

# **Oversight of Consultant and LPA Inspection Teams During Construction**

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# From Preliminary Engineering to Construction Engineering, the passing of the Baton

**Phase 1**, the Local Projects Division, Project Coordinator (LPD PC) will assist the Local Public Agency (LPA) with the selection of a Construction Engineering (CE) firm.

Please note the consultant selection process is to be completed prior to submittal of the project to the Project Scheduling and Estimating (PS&E) Section of the Construction Division.

When the project is submitted to PS&E, it moves from the Preliminary Engineering (PE) phase to the Construction Engineering (CE) phase and the project coordination activities move from the LPD to the Construction Division.

# SOS/ICE for Construction Engineering

**Phase 2**, the Construction Division Project Coordinator (CD PC) will assist the LPA in the development of the Scope of Services/Independent Cost Estimate (SOS/ICE) for the construction phase.

**The State Representative indentified for the project will be asked to participate in the scoping meeting between the LPA and CE firm.**

**Phase 3**, the CD PC will assist the LPA with the negotiations, preparation of the pre and post memorandums of negotiation, and the contract documents.

# The Goal

The goal is to have the CE firm under contract and notice to proceed with construction engineering services before the project is awarded to the Contractor

# Responsibilities of the State Representative

- The State Representative needs to read and have a clear understanding of the commitments made by the LPA in the Program Agreement, between the Nebraska Department of Roads and the LPA.

The scope of Construction Engineering services to be provided as detailed in the Engineering Agreement between the LPA and the CE firm.

The scope of the construction work as shown in the plans, specifications and contract documents documents between the LPA and the Contractor.

# Agreements

- The Program Agreement and the Construction Engineering Agreement may be found in Falcon.
- The plans, specifications and contract documents for the construction of the project will be forwarded to the District Office by the Construction Office.

# Falcon

Falcon/DMS DocMan (Environment: Local Projects)

File View Environments References MicroStation Tools Help

Find Clear

Local Project Type

Project Control #


Document Type

File Type

Agreement Number

Description

Filename



**Document Information**

Local Project Type

Project Control #

Document Category

Description

**File Type**

Document Date

Agreement Number

| Filename | File Type | Description | Document Date | Document Type | Proj... | Agreement Number |
|----------|-----------|-------------|---------------|---------------|---------|------------------|
|----------|-----------|-------------|---------------|---------------|---------|------------------|

# Searching for Documents in Falcon

Falcon/DMS DocMan (Environment: Local Projects)

File View Environments References MicroStation Tools Help

Find Clear

Local Project Type

Project Control #  
22468


Document Type  
20- Agreements -Executed -A

File Type  
AGREEMENT

Agreement Number

Description

Filename



| Filename | File Type | Description |
|----------|-----------|-------------|
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# Searching for Documents in Falcon

Falcon/DMS DocMan (Environment: Local Projects)

File View Environments References MicroStation Tools Help

Find Clear

Local Project Type

Project Control # 22468

Document Type 20-Agreements -Executed -A

File Type AGREEMENT

Agreement Number

Description

Filename

AGREEMENT MONITORING SYSTEM  
**Agreement File Update** **B K 1 1 6 2**

Date: June 24, 2011

| AGREEMENT NO. |                |      |              |                  |                          |      | PARTICIPANTS INVOLVED IN AGREEMENTS | FINANCIAL AGREEMENT | DOLLARS | FINANCIAL PARTICIPATION |   |   | EXECUTION DATE |         |       | EXPIRATION DATE |     |      |       |     |
|---------------|----------------|------|--------------|------------------|--------------------------|------|-------------------------------------|---------------------|---------|-------------------------|---|---|----------------|---------|-------|-----------------|-----|------|-------|-----|
| O.P.R.        | AGREEMENT TYPE | YEAR | SEQUENCE NO. | SUPPLEMENTAL NO. | AGREEMENT CLASSIFICATION | 1    |                                     |                     |         | 2                       | 3 | 4 | STATE          | FEDERAL | OTHER | Month           | Day | Year | Month | Day |
| B             | K              | 11   | 62           | 70               |                          | 3028 | 6523                                |                     |         | Y                       |   | N | Y              | Y       | 8     | 5               | 11  |      |       |     |

