3. Preliminary Activities

3.1. Getting Started – Review the Records

The first order of business for a newly assigned Project Engineer is to thoroughly review the contract and become familiar with the project. This holds true no matter what stage the project is in when the assignment is made. From a preliminary review of the contract documents, the Project Engineer should know the scope, location, and type of project and should be able to determine its estimated cost, timing, and general source of funding, as well as the seasonality of the project (winter or summer construction).

The Project Engineer should also obtain and review all of the following documents:

Conformed Contract and Bid Tabulations: Including all paperwork submitted by the contractor prior to receiving the contract, compare the low bidder's/contractor's principal unit prices and overall bid with those of other bidders and with the Engineer's Estimate; check the completion date or contract time.

Design File: Review the design engineer's assumptions and decisions, and gain insight into the whys of the project; obtain any aerial photos used during the design.

Engineer's Estimate: Following a review of the contract, the Project Engineer should compare their own estimated prices with the design engineer's estimated unit prices (the Engineer's Estimate).

Environmental Documents: The Project Engineer should obtain and review copies of the project's Environmental Assessment, Environmental Impact Statement, or Categorical Exclusion and should become familiar with all of the project's environmental commitments.

Federal Funding Agreements: For FHWA-funded highway or marine projects, the Project Engineer shall secure a copy of the Project Agreement, the Project Agreement Estimate, and the Authority to Proceed (ATP) and make certain the project will receive all amendments to the Project Agreement.

On FAA-funded airport projects, the Project Engineer shall have a copy of the Grant Agreement, Application for Federal Assistance, and any Grant Amendments.

Materials Certification List (MCL): The Material Certification List (MCL) is prepared by the Engineer of Record with the assistance of the MCL Coordinator. The MCL lists all materials that require certification and who approves the certification. See Section 4.5 for additional information on the MCL.

Materials Permits: The Project Engineer should secure copies of the permits for each of the projects' designated materials sources, if any, and copies of any royalty agreements and should become familiar with all of the permit stipulations (seasonality requirements, haul route designations/restrictions, fish and wildlife conflicts, overburden disposal, and pit clean-up requirements). Compare the permit stipulations with the contract language to make certain there are no conflicts.

Materials Report: For an in-depth look at the materials investigation, the Project Engineer should: study the materials source test results; check the age (old investigation or fairly recent) of the report and the extent sources were investigated, review sources that were investigated but not included in the design, and compare the materials report's recommendations with the design engineer's final design.

Materials Testing Summary: The Project Engineer, the regional quality assurance section, or the materials unit prepares the project's Material Testing Summary. To create a project-specific Material Testing Summary, combine the contract's specified test methods and estimated quantities with the Materials Sampling & Testing Frequency (MSTF) table for Airports or Highways, published on the Statewide

Materials Website (a web link is in Sections 18.8 thru 18.9). The final Materials Testing Summary is based on final pay quantities (See Section 11.2).

Reimbursable Service Agreements (RSAs): If the project includes work for another agency, review the RSA to determine the scope of the other agency's work and its impact on the work of the prime contractor.

Right-Of-Way Documents: Principal documents include right-of-way plans, airport property plans, right-of-way certifications, airport lease lot drawings, memoranda of agreement regarding encroachments and access to private property. The Project Engineer should review all of these documents relating to the project and compare them to the contract for consistency and completeness.

State Funding Documents: Review the current Project Development Authorization in AKSAS, which contains the exact amounts, sources, and categories of funds that are available for the project.

Transportation Management Plan (TMP): On highway projects review the TMP and identify how it addresses work zone impacts. The TMP always includes a Traffic Control Plan (TCP). The TMP may also include a Traffic Operations Plan (TOP) and/or a Public Information Plan (PIP).

Utility Agreements: If the project involves relocating an existing utility or extending a utility to provide new service, review the utility agreement and determine the scope of involvement, if any, with the agreement; also review the timing and coordination with the prime contractor and the sources of funding for the utility work and/or railroad agreement.

Review and compare these documents to the contract for consistency and completeness.

