

## Chapter 20

### Plans Processing and Revisions

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## Chapter 20

### PLANS PROCESSING AND REVISIONS

#### 20.1 General

This chapter describes in general terms the critical activities required to process the contract plans, specifications and estimate for letting. It identifies the transmittal forms, certifications and other documents prepared by the District and the various offices involved in processing a PS&E package. This chapter also outlines the revision process, and the steps to resubmit a project that has been withdrawn from letting.

All projects must be delivered in electronic format. Because the process is continuously updated, the latest information regarding the letting of electronic plans and specifications (including critical dates) will be posted on the Roadway Design Office web page as new information becomes available:

<http://www.dot.state.fl.us/rddesign/electronic-letting>

Other specific requirements for processing the electronic delivery, including information on the Electronic Delivery software, can be found in the **CADD Manual**, and the **CADD Production Criteria Handbook**, both are located on the Engineering/CADD Systems Office web page:

<http://www.dot.state.fl.us/ecso/downloads/publications/>

#### 20.2 Glossary

**As Built Plans** - The Contract Plans after construction is completed, all revisions including those occurring during construction, have been included and with the title on the key sheet changed to Final Plans.

**Bid Set** - The electronic Contract Plans and Specifications Package, including computation book or the lump sum quantity computation documents, submitted to Contracts Administration for the letting of a project.

**Contract Documents** - The term "Contract Documents" includes: Advertisement for Proposal, Proposal, Certification as to Publication and Notice of Advertisement for

Proposal, Appointment of Agent by Nonresident Contractors, Noncollusion Affidavit, Warranty Concerning Solicitation of the Contract by Others, Resolution of Award of Contract, Executed Form of Contract, Performance Bond and Payment Bond, Standard Specifications, Plans (including revisions thereto issued during construction), Addenda, or other information mailed or otherwise transmitted to the prospective bidders prior to the receipt of bids, work orders, and supplemental agreements, all of which are to be treated as one instrument whether or not set forth at length in the form of contract.

Note: As used in Sections 2 and 3 of the Specifications only, Contract Documents do not include work orders, and supplementary agreements. As used in Section 2 of the Specifications only, Contract Documents also do not include Resolution of Award of Contract, Executed Form of Contract, and Performance and Payment Bond.

**Contract Plans** - The signed and sealed documents prepared during the design phase and used by construction personnel to build a project.

**PS&E** - The Contract Plans, Specifications Package, and Estimates.

**Specifications Package** - The signed and sealed document prepared for inclusion in the Contract documents and which is comprised of Special Provisions, Developmental Specifications, Supplemental Specifications and Appendices.

**REVISIONS:** Revisions are modifications to the PS&E Package/Bid Set after it has been accepted by Central Office Project Review. After authorization to advertise, the Contracts Office processes the revisions as addenda.

- Revision Memos require Director's signature (or designee's).
- Revision Memos between 15 working days and 5 working days prior to letting also require the District Secretary's signature.
- Revisions within 5 working days of the letting are not allowed without final approval from the Director of the Office of Design. These will be rare occurrences and will be evaluated on a project by project basis.

## **20.3 Plans Processing**

### **20.3.1 District Activities**

There are certain plans processing activities that must occur at the District level prior to submitting plans to Tallahassee. These activities have schedule implications which will vary by District. Contact the appropriate District for specific requirements.

Any modification to the plans, specifications or quantities after Estimates changes the Control Group and before the Plans are sent to Tallahassee will be referred to as Plan Changes. These Plans Changes include the modification, deletion, or addition of data on individual sheets, adding new sheets, or the removal of entire sheets. These changes are not revisions and are not noted in the Revision Block on the sheets.

