



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

**2010 Federal Fiscal Year
4th Quarter**



Office of Policy Development & Quality Assurance

October 2010

Federal Fiscal Year 2010 4th 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 Construction 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 fourth quarter, the following ARRA project reviews have been performed:
 - 211 joint reviews with 136 different local agencies involving \$232 million in ARRA dollars
 - 313 Caltrans reviews with 178 different local agencies involving \$273 million in ARRA dollars
 - Caltrans reviews to date are comprised of 154 preconstruction reviews, 104 mid-project reviews and 55 after-acceptance reviews
- As of September 15, 2010 approximately 870 local agency ARRA projects have been authorized. Twenty-four percent of authorized ARRA projects have received joint reviews and eighteen percent of authorized ARRA projects have received 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 39 (30%) preconstruction reviews, 54 (40%) mid project reviews and 39 (30%) 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 two quarters. Correspondingly, mid-project and after-acceptance reviews as a percentage continue to increase.

Federal Fiscal Year 2010 4th Quarter Information

Trends:

- An analysis of the 54 mid-project reviews performed this quarter has been included in this report and compared against the previous quarter results for trend analysis. Significant items from this analysis are as follows:
 - Seven of the categorical areas showed positive trends, while three showed negative trends and one was unchanged.
 - The DBE/UDBE category showed the largest net improvement with a seven percent increase over last quarter's value.
 - The Resident Engineer and Inspector Diaries category showed the largest net decline with an eight percent decrease over last quarter's value.
- An analysis of the 39 after-acceptance reviews performed this quarter has been included in this report and will be compared against future quarters after-acceptance reviews.

Improvements and Actions:

- Two Construction Office 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 is presently being 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 will be compiling a list of agencies which will be recommended for the next academy offerings.

Recommendations:

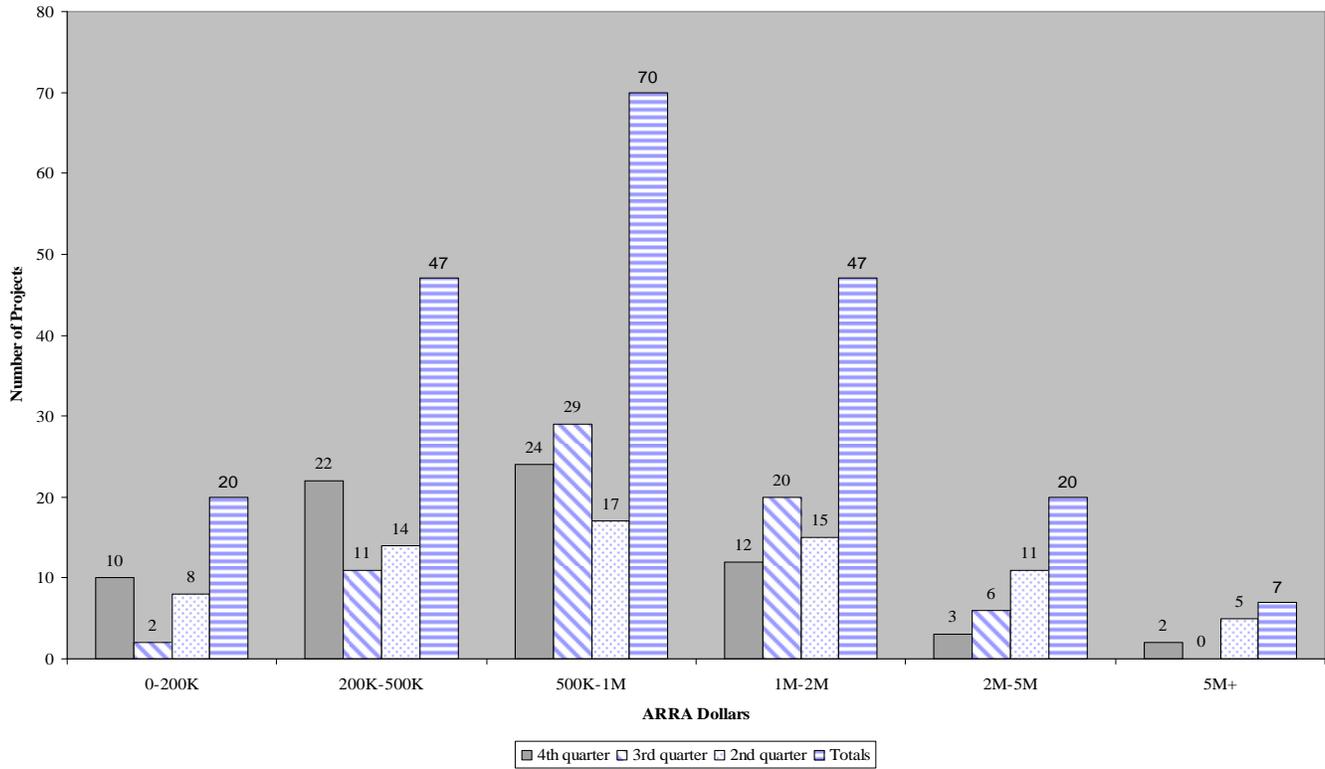
- It is recommended that Caltrans reviews continue to focus primarily on those projects that are early in their construction life where significant opportunities exist to avoid problems prior to their formation by providing contract administration expectations and guidance.
- It is also suggested, that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

Most Frequently Observed Deficiencies on Joint Project Reviews (4th Quarter)

