

SECTION 000

ADMINISTRATION

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 000 Forward -- 1 Page

FORWARD

000-1 GENERAL

This portion of the Manual provides basic information in terms of personnel policies, procedures and benefits. The last word is not found here. Check with your supervisor, with other units within the Department of Transportation, or with other Departments, as applicable, for more definitive answers.

For further explanation of policies and procedures refer to the following:

- The MDOT Intranet Website, which is the default Internet site for MDOT employees on the network, is located at <http://mdotweb/>. This website provides the latest news and updates and provides links to other pertinent information, such as Free 2000 and MDOT job vacancies.
- The Maine Department of Transportation's Website can be accessed at: <http://www.maine.gov/mdot/> or through the MDOT Intranet Website under Web Links, under MDOT Internet Website. This website provides access to the Department's organizational directory, project and contract information, and product approval information.
- The Official Website of the State of Maine can be accessed at: <http://www.maine.gov/> or through the MDOT Intranet Website under Web Links, under State of Maine Website. This website provides access to information on Maine State Government Agencies and to the State of Maine Intranet.
- Administration Policy Memorandums (APM's) are available on the MDOT Intranet at: <http://mdotweb/apm/apmindex.htm> or through the MDOT Intranet Website under Policy Information under APM Index. It is the employee's responsibility to become familiar with all current APM's.
- Maine State Employee Association (MSEA) and State of Maine Collective Bargaining Agreements (pocket size books) are provided to MSEA members. There are different Agreements for the various bargaining units: Administrative Services; Professional and Technical Services; Operations, Maintenance and Support Services; and Supervisory Services.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 001 Administration -- 5 Pages

ADMINISTRATION

001-1 GENERAL

The Maine Department of Transportation is organized to plan, design, construct and maintain Transportation Facilities. Highways and Bridges represent the largest portion of responsibility, and comprise the various road systems in the State Highway Network. The Department also provides assistance to municipal highway departments in compliance with Legislative action. The Commissioner is appointed by the Governor and is the chief executive of the Department. The Commissioner subject to the Personnel Laws, appoints the Deputy Commissioner of Policy & Administration, Chief Engineer, and the Chief Counsel. All other employees of the Department are classified State Employees and fall under the State Personnel System.

001-2 PURPOSE

The basic organization plan provides for four major Bureaus, as described below; also the Environmental Office, Office of Legal Services & Audit, Office of Policy Analysis & Communication, Office of Human Resources, Office of Passenger Transportation, and Office of Freight Transportation.

In the organizational structure, the Bureau of Planning does all of the background planning and safety studies required for the entire Department, and takes care of administrative details for the entire Department as well.

The Bureau of Project Development administers Contracts & Specifications, Capital Resources & Performance, Property Records & Process Assurance, Materials Testing & Exploration, and the Arterial, Bridge, Multimodal and Regional Programs. The Programs are responsible for designing and administering the construction of the transportation facilities. The Programs also develop and promote new methods of design and construction, as well as make suggestions to the Bureau of Planning for modifications to material specifications.

The Bureau of Maintenance and Operations maintains state and state-aid highways, maintains bridges, manages state vehicles and equipment, and maintains the radio communications system.

The Bureau of Finance and Administration provides computer services, accounting, budget functions, operation of central supply, reproduction/printing unit, purchasing, and photographic services.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 001 Administration -- 5 Pages

001-3 DUTIES OF PERSONNEL

1) Resident. Assigned by the Program designees (Construction Support Engineer/Manager or Project Manager), the Resident administers the inspection of a construction project or projects and performs a variety of complex engineering functions relative to the construction project. The Resident interprets and enforces the plans and specifications and is responsible for the documentation of pay quantities and day-to-day development of the project. They assign and supervise the work and activities of Inspectors required for the project, and instruct them in their duties as necessary. They prepare and submit Extra Work Orders or Resident Work Orders as considered necessary within the scope and budget of the project. They maintain a liaison between the Contractor and the Main Office. They act as the Commissioner's representative to the traveling public and to abutting property owners, and settle project issues to the fullest extent possible. A partial list of Resident's duties are as follows:

A) Contract Issues:

- i) Know project scope
- ii) Know contents of PDR & Preliminary Engineering file
- iii) Utilize Team Members, Direct Supervisor, or others as applicable, as a resource and to clarify policy
- iv) Know environmental permitting requirements, including in-stream work windows
- v) Know contents of soils reports
- vi) Know requirement of the project specific plans and proposal book, standard and supplemental specifications, standard and supplemental details, and bid amendments
- vii) Maintain consistency in treatment of all Contractors and interpretation of Contract documents
- viii) Adopt Partnering principles in Contract administration

B) Supervise Resources:

- i) Serve as a coach for subordinate personnel
- ii) Efficiently manage subordinate inspection staff on project(s)
- iii) Delegate responsibility to subordinates to the fullest extent possible
- iv) Contact Direct Supervisor with personnel and hardware needs
- v) Provide performance expectations to, and complete performance evaluations of, subordinates

C) Plan & Execute Quality Assurance Program for Single or Multiple Projects:

- i) Know inspection skills necessary to complete project
- ii) Understand Project schedule in order to effectively utilize available human resources
- iii) Know all current QA specifications and QA sampling and pay adjustment procedures
- iv) Know Minimum Testing Requirements
- v) Assure that proper inspection and documentation is effectively accomplished.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 001 Administration -- 5 Pages

D) Financial Control of Project Inspection Costs & "Changes":

- i) Utilize computer skills to access schedules & budgets on network
- ii) Use budget information to balance budgets within realm of control
- iii) Estimate required Inspectors and construction administration costs
- iv) Provide input during project development phase to minimize Contract issues and changes
- v) Inform Project Managers, Designers or others, as appropriate, of significant project Overrun/Underrun dollar amounts and material quantities

E) Team Member, Including Field Reviews:

- i) Insure constructibility of proposed project
- ii) Insure Special Provisions/Pay Items are reasonable and appropriate
- iii) Insure that work windows vs. advertising dates are reasonable and appropriate
- iv) Ensure that significant Overruns/Underruns are discussed at the Final Team Meeting and documented, along with lessons learned, in the meeting minutes

F) Record Keeping & File Documentation:

- i) Maintain and complete project documentation in accordance with Departmental and FHWA policies
- ii) Complete Contractor Performance evaluation forms
- iii) Insure all records are complete in accordance with Departmental and FHWA policies and work with Contract personnel during on-site documentation and wage rate reviews
- iv) Ensure that "lessons learned" are discussed at the Final Team Meeting and documented in the meeting minutes
- v) Generate Accident Reports of traffic accidents occurring on project during construction; report any accidents involving significant property damage or any bodily injury to Legal Services and immediate supervisor.

G) Public Relations:

- i) Work with Public (Public Meetings, Clubs, Traveling Public, etc.) as required, explaining project and possible impacts
- ii) Act as liaison with Public Officials impacted by the project
- iii) Work with abutters explaining impact and possible resolution of problems
- iv) Provide information to the media if requested (be brief, tell the truth and do not be afraid to admit that you do not know the answer to a particular question)
- v) Coordinate with the Department's Public Information Director (John Stanley)
- vi) Participate in Public Meetings and Public Hearings as needed

H) Program Awareness:

- i) Provide input on advertising schedules for project groupings

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 001 Administration -- 5 Pages

ii) Know and understand project life expectancy

iii) Be aware of overall Program schedule

I) Knowledge of Departmental Policies, Procedures & Guidelines:

i) Know contents of Construction Manual

ii) Stay abreast of new and revised policies, procedures and guidelines

iii) Stay abreast of overall project schedules and budgets, personnel assignments, etc.

iv) Know current policies on labor compliance items and issues

v) Be aware of requirements of applicable design manuals and guidelines

J) Additional Necessary Skills:

i) Organizational

ii) Computer

iii) Technical writing

2) Chief Inspectors. A Chief Inspector is usually an experienced Inspector who is put in charge of a major phase of a project when several Inspectors are required for that project, or who may be put in charge of several phases of a project to aid in overall coordination of the work. The Resident makes assignments with the concurrence of the appropriate Program designee.

3) Inspectors. The Inspector may be any class of Technician or Engineer. Their work assignment will depend on individual capabilities, training, experience and the project workload. Inspector's project assignments are determined by the Resident or the appropriate Program designee, and are dependent upon availability of personnel. Inspectors' duties vary from unskilled checking, counting or simple drafting and computations, to performing quality assurance of survey layout, paving, complex drainage systems and bridge components, to overall administration of small to medium sized construction projects, to Chief Inspector on a complex construction project.

