| 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**  
(DFC) CH1                        |                  |
| **Distribution Restriction Statement**  
Approved for public release; distribution is unlimited. |                  |
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
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 HQUACE 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 HQUACE.

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)

LOCATION

DESCRIPTION

RPT.#  CARD#  TYPE

SPEC#  CATCODE  DDMMYY  DIST  CONT#  I  TLR  AG  P  D.CODEx

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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A-1
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
SPLC#                   - 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
I                        - 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, “O1” 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

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 B

DISTRICT OFFICE CHECKLIST

DCE ADMINISTRATIVE EVALUATION

DISTRICT ___________________________________________ DATE: ____________________________

ER 1180-1-6 CONSTRUCTION QUALITY MANAGEMENT - QUALITY ASSURANCE

WRITTEN QA PLAN SIGNED AND DATED?

PURPOSE AND SCOPE

WORKLOAD

ORGANIZATION

STAFFING

RESPONSIBILITY

TRAINING

ARE NEEDS IDENTIFIED?

PLAN TO MEET NEEDS?

PRE-AWARD

PARTICIPATE IN DESIGN CONFERENCES?

INPUT TO CQC SPEC, SCHEDULE REQ'MTS, ETC.

BCO REVIEW PROCEDURES IDENTIFIED?

PLAN-IN-HAND REVIEWS

POST-AWARD QA SURVEILLANCE

PARTICIPATE IN CONTROL PHASES?

PROBLEM SOLVING - RFI CONTROL?

DEFICIENCY MONITORING

QA TESTING

POLICY

FACILITIES

SCHEDULE/LIST OF QA TESTS?

REPORTING PROCEDURES OUTLINED?

RATING

SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___

LIQUIDATED DAMAGES (LD)

DOES DIVISION/DISTRICT HAVE IMPLEMENTING REG/SOP?

DOES LD COMPUTATION COMPLY WITH GUIDANCE?

WHAT HAPPENS TO LDS COLLECTED? CREDITED TO AE/RE OFFICE?

RATING

SATISFACTORY ___ IMPROVEMENT NEEDED ___ UNSATISFACTORY ___

LESSONS LEARNED/FEEDBACK TO FIELD

DOES DIVISION/DISTRICT HAVE A SYSTEM OR PROCEDURE?

IS IT EFFECTIVELY USED BY FIELD ORGANIZATION?

HOW DOES DISTRICT/AREA STAFF MANAGE HQUSACE FEEDBACK DOCUMENTS?

CLAIMS SETTLEMENT

IS DISTRICT USING ALTERNATE DISPUTE RESOLUTION?

IF NOT, WHY NOT?

IF YES, WHAT IS YOUR ANALYSIS OF SETTLEMENTS? TIMELY

PERCENT OF CLAIMED AMOUNT

HAS DISTRICT INITIATED PARTNERING CONCEPTS

IN THE MANAGEMENT OF CONSTRUCTION CONTRACTS

IN DEALING WITH THE CUSTOMER

B-2
CONTRACT: ____________________________ DATE: ________________

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  

**6 FEB 96**

**CONTRACT: ___________________________ DATE ___________________________**

### 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 _____**
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<th><strong>Date: ___________________________</strong></th>
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<td>Is NAS being used to monitor progress?</td>
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<td>Have appropriate measures been taken when progress is less than satisfactory?</td>
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<tr>
<td><strong>Comments</strong></td>
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| **Rating**                              |                                      |        |        |
|-----------------------------------------|                                      |        |        |
| Satisfactory __________________________ | Improvement needed __________________ |        |        |

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<td>Is it included in specifications?</td>
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<td>Is it current?</td>
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<td>Is turnaround time satisfactory?</td>
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<td>Modification written quarterly when contractor due time?</td>
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<td>Does office prepare architect engineer evaluations?</td>
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<td>Are evaluations timely?</td>
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<td>Have evaluations been properly documented?</td>
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<td>Does field office have input on in-house designs?</td>
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<td>Do contract documents adequately specify requirement for systems oriented manuals?</td>
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<td>Are manuals furnished timely?</td>
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<td>Is system training provided timely?</td>
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<td>Does contract contain any special req, ie extended warranty</td>
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<td>Improvement needed __________________</td>
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<td>Is CEGS-15995 included in Air Force contracts?</td>
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APPENDIX C
CONSTRUCTION OFFICE CHECKLIST
DCE ADMINISTRATIVE EVALUATION

OFFICE: __________________________ DATE: ____________

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? ___ ___

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 ___

C-4
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<tr>
<th>Modification Description</th>
<th>Reason</th>
<th>AMPRS Reason Code</th>
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<tr>
<th>Modification No.</th>
<th>Amount</th>
<th>Time</th>
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<thead>
<tr>
<th>Modification Date</th>
<th>Contract Date</th>
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Documentation Included in Modification Files

<table>
<thead>
<tr>
<th>All Modifications</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>Budget Estimate</td>
<td></td>
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<tr>
<td>Miscellaneous Commitment Document (Date)</td>
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<tr>
<td>Request for Proposal (Date)</td>
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<tr>
<td>Pre-negotiation Objectives (Date)</td>
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<tr>
<td>Contractor's Proposal (Date)</td>
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<tr>
<td>Price Analysis (Date)</td>
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<tr>
<td>Price Negotiation Memorandum (Date)</td>
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Modifications > $25,000

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<thead>
<tr>
<th>Independent Government Estimate (Far 36.203)</th>
<th>Adequate and Properly Signed (Date)</th>
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Modifications > $500,000

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<tr>
<th>Cost or Pricing Data (Far 15.804-2)</th>
<th>Factual and Judgmental Items Identified?</th>
<th>Far 15.801 and 15.804-6</th>
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<thead>
<tr>
<th>Is Level of Reliance Shown in PNM?</th>
<th>Is Certification Adequate? (Far 15.804-4)</th>
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<tr>
<th>Technical Analysis (Far 15.805-4)</th>
<th>Cost Analysis (Far 15.805-3)</th>
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Modifications > $500,000 (Far 15.805-5)

<table>
<thead>
<tr>
<th>Audit Obtained</th>
<th>Audit Used in Negotiations</th>
<th>Audit, Resolution of Differences in PNM?</th>
<th>Business Clearance Memorandum (Pre- and Post-)</th>
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<thead>
<tr>
<th>Rating</th>
<th>Satisfactory</th>
<th>Improvement Needed</th>
<th>Unsatisfactory</th>
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