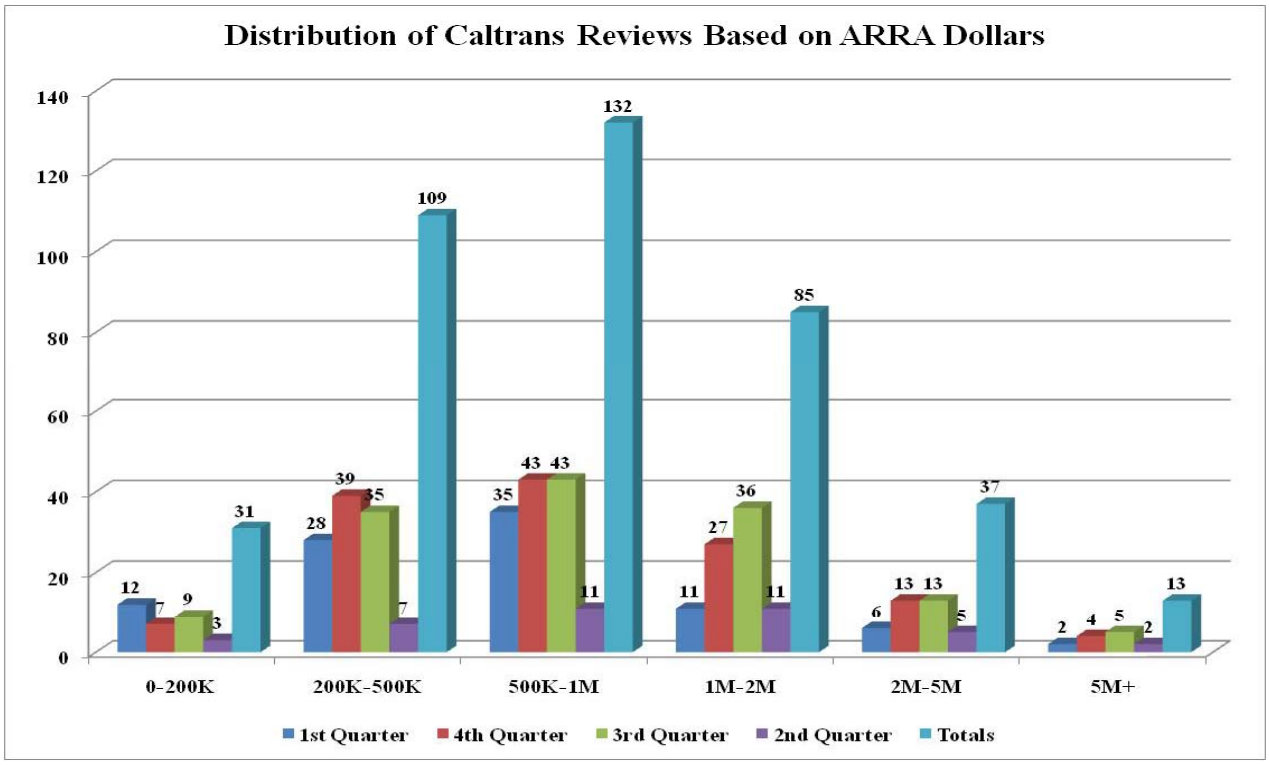
-COINs and training will continue to be used to address noted programmatic deficiencies. Two COIN topics under consideration for development are contract time administration and support documentation for progress payments.

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

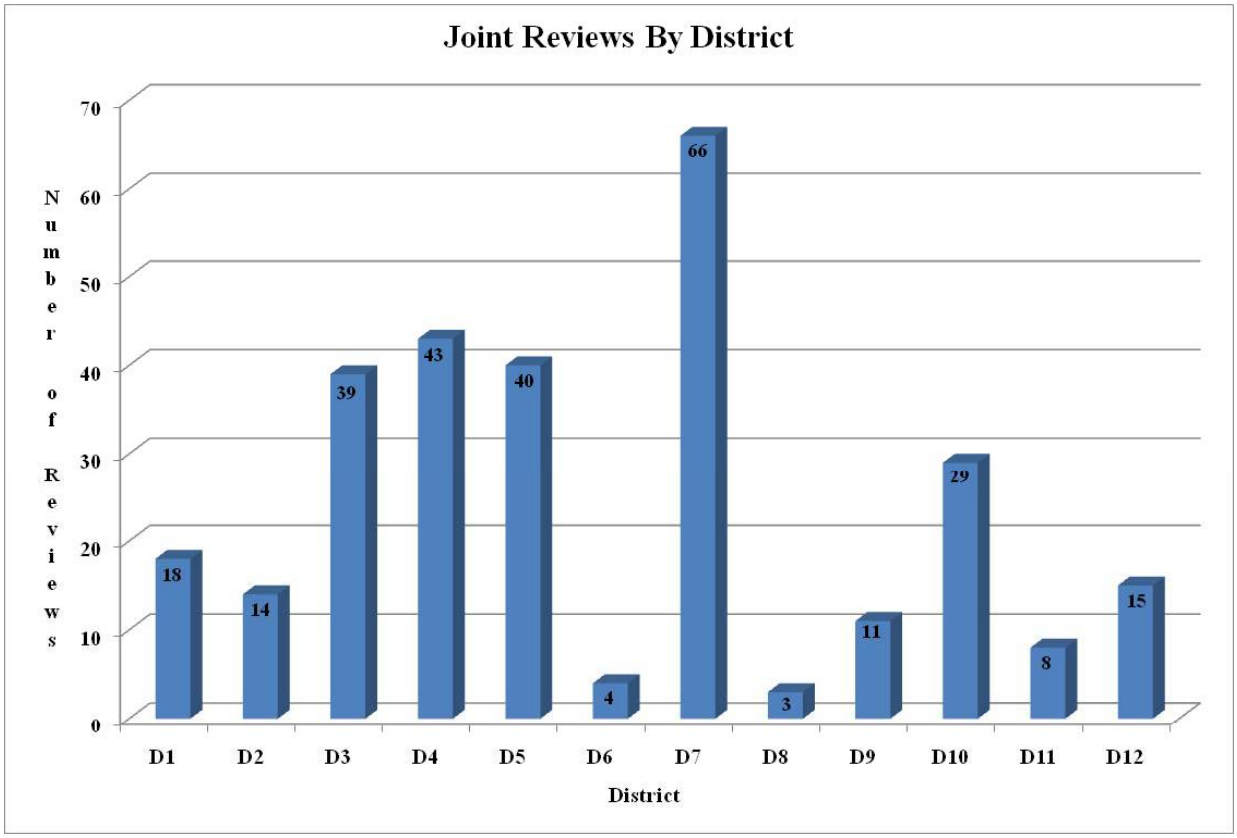
Top 10 Observed Deficiencies (Quarter 1)		
Ranking	Deficiency	Frequency
1	Deficient diaries	48%
2	Progress payment support documentation deficient	46%
3	Contract time/WSWDs deficient	35%
3	Certified payroll checking deficient	35%
5	Documentation of posted posters deficient	33%
6	Sampler's/Tester's certifications incomplete	25%
7	Required job posters not visible or accessible	24%
8	Frequency of employee interviews deficient	23%
9	Missing signed PES form	22%
10	Traffic control plan deficient	16%