4) Fabrication Engineer. The Fabrication Engineer (FE) is a registered professional engineer who is responsible for the supervision of prefabricated structural items made of steel, aluminum, concrete, timber or other materials. The FE interprets the plans, specifications, and coordinates activities to provide for the inspection of these items. The FE manages the Department's consultant services for fabrication inspection, supervises, directs and instructs Inspectors, both Departmental and consultant personnel, at fabrication shops to assure that proper documentation and Departmental policies are observed, and acts as a liaison between the fabricator and the Department. The FE reviews and determines proper action relative to fabrication and precasting issues as they arise. The FE coordinates with the appropriate Program designee to resolve issues, as necessary. The FE also expedites and tracks the approval process of shop drawings and takes appropriate action to obtain, review, forward, approve and distribute submittal.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 001 Administration -- 5 Pages

- 5) Acceptance Testing Supervisor. The Acceptance Testing Supervisor is responsible for coordinating field testing activities for construction projects in a geographical area. Duties include providing assignments, training, and technical supervision of personnel as well as insuring that Bituminous/Concrete plants and testing facilities are properly inspected. This person is a resource for materials related problem solving and currently serves as the Radiation Safety Officer/Assistant Radiation Safety Officer for the Department. The Acceptance Testing Supervisor is also responsible for a Regional Laboratory with responsibility for coordinating/performing quality assurance for QA projects located within their geographic area. The Acceptance Testing Supervisor is responsible for building maintenance, for insuring that all lab testing is performed in accordance with the appropriate procedures, and that all equipment is properly maintained and calibrated. The Acceptance Testing Supervisor works very closely with testing personnel in the Central Laboratory in Bangor and may direct/train other personnel needed at the "Regional" Lab.
- 6) Survey Coordinator. The Survey Coordinator is the clearinghouse for assigning survey crews for collecting preliminary and final design data, for assigning survey crews for providing initial construction survey layout, and for assigning survey crews to perform QA construction survey, as required.
- 7) Project Review Unit. The Project Review Unit is responsible for insuring that Project records are kept to State and Federal standards. They conduct field documentation reviews, act as a specification and documentation resource, and review and complete Project closeout.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 002 Employee Relations -- 8 Pages

EMPLOYEE RELATIONS

002-1 GENERAL

The Resident, although skilled in construction methods and having proper authority and responsibility, still must follow certain policies and principles in dealing with people in order to maintain a smooth running project. Usually more can be accomplished by tactful persuasion than by the use of the full authority given the Resident. Residents come in contact with the following people during the normal course of their work:

- a. Other State Personnel
- b. Contractors and their Representatives
- c. Federal Highway Administration Personnel
- d. State and Municipal Representatives
- e. Utility Representatives
- f. Abutters and the Public

The personnel working for the Resident will also interact with the above listed stakeholders. Therefore, it is important that the Residents brief their subordinates in order for them to establish and maintain amicable and businesslike relations with all stakeholders.

002-2 EMPLOYEE MORALE

The person in authority at any level of the organization affects the factor that probably outweighs all others in importance in obtaining proper project control - morale. Carelessness and failure to resist Contractor pressures may result in poor morale on the part of the project inspection personnel. Poor morale may also come from lack of sufficient training. This may prevent the employees from acting with confidence in discussions with the Contractor and to clearly understand their duties and the methods that they may use to secure the Contractor's cooperation in complying with the specifications.

Failure to support field inspection forces when they have acted prudently can be very damaging and seriously affect the quality of work obtained. Project Managers should support Residents and Residents should support inspection personnel by giving them full consideration and hearing when controversial specification or design modifications are sought by the Contractor, or if allegations are made against them by the Contractor. However, the field inspectors have an obligation to be certain that they have acted correctly before seeking support from their supervisors. A supervisory employee who knowingly supports the position of a subordinate who has acted improperly or erroneously could place the Department at risk.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 002 Employee Relations -- 8 Pages

If the Resident or Project Manager regularly and arbitrarily overrides decisions made their subordinates, decisions that were made correctly using sound and contract-based judgment, then the Resident or Project Manager must be prepared for the resulting consequences -- destruction of the field personnel's confidence, interest and effectiveness. It will take but a few of these instances on the part of the Resident or Project Manager for the Project field team to become ineffective and demoralized. The key to employee morale is communication. It is imperative that decisions by supervisors, and the reasons for them, be communicated through the field personnel to the Contractor. Insistence that proper administrative practices be followed must be a continuous effort. If leadership fails, apathy, laxity and inefficiency occur at the lower levels of the organization.

The delegation of authority and the subsequent reclaiming of such authority can also damage morale. It leaves a question in the mind of the inspection personnel of whether they really have authority and are expected to exercise it, or if certain persons or conditions are expected to receive preferential treatment. Therefore, it is vital for the Resident to be absolutely certain that their subordinate inspectors are capable of handling any delegated authority before it is given to them.

002-3 EMPLOYEE INTEGRITY

Integrity may be defined as the strict adherence to a code of moral values. The Residents and Inspectors must administer the construction of transportation facilities by private contracting firms, paid for by Federal, State, County, and City or Town funds. The main objective is to construct the highest quality facility possible within the terms of the contract. It is, therefore, the responsibility of all employees to conscientiously perform their duties to assure the public of the best use of their tax dollars.

To the employees, integrity must mean doing the "right" thing in all their dealings with the Contractor and the Department.

There may be opportunities for field personnel to use their position for their own personal gain, but the temptation to take advantage of these opportunities must be ignored. Most field personnel work with limited or no direct, continuous, supervision, so it is up to each employee to determine the "right" thing to do, and to act accordingly.

Above all, employees must be honest. This means that they will work the prescribed number of hours daily, will devote all their efforts to their jobs during working hours, and will accurately record and submit their field expenses. Furthermore, the employees must carry out any activities related to expenditure of public funds in a straightforward and accurate manner. They must insist that the Contractor comply with the plans and specifications of the project, or that any changes allowed are for the good of the project and are well documented. If the employee is responsible for determining payments to the Contractor for work performed or

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 002 Employee Relations -- 8 Pages

materials furnished, they must be accurate in the measurement and computation of the quantities, and pay the Contractor only those quantities that are due.

Employees must guard against becoming indebted to the Contractor in any way. They must not accept cash loans, free meals or materials for their own use. If gifts are offered, the employee will tactfully decline to accept. Any gift or favor, however small, and even though given and received in good faith, may appear to the public as a compromise of the trust placed in the employee.

There are certain established functions and gatherings of a social or professional nature to which the employee may be invited as a guest of the Contractor. In those cases when it is felt that it is in the Department's interest, attendance may be approved.

All employees know right from wrong, but must realize that the borderline case will be taken as "wrong" in the eyes of the public. The employee who always follows the "right" course of action will maintain integrity.

002-4 RELATIONS WITH INSPECTORS

The Residents are responsible for their project, and therefore, are responsible for making the best use of the people assigned to them. They must assign these people to duties that will best aid them in managing the project, and must delegate the authority necessary to carry out these duties. Because the Residents are responsible for the basic training of the people under their control, they will have much influence on their future advancement. Probably the most effective way to influence their people is for the Resident to set the proper example in their dealing with the Contractor and their attitudes towards their job and their supervisors. In particular, new state employees will tend to pattern themselves after the first senior employee who they come in contact with.

It is important that the Resident or Project Manager provide written Performance Management expectations for each Inspector when they are first assigned to the Resident. The Resident or Project Manager must complete the Performance Management form on the Inspector's anniversary date, or when the Inspector is reassigned prior to their anniversary date. It is also important that the Resident brief all the people under their control. This briefing should include the technical aspects of the job to which they assign the people and the procedures that they are to follow in their contacts with the Contractor's personnel. They should then follow up by observing their actions. If criticism is required it should be given in private, but if praise is warranted it may do the most good if others are present. To assure advancement and a good all-around knowledge of the construction field, Inspectors should be rotated from assignment to assignment within the project as they become reasonably proficient in each phase. This will increase their usefulness and value to the Department and to the Resident. Rotation also relieves the boredom of a single operation. The Resident and Project Manager should be familiar with each employee's background in order to make assignments within the employee's capabilities, and they should also know something of their personality and temperament in order to make the best assignment.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 002 Employee Relations -- 8 Pages

The Resident should back their Inspectors when disputes arise with the Contractor. However, there are instances when, in all fairness to the Contractor, the Resident must overrule the Inspector's actions. At these times the Resident must use extreme tact, carefully pointing out the reason for their decision and at the same time giving the Inspector credit for taking the responsibility they felt was necessary at the time. This situation may indicate a need for more complete briefing and closer supervision of Inspectors.

The Resident's attitude toward their own supervisor is important to their development, to the Project, and to the people working under their control. Occasions may arise when the Resident disagrees with the suggestions or decisions of their supervisor. At such times, they should present their own opinions of what is the right action for the Project. If these opinions are not accepted, they should carry out the orders of their supervisor without complaint or resentment. However, if the Resident feels strongly that the resulting decision will be detrimental to the Project, they should escalate their concerns along the appropriate chain-of-command. The Resident's primary responsibility is to the taxpayers of the State of Maine and therefore the Project.

002-5 RELATIONS WITH SURVEY PERSONNEL

Survey personnel, when required, are assigned to construction projects through each particular Program's Survey Coordinator, when requested by the Resident. Survey Party Chiefs are expected to have the expertise to carry out duties requested by the Resident, however, the Party Chief should be fully oriented on any unusual facets of the assignment. Comments or criticisms regarding the crew's work should be directed to the Party Chief or the Survey Coordinator.

Survey crews normally work only 40 hours per week. Every effort should be made not to exceed this time unless other arrangements have been made. If unusual or emergency circumstances necessitate their working outside of their regular hours, their supervisor has the authority to require them to work as necessary. The Resident shall inform their Survey Coordinator as far in advance as possible when requesting crews. Survey crews should only be asked to perform tasks that are in accordance with Departmental policy.

002-6 RELATIONS WITH OTHER DEPARTMENTAL PERSONNEL

All personnel from within the Department are available to solve particular problems that may arise on a project. The Residents may contact a particular Division, Section or Unit, as they deem appropriate. The Resident's project Team, Project Manager, Construction Engineer, or other supervisory personnel may also need to be made aware of any project issue.

Visitors to Projects should inform the Resident prior to arriving on-site as a courtesy. This allows the Resident to rearrange their schedule to give the visitors the time they require.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 002 Employee Relations -- 8 Pages

002-7 RELATIONS WITH THE CONTRACTOR

The Resident's relationships with the Contractor and the Contractor's employees is a determining factor in the success of a project. This relationship will vary with the personalities involved, but should at least be cordial and businesslike. The ideal relationship would foster a sense of partnering; that the Resident and the Contractor's Superintendent are working together to create a high quality, high value project for the people of Maine. Residents and Inspectors should use care in maintaining their professionalism when dealing with the Contractor's personnel. Personal feelings of like or dislike should not become a factor in Project decisions. The Resident should be able to anticipate potential construction problems in order to avoid issues or, in the case where construction problems caused by the Contractor have occurred, do what they can to aid the Contractor insofar as the specifications and the interests of the State allow. When the Contractor raises questions, the Resident must be diligent in providing answers promptly.

