

NDOR District Resources

for Local Federal-aid Projects

Mitchell Doht, PE

Quality Management Engineer

NDOR – Local Projects Division

February 28, 2012

Topics

1. Required Checklists
2. District Resources Website
3. Falcon & Clarity
4. Draft ROW Encroachment Policy

Topics

1. **Required Checklists**
2. District Resources Website
3. Falcon & Clarity
4. Draft ROW Encroachment Policy

Required Checklists

- Use of the Checklists is a **commitment** that NDOR made to FHWA

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- The **purpose** of the checklists is **documentation** of QC/QA activities

Required Checklists

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- The purpose of the checklists is documentation of QC/QA activities
- **Responsibility** for each checklist is assigned to appropriate personnel

Required Checklists


12-30 (Read-Only) [Compatibility Mode] - Microsoft Word

References Mailings Review View Get Started Acrobat Design Layout

Table Tools

View Side by Side Synchronous Scrolling Reset Window Position Switch Windows Macros

Page 1 of 2



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): []	LPA Responsible Charge: []	
State Project No.: []	Project Name and Location: []	
State Control No.: []	Date of Review: []	This Form was Completed By: []

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	[]	[]	[]	[]	[]	[]

February 28, 2012

Required Checklists


12-30 (Read-Only) [Compatibility Mode] - Microsoft Word

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Local Public Agency (LPA): []	LPA Responsible Charge: []	
State Project No.: []	Project Name and Location: []	
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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	[]	[]	[]	[]	[]	[]



February 28, 2012

Required Checklists

- You must be familiar with the **LPA Manual**

Required Checklists

- You must be familiar with the LPA Manual
- Look for a checklist, read the **instructions**

Required Checklists

- You must be familiar with the LPA Manual
- Look for a checklist, read the instructions
- Use the checklist, list **corrective actions**

Required Checklists

- You must be familiar with the LPA Manual
- Look for a checklist, read the instructions
- Use the checklist, list corrective actions
- **Follow-up and file**

Required Checklists

- NDOR **District personnel** shall use and file the Chapters 12 & 14 checklists

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 - **At least one of each checklist** must be part of the file at the time of project closeout

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 - At least one of each checklist must be part of the file at the time of project closeout
 - Fill out as **N/A** (and file it) if not applicable to a particular project

Required Checklists

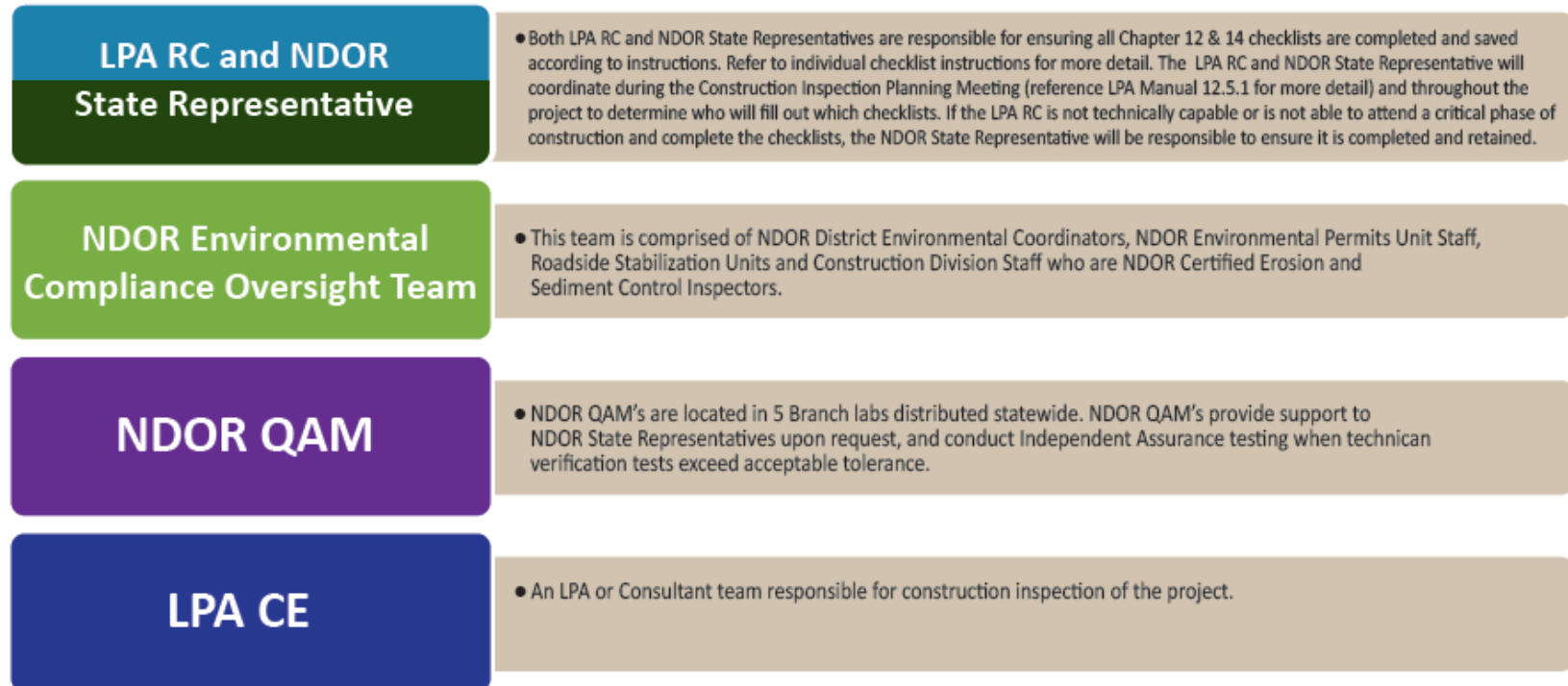
- NDOR District personnel shall use and file the Chapters 12 & 14 checklists
 - At least one of each checklist must be part of the file at the time of project closeout
 - Fill out as N/A (and file it) if not applicable to a particular project
 - **Chapter 12** checklists must be filed in SiteManager Correspondence file

