

LAP CONSTRUCTION OVERSIGHT PLAN

GENERAL

The purpose of the Quality Assurance (QA) reviews for Construction Phase 58 is to establish that Local Agencies have measures in place to ensure compliance with the Federal and State requirements both on and off the State Highway System. These reviews center around the LAP Checklists, Statewide Critical Requirements, Quality Assurance Review Questions (attached) and supporting documentation. These reviews assist the Local Agencies in their compliance. If any deficiencies are found, they are brought to the attention of the Local Agencies with recommendations for improvement.

At the end of this Chapter, there are two Local Agency Quality Assurance Review Questionnaires. The appropriate set of review questions should be applied to the local agency project depending if the project is on the State Highway System or off the State Highway System. For Local Agency projects off the State Highway System, the Local Agency can use the FDOT Standard Specifications, pre-approved Local Agency specifications, or alternate specifications approved by the appropriate District Specification Office.

Verification of Critical Requirements

Local Agency construction projects on the State Highway System shall be administered in accordance with the Construction Project Administration Manual (CPAM). Statewide Critical Requirements is a list of the critical requirements to be also used for Quality Assurance on Local Agency projects on the State Highway System. These lists are worded in such a way as to focus the Reviewer's attention on the Construction Engineering and Inspection (CEI) staff's performance of inspection and management duties related to the critical requirements. The Statewide Critical Requirements lists are available on the Department's State Construction Office infonet and internet websites and may be downloaded and printed for field use.

Project level CEI staff is responsible for the Quality Control inspection functions related to the Contractor's activities. This includes inspection of day-to-day production, verification of findings and Project Level testing. The FDOT Construction Project Manager and/or a District representative must conduct reviews of CEI personnel as if they were a Project Level Reviewer, reviewing the field CEI effort. This means the FDOT Project Manager and/or District representative must check the Quality Control performance of inspectors and other CEI staff for compliance with the Critical Requirements of the specific assessment categories on the project (i.e. embankment, asphalt, concrete, drainage, American with Disabilities Act (ADA), etc...). The FDOT Construction Project Manager and/or District representative shall formally review the

performance of the personnel for which they are directly and indirectly responsible for on a periodic basis.

The Project Manager and/or representative are required to record if the Critical Requirements are being met or not. When these requirements are not being met, the Manager and/or representative or CEI have opportunity to recommend areas of improvement. Managers and/or representative should record innovative CEI practices that are discovered during reviews so that they may be considered for implementation as improved ways of doing business in the future.

If the review of the critical requirements indicates that there are significant opportunities for improvement, then additional QA review efforts should be focused in these areas. The Manager and/or representative should include remedial actions to be taken to improve performance and establish deadlines for implementation of these actions.

The Verification of Critical Requirements are to be used for Local Agency projects off of the State Highway System also; however, these Critical Requirements should only be used in concept as guides.

MATERIALS

For Local Agency Projects on the State Highway System, all materials incorporated into the projects shall comply with the *FDOT Standard Specifications and Materials Manual* and all referenced documents for quality control and acceptance. Approved material sources and products listed are available through the Department's web site.

The contractor and CEI shall utilize the Department's Sampling, Testing and Reporting Guide (STRG), track and close out failing or missing results in accordance with Departmental requirements and utilize the Department's Material Manual as necessary.

For Local Agency Projects off the State Highway System, all materials incorporated into the projects shall comply with the applicable version of the FDOT approved local specifications and all referenced documents for quality control and acceptance.

FREQUENCY OF QUALITY ASSURANCE REVIEWS

The District LAP Administrators should select a sufficient number of Local Agencies to review each year so that all certified Local Agencies who are actively performing construction projects are reviewed for Quality Assurance in a one-year period. It is suggested that a QA review should be conducted during construction therefore allowing for any deficiencies to be corrected prior to the completion of the project. If a QA review demonstrates no significant deficiencies, the review period for an individual Local Agency may be extended to every two years. The District LAP Administrator has the

option to review a particular Local Agency more frequently if a QA review shows significant deficiencies.

These reviews should be completed for projects on and off the State Highway System and the schedule of completed and upcoming reviews and review reports should be available to the FHWA upon request.

