

-- STATE OF NORTH CAROLINA--
DEPARTMENT OF TRANSPORTATION
RALEIGH, N.C.

FINAL RFP

DESIGN-BUILD PROJECT

TIP R-2606B

April 30, 2008



VOID FOR BIDDING

DATE AND TIME OF TECHNICAL AND PRICE PROPOSAL SUBMISSION: **June 20, 2008 BY 4:00 PM**

DATE AND TIME OF PRICE PROPOSAL OPENING: **July 15, 2008 AT 2:00 PM**

CONTRACT ID: C 201918

WBS ELEMENT NO. 34480.3.GV1

FEDERAL-AID NO. NHF-0311(23)

COUNTY: Randolph

ROUTE NO. US 311 / I-74

MILES: 7.92

LOCATION: US 311 Bypass from north of Spencer Road (SR 1929) to US 220 – Future I-74

TYPE OF WORK: DESIGN-BUILD AS SPECIFIED IN THE SCOPE OF WORK
CONTAINED IN THE REQUEST FOR PROPOSALS

NOTICE:

ALL PROPOSERS SHALL COMPLY WITH ALL APPLICABLE LAWS REGULATING THE PRACTICE OF GENERAL CONTRACTING AS CONTAINED IN CHAPTER 87 OF THE GENERAL STATUTES OF NORTH CAROLINA WHICH REQUIRES THE PROPOSER TO BE LICENSED BY THE N.C. LICENSING BOARD FOR CONTRACTORS WHEN BIDDING ON ANY NON-FEDERAL AID PROJECT WHERE THE BID IS \$30,000 OR MORE, EXCEPT FOR CERTAIN SPECIALTY WORK AS DETERMINED BY THE LICENSING BOARD. PROPOSERS SHALL ALSO COMPLY WITH ALL OTHER APPLICABLE LAWS REGULATING THE PRACTICES OF ELECTRICAL, PLUMBING, HEATING AND AIR CONDITIONING AND REFRIGERATION CONTRACTING AS CONTAINED IN CHAPTER 87 OF THE GENERAL STATUTES OF NORTH CAROLINA. NOT WITHSTANDING THESE LIMITATIONS ON BIDDING, THE PROPOSER WHO IS AWARDED ANY PROJECT SHALL COMPLY WITH CHAPTER 87 OF THE GENERAL STATUTES OF NORTH CAROLINA FOR LICENSING REQUIREMENTS WITHIN 60 CALENDAR DAYS OF BID OPENING, REGARDLESS OF FUNDING SOURCES.

5% BID BOND OR BID DEPOSIT REQUIRED

**PROPOSAL FORM FOR THE CONSTRUCTION OF CONTRACT NO. C 201918
IN RANDOLPH COUNTY, NORTH CAROLINA**

Date _____ 20 _____

**DEPARTMENT OF TRANSPORTATION,
RALEIGH, NORTH CAROLINA**

The Design-Build Team herein acknowledges that it has carefully examined the location of the proposed work to be known as Contract No. C 201918; has carefully examined the Final Request for Proposals (RFP) and all addendums thereto, specifications, special provisions, the form of contract, and the forms of contract payment bond and contract performance bonds, which are acknowledged to be part of the Contract; and thoroughly understands the stipulations, requirements and provisions. The undersigned Design-Build Team agrees to be bound upon their execution of the Contract and including any subsequent award to them by the Board of Transportation in accordance with this Contract to provide the necessary contract payment bond and contract performance bond within fourteen calendar days after the written notice of award is received by them.

The undersigned Design-Build Team further agrees to provide all necessary materials, machinery, implements, appliances, tools, labor, and other means of construction, except as otherwise noted, to perform all the work and required labor to design, construct and complete all the work necessary for State Highway Contract No. C 201918 in Randolph County by no later than the dates(s) specified in the Final RFP or Technical Proposal, whichever is earlier, and in accordance with the requirements of the Engineer, the Final RFP, the 2006 *Standard Specifications for Roads and Structures*, specifications prepared by the Department, the Technical Proposal prepared by the Design-Build Team, at the lump sum price(s) bid by the Design-Build Team in their Price Proposal.

The Design-Build Team shall provide signed and sealed documents prepared by the Design-Build Team, which specifications and plans show the details covering this project and adhere to the items noted above.

The Design-Build Team acknowledges that project documents furnished by the Department are preliminary and provided solely to assist the Design-Build Team in the development of the project design. Unless otherwise noted herein, the Department does not warrant or guarantee the sufficiency or accuracy of any information furnished by the Department.

The Department does not warrant or guarantee the sufficiency or accuracy of any investigations made, nor the interpretations made or opinions of the Department as to the type of materials and conditions to be encountered at the project site. The Design-Build Team is advised to make such independent investigations, as they deem necessary to satisfy their self as to conditions to be encountered on this project. The Design-Build Team shall have no claim for additional compensation or for an extension of contract time for any reason resulting from the actual conditions encountered at the site differing from those indicated in any of the information or documents furnished by the Department except as may be allowed under the provisions of the Standard Specifications.

Although the Department has furnished preliminary designs for this project, unless otherwise noted herein, the Design-Build Team shall assume full responsibility, including liability, for the

project design, including the use of portions of the Department design, modification of such design, or other designs as may be submitted by the Design-Build Team.

The Design-Build Team shall be fully and totally responsible for the accuracy and completeness of all work performed under this contract, and shall indemnify and hold the Department harmless for any additional costs and all claims against the Department or the State which may arise due to errors or omissions of the Department in furnishing the preliminary project designs and information, and of the Design-Build Team in performing the work.

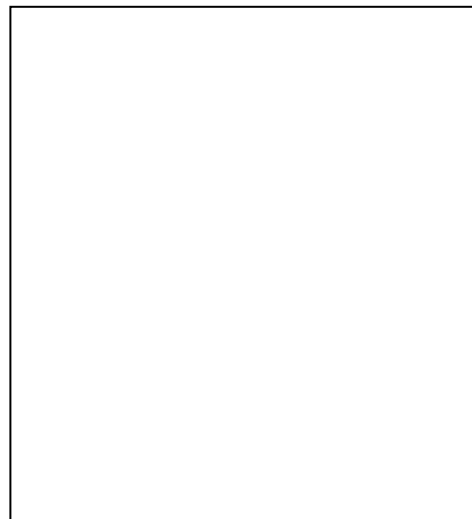
The published volume entitled North Carolina Department of Transportation, Raleigh, *Standard Specifications for Roads and Structures*, JULY 2006, as well as, all design manuals, policy and procedures manuals, and AASHTO publications and guidelines referenced in the Request For Proposals, with all amendments and supplements thereto, are by reference, incorporated and made part of this contract; that, except as herein modified, all the design, construction and Construction Engineering Inspection included in this contract is to be done in accordance with the documents noted above and under the direction of the Engineer.

If the Design-Build Proposal is accepted and the award is made, the Technical Proposal submitted by the Design-Build Team is by reference, incorporated and made part of this contract. The contract is valid only when signed either by the Contract Officer or such other person as may be designated by the Secretary to sign for the Department of Transportation. The conditions and provisions herein cannot be changed except by written approval as allowed by the Request for Proposals.

Accompanying the Design-Build Proposal shall be a bid bond secured by a corporate surety, or certified check payable to the order of the Department of Transportation, for five percent of the total bid price, which deposit is to be forfeited as liquidated damages in case this bid is accepted and the Design-Build Team shall fail to provide the required payment and performance bonds with the Department of Transportation, under the condition of this proposal, within 14 calendar days after the written notice of award is received by them, as provided in the Standard Specifications; otherwise said deposit will be returned to the Design-Build Team.



*State Alternative Delivery
Engineer*



State Contract Officer

TABLE OF CONTENTS

COVER SHEET

PROPOSAL SHEETS

PROJECT SPECIAL PROVISIONS (GREEN SHEETS)	<i>PAGE NO.</i>
Contract Time and Liquidated Damages	1
Other Liquidated Damages and Incentives	1-2
Solid Waste Material in Embankments Alternate Bids	2-3
Progress Schedule	3-4
Payout Schedule	4-5
Mobilization	5
Submittal of Quantities, Fuel Base Index Price and Opt-Out Option	5-6
Partnering.....	6-7
Execution of Signature Sheets and Debarment Certification	7
Submission of Design-Build Proposal	7-8
Confidential Questions	8-9
Value Analysis	9
Schedule of Estimated Completion Progress	9
Substantial Completion	9-10
Disadvantaged Business Enterprise	10-20
Certification for Federal-Aid Contracts	20-21
U. S. Department of Transportation Hotline	21
Subsurface Information	21
Cooperation Between Contractors	22
Bid Documentation	22-25
Twelve Month Guarantee	25-26
Outsourcing Outside U.S.A	26
Clearing and Grubbing	26
SHPO Documentation for Borrow / Waste Sites	26-27
Erosion & Sediment Control / Stormwater Certification	27-32
Procedure for Monitoring Borrow Pit Discharge	32-34
Building and Appurtenance Removal / Demolition	34
Cement and Lime Stabilization of Subgrade Soils	35-39
Embankment Monitoring	39-40
Price Adjustments for Asphalt Binder	40
Price Adjustments - Asphalt Concrete Plant Mix	40
Field Office	41-43
Chipped Waste Tires in Embankments	43-44
Coal Fly Ash in Embankments	44-45
GENERAL (GREEN SHEETS)	46-59

SCOPES OF WORK (GREEN SHEETS)

Roadway 60-65
 Pavement Management 66-68
 Structures 69-71
 Railroad Coordination..... 72-74
 Geotechnical Engineering 75-83
 GeoEnvironmental 84-87
 Hydraulics 88
 Signing 89-92
 Traffic Control and Pavement Markings 93-105
 Utilities Coordination 106-110
 Right of Way 111-113
 Erosion and Sedimentation Control 114-119
 On-Site Mitigation..... 120-127
 Public Information 128-129
 Environmental Permits 130-135

STANDARD SPECIAL PROVISIONS (YELLOW SHEETS)

Plant and Pest Quarantines 136
 Shallow Undercut 136-137
 Shoulder and Fill Slope Material 137
 Flowable Fill..... 138
 Reinforced Bridge Approach Fill 138-140
 Aggregate Base Course 140-141
 Preparation of Subgrade and Base..... 141
 Asphalt Pavements - Superpave 141-149
 Asphalt Paver – Fixed and Mobile String Line..... 150
 Asphalt Binder Content of Asphalt Plant Mixes 150
 Final Surface Testing – Asphalt Pavements 150-154
 Cable Guiderail..... 154
 Impact Attenuator Units, Type 350 154-155
 Fence..... 155
 Street Signs and Markers and Route Markers 156
 Steel U-Channel Posts 156
 Shipping Signs 156
 Aggregate Production 156-157
 Concrete Brick and Block Production..... 157
 Portland Cement Concrete (Alkali-Silica Reaction) 157-158
 Glass Beads 158
 Engineering Fabrics Table 1056-1 158
 Paint Sampling and Testing 158-159
 Portable Concrete Barrier 159
 Temporary Shoring 159-166
 Changeable Message Signs 166
 Pavement Marking Lines..... 166-167

On-The-Job Training 167-169

Availability of Funds – Termination of Contracts 170

NCDOT General Seed Specification for Seed Quality 171-173

Errata 174-177

Award of Contract 178

Minority and Female Employment Requirements 179-181

Required Contract Provisions Federal-Aid Construction Contracts 182-191

Wage Rates 192-195

Division One 196-211

PROPOSAL FORMS - ITEMIZED SHEET, ETC.

Itemized Proposal Sheet (WHITE SHEET)

Fuel Usage Factor Chart and Estimate of Quantities (WHITE SHEET)

Award Limits on Multiple Projects (YELLOW SHEET)

Listing of DBE Subcontractors (YELLOW SHEETS)

Execution of Bid, Noncollusion Affidavit & Debarment Certification Signature Sheet
(YELLOW SHEETS)

***** PROJECT SPECIAL PROVISIONS *******CONTRACT TIME AND LIQUIDATED DAMAGES**

07/12/07

DB1 G04A

The date of availability for this contract is **September 1, 2008**, except that the Design-Build Team shall not begin ground disturbing activities, including utility relocations and tree harvesting, (this does not include permitted investigative borings covered under a Nationwide Permit No. 6) until a meeting is held between the NCDOT, the regulatory agencies and the Design-Build Team; and the required permits have been acquired, as stipulated in the Environmental Permits Scope of Work contained elsewhere in this Request for Proposals (RFP). The Design-Build Team shall consider this factor in determining the proposed completion date for this project.

The completion date for this contract is defined as the date proposed in the Technical Proposal by the proposer who is awarded the project. The completion date thus proposed shall not be later than **November 1, 2012**.

When observation periods are required by the special provisions, they are not a part of the work to be completed by the completion date and / or intermediate contract times. Should an observation period extend beyond the final completion date, the acceptable completion of the observation period shall be a part of the work covered by the performance and payment bonds.

The liquidated damages for this contract are **Five Thousands Dollars (\$ 5,000.00)** per calendar day. As an exception to this amount, where the contract has been determined to be substantially complete as defined by the Special Provision entitled "Substantial Completion" found elsewhere in this RFP, the liquidated damages will be reduced to **One Thousand Dollars (\$ 1,000.00)** per calendar day.

Where the Design-Build Team who is awarded the contract has proposed a completion date for the contract as required above, but also has proposed an earlier date for substantial completion, then both of these proposed dates will become contract requirements.

Liquidated damages of **Five Thousands Dollars (\$ 5,000.00)** per calendar day will be applicable to the early date for substantial completion proposed by the bidder. Liquidated damages of **One Thousand Dollars (\$ 1,000.00)** per calendar day will be applicable to the final completion date proposed by the bidder where the Design-Build Team has proposed an earlier date for substantial completion.

OTHER LIQUIDATED DAMAGES AND INCENTIVES

(3/22/07) (Rev. 12/04/07)

DB1 G11

Refer to the Traffic Control Scope of Work for more information on the following time restrictions and liquidated damages:

Liquidated Damages for Intermediate Contract Time #1 for lane narrowing, lane closure, holiday and special event time restrictions for US 220 are \$2,000.00 per hour or any portion thereof.

Liquidated Damages for Intermediate Contract Time #2 for lane narrowing, lane closure, holiday and special event time restrictions for existing US 311 and US 311 Bypass are \$1,000.00 per hour or any portion thereof.

Liquidated Damages for Intermediate Contract Time #3 for road closure time restrictions for US 220 are \$500.00 per 15-minute period or any portion thereof.

Liquidated Damages for Intermediate Contract Time #4 for road closure time restrictions for existing US 311 and US 311 Bypass are \$250.00 per 15-minute period or any portion thereof.

Liquidated Damages for Intermediate Contract Time #5 for road closure time restrictions for Banner Whitehead Road (SR 1931), Branson Davis Road (SR 1944), Walker Mill Road (SR 1936), Plain Field Road (SR 1518) and Health Dairy Road (SR 1511) are \$500.00 per calendar day or any portion thereof.

Erosion and Sedimentation Control Incentives and Liquidated Damages:

The Design-Build Team will be eligible for an incentive in the amount of \$100,000 if construction operations have been performed in accordance with all environmental regulations and the Specifications, and the Design-Build Team does not receive any violations (ICA, CICA, NOV and / or C&D) at any time during project construction.

Reference the Erosion and Sedimentation Control Scope of Work for additional information or incentives and Liquidated Damages.

SOLID WASTE MATERIAL IN EMBANKMENTS ALTERNATE BIDS (1-11-08)

The Design-Build Team shall provide lump sum price adjustments for using solid waste material, Option #1 - chipped tires and / or Option #2 - fly ash, in embankments for interchange ramps and loops at US 311 and US 220. (Reference the Chipped Tires in Embankments and Coal Fly Ash in Embankments Project Special Provisions found elsewhere in this RFP.)

The alternate solid waste material in embankments shall be delineated on the Itemized Proposal Sheet as an add or delete alternate, with the corresponding lump sum price adjustment. A cost savings to the Department shall be shown as a negative number. If alternate bids are provided for both options, provide separate lump sum price adjustments for Option #1 and Option #2.

After the contract is awarded, the alternate solid waste material in embankments lump sum price adjustment(s) will be reviewed by the Department. The acceptance or rejection of these alternates resides solely at the Department's discretion. The Department will notify the successful bidder within 60 days of the contract award as to the Department's intent to reject or accept the alternate solid waste material in embankments lump sum price adjustment(s). The

addition of any alternative thus accepted will be by supplemental agreement, and will be at the increased or decreased amount bid on the Itemized Proposal Sheet.

PROGRESS SCHEDULE

(12-18-07)

DB1 G12

Revise the *2006 Specifications* as follows:

Page 1-72, Article 108-2 Progress Schedule, delete in its entirety and replace with the following:

The Design-Build Team shall prepare and submit for review and approval a schedule of proposed working progress. This schedule shall be submitted on forms supplied by the Engineer or in a format that is approved by the Engineer. A detailed Critical Path Method (CPM) schedule shall not be submitted to replace the progress schedule details required below.

The Design-Build Team shall submit a Progress Schedule for review within thirty (30) calendar days of receiving Notice of Award. The Department will review the Progress Schedule within twenty-one (21) calendar days of receipt. The Design-Build Team shall make any necessary corrections and adjustments to the Progress Schedule as necessitated by the Department's review within seven (7) calendar days. The Department will review the revised Progress Schedule within seven (7) calendar days of receipt.

When the Engineer has extended the completion date the Design-Build Team may submit a revised progress schedule to the Engineer for review and approval. If plan revisions are anticipated to change the sequence of operations in such a manner as will effect the progress but not the completion date, then the Design-Build Team may submit a revised progress schedule for review and approval but the completion date shall remain unchanged.

The proposed progress schedule shall contain the following items:

- (A) A time scale diagram with major work activities and milestone dates clearly labeled.
- (B) A cash curve corresponding to the milestones and work activities established above.
- (C) A written narrative that explains the sequence of work, the controlling operation(s), intermediate completion dates, milestones, project phasing, anticipated work schedule, and estimated resources. In addition, explain how permit requirements, submittal tracking, and coordination with subcontractors, utility companies and other entities will be performed.

Major work activities are defined as components comprising more than 5% of the total project cost or occupying more than 10% of total contract time and shall include, if applicable, the following:

Clearing and grubbing
 Grading
 Drainage
 Soil stabilization
 Aggregate base course
 Pavement
 Culverts
 Bridges (including removal)
 Signals, ITS and lighting
 Overhead signs
 Utility relocation and construction

Major Milestones are derived from the project construction phasing and shall include, if applicable, the following:

Critical design submittal dates
 Critical permitting dates
 Completion of right of way acquisition
 Completion of utility conflicts
 Start of construction
 Intermediate completion dates or times
 Seasonal limitation / observation periods / moratoriums
 Traffic shifts
 Beginning and end of each traffic control phase or work area
 Road openings
 Completion date

The Design-Build Team shall provide a written narrative each month detailing the work and percentage of work completed, anticipated sequence of upcoming work (2 month forecast), controlling operation(s), intermediate completion dates, and milestones. If any milestones are exceeded or will not be achieved, the Design-Build Team shall provide in the written narrative details of the delay; controlling operation affected, impacts to other operations, revisions to future intermediate completion dates and milestones, and remedial action necessary to get the project back to the original completion date.

PAYOUT SCHEDULE

(5-23-07)

DB1 G13

No later than 12:00 o'clock noon on the sixth day after the opening of the Price Proposal, the responsive proposer with the lowest adjusted price shall submit a proposed Anticipated Monthly Payout Schedule to the office of the State Contract Officer. The information shall be submitted in a sealed package with the outer wrapping clearly marked "Anticipated Monthly Payout Schedule" along with the Design-Build Team name and the contract number. The Anticipated Monthly Payout Schedule will be used by the Department to establish the monthly funding levels for this project. The Anticipated Monthly Payout Schedule shall parallel, and agree with, the project schedule the Design-Build Team submits as a part of their Technical Proposal. The schedule shall include a monthly percentage breakdown (in terms of the total contract amount

percentages) of the work anticipated to be completed. The schedule shall begin with the Date of Availability and end with the Actual Completion Date proposed by the Design-Build Team. If the Payout Schedule is not submitted as stated herein, the Technical and Price Proposals will be considered irregular by the Department, and the bid may be rejected.

MOBILIZATION

(10-31-05) (Rev 01-3-07)

DB1 G15B

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 8-1, Subarticle 800-2, MEASUREMENT AND PAYMENT

Delete this subarticle in its entirety and replace with the following:

800-2 MEASUREMENT AND PAYMENT

5 percent of the “Total Amount Bid for Entire Project” shall be considered the lump sum amount for Mobilization. Partial payments for Mobilization will be made beginning with the first partial pay estimate paid on the contract. Payment will be made at the rate of 50 percent of the lump sum amount calculated for Mobilization. The remaining 50 percent will be paid with the partial pay estimate following approval of all permits required in the Environmental Permits Scope of Work for this project.

SUBMITTAL OF QUANTITIES, FUEL BASE INDEX PRICE AND OPT-OUT OPTION

(08-21-07)

DB1 G43

(A) Submittal of Quantities

Submit quantities on the *Fuel Usage Factor Chart and Estimate of Quantities* sheet, located in the back of this RFP, following the Itemized Proposal Sheet.

The Design-Build Team shall prepare an Estimate of Quantities that they anticipate incorporating into the completed project and upon which the Price Proposal was based. The quantity breakdown shall include all items of work that appear in the *Fuel Usage Factor Chart and Estimate of Quantities* sheet. Only those items of work which are specifically noted in the Fuel Usage Factor Chart will be subject to fuel price adjustments. The quantity estimate submitted in the Price Proposal shall be the final total quantity for which fuel price adjustments will be made for each item, regardless of supplemental agreements. The Department will review the Estimate of Quantities to ensure its reasonableness to the proposed design. Agreement of quantities will be a prerequisite prior to execution of the contract.

Submittal The submittal shall be signed and dated by an officer of the Design-Build Team. The information shall be copied and submitted in a separate sealed package with the outer wrapping clearly marked “Fuel Price Adjustment” and shall be delivered at the same time and location as the Technical and Price Proposal. The original shall be submitted in the Price Proposal.

Trade Secret Information submitted on *the Fuel Usage Factor Chart and Estimate of Quantities* sheet will be considered “Trade Secret” in accordance with the requirements of G.S. 66-152(3) until such time as the Price Proposal is opened.

(B) Base Index Price

The Design-Build Team’s Estimate of Quantities will be used on the various partial payment estimates to determine fuel price adjustments. The Design-Build Team shall submit a payment request for quantities of work completed based on the work completed for that estimate period. The quantities requested for partial payment shall be reflective of the work actually accomplished for the specified period. The Design-Build Team shall certify that the quantities are reasonable for the specified period. The base index price for **DIESEL #2 FUEL** is \$ **3.2404** per gallon.

(C) Opt Out of Fuel Price Adjustment

If the Design-Build Team elects not to pursue reimbursement for Fuel Price Adjustments, a quantity of zero shall be entered for all quantities in the *Fuel Usage Factor Chart and Estimate of Quantities* and the declination box shall be checked. Failure to complete this form will mean that the Design-Build Team is declining the Fuel Price Adjustments for this project.

(D) Change Option The proposer will not be permitted to change the option after the Price Proposal and the copy of the *Fuel Usage Factor Chart and Estimate of Quantities* sheet is submitted.

(E) Failure to submit the completed *Fuel Usage Factor Chart and Estimate of Quantities* sheet separately and in the Price Proposal will result in the Technical and Price Proposal being considered irregular by the Department and the Technical and Price Proposal may be rejected.

PARTNERING

04/03/07

DB1 G49

As a part of its quality management program, the North Carolina Department of Transportation intends to encourage the formation of a cohesive relationship with the Design-Build Team and its principal subcontractors and suppliers. This relationship will be structured to draw on the strengths of each organization to identify and achieve reciprocal goals. The objectives are safe, effective, and efficient contract performance; and completion within budget, on schedule, and in accordance with the plans and specifications.

This relationship will be bilateral in makeup and participation will be totally voluntary. The cost associated with effectuating this relationship will be agreed to by both parties and shall be shared equally. Compensation for the Department’s share of the partnering costs will be by Supplemental Agreement.

To implement this initiative prior to starting work in accordance with the requirements of Section 108 of the Standard Specifications and the Standard Special Provision for Division One (found elsewhere in this RFP), and prior to the preconstruction conference, the Design-Build Team's management personnel and Division Construction Engineer will initiate a partnering development seminar/team building workshop. Project personnel working with the assistance of the Construction Unit will make arrangements to determine attendees at the workshop, agenda of the workshop, duration, and location. Persons required to be in attendance will be the NCDOT Resident Engineer, the NCDOT Division Construction Engineer, and key project personnel; the Design-Build Team's senior management personnel, the Design-Build Team's on-site project manager, and key project supervisory personnel for both the Design-Build Team and principal subcontractors and suppliers. The project design engineers, FHWA, and key local government personnel will also be invited to attend as necessary.

Follow-up workshops may be held periodically throughout the duration of the contract as agreed by the Design-Build Team and the North Carolina Department of Transportation.

The establishment of the partnering charter on a project will not change the legal relationship to the contract nor relieve either party from any of the terms of the contract.

EXECUTION OF SIGNATURE SHEETS AND DEBARMENT CERTIFICATION

(9/07/05)

DB1 G52

The Proposer's attention is directed to the various sheets in the Request for Proposal which are to be signed by the Proposer. A list of these sheets is shown below. The signature sheets are located behind the Itemized Proposal Sheet in this Request for Proposal. The NCDOT bid bond form is available on-line at: <http://ncdot.org/doh/forms/files/bidbond.pdf> or by contacting the Records and Documents office at 919-250-4124.

1. Applicable Signature Sheets: 1, 2, 3, 4, 5, or 6 (Bid)
2. Bid Bond

The Proposer shall certify to the best of his knowledge all subcontractors, material suppliers and vendors utilized herein current status concerning suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency, in accordance with the "Debarment Certification" located behind the *Execution of Bid Noncollusion Affidavit and Debarment Certification* signature sheets in this RFP. Execution of the bid signature sheets in conjunction with any applicable statements concerning exceptions, when such statements have been made on the "Debarment Certification", constitutes the Proposer's certification of "status" under penalty of perjury under the laws of the United States.

SUBMISSION OF DESIGN-BUILD PROPOSAL

04/03/07

DB1 G55A

The Proposer's attention is directed that each Proposer's Design-Build Proposal shall comply with the following requirements in order for that Design-Build Proposal to be responsive and considered for award.

1. The Proposer shall be prequalified with the Department prior to submitting a Design-Build Proposal.
2. The Proposer shall deliver the Design-Build Proposal to the place indicated, and prior to the time indicated in this Request for Proposal.
3. The Design-Build Proposal documents shall be signed by an authorized employee of the Proposer.
4. The Design-Build Proposal shall be accompanied by Bid surety in the form of a Bid bond or Bid deposit.
5. If Disadvantaged Business Enterprises (DBE) goals are established for this contract, the Proposer shall complete the form Listing of DBE Subcontractors contained elsewhere in this RFP in accordance with the Project Special Provision entitled Disadvantaged Business Enterprises.
6. The Design-Build Proposal shall address all the requirements as specified in this Request for Proposal.

In addition to the above requirements, failure to comply with any of the requirements of Article 102-8 of the Standard Special Provisions, Division One (found elsewhere in this RFP) or Articles 102-9, 102-10, or 102-11 of the 2006 *Standard Specifications for Roads and Structures* may result in a Design-Build Proposal being rejected.

CONFIDENTIAL QUESTIONS

(1-5-07)

DB1 G56

The Design-Build Team will be permitted to ask confidential questions of the Department, which neither the question nor answer will be shared with other proposing teams. For the purpose of this provision, “confidential question” is defined as a private inquiry containing information whose disclosure could alert others to certain details of doing business in a particular manner. The Department will determine if the question is considered a confidential question.

- I. Confidential questions arising prior to issuance of the Final Request for Proposal will be allowed at the External RFP review with the individual teams.

The Department will answer the confidential question verbally at the meeting if possible. If not answered verbally during the meeting, the Department will answer the confidential question by subtle changes in the Final Request for Proposal, which will clarify the scope by either allowing or disallowing the request. The revision will be made in such a manner as to not disclose the confidential question.

- II. After the issuance of the Final Request for Proposal, confidential questions may be asked by requesting a meeting with the Contract Officer. The request shall be in writing and provide sufficient detail to evaluate the magnitude of the request. Questions shall be of such

magnitude as to warrant a special meeting. Minor questions will not be acknowledged or answered.

After evaluation, the Contract Officer will respond to the question in writing to the Design-Build Team only. Other teams will not be notified of the question or answer.

If the Design-Build Team includes work based on the confidential questions and answers, the work shall be included and discussed in the Technical Proposal. The Technical Proposal will be evaluated in accordance with existing policies.

VALUE ANALYSIS

(1-5-07)

DB2 R12

Value Engineering Construction Proposals (VECP), as identified in Article 104-12 of the 2006 *Standard Specifications for Roads and Structures* will be accepted. Only proposals, which alter the requirements of the RFP issued by the Department, will be considered as Value Engineering Construction Proposals.

SCHEDULE OF ESTIMATED COMPLETION PROGRESS

(10-6-05)

DB1 G58

The Design-Build Team's attention is directed to the Standard Special Provision entitled "Availability of Funds - Termination of Contracts" included elsewhere in this RFP. The Department of Transportation's schedule of estimated completion progress for this project as required by that Standard Special Provision is as follows:

<u>Fiscal Year</u>	<u>Progress (Dollar Value)</u>
2009 (07/01/08 – 06/30/09)	16 % of Total Amount Bid
2010 (07/01/09 – 06/30/10)	26 % of Total Amount Bid
2011 (07/01/10 – 06/30/11)	32 % of Total Amount Bid
2012 (07/01/11 – 06/30/12)	21 % of Total Amount Bid
2013 (07/01/12 – 06/30/13)	5 % of Total Amount Bid

The Design-Build Team shall also furnish its own progress schedule in accordance with Project Special Provision entitled "Progress Schedule" (found elsewhere in this RFP). Any acceleration of the progress as shown by the Design-Build Team's progress schedule over the progress as shown above shall be subject to the approval of the Engineer.

SUBSTANTIAL COMPLETION

(3-22-07)

DB1 G16

When the special provisions provide for a reduction in the rate of liquidated damages for the contract time or an intermediate contract time after the work is substantially complete, the work will be considered substantially complete when the following requirements are satisfied:

1. Through traffic has been placed along the project or along the work required by an intermediate contract time and the work is complete to the extent specified below, and all lanes and shoulders are open such that traffic can move unimpeded at the posted speed. Intersecting roads and service roads are complete to the extent that they provide the safe and convenient use of the facility by the public.
2. The final layers of pavement for all lanes and shoulders along the project or along the work required by an intermediate contract time are complete.
3. All signs are complete and accepted except for the signs on intersecting roadways.
4. All guardrails, drainage devices, ditches, excavation and embankment are complete.
5. Remaining work along the project consists of permanent pavement markings, permanent pavement markers or incidental construction that is away from the paved portion of the roadway.

Upon apparent substantial completion of the entire project or the work required by an intermediate contract time, the Engineer will make an inspection of the work. If the inspection discloses the entire project or the work required by an intermediate contract time is substantially complete; the Engineer will notify the Design-Builder in writing that the work is substantially complete. If the inspection discloses the entire project or the work required by an intermediate contract time is not substantially complete, the Engineer will notify the Design-Builder in writing of the work that is not substantially complete. The entire project or the work required by an intermediate contract time will not be considered substantially complete until all of the recommendations made at the time of the inspection have been satisfactorily completed.

DISADVANTAGED BUSINESS ENTERPRISE

(10-16-07) (Rev. 12/04/07)

DB1 G61

Policy

It is the policy of the North Carolina Department of Transportation that Disadvantaged Business Enterprises (DBEs) as defined in *49 CFR Part 26* shall have the equal opportunity to compete fairly for and to participate in the performance of contracts financed in whole or in part by Federal Funds.

Obligation

The Design-Build Team, subcontractor, and sub-recipient shall not discriminate on the basis of race, religion, color, national origin, age, disability or sex in the performance of this contract. The Design-Build Team shall comply with applicable requirements of *49 CFR Part 26* in the award and administration of federally assisted contracts. Failure by the Design-Build Team to comply with these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy, as the Department deems necessary.

Definitions

Commitment - The approved DBE participation submitted by the Design-Build Team during the bidding process.

Committed DBE - Any DBE listed on the DBE commitment list approved by the Department at the time of Price Proposal submission or any DBE utilized as a replacement for a DBE firm listed on the commitment list.

Department - North Carolina Department of Transportation

Disadvantaged Business Enterprise (DBE) – A firm certified as a Disadvantaged Business Enterprise through the North Carolina Unified Certification Program.

Goal - The DBE participation specified herein

Letter of Intent – Written documentation of the Design-Build Team’s commitment to use a DBE subcontractor and confirmation from the DBE that it is participating in the contract.

Manufacturer - A firm that operates or maintains a factory or establishment that produces on the premises the materials or supplies obtained by the Design-Build Team.

Regular Dealer - A firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials or supplies required for the performance of the contract are bought, kept in stock, and regularly sold to the public in the usual course of business. A regular dealer engages in, as its principal business and in its own name, the purchase and sale or lease of the products in question. A regular dealer in such bulk items as steel, cement, gravel, stone, and petroleum products need not keep such products in stock, if it owns or operates distribution equipment. Brokers and packagers are not regarded as manufacturers or regular dealers within the meaning of this section.

Form RS-1-D - Form for subcontracts involving DBE subcontractors attesting to the agreed upon unit prices and extensions for the affected contract items.

North Carolina Unified Certification Program - A program that provides comprehensive information to applicants for certification, such that an applicant is required to apply only once for a DBE certification that will be honored by all recipients of USDOT funds in the state and not limited to the Department of Transportation only. The Certification Program is in accordance with *49 CFR Part 26*.

USDOT - United States Department of Transportation, including the Office of the Secretary, the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), and the Federal Aviation Administration (FAA).

Contract Goal

The following goal for participation by Disadvantaged Business Enterprises is established for this contract:

Disadvantaged Business Enterprises **12 %**

- (A) *If the goal is more than zero*, the Design-Build Team shall exercise all necessary and reasonable steps to ensure that Disadvantaged Business Enterprises participate in at least the percent of the contract as set forth above as the goal.
- (B) *If the goal is zero*, the Design-Build Team shall continue to recruit the DBEs and report the use of DBEs during the construction of the project. A good faith effort will not be required with a zero goal.

This goal is to be met through utilization of highway construction contractors. Utilization of DBE firms performing design, other preconstruction services, or Construction Engineering and Inspection are not included in this goal.

Contract Requirement

The approved DBE participation submitted by the Design-Build Team shall be the **Contract Requirement**.

Certified Transportation Firms Directory

Real-time information about firms doing business with the Department and firms that are certified through North Carolina's Unified Certification Program is available in the Directory of Transportation Firms. The Directory can be accessed by the link on the Department's homepage or by entering <https://apps.dot.state.nc.us/vendor/directory/> in the address bar of your web browser. Only firms identified as DBE certified in the Directory can be utilized to meet the contract goals.

The listing of an individual firm in the Department's directory shall not be construed as an endorsement of the firm's capability to perform certain work.

