

Technical and Project Management Monitoring\Inspections



Contents

[Purpose 1](#_Toc108618039)

[Directions 1](#_Toc108618040)

[Frequency 1](#_Toc108618041)

[Report 1](#_Toc108618042)

[Acknowledgement 2](#_Toc108618043)

[Plan of Action 2](#_Toc108618044)

[Reference 2](#_Toc108618045)

[Monitoring 2](#_Toc108618046)

[Construction\Project Administration Basic Requirements 2](#_Toc108618047)

[Contract Management 2](#_Toc108618048)

[The Pre-Construction\Project Meeting 3](#_Toc108618049)

[Lines of Communication 3](#_Toc108618050)

[Reporting and Monitoring Requirements 4](#_Toc108618051)

[Disadvantage Business Enterprise (DBE) Reporting and Monitoring 4](#_Toc108618052)

[Davis-Bacon Monitoring 5](#_Toc108618053)

[Construction\Project Inspection 5](#_Toc108618054)

[Progress Payment Requirements 6](#_Toc108618055)

[Change Orders 9](#_Toc108618056)

[Construction Progress Meetings 10](#_Toc108618057)

[Dispute Resolution 11](#_Toc108618058)

[Maintenance Plans 11](#_Toc108618059)

[Contract Close Out 12](#_Toc108618060)

[Procurement 13](#_Toc108618061)

[Risk and Contingency Management Plan 13](#_Toc108618062)

[Americans with Disabilities Act (ADA) 14](#_Toc108618063)

[Safety and Security Management Planning 15](#_Toc108618064)

[Grant Monitoring 16](#_Toc108618065)

**Subrecipient:**  **Inspection Date:**

**Project:** **Inspected By:**

Purpose

SDDOT is required provide technical capacity and project management to ensure project schedules, budgets, and performance objectives are achieved; provide technical inspection and supervision of all projects in progress; ensure conformity and compliance with all applicable federal, state, and local regulations; and obtain all necessary approvals prior to incurring costs. The recipient is required to provide technical inspection and supervision of capital or planning project.

Technical inspection and supervision for projects undertaken by subrecipients for below listed types of projects.

* construction projects
* bus and revenue rolling stock procurements
* technology projects
* planning projects

When projects are implemented by an entity on behalf of a recipient, such as by a management contractor, the recipient is ultimately responsible for, and must ensure technical oversight of, the project.

Recipients are responsible for federal assistance that “passes through” to a subrecipient. The recipient’s responsibilities include, but are not limited to, providing, directly or by contract, adequate technical inspection, and supervision of all subrecipient projects.

## Directions

SDDOT will contact each agency and schedule the inspection approximately 20 business days prior to an onsite visit.

During the site inspection, SDDOT will review the technical capacity and project management related to the project stated above in this document. The site inspection presents an opportunity for SDDOT to inspect the project progress firsthand and provide an opportunity to address any questions the transit staff may have.

### Frequency

Quarterly until project is complete.

### Report

After the site inspection the SDDOT Transit inspector will issue an inspection report to the transit director within 10 business days of the site visit.

### Acknowledgement

An acknowledgement form will be sent to the transit director with the inspection report to acknowledge the report. The signed form is required to be sent back to the SDDOT transit inspector within 10 days from the date of the report.

### Plan of Action

A plan of action from the Transit Director must be provided addressing any findings, concerns or suggestions is required to be submitted to the SDDOT Transit Inspector within 10 days from the date of the report.

## Reference

SDDOT Facility Construction Project Guidebook June 2021, State Management Review Contractors Manual (Which will list specific requirement references.) and FTA Construction Management Handbook 2016.

<https://dot.sd.gov/media/documents/SDDOTFacilityConstructionProjectGuidebook.pdf>

<https://www.transit.dot.gov/regulations-and-guidance/program-oversight/state-management-oversight>

<https://www.transit.dot.gov/funding/procurement/fta-construction-management-handbook-2016>

## Monitoring

Did provider provide the A&E consultant the SDDOT Facility Construction Project Guidebook June 2021 and FTA Construction Management Handbook 2016?

### Construction\Project Administration Basic Requirements

Construction administration activities begin upon issuance of the notice of contract award and a notice to proceed to the contractor. The role of the contract administrator is to make certain the contractor meets its contractual obligations, the Agency adheres to its contractual obligations, and Agency’s legal rights are protected.