SCHEDULING QUALITY ASSURANCE REVIEWS

The District LAP Administrator will schedule a QA review with the selected Local Agency and will request that the Local Agency managers participate. The Local Agency should have all pertinent documentation ready for the scheduled review. Copies of documentation not available at the time of review shall be submitted to the District LAP Administrator within 21 days.

Only the District LAP Administrator will arrange and schedule QA reviews for LAP projects. Such reviews will include District personnel from appropriate office units.

REPORTING

All Quality Assurance reviews will require reports identifying:

- Areas reviewed
- Review question checklist and Statewide Critical Requirements
- Overall findings
- Deficiencies identified
- Corrective actions

The QA reports shall be made as a Microsoft Word document by the QA review member for every review performed within 14 days of the completion of the review.

Distribution of QA reports shall be as follows:

Local Agency
Project File at the appropriate District Office
Statewide LAP Administrator
Federal Highway Administration (FHWA)

QUALITY ASSURANCE DEFICIENCIES

In the event that a QA review determines a need for improvement, the Local Agency will provide, within 30 days following the review, written documentation of corrective measures to the District LAP Administrator. The Department will assist the Local Agency in developing any process improvements needed as deemed appropriate by the

District LAP Administrator.

If during the QA review, it is determined that the Local Agency was reimbursed for work not eligible for Federal participation, the Local Agency will be requested to reimburse the Department. The Central Office LAP Administrator and the Central Office Federal-aid Office will act as the liaison between the Local Agency, the District, and the Federal Highway Administration (FHWA) in resolving the matter.



LOCAL AGENCY QUALITY ASSURANCE
REVIEW QUESTIONS FOR CONSTRUCTION
OF PROJECTS ON THE STATE HIGHWAY SYSTEM

CONTRACT ADMINISTRATION – (LAP Administrator)

For compliance with contract administration please refer to the Local Agency Administrative and Construction checklists.

CONSTRUCTION PHASE – (District Construction Representative)

Agency _____ Reviewer _____ Date _____

Local Agency Contact _____ Contact Number _____

Project Description and Location _____

FDOT District _____

Federal Project No. _____ State Project No. _____

1. If the Local Agency is using their own in-house forces to perform construction work, was a Public Interest Finding (cost effectiveness finding) submitted to the LAP Administrator?
 2. Was a pre-construction meeting held? Were meeting minutes generated, dispersed to the appropriate parties within two weeks of the meeting and a copy placed in the correspondence file?
 3. When was it held? Was a Local Agency representative at the meeting?
 4. Did the Prime Contractor submit the Anticipated DBE Participation Statement at the pre-construction meeting?
 5. Is there a FDOT employee in responsible charge of the project (i.e. LAP Administrator/Coordinator or FDOT Construction PM)?
 6. Is there a Local Agency employee in responsible charge of the project? Does the
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Local Agency employee keep the FDOT appropriately informed of problems on the project (scope changes, delays, items not complying with the Specs, funding issues, ADA, Disadvantaged Business Enterprise, etc...)? If a consultant is used, are they qualified per FDOT requirements? Refer to Rule 14-75.003 of the Administrative Code.

7. Was the consultant selection process in accordance with Federal-aid requirements (the Brooks Act)? (Refer to the LAP Manual)
 8. Are the construction engineering inspection staffing levels adequate for the project? (Refer to the State Construction Office Website for actual project history of CEI staffing to be used as a tool)
 9. Are inspectors qualified per the scope of services to perform the verification testing? Review resumes as well as the applicable copies of qualifications/certifications on file.
 10. Date contract time started?
 11. Date work began? If different from the contract time start date, was the time differential significant? Are the reasons documented?
 12. Are required federal construction project posters displayed in a prominent and accessible site within the limits of the project? (i.e. EEO is the Law, Florida Law Prohibits, Important Wage Information, Family and Medical Leave Act, Wage Appeals, OSHA English, Polygraph, Notice):
 13. Are the following documents available at the project?
 14. Current Plans and Specifications? Were any revisions issued? Was the Department made aware of the changes/revisions? Are the revised sheets included in the plan set?
 15. Permits (i.e. environmental, utility, NPDES, etc...)? Is the contractor in compliance with their own SWPPP plan as well as all applicable permits?
 16. Contractor's schedule? Was a CPM schedule required? Was the schedule submitted and approved prior to commencing work? Have utility relocation schedules required on the project been included in the schedule? Are updates reflecting the job progress provided by the contractor and reviewed by the CEI?
 17. Correspondence file?
 18. Field Books (embankment, base, drainage, piles, etc...)?
 19. Quality Control Plans? Have the Quality Control Plans been submitted and
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approved prior to commencement of the applicable work categories?

