

Larry Hogan Governor Bovd K. Rutherford

Lt. Governor

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#### MEMORANDUM

TO:SHA Offices Involved with Stormwater Management (SWM) As-BuiltsFROM:Stephen A. Bucy, P.E.<br/>Acting Director, Office of ConstructionSUBJECT:Stormwater Management (SWM) As-Built Certification Package SubmittalsDATE:May 7, 2018RESPONSEN/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

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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-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.

	MARYLAND DE STATE H	EPARTMENT O	F TRANSPORT		uality A	Assura	ance To	oll	kit		1	
Inspections	Projects	Permits	Reference	Docs						Se	ttings Log O	ut 🔳
Project List	Modifica	ations SW	VM As-Built	t								
					Pr	oject List	t					
Search Pa	nel	item open t	ha saarah aan	al by clicking the "+"	" cumbol							
le ro seurch	jor a specific	ntem, open ti	ne search pane	er by cheking the +	symbol.							
Contract #▲	FMIS	E&S Per.			Description	ı		Co.	Dist.	Mods	Grades	
AA1515188	AA151B51	Y	MD 170 fro	m MD 648 to MI	D 762. Bicycle R	letrofit		AA	5		Average: A; Recent: A	
AA1545180	AA154B51	N	Cleaning at 0208203, 0 0210304 or	nd Painting of Ex 208204, 020840 n various routes	kisting Bridge #'s 03, 0208404, 020 in AA county	s 0211011, 02 08503, 02085	201102, 0208000, 04, 02100303 and	AA	5	REQ.STATUS: Pending	Average: A; Recent: A	<b>Ø</b> @ }-
AA1575132	AA157B51	N	MD 177 to	MD 695- Traffic	Barrier Replace	ment in AA C	ounty	AA	5	REQ.STATUS: Pending	Average: A; Recent: A	<b>/</b>
Selection	Select the edit icon to enter or update the project record as allowed by your user role.											
					Pro	ject Deta	ils	_				
Contract N	umber WA	\3445272				FMIS WA34	4D51					
Desc	ription Imp	provements	along I-81	from South of U	S 11 in WV to N	orth of MD 63	8/68 ir					
Projec	County Wa	oge Replac	:ement	·)	п	Stage Cons						
Project Star	rt Date 1/6	/2017	p	Team Index	✓ Ce	entroid	 N		~			
Com	ments rep	e from IFB: rth of MD 6 lacement fo	Improvem 3/68 in MD or dual bridg	ents along I-81 f including wideni ges 21 078 in I-8	from South of Us ng and Superstr 1 over Potomac	S 11 in WV to ructure River and	<b>`</b>					
		E&S Permi	it Required	Inspect	tions on Hold	🗌 Proje	ct Closed					
	LI 	Wetlands a	and Waterw	/ays 🗆 Severe	Weather							
Co		riton Const	ruction			2 Wooks V	]					
QA Inspection	on Form Q	A1 (02/18/	2015) 💊	QA Insp	ection Priority	2 WEEKS +						
Proj	ect Rep Je	effrey Forer	man	()	Yellow Card	11-375	Exp. Date 07/21	/202	0			
ESC N	Manager S	helby Kuh		()	Yellow Card	17-177	Exp. Date 04/03	3/202	0			
Superin	tendent M	latthew Ske	een	()	Yellow Card	16-212	Exp. Date 05/12	2/201	9			
QA Incentive	s Mileston	nes Sheets	/Plates Doo	cuments Stakeho	olders Permits	Resources	nspections Mods	QA (	Concu	rrence 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.

**Quality Assurance Toolkit** 

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### SWM Sub-Tab

QA Incentives	Milestone	s Sheets/Plates	Documents	Stakeholders	Permits	Resources	Inspections	Mods	QA Concurrence	SWM	
				E	Existin	g SWM	Request	5			
Ryan Dom	F F	EVIEW STATUS: U		; [40							(À AB
9/15/2017 1:3	64 РМ F	acilities in packag	ge: BMP 010 5 response(s)	516 /comment(s)							Add comment
1			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,								
											New Submittal

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.

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

AB

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.

Request

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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 Mileston	nes Sheets/Plates	Documents Stakeholders Permits Resources Inspections Mods QA Concurrence SWM		
		Existing SWM Requests		
Ryan Dom 9/15/2017 1:34 PM	Review Status: Un Facilities in packag	и <b>рек Review;</b> je: BMP 010516	Add comm	AB
	Click here to view 3	<pre>8 response(s)/comment(s)</pre>	or respons	e ->
Joi 10	e,Bartell /10/2017 8:39 AM	Jason Ferner and Brandon Scott,	Q	
		HHD finds the As Built Acceptable. Please Review for conditional approval.		
		Joe		
Ch 9/2	nunca,Bittinger 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.	<b>D</b>	
Ch 9/2	nunca,Bittinger 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 (sheets21,22, 22A of 35 drawings). Please include the in	Q	
1			1	

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.

