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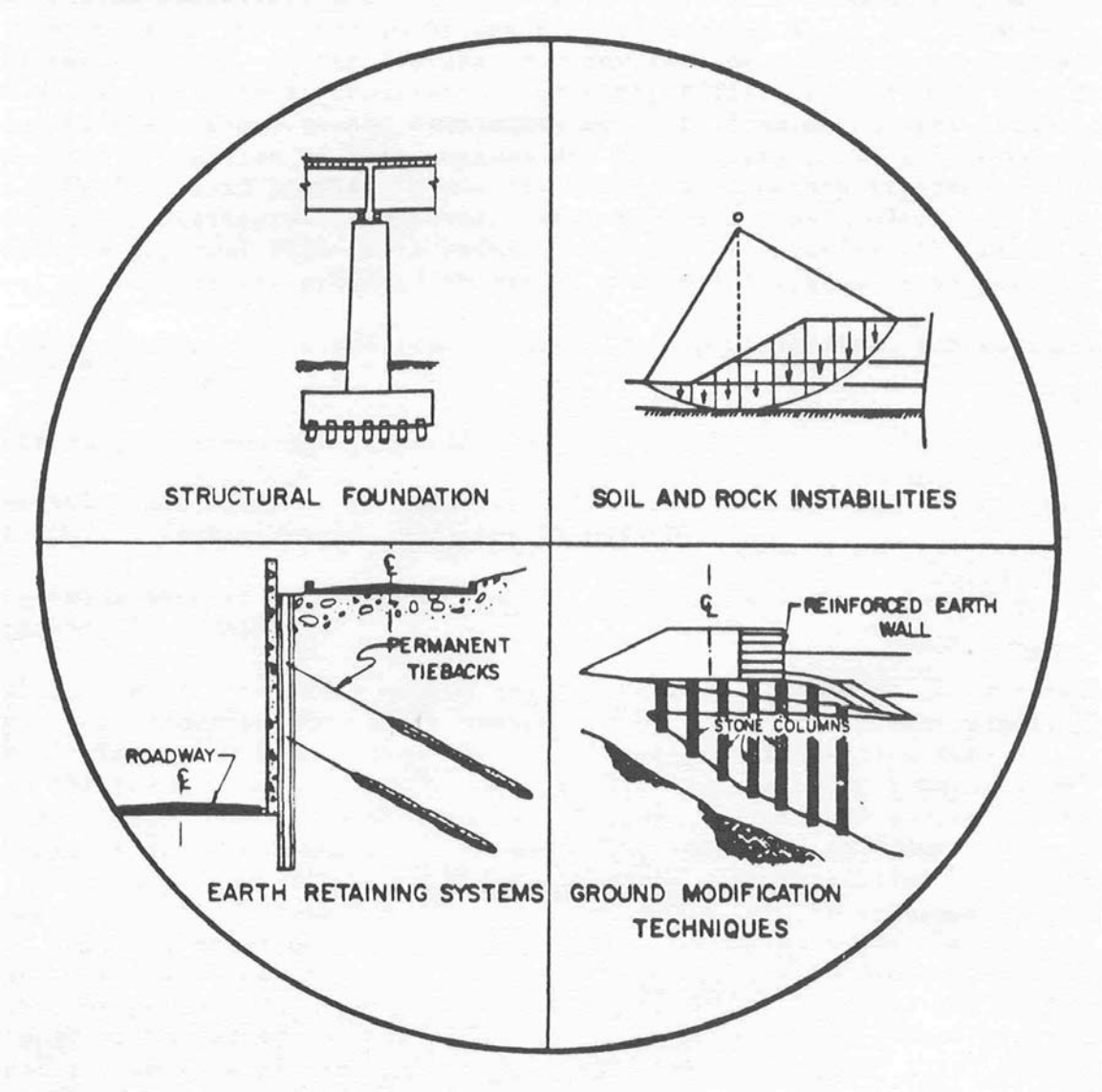

CHECKLIST AND GUIDELINES FOR REVIEW OF GEOTECHNICAL REPORTS AND PRELIMINARY PLANS AND SPECIFICATIONS

PREFACE

A set of review checklists and technical guidelines has been developed to aid engineers in their review of projects containing major and unusual geotechnical features. These features may involve any earthwork or foundation related activities such as construction of cuts, fills, or retaining structures, which due to their size, scope, complexity or cost, deserve special attention. A more specific definition of both unusual and major features is presented in Table 1. Table 1 also provides a description of a voluntary program by which FHWA generalists engineers determine what type and size projects may warrant a review by a FHWA geotechnical specialist. The review checklists and technical guidelines are provided to assist generalist highway engineers in:

- Reviewing both geotechnical reports and plan, specification, and estimate (PS&E)* packages;
- Recognizing cost-saving opportunities
- Identifying deficiencies or potential claim problems due to inadequate geotechnical investigation, analysis or design;
- Recognizing when to request additional technical assistance from a geotechnical specialist.

At first glance, the enclosed review checklists will seem to be inordinately lengthy, however, this should not cause great concern. First, approximately 50 percent of the review checklists deal with structural foundation topics, normally the primary responsibility of a bridge engineer; the remaining 50 percent deal with roadway design topics. Second, the general portion of the PS&E checklist is only one page in length. The remaining portions of the PS&E checklist apply to specific geotechnical features – such as pile foundations, embankments, landslide corrections, etc., and would only be completed when those specific features exist on the project. Third, the largest portion of the checklists deals with the review of geotechnical reports, with a separate checklist for each of eight geotechnical features. The checklist for each geotechnical feature is only one to two pages in length. Therefore, on most projects, reviewers will find that only a small portion of the total enclosed checklist needs to be completed.

* For purposes of this document, PS&E refers to a plan and specification review at any time during a project's development. Hence, the review may be at a preliminary or partial stage of plan development.

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GEOTECHNICAL REVIEW CHECKLISTS AND TECHNCIAL GUIDLINES

Introduction

The following review checklists and technical guidelines have been developed to aid engineers with review of geotechnical reports, plans and special provisions on projects containing major and unusual geotechnical features. These may involve any earthwork or foundation related activities such as construction of cuts, fills, or retaining structures, which due to their size, scope, complexity or cost, deserve special attention. A more specific definition of both major and unusual features is presented in Table 1. The checklists and review guidelines are intended to serve four primary purposes.

First, for projects that are submitted to a FHWA geotechnical specialist, the checklists and technical guidelines are provided to aid FHWA generalist engineers in making a quick review of the geotechnical report and accompanying support data provided by the State, to insure that the information provided by the State is complete enough to allow adequate technical review by the FHWA geotechnical specialist.

Second, for projects which will not be submitted to a FHWA geotechnical specialist for formal review (which will be the majority of projects handled by the FHWA division office) the checklists and technical guidelines are provided to assist generalist engineers in (1) reviewing geotechnical reports and preliminary plan and specification packages; (2) recognizing cost-saving opportunities; (3) spotting deficiencies or potential claim problems due to inadequate geotechnical investigations, analysis, or design; (4) recognizing when to request technical assistance for a FHWA geotechnical specialist.

Third, it should be noted that the checklists and technical guidelines also include coverage of structure foundations. These review checklists and technical guidelines have been developed to fill an existing need in this area.

Fourth, this document sets forth minimum geotechnical standards or criteria to show transportation agencies and consultants the basic geotechnical information which FHWA recommends be provided in geotechnical reports and PS&E packages.

TABLE 1
PROJECT REVIEW GUIDELINES

The following project review guidelines are given to assist FHWA generalist engineers in determining what type and size projects may warrant review by a FHWA geotechnical specialist.