The Department is looking for a quality product. The methods used to accomplish the work, within the specification requirements, are up to the Contractor. Residents should not condemn a new and unfamiliar technique until they have given the Contractor a chance to demonstrate the methods and the results, provided that the methods do not conflict with the specifications. They may, however, warn the Contractor that an untried method will be acceptable only if the end results are as described by the specifications. The Resident or Inspector also must not direct the Contractor's methods or workforce. They may, however, make suggestions to the Contractor on methods that have proven effective in past similar circumstances.

The contract specifications define the Department's and the Contractor's responsibilities for survey layout. It is important that the Department provide the specified survey layout in a timely manner in accordance with the Department's policy.

The Resident should not attempt to induce the Contractor to perform additional work outside the requirements of the Contract without arranging for proper compensation. Nothing promotes good workmanship and straightforward dealings more than the knowledge by the Contractor that they will be fairly paid for their work. Both the Resident and the Contractor must be thoroughly familiar with the Plans and Specifications to know what work is included under the bid items.

If the need arises to perform work that is not covered by the Contract items or Specifications, an Extra Work Order or Resident's Work Order should be considered to establish a reason for the work and a method of payment. Needed changes in design should be ascertained as early in the construction phase as possible. These changes often require major work by heavy equipment. It is important to a Contractor that they be able to plan the scheduling of their major pieces of equipment. This can also be important to the Department, as moving heavy equipment back to a job can be a very expensive operation for which a Contractor might justly claim additional compensation. Remobilizing may be a justifiable cost.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 002 Employee Relations -- 8 Pages

The Residents, by their actions, should make it clear that, within the prescribed policies of the Department, they are in charge of their particular project for the Department. The authority of the Resident should be emphasized. The "Notice to Proceed" given to the Contractor specifies that all future matters pertaining to the Project are to be directed through the Resident. If the appropriate lines of authority are allowed to be breached, the Contractor will jump over the Resident on every issue on which there is disagreement, resulting in confusion, miscommunication and demoralization on the part of the Resident.

002-8 RELATIONS WITH THE FEDERAL HIGHWAY ADMINISTRATION

The Federal Highway Administration (FHWA) is the agency given the responsibility of supervising the expenditure of Federal highway funds. Its role in the Federal Aid Highway Program is to approve or disapprove the plans, specifications, and cost estimates presented by the Department for each individual project, and, after construction is under way, to see that the Department follows the approved plans and specifications. Upon approval of the plans, specifications and cost estimates by the FHWA, the Department may advertise for bids and sign a contract with the successful bidder. The Department and FHWA then enter into a contract called a Project Agreement, which binds the FHWA to pay its share of the construction costs if the work is done according to the approved plans and specifications. Thus, it can be seen that two contracts are involved in any project: One between the Department and the FHWA and another between the Department and the Contractor.

It should be noted that there is no direct relationship between the FHWA and the Contractor. After the start of construction, proposed changes in design are treated like the original project proposed and may require approval by the FHWA.

At any time during construction, FHWA personnel from Washington, the Regional Office in Albany, New York, or Maine Division office in Augusta, including both engineers and auditors, may review the plans and check the construction and record keeping procedures on projects receiving Federal funds. These inspections may take place at the Augusta office, in the field office, or on the project, or at any or all of these locations. The purpose of inspections by FHWA personnel is to see that the Department, through the Resident, is requiring the Contractor to comply with the Plans, Specifications, and other prescribed procedures included in the contract. It is expected that all Department personnel involved will give their fullest cooperation in this determination.

An Inspection may be only a normal inspection or it may be an "Inspection in Depth". An inspection in depth will probably consume several days in as much as the objective involves a comprehensive determination and evaluation of compliance with the plans and specification requirements. It will cover most, if not all, items on the project, such as progress estimate payments, sampling and testing, and an overall check as to compliance with the specified depths, widths, etc. of the various roadway items, both by actual check measurements, and by a review of inspection practices being used in each individual case.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 002 Employee Relations -- 8 Pages

Federal policy regarding irregularities or misconduct on Federal highway projects states that Department personnel involved in such will be unacceptable for employment on federally funded projects for periods of 3 months to 3 years. Individuals involved will appear before a hearing board designated by the Federal Highway Administrator. The Administrator will make the final decision regarding action to be taken by the FHWA.

002-9 MUNICIPAL REPRESENTATIVES

The Resident must coordinate and cooperate closely with local government officials. The local officials can often answer many questions regarding Right of Way, Local Utilities and other problems that may directly affect abutters. In many cases, Municipal money is involved. Even if it is not, the Resident must keep in mind that these officers represent the public. Accordingly, most of the suggestions given below in the PUBLIC RELATIONS section are applicable to the Resident's relations with municipal representatives.

It is Department policy to require local participation in Federal Aid projects in Federal Aid Urban areas as follows:

1. 20% of the contract amount for Federal Aid Urban funded projects.
2. 50% of the non-Federal share for Federal Aid Primary funded projects.
3. 100% of the non-Federal share for locally initiated Work Orders.

On all other projects the city or town is expected to pay 100% of the non-Federal share of locally initiated additions and changes that are in the local interest. Not all projects have a City Agreement providing for this. Consequently, Work Orders should be accompanied in all cases by a written request from the local municipality that includes agreement to pay their share of the cost. Residents may provide municipalities with estimates of the cost of the work.

Upon completion of the final review of the project, the Contracts Unit will provide to the Bureau of Finance and Administration a report of all changes and additions requiring billing to the municipality, including a copy of the pertinent Work Orders. The Bureau of Finance and Administration will arrange for the actual billing.

002-10 PUBLIC RELATIONS

The programs of the Department, while developed to benefit the general public, will, at the same time, inconvenience and disrupt the lives of a number of people living near the project. When the Resident arrives on the Project, they may find that the local residents hold them personally responsible for their troubles, so it will be one of their first jobs to gain the respect and confidence of the property owners and local residents. This can be done by explaining the project to interested parties, and by listening sympathetically to individual problems. In some cases temporary or maintenance type work can be done to ease abutter's problems, but the Resident

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 002 Employee Relations -- 8 Pages

must be careful not to promise permanent work that is not covered on the plans. In other cases, the Resident must forward the complaints to higher authority for consideration and possible action. Care must be taken not to favor one property owner over the others along the project. Never let a question, a suggestion, or a criticism go unheeded. Follow through on such matters until the person has a satisfactory answer.

Project personnel are in daily contact with and under the critical eye of the public, and employees are expected to conduct themselves in a manner that will command the respect and confidence of these people.

Courtesy is a prime requisite of every employee. This applies to answering questions and accepting criticism or suggestions. Whenever an employee can answer a factual question, they should do so. Avoid being drawn into arguments, expressing opinions, making statements that can be erroneously construed as being departmental policy and, above all, avoid facetious statements. Wise remarks directed at citizens or tourists may seem hilarious at the moment, but such statements cease to be humorous by the time they reach the Commissioner or the Office of the Governor.

Maintenance of the portion of the construction over which the public must travel is another phase of the work that requires constant attention if good public relations are to be maintained. This means that the Resident must look at their project through the eyes of the public and must make sure that the road is kept smooth so cars will not be damaged, and will be kept moving as expeditiously as possible. Care must also be taken to see that enough traffic control devices are used to make intersections and detours understandable, and the Project must occasionally be checked at night to assure the safety and convenience of the traveling public. It is the Contractor's responsibility to keep drives to commercial establishments and private homes open for use. If it becomes absolutely necessary to temporarily block or cut off a drive, the Residents should satisfy themselves that the Contractor has notified the property owner well in advance and arrangements made for pedestrian access and for owner or customer parking.

The Resident will occasionally be contacted by the local press for a story on the progress of the project. The Resident's comments should be factual and they should refrain from giving their personal opinion regarding any controversial matter. The Resident should refer controversial questions to his supervisor for response. The Department organization includes a Public Information Officer, located in the Contracts Unit, for guidance in publicity matters. When an article originates at the project level, the Public Information Officer should be notified for coordination purposes. Detrimental comments should never be made regarding: The Contractor, the Contractor's operations, local officials, or the Resident's subordinates or supervisors. All information must be given so concisely that it cannot possibly be misinterpreted. A favorable newspaper article can greatly improve the Department's image with the public, but a critical article can cause many problems for the Resident, the Contractor and the Department.

Field inspection personnel are not in the business of helping travelers, however, a few minutes now and then devoted to helping a traveler out of a difficult situation can be valuable from the standpoint of public relations.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 003 Authority -- 2 Pages

DELEGATION OF AUTHORITY

003-1 CHANNELS OF AUTHORITY AND COMMUNICATION

Within the Bureau of Project Development, each Program has the responsibility of designing and administering construction contracts from preliminary design through delivery of the Project to Maintenance. Each Program's Program Manager delegates certain tasks to their assistants, who further delegate tasks down to the project Teams, which are lead by the Project Manager. Residents and Inspectors are members of their respective project Teams, and should work through the Team on project issues to the greatest extent possible. Policy issues should be brought to the attention of the Resident's/Inspector's immediate supervisor. Each Program provides an organizational calling chart to assist field personnel in answering technical and general policy questions. These regular channels of communication should be followed under all ordinary circumstances. An employee's immediate supervisor may be bypassed only when the supervisor cannot be located and an emergency exists. Even then, regular channels must be followed until someone of responsible authority is reached.

Inspectors are expected to bring to the attention of the appropriate Foreman or the Superintendent any work or procedure that does not conform to the requirements of the Plans and Specifications. However, official orders which must be given to the Contractor will be given by the Resident or by an Inspector who has been delegated the authority by the Resident to issue such orders. These orders will usually be given in writing and will be addressed to the Contractor's Superintendent or other authorized representative. Emergency verbal orders will be confirmed in writing at the earliest opportunity.

It is sometimes necessary for the Resident or other Program designee, such as the Construction Support Engineer/Manager or the Project Manager, depending on the Program involved, to discuss the Contractor's organization, equipment, methods or efficiency with the appropriate representatives of the Contractor.