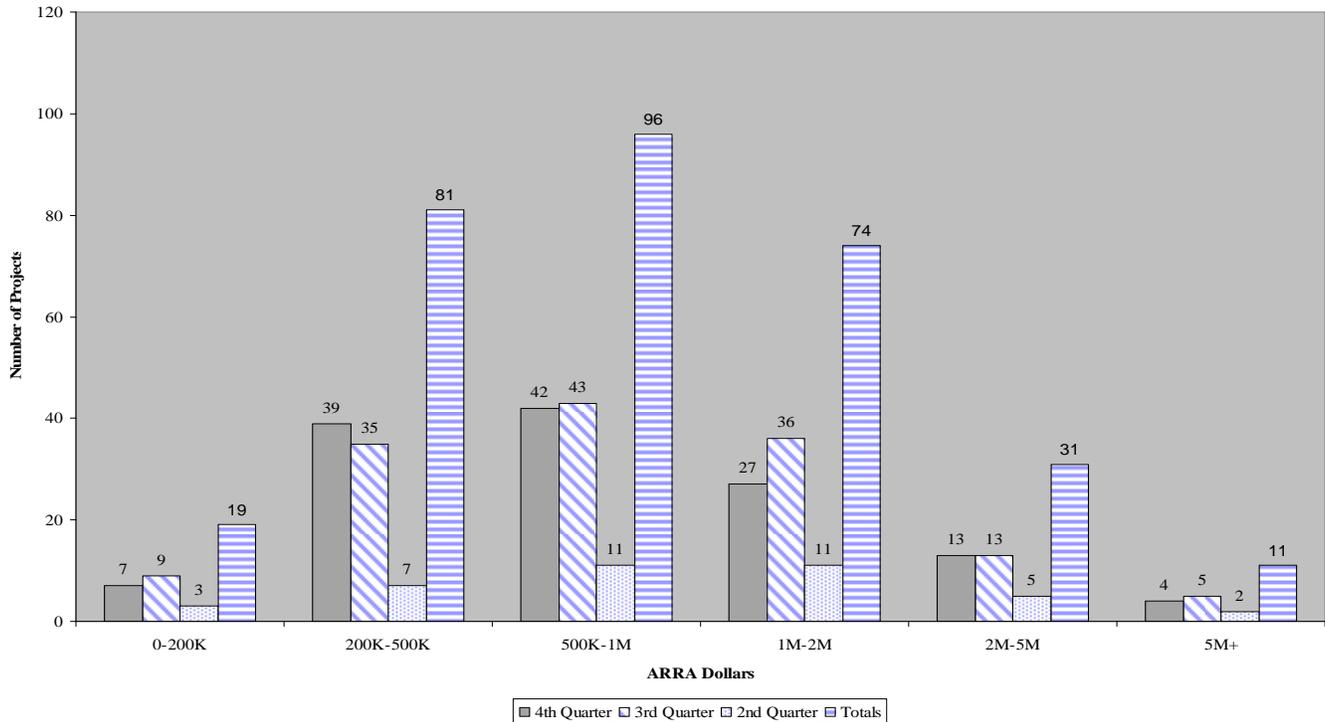
Description	Observed Frequency	Ranking
Diaries are deficient	41%	1
Support for progress payments is deficient	39%	2
Documentation of posting job posters is deficient	36%	3
Contract time administration/WSWDs is deficient	31%	4
Checking of certified payroll is deficient	31%	4
Visibility of job posters is deficient	27%	6
Deficient documentation of certifications for material samplers, testers or laboratories	19%	7
Monitoring of sampling and testing frequency is deficient	16%	8
Lump sum/unit price CCOs lack supporting documentation	15%	9
Employee interview frequency is deficient	15%	9
Project record category filing system is deficient	15%	9

