

CEMP-CE Regulation No. 415-1-13	Department of the Army U.S. Army Corps of Engineers Washington, DC 20314-1000	ER 415-1-13 29 Feb 96
	Construction DESIGN AND CONSTRUCTION EVALUATION (DCS) CH1	
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CEMP-CE

DEPARTMENT OF THE ARMY
U. S. Army Corps of Engineers
Washington, DC 20314-1000

ER 415-1-13

Regulation
No. 415-1-13

29 February 1996

Construction
DESIGN AND CONSTRUCTION EVALUATION (DCE)

1. Purpose. This regulation prescribes the administrative and technical evaluation and reporting system for the Military and Civil Works Construction Program.
2. Applicability. This regulation applies to HQUSACE elements, major subordinate commands (MSC), districts laboratories, and field operating activities having military and/or civil works construction responsibilities.
3. References.
 - a. AR 335-15, Management Information Control System
 - b. ER 5-7-1(FR), Project Management
 - c. ER 415-1-10, Contractor Submittal Procedures
 - d. ER 415-1-11, Biddability, Operability and Environmental Review
 - e. ER 415-1-15, Construction Time Extensions for Weather
 - f. ER 415-345-38, Transfer and Warranties
 - g. ER 715-1-10, Architect Engineer Responsibility Management Program
 - h. ER 1180-1-6, Construction Quality Management

This regulation supersedes ER 415-1-13, 1 September 1987.

4. Policy. The Design and Construction Evaluation (DCE) effort, under the overall direction of the Director of Military Programs, Chief, Construction Division and executed by Construction Evaluation Branch (CEMP-CE), shall encompass all phases of the project, identify quality Management failures, and provide the basis for improvements through feedback and distribution of evaluation information. The process is based on project construction evaluation during any stage of construction. Problem areas will be analyzed by the DCE team to determine the reasons and/or source of the problem. Determination will be made whether it is due to construction practice, error in design, or major changes in criteria requirements. A letter and trip report will be prepared by the DCE team for dispatch to the division commander for action. This report will indicate the team composition, projects visited, and highlights of evaluations in narrative conclusion and recommendation format. The letter will include a summary of the evaluation, required follow-up action, and references to the trip report. Appropriate comments on resource management, quality management, and reference to other significant findings should be included. The division commander will advise CEMP-CE of the appropriate corrective action to be taken by the responsible office on the DCE team findings. In making the analysis, the DCE team will specifically consider the following aspects of construction projects:

a. Construction. All phases of construction execution will be examined for compliance with the contract provisions and HQUSACE guidance. Particular care will be exercised to identify important and repetitive type problems and problems related to inadequate or improper control. These problems are of particular interest in determining a need for new or improved management procedures. Other deficiencies peculiar to the job should be identified for action and independently recorded by district and/or division representatives.

b. Design. Problems discovered which are considered to be design oriented will be investigated by the office responsible for design, determining where in the process the problem originated. The contract documents will be examined to determine the need for revised or additional guidance. The specific areas

of interest include basic design judgment and practice; suitability of the design, materials and equipment for the application and geographic location; design adequacy, thoroughness and clarity; cost-effectiveness; energy conservation, safety, environmental considerations; and conformance with user functional requirements.

c. Criteria Requirements. Contract documents will be reviewed for conformance with established HQUSACE guidance. Unauthorized deviations from the requirements of the various design manuals, guide specifications, design standards, engineer technical letters (ETL), engineer regulations (ER), army regulations (AR), etc., should be noted. An authorized deviation should always be noted. Items of a proprietary nature or items unsuitable for the intended application are expressly of interest and should be reported. Instances of repetitive misuse of criteria will be analyzed by the appropriate team members for inadequate requirements and for recommendation of directive action.