20. Daily and Weekly reports? Have these documents been reviewed by the Project Administrator?

21. Is a Traffic Control Evaluation Report being furnished weekly using form no. 700-010-08 Maintenance of Traffic Review Report?

22. For projects on the State Highway System, review the job site sampling and testing of several items against the required frequency of the applicable FDOT **Sampling Testing and Reporting Guide**. The Sampling Testing and Reporting Guide should be developed as per the FDOT Standard Specifications.

Item	Test Quantity	Test	Test Frequency	Received	Made

23. Are the appropriate concrete tests being performed? Are the appropriate mix designs being used for the project? Have they been approved in advance of the pours? Are strength tests passing? Are the applicable FDOT specifications/procedures utilized to address less than desirable results?

24. Have appropriate densities been taken? Were proctors sent out to FDOT certified labs and are results on file? Are densities passing?

25. Is the appropriate Asphalt mix utilized for the project? Has plant testing been performed for the mix documentation? Is the Asphalt Test Lab FDOT certified?

26. Review several selected items on a monthly progress estimate. Is there adequate documentation support for the quantity? (Should be in accordance with Final Estimates documentation/Manuals – Basis of Estimates, Preparation and Documentation, etc...)

27. Does it appear that the amounts paid for the item(s) reviewed are correct?

28. Are change orders properly approved by the designated approving authority, FDOT or Local Agency representative? Are change orders executed prior to the commencement of work?

29. Do the change orders have proper back up documentation per the FDOT CPAM?

(i.e. engineer’s estimate, entitlement analysis, time analysis)

30. Did the project time overrun the allowed contract time? If yes, are there pending issues for time by the contractor?

31. Is there a time extension request from the contractor? If not, have liquidated damages been assessed?

32. Has the contractor submitted any claims or requests for equitable adjustments? Did the contractor follow the requirements of Standard Specification 5-12? If applicable, have Utility companies been put on notice? Have agreements been reached and signed with all affected utilities?

33. Are the required Material Certifications (per the STRG) on file per the applicable Specifications?

CONTRACT COMPLIANCE – (District Contract Compliance Representative)

Agency _____ **Reviewer** _____ **Date** _____

Local Agency Contact _____ **Contact Number** _____

Project Description and Location _____

FDOT District _____

Federal Project No. _____ **State Project No.** _____

1. Has the Local Agency submitted the Bid Opportunity List form to the Equal Opportunity Office (EOO)?
 2. If active during the month of July is there an Annual July Report on file from the Prime contractor and all active subcontractors?
 3. Is there an Anticipated DBE Participation Statement on file? Was it submitted to the EOO?
 4. Are monthly DBE payments entered into the FDOT’s Equal Opportunity Reporting System?
 5. Have EEO Contract Compliance reviews been conducted for Davis Bacon and
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evidence of non-discrimination?

6. Was a copy of the Project EEO Report form kept on file or sent to the District? Copy of interviews asking about evidence of discrimination on file for minority, non-minority and/or female?
7. Does the project qualify for On the Job Training (OJT)? If so, was an OJT goal assigned to the project? Was the OJT goal achieved?
8. Are weekly certified payrolls received from the contractor and retained on file?
9. Are all weekly certified payrolls reviewed for accuracy and completion? Any violations issued and resolved?
10. Are weekly certified payrolls on file for the subcontractors?
11. How many Labor Interviews are required for this project?
12. Are the required number of Labor Interviews being conducted each month?
13. Are the interviews reviewed and verified?
14. If rental agreements are used for equipment with operators on the project were they signed by the proper approving authority?
15. Are all rental and lease agreements monitored for validity and approved by the proper authority?
16. Are rental and lease agreements reviewed to ascertain if EEO requirements apply?