| CONTROL NO. 1  | CONTROL NO. 2 | CONTROL NO. 3 | Project No.:                                   | Responsible Charge:     |                     |
|--|---------------|---------------|--|-------------------------|---------------------|
| 22468  |               |               | MAFA-3795(5)                                   | Ron Way                 |                     |
| Brief Description of Agreement   |               |               | Location:                                      | Project Coordinator:    |                     |
| Construction Engineering Agreement between Douglas County and Thiele Geotech |               |               | Douglas County Wide Resurfacing                | Jason Freidrichs        |                     |
| FMIS action attached   |               |               | Contractor:                                    | Local Projects Section: |                     |
|  |               |               | Douglas County - 3028<br>Thiele Geotech - 6523 | Urban                   |                     |
| Financing  | O.E.          | %             | Activity                                       | Account                 | Dollars             |
| Federal Funds  | 904           | 80            | 6990   | 4491                    | 114,830.00          |
| State Funds  |               |               |  |                         |                     |
| Other  | 904           | 20            | 6990   | 4491                    | 28,707.00           |
| <b>Total Financing</b>   |               |               |  |                         | <b>\$143,537.00</b> |

Requires de-delegation. Excess funds are available AS 8/5/2011

FMIS Action Requested:  Yes  No  
 FMIS Action Approved:  Yes  No  
 RDP Form 656-Local Projects, January 2011

1 Section Head  
 2 Division Head  
 3 Quality Management  
 4 Project Coordinator  
 5 Agreements  
 6 Agreements Engineer  
 7 Project Development  
 8 Falcon

Document Information

Local Project Type urban

Project Control # 22468

Document Category 20-agreements -executed -all

Description Construction Engineering Agreement - NDOR/Douglas County/Thiele Geotech

File Type AGREEMENT

Document Date

Agreement Number BK1162

Availability On Server

Checked Out To

Workstation drcomm49

Created By

Search Results

| Filename               | File Type | Description   | Document Date | Document Type          | Proj... | Agreement Number |
|------------------------|-----------|---|---------------|------------------------|---------|------------------|
| 000776691-document.pdf | agreement | 22468 signing res Douglas Co 10-19-10                   | 10/19/2010    | 20-agreements -exec... | 22468   | none             |
| 22468 - bk1162.pdf     | agreement | Construction Engineering Agreement - NDOR/Douglas Co... |               | 20-agreements -exec... | 22468   | bk1162           |
| 22468 - b11063.pdf     | agreement | Countywide Resurfacing - Douglas County                 | 7/13/2010     | 20-agreements -exec... | 22468   | b11063           |

# Documentation

District will periodically check the documentation supplied by the LPA and CE.

# Complete checklists 12-20, The Environmental Compliance Inspection Audit Form



## Construction Environmental Compliance Inspection Audit Form

**Instructions for Use:** This form is to be completed by a member of the NDOR Compliance Oversight Team (comprised of NDOR District Environmental Coordinators, NDOR Environmental Permits Unit Staff, and Roadside Stabilization Units and Construction Division Staff) who is an NDOR Certified Erosion and Sediment Control Inspector. This checklist is to verify the environmental commitments, in the NEPA documents, project permits and concurrences, are being met through adequate inspection. The NDOR Roadside Stabilization Unit Manager will determine the minimum frequency of project audits based on the decision matrix included in the Environmental Compliance Inspection and Oversight Plan, once the green sheet has been prepared. The NDOR Roadside Stabilization Unit Manager will add the required minimum frequency of audits to the green sheet.

The Construction Engineer (CE) is required to create a checklist to show compliance with all environmental commitments for the project. This audit will review the CE checklists to ensure they are being completed and the project is complying with all applicable environmental commitments.

The NDOR representative who completes this checklist is responsible for adding a copy of the completed checklist to the correspondence log into SiteManager. The NDOR representative will also notify the NDOR Roadside Stabilization Unit Manager and the NDOR LPD PC when the checklist is logged into SiteManager.

|  |   |                                      |
|--|---|--------------------------------------|
| Local Public Agency (LPA):<br>→ [ ]    | LPA Responsible Charge:<br>→ [ ]                    |                                      |
| State Project No.:<br>→ [ ]            | Project Name and Location:<br>→ [ ]                 |                                      |
| State Control No.:<br>→ [ ]            | Date of Review:<br>→ [ ]                            | This Form was Completed By:<br>→ [ ] |
| Current Weather Conditions: -<br>→ [ ] | Date(s) of 1/2 inch or Greater Rain Event:<br>→ [ ] |                                      |

| Item # | Task Description or Questions  | Completed                |                          |                          | If No, Define Corrective Action | Details or Information Used to Verify Content | Additional Comments |
|--------|--|--------------------------|--------------------------|--------------------------|---------------------------------|---|---------------------|
|        |  | Yes                      | No                       | N/A                      |                                 |   |                     |
| 1      | Prior to conducting the inspection audit, I have reviewed all pertinent contract documents including the green sheet, permits, concurrences and project plans. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | [ ]                             | [ ]   | [ ]                 |

# Complete checklists 12-30

## The Construction Project File Review Checklist



### Construction Construction Project File Review Checklist

**Instructions for Use:** This checklist is not intended to assure that all conditions defined by the contract are met. This checklist is a tool used for each project built with Federal Aid Funds, to document minimum quality assurance activities that are performed by the LPA and/or NDOR at critical times during construction.