Required Checklists

- NDOR District personnel shall use and file the Chapters 12 & 14 checklists
 - At least one of each checklist must be part of the file at the time of project closeout
 - Fill out as N/A (and file it) if not applicable to a particular project
 - Chapter 12 checklists must be filed in SiteManager Correspondence file
 - **Chapter 14** checklists must be printed and will become part of the Final Review Packet

LPA Chapter 12 and 14 Checklist Overview

Checklists are a tool being used for each LPA Project built with Federal Aid Funds, to document minimum Quality Assurance activities are performed by the LPA and NDOR during construction.



LPA Chapter 12 and 14 Checklist Overview

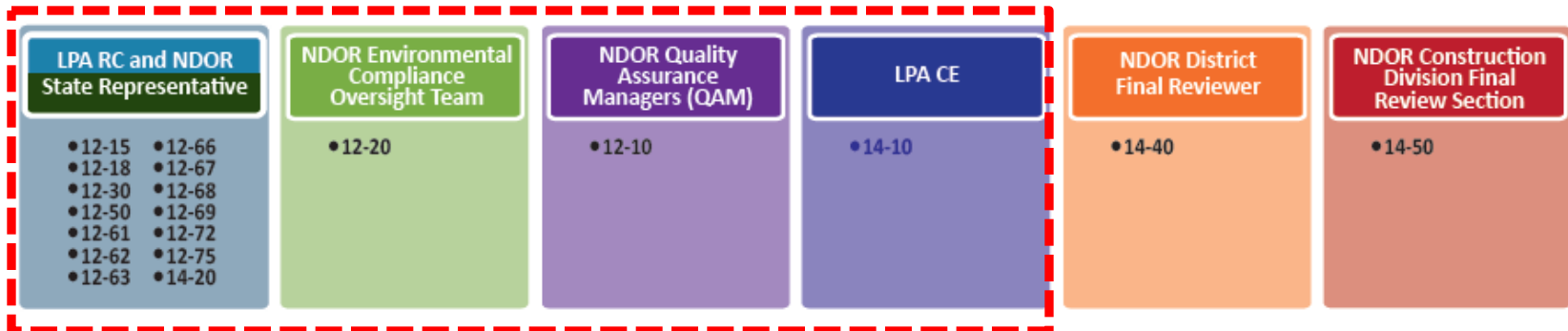
Checklists are a tool being used for each LPA Project built with Federal Aid Funds, to document minimum Quality Assurance activities are performed by the LPA and NDOR during construction.



