Quality Assurance Toolkit Construction Field Manual
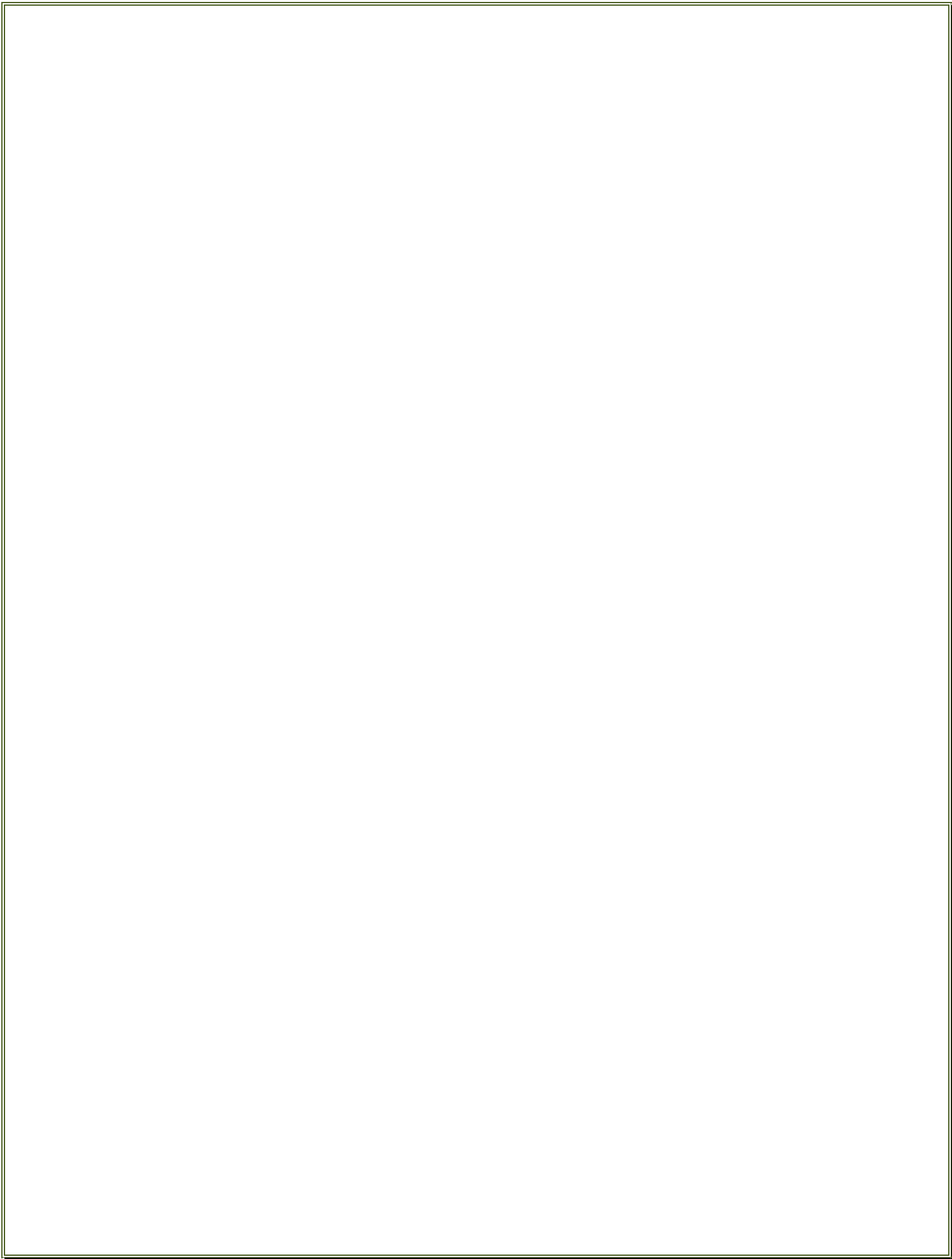
For Project Engineers, Superintendents, ESCM's and Reviewers

MARYLAND DEPARTMENT
OF TRANSPORTATION

STATE HIGHWAY
ADMINISTRATION

<u>Preface</u>

The intent of this manual is to provide a general overview of the Quality Assurance Toolkits functions and a step-by-step explanation of how to use the QA Toolkit for field modifications along with SWM As-Built submittals. As such, the manual is broken into several sections describing how to use the QA Toolkit from the perspective of certain user roles. Once logged-in, the manual will navigate the user through the different tabs and screens of the Toolkit, explaining the purpose of each tab and how to view or edit its data.

After reading this manual, the user should view the QA Toolkit as an asset to the QA Inspection and construction modification processes. While replacing a tried and true paper method with new technology can be an intimidating prospect, this manual is designed to guide the user through the steps, demonstrating how the QA Toolkit will make the inspections and the affiliated processes easier.

The OED Toolkits have been designed for optimal performance on Internet Explorer. The systems will work with other browsers although minor differences in performance or screen layout may occur. An important rule to follow when navigating within any online database is to avoid using the "BACK" button or arrow on your browser, instead select the menu item or button you wish to navigate to. While not designed for mobile devices (phones or tablets) all the functions do work on these devices.