### **20.3.2 Submittal to Tallahassee**

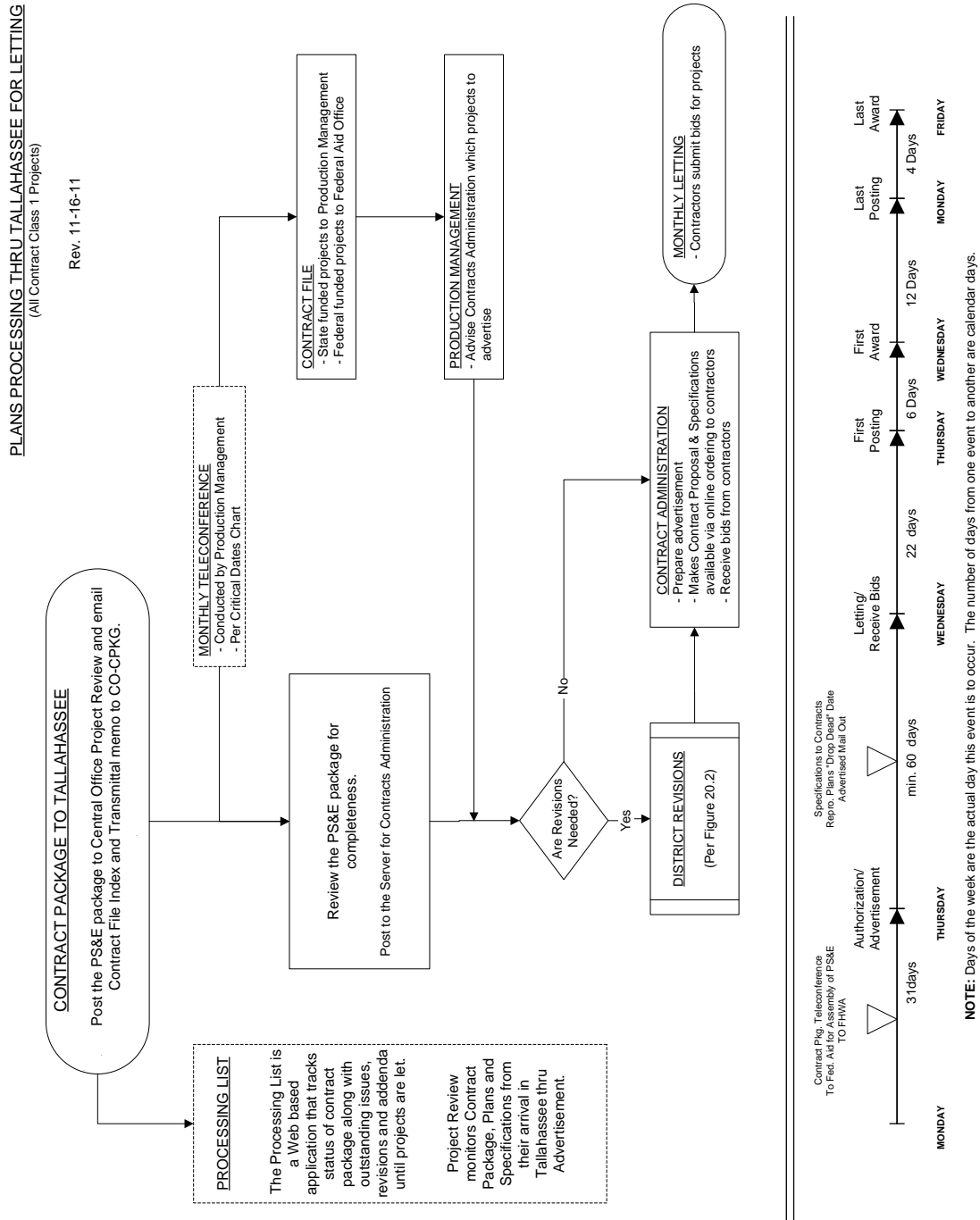
Prepare and post the Bid Set and the Authorization Estimate to the Central Office server no later than the PS&E submittal due date. At the time of the PS&E submittal, transfer control of the Transport project files to the Project Review section of the State Specifications and Estimates Office.

Email the Transmittal of Plans, Specifications and Estimates Package Memo (**Exhibit 20-A**) and the Contract File Index (**Exhibit 20-B**) with attachments, to CO-CPKG with a copy to the Project Manager.

### **20.3.3 Submittal for Letting**

Upon receipt of the Bid Set, the Project Review Section checks the package for completeness and records the date posted. If incomplete, the District Program Management Office is notified to provide a corrected submittal. Once accepted, the Bid Set is posted to the server, for access by Contracts Administration.

Figure 20.1 Plans Processing Thru Tallahassee



## 20.4 Revisions to the Bid Set

Design revisions are modifications to the PS&E Package/Bid Set after it has been accepted by Central Office Project Review. The District Project Manager ensures a revision is completed as follows (see **Figure 20.2**):

