



U.S. Department
of Transportation
**Federal Highway
Administration**

PY15 CAP Core Question Guide

FHWA Compliance Assessment Program

FHWA DIVISION	PMI TEAM ID#	DATE OF REVIEW	FEDERAL PROJECT # STATE PROJECT #
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<input type="checkbox"/> INTERSTATE <input type="checkbox"/> NHS <input type="checkbox"/> NON-NHS	<input type="checkbox"/> STATE ADMINISTERED <input type="checkbox"/> LOCALLY ADMINISTERED
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PROJECT DESCRIPTION

INDIVIDUAL (S) CONDUCTING REVIEW

SUPERVISOR REVIEW

NAME:

DATE:

ADDITIONAL CAP REVIEW GUIDE(S) USED ON THIS REVIEW (LIST ALL)

Instructions

1. Complete all questions in the CAP Core Question Guide for all CAP reviews. Do not modify questions.
2. Directly verify all answers with source documentation.
3. Do not correct deficiencies and then adjust CAP answers. Answers must reflect status at time of review.
4. Provide clarifying comments for each answer.
5. Enter answers and comments from each CAP Core Question Guide into the CAP SharePoint Site.
6. Ensure source documentation is retained by the Division or State and available as necessary for quality assurance reviews or audits.
7. Use answers and comments from each CAP Review Guide for local trending and analysis.

#	CORE QUESTIONS	CITATION	ANSWER	COMMENT
CQ1	Was the project included in the FHWA/FTA approved/amended Statewide Transportation Improvement Program (STIP) prior to the date of authorization	23 CFR 450.220(a) 23 CFR 450.220(b)	<p>Yes, the project was included in the FHWA/FTA approved/amended STIP prior to the date of authorization in FMIS</p> <p>No, the project was not included in the FHWA/FTA approved/amended STIP prior to authorization (comment required)</p>	

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	in FMIS?		<p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ2	Was the appropriate NEPA action completed prior to the date of authorization in FMIS, i.e. Record of Decision (ROD), Finding of No Significant Impact (FONSI), or Categorical Exclusion (CE) determination?	<p>23 CFR 635.309(j)</p> <p>23 CFR 771.113(a)(1)</p>	<p>Yes, the appropriate NEPA action was completed prior to the date of authorization in FMIS, i.e. ROD, FONSI, or CE determination</p> <p>No, the appropriate NEPA action was not completed prior to the date of authorization in FMIS, i.e. ROD, FONSI, or CE determination (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ3	Did the State provide a statement regarding the status of all ROW, utility, and railroad work prior to the date of authorization in FMIS?	23 CFR 635.309(b)	<p>Yes, the State provided a statement that all right-of-way clearance, utility, and railroad work has been completed prior to the date of authorization in FMIS</p> <p>Yes, the State provided a <u>conditional</u> statement for right-of-way clearance, utility, and railroad work that necessary arrangements have been made for it to be undertaken and completed for proper coordination with the physical construction</p> <p>No, the State did not provide a statement that all right-of-way clearance, utility, and railroad work has been completed prior to the date of authorization in FMIS (comment required)</p>	

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			<p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ4	<p>Is the Form FHWA-1273 contract provisions physically incorporated into the construction contract?</p>	<p>23 CFR 633.102(b)</p> <p>23 CFR 633.103</p>	<p>Yes, Form FHWA-1273 contract provisions are physically incorporated in the construction contract.</p> <p>No, Form FHWA-1273 contract provisions are not physically incorporated in the construction contract. (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ5	<p>Do the approved project plans and specifications include a Transportation Management Plan (TMP) or provisions for the Contractor to develop a plan?</p> <p><i>For projects or classes of projects that the State determines to have less than significant work zone impacts, the TMP may consist only of a TTC plan</i></p>	<p>23 CFR 630.1012(b)</p> <p>23 CFR 630.1012(c)</p>	<p>Yes, the approved project plans and specifications include a Transportation Management Plan (TMP) or provisions for the Contractor to develop a plan</p> <p>No, the approved project plans and specifications do not include a Transportation Management Plan (TMP) or provisions for the Contractor to develop a plan (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	

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CQ6	Following opening of bids, did the State examine the unit bid prices of the apparent low bid for reasonable conformance with the engineer's estimated prices, including obvious unbalancing of unit prices?	23 CFR 635.114(c) 23 CFR 635.114(d) 23 CFR 635.114(k)	<p>Yes, the State examined the unit bid prices of the apparent low bid for reasonable conformance with the engineer's estimated prices and obvious unbalancing of unit prices, in accordance with State procedures</p> <p>No, the State did not examine the unit bid prices of the apparent low bid for reasonable conformance with the engineer's estimated prices and obvious unbalancing of unit prices</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	23 CFR 635.114(k) addresses Design Build Contracting See 23 CFR Part 636
CQ7	Is there a full time employed public employee in responsible charge for administering the project?	23 CFR 635.105(b) 23 CFR 635.105(c)(4) FHWA Guidance Memo	<p>Yes, a full time employed State engineer is in responsible charge</p> <p>Yes, a full time employed Local Public Agency employee is in responsible for administering the project</p> <p>No, there is no full time employed public employee responsible for administering the project (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ8	Are the DBE firms originally identified by the prime contractor at the time of contract award	49 CFR 26.53(b)(1)(2) 49 CFR 26.53(f)(1)	<p>Yes, the DBE firms listed in the contract award documents are the same firms approved to work on the project</p> <p>Yes, the DBE firms are not</p>	

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	the same firms that are approved to work on the project at the time of this review?		<p>the same as those listed in the original contract at the time of award, but they have been changed by “prior written consent” from the State</p> <p>No, the DBE firms listed in the contract award documents are not those approved to work on the project (comment required)</p> <p>N/A, DBE firms were listed in the contract award documents, but no DBE firms have performed work on the contract to date (comment required)</p> <p>N/A, there was no DBE goal on the project (comment required)</p> <p>Don’t Know, could not be verified at the time of review (comment required)</p>	
CQ9	Was the State’s request for obligation of federal funds supported by a documented cost estimate that is based on the best estimate of cost?	23 CFR 630.106(a)(3)	<p>Yes, the obligation of federal funds was adequately supported by a documented cost estimate</p> <p>No, the obligation of federal funds was not adequately supported by a documented cost estimate (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don’t Know, could not be verified at the time of review (comment required)</p>	

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CQ10	Based on a minimum review of one contract change order or extra work order, was a cost analysis performed and adequately documented for each negotiated change or extra work order?	23 CFR 635.120	<p>Yes, a cost analysis was performed and adequately documented for each negotiated change or extra work order</p> <p>No, a cost analysis was not performed and adequately documented for each negotiated change or extra work order (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	