# Chapter 6: Additional Checklists to Support Design-Builders and Owners/Agencies

This chapter presents an additional series of sample checklists to support design-builders and owners/agencies in various processes of design-build projects. In particular, several checklists in this chapter pertain to items and issues related to Transportation Management Plan (TMP) development. The checklists contained in this chapter are listed below.

* *Design-Builder’s Public Involvement and Outreach Checklist:* This checklist includes items to be considered for a public involvement and outreach campaign.
* *Work Zone Safety Inspection Checklist:* This checklist facilitates the owner/agency’s review of the safety aspects of the design-builder developed TMP during the final design phase, as well as safety inspection of an active work zone.
* *Design-Builder’s Work Zone Incident Reporting Checklist*: This checklist includes various actions that design-builder personnel should undertake at work zone incident sites.
* *Post-Construction Work Zone Performance Documentation Checklist:* This checklist provides work zone performance monitoring information that the design-builder and owner/agency should jointly undertake with other partners/stakeholders.
* *Pre-Construction Coordination Activities Checklists:* These checklists include various coordination activities and meetings that the design-builder and owner/agency should jointly undertake with other partners/stakeholders.
* *Owner/Agency’s Master Checklist:* This checklist includes checkpoints to cover key steps associated with TMP development and implementation, from preliminary engineering through construction.
* *Owner/Agency’s Pre-Request for Qualifications/Proposals Checklist:* These checklists include various TMP related items that an owner/agency should address in the preliminary engineering phase or consider incorporating during the development of the request for qualifications (RFQ)/request for proposals (RFP).
* *Owner/Agency’s Proposal Evaluation Checklist:* This checklist includes TMP related items that an owner/agency should consider in evaluating design-build proposals.
* *Owner/Agency’s Design Review Checklist:* This checklist includes various TMP related design items that an owner/agency should consider when reviewing the design-builder’s design documents.
* *Owner/Agency’s Design and Construction Management Plan Checklist:* This checklist includes various design and construction quality management items for the owner/agency.

## Design-Builder’s Public Involvement and Outreach Checklists

These checklists include items to be considered for a public involvement and outreach campaign in a design-build project.

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| Framework for the Campaign |

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| 1. Define goals and objectives of the public information and outreach (PI&O) campaign |  |
| 1. Determine size and nature of the PI&O effort for the project |  |
| 1. Determine approach, resources, and scope of the outreach campaign |  |
| 1. Conduct cost-benefit analysis for the campaign |  |
| 1. Identify internal resources (e.g., agency personnel, agency-owned facilities, and equipment) and external resources (e.g., public relations agency) for the campaign |  |
| 1. Identify partners/stakeholders and define their roles for the campaign |  |
| 1. Identify target audience for the campaign |  |
| 1. Set up community task force for the campaign that includes various stakeholders (e.g., businesses, residents) |  |
| 1. Identify forums and distribution channels, such as public meetings and direct mail, to distribute the campaign messages |  |
| 1. Develop the draft PI&O plan to implement outreach strategies (e.g., timelines, points of contact, action items) |  |
| 1. Determine PI&O campaign success criteria |  |
| 1. Validate and revise PI&O plan based on inputs from stakeholders/partners |  |

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| Identification of Stakeholder Groups |

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| Motorists |  |
| Pedestrians |  |
| Bicyclists |  |
| Transport companies |  |
| Businesses |  |
| Residents |  |
| City/county officials |  |
| Emergency responder |  |
| Bus lines |  |
| Ferries |  |
| Mass transit |  |
| Law enforcement |  |
| Others, please specify: | |
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| Development of Outreach Strategies |

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| 1. Determine outreach campaign products and formats to be used based on budget available |  |
| 1. Identify communication strategies (e.g., brochures, mailers, press releases) to convey project-related information |  |
| 1. Determine outreach campaign strategies for before and after project completion |  |
| 1. Identify target audience for each communication strategy |  |
| 1. Determine design and message for each campaign product |  |
| 1. Develop content of the outreach campaign product |  |
| 1. Tailor communication strategy to the project context, message being conveyed, and the budget constraints |  |
| 1. Produce outreach campaign products |  |

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| Implementation of Outreach Strategies |