The Project Engineer shall review the plans and specifications and all related documents. The Project Engineer shall review the project with the design engineer and airport manager on airport projects. This will allow the Project Engineer to gain needed insight into the design decision-making process, which may provide answers to questions that could arise during the project. The review also opens a channel of communication between the Project Engineer and the design engineer. The Project Engineer shall verify the plans with an on-site inspection with the maintenance and operations unit (see Section 3.12).

3.2. Prior to Bid Opening

Before the Department advertises the project for bid, the construction unit is given the opportunity to review and comment on the plans and specifications. The Group Chief/PM assigned to supervise the project should conduct the review. If the Project Engineer has been selected, that person should also be involved in the review.

If the Group Chief/PM assigns a Project Engineer to the project prior to or in the early stages of the advertising period, the Project Engineer reviews the project records and becomes familiar with the project against a background of the events described in this and the following section. During the advertising period, either the Group Chief/PM or the Project Engineer may be tasked with responding to bidder's inquiries.

The Project Engineer or Group Chief/PM should keep a permanent record of all contacts made with bidders, suppliers, and subcontractors during the advertising period. The record should include all questions and answers, as well as how the answers were determined. The records should be kept on a telephone call record form, or a similar form, and should be placed in the files. The design unit and the contracting unit will decide whether the answer to one bidder's question is significant enough to the bidding process to make it an addendum to the bid. Prior to the bid opening, the only information on project cost that the Department releases to the public is a range of estimated contract prices. The design engineers estimate is not made public until bid opening.

3.3. Construction Sponsor Force Account Service

The FAA requires sponsors (the Department) to submit a Construction Force Account Proposal outlining the professional services for administration of the contract. The Force Account Proposal shall include:

- Project title
- Airport Improvement Number
- Location
- Estimated work days for inspection services
- Identification of consultant use
- Scope of services
- Cost estimate

An Outline for a Force Account Proposal is in Section 17. The FAA requires the Force Account Proposal prior to the contractor starting work. The FAA reviews the Force Account Proposal and must perform a reasonableness-of-cost determination.

3.4. Bid Opening to Award/Notice to Proceed

After the bid opening, the Department releases certified bid tabulations. Within five working days after the identification of the apparent low bidder (AS 36.30.116), the apparent low bidder must provide the Department with the Subcontractors List (Form 25D-5). On this form, the apparent low bidder certifies they will subcontract one-half of one percent or less of the contract amount, or list all subcontractors with the items of work that each will perform.

After the bid opening and evaluation of the bids, the contracting officer sends the Notice of Intent to Award letter to the apparent low bidder. Included with the letter are:

- A request for the executed contract form
- Performance and payment bonds, if required
- Certificate of Insurance
- EEO Certification (Form 25A-304)
- DBE Utilization Report (Form 25A-325C)
- The Contractor's Questionnaire (Form 25D-8)
- Buy American Certificate (FAA-funded projects only)
- A request for written DBE commitment (Form 25A–326)

The apparent low bidder has 15 days to return these forms, acceptably completed, to the contracting officer.

If the apparent low bidder is unable to meet the DBE goals, they must submit:

- DBE Summary of Good Faith Effort Documentation (Form 25A-332A)
- DBE Contact Reports (Form 25A-321A)
- DBE Utilization Report (Form 25A-325C)

The contracting officer and the Civil Rights Office review these forms, which document the low bidder's unsuccessful efforts at meeting the DBE goals. The contracting officer and the Civil Rights Office decide either to accept the Good Faith Effort documentation and adjust the project's DBE goals or to award the contract to the next lowest bidder. If the contractor has failed to demonstrate they made a Good Faith Effort, then the contractor has three days from the date the Department notifies them of this determination to request an administrative reconsideration of the determination by the DBE liaison officer. If the contractor's reconsideration is denied, then the Department awards the contract to the next lowest responsive and responsible bidder that meets the DBE goals. If the contracting officer awards the bid based on Good Faith Effort, then the contracting officer notifies the successful low bidder of the revised goals in the Letter of Award. If the Department decides to award the contract to the next lowest bidder, the above procedure is repeated.

