



## CEI Independent Assurance Review

Project No. \_\_\_\_\_

Review Date: \_\_\_\_\_

Reviewer: \_\_\_\_\_

% Complete: \_\_\_\_\_ (T) \_\_\_\_\_ (M)

### Section No. 1 – Pre-Construction Documentation

1. Was the Preconstruction Conference held in accordance with ACPAM?  Y  N
2. Were utility owners participating in JPA's invited to the Pre-Construction Conference?  
 Y  N
3. Were the minutes distributed within 14 days as required?  Y  N
4. Verify the minutes are on file?  Y  N
5. Review the files for the following Preconstruction submittals:
  - a) Labor Burden Rates  Y  N
  - b) Notarized Affidavit for Vehicle Registration  Y  N
  - c) Sublet Agreements  Y  N
  - d) Contractor's letter accepting the MOT Plan  Y  N
  - e) Contractor's Worksite Supervisor Certification  Y  N
  - f) Erosion Control Plan  Y  N
  - g) Necessary Permits  Y  N
  - h) Hurricane Evacuation Plan  Y  N
  - i) Acceptance of Existing Elevations in the Plans  Y  N
6. Have all necessary permits been acquired?  Y  N
7. Is the Notice to Proceed on File?  Y  N
8. Is the Affidavit on file for the Bid Doc. Escrow?  Y  N
9. Did the Contractor furnish the preliminary work schedule?  Y  N

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**Section No. 2 – Support Documents/Project Files**

- 1. Is there a job file index for all documents? Y N
- 2. Is the correspondence numbered in a clear format? Y N
- 3. Are backup files being generated? Y N
- 4. Are formal communications in writing? Y N
- 5. Are important oral communications confirmed in writing and forwarded to affected parties? Y N
- 6. Has the CEI developed a tracking log for sublet requests/approvals? Y N
- 7. Does the log reflect adequate response time? Y N
- 8. Is there a hard copy of the Engineer’s Comp. Book? Y N
- 9. Is the shop drawing log up to date? Y N
- 10. Is the RFI log up to date? Y N
- 11. Is the submittal log up to date? Y N
- 12. Is there a file and tracking log established for NFTR documents? Y N
- 13. Are there shop drawing present for required items? Y N
- 14. Have the shop drawings on file been reviewed and approved? Y N
- 15. Have required shop drawing been incorporated into the final plans? Y N
- 16. Are accident reports filled out and on file? Y N
- 17. Is the Document Summary Manual being assembled? Y N
- 18. Has the Sampling Testing and Reporting Guide been conformed to the project specific pay items? Y N
- 19. Are certifications for materials being received and reviewed? Y N
- 20. Are the certifications received prior to installation of the material? Y N

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**Section No. 3 – Schedule and Contract Time**

- 1. Has the Contractor’s work schedule been accepted? Y N
- 2. Are the monthly updates being received and reviewed? Y N
- 3. Are there any time extensions for the project? Y N
- 4. If there are time extensions are they being processed correctly? Y N
- 5. Are the Contract Days correct including all time extensions? Y N
- 6. Enter the current contract day \_\_\_\_\_
- 7. Is the project on schedule? (Review ACTUAL Schedule) Y N
- 8. If there are concerns with the completion date are they being discussed? Y N
- 9. Does the CEI meet with the contractor at least weekly to review the upcoming two-week work plan? Y N
- 10. Is there adequate documentation or minutes of these plan meetings? Y N

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**Section No. 4 – Joint Participation Agreement (JPA)**

1. Does the CEI have a copy of all JPA's? Y N
2. Is the CEI familiar with the details of how cost will be shared for the JPA? Y N
3. If any utility owners decided to perform work outside a JPA after the project was let and the contract amount was known, is the CEI coordinating the utility work to prevent delays to the prime contractor's work? Y N
4. After contract letting, Does the CEI hold a meeting with each utility owner to establish a contact point and confirm the information provided in the JPA?
5. Were minutes from this meeting prepared? Y N
6. When the final settlement shall be based on final measurement and bid prices, Has the CEI:
  - a) Verified the need for final measurement to be taken Y N
  - b) Itemized the measurements for the final quantities according to the agreement and the construction plans Y N
  - c) Summarized the quantities for JPA items separately from other items of work for the pay estimate Y N
  - d) Submitted revised plan sheets and explanations for all field changes Y N
7. Has the CEI followed the same procedures to document extra work for a JPA as if the cost was to be borne by the Authority? Y N
8. Did the utility owner participate in the semi-final inspection, identification of punch list items, and final inspection? Y N
9. Did the CEI forward the final estimate to the utility owner for concurrence on final costs? Y N

