



# TDOT ENVIRONMENTAL QUALITY ASSURANCE (QA) INSPECTION MANUAL

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## **WEB LINKS**

[TDOT Environmental Permits Office](#)

<http://water.epa.gov/lawsregs/>

[TDEC permits](#)

[Construction Division Resources](#)

[TDOT Bid Lettings](#)

<http://www.tnepsc.org/>

[Research & Product Evaluation and Qualified Products List](#)

[TDOT Waste/Borrow Procedures](#)

[PlanGrid](#)

**LIST OF ACRONYMS**

ARAP: Aquatic Resources Alteration Permit  
AUP: Acceptable Use Policy  
CEI: Construction Engineering Inspection  
CGP: Construction General Permit; or Tennessee NPDES Permit for Stormwater Discharges Associated with Construction Activities (TNCGP)  
CFS: Compliance and Field Services Office  
CPESC: Certified Professional in Erosion and Sediment Control  
CWA: Clean Water Act  
EPSC: Erosion Prevention and Sediment Control  
ETW: Exceptional TN Waters  
FTP: File Transfer Protocol  
NOC: Notice of Coverage  
NOT: Notice of Termination  
NPDES: National Pollutant Discharge Elimination System  
OIR: Office for Information Resources  
ONRW: Outstanding National Resource Waters  
OSHA: Occupational Safety and Health Administration  
PDF: Portable Document Format  
PE: Preliminary Engineering  
PIN: Project Identification Number  
PPE: Personnel Protection Equipment  
PPRM: Program, Project and Resource Management  
QPL: TDOT Qualified Products List  
SWPPP: Stormwater Pollution Prevention Plan  
TDEC: Tennessee Department of Environment and Conservation  
TVA: Tennessee Valley Authority  
TWRA: Tennessee Wildlife Resources Agency  
USACE: U.S. Army Corps of Engineers  
USEPA: U.S. Environmental Protection Agency  
USFHWA: U.S. Federal Highways Administration  
USFWS: U.S. Fish and Wildlife Service  
VPN: Virtual Private Network

## SCOPE OF THIS MANUAL

This manual is intended to serve as a reference guide for performing environmental Quality Assurance (QA) Inspections on construction projects for the Tennessee Department of Transportation (TDOT). It was developed to provide a resource outlining procedures to perform an effective environmental inspection that evaluates compliance on construction projects with the following:

- State and Federal water quality and stormwater permits; and
- TDOT special provisions, specifications, and Standard Drawings regarding erosion prevention and sediment control (EPSC).

This manual is divided into two sections, with appendices, as follows:

**Section I** Brief background information on regulations, permits, TDOT special provisions and Circular Letters as they relate to the QA program.

**Section II** Provides an overview and description of the QA inspection process from initial Preconstruction Meetings to distribution and posting of QA inspection reports.

**Appendices A–I** Consultant service procurement, Fee Estimate Forms, Invoicing Forms, Progress Report, permit matrix spreadsheet, QA inspection report template, TDOT VPN access, Environmental Pre-con checklist.

## I. REGULATIONS, PERMITS, CIRCULAR LETTERS AND SPECIAL PROVISIONS

TDOT is responsible for meeting the requirements of state and federal environmental laws and regulations pertaining to construction projects. The TDOT Environmental Division is responsible for obtaining appropriate state and federal water quality permits for all TDOT projects that may impact jurisdictional environmental resources. Environmental permits and/or appropriate consultations are obtained from the following agencies:

- Tennessee Department of Environment and Conservation (TDEC) – General and Individual Aquatic Resource Alteration Permits (ARAP); Section 401 Water Quality Certification; Class V Underground Injection Well Permits; National Pollutant Discharge Elimination System (NPDES) Construction Stormwater Permits (CGP)
- U.S. Army Corps of Engineers (USACE) – Nationwide and Individual Section 404 Permits and Section 10 Compliance
- Tennessee Valley Authority (TVA) – Section 26a Permits
- Tennessee Wildlife Resources Agency (TWRA) – Reelfoot Watershed Management Permit
- U.S. Fish and Wildlife Service (USFWS) – Biological Opinions
- U.S. Federal Highways Administration (USFHWA)

### 1. STATE AND FEDERAL REGULATIONS

Information on the Tennessee Water Quality Control Act, Tennessee NPDES Permit for Stormwater Discharges Associated with Construction Activities (CGP), and other permits issued by TDEC may be found on the TDEC website at [TDEC permits](#).

Information relating to the federal Clean Water Act (CWA), and all NPDES environmental regulations and permitting may be found on the U.S. Environmental Protection Agency (EPA) website at <http://water.epa.gov/lawsregs/>.

### 2. TDOT CIRCULAR LETTERS AND SPECIAL PROVISIONS

The TDOT Construction Division has developed the TDOT Standard Specifications for Road and Bridge Construction Handbook (January 1, 2015), and issued Construction Circular Letters that contain special provisions for construction stormwater management and EPSC inspections. Applicable Special Provisions are expected to be followed on all TDOT construction projects. Construction Circular Letters and Special Provisions are available on the Construction Division’s website at [Construction Division Resources](#). Examples of Special Provisions based on Construction Circular Letters related to EPSC include:

- 24-hour EPSC maintenance (**SP107FP**)
- Self-reporting of sediment releases
- Waste/Borrow areas and construction support activities
- Rainfall monitoring plan
- EPSC inspection procedures
- Acid-Producing Material (Pyrite)

## II. OVERVIEW OF THE QA INSPECTION PROCESS

The environmental QA inspection program is managed by the TDOT Environmental Division's – Compliance and Field Services Section (CFS). It is intended to oversee and aide in compliance with State and Federal water quality regulations and TDOT requirements on construction projects. The following section provides an overview of the environmental QA inspection process from Preconstruction Meetings to distribution and posting of QA inspection reports.

### 1. TDOT PRE-CONSTRUCTION/ENVIRONMENTAL PRE-CONSTRUCTION MEETING

Pre-Construction (Pre-Con) and Environmental Pre-Construction (Environmental Pre-Con) meetings are conducted prior to initiation of construction projects. They are intended to introduce all applicable parties and discuss project and construction related information. Environmental Pre-Construction meetings are generally held to discuss environmental issues more thoroughly. Pre-Cons and Environmental Pre-Con meetings may be held at the same time and location, or separate meetings may be necessary. The following sub-sections describe the steps that should be taken for the preparation and discussion at Pre-Con/Environmental Pre-Con meetings.

#### 1.1 Project Documents Review

The following project documents should be reviewed prior to attendance at the Pre-Con/Environmental Pre-Con meetings:

a. Construction Plans. The following notes should be considered when reviewing the construction plans:

- Assure plans match the water quality permits. Check the application if necessary.
- Special environmental and/or construction sequencing notes.
- Natural resources. Station location and magnitude of impacts.
- Drainage structure types and sizes. Culvert inlet and outlet protection types and amounts.
- Stream channel relocation specifications including such things as length, width, bank height and slope ratio, channel bottom type (natural or lined), bank stabilization (i.e., sod, riprap, etc.), etc.
- Applicable TDOT Ecology notes. These may include fish sweeps to be performed prior to diverting flow or notifying TDOT Ecology prior to diverting flow into a completed channel relocation.
- Project mitigation requirements, such as stream relocation structures, tree plantings, or proof of payment regarding compensatory mitigation requirements/credits.
- Project Commitment Sheet (if included) or obtained from PPRM.

b. Project SWPPP

- Size of total project and disturbed area.
- Seasonal limitations on work, if applicable (grading, clearing and/or threatened or endangered [T&E] species restrictions).
- Sequence of construction activities.
- Exception Tennessee Waters (ETWs), waters with unavailable conditions, or Buffer Zones.
- Outfall locations, associated drainage areas, sediment basin and/or equivalent measure requirements.
- Are the features included in the ecology report depicted on the project construction and EPSC plans?

c. Water Quality Permits

- Regulatory permits:
  - TDEC 401 Water Quality Certification/ARAPs
  - TDEC Class V Injection Well Permits
  - USACE Section 404 Permits
  - TVA Section 26a Permit/Letter of No Objection
  - TWRA Reelfoot Lake
- Expiration dates of all permits.
- Special terms and conditions. Biological Assessments and Biological Opinions if applicable.

**A Permit review spreadsheet (Matrix), or thorough analysis is required for projects with water quality permits. The analysis should cross-reference project permit information and construction plans, and check for any discrepancies. Appendix D provides an example of a Permit Matrix spreadsheet created for a TDOT project for this purpose. The Permit analysis/matrix must be provided upon request to the CFS-Environmental Supervisor.**

If discrepancies are discovered during development of the Permit review analysis/spreadsheet, QA inspectors must notify the appropriate CFS- Environmental Supervisor or Specialist as soon as possible. **Every attempt should be made to inform the CFS-Environmental Supervisor of discrepancies before the Pre-Con/Environmental Pre-Con meetings are conducted.** The CFS-Environmental Supervisor or CFS-Compliance Field Specialist will determine the next course of action based upon the identified discrepancies.

It is also helpful to have a set of construction plans that are highlighted and labeled to reflect the natural resources and locations of permitted impacts on the project site. Present, proposed and all stages of EPSC should be included. An example is located in Appendix C. This set of plans should be available for reference during the performance of QA inspections if needed.

**1.2 Attendance at the Pre-Con/Environmental Pre-Con Meeting**

The QA inspector **must** attend the Pre-Con/Environmental Pre-Con Meeting(s) for assigned projects and use the Environmental Pre-Construction Checklist (Appendix E) as a guideline for information that may need to be discussed. In addition to the items listed on the Checklist, the following information should be discussed and/or obtained during these meetings:

- Discrepancies noted during the review of the project plans and water quality permits that could be a concern. These should be noted and made aware to all applicable parties present at the meeting.
- Areas of special environmental concern, Environmental Project Commitments, and mitigation issues.
- Responsibilities outlined in SP107FP.
- Determine which project personnel would like to participate, or be notified, of the QA inspection process. Participants or notification should include, Regional Environmental Tech Office, Operations District Supervisor and Specialist, any Duly Authorized Representative (i.e., CEI consultant, etc.), EPSC inspector, and designated contractor representative(s). Additional participants may be included as needed.



## 2. PREPARATION FOR QA INSPECTIONS

Within the QA inspection process, communication is imperative. When preparing for QA inspections it is first necessary to communicate with the personnel identified in the Pre-Con/Environmental Pre-Con Meeting. The first QA inspection should occur within one (1) calendar month from the beginning of land disturbance activities. The QA inspector must coordinate with the appropriate District Operations Supervisor or Specialist, and EPSC inspector to schedule all QA inspections. Once a date has been set, an email notification must be sent to appropriate parties.

### 2.1 Email Notification

The email notification for a scheduled QA inspection must be sent out to allow as much notice as possible, but **at least 4 business days prior to the scheduled date of the inspection**. The email notification should include the date, time, meeting location, project route and termini limits, county, Construction Division contract number, PIN and PE or Construction project number. The email notification should be distributed to the following individuals:

- CFS-Environmental Supervisor and CFS-Compliance Field Specialist
- Regional Environmental Tech Office
- Operations District Supervisor and Specialist (and/or Duly Authorized Representative, CEI)
- EPSC inspector (TDOT and/or consultant)
- Contractor personnel
- Other individuals identified during the pre-construction meeting
- TDOT.Env.FieldServices@tn.gov

An example of a QA inspection notification email is provided below.