Distribution of Reviews by Dollars

Distribution of Joint Reviews Based on ARRA Dollars

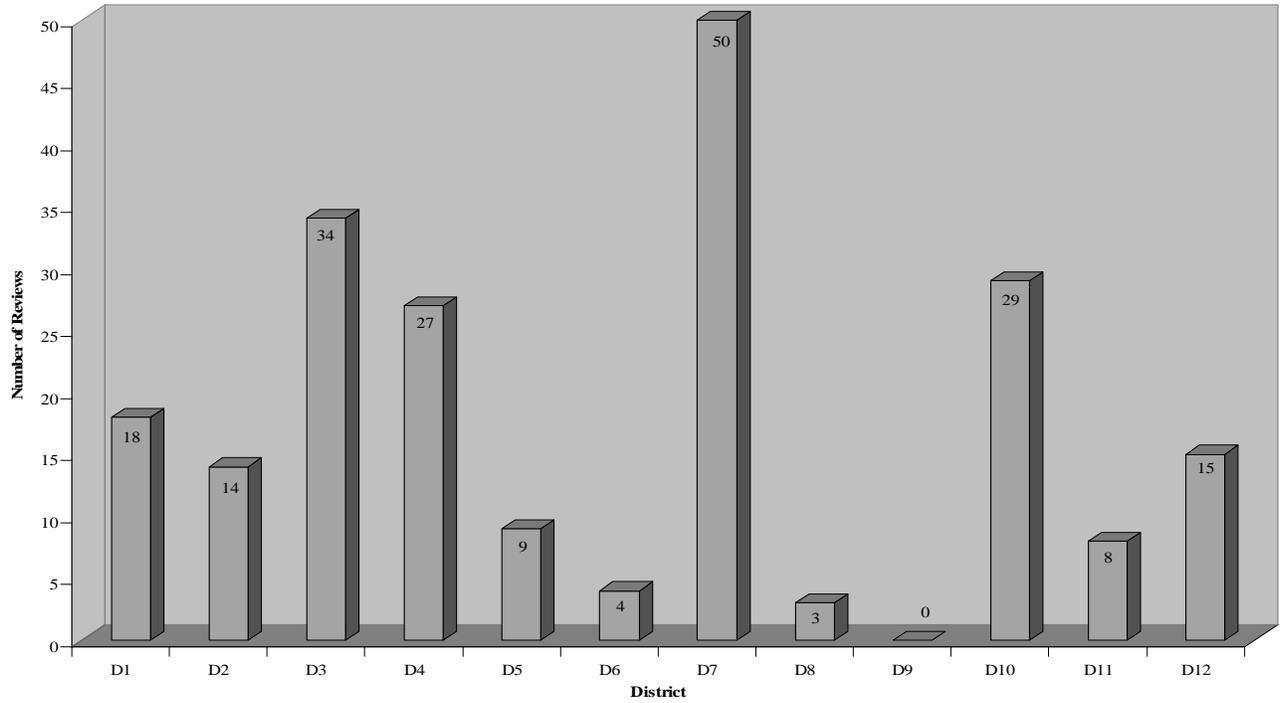


Distribution of Caltrans Reviews Based on ARRA Dollars

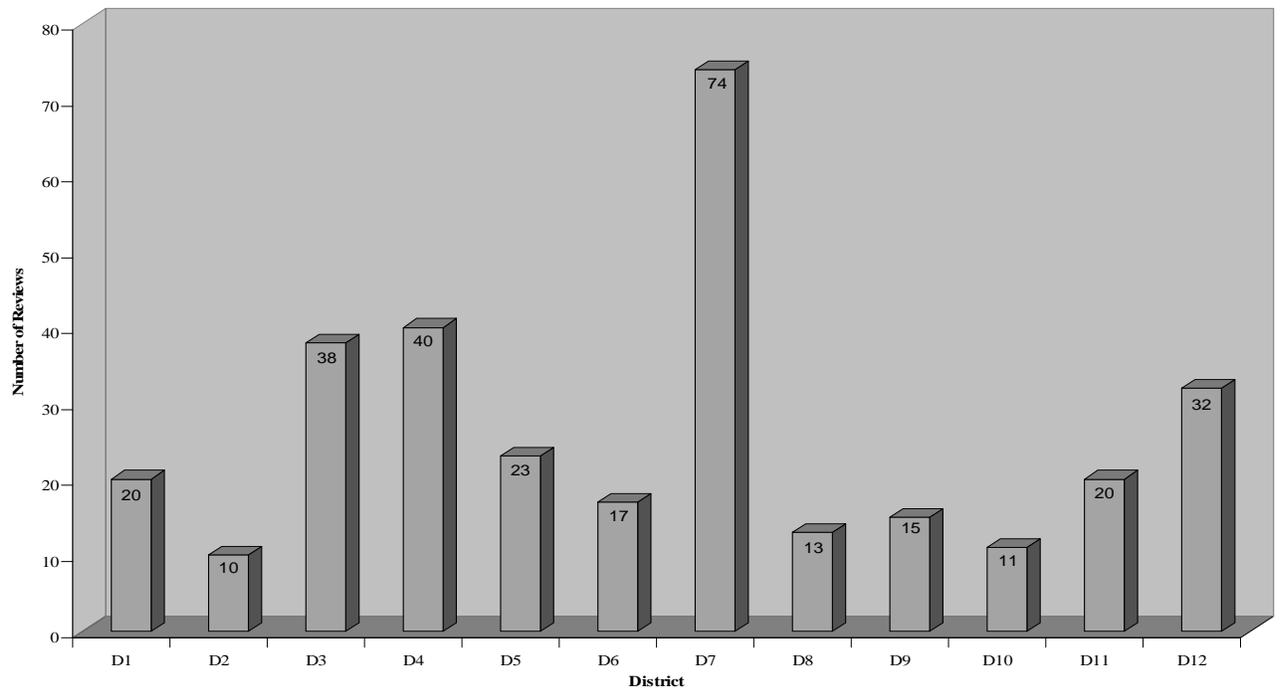


Distribution of Reviews by Districts

Joint Reviews by District

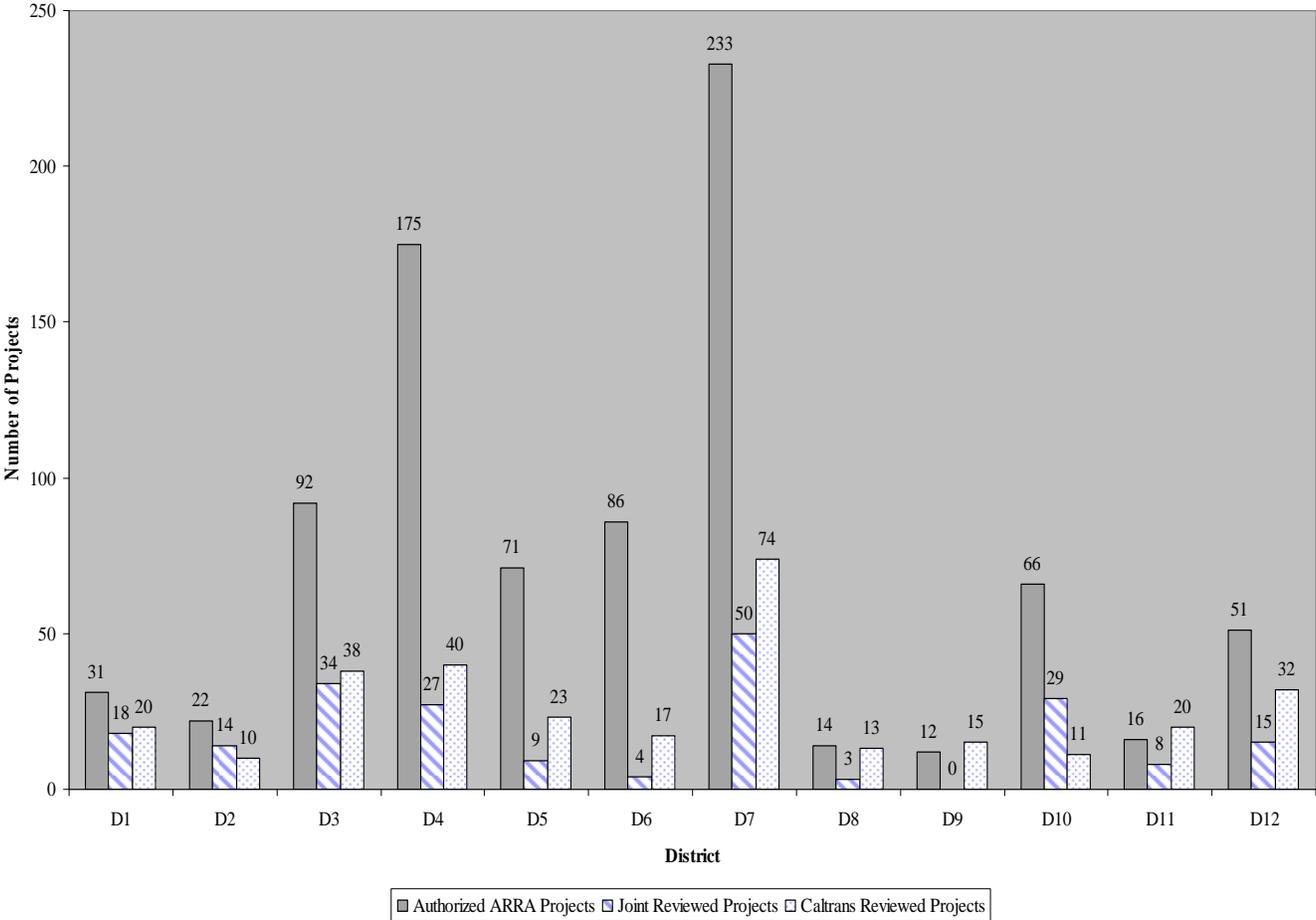


Caltrans Reviews by District

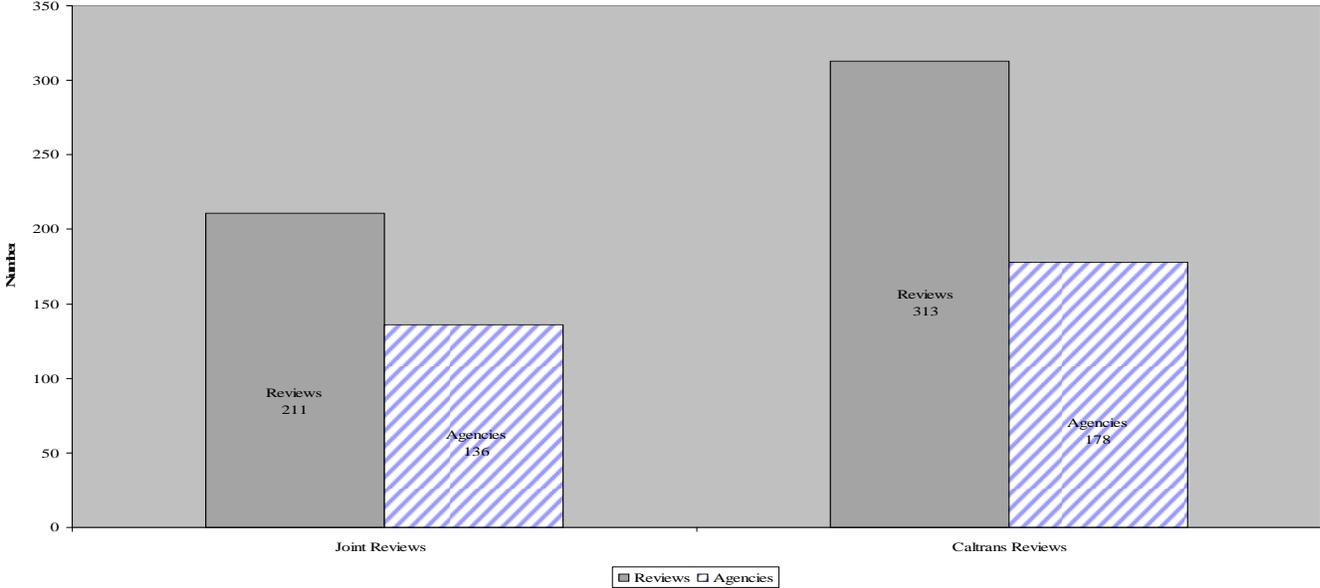


Review Metrics

Authorized ARRA Projects and Reviewed ARRA Projects

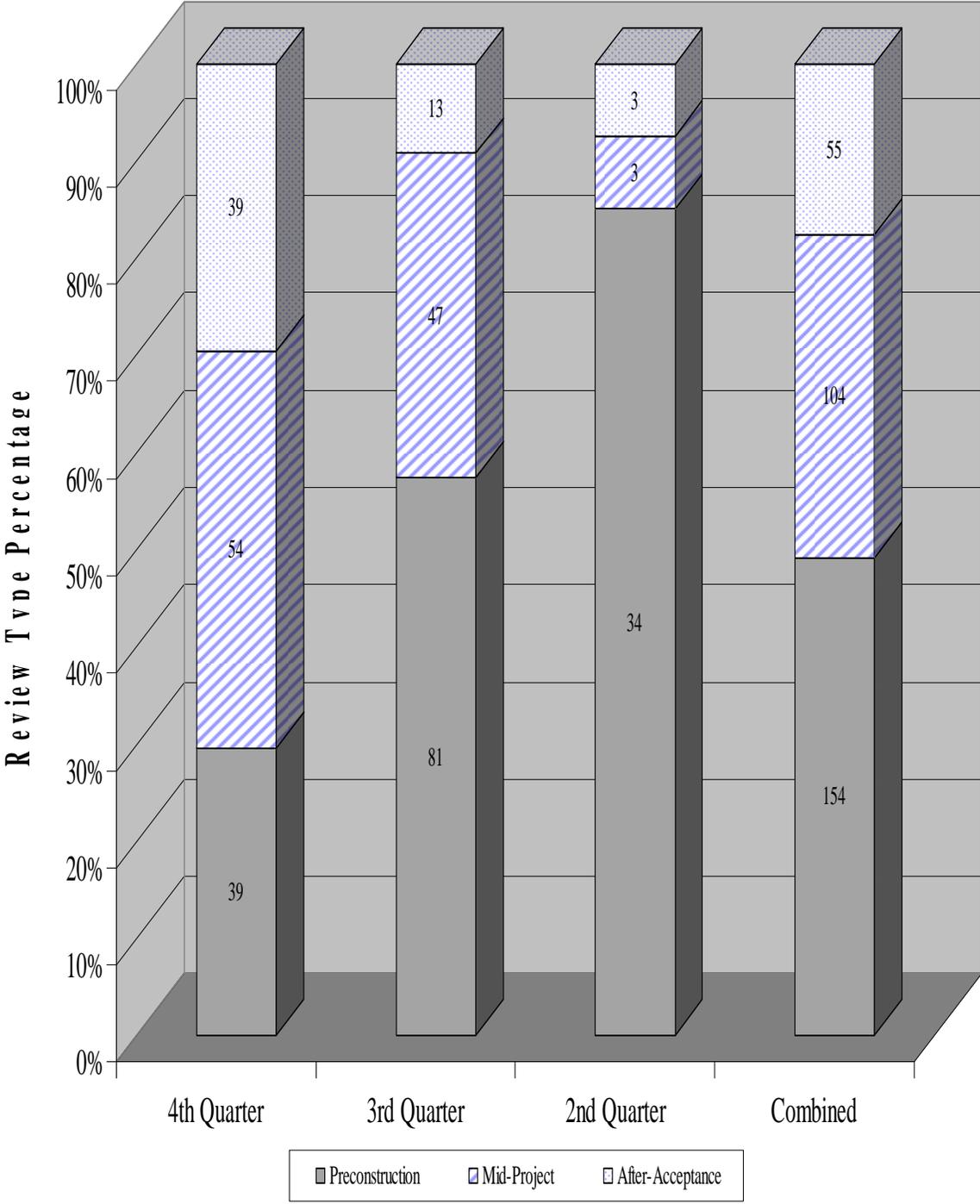


Joint Reviews and Caltrans Reviews - Reviews and Agencies



Review Metrics

Caltrans Review Types



2010 3rd & 4th Quarter Mid Project Reviews

	3rd Quarter					Cat. Rating	4th Quarter					Cat. Rating	Trend	
	Responses	Y	N	%age Y	%age N		Responses	Y	N	%age Y	%age N			
Safety Information:														