Listing of DBE Subcontractors in Contract

Only those DBE firms with current certification are acceptable for listing in the Proposer's submittal of DBE participation. The Design-Build Team shall indicate the following required information:

- (1) *If the goal is more than zero*, Proposers at the time the Price Proposal is submitted, shall submit a listing of DBE participation on the appropriate form (or facsimile thereof) contained elsewhere in the RFP in order for the Price Proposal to be considered responsive. Proposers shall indicate the total dollar value of the

DBE participation for the contract. If Proposers have no DBE participation, they shall indicate this on the form “Listing of DBE Subcontractors” by entering the word or number zero. This form shall be completed in its entirety. **Blank forms will not be deemed to represent zero participation.** Price Proposals submitted that do not have DBE participation indicated on the appropriate form will not be read publicly during the opening of Price Proposals. The Department will not consider these Price Proposals for award and the Price Proposal will be returned to the Proposer.

- (2) *If the goal is zero*, Proposers at the time the Price Proposal is submitted, the Proposer shall enter the word “zero” or number “0” or if there is participation, add the value on the “Listing of DBE Subcontractors” (or facsimile thereof) contained elsewhere in the RFP.

Written Documentation – Letter of Intent

The Proposer shall submit written documentation of the Proposer’s commitment to use a DBE subcontractor whose participation it submits to meet a contract goal and written confirmation from each DBE, listed in the proposal, indicating their participation in the contract. This documentation shall be submitted on the Department’s form titled “Letter of Intent to Perform as a Subcontractor”. This letter of intent form is available at:

<http://www.ncdot.org/doh/preconstruct/ps/contracts/letterofintent.pdf>.

It shall be received in the office of the State Contractor Utilization Engineer no later than 12:00 noon of the sixth calendar day following opening of Price Proposals.

If the Proposer fails to submit the letter of intent from each committed DBE listed in the proposal indicating their participation in the contract, the DBE participation will not count toward meeting the goal.

Counting DBE Participation toward Meeting DBE Goal of Zero or More

- (A) If a firm is determined to be an eligible DBE firm, the total dollar value of the participation by the DBE will be counted toward the contract requirement. The total dollar value of participation by a certified DBE will be based upon the value of work actually performed by the DBE and the actual payments to DBE firms by the Design-Build Team.
- (B) When a DBE performs as a participant in a joint venture, the Design-Build Team may count toward its DBE goal a portion of the total value of participation with the DBE in the joint venture, that portion of the total dollar value being a distinct clearly defined portion of work that the DBE performs with its forces.
- (C) (1) The Design-Build Team may count toward its DBE requirement only expenditures to DBEs that perform a commercially useful function in the work of

a contract. A DBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the DBE shall also be responsible with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a commercially useful function, the Department will evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing and the DBE credit claimed for its performance of the work, and other relevant factors.

- (2) A DBE may enter into subcontracts. Work that a DBE subcontracts to another DBE firm may be counted toward the contract requirement. Work that a DBE subcontracts to a non-DBE firm does not count toward the contract requirement. If a DBE contractor or subcontractor subcontracts a significantly greater portion of the work of the contract than would be expected on the basis of standard industry practices, the DBE shall be presumed not to be performing a commercially useful function. The DBE may present evidence to rebut this presumption to the Department for commercially useful functions. The Department's decision on the rebuttal of this presumption is subject to review by the Federal Highway Administration but is not administratively appealable to USDOT.
- (3) The following factors will be used to determine if a DBE trucking firm is performing a commercially useful function.
 - (a) The DBE shall be responsible for the management and supervision of the entire trucking operation for which it is responsible on a particular contract, and there shall not be a contrived arrangement for the purpose of meeting DBE goals.
 - (b) The DBE shall itself own and operate at least one fully licensed, insured, and operational truck used on the contract.
 - (c) The DBE receives credit for the total value of the transportation services it provides on the contract using trucks it owns, insures, and operates using drivers it employs.
 - (d) The DBE may lease trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the contract.

- (e) The DBE may also lease trucks from a non-DBE firm, including from an owner-operator. The DBE who leases trucks from a non-DBE is entitled to credit for the total value of transportation services provided by non-DBE lessees not to exceed the value of transportation services provided by DBE-owned trucks on the contract. Additional participation by non-DBE lessees receives credit only for the fee or commission it receives as a result of the lease arrangement.
 - (f) For purposes of this paragraph, a lease shall indicate that the DBE has exclusive use of and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, so long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks shall display the name and identification number of the DBE.
- (D) A Design-Build Team may count toward its DBE requirement 60 percent of its expenditures for materials and supplies required to complete the contract and obtained from DBE regular dealer and 100 percent of such expenditures to a DBE manufacturer.
- (E) A Design-Build Team may count toward its DBE requirement the following expenditures to DBE firms that are not manufacturers or regular dealers:
- (1) The fees or commissions charged by a DBE firm for providing a bona fide service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of a DOT-assisted contract, provided the fees or commissions are determined to be reasonable and not excessive as compared with fees and commissions customarily allowed for similar services.
 - (2) The fees or commissions charged for assistance in the procurement of the materials and supplies, or for transportation charges for the delivery of materials or supplies required on a job site (but not the cost of the materials and supplies themselves), provided the fees are not from a manufacturer or regular dealer and provided the fees are determined to be reasonable and not excessive as compared with fees customarily allowed for similar services.

Good Faith Effort for Projects with Goals More than Zero

If the DBE participation submitted in the Price Proposal by the Propser with the apparent adjusted low price does not meet or exceed the DBE contract goal, this Proposer shall submit to the Department documentation of its good faith efforts made to reach the contract goal. One complete set and 9 copies of this information shall be received in the office of the State Contractor Utilization Engineer no later than 12:00 noon of the sixth calendar day following opening of Price Proposals. Where the information submitted includes repetitious solicitation letters it will be acceptable to submit a representative letter along with a distribution list of the firms that were solicited. Documentation of DBE quotations shall be a part of the good faith

effort submittal as necessary to demonstrate compliance with the factors listed below which the Department considers in judging good faith efforts. This documentation may include written subcontractor quotations, telephone log notations of verbal quotations, or other types of quotation documentation.

The following factors will be used to determine if the Proposer has made adequate good faith effort:

- (A) Whether the Proposer attended any pre-bid meetings that were scheduled by the Department to inform DBEs of subcontracting opportunities.
- (B) Whether the Proposer provided solicitations through all reasonable and available means (e.g. advertising in newspapers owned and targeted to the Disadvantaged) at least 10 calendar days prior to Price Proposal opening). Whether the Proposer provided written notice to all DBEs listed in the NCDOT Directory of Transportation Firms, within the Divisions and surrounding Divisions where the project is located, that specialize in the areas of work (as noted in the DBE Directory) that the Proposer will be subletting.
- (C) Whether the Proposer followed up initial solicitations of interests by contacting DBEs to determine with certainty whether they were interested. If a reasonable amount of DBEs within the targeted Divisions do not provide an intent to quote or no DBEs specialize in the subcontracted areas, the Proposer shall notify DBEs outside of the targeted Divisions that specialize in the subcontracted areas, and contact the Business Development Manager in the NCDOT Office of Civil Rights to give notification of the Proposer's inability to get DBE quotes.
- (D) Whether the Proposer selected portions of the work to be performed by DBEs in order to increase the likelihood of meeting the contract goals. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the Proposer might otherwise perform these work items with its own forces.
- (E) Whether the Proposer provided interested DBEs with adequate and timely information about the plans, specifications and requirements of the contract.
- (F) Whether the Proposer negotiated in good faith with interested DBEs without rejecting them as unqualified without sound reasons based on a thorough investigation of their capabilities. Any rejection should be noted in writing with a description as to why an agreement could not be reached.
- (G) Whether quotations were received from interested DBE firms but rejected as unacceptable without sound reasons why the quotations were considered unacceptable. The fact that the DBE firms quotation for the work is not the lowest quotation received will not in itself be considered as a sound reason for rejecting the quotation as unacceptable. The fact that the Proposer has the ability and / or desire to perform the contract work with its own forces will not be considered as sound reason for rejecting a

DBE quote. Nothing in this provision shall be construed to require the Proposer to accept unreasonable quotes in order to satisfy contract goals.

- (H) Whether the Proposer specifically negotiated with subcontractors to assume part of the responsibility to meet the contract DBE goal when the work to be sublet includes potential for DBE participation.
- (I) Whether the Proposer made any efforts and / or offered assistance to interested DBEs in obtaining the necessary equipment, supplies, materials, insurance, and / or bonding to satisfy the work requirements in the RFP.
- (J) Any other evidence that the Proposer submits which show that the Proposer has made reasonable good faith efforts to meet the contract goal.

If a Proposer is the Proposer with the apparent adjusted low price or apparent lowest responsive bidder on more than one project within the same letting located in the same geographic area of the state, as a part of the good faith effort the Department will consider allowing the Proposer to combine the DBE participation as long as the overall DBE goal value of the combined projects is achieved.

If the Department does not award the contract to the Proposer with the apparent adjusted low price, the Department reserves the right to award the contract to the Proposer with the next apparent adjusted low price that can satisfy the Department that the contract goal can be met or that adequate good faith efforts have been made to meet the goal.

DBE Replacement

The Design-Build Team shall not terminate a committed DBE subcontractor for convenience or perform the work with its own forces or those of an affiliate. If the Design-Build Team fails to demonstrate reasonable efforts to replace a committed DBE firm that does not perform as intended with another committed DBE firm or completes the work with its own forces without the Engineer's approval, the Design-Build Team and any of its affiliated companies may be disqualified from further bidding for a period of up to 6 months.

The Design-Build Team shall comply with the following for replacement of committed DBE.

(A) Performance Related Replacement

When a DBE is terminated or fails to complete its work on the contract for any reason, the Design-Build Team shall take all necessary, reasonable steps to replace the DBE subcontractor with another DBE subcontractor to perform at least the same amount of work as the DBE that was terminated. The Design-Build Team is encouraged to first attempt to find another DBE firm to do the same work as the DBE that was being terminated.

To demonstrate necessary, reasonable good faith efforts, the Design-Build Team shall document the steps they have taken to replace any DBE subcontractor who is unable to perform successfully with another DBE subcontractor. Such documentation shall include but not be limited to the following:

- (1) Copies of written notification to DBEs that their interest is solicited in subcontracting the work defaulted by the previous DBE subcontractor or in subcontracting other items of work in the contract.
- (2) Efforts to negotiate with DBEs for specific subbids including, at a minimum:
 - (a) The names, addresses, and telephone numbers of DBEs who were contacted.
 - (b) A description of the information provided to DBEs regarding the plans and specifications for portions of the work to be performed.
- (3) For each DBE contacted but rejected as unqualified, the reasons for the Design-Build Team's conclusion.
- (4) Efforts made to assist the DBEs contacted, if needed, in obtaining bonding or insurance required by the Design-Build Team.

(B) Decertification Replacement

- (1) When a committed DBE is decertified by the Department after a Request for Subcontract has been received by the Department, the Department will not require the Design-Build Team to solicit replacement DBE participation equal to the remaining work to be performed by the decertified firm. The participation equal to the remaining work performed by the decertified firm will count toward the contract requirement.
- (2) When a committed DBE is decertified prior to the Department receiving a Request for Subcontract for the named DBE firm, the Design-Build Team shall take all necessary and reasonable steps to replace the DBE subcontractor with another DBE subcontractor to perform at least the same amount of work to meet the contract goal or demonstrate that it has made a good faith effort to do so.

Changes in the Work

When the Engineer makes changes that result in the reduction or elimination of work to be performed by a committed DBE, the Design-Build Team will not be required to seek additional participation. When the Engineer makes changes that result in additional work to be performed by a DBE based upon the Design-Build Team's commitment, the DBE shall participate in additional work to the same extent as the DBE participated in the original contract work.

When the Engineer makes changes that result in extra work, which has more than a minimal impact on the contract amount, the Design-Build Team shall seek additional participation by DBEs unless otherwise approved by the Engineer.

When the Engineer makes changes that result in an alteration of plans or details of construction and a portion or all of work had been expected to be performed by a committed DBE, the Design-Build Team shall seek participation by DBEs unless otherwise approved by the Engineer.

When the Design-Build Team requests changes in the work that result in the reduction or elimination of work that the Design-Build Team committed to be performed by a DBE, the Design-Build Team shall seek additional participation by DBEs equal to the reduced DBE participation caused by the changes.

Reports

All requests for subcontracts involving DBE subcontractors shall be accompanied by a certification executed by both the Design-Build Team and the DBE subcontractor attesting to the agreed upon unit prices and extensions for the affected contract items. This information shall be submitted on the Department Form RS-1-D, located at:

<http://www.ncdot.org/doh/forms/files/FORMRS-1-D.doc>

unless otherwise approved by the Engineer. The Department reserves the right to require copies of actual subcontract agreements involving DBE subcontractors.

Within 30 calendar days of entering into an agreement with a DBE for materials, supplies or services, not otherwise documented by a Request for Subcontract as specified above, the Design-Build Team shall furnish the Engineer a copy of the agreement. The documentation should also indicate the percentage (60% or 100%) of expenditures claimed for DBE credit.

All certifications will be considered a part of the project records, and consequently will be subject to penalties under Federal Law associated with falsifications of records related to projects.

Reporting Disadvantaged Business Enterprise Participation

- (A) The Design-Build Team shall provide the Engineer with an accounting of payments made to Disadvantaged Business Enterprise firms, including material suppliers, contractors at all levels (prime, subcontractor, or second tier subcontractor). This accounting shall be furnished to the Engineer for any given month by the end of the following month. Failure to submit this information accordingly may result in the following action:
- (1) Withholding of money due in the next partial pay estimate; or

- (2) Removal of any affiliated company of the Design-Build Team from the Department's appropriate prequalified list or the removal of other entities from the approved subcontractors list.
- (B) The Design-Build Team shall report the accounting of payments through the Department's DBE Payment Tracking System, which is located at:

<https://apps.dot.state.nc.us/Vendor/PaymentTracking/>.

The Design-Build Team shall also provide the Engineer an affidavit attesting the accuracy of the information submitted in the Payment Tracking System. This too shall be submitted for any given month by the end of the following month.

- (C) Design-Build Teams reporting transportation services provided by non-DBE lessees shall evaluate the value of services provided during the month of the reporting period only.

Prior to payment of the final estimate, the Design-Build Team shall furnish an accounting of total payment to each DBE. A responsible fiscal officer of the payee contractor, subcontractor, or second tier subcontractor who can attest to the date and amounts of the payments shall certify that the accounting is correct.

While each contractor (prime, subcontractor, 2nd tier subcontractor) is responsible for accurate accounting of payments to DBEs, it shall be the prime contractor's responsibility to report all monthly and final payment information in the correct reporting manner.

Failure on the part of the Design-Build Team to submit the required information in the time frame specified may result in the disqualification of that Design-Build Team and any of its affiliated companies from further bidding until the required information is submitted.

Failure on the part of any subcontractor to submit the required information in the time frame specified may result in the disqualification of that contractor and any affiliate companies from working on any DOT project until the required information is submitted.

Failure to Meet Contract Requirements

Failure to meet contract requirements in accordance with Article 102-16(J) of the 2006 *Standard Specifications for Roads and Structures* may be cause to disqualify the Design-Build Team.

CERTIFICATION FOR FEDERAL-AID CONTRACTS

(3-21-90)

DB1 G85

The Proposer certifies, by signing and submitting a Design-Build Proposal, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or

employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, *Disclosure Form to Report Lobbying*, in accordance with its instructions.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by *Section 1352, Title 31, U.S. Code*. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The Proposer also agrees by submitting a Design-Build Proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such sub-recipients shall certify and disclose accordingly.

U.S. DEPARTMENT OF TRANSPORTATION HOTLINE

(11-22-94)

DB1 G100

To report bid rigging activities call: **1-800-424-9071**

The U.S. Department of Transportation (DOT) operates the above toll-free *hotline* Monday through Friday, 8:00 a.m. to 5:00 p.m. eastern time. Anyone with knowledge of possible bid rigging, bidder collusion, or other fraudulent activities should use the *hotline* to report such activities.

The *hotline* is part of the DOT's continuing effort to identify and investigate highway construction contract fraud and abuse is operated under the direction of the DOT Inspector General. All information will be treated confidentially and caller anonymity will be respected.

SUBSURFACE INFORMATION

(3-22-07)

DB1 G119

Available subsurface information will be provided on this project. The Design-Build Team shall be responsible for additional investigations and for verifying the accuracy of the subsurface information supplied by the Department.

COOPERATION BETWEEN CONTRACTORS

(7/1/95)

DB1 G133

The Design-Build Team's attention is directed to Article 105-7 of the 2006 *Standard Specifications for Roads and Structures*.

Project R-2606A connects to the north end of this project and is currently under construction.

The Design-Build Team on this project shall cooperate with the Contractor or Design-Build Team working within or adjacent to the limits of this project, to the extent that the work can be carried out to the best advantage of all concerned.

BID DOCUMENTATION

(7/18/06)

DB1 G142

General

The successful Design-Build Team shall submit the original, unaltered bid documentation or a certified copy of the original, unaltered bid documentation used to prepare the Price Proposal for this contract to the Department. Such documentation shall be placed in escrow with a banking institution or other bonded document storage facility selected by the Department and preserved by that institution or facility as specified in the following sections of this provision.

Bid Documentation

The terms "bid documentation" as used in this provision means all written information, working papers, computer printouts and electronic media, charts, and all other data compilations which contain or reflect information, data, and calculations used by the Proposer in the preparation of their Price Proposal. The term "bid documentation" includes, but is not limited to, Design-Build Team equipment rates, Design-Build Team overhead rates, labor rates, efficiency or productivity factors, arithmetical calculations, and quotations from subcontractors and material suppliers to the extent that such rates and quotations were used by the Proposer in formulating and determining the Price Proposal. The term "bid documentation" also includes any manuals, which are standard to the industry used by the Proposer in determining the Price Proposal. Such manuals may be included in the bid documentation by reference. Such reference shall include the name and date of the publication and the publisher. The term does not include bid documents provided by the Department for use by the Proposer in bidding on this project.

Submittal of Bid Documentation

A representative of the Proposer shall deliver the original, unaltered bid documentation or a certified copy of the original, unaltered bid documentation to the Department, in a container suitable for sealing, within ten (10) days after the notice of award is received by the Proposer. Bid documentation will be considered a certified copy if the Proposer includes a letter to the Department from a chief officer of the company stating that the enclosed documentation is an EXACT copy of the original documentation. The letter must be signed by a chief officer of the

company, have the person's name and title typed below the signature, and the signature shall be notarized at the bottom of the letter. The Department will not execute the contract until the original, unaltered bid documentation or a certified copy of the original, unaltered bid documentation has been received by the Department. The container shall be clearly marked "Bid Documentation" and shall also show on the face of the container the Proposer's name, Proposer's address, the date of submittal, the Project Number, and the County.

Affidavit

In addition to the bid documentation, an affidavit signed under oath by an individual authorized by the Proposer to execute the bid shall be included. The affidavit shall list each bid document with sufficient specificity so a comparison may be made between the list and the bid documentation to ensure that all of the bid documentation listed in the affidavit has been enclosed. The affidavit shall attest that the affiant has personally examined the bid documentation, that the affidavit lists all of the documents used by the Proposer to determine the Price Proposal for this project, and that all such bid documentation has been included.

Verification

Upon delivery of the bid documentation, the Department's Contract Officer and the Proposer's representative will verify the accuracy and completeness of the bid documentation compared to the affidavit. Should a discrepancy exist, the Proposer's representative shall immediately furnish the Department's Contract Officer with any other needed bid documentation. The Department's Contract Officer upon determining that the bid documentation is complete will, in the presence of the Proposer's representative, immediately place the complete bid documentation and affidavit in the container and seal it. Both parties will deliver the sealed container to a banking institution or other bonded document storage facility selected by the Department for placement in a safety deposit box, vault, or other secure accommodation.

Duration and Use

The bid documentation and affidavit shall remain in escrow until 60 calendar days from the time the Design-Build Team receives the final estimate; or until such time as the Design-Build Team gives written notice of intent to file a claim, files a written claim, files a written and verified claim, or initiates litigation against the Department related to the contract; or until authorized in writing by the Design-Build Team. Upon the giving of written notice of intent to file a claim, filing a written claim, filing a written and verified claim, or the initiation of litigation by the Design-Build Team against the Department, or receipt of a letter from the Design-Build Team authorizing release, the Department may obtain the release and custody of the bid documentation. If the bid documentation remains in escrow 60 calendar days after the time the Design-Build Team receives the final estimate and the Design-Build Team has not filed a written claim, filed a written and verified claim, or has not initiated litigation against the Department related to the contract, the Department shall instruct the banking institution or other bonded document storage facility to release the sealed container to the Design-Build Team.

The Proposer certifies and agrees that the sealed container placed in escrow contains all of the bid documentation used to determine the Price Proposal and that no other bid documentation shall be relevant or material in litigation over claims brought by the Design-Build Team arising out of this contract.

Failure to Provide Bid Documentation

The Proposer's failure to provide the original, unaltered bid documentation or a certified copy of the original, unaltered bid documentation within 10 days after the notice of award is received by the Proposer may be just cause for rescinding the award of the contract and may result in the removal of the Proposer from the Department's appropriate prequalified list for a period up to 180 days. Award may then be made to the Proposer with the next lowest adjusted price or the work may be readvertised and constructed under the contract or otherwise, as the Board of Transportation may decide.

Escrow Agreement

The Proposer will be required to sign an Escrow Agreement within 10 days after the Proposer receives the notice of award. A copy of this Escrow Agreement document will be mailed to the Proposer with the notice of award for informational purposes. The Proposer and Department will sign the Escrow Agreement at the time that the bid documentation is delivered to a Banking Institution or other facility as outlined above. The Proposer's failure to sign the Escrow Agreement at the time the bid documentation is delivered may be just cause for rescinding the award of the contract and may result in the removal of the Proposer from the Department's appropriate prequalified list for a period up to 180 days. Award may then be made to the Proposer with the next lowest adjusted price or the work may be readvertised and constructed under the contract or otherwise, as the Board of Transportation may decide.

Confidentiality of Bid Documentation

The bid documentation and affidavit in escrow are, and will remain, the property of the Proposer. The Department has no interest in, or right to, the bid documentation and affidavit other than to verify the contents and legibility of the bid documentation unless the Design-Build Team gives written notice of intent to file a claim, files a written claim, files a written and verified claim, or initiates litigation against the Department. In the event of such written notice of intent to file a claim, filing of a written claim, filing a written and verified claim, or initiation of litigation against the Department, or receipt of a letter from the Design-Build Team authorizing release, the bid documentation and affidavit may become the property of the Department for use in considering any claim or in litigation as the Department may deem appropriate.

Any portion or portions of the bid documentation designated by the Proposer as a "trade secret" at the time the bid documentation is delivered to the Department's Contract Officer shall be protected from disclosure as provided by G.S. 132-1.2.

Cost and Escrow Instructions

The cost of the escrow will be borne by the Department. The Department will provide escrow instructions to the banking institution or other bonded document storage facility consistent with this provision.

Payment

There will be no separate payment for all costs of compilation of the data, container, or verification of the bid documentation. Payment at the lump sum price for the Design-Build project will be full compensation for all such costs.

TWELVE MONTH GUARANTEE

(7-15-03)

DB1 G145

- (A) The Design-Build Team shall guarantee materials and workmanship against latent and patent defects arising from faulty materials, faulty workmanship or negligence for a period of twelve months following the date of final acceptance of the work for maintenance and shall replace such defective materials and workmanship without cost to the Department. The Design-Build Team will not be responsible for damage due to faulty design, normal wear and tear, for negligence on the part of the Department, and / or for use in excess of the design.
- (B) Where items of equipment or material carry a manufacturer's guarantee for any period in excess of twelve months, then the manufacturer's guarantee shall apply for that particular piece of equipment or material. The Department's first remedy shall be through the manufacturer although the Design-Build Team is responsible for invoking the warranted repair work with the manufacturer. The Design-Build Team's responsibility shall be limited to the term of the manufacturer's guarantee. NCDOT would be afforded the same warranty as provided by the Manufacturer.
- (C) The Design-Build Team shall be responsible for any and all remediation activities at the on-site stream and wetland mitigation sites for a period of twelve months following final acceptance of the project at no additional cost to the Department.

This guarantee provision shall be invoked only for major components of work in which the Design-Build Team would be wholly responsible for under the terms of the contract. Examples would include pavement structures, bridge components, on-site mitigation, and sign structures. This provision will not be used as a mechanism to force the Design-Build Team to return to the project to make repairs or perform additional work that the Department would normally compensate the Design-Build Team for. In addition, routine maintenance activities (i.e. mowing grass, debris removal, ruts in earth shoulders,) are not parts of this guarantee.

Appropriate provisions of the payment and / or performance bonds shall cover this guarantee for the project. In addition, failure on the part of the responsible entity(ies) of the Design-Build Team to perform guarantee work within the terms of this provision shall be just cause to remove the responsible entity(ies) from the Department's corresponding prequalified list. The Design-

Build Team will be removed for a minimum of 6 months and will be reinstated only after all work has been corrected and the Design-Build Team requests reinstatement in writing.

To ensure uniform application statewide the Division Engineer will forward details regarding the circumstances surrounding any proposed guarantee repairs to the Chief Engineer for review and approval prior to the work being performed.

OUTSOURCING OUTSIDE THE USA

(5-16-06)

DB1 G150

All work on consultant contracts, services contracts, and construction contracts shall be performed in the United States of America. No work shall be outsourced outside of the United States of America.

Outsourcing for the purpose of this provision is defined as the practice of subcontracting labor, work, services, staffing, or personnel to entities located outside of the United States.

The North Carolina Secretary of Transportation shall approve exceptions to this provision in writing.

CLEARING AND GRUBBING

(3-22-07)

DB2 R01

With the exception of areas with Permanent Utility Easements, perform clearing on this project to the limits established by Method "III" shown on Standard No 200.03 of the 2006 *NCDOT Roadway Standard Drawings*. In areas with Permanent Utility Easements, clearing shall extend to the Right of Way limits.

SHPO DOCUMENTATION FOR BORROW / WASTE SITES

(12-18-07)

DB8 R02

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Division 2 Earthwork

Page 2-16, Subarticle 230-1(D), add the words: *The Contractor specifically waives* as the first words of the sentence.

Page 2-17, Subarticle 230-4(B) Contractor Furnished Sources, first paragraph, first sentence replace with the following:

Prior to the approval of any borrow sources developed for use on any project, obtain certification from the State Historic Preservation Officer of the State Department of Cultural Resources certifying that the removal of the borrow material from the borrow sources(s) will have no effect on any known district, site building, structure, or object, architectural and / or archaeological that is included or eligible for inclusion in the National Register of Historic Places.

Division 8 Incidentals

Page 8-9, Article 802-2 General Requirements, add the following as the 1st paragraph:

Prior to the removal of any waste from any project, obtain certification from the State Historic Preservation Officer of the State Department of Cultural Resources certifying that the deposition of the waste material to the proposed waste area will have no effect on any known district, site building, structure, or object, architectural and / or archaeological that is included or eligible for inclusion in the National Register of Historic Places. Furnish a copy of this certification to the Engineer prior to performing any work in the proposed waste site.

Page 8-10, Article 802-2, General Requirements, 4th paragraph, add the following as the 2nd sentence:

The Department's borrow and waste site reclamation procedures for contracted projects is available on the NCDOT website and shall be used for all borrow and waste sites on this project.

EROSION & SEDIMENT CONTROL / STORMWATER CERTIFICATION

1-16-07 (Rev 1-15-08) (DB Rev. 12/05/07)

DB1 G180

General

Schedule and conduct construction activities in a manner that will minimize soil erosion and the resulting sedimentation and turbidity of surface waters. Comply with the requirements herein regardless of whether or not a National Pollutant Discharge Elimination System (NPDES) permit for the work is required.

Establish a chain of responsibility for operations and subcontractors' operations to ensure that the *Erosion and Sediment Control / Stormwater Pollution Prevention Plan* is implemented and maintained over the life of the contract.

- (A) *Certified Supervisor* – Provide a certified Erosion and Sediment Control / Stormwater (E&SC/SW) Supervisor to manage the Design-Build Team and subcontractor(s) operations, ensure compliance with Federal, State and Local ordinances and regulations, and to manage the Quality Control Program.
- (B) *Certified Foreman* – Provide a certified, trained foreman for each construction operation that increases the potential for soil erosion or the possible sedimentation and turbidity of surface waters.
- (C) *Certified Installer* – Provide a certified installer to install or direct the installation for erosion and sediment control / stormwater practices.

- (D) *Certified Designer* – Provide a certified designer for the design of the erosion and sediment control / stormwater component of reclamation plans and, if applicable, for the design of the project erosion and sediment control / stormwater plan.

In the case of difference of opinion or interpretation of plan or contract requirements between the Design-Build Team and the Engineer, the Engineer's determination and decision will be final.

Roles and Responsibilities

- (A) *Certified Supervisor* - The Certified Supervisor shall be responsible for ensuring erosion and sediment control / stormwater is adequately implemented and maintained on the project and conducting the quality control program. The Certified Supervisor shall be on the project within 24 hours from initial exposure of an erodible surface to the project's final acceptance when questions or concerns arise with erosion and sedimentation control / stormwater issues. Perform the following duties:
- (1)
 - (a) Manage Operations - Coordinate and schedule the work of subcontractors so that erosion and sediment control / stormwater measures are fully executed for each operation and in a timely manner over the duration of the contract.
 - (b) Oversee the work of subcontractors so that appropriate erosion and sediment control / stormwater preventive measures are conformed to at each stage of the work.
 - (c) Prepare the required weekly erosion control punchlist and submit to the Engineer.
 - (d) Attend all weekly or monthly construction meetings to discuss the findings of the NPDES inspection and other related issues.
 - (e) Implement the erosion and sediment control / stormwater site plans requested.
 - (f) Provide for erosion and sediment control / stormwater methods for the Design-Build Team's temporary work not shown on the plans, such as, but not limited to work platforms, temporary construction, pumping operations, plant and storage yards, and cofferdams.
 - (g) Acquire applicable permits and comply with requirements for borrow pits, dewatering, and any temporary work conducted by the Design-Build Team in jurisdictional areas.
 - (h) Conduct all erosion and sediment control / stormwater work in a timely and workmanlike manner.
 - (i) Fully install erosion and sediment control / stormwater work prior to suspension of the work.
 - (j) Coordinate with Department, Federal, State and Local Regulatory agencies on resolution of erosion and sediment control / stormwater issues due to the Design-Build Team's operations.
 - (k) Ensure that proper cleanup occurs from vehicle tracking on paved surfaces and / or any location where sediment leaves the Right-of-Way.

- (1) Have available a set of erosion control plans that has been properly updated to reflect necessary plan and field changes for use and review by Department personnel as well as regulatory agencies.
- (2) Requirements set forth under the NPDES Permit – The Department's NPDES permit outlines certain objectives and management measures pertaining to construction activities. The permit references *NCG010000, General Permit to Discharge Stormwater* under the NPDES, and states that the Department shall incorporate the applicable requirements into its delegated Erosion and Sediment Control Program. Some of the requirements are, but are not limited to:
 - (a) Control project site waste to prevent contamination of surface or ground waters of the state (i.e. construction materials, concrete washout, chemicals, litter, fuels, lubricants, coolants, hydraulic fluids, any other petroleum products, and sanitary waste).
 - (b) Inspect erosion and sediment control / stormwater devices at least once every 7 calendar days, twice weekly for 303(d) impaired streams, and within 24 hours after a significant rainfall event of 0.5 inches within 24 hours.
 - (c) Maintain an onsite rain gauge and a record of rainfall amounts and dates.
 - (d) Maintain erosion and sediment control / stormwater inspection records for review by Department and Regulatory personnel upon request.
 - (e) Implement approved reclamation plans on all borrow pits and waste sites.
 - (f) Maintain a log of turbidity test results as outlined in the Department's Procedure for Monitoring Borrow Pit Discharge.
 - (g) Provide secondary containment for bulk storage of liquid materials.
 - (h) Provide training for employees concerning general erosion and sediment control / stormwater awareness, the NPDES Permit requirements, and the requirements of the *General Permit, NCG010000*.
 - (i) Report violations of the NPDES permit to the Engineer who will notify the DWQ Regional Office within 24 hours.
- (3) Quality Control Program - Maintain a quality control program to control erosion, prevent sedimentation and follow provisions of permits. The quality control program shall:
 - (a) Follow permit requirements related to the Design-Build Team and subcontractors' construction activities.
 - (b) Ensure that all operators and / or subcontractor(s) on site have the proper erosion and sediment control / stormwater certification.
 - (c) Notify the Engineer when the required certified erosion and sediment control / stormwater personnel are not available on the job site when needed.
 - (d) Conduct the inspections required by the NPDES permit.
 - (e) Take corrective actions in the proper timeframe as required by the NPDES permit for problem areas identified during the NPDES inspections.

- (f) Incorporate erosion control into the work in a timely manner and stabilize disturbed areas with mulch / seed or vegetative cover on a section-by-section basis.
- (g) Maintain temporary erosion and sediment control devices.
- (h) Remove temporary erosion or sediment control devices when they are no longer necessary as agreed upon by the Engineer.
- (i) The Design-Build Team's quality control and inspection procedures shall be subject to review by the Engineer. Maintain NPDES inspection records and make records available at all times for verification by the Engineer.

(B) *Certified Foreman* - At least one Certified Foreman shall be onsite for each type of work listed herein during the respective construction activities to control erosion, prevent sedimentation and follow permit provisions:

- (1) Foreman in charge of grading activities
- (2) Foreman in charge of bridge or culvert construction over jurisdictional areas
- (3) Foreman in charge of utility activities

The Design-Build Team may request to use the same person as the Level II Supervisor and Level II Foreman. This person shall be onsite whenever construction activities as described above are taking place. This request shall be approved by the Engineer prior to work beginning.

The Design-Build Team may request to name a single Level II Foreman to oversee multiple construction activities on small bridge or culvert replacement projects. This request shall be approved by the Engineer prior to work beginning.

(C) *Certified Installers* - Provide at least one onsite, Level I Certified Installer for each of the following erosion and sediment control / stormwater crew:

- (1) Seeding and Mulching
- (2) Temporary Seeding
- (3) Temporary Mulching
- (4) Sodding
- (5) Silt fence or other perimeter erosion / sediment control device installations
- (6) Erosion control blanket installation
- (7) Hydraulic tackifier installation
- (8) Turbidity curtain installation
- (9) Rock ditch check / sediment dam installation
- (10) Ditch liner / matting installation
- (11) Inlet protection
- (12) Riprap placement
- (13) Stormwater BMP installations (such as but not limited to level spreaders, retention / detention devices)
- (14) Pipe installations within jurisdictional areas

If a *Certified Installer* is not onsite, the Design-Build Team may substitute a Level I Installer with a Level II Foreman, provided the Level II Foreman is not tasked to another crew requiring Level II Foreman oversight.

- (D) *Certified Designer* – Include the certification number of the Level III-B Certified Designer on the erosion and sediment control / stormwater component of all reclamation plans and if applicable, the certification number of the Level III-A Certified Designer on the design of the project erosion and sediment control / stormwater plan.

Preconstruction Meeting

Furnish the names of the *Certified Supervisor, Certified Foremen, Certified Installers and Certified Designers* and notify the Engineer in writing of changes in certified personnel over the life of the contract within 2 days of change.

Ethical Responsibility

Any company performing work for the North Carolina Department of Transportation has the ethical responsibility to fully disclose any reprimand or dismissal of an employee resulting from improper testing or falsification of records.