If issues arise that cannot be resolved amicably at the project level, they should be quickly escalated to higher authority in accordance with the requirements of Section 111 of the Standard Specifications and as clarified by any agreed upon escalation process resulting from Partnering, as applicable.

003-2 SUPERVISION OF EMPLOYEES

It is the responsibility of the Resident to supervise all personnel assigned to the project and to instruct and train these employees in the proper discharge of their duties. The Resident must report infractions of regulations by their subordinates to their immediate supervisor to ensure that appropriate actions will be taken, as described in

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 003 Authority -- 2 Pages

this Manual in accordance with Departmental policy. The Resident must assist the appropriate Construction Support Engineer/Manager or Project Manager in doing written Performance expectations and completed Performance Management evaluations for subordinates. Completion of evaluations shall be done on the employee's anniversary date.

It is the Resident's job to spot check all phases of the work periodically and to check on the activities and performance of their personnel to the extent that they are assured that their responsibilities are being satisfactorily discharged. It is also the Resident's responsibility to see that proper project personnel are on duty as necessary and that sufficient Quality Assurance inspection is being performed to allow the Contractor to prosecute the work without delay to their progress.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 004 Expenses -- 7 Pages

EXPENSES

004-1 GENERAL POLICY

Travel, Per Diem and Meal Policies:

Information on travel, lodging and meal expenses can be found in Administrative Policy Memorandum (APM) No. 191. APM No. 191 can be found through the MDOT Intranet Website, under Policy Information, under APM Index, or directly at: <http://mdotweb/apm/apm191.htm>

Alternately, this APM can be found directly under the MDOT Expense Voucher Menu, under MDOT Travel APM, once an Expense Voucher has been initiated.

In-state Meal & Travel per diem rates can be found on the MDOT Intranet Website, under General Information, or directly at: <http://mdotweb/f&a/perdiem.htm> Additionally, this site has a link to Per Diem rates for other states and countries.

Per Diem Rates for Maine and other States and countries can also be found through the MDOT Intranet Website, under Web Links, under State of Maine Website, under Government, under State Agencies, under Bureau of Accounts & Control, under Travel Page, or directly at: <http://www.maine.gov/bac/Travel/travelhm.htm>

Alternately, in-state per diem information can be found directly under the MDOT Expense Voucher Menu, under In-State Per Diems, once an Expense Voucher has been initiated.

004-2 REIMBURSEMENT

Department policy is to reimburse employees for mileage, lodging and meals or to pay Board Allowance when they are performing official duties at a location other than Official Headquarters, subject to the rules and regulations of the Department based on Executive Order.

Only charges actually incurred by the employee, or charges established by the Department, will be reimbursed. The amounts entered on the Travel/Expense Voucher and signed by the employee substantiate that the charges were actually incurred by the employee in the conduct of his or her official duties.

004-3 CASH ADVANCES AND EXPENSES

- 1) Upon request, cash advances will be made for reasonable and allowable expenses normally incurred while conducting the business of the Maine Department of Transportation.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 004 Expenses -- 7 Pages

- 2) To obtain an expense advance, complete an on-line Request for In-State Travel/Waivers/Cash Advance form, which can be found through the MDOT Intranet Website, under Free 2000 Login, under Travel/Expense, under Travel Requests, under Create New Travel Request. Once the form has been filled out, it must be routed to the employee's direct supervisor.

004-4 CORPORATE CREDIT CARDS

The State shall provide Corporate Credit Cards for those employees who travel as part of their jobs. The Corporate Credit Card shall be in the name of the employee with the State and Agency name affixed. The monthly bill will be the responsibility of the employee, however, any late charges or penalties that result from the failure of the State to reimburse employees in a timely manner will be the responsibility of the State.

004-5 OUT-OF-STATE TRAVEL

- 1) Out-of-state travel requires approval by the Commissioner of Transportation. To receive permission to travel out-of-state and to obtain a travel expense advance, complete an on-line Request for Out-of-State Travel/Waivers/Cash Advance form, which can be found through the MDOT Intranet Website, under Free 2000, under Travel/Expense, under Travel Requests, under Create New Travel Request. Once the form has been filled out, it must be routed to the employee's direct supervisor.
- 2) Travel expenses for which a cash advance has been made are to be recorded on an Expense Voucher form. All outstanding cash advances must be settled each week or within seven (7) calendar days after the completion of travel. A second expense advance will not be made until the outstanding advance has been settled.
- 3) When the total expense is less than the amount of the cash advance, the difference is to be paid by cash, check or money order made payable to "DOT Petty Cash" (do not send cash in the mail) when the expense voucher is processed. When the total travel expense exceeds the amount of the cash advance, the difference will be paid to the employee by a regular expense check.
- 4) Employees on continuous and extended field assignments may request an advance on a weekly basis. The initial advance and each advance thereafter must be settled each week in accordance with Section 2 above. NOTE: If continuous cash advances are expected to be necessary during a continuous field assignment consult with your direct supervisor.
- 5) Reimbursement for lodging and meals will be for the current per diem rates for the city and state in which the expense was incurred.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 004 Expenses -- 7 Pages

004-6 EXPENSES DURING VACATION PERIOD

No reimbursement will be allowed for Mileage, Lodging, or Meals on any days taken as vacation leave. Board Allowance during the time an employee is on vacation status will be reduced by 1/5 of the weekly allowance for each day vacation is taken.

004-7 EXPENSES WHEN SICK

If an employee is sick during the week, and expects to return to work prior to the end of the week, the employee may remain at the Project living quarters and be reimbursed for reasonable meal and lodging expenses incurred. Reimbursement for mileage, lodging or meals will not be allowed for a full week while the employee is in a non-work status. In those cases where travel expense during the time the employee is sick is allowable, the expense charges are to be coded to the project to which the employee is assigned.

004-8 SUBMISSION OF VOUCHERS

Expense Vouchers are to be submitted weekly. If it becomes necessary to submit 2 weeks of expenses at once then the expenses must be submitted on one voucher with the week ending date being for the second week. Do not submit separate vouchers if preparing them on the same day.

004-9 LODGING AND MEALS

When employees are in overnight travel status in the performance of their duties they will be reimbursed for lodging and meals for the current per diem rates for the State of Maine. Meal amounts include taxes and gratuities. Noon meals are not allowed unless they are provided as part of an organized meeting for which a registration or tuition fee is charged or the employee is in overnight travel status.

004-10 EXPENSE VOUCHER INSTRUCTIONS

The on-line expense voucher form is located on the MDOT Intranet Website, under Free 2000, under Free 2000 Login, under Travel/Expense, under Expense Vouchers. To initiate a new voucher, click on Create New Expense Voucher. Although this form is largely self-explanatory, please note the following:

- 1) Before Finance & Administration's Payroll Section can approve expense vouchers for payment, the corresponding receipt or receipts, if required, must be in their possession. Therefore, receipts must be submitted to the Payroll Section as described in 6), below.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 004 Expenses -- 7 Pages

- 2) If the employee wants to have expense checks mailed to their home or direct-deposited, they must contact the Payroll Section to initiate this process. Once this has been done, the box entitled "Return Check to MDOT" should be left blank, and no location for check delivery should be indicated.
- 3) Coding must be correct. Please consult with your direct supervisor with any questions about coding.
- 4) Travel Miles are those miles from the employee's home or headquarters to the project and back; Project Miles are those miles traveled when the employee is on the project. Do not use 1/2 miles, round up to the next mile.
- 5) The Misc Mileage-Related Expenses column under the Mileage Section is to be used for the reimbursement of tolls, parking fees, taxis, buses, trains and shuttles. The Misc columns under the Meals/Misc Section are to be used for non-mileage related expenses. Emergency purchases of equipment, supplies or other miscellaneous expenses, incurred and required for official business purposes, are allowed only when necessary and the nature of the expense is clearly, fully and satisfactorily explained. Miscellaneous emergency items eligible for reimbursement of up to \$20.00 include, but are not limited to, the following: keys, calculator batteries, postage/stamps, cost to fax or copy documents, film & film developing (acquisition of film and developing of film should be done through the Department's Photo Lab as much as possible). It must be noted on the receipt that it is an emergency purchase.
- 6) Supporting receipts are required to be submitted to the Payroll Section of Finance & Administration for:
 - A) All lodging charges
 - B) Evening meal exceeding \$8, including gratuities
 - C) Miscellaneous mileage-related expenses or emergency expenses in excess of \$5.00
 - D) Any extraordinary or unusual expenses

These receipts must be taped to a plain white 8 1/2" x 11" sheet of paper and scanned into the Transportation Electronic Document Organization Control System (TEDOCS). Receipts should be scanned after the electronic voucher has been submitted so that the Document ID will be known. Prior to scanning a receipt, the employee must put their name, Social Security number and the Document ID on the receipt. There are often vouchers sitting in the FREE 2000 system that cannot be paid for lack of scanned invoices or documents that have been labeled incorrectly. Therefore, employees should check Free 2000 periodically to verify that vouchers have their scanned documents attached. If they do not, it is imperative that they be scanned into TEDOCS as soon as possible. Contact the office support personnel for scanning assistance.

Any questions about receipts should be directed to the Payroll Section of Finance & Administration.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 004 Expenses -- 7 Pages

- 7) Scanning of Expense Voucher receipts. The following procedure has been established to provide employees and organizational units who are scanning expense account receipts a uniform and consistent methodology for indexing:

GENERAL:

- A) All required receipts associated with travel, lodging and meals are to be scanned immediately after completion of the FREE 2000 Expense Voucher.
- B) Receipts should be retained for five business days to assure that the server backup is successful.
- C) Do not forward scanned originals or copies to the Accounting Services Division of Finance & Administration. They will retrieve data from TEDOCS for pre-audit and reference. If the employee or their office does not have the ability to scan, forward receipts to the Accounting Services Division. Receipts must be referenced with the FREE2000 Document ID number and the traveler's name and Social Security number.

