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Chapter 20

Plans Processing and Revisions

20.1 Plans Processing and Revisions Prior to Award

20.1.1 General

This section 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 This chapter also outlines the revision process, and the steps to resubmit a project that has been withdrawn from letting.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 Digital Delivery format. (See CADD Manual). The latest information regarding the letting of electronic plans and specifications (including critical dates) will be posted on the Final Plans web page as new information becomes available: http://www.dot.state.fl.us/programmanagement/FinalPlans/Default.shtm

Other specific requirements for processing the electronic delivery, including information on the Electronic Delivery software, can be found in the CADD Manual which is located on the Engineering/CADD Systems Office web page: http://www.dot.state.fl.us/ecso/

20.1.2 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 digital Contract Plans and Specifications Package, submitted to Contracts Administration for the letting of a project. The files composing the Bid Set are described in the CADD Manual.
Modification for Non-Conventional Projects:

Delete *Bid Set* term from Glossary.

**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 Non-resident Contractors, Non-collusion 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.

Modification for Non-Conventional Projects:

Delete *Contract Documents* term from Glossary and replace with the following:

**Contract Documents** - The term “Contract Documents” includes: Advertisement, Request for Proposal (RFP), the Design and Construction Criteria Package, the Technical and Price Proposal, Certification as to Publication and Notice of Advertisement for Proposal, Appointment of Agent by Nonresident Contractors, Non-collusion Affidavit, Warranty Concerning Solicitation of the Contract by Others, Resolution of Award of Contract, Executed Form of Contract, Performance Bond and Payment Bond, Design Liability Insurance, Specifications, plans (including revisions thereto issued during construction), Addenda, written statements or transcripts or minutes of oral representation by Design-Build Firm made at oral presentations, 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.

**Contract Plans** - The signed and sealed documents prepared during the design phase and used by construction personnel to build a project.
Local Agency Funding Agreement – An agreement used when Local Agencies provide funds to the Department for a specific project, often that are not on the State Highway System. This funding needs to be documented with an Agreement that should include provisions for additional funding for contingency. These Agreements must be coordinated through the Comptroller’s office and is covered by procedure LOCALLY FUNDED AGREEMENTS (NON-PTO) – FINANCIAL PROVISIONS AND PROCESSING (Topic Number: 350-020-300-n).

Maintenance Agreement – An agreement with a Local Agency for the maintenance responsibilities of a federally funded project. This agreement is required for construction projects let by FDOT for work not on the State Highway System and must be obtained prior to the authorization for construction of the project

Plans, Specifications & Estimates (PS&E) Submittal - The Project documents and files prepared in accordance with the CADD Manual to include all Bid Set instruction.

Revisions - Revisions are modifications to the PS&E Submittal after it has been accepted by Central Office Final Plans section. After authorization to advertise, the Contracts Office processes the revisions as addenda.

<table>
<thead>
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<th>Modification for Non-Conventional Projects:</th>
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<tbody>
<tr>
<td>Delete the Revisions term from Glossary and replace with the following.</td>
</tr>
<tr>
<td>Revisions – Revisions are modifications to the plan sheets and specification package after initial “Released for Construction” stamping.</td>
</tr>
</tbody>
</table>

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.

Strung Project (A.K.A. “Goes With”) - Two or more projects let in the same contract. Any Federal Aid project must be designated the Lead Project. See the CADD Manual for Bid Set preparation instruction.
20.1.3 Plans Processing

20.1.3.1 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 Project Preconstruction (PrP) Workflow/Phase 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.

20.1.3.2 Submittal to Tallahassee

Prepare and post the PS&E Submittal 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 AASHTOWare Project Preconstruction™ (formerly TRNS•PORT) project files to the Final Plans section of the State Program Management 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.

20.1.3.3 Submittal for Letting

Upon receipt of the PS&E Submittal, the Final Plans 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 PS&E Submittal is posted to the server, for access by Contracts Administration.
Figure 20.1.1  Plans Processing For Tallahassee Letting

POST THE PS&E SUBMITTAL TO CENTRAL OFFICE FINAL PLANS AND EMAIL CONTRACT FILE INDEX AND TRANSMITTAL MEMO TO CO-CPKG.