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| 1. Determine communication timing for the outreach campaign |  |
| 1. Identify outreach opportunities and product distribution channels |  |
| 1. Document communication timing, outreach opportunities, and product distribution channels in the PI&O plan |  |
| 1. Identify newer outreach partners and outreach opportunities |  |
| 1. Develop and maintain outreach personnel and resource lists |  |
| 1. Distribute campaign products through product distribution channels |  |

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| Evaluation and Improvement of Outreach Strategies |

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| 1. Review and update each outreach strategy |  |
| 1. Review the communication processes |  |
| 1. Develop mechanisms (e.g., surveys) to collect traveling public and stakeholders’ feedback as project progresses |  |
| 1. Evaluate campaign effectiveness at the end of the project |  |
| 1. Document lessons learned |  |

## Work Zone Safety Inspection Checklists

These checklists facilitate the owner/agency’s review of the safety aspects of the design-builder developed TMP during the final design phase, as well as safety inspection of an active work zone.

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| Framework for the Campaign |

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| 1. Determine size and nature of the PI&O effort for the project |  |
| 1. Determine approach, resources, and scope of the outreach campaign |  |
| 1. Conduct cost-benefit analysis for the campaign |  |
| 1. Identify internal resources (e.g., agency personnel, agency-owned facilities, and equipment) and external resources (e.g., public relations agency) for the campaign |  |
| 1. Identify partners/stakeholders and define their roles for the campaign |  |
| 1. Identify target audience for the campaign |  |
| 1. Set up community task force for the campaign that includes various stakeholders (e.g., businesses, residents) |  |
| 1. Identify forums and distribution channels, such as public meetings and direct mail, to distribute the campaign messages |  |
| 1. Develop the draft PI&O plan to implement outreach strategies (e.g., timelines, points of contact, action items) |  |
| 1. Determine PI&O campaign success criteria |  |
| 1. Validate and revise PI&O plan based on inputs from stakeholders/partners |  |

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| Identification of Stakeholder Groups |

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| --- | --- |
| Motorists |  |
| Pedestrians |  |
| Bicyclists |  |
| Transport companies |  |
| Businesses |  |
| Residents |  |
| City/county officials |  |
| Emergency responder |  |
| Bus lines |  |
| Ferries |  |
| Mass transit |  |
| Law enforcement |  |
| Others, please specify: | |
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| Development of Outreach Strategies |

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| 1. Determine outreach campaign products and formats to be used based on budget available |  |
| 1. Identify communication strategies (e.g., brochures, mailers, press releases) to convey project-related information |  |
| 1. Determine outreach campaign strategies for before and after project completion |  |
| 1. Identify target audience for each communication strategy |  |
| 1. Determine design and message for each campaign product |  |
| 1. Develop content of the outreach campaign product |  |
| 1. Tailor communication strategy to the project context, message being conveyed, and the budget constraints |  |
| 1. Produce outreach campaign products |  |

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| Implementation of Outreach Strategies |

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| 1. Determine communication timing for the outreach campaign |  |
| 1. Identify outreach opportunities and product distribution channels |  |
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| 1. Develop and maintain outreach personnel and resource lists |  |
| 1. Distribute campaign products through product distribution channels |  |

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| Evaluation and Improvement of Outreach Strategies |

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| --- | --- |
| 1. Review and update each outreach strategy |  |
| 1. Review the communication processes |  |
| 1. Develop mechanisms (e.g., surveys) to collect traveling public and stakeholders’ feedback as project progresses |  |
| 1. Evaluate campaign effectiveness at the end of the project |  |
| 1. Document lessons learned |  |

## Design-Builder’s Work Zone Incident Reporting Checklists

These checklists include various actions that design-builder personnel should undertake at work zone incident sites.