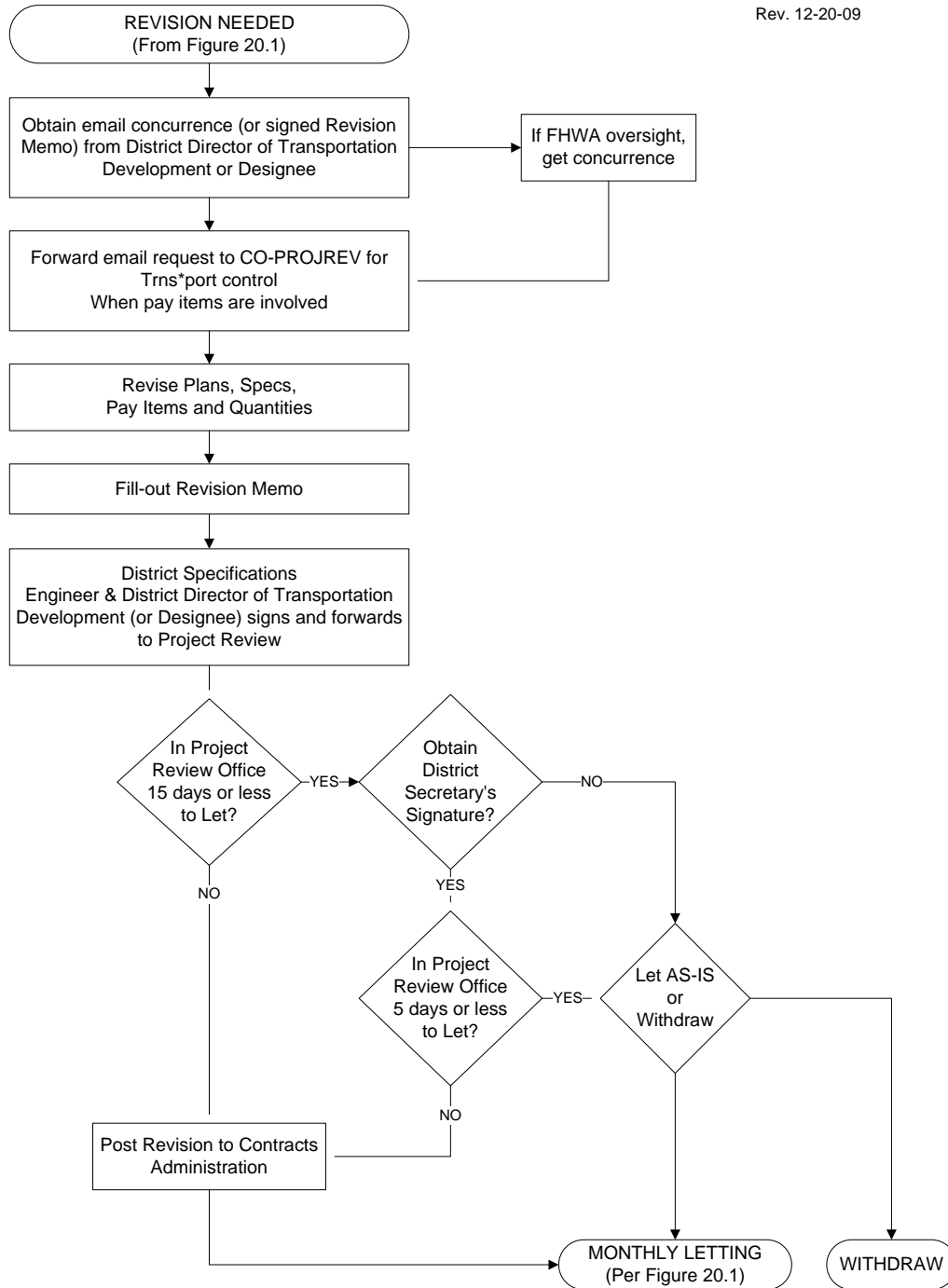
1. All revisions require a completed Revision Memo (**Exhibit 20-C**). When transfer of Trns•port control to the District is needed, obtain an email concurrence from the District Director of Transportation Development (or designee) or a signed Revision Memo and forward to Central Office Project Review (CO-PROJREV). The email will include a summary of the revision. Control will then be returned to the District for a period not to exceed 48 hours.
2. If the project requires Federal Aid Oversight, obtain an email concurrence from FHWA prior to making revisions or requesting transfer of Trns•port control. On the revision memo, include the name of the FHWA contact and the concurrence date. Major changes to plans or specifications on Federal Oversight Projects made during the advertizing period will require the FHWA Division Administrator's approval, prior to issuing addenda. Major changes are defined as:
  - A. Changes that significantly affect the cost of the project (>\$50,000).
  - B. Changes that alter the project termini.
  - C. Changes that alter the character of the project.
  - D. Changes that alter the scope of the work.
3. For revisions to plan sheets other than a Key Sheet, place a conspicuous unique numbered symbol (e.g., a numbered triangle) beside the revision that corresponds to the Plans Revision Number on the Revision Memo. Begin the revision numbering with "1" and number subsequent revisions of the plans, sequentially. Place the revision date, corresponding numbered symbol for the revision, and a brief description of the revision in the Revision Block on each modified sheet. The same applies to adding sheets: however, the added sheets may be numbered with alpha characters (e.g., 22a, 22b, 22c). If a sheet is being deleted, the sheet numbers for the following sheets remain unchanged. For revisions involving revised, added or deleted pay items, see **Exhibit 20-C**.
4. Revised plan sheets other than the Key Sheet are noted in the lower left corner of the Key Sheet in the "Revisions" area. (See **Exhibit KS-1, Chapter 3, Volume 2**). If the changes to a Key Sheet only involve notes in the Revisions area, no entry is made in the Key Sheet Revisions Block at the lower right corner. The Key Sheet Revisions Block is only used to record changes other than

revision notes. Revisions to component sets such as the Signalization Plans are noted in the Revision Block of the modified sheet and on the **Lead** Key Sheet in the Revisions Area. If a sheet is being deleted, this must be noted in the Revisions Area on the Lead Key Sheet, and the Index of Sheets must be revised to show the sheet numbers of the deleted sheets, with a sheet description of "(DELETED)". This also must be recorded in the Key Sheet Revisions Block as a revision to the Index of Sheets. A new Lead Key Sheet is required when any sheet is revised.

