

QA/QC  
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# QA/QC Reviews

- »» Categorical Exclusion Documents

# QA/QC What's the Difference?

## ▶ Quality Control (QC)

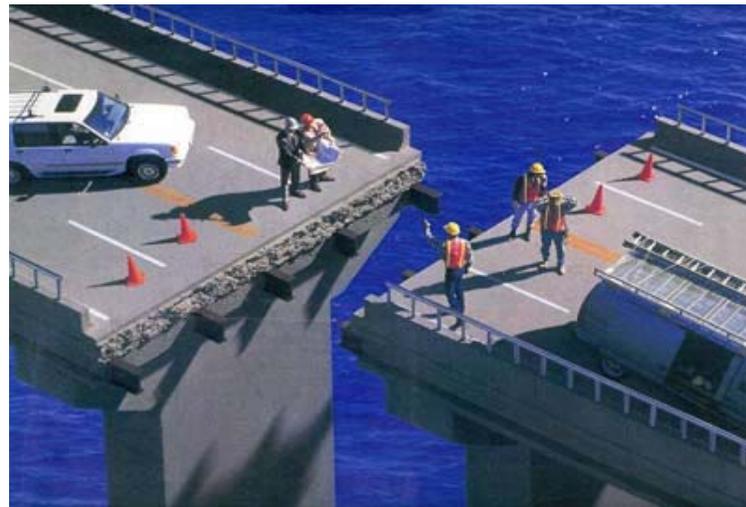
- Problem DETECTION – Finding problems or issues yourself *prior* to delivery of a product as accurate and complete.
- Don't let others find your mistakes!



# QA/QC What's the Difference?

- ▶ **Quality Assurance (QA)**

- Problem PREVENTION – Procedures are put in place to prevent problems or issues from recurring. QA processes take problems identified in QC and put into place procedures to avoid them in the future.



# QC Review – Who is Responsible?

## ▶ *New Deliverable Requirement!*

- Every CE document preparer (NDOR Specialists, Consultants, or LPA staff) *must verify* that the CE document has been reviewed for quality and consistency with the CE PA and Guidance, *prior to submittal* to NDOR and FHWA
- QC Review must be by an experienced NEPA PM or Principal Author
- Date Reviewed, Name and Title of the reviewer is *required* on transmittal letter, memo or email.



# QC Review – Who is Responsible?

## ▶ NDOR QC Review Process

- NDOR NEPA PM – Initial Review for completeness and accuracy
  - PM works with Consultant/LPA as needed
- NDOR NEPA QC Review using:
  - CE Guidance
  - QC Checklist used for “KEY” elements
  - QC “Reviewers Actions List”
- NDOR NEPA PM returns the CE document to the Consultant/LPA for comment resolution



# QC Review – Who is Responsible?

- Consultant or LPA resolves comments, conducts QC review and returns the document to NDOR for review (along with verification of QC).
- NDOR PM and QC Reviewer determine if all comments are addressed.
  - If YES, document is returned to the PM for signature and processing.
  - If NO, comments are uploaded into the NDOR Clarity database and the document is returned to the consultant for resolution.



# QC Review – Who is Responsible?

- ▶ NEPA PM (State Employees only) signs Category 1 CEs
- ▶ Environmental Documents Unit (EDU) Manager approves Category 2 CEs
  - EDU Manager conducts final QC review, and either approves it or returns it to the NEPA PM, with comments for resolution, and upload to the Clarity QC database
  - The document is returned to the Consultant or LPA for resolution.
    - *Note: If initial comments made by the QC reviewer are minor, the document will be forwarded for the EDU Manger's review, prior to returning it to the consultant or LPA for comment resolution.*



# QC Review – Who is Responsible?

- ▶ After the EDU Manager's comments are resolved, the Category 2 CE is approved
- ▶ Category 3 CEs are sent to FHWA after EDU Manager approval
  - FHWA provides review comments or document approval
    - FHWA Comments will be input to Clarity, and the document returned to the Consultant or LPA for comment resolution.
    - The revised CE is QC-reviewed by Consultant or LPA and NDOR prior to re-submittal to FHWA for approval.