The information contained within this guide is current as of <u>April 2018,</u> The Toolkits are continuing to be updated and enhanced so there may be slight changes to screen layout or button placement.
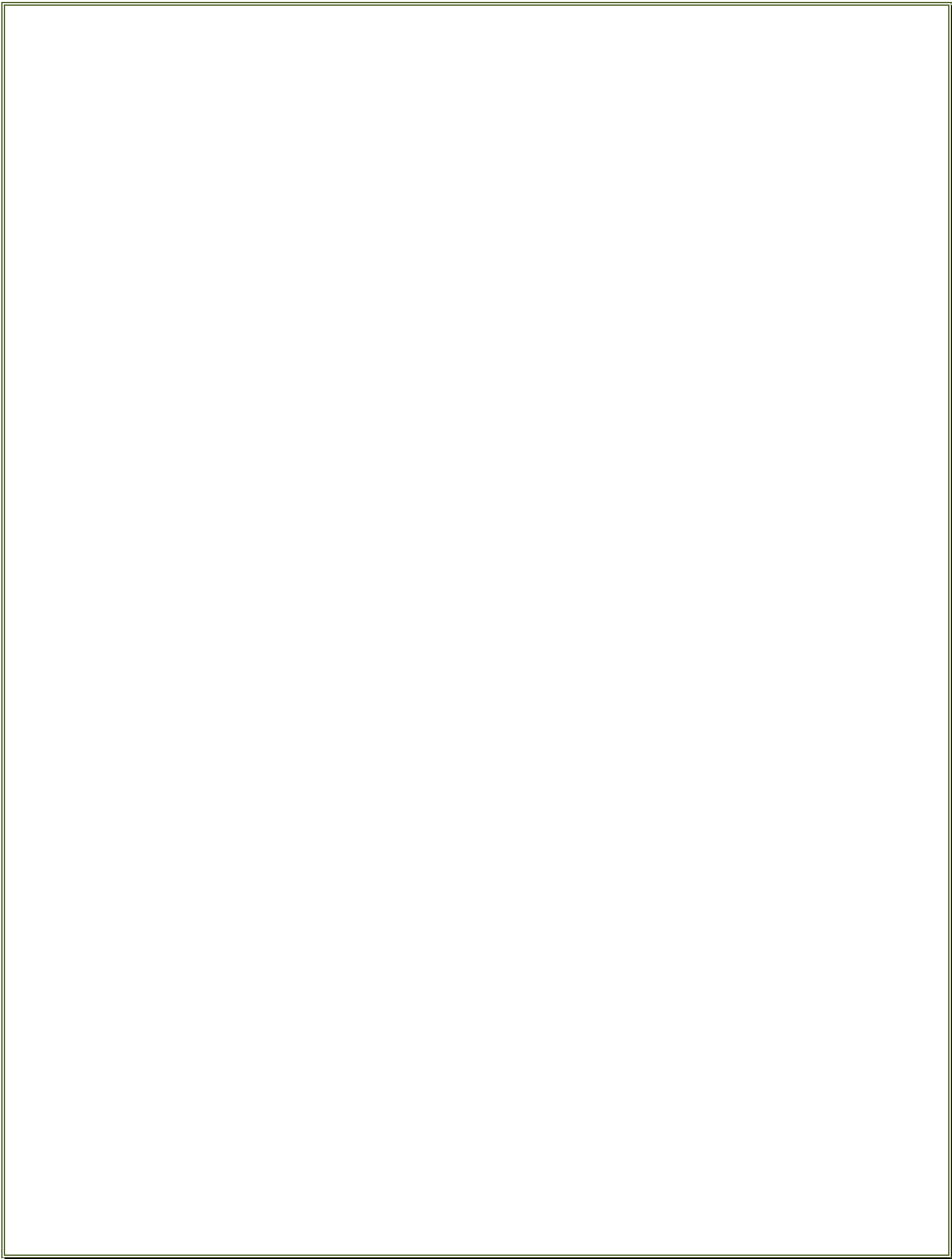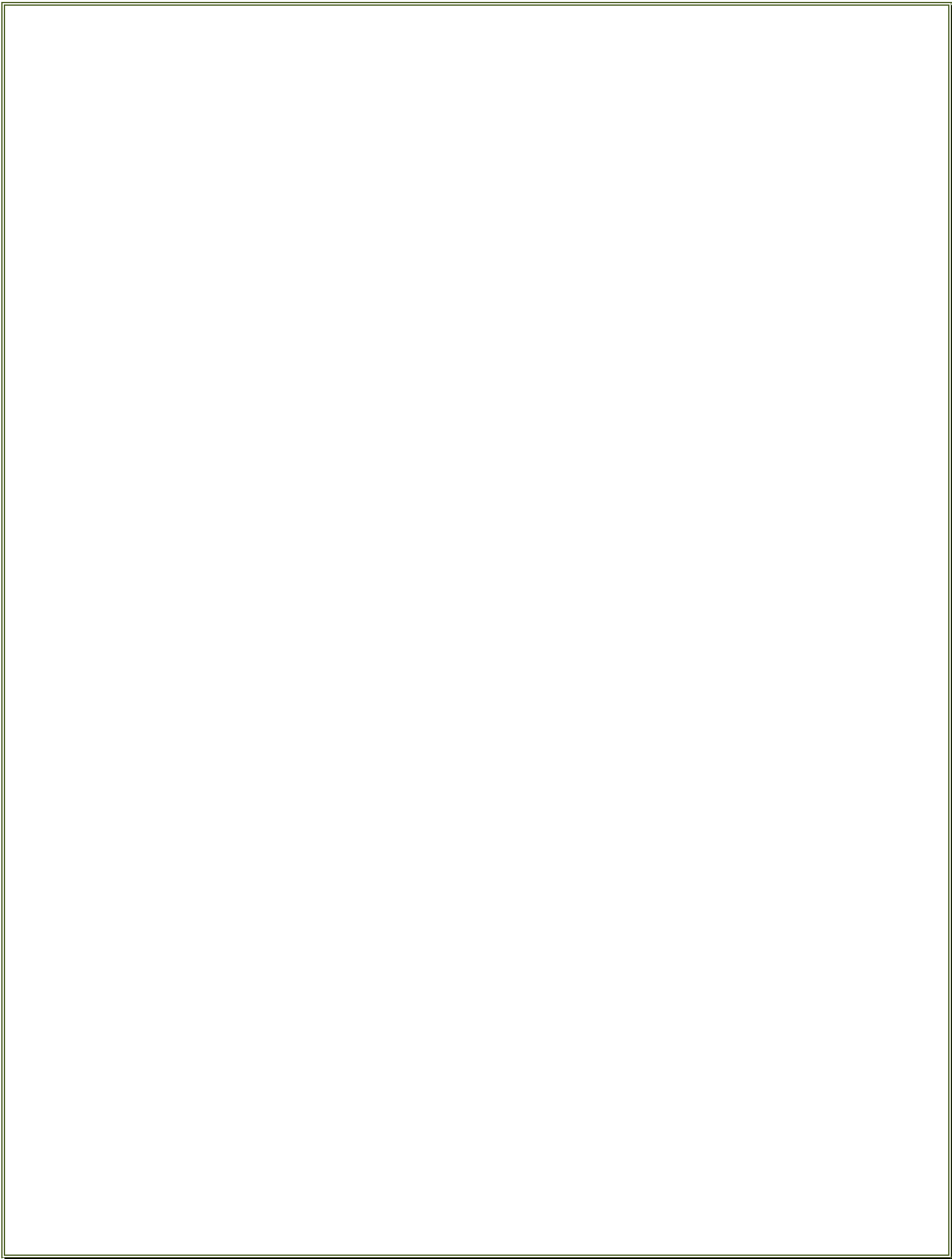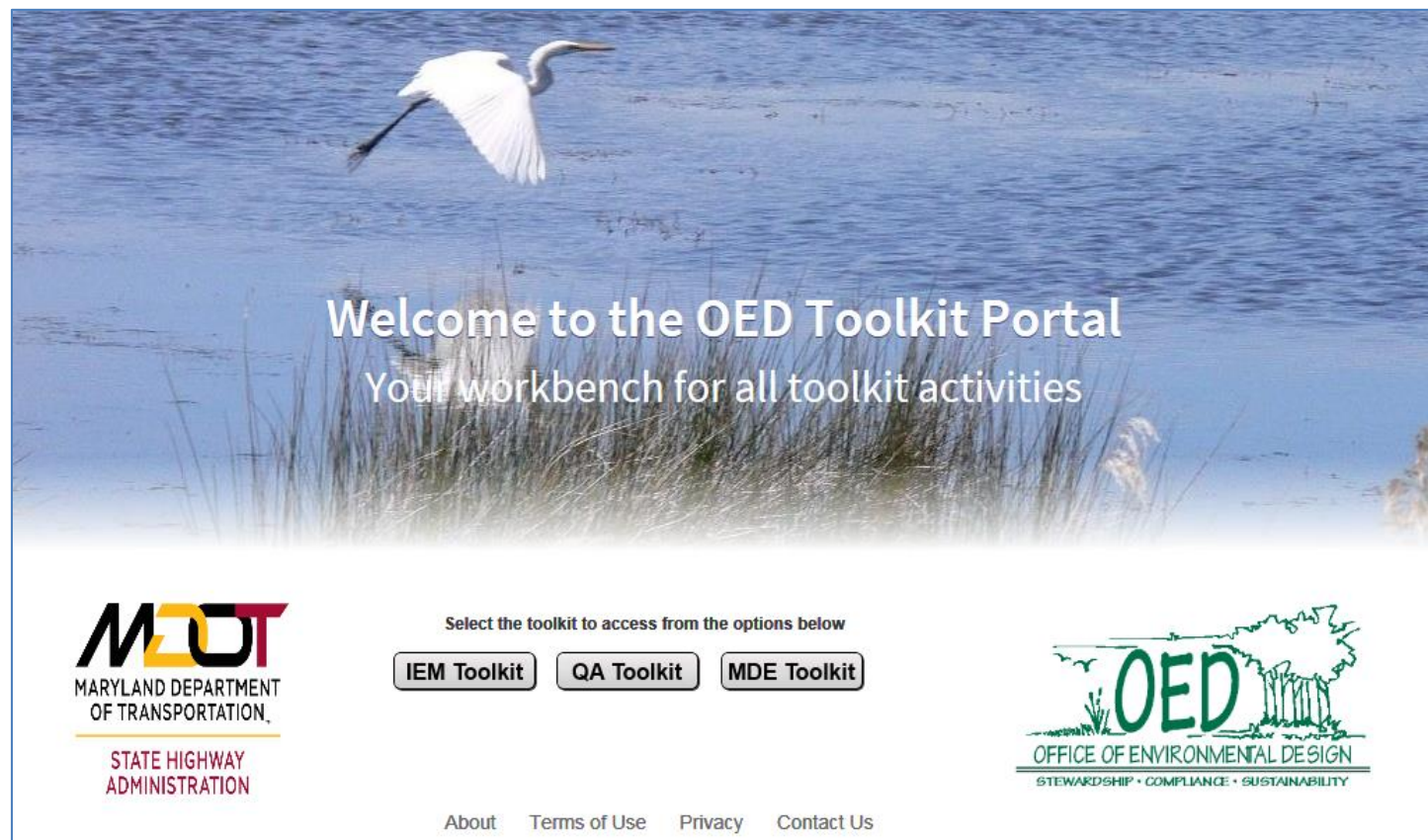
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April 2018   **Version 1.0**

Quality Assurance Toolkit Overview

To access the QA Toolkit, enter www.oedtoolkits.net into a web browser.

