

QA-QC Plan for ODOT Built Documents

Quality Assurance – a system for ensuring a desired level of quality in the development, production, or delivery of products and services.

Quality Control – a system for verifying and maintaining a desired level of quality in an existing product or service by careful planning, use of proper equipment, continued inspection, and corrective action as required.

Built & Historic Resources – in the interest of clarity, “built documents” are those which are completed or reviewed by member of the “Cultural Resource Program” who are trained architectural historians, and work in GES or Regions. Historic Resources describes the resources reviewed by architectural historians.

Quality Assurance (QA) is focused on process. The ODOT Geo-Environmental Section (GES), develops Agency policies, templates, guidance and training to effectively meet state and federal environmental permit and clearance requirements. Statewide QA for Historic Resources is handled by the Environmental Resources Unit (ERU) within GES. Historic QA is also performed project by project in Regions.

Templates for Historic Resources documents are developed and updated as necessary in GES in collaboration with internal and external stakeholders, in particular ODOT Historic staff, the Federal Highway Administration (FHWA) Oregon Division, and Oregon State Historic Preservation Office (SHPO). Once templates for documents and reporting forms are vetted through the stakeholder groups and approved, their use is required.

GES Historic staff regularly offers Historic Resources training in collaboration with FHWA and SHPO.

Quality Control (QC) is focused on the product. ODOT QC is an outcome driven process and each Region operates under its own Tech Center QC Plan of which environmental is only one component. QC plans may vary somewhat among Regions as a consequence of differences in geography, workload and political realities, however, environmental documents of record are standard across Regions.

In the case of Historic Resources, the main document products produced by consultants include:

- o Baseline Reports
- o Determinations of Eligibility
- o Findings of Effects
- o Context Statements

In addition, ODOT Historic Resource Staff prepare the following documents that may be subject to QC peer to peer review:

- o Determinations of Eligibility
- o Finding of Effects
- o PA Memos

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- o MOAs
- o Context Statements
- o Section 4(f) *de minimis* findings
- o Section 4(f) temporary occupancy documents
- o Section 4(f) programmatic evaluations
- o Section 4(f) individual evaluations

All documents are associated with our Section 106 programmatic agreement between ODOT, FHWA, SHPO and the Advisory Council on Historic Preservation. These documents are generated in ODOT Regions by ODOT Historic Resources staff or ODOT-qualified consultants using our standard templates. The quality of a historic resources document begins with the expertise of the individual writing the document and the accuracy of the information contained within it. The following are standard QC practices to ensure that only qualified individuals write historic resources documents that only the best available information is used, and that QC is adaptively managed. Local government projects are required to follow ODOT's historic resources procedures.

Personnel

Individuals, both ODOT and consultant, who make historic resources effects determinations and write historic documents, are required to have both ODOT-defined degree/experience and ODOT-delivered Historic resources effects determination training as described below. The ODOT Historic resources qualified consultant list is updated by the Agency's Historic resources program statewide lead and posted on the GES Historic resources webpage.

Degree/Experience: Individuals must meet Secretary of Interior's (SOI) Standards for Architectural History.

Training: Historic Resources Consultants are required to take (and pass) ODOT training to perform Historic Resources work and to write and QA/QC Historic resources documents; additionally, they are required to take refresher training every three years.

Quality Standards

During Design:

- 1) Refer to 106 PA as well as program guidance and standard SOW for deliverables
- 2) WORD should be used
- 3) Rely on project related information from archaeologist specialists as well as the REC.

During Internal Review:

- 1) Template- was the correct one used?
- 2) Does the SUBJECT Line information contain all necessary details (Key #, Finding call, Project names, Project County, Federal Aid #)?
- 3) Do signature lines make sense?
- 4) Is the project description clear?
- 5) Are maps legible? Is scale correct?
- 6) Are photographs clearly and appropriately labeled?

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- 7) Does the CC list have the appropriate Tribes and RECs listed? (*For Tribes, check areas of interest and check in with Archaeologist should there be a question. For RECs, check with Region*)

During Review of Consultant Documents:

- 1) Template- was the correct one used?
- 2) Does the SUBJECT Line information contain all necessary details (Key #, Finding call, Project names, Project County, Federal Aid #)?
- 3) Are titles and headers correct?
- 4) Is the project description clear?
- 5) Is the APE clearly defined?
- 6) Is the environmental description correct?
- 7) Is the historic context complete and appropriate?
- 8) Did the consultant use the GLOs, Sanborn Maps, etc.?
- 9) Is the methods description complete and accurate?
- 10) Are the finding appropriate? Do you agree?
- 11) Are the recommendations appropriate?
- 12) Are maps legible? Is scale correct?
- 13) Are photographs clearly and appropriately labeled?
- 14) Does the CC list have the appropriate Tribes? (*For Tribes, check areas of interest and check in with Archaeologist should there be a question*)

Reviewers: All Regions perform reviews on both internally and externally produced Historic documents. Reviewers not only ensure that the document is sound, but also complete, logical and well written. Reviewers include ODOT Historic resources staff.

Corrective Action

- 1) Historic Staff are encouraged to address template concerns and suggest improvements to GES. Changes to templates are discussed at Historic Resources Team meetings.
- 2) At any step in the document review process, reviewers may provide constructive comments to the originator of the document and require document revisions if necessary for completeness, clarity and accurateness.

Document Storage & Retention

ProjectWise: Historic Resource Staff must store electronic versions of final Historic resources documents (including FOEs, DOEs, etc.) in ProjectWise, ODOT's data management system for projects.

Region Files: Supporting information for project Historic resources documents are stored in Region & GES environmental files following Region & GES storage processes.