A FHWA geotechnical specialist should review Geotechnical reports and supporting data for major or unusual geotechnical features, described below. The FHWA division office should also request FHWA geotechnical specialist review for any project that is considered to involve geotechnical risk or excessive expense in its design or construction. Supporting data for these reviews include preliminary plans, specifications, and cost estimates (if available at the time of geotechnical report submittal). Emphasis will be placed on review of these projects in the preliminary stage in order to optimize cost savings through early identification of potential problems or more innovative designs. To be of maximum benefit geotechnical reports and supporting data should be forwarded for review as soon as available, and at least 60 days prior to the scheduled project advertisement date. The review by the FHWA geotechnical specialist should be completed within 10 working days.

A. "Major" Geotechnical Features

Geotechnical reports and supporting data for major geotechnical project features should be submitted to the FHWA geotechnical specialist for review if the following project cost and complexity criteria exist:

	Cost Criteria
1. Earthwork – soil or rock cuts or fills where (a) the maximum height of cut or fill exceeds 15 m (50 ft), or (b) the cuts or fills are fills are located in topography and/or geological units with known stability problems.	Greater than $1,000,000
2. Soil and Rock Instability Corrections – cut, fill, or natural slopes which are presently or potentially unstable.	Greater than $ 500,000
3. Retaining Walls (geotechnical aspects) - maximum height at any point along the length exceeds 9 m (30 ft). Consideration of bidding cost-effective alternatives and geotechnical aspects (bearing capacity, settlement, overturning, sliding, etc.) are of prime concern. Structural design of and footings is beyond the scope of these reviews.	Greater than $ 250,000

B. "Unusual" Geotechnical Features

Geotechnical reports and supporting data for all projects containing unusual geotechnical features should be submitted to the FHWA geotechnical specialist for review.

An unusual geotechnical project feature is any geotechnical feature involving: (1) difficult or unusual problems, e.g. embankment construction on a weak and compressible foundation material (difficult) or fills constructed using degradable shale (unusual); (2) new or complex designs, e.g. geotextile soil reinforcement, permanent ground anchors, wick drains, ground improvement technologies; and (3) questionable design methods, e.g. experimental retaining wall systems, pile foundations where dense soils exists.

What is a Geotechnical Report?

The geotechnical report is the tool used to communicate the site conditions and design and construction recommendations to the roadway design, bridge design, and construction personnel. Site investigations for transportation projects have the objective of providing specific information on subsurface soil, rock, and water conditions. Interpretation of the site investigation information, by a geotechnical engineer, results in design and construction recommendations that should be presented in a project geotechnical report. The importance of preparing an adequate geotechnical report cannot be overstressed. The information contained in this report is referred to often during the design period, construction period, and frequently after completion of the project (resolving claims). Therefore, the report should be as clear, concise, and accurate. Both an adequate site investigation and a comprehensive geotechnical report are necessary to construct a safe, cost-effective project. Engineers need these reports to conduct an adequate review of geotechnical related features, e.g., earthwork and foundations.

The State or their consultant should prepare "Preliminary" geotechnical reports for submittal to the design team whenever this information will benefit the design process. Early submittal of geotechnical information and recommendations or engineering evaluation of preliminary data may be necessary to establish basic design concepts or design criteria. This is commonly the case on large projects or projects containing complex or difficult geotechnical problems where alignment and/or grade changes may be appropriate based on geotechnical recommendations. The development of a "Final" geotechnical report will not normally be completed until design has progressed to the point where specific recommendations can be made for all of the geotechnical aspects of the work. Final alignment, grade, and geometry will usually have been selected prior to issuance of the final geotechnical report.

While the geotechnical report content and format will vary by project size and highway agency, all geotechnical reports should contain certain basic essential information, including:

- Summary of all subsurface exploration data, including subsurface soil profile, exploration logs, laboratory or in situ test results, and ground water information;
- Interpretation and analysis of the subsurface data;
- Specific engineering recommendations for design;
- Discussion of conditions for solution of anticipated problems; and
- Recommended geotechnical special provisions.

It is suggested that the State routinely include this minimum information in the geotechnical report for Federal-Aid highway projects and that a copy of this report be supplied to the FHWA division office at the time when the report is internally distributed in the State.

For brevity in this document, the term geotechnical report will be used as a general term to cover all types of geotechnical reports, e.g., foundation report, centerline soils report, landslide study report, etc.

Use of Review Checklists and Technical Guidelines

Review checklists have been prepared for review of geotechnical reports and review of the geotechnical aspects of preliminary plans, specification and estimate (PS&E)* packages. To simplify their use, the checklists are set up in a question and answer format. The geotechnical report checklists (pages 11 through 27) cover the important information that should be presented in project geotechnical reports. The PS&E review checklists (pages 28 through 33) cover the geotechnical aspects, ranging from assuring continuity between the project geotechnical report and contract documents to avoiding common claim pitfalls. Items that are identified with an asterisk (*) are considered to be of major importance. A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

Groups of related questions and, in some cases, individual questions have been cross referenced to the "Soils and Foundations Workshop Manual"** so as to provide the generalist engineer user a reference on basic geotechnical items. Technical guidelines are presented in Tables 1 through 4. Since it is not possible to establish strict criteria for all geotechnical information that should be obtained or geotechnical analysis that should be performed for a particular project, only general or minimum guidelines can be established. Table 1 provides definitions of both major and unusual features and guidelines as to which projects may be appropriate for review by the FHWA geotechnical specialist. Table 2 presents guideline minimum boring, sampling, and testing criteria for subsurface investigations that should be conducted for major or unusual geotechnical features. Table 3 presents general guidelines on the major types of geotechnical engineering analyses that are normally required for embankments and cut slopes, structure foundations, and retaining structures. Guidance is given for all major soil types. Table 4 presents a list of technical support data that should be provided for correction of soil and rock instabilities (landslides). Due to the unique situation that landslides present in terms of a major expenditure of funds for rehabilitation, a concise and specific list of necessary support information is warranted.

The enclosed review checklists and technical guidelines cover the following geotechnical features:

- Centerline Cuts and Embankments
- Embankments Over Soft Ground
- Landslide Corrections
- Retaining Structures
- Structure Foundations (spread footings, piles, drilled shafts)
- Ground Improvement Techniques
- Material Sites

*For the purposes of this document, PS&E refers to a plan and specification review at anytime during a project's development. Hence, the review may occur at a preliminary or partial stage of plan development.

** "Soils and Foundations Workshop Manual", Publication # FHWA NHI-00-045

Reviews made during the preliminary stage of project development will commonly consist of reviewing the geotechnical report only, since detailed plans and specifications may not yet be prepared.

When reviewing the PS&E, the plans, special provisions, and final geotechnical report should be examined together. A major aspect of the PS&E review of project geotechnical features is to verify that the major design and construction recommendations given in the geotechnical report have been properly incorporated into the plans and specifications. The practice of most highway agencies is to prepare a single geotechnical report that includes subsurface information, interpretations, and design and construction recommendations. However, some agencies prepare two separate reports; one report that only presents the factual subsurface data (made available to bidders), and a separate report or design memorandum (not made available to bidders) which contains the interpretation of subsurface conditions and the design and construction recommendations. These reports not only form the basis of technical reviews but should also be the agency's basis for design and construction of earthwork and foundation features.

The review checklists should be used as the working document while the guidelines in Tables 1 through 4, and the indicated sections of the "Soils and Foundations Workshop Manual" should be used as references. The checklist questions should be completed by referring to the geotechnical report and contract documents, the appropriate sections of the tables, and by use of engineering judgement. For each question, the reviewer should indicate a yes, no, or unknown or non-application response. Upon completion of the checklists, the reviewer should summarize the negative responses and discuss these with the appropriate geotechnical engineers to determine if additional follow-up is appropriate.