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**Section No. 5 – Contract Modifications**

- 1. Are all executed and pending SA's/Work Orders on file with backup? Y N
- 2. Are design changes documented by Supplemental Agreements? Y N
- 3. Are the SAs being tracked to ensure approval within a reasonable time? Y N
- 4. How many Supplemental Agreements are on file at the time of review? \_\_\_\_\_
- 5. How many Work Orders are on file at the time of review? \_\_\_\_\_
- 6. Randomly select 4 SAs and review. Record specifics and comment below.
- 7. Randomly select 4 Work Orders and Review. Record specifics and comment below.
- 8. Are the Finding of Facts for each SA reviewed completed correctly? Y N
- 9. If additional time is requested, is the reason clearly stated with backup? Y N
- 10. Are the signed copies of the completed SA's and Work Orders on file? Y N
- 11. Are Copies of the CEI's Estimate included with each SA/Work order? Y N
- 12. Are work orders completely executed before the Contractor begins work? Y N
- 13. Is the work order allowance correctly replenished by supplemental agreement in a timely manner? Y N
- 14. Have all design changes received included all required back-up data such as Drawings, Specifications, Comp book sheets, and Scopes of Work?
- 15. Have all changes been transmitted to the Contractor in a clear, complete package with a request for the Contractor's Price Proposal? Y N
- 16. Did CEI prepare an Engineer's Estimate for each change prior to receipt of the Contractor's Price Proposal? Y N
- 17. Has the contractor submitted any claims for time that have remained unresolved for greater than 90-days? Y N
- 18. Does the CEI provide the contractor concise response explaining the Authority's findings and decision concerning requests for Time Extensions? Y N



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**Section No. 6 – Stockpiled Materials**

1. Are the materials being tracked to allow for review of the item history? Y N
2. Are these materials compensable per specifications? Y N
3. Are the Contractor's requests for payment on file? Y N
4. Have the stockpiled materials been physically verified? Y N
5. If not physically verified are photographs time stamped? Y N
6. Is the signature of the verifying inspector on the actual request? Y N
7. Has the stockpiled material been re-verified if not used the next month? Y N
8. Are photographs provided of the items not physically verified if unused? Y N
9. Is the pay for these items in accordance with the Contract Documents? (i.e. correct percentage of material cost vs. total cost) Y N

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**Section No. 7– Project and QC Plans**

- 1. Are adequate numbers of “Approved For Construction” plans available? Y N
- 2. Are all design changes incorporated in this set? Y N
- 3. Are all field changes being incorporated in this set? Y N
- 4. Have the Authority Plans been updated with all revisions? Y N
- 5. Are requests for additional information from the contractor being handled properly?  
Y N
- 6. What is the percentage of RFI’s that have been submitted to the EOR \_\_\_\_\_%
- 7. Has the QC Plan been prepared within 21 calendar days of award? Y N
- 8. Has the CEI reviewed the QCP to ensure that all applicable items in the QCP review checklist have been addressed? Y N
- 9. Has the CEI verified the QC Manager Qualifications? Y N
- 10. Is the QC plan or any portion thereof being disapproved when the Contractor is not in compliance? Y N
- 11. Is the Contractor notified within two days of such an occurrence? Y N
- 12. Does the CEI provide timely reviews and responses to amendments of the plan?  
Y N

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**Section No. 8 – Staffing**

1. Is the project staffing at current contract authorized level? Y N
2. Are personnel approvals submitted and approved prior to charging time? Y N
3. Staffing sufficient to perform required work? Y N
4. Does all staff present themselves in a professional manner? Y N
5. Do all staff members have current certifications for required work? Y N
6. If there are major bridges, are CTQP Concrete level II inspectors on site? Y N
7. Do all inspection personnel have proper equipment (i.e. specifications, plans guide list, etc. with them) Y N
8. Are invoices correct when submitted? Y N
9. Are invoices submitted on time? Y N

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**Section No. 9 – Project Daily Work Reports**