This portal provides links to the Office of Environmental Designs Toolkits.

The Independent Environmental Monitors Toolkit

The IEM Toolkit is utilized by the environmental monitor to track environmental issues, recommendations and their resolution. The system provides tracking of daily activities and photographs with the ability to locate and print daily reports while also incorporating tools to help track permit compliance and environmental impacts for several projects being monitored by one or more inspectors.

The Quality Assurance Toolkit

The purpose of the QA Toolkit was to replace the paper QA Inspection process. The QA Toolkit streamlines the documentation process, making the QA Inspector's reports readily available to all designated users. There is also no longer a delay in communication, therefore facilitating the quick resolution of environmental or construction issues. With time the toolkit has been enhanced to also include the tracking of plan and permit modifications.

The MDE Toolkit

The MDE Toolkit is a permit application tracking system utilized by the Environmental Programs Division and Regulatory Agencies for the application, review and approval of environmental permits.

The Toolkits are organized around the user's role. Depending on the assigned role, the user may see only a select number of screens and/or options to navigate through the Toolkit. This is due to the many differing responsibilities assigned to each user within the relevant process.

Toolkit Login

The log-in screen provides useful information pertaining to the environment. Numerous links are provided to agency websites, guide books, and compliance web sites that may assist the user. Clicking on a link will open a separate window and take you to the website of interest. Also provided are links to the SHA Yellow Card and MDE Responsible Personnel Certification training. Clicking on the training logo will take the user to the respective training site.

The top of the screen prompts the user to log into the toolkit. The correct username and password must be entered to access the toolkit. This is to assure that the website is secure and only designated users can view their respective projects and inspection grades.

To retrieve a forgotten password, click on the "Forgot Your Password?" link. This will take the user to a screen asking for a username and e-mail address. Once the information has been entered, click the "OK" box. The Toolkit will send the forgotten password to the user's e-mail address.

All users who have been directed to use this system and do not have a login should select the "Request Account" button and complete the required information on the "New User Account Request Page". This system should only be utilized for requesting new accounts. When the account is setup you will receive a notification email with your new login information.

Users can request access to an additional project access within their user settings. See Page 6-7 for more information about requesting additional access to projects.

Main Menu Tabs

Once you have successfully logged on to the QA Toolkit with your username and password, you are automatically directed to the **Inspections** tab. From this tab the user may navigate to the screen of choice using the Section Tabs. The Section Tabs are located across the top portion of the screen. The left side of the screen provides navigation tabs for **Inspections, Projects, Permits** and **Reference Docs.** On the right side of the screen are tabs for **Settings** and **Log Out**. Rolling the mouse over each tab will change the font color from grey to white, indicating the link as active. Clicking on any of the tabs will navigate the user to the respective screen.

Information Grid

Date ▼	Inspector	Contract	Project	Template	Rating	Status		
05/28/15	Tad Daniel	AA7655180	Cleaning and Painting and Minor Rehabilitation of Existing Bridge # 0200100 on I-695 (Balt.Beltway) over Patapsco River and Hammonds Ferry Road in AA county	QA1	B (82.7)	Final	QA-1	PDF
05/28/15	Tad Daniel	MO5985187	MD 108 (Olney Laytonsville Road) at Bowie Mill Road - Geometric Improvements	QA1	B (85.0)	Final	QA-1	PDF

Most of the tabs in the QA Toolkit will display data in a tabular format. These tables can be sorted by column to organize and arrange the data to suit the user's needs. The data will automatically be sorted by date; however, it can be sorted by any column by simply clicking on the column title.

A small arrow, located to the right of the column title, helps the user determine how the data is organized. If the arrow is pointing down, the data will be sorted descending, either numerically or alphabetically according to the data type. Should the user want to sort the data ascending, click the data title and the arrow will switch upwards rearranging your data. This can be done for all tables and allows the user to locate and group data into manageable lists.

A grid may also be multiple pages. If there are more than 1 page then a list of page numbers will appear at the bottom of the grid. Select the page number you wish to view to load that page.

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20
Displaying 1 to 20 of 398

Search Panel

A search panel is provided on most tabs allowing users to search fields in the data table on a tab to easily navigate to a desired data record. Several search fields are provided, including for the search panel on each tab. Data may be entered into multiple search fields or only one to navigate to the desired data record.

Once the data is entered into the search fields, select the Search button and the QA Toolkit will retrieve all the data records that match the query. If too many projects are retrieved, insert more information to narrow the search.

To view the search panel, click on the plus button and it will expand. The search panel can be minimized at any time by clicking on the minus button at the top left of the panel.

Inspection Tab

The **Inspections** tab contains final and draft (depending on current status of the report) QA inspection reports, where the user can view and/or print these reports. A search panel, located at the top half of the screen, allows the user to search for a specific inspection report based on various fields. The bottom half of the screen contains a data table that lists out each report. The table is organized by Date, Inspector, Contract, Project, Rating, and Status.

Select the QA-1 icon to view existing inspection report on-screen.

Select the PDF icon to print existing inspection reports from this list.

Project Tab

The **Projects** tab provides a list of projects currently assigned to your account. A search panel, located at the top half of the screen, allows the user to search for a specific project based on various fields. The bottom half of the screen contains a data table that displays all the projects. The data table is organized by Contract number, FMIS number, Description, County, and District. As with all data tables these fields are sorted by selecting the column header.

Select the edit icon to make changes to the project record as allowed by your user role.

Select the Project Communication icon to utilize the communication system

Select the PDF icon to print the complete project record.

Under the Projects Tab there are other options to choose from including **Modifications** and **SWM AS-Built.** These options will display the summary pages for each respectively.

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Permits Tab

The **Permits** Tab allows a user to see all the permits associated with their currently assigned projects including the type of permit and its expiration date.

 Select the view icon to open a page showing additional permit information including permit commitments and conditions along with the option to download a PDF of the permit document

Reference Documents Tab

The **Reference Documents** tab allows the user to open or download related forms or documents that could be required for certain projects. The data table can be sorted by name or description.

 Each form or document can be downloaded by clicking on the download icon located at the far right of each data record.

Once selected, a dialogue box will open prompting the user to either "Open" or "Save" the document. Once the file is opened, either directly or after it is saved, the form can be printed for use

Settings Tab

The **Settings** tab allows the user to change or view personal information including: changing the log-in password, updating profile information, subscribing to specific project notifications and request access to additional projects.

To change the QA Toolkit password, insert the old password and new password into the appropriate boxes. The next step is to confirm the new password and select the "Update" button. Once the update button has been clicked, a message will pop up in red under the QA Toolkit Banner saying, "Password Changed." This message will slowly fade. There will also be a message in red underneath the QA Toolkit banner that states. "Password Changed". Both messages are to ensure the user that their password has indeed been updated.

Profile information includes the user's first name, last name, office phone, cell phone, e-mail, and title. The user can include as little or as much information as needed. An e-mail address must be included in order to receive project notifications. Changes or additions are made by clicking inside the appropriate text box and entering any new information. Once complete, select the "Update" button under the Title box. A message will pop up over the QA Toolkit banner in red that says, "User Details Updated." This message will slowly fade like the "Password Changed" message in the previous section. However, a message under the Toolkit Banner that states "User Details Updated" will remain until the user navigates to a different screen.

The QA Toolkit enables each user to subscribe to specific projects. By subscribing to a specific project, each user will receive an email notification indicating that an inspection has been completed. Users can also subscribe to notifications when specific inspection ratings or site conditions are entered and saved on inspection reports.

To set up a subscription for a specific project use the drop-down box under "QA User Subscriptions" and select the desired project or select "ALL PROJECTS". The drop-down box will contain a list of all assigned projects in the QA Toolkit. Once the desired project or all projects have been selected, select the "Load" button and all current subscriptions will be displayed. The user can change these settings by selecting the desired Inspection Ratings and/or Site Conditions that the user would like to subscribe to. An email notification will be sent to the user when inspection reports meeting those criteria are saved.

To receive notifications of a specific grade, click on the box to the left of the desired grade(s). For example, to receive a notification of inspections that receive an "F," click on the box next to the letter "F."

Users can receive notifications on specific site conditions entered and saved into an inspection report. This subscription option is found below the inspection ratings subscription options. These options are based on "Compliance," "Needs corrections," or "Non-compliance." Like the inspection ratings subscription options, choose which option to subscribe to by clicking in the box to the left. A check in the box will indicate that the user has selected that specific site condition.