Revocation or Suspension of Certification

Upon recommendation of the Chief Engineer - Operations to the certification entity, certification for Supervisor, Certified Foremen, Certified Installers and Certified Designer may be revoked or suspended with the issuance of a Continuing Immediate Corrective Action (Continuing ICA), Notice of Violation (NOV), or Cease and Desist Order for erosion and sediment control / stormwater related issues.

Should any of the following circumstances occur, the Chief Engineer may suspend or permanently revoke such certification.

- (A) Failure to adequately perform the duties as defined within the certification program
- (B) Issuance of a Continuing ICA, NOV, or Cease and Desist Order
- (C) Failure to fully perform environmental commitments as detailed within the permit conditions and specifications
- (D) Demonstration of erroneous documentation or reporting techniques
- (E) Cheating or copying another candidate's work on an examination
- (F) Intentional falsification of records
- (G) Directing a subordinate under direct or indirect supervision to perform any of the above actions
- (H) Dismissal from a company for any of the above reasons
- (I) Suspension or revocation of one's certification within another state

Suspension or revocation of a certification will be sent by certified mail to the registrant and the Corporate Head of the company that employs the registrant.

A registrant has the right to appeal any adverse action which results in suspension or permanent revocation of certification by responding, in writing, to the Chief Engineer within 10 calendar days after receiving notice of the proposed adverse action.

Chief Engineer - Operations
1537 Mail Service Center
Raleigh, NC 27699-1537

Failure to appeal within 10 calendar days will result in the proposed adverse action becoming effective on the date specified on the certified notice. Failure to appeal within the time specified will result in a waiver of all future appeal rights regarding the adverse action taken. The registrant will not be allowed to perform duties associated with the certification during the appeal process.

The Chief Engineer will hear the appeal and make a decision within 7 days of hearing the appeal. Decision of the Chief Engineer will be final and will be made in writing to the registrant.

If a certification is temporarily suspended, the registrant shall pass any applicable written examination and any proficiency examination, at the conclusion of the specified suspension period, prior to having the certification reinstated.

Measurement and Payment

Certified Supervisor, Certified Foremen, Certified Installers and Certified Designer will be incidental to the project for which no direct compensation will be made.

PROCEDURE FOR MONITORING BORROW PIT DISCHARGE

(2-20-07)

DB1 G181

Water discharge from borrow pit sites shall not cause surface waters to exceed 50 NTUs (nephelometric turbidity unit) in streams not designated as trout waters and 10 NTUs in streams, lakes or reservoirs designated as trout waters. For lakes and reservoirs not designated as trout waters, the turbidity shall not exceed 25 NTUs. If the turbidity exceeds these levels due to natural background conditions, the existing turbidity level shall not be increased.

If during any operating day, the downstream water quality exceeds the standard, the Design-Build Team shall do all of the following:

- (A) Either cease discharge or modify the discharge volume or turbidity levels to bring the downstream turbidity levels into compliance, or
- (B) Evaluate the upstream conditions to determine if the exceedance of the standard is due to natural background conditions. If the background turbidity measurements exceed the

standard, operation of the pit and discharge can continue as long as the stream turbidity levels are not increased due to the discharge.

- (C) Measure and record the turbidity test results (time, date and sampler) at all defined sampling locations 30 minutes after startup and at a minimum, one additional sampling of all sampling locations during that 24-hour period in which the borrow pit is discharging.
- (D) Notify DWQ within 24 hours of any stream turbidity standard exceedances that are not brought into compliance.

During the Environmental Assessment required by Article 230-4 of the *Standard Specifications*, the Design-Build Team shall define the point at which the discharge enters into the State's surface waters and the appropriate sampling locations. Sampling locations shall include points upstream and downstream from the point at which the discharge enters these waters. Upstream sampling location shall be located so that it is not influenced by backwater conditions and represents natural background conditions. Downstream sampling location shall be located at the point where complete mixing of the discharge and receiving water has occurred.

The discharge shall be closely monitored when water from the dewatering activities is introduced into jurisdictional wetlands. Any time visible sedimentation (deposition of sediment) on the wetland surface is observed, the dewatering activity shall be suspended until turbidity levels in the stilling basin can be reduced to a level where sediment deposition does not occur. Staining of wetland surfaces from suspended clay particles, occurring after evaporation or infiltration, does not constitute sedimentation. No activities shall occur in wetlands that adversely affect the functioning of a wetland. Visible sedimentation shall be considered an indication of possible adverse impacts on wetland use.

The Engineer shall perform independent turbidity tests on a random basis. These results shall be maintained in a log within the project records. Records will include, at a minimum, turbidity test results, time, date and name of sampler. Should the Department's test results exceed those of the Design-Build Team's test results, an immediate test shall be performed jointly with the results superseding the previous test results of both the Department and the Design-Build Team.

The Design-Build Team shall use the *NCDOT Turbidity Reduction Options for Borrow Pits Matrix*, available at <http://www.ncdot.org/doh/preconstruct/ps/contracts/letting.html> to plan, design, construct, and maintain BMPs to address water quality standards. Tier I Methods include stilling basins which are standard compensatory BMPs. Other Tier I methods are noncompensatory and shall be used when needed to meet the stream turbidity standards. Tier II Methods are also noncompensatory and are options that may be needed for protection of rare or unique resources or where special environmental conditions exist at the site which have led to additional requirements being placed in the DWQ's 401 Certifications and approval letters, Isolated Wetland Permits, Riparian Buffer Authorization or a DOT Reclamation Plan's Environmental Assessment for the specific site. Should the Design-Build Team exhaust all Tier I Methods on a site exclusive of rare or unique resources or special environmental conditions, Tier II Methods may be required by regulators on a case by case basis per supplemental agreement.

The Design-Build Team may use cation exchange capacity (CEC) values from proposed site borings to plan and develop the Price Proposal for the project. CEC values exceeding 15 milliequivalents per 100 grams of soil may indicate a high potential for turbidity and should be avoided when dewatering into surface water is proposed.

No additional compensation for monitoring borrow pit discharge will be paid.

BUILDING AND APPURTENANCE REMOVAL / DEMOLITION

(04/03/07) (Rev. 12/04/07)

DB2 R12

Unless otherwise noted in the GeoEnvironmental Scope of Work and as agreed upon by the Department, remove or demolish all buildings and appurtenances, in their entirety, that are located either partially or completely within the project's right-of-way limits or are located outside the project's right of way limits but within property purchased as an uneconomical remnant in accordance with Sections 210 and 215 of the 2006 *Standard Specifications for Roads and Structures* and the following:

- Prior to removal or demolition of any building, comply with the notification requirements of *Title 40 Code of Federal Regulations*, Part 61, Subpart M, which are applicable to asbestos. Give notification to the North Carolina Department of Health and Human Services, Division of Public Health, Health Hazards Control Unit and / or the appropriate county agency when the county performs enforcement of the Federal Regulation. Submit a copy of the notification to the Engineer prior to the any building removal or demolition.
- Perform removal and disposal of asbestos in accordance with the requirements of *Title 40 Code of Federal Regulations*; comply with all Federal, State and local regulations when performing building removal and / or asbestos removal and disposal. Any fines resulting from violations of any regulation are the sole responsibility of the Design-Build Team and the Design-Build Team agrees to indemnify and hold harmless the Department against any assessment of such fines.
- It shall be the responsibility of the Design-Build Team to perform all asbestos assessment for all buildings and appurtenances located either partially or completely within the project's right-of-way limits or located outside the project's right of way limits but within property purchased as an uneconomical remnant. The cost of all asbestos assessments required shall be borne by the Design-Build Team and included in the lump sum bid cost for the project. The cost of asbestos removal and disposal will be paid for in accordance with Article 104-7 of the Standard Specifications. When a building has had or will have asbestos removed and the Design-Build Team elects to remove the building such that it becomes a public area, the Design-Build Team shall be responsible for any additional costs incurred including final air monitoring.

CEMENT AND LIME STABILIZATION OF SUBGRADE SOILS

(07-12-07)

DB5 R21

General

The Design-Build Team shall be responsible for the following:

1. Performing all laboratory tests in a laboratory certified by the AMRL / NCDOT Laboratory Proficiency Program
2. Sampling Sub-grade soils
3. Conducting Laboratory tests to determine:
 - a. Soil classifications
 - b. Moisture-density relationships
 - c. Quantity of lime or cement required to achieve specified strengths
4. Designating areas to be stabilized by either lime or cement and the required rates of application
5. Conducting field tests to determine unconfined compressive strength

Sampling

The Design-Build Team shall take soil samples, after the project has been graded to within 2 inches of final sub-grade elevation. The Design-Build Team shall sample the top 8 inches at a minimum frequency of one sample per 1,000 feet, per each lane, for classification tests; and one sample per 3,000 feet, per each lane, for moisture density tests and lime or cement mix design tests. Additional samples shall be taken to ensure that all the predominant soil types, limits of distribution of these soils and different site conditions have been represented.

Classification Tests

The Design-Build Team shall perform the following tests to determine AASHTO classifications of different soils in accordance with AASHTO specifications as modified by NCDOT. Copies of these modified procedures can be obtained from Materials and Test Unit’s Soils Laboratory.

TABLE 1

<u>TEST</u>	<u>AASHTO DESIGNATION</u>
Dry Preparation of Disturbed Soils	T-87
Particle Size Analysis of Soils	T-88
Determining the Liquid Limit of Soils	T-89
Determining the Plastic Limit and Plasticity Index of Soils	T-90

Moisture Density Test

Based on the criteria set in Table 2, below, the Design-Build Team shall perform the Moisture Density Tests, using either lime or cement. The Design-Build Team shall use 10% cement by weight in soil cement and 4% lime by weight, in soil-lime mixtures. The Design-Build Team shall conduct the tests in accordance with AASHTO T-99, and T-134 for soil-lime and soil-cement mixtures, respectively. In each case, The Design-Build Team shall determine the maximum dry density and optimum moisture content.

TABLE 2

<u>CRITERIA FOR SELECTING LIME OR CEMENT</u>		
PROPERTY	A	B
Percent passing #200 Sieve	35 Max	36 Min
Liquid Limit	40 Max	41 Min
Plasticity Index	10 Max	25 Min

The Design-Build Team shall use cement for all soils meeting criteria in Column A and lime for all soils meeting criteria in Column B. The Design-Build Team may choose either lime or cement for all soils not meeting all criteria in either Column A or B.

DETERMINING THE APPLICATION RATES FOR SOIL-CEMENT AND SOIL-LIME MIXTURES

Soil-Cement Mixtures

For soil-cement mixtures, the Design-Build Team shall be required to do the following:

- Make specimens at optimum moisture content using a quantity of cement in the range of 5 to 12 percent by weight.
- Compact the specimens to a minimum density of 95% of maximum dry density obtained using AASHTO T 134.
- Make a minimum of 2 specimens for each selected cement rate.
- Cure the specimens for 7 days in a moist room maintained at a temperature of 73°F ±2.7° and a humidity of 100%. At the end of the curing period, immerse the specimens in water for 4 hours.

- After immersion, test the specimens in unconfined compression in accordance with ASTM D 1633.
- Report the maximum strength obtained and the corresponding percent strain.
- Select the rate of cement that provides a minimum unconfined compressive strength of 200 psi and a maximum of 400 psi.

Soil-Lime Mixtures

For soil-lime mixtures, the Design-Build Team shall be required to do the following:

- Make specimens at optimum moisture content using a quantity of lime in the range of 3.5 to 6.5 percent by weight.
- Compact specimens to a minimum density of 95% of maximum dry density obtained by AASHTO T99.
- Make a minimum of two specimens for each selected lime rate.
- Cure the specimens in sealed plastic bags for 48 hours in an oven at a temperature of 118 °F. Do not immerse the specimens in water at the end of the curing period.
- Test the specimens in unconfined compression in accordance with AASHTO T 208. Report the maximum strength obtained and the corresponding percent strain.
- Select the rate of lime that provides a minimum unconfined compressive strength of 60 psi.

Submittals for Review and Approval Prior to Construction

The Design-Build Team shall adhere to the following submittal guidelines:

- Submit all laboratory test results for review.
- Submit a sketch in plan view showing areas of the project to be stabilized by either lime or cement and application rates for each stabilizer.
- Submit any other documentation that supports the Design-Build Team's recommendations.

Construction of Lime Treated Subgrade

The Design-Build Team shall construct the lime treated sub-grade as specified in Section 501 of the North Carolina Department of Transportation 2006 *Standard Specifications for Roads and Structures* with the following exceptions:

Subsection 501-4 Equipment

Contractor's equipment will not require engineer's approval.

Subsection 501-8 (A) General

Paragraph #1 is not applicable to this project.

Subsection 501-9 (B) Preliminary Curing

Amend as follows: Allow a minimum of 2 days and a maximum of 4 days for preliminary curing.

Subsection 501-10 Compacting, Shaping, and Finishing

Last paragraph is not applicable.

Subsection 501-11 Thickness

Last two paragraphs are not applicable.

Subsection 501-15 Method of Measurement

The entire sub-sections are not applicable.

Subsection 501-16 Basis of Payment

The entire sub-section is not applicable.

Construction of Cement Treated Subgrade

The Design-Build Team shall construct the soil cement sub-grade as specified in section 542 of the North Carolina Department of Transportation 2006 *Standard Specifications for Roads and Structures*, with the following exceptions:

Subsection 542-4 Equipment

Contractor's equipment will not require Engineer's approval.

Subsection 542-7 Application of Cement

First paragraph is not applicable.

Subsection 542-11 Thickness

Paragraphs 2 and 3 are not applicable.

Subsection 542-16 Method of Measurement

This entire sub-section is not applicable.

Subsection 542-17 Basis of Payment

This entire sub-section is not applicable.

Unconfined Compressive Strength

The Design-Build Team shall allow a minimum of seven days curing before testing for strength.

The lime-stabilized subgrades shall be tested using Dynamic Cone Penetrometer (DCP) in accordance with *Quality Assurance Testing of Lime-Treated Soils Utilizing the Dynamic Cone Penetrometer*, Test Method #1-2005. The Design-Build Team shall adhere to the testing equipment requirements and procedures as outlined in *Dynamic Cone Penetrometer Testing for Subgrade Stability* except that the minimum penetration depth shall be eight inches. Upon request, a copy of the aforementioned documents can be obtained from the NCDOT Geotechnical Engineering Unit. The required unconfined compressive strength for lime shall be 60 psi, which corresponds to a penetration per blow of approximately 0.5 inches of the Dynamic Cone Penetrometer.

For cement-stabilized subgrades, the Design-Build Team shall make field specimens, cure them for seven days and test them in the laboratory. The minimum and maximum required unconfined compressive strength for soil cement shall be 200 psi and 400 psi, respectively.

For both lime and cement stabilized subgrades, one test shall be required for every 400 feet per lane width at random locations selected using random number tables.

Submittals for Review During Construction

The Design-Build Team shall submit the unconfined compressive strength and dynamic cone penetrometer test results for review and acceptance.

EMBANKMENT MONITORING

(7-1-95) (Rev 7-12-07)

DB2 R75

Monitoring

Settlement gauges shall be installed before any fill is placed. Settlement gauge elevations are to be surveyed weekly by the Design-Build Team. The initial elevation of the settlement gauge plate (at the top of the plate) shall be determined at the time of installation along with the embankment elevation. When new sections of pipe are added, elevations shall be recorded at the top of existing pipe and at the top of the new pipe. This is to take into account interim settlement, variable pipe lengths and thread lengths in coupling. Results of settlement gauge readings shall be forwarded to NCDOT Geotechnical Engineering Unit along with the letter by the prequalified geotechnical firm releasing the embankment from the waiting period.

Settlement Gauges

Settlement plates consisting of wood or metal shall be placed on a level surface near natural ground as shown in the plans developed by the Design-Build Team. Extend the 2½" ø metal pipe by adding pipe sections at threaded couplings as the embankment is progressed. Make sure

that the top of the extension section is no less than 1 foot above the embankment surface and no higher than 6 feet. Make the exposed length of pipe conspicuous to avoid chance of damage.

Conduct operations in such a manner that the gauges are not damaged. Compact fill around the gauge pipes and plates to the same density as the surrounding material. Restore or replace any settlement gauge pipe damaged or destroyed due to fault or negligence on the part of the Design-Build Team at no additional cost. No additional payment will be made for compaction of fill around and over the settlement gauges or for interference with the Design-Build Team's operations resulting from settlement gauge installations. Perform installation operations such that the 2½" ø pipe remains plumb.

Provide ASTM A53 type F 2½" ø pipe, threaded with a black finish.

PRICE ADJUSTMENTS FOR ASPHALT BINDER

(3-22-07)

DB6 R25

Price adjustments for asphalt binder for plant mix will be made in accordance with Section 620 of the 2006 *Standard Specifications for Roads and Structures*.

When it is determined that the monthly selling price of asphalt binder on the first business day of the calendar month during which the last day of the partial payment period occurs varies either upward or downward from the Base Price Index, the partial payment for that period will be adjusted. The partial payment will be adjusted by adding the difference (+ or -) of the base price index subtracted from the monthly selling price multiplied by the total theoretical quantity of asphalt binder authorized for use in the plant mix placed during the partial payment period involved.

The base price index for asphalt binder for plant mix is **\$ 406.54** per ton.

This base price index represents an average of F.O.B. selling prices of asphalt binder at supplier's terminals on **April 1, 2008**.

PRICE ADJUSTMENTS - ASPHALT CONCRETE PLANT MIX

(04-03-07)

DB6 R26

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 6-27, Article 609-8 and Page 6-49, Article 610-13

Add the following paragraph before the first paragraph:

The "Asphalt Price" used to calculate any price adjustments set forth in this section shall be \$35 per theoretical ton. This price shall apply for all mix types.

FIELD OFFICE

(6-1-07)

DBI 8-01

Description

This work consists of furnishing, erecting, equipping, and maintaining a field office for the exclusive use of Department Engineers and Inspectors at a location on the project approved by the Engineer. Provide a field office that complies with the current A.D.A. Design and Accessibility Standards, the National Electric Code, local, state, and federal regulations, and the following:

Procedures

The field office and equipment shall remain the property of the Design-Build Team upon completion of the contract. The field office must be separated from buildings and trailers used by the Design-Build Team and be erected and functional as an initial operation. Failure to have the field office functional when work first begins on the project will result in withholding payment of the Design-Build Team's monthly progress estimate. The field office must be operational throughout the duration of the project and be removed upon completion and final acceptance of the project.

Provide a field office that is weatherproof, tightly floored and roofed, constructed with an air space above the ceiling for ventilation, supported above the ground, has a width of at least 10 feet, and the floor-to-ceiling height that is at least 7 feet 6 inches. Provide inside walls and a ceiling that are constructed of plywood, masonite, gypsum board, or other suitable materials. Have the exterior walls, ceiling, and floor insulated.

Provide a field office with a minimum floor space of 500 square feet and that is equipped with the following:

<u>Number</u>	<u>Item</u>
1	Double-pedestal desk (approximately 60 by 34 inches, at least 2,000 square inches)
1	Plan and drafting table (approximately 30 by 96 inches) with adjustable stool
1	Computer table having a minimum size of 48 by 30 by 29 inches
1	Plan rack for 24 by 36 inch drawings with 6 plan clamps
1	Printing calculator
2	2-drawer fire protection file, 15 inch drawer width, minimum UL rating of Class 350
6	Office chairs with a minimum of two having casters
2	Wastebaskets
1	Pencil sharpener
1	Copy machine (8 inch x 11 inch copies)
1	Telephone
1	Fax machine
1	Answering machine

Windows and Doors

Provide a field office with at least three windows, with blinds, each having an area of at least 540 square inches, capable of being easily opened and secured from the inside and having at least two exterior passage doors. Provide doors at least 30 inches in width and 78 inches in height. Provide screens for windows and doors. Equip exterior passage door(s) with lock(s), and furnish at least two keys to the Engineer or inspector.

Steps

Provide accessibility in compliance with the current A. D. A. Design and Accessibility Standards, and the State Building Code and maintain them free from obstructions.

Storage Facility for Nuclear Gage

Furnish the field office with an outside storage facility for the Department's nuclear gage. The storage facility shall not be located within 10 feet of any other structure including the field office.

Lighting, Heating, and Air Conditioning

The field office must have satisfactory lighting, electrical outlets, heating equipment, an exhaust fan, and an air conditioner connected to an operational power source. Provide at least one of the light fixtures that is a fluorescent light situated over the plan and drafting table. Furnish electrical current and fuel for heating equipment.

Fire Extinguishers

Furnish and maintain one fire extinguisher for each required exterior passage door. Fire extinguisher(s) may be chemical or dry powder. UL Classification 10-B:C (minimum), suitable for Type A:B:C: fires. Mount and maintain fire extinguisher(s) in accordance with OSHA Safety and Health Standards.

Toilets

Provide a toilet conforming to the requirements of the state and local boards of health or other bodies or courts having jurisdiction in the area. When separate facilities for men and women are not available, place a sign with the words "Rest Room" (with letters at least 1 inch in height) over the doorway, and provide an adequate positive locking system on the inside of the doorway. Maintain responsibility for the water and sewer connections or the installation and connection of a water well and septic tank and drain field. These facilities must conform to all local and state permits.

Utilities

Except for telephone service, make arrangement for necessary utility connections, maintain utilities, pay utility service fees and bills, and make arrangements for final disconnection of utilities. Furnish a telephone in each field office and permit the work necessary to install it. Installation and service fees for the telephone will be paid for by the Department.

Storage Facility for Test Equipment

Provide the field office with a storage facility, separate from the office for storage of test equipment, other than the nuclear gage. Provide a facility that has a minimum floor space of 64 square feet, is weatherproof, tightly floored and roofed, and has a tamper resistant key operated lock.

Miscellaneous Items

The field office must also include the following:

1. A certification that the office is free of asbestos and other hazardous materials
2. A broom, dust pan, mop and bucket, and general cleaning supplies
3. Provide and maintain an all weather parking area for six vehicles, including graveled access to the paved surface

CHIPPED WASTE TIRES IN EMBANKMENTS

(4-19-05) (Rev 1-11-08)

SPI

Description

This project special provision allows the Design-Build Team an option, with the approval of the Engineer, to use chipped waste tires in embankments as a substitute for conventional borrow material.

Material

The material shall be chipped waste tires. Ninety-nine percent by volume of the chipped waste tires shall be 3 inches or less in size, measured in any direction, and 90% of the chipped waste tires, by volume, shall not have exposed wire extending more than 1/4" beyond any surface of the chip. The presence of loose wires shall be minimized by the Design-Build Team to the extent deemed practical by the Engineer. The tire chips shall be free of any contaminates such as oil, grease, etc. that could leach into the ground water. The material that accumulates around shredding machinery and associated conveyor belts (fine steel cord wire, soil, etc.) shall not be mixed with the shreds. All tire material shall be processed from scrap tires taken from within North Carolina.

The Design-Build Team shall be responsible for securing all necessary permits, which may be required for the transport and storage of chipped tire material, from the North Carolina Department of Environment and Natural Resources, Division of Waste Management.

Construction Methods

Chipped waste tires shall not be stockpiled for periods longer than required for normal construction methods.

Place chipped tires in the core of the embankment section with a minimum of 4 feet of earth cover to the outside limits of the embankments or subgrade and a minimum of 4 feet above the seasonal high ground-water table.

Embankments shall be constructed by placing alternate layers of mixed and blended chipped tires and embankment soil with layers of pure embankment soil. The mixing and blending shall be sufficient to minimize voids. Depth of non-compacted layers shall be as directed by the Engineer, but not more than 1 foot. The blended layer shall consist of between 30% and 60% by volume of chipped tires. An average of 40% shall be a goal.

The compaction shall be to the satisfaction of the Engineer. As a minimum, mixed and blended tire lifts shall be compacted by making four to five passes over the entire surface with a bulldozer with a minimum contact pressure of 7 psi and a minimum operating weight of 20,000 pounds or other equivalent compaction equipment. The earth layers shall be compacted in accordance with Article 235-4, Paragraph C, of the 2006 *Standard Specifications for Roads and Structures*.

COAL FLY ASH IN EMBANKMENTS

(4-16-02) (Rev 1-11-08)

SP2 R70

Description

This project special provision allows the Design-Build Team an option, with the approval of the Engineer, to use coal fly ash (coal combustion by-products) in embankments as a substitute for conventional borrow material.

When fly ash is used as a substitute for earth borrow material:

Request written approval from the State Alternative Delivery Engineer at least forty days in advance of the intent to use fly ash.

Provide the specific locations and construction details of the placement as stated in the *North Carolina Administrative Code*, 15A NCAC 13B.1703.

Submit material properties and laboratory analysis of ash typical of the source to the State Alternative Delivery Engineer prior to use for consideration of approval. Include in the test

data characteristics of the ash leachate as determined by the EPA Toxicity Characteristic Leaching Procedure (Method 1311).

Provide the material from a supplier including all transportation and all necessary permits for transportation and storage before placement.

Coordinate delivery of volumes, trucking requirements and ash moisture content.

The State Alternative Delivery Engineer and the NCDOT Resource Conservation Engineer will coordinate the requirements of the *North Carolina Administrative Code*, Title 15A, Chapter 13, Section .1700 and notify the Design-Build Team that all the necessary requirements have been met before the placement of structural fill using coal combustion by-products is allowed.

Material

Supply coal fly ash from a Department approved source. A list is maintained by the Resource Conservation Engineer (919) 250-4150.

The following fly ash is unacceptable:

Frozen material.

Ash from boilers fired with both coal and petroleum coke.

Deliver fly ash in covered vehicles.

Prevent dusting of fly ash by conditioning with water. Excessively wet or dry and uncovered material arriving at the site will be rejected.

Construction Methods

Place coal fly ash in the core of the embankment section with a minimum of 4 feet of earth cover to the outside limits of the embankments or subgrade and a minimum of 4 feet above the seasonal high ground-water table. Comply with 15A NCAC 13B .1704.

Construct embankments by placing fly ash in level uniform lifts with a maximum lift of 10 inches but not greater than can be compacted to a minimum density of 95 percent as determined by test methods in AASHTO T-99, Determination of Maximum Density and Optimum Moisture Content, Method A or C depending upon particle size of the product. Provide a moisture content at the time of compaction of within 4 percent of optimum but not greater than 1 percent above optimum as determined by AASHTO T-99, Method A or C.

GENERAL

The State will not be bound by oral explanations or instructions given at any time during the bidding process or after award. Only information that is received in response to this RFP will be evaluated; reference to information previously submitted will not suffice as a response to this solicitation.

NO CONTACT CLAUSE

To ensure that information is distributed equitably to all short-listed Design-Build Teams, all questions and requests for information shall be directed to the State Contract Officer through the Design-Build e-mail address. This precludes any Design-Build Team Member, or representative, from contacting representatives of the Department, other State Agencies or Federal Agencies either by phone, e-mail or in person concerning the Design-Build Project.

USE OF TERMS

Throughout this RFP and all manuals, documents and standards referred to in the RFP the terms Contractor, Bidder, Design-Builder, Design-Build Team, Team, Firm, Company and Proposer are synonymous.

Throughout this RFP and all manuals, documents and standards referred to in the RFP, the terms NCDOT, Department, Engineer and State are synonymous.

Throughout this RFP and all documents referred to in the RFP, references to the Technical Proposal include all Technical Proposal supplemental information that may be submitted in response to a Best and Final Offer RFP.

DESIGN REFERENCES

Design references developed and published by NCDOT and those developed and published by other agencies and adopted for use by NCDOT which are to be used in the design of this project may be obtained by contacting the Contract Office of the Project Services Unit. Standard prices for materials, which the Department normally sells for a fee, will be in effect. The Design-Build Team shall be responsible for designing in accordance with the applicable documents and current revisions and supplements thereto.

REVIEW OF SUBMITTALS

Major design milestones and required design submittals shall be identified as activities on a CPM, bar chart, or other scheduling tool. This schedule shall be submitted to the State Alternative Delivery Engineer and Resident Engineer concurrently with the first design submittal, or within 30 days of the contract award, whichever is earlier. The schedule shall be revised and resubmitted as design milestones change or as directed by the State Alternative Delivery Engineer. Submittals will be reviewed within 10 working days (15 days for temporary structures, overhead sign assemblies, MSE walls, FEMA compliance documents and temporary shoring) from the date of receipt by NCDOT unless otherwise stipulated in the scope of work. All submittals shall be prepared and submitted in accordance with the "*Design-Build Submittal*

Guidelines”, which by reference are incorporated and made a part of this contract. All submittals shall be made simultaneously to the State Alternative Delivery Engineer and the Resident Engineer. The Department will not accept subsequent submittals until prior submittal reviews have been completed for that item. The Design-Build Team shall inform the State Alternative Delivery Engineer in writing of any proposed changes to the NCDOT preliminary designs, Technical Proposal and / or previously reviewed submittals and obtain approval prior to incorporation. The Design-Build Team shall prioritize submittals in the event that multiple submittals are made based on the current schedule. All submittals shall include pertinent Special Provisions. No work shall be performed prior to Department review of the design submittals.

OVERVIEW

The Design-Build Project, R-2606B, is the US 311 Bypass (future I-74) in Randolph County. The project extends from north of Spencer Road (SR 1929) to US 220 on new location. The total project length is approximately 7.9 miles. The proposed improvements consist of a four-lane divided freeway with full control of access.

Project services shall include, but are not limited to:

- **Design Services** – completion of construction plans, including **Record Drawings**
- **Construction Services** – necessary to build and ensure workmanship of the designed facility
- **Permit Preparation / Application** - development of all documents for required permits
- **Right of Way** – acquisition of right of way necessary to construct project

The Environmental Assessment (EA) was approved on March 31, 1997

The Finding of No Significant Impact (FONSI) was approved on February 26, 1999

Construction Engineering Inspection will be provided by the NCDOT Division personnel.

GENERAL SCOPE

The scope of work for this project includes design, construction and management of the project. The design work includes all aspects to construct approximately 7.9 miles of a four-lane divided freeway. The designs shall meet all appropriate latest versions of AASHTO *Policy on Geometric Design of Highways and Streets*, AASHTO *LRFD Bridge Design Specifications*, *Manual of Uniform Traffic Control Devices* and all NCDOT design policies that are current as of the Technical and Price Proposal submission date or the Best and Final Offer submission date.

Construction shall include, but not be limited to, all necessary clearing, grading, roadway, drainage, structures, utility coordination and relocation, and erosion and sediment control work items for the proposed four-lane facility and installation of the control of access fence. Construction engineering and management shall be the responsibility of the Design-Build Team. Construction shall comply with 2006 NCDOT *Standard Specifications for Roadways and Structures* and any special provisions.

Areas of work required for this project shall include, but are not limited to the following items:

- Roadway Design
- Structure Design
- Hydraulic Design
- Permit Application / Modification
- Railroad Coordination
- Foundation Design for Structures and Roadway
- Erosion and Sediment Control Design and Implementation
- Subgrade Stabilization
- R/W Utilities, Conflicts and / or Construction
- Traffic Control and Pavement Marking Design and Implementation
- Sign Design
- Construction
- Project Management
- Design and Construction Management
- Construction Surveying
- Location and Surveys
- On-Site Mitigation
- Right of Way Acquisition
- Public Information

All designs shall be in Microstation format using Geopak software (current version used by the Department).

DESIGN AND CONSTRUCTION PERFORMED BY DESIGN-BUILD TEAM

The design work consists of the preparation of all construction documents for constructing approximately 7.9 miles of a four-lane divided facility as outlined in the Scope of Work section of this RFP. The Design-Build Team shall prepare final designs, construction drawings and special provisions.

The Design-Build Team shall acknowledge that project documents furnished by the Department are preliminary and provided solely to assist the Design-Build Team in the development of the project design. The Design-Build Team shall be fully and totally responsible for the accuracy and completeness of all work performed under this contract and shall save the State harmless and shall be fully liable for any additional costs and all claims against the State which may arise due to errors, omissions and negligence of the Design-Build Team in performing the work required by this contract.

There shall be no assignment, subletting or transfer of the interest of the Design-Build Team in any of the work covered by the Contract without the written consent of the State, except that the Design-Build Team may, with prior written notification of such action to the State, sublet property searches and related services without further approval of the State.

The Design-Build Team shall certify all plans, specifications, estimates and engineering data furnished by the Team.

All work by the Design-Build Team shall be performed in a manner satisfactory to the State and in accordance with the established customs, practices and procedures of the North Carolina Department of Transportation, and in conformity with the standards adopted by the American Association of State Highway Transportation Officials, and approved by the U.S. Secretary of Transportation as provided in Title 23, U.S. Code, Section 109 (b). The decision of the Engineer / State / Department shall control in all questions regarding location, type of design, dimension of design and similar questions.

Alternate designs, details or construction practices (such as those employed by other states, but not standard practice in NC) are subject to Department review and acceptance; and will be evaluated on a case by case basis.

The Design-Build Team shall not change team members, subconsultants or subcontractors identified in the Statement of Qualifications (SOQ) or Technical Proposal without written consent of the Engineer. In addition, subconsultants and subcontractors not identified in the SOQ or Technical Proposal shall not perform any work without written consent by the Engineer. Individual offices of the Design-Build Team not identified in the Statement of Qualifications or the Technical Proposal submitted shall not perform any work without written consent by the Engineer. Failure to comply with this requirement may be justification for removing the Team from further consideration for this project and disqualification from submitting on future Design-Build Projects.

The Department shall prequalify all firms for the work they are identified to perform. Design firms and Natural Systems firms are prequalified by the particular office performing the work. If the work shall be performed by an office other than the one that is prequalified, that office shall be prequalified prior to any design submittals.

ETHICS POLICY

Employees employed by the Design-Build Team or employees employed by any subconsultant for the Design-Build Team to provide services for this project shall comply with the Department's ethics policy. Failure to comply with the ethics policy will result in the employee's removal from the project and may result in removal of the Company from the Department's appropriate prequalified list.

Approval of Personnel

The Department will have the right to approve or reject any personnel assigned to a project by the Design-Build Team.

The Design-Build Team or any subcontractor for the Design-Build Team which are employed to provide services for this project shall not discuss employment opportunities or engage the services of any person or persons, now in the employment of the State during the time of this contract, without written consent of the State.

In the event of engagement, the Design-Build Team or their subcontractors shall restrict such person or persons from working on any of the Design-Build Team's contracted projects in which

the person or persons were “formerly involved” while employed by the State. The restriction period shall be for the duration of the contracted project with which the person was involved. *Former Involvement* shall be defined as active participation in any of the following activities:

- Drafting the contract
- Defining the scope of the contract
- Selection of the Design-Build Team
- Negotiation of the cost of the contract (including calculating manhours or fees); and
- Administration of the contract.

An exception to these terms may be granted when recommended by the Secretary and approved by the Board of Transportation.

Failure to comply with the terms stated above in this section shall be grounds for termination of this contract and / or not being considered for selection of work on future contracts for a period of one year.

SUBMITTAL OF TECHNICAL AND PRICE PROPOSALS

Technical and / or Price Proposals that do not adhere to all the requirements noted below may be considered non-responsive and may result in the Department not considering the Design-Build Team for award of the contract or reading their Price Proposal publicly.

GENERAL

Technical and Price Proposals will be accepted until **4:00 p.m. Local Time on Friday, June 20, 2008**, at the office of the State Contract Officer:

Mr. Randy A. Garris, PE
Project Services Unit
1020 Birch Ridge Drive
Century Center Complex Bldg. B
Raleigh, NC 27610

No Proposals will be accepted after the time specified.

Proposals shall be submitted in 2 separate, sealed parcels containing the Technical Proposal in one and the Price Proposal in the other parcel.