Conducting project management and provide technical oversight in-house?

A&E Consultant or other consultants to serve as project manager or provide technical oversight?

#### Contract Management

The contract management plan sets out how this is to be achieved, addressing:

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Who has the authority to direct and approve the contractor to perform work? |  |  |
| Is the contractor’s work is monitored and performance reported? How? |  |  |
| Process by which changes to the contractor’s work are requested, approved, and the contract modified. |  |  |
| What inspections and audits are being conducted of the contractor’s work?  |  |  |
| Are contractor requests payment requests reviewed and approved? |  |  |
| What financial audits are to be conducted on contractor payments?  |  |  |
| How contract documents, correspondence, and other records are managed? |  |  |

Elements of a good construction administration system include the following elements:

#### The Pre-Construction\Project Meeting

A pre-construction\project meeting should be held shortly after the contractor is issued a notice to proceed. An example pre-construction meeting agenda is included in SDDOT Facility Construction Project Guidebook June 2021 Exhibit C. The following elements should be included in the pre-construction meeting:

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Was the meeting mandatory? |  |  |
| Did the agenda include the required elements? (Use the Exhibit C to check and include with the inspection documentation.) |  |  |
| Review project management plans and obtain copies for project file. |  |  |
| Reviewing plans and drawings. |  |  |
| 1. ADA
 |  |  |
| 1. During construction
 |  |  |
| 1. Facility Features
 |  |  |
| 1. Meets the project scope
 |  |  |
| 1. Addresses the needs
 |  |  |
| 1. Project on track with milestones? (Insert Milestones to document status per project.)
 |  |  |
| If project management contracted out – Is subrecipient attending project review meetings? |  |  |

####  Lines of Communication

The primary purpose of the pre-construction\project meeting is to establish lines of communication between the contractor and agency.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Evidence by documentation and site inspection there is good communication? |  |  |
| Has a point of contact been identified to the contractor? |  |  |
| 1. Construction manager contact
 |  |  |
| 1. Agency contact
 |  |  |
| Was line of communication between contractor and agency established? |  |  |

#### Reporting and Monitoring Requirements

At a minimum, project reports should include information on project progress against the project schedule, project costs compared to the project budget, and change order reports. It is a best practice to require monthly reports.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Have the roles and responsibilities of the people preparing and receiving these reports been established the pre-construction meeting? |  |  |
| Are the reporting requirements established with construction contractor? |  |  |
| 1. Frequency
 |  |  |
| Report format and content established for consistency? |  |  |
| Reporting completed throughout the life of the project? |  |  |
| Is the project on schedule and according to plan\drawings? |  |  |
| Project in line with the project scope? |  |  |
| Requiring progress reports? |  |  |
| 1. Frequency
 |  |  |
| Milestone reporting? |  |  |
| Any criteria tied to the milestones preventing to move to next steps or funding? |  |  |
| Project shortfalls plans to mitigate? |  |  |

#### Disadvantage Business Enterprise (DBE) Reporting and Monitoring

The USDOT requires ongoing monitoring of DBE activities. Obtaining a monthly report from the contractor regarding the utilization of DBE is one tool to ensure the DBE subcontractors committed to by the contractor are, in fact, utilized during the project process. It is strongly recommended the contractor attach a DBE utilization report to the monthly payment application. The content of this report should be reviewed by the project manager and the DBELO.

On-site inspections should also be performed to verify actual project activities being performed by DBE firms. The on-site inspections must be formal and certified by the individual that undertakes them.

Providers are to send an email to SDDOT staff when DBE reports are due notifying them of DBE activity on project other than 5311 activity. This activity would be reporting in the biannual DBE reporting to FTA.