Users can also receive notifications related to modification requests and approvals by selecting the appropriate checkbox.

Users can request access to an additional project by selecting the project in the provided dropdown menu and then clicking the associated "update" button, after a review of the request a system administrator will approve or deny the request.

Once all subscription selections are complete, it is necessary to select the" Update" button at the bottom of the page to apply these updates to the account.

To leave the settings page and return to the regular toolkit interface, you must select the **Home** Tab in the top left of the page
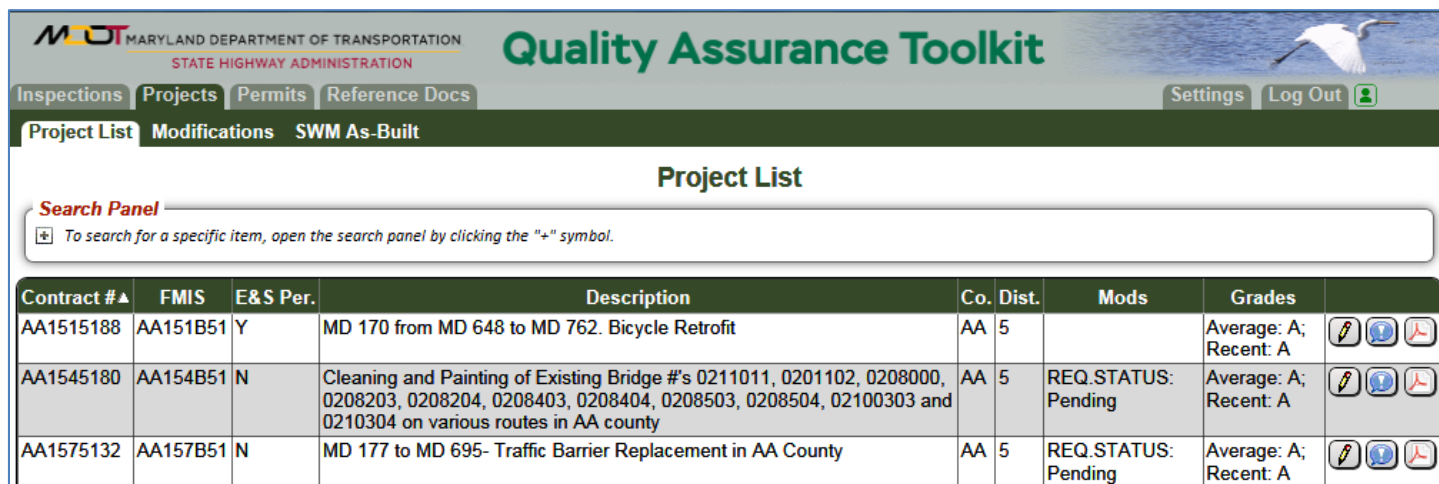
<u>Log Out</u>

Log-out of each Toolkit session once complete to ensure that the information on the QA Toolkit is secure and not viewed by unauthorized users. Select the Log Out tab located on the right side of the QA Toolkit banner. Logging out will return the user to the original log-in screen.

Project Record and Sub-Tab Information

SHA Construction Project Engineers and Contractors have some additional abilities within the toolkits due to specific responsibilities related to the Project. These functions are found within the Project Record under specific sub-tabs
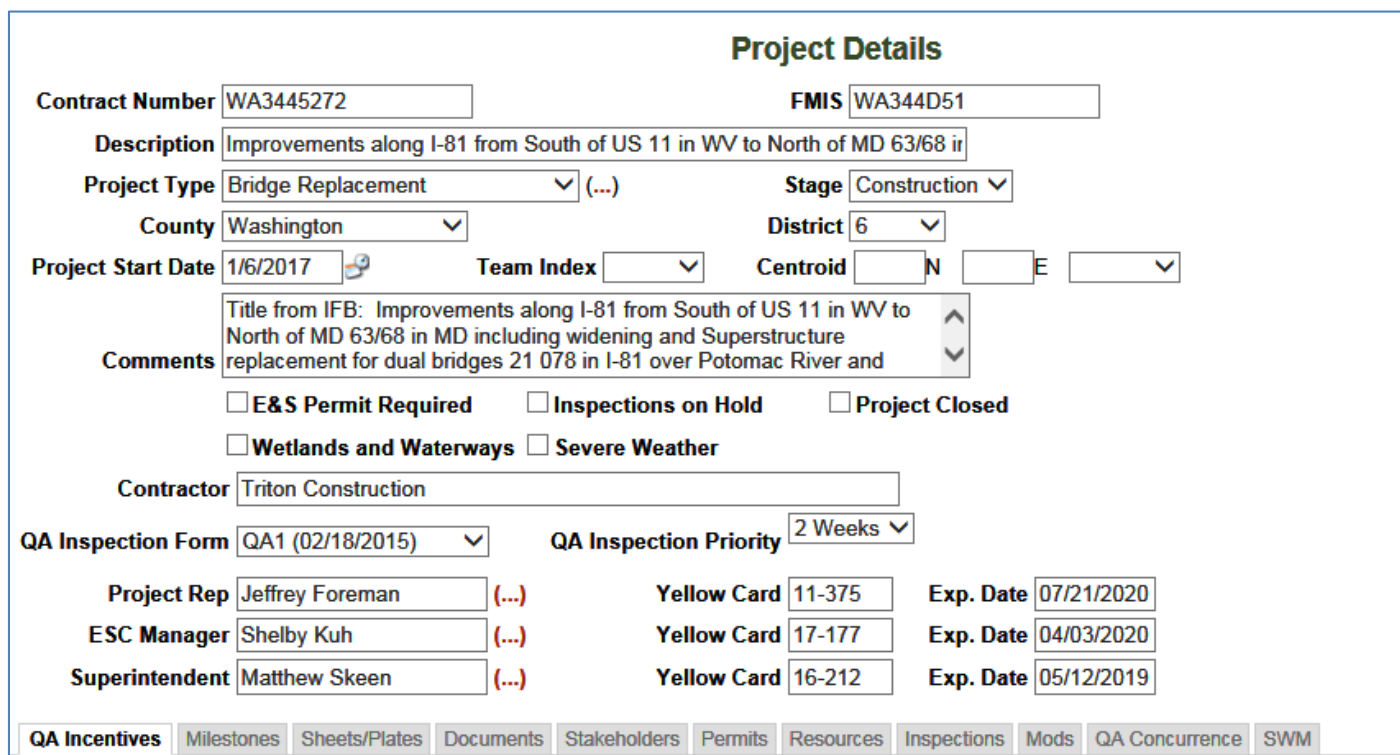

Select the edit icon to enter or update the project record as allowed by your user role.

The user will see a view of the project information. Data fields that are shaded may not be edited although the information under certain sub-tabs may. If you notice any information that is incorrect or out of date please contact your REC to adjust the data as necessary.

Project Details

The **Project Details** includes information that is relevant to the project's environmental record. A series of sub-tabs appear at the bottom of the screen. These sub-tabs contain additional information about the project. Clicking the sub-tab will make the contained information appear. Population of the information in the Project Details starts at project advertisement and continues to be updated as needed by the QA Program.

The **QA Incentives** sub-tab contains information about incentives and liquidated damages for the project.

The **Milestones** sub-tab contains specific milestone dates for the project.

The **Sheets/Plates** sub-tab contains the approved project plans, addendums and redlines along with the impact plates from the environmental permits.

The **Documents** sub-tab contains all the accumulated documents for the project. This will include any attachments or uploads from individual users.

The **Stakeholders** sub-tab contains a list of all the users assigned to the project. Information such as the individual's role, email and phone number is included in this information.

The **Permits** sub-tab contains the environmental permits including a PDF of the original document.

The **Resources** sub-tab contains information about the project's environmental resource impacts.

The **Inspections** sub-tab contains all the QA inspections for the project.

The **Mods** sub-tab contains a listing of the construction modifications and the status.

The **QA Concurrence** sub-tab contains a listing of the QA Concurrences and the status.

The **SWM** sub-tab contains a listing of the SWM As-Built submittals and the status.