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| Work Zone Incident Management |

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| 1. Identify stakeholders/partners/responding agencies for work zone incident management team |  |
| 1. Define work zone incident management needs |  |
| 1. Identify work zone traffic impacts |  |
| 1. Define roles and responsibilities, limitations, and requirements of work zone incident management team |  |
| 1. Establish contact list and contact procedure of the team members |  |
| 1. Identify existing protocols of communication between team members |  |
| 1. Develop inter-agency agreements for incident management |  |
| 1. Establish communication routines among the team |  |
| 1. Identify goals and objectives of the incident management system |  |
| 1. Develop work zone incident management alternatives |  |
| 1. Evaluate work zone incident management alternatives |  |
| 1. Implement work zone incident management alternatives |  |

| Work Zone Incident Response |
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| 1. Identify agency/design-builder personnel available to respond to a fatal crash or a major incident involving hazardous materials |  |
| 1. Establish an incident command system, if needed |  |
| 1. Establish traffic management center(s) to coordinate incident notification and response |  |
| 1. Identify alternate equipment staging strategies for incident clearance |  |
| 1. Establish procedures for quick clearance of work site during incidents |  |
| 1. Identify potential work zone bottlenecks |  |
| 1. Maintain a contact list of incident responder agencies |  |
| 1. Develop and maintain an emergency traffic control plan |  |
| 1. Identify alternate routes/detour routes for all road users (e.g., trucks, motorcycles) |  |
| 1. Identify additional personnel and logistics to be deployed to work zone in the event of an incident |  |

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| Work Zone Incident Evaluation and Reporting |

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| 1. Coordinate with law enforcement agencies to obtain crash reports |  |
| 1. Determine if the work zone incident indicates work zone safety concerns |  |
| 1. Evaluate maintenance of traffic (MOT) features at the incident location of the work zone |  |
| 1. Conduct night inspections in case of night time incidents |  |
| 1. Maintain logs of incidents, incident type, and incident impacts in the work zone |  |
| 1. Re-evaluate/revise work zone safety procedures/policies if needed |  |

## Post-Construction Work Zone Performance Documentation Checklists

These checklists provide work zone performance monitoring information that the design-builder and owner/agency should jointly undertake with other partners/stakeholders.

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| Post-Construction Work Zone Performance |

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| 1. Collect and synthesize information on project and work zone characteristics |  |
| 1. Review transportation management plan (TMP) strategies |  |
| 1. Collect public/stakeholder inputs through surveys, and project/program level feedback mechanisms |  |
| 1. Perform project-level work zone performance assessment on work zone safety, mobility, construction efficiency and effectiveness, and public perception |  |
| 1. Gather information on measured and monitored work zone impacts, including travel time delays and work zone incidents |  |
| 1. Review maintenance of traffic (MOT) plans and other traffic control related documentation |  |
| 1. Conduct night time work zone reviews to assess night time work zone performance |  |
| 1. Assign a quality rating to various work zone traffic control components |  |
| 1. Assess work zone safety for fatal crashes that occur within the project limits |  |
| 1. Assess work zone mobility on significant projects |  |
| 1. Synthesize and analyze the performance assessment data and information gathered from the various sources |  |
| 1. Document lessons learned on the work zone performance |  |
| 1. Develop recommendations for policy, process, and/or procedural changes |  |
| 1. Evaluate and revise, as necessary, the work zone impacts assessment and management process/practices/procedures |  |

## Pre-Construction Coordination Activities Checklists

These checklists include various coordination activities and meetings that the design-builder and owner/agency should jointly undertake with other partners/stakeholders.

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| Pre-Construction Coordination |

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| 1. Design-builder coordination on lane closures with all county/city/local/media agencies to avoid conflict with special events |  |
| 1. Owner/agency coordination with Federal Highway Administration (FHWA) on any National Environmental Protection Act (NEPA) document re-evaluations |  |
| 1. Owner/agency coordination with the State historic preservation authorities |  |
| 1. Design-builder coordination with contractors of other active projects and localities in the vicinity |  |
| 1. Design-builder coordination with regulatory agencies on the type of State/Federal water-quality permits required prior to the construction |  |
| 1. Design-builder coordination with the environmental regulatory agencies that provide threatened and endangered species oversight |  |
| 1. Design-builder coordination with county/city/local agencies on detour routes |  |
| 1. Owner/agency coordination with right-of-way/utility/railroad authorities |  |
| 1. Design-builder coordination with utility companies and local agencies on removal/relocation of utilities |  |
| 1. Agency/design-builder coordination with law enforcement agencies |  |
| 1. Agency/design-builder coordination with traffic incident responding agencies |  |
| 1. Agency/design-builder coordination with media agencies on public information and outreach |  |
| 1. Agency/design-builder coordination with local businesses/schools/hospitals |  |
| 1. Design-build coordination with transit authorities on transit and bus stop relocation |  |
| 1. Design-builder coordination with local communities/neighborhoods adjacent to work sites |  |
| 1. Schedule and organize meetings with stakeholders/partners for development of transportation management plan (TMP), traffic incident management (TIM) plan, and public information and outreach (PI&O) plan |  |
| 1. Obtain inputs from public/stakeholders/partners through community forums and informational meetings |  |

## Owner/Agency’s Master Checklists

This section includes checklists to cover key steps associated with TMP development and implementation, from preliminary engineering through construction.

