# F.E. QUALIFICATION PERFORMANCE REPORT

**Independent Assurance Information**

Employee Name:      Contract No.:

(or) Employee TIN:      District:

Resident Office:      Date:

Location:

**Summary of Areas Reviewed:**

Contract Administration:

Earthwork:

Asphalt:

Concrete:

Value Added/Warranties:

**Summary of Observations:**

**If results were unsatisfactory, indicate action taken:**

1st Action: Results Documented. (cc: Employee, and Resident Engineer (RE).

2nd Action: Results Documented. (cc: Employee, RE, and District Final Estimates Manager (DFEM)

3rd Action: Results Documented and FE Level II Revoked (cc: Employee, Supervisor, RE, DFEM, State Final Estimates Engineer (SFEE), and District Construction Engineer (DCE).

**Independent Assurance Observer Attachment**: FE Checklist

# FINAL ESTIMATES CHECKLIST (DFEO Checklist for IA Reviews)

| **ITEMS CHECKED** | **REFERENCES** | **P** | **F** | **N/A** | **REMARKS** |
| --- | --- | --- | --- | --- | --- |
| Contract Administration | | | | | |
| 1. Contract Documents, Contract Plans, Special Provisions, etc. available | CPAM 5,  RAM |  |  |  |  |
| 1. Plan Summary Boxes/Estimated Quantities Report | | | | | |
| 1. Price adjustments applied and shown | Specifications |  |  |  |  |
| 1. Final quantities summarized within 30 days of pay item closeout | CPAM 5.12 |  |  |  |  |
| 1. Cross-reference all data that  supports the final quantity | CPAM 5.13 |  |  |  |  |
| 1. Thickness adjustments applied and shown | Specifications 285 and 350 |  |  |  |  |
| 1. Method of payment verification (Plan Quantity, Final Measure, or Lump Sum) | Contract Specific Specifications  Specification 9-1  Basis of Estimates Manual |  |  |  |  |
| 1. All Final Estimates documentation and back up in EDMS or Collaboration Site, as applicable (i.e., Field Records, Plan Quantity Analysis, Etc.) | CPAM 5 |  |  |  |  |
| 1. Original EQR and Revisions in EDMS or Collaboration Site | CPAM 5.13  EDMS Quick Reference |  |  |  |  |
| 1. Final As-Built Plans | | | | | |
| 1. Updated as project progresses | CPAM 5.12 |  |  |  |  |
| 1. All field revisions identified within 30 days of the change. Marked up in red font. All EOR revisions placed appropriately per Section 5.12 of CPAM. | CPAM 5.12 |  |  |  |  |
| 1. Voided sheets identified and in the correct order. | CPAM 5.12 |  |  |  |  |
| 1. Bridge Plans |  |  |  |  |  |
| 1. Load Ratings recorded on appropriate forms and submitted with Plans | CPAM 5.12 |  |  |  |  |
| 1. Drill Shaft Inspection records submitted with Plans | CPAM 5.12 |  |  |  |  |
| 1. Pile Driving Log certified and submitted | CPAM 5.12 |  |  |  |  |
| 1. Contract Time | | | | | |
| 1. All time extensions reflected on Form 28 | CPAM 5.11 |  |  |  |  |
| 1. Overrun in contract time reflected in LDs/disincentive charged on progress estimate | CPAM 5.11, Specifications |  |  |  |  |
| 1. Deduction made for late contract execution | Specification  3-6 |  |  |  |  |
| 1. Contractor’s Certifications - Payment based on Certification of Quantities received monthly: | | | | | |
| 1. Bituminous Certification (All Projects) | CPAM 5.14 |  |  |  |  |
| 1. Fuel Certification (LS/DB Projects). For Conventional, done in PrC | CPAM 6.2 |  |  |  |  |
| 1. MOT Signs, etc. & Traffic Markings Certifications (Conventional Projects only) | CPAM 5.14 |  |  |  |  |
| 1. All other monthly certifications pertaining to the progress estimate and monthly payment | CPAM 5.11 |  |  |  |  |
| 1. Materials | | | | | |
| 1. Check all deficiencies in Certification of Materials as they are turned in. (Have you addressed this on pay estimates?) |  |  |  |  |  |
| Earthwork | | | | | |
| 1. Pre-construction work | | | | | |
| 1. If cross-section waiver was requested, was it approved prior to clearing & grubbing? | CPAM 5.16 |  |  |  |  |
| 1. Bench loop performed, documented, and verified. | CPAM 5.16 |  |  |  |  |
| 1. Errors in vertical control data detected in the initial benchmark loop verification field notes with results forwarded to the contractor? |  |  |  |  |  |
| 1. Has verification of existing surfaces been recorded appropriately prior to any clearing & grubbing? | CPAM 5.16 |  |  |  |  |
| 1. Errors in cross-sections detected and was the contractor notified? |  |  |  |  |  |
| 1. If paying by truck measurements, has a list of trucks with their assigned numbers and their certified capacity been provided? | CPAM 5.14 |  |  |  |  |
| 1. During Construction work: | | | | | |
| 1. Have all temporary benchmarks used during subsoil excavation been properly referenced using the Final Measurement Miscellaneous form? Is there any reference to the original Benchmark (BM)? |  |  |  |  |  |