All users can see all the sub-tabs**. The CPE may work within 5 of the sub-tabs, QA Incentives, Documents, Mods, QA Concurrence and SWM** while the Contractor may utilize 3 of the sub-tabs, **Mods, QA Concurrence and SMW.**

QA Incentives Sub Tab

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

E&S Quarterly Incentive Periods

Start Date	End Date	# Graded	D	F	Avg Grade Index	Incentive Amt	Liq. Damage Amt(per day)
10/11/2016	01/09/2017	1	0	0	100.0	$0.00	$0.00
01/10/2017	04/10/2017	5	0	0	97.3	$1,750.00	$0.00
04/11/2017	07/10/2017	6	0	0	94.3	$1,750.00	$0.00
07/11/2017	10/09/2017	4	0	0	90.1	$1,750.00	$0.00
10/10/2017	01/08/2018	0	0	0	--	$0.00	$0.00

Calculate Incentives (based on NTP Date)   **Final Incentive Estimate: $0.00**

Contracted Incentive/Damage Amounts
Final Incentive   (Payment A) $ 45500
Quarterly Incentive   (Payment B) $ 1750

Liq. Damage(D) Amt   (Payment D) $ 6376
Liq. Damage(F) Amt   (Payment F) $ 7510

Under the **QA Incentive** sub-tab, the CPE can track incentives for the project. To calculate the quarterly incentive information, select Calculate Incentives. The system will compile the inspections within the period and calculate the average grade. The notice to proceed date must be in the project record for this calculation to work properly.

Milestones Sub-Tab

| QA Incentives | **Milestones** | Sheets/Plates | Documents | Stakeholders | Permits | Resources | Inspections | Mods | QA Concurrence | SWM |

Type	Name	Date
Notice to Proceed		10/11/2016

Under the **Milestones** sub-tab any number of project milestones may be listed such as NTP, or Stream Restriction Dates.

Sheets/Plates Sub Tab

| QA Incentives | Milestones | **Sheets/Plates** | Documents | Stakeholders | Permits | Resources | Inspections | Mods | QA Concurrence | SWM |

Plan Sheets

Name	Description	Labels	
Addendum No. 1			
Addendum No. 1 Plans			
Addendum No. 2			
Addendum No. 3			
Addendum No. 3 Plans			
Highlighted Plan	Highlighted plans from PRD		

Impact Plates

Name	Description	Labels	

The **Sheets/Plates** sub-tab contains the approved project plans, addendums and redlines along with the impact plates from the environmental permits.

Documents Sub Tab

| QA Incentives | Milestones | Sheets/Plates | **Documents** | Stakeholders | Permits | Resources | Inspections | Mods | QA Concurrence | SWM |

Search Documents

Type	Description	Date	
Other	IFB	8/30/2017	
Other	mod 4	10/19/2017	
Photo	photo log	2/22/2017	
Photo	photo log	3/27/2017	
Photo	pictures of repair issues	6/15/2017	
Photo	photo log	3/8/2017	
Photo	photo log of areas needing stabilization	4/13/2017	
Photo	pictures of site issues.	9/20/2017	
Photo	photo log	4/27/2017	
Photo	Pictures of issues with concrete washout.	7/24/2017	

1 2 3

+ **Add Document**

The **Documents** sub-tab contains all the documents related to the project record. Anything that has been attached to a report or added to the record in any other part of the system will appear here. You may search the documents with the search panel or sort the listing grid by clicking on the column headers. This section also provides the ability for the Project Engineer to add documents, clicking on Add Document will provide a menu for uploading files to the project details.

Add Document

Document Type [⌄]
Description [   ]
File [Browse...]
Date [   ]

[✗ Cancel] [Add Attachment]

Stakeholders Sub-Tab

| QA Incentives | Milestones | Sheets/Plates | Documents | **Stakeholders** | Permits | Resources | Inspections | Mods | QA Concurrence | SWM |

User	Company/Agency	Email	Office Phone	Title	Project Role	
Barbara Allera-Bohlen	State Highway Administration	BAlleraBohlen@sha.state.md.us		EPD Project Manager	Stakeholder	
Robert Anderson	NMP	RAnderson@nmpengineering.com	4107719808	HHD Reviewer	Stakeholder	
Kate Ansalvish	Maryland Department of the Environment	kate.ansalvish1@maryland.gov	3016891482	Compliance Specialist - MDE	Stakeholder	

The Stakeholders Sub-Tab include all the stakeholders that have been assigned to the project along with the necessary contact information

Permits Sub-Tab

| QA Incentives | Milestones | Sheets/Plates | Documents | Stakeholders | **Permits** | Resources | Inspections | Mods | QA Concurrence | SWM |

Permit #	Agency	Description	Issued	Expires	
15-NT-3247	Maryland Department of the Environment, Water Management Administration	Authorization to Proceed	04/01/2016	04/01/2019	
MDRCVS0EE	Maryland Department of the Environment	NPDES General Permit	09/28/2016	12/31/2019	

The Permits Sub-Tab shows all the environmental permits related to the project. Clicking on the view icon to the right will open the permit details page where you can see more permit details and download PDF of the actual permit.

Resources Sub-Tab

| QA Incentives | Milestones | Sheets/Plates | Documents | Stakeholders | Permits | **Resources** | Inspections | Mods | QA Concurrence | SWM |

Note: You must save the Project to apply changes to the Resources list.
Resource Summary does not update until the project is saved.

Project Resource Summary

Resource type	Impact type	Permitted	Estimated	Final	Units

The Resources Sub-Tab will show the resource impacts related to the project. This section can show both permanent and temporary impacts.

Inspections Sub-Tab

| QA Incentives | Milestones | Sheets/Plates | Documents | Stakeholders | Permits | Resources | **Inspections** | Mods | QA Concurrence | SWM |

Date	Inspector	Rating	Status	
10/24/17	Jeremy Custer	A (94.5)	Final	
10/04/17	Jeremy Custer	A (96.0)	Final	
09/21/17	Jeremy Custer	B (83.7)	Final	

The Inspections Sub-Tab will show all of the QA inspections that have occurred on the project, you may view or download a PDF of the report from this location.

Mods, QA Concurrence and SWM Sub-Tabs

The remaining Sub Tabs are explained in more detail in later sections of this guide. The sections covering these topics are split depending on the user role. There are sections covering use by the Project Engineer and Contactor and there is another section covering the use of these sections by Reviewer

Plan Version Control

For projects that advertised with the MDOT SHA title sheet, PRD will sign the new approval block on the title sheet when Final Approval is issued. Individual SWM/ESC plan sheets will not be stamped.

With the stamp only appearing on the Title Sheet all revisions to the plans will also be tracked on this page.

In the field the individual sheets must be compared to the Title Sheet to ensure that the Addendum or Redline pages match up to the listed information

As can be seen in the Title Block below an Addendum and a Redline has been issued for this project.
Corresponding pages to these revisions should appear in the plan set, if other pages such as Addendum 2 or Redline 2 are found in the plans then it can be inferred that those pages are not approved as they do not appear on the Title Sheet revision list. A new Title Sheet will be issued with every new revision.

To the right is an example of the PRD approval stamp that may be found in an IFB of a project that does not have actual plans issued. All of the plans and notes are incorporated in the IFB itself.

Types of Plan Changes

There are several ways to change contract documents and plans, it is important to understand the difference. The following is a summary of the different types of plan changes and the conditions that they should apply.

Addendums: Whenever a change occurs to the design document package after advertisement and prior to Bid Opening, the administration will issue an addendum. The addendum is an official notice prepared by the PE to all affected contractors and other affected parties describing in detail the change to the contract. This contract change may include adding, deleting and revising plans (including pen & ink), Special Provisions and Engineer's Estimate, responses to contractor questions (including clarifying contractors' issues) and postponement or cancellation of the bid opening.

Red Line Revisions: The purpose of a Red Line Revision is to provide revised contract plans documenting changes that are necessary to complete construction. Changes, quantity overruns, errors and omissions that can be constructed without requiring changes to the contract plans will not require a Red Line Revision. The types of changes requiring a Red Line Revision may include, but are not limited to, the following:

- Revisions to correct errors and omissions that require plan adjustment necessary for the contractor to complete the work.
- Scope changes that add, delete, or change contract plans and require revision of the contract plans for the contractor to complete the work
- Revisions to address unforeseen field conditions that require plan revisions necessary for the contractor to complete the work.
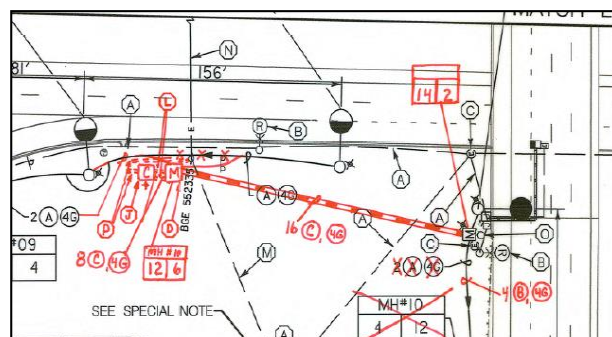
The approval process for Red Line Revisions will be the responsibility of the Lead Design Division or District Office for district projects. Approval will also be required from the SHA office managing the specific program funds.

