

## UT501 - Authorizations

### Subpart A – Review and Approval

#### UT501.0 General

- E. Formal requests for State Office Engineering assistance shall be routed through the Area Office. The Area Office shall consider whether resources are available within the Area to sufficiently address the request or whether to forward the request to the State Office. Formal requests shall be defined as any request which is expected to take more than one-half (1/2) day to complete or address, or which will require a field visit.
- F. Brief, informal requests for policy clarification or brief technical questions may be routed directly to the discipline specialist if the Area Engineer is unavailable or unable to assist.

#### UT501.1 Scope

- C. Non-NRCS Employees shall not be delegated engineering job approval authority by NRCS.
- D. Non-NRCS employees may be assigned the inventory portion of job approval authority for engineering practices on the same basis as NRCS employees following the process outlined in the National Engineering Manual since the planning function related to NRCS Conservation Practices is not considered the practice of professional engineering.

#### UT501.3 Compliance of Engineering Work With Laws and Regulations

- D. All engineering and geological documents, including preliminary documents (example: cost estimates, design reports, designs, calculations, specifications, geological investigations) shall clearly include the following information:
  - (1) The name of the individual(s).
  - (2) Name of agency or entity represented by the individual(s).
  - (3) Date the document was prepared or amended.

#### UT501.4 Engineering Job Approval Authority (EJAA)

- B. EJAA for NRCS employees (Classes I through V)
  - (1) EJAA will be delegated according to job classes established in “Form UT-ENG-14/UT-MGT-10D, Engineering Job Approval Authority / Certified Planner Certification.” EJAA applies to engineering investigations and reports, designs, and construction certification for conservation practices.
    - (i) Any skilled person may survey, design, and prepare plans for jobs requiring approval at any level of classification. However, the design approval and construction certification of an engineering job shall be made in accordance with the individual’s delegated authority.
    - (ii) Site specific design criteria or recommendations shall only be made by personnel with appropriate level of EJAA for the applicable conservation practice.
    - (iii) Assigned engineering job approval authority shall not be exceeded for approval. Assigned EJAA defines an individual’s scope of authority for engineering practices.

Individuals exceeding approved authorizations are therefore working outside the scope of their employment.

- (iv) EJAA is to be prepared and kept current for each employee performing engineering work in the State. Form UT-ENG-14 or the Utah EJAA database will be used to generate documentation. All authorizations will include the limitations under the practice name “ANY PRACTICE.”
  - (v) Any practice not listed in the UT-ENG-14 shall be approved by the State Conservation Engineer.
- (2) NRCS field engineers who are Licensed Professional Engineers in Utah will be delegated Class IV approval authority for design and may be delegated up to Class V for construction of all practices based on the criteria set forth in UT-ENG-14. NRCS engineers, who are not Licensed Professional Engineers in the state of Utah, GS-11 or above, may be delegated up to Class IV approval authority for design or up to Class V approval authority for construction of all practices based on the criteria set forth in UT-ENG-14. On a case by case basis, engineers may be granted authorization for a specific job in writing at a higher level than noted in UT-ENG-14. Licensed professional engineers shall practice according the engineering code of ethics regarding the type and complexity of work undertaken and the level of education and experience possessed by the engineer.
- (3) The Area Engineers and State Office engineering staff who are Licensed Professional Engineers in Utah may be delegated Class V approval authority for design and construction of all practices based on the criteria set forth in UT-ENG-14. NRCS State Office engineers, who are not Licensed Professional Engineers in the state of Utah, maybe delegated up to Class IV approval authority for design or up to Class V approval authority for construction of all practices based on the criteria set forth in UT-ENG-14. On a case by case basis, engineers may be granted authorization for a specific job in writing at a higher level than noted in UT-ENG-14. Licensed professional engineers shall practice according the engineering code of ethics regarding the type and complexity of work undertaken and the level of education and experience possessed by the engineer.
- (4) The employee, the employee’s supervisor, and the Area Engineer will each sign the engineering job approval authorization for Field Office and Area Office staff. Signatures denote that all involved are in agreement with the delegation and accept the responsibility. Maximum approval limits delegated cannot be higher than the delegating area engineer's engineering job approval authority. Varying levels of EJAA may be assigned for design and construction. On a case by case basis, employees may be granted authorization for a specific job in writing at a higher level than noted in UT-ENG-14.
- (5) Maximum EJAA for design will generally be limited to individuals by job class as follows:
- (i) Class I - Routine Field Office applications. (Most Field Office Personnel)
  - (ii) Class II - Applications requiring alternative design approaches. (Selective field personnel trained to handle such applications)
  - (iii) Class III - Complex applications requiring knowledge of engineering principles and concepts. (Selective field personnel trained to handle such applications)
  - (iv) Class IV - Complex engineering applications (Licensed Professional Engineers and others as delegated)