**SDDOT DBE Plan:** <https://dot.sd.gov/media/documents/DBEProgramPlan.pdf>

**SDDOT Transit DBE Methodology:** https://dot.sd.gov/media/FTA%20DBE%20Goal%20Method%20FY2021-2023%20Approved.pdf

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Review of DBE documentation and tracking – monthly reports on file, tracking to submit activity to SDDOT for the DBE reporting. |  |  |
| Verify information was submitting with DBE reporting semiannually. |  |  |

#### Davis-Bacon Monitoring

The Davis-Bacon Act requires wages paid to workers on publicly funded construction projects must comply with prevailing rates for the locality of the project. During construction, the contractor should be required to provide copies of certified payroll information. This information should be compared to the prevailing rates to ensure workers are being paid the proper rates.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Wage rates included in construction solicitation? |  |  |
| Payrolls submitted every 30 days unless specified  |  |  |
| 1. Review of Davis Bacon
 |  |  |
| 1. Documentation
 |  |  |
| 1. Wage Determination
 |  |  |
| 1. Wage Worksheets
 |  |  |
| 1. Worker Interviews
 |  |  |
| 1. Required postings
 |  |  |
| Review of DBE documentation and tracking – monthly reports on file, tracking to submit activity to SDDOT for the DBE reporting. |  |  |

#### Construction\Project Inspection

Inspections should be conducted at intervals recommended by the consultant until the project is closed out. If a project manager is employed, they should provide on-site inspections. If there is no separate project manager, it is recommended that a staff member be tasked to perform this service. This staff member would provide full time on-site project supervision and inspection. In either case, the project manager or the assigned staff member would report directly to the director.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Are copies of the inspection reports being provided to the project manager and the A&E firm.Is the project manager conducting periodic site inspections? Are they documented? |  |  |
| Does construction inspection contain the required content? (Use the SDDOT Construction Manual for content reference to check and include with the inspection documentation.) |  |  |
| In addition, reports contain information on: |  |  |
| 1. Contractors and trades on site.
 |  |  |
| 1. Work being done.
 |  |  |
| 1. Numbers of workers on site.
 |  |  |
| 1. Weather conditions.
 |  |  |
| 1. Information that may be significant in determining a potential slip in the project completion schedule.
 |  |  |
| 1. Information that may lead to future change orders.
 |  |  |
| Is the project within scope per drawings and specifications? |  |  |
| Is the project within budget? |  |  |
| Any unforeseen project conditions, changes in governing regulations, value engineering proposals? |  |  |
| In conformity and compliance with all applicable federal, state, and local regulations? |  |  |
| Obtained all necessary approvals prior to incurring costs? |  |  |
| 1. Procurement approved?
 |  |  |
| 1. Environmental?
 |  |  |
| 1. Building permits?
 |  |  |
| 1. Other
 |  |  |
| 1. Other
 |  |  |

