

Chapter 20

Plans Processing and Revisions

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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 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 Plans, Specifications & Estimates (PS&E) submittal package. This chapter also outlines the revision process, and the steps to resubmit a project that has been withdrawn from letting.

Projects must be electronically delivered in Digital Delivery format in accordance with **Chapter 19** and the [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.

Other specific requirements for processing the electronic delivery can be found in Chapter 5 of the [CADD Manual](#).

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 all of the following which are to be treated as one instrument whether or not set forth at length in the form of contract:

- 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 and 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.

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 Contract 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, Contract 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.

Record Set - The transmitted contract plans set, Signed and Sealed by the responsible professional(s).

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.

Modification for Non-Conventional Projects:

Delete the *Revisions* term from Glossary and replace with the following.

Revisions – Revisions are modifications to the plan sheets and specification package after initial “Released for Construction” stamping.

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 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.

Modifications to the plans, specifications or quantities after District Estimates Office changes the Project Preconstruction (PrP) Workflow/Phase and before the Plans are sent to Tallahassee are referred to as Plan Changes. Plan Changes include revision, deletion, or addition of data on individual sheets, or adding and deleting entire sheets. Plan 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. Transfer control of the AASHTOWare

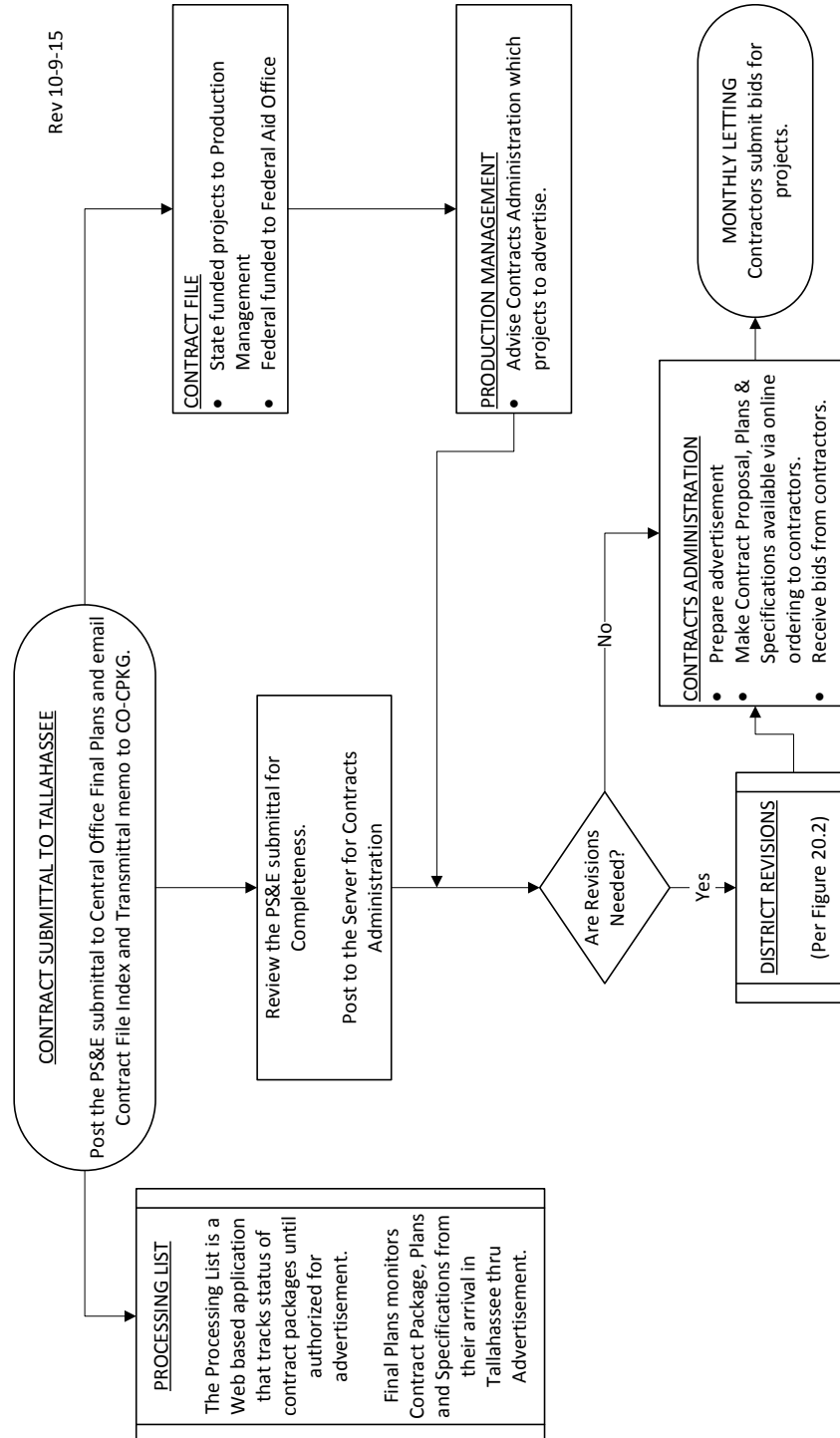
Project Preconstruction™ (formerly TRNS•PORT) project files to the Final Plans section of the State Program Management Office when posting the PS&E submittal.