1. Is the emergency contact information sheet on file containing names and contact information for local agency/consultants/contractor? (Y/N)	47	36	11	77%	23%	62%	53	42	11	79%	21%	68%	▲	
2. Is there a map showing the location of a neighborhood medical facility with their address, telephone and office hours? (Y/N)	47	22	25	47%	53%		53	30	23	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)	46	42	4	91%	9%	95%	54	54	0	100%	0%	100%	▲	
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)	47	29	18	62%	38%		54	35	19	65%	35%			
3. Is there a copy of the detailed estimate in the project records? (Y/N)	46	45	1	98%	2%		54	54	0	100%	0%			
4. Is there a copy of the finance letter in the project records? (Y/N)	46	44	2	96%	4%		54	54	0	100%	0%			
5. Can the resident engineer point to the amount of federal-aid funds encumbered for this project (Y/N)	45	43	2	96%	4%		53	53	0	100%	0%			
Resident Engineer and Inspector Daily Diaries:														
1. Are diaries up-to-date? (Y/N) [i.e. no more than a week old? (Y/N)]	47	44	3	94%	6%	86%	53	48	5	91%	9%	78%	▼	
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)	47	37	10	79%	21%		53	35	18	66%	34%			
Quality Assurance Program (QAP):														
have a copy of their QAP in the project records? (Y/N)	46	41	5	89%	11%	80%	51	49	2	96%	4%	82%	▲	
approval date on the QAP less than 5 years old? (Y/N)	45	40	5	89%	11%		51	49	2	96%	4%			
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)	44	26	18	59%	41%		50	28	22	56%	44%			
is performing independent assurance on this contract?										NA	NA			
assurance entity/personnel been certified by Caltrans? (Y/N)	28	17	11	61%	39%		21	14	7	67%	33%			
7. If no, explain why?										NA	NA			