LPA RC and NDOR State Representative	<ul style="list-style-type: none"> • Both LPA RC and NDOR State Representatives are responsible for ensuring all Chapter 12 & 14 checklists are completed and saved according to instructions. Refer to individual checklist instructions for more detail. The LPA RC and NDOR State Representative will coordinate during the Construction Inspection Planning Meeting (reference LPA Manual 12.5.1 for more detail) and throughout the project to determine who will fill out which checklists. If the LPA RC is not technically capable or is not able to attend a critical phase of construction and complete the checklists, the NDOR State Representative will be responsible to ensure it is completed and retained.
NDOR Environmental Compliance Oversight Team	<ul style="list-style-type: none"> • This team is comprised of NDOR District Environmental Coordinators, NDOR Environmental Permits Unit Staff, Roadside Stabilization Units and Construction Division Staff who are NDOR Certified Erosion and Sediment Control Inspectors.
NDOR QAM	<ul style="list-style-type: none"> • NDOR QAM's are located in 5 Branch labs distributed statewide. NDOR QAM's provide support to NDOR State Representatives upon request, and conduct Independent Assurance testing when technician verification tests exceed acceptable tolerance.
LPA CE	<ul style="list-style-type: none"> • An LPA or Consultant team responsible for construction inspection of the project.

LPA Chapter 12 and 14 Checklist Overview

Checklists are a tool being used for each LPA Project built with Federal Aid Funds, to document minimum Quality Assurance activities are performed by the LPA and NDOR during construction.



LPA RC and NDOR State Representative

- Both LPA RC and NDOR State Representatives are responsible for ensuring all Chapter 12 & 14 checklists are completed and saved according to instructions. Refer to individual checklist instructions for more detail. The LPA RC and NDOR State Representative will coordinate during the Construction Inspection Planning Meeting (reference LPA Manual 12.5.1 for more detail) and throughout the project to determine who will fill out which checklists. If the LPA RC is not technically capable or is not able to attend a critical phase of construction and complete the checklists, the NDOR State Representative will be responsible to ensure it is completed and retained.

NDOR Environmental Compliance Oversight Team

- This team is comprised of NDOR District Environmental Coordinators, NDOR Environmental Permits Unit Staff, Roadside Stabilization Units and Construction Division Staff who are NDOR Certified Erosion and Sediment Control Inspectors.

NDOR QAM

- NDOR QAM's are located in 5 Branch labs distributed statewide. NDOR QAM's provide support to NDOR State Representatives upon request, and conduct Independent Assurance testing when technician verification tests exceed acceptable tolerance.

LPA CE

- An LPA or Consultant team responsible for construction inspection of the project.

Required Checklists

LPA RC and NDOR State Representative

- 12-15
- 12-18
- 12-30
- 12-50
- 12-61
- 12-62
- 12-63
- 12-66
- 12-67
- 12-68
- 12-69
- 12-72
- 12-75
- 14-20

LPA RC and NDOR SR

LPA RC and NDOR State Representative

February 28, 2012

Required Checklists

LPA RC and NDOR State Representative

- 12-15
- 12-18
- 12-30
- 12-50
- 12-61
- 12-62
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LPA RC and NDOR SR

- **Shared responsibility** (partnership)

LPA RC and NDOR State Representative

Required Checklists

LPA RC and NDOR State Representative

- 12-15
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LPA RC and NDOR SR

- Shared responsibility (partnership)
- **14 required** checklists

LPA RC and NDOR State Representative

Required Checklists

LPA RC and NDOR State Representative

- 12-15
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LPA RC and NDOR SR

- Shared responsibility (partnership)
- 14 required checklists
- Coordination at **Construction Inspection Planning Meeting** & beyond

LPA RC and NDOR State Representative

Required Checklists

LPA RC and NDOR State Representative

- 12-15
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LPA RC and NDOR SR

- Shared responsibility (partnership)
- 14 required checklists
- Coordination at Construction Inspection Planning Meeting & beyond
- Responsibility ultimately to **State Rep**

LPA RC and NDOR State Representative

Required Checklists

NDOR Environmental
Compliance
Oversight Team

• 12-20

NDOR Environmental Compliance **Oversight Team**

- District Environmental Coordinator
- Environmental Permits Unit staff
- Roadside Stabilization Unit staff
- Construction Division staff