#### Progress Payment Requirements

The progress payment application should have the approved schedule of values attached with claims for work completed under each category of the schedule. This schedule is reviewed by the agency’s team to ensure the monetary values associated with the various construction activities are properly established. If there is disagreement over an invoiced activity, a review of the invoice should be undertaken with the contractor until agreement on the amounts is reached. At this point, the contractor will certify the payment application and submit it to the agency for approval and payment.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Progress payments are being reviewed and reflect the activity conducted on the project? |  |  |
| Payment disagreements addressed and resolved? |  |  |
| The payment request is certified prior to submitting to SDDOT for payment? |  |  |
| Delays are not unusual in major construction and technology projects. Are there any payments being withheld or a portion of the award until final inspection and acceptance of the project?  |  |  |
| 1. Delays are the result of inadequate actions by the recipient?
 |  |  |
| 1. Failure in performance by a contractor?
 |  |  |
| 1. Deficiencies in the recipient’s technical oversight of projects?
 |  |  |
| 1. Organizational structure and actions may contribute to continuing problems with project delays?
 |  |  |
| 1. Did any of these have an impact on the project: land acquisition, zoning changes, environmental studies, weather, and other factors not under the complete control of the recipient may cause the delay.
 |  |  |
| Is the cost and schedule performance match up with the Statement of Work (SOW)? |  |  |
| If not, does it require changes in the design contract as changes in design assumptions are identified?  |  |  |
| To aid in minimizing impacts to the design consultant's efforts, timely reviews and approvals should be given to avoid delay to the project development process. Identified and approvals documents? |  |  |
| Are developed construction capital cost estimates reviewed, including the constraints of inflation and price uncertainties and balance the cost estimates within the budget throughout the project?  |  |  |
| Prompt Payment monitoring applies to all contracts. (Refer to SDDOT DBE Plan for SD requirement and 49 CFR26.29 (a). |  |  |
| 1. Subrecipient has a process to monitor prompt payment(s) are being made to all contracts. (Payment must be in hand within 15 days per SDDOT DBE Plan. 49 CFR 26.29(a), 26.13(b)
 |  |  |
| 1. Process addresses disputes concerning the subcontractor’s performance or indicate what happens in the event of a dispute.
 |  |  |
| 1. Prompt payment process documented in the contract. 49 CFR 26.37
 |  |  |
| 1. Prompt payments made to contractors within 15 days per SDDOT DBE Plan after work is completed. Contractors must comply with the reporting and invoicing requirements to start the 30-day count.
 |  |  |
| Return of Retainage monitoring applies to all contracts. (Refer to SDDOT DBE Plan for SD requirement and 49 CFR26.29.) |  |  |
| 1. Subrecipient has a process to return the portion of retainage associated the work completed within 15 days per SDDOT DBE Plan of subrecipient; s incremental acceptance of work performed. 49 CFR 26.29(b)
 |  |  |
| 1. Subrecipients should have a dispute resolution process as mechanism to ensure compliance with the purpose and intent of the release of retainage requirements.
 |  |  |
| 1. The contract must have a clause obligating the payment of retainage within 15 days of the recipient’s incremental acceptance of the work performed by the contractor. 49 CFR 26.29(b) or Payment of retainage by the prime contractor within 15 days of satisfactory completion of the work performed by the subcontractor.
 |  |  |
| 1. Return of retainage must be returned to all contractors within 15 days or before after payment is received for satisfactory completion of work. Contractors must comply with the reporting and invoicing requirements to start the 15-day count.
 |  |  |
| Has there been any complaints regarding prompt payment or the return of retainage? |  |  |
| Was the correct process followed?* Complaints by subcontractors regarding the prompt payment requirements are handled according to the following procedure. [Escalation steps should follow prime, Recipient, and Operating Administration (OA) in that order, but specific procedures are to be outlined by the Recipient. Procedures and wording below are basic descriptions, and should not be used verbatim.]
* If affected subcontractor is not comfortable contracting prime directly regarding payment or unable to resolve payment discrepancies with prime, subcontractor should contact SDDOT ART Program Manager to initiate complaint.
* If filing a prompt payment complaint with the SDDOT ART Program Manager does not result in timely and meaningful action by [Recipient] to resolve prompt payment disputes, affected subcontractor may contact the responsible [operating administration] contact.
 |  |  |
| Information |
| Some contractual penalties that may be imposed by a recipient when a subcontractor is not promptly paid.1. Terminating the contract,
2. Withholding progress payments,
3. Assessing sanctions,
4. Imposing liquidated damages,
5. Disqualifying the contractor from bidding on future contracts, or
6. Other remedies the recipient deems appropriate.
 |
| **Prompt Payment Section Sample Template:** https://www.transportation.gov/sites/dot.gov/files/docs/mission/civil-rights/civil-rights-awareness-enforcement/308766/dbe-guidance-prompt-payment-enforcement-sample.pdf |
| **SDDOT DBE Plan Addressing Prompt Payment and Retainage:**<https://dot>.sd.gov/media/documents/DBEProgramPlan.pdf**SDDOT Transit DBE Methodology:** https://dot.sd.gov/media/FTA%20DBE%20Goal%20Method%20FY2021-2023%20Approved.pdf |