TECHNICAL PROPOSAL

Technical Proposals shall be submitted in a sealed package. The outer wrapping shall clearly indicate the following information:

Technical Proposal
Submitted By: (Design-Build Team's Name)
Contract Number C 201918
TIP Number R-2606B
Randolph County
US 311 Bypass from north of Spencer Road (SR 1929) to US 220 – Future I-74

Technical Proposal Requirements

12 Copies
8 ½ inch by 11 inch pages
No fold-out sheets allowed
Printed on one side only
Double-spaced
Font size 12
No more than 50 pages, excluding the introductory letter to Mr. Randy Garris, PE (two-page maximum length) and the 11 inch by 17 inch appropriate plan sheets
24 x 36 inch fold out sheets will only be allowed to present interchange plans

Key project team members, identified in the Statement of Qualifications, shall not be modified in the Technical Proposal without written approval of the Department. Any such request should be sent to the attention of Mr. Randy Garris, PE, at the address below:

NCDOT-Project Services Unit
Century Center-Building B
1020 Birch Ridge Drive
Raleigh, NC 27610

PRICE PROPOSAL

Price Proposals shall be submitted in a sealed package. The outer wrapping will clearly indicate the following information:

Price Proposal
Submitted by (Design-Build Team's Name)
Contract Number C 201918
TIP Number R-2606B
Randolph County
US 311 Bypass from north of Spencer Road (SR 1929) to US 220 – Future I-74

The Price Proposal shall be submitted by returning the Request for Proposals with the item sheets completed, and all required signatures and bonds. Failure to execute the required documents may render the proposal non-responsive.

EVALUATIONS

Technical Proposals shall address the technical elements of the design and construction of the project. The Technical Review Committee will consider the understanding of the project, the anticipated problems and the solutions to those problems, in addition to other evaluation criteria identified herein.

The Design-Build Team's Technical Proposal shall be developed using narratives, tables, charts, plots, drawings and sketches as appropriate. The purpose of the Technical Proposal is to document the firm's understanding of the project, demonstrate the Team's capabilities to complete the project, document their selection of appropriate design criteria, and state their approach and schedule for completing all design and construction activities.

The award of the Design-Build contract does not in any way imply that the Department accepts, approves or will allow the details of the Technical Proposal submitted by the Design-Build Team. Decisions based on cost alone will not establish the design standards for the project.

The Technical Proposal will be evaluated in each of the following major categories:

EVALUATION FACTORS	POINTS
1. Management	18
2. Responsiveness to Request for Proposal	32
3. Long Term Maintenance	8
4. Schedule and Milestones	15
5. Innovation	10
6. Maintenance of Traffic and Safety Plan	12
7. Oral Interview	5

TECHNICAL PROPOSAL EVALUATION CRITERIA

1. Management – 18 points

Design-Build Team Management

- Describe the Design-Build Team's concept of design management. The Technical Proposal shall identify key positions and subordinate organizational units. DBE firms to be utilized in preconstruction activities shall be noted in the Technical Proposal.
- Describe the plan for the coordination of civil / structural, utilities, traffic maintenance, constructability and environmental responsibility.
- Provide a narrative description of the proposed location of the design office(s) and their respective responsibilities.
- Describe how the designs developed by different firms and offices will be integrated.
- Describe how design personnel will interface with the construction personnel.
- Describe the overall strengths of the Design Team and their ability to fulfill the design requirements of this project.

Quality Management

- Describe how the Design-Build Team will comply with the quality control requirements for both design and construction. Specifically, include a narrative describing the Design-Build Team's understanding of the Department's construction quality control philosophy for this project and how the Design-Build Team will implement it.
- The Design-Build Team should detail the number of inspectors they expect the Department to furnish, during various phases, to allow satisfactory progress of project construction.
- The narrative shall include both design and construction activities.

Construction Management

- Describe the Design-Build Team's concept of the project construction management organization and how it interrelates with the other elements of the Design-Build Team's organization for the project.
- Provide a brief narrative description of the Design-Build Team's proposed plan for performing construction on the project. This description shall include at least the following:
 - A construction organization chart for the project, showing the relationships between functions shown on the chart and the functional relationships with subcontractors.
 - The chart shall indicate how the Design-Build Team intends to divide the project into work segments to enable optimum construction performance.
 - Descriptions of those categories of work that the Design-Build Team anticipates will be performed by the Design-Build Team's own direct labor force and those categories that will be performed by subcontractors.
 - The Design-Build Team's plans and procedures to insure timely deliveries of materials to achieve the project schedule.
 - Describe the overall strengths of the construction team and their ability to fulfill the construction and construction management requirements of this project.
 - Describe the Design-Build Team's approach to site access and material staging.

2. Responsiveness to RFP – 32 points

Natural Environmental Responsibility

- Describe the Design-Build Team's approach to addressing environmental concerns within the project boundaries.
- Identify efforts to minimize impacts on wetlands, streams, riparian buffers and other environmentally sensitive areas.

- Identify innovative approaches to minimize any impacts in environmentally sensitive areas. Describe any temporary impacts and associated minimization approaches.
- Describe the Design-Build Team's understanding of the overall approach to permitting and the Team's comfort level with obtaining the required permits within the allowed timeframe.
- Identify methods of construction in wetlands, streams and buffers.
- Describe any Notice of Violations (NOV's) or Immediate Corrective Actions (ICA's) the Design-Build Team members have received and the disposition of any NOV's or ICA's.
- Describe the Design-Build Teams approach to Sedimentation and Erosion Control for the project.
- Describe the Design-Build Team's approach to and plan for On-Site Mitigation.
- Describe efforts to minimize excavation within the contaminated sites and associated disturbance to underlying soil.

Design Features

- Show plan view of design concepts with key elements noted.
- Identify preliminary horizontal and vertical alignments of all roadway elements.
- Show typical sections for the mainline of the project.
- Identify drainage modifications and designs to be implemented.
- Identify the appropriate design criteria for each feature if not provided.
- Identify all bridge types to be constructed, including any special design features or construction techniques needed.
- Identify any deviations, including proposed design exceptions, from the established design criteria that will be utilized. Explain why the deviation is necessary.
- Describe any geotechnical investigations to be performed by the Design-Build Team.
- Identify any special aesthetics considerations that will be part of the design.
- Describe how any utility conflicts will be addressed and any special utility design considerations. Describe how the Design-Build Team's design and construction methods minimize the Department's utility relocation costs.
- Describe how the design will affect the Department's right-of-way costs.
- Identify types of any retaining walls and / or sound barrier walls if applicable.

3. Long Term Maintenance – 8 points

- Describe any special materials, not referenced elsewhere in the contract, incorporated into the project that would result in long term reduction in maintenance.
- Describe any special designs or construction methods that would reduce future maintenance costs to the Department.
- Estimate a minimum ten-year cost saving resulting from incorporation of these special materials, designs or construction methods into the project.

4. Schedule and Milestones – 15 points

- Provide a detailed schedule for the project including both design and construction activities. The schedule shall show the sequence and continuity of operations, as well as the month of delivery of usable segments of the project.
- The schedule shall also include the Design-Build Team's final completion date and, if proposed, their substantial completion date. **These dates shall be clearly indicated on the Project Schedule and labeled "Final Completion Date" and "Substantial Completion Date"**.

5. Innovation – 10 points

- Identify any aspects of the design or construction elements that the Design-Build Team considers innovative. Include a description of alternatives that were considered whether implemented or not.

6. Maintenance of Traffic and Safety Plan – 12 points

Maintenance of Traffic

- Describe any traffic control requirements that will be used for each construction phase.
- Describe how traffic will be maintained as appropriate and describe the Design-Build Team's understanding of any time restrictions noted in the RFP.
- Specifically describe how business, school and residential access will be maintained, if applicable.
- Address how hauling will be conducted.
- If a temporary portable barrier system will be utilized, provide the type and why it is needed.
- If temporary shoring will be required, provide the type and why it is required.
- Include all proposed offsite detours; reason for need and duration.

Safety Plan

- Describe the safety considerations specific to the project.
- Discuss the Design-Build Team's overall approach to safety.
- Describe any proposed improvements that will be made prior to or during construction that will enhance the safety of the work force and / or travelling public both during and after construction of the project.

7. Oral Interview – 5 points

- The Design-Build Team’s Project Management Team shall present a brief introduction of the project team and design / construction approach.
- Introductory comments shall be held to no more than 30 minutes.
- The Department will use this interview to ask specific questions about the Team’s Technical Proposal, background, philosophies and approach to the project.
- Presentation, questions and answers shall not exceed 90 minutes. No more than **10** people from the Design-Build Team may attend.

The Department will use the information presented in the oral interview to assist in the evaluation of the Technical Proposal.

Additional Warranty and / or Guarantee

- **The Extra Credit for this project shall be a Maximum of 5 Points.**

A twelve-month guarantee as outlined in the *Twelve-Month Guarantee* Project Special Provision is required for this project. However, the Design-Build Team may provide additional warranties and / or guarantees at their discretion. The Design-Build Team may be awarded additional points as “extra credit” to be added to the technical score.

The Design-Build Team may provide warranties and / or guarantees for major components of the project. Examples of major components are pavements, bridge components and sign structures. If additional warranties and / or guarantees are offered, the Design-Build Team shall indicate in the Technical Proposal the general terms of the warranties and / or guarantees, a list of the items covered, performance parameters, notification and response parameters for corrective action, and evaluation periods. The Department will be responsible for annual inspections of the components covered by all warranties and / or guarantees offered by the Design-Build Team that extend beyond the required Twelve-Month Guarantee. The warranties and / or guarantees shall also define how disputes will be handled. Prior to the first partial payment, the Design-Build Team shall submit a document that provides additional warranty / guarantee specifics in sufficient detail that allows the document to be made a part of the contract through supplemental agreement.

No direct payment will be made for warranties and / or guarantees. Payment will be considered incidental to the lump sum price for the contract.

SELECTION PROCEDURE

There will be a Technical Review Committee (TRC) composed of five or more senior personnel from involved engineering groups that will evaluate the Technical Proposal on the basis of the criteria provided in the Request for Proposals.

The selection of a Design-Build Team will involve both technical quality and price. The Technical Proposals will be presented to the TRC for evaluation. The TRC shall first determine

whether the proposals are responsive to the requirements of the Request for Proposals. Each responsive Technical Proposal shall be evaluated based on the rating criteria provided in the Request for Proposals. The TRC will submit an overall consensus Technical Proposal score for each Design-Build Team to the State Contract Officer.

Quality Credit Evaluation Factors for Technical Proposals

Management	18
Responsiveness to Request for Proposal	32
Long Term Maintenance	8
Schedule and Milestones	15
Innovation	10
Maintenance of Traffic and Safety Plan	12
Oral Interview	5
Maximum Score	100

The State Contract Officer will use a table based on the maximum quality credit percentage to assign a Quality Credit Percentage to each proposal based on the proposal's overall technical score. The maximum quality credit percentage for this project will be **20%**.

Quality Credit Percentage for Technical Proposals

Technical Score	Quality Credit (%)	Technical Score	Quality Credit (%)
100	20.00	84	9.33
99	19.33	83	8.67
98	18.67	82	8.00
97	18.00	81	7.33
96	17.33	80	6.67
95	16.67	79	6.00
94	16.00	78	5.33
93	15.33	77	4.67
92	14.67	76	4.00
91	14.00	75	3.33
90	13.33	74	2.67
89	12.67	73	2.00
88	12.00	72	1.33
87	11.33	71	0.67
86	10.67	70	0.00
85	10.00		

The maximum Technical Score, including any extra credit given for warranties or guarantees, shall not exceed 100 points in determining the Quality Credit percentage.

If any of the Technical Proposals are considered non-responsive, the State Contract Officer will notify those Design-Build Teams of that fact. The State Contract Officer shall publicly open the sealed Price Proposals and multiply each Design-Build Team's Price Proposal by the Quality Credit Percentage earned by the Design-Build Team's Technical Proposal to obtain the Quality

Value of each Design-Build Team's Technical Proposal. The Quality Value will then be subtracted from each Design-Build Team's Price Proposal to obtain an Adjusted Price based upon Price and Quality combined. Unless all Proposals are rejected or the Department elects to proceed with the Best and Final Offer process, the Department will recommend to the State Transportation Board that the Design-Build Team having the lowest adjusted price be awarded the contract. The cost of the design-build contract will be the amount received as the Price Proposal.

The following table shows an example of the calculations involved in this process.

An Example of Calculating Quality Adjusted Price Ranking

Proposal	Technical Score	Quality Credit (%)	Price Proposal (\$)	Quality Value (\$)	Adjusted Price (\$)
A	95	16.67	3,000,000	500,100	2,499,900
B	90	13.33	2,900,000	386,570	2,513,430
C *	90	13.33	2,800,000	373,240	2,426,760
D	80	6.67	2,700,000	180,090	2,519,910
E	70	0.00	2,600,000	0	2,600,000
* Successful Design-Build Team – Contract Cost \$2,800,000					

Opening of Price Proposals

Prior to opening the Price Proposals, the State Contract Officer will provide to each Design-Build Team their technical score in a sealed envelope. The sealed envelope will contain that Team's score only.

At the time and date specified, the State Contract Officer will open the Price Proposals and calculate the percentage difference between the Price Proposals submitted and the Engineer's Estimate.

Should all of the Price Proposals be within an acceptable range or below the Engineer's Estimate the State Contract Officer will proceed to calculate the quality credit and publicly read the Price Proposal, technical score, and adjusted price as outlined in the selection procedure above.

Should any one or more of the Price Proposals be within an acceptable range or below the Engineer's Estimate and the remaining Price Proposals exceed an acceptable range of the Engineer's Estimate the State Contract Officer will go to a separate location to calculate the quality credit and determine if the Design-Build Team with the lowest adjusted price is within an acceptable range of the Engineer's Estimate. Should the Price Proposal of the Design-Build Team with the lowest adjusted price be within an acceptable range of the Engineer's Estimate or below the Engineer's Estimate the State Contract Officer will proceed to publicly read the Price Proposals, technical scores, and adjusted prices. Should the Price Proposal of the Design-Build Team with the lowest adjusted price exceed an acceptable range of the Engineer's Estimate the State Contract Officer will publicly read the Price Proposals only and the Department will then determine whether to proceed to request a Best and Final Offer (BAFO) as outlined below.

Should all Price Proposals submitted exceed an acceptable range of the Engineer's Estimate the State Contract Officer will publicly read the Price Proposals only. The Department will then determine whether to proceed to request a Best and Final Offer (BAFO) as outlined below.

Provided the Department elects to proceed to request a Best and Final Offer (BAFO), at the date and time specified, the State Contract Officer will open the Best and Final Offer Price Proposals and proceed to publicly read all Price Proposals, technical scores and adjusted prices.

Best and Final Offer

In the event initial Price Proposals exceed an acceptable range of the Engineer's Estimate or if the Department feels it is necessary for any reason the Department may choose to make amendments to the details of the RFP and request a Best and Final Offer from all of the previously short-listed teams. Alternately, the Department may choose to redistribute to the short-listed Design-Build Teams another RFP for the project with no amendments to the RFP scope.

After receipt of the redistributed RFP, the Design-Build Team has the option of changing their Technical Proposal details. If the Design-Build Team changes any component of the Technical Proposal, the TRC will review those amended components of the Technical Proposal and reevaluate the scores accordingly. The Design-Build Team shall highlight the changes to bring them to the Department's attention. A revised total score will be calculated, if appropriate, based on these amendments to the Technical Proposal.

Additional oral interviews will not be held. The Design-Build Teams shall submit both a revised Price Proposal and a revised Technical Proposal (if applicable) at the time, place, and date specified in the redistributed RFP. A revised Quality Credit Percentage (if required) and Adjusted Price will be determined. This will constitute the Design-Build Team's Best and Final Offer. Award of the project may be made to the Design-Build Team with the lowest adjusted price on this Best and Final Offer for the project.

Stipend

A stipulated fee of **\$100,000** will be awarded to each short-listed Design-Build Team that provides a responsive, but unsuccessful, Design-Build Proposal. If a contract award is not made, all short-listed Design-Build Teams that provide a responsive Design-Build Proposal shall receive the stipulated fee. Once award is made, or a decision is made not to award, unsuccessful Design-Build Teams will be notified of the opportunity to apply for the stipulated fee. If the Design-Build Team accepts the stipulated fee, the Department reserves the right to use any ideas or information contained in the Design-Build Proposals in connection with any contract awarded for the project, or in connection with any subsequent procurement, with no obligation to pay additional compensation to the unsuccessful Design-Build Team. The stipulated fee shall be paid to eligible Design-Build Teams within ninety days after the award of the contract or the decision not to award. Unsuccessful Design-Build Teams may elect to refuse payment of the stipulated fee and retain any rights to its Design-Build Proposal and the ideas and information contained therein.

ROADWAY SCOPE OF WORK (4-21-08)

It should be noted that TIP Project R-2606B, as referenced herein, represents projects formerly designated by the Department as R-2606B and R-2606C. All references to projects R-2606B and R-2606C in material provided by the Department shall apply to this project.

Project Details

- The Design-Build Team shall design and construct a four-lane divided facility with a 70-foot median on new location from north of Spencer Road (SR 1929) to US 220. Unless noted otherwise elsewhere in this RFP, the Design-Build Team shall design and construct the -L- Line providing access, widening and improvements as indicated on the R-2606 Design Public Hearing Map. The limits of -L- Line construction shall be of sufficient length to tie to existing based upon the current NCDOT guidelines and standards. The proposed new location facility shall be designed and constructed to meet a 70-mph design speed for a rolling rural freeway.
- The Design-Build Team shall design and construct the proposed four-lane typical section beginning at Station 132+00 -L-, as noted on the R-2606A Final Plans. The Design-Build Team shall coordinate with the R-2606A design and construction to ensure accurate hydrologic, horizontal and vertical ties that adhere to the design criteria. The Design-Build Team shall not make any design or construction changes that affect the design or construction of Project R-2606A without prior written approval from the State Alternative Delivery Engineer. (See the Project Special Provision entitled “Cooperation between Contractors” contained elsewhere in this RFP.)
- Along the -L- Line, the Design-Build Team shall design and construct minimum 12-foot outside shoulders, ten-foot of which shall be full depth paved shoulders. Along the -L- Line, the Design-Build Team shall design and construct minimum 12-foot median shoulders, four-foot of which shall be full depth paved shoulders. Milled rumble strips shall be provided on the outside and inside paved shoulders.
- Functional classifications that have a defined usable shoulder width shall have the appropriately wider overall shoulder width.
- The Design-Build Team shall design and construct interchanges along the -L- Line at existing US 311 and US 220 as indicated on the R-2606 Design Public Hearing Map. Along the mainline and Cedar Square Road interchange, those areas noted as “Future Paving - Grading Only” on the R-2606A Final Plans provided by the Department will be graded to an elevation five inches above the proposed subgrade by the R-2606A contractor. The R-2606A contractor will also install the proposed cable guiderail and cross pipes through these areas. The Design-Build Team shall be responsible for completing all remaining design and construction activities, including but not limited to paving, guardrail installation, shoulder berm gutter installation, drainage structure elevation adjustment and sign installation, for the areas noted as “Future Paving -

Grading Only” on the R-2606A Final Plans provided by the Department. (Reference the Pavement Management and Signing Scopes of Work)

- The Design-Build Team shall design and construct an interchange at US 220 that provides direct connections with design speeds of 60-mph.
- The Design-Build Team shall design and construct one-lane ramps that provide a minimum 16-foot lane width. The Design-Build Team shall design and construct two lane ramps that provide minimum 12-foot lanes. All ramps shall have 12-foot inside shoulders, four-foot of which shall be full depth paved shoulders and 14-foot outside shoulders, four-foot of which shall be full depth paved shoulders. The Design-Build Team shall design and construct one-lane loops that adhere to Exhibit 3-51, *Design Widths of Pavements for Turning Roadways*, shown in AASHTO's *A Policy on Geometric Design of Highways and Streets* (2004) - Case II / Condition B. All loops shall have a 12-foot outside shoulders, four-foot of which shall be full depth paved shoulders and 2'-6" curb and gutter along the inside edge of pavement, with a 14-foot berm. The minimum radius for all loops shall be 250'.
- The Design-Build Team shall design and construct -Y- Lines, ramps, service roads and cul-de-sacs, providing access, widening and improvements as indicated on the R-2606 Design Public Hearing Map. The limits of -Y- Line and service road construction shall be of sufficient length to tie to existing based upon the current NCDOT guidelines and standards.
- The US 311 Bypass is a full control of access facility. The Design-Build Team shall bring to the State Alternative Delivery Engineer's attention any deviations from the proposed control of access shown on the R-2606 Design Public Hearing Map. Prior to negotiating with property owners, the Design-Build Team shall delineate the control of access on the Right of Way Plans for the Department's review and acceptance. The Design-Build Team shall be responsible for coordinating with, and obtaining approval from, the NCDOT for the woven wire fence placement. The Design-Build Team shall be responsible for installation of the woven wire fence.
- Unless noted otherwise elsewhere in this RFP, all guardrail and cable guiderail placement shall be in accordance with the July 2006 NCDOT *Standard Drawings* and / or approved details in lieu of standards. The guardrail / guiderail design shall be submitted for review with the Preliminary Plans submittal.
- The Design-Build Team shall design and construct bridge rail offsets as indicated in the NCDOT *Roadway Design Manual* or that are equal to the approach roadway paved shoulders, whichever is greater. Bridge rail offsets for long bridges may be reduced from the aforementioned requirement in accordance with the NCDOT *Roadway Design Manual*.
- The Department has followed a modified Merger 01 Process used by the environmental agencies and the Department to obtain environmental permits for this highway project.

Any variations in the Department's proposed design and / or construction methods that nullify any concurrence points obtained or decisions reached between the Department and the environmental agencies; and / or require additional coordination with the Environmental Agencies shall be the sole responsibility of the Design-Build Team. The Department shall not allow any contract time extensions or additional compensation associated with any coordination or approval process resulting from design and / or construction modifications.

- The Design-Build Team shall not further impact any cultural, historical, or otherwise protected landmark or topographic feature beyond that shown on the R-2606 Design Public Hearing Map. The Design-Build Team shall not acquire right of way or easements from the aforementioned features unless shown on the R-2606 Design Public Hearing Map.
- The Design-Build Team shall be responsible for the sound barrier wall design and construction listed in the Final Design Noise Report, including any geotechnical investigations necessary to design the foundations. The Design- Build Team shall be responsible for the wall envelope details. If the Design-Build Team revises the horizontal and / or vertical alignments such that greater noise impacts are possible on surrounding receptors, the Design-Build Team shall re-analyze and complete a revised noise report, if necessary, for NCDOT and FHWA review and acceptance. The original Final Design Noise Report will be provided to the Design-Build Team to assist in their determination of anticipated additional noise impact on current receptors due to a design change. If adjustments to, or addition of, sound barrier walls are required as a result of design deviations, the Design-Build Team shall be responsible for all costs associated with the adjustments and / or additions.
- The Design-Build Team shall design and construct resurfacing grades for all roadways impacted by construction, excluding haul roads. At a minimum, the Design-Build Team shall resurface all lanes and shoulders of an undivided facility throughout the limits of proposed widening and construction. At a minimum, the Design-Build Team shall resurface each one-way roadway of a divided facility throughout the limits of the one-way roadway widening and construction, allowing varying resurfacing limits for the opposing directions of travel. Additionally, the Design-Build Team shall resurface all existing facilities to the limits of pavement marking obliterations / revisions. The Design-Build Team shall design and construct grades that adhere to the design criteria and standards, providing all required pavement wedging. (Reference the Pavement Management Scope of Work)
- The maximum allowable cut and fill slope shall be 2:1, unless noted otherwise elsewhere in this RFP. The slopes in the interchange area shall follow the requirements set forth in the *Roadway Design Guidelines for Design-Build Projects* located on the Design-Build web site. Inside the interchange quadrants the maximum slope allowed shall be 4:1.
- The Design-Build Team shall inform the State Alternative Delivery Engineer, in writing, of any proposed changes to the NCDOT preliminary design, previously reviewed

submittals or the Design-Build Team's Technical Proposal and obtain approval prior to incorporation. The Design-Build Team shall note in the Technical Proposal any proposed deviations to the preliminary design shown on the R-2606 Design Public Hearing Map provided by the Department. The Design-Build Team shall be responsible for any activities, as deemed necessary by the Department or the FHWA, resulting from changes to the NCDOT preliminary design, including but not limited to, public involvement and NEPA re-evaluation. The Department shall not honor any requests for additional contract time or compensation for completion of the required activities resulting from changes to the NCDOT preliminary design.

- Design exceptions shall not be allowed for the proposed four-lane divided facility, including all ramps and loops. NCDOT prefers not to have design exceptions for the -Y-Lines and service roads. If the Design-Build Team anticipates any design exceptions, they shall be clearly noted in the Technical Proposal. Prior to requesting / incorporating a design exception into the Final Plans, the Design-Build Team must obtain prior conceptual approval from the State Alternative Delivery Engineer and the FHWA. If approval is obtained, the Design-Build Team shall be responsible for the development and approval of all design exceptions.
- The Design-Build Team shall submit Structure Recommendations and Design Criteria for NCDOT and FHWA review and acceptance prior to submittal of the Preliminary Plans. The Design-Build Team shall develop Structure Recommendations that adhere to the format noted in the March 25, 2003 and September 1, 2004 memos from Mr. Jay Bennett, PE, State Roadway Design Engineer. The design speed for all roadways shall be the greater of the minimum design speed for the facility type or the anticipated / actual posted speed plus five-mph.
- The Design-Build Team shall be responsible for the evaluation of the algebraic difference in rates of cross slope (roll-over) between existing shoulders and roadways and the associated suitability for carrying traffic during construction, if necessary. In the event that the roll-over is found to be unacceptable for the proposed temporary traffic patterns, the Design-Build Team shall be responsible for providing cross slopes that meet design standards and eliminate roll-over concerns.
- Within the vehicle recovery area, the Design-Build Team shall design and construct single face concrete barrier in front of all sound barrier walls located on the outside shoulder in fill sections, retaining walls and all elements acting as a retaining wall.
- The Design-Build Team shall place rebar and caps with carsonite posts for right of way monument locations for all parcels, as directed by the Engineer. The NCDOT will furnish the caps and carsonite posts in accordance with Department policy.
- The Design-Build Team shall contact Mr. Gary W. Thompson, North Carolina Geodetic Survey Director, prior to disturbing any geodetic monuments.

General

- The design shall be in accordance with the 2004 AASHTO *A Policy on Geometric Design of Highways and Streets*, July 2006 *NCDOT Roadway Standard Drawings*, 2002 *NCDOT Roadway Design Manual*, *Roadway Design Policy and Procedure Manual*, *Roadway Design Guidelines for Design-Build Projects*, 2006 *North Carolina Standard Specifications for Roads and Structures* and the 2002 AASHTO *Roadside Design Guide*.
- If the *NCDOT Roadway Design Manual*, the 2004 AASHTO *A Policy on Geometric Design of Highways and Streets*, the 2006 *Roadway Standard Drawings* and / or any other guidelines, standards or policies have desirable and / or minimum values, the Design-Build Team shall use the desirable values unless otherwise noted elsewhere in this RFP. Similarly, in case of conflicting design parameters, and / or ranges, in the various resources, the proposed design shall adhere to the most conservative values, unless noted otherwise elsewhere in this RFP.
- A sag vertical curve low point shall not be located on any bridge or approach slab.
- The project shall follow the NCDOT-FHWA Oversight Agreement. This agreement shall be provided. Any changes that affect previous approvals shall be re-submitted by the Design-Build Team for FHWA acceptance.
- The Design-Build Team shall identify the need for any special roadway design details (i.e. any special drainage structures, rock embankment, rock plating, special guardrail, retaining walls, concrete barrier designs, etc.) and shall provide special design drawings. The Project Services Unit may have special details available that can be provided to the Design-Build Team upon request. The Design-Build Team shall refer to the list of details to be used in lieu of standards located at www.ncdot.org/business/

NCDOT Information Supplied

- The NCDOT will provide copies of the Environmental Assessment (EA), Finding of No Significant Impact (FONSI) and the latest list of environmental commitments, municipal agreements and all pertinent approvals and correspondence. Unless noted otherwise elsewhere in this RFP, the Design-Build Team shall adhere to all commitments stated in the environmental documents.
- The NCDOT will provide electronic surveys to the Design-Build Team. Any supplemental surveys, including but not limited to additional topography, existing and proposed roadway, structure sites, underground and overhead utilities, existing and proposed drainage, wetland delineation, right of way, parcel names, and deed research and descriptions shall be the responsibility of the Design-Build Team to acquire and process. Known existing utilities have been located and will be included with the survey data. The Design-Build Team shall be responsible for confirming the location of the utilities and the type / size of facilities. All supplemental SUE work shall be the responsibility of the Design-Build Team.

- The NCDOT will provide the Final Plans for R-2606A. The Design-Build Team shall coordinate the proposed horizontal and vertical alignments with the R-2606A Project.
- The NCDOT will provide the R-2606 Design Public Hearing Map. The Design-Build Team is cautioned that the preliminary design shown on the map provided by the Department is provided solely to assist the Design-Build Team in the development of the project design. The Design-Build Team shall be fully and totally responsible for the accuracy and completeness of the project design, including, but not limited to, the use of the NCDOT's design, the use of portions of the NCDOT's design or modifications to the NCDOT's design.
- The NCDOT will provide final pavement designs for R-2606B. The Design-Build Team shall be responsible for all temporary pavement designs. (Reference the Pavement Management Scope of Work).
- The NCDOT will provide a Geotechnical Subsurface Investigation for R-2606B. The Design-Build Team shall be responsible for any additional geotechnical information, all geotechnical recommendations, as well as supplemental structural and roadway investigations. (Reference the Geotechnical Engineering Scope of Work).

PAVEMENT MANAGEMENT SCOPE OF WORK (04/11/08)

The pavement design for the mainline new location areas shall consist of one of the following alternates:

Alternate 1

3.0" S9.5C
2.5" I19.0C
3.5" B25.0C
8.0" ABC
Subgrade Stabilization

Alternate 2

3.0" S9.5C
4.0" I19.0C
5.5" B25.0C
Subgrade Stabilization

Subgrade stabilization shall be to a depth of 8 inches for lime and 7 inches for cement. The type of subgrade stabilization and amount of stabilizing agent shall be determined in accordance with the Cement and Lime Stabilization of Subgrade Soils Project Special Provision found elsewhere in this Request for Proposals.

The Design-Build Team shall maintain the same pavement design for the mainline new location areas as identified above. The Design-Build Team shall specify the pavement alternate to be used in the Technical Proposal.

The Design-Build Team shall be responsible for paving graded sections of the mainline and Cedar Square Road interchange included in the R-2606A Final Plans provided by the Department. The Design Build Team shall be responsible for paving the US 311 eastbound travel lanes from the eastern paving terminus (approximately Station 97+00 –L-) to Station 132+00 –L-, as defined by the R-2606A Final Plans provided by the Department. The Design-Build Team shall be responsible for paving the US 311 westbound travel lanes from the eastern paving terminus (approximately Station 115+00 –L-) to Station 132+00 –L-, as defined by the R-2606A Final Plans provided by the Department. The Design-Build Team shall be responsible for paving the entire Ramp A and Ramp D alignments of the Cedar Square Road interchange as defined by the R-2606A Final Plans provided by the Department. The Design-Build Team shall pave the mainline limits noted above with the same pavement design alternate chosen for the R-2606B Project. The Design-Build Team shall pave the Cedar Square Road interchange ramps with the pavement design noted below.

Other pavement designs for this project are listed in the table below:

LINE	Surface	Intermediate	Base	* ABC
-Y3- (SR 1931)	3.0" SF9.5A	-	-	10.0"
-Y5- (SR 1944)	2.5" SF9.5A	2.5" I19.0B	-	8.0"
-Y6- (SR 1936)	2.5" SF9.5A	2.5" I19.0B	-	8.0"
-Y7- (US 311)	3.0" S9.5B	3.0" I19.0B	-	10.0"
-Y8- (SR 1518)	2.5" SF9.5A	2.5" I19.0B	-	8.0"
-Y10- (SR 1511)	3.0" SF9.5A	-	-	10.0"
-Y11- (SR 1941)	3.0" S9.5B	-	-	10.0"
-Y12- (US 220)	3.0" S9.5C	4.0" I19.0C	13.5" B25.0C	-
-Y6- Detour	2.5" SF9.5A	-	-	8.0"
-Y8- Detour	2.5" SF9.5A	-	-	8.0"
All Service Roads	2.5" SF9.5A	-	-	8.0"
Cedar Square Road – Ramp A	3.0" S9.5B	3.0" I19.0B		8.0"
Cedar Square Road – Ramp D	3.0" S9.5B	3.0" I19.0B		8.0"
Existing US 311 - Ramp B & Ramp C	3.0" S9.5C	3.0" I19.0C	-	8.0"
Existing US 311 - Loop B & Loop C	3.0" S9.5C	4.0" I19.0C	-	8.0"
US 220 - Ramp C & Ramp BD	3.0" S9.5C	3.0" I19.0C	4.0" B25.0C	10.0"
US 220 - Ramp CA & Ramp B	3.0" S9.5C	3.0" I19.0C	-	10.0"

* For the –Y- Lines noted in the table above, the Design Build Team may substitute an asphalt base course layer for the ABC layer. If such an alternative is proposed, the Design-Build Team shall use an asphalt base course mix type that matches the intermediate course mix type for the specific roadway. If no intermediate course is specified, the Design-Build Team shall use B25.0B base course. The thickness of the asphalt base course used for a specific roadway shall be equal to half the proposed ABC thickness noted in the table above. Prime coat shall be required whenever a surface course is placed directly on ABC.

The Design-Build Team shall resurface the existing Y- Lines pavement with a minimum pavement depth that equals the full thickness of surface course as provided in the table above (Reference Roadway Scope of Work).

In areas where the existing paved shoulder is proposed to be incorporated into a permanent travel lane, the Design-Build Team shall be responsible for evaluating the existing paved shoulder regarding its suitability for carrying the projected traffic volumes. In the event that the existing paved shoulder is found inadequate, the Design-Build Team shall be responsible for upgrading the existing paved shoulder to an acceptable level or replacing the existing paved shoulder. The Design-Build Team shall submit their evaluation and proposed use of existing paved shoulders to the State Alternative Delivery Engineer for review and acceptance or rejection.

The Design-Build Team shall pave from the edge of the proposed paved shoulder to the face of sound barrier walls located on the outside shoulder in fill sections and all guardrail with 6" of ABC (or 4" B25.0B or B25.0C), a split seal and at least one lift of surface course. If a split seal is not used, the ABC pavement design shall require prime coat at the normal application rate. In these areas, the Design-Build Team's installation of ABC or black base shall be consistent with

the pavement type chosen for the specific roadway. As an alternative to the aforementioned pavement designs for paving the shoulders to the face of the sound barrier walls and guardrail, the Design-Build Team may use the travel lane pavement design required for the specific roadway noted in the table above.

All driveways, up to the radius point, shall be constructed with the full-depth pavement design of the intersecting roadway. The entire impacted length of all non-concrete driveways with a 10% or steeper grade shall be constructed with 1.5" S9.5B and 8" ABC. Unless otherwise noted above, the Design-Build Team shall adhere to the following for all driveway construction:

For existing gravel and soil driveways, use 8" ABC.

For existing asphalt driveways, use 1.5" S9.5B and 8" ABC.

For existing concrete driveways, use 6" jointed concrete reinforced with woven wire mesh.

