MARYLAND DEPARTMENT
OF TRANSPORTATION

STATE HIGHWAY
ADMINISTRATION

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MEMORANDUM

TO:	SHA Offices Involved with Stormwater Management (SWM) As-Builts
FROM:	Stephen A. Bucy, P.E.
	Acting Director, Office of Construction
SUBJECT:	Stormwater Management (SWM) As-Built Certification Package Submittals
DATE:	May 7, 2018
RESPONSE REQUESTED BY:	N/A

PURPOSE OF MEMORANDUM

To introduce the new Maryland Depratment of Transportation State Highway Administration (MDOT SHA) submittal process for SWM As-Built Certification Packages. The new submittal process will take effect immediately.

SUMMARY

Many MDOT SHA projects require an SWM As-Built Certification package submittal. This submittal package basically consists of the applicable project plan sheets that are signed/initialed/stamped as well as a report to include a narrative, pictures, any explanations, material data, etc. Prior specifications required two full hardcopy sets of this submittal package. These would sometimes be misplaced and/or there was no tracking mechanism to see where they were in the approval process. The process also took entirely too long as landscaping approval was required before the package could even be submitted. To address these issues, a team was formed of OOC, OED, HHD, and District Construction representatives to develop a better solution. While not perfect, the solution below takes advantage of the now familiar OED Toolkit and the movement towards electronic submittals for a vast improvement to address these issues.

SWM As-Built Certification packages will now be submitted electronically on the OED Toolkit using the new "SWM As-Built" tab. Hardcopies are no longer required.

> Note: There are some projects with a component in the SWM As-Built Certification package that still have a requirement for Maryland Department of the Environment (MDE) approval. MDE still requires a hardcopy. For these limited projects, the submittal package must gain approval through this process described below and then a hardcopy will be printed for MDE.

Please follow the attached instructions with screenshots as visual examples that detail the electronic submittal process on the OED Toolkit. These pages are excerpts from the *Quality Assurance Toolkit Construction Field Manual*. The full document can be found in the Reference Document section of the Toolkit webpage. No log-in credentials are required to access this reference document.

The final page of the attached information is a flowchart to explain how this process works. An interim status called "Structural Acceptance" was created to allow contractors to submit the package prior to

waiting for landscaping approval. The SWM As-Built Certification approval process will now be completed concurrently with landscaping, which greatly improves the overall project closeout timeframe.

> Note: This flowchart describes SWM As-Built Certification package payment according to the new Specification Section 317. Follow the payment structure identified in the specific project contract.

The comments section and "Package Status" indicators on the Toolkit will be used so that any party with access to the project will be able to identify the current SWM As-Built status and check the flowchart for where it is in the approval pathway.

While we will send this information out through the Maryland Transportation Builders & Materials Association (MTBMA) and the American Council of Engineering Companies/Maryland (ACEC/MD), we ask that you share with your contractors at Pre-Construction meetings, Partnering meetings, Erosion & Sediment Control meetings, etc. to get the word out.

For comments or questions, please contact me or one of the following points of contact:

-Process - Mrs. Chunca Bittinger at 301-729-8450, or email at cbittinger@sha.state.md.us

-OED Toolkit Concerns – Mr. Tad Daniel at 410-365-0164 or email at tdaniel@sha.state.md.us

-HHD Status Checks – Mr. Joe Bartell at 410-545-5593 or email at jbartell@sha.state.md.us

Attachment

Quality Assurance Toolkit Construction Field Manual

For Project Engineers, Superintendents, ESCM's and Reviewers

MDOT
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Submitting Storm Water Management As-Builts

To submit an SWM As-Built for a project select the "Projects" Tab in the top to see a list of your assigned projects. A second row of Tabs will appear to select from. The "SWM As-Built" Tab will open a summary page of the submittals on your assigned projects.

Select the edit icon to enter or update the project record as allowed by your user role.

The user will see the project information. Data fields that are shaded may not be edited although the information under the available sub-tabs may.

SWM Sub-Tab

The **SWM** sub-tab shows details about existing As-Built submittals and status. There are several buttons to select from depending on the desired action.