**From:** QA inspector  
**To:** Operations District Supervisor and Specialist (and/or Duly Authorized Representative-CEI); EPSC inspector (TDOT and/or consultant); appropriate contractor personnel;  
**Cc:** CFS-Environmental Supervisor; CFS-Compliance Field Specialist; [TDOT.Env.FieldServices@tn.gov](mailto:TDOT.Env.FieldServices@tn.gov); Regional Environmental Tech Office; any other individuals identified during the pre-construction meeting; any TDEC personnel provided by CFS.

**Subject: QA Inspection for SR 840; Williamson Co.; CNG840; PIN 101435.01**

This is to confirm there will be a QA Inspection for:  
 SR-840 from West of Leipers Creek Road to West of Columbia Pike (SR-6)  
 Williamson County  
 CNG840; PIN 101435.01; Project No. 94840-1203-04

**Date:** Tuesday, February 14, 2012  
**Time:** 8:30 AM CT  
**Meeting Location:** SR 840 Community Outreach Center

Please notify the appropriate personnel from your organization that need to be present. Please have the following information available:

- SWPPP with revisions
- EPSC inspection reports and monthly rainfall data

If the QA inspection should need to be rescheduled or cancelled, all parties will be notified.

QA Inspector  
 Contact information (email, office and cell phone number, address, etc.)

**2.2 Project Document Review Prior to Performance of a QA Inspection**

Prior to conducting each QA inspection, the inspector should perform a review of the project’s environmental documents. These documents include construction plans with EPSC plans/SWPPP, water quality permits, EPSC inspection reports, rainfall data, and any associated permit modifications or revisions.

**2.3 Documentation Needed During Performance of a QA Inspection**

- Project construction plans that contain present and proposed sheets, EPSC and Special EPSC notes/details, and all stages of EPSC plans. This should be the set that was used during the project document review prior to the pre-con.
- It may be helpful to have a copy of the last QA inspection report or most recent EPSC inspection report if needed.
- Access to the project’s environmental permits.

### 3. CONDUCTING A QA INSPECTION

The QA inspection should be performed at the time and location indicated in the notification e-mail. Once on-site, it is important to make project personnel aware of your presence and to begin the QA inspection promptly. It is imperative that QA inspections be conducted in a professional and efficient manner that makes best use of everyone's time on the project site. If a delay is expected, the appropriate TDOT Operations project representative (or duly authorized representative), and CFS-Environmental Supervisor should be contacted and made aware of an estimated time of arrival.

#### 3.1 Introductory Interview

The on-site portion of the QA inspection begins with a brief introductory interview intended to obtain any information that will assist in the overall assessment of the project. During this time, inquiry is made regarding EPSC related problem areas, sediment releases, regulatory agency site visits, potential modifications to water quality permits, and any construction issues that could affect the inspection. The QA Inspection Report (Appendix G) should be used to document all findings of a QA inspection.

##### 3.1.1 Document Review

Project documentation is a critical component of TDOT project compliance throughout the duration of construction. Careful review of all required documentation should be performed prior to, and/or during the QA inspection. This includes EPSC reports and rainfall documentation.

#### 3.2 Field Assessment

During the field assessment portion of the QA inspection, the QA inspector should review all active outfall areas (i.e., those which have not been permanently stabilized), and active construction near permitted environmental features. Enough Date-stamped photo-documentation should be taken of the project site in order to fairly characterize overall compliance with applicable water quality regulations and TDOT requirements. If a QA inspector observes an unpermitted stream or wetland impact, the inspector is expected to notify the appropriate Environmental Supervisor either at the time the violation is observed or upon completion of the QA inspection.

##### 3.2.1 Information to Review During the QA Field Assessment.

The following points should be followed while conducting the field assessment portion of the QA inspection:

- Verify that the NOC, applicable EPSC project contact information, and location of the SWPPP and water quality permits are clearly posted and accessible to the public on the project site.
- Review all active outfalls and areas of construction and/or currently disturbed areas on the project site, especially those which require water quality permits for the proposed activity/impact.
- Review areas that have been noted by project personnel to require water quality permit modifications or a TDEC General ARAP for Sediment Removal for Stream Restoration.
- Review all areas noted for corrective action on the EPSC inspection reports since the previous QA inspection, if needed.

- Verify whether active areas have been stabilized in the required timeframe. Refer to applicable EPSC reports when needed.
- Review installation of EPSC measures according to TDOT standard drawings, project EPSC plans, and/or the approved TDOT Qualified Products List (QPL).
- Review any areas where sediment releases or objectionable color contrast has been reported or are observed during the QA inspection. Sufficient documentation should be completed or obtained to verify information provided by project personnel for reported sediment releases, and/or to document the extent of newly discovered sediment releases.
- Document if any off-site sediment tracking is occurring on publicly travelled roads.
- Review and document general housekeeping on the project site, including but not limited to fuel storage tanks, spills, leaks, maintenance and storage of litter and construction-related debris, etc. Site-specific SPCC plans should be reviewed when applicable.
- Review and document whether applicable air quality and burn regulations are being adhered to on the project site (i.e., only brush and untreated lumber. Items such as treated woods, plastics, paint cans, petroleum products, filters, containers, aerosol spray cans, etc... are prohibited.)

### **3.2.2 Documentation of Nonconformances**

When requirements of applicable water quality permits, TDOT standard drawings, specifications, and special provisions are not followed, those instances should be documented on the QA inspection report as Nonconformances (Appendix H). These instances should be based on clear documentation and the following points adhered to:

- Clearly identify and discuss all instances of nonconformance, including the nature and justification.
- Obtain enough photo documentation to clearly characterize project compliance.
- Document station location, outfall number, receiving natural resource and/or property affected by any issues, if applicable.

### **3.3. Exit Interview**

Following the field review, the QA inspection should be concluded with an exit interview to summarize the findings and discuss what will be included in the QA inspection report. The exit interview should summarize all nonconformances identified and document whether all parties were in concurrence with the results (documenting differences of professional opinion if necessary).

### **3.4 General Project Information**

#### **3.4.1 Statement of Final Stabilization**

TDOT construction sites must be permanently stabilized in conformance with the CGP before a Notice of Termination (NOT) form can be submitted to TDEC. Once the project meets the requirements of permanent stabilization as defined by the CGP, the QA inspector is to include a Statement of Final Stabilization within the final QA inspection report. The statement is to be placed in the Additional Comments section, at the end of the final QA inspection report, and is to include the following verbiage:

“I have performed the final environmental QA inspection for the subject project and concur that the project has reached final stabilization.”

### 3.4.2 Off-ROW Waste, Borrow, and Support Activities Procedures

Section 1.2.2 of the CGP discusses stormwater discharges associated with construction support activities with permitted construction sites. Construction support activities may include concrete or asphalt batch plants, equipment staging yards, material storage areas, excavated material disposal areas, borrow areas, etc. Specifically, the CGP recognizes the TDOT Construction Division’s policy entitled “*Procedures for Providing Offsite Waste and Borrow on Construction Projects*” (Waste and Borrow Procedures). The current Waste and Borrow Policy can be found at: TDOT Waste/Borrow Procedures and pertains to all TDOT construction projects. Contractors shall provide the Contractor’s Support Activities Certification Form to the appropriate construction personnel, as necessary. QA inspectors shall verify that the Waste and Borrow Procedures are being followed.

## 4. PREPARATION AND DISTRIBUTION OF QA INSPECTION REPORTS

The format of the QA inspection report has been standardized to increase the consistency in which information obtained during QA inspections is reported, as well as to streamline the actual inspection process. The QA inspection report is provided in Appendix G. **The QA inspection report should be completed, distributed to appropriate parties, and posted to the TDOT Stormwater Drive (VPN) as soon as possible, but no later than (4) business days of the date of the inspection.** Information on the process of posting QA inspection reports is detailed below. Information on obtaining access to the TDOT VPN is included in Appendix F. In the event the QA report cannot be completed, distributed, or posted within the required timeframe, the appropriate CFS-Compliance Field Specialist or CFS-Environmental Supervisor must be notified.

### 4.1 TDOT VPN PROJECT FOLDERS FOR QA INSPECTION REPORTS

QA inspection reports are stored on TDOT’s network, therefore, a project folder and associated sub-folders must be created in the appropriate location in order to post QA inspection reports. The naming convention described below should be used when establishing these folders in order to maintain consistency on the VPN.

Upon access, QA personnel should be able to access the folder titled “StormWater” within the main directory. Within the “StormWater” folder, the folder titled “QA Reports” will be available. Within this folder, select the appropriate region followed by selecting the folder titled “Ongoing Projects” (vs. “Completed Projects”). Within the appropriate county folder, a specific project folder should be created. The name of the folder should consist of the following information: Contract Number\_State or U.S. Route\_County Name (e.g. CNH252\_SR-95\_Roane). The next level of the directory should include annual folders (i.e., “2012”, “2013”, etc.). QA inspections should be posted to the appropriate annual folder.

SW→QA Reports→Region→Ongoing Projects→County→Project Folder Name→Year→QA report posted

### 4.2 E-MAIL NOTIFICATION OF REPORT POSTING

As noted above, **an e-mail notification, with report attached, regarding the posting of QA inspection reports to the TDOT VPN should be sent as soon as possible, but no later than (4) business days after the inspection.** An example of a QA inspection report posting notification e-mail is depicted below.

The email distribution list for the notification of a QA inspection report posting should include the following:

- Operations District Supervisor and Specialist (and/or Duly Authorized Representative-CEI)
- Operations District Manager
- EPSC inspector (TDOT and/or consultant)
- Contractor personnel
- Other individuals identified during the TDOT pre-construction meeting
- [TDEC.Special.Projects@tn.gov](mailto:TDEC.Special.Projects@tn.gov)
- Any additional TDEC personnel, as directed by the CFS
- Regional Environmental Tech Office
- CFS-Compliance Field Specialist and CFS-Environmental Supervisor
- [TDOT.Env.FieldServices@tn.gov](mailto:TDOT.Env.FieldServices@tn.gov)

**From:** QA Inspector  
**To:** Operations District Supervisor and Specialist (and/or Duly Authorized Representative); Operations District Manager; EPSC inspector (TDOT and/or consultant); appropriate contractor personnel;  
**Cc:** CFS-Environmental Supervisor; CFS-Compliance Field Specialist; Regional Environmental Tech Office; [TDOT.Env.FieldServices@tn.gov](mailto:TDOT.Env.FieldServices@tn.gov); any other individuals identified during the TDOT pre-construction meeting; [TDEC.Special.Projects@tn.gov](mailto:TDEC.Special.Projects@tn.gov); any additional TDEC personnel provided by CFS

**Subject: February 2012 QA Report Posting Notification for SR 840; CNG840; PIN 101435.01; Williamson Co.**

Attached is a copy of the February 14, 2012, QA report for CNG840, Proj. #94840-1203-04, PIN 101435.01, SR-840 from west of Leipers Creek Rd. to west of Columbia Pike (SR-6) in Williamson Co. The QA Report is also posted to the TDOT Stormwater drive at the following location:

X:\StormWater\QA Reports\Region 3\Ongoing Projects\Williamson County\CNG840 SR-840 from west of Leipers Creek Rd. to west of Columbia Pike\2012

If you have questions or comments regarding the QA report, please notify the CFS-Compliance Field Specialist, or CFS-Environmental Supervisor.

QA Inspector  
Contact information (email, office and cell phone number, address, etc.)