The Design-Build Team shall be responsible for the design of all temporary pavements and for the evaluation of existing shoulders and roadways regarding their suitability for carrying traffic during construction, if necessary. In the event that the existing shoulders and roadways are found to be inadequate for the proposed temporary traffic volumes and duration, the Design-Build Team shall be responsible for upgrading the pavement to an acceptable level. Temporary pavements shall be designed in accordance with the most recent version of the North Carolina DOT Pavement Design Procedure. Temporary pavement designs are to be submitted for review and comments using the contract submittal process. The expected duration for traffic on temporary pavement must be included as part of the submittal (Reference the Roadway Scope of Work).

The rate of application and the maximum and minimum thickness per application and layer shall be in accordance with the NCDOT Roadway Design Manual.

The Design-Build Team shall be responsible for the design and construction of shoulder drains and outlets for the mainline. Shoulder drains shall be located at vertical curves and where the grade is less than 1%. At these locations, shoulder drains shall be placed to drain the entire pavement structure. The shoulder drain design shall be in accordance with Standard Drawing 816.02 of the NCDOT Roadway Standard Drawings. The shoulder drain design and outlet locations are to be submitted for review and acceptance using the Design-Build submittal process.

In areas where the Design-Build Team's design requires an existing paved facility to accommodate projected traffic volumes other than the Department's projected traffic volumes, the Design-Build Team shall evaluate the existing paved facility regarding its suitability for carrying the Design-Build Team's projected traffic volumes. In the event that the existing paved facility is found to be inadequate, the Design-Build Team shall be responsible for upgrading the existing paved facility to an acceptable level or replacing the existing paved facility. Prior to incorporation, the Design-Build Team shall submit their evaluation and proposed use of the existing paved facility to the State Alternative Delivery Engineer for review and acceptance or rejection.

STRUCTURES SCOPE OF WORK (04-14-08)**Project Details:**

The Design-Build Team shall be responsible for all structures necessary to complete the project.

- The Design-Build Team shall provide grade separations at the following locations:
 - Existing US 311
 - Norfolk Southern Railway
 - US 220
 - Banner White Head Road
 - Branson Davis Road.
 - Walker Mill Road
 - Plain Field Road
 - Heath Dairy Road
- The Design-Build Team shall provide all stream crossing structures.
- All structures shall meet the requirements of the Hydraulics and Environmental Permits Scopes of Work.

All bridge barrier rails shall be jersey shaped barriers per Standard Drawing CBR1.

The empirical method for deck design will not be allowed.

A load rating summary for girders will be required on the bridge plans.

The Design-Build Team shall determine the sizes of all box culverts. Precast box culverts will not be allowed.

The NCDOT has coordinated with the public and obtained their approval for the NCDOT standard steel pile precast concrete panel sound barrier wall. The Design-Build Team shall be responsible for any activities, as deemed necessary by the Department or the FHWA, resulting from changes to the sound barrier wall type, including but not limited to, public involvement.

General:

The Design-Build Team's primary structural design firm shall be on the Highway Design Branch list of firms qualified for Structure Design and maintain an office in North Carolina.

All bridges shall adhere to accepted roadway typical sections and grades. Bridge geometry (width, length, skew, span arrangement, etc.) shall be in accordance with an accepted Structure Recommendation prepared by the Design-Build Team.

Design shall be in accordance with AASHTO LRFD Bridge Design Specifications, NCDOT Structure Design Manual (including policy memos), NCDOT Bridge Policy Manual, Norfolk Southern Corporation's "Guidelines for the Design of Grade Separation Structures" and *AREMA*.

Construction and materials shall be in accordance with the 2006 *NCDOT Standard Specifications for Roads and Structures*, NCDOT Structure Design Unit Project Special Provisions, NCDOT Structure Design Unit Standard Drawings, Norfolk Southern Corporation (NSC) Special Provisions and State-Railroad Agreements.

Alternate designs, details, or construction practices (such as those employed by other states, but not standard practice in NC) are subject to Department review and approval, and will be evaluated on a case by case basis.

Monotube or cantilever sign support structures will not be allowed.

Attachment of sign structures to bridges will not be allowed.

Any required bridge attachments (e.g. ITS conduit, water lines) will not be allowed in the overhang of grade separations. Casting of conduit in the bridge deck or outside railing will not be allowed.

Sound barrier walls shall be in accordance with Standards SBW1 and SBW2 and the Sound Barrier Wall Project Special Provision located on the Structure Design Unit web site or alternate details and special provisions approved by the NCDOT Structure Design Unit, **Geotechnical Engineering Unit and Human Environment Unit**.

Shoulder piers for grade separations shall be avoided when possible. MSE walls in front of end bents are allowed provided **adequate width for the required shoulder and concrete barrier are provided**.

Capacity of overhang falsework hangers placed at the edge of the thin top flange concrete girders (such as bulb tee girders) is limited to 75% of the manufacturer's safe working load. Use of Meadow Burke HF-42 and HF-43 hangers is not allowed.

When using bridge deck slab overhang falsework systems that transmit torsion to the exterior girders bracing will be required. Bracing shall limit the magnitude of torsional stresses (concrete girders) or lateral flange bending (steel girders) in the exterior girders caused by falsework system loads and limit the magnitude of stresses in the component elements, welds, or connections.

The sizing spacing and details of the bracing elements shall be sufficient to meet the design requirements stated below. Design calculations and working drawings submitted for review should consider the horizontal force effects of the falsework on the girder and on the bracing elements themselves.

For concrete girders, torsional stresses in girders resulting from falsework and other dead loads shall not exceed one quarter of the cracking torque. Torsional stresses due to all dead loads and live loads shall not exceed one half of the cracking torque. Cracking torque of prestressed concrete girders shall be computed in accordance with ACI 318-02, Section 11.6.1. For steel girders, lateral flange bending stresses shall not exceed 2000 psi.

Bracing shall be installed prior to any application of loads from screed equipment or work platform bridges. Bracing shall be removed after the deck is cured.

Railroad Design and Coordination:

The Design-Build Team shall provide a 25-foot minimum horizontal clearance from the centerline of existing and future tracks to any substructure unit. Crashwalls on interior bents will not be permitted.

On the south side of the existing track, the design and construction shall include provisions for a future track, as well as an eight-foot wide maintenance road. The Design-Build Team shall provide a minimum 14'-0" horizontal distance between the existing and future track centerlines. The Design-Build Team shall provide a minimum 18'-0" horizontal distance between the future outside track centerline and the maintenance road outside edge. All distances shall be measured perpendicular to the track centerlines.

The Design-Build Team shall provide a 23-foot minimum vertical clearance over the Norfolk Southern Railroad.

Approximately four trains per day make a round-trip between High Point and Asheboro. The maximum train speed is 25 mph.

Only NSC may grant exceptions to their guidelines or AREMA.

Reference Railroad Coordination Scope of Work.

RAILROAD COORDINATION SCOPE OF WORK (2-14-08)

Unless a distinction is made, it is the Department's intention that whenever this scope of work references "Railroad" this would be the Norfolk Southern Corporation.

The Design-Build Team shall be responsible for coordinating all Railroad design and construction details on Railroad right of way. Coordination shall include any necessary agreements required by the NCDOT and / or Railroad. The Design-Build Team shall be responsible for all Railroad costs associated with this project to include, but not be limited to, crossing surfaces, track materials, insurance, flagging and right of way acquisition.

Preparation for Construction within the Existing Railroad Right of Way

I. The Design-Build Team shall be required to use the following guidelines and any other guidelines as required by the Railroad.

- (A) *AREMA Manual for Railroad Engineering*
- (B) *Norfolk Southern Guidelines for Design of Grade Separation Structures (Shoring)*
- (C) *Federal Aid Policy Guide 23 CFR 140I*
- (D) *Federal Aid Policy Guide 23 CFR 646*
- (E) *NCDOT Construction Manual Section 105-8*
- (F) *NCDOT Standard Specifications for Roads and Structures Section 107-9 (Excluding Paragraph 2)*
- (G) *North Carolina Administrative Code Section T19A: 02B, 0153 through 0159*
- (H) *Norfolk Southern Corporation Special Provisions for Protection of Railway Interest*

II. The Design-Build Team shall be responsible for verifying the number of trains per day and maximum speed allowed.

III. The Design-Build Team shall contact Mr. George Meade, Property Manager, Norfolk Southern Real Estate to verify the existing highway / railroad rights of way. The Team shall also coordinate required plan / design changes, required Railroad encroachments and the acquisition of required temporary / permanent right of way and easements from the Railroad with Mr. Meade. Mr. Meade's contact information is as follows:

110 Franklin Road, SE
 Roanoke, Virginia 24042
george.meade@nscorp.com.
 Office (540) 981-4619, Mobile (540) 981-4226

Arrangements for Protection and Adjustments to Existing and Proposed Railroad Crossing Surface and Roadbeds:

I. The Design-Build Team shall make the necessary arrangements with the Railroad for the installation of new grade crossing surfaces, (permanent and temporary construction

crossing), removal of temporary construction crossing after completion of project, shoring plans, encroachment agreements, and railroad force account estimates and agreements. All permanent crossing surfaces shall be concrete, both field and gauge.

The Design-Build Team shall not commence any work on the Railroad right of way until all agreements have been executed, insurance acquired and approved, and all construction plans have been approved by the Railroad.

The Design-Build Team shall make the necessary arrangements with the Railroad that are required to protect against property damage that may result in loss of service, expense, or loss of life. The Design-Build Team shall be responsible for all damage to the Railroad resulting from their operations and the Railroad may issue a stop order until all dangerous situations are remedied.

The Design-Build Team shall be responsible for providing Railroad Protective Liability Insurance for Bodily Injury Liability, Property Damage Liability, and Physical Damage to Property in the amount of \$2,000,000 Per Occurrence for freight rail and / or \$5,000,000 for passenger rail. The Design-Build Team shall obtain \$6,000,000 in Aggregate coverage for freight and / or \$10,000,000 for passenger Per Annual Period. The Design-Build Team shall be responsible for verifying and obtaining the appropriate insurance and / or coverage with the Railroad. Other insurance requirements, including those for all subcontractors, are detailed in the Standard Norfolk Southern Railroad Agreement provided to the short-listed teams.

- II. The Design-Build Team shall be required to use the Standard NCDOT Cost Agreement and Insurance Special Provisions forms, that shall be supplied by the NCDOT Utility Unit Railroad Section upon request.
- III. After negotiations between the Design-Build Team and the Railroad have been finalized, the Design-Build Team shall submit executed agreements and plans to NCDOT's State Bridge Design Engineer, via the State Alternative Delivery Engineer, for plan approval and final agreement execution by NCDOT, prior to authorizing railroad work. After approval by NCDOT, one copy of the executed agreement will be returned to the Design-Build Team and one copy forwarded to the NCDOT's Resident Engineer, prior to any construction work by the Design-Build Team or Railroad.

Coordination with Norfolk Southern Corporation:

The Design-Build Team shall coordinate with J. N. Carter, Jr., Chief Engineer, Bridges and Structures, Norfolk Southern Corporation, 1200 Peachtree St., NE Atlanta, GA 30309, (contact is David Wyatt at telephone number 404-529-1641) to obtain plan approval and a partially executed legal agreement with Norfolk Southern Corporation and the Department of Transportation as the parties in the agreement for the Norfolk Southern Corporation crossing in the vicinity of Milepost M-15.0.

The Department will review the agreement prior to submittal to the Railroad. The Department will execute and distribute the Agreement within 14 calendar days of receipt. The agreement shall include necessary Force Account items such as preliminary engineering, construction engineering, flagging, and signal and communication lines. The Department will be responsible for payment of the Railroad Force Account work; however, the Design-Build Team shall reimburse the Department for these costs including any Force Account estimate overruns. This reimbursement shall be incidental to the lump sum price bid for the project. Upon request, the Department will provide copies of the railroad's invoices to the Design-Build Team for review. The Design-Build Team shall have ten (10) days to provide written comments to the State Alternative Delivery Engineer, after which the Department will pay the invoice. The Design-Build Team shall be responsible for maintaining records to verify the invoice items.

The preliminary plan submittal to the Railroad shall include bridge plans, the Railroad's "Overhead Grade Separation Data Sheet," as applicable, appropriate roadway plan sheets showing impacts to the Railroad's right of way, erosion control plans, and drainage calculations for any drainage on or across the Railroad's right of way. A minimum of five (5) half-size sets of preliminary plans and data shall be submitted to the Norfolk Southern Corporation through the NCDOT Alternative Delivery Engineer. If the Railroad requires RFC's and / or Final Plans, then five (5) half-size sets shall be submitted to the State Alternative Delivery Engineer for forwarding to the Railroad. If any re-submittals of plans or any additional information is required, five (5) half-size sets shall be submitted to the State Alternative Delivery Engineer for forwarding to the Railroad. Working Drawings affecting the Railroad's operations and / or right of way shall follow the submittal process as outlined in the 2006 *Standard Specifications for Roads and Structures* or Special Provisions.

GEOTECHNICAL ENGINEERING SCOPE OF WORK (2-12-08)**I. GENERAL:**

Obtain the services of a firm prequalified for geotechnical work from the Highway Design Branch List. The prequalified geotechnical firm shall prepare foundation design recommendation reports for use in designing structure foundations, roadway foundations, retaining walls, sound barrier foundations, overhead sign structure foundations, overhead sign structures and temporary structures.

The engineer of record who prepares foundation design recommendation reports shall be a professional engineer registered in the state of North Carolina and have completed a minimum of three geotechnical design projects of scope and complexity similar to that anticipated for this project using the load and resistance factor design (LRFD) method and in accordance with the AASHTO *LRFD Bridge Design Specifications*. Prior to any geotechnical design submittal, submit documentation verifying the engineer of record's experience in LRFD including the project owner's name and current contact information with descriptions of each project designed by the LRFD method. If the engineer of record cannot demonstrate the aforementioned LRFD experience, then the design must undergo a peer review by an individual with such experience. In such case, the reviewer must be a registered professional engineer, but not necessarily in the state of North Carolina. Prior to the first geotechnical design submittal, the Design-Build Team shall provide a letter to the NCDOT Geotechnical Unit, via the State Alternative Delivery Engineer, that documents the reviewer's LRFD experience for review and acceptance. Furthermore, with each geotechnical design submittal, the reviewer shall provide a letter stating that he / she has carefully reviewed, and approve of, the specific submittal details.

The prequalified geotechnical firm shall also determine if additional subsurface information, other than that required and noted elsewhere in this RFP, is required based upon the subsurface information provided by NCDOT and the final roadway and structure designs. If a determination is made that additional subsurface information is required; the Design-Build Team shall perform all additional subsurface investigation and laboratory testing in accordance with the current NCDOT *Geotechnical Unit Guidelines and Procedure Manual*.

A minimum of 2 standard penetration test (SPT) / rock core borings shall be required per bent for all bridges except dual bridges. A minimum of 3 SPT / rock core borings shall be required across the roadway typical section, at each bent location for dual bridges. All borings shall be located within 25 feet of the proposed bent location to be counted for these minimum boring requirements. All borings shall be deep enough to show a complete soil and rock profile to the depth of the foundation-supporting layer. The Design-Build Team shall be responsible for obtaining the borings noted above for all bents where subsurface information is not sufficient, unless the prequalified geotechnical firm submits documented justification that the subsurface investigation provided by the NCDOT is adequate for design purposes and the justification is acceptable to the Department. The Design-Build Team shall present any proposed deviation from these

requirements in the Technical Proposal. Any deviations to the requirements noted above shall require acceptance from the NCDOT Geotechnical Engineering Unit prior to construction.

The maximum spacing between borings for retaining walls shall be 200 feet, with a minimum of two borings; one at each end of the wall. Drill borings for retaining walls to twice the maximum height of the wall.

The Design-Build Team is permitted to design bridges on this project using software that accounts for the structural effects of soil / pier interaction.

II. DESCRIPTION OF WORK:

The Design-Build Team shall design foundations, embankments, slopes, retaining walls, sound barrier foundations and temporary structures in accordance with the current *AASHTO LRFD Bridge Design Specifications*, *NCDOT Structure Design Manual*, *NCDOT Roadway Design Manual* and the Geotechnical Engineering Unit *Roadway and Structure Foundation Guidelines*, unless otherwise noted in this scope of work.

A. Structure Foundations

Key in spread footings of structures crossing streams a minimum of full depth below the 100-year design scour elevation and provide scour protection in accordance with scour protection detail in the *NCDOT Structure Design Manual*.

Obtain acceptance from the NCDOT Hydraulics Unit for any longitudinally battered piles for pile bents of structures crossing streams or wetlands. Permanent steel casings shall be required for drilled piers that are constructed in six inches or more of water. Permanent casings shall be required where drilled piers are constructed on stream banks that are subject to flooding.

When the weathered rock or rock elevation is below the 100-year hydraulic scour elevation, the 100-year and 500-year design scour elevations are equal to the 100-year and 500-year hydraulic scour elevations from the structure survey report accepted by the NCDOT Hydraulics Unit. When the weathered rock or rock elevation is above the 100-year hydraulic scour elevation, the 100-year design scour elevation may be considered equal to the top of the weathered rock or rock elevation, whichever is higher, and the 500-year design scour elevation may be set two feet below the 100-year design scour elevation.

End bent fill slopes up to 35 feet in height (defined as the difference between grade point elevation and finished grade at toe of slope) shall be 1.5:1 (H:V) or flatter. End bent fill slopes with heights greater than 35 feet or end bent cut slopes shall be 2:1 or flatter. For 1.5:1 end bent fill slopes, extend end bent slope protection from the toe of slope to berm and to 1.75:1 (H:V) slope. For cut slopes

and for 2:1 or flatter end bent fill slopes, extend end bent slope protection from the toe of slope to berm and to the limits of the superstructure.

Analyze drilled pier and pile bent foundations using either Lpile or FB-Pier. Design drilled piers and vertical piles with a sufficient embedment in soil and / or rock to achieve “fixity”.

B. Roadway Foundations

Design all unreinforced fill slopes for a slope of 2:1 (H:V) or flatter except bridge end bent slopes (see Section A). In order to eliminate “sliver fills” that are difficult to tie into existing fill slopes, the Design-Build Team can use a slightly steeper slope at the top of fill, provided the design meets the minimum stability requirement for the new and overall slope and utilizes permanent erosion control measures that are acceptable to the Department. All soil cut slopes shall be 2:1 (H:V) or flatter, unless the slopes are designed with an adequate reinforcement to provide the required stability. Submit detailed design calculations and slope stability analysis for any cut or fill slope steeper than 2:1 (H:V) to the NCDOT Geotechnical Engineering Unit, via the State Alternative Delivery Engineer, for review and acceptance prior to construction.

Design sound barrier foundations in accordance with current allowable stress design AASHTO *Guide Specifications for Structural Design of Sound Barriers*. A minimum factor of safety of 1.5 shall be required for shaft embedment depths.

Design and construct bridge approach embankments such that no more than 2" of settlement will occur after the waiting periods end. Soil improvement techniques to mitigate long term settlement problems or to transfer the embankment load to a deeper bearing stratum are allowed. Soil improvement techniques should follow the current industry standard practices and the guidelines of *Ground Improvement Methods* FHWA publication NHI-04-001 or *Geosynthetic Design and Construction Guidelines* FHWA-HI-95-038. Embankment settlement monitoring in accordance with the Embankment Monitoring Special Provision and the Standard Settlement Plate Detail shall be required when a waiting period of more than one month is recommended in the foundation design recommendation reports. Install and monitor a minimum of two settlement plates at each bridge end bent location and at locations no more than 200 feet apart. Settlement gauges, surveyed stakes on finished subgrade or other methods may be used instead of settlement plates, but alternatives to settlement plates shall be submitted to the NCDOT Geotechnical Engineering Unit, via the State Alternative Delivery Engineer, for review and acceptance prior to installation.

Reinforced bridge approach fills in accordance with the NCDOT standard shall be required for end bents on all bridges.

C. Permanent Retaining Wall Structures

Extensible reinforcement shall not be allowed for any permanent critical retaining walls. Modular block walls shall not be allowed for critical wall structures. Critical wall structures include walls supporting or adjacent to interstate highways, bridge abutments, wing walls and walls over 18 feet in height.

Design and construct permanent retaining walls, with the exception of gravity walls and cast-in-place cantilever walls, in accordance with the applicable NCDOT Project Special Provisions. For each retaining wall, with the exception of gravity walls, submit a wall layout and design. The wall layout submittal shall include the following:

- Wall envelope with top of wall, bottom of wall, existing ground and finished grade elevations at incremental stations
- Wall alignment with stations and offsets
- Typical sections showing top and bottom of wall, drainage, embedment, slopes, barriers, fences, etc.
- Calculations for bearing capacity, global stability and settlement
- Details of conflicts with utilities and drainage structures
- Roadway plan sheets showing the wall (half size)
- Roadway cross sections showing the wall (half size)
- Traffic control plans showing the wall (half size)

Gravity walls shall be designed and constructed in accordance with the NCDOT Structure Standard Drawings and the NCDOT 2006 *Standard Specifications for Roads and Structures*. Gravity walls do not require any submittals and shall be identified in the roadway foundation design recommendation report. Cast-in-place cantilever walls shall be designed and constructed in accordance with the NCDOT 2006 *Standard Specifications for Roads and Structures*.

Locate retaining walls at toe of slopes unless restricted by right of way limits. The Design-Build Team shall submit global stability calculations for slopes at retaining walls and obtain acceptance from the NCDOT Geotechnical Engineering Unit prior to construction. Any slopes behind walls shall be 2:1 (H:V) or flatter.

Drainage over the top of retaining walls shall not be allowed. Sags in the top of walls shall be avoided. Direct runoff above and below walls away from walls, if possible, or collect runoff at the walls and transmit it away. Curb and gutter or cast-in-place single faced barrier with paving up to the wall shall be required when runoff can not be directed away from the back or front of the wall. A paved concrete ditch with a minimum depth of six inches shall be required at the top of walls when slopes steeper than 6:1 (H:V) intersect the back of walls.

Precast or cast-in-place coping shall be required for walls without a cast-in-place face with the exception of when a barrier is integrated into the top of the wall. Extend coping or cast-in-place face a minimum of six inches above where the finished or existing grade intersects the back of the wall. A fence shall be required on top of the facing, coping or barrier or immediately behind the wall, if there is no slope behind the wall.

Deep foundations shall be used for end bents when abutment retaining walls are employed. When using abutment retaining walls, design and construct the end bent and the abutment wall independent of each other. Wing walls independent of abutment retaining walls shall be required unless approved otherwise by the NCDOT. When abutment retaining walls are utilized, the end bent foundation must consist of vertical piles and brace piles battered toward the wall, or on a double row of plumb piles or on drilled piers. If fill is required around piles or drilled piers, install foundations before placing any fill.

D. Temporary Structures

Design temporary retaining structures, which include earth retaining structures and cofferdams, in accordance with the current allowable stress design AASHTO *Guide Design Specifications for Bridge Temporary Works* and the NCDOT Temporary Shoring Special Provision. The only submittal required to use the standard sheeting design is the “Standard Shoring Selection Form”.

Design and construct temporary retaining walls in accordance with the applicable NCDOT Project Special Provision. Place the barrier at the top of wall based on the detail from the Work Zone Traffic Control Unit. If anchored barrier is required, then anchor the barrier in accordance with Roadway Standard Detail No. 1170.01.

III. CONSTRUCTION REQUIREMENTS:

All construction and materials shall be in accordance with the NCDOT 2006 *Standard Specifications for Roads and Structures* and the current NCDOT Project Special Provisions, unless otherwise stated in this scope of work. The Design-Build Team shall be responsible for investigating, proposing and incorporating remedial measures for any construction problems related to foundations, retaining walls, subgrades, settlement, slopes, and construction vibrations. The NCDOT Geotechnical Engineering Unit shall review and accept these proposals.

The Design-Build Team shall be responsible for any damage or claim caused by construction, including damage caused by vibration (see Article 107-15 NCDOT *Standard Specifications for Roads and Structures*). The Design-Build Team shall be responsible for deciding what, if any, pre and post-construction monitoring and inventories need to be conducted to satisfy their liability concerns. Any monitoring and

inventory work shall be performed by a qualified private engineering firm experienced in the effects of construction on existing structures.

The prequalified geotechnical firm that did the foundation designs must review the embankment settlement monitoring data a minimum of once a month and issue a letter prior to releasing the embankment from the waiting period. Waiting periods may not be ended until less than 0.1 inches of settlement is measured over a period of four weeks. Submit the settlement monitoring data to the NCDOT Geotechnical Engineering Unit, via the State Alternative Delivery Engineer prior to issuing the release letter.

The prequalified geotechnical firm that did the foundation designs shall review and approve all pile driving hammers and drilled pier construction sequences. The NCDOT Geotechnical Engineering Unit shall review and accept these approvals prior to construction beginning.

Perform hammer approvals with GRLWEAP Version 2002 or later and in accordance with the NCDOT 2006 *Standard Specifications for Roads and Structures*. Provide pile driving inspection charts or tables for all approved pile hammers.

Perform Pile Driving Analyzer (PDA) testing to develop pile driving inspection charts or tables. Provide PDA testing, and pile driving inspection charts or tables by a NCDOT pre-approved company. Meet the guidelines for NCDOT PDA reports from the Geotechnical Engineering Testing Contract for PDA test reports. To obtain a list of pre-approved Geotechnical Engineering Testing Contract companies to perform PDA testing and guidelines for PDA test report, contact the Geotechnical Engineering Unit Contract Administrator at 919-250-4088. PDA Testing Engineer must be a professional engineer registered in the State of North Carolina. Submit a complete PDA report sealed by the professional engineer who performed the test to the foundation design firm. The foundation design firm shall develop pile driving inspection charts or tables for acceptance by the Geotechnical Engineering Unit prior to pile installation.

For each bridge that includes driven pile bents or driven pile footings, perform a minimum of one (1) PDA test (dual bridges are counted as one structure) for each pile size, pile type and pile driving hammer combination. If the bridge length with driven pile foundation is longer than 600 feet, perform additional PDA test at every 600-foot interval. Provide additional PDA testing for any revisions to pile type, size or hammer previously approved. The locations of PDA test piles must be approved by the Geotechnical Engineering Unit prior to any PDA test. Test piles in accordance with ASTM D 4945-89, Standard Test Method for High Strain Dynamic Testing of Piles and this scope of work.

Use current NCDOT inspection forms for drilled piers available on the Geotechnical Engineering Unit's webpage. The Department will use the Shaft Inspection Device (SID) in accordance with the Drilled Piers Special Provision to inspect all drilled pier excavations that are not hand cleaned. Install Crosshole Sonic Logging (CSL) tubes in all drilled piers. CSL testing shall be required for at least 25% of all the drilled piers for

each bridge. If a CSL test identifies a defect in the drilled pier, then CSL testing of more than 25% of drilled piers may be required at the Department's discretion. The Department will determine which piers will be CSL tested. Submit CSL test information and results to the NCDOT Geotechnical Engineering Unit, via the State Alternative Delivery Engineer, to determine if the results are acceptable.

Provide field quality control for all bridge foundations, retaining wall foundations and sound barrier foundations including verifying subsurface conditions for drilled piers and bearing for shallow foundations.

The prequalified geotechnical firm that did the original design shall perform any changes to the foundation designs. All changes shall be based upon additional information, subsurface investigation and / or testing. Drilled pier tip elevations shall not be changed during construction unless the prequalified geotechnical firm that did the bridge foundation design redesigns the drilled pier from an SPT / rock core boring in accordance with ASTM standards at the subject pier location or observations of the drilled pier excavation. If a drilled pier is designed based on a boring, do not drill a boring inside an open drilled pier excavation. Locate the boring within three pier diameters of the center of the subject pier and drill to a depth of two pier diameters below the revised tip elevation. If a drilled pier is redesigned based upon observations of the drilled pier excavation, the geotechnical engineer of record shall be present during the excavation to determine the actual subsurface conditions. Send copies of revised designs including additional subsurface information, calculations and any other supporting documentation sealed by a professional engineer registered in the State of North Carolina to the State Alternative Delivery Engineer for review by the NCDOT Geotechnical Engineering Unit. Also, send copies of any inspection forms related to foundations, settlement or retaining walls to the State Alternative Delivery Engineer for review by the Geotechnical Engineering Unit.

Conduct proofrolling in accordance with Section 260 of the 2006 *Standard Specifications for Roads and Structures*.

ROADWAY AND STRUCTURE FOUNDATION GUIDELINES

The Design-Build Team shall be responsible for, but not limited to, addressing, and incorporating if necessary the following items for the roadway and structure foundation design of the project. Include all design calculations and supporting documents in the geotechnical design submittals for the NCDOT Geotechnical Engineering Unit's review and acceptance.

1. Analyze the stability of embankments and utilize recognized geotechnical engineering designs and construction methods approved by NCDOT to ensure embankment stability.
2. Analyze embankment settlement and if necessary, recommend and incorporate mitigation through the use of undercut or soil improvement methods such as surcharges, waiting periods, wick drains, column supported embankment, etc.
3. Address, and incorporate if needed, the following regarding embankment problems:

- a. The feasibility of using geo-textiles to achieve stability, reduce excavation of soft soils and reduce the effect of settlement on the roadway.
 - b. The need for settlement gages, slope inclinometers and other embankment monitoring devices and their placement and location.
4. Determine the feasibility, recommend and incorporate types of retaining walls and / or shoring for permanent and / or temporary situations. Design all retaining walls in accordance with the current AASHTO LRFD *Bridge Design Specifications* and applicable FHWA manuals. If the AASHTO LRFD *Bridge Design Specifications* do not provide applicable load and / or resistance factors for certain retaining wall types, then design these walls in accordance with the latest AASHTO Standard Specifications for Highway Bridges allowable strength design methods.
5. Determine amount of, recommend and incorporate methods to mitigate any differential settlement problems at locations of culverts and utilities.
6. Analyze the stability of cut sections. Utilize recognized geotechnical engineering designs and construction methods to ensure cut slope stability.
7. Analyze the stability of roadway approaches (to the distance from the bridge that affects the stability and design of the bridge foundations) and particularly the end slopes under the bridge, utilizing recognized geotechnical engineering designs and construction methods to ensure stability.
8. Recommend pile, drilled pier or spread footing foundations for structures with regard to bearing capacity, lateral stability, buckling analysis for piles, scour, settlement and constructability.
9. Recommend maximum bearing pressure for spread footings considering both strength limit and service limit states, and effects of adjacent foundations, water table, scour, etc. The scour critical elevation for a spread footing shall be at the bottom of footing elevation.
10. Address the following regarding pile and / or drilled pier foundations:
 - a. Method of support – skin friction, tip bearing or combination of both
 - b. Tip elevations no higher than and estimated pile lengths
 - c. Ultimate axial load
 - d. Settlement
 - e. Number and location of test piles or piers and dynamic and / or static load testing
 - f. Wave equation analysis using an appropriately chosen pile hammer and cushion material
 - g. Necessity of using steel pile tips for concrete piles or pile points for steel piles
 - h. Effects of vibration on adjacent construction or existing structures
 - i. Corrosion effects of various soils and water (See Structure Design Unit's Policy Manual)
 - j. Downdrag on piles or piers
 - k. Lateral stability and horizontal deflections
 - l. Design scour and scour critical elevations - The scour critical elevation for drilled piers and pile foundations shall be the 100-year design scour elevation.
 - m. Point of fixity

n. Lateral squeeze for piles

11. Include in the geotechnical recommendations report a summary table of the bridge foundation recommendations including the following:

- a. State project number, TIP number, county, description and bridge station
- b. Bent (work point) stations, types of foundations, required capacity, bottom of cap or footing elevations, estimated pile lengths and tip elevations

12. Address the following items, when applicable, as notes on plans or comments and attach to the summary table:

- a. All appropriate notes on plans (See Structure Design Unit's Standard Foundation Notes on Plans)
- b. End slope and extent of slope protection
- c. Waiting periods for approach slab construction or end bent construction
- d. Battered piles
- e. Point of fixity elevations
- f. Design and scour critical elevations
- g. Tip elevations no higher than
- h. Steel pile points for steel piles or steel pile tips for concrete piles
- i. Number and location of test piles or piers, load tests, dynamic and / or static testing
- j. Required rock socket for drilled piers
- k. Need for permanent steel casing including casing tip elevations, SPT, SID Inspection, CSL and slurry use in accordance with the Drilled Piers Special Provision
- l. Range of estimated hammer energies for concrete and pipe piles

Address any other items affecting the foundation design on the summary sheets and include all final recommendations on the summary sheets.

GEOENVIRONMENTAL SCOPE OF WORK (4-22-08)**I. DEFINITION**

For the purpose of this scope of work, contamination / contaminants are defined as any substance, which when discharged in any quantity may present an imminent and substantial danger to the public health or welfare. Petroleum is defined as any oil of any kind and in any form, including, but not limited to, crude oil, diesel fuel, fuel oil, gasoline, lubrication oil, oil refuse, oil mixed with other waste, oil sludge, petroleum related products or by-products, and all other liquid hydrocarbons, regardless of specific gravity, whether singly or in combination with other substances.

II. DESCRIPTION OF WORK

The Design-Build Team shall remove and dispose of all garbage and buried debris within the R-2606B right of way; and within the recently acquired R-2606A right of way along Cedar Square Road and the mainline from Cedar Square Road to the end of the project. The following is the most up to date information available and required actions for each site. Additional details are available in the reports provided by the Department. The coordinates provided are approximate locations of site features and are in NAD83 State Plane Feet.

Site 1: Clyde R. Spencer Property, 3226 Spencer Road

- One (1) 1,000 gallon farm fuel UST is currently on the property just outside the recently acquired R-2606A right of way. (X: 1733908.33303404, Y: 772877.009895044).
- Low levels of petroleum contamination were detected during an October 2000 investigation.
- ** NOTE ** Revised and relocated bullet on household garbage.
- An agricultural chemical shed, located just outside the recently acquired R-2606A right of way (X:1733810.35658011, Y: 772868.706805728) showed low levels of pesticide contaminated soil during an October 2000 investigation.
- Buried household garbage and other debris are located in the recently acquired R-2606A right of way (X: 1735099.48807684, Y: 772088.400923143). This area was investigated in October 2000 and showed no signs of contamination. If this area is within the project limits, the Design-Build Team shall undercut and dispose of the aforementioned garbage and debris, and backfill with suitable material.
- If additional right of way is required in the areas where the UST and / or chemical shed are located, the Design-Build Team shall immediately notify the State Alternative Delivery Engineer in writing. Any required contaminated soil and UST removal and disposal from these areas will be paid for in accordance with Article 107-26 of the 2006 NCDOT *Standard Specifications for Roads and Structures*.

- If the Design-Build Team's design and / or construction require removal of the UST, the Department will remove the UST in accordance with the "Right of Way Acquisition" requirements noted elsewhere in this Scope of Work.

**** NOTE ** Deleted Site 2: Former Carico Property, 4833 Branson-Davis Road bullet**

Site 2: Priscilla Steele Property, 849 Steele Lamb Drive

- Household trash and junk cars were buried by the property owner to fill in a ravine (X: 1752148.80806784, Y: 745082.58707984). The area was investigated in September 2000 and showed no signs of contamination. If this area is within the project limits, the Design-Build Team shall undercut and dispose of the aforementioned trash and cars, and backfill with suitable material.
- **** NOTE ** Revised and relocated bullet on contaminated soil.**
- **** NOTE ** Revised and relocated bullet on household garbage and buried debris removal and disposal.**

Right of Way Acquisition:

The Design-Build Team shall adhere to all Right of Way Branch procedures regarding the acquisition of contaminated property and if applicable, any Right of Way Acquisition Recommendations provided by the Department.