5. Procedures. The following paragraphs outline the Design and Construction Evaluation Program procedures:

a. Team Composition. Each evaluation team shall be composed of a civil engineer, a mechanical engineer, an electrical engineer, an architect for habitable structures, and a structural engineer when required, each of whom should be thoroughly experienced in the respective discipline. When possible HQUSACE will staff a complete team. Division/district representatives are welcome to accompany the team as additional members. Team composition for each trip will be outlined in the announcement letter described below.

b. Selection and Scheduling. An advance travel schedule of evaluations covering approximately six months will be prepared and distributed semiannually by HQUSACE (CEMP-CE). The scheduling goal will be an annual to biannual visit to each district based on their construction workload. The installation and projects to be evaluated will be selected by HQUSACE based on the amount and stage of work, time of year, and date of the last

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visit. Normally, projects of less than \$1,000,000 will not be evaluated. A letter announcing each evaluation visit with the proposed travel itinerary and a project listing will be forwarded to the appropriate division office approximately one month in advance. Recommended changes will be discussed and coordinated with a HQUSACE (CEMP-CE) representative to establish the final itinerary. An evaluation will generally extend for a two-week period and include projects at several installations in the same geographical area. Installations and projects scheduled during a separate visit will normally be within a single division boundary but may encompass more than one district. (Evaluations across division boundaries will be avoided.)

c. Travel Arrangements. Each team member shall be responsible for his/her own travel arrangements in accordance with the final itinerary. The visited division and/or district will notify the appropriate personnel and make all necessary arrangements for local transportation and lodging for the team. The itinerary will list the projects and installations selected for evaluation.

d. Reporting. Each team member will be responsible for inspecting, evaluating, and reporting on his/her particular area of expertise. Each team member is expected to report his/her findings with appropriate recommendations on the design and construction Observation Card, ENG Form 4702-R, for consideration (see Appendix A). Cards documenting all significant comments and required actions will be completed daily or after each project evaluation. Findings will be discussed at the exit interviews at the field office and at the district. Copies of all observation cards will be provided to the appropriate division and district staff for follow up action, if required. The record observation card file will be maintained at HQUSACE. A trip report will be completed within two weeks after completion of the trip. A letter will be prepared by the team leader for dispatch to the division commander within one month of completion of each trip, enclosing the trip report. Within one month after receipt of the letter and trip report, a response will be forwarded to CEMP-CE, to include required follow-up and corrective measures which will provide a basis for future evaluations and feedback for similar experiences at other locations. Requirements Control Symbol(RCS) exempt: AR 335-15, paragraphs 5-2e(5) and 5-2e(7).

e. Field Evaluations. The administrative evaluator will use a checklist, (see Appendix B), when checking the districts operating procedures and, Appendix C, while performing the review of construction office records and procedures. They are not all inclusive and the evaluators may ask for additional information over what is included on them. These checklists may change from year to year as special areas of concern are investigated.

6. Feedback. Upon completion of each field evaluation visit, the evaluation findings will be reviewed and necessary technical and editorial changes will be made to each record observation card to ensure accurate information in entry format for the Construction Evaluation Retrieval System (CERS). The system's file will be utilized for feedback, including printouts of previous findings for follow-up by team members and periodic distribution of common problems to the field. Card comments on design and criteria items are distributed to the appropriate elements of HQUSACE Engineering Division for necessary revisions and additions to technical manuals and guide specifications. . Action on feedback related to standard plans is initiated at appropriate level in HQUSACE.

7. Subordinate Command Responsibilities. Divisions/districts will develop regulations and procedures for conducting their own Design-Construction Evaluation program utilizing the suggested checklists at Appendices B and C. When developed these procedures and regulations will be furnished to CEMP-CE for information.

FOR THE COMMANDER:



ROBERT H. GRIFFIN
Colonel, Corps of Engineers
Chief of Staff

3 Appendices
APP A - ENG Form 4072-R
APP B - District Office
Checklist
APP C - Construction Office Checklist

APPENDIX A

OBSERVATION CARD
(ENG Form 4072-R)

OBSERVATION CARD

LOCATION																																							
DESCRIPTION																				RPT.#			CARD#			TYPE													
SPEC#				CATCODE				DDMMYY				DIST		CONT#				I	TLR		AG		P	D.CODE															
SUBJECT																																							
COMMENT																																							
RECOMMENDATION																																							
ACTION AGENCY																				RESPONSE																			
BY																				OFFICE																			

ENG FORM 4702-R, Apr 88

EDITION OF JUL 81 IS OBSOLETE.

(ER 415-1-13 / ER 415-3-11)

(Proponent: CEEC-CE)

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APPENDIX A (Cont'd)

Instructions - ENG Form 4072-R

NOTE: Items marked with * need only be completed on the first card for each contract evaluated. All insertions are to be left hand justified (start at left).