INDEXING:

- A) All titles in red on the profile screen must be completed for all documents. For travel expense receipts, enter the following data:
 - i) Subject Matter- Enter PV and the number generated by FREE 2000.
(Example: PV17ATR000173341).
 - ii) Author-Enter traveler's name. Use drop down box.
 - iii) Document Type- Always enter #15 (Financial Document).
 - iv) Document Date- Week ending date of travel expense voucher.
 - v) OUC- Organizational unit code of traveler.
 - B) No additional fields need to be completed for travel expense receipt indexing.
DO NOT INDEX SOCIAL SECURITY NUMBERS.
 - C) Access Control-Secured Documents: Disregard this field for travel expense receipts.
- 8) Per Diem rates must be accurate (rates can be found on the MDOT Intranet, as noted above). Use the established rates for the appropriate county. Per Diems may need to be prorated, depending on the hour of departure on the first day and hour of return on the last day of the trip. These departure/return times must be recorded in the Overnight Trips Only column of the Meals/Misc Section of the Expense Voucher.
- 9) When requesting reimbursement for meals when in non-overnight travel status, justification must be provided for each meal reimbursement request. This information must be recorded in the Meals columns of the Meals/Misc Section of the Expense Voucher and includes: The meal for which reimbursement is requested; the reason for the request (in work/travel status 2 hours before or after the core working hours); the work start/end times; the hours worked; and the meal amount. Eligibility for reimbursement for breakfast and evening meals are based on the following:

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 004 Expenses -- 7 Pages

- A) The core work hours are from 7:30 a.m. to 4:30 p.m. (1 hour for lunch).
 - B) Reimbursement for meals will be allowed when the employee is in work status (combination of work and travel time) a minimum of two hours before or two hours after the core work hours.
 - C) A maximum of one hour of travel time, one-half hour traveling to work from the employee's Official Headquarters or one-half hour returning to the employee's Official Headquarters from work, is allowed to be included in the two-hour period before or after the core work hours.
 - D) If requesting reimbursement for a breakfast meal, the employee must have left their Official Headquarters before 5:30 a.m. and work a minimum of 10 hours.
 - E) If requesting reimbursement for an evening meal, the employee must have worked a minimum of 10 hours, and arrived at their Official Headquarters after 6:30 p.m.
 - F) Lunch meals are not reimbursable for non-overnight travel.
- 10) The Lodging Section is for hotel, motel or other alternate lodging expenses. When making lodging arrangements employees should always request the Government Rate. Employees will be reimbursed for actual lodging charges up to the maximum amount allowed according to the published rates. The published rates exclude all taxes and are not to be exceeded without prior approval. In order to receive reimbursement for lodging, an original receipt must be submitted to the Payroll Section of Finance & Administration, as described in 6), above. The lodging receipt must have the name and address of the establishment at which the employee stayed, the check-in and checkout dates, and the amount paid for the room. If the receipt does not have all the required information imprinted on it, write it in and have the clerk sign the receipt. If the employee happens to stay in a location where the lodging is supplied at no cost to the employee or the State, please make a notation of this information on the expense account- this will enable the employee to claim Per Diem meals.
- 11) If the employee wants to save the changes to a particular electronic expense voucher, the name in the "Please Route To" box should be the employee's name; if the employee intends to sign the voucher for submission, the name in the "Please Route To" box should be the employee's direct supervisor.

004-11 SPECIAL CONSIDERATIONS FOR FOREIGN EXCHANGE RATES

If employees are traveling out of the country and using a foreign exchange rate, the following tips will speed up the processing of Expense Vouchers:

- 1) For meals, the breakout is as follows:

20% for Breakfast

20% for Lunch

55% for Dinner

5% for Miscellaneous Expenses

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 004 Expenses -- 7 Pages

If attending a seminar or conference and meals are provided, subtract the appropriate percentage associated with that meal.

- 2) If paying lodging by credit card, it is advisable to wait until the credit card statement is received so that an accurate exchange rate can be determined. If not wishing to wait until the statement is received, the credit card company can be contacted for the US Fund amount charged to the credit card (the name and phone number of the contact person should be included on the voucher). List out the amounts charged and determine the appropriate exchange rate for each bill. For example, if the travel destination is in Canada:

Phone charges:	\$ 25.00	Canadian
Room charges:	\$442.00	Canadian
Fax charges:	\$ 12.50	Canadian
Total:	\$479.50	Canadian

If the bill for \$479.50 Canadian Funds was charged as \$279.47 US Funds, the exchange rate is 0.582836 (\$279.47/\$479.50). To arrive at the charges to be included on the Expense Voucher, apply the exchange rate to all the charges:

Phone charges:	\$ 25.00	Canadian	0.582836	\$ 14.57	US funds
Room charges:	\$	Canadian	0.582836	\$ 257.61	US funds
Fax charges:	\$ 12.50	Canadian	0.582836	\$ 7.29	US funds
Total:	\$	Canadian		\$ 279.47	US funds

The above example shows phone charges. In all cases, every effort should be made to use phones using a Department issued telephone credit card. This is due to the high cost that is usually incurred by using the hotel/motel telephone service.

- 3) Exchange rate used and the transition from the foreign currency to US funds must be shown on the Expense Voucher. The actual credit card statement is not required, providing the name and phone number of the contact person from the credit card company is included. The actual lodging bills are required to be submitted.

If there are any questions regarding exchange rates for Expense Vouchers, please contact the Payroll Section for guidance.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 005 Grievance Process -- 1 Page

GRIEVANCE PROCESS

Step 1 (Oral)

Grievances must be submitted by the employee orally to their Immediate Supervisor within 15 workdays after the employee becomes aware, or should have become aware, of the Act or Omission.

The Immediate Supervisor has 10 workdays to resolve the grievance.

Step 2i (Written)

If not resolved, the Grievance may be submitted to the appropriate Director/Bureau/Division Head, in writing, within 10 workdays.

The Director/Bureau/Division Head must respond, in writing, within 10 workdays.

Step 2ii (Written)

If not resolved, the Grievance shall be submitted to the Commissioner of DOT, in writing, within 10 workdays.

The Commissioner (or designee) must respond, in writing, within 10 workdays, or within 15 workdays if a meeting is held.

Step 3

The Grievance shall be submitted to the Bureau of Employee Relations (BOER) within 10 workdays.

The BOER makes the decision within 15 workdays, or within 10 workdays if a meeting is held.

Step 4

The Grievance is submitted for Arbitration within 15 days. Grievances involving discharge of employees have priority.

Reference: For detailed procedures, refer to the current collective bargaining agreement between the State of Maine and the Maine State Employees Association.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 006 Infractions -- 1 Page

INFRACTIONS OF RULES, REGULATIONS AND POLICIES

006-1 GENERAL

Occasions will arise when it is necessary to counsel an employee that there has been an infraction of a rule, regulation, or policy. This may mean a rule as set forth by the Office of Human Resources, a regulation or policy established by the Department, or a provision of the Collective Bargaining Agreement.

Resolution of infractions will be in accordance with Civil Service Regulations and current Collective Bargaining Agreements.

Disciplinary Action shall be limited to the following: Oral Reprimand, Written Reprimand, Suspension, Demotion, and Dismissal. The principles of progressive discipline shall be followed.

Any employee suspended without pay, demoted, or dismissed, may initiate appeal of such disciplinary action at the department or agency step of the Grievance and Arbitration Procedure within 15 working days after the employee becomes aware of the disciplinary action.

Any employee suspended, demoted or dismissed has the right to meet with the disciplining official (appointing authority) prior to the action being taken.

REFERENCE: Current Collective Bargaining Agreement Article between the State of Maine and the Maine State Employees Association.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 007 Personnel Policies and Rules -- 9 Pages

PERSONNEL POLICIES AND RULES

007-1 ALTERNATE WORK SCHEDULE PROGRAM (FLEXTIME)

- 1) Alternate work schedules, while assigned to the Augusta or a Division Office, may be implemented only to the extent that they do not substantially interfere with a Unit's or Program's mission or function.
- 2) Each Unit or Program in the Augusta Office of the Bureau of Project Development shall provide coverage by one or more supervisory employees available to answer inquiries, etc. from 8:00 a.m. to 11:30 a.m. and from 1:00 p.m. to 4:15 p.m., Monday through Friday. Telephone coverage should generally be provided between 8:00 a.m. and 5:00 p.m.
- 3) Supervisors are encouraged to provide maximum flexibility to their employees consistent with items 1 and 2, above.
- 4) Employees are expected to recognize that their work schedule choices may be limited, based on items 1 and 2, above, and that their supervisor is responsible for the determination of what limitations apply.
- 5) His or her immediate supervisor must approve each employee's work schedule. The frequency with which employees are allowed to change their work schedules depends upon the coordination requirements of the Unit or Program involved. In some Units/Programs, supervisors may permit employees to change schedule each pay period; in others, supervisors may require employees to work the same schedule for a substantial amount of time. The supervisor prior to the start of a pay period in which they apply must approve revised schedules. Minor deviations from approved schedules may be permitted by the supervisor to meet temporary individual needs.
- 6) Each employee must put in a combination of hours worked, holidays taken, and various other leave taken, totaling 80 hours in each two-week pay period. Employees who are hourly paid cannot work more than 40 hours per week when working flextime.
- 7) Each paid holiday is equivalent to eight hours of working time.
- 8) Core hours are 9:00 a.m. through 11:30 a.m. and 1:00 p.m. through 3:00 p.m. Time not worked during core hours must be charged to one of the leave categories. Leave is subject to the supervisor's approval. Unit/Program heads may approve exceptions to core hours when justified by unusual circumstance. In the case of compressed schedules, days off may occur any weekday subject to the supervisor's approval.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 007 Personnel Policies and Rules -- 9 Pages

- 9) Employees working flextime shall work no longer than 10 hours per day and work hours shall not begin before 6:00 a.m., or end after 5:30 p.m., unless specifically authorized.
- 10) No work shall be performed on Saturdays, Sundays, or holidays unless specifically authorized.
- 11) Lunch breaks are not counted as time worked and each workday must include at least a half hour lunch break.
- 12) Two fifteen-minute break periods may be taken per day and are counted as time worked. Break times need not to be shown on the work schedules.

