Topic No. 700-000-000
Construction Project Administration Manual
Project Documentation
2021

Effective: July 1, 2002
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Section 5.9

STATE CONSTRUCTION OFFICE PROCESS REVIEW OF CONSTRUCTION ENGINEERING AND INSPECTION

5.9.1   Purpose

This section describes the State Construction Office (SCO) Process Review procedures for its Specialty Engineers and Specialists reviewing Construction Engineering and Inspection (CEI) processes in the Districts.   The purpose of this Process Review procedure is to provide a uniform, statewide, documentable, management system to ensure CEI requirements are being met and include an emphasis on training and educating field staff when errors or deficiencies are found. The procedure applies to all construction personnel administering construction contracts of any type.

This chapter also addresses the Central Office role in assurance of the district's compliance with this chapter via Process Reviews.   This process does not require mandatory process reviews to be conducted by the District, Resident or Project level staff, but this is optional to the Districts if they wish to develop such a review process.

5.9.2   Authority

Sections 20.23(4)(a) and 334.048(3), Florida Statutes

5.9.3 Definitions

Refer to the Introduction section of this *Manual*.

5.9.4 Overview

This Process Review procedure and guidance document explains what the Florida Department of Transportation's construction organization must do to conduct an effective Statewide Quality Assurance (QA) program. The goal of the Process Review program is to continually improve CEI performance.

To accomplish this goal, the procedure requires staff from the State Construction Office,

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the State Materials Office, the Federal Highway Administration (optional) and the District Construction Office (optional) to review the performance of personnel charged with CEI duties.

Construction staff from the Central Office and the State Materials Office conduct Process Reviews to determine how well CEI personnel are performing the responsibilities they are assigned. These responsibilities are referred to as Critical Requirements and they are displayed on the SCO website under **Construction QA Critical Requirements Lists**. The Process Review team will use the QA Critical Requirements Lists and **QC Guidelists** in their evaluation of field personnel performance. District personnel are encouraged to continue use of the QA/QC critical requirements and guidelists during their daily operations.

The results of Process Reviews are reported to the District Construction Engineer (DCE) with the District Process Review representative, where applicable, in a closeout meeting prior to the review team returning to the Central Office. Additionally, each review team will issue a PowerPoint report of their findings to the District Secretary, District Director of Transportation Operations, Chief Engineer, Director of Construction, and DCE. The report shall emphasize findings of areas where the District is performing well; cite the areas where improvements were needed and the steps taken during the review to correct those areas, and how well the QA/QC critical requirements and guidelists were being followed. Reviewers also record innovative CEI practices that are discovered during reviews so that these may be considered for implementation as improved ways of doing business in the future. The Reviewers should emphasize what is being done well and educate the correct method in areas found to be lacking.

The Process Review procedure also provides a process for reporting training needs and innovative practices to higher levels of management in order to ensure that this vital information is addressed properly and is communicated to everyone who might also benefit from it. When needs for improvements are found, the DCE or the District Process Review participant is tasked with evaluating the other Residencies or Operations Centers to determine if the same need exists in the other locations. Central Office Process Reviewers are tasked with the responsibility to determine in remaining reviews if similar training needs exist in other districts which would indicate a potential need for Statewide Training on the subject.

5.9.4.1   Review Frequency

Construction staff from the Central Office will perform Process Reviews of the CEI processes for which they are responsible. The Process Reviews on most categories will be done as a minimum once every two years per District.

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The SCO lead reviewer should contact the DCE to find out who will be the District's contact person for Process Reviews. The lead reviewer will work with that person to schedule Process Review dates, the specific job sites to be reviewed, and a closeout meeting with the DCE.

5.9.4.2 Review Participation and District Response

District Level Responsibilities

The DCE is responsible for all QA activities at the District Level. The primary focus of the District Level activities will be to implement the actions and training recommended by QA Reviews. During the SCO Process Reviews, the District is encouraged to provide a knowledgeable staff member to participate in the review and escort the Process Review team during its visits to various district offices and jobsites. The DCE or delegate will participate in a brief kick off meeting at the beginning of the Process Review and will also participate in a closeout meeting at the conclusion of the Process Review.