LOCAL AGENCY QUALITY ASSURANCE

REVIEW QUESTIONS FOR CONSTRUCTION OF PROJECTS OFF THE STATE HIGHWAY SYSTEM

CONTRACT ADMINISTRATION – (LAP Administrator)

For compliance with contract administration please refer to the Local Agency Administrative and Construction checklists.

CONSTRUCTION PHASE – (District Construction Representative)

Agency _____ Reviewer _____ Date _____

Local Agency Contact _____ Contact Number _____

Project Description and Location _____

FDOT District _____

Federal Project No. _____ State Project No. _____

1. If the Local Agency is using their own in-house forces to perform construction work, was a Public Interest Finding (cost effectiveness finding) submitted to the LAP Administrator?

 2. Is there a Local Agency employee in responsible charge of the project? Does the Local Agency employee keep the FDOT appropriately informed of problems on the project (scope changes, delays, items not complying with the Specs, funding issues, etc...)?

 3. Was the consultant selection process in accordance with Federal-aid requirements (the Brooks Act)? (Refer to the LAP Manual)

 4. Are the construction engineering inspection staffing levels adequate for the project? (Refer to the State Construction Office Website for actual project history of CEI staffing to be used as a tool)

 5. Date contract time started?

 6. Date work began? If different from the contract time start date, was the time
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differential significant? Are the reasons documented?

7. Are required federal construction project posters displayed in a prominent and accessible site within the limits of the project? (i.e. EEO is the Law, Florida Law Prohibits, Important Wage Information, Family and Medical Leave Act, Wage Appeals, OSHA English, Polygraph, Notice):

8. Are the following documents available?:

9. Current Plans and Specifications? Were any revisions issued? Are the revised sheets included in the plan set?

10. Permits (i.e. environmental, utility, NPDES, etc...)? Is the contractor in compliance with their own SWPPP plan as well as all applicable permits?

11. Review the job site sampling and testing of several items against the required frequency of the applicable **Sampling Testing and Reporting Requirements per the applicable Specifications.**

Item	Test Quantity	Test	Test Frequency	Received	Made

12. Are the appropriate concrete tests being performed?

13. Have appropriate densities been taken?

14. Review several selected items on a monthly progress estimate. Is there adequate documentation support for the quantity?

15. Does it appear that the amount paid for the item(s) reviewed are correct?

16. Are change orders properly approved by the Local Agency representative?

17. Did the project time overrun the allowed contract time? If yes, are there pending issues for time by the contractor?

18. Are the required Material Certifications on file per the applicable Specifications?

CONTRACT COMPLIANCE – (District Contract Compliance Representative)

Agency _____ **Reviewer** _____ **Date** _____

Local Agency Contact _____ **Contact Number** _____

Project Description and Location _____

FDOT District _____

Federal Project No. _____ **State Project No.** _____

1. Has the Local Agency submitted the Bid Opportunity List form to the Equal Opportunity Office (EOO)?
 2. If active during the month of July is there an Annual July Report on file from the Prime contractor and all active subcontractors?
 3. Is there an Anticipated DBE Participation Statement on file? Was it submitted to the EOO?
 4. Are monthly DBE payments entered into the FDOT's Equal Opportunity Reporting System?
 5. Have EEO Contract Compliance reviews been conducted for Davis Bacon and evidence of any non-discrimination?
 6. Was a copy of the Project EEO Report form kept on file or sent to the District?
 7. Does the project qualify for On the Job Training (OJT)? If so, was an OJT goal assigned to the project? Was the OJT goal achieved?
 8. Are weekly certified payrolls received from the contractor and retained on file?
 9. Are all weekly certified payrolls reviewed for accuracy and completion? Any violations issued and resolved?
 10. Are weekly certified payrolls on file for the subcontractors?
 11. How many Labor Interviews are required for this project?
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12. Are the required number of Labor Interviews being conducted each month?
 13. Are the interviews reviewed and verified?
 14. If rental agreements are used for equipment with operators on the project, were they signed by the proper approving authority?
 15. Are all rental and lease agreements monitored for validity and approved by the proper authority?
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