Green Line Revision: The purpose of a Green Line Revision is to document as built construction that differs from the contract plans. The Green Line Revisions will be generated from plans marked up by the construction engineer accurately documenting permanent features such as structure invert elevations, pipe type and sizes, location variations, utility locations/relocation, etc. For Design/Build projects the Contractor is required to forward final as built plans to the Lead Division. All projects require final as-built plans to the Lead Division.

Modification: A modification is a change to the plan in the field (blue line markup) generally related to temporary E&S control items.. This will require review and approval at differing levels based on the complexity of the request. Modifications are meant to address field level adjustments in the plans and not for large scale changes, Scope of work or Errors and Omisions. Example s include:

- Adding E&S Controls
- Modifying an E&S Control
- Substituting an E&S Control

- Adjusting the Limits of Disturbance
- Changing the Sequence of Construction
- Work during a Stream Restriction Period

- Create a Stockpile
- Create a Staging Area
- Change Vegitation Sandard

QA Concurrence: A QA Concurrence is when a change is not made although per the plans or program guidance the REC must concur with what the contractor is doing. Examples include:

- Moving an SCE to a better location
- Move to the next phase of work
- Remove controls with adaquate growth

- Moving a dewatering device to a better location
- Convert a Storm Water Management Facility
- Delay of control installation when area of control is not yet disturbed

<u>**The procedure outlined below is to be used fo all Requests for Revisions/Field Design Changes (Modifications).**</u>

1. Field Modification requests are initiated by the Contractor.   The request is placed in the Quality Assurance Toolkit by the Contractor. Associated plan mark-ups should be completed in **BLUE**.
2. The SHA Project Engineer reviews the completed modification request along with supporting documentation and sign for concurrence in the QA toolkit. If the Project Engineer does not concur with the request it is not considered for review. The projects Regional Environmental Coordinator (REC) may assist when necessary.
3. The QA Reviewer ensures all necessary information is included with the modification request package and forwards to the necessary reviewers with approval authority.
4. Review and Approval status will be tracked in the QA toolkit and remain pending until all required approvals have been obtained.
5. Approval or rejection of the request is documented in the QA Toolkit.   The SHA Project Engineer will furnish a copy of the approval or rejection to the Contractor.   Reasons for rejections will be documented in the toolkit.
6. Notification to the SHA Project Engineer will be through the QA Toolkit notification system.
7. With the completed and signed approval, the SHA Project Engineer will inform the Contractor that work related to the modification can proceed.

Guidance for Creating a Modification

1. **The online QA-3 form must be completed entirely. All the information fields should be completed to ensure correct review occurs.**
2. **The description must be clear and specific as to the changes that are being requested.**
3. **The modification package must meet the following criteria before it can be submitted for review:**
    a. **The requested changes must be marked on the most current version of the approved E&S plans. This includes all prior modification.**
    b. **The marked up plan must include the title sheet.**
    c. **The marked-up plan must be a full E&S plans sheet.**
    d. **A change to the LOD must include an updated General Notes page with the disturbed and total area amounts updated.**
    e. **The plan sheet(s) can be marked by hand or electronically.**
    f. **The plan sheet(s) must be legible when printed.**
    g. **The requested modifications to the plan should be marked in BLUE.**
    h. **The items modified on the plan sheet is to be denoted with the modification number within a circle.**
    i. **A Book job must include the general notes page with the signature block and the full E&S page from the IFB.**
    j. **Do not use the highlighted plans from the QA toolkit. You may use other electronic plans from the toolkit.**
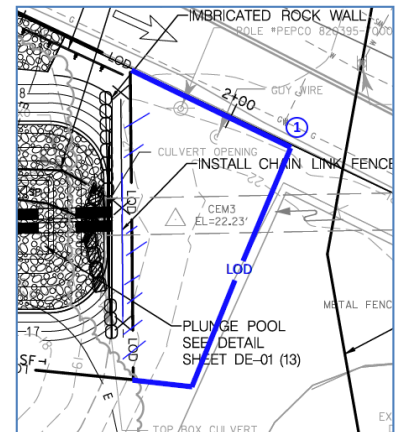
When a modification occurs it is the responsibility of the Administrating District to communicate those changes to the design project manager

Submitting a Modification Request

Field Modifications are to be submitted through the QA Toolkit for review by the appropriate Office/Agencies. This system is not to be utilized for Red-Line revisions or Design Submittals on Design Build Projects. The following is a step by step description of the process in the Toolkit.

Select the "Projects" Tab at the top of the page to see a list of 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 some of the information under the available sub-tabs may.

Mods Sub-Tab

The **Mods** sub-tab shows details about existing modification request 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 PDF button will generate a printable QA-3 form in its most recent version including all related responses and attachments. This will be a complete modification record in PDF format.

  The QA-3 button will open the QA-3 input form that can be edited by contractor representatives or the Construction PE. This form remains editable until the request is submitted for review.

  The New Request button is utilized to create a new modification request. 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 modification request.

  Select the magnifying glass to view the details of the comment.

  Select the download icon to download a PDF of the response and associated attachments.

In the Existing Modification 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.

Package Status:	Pre-Submittal	*The Modification Request has been entered into the system and is in a cursory review awaiting submittal*
	Package Submitted	*The Package has been submitted for a formal review*
	Package Withdrawn	*The Request has been withdrawn for reasons listed*

Final Mod Request Status:	Pending	*The Modification Request has been entered into the system and is in a cursory review awaiting submittal*
	Submitted for Review	*The Request has been submitted for a formal review*
	Approved	*The Request has been approved and is complete*
	Denied	*The Request has been denied for the reason listed*
	Request Withdrawn	*The Request has been withdrawn for reasons listed*

A New Modification Request

When starting a new request, the user will see the modification request form. This form should be competed entirely to provide as much information to the reviewers as possible. This information is no different than if the user were completing a paper version of the QA-3 except the system already has many of the project details so the user does not have to enter that basic information.

The **Activity location** is very important as it will help to determine who must review the request.

Attachments should be added to help the reviewers understand the changes being requested.
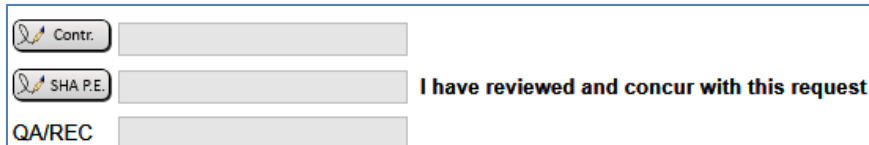
Clicking on Upload Request Document will provide a menu for uploading files to the QA-3 form.
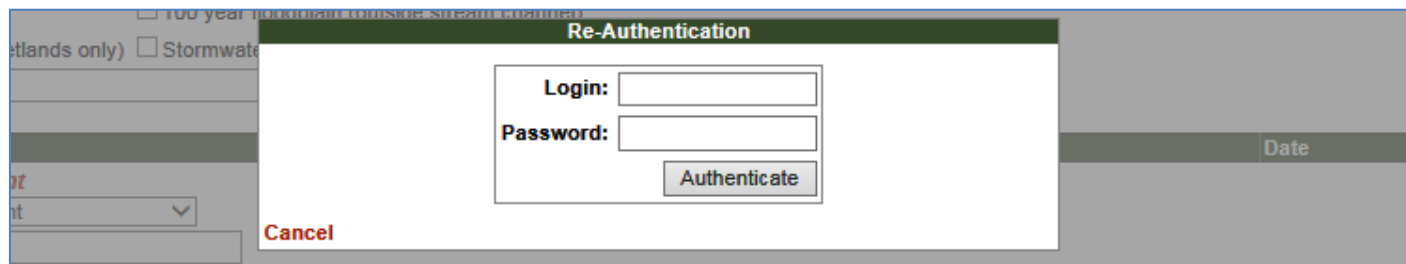
 Click the Save & Submit button to ensure entered information is saved by the system.
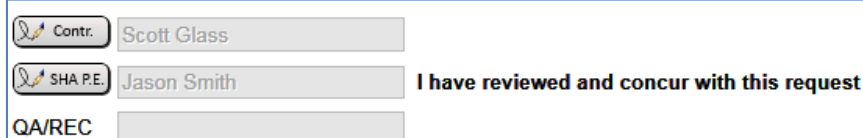
Even though you have clicked the save and submit button, the form can still be edited and attachments can still be added up until the package is sent to reviewers. This occurs when the QA Program is satisfied the package is complete and in a state ready for formal review.