- 1. Does each CEI Inspector prepare a Daily report? Y N
- 2. Are the Daily Work Reports (DWR) current? Y N
- 3. Is there a DWR for each subcontractor? Y N
- 4. Is the idle equipment on the job being correctly reported? Y N
- 5. Are delays on the project being specifically accounted for? Y N
- 6. Are reasons listed for rejecting materials at the job site? Y N
- 7. Is the DWR approved by the Project Administrator? Y N
- 8. Do weekly and/or monthly summary reports adequately summarize the significant work items and project issues described by the daily inspection reports? Y N
- 9. Are lane closures shown on the DWR? Y N
- 10. Is there a DWR for each utility working on the project? Y N
- 11. Is the operation/location of work shown? Y N
- 12. Are all work quantities shown for the work performed each day? Y N
- 13. Are the dates specifically noted when individual work items or defined features of the work are started/completed? Y N
- 14. Are the daily reports legibly written with understandable language? Y N
- 15. Are copies of he reports being provided to the prime contractor routinely? Y N
- 16. Review Daily Report for three different dates and different inspectors and provide comments below.

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**Section No. 10 – M/WBE Contractual Requirements**

1. Is a copy of the fully executed Bid Blank in the CEI's file? Y N
2. Is the project on schedule to meet the established M/WBE goals? Y N
3. Have DBE contractors been checked to verify that they are approved by the Authority?  
Y N
4. Have M/WBE payments been posted monthly? Y N
5. Is the CEI monitoring the Contractor's progress towards the goals? Y N
6. What is the current percentage of M/WBE Utilization? \_\_\_\_\_%
7. If there is a change in the goals for the project are they documented? Y N

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**Section No. 11 – Estimates**

- 1. Is there back-up documentation for all pay items? Y N
- 2. Are the items paid according to the Standard Basis for Estimating Pay items or the specifications if they differ? Y N
- 3. Are quantities being recorded in the Engineer’s computation book as the job progresses? Y N
- 4. Are the project field books being used in accordance to the ACPAM? Y N
- 5. Perform a random check of field book calculations and provide comments below.
- 6. Are the contractor’s certifications received each pay period? Y N
- 7. Have Certified Quantities been periodically verified? Y N
- 8. Are the fuel and bituminous adjustments being calculated and reported correctly each month? Y N
- 9. Are VMS boards being tracked to minimize overruns? Y N
- 10. Are Plan Quantity items being tracked as required? Y N
- 11. Are Field Measured items being completed as required? Y N
- 12. If subsoil excavation exists on the project, are records of CEI measurements available in the project file? Y N
- 13. Do the CEI records verify the Contractors measurements? Y N
- 14. Is the CEI providing the projected vs. the actual earning curve monthly? Y N
- 15. Has the Contractor been informed of monthly quantities prior to processing? All discrepancies addressed? Y N

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**Section No. 12 – Claims Procedure & DRB**

- 1. Did the Contractor provide written notification of intent to claim? Y N
- 2. Did the notification include the specifics of the intent to claim? Y N
- 3. Are their photographs of claim areas where appropriate? Y N
- 4. Was the intent to claim acknowledged in writing by the PA? Y N
- 5. Did they notify the Sr. Project Engineer? Y N
- 6. Is there a separate file maintained for each claim? Y N
- 7. Has proper coordination of the claim been effective? Y N
- 8. Did the Contractor submit a complete claim package? Y N
- 9. Was the DRB three party agreement executed within four (4) weeks of the selection of the third member of the board and prior to the Notice to Proceed? Y N
- 10. Were the board members selected in accordance with the specifications? Y N
- 11. Are weekly project progress reports provided to the board members? Y N
- 12. Are regular job site meetings held? Does the CEI prepare minutes for these meetings? Y N
- 13. Are these minutes circulated to all concerned? Y N
- 14. Do the Contractor and the CEI try to resolve potential disputes before resorting to DRB procedures? Y N
- 15. Are the procedures for dispute resolution followed as described in specifications and in a timely manner? Y N
- 16. Are any and all unsettled claims, counterclaims, and disputes submitted to the DRB prior to the initiating of a demand for arbitration? Y N

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**Section No. 13 – Owner Direct Purchase of Materials**

1. Are the tracking logs up-to-date? Y N
2. Is there adequate back-up for the provided P.O.? Y N
3. Are the executed P.O.'s from the Procurement on file? Y N
4. Are the Supply bonds on file, if required? Y N
5. Was a separate P.O. written for the supply bond? Y N