#### Change Orders

Change orders are a common occurrence during projects. It is very important to have a structured process for reviewing and approving any change orders. Change orders can take several forms: no cost schedule changes, cost changes that do not impact the schedule, and changes that impact both the project schedule and costs. Regardless of the nature of the change order, there is a common process that must be followed and documented when dealing with change orders. FTA considers each change order to be a sole source or non-competitive procurement. Any additional work contained in a change order must be within the general scope of the primary construction contract. In addition, the cost of the change order must be analyzed and found to be fair and reasonable.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Change order process and documentation?  |  |  |
| 1. Verify the correct process and documented according to SDDOT Construction Guide.
 |  |  |
| Potential change order: |  |  |
| 1st determine the nature of the change order is within the scope of the current project and all work involved in the change order is not already covered by the scope of the contract. |  |  |
| 1. 2nd If the requested change is for an extension of time to complete the project, the initial determination should be based on whether any delays in the project were beyond the contractor’s control.
 |  |  |
| 1. If a determination is made the change order request is justified, the contractor should be asked to provide a proposal. The proposal should include all cost elements which make up the change order price and time needed for implementation.
 |  |  |
| 1. These cost and time elements should include the worker classifications, labor hours, hourly rates, quantities and unit cost of materials, cost of fringe benefits, and any additional profit.
 |  |  |
| 1. ICE prepared using the same cost elements requested from the contractor.
 |  |  |
| 1. Cost proposal evaluated and determined the costs and resulting price are reasonable, a written determination is provided to the agency.
 |  |  |
| 1. If costs are not determined reasonable, negotiations should commence with the contractor to arrive at a reasonable price. A written record of negotiations should be kept by the A&E firm.
 |  |  |
| 1. A final version of the change order should be prepared and executed by the contractor, the A&E firm, and the owner.
 |  |  |
| 1. Is the construction manager and provider following the change order process?
 |  |  |
| 1. Are the change orders being processed as sole source procurement process?
 |  |  |

#### Construction Progress Meetings

Construction progress meetings are necessary to keep lines of communication open with the contractor.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Review project management plans obtain copies for project file. |  |  |
| Reviewing plans and drawings. |  |  |
| Is the project on schedule and according to plan\drawings? |  |  |
| Project in line with the project scope? |  |  |
| Project on track with milestones? |  |  |
| 1. Environmental Complete
 |  |  |
| 1. IFB/RFP Released
 |  |  |
| 1. IFB/RFP Award
 |  |  |
| 1. Project Start Date
 |  |  |
| 1. Project End Date
 |  |  |
| Hold regular meetings between the project manager and contractor(s) to review project status. |  |  |
| Are construction meetings documented? (Do a sampling.) |  |  |
| Held every two weeks? (Do a sampling.) |  |  |
| Agendas documented? (Do a sampling.) |  |  |
| (Topics – project schedule, any potential or pending change order requests, and state of DBE program. See SDDOT Facility Construction Project Guidebook June 2021 for sample agenda.) |  |  |
| Minutes documented (Do a sampling.) |  |  |
| 1. Transmitted to each member of the project team?
 |  |  |
| 1. Minute corrections?
 |  |  |
| 1. Addressed at the next meeting?
 |  |  |

#### Dispute Resolution

SDDOT requires contracts for projects that exceed the state simplified acquisition threshold (over $24,999) contain provisions describing dispute resolution procedures. During construction or implementation of projects, it is not uncommon for disputes to arise between the agency and the contractor.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Have written dispute process? |  |  |
| Process described in the contract document. |  |  |
| 1. Contract terms direct the contractor to proceed with the work as disputes are being settled.
 |  |  |
| 1. Contract provisions require the use of a court with local jurisdiction for dispute resolution.
 |  |  |

#### Maintenance Plans

Completed projects normally contain numerous equipment and systems that will require routine maintenance. SDDOT requires subrecipients to implement an asset maintenance plan using the SDDOT Asset Maintenance Plan template.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Contract documents need to require the contractor to provide maintenance and operations manuals for the facility’s equipment and systems. These manuals will serve as the reference documents for the facility and equipment maintenance plan. |  |  |

#### Contract Close Out

There are several formal actions required to successfully close out a transit construction contract. A good practice is to prepare a closeout checklist to ensure all activities are completed. The following items describe actions needed to perform a successful project closeout and are required to be on file at SDDOT before the project can be closed.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Substantial Completion – A notice of substantial completion is submitted to the A&E firm, or directly to the owner, from the contractor. This notice is a representation from the contractor that most if not all work required by the specifications has been completed. Upon receipt of this notice, the A&E firm, or the owner, will perform a walkthrough of the project with the contractor. |  |  |
| Certification of Substantial Completion – After the walkthrough inspection, the A&E firm will prepare and sign the certification of substantial completion. Any incomplete items will be listed in a document called the “punch list.” The punch list will be attached to the certificate of substantial completion. The contractor should be given a date to complete items contained in the punch list. The contractor will provide notification to the A&E firm, or directly to the owner, when all items on the punch list have been completed. When this notification is received, another walkthrough inspection will be performed to verify completion. |  |  |
| Certification of Final Completion – Once all items contained in the punch list have been completed, the A&E firm will provide a signed certification of final completion. Upon receipt of the certificate of final completion, final payment, less retainage, may be made to the contractor. |  |  |
| Release of Liens – The contractor will provide a release of liens for itself as well as all subcontractors and material suppliers. The release of liens represents that all payments due have been received and there will be no claims for unpaid balances. |  |  |
| Release of Retainage – Upon receipt of all lien releases, the contractor can submit a request for payment of retainage amounts. |  |  |