Once all of the successful low bidder's documents are in order, the contracting officer signs the contract, the successful low bidder becomes the contractor, and they receive the Letter of Award. Depending on regional policy, the Letter of Award may be combined with the Notice to Proceed and both issued at this time, or the Notice to Proceed may be issued following the preconstruction conference. The amount of the successful low bid becomes the amount of award, and is known as the original contract amount; this amount usually establishes the daily-liquidated damage charge that applies when actual construction time exceeds contract completion time. The daily-liquidated damage charge represents the average daily construction engineering (CE) cost on contracts of this value and is based on analysis of actual CE costs from Department projects.

On all projects, the contractor receives a Letter of Award. The FAA requires FAA review of the conformed contract before giving its concurrence (AIP Handbook, sections 1201 and 1204). The issuance of the Notice to Proceed requires additional assurances from the sponsor (the Department):

- Conformed copy of the plans and specifications
- Bid tabs
- Good Faith Effort on DBE requirements
- Force account construction proposal
- Construction Management Program (CMP), if applicable (Section 3.7)

3.5. Contractors Progress Schedule

The contract requires that the contractor submit a construction progress schedule to the Project Engineer, usually at the preconstruction conference. Because it's difficult for the Project Engineer to

develop a meaningful staffing plan and field engineering budget without the contractor's schedule, attempt to secure that schedule prior to the preconstruction conference. On federally funded airport projects, the FAA should review the Project Engineer's construction management plan, which should be prepared based on the contractor's progress schedule, prior to the issuance of the Notice to Proceed (Section 3.6). Early submittal of the progress schedule on these projects is very important.

The contract specifies the type of schedule (CPM, bar chart) that the contractor is to submit. The schedule should break out the construction information into sufficient detail to comply with contract requirements and to make the schedule meaningful for the Project Engineer. The schedule should show beginning and ending dates for the principal items of work, periods of multiple shift work, and periods of anticipated shutdown.

When the Project Engineer finds that the schedule provides all of the required information in a format that allows them to schedule staffing for the project and to monitor the contractor's operations, they should return a signed copy to the contractor. A copy of the current schedule should be posted in the field office.

3.6. Project Staffing & the Construction Engineering Budget

After reviewing the plans and specifications and other project records, the Project Engineer should have a basic idea of project staff size and should start to develop a preliminary construction engineering (CE) budget. The CE budget consists of two categories of expenses: those that are under the direct control of the Project Engineer (field engineering expenses) and those that aren't (support group expenses).

Numerous groups within the Department, which support the field construction effort, incur expenses that are charged against the project's account; these units are referred to as support groups and include every individual who charges time or expenses to a construction project who is not under the Project Engineer's immediate supervision. Exercise control over the support groups' expenses by requesting, before construction begins, that each support group provide a budget for their group's estimated expenditures. The sample support group budget request memo, shown in the exhibits, lists the majority of the support groups that you should contact. Most of these support groups have a distinct program code or codes within AKSAS (Section 2.1) to which they charge their expenses; this makes tracking their expenses much easier.

Following the bid opening and intent to award, the project engineer should contact the apparent low bidder and find out tentative scheduling and staffing plans. If possible, secure a copy of the progress schedule. This information should allow you to refine the project staffing plan, add more accurate durations to the staff assignments, and refine the field engineering budget. The Project Engineer and the Group Chief/PM should review and coordinate the development of the staffing plan and CE budget.

The Project Engineer should look at the total CE budget amount (support group budgets combined with the field engineering budget) and compare it to the remaining available funds. If the total doesn't exceed available funds, all is well. If the budget does exceed the available funds, ask each support group to reduce their budget, or reduce the field engineering budget, or ask for a CE budget increase. Consult with the Group Chief/PM for budget help if necessary. Any CE expenses exceeding available federal funds must be paid out of state-only funds.

3.7. Construction Management Program

The Department must submit a Construction Management Program (CMP) to the FAA prior to the start of airfield taxiway, apron, and runway construction projects where the federal share of the pavement section, including gravel sections, exceeds $250,000. See Appendix 7, Section T of the AIP Handbook. The CMP shall detail the measures and procedures used to comply with provisions of the construction contract, including but not limited to all acceptance and quality control provisions and tests required by the specifications for subgrade, subbase, base, and surface courses.

