

Chapter 4

REVIEW FUNCTIONS, TYPES AND CERTIFICATION OF THE FINAL ESTIMATE PACKAGE

4.1 PURPOSE

To define the Initial Reviewer's functions and contrast with the Overviewer's function. To define the review types, in-depth review by Initial Reviewer and Overviewer, in-depth review by Initial Reviewer only, and the risk based reviews. To outline the submission process to the paid off status of a ***Certified Final Estimate Package*** submitted by Consultants and Florida Department of Transportation (Department) personnel. This is done to minimize the Department's exposure to the risk of overpayment errors and interest on delayed payments. To outline the functions related to the reviewing process of the Final Estimate Package, these procedures apply to both Class 1 and District Contracts. This Manual coordinates with the ***Preparation and Documentation Manual (P&DM) (Topic No. 700-050-010)***.

4.1.1 Resident Office/Consultant Quality Control (QC) Plan

A Sample QC Plan is shown in [Attachment 4.3](#) of this chapter. The Resident Office (RO)/Consultant may elect to use this QC Plan, but shall do so by submitting a letter to the District Final Estimates Manager (DFEM) requesting authorization and attach this QC Plan with the name of the firm Resident Officer and the person(s) responsible for the Certified Final Estimate. Should the RO/Consultant elect to develop their own QC Plan, it shall detail the process of submitting a ***Certified Final Estimate Package*** to the District Final Estimate's Office (DFEO) and a copy shall be submitted to the DFEM. The letter and/or QC Plan shall be submitted to the DFEM prior to the beginning of construction.

4.1.2 Certification of the Final Estimates Package

Final Estimates Level II, Qualified Personnel responsible for the Final Estimate Package shall submit a certification stating that all quantities submitted are true and correct [Computation Book Pay Item Summary and Certification Sheet \(Form No. 700-050-10\)](#).

After a Post Audit Review (PAR) by the DFEO has been completed and errors are found (monetary and/or procedural) the responsible person shall be contacted and given the chance to answer to the findings. Should the procedural errors be substantiated, the report will provide feedback in a manner according to the condition of the findings so the Final Estimates Process will be performed in a positive manner. See [Chapter 15](#) of the [Review and Administration Manual](#) for details.

Note: Certification of Quantities by Others(items requiring a Certification of Quantities will

Attachment 4-5 SAMPLE POST AUDIT REVIEW FOR A CERTIFIED FINAL ESTIMATE

Per the Review & Administration Manual, Topic 700-050-005, Chapter 4:
 If errors or omissions are listed, the Consultant will submit a formal report within
 FOURTEEN (14) calendar days defining what steps will be taken to eliminate these type
 issues from recurring on future projects.

This report will be sent to:

David Chason, State Final Estimates Manager, david.chason@dot.state.fl.us
 The District Construction Engineer,
 The District Final Estimates Manager

Project FIN: 43600715201

Contract No. T0009

CCEI Project Manager: Ed Perris

CCEI: Better Corporation

CCEI Contract No.: C-0008

Group Areawide 00

CCEI Project Administrator: Brent Michael

CCEI Resident Engineer: Tracy Carlton

F.E. Level II: Tracy Carlton

TIN Number: C65281270

Reviewer: Rick Goodwright DFEM

Review Date: 02/10/11

PAR No. 55

Hours in Review: 18

SM Contract Type: SLPQ

CERTIFIED AMOUNT _____ FINAL AMOUNT _____

1. Optional Base Group 11 (285711): Asphalt CPF of 1.03% was not applied to pay item. $2779 \text{ SY} \times \$ 1.0800 = + \$ 3,001.32$ Under Payment.
+3,001.32 Under Payment

2. Asphalt Concrete Friction Course (FC-5) (337-7-5): Per Supplemental Specifications (337-13), pay quantity is limited to a Maximum of 105% of the set spread rate. The spread rate was set at $80 \text{ Lbs/SY} \times 1.05 = 84 \text{ Lbs/SY}$ Maximum.
 $(84 \text{ Lbs/SY} \times 11,947.13 \text{ SY}) \div 2000 \text{ Lbs/Ton} = 501.78 = 501.8 \text{ Tons}$ (Maximum Tons allowed for pay). Contractor placed 528.6 Tons – 501.8 Tons = 26.8 Tons at NO PAY. and $26.8 \text{ Tons} \times \$ 119.15 = - \$ 3,193.22$ Over Payment.
- 3,193.22 Over Payment

<u>Overpayment</u>	+	<u>Underpayment</u>	<u>= Absolute Value</u>
\$ 3,193.22		\$ 3,001.32	= \$ 6,194.54

ATTACHMENT 4-6 EXAMPLE OF FORMAL REPORT

Better Corporation
CONSULTING ENGINEERS, PLANNERS, SURVEYORS
P. O. BOX 100
SOMEWHERE, FLORIDA 30000
PHONE 999-555-2003 FAX 999-555-2004

January 8, 2004

Mr. Izzy Wright, District Final Estimates Manager
District Ten Construction Office
Florida Department of Transportation
P.O. Box 10
Somewhere, Florida 30000

Subject: Final Estimate Quality Control Report FPIN: 43600715201
Contract Number: T0009
Description: SR 7, From SR 8 to the Yessur County Line

Mr. Wright,

I have reviewed Better Corporation's Final Estimate Review process for the above mentioned project as required by policies and procedures set forth in the Final Estimates Review and Administration Manual, District Final Estimates Office QC Plan, CEI QC Plan and the Statewide QC Plan. A review was conducted to determine the steps necessary to eliminate the type of procedural error that was documented by the Quality Assessment of the Final Estimate from future submitted Final Estimates packages.

The errors that were documented involved the failure to apply an Asphalt Composite Pay Factor in accordance with the Preparation and Documentation Manual and the Maximum of 105% of the set spread rate for Friction Course per Supplemental Specifications.

In order to prevent this error from occurring again I will forward this Report to qualified final estimates personnel in the North Florida division of Better Corporation to review the requirement and will discuss this requirement in an upcoming meeting.

Thank you for the opportunity to review and improve our QC process. The Better Corporation always has Quality at the forefront of our operational objectives and as such strives continuously to improve its processes. As a result of our effort to produce Quality, I would appreciate any suggestions for improvement that the Department might suggest. If you have suggestions for improvement or if additional review of this matter is required, please do not hesitate to contact me.

Respectfully,

Y. Yessur, P.E.
Vice President
Better Corporation

Harry Potter, P.E., Resident Engineer, FDOT, John Deere Construction Project Manager, FDOT, Massey Ferguson, P.E. Senior Project Engineer, Somewhere Engineering, Inc., Gary Cooper, Project Administrator, Somewhere Engineering, Inc., Roddy McDowell, SEQAR Team Leader, Somewhere Engineering Inc., Petula Clark, Office Manager, Somewhere Engineering, Inc.