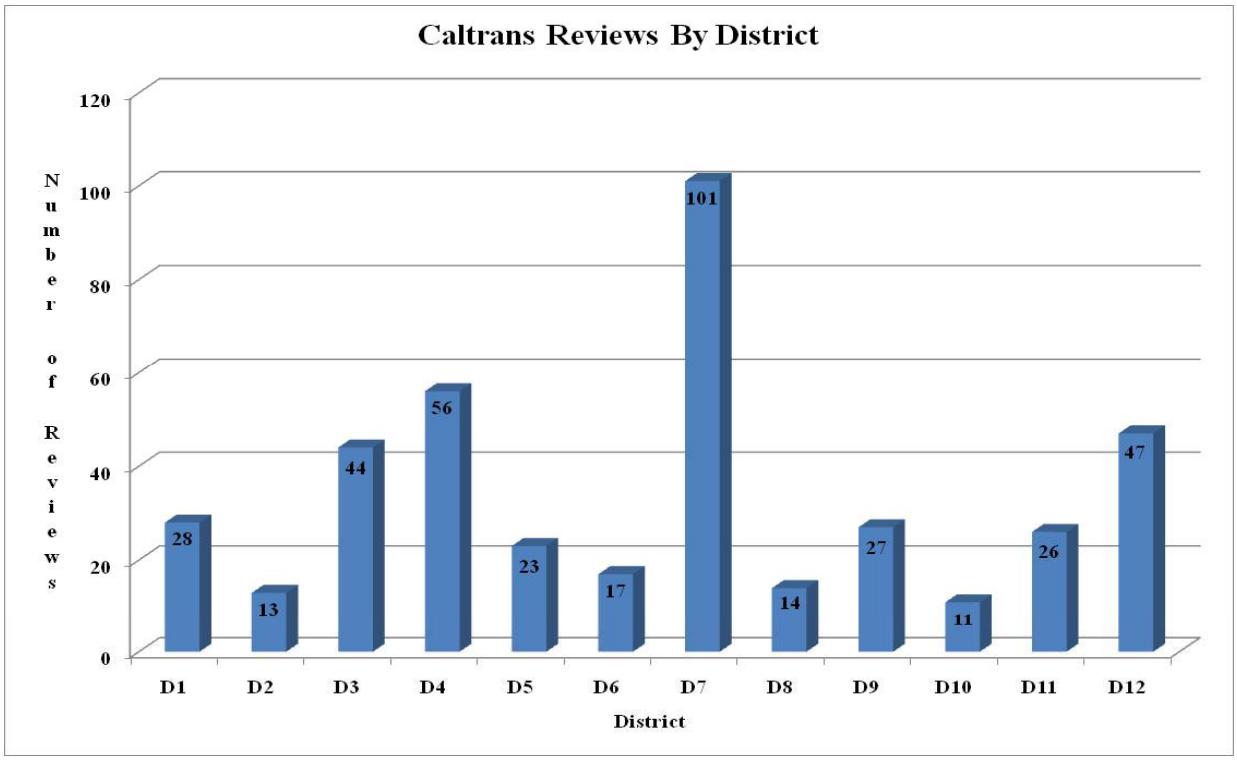
Distribution of Reviews by Dollars



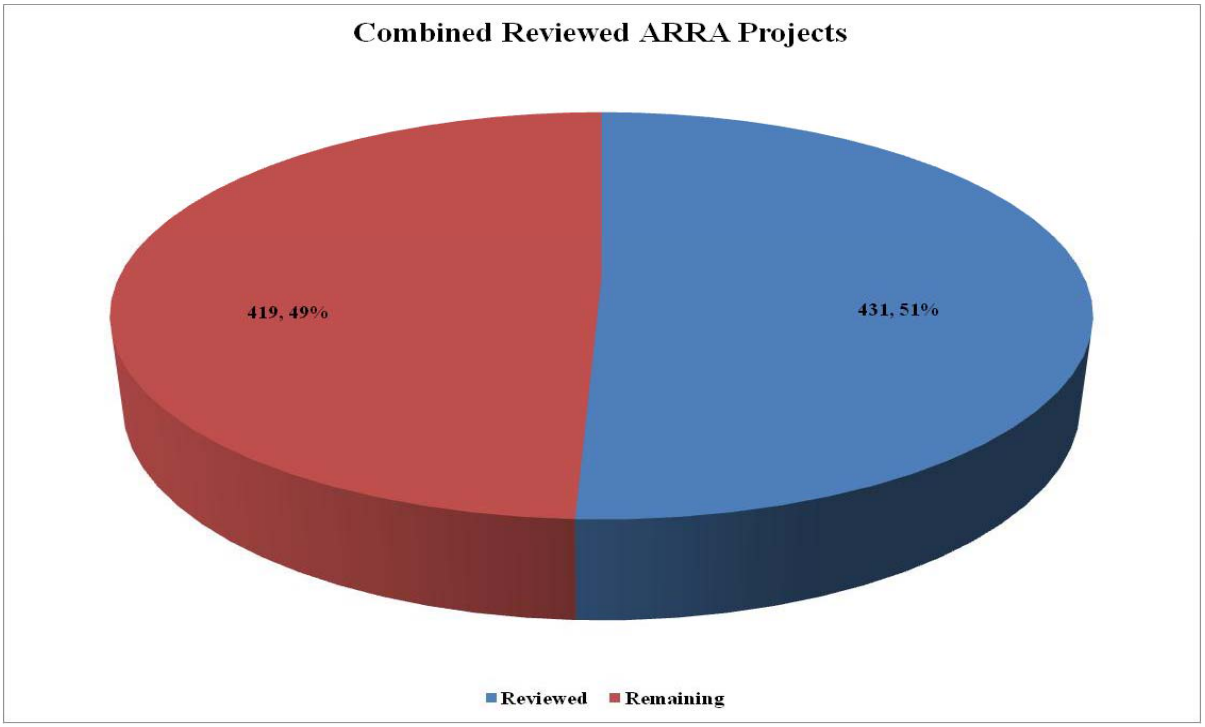