NDOR Environmental
Compliance Oversight Team

*Must be an **NDOR Certified**
Erosion and Sedimentation
Control Inspector*

Required Checklists

NDOR Quality Assurance Managers (QAM)

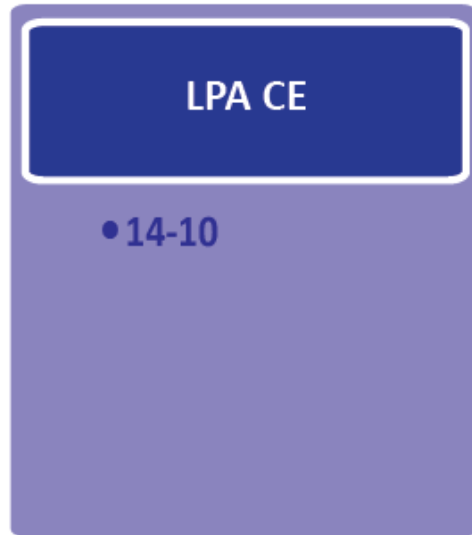
• 12-10

NDOR Quality Assurance Managers

- Located in 5 NDOR branch labs
- Provide **support** for SRs upon **request**

NDOR QAM

Required Checklists



LPA CE

- Can be **either** LPA personnel **or** a consultant
- Responsible for **construction inspection** of the project



Required Checklists

Chapter 12 Checklists - Construction			
Checklist	Title	Role	Frequency
12 10	Materials Sampling/Testing Activity Report	NDOR QAM	Minimum once per project
12 15	Monitor DBE Activity During Construction	LPA RC & NDOR STATE REP	Intermittently throughout construction project
12 18	Verify Labor Compliance	LPA RC & NDOR STATE REP	Weekly and as directed by Section 103.26 of the Construction Manual
12 20	Environmental Compliance Inspection Audit Form	NDOR Environmental Compliance Oversight Team	The NDOR Roadside Stabilization Unit Manager will add the required minimum frequency of audits to the green sheet
12 30	Construction Project File Review Checklist	LPA RC & NDOR STATE REP	Intermittently throughout construction project
12 50	Diary Entry Review Checklist	LPA RC & NDOR STATE REP	Intermittently throughout construction project
12 61	Asphalt Paving Checklist	LPA RC & NDOR STATE REP	Minimum of once during asphalt paving operations

Required Checklists

12 75	Final Punch List	LPA RC & NDOR STATE REP	Prior to tentative acceptance
Chapter 14 Checklists - Project Closeout			
14 10	LPA CE Final Review Process	LPA CE	Minimum of once after construction is completed
14 20	LPA RC Final Review	LPA RC & NDOR STATE REP	Minimum of once after LPA CE's completion of checklist 14 10 and until the NDOR State Rep is satisfied with completeness and accuracy of this checklist 14 20 completed by the LPA RC.
14 40	District Reviewer Final Review	NDOR District Final Reviewer	Once after LPA RC's completion and NDOR State Reps' approval of checklist 14 20
14 50	Final Review Section Final Review	NDOR Construction Division Final Review Section	Once after NDOR District Reviewer's completion of checklist 14 40

Topics

1. Required Checklists
2. **District Resources Website**
3. Falcon & Clarity
4. Draft ROW Encroachment Policy

District Resources Website

Please visit the “District Resources” Intranet page on the LPD Website for:

<http://www.roads.ne.gov/intranet/lpa/district-resources.html>

- ❖ Video recordings of this training session
- ❖ An electronic copy of this training handout packet
- ❖ Contact lists for LPA construction projects
- ❖ Answers to FAQ’s received during the training
- ❖ Instructions, policies and samples referenced during speaker presentations
- ❖ Links to other NDOR web pages referenced during training

District Resources Website

 Official Nebraska Government Website



Local Projects Division

[Link to LPD Mission Statement, Vision & Values](#)

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[Urban Section](#)

[Secondary Roads Section](#)

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February 28, 2012




District Resources Website

 Official Nebraska Government Website



Local Projects Division

[Link to LPD Mission Statement, Vision & Values](#)