The CMP shall include as a minimum:

- Project title and number
- Name of DOT&PF Project Engineer assigned to the project
- Names of testing laboratories and consulting firms with acceptance or quality control testing responsibilities on the project, and a description of the services to be provided, if these responsibilities must be identified

- A statement that construction inspection and material testing is to be performed in accordance with the Standard Specifications for Airport Construction, as modified by the Department and approved by the FAA, for Airport Improvement Program (AIP) construction in Alaska, and documented in accordance with the *Alaska Construction Manual* (Sections 10 and 11)
- Material Testing Summary: The Project Engineer, Quality Assurance section, or the Materials section applies the Materials Sampling & Testing Frequency – Airport Construction Contracts (Section 18.9) to the material quantities in the original contract to make up the summary

The Group Chief/PM and the Project Engineer prepare the plan. The Group Chief/PM submits it to the FAA for review.

3.8 Preconstruction Conference

As soon as possible after the contract is awarded, the Group Chief/PM and the Project Engineer should coordinate the scheduling of the preconstruction conference. This meeting is on the conduct of the contract involving the principal groups impacted by the project. The meeting should be scheduled around the availability of the Project Engineer, the contractor, maintenance and operations representatives, and the federal agency's engineer. The date and time of the meeting should be arranged verbally with all participants.

The complexity of the project, its location, and the type of work involved determine who should participate in the preconstruction conference. Participants may include the following people or representatives from the following groups:

Usually in attendance:
- Airport manager
- Alaska Department of Labor representative
- Contractor
- Group chief/PM
- Maintenance and Operations representative
- Project Engineer
- Quality Assurance/Materials unit
- Regional compliance officer

Invite as applicable:
- Design engineer, design consultant or naval architect
- Environmental unit
- FHWA or FAA Airports Division
- Major subcontractors (at the prime contractor's invitation)
- Other governmental agencies with direct involvement
- Traffic and Safety unit
- Utilities unit

The contract requires the contractor to provide certain information to the Project Engineer at or prior to the preconstruction conference. This information usually includes:
- A construction progress schedule
- A written delegation of authority to their on-site representative
- A list of all the suppliers and the material delivery dates
- Designation of their DBE/EEO officer

It may also include:

- A Traffic Control Plan
- Designation of a worksite traffic safety supervisor
- The documents required under the Clean Water Act, including a Storm Water Pollution Prevention Plan and a Hazardous Material Control Plan

The preconstruction conference is intended to serve several additional purposes:
- Provide everyone associated with the contract activity an opportunity to meet and get acquainted
- Set up lines of communication that establish the Project Engineer as the single point of contact for the Department, and the prime contractor as the single point of contact for the prime and all of their subcontractors and suppliers.
- Review state/federal minimum wage rates and payroll reporting requirements; review the timing and procedures of subcontract approval
- Review requirements of the federal EEO programs and state DBE goals that affect the project
- Remind contractor to submit a Notice of Work with DOLWD
- Briefly review important general sections of the contract document
- Discuss the plans and specifications, particularly unusual conditions or requirements, permit stipulations, and load limits
- Discuss materials submittal requirements, including a review of the contract's list or the

Project Engineer's list of pay items requiring submittals, the number of copies of each submittal, and the timing of those submittals and of their approval

- Review and discuss the contractor's progress schedule and proposed methods of operation
- Review and discuss the contractor's Traffic Control Plan. The contractor must immediately notify the Project Engineer of any traffic-related accident that occurs within the project limits as soon as the contractor or a subcontractor becomes aware of the accident.
- Review and discuss the contractor's plans for complying with the airport Construction Safety Plan. Contractors and subcontractors must comply with Notices to Airmen (NOTAMs) issued for any construction activity. The contractor must cancel the NOTAMs when the activity ceases.
- Coordinate contract activities with other affected parties, including maintenance and operations, airport management, airport tenants, air traffic facilities, and security
- Review and discuss the project's environmental documents including borrow permits, wetlands fill permits, and noise abatement requirements, in addition to those listed in Section 3.1.
- Review and discuss the contractor's Storm Water Pollution Prevention Plan and Hazardous Material Control Plan.
- Provide a web address to EPA Consent Decree (if applicable)

See FAA Advisory Circular (AC) 150/5300-9A, Predesign, Prebid, and Preconstruction Conferences for Airport Grant Projects.