| 1. If extra depth subsoil encountered and excavated, have calculations been made for accurate payment for additional material? | CPAM 5.16  Specification 120-14.2.3 |  |  |  |  |
| 1. After Completion of Earthwork: |  |  |  |  |  |
| 1. Have all adjustments to embankment due to subsoil excavation overruns or underruns been made? |  |  |  |  |  |
| 1. Ensure subsoil excavation that exceeds the limits of authorized excavation has not been paid and embankment quantity has not been adjusted. |  |  |  |  |  |
| 1. Have all changes to final earthwork been indicated on Final As-Built Plans, and/or cross-section plots included? |  |  |  |  |  |
| Asphalt | | | | | |
| 1. Conventional Projects |  |  |  |  |  |
| 1. Does the LOT submittal package have all supporting documentation? | CPAM 11.1 |  |  |  |  |
| 1. Do the tonnage tickets match the Contractor’s Quality Control reports? | CPAM 11.1 Attachment 11.1-5B |  |  |  |  |
| 1. Unit price adjustment for each composite pay factor adjustment? Paid on the monthly estimate after lot closes with verified LOT package? | CPAM 11.4 |  |  |  |  |
| 1. Asphalt Pay item paid per Specifications (up to 110% adjustments) made on the monthly estimate | Specifications 234, 285, 287, 334, 337, 339 |  |  |  |  |
| 1. Have pay reductions been assessed? | Specifications |  |  |  |  |
| 1. Roadway As-Built Pavement data submitted appropriately (QCRR) | CPAM 11.4 |  |  |  |  |
| 1. Alternative Contracts (LS and DB) |  |  |  |  |  |
| 1. Is there a LOT Submittal Package for each adjustment to the lump sum price based on the composite pay factor worksheet? | CPAM 11.1 |  |  |  |  |
| 1. Fuel & Bituminous adjustments in accordance with Contract? | Specifications  9-2.1.1 and 9-2.1.2 |  |  |  |  |
| 1. Are monthly payments shown on the Schedule of Values (SOV)? | CPAM 6.2 |  |  |  |  |
| 1. Asphalt Adjustments up to 110% per Specifications? | Specifications 234, 285, 287, 334, 337, 339 |  |  |  |  |
| 1. Any pay reductions? Have they been assessed per Specifications? |  |  |  |  |  |
| Concrete (Foundations, Substructure, and Superstructure) | | | | | |
| 1. Records |  |  |  |  |  |
| 1. Structural - Are low strength failure pay reductions calculated according to Contract? | Specification  346-11.3 |  |  |  |  |
| 1. Structural – Are pay reductions for plastic properties calculated according to the contract? | Specification  346-12 |  |  |  |  |
| 1. Class NS - Compressive Strength Certification and Acceptance recorded? | Specification 347 |  |  |  |  |
| 1. Thickness adjustments applied for Concrete Pavement? | Specification 350-20 |  |  |  |  |
| 1. Adjustments for surface smoothness applied to the Grinding Concrete Pavement pay item? | Specification 352-8 |  |  |  |  |
| 1. Have other applicable adjustments to unit price been made per the Contract Documents? |  |  |  |  |  |
| 1. Piling verification |  |  |  |  |  |
| 1. Authorized pile lengths provided? | Specification 455-5.15.3 |  |  |  |  |
| 1. Payments for preformed holes, buildups, splices, re-drives, and set checks documented in pile driving records and related to payment according to specifications? | Specification 455  CPAM 10.1  Specification 4-1 |  |  |  |  |
| 1. Elevations/benchmarks documented on each form. Pile driving forms signed? |  |  |  |  |  |
| 1. Drilled Shafts | | | | | |
| 1. Have the applicable adjustments in payment been made per the Contract Documents? Drilled Shaft Logs signed? | Specification 455-23  CPAM 5-15  CPAM 10-1 |  |  |  |  |
| Value Added Features (Warranties) entered into PrC and CIM (CPAM 8.14) | | | | | |
| 1. Asphalt pavement | Specification 338 |  |  |  |  |
| 1. Concrete pavement | Specification 355 |  |  |  |  |
| 1. Bridge deck expansion joints, other bridge warranties | Specification 475 DB Only |  |  |  |  |
| 1. Coatings | Specification 475 DB Only |  |  |  |  |
| 1. Bridge electrical/ lighting system | Specification 475 DB Only |  |  |  |  |
| 1. Bearing devices | Specification 475 DB Only |  |  |  |  |
| 1. Bridge drainage system | Specification 475 DB Only |  |  |  |  |
| 1. Design Build warranty (complete project) |  |  |  |  |  |
| 1. ITS warranty | Specification 715 |  |  |  |  |
| 1. Landscape installation | Special Provision 580 |  |  |  |  |
| 1. Post construction warranty (add-on) |  |  |  |  |  |
| 1. Traffic markings | Specification 701-713 |  |  |  |  |
| 1. Performance turf | Specification 570 |  |  |  |  |
| 1. Aluminum Poles, pedestals, and Posts | Specification 646 |  |  |  |  |
| 1. Galvanized Steel Strain Poles, Mast Arms and Monotube Assemblies | Specification 649 |  |  |  |  |
| 1. Building warranties |  |  |  |  |  |
| 1. Other |  |  |  |  |  |