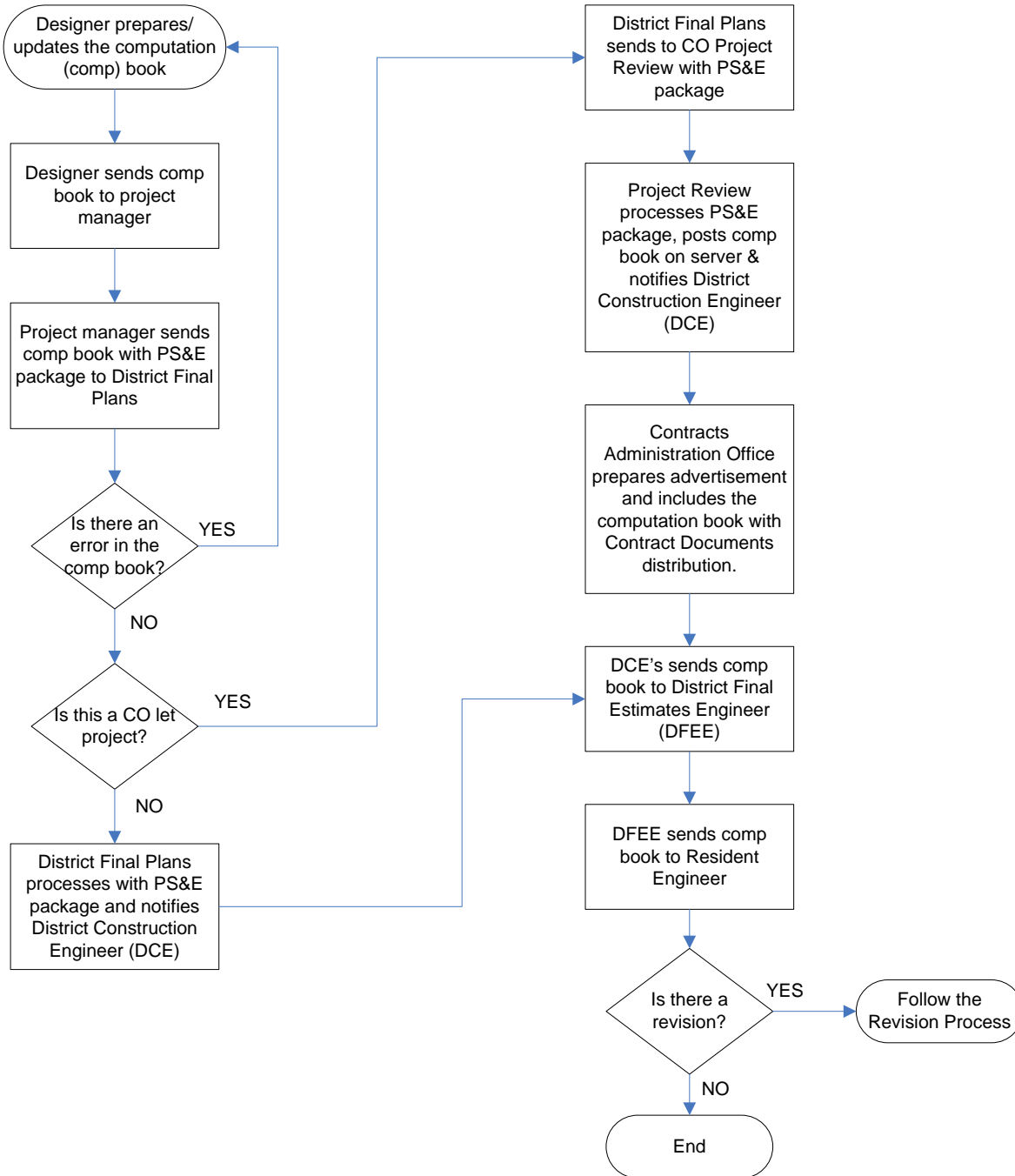
5. The Engineer of Record seals each revised document in accordance with the requirements of **Chapter 19, Sealing Design Documents**, of this volume.
6. Prepare the Revision Memo (**Exhibit 20-C**), providing a Revision Number and describing modifications. Record the revision date for each revised sheet, using the date shown in the revision block on the sheet.
7. District Specifications reviews the revision for any effect on the specifications then dates and signs the Revision Memo.
8. Ensure that any revisions to the Bid Set are posted to the Central Office server. Email the scanned, signed Revision Memo to Project Review, CO-PROJREV.
9. If the Revision will be received in Project Review within 15 working days or less prior to the letting, the District Secretary's signature is required on the Revision Memo. Revisions within five working days of the letting are not allowed without final approval from the Director of the Office of Design. Since there is no assurance that all prospective contractors will get these documents on time to be considered in their bids, approvals for a revision within five working days of the letting will be rare. If the revision is not approved, the project will either be let as is, or be withdrawn from letting. Withdrawing or moving the project to a later letting after advertisement requires approval by the District Secretary and the Chief Engineer.
10. Upon receipt of the scanned, signed Revision Memo, Project Review checks the revisions to the Bid Set for completeness.



**Figure 20.2 District Revisions**



**Figure 20.3 Computation Book Distribution Process**



## 20.5 Re-submittal of Withdrawn Projects

If the District requests that the entire Plans, Specifications and Estimate (PS&E) Package be returned for major revisions before the letting, the project will be resubmitted as follows:

1. Resubmit PS&E Package as a new transmittal with all required components. Note on the Transmittal memo by the Transmittal date "Plans completely revised". Note on the lower left corner of the lead Key Sheet, "Plans completely revised. (date)". Project documents in Central Office from the previous submittal will be destroyed or deleted.
2. A project withdrawn for a significant period (nine months or longer) will be updated according to the process outlined in **Chapter 15**, this volume.

Plans rejected from letting by the Awards Committee or withdrawn for minor revisions may not need to follow the above process. District coordination with Central Office Production Management is required to reschedule a letting. Note that a new Proposal/Contract ID number is generated and shall be shown when resubmitting.

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**Exhibit 20-A Transmittal of Plans, Specifications, and Estimates Package  
Sheet 1 of 2**

**TRANSMITTAL OF PLANS, SPECIFICATIONS, AND ESTIMATES PACKAGE**

**Date:** \_\_\_\_\_  
**Financial Project ID(s):** \_\_\_\_\_  
**Proposal/Contract ID:** T \_\_\_\_\_ **Letting Date:** \_\_\_\_\_  
**County:** \_\_\_\_\_ **State Road No.:** \_\_\_\_\_  
**Federal Funds:**  No  Yes **Federal Aid No.:** \_\_\_\_\_  
**Work Type:** \_\_\_\_\_

On \_\_\_/\_\_\_/\_\_\_\_\_, the District Director of Transportation Development (Production) certified that the Plans, Specifications and Estimates (PS&E) Package is complete, has no known errors or omissions, has been reviewed for constructability and biddability, and is ready to be advertised for construction.