8. Are copies of independent assurance certifications up-to-date and appropriate for this contract? (Y/N)	29	22	7	76%	24%
Do contract documents contain acceptance testing frequency tables? (Y/N)	39	33	6	85%	15%
Material Testing Review:					
Are sampling and acceptance tests in the project files? (Y/N)	34	26	8	76%	24%
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.]	27	22	5	81%	19%
Are sampling and acceptance testing being monitored? (Y/N)	33	27	6	82%	18%
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)	30	21	9	70%	30%
Do you see copies of the test results in a timely manner? (Y/N)	30	24	6	80%	20%
Are testing equipment calibrations being maintained? (Y/N)	32	18	14	56%	44%
7. Are there records of corroboration testing between the acceptance tester and independent assurance personnel? (Y/N)					
Are there summary logs of acceptance testing results? (Y/N)	31	11	20	35%	65%
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)	20	13	7	65%	35%
Are there sets of approved mix designs and approval letters? (Y/N)	38	35	3	92%	8%
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)	37	32	5	86%	14%
Do contract documents contain the necessary information? (Y/N)	34	21	13	62%	38%
13. Are required "Buy America" statements included on invoices and certifications for iron and steel products? (Y/N)	9	8	1	89%	11%
Contract Change Order Review:					

	31	21	10	68%	32%
	44	35	9	80%	20%
	45	40	5	89%	11%
	40	32	8	80%	20%
	43	34	9	79%	21%
	39	26	13	67%	33%
	44	38	6	86%	14%
	41	27	14	66%	34%
	13	8	5	62%	38%
	46	23	23	50%	50%
	22	19	3	86%	14%
	44	39	5	89%	11%
	41	32	9	78%	22%
	13	9	4	69%	31%
	13	9	4	69%	31%



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)	17	10	7	59%	41%	78%	27	16	11	59%	41%	73%
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)	14	10	4	71%	29%		20	10	10	50%	50%	
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)	4	3	1	75%	25%		8	4	4	50%	50%	
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)	9	7	2	78%	22%		14	8	6	57%	43%	
5. Were contract change orders approved or proper prior authorization obtained prior to beginning work on the contract change orders? (Y/N)	19	15	4	79%	21%		25	22	3	88%	12%	
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)	14	10	4	71%	29%		16	14	2	88%	13%	
7. If a prior authorization process was utilized, was a timely contract change order approved? (e.g. less than one month) (Y/N)	12	8	4	67%	33%		16	9	7	56%	44%	
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)	13	10	3	77%	23%		20	13	7	65%	35%	
9. Is the local agency monitoring authorized contract change order amounts versus reserve balances (e.g. contingency amounts)? (Y/N)	22	20	2	91%	9%		37	35	2	95%	5%	
10. Is the local agency monitoring individual contract change order amounts versus amounts expended on the change to date? (Y/N)	21	19	2	90%	10%		37	34	3	92%	8%	

11. Are all approved contract change orders within the project limits and the project's environmental document? (Y/N)	23	23	0	100%	0%		33	33	0	100%	0%	
Payment Review:												
1. Has the local agency processed a progress payment to the Contractor on this contract? (Y/N)	40	33	7	83%	18%	71%	51	46	5	90%	10%	70%
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]	35	27	8	77%	23%		46	34	12	74%	26%	
3. Are weighmaster certificates being validated by the administering agency at point of delivery? (Y/N)	30	26	4	87%	13%		40	30	10	75%	25%	
4. Are there separate quantity pay sheets for each item being paid on each progress payment? (Y/N)	33	17	16	52%	48%		49	24	25	49%	51%	
5. Are quantity pay sheets signed and dated? (Y/N)	33	20	13	61%	39%		43	26	17	60%	40%	
6. Are quantity pay sheet calculations being checked by a separate individual? (Y/N)	32	14	18	44%	56%		42	21	21	50%	50%	
7. Are quantities paid to date being monitored and checked against estimated quantities? (Y/N)	34	32	2	94%	6%		46	43	3	93%	7%	
Labor Compliance & Equal Employment Opportunity:												
1. Are wage rates determined by the US Department of Labor included in the contract? (Y/N)	46	43	3	93%	7%	82%	54	50	4	93%	7%	82%
2. Are payrolls certified by the contractor? (Y/N)	39	36	3	92%	8%		51	51	0	100%	0%	
Payrolls checked and initialed by the local agency? (Y/N)	38	28	10	74%	26%		50	37	13	74%	26%	
Spot-checked and compared by the local agency? (Y/N)	37	27	10	73%	27%		49	35	14	71%	29%	
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)	39	29	10	74%	26%		50	38	12	76%	24%	
6. Are posters being conducted at a regular acceptable frequency? (Y/N)	44	37	7	84%	16%		51	45	6	88%	12%	
7. Do posters include the appropriate signatures and dates? (Y/N)	42	36	6	86%	14%		50	35	15	70%	30%	
DBE/UDBE:												
1. What is the UDBE goal for this contract? (%)						87%				NA	NA	94%
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)	19	15	4	79%	21%		18	16	2	89%	11%	