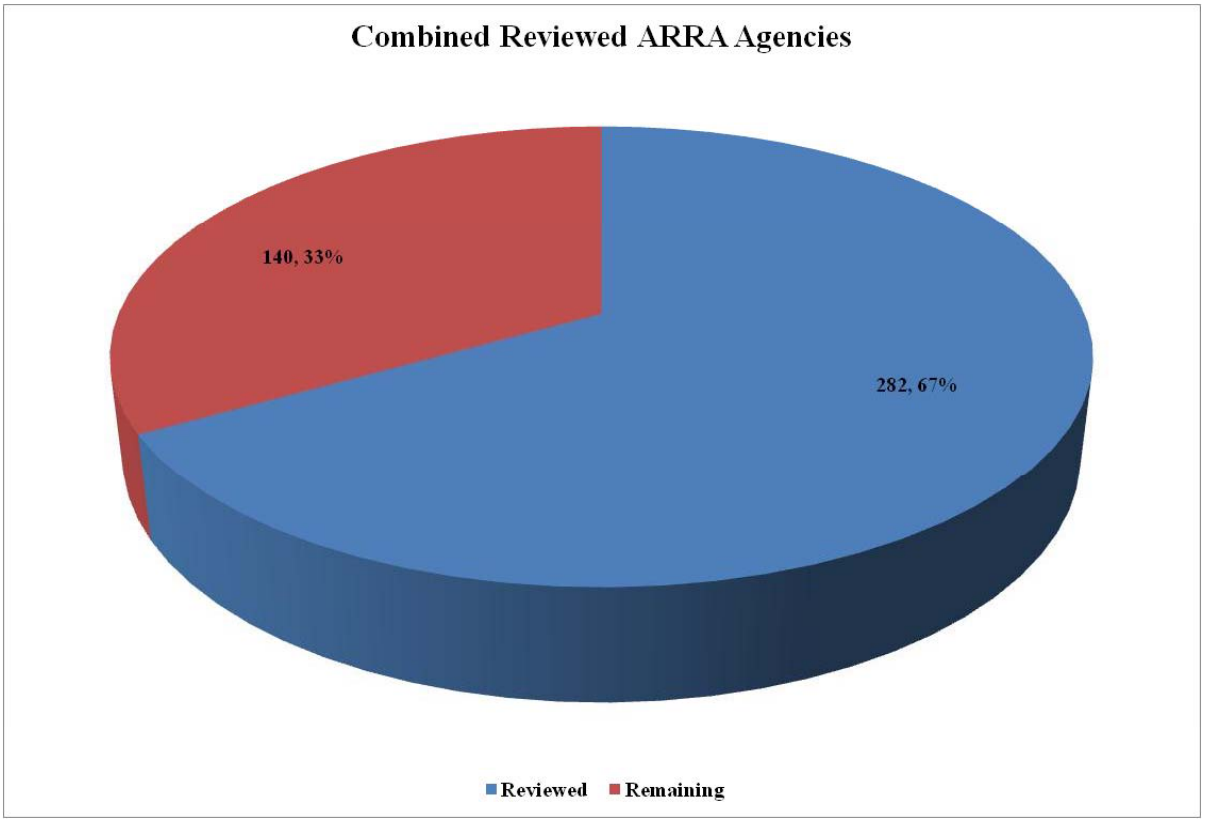
Distribution of Reviews by Districts



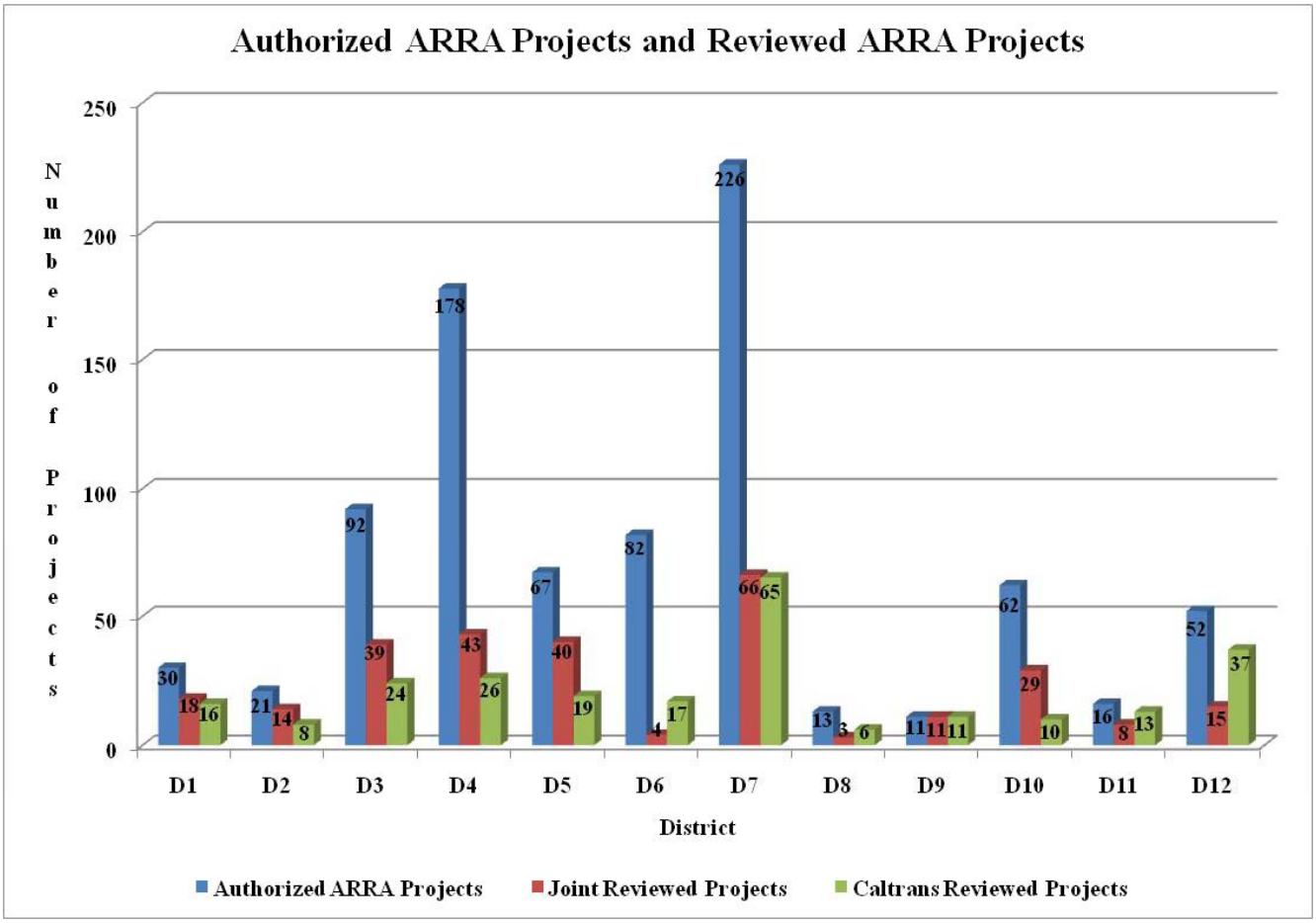