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**Section No. 14 – Structures**

- 1. Has the drilled shaft installation plan been approved? Y N
- 2. If applicable, are drilled shaft logs and summary forms being completed? Y N
- 3. Are the pile driving records available and up-to-date? Y N
- 4. Is the pile driving information correct? Y N
- 5. Are the pile tips and cut off elevations shown on the reports? Y N
- 6. Is the Contractor performing dry runs as required? Y N
- 7. Are the dry run measurements being recorded in a field book? Y N
- 8. Is the Contractor performing inspections of the steel and forms prior to concrete placement?  
Y N
- 9. Are the deck measurements recorded in a field book during placement? Y N
- 10. Are the beam deflections checked and recorded on the initial pour or  
When the span length changes? Y N
- 11. Has an inspection of the completed structure been performed? Y N
- 12. Has the mass concrete temperature control plan been approved? Y N
- 13. Are mass concrete temperature differentials being recorded? Y N
- 14. Are the MSE Walls being inspected periodically to ensure plumbness? Y N

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#### Section No. 15 – Erosion Control Plan & Inspections

1. Does the plan address the sequence of operations and construction of permanent erosion controls, as well as temporary requirements? Y N
2. Did the contractor furnish the “contractor certification” with the ECP? Y N
3. Is there a rain Gauge on the project? Physically verify. Y N
4. Is the SWPPP construction inspection Report being filled out weekly or within 24 hours after 0.25” inch of rainfall? Y N
5. Is the CEI providing comments on the inspection report regarding the accuracy of the report, and providing additional areas that need correction? Y N
6. Is the contractor complying with the report, and correcting areas noted by the CEI? Y N
7. Are there results available for turbidity testing? Y N
8. Do those results indicate any results outside of water quality standards? Y N
9. If so was appropriate action taken? (Add comments below with details) Y N

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**Section No. 16 – Maintenance of Traffic**

1. If the original Traffic Control Plan has been modified, is the approved plan on file and have the plans been changed accordingly? Y N
2. Have the changes been signed and sealed? Y N
3. Have there been daily inspections (including weekends and holidays) as well as night inspections as required? Y N
4. Are the contractor's emergency personnel and phone numbers up to date? Y N
5. Does the CEI have a Worksite Traffic Supervisor, certified by FDOT? Y N
6. Are the accident report forms filled out and on file as required? Y N
7. Review the site both day and night with a copy of the latest MOT Review report and verify accuracy of the report. Comment Below.

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**Section No. 17 – Testing Equipment**

- 1. Is a copy of the nuclear license on site? Y N
- 2. Does the nuclear gauge user possess a valid certification of Qualification? Y N
- 3. Is the gauge Sign in/out sheet up to date? Y N
- 4. Is the Bill of Lading within arm’s reach of the driver? Y N
- 5. Are the results of the nuclear Badge Test available? Y N
- 6. Is the gauge calibrated every 12 months? Leak tested every 6 months? Y N
- 7. Are the standard counts currents in the log book? Y N
- 8. One copy of the applicable Manual for Safety and Control of Equipment containing radioactive material for nuclear density gauges on project?(Topic No. 675-050-001) Y N
- 9. Has the concrete air meter been calibrated within 90 days? Y N
- 10. Has the concrete thermometer been calibrated with 1 year? Y N
- 11. Is there a high/low thermometer in cure boxes with cylinders? Y N
- 12. Has the asphalt thermometer been calibrated within 1 year? Y N

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**Section No. 18– Materials and Testing Documentation**

**General**

- 1. Is a project specific job Guide Schedule available? Y N
- 2. Have all samples and test been input into the appropriate logs? Y N
- 3. Are all certified mill analyses on file? Y N
- 4. Have all signs been inspected by the CEI? Y N
- 5. Has there been a response to all deficiencies? Y N
- 6. Are all materials release forms for prestressed or precast units on file? Y N
- 7. Are all of the sample results logged to date? Y N
- 8. If there are failing test results, is there documentation on the file of either the CEI rejection or acceptance of the failed material? Y N
- 9. Are all major material issues accompanied by a NFTR? Y N