Seismic design of geotechnical features has not been considered in this document. For guidance the reader is referred to "Geotechnical Engineering Circular No. 3, Design Guidance: Geotechnical Earthquake Engineering for Highways, Volume I – Design Principles", FHWA SA-97-076. Seismic loads represent an extreme loading condition therefore relatively low factors of safety are generally considered acceptable in a pseudo-static analysis. Factors of safety on the order of 1.1 to 1.15 are typically used in practice for both bearing capacity and sliding resistance. The choice of the factor of safety and of the seismic coefficient are intimately linked. For instance, of a seismic coefficient equal to the PGA (divided by g) has been used in the pseudo-static analysis because the foundation cannot tolerate large movements, a factor of safety of 1.0 may be used. Alternatively, if the seismic coefficient is one-half the PGA and the soil is susceptible to a post-peak strength decrease, a factor of safety of 1.1 to 1.15 should be used.

TABLE 2

GUIDELINE "MINIMUM" BORING, SAMPLING, AND TESTING CRITERIA

The most important step in geotechnical design is to conduct an adequate subsurface investigation. The number, depth, spacing, and character of borings, sampling, and testing to be made in an individual exploration program are so dependent upon site conditions and the type of project and its requirements, that no "rigid" rules may be established. Usually the extent of work is established as the site investigation progresses in the field. However, the following are considered reasonable "guidelines" to follow to produce the minimum subsurface data needed to allow cost-effective geotechnical design and construction and to minimize claim problems. (Reference: "Subsurface Investigations" FHWA HI-97-021)

Geotechnical Feature	Minimum Number of Borings	Minimum Depth of Borings
Structure Foundation	1 per substructure unit under 30 m (100 ft) in width 2 per substructure unit over 30 m (100 ft) in width Additional borings in areas of erratic subsurface conditions	Spread footings: 2B where L< 2B, 4B where L > 2B and interpolate for L between 2B and 4B Deep foundations: 6m (20ft) below tip elevation or two times maximum pile group dimension, whichever is greater If bedrock is encountered: for piles core 3 m (10 ft) below tip elevation; for shafts core 3D or 2 times maximum shaft group dimension below tip elevation, whichever is greater.
Retaining Structures	Borings spaced every 30 to 60 m (100 to 200 ft). Some borings should be at the front of and some in back of the wall face.	Extend borings to depth of 0.75 to 1.5 times wall height When stratum indicates potential deep stability or settlement problem, extend borings to hard stratum
Bridge Approach Embankments over Soft Ground	When approach embankments are to be placed over soft ground, at least one boring should be made at each embankment to determine the problems associated with stability and settlement of the embankment. Typically, test borings taken for the approach embankments are located at the proposed abutment locations to serve a dual function.	Extend borings into competent material and to a depth where added stresses due to embankment load is less than 10% of existing effective overburden stress or 3 m (10 ft) into bedrock if encountered at a shallower depth Additional shallow explorations (hand auger holes) taken at approach embankment locations to determine depth and extent of unsuitable surface soils or topsoil.
Centerline Cuts and Embankments	Borings typically spaced every 60 m (200 ft) (erratic conditions) to 120 m (400 ft) (uniform conditions) with at least one boring taken in each separate landform. For high cuts and fills, should have a minimum of 3 borings along a line perpendicular to centerline or planned slope face to establish geologic cross-section for analysis.	Cuts: (1) in stable materials extend borings minimum 5 m (15 ft) below depth of cut at the ditch line and, (2) in weak soils extend borings below grade to firm materials or to twice the depth of cut whichever occurs first. Embankments: Extend borings to a hard stratum or to a depth of twice the embankment height.
Landslides	Minimum 3 borings along a line perpendicular to centerline or planned slope face to establish geologic cross-section for analysis. Number of sections depends on extent of stability problem. For active slide, place at least on boring each above and below sliding area	Extend borings to an elevation below active or potential failure surface and into hard stratum, or to a depth for which failure is unlikely because of geometry of cross-section. Slope inclinometers used to locate the depth of an active slide must extend below base of slide.
Ground Improvement Techniques	Varies widely depending in the ground improvement technique(s) being employed. For more information see "Ground Improvement Technical Summaries" FHWA SA-98-086R.	
Material Sites (Borrow sources, Quarries)	Borings spaced every 30 to 60 m (100 to 200 ft).	Extend exploration to base of deposit or to depth required to provide needed quantity.

TABLE 2 (Continued)

GUIDELINE "MINIMUM" BORING, SAMPLING, AND TESTING CRITERIA

Sand or Gravel Soils SPT (split-spoon) samples should be taken at 1.5 m (5 ft) intervals or at significant changes in soil strata. Continuous SPT samples are recommended in the top 4.5 m (15 ft) of borings made at locations where spread footings may be placed in natural soils. SPT jar or bag samples should be sent to lab for classification testing and verification of field visual soil identification.
Silt or Clay Soils SPT and "undisturbed" thin wall tube samples should be taken at 1.5 m (5 ft) intervals or at significant changes in strata. Take alternate SPT and tube samples in same boring or take tube samples in separate undisturbed boring. Tube samples should be sent to lab to allow consolidation testing (for settlement analysis) and strength testing (for slope stability and foundation bearing capacity Analysis). Field vane shear testing is also recommended to obtain in-place shear strength of soft clays, silts and well-rotted peat.
Rock Continuous cores should be obtained in rock or shales using double or triple tube core barrels. In structural foundation investigations, core a minimum of 3 m (10 ft) into rock to insure it is bedrock and not a boulder. Core samples should be sent to the lab for possible strength testing (unconfined compression) if for foundation investigation. Percent core recovery and RQD value should be determined in field or lab for each core run and recorded on boring log.
Groundwater Water level encountered during drilling, at completion of boring, and at 24 hours after completion of boring should be recorded on boring log. In low permeability soils such as silts and clays, a false indication of the water level may be obtained when water is used for drilling fluid and adequate time is not permitted after boring completion for the water level to stabilize (more than one week may be required). In such soils a plastic pipe water observation well should be installed to allow monitoring of the water level over a period of time. Seasonal fluctuations of water table should be determined where fluctuation will have significant impact on design or construction (e.g., borrow source, footing excavation, excavation at toe of landslide, etc.). Artesian pressure and seepage zones, if encountered, should also be noted on the boring log. In landslide investigations, slope inclinometer casings can also serve as water observations wells by using "leaky" couplings (either normal aluminum couplings or PVC couplings with small holes drilled through them) and pea gravel backfill. The top 0.3 m (1 ft) or so of the annular space between water observation well pipes and borehole wall should be backfilled with grout, bentonite, or sand-cement mixture to prevent surface water inflow which can cause erroneous groundwater level readings.
Soil Borrow Sources Exploration equipment that will allow direct observation and sampling of the subsurface soil layers is most desirable for material site investigations. Such equipment that can consist of backhoes, dozers, or large diameter augers, is preferred for exploration above the water table. Below the water table, SPT borings can be used. SPT samples should be taken at 1.5 m (5 ft) intervals or at significant changes in strata. Samples should be sent to lab for classification testing to verify field visual identification. Groundwater level should be recorded. Observations wells should be installed to monitor water levels where significant seasonal fluctuation is anticipated.
Quarry Sites Rock coring should be used to explore new quarry sites. Use of double or triple tube core barrels is recommended to maximize core recovery. For riprap source, spacing of fractures should be carefully measured to allow assessment of rock sizes that can be produced by blasting. For aggregate source, the amount and type of joint infilling should be carefully noted. If assessment is made on the basis of an existing quarry site face, it may be necessary to core or use geophysical techniques to verify that nature of rock does not change behind the face or at depth. Core samples should be sent to lab for quality tests to determine suitability for riprap or aggregate.