007-2 COFFEE BREAKS

Department policy allows two rest periods (coffee breaks) of 15 minutes each, one in the A.M. and one in the P.M. Time required in getting to a source of coffee and return is included in the 15-minute period. Department cars are not to be used to obtain coffee nor will mileage be paid for the use of private cars to obtain coffee. The time limitation will not permit most field personnel to travel to a restaurant or coffee shop. Coffee may be carried from home or other establishments, providing this will not exceed 15 minutes. Personnel who pass a restaurant in the course of performing their assigned duties may stop for a coffee break. However, it should be kept in mind that several Department-owned vehicles parked at a restaurant, or large numbers of Department personnel engaged in a coffee break at a public place, during working hours, leaves an unfavorable impression on the tax-paying public.

007-3 RESPONSIBILITY OF CRIMINAL DRUG STATUTE VIOLATION

Any employee who is convicted of a criminal drug statute violation occurring on the job or in the workplace shall notify his or her employing agency no later than five (5) days after such conviction. Each State agency receiving federal funds shall notify its federal funding agency within ten (10) days after receiving such notification. Upon notification of a conviction it shall be the responsibility of the employing agency to terminate the employee.

It shall be the responsibility of all State agencies and departments to work with the Bureau of Employee Health & Benefits, labor unions and other organizations to:

- 1) Advise and inform employees of the dangers of drug and alcohol use and abuse on the job or in the workplace.
- 2) Advise and inform employees of the Employee Assistance Program and rehabilitation services.

It shall be the responsibility of each employee to abide by the terms of this work rule.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 007 Personnel Policies and Rules -- 9 Pages

007-4 EQUAL OPPORTUNITY/AFFIRMATIVE ACTION

The Department is an Equal Opportunity Employer and practices affirmative action to overcome imbalances in its work force based on gender, race or handicap status. There are specific policies and policy statements regarding this standard posted on all bulletin boards. Further information on Civil Rights issues is available from the Office of Human Resources, at 624-3050.

007-5 NEW EMPLOYEE INTRODUCTION

The supervisor to whom a new employee is assigned shall discuss the following general information with them and impress upon them that any questions that they have are valid and should be asked:

- 1) The information provided in "Hiring", below.
- 2) Department and Unit/Program Organization charts.
- 3) Instructions regarding the making out of Salary and Expense vouchers.
- 4) Rules and Regulations regarding the use of vehicles, both State and private.
- 5) General Instructions regarding the Construction Manual.
- 6) Plans and Specifications in general.
- 7) Political Activities (both Federal and State Policy).

The supervisor of a newly assigned employee shall discuss the following detailed information with them:

- 1) General description of job duties, as required.
- 2) The Project description.
- 3) Specifications, in detail, for those items with which the new employee will be involved.
- 4) Construction practices for those items with which the new employee is to be directly involved.
- 5) Testing procedures for materials with which the new employee is to be directly involved.
- 6) That they are not to directly concern themselves with the work, other than the work to which they are specifically assigned.
- 7) That they should immediately report any infractions, unusual conversations or difficulty of any kind.
- 8) That any measurements or quantity data shall be reported daily.

The supervisor shall write a job Assignment Letter to the employee. New employees shall not be assigned to any phase of the work until they have received procedural instructions.

Supervisors shall make an extra effort to insure that new employees have positive knowledge of their jobs and to whom they are to report.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 007 Personnel Policies and Rules -- 9 Pages

007-6 MOVING EXPENSES

Department personnel employed in a permanent status may be reimbursed for costs of transportation of household effects when transferred in the line of duty.

Reimbursement is not allowable if the move is a result of disciplinary action or to the initial job assignment for newly hired personnel.

Department owned vehicles may be used to transport household effects of reassigned personnel if such effects do not need crating or special packaging.

When moved by commercial carrier, the rates as allowed by Council Order shall not accrue either a profit or loss to the employee. Receipts shall be attached to the reimbursement voucher.

If an employee is eligible for reimbursement of moving expenses, as determined by the applicable Unit/Program head, the employee may discuss the details with the Bureau of Finance & Administration and receive authorization, prior to making the move.

007-7 NEW PERSONNEL

Hiring The following is provided to each new employee, as required by his or her classification:

- 1) Informational packet prepared by the Office of Human Resources
- 2) Current Standard Specification book
- 3) Manual on Uniform Traffic Control Devices, Part VI
- 4) Construction Manual
- 5) Personal Diary
- 6) Safety Vest
- 7) Hard Hat
- 8) Calculator
- 9) Personal Computer (Laptop for field personnel)
- 10) Telephone credit card (field personnel)
- 11) Cellular phone (for Residents, as required)
- 12) Pagers (field personnel)
- 13) Camera (Residents, as required)

007-8 OFFICIAL HEADQUARTERS

- 1) The employee's official headquarters is designated as a State Office location (MDOT Division Office, Augusta Office or regional lab) when first employed or when transferred or moved. A copy of the designated location is sent to the Bureau of Finance & Administration.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 007 Personnel Policies and Rules -- 9 Pages

- 2) For employees whose duties require their presence at an established State Office location at least two days per week, that office location shall be designated as their official headquarters.
- 3) For employees whose duties are at other than an established State Office more than three days per week, the designated headquarters may be the employee's residence or project residences if such designation is an advantage to the State and without prejudice to the employee.

The official headquarters for field personnel who are assigned to a construction project or projects shall be their residence. When the projects to which field personnel are assigned are completed or suspended, then the employees' official headquarters becomes their designated State Office location. There is no grace period. When employees are in the field virtually all the time or on a seasonal basis, their place of residence is their official headquarters. The governing Unit/Program head or their designee approves exceptions.

- 4) Employees' salary and expense vouchers shall be approved by their appropriate direct supervisor.

The locations of the Augusta and Division Offices are listed below with office telephone numbers.

Augusta Address: Transportation Building
 16 State House Station
 Augusta, ME 04333-0016
 (207) 624-3000

Location: Between Capitol and Child Streets, adjacent to the north side of
 Capitol Park.

Div. #1 Presque Isle Address: P. O. Box 1178, Rice Street
 Presque Isle, Maine 04769
 (207) 764-2060

Location: ¼ mile North of town, turn east from Route 1. Last building on left.

Div. #2 Ellsworth Address: P. O. Box 539, High Street
 Ellsworth, ME 04605
 (207) 667-5556

Location: East of town at the junction of Routes 1 and 3.

Div. #3 Bangor Address: P. O. Box 1208, 219 Hogan Road
 Bangor, ME 04402-1208
 (207) 941-4500

Location: Take Hogan Road Exit, off I-95, North of town. East off exit. Office is
 at Jct. of Mount Hope Ave. and Hogan Road.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 007 Personnel Policies and Rules -- 9 Pages

Div. #4 Fairfield	Address:	10 Mountain Avenue Fairfield, ME 04937 (207) 453-7377
	Location:	West side of Route 201, 0.2 miles North of I-95, Fairfield-Skowhegan Exit.
Div. #5 Rockland	Address:	P.O. Box 566, 143 Rankin Street Rockland, ME 04841 (207) 596-2230
	Location:	Turn onto Route 1A south of town. Rankin Street is $\frac{3}{4}$ of a mile north of Rt. 1 on West side. Office is 100 yards on right side.
Div. #6 Scarborough	Address:	P.O. Box 358 Scarborough, ME 04070-0358 (207) 885-7000
	Location:	Pleasant Hill Rd., Scarborough. Turn southerly just south of Scarborough-S. Portland line on Route 1. Office is $\frac{1}{2}$ mile on right.
Div. #7 Dixfield	Address:	P.O. Box 817 Dixfield, Maine, 04224-0683 (207) 562-4228
	Location:	On West side of Route 2, 14 miles West of Wilton and 8 miles East of Rumford.

007-9 PERSONAL CONDUCT AND APPEARANCE ON AND OFF THE JOB

The proper conduct and appearance of State personnel, both on and off the project, is of great importance in that it is often the basis on which the public forms its impression of the Department of Transportation. Also, the Contractors and their personnel will generally have more respect for a Resident or Inspector who presents a neat appearance and businesslike manner.

On the project, employees should dress appropriately for the duties they are assigned, and in accordance with Administrative Policy Memorandum #410, Protective Clothing, Equipment and Devices.

Conduct off the job, after work, is also important to public relations. Although off duty, employees are still viewed as representatives of the Department of Transportation, and should conduct themselves accordingly.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 007 Personnel Policies and Rules -- 9 Pages

007-10 PERSONNEL OF OTHER UNITS OR PROGRAMS

Personnel of other Units or Programs who are assigned, either in writing or orally, to the project are under the direct supervision of the Resident. Personnel assigned to a Resident will have Salary and Expense Vouchers approved by that Resident. Survey crew chiefs will approve vouchers of crew members under their supervision. The assignment of headquarters for these employees is by their respective Unit/Program head.

007-11 WORK HOURS

Employees are required to be on the job on their scheduled workdays for their scheduled hours. Circumstances on construction projects, such as the contractor's schedule, the specific work items being performed and weather conditions, may require field personnel to work beyond their regularly scheduled day. Employees must notify their supervisor as soon as possible if they cannot come to work, or will be late, on a particular day.

General

Typically, personnel assigned to the Augusta Office or Division Offices work 8 hours per day, five days per week. Hours are from 7:30 A.M. to 4:15 P.M. with a 45 minute lunch period, from 11:45 A.M. TO 12:30 P.M. Some employees will have a slightly different schedule so that the public may obtain services until 5:00 P.M.