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| Transportation Management Plan Checklist |
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| 1. Define the requirements for work zone impacts assessment and allowable impacts during construction |  |
| 1. Determine if the project under consideration is “significant” |  |
| 1. Assess expected work zone impacts of the project as per contract requirements |  |
| 1. Assess transportation management plan (TMP) needs of the project |  |
| 1. Establish work zone performance measures and thresholds |  |
| 1. Define requirements for transportation management strategies |  |
| 1. Define requirements for traffic incident management strategies |  |
| 1. Define requirements for public information and outreach strategies |  |
| 1. Review the TMP for the major aspects of construction, including:   Yes  No  N/A  Lane closures  Yes  No  N/A  Bridge closures  Yes  No  N/A  Interchange closures  Yes  No  N/A  Local streets  Yes  No  N/A  Construction phasing and staging  Yes  No  N/A  Numbers and type of major traffic shifts  Yes  No  N/A  Detours  Yes  No  N/A  Typical section requirements  Yes  No  N/A  Pull out requirements  Yes  No  N/A  Emergency access  Yes  No  N/A  Others |  |
| 1. Review the TMP for the following key elements: temporary traffic control, transportation operations, and public information |  |
| 1. Review the design-builder’s maintenance of traffic (MOT) plan |  |
| 1. Review the design-builder’s list of MOT team members |  |
| 1. Review the design-builder’s traffic incident management (TIM) plan |  |
| 1. Lead preparation of public information and outreach plan |  |
| 1. Review design-builder’s traffic signal timing plan and adjustments to the plan |  |
| 1. Review design-builder’s proposed lane closure hours |  |
| 1. Coordinate with local agencies on detour routes that fall within local agencies’ jurisdiction |  |
| 1. Review design-builder’s MOT variance requests |  |
| 1. Conduct public information surveys as needed |  |
| 1. Perform snow removal operations within the project limits, if necessary |  |
| 1. Monitor work zone safety and mobility impacts during construction on an as-needed basis |  |

## Owner/Agency’s Pre-Request for Qualifications/Proposals Checklists

These checklists include various TMP related items that an owner/agency should address in the preliminary engineering phase or consider incorporating during the development of the request for qualifications (RFQ)/request for proposals (RFP).

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| Pre-Request for Qualifications/Proposals Requirements |

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| 1. Identify experienced personnel/consultant to assist with the development of the RFQ/RFP |  |
| 1. Identify the type of funding to include in the RFP bid documents |  |
| 1. Obtain necessary approvals for any Federal funding, as deemed necessary |  |
| 1. Obtain any existing memorandum of understanding (MOU) between the owner/agency and stakeholders |  |
| 1. Determine the proposal selection schedule |  |
| 1. Establish the time period for services and/or products to be delivered |  |
| 1. Establish time of performance requirements in the scope of services |  |
| 1. Establish a payout schedule |  |
| 1. Develop the technical proposal to be included in the RFP package |  |
| 1. Determine the entity (owner/agency or design-builder) responsible for transportation management plan (TMP) development |  |
| 1. Establish a review and approval process for the TMP and various traffic control plans (TCPs) for the project |  |
| 1. Establish review timelines for TMP and various TCPs for the project |  |
| 1. Identify the agency personnel responsible for TMP review and approval |  |

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| Pre-Request for Qualifications/Proposals Requirements (continued) |