- (v) Class V - Complex engineering applications (Area Engineer, State Office Engineering staff and others as delegated)
  - (vi) Employees may only be given approval authority after adequate training and upon demonstrated proficiency. Their proficiency should be evaluated on the basis of knowledge of applicable investigation and design criteria and technical resources, judgment, ability to make sound decisions and follow policy, willingness to request assistance and guidance if needed, and performance on smaller jobs. The Area Engineer delegating EJAA should review an adequate number of designs and/or installations, at the appropriate engineering job class level, of each practice prepared by the employee. Major factors to be considered include knowledge of policies, applicability, accuracy, completeness of note keeping and record keeping, technical adequacy, and construction applicability.
  - (vii) Any engineering structure may involve complexities, such as geology or hydrology, which are unfamiliar to an employee. If an employee encounters such complexities, they shall request assistance from another NRCS employee with the necessary technical background and approval authority even when the limiting factor of the job falls within their EJAA.
- (6) Distribution. EJAA shall include the cover letter and UT-ENG-14 or equivalent and shall be distributed as follows:
- (i) The originals will be provided to the employee receiving the delegation.
  - (ii) A signed copy shall be sent to the employee's supervisor. Supervisors shall file the signed copy in the employee's personnel file.
  - (iii) A signed copy will be provided to the area engineer.
  - (iv) Each Area Engineer will maintain signed copies of job approval authority forms for all employees to whom they have delegated authority.
- (7) Delegated authority will be reviewed and updated in accordance with the following schedule:
- (i) Annually for those in their present position for less than three years.
  - (ii) A minimum of every three years for all others.
- (8) Transfer of EJAA. Employees transferred within the state to another area shall be reissued EJAA in the receiving area within 6 months. Existing EJAA for employees will remain in effect for the transition period unless otherwise determined by the new area engineer.
- (9) Restriction or Revocation of EJAA.
- (i) Individual engineering job approval authority may be revoked or restricted at any time by the Area Engineer, or the State Conservation Engineer.
  - (ii) If approval authority is revoked, the State Conservation Engineer, Area Conservationist, and employee's supervisor will be notified as soon as practical for additional guidance. Some possible reasons for revocation or restriction of EJAA may include, but are not limited to, errors or omissions on designs or construction, or failure to follow engineering policy such as working outside of delegated authority.
  - (iii) Documentation for revocation may include, but is not limited to, trip reports, peer reviews, spot checks or Quality Assurance Reviews
- E. Documentation of Design Review and Engineering Job Approval
- (1) For project activities, the design documentation/report and cover sheet as first sheet of construction drawings shall indicate the engineering job class. The job class shall be located

in appropriate designated spaces, or adjacent to the approved signature, if appropriate spaces are not designated.

(2) For non-project work, the appropriate job classification shall be documented on all designs.

G. Documentation for Construction Checks, Completion Certification, and As-Built plans, for engineering jobs.

(1) Project activities – see Part 512 – Construction

(2) Non-project activities - the appropriate job classification shall be documented on all construction projects. Documentation of the level of EJAA for construction by the person approving the installed practice shall be adjacent to the construction certification signature.

#### UT501.5 Engineering Job Review

##### A. Design Reviews

(3) Design reviews shall be performed as follows:

(i) For Class I and II jobs:

- A Computational Check shall be performed and documented in accordance with NEM 511.5(A).
- The Computational Check shall be completed by someone other than the designer.
- The Area Engineer may require additional documentation for these jobs. Additional requirements shall be communicated in writing by the Area Engineer.

(ii) For Class III, IV, and V jobs:

- A design review shall be performed and documented in accordance with NEM 511.5(a) and NEM 511.5(b). Frequency of reviews shall be commensurate with the complexity of the job.
- The design reviewer shall be someone other than the designer. The design reviewer shall have EJAA equal to or greater than the job class being reviewed. If the preparer has the required EJAA, the preparer may approve the design after the review. If the preparer does not have the required EJAA, the reviewer may approve it.

(iii) Class VI jobs shall be submitted to the State Conservation Engineer, or their designee, for review and approval. The review shall be completed and documented by someone other than the designer.

(iv) Class VII jobs shall have an independent design review coordinated by the State Conservation Engineer prior to approval.

(v) Class VIII jobs shall be submitted to the Director of the Conservation Engineering Division for review and concurrence prior to approval.

(vi) All engineering designs prepared in the field which require the State Conservation Engineer's approval shall be first screened by the Area Engineer.

(vii) All engineering designs that require the approval of any state or federal agency shall be co-approved by the State Conservation Engineer.

(viii) Regardless of job classification, all engineering documents are to be reviewed and signed first by the preparer to indicate they have reviewed and checked their own work and have found it to be technically sound, complete and thorough, and in compliance with NRCS policy, criteria, and standards.

- (ix) The District Conservationist or program manager shall ensure appropriate reviews have occurred, that the intent of the conservation plan has been met, and that the approved design corresponds with the contract developed to install the practice prior to transmitting the engineering job to participants. This review shall be documented on the title sheet of the drawings with the following statement and the signature of the District Conservationist or program manager: “These construction plans have been appropriately reviewed and meet the intent of the conservation plan. All necessary planning and contracting activities have been completed, and I authorize the commencement of construction activities.”

#### UT501.8 Exhibits

- A. These forms are for internal-use only. These will be distributed through the State Conservation Engineer after concurrence from the Director of Engineering. To obtain a copy of the UT-ENG-14 form contact a local NRCS Field Office Engineer.