#### Procurement

It is required to follow the written procurement policy and federal and state procurement laws and regulations. The provider is required to have a documented procurement file for the project.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Procurement file with content checklist up to date? (Use checklist from SDDOT Procurement Policy to check and document and keep with inspection documentation.)  |  |  |
| 1. Use the checklist and mark off information included in file for inspection documentation
 |  |  |
| Labor Relation information part of the procurement bid packet? |  |  |
| 1. Wage rates and classifications?
 |  |  |
| 1. Wage and hour requirements?
 |  |  |
| 1. State and local regulations?
 |  |  |
| 1. No-strike agreements?
 |  |  |
| Executed contracts with A &E Consultant? |  |  |
| Executed contracts with construction contractor? |  |  |
| 1. Incorporating contractual delivery dates into contracts that coordinate with the project schedule.
 |  |  |
| 1. Use of performance bonds and/or insurance contracts to meet the project’s risk management objectives, including liability and insurance conditions and minimum limits to be met by the contractor.
 |  |  |
| Use of standardized procurement documents and any special documents needed? |  |  |
| Integration of procurement lead times into the project schedule? |  |  |
| For steel and iron end products, the general requirements are that all steel and iron manufacturing processes must take place in the United States. Buy America requirement met? |  |  |
| Do specifications meet the ADA requirements? (Such as elevator, doorways, bathroom grab bars, push button door openers, etc.) |  |  |

#### Risk and Contingency Management Plan

The RCMP describes how the project is organized and procedures used to manage the project risks, addressed in the plan.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Have a risk and contingency management plan (RCMP)? |  |  |
| 1. Describes how the project is organized.
 |  |  |
| 1. Includes procedures used to manage the project risks.
 |  |  |
| 1. Identifies roles and responsibilities of project staff in risk management.
 |  |  |
| 1. Identification of project risks.
 |  |  |
| 1. Categorization of risks in terms of probability of occurrence and impact on project cost, schedule, scope, and/or quality.
 |  |  |
| 1. Risk handling should the risk event occur, through one or more of the following measures:
 |  |  |
| 1. Assumption
 |  |  |
| 1. Accepting the consequences of the risk.
 |  |  |
| 1. Avoidance
 |  |  |
| 1. Changing the project deliverable design or work methods that lead to the risk.
 |  |  |
| 1. Control – Developing measures to reduce the risk’s probability of occurrence, continually re-evaluating the risk, and having in place contingency plans to adopt that mitigate the impacts of the risk.
 |  |  |
| 1. Transfer – Sharing or transferring the consequences of the risk with others, for example, through insurance or warranty provisions.
 |  |  |

#### Americans with Disabilities Act (ADA)

As a recipient of FTA financial assistance, it required to carry out provisions of the ADA of 1990, Section 504 of the Rehabilitation Act of 1973, as amended, and the U.S. Department of Transportation’s (DOT) implementing regulations at 49 CFR Parts 27, 37, 38, and 39 and the guidance given circular 4710.1 of November 4. 2105. These regulations require reasonable modifications to policies, practices, and procedures to avoid discrimination and ensure accessibility to individuals with disabilities.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Address ADA requirements during construction (such as blocking sidewalks)? |  |  |
| Facility ADA features meet the ADA requirements? |  |  |
| Have procedures for reasonable? |  |  |
| Agency must adhere to principals of equivalent facilitation. Outlined in 49 CFR Part 38.2 which indicates that departures from particular technical scoping requirements are permitted where the alternative design and technologies used provide substantially equivalent or greater access to and usability of the vehicles or facilities. |  |  |
| Any alteration that affects the usability of the facility, or alteration to a facility’s primary function area. This includes altering the path of travel or a primary function area associated with the path of travel. |  |  |
| 1. General alterations – Examples include remodeling, renovation, rehabilitation, reconstruction, historic restoration, changes or rearrangements in structural parts or elements, and changes or rearrangement in the plan configuration of walls and full-height partitions.
 |  |  |
| 1. Alterations in the path of travel – Examples include renovation that requires altering a sidewalk; replacing staircases leading to and from a station platform, a significant number of stair treads or risers, or an escalator; or resurfacing concrete staircases.
 |  |  |