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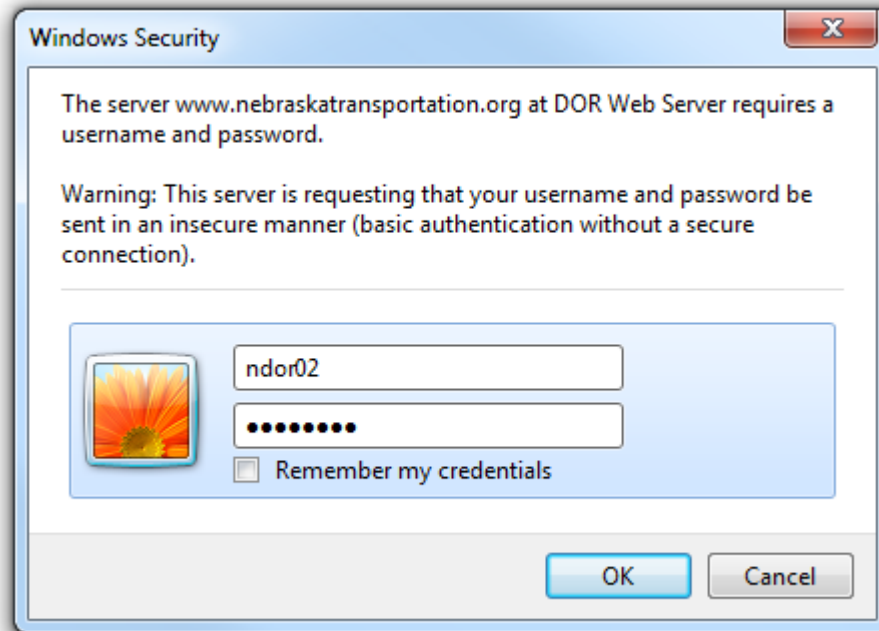
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<u>Urban Section</u>	<u>Secondary Roads Section</u>	<u>Quality Management Section</u>	Phone & FAX
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February 28, 2012

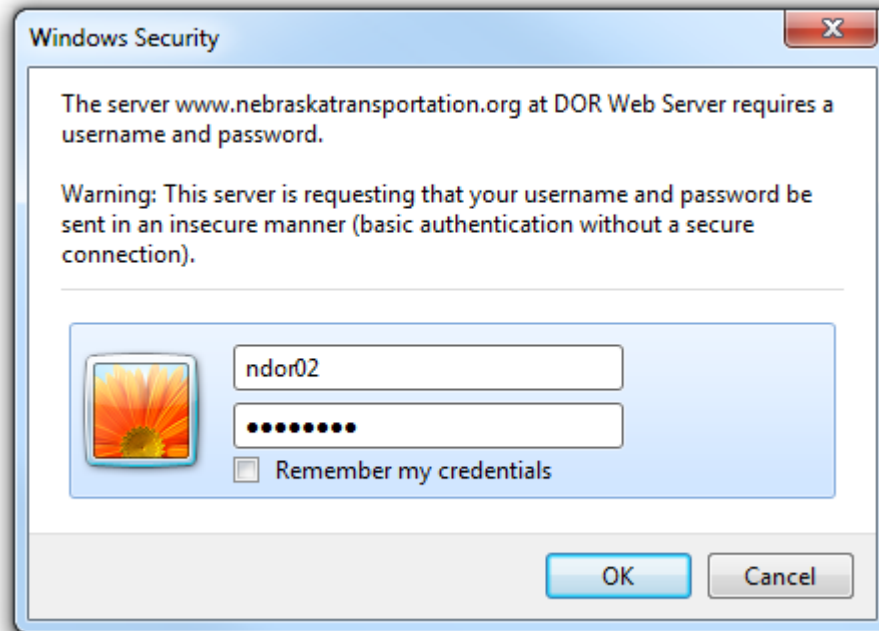


District Resources Website



February 28, 2012

District Resources Website



User name: **ndor02**

Password: **Access08**

District Resources Website

◆ NDOR InTRANet Website



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Available **AFTER** the Feb. 28, 2012 Meeting

LPA Construction Training Video
Training Handout Packet
Central Complex Contact Lists for NDOR State Representatives

Documents & Links - Alpha Order

February 28, 2012



District Resources Website

◆ NDOR InTRANet Website



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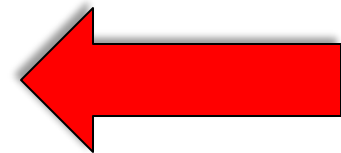
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Documents & Links - Alpha Order

