

EPDS - Construction NCR Workflow Reference Card

Process Flow	Roles	Owner Inputs / Actions	Forward	Workflow Action	CC: Notifications
	Creator Const Manager or Resident Engineer	Input: - Title, Location, Description - Responsible Party & Date Reported - Custom Message (next step expectations) * Item not meeting plans or specs Attach: - Supporting documents Notes: Only the CM/RE may forward an NCR to the Contractor	Ad-hoc Forward to Resident Engineer Ad-hoc Forward to Contractor		
	Contractor	Input: - Proposed Solution - Completion Date - Custom Message (next step expectations) * Please review the proposed solution...	ACTIVATE to Resident Engineer REACTIVATE to Resident Engineer		
	Const Manager or Resident Engineer	Review: - Proposed Solution with completion date - Field Approval? - Create PMO Form for Review of Proposal Rejected: - Input Dispute Notes - Custom Message (next step expectations) * Rejection Comments... Accepted: - Input Resolution Note - Custom Message (next step expectations) * Accept statement... Recommended for Approval: - Custom Message (next step expectations) * Reviewed & Recommend Approval	SUSPEND to Contractor Ad-hoc Forward to Contractor Ad-hoc Forward to Corr Mgr / Proj Mgr		
	Contractor	Review: - Proposed Solution with completion date - Field Approval? - Create PMO Form for Review of Proposal			
	Corridor Manager or Project Manager	Review: - Recommended Resolution - Has the Const Mgr input notes & entered? Input: - Resolution Note - Custom Message (next step expectations) * Recommend / Reject statement...	SUSPEND to Contractor Ad-hoc Forward to NTTA		CC: Construction Mgr or Resident Engineer
	NTTA Technical Oversight Leader	Review: - Recommended Resolution - Has the Corr Mgr / Proj Mgr 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 Ad-hoc Forward to DPD and/or AED Ad-hoc Forward to Resident Engineer		CC: Const Mgr or RE Corr Mgr / Proj Mgr
	Const Mgr or Resident Engineer	Review: Signed Off Date Completed? NTTA Approved? Input: - Resolution Note - Custom Message (next step expectations) * Proceed with approved solution... Attach: - Supporting documents Notes: Accept-As-is shall be closed and notification sent to the Contractor Rework / Repair / Remove & Replace shall be submitted for closure to the Contractor to implement solution	Ad-hoc Forward to Resident Engineer SUBMIT FOR CLOSURE to Contractor		CC: NTTA PD Const Corr Mgr / Proj Mgr
	Contractor	Input: - Custom Message (next step expectations) * Solution implemented... Attach: - Supporting documents			
	Const Mgr or Resident Engineer	Input: - Inspection Log * Inspection Date/Contact/Notes - Custom Message (next step expectations) * Closing statement... Attach: - Supporting documents	Ad-hoc Forward to Contractor CLOSE to Contractor SUSPEND to Contractor		CC: Construction Mgr CC: NTTA PD Const Corr Mgr / Proj Mgr
	Contractor	Input: - Inspection Log * Inspection Date/Contact/Notes - Custom Message (next step expectations) * Closing statement...			

CONSTRUCTION NCR QUICK TIPS

Purpose: This workflow is provided as a tool to implement the NTTA's process for how to handle all items not meeting plans or specifications in NTTA construction projects, and to create a means for the NTTA to accept substandard work. This process complies with QMS document CON-07.

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.

- 1.0 **Remove & Replace** – The Contractor at their expense agrees to remove all item(s) not meeting plans or specs and replace totally with item(s) that are fully compliant with plans or specs. This choice is approved by the Construction Manager or Resident Engineer in the field.
- 2.0 **Rework** – The Contractor's proposed solution brings the item(s) into full compliance with the plans or specs. This choice is approved by the Construction Manager or Resident Engineer in the field.
- 3.0 **Repair** – The Contractor's proposed solution meets the required functional use, but cannot be made to or does not meet the plans or specs. The concept of the Contractor's proposed rework solution requires recommendation by the PMO Form Review Team, Construction Manager or Resident Engineer, Corridor Manager and Acceptance by the NTTA Technical Oversight Leader. This may also include a potential credit or additional expense and a potential change order that may require additional action and approvals. The Construction Manager or Resident Engineer shall document the As-Built Plans or Specs for any allowed modifications granted through this process.
- 4.0 **Accept As Is** – The Contractor's proposed solution is to not do any additional work to the item(s) that do not meet plans or specs and request a waiver from meeting plans or specs from the NTTA. The concept of the Contractor's proposed solution to request a waiver from meeting plans and specs to accept work as is requires recommendation by the PMO Form Review Team, Construction Manager or Resident Engineer, Corridor Manager and Acceptance by the NTTA Technical Oversight Leader. This may also include a potential credit or additional expense and a potential change order that may require additional action and approvals. The Construction Manager or Resident Engineer shall document the As-Built Plans or Specs for any allowed modifications granted through this process.

Responsibilities:

NCR Originator – Anyone associated with NTTA Construction may initiate a Construction NCR or that individual who becomes aware of a nonconforming condition shall bring it to the attention of the Construction Manager / Resident Engineer to create a Construction NCR.

Construction Manager or Resident Engineer – Shall be responsible for:

- Creating a Construction NCR for each instance of not meeting plans or specifications to document resolution of each issue
- Investigate and follow this procedure for all Construction NCRs created and submitted by others
- Immediately submit all substantiated instances of not meeting plans or specs to the Contractor requesting a proposed resolution and for the Contractor to stop all subsequent and related work items until the issue is resolved
- Determining if payment to the Construction Contractor will be withheld until issues are resolved

Construction Contractor – Shall be responsible for:

- Investigating all Construction NCRs sent to them and proposing a resolution for all item(s) including those where the Contractor was the originator of the Construction NCR
- Preparing a timely comprehensive solution that seeks the best solution for all parties involving including the minimization of any potential time impacts to completion of the project
- Proposed planned completion date for solution

Corridor Manager / Project Manager – Shall:

- Monitor all Construction NCRs and report on any critical issues to NTTA Project Delivery Construction
- Monitor all Construction NCRs for potential schedule delays or budget over-runs and capture these in accordance with QMS *PC-03, Exception Reporting* procedure
- Follow this procedure to review and recommend approval or rejection of all Construction NCRs

4.1 **NTTA Technical Oversight Leader** – Shall be responsible to:

- Review and provide final approval on all construction NCRs
- 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

FOR REFERENCE ONLY –
Refer to CON-07 Control of Nonconforming
Items during Construction for details

FOR PROCEDURE QUESTION –
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