The Contractor must sign the request and the Construction PE must concur 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.

It is only necessary to click the Save and Submit button one time. Clicking buttons in the system multiple time in rapid succession may introduce duplicate or erroneous information.

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 sent to reviewers. This occurs when the QA program is satisfied the package is complete and in a state ready for formal review.

When the package is complete and ready for review the QA program package reviewer will sign the request and send it to the appropriate reviewers.

When a request has been sent to review the QA-3 form can no longer be edited by any user, Comments, Question or additional attachment can be added through the response system.

Repond and Comment

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

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

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 request is approved or denied.

The upper right section shows the current package status and who is currently reviewing the information. This area also shows the **Final Modification Request Status**, when multiple groups or agencies must approve a request the Final Status will not show Approved or Denied until all the groups or agencies have competed review. The information in this area may only be changed by a package reviewer or a request reviewer.

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 **Modification Request Text** field. Attachments may be added to the response in the lower section as in other parts of the Toolkit.

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 modification 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 modification record.

Always refer to the "**Final Mod Request Status**" to know if the request has been approved or not, never proceed with work based on a single comment as multiple parties may need to approve a modification request. When a modification request is complete and has been approved or denied then responses may no longer be entered in to the system and the modification may no longer be edited by any stakeholder.

Submitting for a QA Concurrence

QA Concurrences are to be submitted through the QA Toolkit for review by the REC assigned to the project. This system is not to be utilized for Modifications. The following is a step by step description of the process in the Toolkit.

Select the "Projects" Tab at the top of the page to see a list of 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 some of the information under the available sub-tabs may.

QA Concurrence Sub-Tab

The **QA Concurrence** sub-tab shows details about existing modification request and status. There are several buttons to select from depending on the desired action

 The New Request button is utilized to create a new concurrence request. This button should not be used to respond to an existing request.

 The View button will open the request input form submitted by the contractor representatives or the CPE. This will allow you to see the request details and status.

 The Respond button is utilized to post new comments, questions or responses to a request. This is also how the REC will approve or deny concurrence

Clicking on # Responses will expand the information to include all the comments and responses related to the specific modification request.

 Select the magnifying glass to view the details of the comment

A New QA Concurrence Request

Click on the "New Request" button will open a QA Concurrent Request Form. Fill in the needed information and then click "Save and Submit". The REC will automatically be notified that a concurrence request is in the system for review.

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.

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	🖊️ ℹ️ 📄
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	🖊️ ℹ️ 📄
AA1575132	AA157B51	N	MD 177 to MD 695- Traffic Barrier Replacement in AA County	AA	5	REQ.STATUS: Pending	Average: A; Recent: A	🖊️ ℹ️ 📄

🖊️   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 status's and 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.

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 sings for acceptance by clicking this button. With the Districts acceptance, the submittal goes to a formal review.
[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.

[Save & Submit]   **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 Reponses

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

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

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 it can no longer be edited or deleted. It is a permanent part of the project record.

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.

Reviewing a modification in the QA toolkit

Field Modifications on active construction projects are to be submitted through the QA Toolkit for review by the appropriate Office/Agencies. QA Package reviewer (Authorized members of the QA team) will conduct a cursory review of a request package to ensure it includes all the needed parts such as signature or plan markups. When the request package is submitted for review you will be alerted through the automatic email system. This system is not to be utilized for Red-Line revisions or Design Submittals on Design Build Projects. The following is a step by step description of the process in the toolkit.

Approval authority will be set in the QA Toolkit by the administrator. All users can review a request and associated information. A Request Approver can approve or deny requests with an electronic approval and signature system.

APPROVAL PERMISSION
☐ Modification Package Approver ☐ Modification Request Approver
☐ SWM As-Built District Rep ☐ SWM As-Built Approver
Group Membership:
☐ QA Program ☐ Environmental Programs
☐ Plan Review ☐ Landscape Operation
☐ Hydraulics Division ☐ Other

When a new request has been entered in the Toolkit one of several Package Reviewers for the QA program will do a cursory review of the request. This review is to ensure all the necessary information has been provided by the contractor and that it is a viable submittal. If necessary the package reviewer will make a request for additional information prior to sending the request for review.

When the Package reviewer has determined that all the necessary information has been provided, they will submit the request for review. The complexity of the request or the resources impact will determine who the request goes to for review. In some instances, the request may go to multiple reviewers. The levels of review and the individuals with the necessary authority have been identified by the Administration. When multiple approvals are needed the request will remain" Pending" until all necessary parties have approved the request, if any one party Denies the request then the request is Denied entirely.

When a package reviewer sends the request to you for review you will receive a notification email.

Mon 10/30/2017 6:46 AM

support@oedtoolkits.net

Modification 44 for Project PG1755170 - MD 5 at Brandywine Road and MD 373 Interchange Phase 2

To ○ Gary Lilly; ○ Glass, Scott; ○ Ballard, Clayton; ○ Caspersen, Grant; ● Tad Daniel; ○ Melissa Freese; ○ Don Hoey; ○ Robert Jackowski; ○ Kiley, Steven; ○ McGinley, Kevin; ○ Brian McGrath; ◐ Christie Minami; ○ Polly Solliday; ○ Richard Wilke

An new modification request response has been added to project: *PG1755170*   **by:** *McGrath, Brian*

Project Description: *MD 5 at Brandywine Road and MD 373 Interchange Phase 2*

Modification Number: *44*   **Package Status:** *Package Submitted* **Request Status:** *Submitted for Review*

Under Review By: *HHD*

Original Request Text: **Original Request Date:** *10/23/2017 5:35:49 PM*

   30IN Watermain ESC Sequence of Construction - URGENT

Most Recent Response Text: Most Recent Response Date:*10/30/2017*

   Sent to HHD for review

List of Attachments

To view more communication or reply to this message, log into http://www.oedtoolkits.net/epd.qatoolkit and select appropriate Project.

The email includes pertinent information about the request including who is reviewing the request and the individuals involved.

From this point on whenever a comment or response is added to the modification request record you will receive an email updating you of the status.

As a reviewer you should now log into the Toolkit to review the request and respond or comment as necessary. Click on the "Projects" Tab at the top of the page to go to a project listing. You can reduce the project list by searching for the project in the search panel.

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 some of the information under the available sub-tabs may.

Mods Sub-Tab

The **Mods** sub-tab shows details about existing modification request 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 PDF button will generate a printable QA-3 form in its most recent version including all related responses and attachments. This will be a complete modification record in PDF format.

 The QA-3 button will open the QA-3 input form that can be edited by contractor representatives or the CPE. This form remains editable until the request is submitted for review.

 The New Request button is utilized to create a new modification request. 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 modification request.

 Select the magnifying glass to view the details of the comment.

 Select the download icon to download a PDF of the response and associated attachments.

Respond and Comment

A response or comment can be added in the **Mods** subtab of the project record.

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

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 request is approved or denied.

The upper right section shows the current package status and who (division or Group) is currently reviewing the information. This area also shows the **Final Modification Request Status**, when multiple groups or agencies must approve a request the Final Status will not show Approved or Denied until all the groups or agencies have competed review. The information in this area may only be changed by a package reviewer or a request reviewer.

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 **Modification Request Text** field. Attachments may be added to the response in the lower section as in other parts of the Toolkit.

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 modification 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 modification record. The ability for anyone to enter responses or comments goes away.

Approve or Deny

Approval or Denial of a request must be done by a user that has authorization to do so. To Approve or Deny a request open a new response and enter your comment. Comments should alwys reflect the action you are proceeding with such as "*Request Approved*" or "*Request Denied due to ....*". When Dening a request it is necessary to state your reason why.

