

## Chapter 11 - Guidelines for the District and Headquarters Intermediate and Final Reviews

### *1-1101 Intermediate and Final Review.*

The purpose of the District Intermediate and Final Reviews is to ensure that project records are maintained in conformance with current record-keeping procedures required by the Office of Construction and the Districts. The purpose of the Headquarters Examiners Review Section is to also ensure that the project records are maintained in conformance with current record-keeping procedures implemented by the Office of Construction. These records are vital to document the proper completion of a project, meet the requirement for the Federal reimbursement of a project, and to document field conditions in the case of a claim or dispute between the State and the contractor. The goal is to have complete, uniform records for all projects.

Records required to perform a review are:

- Volume I;
- Volume II (for non-SiteManager Projects);
- Volume III;
- Volume IV;
- Delivery tickets;
- A copy of a report showing apparent final quantities (Final Review only);
- Copies of the approved Construction Orders with back-up;
- A copy of the contract;
- A copy of half-size plans; and
- A copy of the original or breakdown federal voucher.
- A copy of Intermediate Review(s) performed by Headquarters or District

Also reports available from SiteManager and SiteManager Reporting assist in the review of the records.

Intermediate Reviews are optional and are performed as deemed necessary. If new inspectors or consultant firms, unfamiliar with the CONNDOT record-keeping procedures, are assigned to a project, it is highly recommended that a review be performed in the early stages of the Contract work. Other Intermediate Reviews should be conducted at various times during a project's duration to spot-check project record keeping. When performing Intermediate Reviews "final" quantity verification is not addressed and the attention is focused on estimate payments and project documentation. The findings of an Intermediate Review are forwarded to District and Project staff by a report for their action. A copy is also forwarded to the Office of Construction if the review was performed by the District. These reports do not require a written response by the District or Project staff, unless directed otherwise; however, the Project staff are expected to review these reports and take appropriate steps to address the issues that were reported. Any subsequent reviews including the final will ensure findings in previous reviews have been addressed.

A Final Review is performed at the District level and at the Headquarters level. First the District performs their Final Review.

After the District Final Review is performed and the exceptions noted in the review have been corrected, the records and other required information are sent to Office of Construction for the Headquarters Final Review.

The letter of transmittal from the District must state that a thorough review of the final-estimate pay quantities and related documentation has been completed in the District and that all quantities appearing on the final estimate have been computed and documented to conform to current Department procedures.

The District will submit along with the “Letter of Transmittal” a copy of their “District Level” Final Review report indicating as to what was checked and where, including a list of the discrepancies found and corrected.

NOTE: The records should not be submitted to the Office of Construction until all items and punch-list work is complete unless directed otherwise by the Office of Construction. All construction orders must also have been forwarded to the Contractor with the exception of the final construction order, which is left open for possible quantity adjustments resulting from the Headquarters final review.

The following data is forwarded with the letter of transmittal:

- Volume I;
- Volume II, for non-SiteManager projects;
- Volume III;
- Volume IV;
- delivery tickets;
- A copy of a report showing apparent final quantities;
- copies of the approved and pending Construction Orders, with backup;
- a copy of the Contract;
- a copy of half-size plans;
- a copy of the original or breakdown federal voucher;
- copies of Daily Reports of Cost Plus, with backup; and
- A copy of the District's final review.

Following the Headquarters Final Review the examiner(s) who performed the review prepares a Headquarters Final Review report and inserts a Headquarters Final Review sheet in the Volume IV and signs the sheet. The Project records are returned to the District along with the Headquarters Final Review Report. The District addresses the exceptions noted in the report and sends written verification to the Construction Division Chief that explains how the exceptions were corrected. When all exceptions have been addressed to the satisfaction of the Office of Construction, the District is sent a “no further action necessary” memorandum.

The sections that follow provide guidance on what to review when performing an Intermediate or Final Review.