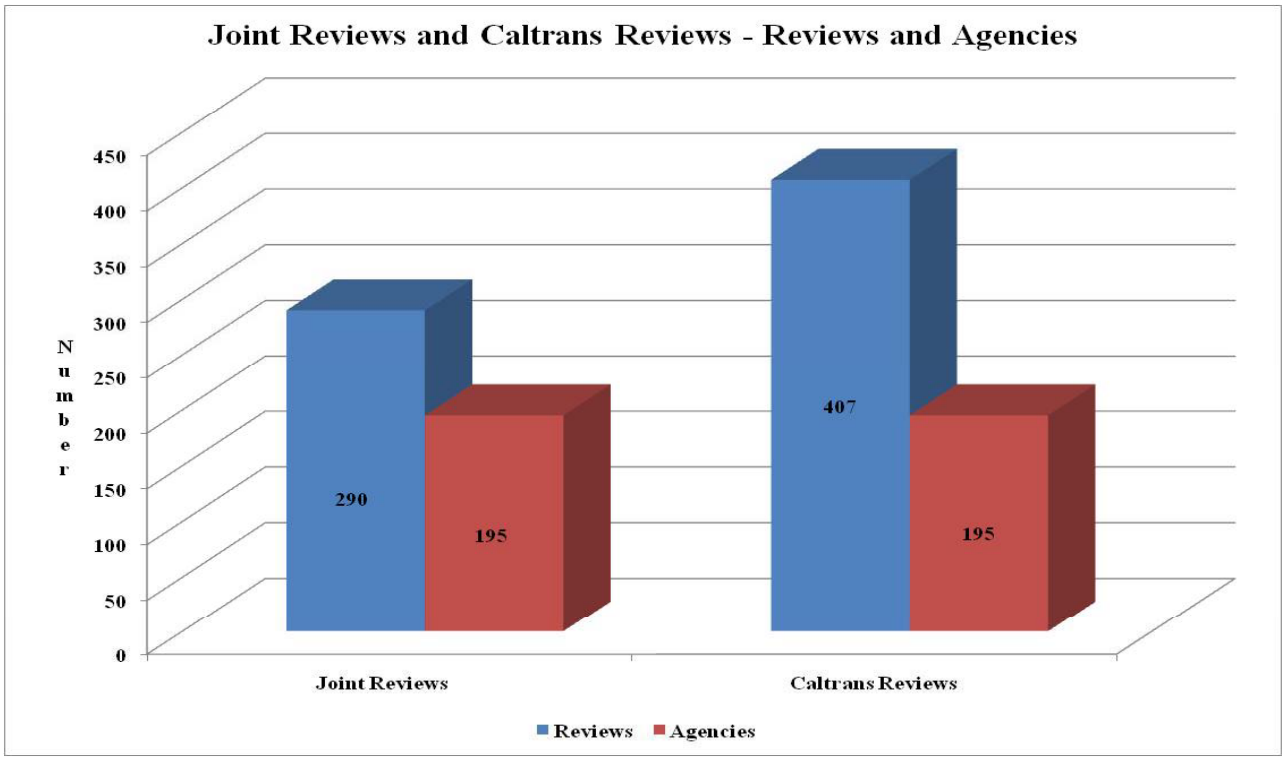
Combined Joint and Caltrans Review Information