The Design-Build Team shall notify the State Alternative Delivery Engineer in writing of any underground fuel, chemical, or heating oil tanks found during property appraisals. The Department shall require 30 days to investigate the property and provide right of way recommendations after receiving written notification from the Design-Build Team. The Department shall require 30 days to remove the fuel, chemical, and heating oil tanks from the property after receiving written notification from the Design-Build Team that the property has been acquired and the building has been razed.

Contamination by Design-Build Team:

The Design-Build Team shall be responsible for any costs (direct or indirect) associated with damage and or cleanup of a hazardous substance and / or petroleum spill caused by it or its agent. This responsibility shall extend to freight carriers hired by the Design-Build Team to deliver a commodity or service to the Department. The Design-Build Team shall comply with all Local, State, and Federal requirements for the proper handling of hazardous substances. In addition, the Design-Build Team shall indemnify and hold the Department harmless against all claims, liabilities, and costs, including attorneys' fees, incurred in the defense of any claim brought against the Department resulting from such a spill.

III. INFORMATION PROVIDED BY NCDOT:

- Spencer Property, PSA Report
- Carico Property, UST Closure Report – for informational purposes only, no anticipated action required
- Carico Property, LSA Report – for informational purposes only, no anticipated action required
- Priscilla Steele PSA Report

IV. UNKNOWN CONTAMINATED SITES:

The Design-Build Team shall immediately notify the Department when the Design-Build Team's operations encounter or expose any abnormal condition which may indicate the presence of a hazardous, contaminated, and / or toxic material not previously identified. If the Engineer elects to have the Design-Build Team remove and dispose of contaminated material within an unknown contaminated site, the removal and disposal of this material shall be performed in accordance with Article 107-26 of the 2006 NCDOT *Standard Provisions for Roads and Structures* and Section V below.

V. DESIGN-BUILD TEAM REMOVAL OF CONTAMINATED SOILS:

This Section V applies only if removal of contaminated material is to be performed by the Design-Build Team. The Engineer shall determine if removal is to be performed by the Design-Build Team through a supplemental agreement or if the Department will perform the removal.

The Design-Build Team shall employ a fully experienced and qualified geoenvironmental firm to dispose of contaminated soil and groundwater and any other contaminants removed from within the project right of way during construction activities. The Design-Build Team shall furnish and deliver to the Department three (3) reports accompanied by all documents necessary to meet the laws, rules and regulations of the environmental regulatory agency(ies) having jurisdiction over each respective site from which waste materials are removed. Reports documenting the Design-Build Team's work and laboratory analyses of collected samples shall be submitted to the Department within 30 calendar days after its completion. If the Design-Build Team removes any underground storage tanks, a UST Closure Report shall be presented to the Department within twenty-five (25) calendar days after receipt of laboratory data. The Design-Build Team shall not submit any reports directly to the regulatory agencies.

Contaminated material removed during construction shall be transported to a waste treatment / disposal facility that is fully approved and permitted by all applicable environmental regulatory agencies to receive, treat and / or dispose of the material. It shall be the Design-Build Team's responsibility to locate such a facility. Departmental approval of the specific facility identified for use by the Design-Build Team shall occur prior to removal of any materials from the project limits. Contaminated material shall only to be removed to the extent necessary to complete a task or as directed by the Engineer. Remaining contamination shall be left in place and documented in reports

provided to the Department. The Design-Build Team shall provide to the Department all transportation manifests and certificates of acceptance from the receiving disposal facility on a weekly basis. The Design-Build Team shall present all disposal manifests to the Engineer within twenty (20) days of completion of the excavation. The Design-Build Team shall provide to the Department a Certificate of Remediation from the disposing / treating facility within sixty (60) days after removal of the materials from the project site unless alternate arrangements are approved in writing by the Department. The Department will be the regulatory generator of all waste excavated and removed from within its right of way. The Design-Build Team shall act as agents of the Department for signing all waste transportation and disposal manifests as necessary.

The Design-Build Team shall maintain qualified personnel on-site at all times during removal of materials from within known areas of contamination to monitor ambient air quality. The qualified personnel shall be knowledgeable with the use of an Organic Vapor Analyzer, Flame Ionization Detector, Photo Ionization Detector, or similar equipment.

The Design-Build Team shall be entirely responsible for compliance with all OSHA, EPA, DOT, DENR and local rules and regulations pertaining to excavation, transportation and treatment / disposal of the contaminated media. Examples of such rules and regulations include, but are not limited to, 29 CFR 1910 and 1926, 40 CFR 260 - 265, 49 CFR 173 and 178, 15A NCAC 13A North Carolina Hazardous Waste Management Rules, NCGS 130A - 310 Inactive Hazardous Sites, the Federal Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) and the Federal Resource Conservation and Recovery Act (RCRA). It must be noted that inclusion of this paragraph is meant to highlight the Design-Build Team's responsibility for regulatory compliance in all phases of work on this project.

HYDRAULICS SCOPE OF WORK (03-28-08)**Project Details**

The Design Build Team shall:

- Hold a pre-design meeting with the State Alternative Delivery Engineer and Hydraulic Review Engineer upon acceptance of the Preliminary Roadway Plans.
- Design and install all Storm Drainage systems within the project limits.
- Analyze existing culverts and cross pipes adjacent to the project and within existing right of way. Replace any deficient (structurally and / or hydraulically) pipes and / or culverts.
- Prepare Pre and Post Analysis for increases in discharge and take appropriate action in accordance with the guidelines stated below this section to make sure additional drainage is adequately handled. No increase in discharge shall be allowed into Railroad Right of Way.
- Provide Culvert and Bridge Survey Reports for structures in accordance with the guidelines stated below this section.
- Provide methods to manage debris accumulation inside the culverts.
- Design and install Hazardous Spill Basins throughout Watershed Critical Areas in accordance with Appendix O of the Guidelines for Drainage Studies and Hydraulics Design - 1999.
- Provide a State Stormwater Permit and Stormwater Management Plan, and allow time for a pre-application meeting with the appropriate Regional DWQ Office contact.
- Provide permit drawings and calculations for USACE 404 permit and NCDWQ Section 401.
- Adhere to the current Randleman Lake Reservoir Buffer Rules.
- Conduct 4B and 4C Merger 01 interagency meetings that include NCDOT PDEA-NEU, NCDOT Alternative Delivery Unit and interested environmental agencies to review the hydraulic design and permit sites prior to submittal of the environmental permit applications. All work resulting from the hydraulics and permit reviews shall be the responsibility of the Design-Build Team. The Design-Build Team shall provide hydraulics plans and permit impact sheets to the State Alternative Delivery Engineer a minimum of five weeks prior to the appropriate interagency meeting. The Design-Build Team shall take minutes of the meeting and provide them to the Department within three business days.

General

All design shall be in accordance with criteria provided in the North Carolina Division of Highways “Guidelines for Drainage Studies and Hydraulics Design-1999”, the addendum “Handbook of Design for Highway Drainage Studies-1973”, North Carolina Department of Transportation “Best Management Practices for Construction and Maintenance Activities–2003” and the North Carolina Division of Highways Hydraulics Unit web-site:

<http://www.ncdot.org/doh/preconstruct/highway/hydro/>

SIGNING SCOPE OF WORK (4-21-08)**General**

The Design-Build Team shall prepare Signing Plans in accordance with the latest edition of the 2003 *Manual on Uniform Traffic Control Devices (MUTCD)*, the 2004 *NC Supplement to the MUTCD*, *NCDOT Standard Specifications for Roads and Structures* (July 2006), the NCDOT Roadway Standard Drawings (July 2006) for the design and development of Signing Plans, the latest Standard Specifications for *Structural Supports for Highway Signs, Luminaires, and Traffic Signals* published by AASHTO, “*Guidelines for Preparation of Signing Plans for Design-Build Projects*” and the contract requirements contained herein.

Signing Plan Requirement

The Design-Build Team shall select a Private Engineering Firm (PEF) that has experience in designing and sealing Signing Plans for NCDOT on projects comparable to this project. The Technical Proposal shall list projects, including description and similarity to the subject project, that the PEF developed Signing Plans.

Signs Furnished by Design-Build Team

The Design-Build Team shall furnish all signs in accordance with the specifications provided by the Department.

Signing Project Limits

The Design-Build Team shall be responsible for the design, fabrication and installation of all signs required through the construction limits of the mainline, all -Y- Lines, all service roads and all cul-de-sacs. The Design-Build Team shall also be responsible for the design, fabrication and installation of all signs required beyond the construction limits of the mainline, all -Y- Lines, all service roads and all cul-de-sacs to ensure adequate advance signage and spacing is provided.

The posted speed limit for the US 311 Bypass shall be 65 mph.

Route Designations

The mainline shall be routed as US 311 and I-74 from the beginning of the project to the proposed interchange with existing US 311. The mainline shall be routed as I-74 from the proposed interchange with existing US 311 to the end of the project.

Sign Design

The Design-Build Team shall be responsible for the design, fabrication and installation of all appropriate signing for the project, including signs required for the mainline, all -Y- Lines, all service roads and all cul-de-sacs. The Design-Build Team shall be responsible for all Type A, B and D sign designs, fabrication and installation for ground mounted signs. The Design-Build Team

shall be responsible for determining, sizing, fabricating, locating and installing all Type E (warning and regulatory signs, Type F signs (route marker assemblies) and milemarkers. All milemarkers shall incorporate the I-74 shield and be placed in mile increments.

All individual sign designs shall be included in the Signing Plans. All individual sign designs shall be prepared using the latest version of GuideSign software. The latest GuideSign updates are located at the following website:

<http://www.ncdot.org/doh/preconstruct/traffic/congestion/SIGN>

Sign Maintenance

The Design-Build Team shall maintain all existing signs during construction, including temporary installations of Guide Signs on supports and any other element of the sign system, in accordance with Section 908-3(C) of the 2006 *Standard Specifications for Roads and Structures* to ensure signs are properly maintained and visible during project construction.

Temporary Signs

The Design-Build Team shall be responsible for designing, fabricating and installing temporary signs and sign supports. Reference the Signing Section of the Traffic Control and Pavement Markings Scope of Work for additional temporary signing requirements.

Sign Locations

The Design-Build Team shall be responsible for determining the station locations for all signs. To avoid sign placement in locations where their usefulness will be short-lived, the Design-Build Team shall coordinate the proposed sign designs and locations with existing and future projects through the Department.

Ground-Mounted Support Designs

NCDOT will provide the software for ground mounted sign support designs. The Design-Build Team shall be responsible for all design, fabrication and installation of ground-mounted supports and signs. Instructions for loading support design software will be made available upon request.

Overhead Sign Assemblies

The Design-Build Team shall provide overhead sign assemblies at the I-74 / US 220 interchange. At this interchange, overhead sign assemblies shall be required on the mainline and US 220.

Along US 220, the Design-Build Team shall design, fabricate and install advance guide signs and exit directional signs for the existing US 311 / US 220 and SR 1712 / US 220 interchanges on overhead sign assemblies provided by the Team.

The Design-Build Team shall design, fabricate and install overhead sign assemblies that meet all Department requirements. The windspeed for the overhead sign assembly designs shall be 90 mph. The Design-Build Team shall be responsible for calculating the windload area for the overhead sign assembly. The windload area shall be flush with the sign height and width. When calculating the windload area, the Design-Build Team shall include exit panels as part of the sign height. The Design-Build Team shall coordinate and include sign messages for future projects when designing and fabricating overhead sign assemblies.

The Design-Build Team shall be responsible for performing a structure analysis on existing overhead sign structure(s) that will be modified and obtain Department acceptance prior to construction.

When applicable, the Design-Build Team has the option to mount signs vertically centered on the horizontal member of the overhead structure or to locate the bottom edge of all signs on the assembly in a horizontal plane.

Lighting will not be required on overhead sign assemblies.

Reference *Guidelines for Preparation of Signing Plans for Design-Build Projects* and standard specifications for additional requirements including shop drawing design and submittals (overhead sign assembly specifications are available upon request).

Pedestal Overhead Sign Assemblies Option

On multi-lane facilities, the Design-Build Team has the option to design, fabricate and install pedestal overhead sign assemblies for advance guide signs as an alternative to cantilever overhead sign assemblies. Pedestal overhead sign assemblies shall not be allowed for signs with "EXIT ONLY" designations. Pedestal overhead sign assemblies shall have a 20-foot maximum offset from the edge of travel lane to the centerline of the support. The Design-Build Team shall install guardrail or other positive protection for the pedestal overhead sign support. Exit directional signing shall be mounted on cantilever overhead sign assemblies over the appropriate lane(s). The Design-Build Team shall clearly indicate in the Technical Proposal their intention to provide pedestal overhead sign assemblies.

Overhead Sign Supports

On freeway facilities, overhead sign supports shall be located 40 feet from the edge of the outside travel lane to the center of the sign support. If the 40-foot distance cannot be obtained, the overhead sign supports shall be located 20 feet from the edge of the outside travel lane and protected by guardrail or another approved positive protection barrier. Median supports shall be located in the center of the median and protected by guardrail or another positive protection barrier if required.

Overhead Sign Sheeting

The Design-Build Team shall design and fabricate overhead signs using Type IX reflective sheeting for the legends (text) and background.

Guardrail or Other Protection for Signs and Overhead Assemblies

The Design-Build Team shall be responsible for determining, designing and installing all protection for proposed and existing sign supports.

Signing Roadway Standards, Typical Sheets and Specifications

Roadway standards and typical sheets to be used in summarizing quantities, standard specifications, and compiling Type E and F signs can be located at the following website:

<http://www.ncdot.org/doh/preconstruct/traffic/congestion/SIGN/>

The Design-Build Team shall incorporate the appropriate information onto these sheets and submit them to the State Alternative Delivery Engineer for review and acceptance.

Removal and Disposal of Existing Signs

The Design-Build Team shall be responsible for determining those existing signs that will no longer be needed upon completion of the project, including but not limited to on -Y- lines and project tie-ins. The Design-Build Team shall be responsible for removal and disposal of these signs and supports. The Design-Build Team shall show and note these signs on the signing plan view sheets.

The Design-Build Team shall be responsible for removing and disposing of “All Traffic Exit” signs and supports, if required, in advance of the Cedar Square Road (SR 1928) interchange.

Along existing US 311, from the beginning of the project to the proposed interchange with existing US 311, the Design-Build Team shall remove and dispose of the existing US 311 F-assemblies.

Construction Revisions

After submittal of RFC Signing Plans, all construction revisions shall be submitted to the Department for review and acceptance prior to incorporation.

TRAFFIC CONTROL AND PAVEMENT MARKINGS SCOPE OF WORK (4/11/08)**I. Traffic Control Plans and Pavement Marking Plans****A. Design Parameters**

The Design-Build Team shall prepare the Traffic Control and Pavement Marking Plans for this project following the parameters listed below:

1. Maintain a minimum of two 11-foot lanes in each direction of existing US 311, US 311 Bypass and US 220, unless otherwise noted below. Maintain existing lane widths for all other roadways.
2. Traffic control devices when utilized, shall be located a minimum 2-foot offset (shy distance) from the edge of travel lane. Maintain existing shoulder widths when traffic control devices are not required.
3. Use of an approved temporary barrier system shall be shown in the Staging Concept and shall follow the requirements listed below.
 - Determine the distance the temporary barrier could deflect and provide the shoulder widths or distance behind the temporary barrier to the work area equal to or greater than the possible deflection distance. The minimum acceptable shoulder widths shall be the greater of the deflection distances determined by the Design-Build Team or the distances shown below:
 - When separating traffic, the minimum inside shoulder width for both directions of travel shall be 2' and the temporary barrier shall be anchored.
 - When using approved temporary barrier system on both sides of the roadway for more than 1000', the outside shoulder width shall be 8' minimum or 2' minimum if emergency pull off areas are provided every 5000'.
 - If the deflection distance as determined above can not be maintained, the temporary barrier shall be anchored in accordance with the NCDOT 2006 *Standard Specifications for Roads and*.
 - The Design-Build Team shall determine, and adhere to, the length of need, flare rate, clear zone and possible deflection of the proposed temporary barrier system.
 - The approved temporary barrier system shall be completely located on a paved surface.
4. The lowest allowable design speed for temporary alignments on secondary roads shall be the higher of 10 mph below the posted speed limit or 35 mph. Temporary design speeds for NC, US and Interstate routes shall be the current posted speed limit.
5. Roadway Standard Drawing 1101.11 shall be used for merge and shift tapers. All other temporary roadway designs shall follow the NCDOT Roadway Design Manual, 2004 AASHTO *A Policy on Geometric Design of Highways and Streets* and the most current Highway Capacity Manual.
6. Changes in superelevation rates shall be avoided within travel lanes. Superelevation rate changes shall not exceed 0.04 between edge lines of travel lanes.
7. Maintain access to all residents, schools, emergency services and businesses at all times, unless otherwise noted below.

8. Splitting of traffic in the same direction shall not be allowed, (i.e. separation by any type of barrier, bridge piers, existing median, etc.).
9. All road closures are subject to Department approval. The Design-Build Team shall be responsible for investigating all detour routes, including but not limited to, analyzing the traffic capacity, investigating impacts to emergency services and schools, as well as determining improvements required to accommodate the detoured traffic. Prior to utilizing a detour, the Design-Build Team shall be responsible for obtaining Department approval and installing improvements required to accommodate the detoured traffic. Proposed offsite detours shall not have non-signalized at-grade railroad crossings. The Technical Proposal shall list all proposed offsite detours, explaining their need and duration. Possible detour needs could include, but are not limited to, road closures due to substandard horizontal or vertical clearance limits, grade changes at tie-in locations and oversize and / or overweight limits.
 - Offsite detours shall not be utilized for construction of existing US 311, US 311 Bypass and US 220.
 - Offsite detours for Banner Whitehead Road (SR 1931), Branson Davis Road (SR 1944) and Walker Mill Road (SR 1936) shall not be operational at the same time.
 - Offsite detours for Plain Field Road (SR 1518) and Health Dairy Road (SR 1511) shall not be operational at the same time.
10. The Design-Build Team shall be required to provide access for wide-loads and oversized permitted vehicles utilizing roadways within the project limits. The Design-Build Team shall provide sufficient pavement structure within the clear widths noted below for vehicles to safely travel through the work zone.
 - For annual permitted vehicles, a minimum clear width of 18' shall be required for all roadways, with the exception of existing US 311, US 311 Bypass and US 220.
 - For existing US 311, US 311 Bypass and US 220, a minimum clear width of 20' shall be maintained for single use permitted wide-loads up to 16' wide.
 - The Design-Build Team shall be responsible for maintaining required vertical clearances on all roadways.
11. At a minimum, one CMS board shall be required per direction when construction activities impact traffic on existing US 311, US 311 Bypass and / or US 220. Depending on the impact to traffic the CMS board(s) may need to be in continuous operation until the construction activity impacting traffic is complete. CMS boards shall also be required to provide information on alternate routes, when lane closures are utilized and for all other construction activities that adversely impact the traveling public. All messages displayed on the CMS boards shall be included in the Traffic Control Plans and approved by the Department prior to incorporation.
12. Proposed Service Roads shall be completed and open to traffic prior to closing the corresponding -Y- Line access to existing US 311. The Design-Build Team shall include all -Y- Line closures in the traffic control phasing for review and acceptance by the Department prior to closing.

B. Traffic Control and Final Pavement Marking Plan requirements:

On July 12, 2007, the NCDOT Board of Transportation approved the Department's Work Zone Safety and Mobility Policy. This policy addresses the 2004 Federal Highway Administration's Work Zone Safety and Mobility Rule 23 CFR 630, subpart J requirements. Specifically, all projects require a Traffic Management Plan, which at a minimum requires a Traffic Control Plan, and may also require transportation operation and public information to be addressed. This Scope of Work addresses the Traffic Control Plan requirements; and in conjunction with the Public Information Scope of Work, addresses the aforementioned additional requirements.

The Design-Build Team shall develop Traffic Control and Pavement Marking Plans that maintain all types of traffic as defined by *the Manual for Uniform Traffic Control Devices*, including but not limited to pedestrians, bicyclists, motor vehicles, commercial trucking, wide loads and oversized loads. The Traffic Control and Pavement Marking Plans developed by the Design-Build Team shall be ADA compliant.

The Staging Concept and Preliminary Pavement Marking Plans shall meet the RFP requirements before the first phase submittal can be submitted. Construction shall not begin until the first phase submittal meets the requirements of the RFP. Construction shall not begin on subsequent phase submittals until they meet the requirements of the RFP. All submittals shall follow the 2006 Roadway Standard Drawings, NCDOT 2006 *Standard Specifications for Roads and Structures*, the *Guidelines for Preparation of Traffic Control and Pavement Marking Plans for Design-Build Projects* and the *Manual for Uniform Traffic Control Devices*.

The Design-Build Team shall select a Private Engineering Firm (PEF) that has experience designing and sealing Traffic Control and Pavement Marking Plans for the North Carolina Department of Transportation (NCDOT) on comparable projects. The Design-Build Team shall list projects in the Technical Proposal, including description and similarity to the subject project that the PEF developed.

The Work Zone Traffic Control web site contains useful information that may be needed for the design of the Traffic Control Plans and Pavement Marking Plans.

<http://www.ncdot.org/doh/preconstruct/wztc/>

The Final Pavement Marking Plans shall address any required modifications to existing pavement markings located outside the project limits to ensure appropriate tie-ins. The Design-Build Team shall be responsible for installing all pavement markings and markers located within and outside the project limits, resulting from the project construction.

II. Project Operations Requirements

The following are Time Restrictions and notes that shall be included with the Traffic Control Plans General Notes unless noted otherwise elsewhere in this RFP:

A. Time Restrictions

1. Intermediate Contract Time #1 and #2 for Lane Narrowing, Closure, Holiday and Special Event Restrictions.

As a minimum, the Design-Build Team shall maintain existing traffic patterns and shall not close or narrow a lane during the times below. When traffic is placed into the final pattern for any roadway, that will become the minimal traffic pattern and the following time restrictions shall still apply.

Road Name	Time Restrictions
Existing US 311, US 311 Bypass and US 220	Monday to Friday - 7:00 a.m. to 9:00 a.m.
	Monday to Friday - 4:00 p.m. to 6:00 p.m.

The Design-Build Team shall not install or remove any traffic control device required for narrowing or closing a lane during the times listed above.

In addition to the lane narrowing and closure restrictions stated above for existing US 311, US 311 Bypass and US 220, during holidays, holiday weekends, special events, or any other time when traffic is unusually heavy on the roadways listed herein, the Design-Build Team shall not close or narrow a lane of traffic, detain the traffic flow or alter the traffic flow on the aforementioned facilities. As a minimum, these requirements / restrictions apply to the following schedules:

- (a) For New Year's between the hours of 7:00 a.m. December 31st to 8:00 p.m. January 3rd. If New Year's Day is on a Friday, Saturday or a Sunday, then from 7:00 a.m. the Friday before New Year's Day to 8:00 p.m. the following Tuesday.
- (b) For Easter, between the hours of 7:00 a.m. the Friday before Easter and 8:00 p.m. the Tuesday after Easter.
- (c) For Memorial Day, between the hours of 7:00 a.m. the Friday before Memorial Day to 8:00 p.m. the Wednesday after Memorial Day.
- (d) For Independence Day, between the hours of 7:00 a.m. July 3rd and 8:00 p.m. July 6th. If Independence Day is on a Friday, Saturday or Sunday, between the hours of 7:00 a.m. the Thursday before Independence Day and 8:00 p.m. the Tuesday after Independence Day.
- (e) For Labor Day, between the hours of 7:00 a.m. the Friday before Labor Day to 8:00 p.m. the Wednesday after Labor Day.

- (f) For Thanksgiving, between the hours of 7:00 a.m. the Tuesday before Thanksgiving to 8:00 p.m. the Tuesday of the following week.
- (g) For Christmas, between the hours of 7:00 a.m. the Friday before the week of Christmas Day and 8:00 p.m. the following Tuesday after the week of Christmas Day.
- (h) For events at the High Point Furniture Mart, between the hours of 4:00 p.m. the day before the event begins and 9:00 a.m. the day after the event ends.

Liquidated Damages for Intermediate Contract Time #1 for the above lane narrowing, lane closure, holiday and special event time restrictions for US 220 are \$2,000.00 per hour or any portion thereof.

Liquidated Damages for Intermediate Contract Time #2 for the above lane narrowing, lane closure, holiday and special event time restrictions for existing US 311 and US 311 Bypass are \$1,000.00 per hour or any portion thereof.

2. Intermediate Contract Time #3 and #4 for Road Closure Restrictions for Construction Operations.

As a minimum, the Design-Build Team shall maintain the existing traffic pattern for all roadways and follow the road closure restrictions listed below. When a road closure is used, the Design-Build Team shall reopen the travel lanes by the end of the road closure duration to allow the traffic queue to deplete before re-closing the roadway.

- (a) The Design-Build Team shall not close US 220 during the times noted below. Closure of US 220 shall only be allowed for the operations listed in this intermediate contract time restriction.

Road Name	Time Restrictions
US 220	Sunday to Saturday - 6:00 a.m. to 10:00 p.m.

- (b) The Design-Build Team shall not close existing US 311 or US 311 Bypass during the times noted below. Closure of existing US 311 and US 311 Bypass shall only be allowed for the operations listed in this intermediate contract time restriction.

Road Name	Time Restrictions
Existing US 311 and US 311 Bypass	Sunday to Saturday - 6:00 a.m. to 9:00 p.m.

Maximum road closure duration of **30 minutes** shall be allowed for the roadways listed in this ICT for the following operations:

- Traffic shifts, to complete tie-in work and placement of pavement markings
- Tie-in work for -L- and / or -Y- Lines, unless an approved detour route is operational
- Signal pole installation and cable installation required across travel lanes
- Girder installation or removal of existing girders
- Installation of overhead sign assemblies

Proposed road closures for any road within the project limits shall be approved by the Engineer prior to incorporation in the Traffic Control Plans.

Liquidated Damages for Intermediate Contract Time #3 for the above road closure time restrictions for US 220 are \$500.00 per 15-minute period or any portion thereof.

Liquidated Damages for Intermediate Contract Time #4 for the above road closure time restrictions for existing US 311 and US 311 Bypass are \$250.00 per 15-minute period or any portion thereof.

3. Intermediate Contract Time #5 for road closures to construct portions of the proposed US 311 Bypass.

This Intermediate Contract Time will allow the Design-Build Team the option to complete some work using approved offsite detours limited to **one (1) closure for each roadway listed below**. For proposed tie-in work and / or -L- Line construction over a -Y- Line, **the maximum closure duration shall be 7 consecutive calendar days**. For -Y- Line construction over the -L- Line, **the maximum closure duration shall be 210 consecutive calendar days**. These road closure restrictions apply to the following:

- Banner Whitehead Road (SR 1931)
- Branson Davis Road (SR 1944)
- Walker Mill Road (SR 1936)
- Plain Field Road (SR 1518)
- Health Dairy Road (SR 1511)

Closure limits of a roadway shall be minimized to include the proposed construction area only and must maintain traffic to all local property owners within the closure limits at all times.

Proposed road closures for any road within the project limits shall be approved by the Engineer prior to incorporation in the Traffic Control Plans.

The Design-Build Team may propose shorter closure durations than those noted above. The Design-Build Team shall note all proposed closures and durations in the Technical Proposal.

Liquidated Damages for Intermediate Contract Time #5 for the above road closure time restrictions for Banner Whitehead Road (SR 1931), Branson Davis Road (SR 1944), Walker Mill Road (SR 1936), Plain Field Road (SR 1518) and Health Dairy Road (SR 1511) are \$500.00 per calendar day or any portion thereof.

4. Hauling Restrictions

The Design-Build Team shall adhere to the hauling restrictions noted in the NCDOT 2006 *NCDOT Standard Specifications for Roads and Structures*.

The Design-Build Team shall not conduct any hauling operations against the flow of traffic of an open travelway unless an approved temporary traffic barrier or guardrail protects the work area.

Except at an intersection or ramp, hauling vehicles shall not leave or enter an open travel lane of a partial or full control of access facility at less than 10 mph below the posted speed limit. At all other locations and facilities, hauling vehicles shall adhere to traffic laws and signs. All entrances and exits for hauling to the work zone shall follow the Roadway Standard Drawings.

The Design-Build Team shall include details in the Traffic Control Plans on how hauling will be conducted. Additional traffic control devices shall be required when hauling occurs across roadways.

B. Lane and Shoulder Closure Requirements

The Design-Build Team shall not install more than 2.0 miles of lane closures on any roadway within the project limits, measured from the beginning of the merge taper to the end of the lane closure.

Within the project limits, the Design-Build Team shall not install more than one lane closure, in any one direction, on any roadway. **On two-lane, two-way roadways, a lane closure may be installed in opposing directions (maximum of one in each direction) as long as a minimum distance of four miles is maintained between the lane closure limits. For divided facilities, lane closures in opposing directions do not require the aforementioned separation.**

The Design-Build Team shall remove lane closure devices from the lane when work is not being performed behind the lane closure or when a lane closure is no longer needed.

When personnel and / or equipment are working within 40 feet of an open travel lane, the Design-Build Team shall close the nearest open shoulder using Roadway Standard

Drawing No. 1101.04, unless the work area is protected by an approved temporary traffic barrier or guardrail.

When personnel and / or equipment are working on the shoulder adjacent to an undivided facility and within 5 feet of an open travel lane, the Design-Build Team shall close the nearest open travel lane using Roadway Standard Drawing No. 1101.02, unless the work area is protected by an approved temporary traffic barrier or guardrail.

When personnel and / or equipment are working on the shoulder adjacent to a divided facility and within 10 feet of an open travel lane, the Design-Build Team shall close the nearest open travel lane using Roadway Standard Drawing No. 1101.02, unless the work area is protected by an approved temporary traffic barrier or guardrail.

When personnel and / or equipment are working within a lane of travel of an undivided or divided facility, the Design-Build Team shall close the lane using the appropriate roadway standard drawing from the NCDOT July 2006 Roadway Standard Drawings. The Design-Build Team shall conduct the work so that all personnel and / or equipment remain within the closed travel lane.

The Design-Build Team shall not perform work involving heavy equipment within 15 feet of the edge of travelway when work is being performed behind a lane closure on the opposite side of the travelway.

C. Pavement Edge Drop off Requirements

In areas as defined below, the Design-Build Team shall backfill at a 6:1 slope up to the edge and elevation of the existing pavement using an acceptable material.

Elevation differences that exceed 2 inches on roadways with posted speed limits of 45 mph or greater and a paved shoulder that is less than four feet wide.

Elevation differences that exceed 3 inches on roadways with posted speed limits less than 45 mph and a paved shoulder that is wider than four feet.

Elevation differences that exceed 6 inches on all roadways with posted speed limits of 45 mph or greater and a paved shoulder that is wider than four feet.

Do not exceed a difference of 1.5 inches in elevation between open lanes of traffic. Install advance warning “UNEVEN LANES” signs (W8-11) 500 feet in advance.

Or

Do not exceed a difference of 2.0 inches in elevation between open lanes of traffic. If the difference between open lanes is between 1.5 inches and 2.0 inches, provide a 1:1 slope at edge of pavement separating the lanes of travel. Install advance warning “UNEVEN

LANES” signs (W8-11) 500 feet in advance and a minimum of once every ½-mile throughout the uneven area.

Ensure that all areas have proper temporary drainage.

D. Traffic Pattern Alterations

The Design-Build Team shall notify the Engineer in writing twenty-one (21) calendar days prior to any traffic pattern alteration. See the Public Information Scope of Work for providing information to the public.

E. Signing

The Design-Build Team shall install advance work zone warning signs when work is within 100 feet from the edge of travel lane and no more than three days prior to the beginning of construction.

When no work is being conducted for a period longer than one week, the Design-Build Team shall remove or cover all advance work zone warning signs, as directed by the Engineer, at no cost to the Department.

All detour signing shall be the responsibility of the Design-Build Team. The Design-Build Team shall cover or remove all detour signs within and off the project limits when a detour is not in operation.

The Design-Build Team shall ensure all necessary signing is in place prior to altering any traffic pattern.

The Design-Build Team shall maintain all Guide Signs throughout the life of the project, and remove any Guide Signs when the signs are no longer applicable.

F. Traffic Barrier

The Department will not provide any moveable barrier or transfer vehicles for this project. The Design-Build Team shall adhere to the following requirements.

Install an approved temporary traffic barrier system a maximum of two (2) weeks prior to beginning work in any location. Once the approved temporary traffic barrier system is installed at any location, proceed in a continuous manner to complete the proposed work in that location.

Once the approved temporary traffic barrier system is installed and no work has been performed behind the approved temporary traffic barrier system for a period longer than two (2) months, remove / reset the approved temporary traffic barrier system unless the barrier is protecting a hazard.

Protect the approach end of the approved temporary traffic barrier system at all times during the installation and removal of the barrier. If the system requires installation of a temporary crash cushion, a truck mounted impact attenuator can be used for a maximum of 72 hours until the temporary crash cushion can be installed.

Offset the approach end of the approved temporary traffic barrier system a minimum of 40 feet from oncoming traffic or protect at all times by a temporary crash cushion if the approved temporary traffic barrier system requires a temporary crash cushion.

Install approved temporary traffic barrier system with the traffic flow, beginning with the upstream side of traffic. Remove the approved temporary traffic barrier system against the traffic flow, beginning with the downstream side of traffic.

In tangent sections, to close or keep closed the section of the roadway until the approved temporary traffic barrier system can be placed or after the approved temporary barrier system has been removed, drums shall not exceed a distance in feet equal to twice the posted speed limit.

If installed along the right side of an acceleration ramp / loop, the approved temporary traffic barrier system shall be located a minimum of 200' from the end of the pavement marking taper to the beginning of the barrier taper.

The Design-Build Team shall be responsible for providing a safe area (lateral offset behind barrier to work area) behind the approved temporary barrier system in accordance with the NCHRP-350 deflections from crash testing. If the safe area can not be maintained, an anchored barrier system shall be required.

The Design-Build Team shall be responsible for determining how the temporary barrier system will connect to the existing bridge rail and include this information in the appropriate plans.

G. Traffic Control Devices

Use traffic control devices that conform to all NCDOT requirements and are listed on the NCDOT's Approved Products List as shown on NCDOT's Work Zone Traffic Control website. Use of devices not shown on the Approved Product List shall require approval from the State Alternative Delivery Engineer.

In tangent sections, channelizing device spacing shall not exceed a distance in feet equal to twice the posted speed limit. At intersection and driveway radii, channelization devices shall be spaced 10 feet on-center and 3 feet off the edge of an open travelway, when lane closures are not in effect.

Place Type III barricades, with "ROAD CLOSED" signs (R11-2) attached, of sufficient length to close entire roadway. Stagger or overlap barricades to allow for ingress or egress.

Place sets of three drums perpendicular to the edge of the travelway on 500-foot centers when unopened lanes are closed to traffic. These drums shall be in addition to channelizing devices.

H. Pavement Markings, Markers and Delineation

Placement of final pavement markings and markers shall proceed only when the Final Pavement Marking Plans meet the requirements of the RFP and the *Guidelines for Preparation of Traffic Control and Pavement Marking Plans for Design-Build Projects*.