 The Respond button is utilized to post new comments, questions or responses to a request.

 The AB button will open the As-Built input form that can be edited by contractor representative. This form remains editable throughout the review process so that additional information may be uploaded as needed.

 The New Submittal button is utilized to create a new As-Built submittal. This button should not be used to respond to an existing request.

Clicking on # Responses will expand the information to include all the comments and responses related to the specific As-Built submittal.

 Select the magnifying glass to view the details of the comment

In the Existing SWM Requests section the top line of information shows the Package Status and the Final Mod Status. This is important in keeping track of where the request currently is in the process. The possible status's and their definitions are listed below.

Status:		
	Contractor - Pre-submittal	*The Contractor has started the process of entering information into the toolkit for submission but has yet to sign the submittal*
	District - Pending	*The submittal is pending the Districts review and signature*
	HHD – Under Review	*The AS-Built package is at HHD for review. HHD retails control of the package until it is signed for Final Approval*
	Final Approval	*The AS-Built package has been accepted by all necessary parties and has been signed for Final Approval by HHD.*

Creating a Submittal

When starting a new submittal, the user will see the As-Built Submittal Request Form. This form should be competed entirely to provide as much information to the reviewers as possible.

The digital As-Built package should be attached to the submittal.

Clicking on Upload Document will provide a menu for uploading files to the As-Built form.

Click the Save & Submit button to ensure entered information is saved by the system.

Even though you have clicked the save and submit button the form can still be edited and attachments can still be added up until the package is approved.

Final Draft

At the bottom of the form are three sections for signature to be completed by different stakeholders.

| Contr. | The contractor signs the submittal by clicking on this button. |

The District Representative sings for acceptance by the District office to move the submittal to review with HHD/PRD by clicking this button.

Final Approval is signed by HHD when the review process is complete by clicking this button.

Signing a Submittal

The Contractor must sign the submittal and the District representative must also sign with a signature before the request can be sent for review. Click on the appropriate button to electronically sign the request.

A window will appear to enter your login information. The system will compare this information with the users' role to ensure they are authorized to sign the request.

The users name will then appear on the modification request form.

Click the Save & Submit button to ensure entered information is saved by the system.

Even though you have clicked the save and submit button the form can still be edited and attachments can still be added up until the final approval.

When the submittal has been saved the system will automatically send notification to the District representative for a cursory review. When the District representative has signed for the submittal the system will automatically notify the necessary parties for a formal review. When a submittal has been sent to review comments can be added through the response system by anyone although any attachment should be added directly to the As-Built package itself on the by utilizing the AB button.

26

Final Draft

Posting Comments, Questions and Reponses

Ryan Dom 9/15/2017 1:34 PM	**REVIEW STATUS: UNDER REVIEW;** Facilities in package: BMP 010516 *Click here to view 3 response(s)/comment(s)*	🔍 AB Add comment or response --> Respond

A response or comment can be added in the **SWM** subtab

Respond   Click the Respond button to post new comments, questions or responses.

SWM As-Built Response Form

Project: AL2915187 - MD 51 At Virginia Avenue   **Review Status:** Under Review

SWM Facilities included in this package: BMP 010516

Notify in addition to those listed above

Stakeholders who will be notified of this response: Select additional if needed

Joe Bartell; Chunca Bittinger; Steve Buckley; Stephen Bucy; Ryan Dom; Jason Ferner; Devin Miller; Brandon Scott; Derick Winfield

- ☐ Allera-Bohlen, Barbara - EPD Project Manager
- ☐ Anderson, Robert - HHD Reviewer
- ☐ Ansalvish, Kate - Compliance Specialist - MDE
- ☐ Baker, Michael - Environmental Construction Manager
- ☐ Ballard, Clayton - Regional Environmental Coordinator (Senior)
- ☐ Barben, Jake - EPD Project Manager
- ☑ Bartell, Joe - HHD SWM reviewer
- ☑ Bittinger, Chunca - Field Coordinator
- ☐ Bogale, Tesfamichael - PRD Team Leader
- ☐ Boone, Virginia (Ginny) - Project Manager

SWM Response Text (500 character limit)

Any necessary documents should be uploaded on the As-Built Submission page

💾 Save & Submit   ⏻ CLOSE

The response page has multiple fields in a single view. The different fields may be edited depending on the users account settings. Any project stakeholder may post a response or comment at any time up until the submittal is approved.