Prepare an agenda for the preconstruction conference, and provide a copy to each attendee. Also provide a sign-up sheet for each person attending. Record the conference, and furnish copies of the recording to any attendee who requests one. Keep a copy of the recording in the field office. The preconstruction conference can be held as more than one meeting and can be conducted in whatever format the Project Engineer and Group Chief/PM feel best suits their particular project, as long as all topics of importance are covered.

3.9. Partnering

Partnering is an approach to managing a construction project that stresses communication and mutual goals and reduces confrontation and conflict. It is not defined in any contract document nor is it an enforceable part of the contract. The intent of partnering is to establish a cooperative relationship between the Department and the contractor at all levels. The goal is to enhance project cost effectiveness and maintain quality and efficiency by bringing both parties together to solve construction challenges and problems. Projects that incorporate partnering should include an evaluation of the process in the Explanation of Overruns, Underruns, and Change Documents.

Partnering usually starts when the Department approaches the contractor or the contractor approaches the Department, and a request is made to implement partnering on the project. If both agree, they have taken the first step. Partnering is not mandatory but it does require the agreement of all participants.

A professional facilitator may be hired to lead the session, or the session may be held without one. If a facilitator is hired, the Department and the contractor usually share the cost. A change order should be initiated to incorporate the Department's share of the cost into the contract; the FHWA will participate in the cost of partnering, but the FAA will not.

Hold a partnering session before construction begins. Session participants include contractor personnel at various levels, Department construction staff from the project staff up to the group chief/PM, and representatives from the subcontractors. The level of participation can extend to include the contractor's foremen and Department design personnel.

At the initial partnering session, all participants are equally involved and jointly work to develop a partnering pledge. The pledge lists mutual goals and commitments. All participants sign the pledge and agree to abide by it. Through this introduction to performing as a team, the participants start the process of working together toward a mutual goal. It may be necessary to hold a follow-up meeting, but the initial meeting is usually adequate.

There are no firm rules for partnering; the key elements are commitment, equity, trust, development of mutual goals, open communication, implementation, continuous evaluation, and timely responsiveness. The object is to create a spirit of teamwork by working together to avoid or attack mutual problems; the goal is to construct a quality project on time, within budget, and without conflict.

3.10. Transportation Management Plan (TMP)

Policy and Procedure 05.05.015 *"Highway Work Zone Safety and Mobility"* conforms with 23 CFR Part 630, Subparts J and K, Work Zone Safety and Mobility Policy. This P&P describes how to implement a TMP to manage work zone impacts of a highway project.

The TMP includes a TCP, and may also include a TOP and/or a PIP. All three components are required on *significant projects* as determined by Preconstruction and documented in the Design Study Report (See P&P 05.05.015). Neither the TMP nor its three component plans are standalone documents. TMP provisions are included in project plans, specifications, and Department agreements with other parties.

When changes to the TMP are considered, the Project Engineer should consult with stakeholders as appropriate.

Traffic Accident Reporting: Report traffic accidents that occur within the construction limits according to ACM 9.8.

Department Oversight: The Project Engineer is responsible for overseeing TMP components and other safety and mobility aspects of the project. They may delegate to traffic control representatives. Personnel should be trained as Worksite Traffic Supervisors.

Contractor Oversight: The Project Engineer should review the contract to verify if it requires the contractor to assign a certified Worksite Traffic Supervisor for implementing TMP components, and implementing other safety and mobility aspects of the project.

Traffic Control Plan (TCP): Most contracts that contain highway improvements also contain a Traffic Control Plan (TCP) prepared by the Traffic and Safety unit, or by Preconstruction. A Department-prepared TCP may be modified by the contractor to suit its plan of operation.

The contractor must prepare its own detailed TCP if the Department does not provide a TCP.