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 FDOT 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



20.1.4 Revisions to the PS&E Submittal

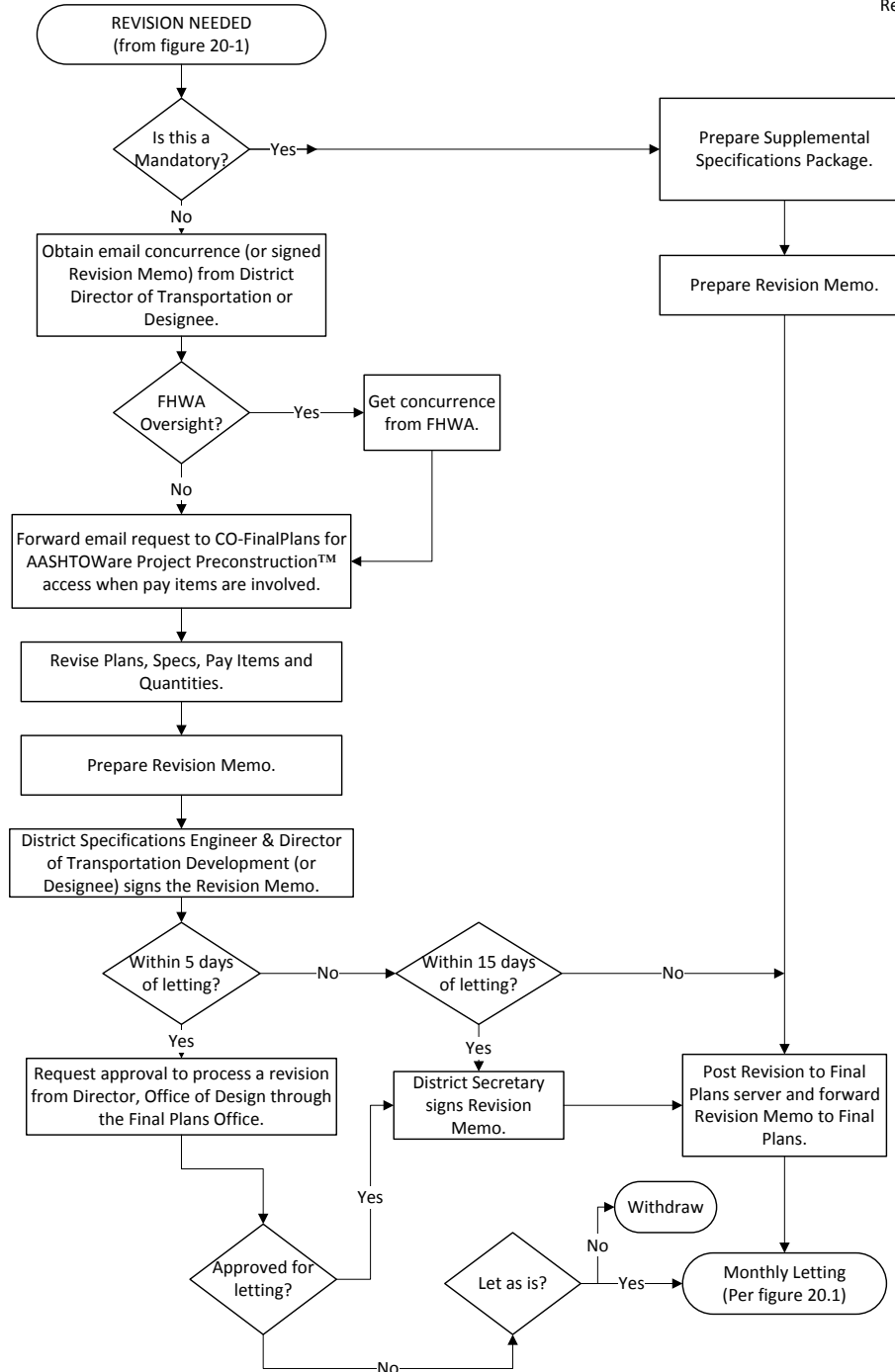
Revisions are modifications to the PS&E Submittal after it has been accepted by Central Office Final Plans. The FDOT Project Manager ensures a revision is completed as follows (see **Figure 20.1.2**):