PROCESSING LIST
The Processing List is a Web based application that tracks status of contract packages until advertisement. Final Plans monitors Contract Package, Plans and Specifications from their arrival in Tallahassee thru Advertisement.

CONTRACT FILE
- State funded projects to Production Management
- Federal funded to Federal Aid Office

MONTHLY LETTING
Contractors submit bids for projects.

CONTRACT ADMINISTRATION
- Prepare advertisement
- Make Contract Proposal, Plans & Specifications available via online ordering to contractors.
- Receive bids from contractors.

PRODUCTION MANAGEMENT
- Advise Contract Administration which projects to advertise.

Are Revisions Needed?

REV 10-9-15

Yes

DISTRICT REVISIONS
(Per Figure 20.2)

No

CONTRACT ADMINISTRATION
- Prepare advertisement
- Make Contract Proposal, Plans & Specifications available via online ordering to contractors.
- Receive bids from contractors.

CONTRACTS ADMINISTRATION
- Prepare advertisement
- Make Contract Proposal, Plans & Specifications available via online ordering to contractors.
- Receive bids from contractors.

MONTHLY LETTING
Contractors submit bids for projects.

DISTRICT REVISIONS
(Per Figure 20.2)
20.1.4 Revisions to the PS&E Submittal

Design revisions are modifications to the PS&E Submittal after it has been accepted by Central Office Final Plans. The District Project Manager ensures a revision is completed as follows (see Figure 20.1.2):

1. All revisions require a completed Revision Memo (Exhibit 20-C). When the District needs access to AASHTOWare Project Preconstruction™ (formerly TRNS•PORT) for the project after the PS&E submittal has been accepted, obtain an email concurrence from the District Director of Transportation Development (or designee) or a signed Revision Memo and forward to Central Office Final Plans (CO-FINALPLANS). The email will include a summary of the revision. Access will then be returned to the District for a period not to exceed 2 business days.

2. If the project requires Federal Aid Oversight, obtain an email concurrence from FHWA prior to making revisions or requesting District access to the AASHTOWare Project Preconstruction™ (formerly TRNS•PORT) for the project. 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 advertising 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. If information on the Transmittal Memo changes due to Project updates, submit a revised Transmittal Memo whether it is a formal Revision or not.

4. 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.

5. 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.

6. The Engineer of Record signs and seals each revised document in accordance with the requirements of *Chapter 19, Sealing Design Documents*, of this Volume.

7. 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.

8. District Specifications reviews the revision for any effect on the specifications then dates and signs the Revision Memo.

9. Ensure that any revisions to the PS&E Submittal are posted to the Central Office server. Email the scanned, signed Revision Memo to Final Plans, CO-FINALPLANS.

10. If the Revision will be received in Final Plans 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.

11. Upon email receipt of the signed Revision Memo, Final Plans checks the revisions to the PS&E Submittal for completeness.

12. Mandatory Specification Revisions issued from Central Office will be processed by Supplemental Specifications Package. Signatures are not required on the Revision Memo for Mandatory Specification Revisions unless other Revisions are included with the package.
Figure 20.1.2 District Revisions

REVISION NEEDED
(from figure 20-1)

Is this a Mandatory?
Yes
No

Obtain email concurrence (or signed Revision Memo) from District Director of Transportation or Designee.

FHWA Oversight?
Yes
No

Get concurrence from FHWA.

Forward email request to CO-FinalPlans for AASHTOWare Project Preconstruction™ access when pay items are involved.

Revise Plans, Specs, Pay Items and Quantities.

Prepare Revision Memo.

District Specifications Engineer & Director of Transportation Development (or Designee) signs the Revision Memo.

Within 5 days of letting?
Yes
No

Request approval to process a revision from Director, Office of Design through the Final Plans Office.

Approved for letting?
Yes
No

Let as is?
Yes
No

Withdraw

Monthly Letting (Per figure 20.1)

Within 15 days of letting?
Yes
No

Post Revision to Final Plans server and forward Revision Memo to Final Plans.

Prepare Supplemental Specifications Package.