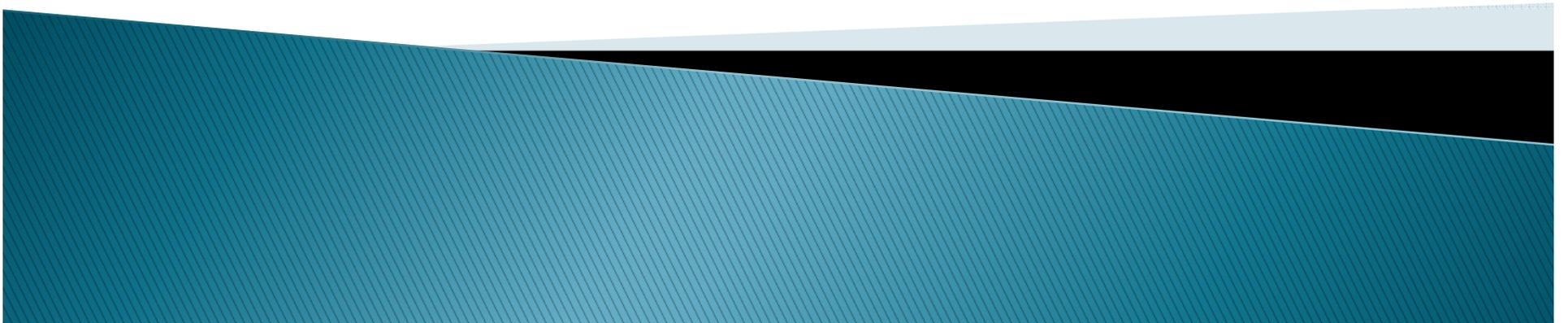


# Quality Control Toolbox

- ▶ CE PA and Guidance ★
- ▶ Environmental Document QC Reviewer Actions (See QC Appendix)
- ▶ CE Review Checklist (See QC Appendix)



# Quality Assurance Procedures / Audits



# Quality Assurance

-----A Proactive Process

- ▶ Comments are recorded in each project's QC page in the Clarity database, by Block Number from the CE Form



Project: Pawnee City Southeast | NDOR Environmental Data: Pawnee City Southeast - NDOR Environmental Data Properties

NEPA QA/QC

QC Completed  

Block 0 (Project Info)

Block 0 NDOR Comments

Block 0 FHWA Comments

Block 2 & 3 (Section 4(f) & 6(f))

Block 2 & 3 NDOR Comments

Block 2 & 3 FHWA Comments

Block 5 & 6 (WSR/NRR and Floodplain)

Block 5 & 6 FHWA Comments

Block 5 & 6 NDOR Comments

Block 1 (ROW)

Block 1 NDOR Comments

Block 1 FHWA Comments

Block 4 (Non-Threshold Impacts)

Block 4 NDOR Comments

Block 4 FHWA Comments

Block 7 (Wetland/WoUS)

Block 7 FHWA Comments

Block 7 NDOR Comments

Block 9 (T&E)

# Quality Assurance

## A Proactive Process

- ▶ A QC Comment Summary Report is then run to compile all comments in each block, for comparison
- ▶ Comments will be analyzed for frequency of occurrence and consistency. The NDOR Audit Team will prepare an analysis of the comments and develop appropriate procedures to address.



# Quality Assurance Audits

- ▶ FHWA and NDOR will randomly select projects to audit quarterly, for compliance with CE Guidance and the Programmatic Agreement, as well as implementation of the QA/QC Process.
- ▶ GOAL: To reduce the audit's frequency to annually, based on positive results.



# QA Audit Results / Response

- ▶ The QA Audit Team will provide feedback on results to NEPA Specialists, Consultants and LPA Staff regarding:
  - Strengths and Weaknesses
  - Problem Areas needing attention and,
  - Corrective Actions for problem prevention.



# QUESTIONS?