**The following items transmitted as noted:**

**SEALED PLANS SET ( \_\_\_ SHEETS), SPECIFICATIONS PACKAGE ( \_\_\_\_\_ PAGES):** The Electronic Bid Set was reviewed by \_\_\_\_\_ and posted to the server on \_\_\_/\_\_\_/\_\_\_\_\_.

**ESTIMATES OFFICE INFORMATION:**

The Authorization Estimate, will be reviewed by District Estimates and posted to the server by the PS&E submittal due date. At the time of posting, transfer control of the Transport project files to Central Office.

**FEDERAL AID OFFICE INFORMATION:**

**Federal Aid Oversight:**  No  Yes

FHWA: Approved by \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name of FHWA Engineer

**CONTRACTS OFFICE INFORMATION:**

**Contract Time:** \_\_\_\_\_ Calendar Days  
**Special Start Time:**  No  Yes (If yes, Start Date: \_\_\_/\_\_\_/\_\_\_)  
**Flexible Start Time:**  No  Yes (If yes, \_\_\_\_\_ Calendar Days)  
**Acquisition Time:**  Standard  Other (\_\_\_\_\_ days)  
**Alternative Contracting:**  No  Yes

(If yes, Type: \_\_\_\_\_  
(If Lump Sum, Checklist 22-A submitted to District Specifications :  No  Yes)

**Pre-Bid Conference Mandatory?**  No  Yes (Date: \_\_\_/\_\_\_/\_\_\_ Time: \_\_\_\_\_ A.M./P.M.)  
(Contact Person and Phone: \_\_\_\_\_)  
(Location of Conference: \_\_\_\_\_)

**SPECIAL NOTES and REQUIREMENTS (List/Explain):**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If any items are missing please contact, \_\_\_\_\_  
Contact Name and Phone Number

**Exhibit 20-A Transmittal of Plans, Specifications and Estimates Package  
Sheet 2 of 2**

**REMINDER**

1. Check that all components of the Contract Plans are included as listed on the lead key sheet.
2. Check that all sheets are included according to key sheet indices.
3. Check that all sheets have the correct Financial Project ID.
4. Check that all sheets are legible and reproducible.
5. On strung projects, check that all Summary of Pay Item sheets from the Proposal/Contract ID go in the lead project and the Financial Project ID of the strung project is shown on the lead key sheet.
6. Check that bridge pay item sheets show bridge numbers and the quantity breakdowns.
7. E-mail the Transmittal Memo, Contract File Index and attachments to the group "CO-CPKG" and copy the Project Manager.
8. Post the Authorization Estimate to the server, SECCADDSREV.
9. Verify the accuracy of the Description, Project Limits, Mileage and Structures.

Special Notes and Requirements:

Anything that affects the advertisement, bidding and award that is not listed above. i.e.:

For A+B projects, include the User Cost Per Day \$\_\_\_\_\_ and Maximum Days \_\_\_\_\_.

**Exhibit 20-B Contract File Index  
Sheet 1 of 2**

**CONTRACT FILE INDEX**

Financial Project ID \_\_\_\_\_

Proposal/Contract ID \_\_\_\_\_

ATTACHMENTS (check if included or list expected date of transmittal to Central Office)

- \_\_\_\_\_ Calendar Days Recommendation
- \_\_\_\_\_ Preliminary Engineering Certification\*
- \_\_\_\_\_ Utility Certification
- \_\_\_\_\_ Status of Environmental Certification\*
- \_\_\_\_\_ Permit Transmittal Memo
- \_\_\_\_\_ Railroad Clear Letter
- \_\_\_\_\_ Special Component Plan Approval\*\*

- 
- No  Yes Project exempt from FHWA oversight under agreement dated February 21, 2008\*
  - No  Yes Right of Way Certification was mailed to State R/W Administrator
  - No  Yes Local Funds Agreement sent to Office of Comptroller
  - No  Yes Local Funds Sent to Office of Comptroller
  - No  Yes Project is Federally Funded off the State Highway System, requiring a Maintenance Agreement.

If yes, a Maintenance Agreement (Number \_\_\_\_\_) was executed on \_\_\_\_\_.  
A copy is available upon request.

\* Include if federally funded.

\*\* Per Volume 2, Section 2.1.

Note: If project is federally funded and has a state funded "Goes With", please provide the same documentation as required for a federally funded project.

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name of Project Manager/Other Title

**Exhibit 20-B Contract File Index, Sheet 2 of 2**

**REMINDER**

**PROCESS:**

1. Organize attachments in the order listed.
2. Show the number of Maintenance Agreements (Federal funds – off the State Highway System).
3. Show anticipated date of arrival on any item not included in package.