Prepare Revision Memo.
20.1.5 Re-submittal of Withdrawn Projects

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

1. Resubmit PS&E Submittal 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, of 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 must be shown when resubmitting.
THIS PAGE LEFT BLANK INTENTIONALLY
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: ___________________ Letting Date: ___________ Re-Let:  □ No  □ Yes
County: __________________________ State Road No.: __________________________
Federal Funds: □ No  □ Yes
Project Manager Name and Phone Number: __________________________
Federal Aid No.: __________________________
E.O.R. Name, Firm and Phone Number: __________________________
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 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
Select One:
□ Standard Acquisition Time: 15 Days
□ Other Acquisition Time: _____ Days (Approval required if more than 120 Days)
□ Flexible Start Time: _____ Days (Approval required if more than 120 Days)
□ Special Start Date: (Approval required for SP0080303B and SP0080303C)
Business Development Initiative Project  □ No  □ Yes
Alternative Contracting:  □ No  □ Yes
(If yes, Type: __________________________)
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

REMEMBER

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. 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, such as:
   a. Railroad Insurance
   b. Developmental Specifications
   c. Alternative Contracting items such as Scope Alternates
   d. Budgetary Ceilings
   e. Additional Insured Endorsement parties
   f. 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 __________________________ Propossl/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 ([Form 650-050-13](#)) (Federally-Funded Project) or ([Form 650-050-14](#)) (State-Funded Project)
- [ ] Permit Transmittal Memo **
- [ ] Railroad Clear Letter
- [ ] FDOT/FGT Encroachment Agreement
- [ ] Certificate for Construction ([Form 575-095-05](#))
- [ ] Executed copy of MMOA for Projects with Patterned Pavement
- [ ] Approval if SP0080701B Computation of Contract Time is used.
- [ ] Landscape Exception Approval per Engineering and Operations Bulletin 13-1

- [ ] No  [ ] Yes  Project exempt from FHWA oversight under agreement dated November 15, 2012*
- [ ] No  [ ] Yes  Right of Way Certification was mailed to State R/W Administrator
- [ ] No  [ ] Yes  [ ] N/A Local Funds Agreement sent to Office of Comptroller
- [ ] No  [ ] Yes  [ ] N/A Local Funds Sent to Office of Comptroller
- [ ] No  [ ] Yes  [ ] N/A 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.

** Must have District Secretary Approval if Permits are not received by Authorization ([Federally Funded Projects Only](#)).

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

REMEMBER

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.

4. The **Status of Environmental Certification** must be completed on all federally and state funded projects. For federally funded projects, use the Status of Environmental Certification for Federal Project, Form #650-050-13. For state funded only, non-federal eligible (NFE) projects, use the Status of Environmental Certification for State Funded Project, Form #650-050-14. On federally funded projects that are strung with NFE 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 federally funded 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.

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: Final Plans (CO-FINALPLANS)

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. __________

Mandatory Only: □ No □ Yes (*If Yes, Signatures Not Required.)

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 FINAL PLANS 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

WITHOUT APPROVAL.

*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, _____ Total 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 _______

<table>
<thead>
<tr>
<th>Sheet Nos.</th>
<th>Rev. Date</th>
<th>Description</th>
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SUPPLEMENTAL SPECIFICATIONS PACKAGE NUMBER ______

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<th>Sheet Nos.</th>
<th>Rev. Date</th>
<th>Description</th>
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</tbody>
</table>

Summary of Quantities

<table>
<thead>
<tr>
<th>Pay Item</th>
<th>Sheet No.</th>
<th>Add. / Del. / Rev.</th>
<th>Old Quantity</th>
<th>New Quantity</th>
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Exhibit 20-C  Revision Memo, Sheet 3 of 6