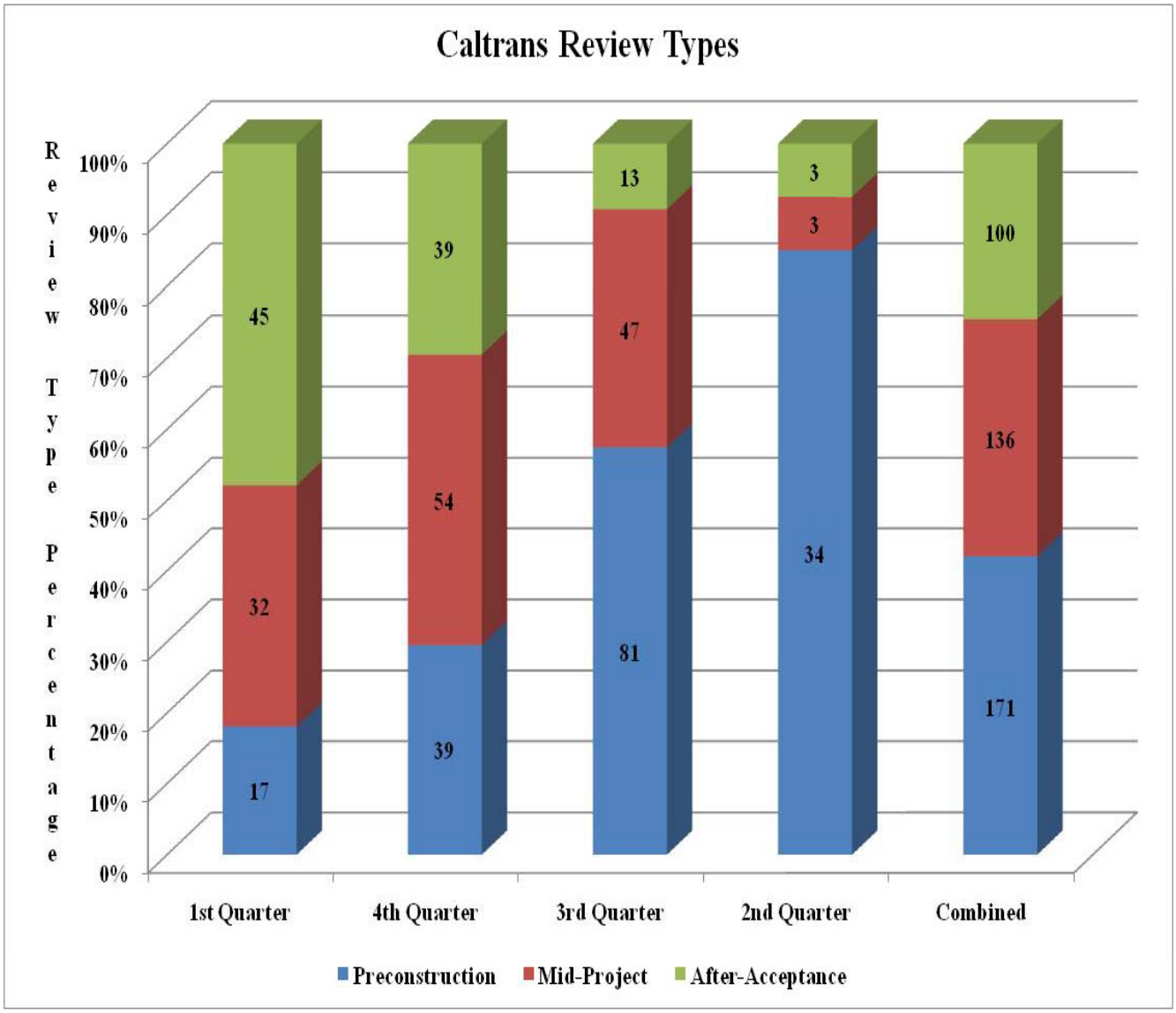


Review Metrics





Review Metrics



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

	3rd Quarter		Cat.	4th Quarter		Cat.	1st Quarter		Cat.	
Safety Information:	%age Y	%age N	Rating	%age Y	%age N	Rating	%age Y	%age N	Rating	Trend
1. Is the emergency contact information sheet on file containing names and contact information for local agency/consultants/contractor? (Y/N)	77%	23%	**62%**	79%	21%	**68%**	81%	19%	**81%**	↑
2. Is there a map showing the location of a neighborhood medical facility with their address, telephone and office hours? (Y/N)	47%	53%		57%	43%					
General Project Records:										
1. Are project records being kept in an organized manner with an index that describes each file category? (Y/N)	91%	9%	**95%**	100%	0%	**100%**	81%	19%	**91%**	↓
2. Does the local agency use a single method of project record keeping (e.g. index of categories) for both contracts with federal funds and those without? (Y/N)	62%	38%		65%	35%		63%	38%		
3. Is there a copy of the detailed estimate in the project records? (Y/N)	98%	2%		100%	0%		94%	6%		
4. Is there a copy of the finance letter in the project records? (Y/N)	96%	4%		100%	0%		94%	6%		
5. Can the resident engineer point to the amount of federal-aid funds encumbered for this project (Y/N)	96%	4%		100%	0%		94%	6%		
Resident Engineer and Inspector Daily Diaries:										
1. Are diaries up-to-date? (Y/N) [i.e. no more than a week gap]	94%	6%	**86%**	91%	9%	**78%**	97%	3%	**83%**	↑
2. Do diaries appear to contain sufficient information for documentation purposes (i.e. location, operations, labor, equipment, material, hours, field conditions, discussions, down-time, inefficiencies, etc.)? (Y/N)	79%	21%		66%	34%					
3. Do daily diaries contain names of labor, equipment identification and employer identifications? (Y/N)							87%	13%		
4. Do daily diaries contain labor classification (e.g. laborer, carpenter, operator, etc.) and equipment classification (e.g. make and model) necessary for proper documentation? (Y/N)							90%	10%		
5. Do daily diaries segregate the work hours for labor and equipment by each item, extra work (CCO #) and dispute (NOPC #)? Y/N							58%	42%		
6. Where contractor's labor and equipment were down or idle, has the local agency noted the reason for down or idle time and segregated the work hours to quantify the impact? (Y/N)							58%	42%		
7. Do daily diaries adequately capture daily occurrences in the field (e.g. conversations with the contractor, weather conditions, etc.)? (Y/N)							97%	3%		
8. Do the daily diaries clearly identify the author and when developed (e.g. author's printed name, author's signature and date)? (Y/N)							90%	10%		

Quality Assurance Program (QAP):										
(Y/N)	89%	11%	**80%**	96%	4%	**82%**	100%	0%	**85%**	↑
2. Is the approval date on the QAP less than 5 years old? (Y/N)	89%	11%		96%	4%		94%	6%		
3. What entity is performing acceptance testing for this project?				NA	NA					
4. Are copies of the acceptance testers' and laboratory certifications up-to-date and appropriate for the acceptance testing for this contract? (Y/N)	59%	41%		56%	44%		56%	44%		
5. What entity is performing independent assurance on this contract?				NA	NA					
6. Has the independent assurance entity/personnel been certified by Caltrans? (Y/N)	61%	39%		67%	33%		80%	20%		
7. If no, explain why?				NA	NA					
8. Are copies of independent assurance certifications up-to-date and appropriate for this contract? (Y/N)	76%	24%		68%	32%		52%	48%		
9. Does the QAP for this contract contain acceptance testing frequency tables? (Y/N)	85%	15%		80%	20%		90%	10%		
10. If so, have the frequency tables been modified from those in the Local Assistance sample QAP? (Y/N)							7%	93%		
Material Testing Review:										
1. Are there acceptance sampling and acceptance tests in the project files? (Y/N)	76%	24%	**73%**	89%	11%	**76%**	95%	5%	**75%**	↓
2. Are acceptance sampling and acceptance testing conforming to the frequency requirements in the QAP? (Y/N) [Randomly check sampling and test results of at least two significant items containing materials identified in the frequency tables and compare against quantities placed to date.]	81%	19%		80%	20%		95%	5%		
3. Is the frequency of acceptance sampling and acceptance testing being monitored? (Y/N)	82%	18%		79%	21%		96%	4%		
4. Are the sampling and testing being performed by individuals certified for those items (i.e. spot-check persons performing sampling and testing vs. certifications on file)? (Y/N)	70%	30%		67%	33%		61%	39%		
5. Does the resident engineer see copies of the test results in a timely manner? (Y/N)	80%	20%		86%	14%		82%	18%		
6. Are records of testing equipment calibrations being maintained? (Y/N)	56%	44%		66%	34%		59%	41%		
7. Are there records of corroboration testing between the acceptance tester and independent assurance personnel? (Y/N)				62%	38%					
8. Is there a summary log of acceptance testing results? (Y/N)	35%	65%		50%	50%		42%	58%		
9. If there is a record of a failing material acceptance test, is there a corresponding passing material test or resolution explanation tied to the failing test? (Y/N)	65%	35%		86%	14%		69%	31%		
10. Do project records contain copies of approved mix designs and approval letters? (Y/N)	92%	8%		89%	11%		78%	22%		
11. Do delivery tickets/load slips contain a product identification number that corresponds to an approved mix design on file in the project records? (Y/N)	86%	14%		78%	22%		74%	26%		
12. Do material certificates of compliance contain the necessary information? (Y/N)	62%	38%		69%	31%		76%	24%		
13. Are required "Buy America" statements included on invoices and certifications for iron and steel products? (Y/N)	89%	11%		69%	31%		88%	13%		