**NOTE:** The Contract File Index is an integral part of the Transmittal of Plans, Specifications and Estimates Package.



**Exhibit 20-C Revision Memo  
Sheet 1 of 6**

DATE: \_\_\_\_\_ 1 of \_\_\_\_  
TO: Project Review (CO-PROJREV)  
FROM: \_\_\_\_\_, Project Manager  
COPIES: DDE, DCPME  
SUBJECT: **Revision Number** \_\_\_\_\_ - Letting (mo./yr.) \_\_\_\_  
Financial Project ID \_\_\_\_\_ (Lead number only)  
Proposal/Contract ID \_\_\_\_\_  
Federal Funds:  No  Yes Federal Aid No. \_\_\_\_\_  
County \_\_\_\_\_ State Road No. \_\_\_\_\_  
Concurred by: \_\_\_\_\_ Date: \_\_\_\_\_  
Signature of Director of Transportation Development or designee

I have reviewed for effects on the Specifications Package and a package revision **is** \_\_\_\_  
**is not** \_\_\_\_ required. Approved By: \_\_\_\_\_ Date: \_\_\_\_\_  
Signature of District Specifications Engineer

If FA Oversight, Authorized By: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name of FHWA Engineer

REVISIONS RECEIVED IN THE PROJECT REVIEW OFFICE WITHIN 15  
WORK DAYS OF THE LETTING MUST BE APPROVED BY THE DISTRICT  
SECRETARY.

NO REVISIONS ALLOWED WITHIN 5 WORK DAYS OF THE LETTING.

Approved By: \_\_\_\_\_ Date: \_\_\_\_\_  
Signature of District Secretary

- SUPPLEMENTAL SPECIFICATIONS PACKAGE NUMBER \_\_\_\_\_ (\_\_\_\_ Pages).
  - REISSUED SPECIFICATIONS PACKAGE \_\_\_\_\_ (\_\_\_\_ Pages).
  - PLANS REVISION NUMBER \_\_\_\_ (\_\_\_\_ Sheets)
- CONTRACT TIME REVISED:  No  Yes (If yes, \_\_\_\_\_ Calendar Days)

**Exhibit 20-C Revision Memo, Sheet 2 of 6**

DATE: \_\_\_\_\_ of \_\_\_\_\_

Financial Project ID \_\_\_\_\_ (Lead number only)

Proposal/Contract ID \_\_\_\_\_

PLANS REVISION NUMBER \_\_\_\_\_

<u>Sheet Nos.</u>	<u>Rev. Date</u>	<u>Description</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

SUPPLEMENTAL SPECIFICATIONS PACKAGE NUMBER \_\_\_\_\_

<u>Sheet Nos.</u>	<u>Rev. Date</u>	<u>Description</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

**Summary of Quantities (Trns\*port)**

Pay Item	Sheet No.	Add. / Del. / Rev.	Old Quantity	New Quantity

## **Exhibit 20-C Revision Memo, Sheet 3 of 6**

### **REMINDER**

#### **PROCESS:**

1. Fill out headings.
2. On oversight projects, get FHWA concurrence. Print name of FHWA Engineer and date.
3. Get concurrence signature from the District Director of Transportation Development or designee.
4. Get signature of the District Specifications Engineer.
5. Revisions received in the Project Review Office within 15 work days of the letting must be approved by the District Secretary. Notify Project Review. Revisions are not allowed within 5 work days of the letting.
6. For Supplemental Specification Packages, fill in the Rev. Date, number of pages and a brief description.
7. Enter the sheet number and:  
Describe new pay item number, Rev. Date with old quantity and new quantity, deleted pay item number only, or revised quantities; by entering pay item number with old and new quantities.
8. On bridges indicate "each bridge number" with corrected changes.
9. If a revision will impact the utility plans, adjustments or schedules, provide a copy of the revision memo and affected plan sheets to the District Utilities Engineer.
10. Any change to any pay item, requires replacement of the entire Proposal Summary of Pay Items.
11. Email the Revision approval to Project Review Section (CO-PROJREV) to unlock the summary of pay items.
12. Email Revision Memo to Project Review.

#### **REVISED DOCUMENTS:**

1. Revised sealed plans sheets including Summary of Pay Items.
2. Revised District Cost Estimate if federally funded.
3. Revised sealed Supplemental Specifications Package.

#### **COMPUTATIONS:**

Show Financial Project ID on revised computation book sheets, and include in revised Bid Set.

**Exhibit 20-C Revision Memo, Sheet 4 of 6**

**EXAMPLE REVISION MEMO**

DATE: March 14, 2007 1 of 2

TO: Project Review (CO-PROJREV)

FROM: \_\_\_\_\_, Project Manager

COPIES: DDE, DCPME

SUBJECT: **Revision Number** \_\_\_\_\_ - Letting (mo./yr.) \_\_\_\_\_ / \_\_\_\_\_

Financial Project ID 197707-1-52-01 (Lead number only)

Proposal/Contract ID T1235

Federal Funds:  No  Yes Federal Aid No. \_\_\_\_\_

County County Name State Road No. 25

Concurred by: \_\_\_\_\_ Date: \_\_\_\_\_  
Signature of Director of Transportation Development or designee

I have reviewed for effects on the Specifications Package and a package revision **is** \_\_\_\_\_  
**is not** \_\_\_\_\_ required. Approved By: \_\_\_\_\_ Date: \_\_\_\_\_  
Signature of District Specifications Engineer

If FA Oversight, Authorized By: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name of FHWA Engineer

REVISIONS RECEIVED IN THE PROJECT REVIEW OFFICE WITHIN 15 WORK DAYS OF THE LETTING MUST BE APPROVED BY THE DISTRICT SECRETARY.

NO REVISIONS ALLOWED WITHIN 5 WORK DAYS OF THE LETTING

Approved By: \_\_\_\_\_ Date: \_\_\_\_\_  
Signature of District Secretary

SUPPLEMENTAL SPECIFICATIONS PACKAGE NUMBER \_\_\_\_\_ (\_\_\_\_ Pages).