TABLE 3

REQUIRED GEOTECHNICAL ENGINEERING ANALYSIS

Soil Classification			Embankment and Cut Slopes		Structure Foundations (Bridges and Retaining Structures)		Retaining Structures (Conventional, Crib and MSE)	
Unified	AASHTO[1]	Soil Type	Slope Stability[2] Analysis	Settlement Analysis	Bearing Capacity Analysis	Settlement Analysis	Lateral Earth Pressure	Stability Analysis
GW GP GM GC SW SP SM SC	A-1-a A-1-a A-1-b A-2-6 A-2-7 A-1-b A-3 A-2-4 A-2-5 A-2-6 A-2-7	GRAVEL Well-graded GRAVEL Poorly-graded GRAVEL Silty GRAVEL Clayey SAND Well-graded SAND Poorly-graded SAND Silty SAND Clayey	Generally not required if cut or fill slope is 1.5H to 1V or flatter, and underdrains are used to draw down the water table in a cut slope. Erosion of slopes may be a problem for SW or SM soils.	Generally not required except possibly for SC soils.	Required for spread footings, pile or drilled shaft foundations. Spread footings generally adequate except possibly for SC soils	Generally not needed except for SC soils or for large, heavy structures. Empirical correlations with SPT values usually used to estimate settlement	GW, SP, SW & SP soils generally suitable for backfill behind or in retaining or reinforced soil walls. GM, GC, SM & SC soils generally suitable if have less than 15% fines. Lateral earth pressure analysis required using soil angle of internal friction.	All walls should be designed to provide minimum F.S. = 2 against overturning & F.S. = 1.5 against sliding along base. External slope stability considerations same as previously given for cut slopes & embankments.
ML	A-4	SILT Inorganic silt Sandy	Required unless non-plastic. Erosion of slopes may be a problem.	Required unless non-plastic.	Required. Spread footing generally adequate.	Required. Can use SPT values if non-plastic.	These soils are not recommended for use directly behind or in retaining or reinforced soil walls.	
CL	A-6	CLAY Inorganic Lean Clay	Required	Required				
OL	A-4	SILT Organic	Required	Required				

[1] This is an approximate correlation to Unified (Unified Soil Classification system is preferred for geotechnical engineering usage, AASHTO system was developed for rating pavement subgrades).

[2] These are general guidelines, detailed slope stability analysis may not be required where past experience in area is similar or rock gives required slope angles.

TABLE 3 (Continued)

Soil Classification			Embankment and Cut Slopes		Structure Foundations (Bridges and Retaining Structures)		Retaining Structures (Conventional, Crib and MSE)	
Unified	AASHTO[1]	Soil Type	Slope Stability[2] Analysis	Settlement Analysis	Bearing Capacity Analysis	Settlement Analysis	Lateral Earth Pressure	Stability Analysis
MH	A-5	SILT Inorganic	Required. Erosion of slopes may be a problem.	Required.	Required. Deep foundation generally required unless soil has been preloaded.	Required. Consolidation test data needed to estimate settlement amount and time.	These soils are not recommended for use directly behind or in retaining walls.	All walls should be designed to provide minimum F.S. = 2 against overturning & F.S. = 1.5 against sliding along base. External slope stability considerations same as previously given for cut slopes & embankments
CH	A-7	CLAY Inorganic Fat Clay	Required.	Required.				
OH	A-7	CLAY Organic	Required.	Required.				
PT	----	PEAT Muck	Required.	Required. Long term settlement can be significant	Deep foundation required unless peat excavated and replaced.	Highly compressible and not suitable for foundation support		
Rock			Fills – not required for slopes 1.5H to 1V or flatter. Cuts – required but depends on spacing, orientation and strength of discontinuities and durability of rock		Required for spread footings or drilled shafts. Empirically related to RQD[3]	Required where rock is badly weathered or closely fractured (low RQD). May require in situ test such as pressuremeter.	Required. Use rock backfill angle of internal friction.	

REMARKS:
Soils – temporary ground water control may be needed for foundation excavations in GW through SM soils.
Backfill specifications for reinforced soil walls using metal reinforcements should meet the following requirements in insure use of non-corrosive backfill:
pH range = 5 to 10; Resistivity > 3000 ohm-cm; Chlorides < 100 ppm; Sulfates < 200 ppm; Organic content 1% maximum

Rock – Durability of shales (siltstone, claystone, mudstone, etc.) to be used in fills should be checked. Non-durable shales should be embanked as soils, i.e., placed in maximum 0.3 m (1 ft) loose lifts and compacted with heavy sheepsfoot or grid rollers.

[1] This is an approximate correlation to Unified (Unified Soil Classification system is preferred for geotechnical engineering usage, AASHTO system was developed for rating pavement subgrades).

[2] These are general guidelines, detailed slope stability analysis may not be required where past experience in area is similar or rock gives required slope angles.

[3] RQD (Rock Quality Designation) = sum of pieces of rock core 4" or greater in length divided by the total length of core run.

TABLE 4
CORRECTION OF SOIL AND ROCK-RELATED INSTABLIITIES

Each year hundreds of millions of dollars are spent to correct soil or rock-related instabilities on highways. The purpose of this technical note is to advise field engineers what technical support information is essential such that a complete evaluation can be performed. For the purpose of this technical note, soil and rock-related instabilities are defined as follows: "A condition that currently or threatens to affect the stability or performance the stability or performance of a highway facility and is the result of the inadequate performance of the soil or rock components." This includes major instabilities resulting form or associated with: landslides, rockfalls, sinkholes, and degrading shales. Technical support data needed are:

1. Site plan and typical cross-section(s) representing ground surface conditions prior to failure, along with subsurface configuration after failure. Photographs, including aerials, if available, would also be beneficial.

2. Cross-section(s) showing soil and/or rock conditions and water bearing strata as determined by drilling and possibly geophysical surveys.

3. Description of the latent state of the unstable mass, whether movement has stopped or is still occurring, and if so, at what rate.

4. Boring logs.

5. Instrumentation data and/or other information used to define the depth and location of the failure zone. The underground location of the failure zone should be shown on the cross-section(s).

6. Shear strength test data and a description of the testing method utilized on the materials, through which failure is occurring. Where average shear strength is calculated using an assumed failure surface and a factor of safety of 1.0, the complete analysis should be provided and location of assumed water table(s) shown.

7. Proposed corrective schemes including: estimated costs, final safety factors, and design analysis for each alternative solution.

8. Narrative report containing instability history; record of maintenance costs and activity, and preventative measures taken, if any; reasons for inadequacy of the original design; description and results of subsurface investigation performed; summary and results of stability analysis performed; and recommendations for correction.

GEOTECHNICAL REPORT REVIEW CHECKLISTS

The following checklists cover the major information and recommendations that should be addressed in project geotechnical reports.

Section A covers site investigation information that will be common to all geotechnical reports for any type of geotechnical feature.

Sections B through I cover the basic information and recommendations that should be presented in geotechnical reports for specific geotechnical features: centerline cuts and embankments, embankments over soft ground, landslides, retaining structures, structure foundations and material sites.

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In most sections and subsections the user has been provided supplemental page references to the "Soils and Foundations Workshop Manual" FHWA NHI-00-045. These page numbers appear in parentheses ( ) immediately adjacent to the section or subsection topic. Generalist engineers are particularly encouraged to read these references. Additional reference information on these topics is available in the Geotechnical Engineering Notebook, a copy of which is kept in all FHWA Division offices by either the Bridge Engineer or the engineer with the geotechnical collateral duty.

Certain checklist items are of vital importance to have been included in the geotechnical report. These checklist items have been marked with an asterisk (*). A negative response to any of these asterisked items is cause to contact the geotechnical engineer for clarification of this omission.

GTR REVIEW CHECKLIST FOR SITE INVESTIGATION

A. Site Investigation Information

Since the most important step in the geotechnical design process is to conduct an adequate site investigation, presentation of the subsurface information in the geotechnical report and on the plans deserves careful attention.

