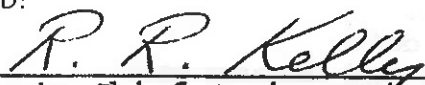


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TO:  Director, Preliminary Plan Review Bureau	<b>ENGINEERING INSTRUCTION</b> NEW YORK STATE DEPARTMENT OF TRANSPORTATION
Distribution:	SUBJECT: CITATIONS BY ON-SITE AUDITS  Subject Code: 7.30
APPROVED:  <i>R. P. Kelly</i> Deputy Chief Engineer (Construction)	Code: <u>EL 74-75</u> Date: <u>8/9/74</u> Supersedes:

A review of on-site audits during the 1973 calendar year indicates 498 citations in a total of 114 audit reports Statewide. These citations have been categorized and the number of citations and typical examples in each category are as follows:

1. Work added by order-on-contract allowed to proceed without Main Office authorization. (11)
2. Payment made contrary to specified pay limits. (11)
  - a. Payment for open cut of trenches greater than 5 feet in depth.
  - b. Deductions from 2EFB made for pipe less than one square foot area.
  - c. Rock undercut beyond theoretical lines.
- \*3. Quantity paid in excess of documented certifications or acceptances. (51)
- \*4. Payments for materials or work not in conformance with specifications and without an order-on-contract providing for modifications with or without rebates. (72)
  - a. Concrete beyond tolerance limits for air, slump, or mixing time. Approval by E.I.C. must be documented on inspectors' reports indicating reasons for acceptance.
  - b. Payment for Item 8 under unpaved shoulders.
  - c. Partial payments made without provisions therefor in the item specifications.
  - d. Use of special equipment without Main Office approval.
  - e. Payment for benching in excess of maximum limits specified.
5. Blacktop tickets not signed by inspector or temperatures not shown. (16)
6. Incomplete Inspection Reports - lacked computations or checking thereof. (21)

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7. Subcontractors working without approval or on items for which they were not approved. (22)
- \*8. Lack of payrolls or certain prescribed payroll information. (70)
9. Computation or Clerical errors. (23)
- \*10. Inadequate or Incomplete Documentation (76)
  - a. Lacking trail to inspectors' reports.
  - b. Materials received record not up to date.
  - c. Capacity of water truck not measured and documented.
  - d. Monthly estimate book not supported by IR's.
  - e. Undocumented delay of start of construction.
  - f. No documented permission to open cut drainage excavation.
  - g. Wage rates for classifications not included in Proposal.
  - h. Diary not current.
11. Payments for work items prior to their completion. (10)
  - a. Payment for 5T prior to backfill.
  - b. Payment for pile shells before filling with concrete.
12. Inspectors not instructed in their duties. (13)
13. Overpayments. (30)
14. Lack of documented approval of apprentices. (7)
15. Inadequate documentation or credit sheet for unsatisfactory work. (18)
16. Wage Rate Interviews not performed at prescribed frequency. (14)
17. Labor Violations - Underpayments of wages. (9)
18. Miscellaneous. (24)

Please direct your MURK personnel to monitor these citations with special emphasis on the asterisked items above, and instruct all project personnel so as to avoid their recurrence.