#### Safety and Security Management Planning

Depending on the size of the project, safety and security management may be a section within the PMP, or for larger projects, a separate SSMP maybe referenced in the PMP. The objective of the SSMP review is to assess and evaluate the adequacy of development and implementation of the safety and security management program over the course of the capital project.

The following SSMP sections are required in accordance with C5800.1:

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Management Commitment and Philosophy |  |  |
| Integration of Safety and Security into Project Development Process |  |  |
| Assignment of Safety and Security Responsibilities |  |  |
| Safety and Security Analysis |  |  |
| 1. Preliminary Hazard Analysis (PHA)
 |  |  |
| 1. Threat and Vulnerability Assessment (TVA)
 |  |  |
| 1. Operational Hazard Analysis (OHA)
 |  |  |
| Development of Safety and Security Design Criteria Qualified O&M Personnel |  |  |
| 1. Design Criteria and References to NFPA, APTA, IEEE, etc.
 |  |  |
| 1. Configuration Management Plan (for design deviations)
 |  |  |
| Process for Ensuring Qualified Operations and Maintenance Personnel |  |  |
| 1. Rulebook and Standard Operating Procedures
 |  |  |
| 1. Training Plan
 |  |  |
| 1. Security and Emergency Preparedness Plan (SEPP)
 |  |  |
| 1. Operations and Maintenance (O&M) Plan
 |  |  |
| Safety and Security Verification Process |  |  |
| 1. Certifiable Item List (CIL)
 |  |  |
| 1. System Integrated Test (SIT) Plan
 |  |  |
| 1. Safety and Security Certification Plan (SSCP)
 |  |  |
| Construction Safety and Security |  |  |
| 1. Injury and Illness Prevention Plan (IIPP)
 |  |  |
| 1. Construction Safety and Security Plan
 |  |  |
| Requirements for 49 CFR Part 659, State Safety Oversight |  |  |
| 1. System Safety Program Plan (SSPP)
 |  |  |
| 1. System Security Plan (SSP)
 |  |  |
| 1. Security and Emergency Preparedness Plan (SEPP) Consistent with other project plans the SSMP must clearly identify the roles and responsibilities of the project staff, contractors, and stakeholders responsible for managing safety and security.
 |  |  |
| DHS Coordination |  |  |

#### Grant Monitoring

It is the responsibility of SDDOT to monitor grant activity according to the federal and state requirements related to the project. Responsibilities include managing the grant activity to ensure the project and subrecipient are compliant with the grant processes and documentation.

|  |  |  |
| --- | --- | --- |
| **Element** | **Yes, No, Satisfactory, or Non-applicable** | **Comments** |
| Reviewing requests for proposals and contracts. |  |  |
| Review project management plans obtain copies for project file. |  |  |
| Reviewing plans and drawings. |  |  |
| Review quality control procedures. |  |  |
| Review Project Folder: |  |  |
| 1. Equity Analysis
 |  |  |
| 1. Approved Environmental
 |  |  |
| 1. Approved Appraisal
 |  |  |
| 1. Donation\In-kind documentation
 |  |  |
| 1. Studies
 |  |  |
| 1. Contracts
 |  |  |
| 1. Plans
 |  |  |
| 1. Drawing
 |  |  |
| 1. Building Permits
 |  |  |
| 1. Davis Bacon
 |  |  |
| 1. DBE
 |  |  |
| 1. Change Orders
 |  |  |
| 1. Progress Reports
 |  |  |
| 1. Meeting Agendas
 |  |  |
| 1. Quarterly Reports
 |  |  |
| 1. Project Shortfall Documentation
 |  |  |
| 1. Invoices
 |  |  |
| 1. Reimbursement Requests
 |  |  |
| 1. Pictures to document progress or issues
 |  |  |
| Annotate pictures and keep in SDDOT Project folder |  |  |