compliance being checked by the local agency? (Y/N)	40	33	7	83%	18%
if a commercially useful function being checked? (Y/N)	30	26	4	87%	13%
contract change orders affected the UDBE's work? (Y/N)	33	3	30	9%	91%
7. If the contract's UDBE goals have changed, have the changes been approved by Caltrans HQ and local agency? (Y/N)	4	0	4	0%	100%
Training Requirements:					
the job training provisions a part of this contract? (Y/N)	44	8	36	18%	82%
2. If yes, what is the goal for this contract?					
3. Do project records contain documentation to account for apprentices on the project? (Y/N)	12	7	5	58%	42%
Environmental:					
environmental document for this project on file? (Y/N)	47	45	2	96%	4%
2. Is the construction project adhering to mitigation requirements in the environmental documents? (Y/N)	28	27	1	96%	4%
Other:					
ns to track, monitor and report on contract time? (Y/N)	47	40	7	85%	15%
2. Is the agency tracking, monitoring and reporting contract time in accordance with their procedure? (Y/N)	44	39	5	89%	11%
3. Does the project have a procedure for submitting and filing a "Notice of Materials to be Used" type document? (Y/N)	43	26	17	60%	40%
4. Has this procedure been followed? (Y/N)	25	21	4	84%	16%
5. Does the project have a procedure for submitting and filing certificates of compliance for materials? (Y/N)	45	38	7	84%	16%
6. Has this procedure been followed? (Y/N)	35	27	8	77%	23%
he project have traffic control plan requirements? (Y/N)	45	38	7	84%	16%
traffic control plan requirements being followed? (Y/N)	40	38	2	95%	5%

	47	45	2	96%	4%
	40	37	3	93%	8%
	39	6	33	15%	85%
	6	0	6	0%	100%
	53	6	47	11%	89%
			NA	NA	
	5	4	1	80%	20%
	54	53	1	98%	2%
	29	28	1	97%	3%
	52	46	6	88%	12%
	51	45	6	88%	12%
	46	31	15	67%	33%
	33	30	3	91%	9%
	51	43	8	84%	16%
	35	30	5	86%	14%
	50	45	5	90%	10%
	44	44	0	100%	0%

2010 4th Quarter After Acceptance Project Reviews

	4th Quarter					Cat. Rating
	Responses	Y	N	%age Y	%age N	
Safety Information:						
1. Is the emergency contact information sheet on file containing names and contact information for local	39	36	3	92%	8%	72%
2. Is there a map showing the location of a neighborhood medical facility with their address, telephone and office hours? (Y/N)	37	19	18	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)	39	35	4	90%	10%	97%
2. Does the local agency use a single method of project record keeping (e.g. index of categories) for both contracts with federal	39	33	6	85%	15%	
3. Is there a copy of the detailed estimate in the project records? (Y/N)	39	39	0	100%	0%	
4. Is there a copy of the finance letter in the project records? (Y/N)	39	39	0	100%	0%	
5. Can the resident engineer point to the amount of federal-aid funds encumbered for this project (Y/N)	38	38	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]	39	38	1	97%	3%	80%
documentation purposes (i.e. location, operations, labor, equipment, material, hours, field conditions, discussions, down-	37	23	14	62%	38%	
Quality Assurance Program (QAP):						
cal agency have a copy of their QAP in the project records? (Y/N)	39	35	4	90%	10%	82%
2. Is the approval date on the QAP less than 5 years old? (Y/N)	38	31	7	82%	18%	
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	35	26	9	74%	26%	