Contract Change Order Review:

1. If any of the change orders contain lump sum or unit prices outside of the original bid items, are there records on file supporting the establishment of those lump sum or unit prices (e.g. force account analysis)? (Y/N)	59%	41%	**78%**	59%	41%	**73%**	53%	47%	**77%**	↑
2. If any of the change orders provide a contract time adjustment, are there records on file supporting the time adjustment (e.g. time impact analysis)? (Y/N)	71%	29%		50%	50%		36%	64%		
3. If any of the change orders were written with deferred time, has the time adjustment been made in a timely manner (e.g. within 30 days of completion of the affected work)? (Y/N)	75%	25%		50%	50%		67%	33%		
4. If any of the change orders contain revised or new engineering drawings or specifications, have the change order drawings or specifications been stamped by a professional engineer with a valid California PE license? (Y/N)	78%	22%		57%	43%		60%	40%		
5. Were contract change orders approved or proper prior authorization obtained prior to beginning work on the contract change orders? (Y/N)	79%	21%		88%	12%		79%	21%		
6. If a prior authorization process was used, is there documentation in the project records supporting the prior authorization approval and notice to proceed with the work? (Y/N)	71%	29%		88%	13%		80%	20%		
7. If a prior authorization process was utilized, was a timely contract change order approved? (e.g. less than one month) (Y/N)	67%	33%		56%	44%		88%	13%		
8. If any of the change orders contain a time and material method of payment (e.g. force account), do daily diaries provide sufficient support for payment of time and materials on the related change order work? (Y/N)	77%	23%		65%	35%		100%	0%		
9. Is the local agency monitoring authorized contract change order amounts versus reserve balances (e.g. contingency amounts)? (Y/N)	91%	9%		95%	5%		88%	13%		
10. Is the local agency monitoring individual contract change order amounts versus amounts expended on the change to date? (Y/N)	90%	10%		92%	8%		94%	6%		
11. Are all approved contract change orders within the project limits and the project's environmental document? (Y/N)	100%	0%		100%	0%		100%	0%		

Payment Review:

1. Has the local agency processed a progress payment to the Contractor on this contract? (Y/N)	83%	18%	**71%**	90%	10%	**70%**	77%	23%	**63%**	↓
2. If yes, does the progress payment provide a suitable accounting trail to support documentation for contract work (e.g. items, CCOs, etc.)? [Spot check only]	77%	23%		74%	26%		48%	52%		
3. Are weighmaster certificates being validated by the administering agency at point of delivery? (Y/N)	87%	13%		75%	25%		96%	4%		
4. Are there separate quantity pay sheets for each item being paid on each progress payment? (Y/N)	52%	48%		49%	51%		30%	70%		
5. Are quantity pay sheets signed and dated? (Y/N)	61%	39%		60%	40%		35%	65%		
6. Are quantity pay sheet calculations being checked by a separate individual? (Y/N)	44%	56%		50%	50%		40%	60%		

7. Are quantities paid to date being monitored and checked against estimated quantities? (Y/N)	94%	6%		93%	7%		100%	0%		
8. How many of the contract items have been completed as of the last progress payment? (Y/N)										
9. Has retainage been released on the completed contract items? (Y/N)							6%	94%		
10. Is the local agency conforming to their selection (Option 1, 2 or 3) for prompt payment? (Y/N)							67%	33%		
11. Does the local agency have an established method to ensure subcontractors receive prompt payment or resolve related complaints? (Y/N)							71%	29%		
Labor Compliance & Equal Employment Opportunity:										
1. Are wage rates determined by the US Department of Labor included in the contract? (Y/N)	93%	7%	**82%**	93%	7%	**82%**	100%	0%	**85%**	↑
2. Are payrolls certified by the contractor? (Y/N)	92%	8%		100%	0%		100%	0%		
3. Are payrolls checked and initialed by the local agency? (Y/N)	74%	26%		74%	26%		75%	25%		
4. Are diaries and payrolls being spot-checked and compared by the local agency? (Y/N)	73%	27%		71%	29%		69%	31%		
5. Are required federal posters (http://www.fhwa.dot.ca.gov/programadmin/contracts/poster.cfm) in good shape and posted in plain view of workers? (Y/N)	74%	26%		76%	24%		85%	15%		
6. Are interviews being conducted at a regular acceptable frequency? (Y/N)	84%	16%		88%	12%		91%	9%		
7. Do the interviews include the appropriate signatures and dates? (Y/N)	86%	14%		70%	30%		79%	21%		
DBE/UDBE:										
1. What is the UDBE goal for this contract? (%)			**87%**	NA	NA	**94%**			**89%**	↓
2. What is the UDBE commitment for this contract? (%)				NA	NA					
3. If the contractor did not meet the goal for this contract, was a Good Faith Effort (GFE) Analysis performed and is a copy filed in the project records? (Y/N)	79%	21%		89%	11%		85%	15%		
4. Is UDBE goal compliance being checked by the local agency? (Y/N)	83%	18%		96%	4%		96%	4%		
5. Is UDBE performance of a commercially useful function being checked? (Y/N)	87%	13%		93%	8%		86%	14%		
6. Have any contract change orders affected the UDBE's work? (Y/N)	9%	91%		15%	85%		14%	86%		
7. If the contract's UDBE goals have changed, have the changes been approved by Caltrans HQ and local agency? (Y/N)	0%	100%		0%	100%					
Training Requirements:										
1. Are on-the job training provisions a part of this contract? (Y/N)	18%	82%		11%	89%		3%	97%		
2. If yes, what is the goal for this contract?				NA	NA					
3. Do project records contain documentation to account for apprentices on the project? (Y/N)	58%	42%		80%	20%		100%	0%		

