

Locally Administered Construction Oversight Guidelines

Division Construction Engineer (DCE) Duties

- Prior to preconstruction conference, review any Professional and Engineering Service Agreements for conformance with Department procedures. Ensure that the Professional Management Services Unit of the Division of Technical Services reviews agreements with Private Engineering Firms (PEFs) to provide Construction Engineering and Inspections (CEI) services.
 - PEFs that perform design work for the project may not be utilized to perform CEI services. Local Agencies may submit a request for an exemption to this policy to the State Construction Engineer. Exemptions may be approved depending on the scope of work.
 - PEFs must be prequalified to perform CEI services.
 - Certified Technicians must be provided to test and inspect items of work that require testing / inspecting by certified technicians (i.e. concrete, asphalt, densities). This applies to projects administered by PEF or Local Government Agency (LGA) staff.
- Review reporting requirements at the preconstruction conference.
- Prior to beginning work, review contract administration requirements and financial status (remaining balance of Agreement amount) with the LGA.
- Assign a DOT representative to provide project oversight.
- Monitor expenditures – Construction and CEI – and advise LGA in writing if the Agreement amount is exceeded or is anticipated to be exceeded.
- Approve claims and Supplemental Agreements in accordance with the Department's established thresholds.
- Final inspection and written notice to LGA of required corrective work.
- Final review of project records to determine conformance with required procedures prior to final reimbursement.

Resident Engineer (RE) or other DOT Representative Duties

- Attend Preconstruction Conference.
- Attend Monthly Construction and other regularly scheduled construction meetings.
- Ensure that the private engineering firm used to perform construction administration is prequalified to perform Construction Engineering and Inspection by NCDOT. Also, ensure technicians who perform testing for project acceptance possess the appropriate certifications.
- Review project as needed but a minimum of monthly. A monthly report shall be prepared and sent to the responsible agency documenting the following contract elements.
 - Pay record documentation.
 - Daily inspection reports.
 - Disadvantaged Business Enterprise/Minority Business Enterprise/Women Business Enterprise participation and tracking.
 - Materials received documentation.
 - Minimum sampling of materials.

- Payroll submittal.
- Contract change documentation – Supplemental Agreements and Claims - For Supplemental Agreements, the RE / DOT Representative shall review the Project Agreement to verify that the supplemental work is within the original scope of work and to ensure funding is available for the change order. The Local Programs Management Office shall be contacted if an amendment to the agreement or a change in funding is necessary.
- Documentation of penalties / acceptance as reasonably close conformance.
- Review and / or approve all claims and Supplemental Agreements in accordance with the Department’s established thresholds. Supplemental Agreements must be approved in writing prior to beginning the supplemental work.
- Enter submitted DBE-IS forms into SAP.
- Process invoices submitted by the LGA for reimbursement.
- Final project review – schedule DCE for final inspection, when appropriate.

Roadway Construction Engineer / Bridge Construction Engineer Duties

- Provide reporting and contract administration training upon request from DCE or RE.
- Perform audits to supplement RE reviews – every 3 months
- Report results of audits to Division Engineer
- Review Claims and Supplemental Agreements in accordance with the Department’s established thresholds.
- Perform final inspection, when requested by the DCE.

Local Government Agency Duties

- Provide daily contract administration.
- Provide project documentation in accordance with the Department’s policy and procedures and in accordance with Federal regulations.
- Ensure that the private engineering firm utilized for construction administration is prequalified to perform Construction Engineering and Inspection by NCDOT. Also, ensure the technicians who perform the testing for project acceptance possess the appropriate certifications
- Ensure Disadvantaged Business Enterprise/Minority Business Enterprise/Women Business Enterprise compliance. Submit DBE-IS forms with invoices to document Disadvantaged Business Enterprise/Minority Business Enterprise/Women Business Enterprise program compliance.
- Contact RE or DOT Representative when Supplemental Agreements or Claims need review and approval.
- Contact RE or DOT Representative prior to performing any work outside the original scope of the project or when there are questions regarding the Department’s policy and procedures.
- Present project invoices to the RE or other assigned Division staff for reimbursement of costs as included in the Project Agreement. Invoices should include all appropriate documentation and project records to support the invoice payment request.