**APPENDIX A**  
**CONSULTANT SERVICE PROCUREMENT INFORMATION**

## CONSULTANT SERVICE PROCUREMENT

On occasion, the TDOT-CFS requests assistance from prequalified and selected consulting firms to conduct QA inspections on TDOT construction projects, or other services as needed. The following information describes the process for consultant service procurement:

### 1. Request for Services

Potential firms will receive an e-mail notification from the CFS-Environmental Supervisor requesting assistance and submission of a Fee Estimate for a specific TDOT construction project. An example of a request for services email is found below, and will include the following information:

- Construction letting date
- TDOT Region, county, Project title, location, and proposed disturbed acreage
- Department assigned numbers: Construction contract number, Project Engineering (PE) or Construction project number, and Project Identification Number (PIN)
- CFS-Compliance Field Specialist if assigned, and CFS-Environmental Supervisor
- Fee estimate due date

To: Consultant Firm  
From: TDOT-CFS-Environmental Supervisor

Subject: CFS Request for QA Services

The TDOT Compliance and Field Services Section requests your assistance in providing QA inspections for the following project in the December 4, 2015, letting:

FRANKLIN COUNTY (Contract No.CNP928) Call No. 002-Region 2

Project No. STP-SIP-97(10), 26009-3295-94 (PIN 112219.00)

The improvement of the intersection on S.R. 97 at Beans Creek Road (L.M. 4.70), including grading, drainage and paving.

Project Length - 0.089 miles

Completion Time - On or before 8/31/2016

**Disturbed acreage: 1.15 acres**

Construction plans can be obtained from the Department's Construction website: <http://www.tn.gov/tdot/article/transportation-construction-december42015letting>.

Please provide a Fee Estimate for these services in accordance with the guidelines outlined in the TDOT Environmental QA Manual, or provide correspondence indicating QA inspection services cannot be provided, via email, to the CFS-Environmental Supervisor by **(7 DAYS from date of email)** for review and approval. All QA inspections and reporting must follow the guidelines outlined in the TDOT Environmental QA Manual.

If any additional information is required to calculate the Fee Estimate, please contact the CFS-Environmental Supervisor.



### 1.1 QA Inspection Personnel and Qualifications

For developing the Estimate, one QA inspector will be assigned to a project. All QA personnel shall include individuals with experience in environmental regulations, natural resources, soil science, transportation construction, and/or transportation design. The following provides the minimum certification requirements for QA personnel:

- TDEC Level I – Fundamental of Erosion Prevention and Sediment Control for Construction Sites; **and**
- Certified Professional in Erosion and Sediment Control (CPESC) **or** completion of TDEC’s Level 2-Design Principles for EPSC for Construction Sites; **and**
- OSHA 10-Hour Construction Safety and Health

### 1.2 Preliminary Review

The selected QA inspector should conduct a preliminary review of the project plans, SWPPP, and water quality permits prior to developing the fee estimate. Travel time and distance to and from the project site from the firm’s closest office should be considered. Following the review, a cost estimate should be prepared on the TDOT Fee Estimate form located in Appendix B. The consultant firm should reply to the email request for services and attach the fee estimate in the form of an Adobe Portable Document Format (PDF). The following email address should be cc'd as well to, [TDOT.Env.FieldServices@tn.gov](mailto:TDOT.Env.FieldServices@tn.gov).

The CFS will review the fee estimate. If the fee estimate is determined to be inappropriate, the submitting consultant firm will be notified and provided (1) one opportunity to submit a revised fee estimate for the project in question. Upon review of the revised fee estimate, if it is determined to be inappropriate for the project in question, the firm will receive emailed notification that they were not selected. The non-selection notification is not negotiable for the project in question. Once the estimate is approved, the Division will issue a work order for the services on the specified project.

### 1.3 Construction Plans, SWPPP, and Environmental Permits

Electronic copies of the construction plans may be obtained from the TDOT Construction Division’s bid letting website at [TDOT Bid Lettings](#). Click on the bid letting date link and search for the construction number listed in the request. Links to the plans and SWPPP (if available) will be provided. If the assigned project requires environmental permits, they should be included within the SWPPP.

Construction Plans are also available through PlanGrid. This is the digital format that TDOT has chosen to deliver project construction plans. Correspondence related to a project, plans revisions, and other communications will be communicated through this tool. If a consultant wants to obtain construction plans in this format, they must procure and fund a service agreement with PlanGrid. Once the consultant has obtained a service agreement, they can contact the Business Development Office, in each Region, for access to assigned projects. Information can be found at [PlanGrid](#).

If water quality permits are not included within the SWPPP, the QA inspector should contact the appropriate CFS-Environmental Supervisor. CFS personnel will obtain and provide copies of the project SWPPP and appropriate water quality permits.

## 1.4 Project Start and Completion Dates

Most construction projects will begin construction 1-3 months following the bid letting. For preparing the Fee Estimate, assume the first QA inspection will occur two (2) months after the bid letting date. The project completion date can be found on the Request for Services email or using the bid letting link provided in Section 1.2 above. Select the link “Notice to Contractors” and search for the county in which the project is located and then the project’s construction number. Consult with the assigned CFS-Compliance Field Specialist or Supervisor if needed.

## 1.5 Frequency of QA Inspections

The QA inspection frequency will be determined by the CFS. All projects will begin with one (1) QA inspection per calendar month. The frequency may be increased or decreased anytime at the discretion of the CFS. Fee Estimates should be based on (1) inspection per calendar month.

## 2. Supplemental Fee Estimates

The CFS realizes that at times supplemental fee estimates are needed to continue providing requested services. However, in order to reduce the need for supplemental fees, **QA personnel should perform multiple QA inspections (with the same QA inspector) on the same day as much as possible, especially when assigned projects are in the same general vicinity or route from firm’s office. Combining QA inspections saves time and money, and allows budgets to be extended if delays in construction or other problems are encountered in the future.**

The following steps should be followed in preparing Supplemental Fee Estimates.

1. Notify the appropriate CFS-Compliance Field Specialist and CFS-Environmental Supervisor by e-mail when the original estimate is **within three (3) months** of being depleted. It is very important that requests are received prior to the original work order expiring. The TDOT-CFS will determine if the supplement will be processed, or if QA inspection services will no longer be needed.
2. If approval is granted to submit a fee supplement, it should be submitted to the CFS-Environmental Supervisor, in PDF format, using the TDOT fee estimate form located in Appendix B. The following email address should be cc’d as well, [TDOT.Env.FieldServices@tn.gov](mailto:TDOT.Env.FieldServices@tn.gov). The CFS will review and approve the fee estimate supplement prepared or will provide a request for re-submittal based on feedback.
3. Once the supplement is approved by the CFS, the Division will issue a supplemental work order for the requested services.

## 3. CONSULTANT INVOICING

Invoices should be submitted in accordance with the terms and conditions stipulated in the contract. Invoices shall be prepared in accordance with the TDOT Environmental Division’s consulting invoicing format, and submitted electronically, in PDF format. A copy of the Invoicing Summary Form is found on the last page of Appendix B. All invoice information should be submitted according to the procedures provided by the Environmental Division’s Office of Business Services.

If the Division determines the invoice is inaccurate, does not follow State format, does not provide required details or has general questions regarding man hours or time allocation, etc., then the invoice will be returned for correction, additional information and/or clarification. Once the invoice issues are addressed, it should be re-submitted.

#### **4. CONSULTANT PROGRESS REPORTS**


Progress reports are required by the contract's "Standard Terms and Conditions," and shall be submitted with the invoice, electronically in PDF format, detailing progress schedules and identifying work accomplished since the previous report. Progress reports shall be prepared using the form located in Appendix B.

#### **5. TERMINATION OF CONSULTANT SERVICES**

The TDOT-CFS retains the right to terminate, re-assign, or modify the services of any QA inspector or selected firm that fails to follow the procedures outlined in this manual or be familiar with the Scope of Services, and/or accurately document the ability of a project to adhere to the applicable water quality regulations and the TDOT Standard Drawings, Specifications and Special Provisions.

## **APPENDIX B**

### **QA FEE ESTIMATE FORM, INVOICING FORM, PROGRESS REPORT**



## ENVIRONMENTAL DIVISION

### WORK ORDER REQUEST

**TECHNICAL AND COST PROPOSAL FOR SCOPE OF WORK**

Date  
**Work Start Date** (if applicable)

Discipline **Air & Noise**  
**Study Type** C-List

County **Anderson**  
 Additional County  
 Additional County  
 Route/Alignment  
 Termini

Project Number  
 Funding PIN **000000.00**  
 Tracking PIN **000000.00 (if applicable)**  
 TX Number For BSO Use Only  
 Agreement No  
 Work Order No (only if addendum)  
 Addendum (naming if applicable)  
 Previous Work Order Amount (if applicable)  
 Previous Net Fee (if applicable)

**Scope Detail**

Firm Name  
 Firm PM Name  
 Firm PM Email Address  
 Assigned TDOT PM Name

Subconsultant Name (if applicable)

**SUMMARY OF ESTIMATED COSTS**

TOTAL DIRECT LABOR		\$	-
TOTAL OVERHEAD COSTS	0.000%	\$	-
NET FEE (2.35 x Direct Labor x 12%)		\$	-
TOTAL DIRECT COSTS (Mileage, Supplies, etc.)		\$	-
SUBCONSULTANT FEES (if applicable)		\$	-
<b>TOTAL ESTIMATED PROJECT COSTS</b>		\$	-



**TENNESSEE DEPARTMENT OF TRANSPORTATION  
ENVIRONMENTAL DIVISION  
COMPLIANCE AND FIELD SERVICES OFFICE  
QUALITY ASSURANCE (QA) INSPECTIONS  
FEE ESTIMATE**

State Route or Roadway Name:	
Project Description:	
County(s):	
Project No.:	
PIN:	
Construction Contract No.:	
Approximate Disturbed Area:	X Acres
Project Length:	X miles
Time frame of services (month/year)	
Begin:	
End:	
TDOT Region:	
CFS-Compliance Field Specialist:	

Consultant Firm & Office Address:	COMPANY LOGO HERE	ADDRESS HERE
Phone:		
Fax:		
Email:		
Project Manager:		
Date Prepared:		
Requested WO Start Date:		
Consultant Firm Payment Remittance Address:		

1. In the event this office decides to abandon all or any part of any project this office shall send written notice to stop work.
2. The CONSULTANT shall not submit this estimate with subcontractors for any of the services performed under this estimate without obtaining prior written approval, for each, from this office.
3. As the extent of the efforts cannot be predetermined with exactness at this time, it is not feasible to establish payment on a lump sum amount or unit-of-work basis. THIS IS JUST AN ESTIMATE OF SERVICES. If this cost estimate overestimates the amount to perform the specified basis required, the Consultant shall continue to invoice under this estimate until one of the following occurs: 1) The construction project is terminated and this service is no longer necessary or 2) the estimate is within one month of exhausting and a supplement is necessary for continued services.
4. In the event of a conflict of this estimate or anything stated within, the provisions in the contract shall prevail.