- *LOCATION - Self-explanatory
- *DESCRIPTION - Self-explanatory
- *RPT# - Year in which visit is made followed by sequential number for each inst/loc visited
- CARD# - Sequential number on each card at each inst/loc visited
- TYPE - Type of observation and evaluation/inspection. In first block insert "C" for construction, "D" for design. "M" for maintenance or "O" for other. In second block insert "F" for DCFI, "P" for PCI, "R" for DCE and "W" for Warranty Inspection.
- SPEC# - Appropriate Guide Spec number for subject addressed
- *CATCODE - Five digit Army Category Code or six digit Air Force Category Code
- *DDMMYY - Date of evaluation/inspection day, month, year
- *DIST - Self-explanatory
- CONT# - Contract Number
- 1 - Increments of a contract encompassing several facilities.
- This will occur when a single contract is awarded, i.e., a barracks complex consisting of a BOQ, chapel, brigade headquarters, etc., Leave blank if contract is for a single facility.
- *TLH - Initials of technical evaluator
- *AG - Insert "AR" if Army, "AF" if Air Force, "OT" if other
- P - "P" if a photograph taken, otherwise leave blank
- D.CODE - Deficiency code
- SUBJECT - Brief description of subject addressed, i.e. paragraph title from specifications.
- COMMENT - Self-explanatory
- RECOMMENDATION - Self-explanatory
- ACTION AGENCY - Agency responsible for taking action
- RESPONSE - "Y" for yes response required.. "N" for no response required.
- BY - Name of individual making observation.
- OFFICE - Office Symbol of individual making observation.

Reverse of ENG Form 4702-R, Apr 88

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APPENDIX B

DISTRICT OFFICE CHECKLIST
DCE ADMINISTRATIVE EVALUATION

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PAGE 1 OF 2

DISTRICT _____ DATE: _____

YES NO

ER 415-1-13 DESIGN/CONSTRUCTION EVALUATIONS

- DOES DIVISION/DISTRICT HAVE IMPLEMENTING REG/SOP? _____
- DOES DIVISION/DISTRICT HAVE INSPECTION SCHEDULE? _____
- ARE TRIP REPORTS PREPARED? _____
- ARE TRIP REPORTS ADEQUATE? _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

ER 415-1-11 BCOE REG

- DOES DIVISION/DISTRICT HAVE IMPLEMENTING REG/SOP? _____
- HAS PPM INCORPORATED ADEQUATE REVIEW TIME, MONEY IN PMP _____
- HAS THE DIVISION/DISTRICT IMPLEMENTED ARMS? _____
- ARE SPECIAL CLAUSES AVAILABLE FOR FINAL BCO REVIEW? _____
- IS FEEDBACK PROVIDED ON DISPOSITION OF COMMENTS? _____
- WAS BACK CHECK REVIEW CONDUCTED? _____
- INCORPORATION OF COMMENTS CERTIFIED BY CONST & ENGR? _____
- DOES CONTRACTING DIVISION OPEN BIDS PRIOR TO CERTIFICATION? _____
- IF YES DOES FILE CONTAIN DETERMINATION AND FINDINGS? _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

ER 715-1-10 ARCHITECT ENGINEER RESPONSIBILITY MANAGEMENT PROGRAM

- DOES DIVISION/DISTRICT HAVE IMPLEMENTING REG/SOP? _____
- IS POLICY IMPLEMENTED SATISFACTORILY? _____
- HAS THE DIVISION/DISTRICT MADE ANY RECOVERIES _____
- DO THEY USE FOR IN-HOUSE DESIGNS? _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

ARCHITECT ENGINEER SITE VISITS DURING CONSTRUCTION

- IS THE REQUIREMENT INCLUDED IN A/E CONTRACTS _____
- HOW MANY VISITS ARE SPECIFIED? _____ , AUTHORIZED? _____
- FOR WHAT PURPOSE? (I.E. DESIGN ERROR, FIELD PROBLEM) _____
- ARE A/E REPORTS RESPONSIVE? _____
- WHAT FUNDS ARE USED FOR PAYMENT? (EDC OR S&A) _____