Geotechnical Report Text (Introduction) (Pgs. 10-1 to 10-4)	Yes	No	Unknown or N/A
1. Is the general location of the investigation described and/or a vicinity map included?	___	___	_____
2. Is scope and purpose of the investigation summarized?	___	___	_____
3. Is concise description given of geologic setting and topography of area?	___	___	_____
4. Are the field explorations and laboratory tests on which the report is based listed?	___	___	_____
5. Is the general description of subsurface soil, rock, and groundwater conditions given?	___	___	_____
*6. Is the following information included with the geotechnical report (typically included in the report appendices):			
a. Test hole logs? (Pgs. 2-24 to 2-32)	___	___	_____
b. Field test data?	___	___	_____
c. Laboratory test data? (Pgs. 4-22 to 4-23)	___	___	_____
d. Photographs (if pertinent)?	___	___	_____
Plan and Subsurface Profile (Pgs. 2-19, 3-9 to 3-12, 10-13)			
*7. Is a plan and subsurface profile of the investigation site provided?	___	___	_____
8. Are the field explorations located on the plan view?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

A. Site Investigation Information (Cont.)	Yes	No	Unknown or N/A
*9. Does the conducted site investigation meet minimum criteria outlined in Table 2?	___	___	_____
10. Are the explorations plotted and correctly numbered on the profile at their true elevation and location?	___	___	_____
11. Does the subsurface profile contain a word description and/or graphic depiction of soil and rock types?	___	___	_____
12. Are groundwater levels and date measured shown on the subsurface profile?	___	___	_____
Subsurface Profile or Field Boring Log (Pgs. 2-14, 2-15, 2-24 to 2-31)			
13. Are sample types and depths recorded?	___	___	_____
*14. Are SPT blow count, percent core recovery, and RQD values shown?	___	___	_____
15. If cone penetration tests were made, are plots of cone resistance and friction ratio shown with depth?			
Laboratory Test Data (Pgs. 4-6, 4-22, 4-23)			
*16. Were lab soil classification tests such as natural moisture content, gradation, Atterberg limits, performed on selected representative samples to verify field visual soil identification?	___	___	_____
17. Are laboratory test results such as shear strength (Pg. 4-14), consolidation (Pg. 4-9), etc., included and/or summarized?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

GTR REVIEW CHECKLIST FOR CENTERLINE CUTS AND EMBANKMENTS

B. Centerline Cuts and Embankments (Pgs. 2-2 to 2-6)

In addition to the basic information listed in Section A, is the following information provided in the project geotechnical report.

Are station-to-station descriptions included for:	Yes	No	Unknown or N/A
1. Existing surface and subsurface drainage?	___	___	_____
2. Evidence of springs and excessively wet areas?	___	___	_____
3. Slides, slumps, and faults noted along the alignment?	___	___	_____

Are station-to-station recommendations included for the following?

General Soil Cut or Fill

4. Specific surface/subsurface drainage recommendations?	___	___	_____
5. Excavation limits of unsuitable materials?	___	___	_____
*6. Erosion protection measures for back slopes, side slopes, and ditches, including riprap recommendations or special slope treatment.	___	___	_____

Soil Cuts (Pgs. 5-23, 5-24)

*7. Recommended cut slope design?	___	___	_____
8. Are clay cut slopes designed for minimum F.S. = 1.50?	___	___	_____
9. Special usage of excavated soils?	___	___	_____
10. Estimated shrink-swell factors for excavated materials?	___	___	_____
11. If answer to 3 is yes, are recommendations provided for design treatment?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

B. Centerline Cuts and Embankments (Cont.)	Yes	No	Unknown or N/A
Fills (Pgs. 5-1 to 5-3)			
12. Recommended fill slope design?	___	___	_____
13. Will fill slope design provide minimum F.S. = 1.25?	___	___	_____
Rock Slopes			
*14. Are recommended slope designs and blasting specifications provided?	___	___	_____
*15. Is the need for special rock slope stabilization measures, e.g., rockfall catch ditch, wire mesh slope protection, shotcrete, rock bolts, addressed?	___	___	_____
16. Has the use of "template" designs been avoided (such as designing all rock slopes on 0.25:1 rather than designing based on orientation of major rock jointing)?	___	___	_____
*17. Have effects of blast induced vibrations on adjacent structures been evaluated?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

C. Embankments Over Soft Ground

Where embankments must be built over soft ground (such as soft clays, organic silts, or peat), stability and settlement of the fill should be carefully evaluated. In addition to the basic information listed in Section A, is the following information provided in the project geotechnical report?

Embankment Stability (Pgs. 5-1 to 5-3, 5-20 to 5-22)	Yes	No	Unknown or N/A
*1. Has the stability of the embankment been evaluated for minimum F.S. = 1.25 for side slope and 1.30 for end slope of bridge approach embankments?	___	___	_____
*2. Has the shear strength of the foundation soil been determined from lab testing and/or field vane shear or cone penetrometer tests?	___	___	_____
*3. If the proposed embankment does not provide minimum factors of safety given above, are recommendations given or feasible treatment alternates, which will increase factor of safety to minimum acceptable (such as change alignment, lower grade, use stabilizing counterberms, excavate and replace weak subsoil, lightweight fill, geotextile fabric reinforcement, etc.)?	___	___	_____
*4. Are cost comparisons of treatment alternates given and a specific alternate recommended?	___	___	_____
Settlement of Subsoil (Pgs. 6-7 to 6-20)			
5. Have consolidation properties of fine-grained soils been determined from laboratory consolidation tests?	___	___	_____
*6. Have settlement amount and time been estimated?	___	___	_____
7. For bridge approach embankments, are recommendations made to get the settlement out before the bridge abutment is constructed (waiting period, surcharge, or wick drains)?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

C. Embankments Over Soft Ground (Cont.)	Yes	No	Unknown or N/A
8. If geotechnical instrumentation is proposed to monitor fill stability and settlement, are detailed recommendations provided on the number, type, and specific locations of the proposed instruments?	___	___	_____
Construction Considerations (Pgs. 10-8, 10-9)			
9. If excavation and replacement of unsuitable shallow surface deposits (peat, muck, top soil) is recommended, are vertical and lateral limits of recommended excavation provided?	___	___	_____
10. Where a surcharge treatment is recommended, are plan and cross-section of surcharge treatment provided in geotechnical report for benefit of the roadway designer?	___	___	_____
11. Are instructions or specifications provided concerning instrumentation, fill placement rates and estimated delay times for the contractor?	___	___	_____
12. Are recommendations provided for disposal of surcharge material after the settlement period is complete?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

D. Landslide Corrections (Pgs. 5-1 to 5-4, 5-17 to 5-20)

In addition to the basic information listed in Section A, is the following information provided in the landslide study geotechnical report? (Refer to Table 4 for guidance on the necessary technical support data for correction of slope instabilities.)

		Yes	No	Unknown or N/A
*1.	Is a site plan and scaled cross-section provided showing ground surface conditions both before and after failure?	___	___	_____
*2.	Is the past history of the slide area summarized, including movement history, summary of maintenance work and costs, and previous corrective measures taken, if any?	___	___	_____
*3.	Is a summary given of results of site investigation, field and lab testing, and stability analysis, including cause(s) of the slide?	___	___	_____
	Plan			
4.	Are detailed slide features, including location of ground surface cracks, head scarp, and toe bulge, shown on the site plan?	___	___	_____
	Cross-section			
*5.	Are the cross-sections used for stability analysis included with the soil profile, water table, soil unit weights, soil shear strengths, and failure plane shown as it exists?	___	___	_____
6.	Is slide failure plane location determined from slope indicators?	___	___	_____
*7.	For an active slide, was soil strength along the slide failure plane back-calculated using a F.S. = 1.0 at the time of failure?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

