

STA Quality Improvement Council - Quality Assurance Review Planning Worksheet

1. What is the work process to be reviewed?

CMO initiation and approval process for federal aid oversight, non-federal aid oversight and state funded projects.

2. Has this process been selected for review because of an identified quality concern, or because this process was due for review, or both?

Due for a review.

3. If there is a quality concern, what is it?

N/A

4. Who are the users of the output of this process?

FHWA, STA Project Engineers, Resident Engineers, contractors, Region Bus. Managers, Finals Engineers

5. Who is the person accountable for the process and who has the authority and expertise to develop and implement changes to this process?

6. Please respond to one of the two following options:

OPTION A - This review will look at the entire work process from beginning to end.

What is the beginning and ending of the process?

Beginning: When the PE first decides a CMO might be necessary.

End: Final signature approval.

OPTION B - This review will look at key elements of the process and not the entire process.

What are the beginning and ending steps for each of the key elements to be reviewed?

NOT SELECTED.

7. Where is the process documented?

STA Construction Manual

8. Are there other documents that contain standards, guidelines and/or quality expectations for this process and its output?

Researching: Federal Regs? Procedural Directive? FAPG?

9. Who is the lead reviewer for this QAR?

10. Who are the other members of the review team? (If any)

11. What is the schedule for this QAR?

Team assembled: *December 7, 2000*

Reviews conducted: *December 15 - February 1, 2001*

Report completed: *March 1, 2001*

12. Who will attend these activities, besides the review team?

Resident Engineers, Project Engineers, FHWA Field Engineers

13. What will be the distribution of the QAR report?

QIC, Program Engineers

**APPENDIX B
QAR / CMO Questionnaire**

Quality Assurance Review (QAR) for Contract Modification Orders (CMOs) -FY01

Date of the Interview: STA Region: Meeting Location:

Project Number: Subaccount Number: CMO Description:

Project Funding Source: Project Oversight: Project Engineer: Resident Engineer:

Project Location:

Project Description:

Meeting Attendees:

1. Describe the steps you follow to take the CMO process from initial concept to final approval.

What resources are used to determine if you need a CMO?

- A. Who initiated the CMO?
 - B. What resources are used to determine if you need a CMO?
 - C. What is the contractual basis for the CMO?
 - D. Were all potential cost impacts evaluated and included in the CMO?
 - E. How did you determine funding was available?
 - F. How were the prices determined? Justified?
 - G. Pre-approval by region? Verbal/written?
 - H. Pre-approval by FHWA? Verbal/written?
 - I. If the CMO is a project extension, was the Chief Engineer signature obtained before work began?
 - J. Was the Finals Engineer consulted for advice or assistance when preparing the CMO?
 - K. Was the Area Engineer consulted for advice or assistance when preparing the CMO?
2. How and where are these steps documented?
 3. Who performs these steps?
 4. Do those people have documentation of the process?
 5. What minimum type of skills, experience and/or qualifications does someone need if he or she is going to conduct the process? How many of the people that conduct the process have this expertise?
 6. What additional skills etc. do people need, but don't have?
 7. What level of staffing do you need to perform this work to meet your customers' expectations?
 8. What information, equipment and/or materials does someone need to conduct the process?
 9. Do the people that conduct the process have adequate access to these things?
 10. Who are the customers of the process?
 11. What are the customers' quality expectations?
 12. Who most often uses this information?
 13. How is the process measured to ensure that the customer's quality expectations will be met?
 14. Describe the quality control checks built into the work process.
 15. Are the results of the measures/checks documented?
 16. What is working well with the process?
 17. What is not working well with the process?
 18. Are there activities within the process that are non-value added (e.g. not necessary, redundant, outdated, etc)?
 19. Recommendation(s) for process improvement.