

EPDS - Construction NCR Workflow Reference Card

EPDS

Process Flow	Roles	Owner Inputs / Actions	Forward	Workflow Action	CC: Notifications
	Initiator	Input: - Title, Location, Description - Responsible Party & Date Reported - Custom Message (next step expectations) * Please propose solution... Attach: - Supporting documents	Ad-hoc Forward to Resident Engineer		
	Resident Engineer	Notes: Only the RE may forward an NCR to the Contractor	Ad-hoc Forward to Contractor		CC: Construction Mgr
	Contractor	Input: - Proposed Solution - Recommended Resolution - Completion Date - Custom Message (next step expectations) * Please review the proposed solution...		ACTIVATE to Resident Engineer REACTIVATE to Resident Engineer	
	Resident Engineer	Review: - Recommended Resolution - Proposed Solution - Has a Completion Date been set? Rejected: - Input Dispute Notes - Custom Message (next step expectations) * Rejection Comments... Accepted: - Input Resolution Note - Custom Message (next step expectations) * Accept/Reject statement...		SUSPEND to Contractor	CC: Construction Mgr
	Construction Manager	Review: - Recommended Resolution - Proposed Solution - Has the RE input notes and approval? Input: - Resolution Note - Custom Message (next step expectations) * Accept/Reject statement...		SUSPEND to Contractor	CC: Resident Engineer
	Resident Engineer			Ad-hoc Forward to Construction Mgr	
	Corridor Manager or Project Manager	Review: - Recommended Resolution - Proposed Solution - Has the Const Mgr input notes & entered? Input: - Resolution Note - Custom Message (next step expectations) * Accept/Reject statement...		SUSPEND to Contractor	CC: Resident Engineer Construction Mgr
				Ad-hoc Forward to NTTA	
	NTTA Technical Oversight Leader	Review: - Recommended Resolution - Proposed Solution - Has the CM input notes & approval? Input: - Resolution Note - Signed Off Date - Custom Message (next step expectations) * Accept/Reject statement... Notes: - May escalate to DPD or AED for approval		SUSPEND to Contractor	CC: Resident Engineer Construction Mgr CWPM
				Ad-hoc Forward to DPD and/or AED	
	Resident Engineer	Review: Signed Off Date Completed? NTTA Approved? Input: - Resolution Note - Custom Message (next step expectations) * Proceed forward with approved solution... Attach: - Supporting documents Notes: <u>Accept-As-is</u> shall be closed and notification sent to the Contractor <u>Rework / Repair / Replace</u> shall be submitted for closure to the Contractor to implement solution		CLOSE to Contractor	CC: Deputy Program Mgr Construction Mgr CMPM
				SUBMIT FOR CLOSURE to Contractor	CC: Deputy Program Mgr Construction Mgr CMPM
	Contractor	Input: - Custom Message (next step expectations) * Solution implemented... Attach: - Supporting documents		Ad-hoc Forward to Resident Engineer	CC: Construction Mgr
	Resident Engineer	Input: - Inspection Log * Inspection Date/Contact/Notes - Custom Message (next step expectations) * Closing statement... Attach: - Supporting documents		Ad-hoc Forward to Contractor	CC: Construction Mgr
				CLOSE to Contractor	CC: Deputy Program Mgr Construction Mgr CMPM
				SUSPEND to Contractor	

CONSTRUCTION NCR QUICK TIPS

Purpose: This workflow is provided as a tool to implement the NTTA's process for the identification, resolution, and re-inspection of construction nonconformances. This process complies with QMS document QM-09.

Definitions:

Nonconformances are defined as the failure to meet plans and/or specifications upon the completion of a discrete and measurable element of construction (i.e. individual pre-cast units, individual concrete placements, lift of earthwork, etc.). Subsequent work that builds upon an identified nonconforming element shall not proceed until approval of the proposed solution has been received.

- Accept-As-Is – No actions needed, the nonconformance is acceptable
- Repair - May meet the required functional use, but these corrections will not bring the nonconformance into full compliance with original plans and specifications
- Rework – Upon completion, the corrections made will bring the identified nonconformance into full compliance with the original plans and specifications
- Replace - Remove and replace the nonconforming item at the Construction Contractor's expense

Responsibilities:

NCR Originator – Any individual who becomes aware of a nonconforming condition shall bring it to the attention of the Resident Engineer. The originator is responsible for ensuring that identified nonconforming products are segregated and controlled to prevent the inadvertent use or installation

Construction Contractor – The Construction Contractor is responsible for responding to all NCRs assigned by the Resident Engineer. The Construction Contractor shall:

- Propose a solution to the Resident Engineer on all NCRs assigned to them
- Notify the Resident Engineer when the proposed solution has been implemented and aide in the verification of the actions taken.

Resident Engineer – The Resident Engineer is the Construction Manager's assigned engineer with responsibility for the construction contract. The Resident Engineer shall:

- Review all construction nonconforming conditions brought to them to determine if a NCR should be created
- Open new NCR's and consult with applicable Project Delivery staff when needed
- Approve / Reject all NCR's in accordance with Table 1
- Notify the PMO Construction Manager when the NCR has a resolution of Repair, Rework or Accept-As-Is
- Forward Final Approval of an NCR to the Construction Contractor for implementation
- Verify that the Construction Contractor has completed the action required by the NCR and then close the NCR

NOTE: If the Resident Engineer does not hold a P.E. license, they shall obtain the concurrence of the Construction Manager before approving the NCR and the recommended resolution.

Construction Manager – The Construction Manager is responsible for monitoring and tracking NCRs initiated by the contractor or construction management to ensure timely resolution. The Construction Manager shall:

- Communicate schedule delays or budget over runs to the CM / Project Manager
- Should the NCR result in a construction change order, it shall be handled in accordance with CON-03, Construction Change Order Process.
- Review and recommend for approval or rejection all construction NCRs categorized as "Rework", "Repair" or "Accept-As-Is"
- Provide concurrence to the Resident Engineer related to nonconformance's, when the Resident Engineer does not possess a P.E. license

Corridor Manager / Project Manager – The CM or Project Manager shall:

- Monitor all NCRs and report on any critical issues to the PMO Construction Manager, Project Delivery Office and the PMO Quality Manager
- Monitor all NCRs for potential schedule delays or budget over-runs and capture these in accordance with PC-03, Exception Reporting procedure
- Review and recommend approval or rejection of all construction NCRs categorized as Repair or Accept-As-Is

NTTA Technical Oversight Leader – The NTTA Technical Oversight Leader is responsible to review and provide final approval on all construction NCRs categorized as Repair or Accept-As-Is resolution. At their discretion, the NTTA Technical Oversight Leader may obtain the approval of the Director of Project Delivery and / or the AED of Project Delivery.

Disposition Approval Matrix & Response Time Requirements:

Resolution	Resident Eng	Construction Manager	CM / Project Manager	NTTA Oversight	DPD and / or AED*
Accept-As-Is	Approve or Reject	Approve or Reject	Approve or Reject	Approve or Reject	Optional Approve or Reject
Repair	Approve or Reject	Approve or Reject	Approve or Reject	Approve or Reject	Optional Approve or Reject
Rework	Approve or Reject	Approve or Reject	N/A	N/A	N/A
Replace	Approve	N/A	N/A	N/A	N/A
Response Time (Business days)	5	2	2	2	2
*Approval is optional and may be requested by the NTTA Technical Oversight Leader					
Table I					

FOR REFERENCE ONLY –
Refer to QM-09 Control of Nonconforming

FOR PROCEDURE QUESTION –
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FOR TECHNICAL QUESTION –
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