5.9.4.3 Process Review Performance

Central Office Level Responsibilities

Process Reviews will be assigned by the Director, Office of Construction to various members of the Director's staff in accordance with the **QA Category Responsibility Table** published on the website of the SCO. The Assigned Staff will schedule the review with the DCE or delegate at least 30 days in advance. The assigned Reviewer will solicit the participation of the State Materials Office (where appropriate), the Federal Highway Administration (where appropriate), and may also wish to solicit the participation of a specialist from one of the districts or other offices when that specialist can bring a level of expertise to the review not available in the SCO. This person would participate in Process Reviews for that area of expertise conducted in all the districts.

If a Process Review results in finding an opportunity for improvement, those findings shall be discussed with the field staff involved in order to educate them regarding that area for improvement. Those opportunities for improvement shall also be discussed with the DCE at the closeout meeting. The DCE should ensure that the findings are discussed at the next Resident and District level staff meetings. Where findings have statewide significance, the Process Review team is tasked with communicating in writing to the SCO their findings for presentation at the next DCE Meeting or immediate distribution to all districts and for consideration of future statewide training opportunities.

A ***Process Review Report (Report)*** shall be made in a PowerPoint presentation format by the review team member from the SCO for every Process Review performed, within 14 days of the completion of the review. The ***Report*** will be uploaded to the SCO SharePoint Site and the review team member will notify the Director of Construction the Report is complete and ready for distribution. The Director shall email a link of the ***Report*** to the District Secretary, Chief Engineer, Director of Transportation Operations and DCE. The ***Report*** shall state the Process Review date, category reviewed, locations reviewed and personnel involved and describe the kickoff and closeout meetings held with the DCE or delegate. The ***Report*** shall comment on each of the **Construction *QA Critical Requirements*** to the effect that they are or are not being accomplished. The ***Report*** may, at the Reviewers discretion, also comment on any of the ***QC Guidelist*** items to the effect that they are or are not being accomplished. Where ever the ***Report*** notes that a ***QA Critical Requirement*** or ***QC Guidelist*** item is not being accomplished satisfactorily, this may be considered as an opportunity for improvement. The ***Report*** shall also recommend the appropriate corrective actions and or training required for the area of improvement so the Districts CEI Staff can start performing the critical requirement or guidelist task correctly.

When a response from the district is required, the ***Report*** should clearly state the District Action Items on which a response is required and the DCE should respond to the action items within 30 days of receiving the ***Report***. Official responses shall be recorded on the response slides provided in the ***Report*** and those slides emailed to the Director of Construction, to be incorporated back into the official ***Report***.

The findings and dispositions of each Process Review will be maintained on the SCO SharePoint site.

Guidance Document 5-9
Conducting a Process Review

I.   OVERVIEW

This guidance document is intended to be used by a Process Reviewer. By fully using these *Guidelines*, a reviewer will be aware of important QA requirements that should be examined during a review. The review must cover the following major QA concerns: Verification that Critical Requirements are being met, verification that actions and training recommended in previous QA Reviews have been implemented.

II.   VERIFICATION OF CRITICAL REQUIREMENTS

Guidelist Possession – This is strongly encouraged for all technicians but not mandatory.   The *QC Guidelists* include critical requirements and many other requirements that QA and QC personnel must be familiar with, so it is important that those working for the Florida Department of Transportation have access to a current copy of the *QC Guidelists* readily available.

Critical Requirements Verification - The reviewer must conduct process reviews on Construction Engineering and Inspection (CEI) personnel as if they were, reviewing the field CEI effort. This means that the reviewer must check the QC performance of inspectors and other CEI staff for compliance with the requirements of a specific assessment category.   If the reviewer finds Critical Requirements (CR) that have significant Opportunities for Improvement (OFIs), the reviewer should check non-critical requirements since OFIs on Critical Requirements may be an indication that non-critical requirements may also show opportunities for improvement.

QA Log - The DCE is encouraged to maintain a log containing a copy of all District *QA Review Reports* performed in the last four years. This *Log* should be made available upon request