The Design-Build Team shall use pavement marking and marker products that conform to all NCDOT’s requirements and specifications, as listed on the NCDOT’s Approved Products List located on the NCDOT’s Work Zone Traffic Control website. (Note not required in the General Notes sheet for the Traffic Control plan)

The Design-Build Team shall install pavement markings and markers in accordance with the NCDOT 2006 *Standard Specifications for Roads and Structures*, and in accordance with the manufacturer’s procedures and specifications. (Note not required in the General Notes sheet for the Traffic Control plan)

The Design-Build Team shall install pavement markings and pavement markers on the final surface as follows:

Road	Marking	Marker
-L- Line and Ramps	Polyurea with standard beads	See note below
-Y- Lines and Service Roads	Polyurea with standard beads or Thermoplastic	See note below
Concrete surfaces and bridge deck surfaces	Polyurea with standard beads or Cold Applied Plastic (Type I)	See note below

Note - Snowplowable markers shall be installed on existing US 311, US 311 Bypass and US 220. For all other roadways, provide the type of marker that matches what is currently installed. Permanent raised markers shall be required on all bridge decks.

All Full Control of Access interstate facilities and US routes require 50% wider markings, i.e., lane lines, edge lines and skips shall be 6”.

The Design-Build Team shall install temporary pavement markings and temporary pavement markers on the interim surface or temporary pattern as follows:

Road	Marking	Marker
All Roads and Existing Structures.	Minimum of Paint	Raised Temporary
Proposed Structures	Cold Applied Plastic (Type IV)	Raised Temporary

When using Cold Applied Plastic (Type IV) pavement markings, place temporary raised markers half on and half off edgelines and centerlines to help secure the tape to the roadway. Markers shall be spaced the appropriate distance apart as described by Roadway Standard Drawing 1250.01, Sheet 1 of 3.

Prior to opening a roadway to traffic on facilities that the installation of a proposed monolithic island has not occurred, outline the location of the proposed monolithic island with the proper color pavement marking.

Place at least two applications of paint on the final wearing surface on new pavement. Place additional applications of paint upon sufficient drying time, as determined by the Engineer.

Place at least two applications of paint for temporary traffic patterns that will remain in place over three (3) months. Place additional applications of paint upon sufficient drying time, as determined by the Engineer.

Tie proposed pavement marking lines to existing pavement marking lines.

Replace any pavement markings that have been damaged by the end of each day's operation.

Remove any conflicting markings or markers before shifting traffic to a new pattern.

Removal of the temporary pavement markings shall be accomplished by using water blasting, sand blasting, shot blasting systems or other approved systems to minimize damage to the road surface. All systems shall be required to remove 100% of the pavement marking without removing more than 1/32 inch of the pavement surface.

I. Temporary / Final Signals

Traffic signals are not anticipated.

J. Miscellaneous

Provide portable temporary lighting to conduct night work in accordance with the NCDOT 2006 *Standard Specifications for Roads and Structures*.

Police may be used to maintain traffic through intersections. The Design-Build Team shall be responsible for coordinating with the law enforcement agency if they will be

used. The Staging Concept shall address when police will be used, where they will be used, duration and why. Utilize Officers who are outfitted with law enforcement uniforms and marked vehicles, which are equipped with proper lights mounted on top of the vehicle and agency emblems.

Coordinate with the NCDOT Resident Engineer in charge of any project in the vicinity of this project for any work that may affect the construction and the Traffic Control of this project.

The Design-Build Team shall not anticipate a speed reduction or \$250 speeding penalty ordinance for this project. Guidelines for speed reduction and \$250 speeding penalty ordinances are located on the Work Zone Traffic Control website. If the guidelines justify the need for either ordinance, an engineering study will need to be performed by an NCDOT Regional Traffic Engineer and the Ordinance signed by the NCDOT State Traffic Engineer. Submit request for the engineering study to be performed for the speed reduction and / or the \$250 speeding penalty ordinance to the NCDOT State Alternate Delivery Engineer and allow 6 weeks to complete the study and provide ordinance(s) if approved. (Note not required in the General Notes sheet for the Traffic Control plan)

Temporary Shoring for the Maintenance of Traffic may be required, and estimated locations where temporary shoring will be anticipated shall be identified in the Staging Concept. The Work Zone Traffic Control Unit has a detail providing design information on where temporary traffic barrier shall be located in relation to the shoring and traffic location. The Geotechnical Engineering Unit website has more information on temporary shoring. (Notes related to Temporary Shoring are not required in the General Notes sheet for the Traffic Control plan)

<http://www.ncdot.org/doh/preconstruct/highway/geotech/formdet/standards.html>

The Design-Build Team shall adhere to the additional shoring requirements located on the Work Zone Traffic Control Unit and Geotechnical Engineering Unit websites.

The Design-Build Team shall identify on the appropriate Traffic Control Detail where temporary shoring will be used by providing station limits, offsets, the type of shoring and where temporary traffic barrier will be located if needed.

UTILITIES COORDINATION SCOPE OF WORK (11-30-07)**• Overview**

The Design-Build Team shall obtain the services of a Private Engineering Firm (PEF) knowledgeable in the NCDOT Utility Coordination Process, involved with utility relocation / installation and highway construction. The Design-Build Team shall be responsible for coordinating all utility relocations. Coordination shall include any necessary utility agreements when applicable. The NCDOT will be responsible for non-betterment utility relocation cost when the utility company has prior rights of way / compensable interest. The utility company shall be responsible for the relocation costs if they can not furnish evidence of prior rights of way or a compensable interest in their facilities. The Design-Build Team shall be responsible for determining the cost responsibility for the utility relocations. The Design-Build Team shall be responsible for all costs associated with utility relocations due to haul roads and / or any other temporary conditions resulting from the Design-Build Team's methods of operation or sequence of work. NCDOT will be the approving authority for all utility agreements and approval of plans.

• Preparation for relocating utilities within the existing or proposed highway Rights of Way

I. The Design-Build Team shall be required to use the guidelines as set forth in the following:

- (A) *NCDOT Utility Manual - Policies & Procedures for Accommodating Utilities on Highway Rights of Way*
- (B) *Federal Aid Policy Guide- Subchapter G, Part 645, Subparts A & B*
- (C) *Federal Highway Administration's Program Guide, Utility Adjustments & Accommodations on Federal Aid Highway Projects*
- (D) *NCDOT Construction Manual Section 105-8*
- (E) *NCDOT Right of Way Manual - Chapter 16 Utility Relocations*
- (F) *NCDENR Public Water Supply - Rules governing public water supply*
- (G) *NCDENR Division of Water Quality - Title 15A - Environment and Natural Resources*

II. The Design-Build Team shall be responsible for confirming the utility locations, confirming the type of facilities, identifying the utility owners and determining the cost responsibilities in order to coordinate the relocation of any utilities in conflict with the project.

- **Arrangements for Protection or Adjustments to Existing Utilities**

- I.** The Design-Build Team shall make the necessary arrangements with the utility owners for adjustments, relocations or removals where the Design-Build Team and Utility Company, with concurrence from the Department, determine that such work is essential for highway safety and performance of the required construction. The Design-Build Team shall not commence work at points where the highway construction operations are adjacent to utility facilities, until making arrangements with the utility company to protect against damage that might result in expense, loss, disruption of service or other undue inconvenience to the public or utility owner. The Design-Build Team shall be responsible for damage to the existing or relocated utilities resulting from his operations. In the event of interruption of any utilities by the project construction, the Design-Build Team shall promptly notify the proper authority (Utility Company) and cooperate with the authority in the prompt restoration of service.

The Design-Build Team shall accommodate utility adjustments, reconstruction, new installation and routine maintenance work that may be underway or take place during the progress of the contract.

- II.** In the event of a utility conflict, the Design-Build Team shall request that the utility company submit relocation plans (Highway Construction Plans to be provided by the Design-Build Team to Utility Owners) that show existing utilities and proposed utility relocations for approval by the NCDOT.

The Design-Build Team shall be required to submit (3) three copies of the Utility Relocation Plans to the NCDOT State Utility Agent, via the State Alternative Delivery Engineer, for review and approval prior to relocation work beginning. If the Design-Build Team determines the cost to be borne by NCDOT, then the Design-Build Team shall be required to submit three (3) copies of a detailed utility relocation estimate and copies of verification of compensable interest. The Design-Build Team shall also be responsible for submitting the appropriate agreements to be used with the Utility Relocation Plans (See Agreements under line items V and VI). After the review process is complete, the NCDOT Utility Unit will submit one (1) copy of the Utility Relocation Plans, executed agreements and any necessary comments back to the Design-Build Team. The NCDOT Utility Unit will also submit a copy of the approved Utility Relocation Plans to the Department's Resident Engineer. If the Utility Relocation Plans are approved subject to changes, it shall be the Design-Build Team's responsibility to coordinate these changes with the appropriate utility company.

- III.** The cost for non-betterment utility relocation due to the highway construction will be the responsibility of NCDOT when the utility company has prior rights of way / compensable interest. As stated in the overview, the Design-Build Team shall be responsible for determining cost responsibility / compensable interest. A compensable interest is identified as follows:

- (A) Existing or prior easement rights within the limits of the project, either by recorded right of way or adverse possession (Utility occupying the same location for twenty (20) plus years outside the existing highway rights of way).
- (B) Entities covered under *General Statute 136-27.1 and 136-27.2*. Statute requires the NCDOT to pay the non-betterment cost for certain water, sewer and gas relocations.

The cost in relocating CATV due to the highway construction shall be the responsibility of the CATV Company; however, under the following conditions the NCDOT will bear the relocation expense:

- (A) If the CATV Company can validate a recorded easement for facilities outside the maintained NCDOT rights of way.
- (B) The adjustment is needed on existing utility poles to accommodate for a proposed NCDOT Traffic Management System Fiber Optic Communication Cable Project.

The NCDOT will not permit CATV to place poles within the highway rights of way but will allow down guys for their facilities within the highway rights of way. Under most circumstances, the CATV Company will continue a joint-use attachment with the local Power and Telephone Company. If the CATV proposed relocation places buried facilities within the highway rights of way then plans and encroachment agreements shall be required by the NCDOT.

- IV.** If the Design-Build Team elects to make arrangements with a utility company to incorporate a new utility installation or relocation as part of the highway construction, the utility work done by the Design-Build Team and the associated costs for the work shall be negotiated and agreed upon between the Design-Build Team and the utility company.

If the Design-Build Team's design and / or construction requires the relocation of existing water or sewer facilities, designs shall be coordinated with the NCDOT Utility Unit. The costs for all engineering charges associated with the design for relocation of these existing water and / or sewer facilities shall be the responsibility of the Design-Build Team. The Design-Build Team shall develop designs; prepare all plans for needed agreements and permits; submit permits directly to the agencies and obtain approval from the agencies. The Design-Build Team shall be responsible for all permit fees.

The Design-Build Team shall make arrangements to relocate water or sewer line facilities in which the entities are covered under *General Statute 136-27.1* or occupying a compensable interest. The non-betterment costs associated with this work will be borne by NCDOT and shall be addressed in accordance with Article 104-7 of the Standard Special Provisions, Division One, contained elsewhere in this RFP.

If total property acquisition is unavoidable due to encroachment into wells and / or septic systems, then the Design-Build Team shall investigate and determine if extending water

and / or sewer lines to the affected property is cost effective. If the Department concurs with the determination that a utility extension is cost effective, the costs associated with the utility construction shall be addressed in accordance with Article 104-7 of the Standard Specifications.

If the Design-Build Team is requested, in writing, by an entity to relocate facilities not impacted by the project's construction, upgrade or incorporate new water and sewer facilities as part of the highway construction, designs shall be coordinated with the Utility Owner and NCDOT Utility Unit. The associated design and construction costs shall be negotiated and agreed upon between the Design-Build Team and the utility company. The Design-Build Team shall develop designs; prepare all plans for needed agreements and permits; submit permits directly to the agencies and obtain approval from the agencies. The Design-Build Team shall be responsible for all permit fees.

If the Design-Build Team elects to make arrangements with a Governmental Agency or any other utility owner for proposed utility construction, in which the Agency / Utility Owner shall be responsible for the costs of work to be performed by the Design-Build Team, the Design-Build Team shall be responsible for negotiating all costs associated with the proposed construction. Once the Design-Build Team and the Agency / Utility Owner agree on a plan and a lump sum estimated cost for the utility construction, the Design-Build Team shall be responsible for submitting five (5) sets of 11 x 17 utility construction drawings to the State Utility Agent, via the State Alternative Delivery Engineer, for further handling. Each set shall include a title sheet, plan sheets, profiles and special provisions if required. Also, a letter from the Agency / Utility Owner agreeing to the plans and lump sum cost must accompany this package. The NCDOT will reimburse the Design-Build Team the estimated lump sum cost under a Supplemental Agreement. The necessary Utility Agreement to the Agency / Utility Owner for reimbursement shall be a two party agreement between the NCDOT and the Agency / Utility Owner; and will be developed and executed by the Department.

- V. The Design-Build Team shall be required to utilize the NCDOT Standard Utility Encroachment Agreements as necessary in relocating utilities. The Encroachment Agreements shall be used under the following conditions:
- (A) If a utility company is not occupying a valid right of way / compensable interest and the proposed relocation will place the relocated utilities within the existing or proposed highway rights of way.
 - (B) For **all** new utility installations within the existing or proposed highway rights of way. This includes all water, sewer and gas lines owned by entities covered under *General Statute 136-27.1 and 136-27.2*.
- VI. The NCDOT State Utility Agent must execute approved agreements on Design-Build highway projects. The Utility Relocation Agreements (Cost Agreement) and encroachment agreements are available from the NCDOT Utility Unit. See Pages 59 and 60 of the *NCDOT Utility Manual on Policies & Procedures for Accommodating Utilities*

on *Highway Rights of Way* for the different types of encroachment agreements available for use.

- **Requirements for attachments to existing and / or proposed structures**

- I. The Design-Build Team shall avoid attachments to structures where feasible. Attachments shall only be considered when other alternatives are cost prohibitive and / or are not feasible due to environmental or geographical features. Attachments shall be prohibited under the following conditions:
 - (A) Unless noted otherwise elsewhere in this RFP, no attachments shall be allowed to a bridge located parallel within the C/A carrying the freeway over streams, other roadways or railroads. (No parallel utility installations within the C/A)
 - (B) Unless noted otherwise elsewhere in this RFP, no attachments shall be allowed to cored-slab bridges.
 - (C) Unless noted otherwise elsewhere in this RFP, no attachments shall be allowed to curved bridges.
- II. Attachments to structures, if allowed, shall meet the following criteria:
 - (A) No attachments shall be allowed below the bottom of the beams and / or girders.
 - (B) Drilling of, or attachments to, beams and / or girders shall not be allowed. Attachments shall only be allowed to the bottom of the bridge deck.
 - (C) For water and sewer force mains, only restrained joint ductile iron pipe shall be allowed.
 - (D) A minimum of 18” of clearance to beams and / or girders shall be maintained if possible.
- III. Documentation of adverse conditions or cost estimates of all feasible alternatives shall be submitted to the NCDOT State Utility Agent, via the State Alternative Delivery Engineer, when seeking approval of a structure attachment. Cost estimates shall consider all costs involved with each alternative and impacts to the utility and the highway project as a whole.

RIGHT OF WAY SCOPE OF WORK (10-05-07)

The Design-Build Team shall employ qualified, competent personnel who are currently **approved by the NCDOT Right of Way Branch**, herein after referred to as the Department, to provide all services necessary to perform all appraisal, appraisal review, negotiation and relocation services required for completion of the project in accordance with G.S. 136-28.1 of the General Statutes of North Carolina, as amended, and in accordance with the requirements set forth in the *Uniform Appraisal Standards and General Legal Principles for Highway Right of Way*, the *North Carolina Department of Transportation's Right of Way Manual*, the *North Carolina Department of Transportation's Rules and Regulations for the Use of Right of Way Consultants*, the *Code of Federal Regulations*, and *Chapter 133 of the General Statutes of North Carolina from Section 133-5 through 133-18*, hereby incorporated by reference, including the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended. For a list of firms currently approved, the Design-Build Team should contact Mr. Neal Strickland, in the NCDOT Right-of-Way Branch, at 919-733-7932, extension 317. The Design-Build Team shall perform the services as set forth herein and furnish and deliver to the Department reports accompanied by all documents necessary for the settlement of claims and the recordation of deeds, or necessary for condemnation proceedings covering said properties. The Design-Build Team, acting as an agent on behalf of the State of North Carolina shall provide right of way acquisition services for TIP R-2606B in Randolph County.

The Design-Build Team shall complete appraisals affected by the potential on-site mitigation sites a minimum of twelve weeks prior to the Concurrence Point 4B Meeting. These appraisals shall detail the differential costs for the right of way necessary to construct the project versus that needed for the various on-site mitigation sites (reference the On-Site Mitigation Scope of Work).

If removal of contaminated material is the responsibility of the Department (reference the GeoEnvironmental Scope of Work), the Design-Build Team shall make every effort to purchase the required right of way / easement as early as possible.

The Design-Build Team shall carry out the responsibilities as follows:

- With respect to the payments, costs and fees associated with the acquisition of right of way in this contract, the Department shall be responsible for only direct payments to property owners for negotiated settlements, recording fees, any relocation benefits, and deposits and fees involved in the filing of condemnation and any claims. The Department shall assume responsibility for all costs associated with the litigation of condemned claims, including testimony by the appraiser(s). The Design-Build Team shall be responsible for all other acquisition related payments, costs and fees.
- A Department representative will be available to provide technical guidance on right of way acquisition procedures and to make timely decisions on approving relocation benefits and approving administrative adjustment settlements on behalf of the Department over and above the authority granted to the Department Right of Way Consultant Project Managers.

- The Design-Build Team shall submit a right of way project tracking report and right of way quality control plan to the Department. The Department standard forms and documents shall be used to the extent possible.
- The Design-Build Team shall provide a current title certificate for each parcel as of the date of closing or the date of filing of condemnation, unless required otherwise in the Department's Right of Way Manual.
- The following shall be required:
 - The Design-Build Team shall prepare, execute and record documents conveying title to acquired properties to the Department with the Register of Deeds.
 - The Design-Build Team shall deliver all executed and recorded deeds and easements to the Department.
 - For all property purchased in conjunction with the project, title shall be acquired in fee simple or easement and shall be conveyed to “The North Carolina Department of Transportation”, free and clear of all liens and encumbrances except permitted encumbrances.
- It is understood and agreed by and between the parties hereto that all reports, surveys, studies, specifications, memoranda, estimates, etc., secured by and for the Design-Build Team shall become and remain the sole property of the Department upon termination or completion of the work, and the Department shall have the right to use same for any public purpose without compensation to the Design-Build Team.
- The Design-Build Team shall prepare appraisals in accordance with the Department's *Uniform Appraisal Standards and General Legal Principles for Highway Right of Way Acquisitions*. The Design-Build Team's appraiser shall be on the Department's approved state certified appraiser list. The Design-Build Team may request its state certified appraiser be added to the approved state certified appraiser list, subject to approval by the Department's State Appraiser.
- The Design-Build Team shall provide appraisal reviews complying with The Department's *Uniform Appraisal Standards and General Legal Principles for Highway Right of Way Acquisitions*. The reviewer shall determine that the appraisal meets the Department's guidelines and requirements, conforms to acceptable appraisal standards and techniques, does not include any non-compensible items or exclude any compensible items and that the value conclusions are reasonable and based on facts presented in the appraisal. The reviewer has the authority to approve, adjust, request additional data or corrections, or not to recommend and request another appraisal. The reviewer has the authority to approve appraisals not in excess of \$750,000.00. All appraisals showing compensation in excess of \$750,000.00 are referred to the Department's State Appraiser for approval, with the written recommendation of the reviewer. The Design-Build Team's reviewer shall be on the Department's approved state certified reviewer appraiser list. The Design-Build Team may

request its state certified review appraiser to be added to the approved state certified reviewer appraiser list, subject to approval by the Department's State Appraiser.

- The Design-Build Team shall provide a right of way certification prior to entering the property.

EROSION AND SEDIMENTATION CONTROL SCOPE OF WORK (4-16-08)

The NCDOT REU shall review and accept all Erosion and Sedimentation Control Plans. Clearing & Grubbing and Final Grade Release for Construction (RFC) Erosion Control Plans shall be submitted to all NCDOT Personnel listed in the Design-Build Submittal Guidelines before **any** land disturbing activities, including clearing and grubbing, can commence. If the Design-Build Team chooses to perform the work in discrete sections, then a complete set of Clearing & Grubbing and Final Grade RFC Erosion Control Plans shall be submitted, accepted and distributed as noted above prior to land disturbing activities, including clearing and grubbing, commencing in that section. No land disturbing activities, including clearing and grubbing, shall occur in any location that does not have accepted Clearing & Grubbing and Final Grade RFC Erosion and Sedimentation Control Plans.

Erosion and Sedimentation Control Plans shall at a minimum address the following:

I. Complete Set of Plans**A. Clearing and Grubbing Phase**

1. Use correct NCDOT symbology
2. Protect existing drainage structure inlets with Rock Inlet Sediment Trap Type 'A' (RIST-A), Rock Inlet Sediment Trap Type 'C' (RIST-C), Rock Pipe Inlet Sediment Trap Type 'A' (PIST-A), etc.
3. Utilize adequate perimeter controls (temporary diversions, temporary silt ditches, temporary silt fence, etc.)
4. Utilize skimmer basins and rock measures with sediment control stone (Temporary Rock Sediment Dam Type 'B' (TRSD-B), Temporary Rock Silt Check Type 'A' (TRSC-A), etc.) at drainage outlets
5. Take into account existing topography and show contour lines
6. Show 50-foot Environmentally Sensitive Area (ESA) around all streams with Randleman Dam Watershed buffer zones on Clearing & Grubbing EC Plans only
7. Include any culvert and / or pipe construction sequence plan sheets in Clearing & Grubbing Erosion Control Plans; all pipes 48" or larger, or any combination of pipes that total 48" or more require a construction sequence. Prior to installation of pipes smaller than 48" in jurisdictional areas, the Design-Build Team shall submit a Phasing Plan for managing the watercourse to the Resident Engineer for review and acceptance. The Phasing Plan shall be in accordance with the Best Management Practices for Construction and Maintenance Activities.
8. Utilize Temporary Rock Silt Checks Type 'B' (TRSC-B) to reduce velocity in existing ditches with spacing of 250 feet divided by percentage of ditch grade. Also, utilize TRSC-B's in proposed temporary silt ditches and temporary diversions.
9. Protect existing streams; do not place erosion control devices in live streams
10. Provide adequate silt storage for 3600 cubic feet per disturbed acre and sediment basins shall be sized with surface area equal to 435 square feet per cubic foot per second (cfs) of the peak inflow rate, Q25, using 25-year peak rainfall data (NCDENR-

- Erosion and Sediment Control Planning and Design Manual*). A Sediment Basin Designer Spreadsheet will be provided by the NCDOT Roadside Environmental Unit (REU) upon request
11. Design Riser Basins to the following standards:
 - a. Surface Area shall be determined by Equation A(sq. feet) = $Q25(cfs) * 435$
 - b. Volume requirement shall be 1800 cubic feet per disturbed acre draining to the riser basin
 - c. Riser Pipe shall have a cross-sectional area 1.5 times that of the barrel pipe
 - d. Perforations in the riser pipe shall be reduced to increase dewatering time to twenty-four (24) hours
 - e. See *NCDENR- Erosion and Sediment Control Planning and Design Manual* for additional design criteria
 12. Skimmer Basins shall provide adequate silt storage for 1800 cubic feet per disturbed acre with surface area equal to 325 square feet per cubic foot per second (cfs) of the peak inflow rate, Q25, using the 25-year peak rainfall data (*NCDENR - Erosion and Sediment Control Planning and Design Manual*). A Sediment Basin Designer Spreadsheet will be provided by the NCDOT Roadside Environmental Unit (REU) upon request
 13. The minimum and maximum length to width ratio of all Sediment Basins shall be 2:1 and 6:1, respectively
 14. Coir Fiber Baffles shall be installed in all silt basins and sediment dams at drainage outlets. For silt basins with a 20-foot or longer length, three Coir Fiber Baffles shall be installed with a spacing of 1/4 the basin length. For silt basins with a length less than 20 feet, a minimum of two Coir Fiber Baffles shall be installed, with a spacing of 1/3 the basin length. The exception to the baffle spacing requirement shall be the spacing provided in an erosion control device detail (e.g. Tiered Skimmer Basin). The Design-Build Team will not be required to show the individual baffles on the Erosion Control Plans, but shall be required to incorporate the Coir Fiber Baffle Detail on the Erosion Control Plans

B. Final Grade Phase

1. Use correct NCDOT symbology
2. Protect existing and proposed drainage structure inlets with RIST-A, RIST-C, PIST-A, etc.
3. Utilize adequate perimeter controls (temporary diversions, silt fence, etc.)
4. Utilize TRSC-B's to reduce velocity in existing and proposed ditches with spacing of 250 feet divided by percentage of ditch grade. Also utilize TRSC-B's in proposed temporary silt ditches and temporary diversions.
5. Utilize temporary slope drains and earth berms at top of fill slopes 8 feet or higher and a fill slope grade of 3:1 or steeper, or where there are superelevations above 0.04 and fills are greater than 5 feet. Maximum slope drain spacing shall be 200 feet.
6. Utilize rock energy dissipater and / or silt basin at outlet of slope drain
7. Devices at all drainage turnouts shall utilize skimmers or sediment control stone (TRSD-B, TRSC-A, etc.)

8. Provide adequate silt storage for 3600 cubic feet per disturbed acre and sediment basins shall be sized with surface area equal to 435 square feet per cubic foot per second (cfs) of the peak inflow rate, Q25, using 25-year peak rainfall data (*NCDENR- Erosion and Sediment Control Planning and Design Manual*) A Sediment Basin Designer Spreadsheet will be provided by NCDOT REU upon request
9. Provide matting for erosion control in all ditch lines where the velocity is greater than 2.0 ft/s, and the shear stress is 1.55 psf or less. For ditch lines with a shear stress above 1.55 psf, Permanent Soil Reinforcement Mat or Rip Rap shall be utilized
10. Design Riser Basins to the following standards:
 - a. Surface Area shall be determined by Equation $A(\text{sq. feet}) = Q25(\text{cfs}) * 435$
 - b. Volume requirement shall be 1800 cubic feet per disturbed acre draining to the riser basin
 - c. Riser Pipe shall have a cross-sectional area 1.5 times that of the barrel pipe
 - d. Perforations in the riser pipe shall be reduced to increase dewatering time to twenty-four (24) hours
 - e. See *NCDENR- Erosion and Sediment Control Planning and Design Manual* for additional design criteria
11. Skimmer Basins shall provide adequate silt storage for 1800 cubic feet per disturbed acre with surface area equal to 325 square feet per cubic foot per second (cfs) of the peak inflow rate, Q25, using the 25-year peak rainfall data (*NCDENR - Erosion and Sediment Control Planning and Design Manual*). A Sediment Basin Designer Spreadsheet will be provided by the NCDOT Roadside Environmental Unit (REU) upon request
12. The minimum and maximum length to width ratio of all Sediment Basins shall be 2:1 and 6:1, respectively
13. Coir Fiber Baffles shall be installed in all silt basins and sediment dams at drainage outlets. For silt basins with a 20-foot or longer length, three Coir Fiber Baffles shall be installed with a spacing of 1/4 the basin length. For silt basins with a length less than 20 feet, a minimum of two Coir Fiber Baffles shall be installed, with a spacing of 1/3 the basin length. The exception to the baffle spacing requirement shall be the spacing provided in an erosion control device detail (e.g. Tiered Skimmer Basin). The Design-Build Team will not be required to show the individual baffles on the Erosion Control Plans, but shall be required to incorporate the Coir Fiber Baffle Detail on the Erosion Control Plans

C. Intermediate Phase

Intermediate Erosion Control Plans shall only be required if design modifications and / or site conditions require additional erosion control design or design revisions to the RFC Clearing and Grubbing and / or RFC Final Grade Erosion Control Plans. Intermediate Plans shall be submitted for review and shall be accepted prior to construction of any aspect impacted by the revised erosion control design. For any intermediate phase, comply with Section B, "Final Grade Phase" above.

II. Detail Sheets and Notes

- A. Provide project specific special notes and details such as temporary rock silt check type B, coir fiber baffle, skimmer basin, etc.
- B. Provide matting summary sheet(s): matting for erosion control and permanent soil reinforcement mat
- C. Provide reforestation sheet(s): regular, wetland, streambank and / or buffer showing appropriate species

III. Title Sheet

- A. Show correct notes: HQW, ESA, clearing and grubbing, etc.
- B. Show correct standards for project
- C. List of standard NCDOT symbology

Special Provisions

- A. Erosion Control Special Provisions are available at the following website:
http://www.ncdot.org/doh/operations/dp_chief_eng/roadside/soil_water/special_provisions/
- B. References in Erosion Control Special Provisions from the aforementioned website to Method of Measurement, Basis of Payment, or any other statement regarding direct payment for Erosion & Sediment Control measures shall be disregarded.
- C. Erosion Control / Stormwater Certification found elsewhere in this RFP.

IV. Miscellaneous

- A. Plan submittals shall include all pertinent design information required for review, such as design calculations, drainage areas, etc.
- B. The NCDOT REU will provide a sample set of Erosion and Sedimentation Control Plans (including any special details or special provisions used by the NCDOT REU) and MicroStation Erosion Control Workspace to the Design-Build Team for reference upon request.
- C. Plans shall address any environmental issues raised during the permitting process.
- D. Sufficient time shall be allowed for the Design-Build Team to make any changes to the Erosion and Sedimentation Control Plans deemed necessary by the NCDOT REU.
- E. Temporary access and haul roads, other than public roads, constructed or used in connection with the project shall be considered a part of the project and addressed in the Erosion and Sedimentation Control Plans.
- F. Borrow or waste areas that are part of the project shall require a separate Erosion and Sedimentation Control Plan, unless the borrow or waste activity is regulated under the *Mining Act of 1971*, or is a landfill regulated by the Division of Solid Waste Management (NCDENR). The Design-Build Team shall submit the permit number for waste / borrow

- sites covered by the Mining Act or regulated by DSWM (DENR) concurrently to the State Alternative Delivery Engineer and the Resident Engineer.
- G. Whenever the Engineer determines that significant erosion and sedimentation continues despite the installation of approved protective practices, the Design-Build Team shall be required to and shall take additional protective action.
- H. An **accepted** Erosion and Sedimentation Control Plan does not exempt the Design-Build Team from making every effort to contain sediment onsite.
- I. Any Erosion Control Design revisions made during the construction of the project shall be submitted to NCDOT REU by the 15th of the month via the State Alternative Delivery Engineer. At anytime requested by the Engineer or the Roadside Environmental Unit, the Design-Build Team shall provide an updated version of the Erosion and Sedimentation Control Plans for distribution to all parties involved in the construction process.
- J. The Design-Build Team shall comply with the *North Carolina Administrative Code Title 15 A Department of Environment and Natural Resources Chapter 4, Sediment Control*.
- K. A pre-design meeting shall take place between the NCDOT REU Soil & Water Engineering Section, the Design-Build Team, and any other pertinent NCDOT personnel before any Erosion and Sedimentation Control Designs are submitted to NCDOT REU. Erosion and Sedimentation Control Plan submittals shall only be reviewed and accepted by NCDOT REU after the Erosion Control Pre-Design Meeting.
- L. All RFC Erosion and Sedimentation Control Plans, including any red line revisions, shall be kept on site at all times throughout the duration of the project.
- M. Erosion Control / Stormwater Certification shall be required according to the Project Special Provision found elsewhere in this RFP.
- N. Prior to installation of any erosion control devices, the Design-Build Team shall **verify all jurisdictional area boundaries and delineate the boundaries with Safety Fence.**

ENVIRONMENTAL INCENTIVES:

The Design-Build Team shall observe and comply with Federal and State Laws, Local Laws, Ordinances, and Regulations; as well as Orders and Decrees of Bodies having any jurisdiction or authority in accordance with Section 107 of the 2006 *Standard Specifications for Roads and Structures*.

The Design-Build Team will be eligible for an incentive in the amount of \$100,000 if construction operations have been performed in accordance with all environmental regulations and the Specifications, and no violations have been issued. Violations are defined as:

Violation	Issuing Entity
Immediate Corrective Action (ICA)	Department
Continuance of an ICA (CICA)	Department
Notice of Violation (NOV)	Regulatory Agencies
Cease and Desist (C&D)	Corp of Engineers

The incentive payment shall be paid at the completion of the project as long as the Design-Build Team does not receive any violations at any time during project construction.

EROSION CONTROL LIQUIDATED DAMAGES:

The Design-Build Team's first NOV or C&D violation shall result in the forfeiture of the entire \$100,000 incentive noted above or the remaining portion thereof. If \$25,000 is not available in the \$100,000 incentive noted above, the first NOV or C&D violation shall result in the forfeiture of the remaining portion plus Liquidated Damages in the amount necessary to equal \$25,000 when added to the remaining portion of the incentive. All subsequent NOV and C&D violations shall result in Liquidated Damages in the amount of \$25,000 per violation.

Each ICA and CICA violation shall result in a \$12,500 reduction from the monies remaining in the incentive. If monies are not available in the \$100,000 incentive noted above, each ICA and CICA violation shall result in Liquidated Damages in the amount of \$12,500 per violation.

All Liquidated Damages shall be deducted from the lump sum amount for the project due the Design-Build Team.

The Design-Build Team shall take all reasonable precautions to comply with all regulations of all authorities having jurisdiction over public and private land governing the protection of erosion and sedimentation. Any fines, remediation required or charges levied against the Department for failing to comply with all rules and regulations concerning erosion and sediment control, due to the Design-Build Team's negligence, carelessness, or failure to implement the Erosion and Sedimentation Control Plans and Specifications; or failure to maintain an approved Storm Water Pollution Prevention Plan (SWPPP), regardless of absence of neglect, shall be deducted from monies due the Design-Build Team. In addition to said fines, remediation required, or charges levied, any associated engineering costs or actions taken by the Department in order for the Department to comply with rules and regulations, as a result of the Design-Build Team's negligence, carelessness, or failure to implement the Erosion and Sedimentation Control Plans and Specifications; and / or the SWPPP, regardless of absence of neglect, shall be deducted from the monies due to the Design-Build Team.

ON-SITE MITIGATION SCOPE OF WORK

(4-28-08)

General

As required by the NEPA process and the ACOE / EPA Section 404 B1 Guidelines, to offset potential wetland and stream impacts, the Design-Build Team shall investigate the on-site mitigation potential of the sites identified in the feasibility studies provided by the Department and any necessary stream relocations.

The Design-Build Team shall provide the Department early right of way appraisals to assist in the determination of the economic feasibility of acquiring land for on-site mitigation. The early appraisals shall indicate the differential right of way cost between that right of way necessary to construct the project and the right of way necessary to provide the various mitigation sites. The early appraisals shall be submitted to the State Alternative Delivery Engineer at least twelve weeks prior to the 4B Meeting (reference the Right of Way Scope of Work). The Department will respond to this submittal, providing direction on which sites to further pursue, within five business days.

Elimination from further consideration of any sites outlined herein may only occur through concurrence by the Department.

The Design-Build Team shall be responsible for acquisition services for the purchase of the mitigation sites at no additional cost to the Department. The Department will be responsible for the actual right of way costs. If the sites can be acquired, the Design-Build Team shall be responsible for the plan, design and successful construction of all on-site mitigation including, but not limited to, the following:

- Complete conceptual mitigation plan, as described below, for sites accepted from the feasibility studies and any necessary stream relocations to be presented at the 4B Meeting by the Design-Build Team.
- Complete all preliminary mitigation design plans and specifications, as described below, to be presented at the 4C Meeting by the Design-Build Team.
- Address agency comments and obtain agency approval for all on-site mitigation sites.
- Conduct field review of on-site mitigation as requested by the agencies.
- Complete final mitigation plan, design and permit drawings for inclusion in the environmental permit application.