The TCP should address in general terms how traffic will be maintained through the construction work zone and should include specific plans for controlling traffic through each area and type of construction operation. It should include permanent measures (those in place for the duration of the project or a great part of it) and temporary measures.

TCPs identify traffic control devices to be used and how they should be located and operated to facilitate safe and timely road user transit through a work zone or incident area.

TCPs shall be consistent with the provisions of the *Alaska Traffic Manual* and the work zone hardware recommendations in Chapter 9 of the *Roadside Design Guide (AASHTO).* The TCP shall either be a reference to specific traffic control elements in the *Alaska Traffic Manual,* approved standard traffic control plans, or plans and specifications (see highway spec 643) designed specifically for the project. TCPs also include phased staging and traffic routing plans, where needed.

Before the contractor can use oversize or overweight vehicles within the limits of a highway project, the contractor must submit a TCP that addresses vehicle use and required traffic control measures. (see highway spec 105-1.12 and 643, and Section 9.4)

When the contractor prepares a new TCP or modifies a Department TCP, the contractor must submit the proposed initial TCP to the Project Engineer. The Project Engineer and either the region's Traffic and Safety unit, or the Traffic Control Coordinator of the Construction Unit, will review the submittal. When the TCP is found to be acceptable, the Project Engineer will notify the contractor in writing. Changes after the initial approval will be approved according to Section 9.8.

Public Information Plan (PIP): A communications plan to inform affected road users, the general public, area residences and businesses, and appropriate public entities of project scope, expected work zone impacts, closure details, and recommended action (if any) for drivers to avoid impacts and changing conditions during construction.

The PIP may be designed and managed by the Department, or it may be part of the Contract work. If the PIP is managed by the Department, then the contractor must communicate areas and dates of road work to the Project Engineer in a timely manner so that public notices can be posted.

If the contractor proposes changes to the PIP they are required to submit the proposed changes to the Project

Engineer. The Project Engineer will review the submittal. When changes are found to be acceptable, the Project Engineer will notify the contractor in writing. The contractor must notify the public in a timely manner.

Transportation Operations Plan (TOP): A Department plan to minimize project impacts through activities not covered under PIPs or TCPs. In general, these activities consist of coordination with external agencies, events, projects, and other traffic systems. TOP activity may include:

- Plans for on-project enforcement and other activities by external agencies.
- Coordination with other projects to minimize cumulative impact.
- Coordination with agencies that manage signal operations.
- Plans to maintain access for emergency vehicles, school buses, transit, etc.
- Plans to minimize impacts to major traffic-generating events.

Agreements made under the TOP that are not incorporated in project plans or specifications must be retained in project files.

When there is an agreement to provide additional enforcement of traffic laws within the project limits, the Project Engineer or regional traffic control coordinator should coordinate with local law enforcement agencies. Direction to law enforcement may only be given within the terms of the agreement. Provide information such as hours of work, goals/objectives during work, recommendations for areas or locations for increased enforcement presence, and locations that are unsuitable (due to construction activity or safety) for enforcement vehicles. Monitor the hours that local law enforcement agencies work.

When the contractor proposes changes that affect the TOP, they are required to submit the proposed changes to the Project Engineer. The Project Engineer will review the submittal. When changes are found to be acceptable, the Project Engineer will notify the contractor in writing.

3.11. Pollution Prevention Plans

The Department requires the contractor to prepare a Storm Water Pollution and Prevention Plan (SWPPP) for construction projects disturbing one acre or more (and other selected projects), a Hazardous Materials Control Plan (HMCP) for all construction projects, and a Spill Prevention Control and Countermeasure (SPCC) Plan for construction projects when required by the contract. The contractor must prepare and submit the required plans to the Project Engineer according to Highway Specifications Section 641 or Airport Specifications P-157. Timelines for contractor submittals and Department reviews are identified in the specifications.

See Section 9.9 for SWPPP & HMCP Implementation and Monitoring requirements.

3.11.1 SWPPP

Most contracts will include an Erosion and Sediment Control Plan (ESCP) developed by the Department, which addresses identified erosion prevention and sediment control issues. The ESCP addresses issues within the Project Zone, which is where the Department accepts responsibility as a co-operator.