1. All revisions require a completed Revision Memo (**Exhibit 20-C**). When access to AASHTOWare Project Preconstruction™ (formerly TRNS•PORT) is required, obtain concurrence from the District Director of Transportation Development (or designee) and forward to Central Office Final Plans (CO-FINALPLANS). Concurrence may be in the form of an email that includes a summary of the revision or a signed Revision Memo. 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). Include the name of the FHWA contact and the concurrence date on the Revision Memo. 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 increase the project cost (>\$50,000), alter project termini, change the character of the project or modify 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 use 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 to the contract plans set, 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**. See **Chapter 3, Volume 2** for instructions on recording a revision on the Key Sheet.
5. The responsible professional Signs and Seals each revised document in accordance with the requirements of **Chapter 19** 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 revisions to the PS&E Submittal are posted to the Central Office server. Email a PDF of the signed Revision Memo to Final Plans, CO-FINALPLANS.
9. The District Secretary's signature is required on the Revision Memo if the revision is submitted within 15 working days of the letting.
10. Approval from the Director of the Office of Design is required if the revision is submitted within five working days of the letting. If approval is not granted, 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 will check the revisions 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

Rev. Nov. 2015



20.1.5 Re-submittal of Withdrawn Projects

When a District withdraws the entire PS&E Submittal for major revisions before the letting, the project will be resubmitted as a new transmittal of the PS&E Submittal with all required components. Include the note "Plans Completely Revised" on the Transmittal Memo next to the Transmittal date. Include note under the "Revisions" Header of the lead Key Sheet, "Plans completely revised (date)". Show new Proposal/Contract ID number on Key Sheet(s).

Project documents in Central Office from the previous submittal will be destroyed or deleted.

A project withdrawn for a period of nine months or longer will be updated according to the process outlined in **Chapter 15**.

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.

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

Date: _____ 30 Day AD 60 Day AD
Proposal/Contract ID: _____ Letting Date: _____ Re-Let: No Yes
Financial Project ID(s): _____
County: _____ State Road No.: _____
Federal Funds: No Yes Federal Aid No.: _____
Total Roadway Length: _____ Total Bridge Length: _____
Total Project Length: _____ Total Project Length Verified by: _____
Project Manager Name and Phone Number: _____
E.O.R. Name, Firm and Phone Number: _____
Work Mix No. ____ Work Mix Description: _____

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**

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 FDOT Project Manager.
8. Verify the accuracy, in the FM system, of the Description, Project Limits, Mileage and Structures. Initial Total Project Length Verification.

Special Notes and Requirements:

- A. Provide the Roadway, Bridge, and Project Lengths in miles, rounded to three decimal places as follows:
 - a. Total Roadway Length = End Project - Begin Project - Exceptions - Bridges (not including bridge culverts) adjusted for Equations
 - b. Total Bridge Length = Sum of all End Bridge – Begin Bridge (not including bridge culverts)
 - c. Total Project Length = Roadway + Bridges
- B. Include the Work Mix Number and Work Mix Description corresponding to the information as shown in the Financial Management System on the WP01 Screen
- C. 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 _____ 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 (**Form 650-050-13** (Federally-Funded Project) or **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 August 20, 2015*
 - 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: _____
Print Name of Project Manager/Other Title

Date: _____

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.
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 _____

<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

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. 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. 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 1 of 2
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 6 of 6
EXAMPLE SUMMARY OF PAY ITEMS SHEET

NOTICE: THE OFFICIAL RECORD OF THIS SHEET IS THE ELECTRONIC FILE SIGNED AND SEALED UNDER RULE 61G15-23.003, F.A.C.