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| 1. Determine the frequency for TMP review | |  | |
| 1. Identify the consultant, if necessary, responsible for TMP review | |  | |
| 1. Identify the types of work zone impacts assessment the design-builder is required to perform | |  | |
| 1. Establish timelines for updating the TMP | |  | |
| 1. Identify the entity (owner/agency or design-builder) responsible for updating the TMP | |  | |
| 1. Determine if traffic management centers (TMCs) or portable cameras will be used to monitor incidents in the work zones | |  | |
| 1. Identify the technology applications (e.g., queue warning systems, temporary TMC) to be included in the TMP | |  | |
| 1. Establish a public/stakeholder feedback process for TMP development | |  | |
| 1. Define the level of coordination/involvement for public information and outreach on the project | |  | |
| 1. Develop the bid price proposal to be included in the RFP package | |  | |
| 1. Determine the subcontracting language to be included in the RFP | |  | |
| 1. Establish disadvantaged business enterprise (DBE) goals and requirements for each category of services on the project (e.g., design, right-of-way) | |  | |
| 1. Establish the scope of services for the project, including the project objectives, design services and requirements, specifications, etc. | |  | |
| 1. Ensure that the TMP needs are in compliance with State and Federal polices, specifications, standards, and procedures | |  | |

## Owner/Agency’s Proposal Evaluation Checklists

These checklists include TMP related items that an owner/agency should consider in evaluating design-build proposals.

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| Proposal Evaluation |

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| 1. Identify members for the proposal evaluation committee |  |
| 1. Involve technical experts and stakeholders to develop the evaluation criteria based on the risks and goals of the project |  |
| 1. Develop the proposal evaluation and scoring criteria |  |
| 1. Define relative weight for each evaluation criterion |  |
| 1. Include safety, mobility, and quality aspects as part of the value-based criteria |  |
| 1. Include appropriate level of scoring for safety, mobility, and quality elements in the proposal evaluation criteria |  |
| 1. Check if the proposal details conforms to agency's guidelines and/or procedural requirements |  |
| 1. Evaluate the technical and price proposal |  |
| 1. Discuss the project goals and risks |  |
| 1. Rank the proposal evaluation criteria, including project scope, schedule, timeline, project management approach, environmental impacts, design criteria, material warranty, etc. |  |
| 1. Review the proposal for maintenance of traffic (MOT), construction access, and work zone impacts on the traveling public |  |
| 1. Review the proposal for temporary traffic control plan (TTCP), transportation operation strategies, and public information plan, as applicable. |  |
| 1. Assign points to criteria and sub-criteria |  |
| 1. Weigh the technical proposal based on project goals and risks |  |
| 1. Provide recommendations to technical review and selection committee |  |

## Owner/Agency’s Design Review Checklists

These checklists include various TMP related design items that an owner/agency should consider when reviewing the design-builder’s design documents.

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| Design Review |
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| 1. Determine if the contract documents describe the location and design features and the construction requirements in sufficient detail to facilitate construction and the estimation of construction costs of the project |  |
| 1. Verify that the contract documents contain the following:   Yes  No  N/A  Title Sheet Yes  No  N/A  Typical Sections Yes  No  N/A  Summary of Quantities Yes  No  N/A  Plan Sheets Yes  No  N/A  Profile Sheets Yes  No  N/A  Drainage Sheets Yes  No  N/A  Cross Sections Yes  No  N/A  Traffic Control Plans Yes  No  N/A  Signing Plans Yes  No  N/A  Lighting Plans Yes  No  N/A  Traffic Signal Plans Yes  No  N/A  Special Detail Sheets Yes  No  N/A  Structure Plans Yes  No  N/A  Utility Relocation Plans  Yes  No  N/A  Landscaping Plans Yes  No  N/A  Other: Click here to enter text. |  |
| 1. Verify whether the project conforms to Federal-aid standards for geometric and structural design |  |
| 1. Review and approve any design exceptions incorporated into the project |  |
| 1. Confirm whether the project will involve new or revised interstate access |  |
| 1. Confirm whether the project will involve railroad/airport/utility/right-of-way coordination |  |
| 1. Verify that right-of-way, easement, and control of access lines are shown on the plans |  |