CONSTRUCTION MANAGEMENT SERVICES

- DOES DIST USE OUTSOURCING TO COVER SHORTFALL OF IN-HOUSE RESOURCES? _____

ER 415-345-38 TRANSFER AND WARRANTIES

- DOES DIVISION/DISTRICT HAVE IMPLEMENTING REG/SOP? _____
- IS POLICY IMPLEMENTED SATISFACTORILY? _____
- IS DRAFT 1354 PROVIDED BY DESIGNERS? _____
- DOES PM PROVIDE EDC COSTS TO AREA ENGR FOR 1354 _____

(ER 5-7-1 FR)

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

APPENDIX C

CONSTRUCTION OFFICE CHECKLIST
DCE ADMINISTRATIVE EVALUATION

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CONTRACT: _____ DATE: _____

	<u>YES</u>	<u>NO</u>
QUALITY ASSURANCE (ER 1180-1-6)		
PLANNING SUPPLEMENTS	___	___
STAFFING	___	___
QA SURVEILLANCE RESPONSIBILITIES	___	___
JOB SPECIFIC QA TESTING TO INCLUDE TYPE AND FREQUENCY	___	___
DEFINABLE FEATURES OF WORK	___	___
IS PLAN CURRENT?	___	___
DATE OF LAST REVISION _____		
COMMENTS _____		

RATING

SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___

PROCEDURES FOR MONITORING DEFICIENCY CORRECTION

DOES OFFICE HAVE A DEFICIENCY MONITORING PROCEDURE? ___ ___

IS THE PROCEDURE FOLLOWED? ___ ___

RATING

SATISFACTORY ___ , IMPROVEMENT NEEDED ___ , UNSATISFACTORY ___

QUALITY ASSURANCE TESTING

DOES OFFICE HAVE LAB SERVICES AVAILABLE? ___ ___

IS LAB CERTIFIED? ___ ___

ARE QA TESTS BEING PERFORMED? ___ ___

FREQUENCY _____

RATING

SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___

DOCUMENTATION OF MEETINGS

ARE MINUTES OF PRECONSTRUCTION CONFERENCE ADEQUATE? ___ ___

ARE MINUTES OF COORDINATION MEETING ADEQUATE? ___ ___

MINUTES PROPERLY SIGNED? ___ ___

RATING

SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___

ENVIRONMENTAL

DOES CONTRACT REQUIRE ENVIRONMENTAL PLAN? ___ ___

IS THE PLAN ADEQUATE AND PROPERLY APPROVED? ___ ___

IS PLAN WORKING SATISFACTORILY? ___ ___

WAS THE NPDES PERMIT OBTAINED PRIOR TO CONSTRUCTION? ___ ___

RATING

SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___

LABOR REQUIREMENTS

IS AREA STAFF MONITORING CONTRACTOR COMPLIANCE WITH DAVIS-BACON? ___ ___

DRUG FREE WORKPLACE AND WORKFORCE LEGISLATION? ___ ___

SMALL BUSINESS AND SMALL & DISADVANTAGED BUSINESS GOALS? ___ ___

RATING

SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___

APPENDIX C

CONSTRUCTION OFFICE CHECKLIST
DCE ADMINISTRATIVE EVALUATION

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CONTRACT: _____ DATE _____

	<u>YES</u>	<u>NO</u>
QUALITY CONTROL (ER 1180-1-6)		
WAS CEGS 01440 USED TO SPECIFY CQC?	___	___
WAS QUALITY CONTROL PLAN SUBMITTED?	___	___
CONTENT OF PLAN		
DESCRIPTION OF ORGANIZATION	___	___
QUALIFICATIONS ETC.	___	___
DELEGATION LETTERS	___	___
SUBMITTAL PROCEDURES	___	___
THREE PHASE INSPECTION PROCEDURES	___	___
CONTROL TESTING	___	___
REPORTING PROCEDURES	___	___
LIST OF DEFINABLE FEATURES	___	___
ACCEPTANCE DATE _____ NTP DATE _____		
WAS ACCEPTANCE TIMELY?	___	___
IF NOT WAS ACCEPTABLE INTERIM PLAN SUBMITTED?	___	___
RATING		
SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___		