Personnel Responsibilities

Construction Support Managers/Engineers and Project Managers are responsible for the approval of pay vouchers of all Residents, depending upon the Unit/Program for which the Resident works. In assigning an hourly paid Resident to a project, the Construction Support Manager/Engineer or Project Manager should verify that the hours of work shown by the Resident are reasonable and necessary for the performance of the work required. It is not intended that an hourly paid employee be placed in the position of verifying their own hours for pay purposes.

One of the primary duties of the Resident is to control the use of project personnel by maintaining efficient and flexible work assignments, by managing work hours, by directing additional overtime work, by verifying that the number of hours shown on salary vouchers does not exceed the number required for the work done, and by approving or not approving leave for project personnel. In short, Residents are the personnel manager of those persons assigned to the project and have been empowered to carry out this duty. Residents can expect their use of project personnel to be reviewed by their supervisor and the Augusta Office. Residents can also expect their supervisor and the Augusta Office to cooperate in the administration of this policy and in solving personnel issues.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 007 Personnel Policies and Rules -- 9 Pages

Working Hours

Personnel in the Transportation Aide, Assistant Technician and Technician classifications are hourly paid personnel. Employees in these categories working on construction survey crews will not be allowed to work more than 40 hours per week except as authorized in the following paragraph. Working in the project field office may be required during periods of inclement weather in order to provide a complete 40-hour week.

Hourly employees assigned to perform construction inspection will be required to work more than 40 hours per week, as necessary. Time actually worked in excess of 8 hours in any one day, or after their regularly scheduled hours if greater or 40 hours of actual work in any work week, will be paid for at the overtime rates as noted in the "Salary" Section of this manual. However, every effort will be made to hold the number of hours project personnel are used on construction projects to the minimum number required to effectively inspect the work. Therefore, the Resident must schedule the time, location and use of personnel assigned to the project for inspection purposes to produce maximum efficiency of these inspectors and to keep the number of overtime hours authorized to a minimum.

The primary objective of the field personnel is to determine that the work is done according to the Plans and Contract Specifications, and is properly documented and properly measured. However, the Residents need to keep in mind that this does not necessarily mean, or imply, that all personnel assigned to a project must work all the hours that the Contractor works. The Resident may find that efficiency can be gained by assigning different hours of work to different inspectors, depending on the particular operations being performed by the Contractor. Some operations performed by the Contractor, such as installation of materials incorporated into the final product, including Portland cement concrete, embankments, base materials and HMA pavement, must be inspected on a continuous basis. Other operations, such as clearing, fine grading, rock excavation and the installation of guardrail, require only intermittent inspection, or inspection before an operation is started and after it is completed; in these cases, the Resident is not expected to provide continuous inspection during all hours the Contractor is working.

Whenever the Contractor is performing work that requires continuous inspection, someone with the authority to act as, or for, the Resident must be present on the project. With proper management of project human resources, it is not always necessary for Residents to be present on the project simply because work is being performed by the Contractor. However, Residents do have the responsibility for overall project supervision and must work the hours necessary to meet this responsibility. This time is not necessarily the same as the Contractor's workday.

Whenever the Contractor is not performing work under the contract during the normal work week (Monday through Friday), because of inclement weather or other reasons, the Resident will authorize, or direct, the performance of necessary office work which can be effectively performed while the Contractor's work is temporarily suspended. The project personnel will be utilized in the performance of

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 007 Personnel Policies and Rules -- 9 Pages

this work and will be expected to work an eight-hour day during the period that the Contractor's work is suspended and office or other work is available to be performed. Project personnel not required for the performance of this work and whose services are not expected to be required for the remainder of the day, may be sent home. Overtime hours will not be authorized for hourly paid personnel to perform routine office work.

On Saturday, when the Contractor's entire work force is on the project, the extent of work by project personnel will be the same as any other workday. When the Contractor utilizes only a portion of their work force, or only subcontractor work is being performed, only those project personnel actually necessary for the inspection of the work being performed will be authorized to work.

When the Contractor performs no work on Saturday, project personnel will not be authorized to work on routine office computations. However, work which may affect the Contractor's progress, such as emergency layout or problem solving, may be allowed upon prior approval from the Construction Support Manager/Engineer or Project Manager. The Resident must contact their supervisor not later than the Friday before the Saturday involved, explaining why it is necessary to work the following day, and request authorization for this work. If necessary, more than one Saturday may be included in a single request.

When inclement weather prevents any construction activity on a Saturday when the Contractor had planned to work and Department personnel assigned to work on that day arrive on the job, hourly paid personnel may, at their option, work in the field office for four hours and be compensated for such time. Salaried personnel may also work four hours and be compensated for such time.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 008 Safety & Accidents -- 5 Pages

SAFETY AND ACCIDENTS

008-1 GENERAL

The field construction inspection personnel are constantly exposed to many hazards to their personal safety in their daily work. Prior to the start of construction and during construction, the employee must be alert to these dangers to avoid injury. Some of these hazards include exposure to sharp cutting equipment, inconsiderate motorists, rough terrain, poisonous weeds, and heavy construction equipment. Injuries are not only painful and expensive to the employees, but also are disruptive and a cause of concern to relatives, fellow employees, and to the Department, so all precautions possible must be taken to avoid mishaps.

The Department of Transportation must report to the Department of Labor any deaths or serious injuries sustained by employees while on the job. Reports must be made within 48 hours of such an incident. The Department has assigned the responsibility of making such reports to the Office of Human Resources (tel. 624-3050).

To enable Human Resources to fulfill this requirement, it is imperative that whenever a Department of Transportation employee sustains a serious injury while on the job, a brief report of the circumstances be made at once by telephone to the Augusta Office. In the event such injuries occur outside the normal working hours they must be reported immediately on the following working day.

The law defines serious injuries as "death, amputation, loss or fracture of a body part or injury, which necessitates immediate hospitalization."

008-2 PROTECTIVE CLOTHING, EQUIPMENT AND DEVICES

Refer to Administrative Policy Memorandum #410, Protective Clothing, Equipment and Devices.

008-3 COMMON HAZARDS AND SAFETY TIPS

Listed for consideration are some of the hazards encountered in the field, and actions to be taken to minimize danger:

- 1) If a Contractor has a more stringent personal safety policy than that of the Department, Department employees shall adhere to the Contractor's safety policy.
- 2) When walking within project limits, be aware of your physical position with respect to vehicular traffic, including that of the Traveling Public and that of the Contractor at all times, even if behind temporary concrete barriers.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 008 Safety & Accidents -- 5 Pages

When inspecting work elevated above ground, water or other surfaces, Department of Labor or OSHA standards must be adhered to. In general, fall protection must be used when more than six feet above the ground or other surface. Fall protection includes a safety harness and two lanyards (tie-off 100% of the time is mandatory). The Department supplies harnesses and lanyards; the Contractor in general, provides appropriate cables, hooks or other devices to which lanyards are attached in order to access the work.

- 3) Exposure to ticks. Be aware that tall grass, woods or brush provide tick habitat and that there are several types of ticks. Deer ticks can transmit Lyme disease. The highest concentration of deer ticks occurs, generally, in Southern and Coastal Maine. You should check clothing carefully for ticks if exposed to potential tick habitat. If you discover a tick that has become embedded in skin, contact your doctor immediately before attempting to remove the tick. A Lyme disease vaccine is available - contact the Department's Office of Human Resources, Employee Health and Wellness Program, at 624- 3000, for more information.
- 4) Strict compliance with the motor vehicle laws is required at all times.
- 5) Warning lights. Field personnel on all personal or State vehicles used for the following purposes and situations shall use Amber flashing warning lights. These lights are available through Motor Transport Services, located in each Division and in Augusta:
 - A) To protect and to safeguard Department of Transportation personnel and equipment.
 - B) To warn the motoring public of a potential or existing danger in the form of obstructions to the smooth flow of traffic.
 - C) Personnel working upon the travelway portion of the highway, or immediately adjacent thereto.
 - D) Equipment parked upon the highway, or close to the edge of pavement while conducting operations adjacent thereto. (Operations of this nature shall be carried out in emergency situations only.)
 - E) Disabled equipment that creates a potential traffic hazard.
 - F) While stopped upon or adjacent to the highway and rendering aid to stranded motorists or at an accident scene.
 - G) Transporting injured personnel, not requiring ambulance service, for emergency medical attention.
 - H) As a traffic warning device when a potentially dangerous condition develops. (Spot location of slippery roadway surface, heavy snow, or fog, blow down, broken wire, etc.)
 - I) Slow moving vehicles.
- 6) The use of intoxicating liquor while on duty will be sufficient reason for dismissal.
- 7) When working on projects on or adjacent to I-95 or other controlled access interstate or state routes, a Crossover Permit is required in order to legally use crossovers between divided highways. These permits can be obtained through your direct supervisor from the Department's Maintenance Division. Each permit is issued with instructions on how to enter and exit crossovers. Strict adherence to these instructions is mandatory.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 008 Safety & Accidents -- 5 Pages

The following safety tips have been prepared to prevent personal injuries that may be caused by unsafe acts and practices:

- A) If a line of traffic piles up behind your slow moving vehicle, pull off the pavement as soon as possible and let it pass.
- B) Be aware of all high-tension power lines.
- C) Stay clear of poison ivy, poison oak, and poison sumac. If possible, obtain an injection to aid in immunity, and consult a doctor without delay if you do break out with a rash after contacting one of these plants.
- D) DO NOT trust a measuring tape to support you if working on steep slopes.
- E) DO NOT stop on pavement in your vehicle if it is possible to get off the edge of pavement within a reasonable distance.
- F) DO NOT ride on running boards, fenders or bumpers of vehicles.
- G) DO NOT attempt to get on or off moving vehicles.
- H) DO NOT attempt to repair or clean moving machinery.
- I) DO NOT walk under crane booms or suspended loads of any kind.
- J) DO NOT turn your back to backing trucks.
- K) DO NOT use two-way radio near blasting operations.
- L) DO NOT back up vehicles of any kind without making sure that the way is clear.
- M) DO NOT allow tires to wear smooth.
- N) DO NOT park vehicles within 300 feet of each other when on opposite sides of the road.