**QA INSPECTION CONSULTING SERVICES FEE ESTIMATE**

Project Title:	
Project No.:	
PIV:	
Contract Agreement No.:	

**FEE ESTIMATE SUMMARY**

Abbreviation	Personnel Classification	Man-hours	Hourly Rate	Amount
PM	Project Manager			
PA	QA Inspector			
AA	QA Inspector assistant			
ET	Environmental Technician			
S	Secretary			
	<b>Totals</b>			

1. Direct Labor		
	<b>Overhead Rate</b>	
2. Overhead		
3. Sub-Total (1+2)		
	<b>Net Fee Rate</b>	
4. Net Fee (direct Labor x 2.35 x rate%)	<b>1.2%</b>	
5. Sub-Total (3+4)		
6. Direct Expenses		
7. Total Estimated Costs and Fixed Fee		

<b>#DFWS</b>	Estimated cost per month
<b>Total # of months for this estimate</b>	

**Supplement Information**

	Is this a supplement to original estimate? (Y/N)
	If supplement, what was the original work order #?
	If supplement, what was the previous total work order amount?
	If supplement, what was the previous work order net fee amount?
	If supplement, what was the previous work order term (months)?

**Comments:**

QA Inspection Consulting Services Fee Estimate									
Project:									
Project No.:		<b>MAN-HOURS</b>							
PIN									
		Employee Classification and Estimated Man-hours						Total Hours	Weighted % of Work
Task No.	Description	PM	PA	AA	ET	S			
<b>Pre-Construction</b>									
1	<b>Initial Document Review and Permit Report.</b> Obtain necessary project documents and conduct an initial review of SWPPP, Water Quality Permits, NOC, Construction and EPSC plans and other pertinent documents prior to the pre-construction and/or pre-environmental meeting. Determine if SWPPP, water quality permits and construction plans match or are in need of clarification and/or modification. Prepare a report summarizing discrepancies and provide to the CFS-Compliance Field Specialist and CFS-Environmental Supervisor prior to the pre-construction/pre-environmental meeting, or as soon as possible.								#DIV/0!
2	<b>Preconstruction Meeting.</b> Attend Preconstruction and/or Pre-environmental Meeting.								#DIV/0!
3	<b>Pre-construction Walkthrough (if requested by the CFS).</b>								#DIV/0!
<b>Construction</b>									
4	<b>QA inspection coordination.</b> Coordinate QA inspection(s) with TDOT Project supervisor, TDOT Regional Environmental Coordinator, CEI consultant (if applicable), EPSC inspector, and CFS-Compliance Field Specialist.								#DIV/0!
5	<b>Document Review.</b> Review all EPSC inspection reports (if available online), and water quality permits prior to each QA inspection.								#DIV/0!
6	<b>QA Inspection.</b> Conduct an on-site QA inspection. Estimated time includes: 1.) Travel time per inspection 2.) Conducting an introductory interview with on-site personnel 3.) Reviewing EPSC inspections reports (if not included in Task 5), SWPPP revisions, rainfall data and any other pertinent documents 4.) Performing a field inspection 5.) Conducting an exit interview.								#DIV/0!
<b>Documentation of Results</b>									
7	<b>QA Inspection Report.</b> Prepare, distribute and post standardized QA inspection report.								#DIV/0!
<b>Project Management</b>									
8	<b>Project Management and Administration.</b> Includes invoicing, progress reports, etc.								#DIV/0!
<b>Other</b>									
9	Description								#DIV/0!
<b>Total Man-Hours</b>									#DIV/0!



### QA Inspection Consulting Services Fee Estimate

<b>Project:</b>						
<b>Project No.:</b>						
<b>PIN</b>						
	<b>DIRECT EXPENSES</b>					
<b>Item</b>	<b>Description</b>	<b>Quantity</b>		<b>Units</b>	<b>Unit Cost</b>	<b>Expense</b>
<b>A</b>	<b>Travel</b>					
A-1	Mileage per QA inspection, including Pre-construction Meeting and on-site travel during QA.			Mile	\$0.47	
A-2	Parking			Per Day		
<b>B</b>	<b>Contract Printing</b>	<b>Sheets</b>	<b>Sets</b>			
B-1	Contract Printing			Each		
<b>C</b>	<b>Postage &amp; Delivery Service</b>					
C-1	Postage (Letter)			Each		
C-2	Courier (Regular)			Each		
C-3	Overnight Delivery			Each		
<b>D</b>	<b>Other (provide description)</b>					
					<b>Total Expenses=</b>	

		ENVIRONMENTAL DIVISION			TDOT RECEIVED		
		INVOICE SUMMARY			Date Name:		
PIN		REGION		INVOICE DATE			
PROJECT #				INVOICE #			
COUNTY				AGREEMENT #			
ROUTE / TERMINI				WORK ORDER #			
				PROGRESS #			
				SUPPLIER ID			
				FINAL INVOICE?			
				(Yes or No)			
<b>ENVIRONMENTAL DIVISION CONTACT INFORMATION</b>							
PROJECT MANAGER:							
WORK TYPE:		BEAUTIFICATION					
<b>INVOICE SERVICE RANGE:</b>			<b>TO:</b>				
I.	Direct Labor	(Per Schedule No. 1 - attached)			\$ -		
II.	Overhead:	Payroll Additives, General & Administrative.			0.00% \$ -		
		(Direct Labor as shown in I. times Billed Overhead rate)					
<b>SUBTOTAL LABOR &amp; OVERHEAD</b>					<b>\$ -</b>		
III.	Net Fee per agreement:				#REF!		
	Percentage Complete To Date:				#REF!		
	Less: Net Fee Billed to Date:				#REF!		
	Net Fee Due this invoice or				#REF!		
	Final Invoice taking Net Fee				\$ -		
	Direct Costs: (Per Schedule 2 - attached)				\$ -		
	Sub-Consultants: (Per Schedule 3 - attached)				\$ -		
	Reduction - Work Order Exceeded (if applicable)				\$ -		
<b>AMOUNT DUE THIS INVOICE</b>					<b>#REF!</b>		
<p>I, the undersigned, do hereby certify that the above invoice is true and correct to the best of my knowledge and that payment has not been received or costs previously invoiced.</p>							
Firm's Signature		Title		Date			
<b>ENV. DIVISION APPROVALS ONLY</b>				SPEED CHART #: <span style="border: 1px solid black; padding: 2px;"> </span>			
<b>CONTRACTS SECTION</b>  PO # _____  REC # _____  VOUCHER # _____			Department of Transportation <b>ENVIRONMENTAL DIVISION</b>  Date _____ Approved _____  By _____			<b>PROJECT MANAGER</b>  _____  <b>FINAL APPROVAL</b>  _____	



**Schedule II - Summary of Direct Costs**

Consultant Firm: \_\_\_\_\_ Invoice # \_\_\_\_\_  
Project No. 000000.00 \_\_\_\_\_ Progress Billing No. \_\_\_\_\_

Lodging and Mileage Summary									
Consultant Name:						Per Diem Allowance:			
Purpose:						Destination:			
Date (mm/dd/yyyy)	Lodging (Rate + Tax)	Per Diem (14.00/Day + 19%)	Arrival or Departure Date?	Mileage	Departure Location	Destination Location	Mileage Rate	Mileage Cost	Cost
Sunday		\$ -	YES				\$ 0.47	\$ -	\$ -
Monday		\$ -	NO				\$ 0.47	\$ -	\$ -
Tuesday		\$ -	NO				\$ 0.47	\$ -	\$ -
Wednesday		\$ -	NO				\$ 0.47	\$ -	\$ -
Thursday		\$ -	NO				\$ 0.47	\$ -	\$ -
Friday		\$ -	NO				\$ 0.47	\$ -	\$ -
Saturday		\$ -	NO				\$ 0.47	\$ -	\$ -
<b>TOTAL</b>									\$ -

Consultant Name:						Per Diem Allowance: \$ -			
Purpose:						Destination:			
Date (mm/dd/yyyy)	Lodging (Rate + Tax)	Per Diem (14.00/Day + 19%)	Arrival or Departure Date?	Mileage	Departure Location	Destination Location	Mileage Rate	Mileage Cost	Cost
Sunday		\$ -	NO				\$ 0.47	\$ -	\$ -
Monday		\$ -	NO				\$ 0.47	\$ -	\$ -
Tuesday		\$ -	NO				\$ 0.47	\$ -	\$ -
Wednesday		\$ -	NO				\$ 0.47	\$ -	\$ -
Thursday		\$ -	NO				\$ 0.47	\$ -	\$ -
Friday		\$ -	NO				\$ 0.47	\$ -	\$ -
Saturday		\$ -	NO				\$ 0.47	\$ -	\$ -
<b>TOTAL</b>									\$ -

Consultant Name:						Per Diem Allowance: \$ -			
Purpose:						Destination:			
Date (mm/dd/yyyy)	Lodging (Rate + Tax)	Per Diem (14.00/Day + 19%)	Arrival or Departure Date?	Mileage	Departure Location	Destination Location	Mileage Rate	Mileage Cost	Cost
Sunday		\$ -	NO				\$ 0.47	\$ -	\$ -
Monday		\$ -	NO				\$ 0.47	\$ -	\$ -
Tuesday		\$ -	NO				\$ 0.47	\$ -	\$ -
Wednesday		\$ -	NO				\$ 0.47	\$ -	\$ -
Thursday		\$ -	NO				\$ 0.47	\$ -	\$ -
Friday		\$ -	NO				\$ 0.47	\$ -	\$ -
Saturday		\$ -	NO				\$ 0.47	\$ -	\$ -
<b>TOTAL</b>									\$ -

Consultant Name:						Per Diem Allowance: \$ -			
Purpose:						Destination:			
Date (mm/dd/yyyy)	Lodging (Rate + Tax)	Per Diem (14.00/Day + 19%)	Arrival or Departure Date?	Mileage	Departure Location	Destination Location	Mileage Rate	Mileage Cost	Cost
Sunday		\$ -	NO				\$ 0.47	\$ -	\$ -
Monday		\$ -	NO				\$ 0.47	\$ -	\$ -
Tuesday		\$ -	NO				\$ 0.47	\$ -	\$ -
Wednesday		\$ -	NO				\$ 0.47	\$ -	\$ -
Thursday		\$ -	NO				\$ 0.47	\$ -	\$ -
Friday		\$ -	NO				\$ 0.47	\$ -	\$ -
Saturday		\$ -	NO				\$ 0.47	\$ -	\$ -
<b>TOTAL</b>									\$ -

\*DON'T FORGET TO ATTACH RECEIPTS\*

Other Direct Costs		
Description	Cost	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
<b>TOTAL</b>		\$ -

**TOTAL OF ALL DIRECT COSTS** \$ -



## Progress Report

Project:	0		
PIN:	0.00	Invoice Date:	1/0/1900
Project Number:	0	Invoice Number:	0
County:	0	Progress Billing:	0
Agreement Number:	0	Final Invoice:	NO
State/Federal Funded:		Work Order #:	0

Work Order Ceiling (with Addenda)

Net Fee Ceiling (With Addenda)