FLORIDA DEPARTMENT OF TRANSPORTATION PROJECT SUMMARY OF PAY ITEMS LEAD PROJECT : 000000-00-00 PROJECT(S) : 000000000000		COUNTY : LEON		COUNTY SECTION : 55020000	
FLORIDA DEPARTMENT OF TRANSPORTATION PROJECT SUMMARY OF PAY ITEMS LEAD PROJECT : 000000-00-00 PROJECT(S) : 000000000000		COUNTY : LEON		COUNTY SECTION : 55020000	
0101-1	MOBILIZATION	LS	1.000	1.000	1.000
0102-1	MAINTENANCE OF TRAFFIC	(LS)	1.000	1.000	1.000
0102-3	COMMERCIAL MATERIAL FOR DRIVEWAY MAINTENANCE	CY	250.000	250.000	250.000
0102-60	WORK ZONE SIGN	EA	2030.000	2030.000	2030.000
0102-74-1	TEMPORARY BARRICADE - TYPES 1, 11, 01, VP, DROW, OR LCD	EA	5065.000	5065.000	5065.000
0102-74-2	BARRICADE - TEMPORARY - TYPE 111 - 6"	EA	435.000	435.000	435.000
0102-77	HIGH INTENSITY FLASHING LIGHTS, TEMP. TYPE B	EA	870.000	870.000	870.000
0104-10-1	SEMI-RIGID BARRIER	LF	1232.000	1232.000	1232.000
0104-10-2	FLIGHTING TABULITY BARRIER	LF	436.000	436.000	436.000
0104-15	SOIL TRAPPING PREVENTION DEVICE	EA	1.000	1.000	1.000
0104-18	INLET PROTECTION SYSTEM	EA	4.000	4.000	4.000
0107-2	NOVING	AC	20.640	20.640	20.640
0110-1	CLEANING & GRUBBING	(LS)	1.000	1.000	1.000
0110-4	REMOVAL OF EXISTING CONCRETE PAVEMENT	SY	15819.700	15819.700	15819.700
0120-1	REGULAR ENCUMBRANCE	CY	3258.000	3258.000	3258.000
0120-2	BORROW EXCAVATION, TRUCK MEASURE	CY	1251.000	1251.000	1251.000
0160-4	TYPE B STABILIZATION	SY	142863.200	142863.200	142863.200
0162-1-11	PREPARED SOIL LAYER, FINISH SOIL LAYER, 6"	SY	5181.000	5181.000	5181.000
0285-701	OPTIONAL BASE, BASE GROUP 01	SY	3139.300	3139.300	3139.300
0285-709	OPTIONAL BASE, BASE GROUP 09	SY	122132.000	122132.000	122132.000
0327-70-1	MILLING EXIST ASPH PAVT 1" - AVG DEPTH	SY	4480.100	4480.100	4480.100
0334-1-23	SUPERPAVE ASPH CONC. TRAFFIC C. PG06-22, PH4	TW	17055.850	17055.850	17055.850
0337-7-42	ASPHALT CONCRETE FRICTION COURSE, TRAFFIC C. FC-9.5, PG 44-22, PH4	TW	6453.340	6453.340	6453.340
0339-1	MISCELLANEOUS ASPHALT PAVEMENT	TW	3.120	3.120	3.120
0430-200-23	FLARED END SECTION, CONCRETE, 15"	EA	1.000	1.000	1.000
0440-1-30	UNDERDRAIN, TYPE V	LF	2534.800	2534.800	2534.800
0440-73-2	UNDERDRAIN OUTLET PIPE, 6"	LF	102.800	102.800	102.800
0515-1-2	PIPE HANDRAIL - ALUMINUM	LF	2358.100	2358.100	2358.100
0520-1-7	CONCRETE CURB & GUTTER, TYPE E	LF	25584.300	25584.300	25584.300
0520-1-10	CONCRETE CURB & GUTTER, TYPE F	LF	36195.800	36195.800	36195.800
0520-5-11	TRAFFIC SEPARATOR CONCRETE-TYPE 1, 4" WIDE	LF	117.500	117.500	117.500
0520-5-16	TRAFFIC SEPARATOR CONCRETE-TYPE 1, 8.5" WIDE	LF	1670.300	1670.300	1670.300
0521-72-5	SHOULDER CONCRETE BARRIER WALL, RIGID-CURB & GUTTER	LF	342.900	342.900	342.900
0522-1-1	CONCRETE SIDEWALK AND DRIVEWAYS, 4" THICK	SY	20354.800	20354.800	20354.800
0522-2-1	CONC SIDEWALK AND DRIVEWAYS, 6" THICK	SY	2046.700	2046.700	2046.700
0524-1-4	CONCRETE DITCH PAVEMENT, NON REINFORCED, 6"	SY	106.800	106.800	106.800
0526-1-1	GUARDRAIL - ROADWAY	LF	100.000	100.000	100.000
0526-73	GUARDRAIL REMOVAL	LF	1052.900	1052.900	1052.900
0536-85-22	GUARDRAIL END ANCHORAGE ASSEMBLY, FLARED	EA	1.000	1.000	1.000
0530-10-220	FENCING, TYPE B, 5.1 6", STANDARD	LF	591.500	591.500	591.500
0530-60-212	FENCE GATE, TYPE B, SINGLE, 6.1 - 12.0' OPENING	EA	4.000	4.000	4.000
0570-1-1	PERFORMANCE TURF	SY	210.700	210.700	210.700
0570-1-2	PERFORMANCE TURF, 500	SY	145866.500	145866.500	145866.500