### ***1-1101A Items***

Examine various items to determine if the Method of Measurement/Basis of Payment and administrative procedures are being followed. For final reviews at least twenty-five items should be reviewed. Report the findings and areas examined in the Intermediate or Final Review report. If significant discrepancies are discovered in the items examined, the number of items reviewed should be increased.

For the Final Review the following items should be examined if applicable to the Contract regardless of the number of items involved:

Processed aggregate base	Cost-plus
Bituminous concrete	Material Stored on Site
Concrete	Water Pollution Control
Asphalt adjustment	Trafficperson
Hazardous material	Drainage
Lead health and safety	Trainee

When reviewing Construction Order items make sure all back-up documentation is attached to substantiate payment i.e. price justifications, approval letters etc.

Check that the testing for all items examined is sufficient.

Follow up on previous Intermediate Review Reports if applicable.

### ***1-1101B Volume I – Inspector’s Daily Work Report***

Review the Diary’s and Daily Work Reports (DWRs) for sufficient detail:

- Do the Diary’s and DWR’s provide an audit trail to the source documentation?
- Are the DWR’s filled out completely and with detail?
- Are the DWR’s signed by Inspectors?
- Has the Project Engineer reviewed the DWR’s including those of sub-inspectors for a minimum of days per month and signed them?
- Are field notes attached to DWR’s?
- Is equipment used listed on DWR’s and in Volume IV?

### ***1-1101C Volume III - Computations***

Make sure all items contained in Volume III have summary sheets. The final quantity posted on the summary sheet must agree with the quantity complete and paid to date (final quantity).

A Master Summary Book is required for all items with entries in more than one Volume III book. (The final quantity posted on these sheets must agree with the quantity complete and paid to date (final quantity).

Drainage books are required to be setup as outlined in Section 1-318, Drainage Systems. A Master Summary sheet is required for the drainage book(s). The Master Summary sheet must show totals. Factor sheets must be included if used.

Page numbering for computations and items must provide an acceptable audit trail

Computations and measurements must be signed checked by. Computations in Volume III should reference to a plan sheet number.

Appropriate sketches should be present

### ***1-1101D Volume IV – Miscellaneous Contract Data***

The following is a list of documents that are required to be in the Volume IV. SiteManager Print Outs are acceptable for the documents that are asterisked. Electronic spreadsheets are also acceptable for other listed reports provided they are kept up to date and able to be printed when requested.

<i>Index and Data</i> <sup>(1)</sup>	<i>Inspection of Field Records sheet</i> <sup>(2)</sup>
<i>Record of Prime and Subcontractors*</i>	
<i>Record of Insurance and Bonding*</i>	
<i>Record of Equipment Used*</i>	
<i>Record of Construction Orders*</i>	<i>Record of Project Personnel</i>
<i>Index of Construction Orders*</i>	<i>Material Stored Inventory Log</i>
<i>Record of Activity 06</i>	<i>Record of Shop Drawings</i>
<i>Record of payrolls*</i>	<i>Project Payroll/Wage Check Monthly Summary's</i>
<i>Record of Labor Wage Checks*</i>	<i>Trainee Summary sheets</i>

(1) Index and pages numbered. Project number must be posted on all sheets.

(2) This sheet must include the Project Engineer's signature and areas examined a minimum of once a month. This sheet must also include documentation that the Project Engineer reviewed the Chief Inspector's white paper as-builts to make sure they are being kept up to date. Persons who perform an Intermediate or District Level Final Review must also sign the Inspection of Field Records sheet. (Note: A separate sheet(s) is inserted for the Headquarter Level Final Review.)

Additional sheets for Non-SiteManager projects:

*Record of Prime and Subcontractors*  
*Record of Insurance and Bonding*  
*Anticipated Source of Material*

***1-1102 Emergency Cost-Plus Projects:***

Emergency cost-plus Projects have their own set of record keeping requirements addressed in Chapter 18. Typically these projects are for a short duration and Intermediate Reviews are not performed. The person(s) performing the Final Review on an emergency cost-plus project should review Chapter 18 for required documentation. The reviewer needs to ensure the Project records contain sufficient information to provide an audit trail for the work performed.