Total Cost (with Addenda) \$ -

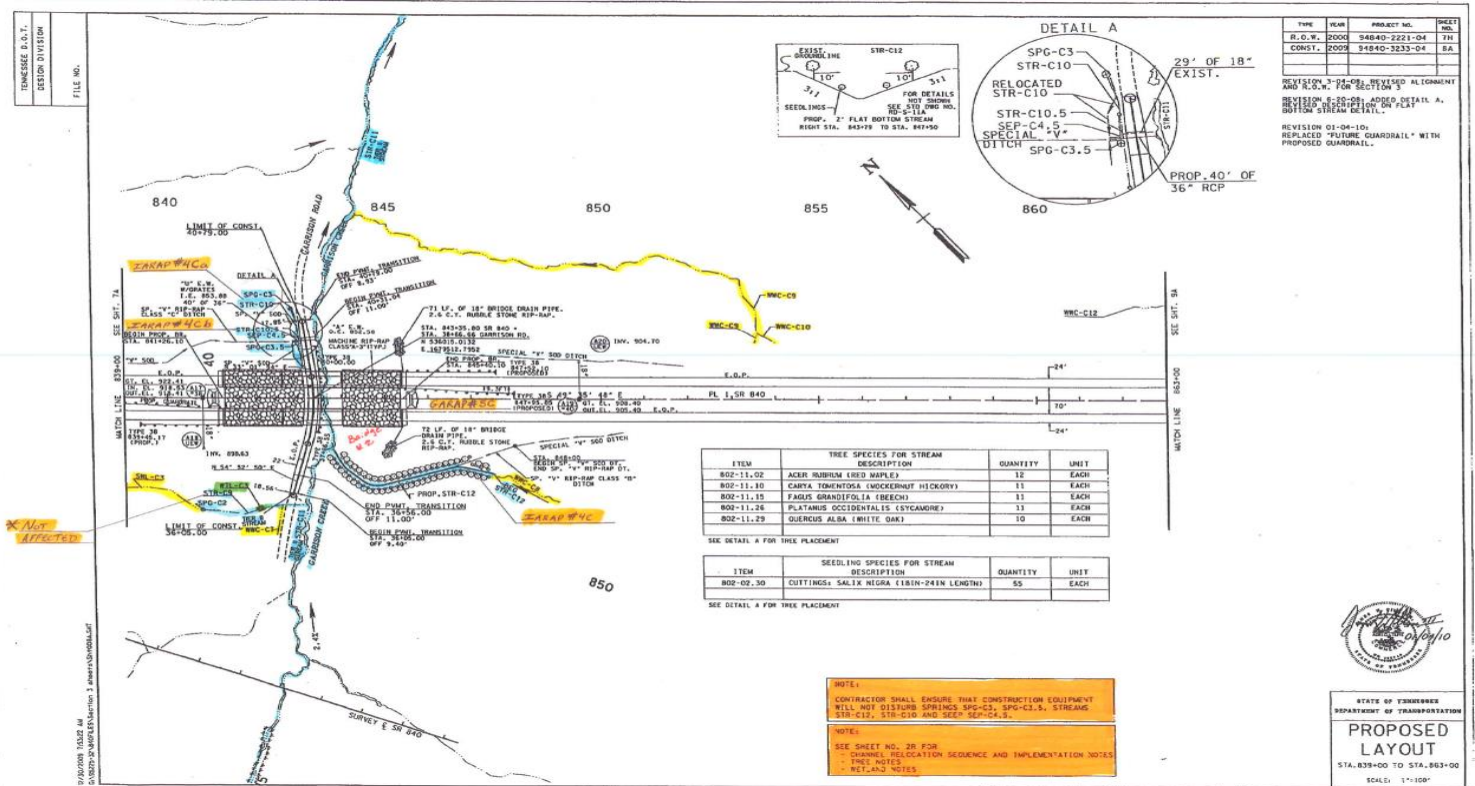
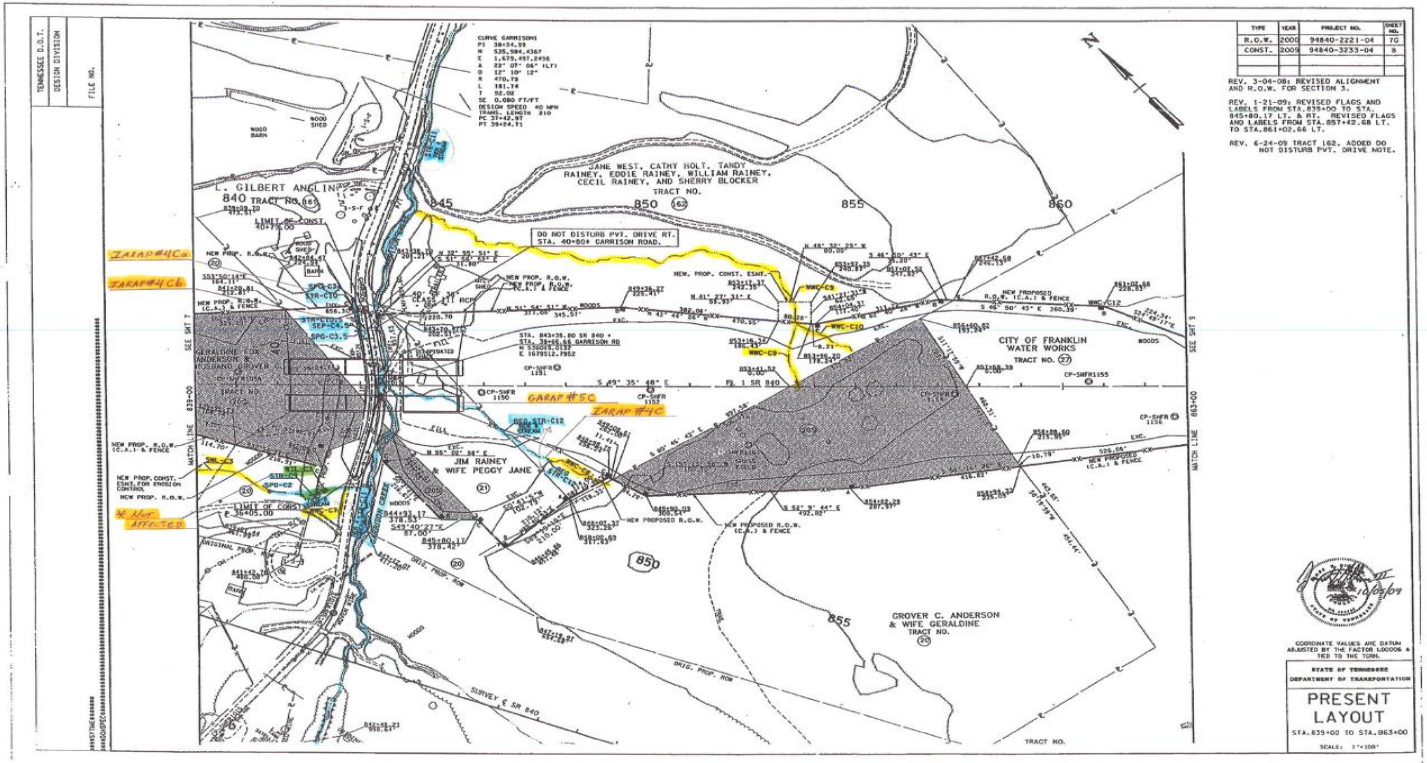
Progress Billing	Period Start	Period End	Percent this Period	Percent to Date	Total Cost this Period	Net Fee this Period
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						

Total to Date	\$ -	\$ -
Remaining	\$ -	\$ -

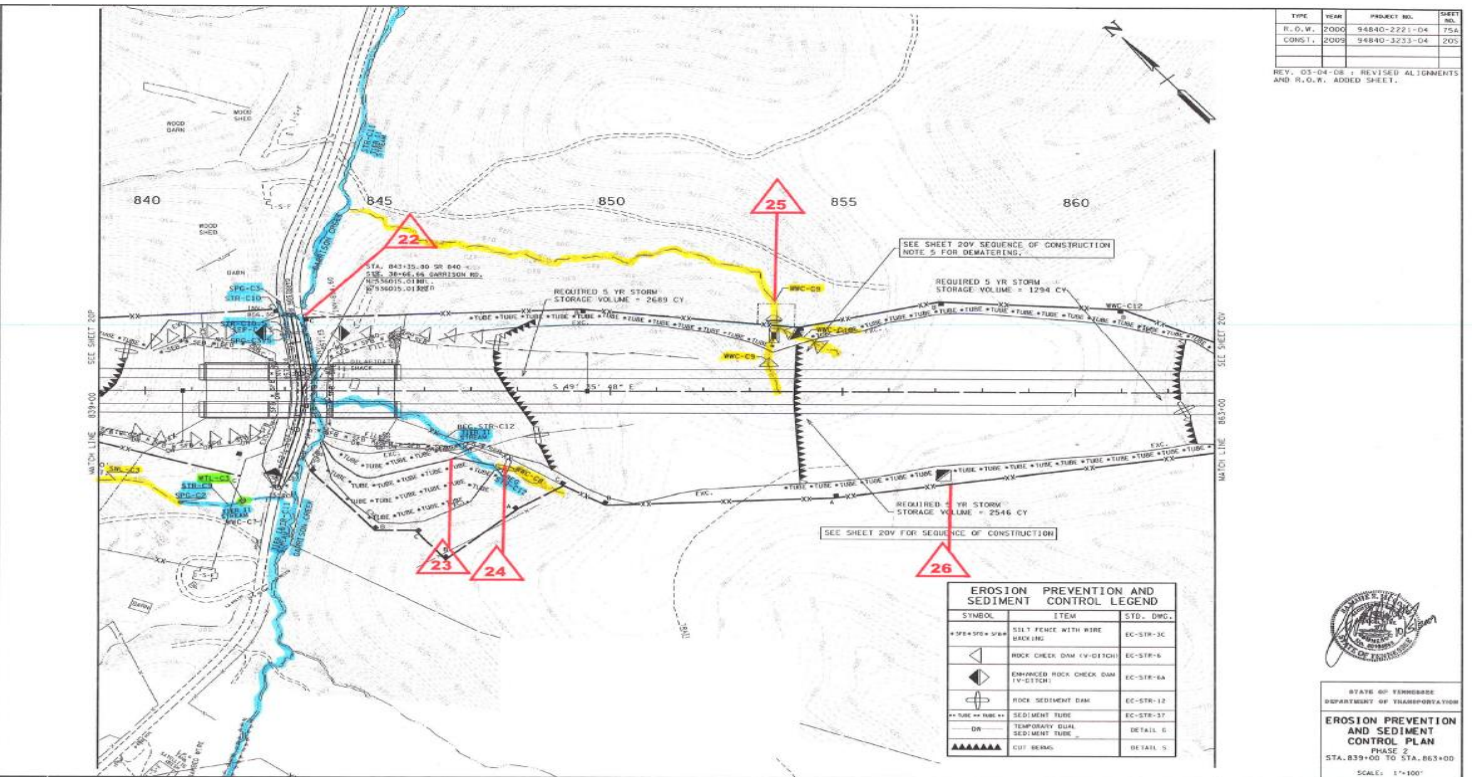
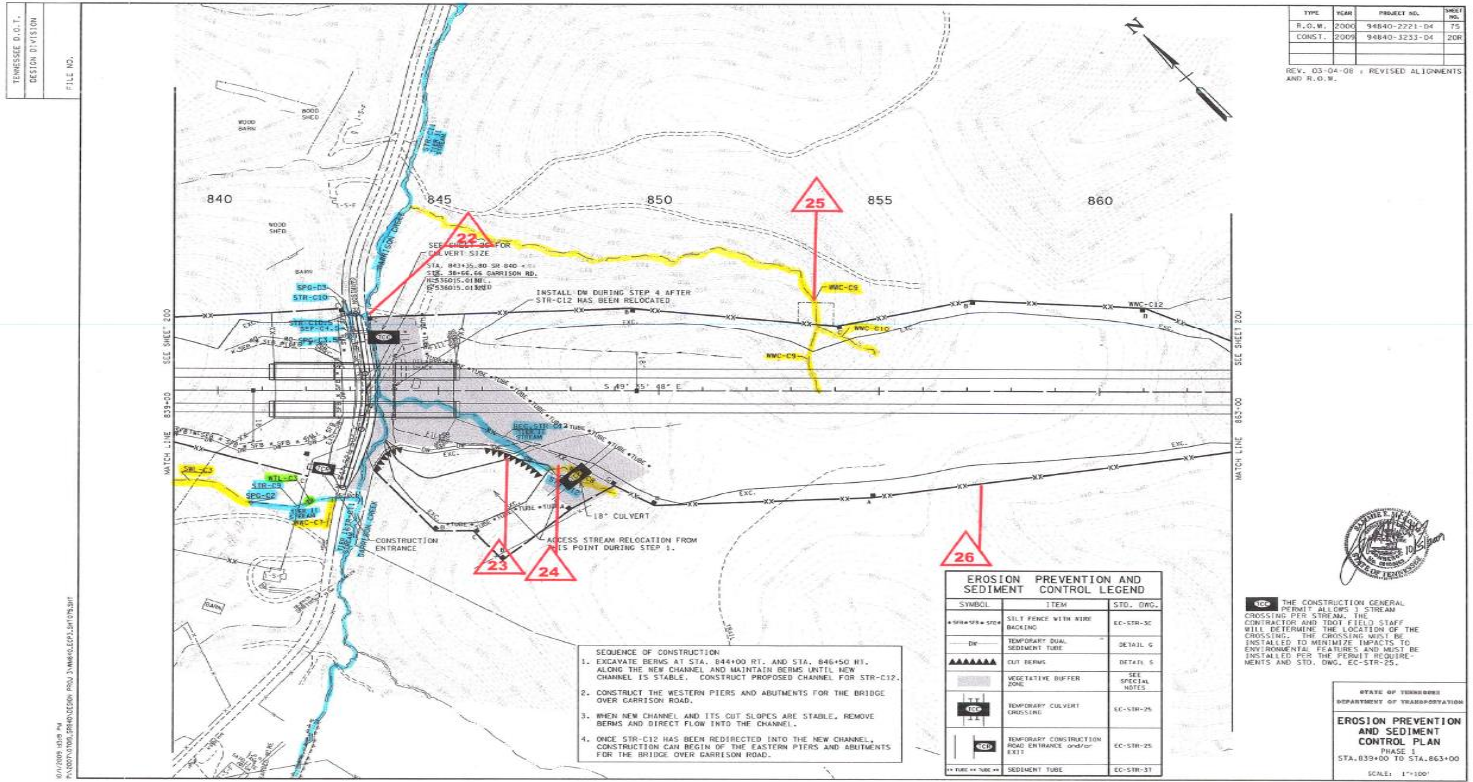
Work Order Remaining \$ -