| Design Review (continued) |
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| 1. Evaluate whether all temporary and permanent traffic control devices are consistent with the current edition of the Manual on Uniform Traffic Control Devices (MUTCD) |  |
| 1. Evaluate whether the transportation management plan (TMP) provided is consistent with Federal and State regulations on work zone safety and mobility |  |
| 1. Check to see if the project has been classified as “significant” per the State’s work zone safety and mobility policy |  |
| 1. Verify whether the incident management plan has been approved by the agency |  |
| 1. Verify whether the public information and outreach plan has been approved by the agency |  |
| 1. Verify whether the TMP has been approved by the agency |  |
| 1. Verify whether the TMP has been approved by the Federal Highway Administration (FHWA), if applicable under the State agency/FHWA stewardship plan |  |
| 1. Check to see if the highway clear zone and safety appurtenances are in accordance with the current edition of the American Association of State Highway and Transportation Officials (AASHTO) Roadside Design Guide |  |
| 1. Verify whether appropriate accommodations have been provided for bicyclists and pedestrians |  |
| 1. Verify whether pedestrian facilities and appurtenances have been designed in accordance with Americans with Disabilities Act (ADA) requirements |  |
| 1. Verify whether the project utilizes the current version of the State agency’s standard drawings |  |
| 1. Verify whether the project utilizes the current version of the State agency’s standard specifications for construction of roads and bridges |  |
| 1. Confirm that the contract documents include a specification and method of payment for all bid items |  |
| 1. Determine if any materials (excluding those supplied by a utility company for utility relocation) are to be supplied by a public agency or through a noncompetitive bid process |  |

## Owner/Agency’s Design and Construction Management Plan Checklists

These checklists include various design and construction quality management items for the owner.

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| Roles and Responsibilities |

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| 1. Define quality management roles and responsibilities in the RFQ/RFP |  |
| 1. Identify the agency/design-builder personnel responsible for technical review of the design deliverables |  |
| 1. Identify the agency/design-builder personnel responsible for checking design calculations |  |
| 1. Identify the agency/design-builder personnel responsible for checking material quantities |  |
| 1. Identify the agency/design-builder personnel responsible for reviewing plans and specifications |  |
| 1. Identify the agency/design-builder personnel responsible for approval of progress payments for design progress |  |
| 1. Identify the agency/design-builder personnel responsible for approval of post-award design quality management, quality assurance (QA), and quality control (QC) plans |  |
| 1. Identify the agency/design-builder personnel responsible for technical review of the construction shop drawings |  |
| 1. Identify the agency/design-builder personnel responsible for technical review of the construction material submittals |  |
| 1. Identify the agency/design-builder personnel responsible for checking pay quantities |  |
| 1. Identify the agency/design-builder personnel responsible for performing routine construction inspection during the project |  |
| 1. Identify the agency/design-builder personnel responsible for QC testing |  |
| 1. Identify the agency/design-builder personnel responsible for verification/acceptance testing |  |
| 1. Identify the agency/design-builder personnel responsible for approval of progress payments for construction progress |  |
| 1. Identify the agency/design-builder personnel responsible for assessing compliance of the construction work to the owner/agency standards |  |

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| Quality Assurance Practices |

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| 1. Maintain design criteria checklists |  |
| 1. Develop construction testing matrix |  |
| 1. Evaluate the qualifications of the design-builder quality manager |  |
| 1. Evaluate the qualifications of the design quality manager |  |
| 1. Evaluate the qualifications of the construction quality manager |  |
| 1. Review the design-builder’s design quality management plan |  |
| 1. Review the design-builder’s design QA plan |  |
| 1. Review the design-builder’s design QC plan |  |
| 1. Review the design-builder’s construction quality assurance plan |  |
| 1. Review the design-builder’s construction quality control plan |  |
| 1. Establish the level and frequency of audit and oversight design reviews (concerning QA and validity of contractor payments) to be performed by the State agency, Federal Highway Administration (as applicable), independent consultants, and/or other agencies as applicable |  |
| 1. Establish the frequency of owner/agency involvement for construction coordination (progress) and/or partnering meetings |  |
| 1. Establish procedures for coordinating with permitting agencies, utility companies, and railroad companies (as applicable) during construction |  |
| 1. Establish the level and frequency of owner/agency inspections to identify and correct any deficiencies in the project construction that are not in compliance with the owner/agency plans, specifications, and other binding documents |  |
| 1. Establish the level and frequency of audit and oversight construction reviews (concerning QA and validity of contractor payments) to be performed by the State agency, Federal Highway Administration (as applicable), independent consultants, and/or other agencies as applicable |  |
| 1. Establish documentation and submission procedures to ensure that the design-builder follows established construction QA procedures |  |

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