REMINDER

PROCESS:
1. Fill out headings.
2. Mandatory Only revisions must not have other revisions included to remain exempt from signature requirement.
3. On oversight projects, get FHWA concurrence. Print name of FHWA Engineer and date. *(Not required for Mandatory Only Revisions.)*
4. Get concurrence signature from the District Director of Transportation Development or designee. *(Not required for Mandatory Only Revisions.)*
5. Get signature of the District Specifications Engineer. *(Not required for Mandatory Only Revisions.)*
6. Revisions received in the Final Plans Office within 15 work days of the letting must be approved by the District Secretary. *(Not required for Mandatory Only Revisions.)* Notify Final Plans. 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.
7. For Supplemental Specification Packages, fill in the Rev. Date, number of pages and a brief description.
8. 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.
9. On bridges indicate “each bridge number” with corrected changes.
10. 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.
11. Any change to any pay item, requires replacement of the entire Proposal Summary of Pay Items.
12. Email the Revision approval to Final Plans Section (CO-FINALPLANS) to unlock the summary of pay items.
13. Email Revision Memo to Final Plans.

REVISED DOCUMENTS:
1. Revised sealed plans sheets including Summary of Pay Items and Summary of Quantities sheets.
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 make available to the District Construction Engineer.
EXHIBIT 20-C  REVISION MEMO, SHEET 4 OF 6

EXAMPLE REVISION MEMO

DATE: March 15, 2016

TO: Final Plans (CO-FINALPLANS)

FROM: ___________________________ John Doe, Project Manager

COPIES: DDE, DCPME

SUBJECT: **Revision Number 3** - Letting (mo./yr.) 05/16

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

Proposal/Contract ID T1234

Federal Funds: ☑No ☐Yes

Federal Aid No. ______00A1-234-B

County ______ Leon ___________ State Road No. 25

Mandatory Only: ☑No ☐Yes (*If Yes, Signatures Not Required.)

*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 FINAL PLANS 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 WITHOUT APPROVAL.

*Approved By: ___________________________ Date: __________

Signature of District Secretary

☐ SUPPLEMENTAL SPECIFICATIONS PACKAGE NUMBER 1______

(____3_Pages).

☐ REISSUED SPECIFICATIONS PACKAGE _________ (____Pages).

☑ PLANS REVISION NUMBER 2______ (____4_Sheets)

CONTRACT TIME REVISED: ☑ No ☐ Yes  (If yes, ______ Total Calendar Days)
EXHIBIT 20-C  Revision Memo, Sheet 5 of 6

EXAMPLE REVISION MEMO

DATE: March 15, 2016

Financial Project ID 197707-1-52-01 (Lead number only)
Proposal/Contract ID T1235

PLANS REVISION NUMBER 2

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<th>Description</th>
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<tr>
<td>2</td>
<td>3-15-16</td>
<td>See Summary of Quantities Table below</td>
</tr>
<tr>
<td>3</td>
<td>3-15-16</td>
<td>See Summary of Quantities Table below</td>
</tr>
<tr>
<td>4</td>
<td>3-15-16</td>
<td>Summary of Pay Items updated</td>
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SUPPLEMENTAL SPECIFICATIONS PACKAGE NUMBER 1

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<tbody>
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Summary of Quantities

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<th>Pay Item</th>
<th>Sheet No.</th>
<th>Add. / Del. / Rev.</th>
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### Exhibit 20-C  Revision Memo, Sheet 6 of 6

#### EXAMPLE SUMMARY OF PAY ITEMS SHEET

[Table content]

---

**Notes and Comments**

- Sheet 2
- [Table rows]
- [Table columns]
- [Table data]
Exhibit 20-D  Preliminary Engineering Certification
Sheet 1 of 2

MEMORANDUM

DATE:  ___________
TO:  ___________, Federal Aid Programs Manager
FROM:  ___________, Design Project Manager

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-D       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

*Preliminary Engineering Certification* is required if Federal Funds are used for either
Design or Construction phases.
Exhibit 20-E  Sample Local Agency Maintenance Agreement  
for Work Performed by the Department  
Sheet 1 of 3

Financial Project ID: ______________________  
Federal Aid No. ______________________  
Local Agency: ______________________  
Project Description: ______________________  
Bridge No.: ______________________

MAINTENANCE AGREEMENT

THIS AGREEMENT, made and entered into on this _____ day of _____,  
20___, by and between the STATE OF FLORIDA DEPARTMENT OF  
TRANSPORTATION (hereinafter called “DEPARTMENT”), and  
____________________, Florida (hereinafter called “LOCAL AGENCY”);  
WITNESSETH:

WHEREAS, the DEPARTMENT is preparing to undertake a project within the LOCAL  
AGENCY and LOCAL AGENCY identified and known to the parties by Financial Project  
I.D. ____________ which will be of benefit to the LOCAL AGENCY; and  
WHEREAS, approval of federal aid necessary to the project requires agreement by  
the LOCAL AGENCY to maintain the project;  
NOW, THEREFORE, in consideration of the premises, the parties hereby agree as  
follows:

1. The DEPARTMENT will undertake the project and obtain approval of the  
Federal Highway Administration for federal participation.