D. Landslide Corrections (Cont.)	Yes	No	Unknown or N/A
Text			
*8. Is the following information presented for each proposed correction alternative (typical correction methods include buttress, shear key, rebuild slope, surface drainage, subsurface drainage-interceptor, drain trenches or horizontal drains, etc.).			
a. Cross-section of proposed alternative?	___	___	_____
b. Estimated safety factor?	___	___	_____
c. Estimated cost?	___	___	_____
c. Advantages and disadvantages?	___	___	_____
9. Is recommended correction alternative(s) given that provide a minimum F.S. = 1.25?	___	___	_____
10. If horizontal drains are proposed as part of slide correction, has subsurface investigation located definite water bearing strata that can be tapped with horizontal drains?	___	___	_____
11. If a toe counterberm is proposed to stabilize an active slide has field investigation confirmed that the toe of the existing slide does not extend beyond the toe of the proposed counterberm?	___	___	_____
Construction considerations			
12. Where proposed correction will require excavation into the toe of an active slide (such as for buttress or shear key) has the “during construction backslope F.S.” with open excavation been determined?	___	___	_____
13. If open excavation F.S. is near 1.0, has excavation stage stage construction been proposed?	___	___	_____
14. Has seasonal fluctuations of groundwater table been considered?	___	___	_____
15. Is stability of excavation backslope to be monitored?	___	___	_____
16. Are special construction features, techniques and materials described and specified?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

GTR REVIEW CHECKLIST FOR RETAINING STRUCTURES

E. Retaining Structures (See "Earth Retaining Structures" FHWA NHI-99-025)

In addition to the basic information listed in Section A, is the following information provided in the project geotechnical report?

		Yes	No	Unknown or N/A
*1.	Recommended soil strength parameters and groundwater elevations for use in computing wall design lateral earth pressures and factor of safety for overturning, sliding, and external slope stability.	___	___	_____
2.	Is it proposed to bid alternate wall designs?	___	___	_____
*3.	Are acceptable reasons given for the choice and/or exclusion of certain wall types?	___	___	_____
*4.	Is an analysis of the wall stability included with minimum acceptable factors of safety against overturning (F.S. = 2.0), sliding (F.S. = 1.5), and external slope stability (F.S. = 1.5)?	___	___	_____
5.	If wall will be placed on compressible foundation soils, is estimated total, differential and time rate of settlement given?	___	___	_____
6.	Will wall types selected for compressible foundation soils allow differential movement without distress?	___	___	_____
7.	Are wall drainage details, including materials and compaction, provided?	___	___	_____
	Construction Considerations			
8.	Are excavation requirements covered including safe slopes for open excavations or need for sheeting or shoring?	___	___	_____
9.	Fluctuation of groundwater table?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

Top-down Construction Type Walls (See "Manual for Design & Construction Monitoring of Soil Nail Walls", FHWA SA-96-069R and "Ground Anchors and Anchored Systems", FHWA IF-99-015)

		Yes	No	Unknown or N/A
*10.	For soil nail and anchor walls are the following included in the geotechnical report?			
	a. Design soil parameters (ϕ, c, γ)	___	___	_____
	b. Minimum bore size (soil nails)?	___	___	_____
	c. Design pullout resistance (soil nails)?	___	___	_____
	d. Ultimate anchor capacity (anchors)?	___	___	_____
	e. Corrosion protection requirements?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

GTR REVIEW CHECKLIST FOR SPREAD FOOTINGS

F. Structure Foundations – Spread Footings (Pgs. 7-1 to 7-17)

In addition to the basic information listed in Section A, is the following information provided in the project foundation report?

		Yes	No	Unknown or N/A
*1.	Are spread footing recommended for foundation support? If not, are reasons for not using them discussed?	___	___	_____
	If spread footing supports are recommended, are conclusions and recommendations given for the following:			
*2.	Is recommended bottom of footing elevation and reason for recommendation (e.g., based on frost depth, estimated scour depth, or depth to competent bearing material) given?	___	___	_____
*3.	Is recommended allowable soil or rock bearing pressure given?	___	___	_____
*4.	Is estimated footing settlement and time given?	___	___	_____
*5.	Where spread footings are recommended to support abutments placed in the bridge end fill, are special gradation and compaction requirements provided for select end fill and backwall drainage material (Pgs. 6-1 to 6-4)	___	___	_____
	Construction Considerations			
6.	Have the materials been adequately described on which the footing is to be placed so the project inspector can verify that material is as expected?	___	___	_____
7.	Have excavation requirements been included for safe slopes in open excavations, need for sheeting or shoring, etc.?	___	___	_____
8.	Has fluctuation of the groundwater table been addressed?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

GTR REVIEW CHECKLIST FOR DRIVEN PILES

G. Structure Foundations – Driven Piles (Pgs. 8-1 to 8-29, 9-1 to 9-35)

In addition to the basic information listed in Section A, if pile support is recommended or given as an alternative, conclusions/recommendations should be provided in the project geotechnical report for the following:

		Yes	No	Unknown or N/A
*1.	Is the recommended pile type given (displacement, non-displacement, steel pipe, concrete, H-pile, etc.) with valid reasons given for choice and/or exclusion? (Pgs. 8-1 to 8-3)	___	___	_____
2.	Do you consider the recommended pile type(s) to be the most suitable and economical?	___	___	_____
*3.	Are estimated pile lengths and estimated tip elevations given for the recommended allowable pile design loads?	___	___	_____
4.	Do you consider the recommended design loads to be reasonable?	___	___	_____
5.	Has pile group settlement been estimated (only of practical significance for friction pile groups ending in cohesive soil)? (Pgs. 8-20 to 8-22)	___	___	_____
6.	If a specified or minimum pile tip elevation is recommended, is a clear reason given for the required tip elevation, such as underlying soft layers, scour, downdrag, piles uneconomically long, etc.?	___	___	_____
*7.	Has design analysis (wave equation analysis) verified that the recommended pile section can be driven to the estimated or specified tip elevation without damage (especially applicable where dense gravel-cobble-boulder layers or other obstructions have to be penetrated)?	___	___	_____
8.	Where scour piles are required, have pile design and driving criteria been established based on mobilizing the full pile design capacity below the scour zone?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

G. Structure Foundations – Driven Piles (Cont.)	Yes	No	Unknown or N/A
9. Where lateral load capacity of large diameter piles is an important design consideration, are p-y curves (load vs. deflection) or soil parameters given in the geotechnical report to allow the structural engineer to evaluate lateral load capacity of all piles?	___	___	_____
*10. For pile supported bridge abutments over soft ground:			
a. Has abutment downdrag load been estimated and solutions such bitumen coating been considered in design? Not generally required if surcharging of the fill is being performed. (Pgs. 8-21, 8-23)	___	___	_____
b. Is bridge approach slab recommended to moderate differential settlement between bridge ends and fill?	___	___	_____
c. If the majority of subsoil settlement will not be removed prior to abutment construction (by surcharging), has estimate been made of abutment rotation that can occur due to lateral squeeze of soil subsoil? (Pgs. 5-25, 5-26)	___	___	_____
d. Does the geotechnical report specifically alert the structural designer to the estimated horizontal abutment movement?	___	___	_____
11. If bridge project is large, has pile load test program been recommended? (Pgs. 9-23 to 9-26)	___	___	_____
12. For major structure in high seismic risk area, has assessment been made of liquefaction potential of foundation soil during design earthquake (only loose saturated sands and silts are susceptible to liquefaction)? (See GEC No. 3, FHWA SA-97-076)	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

G. Structure Foundations – Driven Piles (Cont.)

Construction Considerations (Pgs. 9-4 to 9-35)	Yes	No	Unknown or N/A
13. Pile driving details such as: boulders or obstructions which may be encountered during driving; need for preaugering, jetting, spudding; need for pile tip reinforcement; driving shoes, etc.?	___	___	_____
14. Excavation requirements: safe slope for open excavations; need for sheeting or shoring; fluctuation of groundwater table?	___	___	_____
15. Have effects of pile driving operation on adjacent structures been evaluated such as protection against damage caused by footing excavation or pile driving vibrations?	___	___	_____
16. Is preconstruction condition survey to be made of adjacent structures to prevent unwarranted damage claims?	___	___	_____
17. On large pile driving projects, have other methods of pile driving control been considered such as dynamic testing or wave equation analysis?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