REISSUED SPECIFICATIONS PACKAGE \_\_\_\_\_ (\_\_\_\_ Pages).

PLANS REVISION NUMBER 2 ( 4 Sheets)

CONTRACT TIME REVISED:  No  Yes (If yes, \_\_\_\_\_ Calendar Days)

**Exhibit 20-C Revision Memo, Sheet 5 of 6**

**EXAMPLE REVISION MEMO**

DATE: March 14, 2007

2 of 2

Financial Project ID 197707-1-52-01 (Lead number only)

Proposal/Contract ID T1235

PLANS REVISION NUMBER 2

<u>Sheet Nos.</u>	<u>Rev. Date</u>	<u>Description</u>
<u>1</u>	<u>3-14-07</u>	<u>Listed Revisions</u>
<u>2</u>	<u>3-14-07</u>	<u>See Summary of Quantities Table below</u>
<u>3</u>	<u>3-14-07</u>	<u>See Summary of Quantities Table below</u>
<u>4</u>	<u>3-14-07</u>	<u>Transport updated.</u>

SUPPLEMENTAL SPECIFICATIONS PACKAGE NUMBER \_\_\_\_\_

<u>Sheet Nos.</u>	<u>Rev. Date</u>	<u>Description</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

**Summary of Quantities (Trns\*port)**

<b>Pay Item</b>	<b>Sheet No.</b>	<b>Add. / Del. / Rev.</b>	<b>Old Quantity</b>	<b>New Quantity</b>
<b>120-1</b>	<b>2</b>	<b>Rev</b>	<b>121,172 CY</b>	<b>128,237 CY</b>
<b>120-6</b>	<b>2</b>	<b>Rev</b>	<b>96,143 CY</b>	<b>95,680 CY</b>
<b>425-1-559</b>	<b>2</b>	<b>Add</b>		<b>1 EA</b>
<b>530-3-3</b>	<b>3</b>	<b>Rev</b>	<b>54.7 TN</b>	<b>57.7 TN</b>
<b>530-3-4</b>	<b>3</b>	<b>Rev</b>	<b>86-7 TN</b>	<b>32.0 TN</b>

**Exhibit 20-C Revision Memo, Sheet 6 of 6  
EXAMPLE SUMMARY OF PAY ITEMS SHEET**

NOTE: THE OFFICIAL RECORD OF THIS SHEET IS THE ELECTRONIC FILE SIGNED AND SEALED UNDER RULE 69S-23.003, F.A.C.

DATE	DESCRIPTION	REVISIONS	STATE OF FLORIDA	DEPARTMENT OF TRANSPORTATION	FINANCIAL PROJECT ID	SHEET NO.
3/14/07	REVISOR	7/14/08	25	POLK	197707-1-52-01	2
5/16/07	REVISOR		25	POLK	197707-1-52-01	
6/1/07	REVISOR		25	POLK	197707-1-52-01	
1	DATE: 07/14/08 PROPOSAL: T1235 PROJECT(S): 19770715201 COUNTY/SECTION: 16180000		FLORIDA DEPARTMENT OF TRANSPORTATION PROPOSAL SUMMARY OF PAY ITEMS			PAGE: 1 A000/ MANDIST: 01
5	ALT	0001 SUMMARY OF ROADWAY				
6	ALT	0001 SUMMARY OF ROADWAY				
7	ALT	0001 SUMMARY OF ROADWAY				
1	DATE: 06/11/07 PROPOSAL: T1235 PROJECT(S): 19770715201 COUNTY/SECTION: 16180000		PROPOSAL SUMMARY OF PAY ITEMS			PAGE: 2 A000/ MANDIST: 01
5	ALT	0001 SUMMARY OF ROADWAY				
6	ALT	0001 SUMMARY OF ROADWAY				
7	ALT	0001 SUMMARY OF ROADWAY				

**Exhibit 20-D Status of Environmental Certification  
Sheet 1 of 2**

**STATUS OF ENVIRONMENTAL CERTIFICATION**

Financial Project ID \_\_\_\_\_  
Proposal/Contract ID \_\_\_\_\_  
Federal Aid No. \_\_\_\_\_  
County \_\_\_\_\_  
Project Manager \_\_\_\_\_  
Project Description \_\_\_\_\_

This project is a Categorical Exclusion under 23 C.F.R. 771.117:

\_\_\_\_\_ This project is a Type 1 Categorical Exclusion under (23 CFR 771.117(c)) effective November 27, 1987 as determined on \_\_\_\_\_, and the determination remains valid.

\_\_\_\_\_ This project is a Programmatic Categorical Exclusion per FHWA, FTA, and FDOT Agency Operating Agreement executed on January 15, 2003 as determined on \_\_\_\_\_, and the determination remains valid.

The environmental document for this project was a (check one):

\_\_\_\_\_ A Type 2 Categorical Exclusion under 23 C.F.R. 771.117(d) approved on \_\_\_\_\_,

\_\_\_\_\_ A Finding of No Significant Impact under 23 C.F.R. 771.121 approved on \_\_\_\_\_, or

\_\_\_\_\_ A Final Environmental Impact Statement under 23 C.F.R. 771.125 approved on \_\_\_\_\_.

A reevaluation in accordance with 23 C.F.R. 771.129 was (check one):

\_\_\_\_\_ Approved on \_\_\_\_\_.