2. Upon completion and acceptance, the LOCAL AGENCY will assume  
responsibility for maintenance of the project and will conduct such maintenance  
in accordance with approved state standards.

3. To the extent permitted by law, LOCAL AGENCY must indemnify, defend, and  
hold harmless the DEPARTMENT and all of its officers, agents, and employees  
from any claim, loss, damage, cost, charge, or expense arising out of any act,  
error, omission or negligent act by LOCAL AGENCY, its agents, or employees,  
during the performance of the Agreement, except that neither LOCAL AGENCY,  
its agents, or its employees will be liable under this paragraph for any claim, loss,  
damage, cost, charge, or expense arising out of any act, error, omission, or  
negligent act by the DEPARTMENT or any of its officers, agents, or employees  
during the performance of the Agreement. Nothing herein must waive the rights  
of sovereign immunity of either party.
Exhibit 20-E Sample Local Agency Maintenance Agreement
For Work Performed by the Department
Sheet 2 of 3

4. In the event there are cost overruns, supplemental agreements (specifically incurred in the areas located off the State Highway System), and or liquidated damages not eligible to be paid for by federal funds due to the Federal Highway Administration determining that said costs are non-participating costs, the LOCAL AGENCY must be responsible for one-hundred percent (100%) of the funds required to make up the shortfall not paid by federal funds. The Project is off of the “State Highway System,” therefore, in accordance with Section 339.08(1), Florida Statutes, State funding cannot be used for payments of non-participating costs on this Project. (Examples of non-participating items could be fishing piers; premium costs due to design or CEI errors or omissions; material or equipment called in for the plans but not used in the construction, as referenced in the Federal Aid Policy Guide 23, CFR Section 635.120).

   a. Should such shortfalls occur, due to a determination that said costs are non-participating, the (LOCAL AGENCY) agrees to provide, without delay, a deposit within fourteen (14) calendar days of notification from the Department, to ensure that cash on deposit with the Department is sufficient to fully fund the shortfall. The Department must notify the (LOCAL AGENCY) as soon as it becomes apparent there is a shortfall; however, failure of the Department to so notify the (LOCAL AGENCY) must not relieve the (LOCAL AGENCY) its obligation to pay for its full participation of non-participating costs during the Project and on final accounting, as provided herein below. If the (LOCAL AGENCY) cannot provide the deposit within fourteen (14) days, a letter must be submitted to and approved by the Department’s project manager indicating when the deposit will be made. The (LOCAL AGENCY) understands the request and approval of the additional time could delay the project, and additional non-participating costs may be incurred due to the delay of the project.

5. The DEPARTMENT intends to have its final and complete accounting of all costs incurred in connection with the work performed hereunder within three hundred sixty days (360) of final payment to the Contractor. The Department considers the Project complete when the final payment has been made to the Contractor, not when the construction work is complete. All non-participating Project cost records and accounts must be subject to audit by a representative of the (LOCAL AGENCY) for a period of three (3) years after final close out of the Project. The (LOCAL AGENCY) will be notified of the final non-participating cost of the project. Both parties agree that in the event the final accounting of total non-
participating costs pursuant to the terms of this Agreement is less than the total deposits to date, a refund of the excess will be made by the Department to the (LOCAL AGENCY). If the final accounting is not performed within three hundred and sixty (360) days, the (LOCAL AGENCY) is not relieved from its obligation to pay.