What entity is performing independent assurance on this contract?				#DIV/0!	#DIV/0!	
Independent assurance entity/personnel been certified by Caltrans? (Y/N)	23	17	6	74%	26%	
7. If no, explain why?				#DIV/0!	#DIV/0!	
8. Are copies of independent assurance certifications up-to-date and appropriate for this contract? (Y/N)	24	16	8	67%	33%	
Do the contract files contain acceptance testing frequency tables? (Y/N)	31	26	5	84%	16%	
Material Testing Review:						
Are there acceptance sampling and acceptance tests in the project files? (Y/N)	36	35	1	97%	3%	79%
2. Are acceptance sampling and acceptance testing conforming to the frequency requirements in the QAP? (Y/N) [Randomly]	34	23	11	68%	32%	
Are acceptance sampling and acceptance testing being monitored? (Y/N)	35	29	6	83%	17%	
4. Are the sampling and testing being performed by individuals certified for those items (i.e. spot-check persons performing)	33	29	4	88%	12%	
Do all engineers see copies of the test results in a timely manner? (Y/N)	34	29	5	85%	15%	
Are records of testing equipment calibrations being maintained? (Y/N)	33	21	12	64%	36%	
7. Are there records of corroboration testing between the acceptance tester and independent assurance personnel? (Y/N)	19	12	7	63%	37%	
8. Is there a summary log of acceptance testing results? (Y/N)	35	22	13	63%	37%	
9. If there is a record of a failing material acceptance test, is there a corresponding passing material test or resolution explanation	30	18	12	60%	40%	
Do the contract files contain copies of approved mix designs and approval letters? (Y/N)	38	34	4	89%	11%	
11. Do delivery tickets/load slips contain a product identification number that corresponds to an approved mix design on file in the	35	27	8	77%	23%	
Do the compliance certificates contain the necessary information? (Y/N)	36	28	8	78%	22%	
13. Are required "Buy America" statements included on invoices and certifications for iron and steel products? (Y/N)	6	6	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	34	26	8	76%	24%	80%
2. If any of the change orders provide a contract time adjustment, are there records on file supporting the time adjustment (e.g. time	22	8	14	36%	64%	
3. If any of the change orders were written with deffered time, has the time adjustment been made in a timely manner (e.g.	7	7	0	100%	0%	
4. If any of the change orders contain revised or new engineering drawings or specifications, have the change order drawings or	15	12	3	80%	20%	
5. Were contract change orders approved or proper prior authorization obtained prior to beginning work on the contract	25	22	3	88%	12%	
6. If a prior authorization process was used, is there documentation in the project records supporting the prior	22	16	6	73%	27%	
7. If a prior authorization process was utilized, was a timely contract change order approved? (e.g. less than one month)	15	12	3	80%	20%	
8. If any of the change orders contain a time and material method of payment (e.g. force account), do daily diaries provide sufficient	19	13	6	68%	32%	
9. Is the local agency monitoring authorized contract change order amounts versus reserve balances (e.g. contingency	34	30	4	88%	12%	
10. Is the local agency monitoring individual contract change order amounts versus amounts expended on the change to date?	34	30	4	88%	12%	
11. Are all approved contract change orders within the project limits and the project's environmental document? (Y/N)	32	32	0	100%	0%	
Payment Review:						
1. Has the local agency processed a progress payment to the Contractor on this contract? (Y/N)	38	38	0	100%	0%	76%
2. If yes, does the progress payment provide a suitable accounting trail to support documentation for contract work (e.g.	38	26	12	68%	32%	
3. Are weighmaster certificates being validated by the administering agency at point of delivery? (Y/N)	38	35	3	92%	8%	
4. Are there separate quantity pay sheets for each item being paid on each progress payment? (Y/N)	38	23	15	61%	39%	
5. Are quantity pay sheets signed and dated? (Y/N)	36	25	11	69%	31%	
6. Are quantity pay sheet calculations being checked by a separate individual? (Y/N)	36	19	17	53%	47%	

7. Are quantities paid to date being monitored and checked against estimated quantities? (Y/N)	37	34	3	92%	8%	
Labor Compliance & Equal Employment Opportunity:						
1. Are wage rates determined by the US Department of Labor included in the contract? (Y/N)	39	39	0	100%	0%	82%
2. Are payrolls certified by the contractor? (Y/N)	39	38	1	97%	3%	
3. Are payrolls checked and initialed by the local agency? (Y/N)	39	31	8	79%	21%	
4. Are payrolls being spot-checked and compared by the local agency? (Y/N)	39	28	11	72%	28%	
5. Are required federal posters (http://www.fhwa.dot.ca.gov/programadmin/contracts/poster.cfm)	38	27	11	71%	29%	
6. Are interviews being conducted at a regular acceptable frequency? (Y/N)	39	31	8	79%	21%	
7. Do the interviews include the appropriate signatures and dates? (Y/N)	36	28	8	78%	22%	
DBE/UDBE:						
1. What is the UDBE goal for this contract? (%)				NA	NA	83%
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	12	11	1	92%	8%	
4. Is UDBE goal compliance being checked by the local agency? (Y/N)	34	31	3	91%	9%	
5. Is performance of a commercially useful function being checked? (Y/N)	31	28	3	90%	10%	
6. Have any contract change orders affected the UDBE's work? (Y/N)	30	9	21	30%	70%	
7. If the contract's UDBE goals have changed, have the changes been approved by Caltrans HQ and local agency? (Y/N)	5	2	3	40%	60%	
Training Requirements:						
1. Are on-the job training provisions a part of this contract? (Y/N)	38	0	38	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	0%	0%	
Environmental:						
1. Is the environmental document for this project on file? (Y/N)	39	39	0	100%	0%	100%
2. Is the construction project adhering to mitigation requirements in the environmental documents? (Y/N)	23	23	0	100%	0%	
Other:						
1. Does the agency have a means to track, monitor and report on contract time? (Y/N)	39	38	1	97%	3%	83%
2. Is the agency tracking, monitoring and reporting contract time in accordance with their procedure? (Y/N)	39	38	1	97%	3%	
3. Does the project have a procedure for submitting and filing a "Notice of Materials to be Used" type document? (Y/N)	26	16	10	62%	38%	
4. Has this procedure been followed? (Y/N)	16	14	2	88%	13%	
5. Does the project have a procedure for submitting and filing certificates of compliance for materials? (Y/N)	39	30	9	77%	23%	
6. Has this procedure been followed? (Y/N)	30	26	4	87%	13%	
7. Does the project have traffic control plan requirements? (Y/N)	33	33	0	100%	0%	
8. Are the traffic control plan requirements being followed? (Y/N)	36	34	2	94%	6%	
9. Has the project's material certificate been completed and properly filed? (Y/N)	32	14	18	44%	56%	