\_\_\_\_\_ Not required.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Environmental Administrator

**Exhibit 20-D      Status of Environmental Certification**  
**Sheet 2 of 2**

**REMINDER**

**Exhibit 20-D** must be completed on all federally funded projects. On federally funded projects that are strung with non-FA projects the entire project contract becomes federalized. This means that both the state funded project and the federally funded project must comply with all applicable federal laws, rules and regulations related to the federalized contract. In addition, the FA project is to be the lead project.

Regarding federal environmental compliance under NEPA, the project limits of the approved final environmental document will control the scope of compliance with NEPA requirements. NEPA requirements (including staging areas and Contractors' off-site activities) must only be met for that portion of the project included within the "logical termini" as described in the NEPA document associated with the federally funded portion of the federalized contract.



**Exhibit 20-E Preliminary Engineering Certification  
Sheet 1 of 2**

**MEMORANDUM**

DATE: \_\_\_\_\_

TO: \_\_\_\_\_, Federal Aid Programs Manager

FROM: \_\_\_\_\_, Design Project Manager

COPIES:

SUBJECT: **PRELIMINARY ENGINEERING CERTIFICATION** (Federal Aid Projects Only)

Financial Project ID \_\_\_\_\_

Proposal/Contract ID \_\_\_\_\_

Federal Aid No. \_\_\_\_\_

County \_\_\_\_\_

Project Description \_\_\_\_\_

Preliminary Engineering (design) was funded with:

\_\_\_\_\_ State Funds under,  
Financial Project ID \_\_\_\_\_

\_\_\_\_\_ Federal Funds authorized under,  
Federal Aid No. \_\_\_\_\_  
Financial Project ID \_\_\_\_\_

The following projects, designed with the same Preliminary Engineering funds,  
will be strung to (awarded with) the subject project:

Federal Aid No. \_\_\_\_\_, Financial Project ID \_\_\_\_\_,

Federal Aid No. \_\_\_\_\_, Financial Project ID \_\_\_\_\_.

The Preliminary Engineering for the subject project is \_\_\_\_\_ open/ \_\_\_\_\_ closed. If open,  
\_\_\_\_\_ it will be closed after PS&E authorization, or

\_\_\_\_\_ it is a district wide project. Task order number \_\_\_\_\_ for this project is closed.

The financial number will be open for other projects.

\_\_\_\_\_ it will remain open for additional charges, as follows: \_\_\_\_\_

\_\_\_\_\_

The FDOT Project Manager may be contacted at (phone): \_\_\_\_\_

**Exhibit 20-E Preliminary Engineering Certification  
Sheet 2 of 2**

**REMINDER**

Under "Preliminary Engineering (design) was funded with:"

The Financial Project ID should always have a 3X phase in it. 3X is for  
Preliminary Engineering (design). Example: 415211-1-32 01  
or 415211-1-31 01

## 20.6 Retention of Electronic Documents

The documents and files created throughout the life of a project must be retained in electronic format. There are several different storage systems used for retaining these records. See **Figure 20.4**.

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**Figure 20.4 Storage of Electronic Documents**

		Electronic Data Management System (EDMS)			
		Legal Records for Department of State Requirements - Image files (TIF) only			
		For Information on Specific Document Types stored in each Group contact the Responsible Office			
TIMS	PEDDS DATABASE	DESIGN EDMS	CONTRACTS EDMS	CONSTRUCTION EDMS	STRUCTURES MANAGEMENT EDMS
File management system for In-house CADD file check in/out.  Allows for multiple users to work on same files.  Working files only.  Can be used during Construction Phase to prepare As-Built Plans.	Electronic Vault for Storage of electronically signed files  For Storage of: -Project CD -Plans and Specs CD -Revisions CD -Cat II Bridge As-Built files  Files stored in the PEDDS Database cannot be overwritten.	<u>Design Records</u>  Groups Architectural Community Involvement Drainage Environmental Permits Estimates FDOT Publications Geotechnical/Materials Landscaping Lighting Product Evaluation Project Management Rdwy Design Documentation <b>Does not include Plans</b> Roadway Resource Library Specifications Structures Structures Resource Library Tolls Facilities Traffic Design Utility Agreements	<u>Contracts Records</u>  Groups Construction Contracts: - Amendments - Bid Blank - Certificate Of Insurance - Contract - Federal Aid Contract - Provisions - Permits - Pertinent Pages - Proposal - Special Provisions - Specifications - Supplemental - Specifications - Utility Work Schedule - Wage Rate Supporting Construction Contract Documents: - Award Letter - Correspondence - Daily Diaries - Execution Letter - Final Estimates - Package - Work Progress	<u>Construction Records</u>  Groups Claim Compliance Contract Changes Includes Design Errors and Omissions, Field SA/Work Orders and SA/Change Orders Contract Documents <b>Does not include Plans</b> Daily Diary Estimates Final Estimates General Correspondence Job Correspondence Material Sampling and Reporting Pre-Letting Includes Design Correspondence Quality Assurance/Quality Control Service Contracts Shop Drawing Transmittals Structure Sublet Work Time Correspondence Unpaid Bills Utility	<u>Maintenance Records</u>  Groups Bridge Plans and Specifications Bridge Record Bridge Shop Drawings Correspondence Geotechnical High Mast Record Sign Record Structural Calculations - As-Bid Plans - As-Built Plans - Repair As-Bid Plans - Repair As-Built Plans - Widening As-Bid Plans - Widening As-Built Plans