February 28, 2012



District Resources Website

Documents & Links - Alpha Order		
Attaching Checklist in SiteManager Correspondence Log (<i>INSTRUCTIONS</i>)	PDF	
Change Order Audit Checklists Summary (<i>Sample of Change Orders audited on Antelope Valley Project</i>)	PDF	
Checklists - Chapter 12 LPA Guidelines Manual	Link	
Checklists - Chapter 14 LPA Guidelines Manual	Link	
Encroachments Policy for LPA Projects (<i>DRAFT</i>)	PDF	
LPA CE Environmental Checklist (<i>not available yet</i>)		
M & R Home Page	Link	
M & R Approved Products List	Link	
M & R Materials Management Guidance (<i>MSOP's</i>)	Link	
M & R Materials Sampling Guide	Link	
Point of Contact List for NDOR State Reps (<i>not available yet</i>)		
Required Change Order Approvals	Excel	
State Rep FAQ's (<i>not available yet</i>)		
State Reps Review of Inspection Team Documentation for Progress Estimates & Project Item Review (<i>SAMPLE</i>)	PDF	

Suggestions - Comments - Questions about the LP Site

February 28, 2012

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1. Required Checklists
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3. **Falcon & Clarity**
4. Draft ROW Encroachment Policy

Falcon and Clarity



February 28, 2012

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4. **Draft ROW Encroachment Policy**

Draft ROW Encroachment Policy

Encroachments Policy for LPA Projects

The local agency must clear the entire existing Right-of-Way along a federal-aid project of any private or non-LPA uses or occupancy of the area above, below, or on the existing Right-of-Way. See the attached encroachments brochure for more information. Safety hazards must be removed. Any encroachment which is not a safety hazard and is allowed to remain in the right-of-way must be permitted by the local agency; documentation of that permit must be on file at the local agency. The entire Federal-Aid project, usually defined as between logical termini and including all present right-of-way, needs to be inspected and cleared of encroachments. A resolution from the local governing body will suffice in lieu of a formal permit system. The local agency must have encroachments cleared from the Right-of-Way (ROW) or permitted before submitting the local agency's ROW Certificate. If this is not in place, NDOR's ROW Division will not be able to issue a ROW certificate, and the federal-aid project will not advance to PS&E or be let to contract. Improvements found in the ROW to be acquired for a federal-aid project are appraised during the ROW phase of the project, and payment is made to the owner or tenant. These items are removed by the owners, or contractors, and are eligible for Federal participation.

Encroachments

- A. that are potential safety hazards (obstacle, sight distance interference) located within the clear zone **MUST** be removed immediately.
- B. that are potential safety hazards located outside the clear zone may be decided case-by-case; work with NDOR's District office for assistance.
- C. that are not potential safety hazards located within project LOC's must be moved, or considered to be abandoned, with the understanding that any damage caused by construction is not reimbursable, i.e. will not be paid for with Federal, State or Local funds (and if it remains after construction must be permitted by the local agency).
- D. not included in any of the above categories – must be permitted (LPA governing body letter).

Encroachments should be reviewed during the Plan-in-Hand site visit. A representative from NDOR's District Office shall visit the project with the LPA representative. If not done at the Plan-in-Hand, it is the LPA's responsibility to contact the District and set up a date and time to visit the project and check for encroachments. NDOR District personnel are responsible for providing NDOR's federal oversight at the project site, and are available to assist the LPA in determining actions to take.

The following actions need to be taken by the local agency during and after encroachment site reviews:

1. Document encroachments and their locations as needed for the administrative record. Get measurements where needed. Photographs are not required, but before-and-after photographs can be helpful in providing good documentation for the record.
2. Submit any documentation to NDOR's Project Coordinator (PC) at Local Projects Division.

ures etc.
ed the project for the purpose of
that the project was reviewed and no
d there are identified encroachments.
ledge the encroachment, and provide
ted above. NDOR recommends that
viewing notifications. NDOR
e inserted into landowner
oads (NDOR) and Federal Highway
for any costs to remove an
lment during construction of a
d responses.
ments.
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itted. The ROW Division Head will
sfactory review of project ROW
ficate.