The contractor must use a qualified SWPPP preparer to develop a SWPPP for construction activities within the Project Zone. The contractor is also solely responsible for developing SWPPP2s for areas outside the Project Zone that require storm water permit coverage. The Department does not review or inspect SWPPP2s.

SWPPP2s may be required for contractor-supplied waste, material, or staging sites, when the sites are eligible for CGP coverage. In this case, the contractor's declared NOI acreage would be greater than the Department's acreage.

The contractor may also be required to obtain storm water permit coverage under a Multi-Sector General Permit. The contractor is responsible for obtaining all other clearances and permits (see Section 9.17.4).

The SWPPP is based on information from the ESCP, and the contractor's scheduling, workers, equipment, and the CGP requirements. The HMCP is included in the appendix of the SWPPP.

The SWPPP must follow the format of the DOT&PF SWPPP template and meet contract requirements. It must also address how water quality will be protected in areas within the Project Zone that are permitted by an Army Corps of Engineer Clean Water Act Section 404 permit.

After the contractor submits the SWPPP (and HMCP) to the Project Engineer, the Department has 14 days to

review the submittal. Review the SWPPP as soon as possible. The SWPPP is reviewed by the Project Engineer and the regional environmental section (other support resource groups may be required depending on plan complexity and regional policy). Include the design engineer of record if available.

The Project Engineer, the Storm Water Inspectors, and the Regional Storm Water Specialist must be qualified with a current certification as an Alaska Certified Erosion and Sediment Control Lead (AK-CESCL), or other acceptable training that meets the EPA Consent Decree and CGP requirements for qualified personnel; before they review the SWPPP or perform other SWPPP related duties. For newly employed, transferred or assigned Project Engineers who are not certified as AK-CESCL, they will be considered qualified after completing an interim training course from the DOT&PF training web site, but they must also complete AK-CESCL training within six months.

The Project Engineer will notify the contractor in writing when the SWPPP is found to be acceptable. The contractor and Department must sign and certify the approved SWPPP according to the CGP, Appendix A. This must be completed prior to submitting an NOI and after delegation of authority.

Department Delegation of Signature Authority

The regional director must sign eNOIs and eNOTs, but should delegate signature authority for other documents to the position of Project Engineer for that project. Use the SWPPP Delegation of Signature Authority for CGP Documents – DOT&PF (Form 25D-107).

The Project Engineer must sign and certify the SWPPP Certification for DOT&PF (Form 25D-109), SWPPP Construction Site Inspection Reports (Form 25D-100) and other CGP related documents on behalf of the Department. These signature authorities cannot be delegated lower than the Project Engineer.

Contractor Delegation of Signature Authority

The contractor's responsible corporate officer must sign the eNOIs and eNOTs, but shall delegate signature authority for other documents to the superintendent assigned to the project. Use the SWPPP Delegation of Signature Authority for CGP Documents - Contractors (Form 25D-108).

The superintendent signs and certifies the SWPPP Certification for Contractor (Form 25D-111), SWPPP Construction Site Inspection Reports (Form 25D-100) and other CGP related documents on behalf of the contractor. These signature authorities cannot be delegated to an authority lower than the superintendent.

DEC authority and filing eNOIs

DEC has authority to permit construction activities, conduct site inspections, and assess fines for a project that is out of compliance with the CGP. Regional staff will use the Alaska Pollutant Discharge Elimination System (APDES) NOI electronic filing for obtaining and terminating CGP authorization. EPA retains authority to review DEC and construction projects, and has authority to enforce.