The upper right section shows the current submittal status.

The left side of the screen is very similar to an email system. The stakeholders who are receiving emails in this response chain are listed near the top. Comments may be added in the **SWM Response Text** field.

💾 Save & Submit   **When all the information has been added into the response click the Save and Submit button to ensure the information is added to the project record.**

Notifications of a new response comment will be sent to those listed in the stakeholder field. If you wish to include additional stakeholders in the response chain select their name in the lower right section of the page. When a stakeholder has been added to the response chain they will receive email notification until the submittal is completed

When the response has been saved by the user it can no longer be edited or deleted. It is a permanent part of the project record.

Existing SWM Requests

Ryan Dom 9/15/2017 1:34 PM	**REVIEW STATUS: UNDER REVIEW;** Facilities in package: BMP 010516 *Click here to view 5 response(s)/comment(s)*	🔍 AB Add comment or response --> Respond

1

When a submittal is complete and has been approved then responses may no longer be entered in to the system and the submittal may no longer be edited by any stakeholder.

Storm Water Management As-Built Process Flowchart

The below Flow Chart is designed help understand the SWM AS-Built approval process. It is important to be familiar with the overall process to ensure each individual provides the necessary information and /or response in a timely manner.

Step 1: Contractor
- Complete work, create SWM As-Built (report with pictures, scanned in E&S sheets with charts filled in, etc. per IFB requirements), and submit on Toolkit

Step 2: District
- Check formatting / tolerances and if acceptable, forward to HHD POC
- If acceptable, pay 1st 60% of SWM As-Built Item

Step 3: HHD POC
- Review formatting and if acceptable, assign to a HHD Reviewer (Note: If revisions are needed, same HHD reviewer will be assigned for the life of the project)

Step 4: HHD Reviewer
- Check submittal and provide review comments to HHD POC

Step 5: HHD POC
- If acceptable, indicate so with comments in Toolkit and send to PRD
- If comments need addressed, upload comments as attachment on Toolkit and process starts back over again with Contractor

Step 6: PRD POC
- Review formatting and if acceptable, assigns to a PRD Reviewer (Note: If revisions are needed, same PRD reviewer will be assigned for the life of the project)

Step 7: PRD Reviewer
- Check submittal and provides review comments to PRD POC

Step 8: PRD POC
- If acceptable, write and upload structural acceptance memo from PRD to HHD as attachment in Toolkit and send back to HHD
- If comments need addressed, upload comments as attachment on Toolkit and process starts back over again with Contractor

Step 9: HHD POC
- Write and upload structural acceptance memo from HHD to District as attachment in Toolkit and send back to District

Step 10: District
- Notify contractor of structural acceptance
- Pay another 30% of SWM As-Built Item (10% hold on this item and also the required hold on Landscaping items remain in place)

Step 11: Time Gap
- Waiting for landscaping establishment and/or yearlong care and replacement period

Step 12: District
- Coordinate / track care and replacement period with contractor and SHA LOD staff
- Once approved, upload all Section 700 (Turf, Meadow, and Perennial/Tree/Shrub) LOD acceptance letters in Toolkit

Step 13: Contractor
- Upload final pictures (as required in IFB) and the E&S plan sheet(s) with dated/checked landscaping chart in Toolkit
- Indicate that documents are ready for final facility approval with comments in Toolkit and send to HHD POC

Step 14: HHD POC
- Review uploaded LOD acceptance letters, pictures, and E&S Sheets with completed landscaping chart
- If acceptable, write/upload final approval memo from HHD to District as attachment in Toolkit. Indicate final approval granted in Toolkit comments.

Step 15: District
- District notifies contractor, pays out remaining 10% on SWM As-Built Item, and works towards project closeout