

MEMORANDUM

TO: SHA Offices Involved with Stormwater Management (SWM) As-Built
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 Department 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

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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

Final Draft

Quality Assurance Toolkit Construction Field Manual

For Project Engineers, Superintendents, ESCM's and Reviewers



STATE HIGHWAY
ADMINISTRATION

Submitting Storm Water Management As-Built

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.

The screenshot shows the 'Quality Assurance Toolkit' interface for the Maryland Department of Transportation. The top navigation bar includes 'Inspections', 'Projects', 'Permits', and 'Reference Docs'. Below this, a sub-navigation bar shows 'Project List', 'Modifications', and 'SWM As-Built'. The main heading is 'Project List'. A 'Search Panel' is present with a note: 'To search for a specific item, open the search panel by clicking the "+" symbol.' Below the search panel is a table with the following data:

Contract #▲	FMIS	E&S Per.	Description	Co.	Dist.	Mods	Grades	
AA1515188	AA151B51	Y	MD 170 from MD 648 to MD 762. Bicycle Retrofit	AA	5		Average: A; Recent: A	
AA1545180	AA154B51	N	Cleaning and Painting of Existing Bridge #'s 0211011, 0201102, 0208000, 0208203, 0208204, 0208403, 0208404, 0208503, 0208504, 02100303 and 0210304 on various routes in AA county	AA	5	REQ.STATUS: Pending	Average: A; Recent: A	
AA1575132	AA157B51	N	MD 177 to MD 695- Traffic Barrier Replacement in AA County	AA	5	REQ.STATUS: Pending	Average: A; Recent: A	

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

The screenshot shows the 'Project Details' page. It contains various input fields and checkboxes for project information:

- Contract Number:** WA3445272
- FMIS:** WA344D51
- Description:** Improvements along I-81 from South of US 11 in WV to North of MD 63/68 in
- Project Type:** Bridge Replacement (dropdown)
- Stage:** Construction (dropdown)
- County:** Washington (dropdown)
- District:** 6 (dropdown)
- Project Start Date:** 1/6/2017
- Team Index:** (dropdown)
- Centroid:** N (dropdown), E (dropdown)
- Comments:** Title from IFB: Improvements along I-81 from South of US 11 in WV to North of MD 63/68 in MD including widening and Superstructure replacement for dual bridges 21 078 in I-81 over Potomac River and
- Checkboxes:**
 - ☐ E&S Permit Required
 - ☐ Inspections on Hold
 - ☐ Project Closed
 - ☐ Wetlands and Waterways
 - ☐ Severe Weather
- Contractor:** Triton Construction
- QA Inspection Form:** QA1 (02/18/2015) (dropdown)
- QA Inspection Priority:** 2 Weeks (dropdown)
- Project Rep:** Jeffrey Foreman (...)
- ESC Manager:** Shelby Kuh (...)
- Superintendent:** Matthew Skeen (...)
- Yellow Card:** 11-375, 17-177, 16-212
- Exp. Date:** 07/21/2020, 04/03/2020, 05/12/2019

At the bottom, there is a row of sub-tabs: QA Incentives, Milestones, Sheets/Plates, Documents, Stakeholders, Permits, Resources, Inspections, Mods, QA Concurrence, and SWM.

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

QA Incentives	Milestones	Sheets/Plates	Documents	Stakeholders	Permits	Resources	Inspections	Mods	QA Concurrence	SWM
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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\(s\)](#)

[Add comment or response -->](#)



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.

QA Incentives	Milestones	Sheets/Plates	Documents	Stakeholders	Permits	Resources	Inspections	Mods	QA Concurrence	SWM
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Existing SWM Requests

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\(s\)](#)

[Add comment or response -->](#)

Joe,Bartell 10/10/2017 8:39 AM	Jason Ferner and Brandon Scott, HHD finds the As Built Acceptable. Please Review for conditional approval. Joe	
Chunca,Bittinger 9/28/2017 8:42 AM	Re-Submission of SWM As Built Green Lines dated 09/26/17 have been reviewed by District Six and comments have been addressed. Original Report with photos and new submittal is reviewed by D6 MDOT SHA and is ready for HHD review.	
Chunca,Bittinger 9/21/2017 1:58 PM	SWM As Built Submittal needs to be Green Line on the Original Contract Drawings. There are three sheets included in the Contract Drawings with the elevations that need verified, SW-1 through SW-3 (sheets 21, 22, 22A of 35 drawings). Please include the in	