## **APPENDIX C**

### **EXAMPLE SET OF CONSTRUCTION DRAWINGS FOR FIELD USE**







## **APPENDIX D**

### **EXAMPLE WATER QUALITY PERMIT REVIEW MATRIX SPREADSHEET**



## **Appendix E**

### **Environmental Pre-Construction Meeting Checklist**

### ENVIRONMENTAL PRECONSTRUCTION MEETING CHECKLIST

Date Held: \_\_\_\_\_ ATTENDEE LISTING ON LAST PAGE

Contractor: \_\_\_\_\_

Contract: \_\_\_\_\_ Effective Date: \_\_\_\_\_

Project/PIN #: \_\_\_\_\_ Estimated Start Date: \_\_\_\_\_

District Operations Supervisor: \_\_\_\_\_

**THE FOLLOWING INFORMATION WAS DISCUSSED AND MATERIALS, IF APPLICABLE,  
WERE RECEIVED AT THE MEETING.**

		<u>DISCUSSED</u>	<u>RECEIVED</u>	<u>N/A</u>
1.	<u>SWPPP</u> - Any needed discussion regarding the SWPPP - EPSC measures installed according to Standard drawings and/or QPL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	<u>ARAP/Environmental permits</u> - Special conditions of permits (fish sweeps, T/E species, stream relocations, etc...) - Mitigation requirements - Boundaries identified on plans and SWPPP - Construction limits - Have all permits been received? Expiration dates?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	<u>SP107FP requirements</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	<u>Environmental Commitments</u> - PPRM print out?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	<u>Bulletin Board/Rain Gage Requirements</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	<u>EPSC Inspections – Reporting, Communications Between Project Staff</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	<u>EPSC Maintenance</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	<u>Procedure to report a sediment release</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	<u>Utility Construction and/or Relocation (In-contract?)</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	<u>Waste/Borrow Areas-Including off-ROW staging areas</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	<u>QA Inspections</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.	<u>Marked Environmentally Sensitive Areas (High-visibility marking)</u> - Marked before construction begins - Mark stream buffers, wetlands, streams, permit boundaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.	<u>Acid Producing Rock Materials -Pyrite</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.	<u>Solid &amp; Hazardous Waste Management (Burning, Fuel Storage, Spill Prevention, Concrete Washout, Material Disposal, etc.)</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- *Burning – length of time to burn, materials that can be burned, location – notify Environmental Coordinator*
- *Spill prevention and materials disposal – who to notify in event of a spill*
- *Hazardous materials identified on site – who to contact*

15. Asbestos
- Any structures scheduled for demolition?
- Have the structures been surveyed for the presence of asbestos?
- Any structures been identified as containing asbestos?
- Have structures identified as containing asbestos been cleared?
- Who will be responsible for the 10-day notification to TDEC regarding demolition of structures?
16. Additional Environmental Issues Noted, Not Included in Permitting
17. Submittal of SPCC Plan, per SP107FP, if applicable

Comments:

**ATTENDEE LISTING**

<u>NAME</u>	<u>COMPANY</u>	<u>PHONE NUMBER</u>

## **Appendix F**

### **TDOT VPN User Application Documents**



STATE OF TENNESSEE

**Acceptable Use Policy  
Network Access Rights and Obligations**

**Purpose:**

To establish guidelines for State-owned hardware and software, computer network access and usage, Internet and email usage, telephony, and security and privacy for users of the State of Tennessee Wide Area Network.

**Reference:**

*Tennessee Code Annotated, Section 4-3-5501, et seq.*, effective May 10, 1994.  
*Tennessee Code Annotated, Section 10-7-512*, effective July 1, 2000.  
*Tennessee Code Annotated, Section 10-7-504*, effective July 1, 2001.  
*State of Tennessee Security Policies.*

**Objectives:**

- Ensure the protection of proprietary, personal, privileged, or otherwise sensitive data and resources that may be processed in any manner by the State, or any agent for the State.
- Provide uninterrupted network resources to users.
- Ensure proper usage of networked information, programs and facilities offered by the State of Tennessee networks.
- Maintain security of and access to networked data and resources on an authorized basis.
- Secure email from unauthorized access.
- Protect the confidentiality and integrity of files and programs from unauthorized users.
- Inform users there is no expectation of privacy in their use of State-owned hardware, software, or computer network access and usage.
- Provide Internet and email access to the users of the State of Tennessee networks.

**Scope:**

This Acceptable Use Policy applies to all individuals who have been provided access rights to the State of Tennessee networks, State provided email, and/or Internet via agency issued network or system User ID's. The scope does not include State phone systems, fax machines, copiers, State issued cell phones or pagers unless those services are delivered over the State's IP network.

**Use and Prohibitions:**

**A. Network Resources**

State employees, vendors/business partners/subrecipients, local governments, and other governmental agencies may be authorized to access state network resources to perform business functions with or on behalf of the State. Users must be acting within the scope of their employment or contractual relationship with the State and must agree to abide by the terms of this agreement as evidenced by his/her signature. It is recognized that there may be incidental personal use of State Network Resources. This practice is not encouraged and



employees should be aware that all usage may be monitored and that there is no right to privacy. Various transactions resulting from network usage are the property of the state and are thus subject to open records laws.

#### **Prohibitions**

- Sending or sharing with unauthorized persons any information that is confidential by law, rule or regulation.
- Installing software that has not been authorized by the Office for Information Resources of the Department of Finance and Administration.
- Attaching processing devices that have not been authorized by the Office for Information Resources of the Department of Finance and Administration.
- Using network resources to play or download games, music or videos that are not in support of business functions.
- Leaving workstation unattended without engaging password protection for the keyboard or workstation.
- Utilizing unauthorized peer-to-peer networking or peer-to-peer file sharing.
- Using network resources in support of unlawful activities as defined by federal, state, and local law.
- Utilizing network resources for activities that violate conduct policies established by the Department of Human Resources or the Agency where the user is employed or under contract.

#### **B. Email**

Email and calendar functions are provided to expedite and improve communications among network users.

#### **Prohibitions**

- Sending unsolicited junk email or chain letters (e.g. "spam") to any users of the network.
- Sending any material that contains viruses, Trojan horses, worms, time bombs, cancel bots, or any other harmful or deleterious programs.
- Sending copyrighted materials via email that is either not within the fair use guidelines or without prior permission from the author or publisher.
- Sending or receiving communications that violate conduct policies established by the Department of Human Resources or the Agency where the user is employed or under contract.
- Sending confidential material to an unauthorized recipient, or sending confidential e-mail without the proper security standards (including encryption if necessary) being met.

Email created, sent or received in conjunction with the transaction of official business are public records in accordance with T.C.A 10-7-301 through 10-7-308, and the rules of the Public Records Commission. A public record is defined as follows:

*"Public record(s)" or "state record(s)" means all documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings or other material, regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency. (T.C.A. 10-7-301 (6)).*

State records are open to public inspection unless they are protected by State or Federal law, rule, or regulation. Because a court could interpret state records to include draft letters, working drafts of reports, and what are intended to be casual comments, be aware that anything sent as electronic mail could be made available to the public.

### **C. Internet Access**

Internet access is provided to network users to assist them in performing the duties and responsibilities associated with their positions.

#### **Prohibitions**

- Using the Internet to access non-State provided web email services.
- Using Instant Messaging or Internet Relay Chat (IRC).
- Using the Internet for broadcast audio for non-business use.
- Utilizing unauthorized peer-to-peer networking or peer-to-peer file sharing.
- Using the Internet when it violates any federal, state or local law.

#### **Statement of Consequences**

Noncompliance with this policy may constitute a legal risk to the State of Tennessee, an organizational risk to the State of Tennessee in terms of potential harm to employees or citizen security, or a security risk to the State of Tennessee's Network Operations and the user community, and/or a potential personal liability. The presence of unauthorized data in the State network could lead to liability on the part of the State as well as the individuals responsible for obtaining it.

#### **Statement of Enforcement**

Noncompliance with this policy may result in the following immediate actions.

1. Written notification will be sent to the Agency Head and to designated points of contact in the User Agency's Human Resources and Information Technology Resource Offices to identify the user and the nature of the noncompliance as "cause". In the case of a vendor, subrecipient, or contractor, the contract administrator will be notified.
2. User access may be terminated immediately by the Systems Administrator, and the user may be subject to subsequent review and action as determined by the agency, department, board, or commission leadership, or contract administrator.