6. In the event the final accounting of total non-participating costs are greater than the total deposits to date, the (LOCAL AGENCY) will pay the additional amount within forty (40) calendar days from the date of the invoice from the Department. The (LOCAL AGENCY) agrees to pay interest at a rate as established pursuant to Section 55.03, Florida Statutes, on any invoice not paid within forty (40) calendar days until the invoice is paid.

7. Any payment of funds under this Agreement provision will be made directly to the Department for deposit.

IN WITNESS WHEREOF, the parties hereto have set their hands and seals on the day and year first above written.

HOLMES LOCAL AGENCY, LOCAL AGENCY OFFICIAL
STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION

By:___________________________ By:___________________________
Title:__________________________ District Secretary

(Type Name)

ATTEST: ATTEST:

Clerk (Seal) Executive Secretary (Seal)

LEGAL APPROVAL: LEGAL APPROVAL:

LOCAL AGENCY Attorney Senior Attorney

(Type Name)
20.2 Plans Processing and Revisions after Award

20.2.1 General

This section outlines the process for incorporating design revisions after award, and outlines the steps for review by the Department.

Modification for Non-Conventional Projects:

Delete **PPM** 20.2.1 and replace with the following:

**20.2.1 General**

This section outlines the process for submitting component plan phase submittals as well as the review component plan phase submittals by the Department's discipline reviewers. It also outlines “Released for Construction” stamping process prior to beginning work as well as the plans process for incorporating design revisions initiated by the Design Build Firm after initial “Released for Construction” stamping.

20.2.2 Revisions after Award

It is the responsibility of the District Project Manager or his designee to coordinate a review of design revision submittals performed by the appropriate District and Central Office discipline phase reviewers.

Modification for Non-Conventional Projects:

Delete the title of **PPM** 20.2.2 and the first sentence and replace with the following:

**20.2.2 Plans Processing After Award and Revisions after Initial “Released for Construction” Stamping**

**20.2.2.1 Component Submittal Reviews**

It is the responsibility of the District Project Manager or his designee to coordinate a review of all Component Plans submittals with the appropriate District and Central Office discipline phase reviewers.
Plans must meet the minimum contents of a particular phase submittal prior to submission for review per the requirements of the RFP and Chapter 26 of this Volume as well as Chapter 2 of Volume 2. Include a key sheet as the first sheet in the set of all component plans. Clearly indicate the phase being submitted, the component being submitted, the date of the submittal and the other project specific key sheet information on the key sheet per Chapter 3 of Volume 2. Component submittals must be accompanied by sufficient information for adjoining components or areas of work to allow for proper evaluation of the component under review.

Unless otherwise indicated in the RFP, submittals for Category 1 and 2 bridges are limited to the following component submittals: foundation, substructure, and superstructure. Bridge component submittals must be accompanied by all supplemental information required for a complete review. Submittals for individual component elements (i.e. Pier 2, Abutment 1, Span 4, etc.) and incomplete submittals will not be accepted.

Include the following in Category 1 and 2 bridge components:

- Plan sheets, and the key sheet for the component under review developed to the specified level of detail (i.e. 90% plans, Final plans, etc.),

- A set of the most current plan sheets for all bridge elements other than the component elements under review. Mark these sheets “For Information Only” on the index sheet. Develop all plan sheets beyond a 30% level of completion.

- Design documentation including a complete set of calculations, geotechnical reports, pertinent correspondence, etc. in support of the 90% and final component submittals.

- Include independent peer review documentation with component submittals for Category 2 bridges.

20.2.2.2 Direction to all Discipline Phase Reviewers

Separate component plan review comments into comments that do and comments that do not refer to direct violations of the contract in accordance with Exhibit 20-F.
20.2.2.3 “Released for Construction” Stamping

Deliver final signed and sealed plans to the District Project Manager or his designee prior to construction of any component. The Engineer of Record must seal final plans in accordance with the requirements of Chapter 19, of this Volume. The District Project Manager or his designee will send a copy of final signed and sealed plans to the appropriate discipline reviewers to ensure that all comments have been adequately addressed and the final plans reflect the approved responses to comments. Discipline reviewers must respond in writing to the District Project Manager or his designee and give recommendations for stamping once all comments have been satisfactorily resolved. The District Project Manager or his designee will initial, date and stamp each sheet of each submittal as “Released for Construction” after receiving recommendations from discipline reviewers.