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

Creating a Submittal

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

SWM As-Built Submittal Request Form

Project
MD 51 At Virginia Avenue

SWM facilities included in this package

Comment: (500 character limit)

Ensure the submittal includes the items as outlined in your contract documents: (examples include)

- Photographs during specified construction phases (These phases are listed in the SP and will appear in the plan set)
- Written description of each phase (These descriptions may appear as captions on the photos)
- Completed tabulations and checklist (Located in the plain set)
- Completed certification forms (Located in the plain set)
- Green line revision plans for each facility

* All work and files are to adhere to the CADD Standards established by the administration

Review Status: Pre-Submittal

Notify

- ☐ Allera-Bohlen, Barbara - EPD Project Manager
- ☐ Buettner, Bill - EPD Project Manager
- ☐ Miller, Devin - Area Engineer
- ☐ Walls, Nick - Reviewer
- ☐ Knauer, Erin - EPD Project Manager
- ☐ Bartell, Joe - HHD SWM reviewer
- ☐ Helms, Glen - HHD Team Leader
- ☐ Sharar-Salgado, Daniel - Permit Reviewer HHD
- ☐ wingender, rachel - Developer
- ☐ Ferreri, Paul - Division Chief - MDE Eastern Div.

Documents

Uploaded	Type	Description	Date
* Upload Request Document			
Contr.		<input type="text"/>	
Rec'd by		<input type="text"/>	
Approved		<input type="text"/>	
Save & Submit CLOSE			

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

Documents

Uploaded	Type	Description	Date
* Upload Request Document			
Document Type: <input type="text" value="GPS/Waypoint"/>			
Description: <input type="text"/>			
File: <input type="text"/> <input type="button" value="Browse..."/>			
Date: <input type="text"/>			
<input type="button" value="Cancel"/> <input type="button" value="Add"/>			


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.

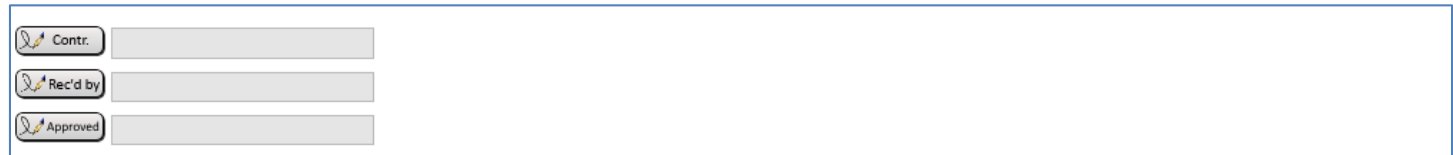
At the bottom of the form are three sections for signature to be completed by different stakeholders.

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

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

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

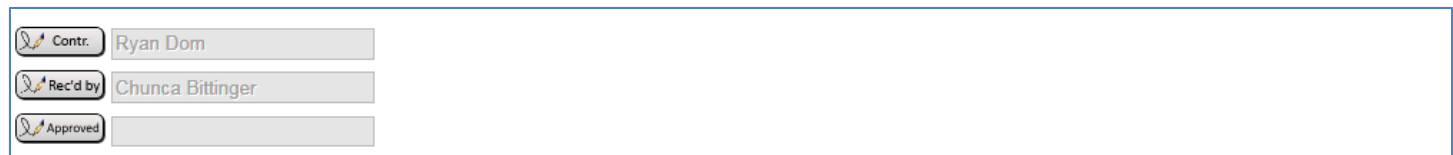
Signing a Submittal




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.

Posting Comments, Questions and Responses

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 Respond Add comment or response ->
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A response or comment can be added in the **SWM** subtab



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	<input type="checkbox"/> Allera-Bohlen, Barbara - EPD Project Manager <input type="checkbox"/> Anderson, Robert - HHD Reviewer <input type="checkbox"/> Ansalvish, Kate - Compliance Specialist - MDE <input type="checkbox"/> Baker, Michael - Environmental Construction Manager <input type="checkbox"/> Ballard, Clayton - Regional Environmental Coordinator (Senior) <input type="checkbox"/> Barben, Jake - EPD Project Manager <input checked="" type="checkbox"/> Bartell, Joe - HHD SWM reviewer <input checked="" type="checkbox"/> Bittinger, Chunca - Field Coordinator <input type="checkbox"/> Bogale, Tesfamichael - PRD Team Leader <input type="checkbox"/> Boone, Virginia (Sinn) - Project Manager
SWM Response Text (500 character limit) <div></div>	
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.



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 Respond Add comment or response ->
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.