QC REPORTS		
ARE REPORTS PREPARED DAILY?	___	___
DO THEY IDENTIFY 3-PHASE CONTROL PROCESS?	___	___
SEPARATE DOCUMENTATION OF PREP. AND INITIALS PROVIDED?	___	___
DO THEY INDICATE FINDINGS/CORRECTIVE ACTIONS?	___	___
ARE DEFICIENCIES TRACKED TO INSURE CORRECTION?	___	___
QC TEST RESULTS INCLUDED?	___	___
IN AGREEMENT WITH QA REPORTS?	___	___
RATING		
SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___		

QA REPORTS		
ARE REPORTS PREPARED FOR EACH VISIT DAY?	___	___
ARE THEY PREPARED ON ENG FORMS 2538-1-R & 2-R?	___	___
HAS AE/RE OR DESIGNEE INITIALED ANY REPORTS?	___	___
DO THEY INDICATE QA ACTIVITIES/FINDINGS?	___	___
QA TEST RESULTS INCLUDED?	___	___
IN AGREEMENT WITH QC REPORT?	___	___
RATING		
SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___		

SAFETY		
IS SAFETY PLAN ADEQUATE AND PROPERLY APPROVED?	___	___
ARE HAZARD ANALYSIS ADEQUATE?	___	___
ARE WEEKLY "TOOL BOX" MEETINGS HELD AND DOCUMENTED?	___	___
ARE MONTHLY SUPERVISORS SAFETY MEETINGS HELD AND DOCUMENTED	___	___
ANY LOST TIME ACCIDENTS?	___	___
RESIDENT OFFICE ACTIVITY HAZARD ANALYSIS?	___	___
RATING		
SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___		

APPENDIX C

CONSTRUCTION OFFICE CHECKLIST
DCE ADMINISTRATIVE EVALUATION

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CONTRACT: _____ DATE: _____

YES NO

SCHEDULING

- IS NETWORK ANALYSIS PROPERLY SPECIFIED? _____
- IS DATA EXCHANGE FORMAT BEING SPECIFIED? _____
- IS NAS BEING USED TO MONITOR PROGRESS? _____
- HAVE APPROPRIATE MEASURES BEEN TAKEN WHEN PROGRESS IS LESS THAN SATISFACTORY? _____

COMMENTS _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

ER 415-1-10 CONTRACTOR SUBMITTAL PROCEDURES (SUBMITTAL REGISTER)

- IS IT INCLUDED IN SPECIFICATIONS? _____
- IS IT CURRENT? _____
- IS TURNAROUND TIME SATISFACTORY? _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

ER 415-1-15 CONSTRUCTION TIME EXTENSIONS FOR WEATHER

- CLAUSE INCL IN CONTRACT? _____
- EVALUATIONS ON A MONTHLY BASIS? _____
- MODIFICATION WRITTEN QUARTERLY WHEN CONTRACTOR DUE TIME? _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

PERFORMANCE EVALUATIONS

- DOES OFFICE PREPARE CONTRACTOR EVALUATIONS? _____
- ARE EVALUATIONS TIMELY? _____
- DOES OFFICE PREPARE ARCHITECT ENGINEER EVALUATIONS? _____
- ARE EVALUATIONS TIMELY? _____
- HAVE EVALUATIONS BEEN PROPERLY DOCUMENTED? _____
- DOES FIELD OFFICE HAVE INPUT ON IN-HOUSE DESIGNS? _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

O & M MANUALS

- DO CONTRACT DOCUMENTS ADEQUATELY SPECIFY REQUIREMENT FOR SYSTEMS ORIENTED MANUALS? _____
- DOES OFFICE HAVE PROCEDURE FOR REVIEW AND PROCESSING? _____
- ARE MANUALS FURNISHED TIMELY? _____
- IS SYSTEM TRAINING PROVIDED TIMELY? _____
- DOES CONTRACT CONTAIN ANY SPECIAL REQ, IE EXTENDED WARRANTY _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

SYSTEMS COMMISSIONING

- IS CECS-15995 INCLUDED IN AIR FORCE CONTRACTS? _____

APPENDIX C

CONSTRUCTION OFFICE CHECKLIST
DCE ADMINISTRATIVE EVALUATION

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OFFICE: _____ DATE: _____

YES NO

AS-BUILT DRAWINGS

DOES OFFICE HAVE PROCEDURE FOR REVIEW AND PROCESSING? _____
DOES OFFICE MONITOR MONTHLY AS PART OF PROGRESS PAYMENT? _____
ARE AS-BUILT DRAWINGS FURNISHED TIMELY? _____
DOES CONTRACT CONTAIN ANY SPECIAL REQUIREMENTS? _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