STATE OF TENNESSEE  
**Acceptable Use Policy**  
**Network Access Rights and Obligations**  
**User Agreement Acknowledgement**

As a user of State of Tennessee data and resources, I agree to abide by the Acceptable Use Network Access Rights and Obligations Policy and the following promises and guidelines as they relate to the policy established:

1. I will protect State confidential data, facilities and systems against unauthorized disclosure and/or use.
2. I will maintain all computer access codes in the strictest of confidence; immediately change them if I suspect their secrecy has been compromised, and will report activity that is contrary to the provisions of this agreement to my supervisor or a State-authorized Security Administrator.
3. I will be accountable for all transactions performed using my computer access codes.
4. I will not disclose any confidential information other than to persons authorized to access such information as identified by my section supervisor.
5. I agree to report to the Office for Information Resources (OIR) any suspicious network activity or security breach.

**Privacy Expectations**

The State of Tennessee actively monitors network services and resources, including, but not limited to, real time monitoring. Users should have no expectation of privacy. These communications are considered to be State property and may be examined by management for any reason including, but not limited to, security and/or employee conduct.

I acknowledge that I must adhere to this policy as a condition for receiving access to State of Tennessee data and resources.

I understand the willful violation or disregard of any of these guidelines, statute or policies may result in my loss of access and disciplinary action, up to and including termination of my employment, termination of my business relationship with the State of Tennessee, and any other appropriate legal action, including possible prosecution under the provisions of the Computer Crimes Act as cited at TCA 39-14-601 et seq., and other applicable laws.

I have read and agree to comply with the policy set forth herein.

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Last 4 digits of Social Security Number

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

TDOT JVPN Spreadsheet		[See color coded notes - Row 33]
User Demographic Info	User Info	User Info
RACFID		
First Name		
Last Name		
Agency Name		
Street Address		
Street Address2		
Bldg/Room/Floor		
City		
State		
Zip Code		
Phone Number		
Alt Phone Number		
E-Mail		
Last 4 of SSN		
Group (Admin, User, Vendor)		
Resource Needed		
Comments		
POC Name First		
POC Name Last		
POC Street Address		
POC Street Address 2		
POC Room/Floor		
POC City		
POC State		
POC ZIP		
POC Phone Number		
POC email		
TDOT Sponsor		

Black items are required items.

If an item is inapplicable, leave blank.

The information about the individual needing access and the IT Point of Contact are both required.

The "State" field is the two character state abbreviation. i.e. TN (NOT Tennessee)  
"Same" is NOT a valid entry for any of the spreadsheet fields.

Group (Admin, User, Vendor)

Admin - TDOT IT management approved Server Administrators.

User - State Employees

TDOT IT management approved contractors.

Vendor - Contractors.

Resource Needed - SiteManager, Stormwater, E-TRIMS, PPRM, ADAM, etc.

or

IT-HQ, IT-R1, IT-TMC1, IT-Dir, etc.

[This helps to give an indication of what the user usage will be]

**Blue** items are required if the user has an existing domain ID.

**Green** item (Agency Name) is the department (ex.: TDOT)  
or  
The name of the company the individual works for.

**Red** item (Comments) can be ignored .

**Purple** item (TDOT Sponsor) is the name of the TDOT sponsor - typically it's your name if you are a TDOT IT person completing this request.

**APPENDIX G**  
**QA INSPECTION REPORT**



## QA Inspection Report

Inspection Date: [Click here to enter a date.](#)  
Start Time:                      End Time:

Inspector:  
Firm:

### Project Information

Route or Road Name:	Construction Office:
Project #:	Office Supervisor:
PIN:	Prime Contractor:
Contract #:	County:
Project Description:	

### Project Permits

Permit Type	Tracking/Permit #	Expiration Date
Permit Type		Exp. Date
Permit Type		Exp. Date
Permit Type		Exp. Date
Permit Type		Exp. Date.

### Summary of Nonconformances

Select Appropriate Nonconformance	<u>Recurring</u> Choose an item.	<u># of instances</u> # of instances.

### Attendees

Name	Company / Organization	Introductory Interview	Site Assessment	Exit Interview
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Introductory Interview

Any questions or comments regarding previous report?	Yes or No
Any problem areas identified?	Yes or No
Any modifications and/ or modification request been made to the water quality permits?	Yes or No
Any regulatory site visits?	Yes or No
Estimated disturbed acreage?	±
Date of next inspection	enter date.

### Posted Items and Items maintained on site

Are the following items posted on site?	
a: Copy of the NOC	Yes or No.
b: Contact information for site owner/operator	Yes or No
c: Location of SWPPP/permits	Yes or No
Are the following items located on site?	
a: Rain gauge(s)	Yes or No

- b: Copies or location of twice weekly inspections Yes or No
- c: Copy of inspector's TDOT Fundamentals of EPSC certification Yes or No
- d: SWPPP Yes or No
- Has a Delegation of Authority form been completed (if needed)? Yes or No

**EPSC Reports**

- Are EPSC reports being completed properly? Yes or No
- Are EPSC inspections being done at the correct frequency? Yes or No
- Are there any repeat corrective actions on the EPSC reports? Yes or No

**SWPPP Modifications**

- Are there any SWPPP modifications? Yes or No
- Is the SWPPP being modified in accordance with the CGP? Yes or No

**Rainfall Records**

- Is the appropriate number of rainfall gauges posted on site? Yes or No
- Did any documented rain event exceed the SWPPP design criteria? Yes or No

**Support Activities**

- Site #:
- Type:       Select Appropriate Type
- Is the support activity in compliance with the appropriate Waste and Borrow Procedure? Yes or No

- Site #:
- Type:       Select Appropriate Type
- Is the support activity in compliance with the appropriate Waste and Borrow Procedure? Yes or No

**Sediment Releases**

- Any sediment releases noted prior to or during the inspection? Yes or No
- If sediment releases occurred, have all the following steps been taken?
  - a: Was the appropriate Regional contact notified? Yes or No
  - b: Was the sediment release form completed and sent into the Regional contact? Yes or No
  - c: Has approval from TDEC been obtained to remove sediment (if needed)? Yes or No
  - d: Has sediment been removed? Yes or No

**Field Assessment**

Photo #                      Station #

\_\_\_\_\_

Comments

\_\_\_\_\_

Photo #                      Station #

\_\_\_\_\_

Comments

\_\_\_\_\_

Photo #                      Station #

\_\_\_\_\_



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*Comments*

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*Photo #*                      *Station #*

---

*Comments*

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---

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*Photo #*                      *Station #*

---

*Comments*

---

---

---

*Photo #*                      *Station #*

---

*Comments*

---

**Additional Comments:**

**Exit Interview**

Were all NCs, RNCs, or any concerns noted during the inspection clearly discussed with those present?                      Yes or No

Were all present in agreement with the results of the inspection?                      Yes or No

**APPENDIX H**

**NONCONFORMANCES**

**APPENDIX H – NONCONFORMANCES**

For the purposes of the Environmental QA inspection process, situations where a construction, EPSC, or documentation related activity on a project site does not meet the requirements outlined within applicable water quality permits, stormwater permits, TDOT construction circulars and/or special provisions, special notes or Project Commitments, should be documented on the QA inspection report as nonconformances.

The Table below provides a list of some examples of instances of nonconformances that could be encountered during a QA inspection on a TDOT construction project. The sections following Table 1 describe general conditions of each example, as well as provide more detail, photos, and figures.

Example Number	Example Situations
1	Recurring corrective actions documented on EPSC reports (24-hour limit) (TDOT-SP107FP)
2	Failure to perform EPSC inspections according to TDOT EPSC Inspection Manual (TDOT, CGP)
3	Stabilization Requirements (14-day limit, 7 days for steep slopes) (CGP)
4	Exceeding allowable disturbed acreage (50 acres) (TDOT)
5	Failure to properly implement the project SWPPP (CGP, TDOT)
6	Sediment releases beyond the TDOT Right-of-Way/easement (CGP, TDOT)
7	Sediment releases into waters of the State/US and Discharges resulting in objectionable color contrast (CGP)
8	Deviation from water quality permit conditions (CGP, ARAP, USACE, TVA)
9	Buffer zone encroachment (CGP, ARAP)
10	Undocumented Off-ROW Support Activities (TDOT)

**EXAMPLE 1 – RECURRING CORRECTIVE ACTIONS ON EPSC REPORTS:**

As indicated in the TDOT Construction Division’s **Special Provision 107FP**, the prime contractor is required to address EPSC-related corrective actions identified during EPSC inspections within 24-hours of notification. Exceptions can be made if conditions make performing corrective action work impracticable (i.e., wet conditions.). Corrective Actions should be documented clearly and according to the TDOT EPSC Inspection Manual.

Examples of several EPSC-related corrective actions could include, but are not limited to, removing sediment accumulations (greater than 50% of capacity) from check dams, sediment traps, or silt fence; repairs and re-installation of silt fence, check dams, sediment tubes, temporary slope drains, re-grading of eroded slopes and ditch lines, etc.



**EXAMPLE 2 – FAILURE TO PERFORM EPSC INSPECTIONS ACCORDING TO TDOT EPSC INSPECTION MANUAL:**

TDOT has created the TDOT EPSC Inspection Manual which outlines the procedures for conducting and documenting EPSC inspections on construction projects. It also provides Operations personnel with inspection forms and other information, and may be found at: [Construction Division Resources](#). Some examples of failing to follow the EPSC Inspection Manual may include: incorrect EPSC inspection frequency, failure to record rain fall data, or improper documentation.

**EXAMPLE 3 - STABILIZATION:**

In accordance with Section 3.5.3.2 of the CGP, temporary or permanent soil stabilization must be completed no later than 14 days after construction activities in a given portion of the site has temporarily or permanently ceased (except as precluded by snow cover, frozen or adverse soggy ground conditions, or where construction activity on a portion of site is temporarily ceased and earth disturbing activities are expected to resume within 14 days). In areas where steep slopes are present (steeper than 3:1 slope ratio or 35% grade or greater, regardless of height), stabilization must be applied no later than 7 days after construction activities have temporarily or permanently ceased. Additionally, there are TDOT requirements for stabilization found in the Spec. Book at 209.06 for 25ft. increments on steep slopes and applying permanent stabilization within 48-hrs. of completion.

**EXAMPLE 4 – EXCEEDING ALLOWABLE DISTURBED ACREAGE:**

TDOT has chosen to limit roadway and bridge construction projects to a maximum of 50 acres of active soil disturbance at any one time during the construction project. If more restrictive limits (i.e., 25 acres) are placed on allowable disturbed acreage, then those limits will supersede.

**EXAMPLE 5 - FAILURE TO PROPERLY IMPLEMENT THE PROJECT SWPPP:****Installation of EPSC measures according to the EPSC plan:**

As noted in Section 3.5.2 of the CGP (“Description of stormwater runoff controls”), the project SWPPP should include a description of EPSC measures and other BMPs which are to be installed for each major activity that may disturb soil during construction of the project (i.e. grubbing, grading, utilities and installation of infrastructure). Further, a description of the general location and timing of the installation of these measures should be included in the EPSC plans (e.g. Stage I and Stage II for projects with less than 5 acres of land disturbance; and Stages I-III for projects with greater than 5 acres of land disturbance). As such, these measures are to be installed and functional *prior to or concurrently with* land disturbing activities associated with each designated phase (see Section 3.5.3.1.1) of the CGP).



EPSC measures were removed prior to permanent stabilization.



EPSC measures were not installed prior to clearing and grubbing activities.

Temporary EPSC measures should remain in place until the surrounding area has satisfied the permanent stabilization requirements of the CGP.