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### **Quality Assurance Toolkit**

#### **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.

SWM As-Built Submittal Re	equest 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)	Review Status: Pre-Submittal	
- Photographs during specified construction phases (These phases are listed in the SP and will appear in the plan set)	Notity	
- Written description of each phase (These descriptions may appear as captions on the photos)	Buettner, Bill - EPD Project Manager	
- Completed tabulations and checklist (Located in the plain set)	Walls, Nick - Reviewer	
- Completed certification forms (Located in the plain set)	Knauer, Erin - EPD Project Manager	
- Green line revision plans for each facility	Bartell, Joe - HHD SWM reviewer	
	Helms, Glen - HHD Team Leader	
* All work and files are to adhere to the CADD Standards established by the administration	Sharar-Salgado, Daniel - Permit Reviewer HHD	
	wingender, rachel - Developer	
	Ferreri, Paul - Division Chief - MDE Eastern Div.	~
Documents		
Uploaded Type	Description Date	
Upload Request Document		
O d Contr		
2 Rec'd by		
Approved		

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

Documents			
Uploaded	Туре	Description	Date
Upload Request Document			
Document Type GPS/Waypoint			
Description			
File Browse			
Date 🥩			
Cancel 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.

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### **Quality Assurance Toolkit**

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.

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

### Signing a Submittal

Ontr.
Sec'd by
Approved

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.

etlands only) Stormwate	Re-Authentication	l i i i i i i i i i i i i i i i i i i i
	Login:	
	Password:	Date
nt	Authenticate	
	Cancel	

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.

Save & 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.

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#### Posting Comments, Questions and Reponses

Ryan Dom       Review Status: Under Review;         9/15/2017 1:34 PM       Facilities in package: BMP 010516         Click here to view 3 response(s)/comment(s)	Add comment or response ->
A response or comment can be added in the SWM subtab Click the Respond button to post new comments, questions SWM As-Built Response	s or responses.
Project: AL2915187 - MD 51 At Virginia Avenue	Review Status: Under Review
SWM Facilities included in this package: BMP 010516 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 SWM Response Text (500 character limit) SWM Response Text (500 character limit) Any necessary documents should be uploaded on the As-Built Submission page Save & Submit	Notify in addition to those listed above Allera-Bohlen, Barbara - EPD Project Manager Anderson, Robert - HHD Reviewer Ansalvish, Kate - Compliance Specialist - MDE Baker, Michael - Environmental Coorstruction 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

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)	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.

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### **Quality Assurance Toolkit**

### 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.

ep 1: ractor	• 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 Toolk
o 2: rict	<ul> <li>Check formatting / tolerances and if acceptable, forward to HHD POC</li> <li>If acceptable, pay 1<sup>st</sup> 60% of SWM As-Built Item</li> </ul>
HHC :	• 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)
HHD er	• Check submittal and provide review comments to HHD POC
ннс	<ul> <li>If acceptable, indicate so with comments in Toolkit and send to PRD</li> <li>If comments need addressed, upload comments as attachment on Toolkit and process starts back over again with Contractor</li> </ul>
PRD	• 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)
PRD	Check submittal and provides review comments to PRD POC
PRD	<ul> <li>If acceptable, write and upload structural acceptance memo from PRD to HHD as attachment in Toolkit and send back to HHD</li> <li>If comments need addressed, upload comments as attachment on Toolkit and process starts back over again with Contractor</li> </ul>
IHC	• Write and upload structural acceptance memo from HHD to District as attachment in Toolkit and send back to District
0: :t	<ul> <li>Notify contractor of structural acceptance</li> <li>Pay another 30% of SWM As-Built Item (10% hold on this item and also the required hold on Landscaping items remain in place)</li> </ul>
L: ap	Waiting for landscaping establishment and/or yearlong care and replacement period
2: t	<ul> <li>Coordinate / track care and replacement period with contractor and SHA LOD staff</li> <li>Once approved, upload all Section 700 (Turf, Meadow, and Perennial/Tree/Shrub) LOD acceptance letters in Toolkit</li> </ul>
3: tor	<ul> <li>Upload final pictures (as required in IFB) and the E&amp;S plan sheet(s) with dated/checked landscaping chart in Toolkit</li> <li>Indicate that documents are ready for final facility approval with comments in Toolkit and send to HHD POC</li> </ul>
4: DC	<ul> <li>Review uploaded LOD acceptance letters, pictures, and E&amp;S Sheets with completed landscaping chart</li> <li>If acceptable, write/upload final approval memo from HHD to District as attachment in Toolkit. Indicate final approval granted in Toolkit comments.</li> </ul>
	• District notifies contractor, pays out remaining 10% on SWM As-Built Item, and works towards project closeout