ER 415-345-38 TRANSFER AND WARRANTY

DOES OFFICE HAVE MOU WITH CUSTOMERS? _____
IS DRAFT 1354 PREPARED BY DESIGNER? _____
IS 1354 FURNISHED TO USER AT FINAL INSPECTION? _____
IF NOT THEN WHEN IS IT FURNISHED? _____
DOES IT CONTAIN S&A, EDC, AND DESIGN COSTS? _____
ARE FOUR AND NINE MONTH WARRANTY INSPECTIONS CONDUCTED? _____
REVIEW INSPECTION REPORTS FOR SIGNIFICANT FINDINGS AND FOLLOW UP _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

BCOE REVIEWS (ER 415-1-11)

WHAT % OF CONTRACTS ARE REVIEWED? _____
HOW MANY REVIEWS? _____
WHEN _____
ARE ENVIRONMENTAL ISSUES ADDRESSED? _____
ARE DOCUMENTS COMPLETE? _____
IS FEEDBACK ON COMMENTS PROVIDED? _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

CONTRACTOR PAYMENTS

HAS CONTRACTOR ADEQUATELY JUSTIFIED PAYMENT BREAKDOWN? _____
DOES OFFICE HAVE PROCEDURE FOR REVIEW AND PROCESSING? _____
DO PROCEDURES COMPLY WITH PROMPT PAYMENT ACT REQUIREMENTS? _____
ARE PAYMENTS PROCESSED TIMELY? _____
HAS ANY INTEREST BEEN PAID? _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

ARCHITECT ENGINEER SITE VISITS

IS THE REQUIREMENT INCLUDED IN A/E CONTRACTS? _____
HOW ARE THESE VISITS HANDLED? _____

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____

APPENDIX C

CONSTRUCTION OFFICE CHECKLIST
DCE ADMINISTRATIVE EVALUATION

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CONTRACT _____ DATE _____
 MODIFICATION NO. _____ AMOUNT \$ _____ TIME _____ DAYS _____
 MODIFICATION DESCRIPTION _____
 REASON _____ AMPRS REASON CODE _____

DOCUMENTATION INCLUDED IN MODIFICATION FILES

	<u>YES</u>	<u>NO</u>
ALL MODIFICATIONS		
BUDGET ESTIMATE	___	___
MISCELLANEOUS COMMITMENT DOCUMENT (DATE _____)	___	___
REQUEST FOR PROPOSAL (DATE _____)	___	___
PRENEGOTIATION OBJECTIVES FAR 15.807(b) (DATE _____)	___	___
CONTRACTOR'S PROPOSAL (DATE _____)	___	___
PRICE ANALYSIS FAR 15.805-1	___	___
PRICE NEGOTIATION MEMORANDUM FAR 15.808	___	___

MODIFICATIONS > \$25,000		
INDEPENDENT GOVERNMENT ESTIMATE FAR 36.203	___	___
ADEQUATE AND PROPERLY SIGNED (DATE _____)	___	___

MODIFICATIONS > \$500,000		
COST OR PRICING DATA FAR 15.804-2	___	___
FACTUAL AND JUDGMENTAL ITEMS IDENTIFIED?	___	___
FAR 15.801 AND 15.804-6	___	___
IS LEVEL OF RELIANCE SHOWN IN PNM?	___	___
IS CERTIFICATION ADEQUATE? FAR 15.804-4	___	___
TECHNICAL ANALYSIS FAR 15.805-4	___	___
COST ANALYSIS FAR 15.805-3	___	___

MODIFICATIONS > \$500,000 FAR 15.805-5		
AUDIT OBTAINED	___	___
AUDIT USED IN NEGOTIATIONS	___	___
AUDIT, RESOLUTION OF DIFFERENCES IN PNM?	___	___
BUSINESS CLEARANCE MEMORANDUM (PRE- AND POST-)	___	___

RATING

SATISFACTORY _____ IMPROVEMENT NEEDED _____ UNSATISFACTORY _____