All EPSC measures on a TDOT construction project are required to be installed according to TDOT Standards

(e.g. standard drawings) if applicable. Examples of improper installation of EPSC measures include, but are not limited to, silt fence not entrenched or improperly entrenched, rock check dams lacking geotextile fabric or weir height, outlet of slope drains not protected, etc. Exceptions can be made if field conditions do not allow for installation according to TDOT Standard Drawings but should be justified and appropriately documented.



**SWPPP Revisions**

According to Section 3.5.8.2.f of the CGP, based on the results of an EPSC inspection, modifications to the EPSC plan must be implemented no more than 14 days after the inspection (however, they must be documented in the SWPPP within 7 days). Examples include installation of additional EPSC measures to increase the level of protection, *beyond those depicted in the original EPSC plan*, such as additional enhanced check dams, sediment basins, temporary slope drains, etc.

**Sequence of Construction**

If there is a project-specific grading plan (seasonal limitations) outlined within the project SWPPP, or a specific sequence of construction for designated portions of a project (within certain date ranges), then the plan must be followed. Exceptions to this must be clearly justified, documented, and approved by appropriate TDOT personnel.

**Stormwater Management and Non-Stormwater Discharges**



There are other activities related to project construction regulated by the CGP and described in the project SWPPP. These could include non-stormwater discharges; minimization and prevention of discharge of pollutants from project construction equipment; concrete washout areas; maintenance and prevention of construction wastes, trash, sanitary waste, etc. BMPs for these activities should be reviewed and documented during the QA process as needed.

**Implementation of the Rainfall Monitoring Plan**

According to the Construction Division’s Rainfall Monitoring Plan, rainfall data should be recorded daily, and at least one rain gauge is to be located within each linear mile (as measured along the center line of the primary alignment) of the project where clearing, grubbing, excavation, grading, cutting or filling is being actively performed, or on areas of exposed soils (areas that have not been temporary or permanently stabilized). Procedures outlined in the monitoring plan are the responsibility of the District Operations Supervisor (or their designee) and is a part of the EPSC inspection process.

**EXAMPLE 6 – SEDIMENT RELEASE BEYOND THE PROJECT RIGHT OF WAY/EASEMENT:**



According to *Section 4.1.1.(5)* of the CGP, EPSC measures are to be designed, installed and maintained in order to eliminate or minimize sediment discharges from the site. Additionally, Circular Letter 209.01-03 (Construction Related Sediment Removal) further defines and outlines the process to be followed if a sediment release occurs on a project. It should be noted that rainfall duration, amount, and intensities should be reviewed and recorded as necessary.

For instances where a sediment release is observed, but **did not** enter a jurisdictional feature, **and** was the result of a storm event which exceeded the SWPPP design criteria, **and** all applicable EPSC measures were installed and functioning prior to the event, a nonconformance should not be issued.

If sediment releases do not impact jurisdictional areas, removal of the sediment from *public* spaces must be performed in a timely manner to minimize potential for entry to jurisdictional waters (i.e., removal from street surfaces which eventually drain to storm sewers and streams), or create safety hazards. If sediment accumulations are located on *private* property and not within jurisdictional areas, then permission for access and activities required for removal of the sediment must be obtained from the landowner. This must be settled by TDOT or the project contractor (*Section 3.5.3.1.d* of the CGP notes that the permit does not authorize access to private property). If permission is not allowed, the effort to remove and/or stabilize the sediment should be documented in the EPSC inspection report and the QA inspection report.

**EXAMPLE 7 – SEDIMENT RELEASES TO WATERS OF THE STATE/US and DISCHARGES RESULTING IN OBJECTIONABLE COLOR CONTRAST.**

All instances of sediment releases and objectionable color contrast into waters of the state/US should be clearly identified and documented on the QA report as a nonconformance, regardless of rainfall. Data for rainfall amount, duration, and intensities, should be included in the QA inspection report when documenting sediment releases or color contrast where the reported rain event exceeded the SWPPP design.

Instances where sediment releases or objectionable color contrast occurs on or adjacent to the project site and can verifiably be shown to have been the result of activities not under the TDOT contract, should be documented within the QA report.

**EXAMPLE 8 – DEVIATION FROM WATER QUALITY PERMIT CONDITIONS:**

In addition to the requirements within the CGP, numerous additional provisions and conditions may be applicable within water quality permits (ARAPs, 401s, Corps 404s, TVA 26a) on projects. It is the responsibility of all applicable project personnel to be aware of the specific terms and conditions cited within the project's water quality permits. *It should be noted that the TDOT-CFS retains the right to re-assign, modify, or terminate the services of any assigned QA inspector that fails to be familiar with the terms and conditions of a project's water quality permits, fails to conduct themselves in an appropriate manner, and/or accurately document the ability of a project to adhere to permit terms.*

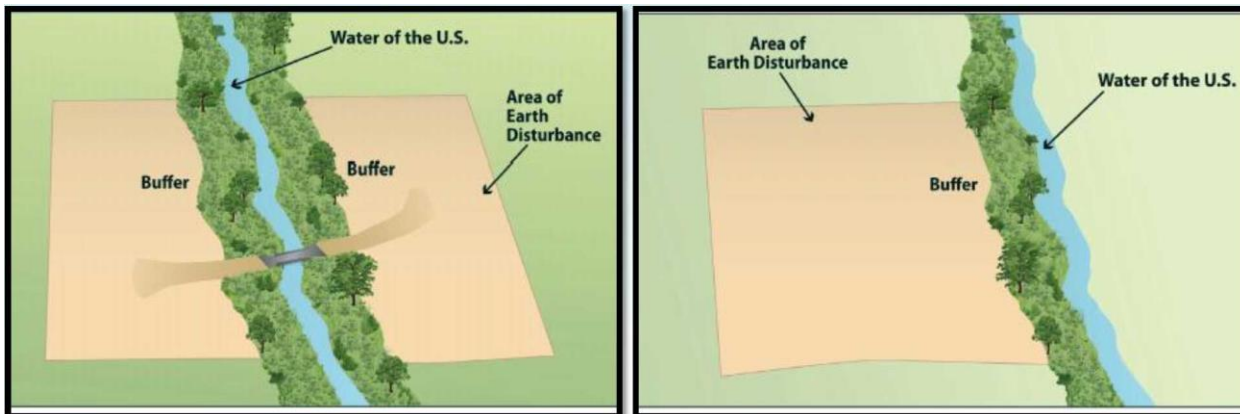
Although each project's permits are subject to site-specific conditions, examples of discrepancies with water quality permits may include, but are not limited to, the following:

- Installation of a permanent drainage structure (culvert) not specified within the permits, or which exceeds the length noted in the permits, or in an incorrect location.
- Installation of temporary or permanent inlet and/or outlet protection which is not specified within the permits or which exceeds the length(s) noted in the permits.
- Construction of a permanent channel relocation which is not included or does not match the size, length, channel bottom/bank stabilization, associated tree plantings, etc. specified in the permits/plans.
- Installation of in-stream EPSC measures without prior regulatory approval.
- Exceeding the number of temporary stream crossings on any one stream, without prior regulatory approval.
- Performing construction work in an area that has a restricted period (i.e. seasonal limitations) due to presence of threatened and/or endangered species within or adjacent to the project limits.
- Failing to notify necessary TDOT or regulatory personnel prior to diverting flow into a temporary diversion channel or permanently relocated channel, if necessary (i.e., for a fish-sweep to be performed prior to diverting flow; ensuring proper in-stream structures have been installed; etc.)

**EXAMPLE 9 - BUFFER ZONE ENCROACHMENT:**

As noted in *Section 5.4.2* of the CGP, for sites that contain and/or are adjacent to a receiving stream which is designated as having unavailable parameters, the natural riparian buffer zone adjacent to the receiving stream must be preserved between the top of the bank and the active construction area to the maximum extent practicable. Buffer zone requirements should be indicated in the SWPPP. This buffer zone should be maintained for an average width of 60 feet, with a minimum of no less than 30 feet in any one location. A natural riparian buffer width of 30 feet is required for all other streams with a minimum of no less than 15 feet. Be advised of Footnote Article 4 in this section (Page 32 of CGP) regarding buffer zone requirements for wet weather conveyances identified as waters of the state by the USACOE or EPA.

NOTE: It is acceptable and somewhat expected that EPSC measures offering equivalent protection to a receiving stream will be used on roadway bridge construction sites. Justification for use and design of EPSC measures equivalent to the buffer zone should be included in the SWPPP.



NOTE: Buffer zone requirements do not apply to portions of receiving streams authorized by an ARAP or USACOE permit. Additionally, this requirement does not apply to portions of the buffer zone which are currently impacted by existing land uses and will remain in place, such as parking lots, roadways, buildings, etc. However, if those uses are proposed to be changed or impervious surfaces will be removed, then the buffer requirements do apply.

**EXAMPLE 10 – FAILURE TO FOLLOW TDOT OFF-SITE WASTE/BORROW PROCEDURES**

According to the TDOT Procedures for Providing Off-Site Waste and Borrow Procedures on Construction Projects, a Contractor’s Support Activities Certification Form must be provided to TDOT Operations for **all** support activities outside the project limits prior to use. Further information can be found at: [TDOT Waste/Borrow Procedures](#).

**REPEAT NONCONFORMANCES**

Situations where nonconformances are repeatedly observed during QA inspections should be clearly documented. The appropriate CFS-Environmental Supervisor should be notified when repeat nonconformances are observed. Repeat nonconformances should document a lack of contractor or site personnel responsiveness. Examples of this are when contractors or site personnel are not responding to needed corrective actions in a timely manner, (i.e. continual failure to conduct corrective action items within 24-hrs. of notification), continual failure to install EPSC measures according to TDOT standards, etc. Appendix I should be referenced when Repeat Nonconformances are observed during QA inspections.



## **APPENDIX I**

### **ESCALATION PROCESS FOR REPEAT NONCONFORMANCES OBSERVED DURING QA INSPECTIONS**

### **Escalation process for Repeat Nonconformances observed during QA inspections.**

A Nonconformance identified on a TDOT Construction Project should be addressed by the next QA inspection or have documentation explaining why this has not occurred, per the requirements of **SP107FP**.

When a Repeat Nonconformance is observed on the subsequent TDOT QA inspection, the CFS Manager and Environmental Supervisor will be notified, by the assigned QA inspector, via phone call and follow-up e-mail, as soon as possible. The CFS Environmental Supervisor, or assigned Specialist, will notify the **District Operations Supervisor** and work with them and/or appropriate Regional Operations personnel for resolution. Appropriate follow-up should be conducted by the QA inspector if necessary, to evaluate the response to repeat nonconformances.

If the Repeat Nonconformance has still not been addressed by the third QA inspection, the CFS-Manager and Environmental Supervisor will be notified, by the assigned QA inspector, via phone call and follow-up e-mail, as soon as possible. The **District Engineer, Regional Engineer, Regional Director of Operations, Compliance Office Manager, and Environmental Division Assistant Director** will be notified by the CFS-Manager, via e-mail, to make them aware of the issue. The CFS-Manager will work with the District Engineer and/or Regional Engineer to assist in resolving the issue.

Finally, if the same Repeat Nonconformance has not been addressed by the fourth consecutive QA inspection, the CFS-Manager and Environmental Supervisor will be notified, by the assigned QA inspector, via phone call and follow-up e-mail, as soon as possible. The CFS Manager will notify the **Regional Director and Director of the Environmental Division** via e-mail, to make them aware of the issue. The CFS Manager will work with both Directors to determine what action shall be taken to address the ongoing project issues and regain regulatory compliance.