If multiple groups are reviewing the request it is important to include language in the test that sends a clear message as to not confuse or misguide others using the system an good example is "*Request approved by (approval group), If approvals from other groups are necessary then this response is not the final approval for the request. Please review "Final Modification Request Status" for the Status of the request.*"

After entering your comment, you must now change the status of the request. In the top right section, you will see a dropdown menu for your division or group. Using the dropdown menu select the status you wish to change the request to.

When you have selected the proper option in the Dropdown the word "Sign" will appear in red beside the menu.

Click on the "Sign" text and the Authorization box will appear. Enter your name and password that you log into the Toolkit with to electronically sign the request.

Upon successful entry of your login information the "Sign" text will disappear.

The final step is to click the Save and Submit button on the lower left of the page to commit the response to the project record.
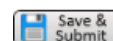
When a modification request is complete and has been approved or denied then responses may no longer be entered in to the system and the modification may no longer be edited by any stakeholder.

Existing Modification Requests

To submit a new Modification request, click the "New Request" button at the lower right of the page. To comment on an existing active request, click the "Respond" button to the right of the specific request from within the grid.

MOD #: 1
Antonio Couto
8/23/2017 1:04 PM
Sheet: EN - 01

Package Status: **Package Submitted;**
Request change phase 1 to phase 2
Click here to view 3 response(s)/comment(s)

Final Mod Request Status: **Approved**

Proper Commenting

When commenting on a modification remember to be clear and concise. It is important to understand that many individuals are utilizing this information and it is important to send a message that will not be misconstrued by others. If you are expecting a response to your comment then state that.

Some aexample of proper commenting follow:

- **When a package is submitted**

    - "Package submitted for review by …."

- **When a package is withdrawn**

    - "Package Withdrawn due to…..."

    - "Package withdrawn at the request of…"

- **When a request is approved** (if the request is under review by multiple groups then use the second example)

    - "Request approved by…."

    - "There are no objections from ……, Please review "Final Modification Request Status" for the Status of the

        request."

- **When a request is denied** (You must always state a reason that a request is denied)

    - "Request denied by…. Due to ……"

- **When a request is withdrawn**

    - "Request withdrawn due to…..."

    - "Request withdrawn at the request of……"

Reviewing a Storm Water Management As-Built Submittal

SWM As-Built submittals for completed SWM Facilities to be submitted through the QA Toolkit for review by the appropriate Office/Agencies. The contractor submits the package and notifications go to the necessary parties at each step of the process. The following is a step by step description of the process in the toolkit.

Approval authority will be set in the QA Toolkit by the administrator. All users can view a request and associated information. A SWM As-Built District Rep approves the submittal before it is sent for formal review. A SWM As-Built Approver will coordinate the review of and approve the As-Built submittal.

APPROVAL PERMISSION
☐ Modification Package Approver ☐ Modification Request Approver
☐ SWM As-Built District Rep ☐ SWM As-Built Approver
Group Membership:
☐ QA Program   ☐ Environmental Programs
☐ Plan Review   ☐ Landscape Operation
☐ Hydraulics Division ☐ Other

When a new submittal has been entered into the Toolkit, the system will automatically send notifications to the necessary parties. With the initial submittal a notification will go to the SWM As-Built District Rep. The District Representative will review the submittal to ensure it is complete and acceptable. When the submittal is found acceptable the District Rep will sign the submittal.

Upon signing by the District, the system will automatically send a notification to the SWM As-Built Approver. This individual will coordinate the review of the submittal through to the end. Comments can be made by all parties involved throughout the process.

When it is time for you to become involved in the process you will receive a notification email.

Fri 10/20/2017 10:40 AM
support@oedtoolkits.net
SWM As-Built 1 for Project GA2065229 - Keysers Ridge Maintenance Shop Complex
To   ✅ Joseph Bartell; ⚪ Chunca Bittinger; ⚪ Stephen Buckley; ⚪ Stephen Bucy; ✅ Tad Daniel; ⚪ Devin Miller; ⚪ Weir, Allana; ⚪ Derick Winfield; ⚪ Stephen Buckley; ⚪ Messier,Scott; ✅ Joseph Bartell

An new SWM As-Built request has been added to project: *GA2065229* **by:** *Chunca Bittinger*

Project Description: *Keysers Ridge Maintenance Shop Complex*

SWM Request Number: *1*   **SWM Review Status:** *Under Review*

Facilities: *GA2065229 SWM As Built Certification Package*

Request Text: **Request Date:** *10/6/2017 8:22:56 AM*

Most Recent Response Text: **Most Recent Response Date:***10/6/2017 8:27:57 AM*

List of Attachments

ASBUILT-2017-09-26.pdf - GA2065229 SWM As Built Cert - 10/6/2017 8:25:52 AM

GA2065229 SWM As Built Cert Letter.pdf - GA2065229 Response to Original SWM As Built Submittal - 10/6/2017 8:25:52 AM

Asbuilt-Narrative-2017-09-26.pdf - GA2065229 SWM As Built Cert Narrative - 10/6/2017 8:22:56 AM

SWM AB Comments_GA206_20171019.pdf - Comment from HHD - 10/20/2017 10:39:32 AM

To view more communication or reply to this message, log into http://www.oedtoolkits.net/epd.qatoolkit and select appropriate Project.

The email includes pertinent information about the request including the most recent comment and the individuals involved.

From this point on whenever a comment or response is added to the modification request record you will receive an email updating you of the status.

As a reviewer you should now log into the Toolkit to review the submittal and respond or comment as necessary. Click on the "Projects" Tab at the top of the page to go to a project listing. You can reduce the project list by searching for the project in the search panel.

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 some of the information under the available sub-tabs may.

SWM Sub-Tab

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

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.

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

Viewing a Submittal

When viewing a submittal, the user will see the SWM As-Built Submittal request form. The digital As-Built package should be attached to the submittal.

   Select the download icon to download the associated document.

All files associated with an As-Built are to be added in the SWM As-Built Submittal request form

If there is a need to upload additional documents then clicking on Upload Document will provide a menu for uploading files to the As-Built form.

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 sings for acceptance by the District office to move the submittal to review with HHD/PRD by clicking this button.
[✎ Approved]	Final Acceptance is signed by HHD when the review process is complete by clicking this button.
[💾 Save & Submit]	**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 until the package receives 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 Reponses

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

[Respond]   Click the Respond button to post new comments, questions and responses.

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 has final approved.

The upper right section shows the current Review 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.**

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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.

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

Signing a Submittal

Click on the appropriate button to electronically sign.

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 users name will then appear in the Approved field.

Final Approval by the submittal reviewers, meaning all stages of acceptance have occurred should be documented with a response comment and then a signature on the SWM As-Built Submittal request form. The signature in the Approved section should be the last action for a submittal review as this will result in the submittal being locked and committed to the project record.

 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.

Proper Commenting

When commenting on a submittal, remember to be clear and concise. It is important to understand that many individuals are utilizing this information and it is important to send a message that will not be misunderstood by others. If you are expecting a response to your comment then state that.

When the reviewer is accepting the SWM AS-Built Submittal at the differing levels then tht must be clearly stated in the comment. This is important as there a payment responsibilities tht need to be addressed by the District representatives.

Only after the Final acceptance will the reviewer sign the "Approved" section of the As Built Submittal Request form.

Some aexample of proper commenting follow:

- **When a package is Accepted by the district and sent for review by HHD**
    - "SWM AS-Built has been reviewed by the District. The Submittal is ready for HHD review."
- **Structural Acceptance**
    - The AS-Built package for ……. and finds it structurally acceptable. We will follow up with an Acceptance letter to HHD.
- **Package Deficiencies.**
    - The Turfgrass Establishment (Section 705) Acceptance does not address the Meadow Establishment (Section 707) specified for the Bioswale. Please verify that the swale does have the proper vegetation.

<u>Appendix A</u>

<u>Modification Process Flowchart</u>

The below Flow Chart is designed help understand the modification request 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

Modification request normally made by Contractor with proper supporting documentation and a signature.

The SHA Construction Project Engineer reviews the completed modification along with supporting documentation and upon concurrence signs the modification request.

The QA Program ensures all necessary information is included with the modification request and then forwards to the necessary Divisions for review.

Submittal reviewed by the QA program Highway Hydraulics Division or Plan Review Division as determined by the previous step.

Oher Divisions or Agencies may be necessary such as PRD, EPD or LOD.

Comments or question may occur between the reviewers and project.

With a completed and signed approval by all the necessary groups the Project Engineer will inform the contractor that work related to the modification can proceed.

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