H. Structure Foundations – Drilled Shafts (Pgs. 8-23 to 8-29)

In addition to the basic information listed in Section A, if drilled shaft support is recommended or given as an alternative, are conclusion/recommendations provided in the project foundation report for the following:

		Yes	No	Unknown or N/A
*1.	Are recommended shaft diameter(s) and length(s) for allowable design loads based on an analysis using soil parameters for side friction and end bearing?	___	___	_____
*2.	Settlement estimated for recommended design loads?	___	___	_____
*3.	Where lateral load capacity of shaft is an important design consideration, are p-y (load vs. deflection) curves or soils data provided in geotechnical report that will allow structural engineer to evaluate lateral load capacity of shaft?	___	___	_____
4.	Is static load test (to plunging failure) recommended?	___	___	_____
	Construction Considerations			
5.	Have construction methods been evaluated, i.e., can less expensive dry method or slurry method be used or will casing be required?	___	___	_____
6.	If casing will be required, can casing be pulled as shaft is concreted (this can result in significant cost savings on very large diameter shafts)?	___	___	_____
7.	If artesian water was encountered in explorations, have design provisions been included to handle it (such as by requiring casing and a tremie seal)?	___	___	_____
8.	Will boulders be encountered? (If boulders will be encountered, then the use of shafts should be seriously questioned due to construction installation difficulties and resultant higher cost to boulders can cause.)	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

GTR REVIEW FOR GROUND IMPROVEMENT TECHNIQUES

I. Ground Improvement Techniques

In addition to the basic information listed in Section A, if ground improvement techniques are recommended or given as an alternative, are conclusion/recommendations provided in the project foundation report for the following:

		Yes	No	Unknown or N/A
1.	For wick drains, do recommendations include the coefficient of consolidation for horizontal drainage, c_h, and the length and spacing of wick drains?	___	___	_____
2.	For lightweight fill, do recommendations include the material properties (ϕ, c, γ), permeability, compressibility, and drainage requirements?	___	___	_____
3.	For vibro-compaction, do the recommendations include required degree of densification (e.g., relative density, SPT blow count, etc.), settlement limitations, and quality control?	___	___	_____
4.	For dynamic compaction, do the recommendations include required degree of densification (e.g., relative density, SPT blow count, etc.), settlement limitations, and quality control?	___	___	_____
5.	For stone columns, do the recommendations include spacing and dimensions of columns, bearing capacity, settlement characteristics, and permeability (seismic applications)?	___	___	_____
6.	For grouting, do the recommendations include the grouting method (permeation, compaction, etc.), material improvement criteria, settlement limitations, and quality control?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

GTR REVIEW CHECKLIST FOR MATERIAL SITES

J. Material Sites

In addition to the basic information listed in Section A, is the following information provided in the project Material Site Report.

		Yes	No	Unknown or N/A
1.	Material site location, including description of existing or proposed access routes and bridge load limits, if any?	___	___	_____
*2.	Have soil samples representative of all materials encountered during pit investigation been submitted and tested?	___	___	_____
*3.	Are laboratory quality test results included in the report?	___	___	_____
4.	For aggregate sources, do the laboratory quality test results (such as L.A. abrasion, sodium sulfate, degradation, absorption, reactive aggregate, etc.) indicate if specification materials can be obtained from the deposit using normal processing methods?	___	___	_____
5.	If the lab quality test results indicate that specification material cannot be obtained from the pit materials as they exist naturally, has the source been rejected or are detailed recommendations provided for processing or controlling production so as to ensure a satisfactory product?	___	___	_____
*6.	For soil borrow sources, have possible difficulties been noted, such as above optimum moisture content for clay-silt soils, waste due to high PI, boulders, etc.?	___	___	_____
*7.	Where high moisture content clay-silt soils must be used, are recommendations provided on the need for aeration to allow the materials to dry out sufficiently to meet compaction requirements?	___	___	_____
8.	Are estimated shrink-swell factors provided.	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

I. Material Sites (Cont.)	Yes	No	Unknown or N/A
*9. Do the proven material site quantities satisfy the estimated project quantity needs?	___	___	_____
10. Where materials will be executed from below the water table, have seasonal fluctuations of the water table been determined?	___	___	_____
11. Are special permit requirements been covered?	___	___	_____
12. Have pit reclaimation requirements been covered adequately?			
13. Has a material site sketch (plan and profile) been provided for inclusion in the plans, which contains:	___	___	_____
a. Material site number?	___	___	_____
b. North arrow and legal subdivision?	___	___	_____
c. Test hole or test pit logs, locations, numbers and date?	___	___	_____
d. Water table elevation and date?	___	___	_____
e. Depth of unsuitable overburden, which will have to be stripped?	___	___	_____
f. Suggested overburden disposal area?	___	___	_____
g. Proposed mining area and previously mined areas?	___	___	_____
h. Existing stockpile locations?	___	___	_____
i. Existing or suggested access road?	___	___	_____
j. Bridge load limits?	___	___	_____
k. Reclaimation details?	___	___	_____
14. Are recommended special provisions provided?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

PS&E REVIEW CHECKLISTS

Plans and specifications (PS&E)** reviews of projects with major or unusual geotechnical features[1] should preferably be made by examining the plans, special provisions, and geotechnical report together.***

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Certain checklist items are of vital importance to have been included in the PS&E. These checklist items have been marked with an asterisk (*). A negative response to any of these asterisked items is cause to contact the geotechnical engineer for clarification of this omission.

The information covered in Section A, General will apply to all geotechnical features. The rest of the sections cover additional important PS&E review items that pertain to specific geotechnical features.

** For purposes of this document, PS&E refers to a plan and specification review at any time during a project's development. Hence, the review may be at a preliminary or partial stage of plan development.

***When plan reviews are conducted at a partial stage the final geotechnical report may not be available.

[1]Major and unusual geotechnical features are defined in Table 1.

PS&E REVIEW CHECKLIST – GENERAL

A. General		Yes	No	Unknown or N/A
*1.	Has the appropriate geotechnical engineer reviewed the PS&E to ensure that the design and construction recommendations have been incorporated as intended and that the subsurface information has bee presented correctly? This is absolutely necessary.	___	___	_____
2.	Are the finished profile exploration logs and locations included in the plans?	___	___	_____
*3.	Have geotechnical designs prepared by region or district offices or consultants been reviewed and approved by the State Headquarters' geotechnical engineer?	___	___	_____
4.	Do the contract documents contain the special provisions as provided in the project geotechnical report?	___	___	_____
5.	Have the following common pitfalls been avoided:			
	a. Has an adequate site investigation been conducted (reasonably meeting or exceeding the minimum criteria given in Table 2)?	___	___	_____
	b. Has the use of "subjective" subsurface terminology (such as relatively soft rock or gravel with occasional boulders) been avoided?	___	___	_____
	c. If alignment has been shifted, have additional subsurface explorations been conducted along the new alignment?	___	___	_____
	d. Has a note been included in the contract indicating all subsurface information is available to bidders?	___	___	_____
	e. Do you think the wording of the geotechnical special provisions are clear, specific and unambiguous?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