**Asphalt**

- 10. Was a pre-paving conference held for this project? Y N
- 11. Are there approved mix designs and an approved QC plan for this project? Y N
- 12. Are the appropriate plant inspector (675-030-06) and paving daily (675-030-07) reports being filled out according to procedures? Y N
- 13. Are the temperature reports being filled out and proper procedures followed? Y N
- 14. Are the straight-edging, cross-slope and core-out reports on file? Y N
- 15. Are the cross slopes measured and recorded as required by the contract? Y N

**Concrete**

- 16. Are all concrete design mixes available and approved? Y N
- 17. Has the level II Quality Control Plan (Contractor’s) been approved by the senior project engineer and implemented? Y N
- 18. Are the “Control of Concrete” reports (Form 696-09) filled out correctly? Y N
- 19. Is the water-cement ratio being calculated correctly? Y N



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20. Are the plastic concrete tests being made in accordance with the specified frequencies?

Y N

21. Has the contractor signed the delivery ticket if water was added?

Y N

22. If water was added, does the delivery ticket indicate the required additional 30 mixing revolutions?

Y N

23. Are the mixing revolutions at the plant and at the job site, entered on the delivery ticket?

Y N

24. Are the slump and air content target values being complied with?

Y N

25. Are the concrete test specimens being cured as required?

Y N

26. Is all concrete being tested at the point of discharge?

Y N

27. Is a concrete log book maintained of the cubic yards of concrete placed?

Y N

28. If a concrete test specimen failure occurs, has the procedure in the specification (346) concerning failures and structural adequacy been followed?

Y N

**Density Log Book**

29. Has the PA reviewed and signed the monthly inspection sheet?

Y N

30. Are their comments meaningful?

Y N

31. Has the Quality Control Manager signed the Monthly inspection sheet?

Y N

32. Are their comments meaningful?

Y N

33. If resolution testing was required, was it completed?

Y N

34. Are general notes and explanations present to explain unusual conditions?

Y N

35. Have the cross-sections been plotted on the graph sheet to show actual excavation limits for much etc.?

Y N

36. Are densities tested at the proper frequency?

Y N

37. Is the percent maximum density rounded off to the correct nearest percent and reported correctly as pass/fail?

Y N



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**Section No. 19 – Environmental and Permit Compliance**



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1. Have all contract documents and the site been reviewed for environmentally sensitive areas?  
 Y  N
2. Have the regulatory authorities been advised that permit activity has begun?  
 Y  N
3. Are the conditions of the permits being complied with?  
 Y  N
4. Have additional environmental problems that surfaced been acted upon immediately?  
 Y  N
5. Are permits posted on project?  
 Y  N
6. Has Orange County DEP reviewed the project?  
 Y  N
7. Have the comments by OCDEP been addressed in a timely manner?  
 Y  N
8. Conduct a site review with the latest copy of the SWPPP inspection report and verify the accuracy of reporting and comment below.

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### Section No. 20 – Project Closeout



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1. Has the CEI checked for errors in the Comp Book, the Plan Matrix, and any other back-up materials the designer may provide?  Y  N
2. Have all Plan Quantity Items been reviewed and adjusted as needed?
3. Is each item being tracked & recorded per the Contract?  Y  N
4. Has the Authority been informed of any innovative tracking/recording ideas? Has the Authority endorsed, in writing, any of these ideas?  Y  N
5. Has the CEI compiled a Final Estimates Checklist for use during the completion of the Final Estimate?  Y  N
6. Has the key sheet "Plans of Proposed" been changed to "Final As-Built Plans"?  Y  N
7. Does the key sheet have an index of the Final Plans in the lower left corner including final check sections?  Y  N
8. Does the comp. book have added pages by the CEI?  Y  N
9. Are they numbered appropriately?  Y  N
10. Have the base and friction course options have been identified/confirmed on the typical sections?  Y  N
11. Have all major revisions to Final Plans been listed in the bottom left corner of the key sheet?  Y  N
12. Have the Overruns and underruns have been explained in the computation book?  Y  N
13. Has the final supplemental Agreement been prepared to adjust final quantities?  Y  N
14. Have the base core-out sheets and core-out computer printout been added to the comp. book, and been reviewed for penalties and thickness adjustments?  Y  N
15. Have all of the matrices been filled out in the Final plans?  Y  N
16. Have all Latitude and Departure sheets been checked for accuracy?  Y  N
17. Are all Field books labeled correctly?  Y  N



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18. Have as-built drawings been created for lighting/fiber optic and signal sheets?

Y N





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**Summary of Review**