This form should be completed by LPA RC and/or NDOR State Representative during construction to check CE files. The LPA RC and/or NDOR State Representative is responsible for adding a copy of the completed checklist to the project correspondence log in SiteManager.

|                                     |                                     |                                      |
|-------------------------------------|-------------------------------------|--------------------------------------|
| Local Public Agency (LPA):<br>→ [ ] | LPA Responsible Charge:<br>→ [ ]    |                                      |
| State Project No.:<br>→ [ ]         | Project Name and Location:<br>→ [ ] |                                      |
| State Control No.:<br>→ [ ]         | Date of Review:<br>→ [ ]            | This Form was Completed By:<br>→ [ ] |

| Item # | Task Description or Questions  | Completed |     |     | If No, Define Corrective Action | Details or Information Used to Verify Content | Additional Comments |
|--------|--|-----------|-----|-----|---------------------------------|---|---------------------|
|        |  | Yes       | No  | N/A |                                 |   |                     |
| 1      | Are the LPA's construction files organized and clearly labeled?  | [ ]       | [ ] | [ ] | [ ]                             | [ ]   | [ ]                 |
| 2      | Is the correspondence file and other documentation filed in chronological order?   | [ ]       | [ ] | [ ] | [ ]                             | [ ]   | [ ]                 |
| 3      | Does the contract file contain the proposal, Notice-to-Proceed, specifications and environmental commitments which are in chronological order? | [ ]       | [ ] | [ ] | [ ]                             | [ ]   | [ ]                 |
| 4      | Do the files contain documents supporting each change order?   | [ ]       | [ ] | [ ] | [ ]                             | [ ]   | [ ]                 |
| 5      | Are the material test results and certifications filed by the type of work or other identifiable method?                                       | [ ]       | [ ] | [ ] | [ ]                             | [ ]   | [ ]                 |

# Complete checklists 12-50, The Diary Entry Review Checklist



## Construction Diary Entry Review

**Instructions for Use:** This checklist is not intended to assure that all conditions defined by the contract are met. This checklist is a tool used for each project built with Federal Aid Funds to document minimum quality assurance activities that are performed by the LPA and/or NDOR at critical times during construction.

This form should be completed by the LPA RC and/or State Representative. The LPA RC and/or NDOR State Representative is responsible for adding a copy of the completed checklist to the project correspondence log in SiteManager.

|                                     |                                     |                                      |
|-------------------------------------|-------------------------------------|--------------------------------------|
| Local Public Agency (LPA):<br>→ [ ] | LPA Responsible Charge:<br>→ [ ]    |                                      |
| State Project No.:<br>→ [ ]         | Project Name and Location:<br>→ [ ] |                                      |
| State Control No.:<br>→ [ ]         | Date of Review:<br>→ [ ]            | This Form was Completed By:<br>→ [ ] |

### Diary/Daily Reports

| Item # | Task Description or Questions   | Completed                |                          |                          | If No, Define Corrective Action | Details or Information Used to Verify Content | Additional Comments |
|--------|---|--------------------------|--------------------------|--------------------------|---------------------------------|---|---------------------|
|        |   | Yes                      | No                       | N/A                      |                                 |   |                     |
| 1      | Did the report include the weather conditions?  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | [ ]                             | [ ]   | [ ]                 |
| 2      | Did the report include the current controlling operation?                               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | [ ]                             | [ ]   | [ ]                 |
| 3      | Did the report specify the work activities performed on that day/week?                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | [ ]                             | [ ]   | [ ]                 |
| 4      | Were the pay quantities for the day's activities measured and documented?               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | [ ]                             | [ ]   | [ ]                 |
| 5      | If a major event (accident, emergency, form failure, etc.) occurred, was it documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | [ ]                             | [ ]   | [ ]                 |

# Responsibilities of The State Representative

The State Representative to the project will monitor the provisions set forth in the construction contract, discuss any project concerns with the LPA and report any unresolved issues to the NDOR Construction Division Project Coordinator and the LPA RC.