Environmental:										
1. Is the environmental document for this project on file? (Y/N)	96%	4%	**96%**	98%	2%	**97%**	90%	10%	**95%**	↓
2. Is the construction project adhering to mitigation requirements in the environmental documents? (Y/N)	96%	4%		97%	3%		100%	0%		
Other:										
1. Does the agency have a means to track, monitor and report on contract time? (Y/N)	85%	15%	**82%**	88%	12%	**87%**	97%	3%	**87%**	↔
2. Is the agency tracking, monitoring and reporting contract time in accordance with their procedure? (Y/N)	89%	11%		88%	12%		97%	3%		
3. Does the project have a procedure for submitting and filing a "Notice of Materials to be Used" type document? (Y/N)	60%	40%		67%	33%		64%	36%		
4. Has this procedure been followed? (Y/N)	84%	16%		91%	9%		89%	11%		
5. Does the project have a procedure for submitting and filing certificates of compliance for materials? (Y/N)	84%	16%		84%	16%		69%	31%		
6. Has this procedure been followed? (Y/N)	77%	23%		86%	14%		83%	17%		
7. Does the project have traffic control plan requirements? (Y/N)	84%	16%		90%	10%		97%	3%		
8. Are the traffic control plan requirements being followed? (Y/N)	95%	5%		100%	0%		97%	3%		

2010 4th Quarter and 2011 1st Quarter After Acceptance Project Reviews

	4th Quarter			1st Quarter			
Safety Information:	%age Y	%age N	Cat. Rating	%age Y	%age N	Cat Rating	Trend
1. Is the emergency contact information sheet on file containing names and contact information for local agency/consultants/contractor? (Y/N)	92%	8%	72%	91%	9%	91%	↑
2. Is there a map showing the location of a neighborhood medical facility with their address, telephone and office hours? (Y/N)	51%	49%					
General Project Records:							
1. Are project records being kept in an organized manner with an index that describes each file category? (Y/N)	90%	10%	97%	96%	4%	99%	↑
2. Does the local agency use a single method of project record keeping (e.g. index of categories) for both contracts with federal funds and those without? (Y/N)	85%	15%		84%	16%		
3. Is there a copy of the detailed estimate in the project records? (Y/N)	100%	0%		100%	0%		
4. Is there a copy of the finance letter in the project records? (Y/N)	100%	0%		100%	0%		
5. Can the resident engineer point to the amount of federal-aid funds encumbered for this project (Y/N)	100%	0%		100%	0%		
Resident Engineer and Inspector Daily Diaries:							
1. Are diaries up-to-date? (Y/N) [i.e. no more than a week gap]	97%	3%	80%	95%	5%	83%	↑
2. Do diaries appear to contain sufficient information for documentation purposes (i.e. location, operations, labor, equipment, material, hours, field conditions, discussions, down-time, inefficiencies, etc.)? (Y/N)	62%	38%					
3. Do daily diaries contain names of labor, equipment identification and employer identifications? (Y/N)				86%	14%		
4. Do daily diaries contain labor classification (e.g. laborer, carpenter, operator, etc.) and equipment classification (e.g. make and model) necessary for proper documentation? (Y/N)				80%	20%		
5. Do daily diaries segregate the work hours for labor and equipment by each item, extra work (CCO #) and dispute (NOPC#)? (Y/N)				55%	45%		
6. Where contractor's labor and equipment were down or idle, has the local agency noted the reason for down or idle time and segregated the work hours to quantify the impact? (Y/N)				76%	24%		
Do daily diaries adequately capture daily occurrences in the field (e.g. conversations with the contractor, weather conditions, etc.)? (Y/N)				98%	2%		
8. Do the daily diaries clearly identify the author and when developed (e.g. author's printed name, author's signature and date)? (Y/N)				93%	7%		

Quality Assurance Program (QAP):							
1. Does the local agency have a copy of their QAP in the project records? (Y/N)	90%	10%	82%	96%	4%	89%	↑
2. Is the approval date on the QAP less than 5 years old? (Y/N)	82%	18%		100%	0%		
3. What entity is performing acceptance testing for this project?	NA	NA					
4. Are copies of the acceptance testers' and laboratory certifications up-to-date and appropriate for the acceptance testing for this contract? (Y/N)	74%	26%		73%	27%		
5. What entity is performing independent assurance on this contract?							
(Y/N)	74%	26%		79%	21%		
7. If no, explain why?							
8. Are copies of independent assurance certifications up-to-date and appropriate for this contract? (Y/N)	67%	33%		64%	36%		
9. Does the QAP for this contract contain acceptance testing frequency tables? (Y/N)	84%	16%		88%	12%		
10. If so, have the frequency tables been modified from those in the Local Assistance sample QAP? (Y/N)				11%	89%		
Material Testing Review:							
1. Are there acceptance sampling and acceptance tests in the project files? (Y/N)	97%	3%	79%	95%	5%	82%	↑
2. Are acceptance sampling and acceptance testing conforming to the frequency requirements in the QAP? (Y/N) [Randomly check sampling and test results of at	68%	32%		85%	15%		
3. Is the frequency of acceptance sampling and acceptance testing being monitored? (Y/N)	83%	17%		92%	8%		
4. Are the sampling and testing being performed by individuals certified for those items (i.e. spot-check persons performing sampling and testing vs. certifications	88%	12%		80%	20%		
(Y/N)	85%	15%		90%	10%		
6. Are records of testing equipment calibrations being maintained? (Y/N)	64%	36%		68%	33%		
7. Are there records of corroboration testing between the acceptance tester and independent assurance personnel? (Y/N)	63%	37%					
8. Is there a summary log of acceptance testing results? (Y/N)	63%	37%		57%	43%		
9. If there is a record of a failing material acceptance test, is there a corresponding passing material test or resolution explanation tied to the failing	60%	40%		59%	41%		
10. Do project records contain copies of approved mix designs and approval letters? (Y/N)	89%	11%		90%	10%		
11. Do delivery tickets/load slips contain a product identification number that corresponds to an approved mix design on file in the project records? (Y/N)	77%	23%		92%	8%		
12. Do material certificates of compliance contain the necessary information? (Y/N)	78%	22%		77%	23%		
13. Are required "Buy America" statements included on invoices and certifications for iron and steel products? (Y/N)	100%	0%		100%	0%		