008-4 FIRST AID TREATMENT

This manual does not contain a course on first aid treatment, but all employees should take it upon themselves to be familiar with the common first aid methods for artificial respiration, control of bleeding, and the treatment of shock caused by injuries. The Department offers basic first aid courses periodically (consult the MDOT Intranet Website, under Website Index, Human Resources Training Brochure for information). Local hospitals also offer first aid training.

The telephone numbers of the nearest doctors, hospital, fire department and rescue service should be posted in the Resident's field office. If the field office does not have a phone, know the location of the nearest phone.

Accidents resulting in personal injury to a State employee must be reported as stated above.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 008 Safety & Accidents -- 5 Pages

008-4 MOTOR VEHICLE ACCIDENTS

1) GENERAL

When any state vehicle is involved in an accident, the operator will proceed as follows:

- A) Reports: Each vehicle is supplied with a Vehicle Accident Report envelope that contains an Operator's Vehicle Accident Report form and several Witness Statement Forms. Additional Vehicle Accident Report envelopes may be obtained from the Motor Transport Service or MDOT's Office of Legal Services & Audit.
- B) Complete the report and mail through regular mail to MDOT's Office of Legal Services & Audit the day the accident occurs. Prepaid mailing envelopes are provided.
- C) Risk Management must be called the day or night the accident occurs. The 24-hour toll free number is: 1-800-525-1252.

2) PROCEDURES

- A) Remain at the scene and take immediate action to prevent further damage. Warn oncoming traffic.
- B) Call police. Call ambulance if there are injuries. Call your supervisor immediately.
- C) If there is a fatal injury, DO NOT move anything.
- D) Get all the facts about the accident and information from other operators and/or owners to include all information requested in this report and any and all witness names and addresses.
- E) Show your driver's license and registration to all other operators and cooperate with police.
- F) Remember: Only answer questions by police about the accident. State the facts and only what you saw happen to the police. Questions from anyone other than police should be referred to MDOT's Office of Legal Services and Audit at (207) 624- 3020.
- G) Sign no papers, except for your Supervisor or the police.
- H) Send written report through mail to MDOT's Office of Legal Services and Audit in Augusta.
- I) If your accident damages another vehicle or property and you cannot locate the owner, leave your name and MDOT's Office of Legal Services and Audit telephone number, (207) 624-3020, in a safe place where the owner will see it. Notify MDOT's Office of Legal Services and Audit immediately after leaving the note.
- J) If there is a personal injury or the other vehicle is so damaged that it is not safely operable, call MDOT's Office of Legal Services and Audit 624-3020 and notify: John Poor or Cathie Hinds.
- K) Notify the nearest Motor Transport Division Office. The Equipment Supervisor will arrange for repairs.

In the event of an accident in which the vehicle operator is a fatality, the operator's immediate supervisor will prepare and submit the Operator's Vehicle Accident Report.

NOTE: In any accident involving personal injury and/or major property damage, the supervisor of the employee must report the accident to the appropriate Program Manager immediately by telephone.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

April 1, 2003

Section 008 Safety & Accidents -- 5 Pages

008-5 SPECIAL REPORTS REGARDING FATAL AND OTHER SERIOUS HIGHWAY ACCIDENTS

The Department of Transportation has participated in the activities of the Governor's Highway Safety Committee for a number of years. In recognition of the fact that highway accidents might be partly due to road conditions, including geometric design or faulty signing, the Department's participation includes the investigation of fatal and serious highway accidents by the Director of Planning. The Director of the Bureau of Planning prepares a report to the Commissioner on each fatal or serious highway accident whenever some factor relating to the work of the Department may be involved.

008-6 LEGAL RESPONSIBILITY

The Department will not defend employees for traffic violations while operating State vehicles during working hours. The insurance company that provides the liability policy on State vehicles will represent an employee who operates a State vehicle that is involved in an accident, when recovery by the other party is sought through litigation.

008-7 SEATBELT USE

All State employees and their passengers shall wear seat belts when they are traveling in State owned vehicles or when traveling on official business for the state in privately owned vehicles.

008-8 ACCIDENTS ON CONSTRUCTION PROJECTS

Residents are to report any accident on a construction project to the Division Traffic Engineer immediately.

The Resident should immediately document in the Project Diary, weather and pavement conditions, signing in place and any other items that may have a bearing on the accident. In the event the accident occurred in the vicinity of a construction operation, the type of work, equipment in use, location of flaggers or traffic officers, including all other traffic devices in place at the location of the accident, should be recorded. Pictures should be taken if a camera is available.

The Division Traffic Engineer, in company with project personnel, will review each individual accident on a construction project as soon as possible, to determine if corrective action or a change in the Traffic Control Plan is needed. If a change is needed, the Resident will take the necessary action to make the change. In addition, the Resident will advise the Traffic Engineering Division, Accident Records Section, of the accident, either directly or through the Resident's direct supervisor.

Serious accidents involving personal injury or death require that a Department Investigator be notified at any time of day or night. Residents shall contact an Investigator directly in the Office of Legal Services and Audit at (207) 624-3020. The Department's Investigators are John Poor and Cathie Hinds. The Resident shall also prepare and submit an Accident Report to the Office of Legal Services and Audit.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

January 1, 2003

Section 009 Time Sheets -- 3 Pages

TIME SHEETS

009-1 GENERAL

All employees must submit time sheets every other week to record actual hours worked and hours charged to various types of leave, to substantiate the payment of salary, and to provide proper distribution of the salary to projects and cost centers. Travel expense vouchers may be submitted weekly. It is important that time sheet and expense charges be made to the same account for the same time period.

The Residents are directly responsible for notifying the employees working on their project of the proper coding required by the employee's assignment.

The following procedure will apply to the preparation and routing of Time Sheets and Expense Vouchers for field inspection personnel.

The responsibilities of the Residents with respect to Time Sheets and Expense Vouchers of employees assigned to them are as follows:

1. Verify correct coding- Project Identification Number (PIN), Appropriation, Function, Activity.
2. Verify correct recording of time worked and employee benefits used.
3. Check consistency of the time worked with expense voucher.
4. Review for reasonableness and compliance with travel regulations.
5. Verify that all travel expenses are actually incurred.
6. Verify the proper use of State owned vehicles, as applicable.
7. The Resident shall sign the Time Sheets and Expense Vouchers by Friday afternoon (weekly for Expense Vouchers and every other week for Time Sheets).

009-2 TIME SHEET INSTRUCTIONS

The on-line time sheet form is located on the MDOT Intranet Website, under Free 2000, under Free 2000 Login, under Timesheet/Leave. At this location, the employee's time sheet for the current pay period is in view. To view time sheets for other pay periods, click on "New Date". Although this form is largely self-explanatory, please note the following:

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

January 1, 2003

Section 009 Time Sheets -- 3 Pages

1. The column entitled “Desc” provides a dropdown menu for the description of all possible pay status types, including work (work), sick leave (sick), vacation (vac) and even work without pay (work w/o pay).

2. Enter the hours worked for each date shown, as applicable. Salaried employees (Senior Technician, AE, CE I, CE II classifications) shall enter 8 hours for a full day worked or 4 hours for a half-day worked. Salaried employees assigned as Residents or Inspectors will receive one extra hour of straight time or one hour of compensating time for each day worked in the field that the Contractor works. This extra hour must be shown on a separate coding line as straight overtime (str ot) or compensating straight time (earn scomp), AND it must be noted in the Comments section, located at the bottom of the form, that the employee was working on an active construction project on the days when this extra hour is shown on the Time Sheet. When salaried employees work on Saturdays or Sundays, this time must be shown as straight overtime or straight compensating time, also. Salaried employees working on a Holiday are reimbursed for the actual time worked, plus 8 hours for the Holiday. Again, the hours worked on the Holiday must be shown as straight overtime or straight compensating time. Hourly paid employees (Transportation Aide, Assistant Technician, Technician) shall be compensated at 1 ½ times the straight time rate once they have worked more than 8 hours in a day, or more than 40 hours in a week. This overtime must be shown as premium overtime (prem ot) or earned premium compensating time (earn pcomp). Hourly paid employees working on a Holiday are reimbursed for the actual time worked plus 8 hours for the Holiday. The hours worked on the Holiday must be shown as premium overtime or earned premium compensating time.

3. Many of the pay status types, under “Desc” do not need to have the PIN, Appropriation, Function and Activity manually input. For example, sick leave (sick), vacation time (vac) and holidays (holiday) can be inserted in the “Desc” column, the appropriate number of hours input for the appropriate date, then the “Save Changes” button can be clicked and the coding will automatically be inserted.

4. Each time an employee finishes working on the Time Sheet, it is a good idea to click “Save Changes”, even if the Time Sheet is complete. When the Time Sheet is ready to be submitted, the employee clicks the “Accept/Sign” button, which will take the employee to another screen that will request that an electronic signature be inserted. If the employee does not know this electronic signature, they should contact their direct supervisor.

Additional information on Time Sheets can be found on the MDOT Intranet under Free 2000, under Free 2000 Login, under Free 2000 Web Portal, under Help, or directly at <http://mdotweb/helpf2k.htm>.

009-3 SALARY ADVANCES

New employees, including seasonal employees, may request a salary advance upon completion of one week's work. This advance is to assist the employee to phase into the State's biweekly payroll system.

CONSTRUCTION MANUAL

MAINE DEPARTMENT of TRANSPORTATION

Bureau of Project Development

January 1, 2003

Section 009 Time Sheets -- 3 Pages

1. The appropriate Program Manager must approve the request for a salary advance.
2. Employees must complete one week's work before receiving a salary advance.
3. The salary advance must be in even dollars and will not exceed the gross wage earned in the first week of employment.
4. The salary advance will automatically be deducted from the employee's first paycheck.
5. Employees requesting a salary advance should contact the Payroll Section of Finance & Administration for further information.