20.2.2.4 Revisions after Initial “Released for Construction” Stamping

It is the responsibility of the District Project Manager or his designee to coordinate a review of all design revision submittals which occur after initial “Released for Construction” stamping with the appropriate District and Central Office discipline phase reviewers.

When design revisions are required, comply with the following:

1. The Engineer of Record must sign and seal each revised document in accordance with the requirements of Chapter 19 of this Volume.

2. Modify or delete data on individual sheets by striking through or crossing out. Do not delete data by erasing. Add new data adjacent to crossed out data. If a sheet does not have sufficient space for the revision, add new sheets as required.

3. Circle, box-in or “cloud” any revisions after award in a conspicuous manner. If an entire sheet is being deleted, circle and strike through the entire drawing area and retain the deleted sheet in the plans package as a revised sheet.

4. Place a conspicuous unique numbered symbol (e.g. a numbered triangle) beside the revision. Begin the revision numbering with “1” and number subsequent revisions sequentially. For sheets which have been revised pre-award, begin the numbering where the pre-award numbering left off. For large complex projects, when requested by the Department, number revisions by addendum issuance in order to more easily differentiate changes for work order/supplemental agreement processing. In this case, a shape other than a triangle may be utilized.
Modification for Non-Conventional Projects:

Delete Item 4 above and replace with the following:

4. Place a conspicuous unique numbered symbol (e.g. a numbered triangle) beside the revision. Begin the revision numbering with “1” and number subsequent revisions sequentially.

5. Place the revision date, initials of the responsible person, corresponding numbered symbol for the revision and a brief description of the revision in the Revision Block.

Final signed and sealed revised plans will be delivered to the District Project Manager or his designee prior to construction of any component. The District Project Manager or his designee will send a copy of signed and sealed revised plans to the appropriate discipline reviewers for review and comment. Discipline reviewers must respond in writing to the District Project Manager or his designee and give recommendations for acceptance for incorporation into the contract documents. The District Project Manager or his designee must issue the revised sheet as part of the contract documents after receiving recommendations from the discipline reviewers.

Modification for Non-Conventional Projects:

Delete the last two sentences and replace with the following:

Discipline reviewers must respond in writing to the District Project Manager or his designee and give recommendations for stamping once all comments have been satisfactorily resolved. The District Project Manager or his designee will initial, date and stamp each revised sheet as “Released for Construction” after receiving recommendations from the discipline reviewers.

20.2.3 Final “As-Built” Plans Process

See the Construction Project Administration Manual (CPAM) for preparing the Final “As-Built” contract documents during construction.
20.3 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 20.3.1. As-built Documents that are to be scanned for electronic storage should meet both requirements of the Construction Project Administration Manual 5.12 and FDOT Procedure No. 325-000-002.
### Electronic Data Management System (EDMS)

**Design EDMS**
- **Groups**
  - Design Records
- **Architectural**
- **Community Involvement**
- **Drainage**
- **Environmental Permits**
- **Estimates**
- **FDOT Publications**
- **Geotechnical/Materials**
- **Landscaping**
- **Lighting**
- **Product Evaluation**
- **Project Management**
- **Roadway Design Documentation**
- **Does not include Plans**
  - Roadway Resource Library
  - Specifications
  - Structures
  - Structures Resource Library
  - Tolls Facilities
  - Traffic Design
  - Utility Agreements

**Contract EDMS**
- **Contract Records**
  - 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

**Construction EDMS**
- **Construction Records**: Includes Design Errors and Omissions, Field SA/Work Orders, and SA/Change Orders
- **Contract Documents**
  - As-Bid Plans
  - Daily Diary
  - Estimates
  - Final Estimates
  - General Correspondence
  - Job Correspondence
  - Material Sampling and Reporting
  - Pre-Letting
  - Quality Assurance/Quality Control
  - Service Contracts
  - Shop Drawing Transmittals
  - Structure
  - Sublet Work
  - Time Correspondence
  - Unpaid Bills
  - Utility