Contract Change Order Review:							
1. If any of the change orders contain lump sum or unit prices outside of the original bid items, are there records on file supporting the establishment of those	76%	24%	80%	52%	48%	69%	↓
2. If any of the change orders provide a contract time adjustment, are there records on file supporting the time adjustment (e.g. time impact analysis)? (Y/N)	36%	64%		47%	53%		
3. If any of the change orders were written with deferred time, has the time adjustment been made in a timely manner (e.g. within 30 days of completion of	100%	0%		29%	71%		
4. If any of the change orders contain revised or new engineering drawings or specifications, have the change order drawings or specifications been stamped	80%	20%		53%	47%		
5. Were contract change orders approved or proper prior authorization obtained prior to beginning work on the contract change orders? (Y/N)	88%	12%		94%	6%		
6. If a prior authorization process was used, is there documentation in the project records supporting the prior authorization approval and notice to proceed with the	73%	27%		86%	14%		
7. If a prior authorization process was utilized, was a timely contract change order approved? (e.g. less than one month) (Y/N)	80%	20%		91%	9%		
8. If any of the change orders contain a time and material method of payment (e.g. force account), do daily diaries provide sufficient support for payment of time	68%	32%		79%	21%		
9. Is the local agency monitoring authorized contract change order amounts versus reserve balances (e.g. contingency amounts)? (Y/N)	88%	12%		90%	10%		
10. Is the local agency monitoring individual contract change order amounts versus amounts expended on the change to date? (Y/N)	88%	12%		90%	10%		
11. Are all approved contract change orders within the project limits and the project's environmental document? (Y/N)	100%	0%		97%	3%		
Payment Review:							
1. Has the local agency processed a progress payment to the Contractor on this contract? (Y/N)	100%	0%	76%	98%	2%	73%	↓
2. If yes, does the progress payment provide a suitable accounting trail to support documentation for contract work (e.g. items, CCOs, etc.)? [Spot check only]	68%	32%		76%	24%		
3. Are weighmaster certificates being validated by the administering agency at point of delivery? (Y/N)	92%	8%		88%	13%		
4. Are there separate quantity pay sheets for each item being paid on each progress payment? (Y/N)	61%	39%		49%	51%		
5. Are quantity pay sheets signed and dated? (Y/N)	69%	31%		60%	40%		
6. Are quantity pay sheet calculations being checked by a separate individual?	53%	47%		55%	45%		
7. Are quantities paid to date being monitored and checked against estimated quantities? (Y/N)	92%	8%		95%	5%		
8. How many of the contract items have been completed as of the last progress payment?							

9. Has retainage been released on the completed contract items? (Y/N)				51%	49%		
10. Is the local agency conforming to their selection (Option 1, 2 or 3) for prompt payment? (Y/N)				67%	33%		
11. Does the local agency have an established method to ensure subcontractors receive prompt payment or resolve related complaints? (Y/N)				70%	30%		
Labor Compliance & Equal Employment Opportunity:							
1. Are wage rates determined by the US Department of Labor included in the contract? (Y/N)	100%	0%	82%	100%	0%	89%	↑
2. Are payrolls certified by the contractor? (Y/N)	97%	3%		100%	0%		
3. Are payrolls checked and initialed by the local agency? (Y/N)	79%	21%		78%	23%		
4. Are diaries and payrolls being spot-checked and compared by the local agency? (Y/N)	72%	28%		79%	21%		
5. Are required federal posters (http://www.fhwa.dot.ca.gov/programadmin/contracts/poster.cfm) in good shape	71%	29%		82%	18%		
6. Are interviews being conducted at a regular acceptable frequency? (Y/N)	79%	21%		98%	2%		
7. Do the interviews include the appropriate signatures and dates? (Y/N)	78%	22%		88%	12%		
DBE/UDBE:							
1. What is the UDBE goal for this contract? (%)	NA	NA	83%			97%	↑
2. What is the UDBE commitment for this contract? (%)	NA	NA					
3. If the contractor did not meet the goal for this contract, was a Good Faith Effort (GFE) Analysis performed and is a copy filed in the project records? (Y/N)	92%	8%		100%	0%		
4. Is UDBE goal compliance being checked by the local agency? (Y/N)	91%	9%		100%	0%		
5. Is UDBE performance of a commercially useful function being checked? (Y/N)	90%	10%		91%	9%		
6. Have any contract change orders affected the UDBE's work? (Y/N)	30%	70%		20%	80%		
7. If the contract's UDBE goals have changed, have the changes been approved by Caltrans HQ and local agency? (Y/N)	40%	60%		0%	100%		
Training Requirements:							
1. Are on-the job training provisions a part of this contract? (Y/N)	0%	100%		0%	100%		
2. If yes, what is the goal for this contract?	NA	NA					
3. Do project records contain documentation to account for apprentices on the project? (Y/N)	0%	0%		0%	100%		
Environmental:							
1. Is the environmental document for this project on file? (Y/N)	100%	0%	100%	100%	0%	96%	↓
2. Is the construction project adhering to mitigation requirements in the environmental documents? (Y/N)	100%	0%		92%	8%		

Other:							
1. Does the agency have a means to track, monitor and report on contract time? (Y/N)	97%	3%	83%	96%	4%	81%	↓
2. Is the agency tracking, monitoring and reporting contract time in accordance with their procedure? (Y/N)	97%	3%		96%	4%		
3. Does the project have a procedure for submitting and filing a "Notice of Materials to be Used" type document? (Y/N)	62%	38%		67%	33%		
4. Has this procedure been followed? (Y/N)	88%	13%		84%	16%		
5. Does the project have a procedure for submitting and filing certificates of compliance for materials? (Y/N)	77%	23%		73%	28%		
6. Has this procedure been followed? (Y/N)	87%	13%		82%	18%		
7. Does the project have traffic control plan requirements? (Y/N)	100%	0%		93%	7%		
8. Are the traffic control plan requirements being followed? (Y/N)	94%	6%		98%	2%		
9. Has the project's material certificate been completed and properly filed? (Y/N)	44%	56%		43%	57%		