After the Department approves the SWPPP:

- The contractor must submit an electronic Notice of Intent (eNOI) to DEC through the APDES web site, and provide a copy to the Project Engineer. The contractor is responsible for paying required fees to DEC.
- The Project Engineer reviews the contractor's eNOI for errors (cross check against other permits). If errors are found, notify the contractor that they must file a NOI modification.
- The regional director will submit the Department's eNOI or paper NOI to DEC. The Project Engineer will send a signed and certified copy of the Department's eNOI to the contractor.
- After DEC acknowledges receipt of the eNOIs and receives payment, they will post the eNOIs with a "Date Issued" assigned. DEC will review the eNOIs for seven days. During that period they may notify the operator of additional requirements before discharge authorization is allowed.
- http:///The Project Engineer must not allow the contractor to begin earth-disturbing activities during the DEC seven-day review period.
- Earth-disturbing activities are also forbidden until the SWPPP Preparer has visited the site and signed a SWPPP Pre-Construction Site Visit (Form 25D-106).

For more information and to check the status of eNOIs on the Water Permit Search page, use this website:

http://dec.alaska.gov/water/wnpspc/stormwater/index.htm

DEC Review of SWPPP

The contractor must submit the approved SWPPP to DEC for their review when the project disturbs five acres of land or more; or when the project disturbs one acre or more within the Municipality of Anchorage, or the urbanized area boundaries of Fairbanks or North Pole.

The contractor must submit copies of the signed and certified SWPPP, including all project eNOIs, using delivery receipt confirmation to the DEC storm water coordinator. The contractor must provide the Project Engineer with a copy of the delivery receipt confirmation within seven days of receiving it.

The Project Engineer may allow the contractor to perform earth-disturbing activities after the seven-day eNOI review and DEC SWPPP review submittal, but prior to completion of the DEC SWPPP review.

If DEC responds to the contractor with a review letter, the contractor must transmit a copy to the Project Engineer. The Project Engineer provides a copy to the Department's environmental section. The Project Engineer ensures that the contractor amends the SWPPP as required by the review letter.

EPA Consent Decree Reporting Requirements:

A copy of the Department's eNOI must be sent to EPA within seven days of its DEC filing. The Project Engineer should also ensure a copy of the initial SWPPP is retained in the Department's eDocs system within one week of its approval.

For more information, refer to the Department's *Storm Water Pollution Prevention Plan Guide* and the *Instructions for using Construction SWPPP Forms.* See the state construction website for links. DEC and EPA have website links to other publications about BMPs and SWPPP preparation.

3.11.2. HMCP

The HMCP must present the contractor's plans for containment, cleanup, and disposal of all hazardous materials used or hazardous waste generated on the project, including petroleum products and hazardous substances. See the specifications for information on preparing a project specific HMCP.

After the contractor submits the HMCP to the Project Engineer, the Department has 14 days to review the submittal. Review the HMCP as soon as possible. The HMCP will be reviewed by the Project Engineer, and the regional environmental section. When the HMCP is found to be acceptable, the Project Engineer will notify the contractor in writing.

3.11.3. SPCC Plan

See specifications for SPCC plan requirements (for large amounts of above ground petroleum storage such as oil, gasoline, diesel fuel, liquid asphalt products, and oil based paints).

The contractor may be required to submit the SPCC Plan to the Project Engineer, but no approval is necessary. The Department reserves the right to review and ask for corrections to the SPCC Plan, and require a resubmittal of the document. For additional information refer to the following web site:

http://www.epa.gov/emergencies/content/spcc/index.htm

3.12. Preconstruction Site Inspection

After the award of the contract, and prior or concurrent with contractor mobilization at the site, the Project Engineer should make an on-site inspection with a Maintenance and Operations (M&O) representative. During the visit, review the project scope and timing with M&O and have them explain what they expect to gain from the project and how the facility should be maintained during construction. Once the contractor begins work on the project, the terms of the contract dictate when maintenance becomes the contractor's responsibility.

The Project Engineer should document all site conditions prior to the start of construction using a video or still camera. Pay close attention to the maintained condition of the facility and of all Department-furnished materials sources. Following the inspection, the Project Engineer should prepare a memorandum, from the Group Chief/PM to the regional M&O head. The memo should give the projected date that the contractor will start construction and assume maintenance responsibilities on all or part of the facility. If maintenance responsibility is assumed by the contractor incrementally, the Project Engineer should advise the M&O representative of the contractor's schedule. The memo should also include the names and phone numbers for the Project Engineer, the Group Chief/PM, the contractor's worksite traffic safety supervisor, and the project's M&O representative.