PS&E REVIEW CHECKLIST FOR SPECIFIC FEATURES

		Yes	No	Unknown or N/A
B.	Centerline Cuts and Embankments			
1.	Where excavation is required, are excavation limits and description of unsuitable organic soils shown on the plans?	___	___	_____
2.	Are plan details and special provisions provided for special drainage details, such as lined surface ditches, drainage blanket under sidehill fill, interceptor trench drains, etc.?	___	___	_____
3.	Are special provisions included for fill materials requiring special treatment, such as nondurable shales, lightweight fill, etc.?	___	___	_____
4.	Are special provisions provided for any special rock slope excavation and stabilization measures called for in plans, such as controlled blasting, wire mesh slope protection, rock bolts, shotcrete, etc.?	___	___	_____
C.	Embankments Over Soft Ground			
*1.	Where subexcavation is required, are excavation limits and description of unsuitable soils clearly shown on the plans?	___	___	_____
*2.	Where settlement waiting period will be required, has estimated settlement time been stated in the special provisions to allow bidders to fairly bid the project?	___	___	_____
*3.	If instrumentation will be used to control the rate of fill placement, do special provisions clearly spell out how this will be done and how the readings will be used to control the contractor's operation?	___	___	_____
4.	Do special provisions state that any instrumentation damage by contractor personnel will be repaired at the contractor's expense?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

PS&E REVIEW CHECKLIST FOR SPECIFIC FEATURES

		Yes	No	Unknown or N/A
D.	Landslide Corrections			
1.	Are plan details and special provisions provided for special drainage details, such as lined surface ditches, drainage blankets, horizontal drains, etc.?	___	___	_____
*2.	Where excavation is to be made into the toe of an active slide, such as for a buttress or shear key, and stage construction is required, do the special provisions clearly spell out the stage construction sequence to be followed?	___	___	_____
*3.	Where a toe buttress is to be constructed, do the special provisions clearly state gradation and compaction requirements for the buttress material?	___	___	_____
*4.	If the geotechnical report recommends that slide repair work not be allowed during the wet time of the year, is the proposed construction schedule in accord with this?	___	___	_____
E.	Retaining Structures			
*1.	Are select materials specified for wall backfill with gradation and compaction requirements covered in the specification?	___	___	_____
2.	Are limits of required select backfill zones clearly detailed on the plans?	___	___	_____
3.	Are excavation requirements specified, e.g., safe slopes for excavations, need for sheeting, etc.?	___	___	_____
*4.	Where alternative wall types will be allowed, are fully detailed plans included for all alternatives?	___	___	_____
5.	Were designs prepared by the wall supplier?	___	___	_____
6.	Were wall supplier's design calculations and specifications reviewed and approved by the structural and geotechnical engineers?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

E. Retaining Structures (Cont.)	Yes	No	Unknown or N/A
*7. Where proprietary retaining walls are bid as alternates, does bid schedule require bidders to designate which alternate their bid is for, to prevent bid shopping after contract award?	___	___	_____
8. Have FHWA guidelines for experimental designations for certain proprietary wall types been followed?	___	___	_____
9. Is ROW limit or easements shown on plans and mentioned in specifications where anchors are to be installed?	___	___	_____
Top-down Construction Type Walls (See "Manual for Design & Construction Monitoring of Soil Nail Walls", FHWA SA-96-069R and "Ground Anchors and Anchored Systems", FHWA IF-99-015)			
*10. For soil nail and anchor walls are the following included in the provisions:			
a. Construction tolerances?	___	___	_____
b. Minimum drill-hole size?	___	___	_____
c. Material requirements?	___	___	_____
d. Load testing procedures and acceptance criteria?	___	___	_____
e. Construction monitoring requirements?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

F. Structure Foundations – Spread Footings	Yes	No	Unknown or N/A
*1. Where spread footings are to be placed on natural soil, is the specific bearing strata in which the footing is to be founded clearly described, e.g., placed on Br. Sandy GRAVEL deposit, etc.?	___	___	_____
*2. Where spread footings are to be placed in the bridge end fill, are gradation and compaction requirements, for the select fill and backfill drainage material, covered in the special provisions, standard specifications, or standard structure sheets?	___	___	_____

G. Structure Foundations – Driven Piles			
1. Do plan details adequately cover pile splices tip reinforcement, driving shoes, etc.?	___	___	_____
*2. Where friction piles are to be driven in silty or clayey soils, significant setup or soil freeze affecting long-term capacity may occur. Do specifications require retapping the piles after 24 to 48 hour waiting period when required bearing is not obtained at estimated length at the end of initial driving?	___	___	_____
3. Where friction piles are to be load tested, has a reaction load of four times design load been specified to allow load testing the pile to plunging failure so that the ultimate soil capacity can be determined?	___	___	_____
4. Where end bearing steel piles are to be load tested, has load test been designed to determine if higher than 62 MPa (9 ksi) allowable steel stress can be used, e.g., 83 to 103 MPa (12 – 15 ksi)?	___	___	_____
*5. Where cofferdam construction will be required, have soil gradation results been included in the plans or been made available to bidders to assist them in determining dewatering procedures?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

G. Structure Foundations – Driven Piles (Cont.)	Yes	No	Unknown or N/A
*6. If a wave equation analysis will be used to approve the contractor's pile driving hammer, has a minimum hammer energy or estimated soil resistance in kN (tons) to be overcome to drive the piles to the estimated length, been given in the special provisions?	___	___	_____
*7. Has the appropriate safety factor, based on construction control method (static load test, dynamic load test, wave equation, etc.) been included? Have the specifications for the applicable construction control method been included?	___	___	_____
H. Structure Foundations – Drilled Shafts			
*1. Where drilled shafts are to be placed in soil, is the specified bearing stratum in which the drilled shaft is to be found clearly described, e.g., placed on Br. Sandy GRAVEL deposit, etc.?	___	___	_____
2. Where end bearing drilled shafts are to be founded on rock, has the rock elevation at the shaft pier locations been determined form borings at the pier locations?	___	___	_____
3. Where drilled shafts are to be socketed some depth into rock, have rock cores been extracted at depths to 3 m (10 ft) below proposed socket at location within 3 m (10 ft) of the shaft?	___	___	_____
*4. Are shafts equipped with PVC access tubes to accommodate non-destructive testing (gamma/gamma logging, cross-hole sonic logging) of the shaft? Are provisions for the appropriate non-destructive testing methods included?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

PS&E REVIEW CHECKLIST FOR SPECIFIC FEATURES

I. Ground Improvement Techniques	Yes	No	Unknown or N/A
1. For wick drains, are contractor submittals required that include proposed equipment and materials, method(s) for addressing obstructions, and method(s) for splicing wick drains.	___	___	_____
2. For lightweight fill, are minimum/maximum densities, gradation, lift thickness, and method of compaction specified?	___	___	_____
3. For vibro-compaction, are contractor submittals required that include proposed equipment and materials? Are methods of measurement and acceptance criteria specified?	___	___	_____
4. For dynamic compaction:			
a. If method specification is used, are the following specified: tamper mass and size; drop height, grid spacing; applied energy; number of phases or passes; site preparation requirements; subsequent surface compaction procedures?	___	___	_____
b. If performance specification is used, are the following specified: minimum soil property value to be achieved and method of measurement; maximum permissible settlement?	___	___	_____
5. For stone columns, are the following specified: site preparation, backfill materials, minimum equipment requirements, acceptance criteria and quality assurance procedures?	___	___	_____
6. For grouting, are contractor submittals required that include proposed equipment and materials. Are methods of measurement and acceptance criteria specified?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.

PS&E REVIEW CHECKLIST FOR SPECIFIC FEATURES

J. Material Sites		Yes	No	Unknown or N/A
*1.	Is a material site sketch, containing the basic information listed on page 27, included in the plans?	___	___	_____
*2.	Has the material site investigation established a proven quantity of material sufficient to satisfy the project estimated quantity needs?	___	___	_____
3.	Where specification material cannot be obtained directly from the natural deposit, do the special provisions clearly spell out that processing will be required?	___	___	_____
4.	Are contractor special permit requirements covered in the special provisions?	___	___	_____
5.	Are pit reclaimation requirements clearly spelled out on the plans and in the special provisions?	___	___	_____

*A response other than (yes) or (N/A) for any of these checklist questions is cause to contact the appropriate geotechnical engineer for a clarification and/or to discuss the project.