**Structures EDMS**
- **Groups**: Bridge Plans and Specifications
- **Groups**: Bridge Record
- **Groups**: Bridge Shop Drawings
- **Groups**: Correspondence
- **Groups**: Geotechnical High Mast Record
- **Groups**: Sign Record
- **Groups**: Structural Calculations
  - As-Bid Plans
  - As-Built Plans
  - Repair As-Bid Plans
  - Repair As-Built Plans
  - Widening As-Bid Plans
  - Widening As-Built Plans

**Maintenance Records**
- **Groups**: Bridge Plans and Specifications
- **Groups**: Bridge Record
- **Groups**: Bridge Shop Drawings
- **Groups**: Correspondence
- **Groups**: Geotechnical High Mast Record
- **Groups**: Sign Record
- **Groups**: Structural Calculations
  - As-Bid Plans
  - As-Built Plans
  - Repair As-Bid Plans
  - Repair As-Built Plans
  - Widening As-Bid Plans
  - Widening As-Built Plans

---

**NOTE**: Contract Plans are not stored in the Design EDMS.

### Reasons for Use
- **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, or digital delivery 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 written.**

---

**NOTE**: Contract Plans are not stored in the Design EDMS.
Modification for Non-Conventional Projects:

**Exhibit 20-F  Direction to all Discipline Phase Reviewers on Non-Conventional Project**

Separate component plan review comments into categories which consist of comments that **do** and comments that **do not** refer to direct violations of the Contract as follows:

- **Comments that do refer to direct violations of the Contract require a written response by the Design-Build Firm or Concessionaire.** Where possible, the reviewer is expected to include the specific contract reference or requirement that is being violated. Examples may include, but are not limited to:
  - an **AASHTO** provision that is being violated;
  - a Governing Regulation, e.g. *Plans Preparation Manual (PPM), Structures Design Guidelines (SDG)*, requirement that is being violated;
  - a Technical Proposal commitment that is not being met;
  - a Request For Proposal (RFP) requirement that is being omitted or violated;
  - omission in the plans or calculations;
  - inconsistencies between the plans and calculations;
  - obvious errors in math or basic engineering principles;
  - an environmental commitment or permit commitment that is not being met.

**Example Comment:** The vertical curve length does not meet the minimum requirements of **Table 2.8.5** in Volume 1. A written response is required.

In this example, a requirement from the **PPM** is being violated. The plans must be corrected to address this situation and a written response from the Design-Build Firm or Concessionaire is required.

**Example Comment:** Calculations are consistent with two phased post-tensioning of the pier cap, but the plans indicate post-tensioning in a single phase. Update plans to be consistent with the calculations so that cap will not be overstressed in the unloaded condition. A written response is required.

In this example, the intent of the comment is to alert the Design-Build Firm or Concessionaire of an inconsistency between the calculations and the plans that would result in the pier cap being overstressed. The plans must be corrected to address this situation and a written response from the design-Build Firm is required.
• **Comments that do not refer to direct violations of the Contract do not require a written response by the Design-Build Firm or Concessionaire.** At the end of each comment state that the comment is for information only and a written response is not required.

  *Example Comment:* The plans as submitted depict a land pier located very close to the shoreline of a major body of water and steel sheet piling is not shown along the water face of the footing. Ensure that the footing can be constructed in the dry per the requirements of the Specifications. This comment is for information only. A written response is not required.

  In this example, the intent of the comment is to ensure that the footing concrete is placed in the dry per the Specifications. No matter what action the Design-Build Firm or Concessionaire takes in response to the comment, the Specification requirements still have to be met; the reviewer is putting the Design-Build Firm or Concessionaire on notice.

  The discipline phase reviewer may group the comments with a note indicating which comments require a response and which ones do not in lieu of specifying whether a response is required or not for each individual comment.

  *Commentary:* Discipline phase reviewers should primarily review Design-Build and Public-Private-Partnership project plan submittals for compliance with contract requirements. However, the directive outlined in Exhibit 20-F acknowledges that non-contractual comments submitted “for information only” can also provide valuable feedback to the Design-Build Firm or Concessionaire. The purpose of the directive is to allow a formal process for submitting both types of comments on Non-Conventional Projects.
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