This monitoring will include, but is not limited to:

Field visits, attending the preconstruction conference/progress meetings, and participating in the final inspection.

Attend the pre-construction conference and assure the change order review and approval process is discussed, confirm the policy for preparing and approving progress estimates, and assure environmental commitments will be incorporated into the project;

# Responsibilities of The State Representative

Be a resource to the LPA on technical and/or administrative issues unique to or not expected by the LPA. In this role, NDOR will communicate and support the LPA and not direct the contractor;

Review the construction contract, permits, agreements, and become familiar with the project site and plans prior to the start of construction;

Follow the Change Order review and approval process as outlined in Section 12.9 of the LPA Manual. NDOR or FHWA will review and respond to change orders within five (5) business days of receipt;

Be a resource to the LPA for the prompt resolution of contractor complaints, disputes, and claims. Assist the LPA the resolution of complaints, disputes, or claims that extend the project construction time frame and/or increase project costs;

# Responsibilities of The State Representative

Review, verify, and accept all appropriate requests by the LPA for reimbursement for Federal and/or State funds. Requests for reimbursement must be signed and recommended by the NDOR State Representative prior to reimbursement. Contract quantities must have accurate records and be sufficiently detailed to withstand an audit;

Review and monitor the LPA's documentation pertaining to the construction activity, daily work logs, field reports, materials, and progress estimates;

Visit the project site at least on a weekly basis or more often as circumstances warrant. The NDOR State Representative will observe the construction activity, assure that the traffic control is done in accordance to the plans and MUTCD, confirm the erosion control is properly placed and retained as per the plans and specs, monitor the environmental commitments, verify that the inspection efforts are commensurate with the construction work, and check documentation for materials sampling, testing, and certification.



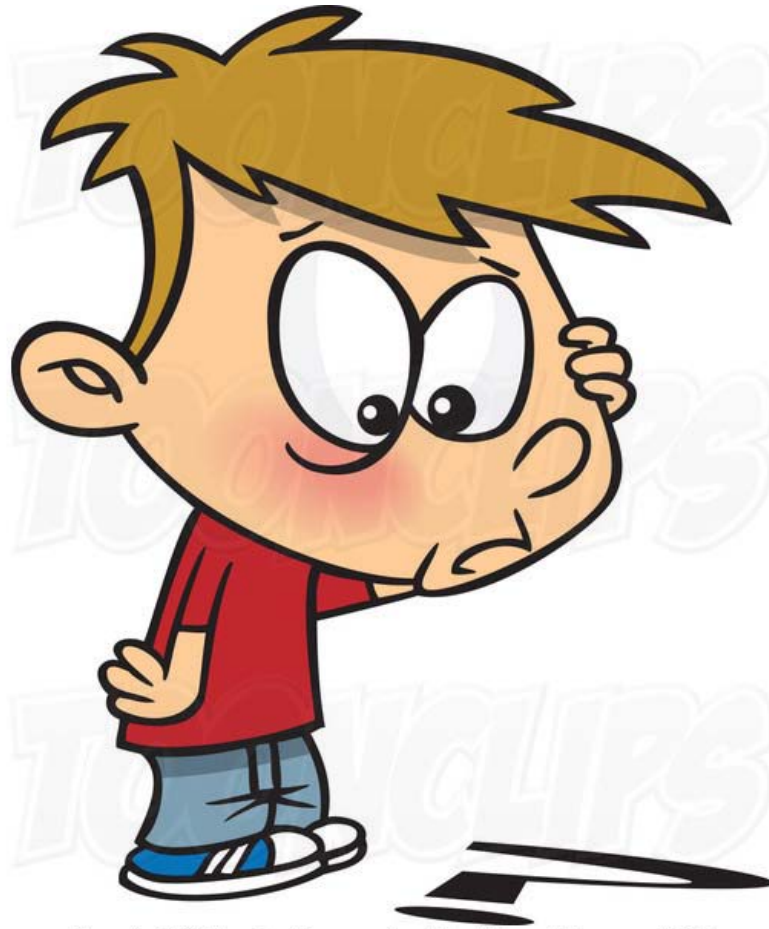
# Responsibilities of The State Representative

Monitor and provide guidance on Federal and State contract provisions in the areas of EEO, DBE, and Prevailing Wage Compliance;

Monitor the environmental and right of way commitments for the project;

**Be a technical resource and provide assistance.**

# Questions



# Questions



- The State Representative is to ensure all parties have a clear understanding of their respective responsibilities.
- at the at Pre-Construction Conference between LPA, Consultant (if applicable), & District.