DATE	DESCRIPTION	DATE	DESCRIPTION
09/14/13	REVISED AND ADDED PAY ITEMS	12/06/13	UPDATED TMS-PORT
10/15/13	SELECTED PAY ITEM 104-1		
11/11/13	ADDED PAY ITEMS		

STATE OF FLORIDA	DEPARTMENT OF TRANSPORTATION	FINANCIAL PROJECT ID	SR 10	COUNTY	LEON	SR 10	FINANCIAL PROJECT ID	000000-0-00-00
SUMMARY OF PAY ITEMS								

**Exhibit 20-D 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-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: _____
Title: _____

By: _____
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 revisions after award (A.K.A. “Post-Let Revisions”), 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 FDOT Project Manager 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 FDOT Project Manager 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 FDOT 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 FDOT 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 FDOT Project Manager or his designee and give recommendations for stamping once all comments have been satisfactorily resolved. The FDOT 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 FDOT 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 revisions are required, comply with the following:

1. The responsible professional 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. “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.

Signed and Sealed revised plan sheets will be delivered to the FDOT Project Manager prior to construction of any component. The FDOT Project Manager will send a copy of Signed and Sealed revised plan sheets to the appropriate discipline reviewers for review and comment. Discipline reviewers must respond in writing to the FDOT Project Manager and give recommendations for acceptance for incorporation into the contract documents. The FDOT Project Manager must issue the revised plan sheets 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 FDOT Project Manager and give recommendations for stamping once all comments have been satisfactorily resolved. The FDOT Project Manager 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 [CPAM 5.12](#) and the [Information Technology Resource User's Manual \(FDOT Procedure No. 325-000-002\)](#).

Figure 20.3.1 Storage of Electronic Documents

Electronic Data Management System (EDMS)					
Legal Records for Department of State Requirements - Image files (PDF Version 1.7 or TIF) only. For information on Specific Document Types stored in each Group contact the Responsible Office					
TIMS	PEDDS DATA BASE	DESIGN EDMS	CONTRACT 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, 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.	<u>Design Records</u> <u>Groups</u> Architectural Community Involvement Drainage Environmental Permits Estimates FDOT Publications Geotechnical/Materials Landscaping Lighting Product Evaluation Project Management Rdwy Design Documentation Does not include Plans Roadway Resource Library Specifications Structures Structures Resource Library Tolls Facilities Traffic Design Utility Agreements NOTE: Contract Plans are not stored in the Design EDMS.	<u>Contract Records</u> <u>Groups</u> 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 NOTE: Contract Plans are not stored in the Contracts EDMS.	<u>Construction Records</u> <u>Groups</u> Claims Compliance Contract Changes Includes Design Errors and Omissions, Field SA/Work Orders, and SA/Change Orders Contract Documents As-Built Plans 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> <u>Groups</u> 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

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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