The Design-Build Team shall be responsible for fulfilling all permit conditions. The Design-Build Team shall be responsible for ensuring that all wetland and stream mitigation sites are constructed according to the approved mitigation and design / construction plans. The Design-Build Team shall not be responsible for post-construction monitoring after completion of the required Twelve-Month Guarantee described elsewhere in this RFP or as otherwise offered by the Design-Build Team in the Technical Proposal.

The Design-Build Team shall use MicroStation and GeoPak to complete all plans and specifications to meet NCDOT standards. Included in this task are the setup and creation of design sheets. These sheets shall include title, detail, plan, profile and cross section sheets.

The Design-Build Team shall include the following in the Technical Proposal: (1) the sites identified for potential on-site mitigation; (2) the quantity of anticipated on-site mitigation; (3) any right-of-way necessary to provide the mitigation; and (4) any additional warranty or monitoring of this mitigation that is included in the Price Proposal.

Site Specific Information

- Three sites were identified as possible mitigation sites during the initial R-2606B corridor review for potential on-site mitigation. These include CF-17, CF-19 and CF-21. The feasibility study dated August 2004 addresses all three streams; however, a separate feasibility study dated January 2005 provides a more in-depth study for CF-17.
- CF-17 shall be pursued for potential on-site mitigation. The Design-Build Team shall refer to “Stream and Buffer Mitigation for Site CF-17” dated January 2005 and address any unresolved constraints, concerns and / or coordination.
- A major portion of CF-19 was purchased by the Piedmont Triad Regional Water Authority for Randleman Reservoir mitigation, including the lower reach of Bob Branch. Therefore, only the stream designated as Tributary 2 in the “US 311 On-Site Stream Mitigation Feasibility Studies” is considered potential on-site mitigation. The Design-Build Team shall pursue this stream for restoration / relocation, addressing all unresolved constraints, concerns and / or coordination from the aforementioned feasibility studies.
- CF-21 shall be pursued for potential on-site mitigation. The Design-Build Team shall refer to “US 311 On-Site Stream Mitigation Feasibility Studies” dated August 2004 and address any unresolved constraints, concerns and / or coordination.
- The Design-Build Team may utilize other appropriate environmental documentation to resolve any constraints, concerns and / or coordination stated in the feasibility studies.
- Concurrence from SHPO is required regarding the archaeological surveys and data recovery at all sites that will be used for on-site mitigation. In the event that archeological surveys and / or data recovery is required within the on-site mitigation sites identified, the Department will either (1) conduct these surveys and / or data recovery or (2) enter into a Supplemental Agreement with the Design-Build Team to perform surveys and / or data recovery.

Conceptual Mitigation Plan

The Design-Build Team shall prepare and present the conceptual mitigation plan at the 4B Meeting. The Design-Build Team shall coordinate with NCDOT Roadside Environmental Unit with regards to the planting plan. A post-construction monitoring

plan and success criteria shall be included in the narrative for the site. The conceptual mitigation plan shall be provided to the State Alternative Delivery Engineer for review by the Project Development and Environmental Analysis Branch-Indirect and Cumulative Impact (ICI) Group a minimum of seven (7) weeks prior to the 4B Meeting. The Department will take 15 business days to review the conceptual mitigation plan. The Design-Build Team shall incorporate all comments from this review into the 4B Meeting documents. The Design-Build Team shall address all comments on the conceptual mitigation plan made during the 4B Meeting.

Conceptual Plan for Wetlands

The Design-Build Team shall prepare a conceptual mitigation plan that describes the site's existing conditions, references wetland information, describes the site's proposed conditions and describes the monitoring plan.

The description of the existing conditions shall include, but is not limited to, the following: the site's history, location of jurisdictional wetlands and / or streams, location of fill material in wetlands, stream and / or ditch locations, vegetation communities, hydrology, soils, threatened or endangered species, adjacent land use and any constraints to work. The document shall address any unresolved constraints, concerns and coordination stated in the feasibility study.

The referenced wetland information shall include, but is not limited to, the following: target hydrology data, reference vegetation communities, target ground elevations, soils and hydrogeomorphology.

The description of proposed conditions shall include, but is not limited to, the following: mapped areas of wetland restoration, enhancement and restoration and corresponding acreage of each, construction and silvicultural activities, timeline of activities, proposed hydrology, sediment and erosion control plan, and planting plan.

A post construction monitoring plan shall include the success criteria and methodology for monitoring the site.

Conceptual Plan for Streams

The Design-Build Team shall conduct a survey of the existing channel features and adjacent areas to adequately define the stream morphology and to prepare the hydraulic model. Additionally, a morphological survey of at least one reference reach in the same region as the project stream shall be conducted to serve as a guide for the design. The existing channel and reference reach surveys shall include channel dimension, pattern, profile, bankfull identification and verification, and appropriate substrate analysis.

The Design-Build Team shall provide a Level II Rosgen geomorphic classification of the existing stream and reference reach. Additionally, the Design-Build Team shall prepare the data for input into the sediment transport analysis and hydraulic model of the existing

stream. The following calculations and ratios shall be developed for the existing channel, proposed channel and reference reach.

1. Stream type (level II).
2. Drainage area (square miles)
3. Bankfull width (W_{bkf})(taken in straight section)
4. Bankfull mean depth (d_{bkf})
5. Width/depth ratio (W_{bkf}/d_{bkf})
6. Bankfull cross sectional area (A_{bkf})
7. Bankfull velocity (U_{bkf})
8. Bankfull discharge (Q_{bkf})
9. Bankfull maximum depth (d_{max})
10. Ratio of bankfull max depth to bankfull mean depth (d_{max}/d_{bkf})
11. Width of flood prone area (W_{fpa})
12. Entrenchment ratio (W_{fpa}/W_{bkf})
13. Meander length (L_m)
14. Ratio of meander length to bankfull width (L_m/W_{bkf})
15. Radius of Curvature (R_c)
16. Ratio of Radius of Curvature to bankfull width (R_c/W_{bkf})
17. Belt width (W_{blt})
18. Meander width ratio (W_{blt}/W_{bkf})
19. Sinuosity (K, stream length/valley distance)
20. Average slope (S)
21. Riffle slope (S_{riff})
22. Ratio of riffle slope to mean
23. Pool slope (S_{pool})
24. Ratio of pool slope to average slope (S_{pool}/S_{ave})
25. Maximum pool depth (d_{pool})
26. Ratio of pool depth to average bankfull depth (d_{pool} / d_{bkf})
27. Pool width (W_{pool})
28. Ratio pool width to bankfull width (W_{pool}/ W_{bkf})
29. Pool/pool spacing
30. P/P spacing/ W_{bkf}
31. Low Bank Height/Max Bankfull Depth

Within the mitigation plan, a brief description of existing site conditions shall include stream morphology (Rosgen classification), degrading factors, physiography, land use, plant communities, threatened or endangered species, soils, hydrology, and wetland delineation. The document shall address any unresolved constraints, concerns and coordination stated in the feasibility study. The description of the proposed site shall include proposed stream morphology, planting plan and design assumptions with description of analysis and limiting factors associated with the proposed design and construction. The plan shall include a location map and morphological table for the existing, proposed and reference channels. The document shall include the existing and proposed channel cross section and plan view.

Natural Channel Stream Design

Data from the existing condition and reference reach surveys shall be used to design the dimension, pattern, and profile of the new channel. The Design-Build Team shall complete the proposed critical shear stress analysis. This analysis shall be used to ensure that the new channel does not aggrade or degrade. The sediment transport calculations shall be made on the existing channels, the reference reach channels and the design channels for comparison. The hydrology and hydraulics shall include analysis of the bankfull discharge along with the 10-year, 50-year and 100-year discharge. The hydraulic analysis shall consist of preparing a single section analysis of the existing and proposed stream geometry. The bankfull discharge shall be used to develop the proposed channel dimension and to assess performance while the larger discharges shall be used to assess alteration to the flood stages

Site Layout for Wetlands

The Design-Build Team shall utilize the feasibility study to refine the limits of the restoration and / or enhancement areas. The Design-Build Team shall conduct limited topographic surveys of the proposed wetland creation areas to supplement the existing aerial survey and topographic mapping provided by the Department. The surveys shall involve spot elevations in the existing wetlands adjacent to the proposed mitigation areas. The Design-Build Team shall develop the proposed grade elevations based on field visits, the Department aerial survey and topographic mapping, spot elevations and gauge data. The elevations shall be shown on the existing topographic mapping. The existing and proposed design contours shall be depicted on the plan sheet. The proposed design shall depict all proposed elevations, cut / fill locations, ditch plug locations, site boundary, restoration / enhancement areas, preservation areas, and any additional information necessary to complete construction. The existing and design cross sections shall be plotted and shown on cross section sheets. The Design-Build Team shall provide typical design cross sections for the site. Miscellaneous details, sequencing, etc. shall also be included on the plan sheets. The Design-Build Team shall produce a cut / fill and cross section plan as part of this task.

Site Layout for Streams

The existing and design longitudinal stream profiles shall be plotted. The design longitudinal profile shall show the maximum cut depth (thalweg). The bankfull stage shall be used as a control elevation to ensure that the bank height ratio is near or equal to one. The longitudinal profile shall be iterative and proposed slopes shall be based on design parameters and hydraulic analysis while also maintaining a bank height ratio of one. The existing and design cross sections shall be plotted and shown on cross section sheets. Typical design cross sections for straight sections and pools shall be shown. Cross sections shall be iterated to ensure that the design bankfull dimensions are maintained while maintaining a low bank height ratio.

The Design-Build Team shall develop the horizontal alignments of the proposed channels. This shall include computing the horizontal and vertical location of key channel features that are necessary for construction, including the centers of radius of curvature, head of riffles, structure locations and grade controls.

The morphological tables for existing, proposed and reference channels shall be included on a detail sheet. Miscellaneous details, sequencing, etc. shall also be included on the plan sheets. The Design-Build Team shall produce a construction-staking plan as part of this task.

Preliminary Construction Plans (60% Design)

The Design-Build Team shall prepare preliminary wetland restoration / enhancement and stream design plans based on the roadway plans for each site. The Design-Build Team shall include a morphological table in the detail sheets. The design plans shall consist of the following items in plan view on Roadway Plan Sheets (Scale 1:50).

For Wetlands:

- Typical sheet
- Detail sheet
- Existing conditions plan sheet - Include existing topography
- Proposed design plan sheet - Include contours
- Cross section layout sheet
- Planting plan detail sheet
- Cross sections sheet by station number

For Streams:

- Stream plan view on the Roadway Plan Sheet (Scale 1:50)
- One detail sheet to include:
 - Details-utilize NCDOT Standard Natural Stream Details (to be provided by the Department to the Design-Build Team)
 - Riffle and Pool typical sections
 - Profile with in-stream structure data
 - Horizontal curve data

The Design-Build Team shall provide 60% plans to the State Alternative Delivery Engineer for review by the Project Development and Environmental Analysis Branch-Natural Environment Engineering (NEE) Group a minimum of **seven (7)** weeks prior to the 4C Meeting. The Department will take 15 business days to review the preliminary construction plans. The Design-Build Team shall incorporate all comments from this review into the 4C Meeting documents. The Design-Build Team shall address all comments on the preliminary construction plans made during the 4C Meeting.

Prepare Final Design Plan and Mitigation Plan

The Design-Build Team shall address the Regulatory Agencies and NCDOT's comments immediately after review of the 60% design plans and 4C Meeting. The Design-Build Team shall complete the requested changes and submit the mitigation and design plans to the State Alternative Delivery Engineer for 90% review by the ICI and NEE Groups. Once the 90% review comments are addressed, the final (100%) mitigation and design plan shall be submitted with all information necessary to complete construction, as well as the project special provisions and specifications for the Department's review and acceptance. The Design-Build Team shall include the RFC wetland and stream construction plans with the RFC set of roadway construction plans.

Wetland Site Construction

Construction of the wetland mitigation site shall be done in accordance with the accepted permit drawings, mitigation plan, design / construction plans and special provisions. All NCDOT standards and specifications set forth in the construction plans developed by the Design-Build Team shall be adhered to. The Design-Build Team shall ensure that the site designer shall be on-site as needed during the construction of the wetland mitigation. Any and all alterations / changes to the accepted design shall be reviewed and accepted by the Department prior to incorporation. All changes to the accepted design shall be noted and included in the as-built plans. The as-built plans for the wetland mitigation shall be submitted to the State Alternative Delivery Engineer within 60 days of completion of the construction to meet permit requirements. The Design-Build Team shall be responsible for any and all remediation activities at the sites through the end of the required Twelve-Month Guarantee period as described elsewhere in this RFP or for a longer period as offered by the Design-Build Team in their Technical Proposal. The Design-Build Team shall also be responsible for establishing any post construction monitoring criteria as stated in the approved permit / mitigation plan. This includes, but is not limited to, vegetation plots, groundwater and surface water monitoring gauge installation, and photo point locations. The Department shall provide all the groundwater and surface water monitoring gauges to the Design-Build Team for installation. The Design-Build Team shall install the groundwater and surface water monitoring gauges according to the Department's established installation protocol. The Design-Build Team shall use GPS and MicroStation to identify the locations of all vegetation plots, groundwater and surface water gauges, and photo point locations. This information shall then be provided to the State Alternative Delivery Engineer in electronic, as well as hard copy, format within 60 days of completion of construction.

Stream Construction

Construction of the stream shall be done in accordance with the approved permit drawings, mitigation plan and design / construction plans. All NCDOT standards and specifications set forth in the construction plans developed by the Design-Build Team shall be adhered to. The Design-Build Team shall ensure that the stream designer shall

be on-site as needed during the construction of the stream. Any and all alterations / changes to the accepted design shall be reviewed and accepted by the Department prior to incorporation. All changes that are made as a result of, but not limited to, the existing field conditions shall be noted and included in the as-built plans. The as-built plans for the stream relocations / mitigation shall be submitted to the State Alternative Delivery Engineer within 60 days of completion of the stream to meet permit requirements. The Design-Build Team shall be responsible for any and all remediation activities at the sites through final acceptance of the roadway project. The Design-Build Team shall also be responsible for establishing any post construction monitoring criteria as stated in the approved permit / mitigation plan. This includes, but is not limited to, permanent cross sections, longitudinal profile stationing, vegetation plots and photo point locations. The Design-Build Team shall use GPS and MicroStation to compile this information. This information shall then be provided to the State Alternative Delivery Engineer in electronic, as well as hard copy, format within 60 days of completion of construction.

Compensation

Since the quantity of on-site mitigation is dependent on the Merger Process and is not yet known, the Design-Build Team shall not include the cost of constructing on-site stream and wetland mitigation in the Price Proposal. Instead, payment shall be made through a Supplemental Agreement for every foot and tenth of an acre of mitigation that is (1) approved for use by the agencies and NCDOT during the permitting process; (2) is built in accordance with NCDOT standards; and (3) is accepted by the Engineer at the completion of the project. The Design-Build Team shall be paid, through Supplemental Agreement, \$200 per linear foot of stream and \$12,000 per acre of wetland.

The quantity of stream mitigation and wetland mitigation, measured as provided above, shall be paid for at the unit price of \$200 per linear foot of stream mitigation and \$1,200 per tenth of an acre of wetland mitigation. The unit price shall be full compensation for construction of this mitigation; designer on-site as needed; installation of Department-supplied monitoring gauges; production of mitigation as-built plans; all remediation activities necessary until the end of the required Twelve-Month Guarantee period as described elsewhere in this RFP or for a longer period as offered by the Design-Build Team in their Technical Proposal; and development of location plans of all vegetation plots, monitoring gauges, cross sections, longitudinal profile and photo point locations.

PUBLIC INFORMATION SCOPE OF WORK (10-5-07)

NCDOT will take the lead role on this project and be responsible for a portion of the public information efforts through the Department's IMPACT Team. Unless noted otherwise elsewhere in this RFP, the NCDOT responsibilities include:

- Organizing public meetings
- Providing media announcements
- Developing and producing informational print materials
- Soliciting and administering advertisements, as deemed necessary
- Mailings to the identified target audiences, including information development and postage.

The Design-Build Team shall coordinate with the Department to promote public awareness for this project. The Design-Build Team's responsibilities shall include:

- Providing details surrounding the impacts to the public
- Providing advance notice to the Department of upcoming project impacts
- Assisting the Department in the development of the target audience list
- Attending and / or speaking at public meetings
- Hand delivery of time sensitive informational materials.

The Design-Build Team shall hold an initial project coordination meeting with NCDOT one month prior to start of construction to discuss project impacts to the public. This information will be used by the Department to create a Public Information Plan.

The Design-Build Team shall inform the Department at least 3 weeks in advance of any construction activity that will have significant impact on the public, including, but not limited to, the start of construction, major traffic shifts, road closures, ramp closures, detours, night work and project completion.

NCDOT will develop, with the assistance of the Design-Build Team, the specific list of target audiences for this project. The following groups are identified as typical target audiences to receive informational materials:

- Governmental agencies
- Municipalities directly affected by construction
- Transportation services
- Emergency services
- Neighborhood groups and private homes
- Industry and businesses
- Chamber of Commerce
- Individual schools effected by the project
- County / City school systems
- Any other organization as deemed necessary by the Department.

The amount of public involvement required for this project is directly based on the Design-Build Team's Traffic Control Plan and construction details. As a minimum, the Design-Build Team shall be responsible for the following involvement:

- Public Meetings – If Beginning of Construction meeting for area businesses and residents is held, attending and / or speaking at this event.
- Distribution of Informational Materials - For beginning of construction and for all road / ramp closures with detour routes, the Design-Build Team shall be responsible for delivering time sensitive informational material provided by the NCDOT directly to portions of the target audience. Distribution responsibilities shall include all resources necessary to hand deliver the informational materials to the affected target audiences.

The Design-Build Team shall include in their Lump Sum Bid price for the project, all costs associated with their involvement in the Public Information Scope of Work.

A web site is not required for this project. However, if the Design-Build Team proposes a project web site maintained on a NCDOT server, all web site development must use the current NCDOT ITS Operations project web design template and must adhere to current software development, security and technical infrastructure standards. All web site design and implementation shall be coordinated with Mr. Ryan Nolan, Internet Web Content Manager, NCDOT Emerging Technologies. The Design-Build Team shall indicate in their Technical Proposal their intent to utilize a web site for this project. All costs associated with setting up and maintaining this website shall be included in the lump sum bid for this project.

ENVIRONMENTAL PERMITS SCOPE OF WORK (4-21-08)

Note: It is the Department's intention that whenever this scope of work references permit "application" this would include permit application or modification of existing permit depending on the situation.

General

The Department will allow no direct contact between the Design-Build Team and representatives of the environmental agencies. No contact between the Design-Build Team and the environmental agencies shall be allowed either by phone, e-mail or in person, without representatives of the Department's Project Development & Environmental Analysis (PDEA) Branch and / or the Division's Environmental Officer present. A representative from the Alternative Delivery Unit shall be included on all correspondence.

The Department has obtained a 404 / 401 permit for the project corridor. This permit represents a final design permit for R-2606A and a phased or preliminary permit for R-2606B and R-2606C. The Design-Build Team shall be responsible for preparing all designs and documents needed to obtain a final design permit for R-2606B, including the section formerly designated as R-2606C.

The Design-Build Team shall be responsible for preparing all documents necessary for the Department to obtain the environmental permits or modification of existing permits for the construction requirements of this project. Permit applications shall be required for the US Army Corps of Engineers Section 404 Permit, the NC Department of Natural Resources (DENR), Division of Water Quality (DWQ) Section 401 Water Quality Certification and a DWQ State Stormwater Permit. The Design-Build Team should be aware that this project is subject to the Randleman Riparian Buffer Rules. The Design-Build Team shall acquire a riparian buffer certification from DWQ for this project - reference Hydro SOW. The Design-Build Team shall not begin ground-disturbing activities, including utility relocation, until all environmental permits have been issued (this does not include permitted investigative borings covered under a Nationwide Permit #6).

Prior to the Department's geotechnical investigation, NCDOT obtained a Nationwide Permit #6. Any additional geotechnical investigations or test pile installations the Design-Build Team desires to complete prior to, or during, construction shall be permitted under a new or modified Nationwide Permit #6. It is the Design-Build Team's responsibility to prepare the permit application and obtain approval from PDEA, via the State Alternative Delivery Engineer. NCDOT will then submit the permit application to the agencies as needed.

The Department has followed a modified Merger 01 Process used by the environmental agencies and the Department to obtain environmental permits for this highway project. The Design-Build Team shall be responsible for conducting the Concurrence Point 4B and 4C meetings. Any variations in the Department's proposed design and / or construction methods that nullify any concurrence points obtained or decisions reached between the Department and the environmental agencies; and / or require additional coordination with the Environmental Agencies shall be the sole responsibility of the Design-Build Team. The Department shall not allow any contract time

extensions associated with this additional coordination. The Design-Build Team shall follow the appropriate details in the document titled “Merger 01 Implementation Team – Merger 01 Process Information” which will be provided to the short-listed teams.

Unless the Design-Build Team proposes earlier dates in their Technical Proposal, the Department will schedule the 4B and 4C meetings for R-2606B for December 2008 and March 2009, respectively. The Design-Build Team shall clearly identify in their Technical Proposal what months they would like the Department to schedule these meetings. Failure on the part of the Design-Build Team to meet the dates, as identified in their Technical Proposal, places all responsibility for associated delays solely in the hands of the Design-Build Team.

The Design-Build Team shall be bound by the terms of all signed planning documents and approved minutes and commitments of all concurrence meetings and shall be held accountable for meeting all permit conditions. The Design-Build Team shall be required to staff any personnel the Design-Build Team deems necessary to provide permit compliance.

Major Permit Application Process

It shall be the Design-Build Team's responsibility to acquire information and prepare permit drawings that reflect the impacts and minimization efforts resulting from the Merger 01 Process and as designed by the Design-Build Team. Further it shall be the Design-Build Team's responsibility to provide these permit impact sheets (drawings) depicting the design and construction details to the Department as part of the permit application. The Design-Build Team shall be responsible for developing the permit application for all jurisdictional impacts. The permit application shall include all utility relocations. The permit application shall consist of, at a minimum, the following:

- Cover Letter
- Minutes from the 4B and 4C meetings
- Permit drawings
- Half-size plans
- Completed forms (Section 404, etc.) appropriate for impacts

The Design-Build Team shall re-verify and update, as needed, the required environmental data that expires prior to the completion of the activity causing the impact in the jurisdictional areas. These include, but are not limited to, federally protected species, re-verification of wetland jurisdictional areas, historic and archaeological sites and 303d (impaired) streams. The verification for jurisdictional wetlands and streams will expire 12/31/2010. Surveys for Schweintz's sunflower will expire on August 21, 2009. DWQ verified the Randleman Buffer determinations in 2001.

Direct coordination between the Design-Build Team, the Department's Alternative Delivery Engineer, Resident Engineer and the Natural Environment Unit (PDEA-NEU) shall be necessary to ensure proper permit application development. Upon completion of the permit application package, the Design-Build Team shall concurrently forward the package to the State Alternative Delivery Engineer, Resident Engineer, Division Environmental Officer (DEO) and PDEA-NEU

for review and approval. The Department will subsequently forward the package to the appropriate agencies to have the permit application placed on public notice.

The Design-Build Team shall submit one permit application for the entire project. The Design-Build Team shall not submit multiple applications to develop a “staged permitting” process to expedite construction activities in a phased fashion.

Any temporary construction measures, including de-watering, construction access, etc. shall be addressed in the permit application. Impacts that result from so-called temporary measures may not be judged to be temporary impacts by the agencies. These issues must be addressed and reviewed by PDEA-NEU prior to the 4B and 4C meetings and resolved with the agencies during the 4B and 4C meetings.

The Design-Build Team shall clearly indicate the location of and impacts of haul roads and utility relocations on jurisdictional areas. The Design-Build Team shall identify all proposed borrow and waste sites. These details shall be included in the permit application data. Further, the Design-Build Team shall describe the methods of construction of all structures. The description of the temporary impacts (haul roads, utility relocations, work bridges, etc.) shall include restoration plans, schedules, and disposal plans. This information shall be included in the permit application. The Design-Build Team shall present this information at the 4B and 4C meetings.

The NCDOT hereby commits to ensuring, to the greatest extent possible, that the footprint of the impacts in areas under the jurisdiction of the federal Clean Water Act shall not be increased during the Design-Build effort. All fill material shall be immediately stabilized and maintained to prevent sediment from entering adjacent waters or wetlands. The Design-Build Team shall be responsible for ensuring that the design and construction of the project will not impair the movement of aquatic life.

Requests made for modifications to the permits obtained by the Design-Build Team shall only be allowed if the Engineer determines it to be in the best interest of the Department and shall be strongly discouraged. The Design-Build Team shall not take an iterative approach to hydraulic design issues. The design shall be complete prior to permit application.

Major Permit Timeframe

The Design-Build Team should expect it to take up to 11 months to accurately and adequately complete all designs necessary for permit application, submit the permit application request to the Department and obtain approval for the permit from the environmental agencies. Agency review time will be approximately 90 days from receipt of a “complete” package. No requests for additional contract time or compensation shall be allowed if the permits are obtained within this 11-month period. With the exception of location and survey work and permitted investigative borings covered under a Nationwide Permit #6, no mobilization of men, materials, or equipment for site investigation or construction of the project shall occur prior to obtaining the permits, either within the 11-month period or beyond the 11-month period. This limitation does not preclude the off-site fabrication of bridge members or equipment. The Department will not

honor any requests for additional contract time or compensation, including idle equipment or mobilization or demobilization costs, for the Design-Build Team mobilizing men, materials (or ordering materials), or equipment prior to obtaining all permits. The Department will consider requests for contract time extensions for obtaining the permits only if the Design-Build Team has pursued the work with due diligence, the delay is beyond the Team's control, and the 11-month period has been exceeded. If time were granted, it would be only for that time exceeding the 11-month period. This 11-month period is considered to begin on the Date of Availability as noted in the contract.

The Design-Build Team needs to be aware that the timeframes listed above to review any permit applications and / or modifications begin only after a fully complete and 100% accurate submittal.

Mitigation Responsibilities of the Design-Build Team

The Design-Build Team shall be responsible for examining and possibly providing on-site mitigation for R-2606B. See the "On-Site Mitigation Scope of Work" for details.

The Department has acquired compensatory mitigation for unavoidable impacts to wetlands and surface waters due to project construction from the Ecosystem Enhancement Program (EEP). This mitigation was based on the impacts **required by** the planning phase. NCDOT NEU will obtain mitigation from the EEP for Randleman Buffer Impacts based on the preliminary design developed during the planning phase.

Any changes proposed by the Design-Build Team to any design or construction details provided by the Department shall be accepted by the Department prior to being submitted to the resource agencies for their approval.

Should additional jurisdictional impacts result from revised design / construction details, suitable compensatory mitigation for wetlands and / or streams shall be the sole responsibility of the Design-Build Team. Therefore, it is important to note that additional mitigation shall be approved by the agencies and such approval shall require, at a minimum, the preparation and approval of a mitigation plan before permits / permit modification(s) is / are approved and before construction shall commence.

The Design-Build Team shall analyze all new areas to be impacted that have not been analyzed during the NEPA process and preparation of permit applications. This analysis shall include performing all environmental assessments. These assessments shall require the Design-Build Team to engage the services of a competent environmental consultant to conduct a full environmental investigation to include, but not be limited to, Federally Listed Threatened and Endangered Species, wetlands, streams, avoidance and minimization in jurisdictional areas, compensatory mitigation, FEMA compliance, and historical, archaeological, and cultural resources surveys in these areas. The environmental consultant shall obtain concurrence through PDEA-NEU from the United States Fish and Wildlife Service to document compliance with Section 7 of the *Endangered Species Act* for those species requiring such concurrence. In addition, the Design-Build Team shall identify additional mitigation required; identify the

amount of time the modification will take beyond the 11-month period; and fulfill any other requirements that may be imposed by the permitting agencies to obtain the permit modification. Any contract extensions resulting from additional environmental assessments required by the Design-Build Team's design and / or construction details impacting areas outside those previously analyzed through the NEPA Process shall be solely at the Department's discretion.

If any staging areas are located outside the project right-of-way, the Design-Build Team shall engage the services of a competent environmental consultant to conduct a full environmental investigation to include, but not be limited to, Federally Listed Threatened and Endangered Species, wetlands, streams, avoidance and minimization in jurisdictional areas, compensatory mitigation, FEMA compliance, and historical, archaeological, and cultural resources surveys in these areas.

Commitments

The NCDOT is committed to incorporating all reasonable and practicable design features to avoid and minimize wetland impacts and to provide full compensatory mitigation of all remaining wetland impacts. Avoidance measures were taken during the planning and NEPA Process and minimization measures were incorporated as part of the preliminary project design. The Design-Build Team shall incorporate these avoidance and minimization features, plus any minimization identified during the 4B and 4C meetings, into the design.

All work by the Design-Build Team shall be accomplished in strict compliance with the plans submitted with the Section 404 and 401 permit applications and in compliance with all conditions of all permits and certifications issued by the agencies. The Design-Build Team shall provide each of its contractors and / or agents associated with the construction or maintenance of this project with a copy of the permits.

Unless noted otherwise elsewhere in this RFP, the Design-Build Team shall strictly adhere to these commitments, as well as others, including but not limited to, those included in the EA, FONSI, all permits and Merger 01 meetings and site visits.

Indirect and Cumulative Effects

The Department will provide the Design-Build Team with an Indirect and Cumulative Effects (ICE) Report completed by the Department PDEA-NEU in March, 2005. PDEA-NEU will address any questions related to the ICE during the merger process.

Archeological Sites

If the Design-Build Team discovers any previously unknown historic or archeological remains while accomplishing the authorized work, they shall immediately notify NCDOT Staff Archaeologist and / or NCDOT Project Development Manager, as listed below, who will initiate the required State / Federal coordination. A representative from the Alternative Delivery Unit shall also be notified. All questions regarding these sites shall be addressed to Mr. Matthew

Wilkerson, NCDOT Archaeology and Mr. Paul Mohler, NCDOT Staff Archaeologist or Mr. Rob Hanson, PE, NCDOT Project Development Manager.

***** STANDARD SPECIAL PROVISIONS *******PLANT AND PEST QUARANTINES****(Imported Fire Ant, Gypsy Moth, Witchweed, and Other Noxious Weeds)**

(3-18-03)

DB1 G130

Within Quarantined Area

This project may be within a county regulated for plant and / or pests. If the project or any part of the Design-Build Team's operations is located within a quarantined area, thoroughly clean all equipment prior to moving out of the quarantined area. Comply with federal/state regulations by obtaining a certificate or limited permit for any regulated article moving from the quarantined area.

Originating in a Quarantined County

Obtain a certificate or limited permit issued by the N.C. Department of Agriculture / United States Department of Agriculture. Have the certificate or limited permit accompany the article when it arrives at the project site.

Contact

Contact the N.C. Department of Agriculture / United States Department of Agriculture at 1-800-206-9333, 919-733-6932, or <http://www.ncagr.com/plantind/> to determine those specific project sites located in the quarantined area or for any regulated article used on this project originating in a quarantined county.

Regulated Articles Include

1. Soil, sand, gravel, compost, peat, humus, muck, and decomposed manure, separately or with other articles. This includes movement of articles listed above that may be associated with cut / waste, ditch pulling, and shoulder cutting.
2. Plants with roots including grass sod.
3. Plant crowns and roots.
4. Bulbs, corms, rhizomes, and tubers of ornamental plants.
5. Hay, straw, fodder, and plant litter of any kind.
6. Clearing and grubbing debris.
7. Used agricultural cultivating and harvesting equipment.
8. Used earth-moving equipment.
9. Any other products, articles, or means of conveyance, of any character, if determined by an inspector to present a hazard of spreading imported fire ant, gypsy moth, witchweed or other noxious weeds.

SHALLOW UNDERCUT

(9-18-07)

DB2 R35

Description

Perform undercut excavation and place a combination of fabric for soil stabilization and Class IV Subgrade Stabilization at locations as directed. Work includes performing undercut excavation,

disposing of unsuitable material, furnishing and placing fabric for soil stabilization; and furnishing, placing and compacting Class IV Subgrade Stabilization.

Materials

Refer to Division 10 of the 2006 *Standard Specifications for Roads and Structures*:

Item	Section
Select Material, Class IV	1016
Fabric for Soil Stabilization, Type 4	1056

Use Class IV Select Material for Class IV Subgrade Stabilization. If Class IV Subgrade Stabilization does not meet the requirements of Article 1010-2 of the 2006 *Standard Specifications for Roads and Structures*, the Engineer, at his discretion, may consider the material reasonably acceptable in accordance with Article 105-3 of the 2006 *Standard Specifications for Roads and Structures*.

Construction Methods

Perform undercut excavation in accordance with Section 225 of the 2006 *Standard Specifications for Roads and Structures*. Place fabric for soil stabilization in accordance with Article 270-3 of the 2006 *Standard Specifications for Roads and Structures* before backfilling. Backfill with Class IV Subgrade Stabilization by end dumping subgrade stabilization material on the fabric. Do not operate heavy equipment on the fabric until it is covered with Class IV Subgrade Stabilization. Compact subgrade stabilization material to 92% of AASHTO T180 as modified by the Department or to the highest density that can be reasonably obtained.

Maintain Class IV Subgrade Stabilization in an acceptable condition and minimize the use of heavy equipment on subgrade stabilization material in order to avoid damaging the backfill. Provide and maintain drainage ditches and drains as required to prevent entrapment of water in backfill.

SHOULDER AND FILL SLOPE MATERIAL

(5-21-02)

DB2 R45

Perform the required shoulder and slope construction for this project in accordance with the applicable requirements of Section 226 of the 2006 *Standard Specifications for Roads and Structures* except as follows:

Construct the top 6 inches of shoulder and fill slopes with soils capable of supporting vegetation.

Provide soil with a P.I. greater than 6 and less than 25 and with a pH ranging from 5.5 to 6.8. Remove stones and other foreign material 2 inches or larger in diameter. All soil is subject to test and acceptance or rejection by the Engineer.

Obtain material from within the project limits or approved borrow source.

FLOWABLE FILL

(8-21-07)

DB3 R30

Description

This work consists of all work necessary to place flowable fill in accordance with these provisions, the plans developed by the Design-Build Team, and as directed.

Materials

Provide flowable fill material in accordance with Article 340-2 of the 2006 *Standard Specifications for Roads and Structures*.

Construction Methods

Discharge flowable fill material directly from the truck into the space to be filled, or by other approved methods. The mix may be placed full depth or in lifts as site conditions dictate. The Design-Build Team shall provide a method to plug the ends of the existing pipe in order to contain the flowable fill.

REINFORCED BRIDGE APPROACH FILL

7-18-06

DB4 R 01

Description

This work consists of all work necessary to construct reinforced bridge approach fills in accordance with these provisions and the plans, and as directed by the Engineer.

Materials

Geomembrane

Provide geomembrane that is impermeable, composed of polyethylene polymers or polyvinyl chloride, and meets the following physical requirements:

Property	Requirements	Test Method
Thickness	25 mils Minimum	ASTM D1593
Tensile Strength at Break	100 lb/inch Minimum	ASTM D638
Puncture Strength	40 lbs Minimum	ASTM D4833
Moisture Vapor Transmission Rate	0.018 ounce/yard ² per Day Maximum	ASTM E96

Fabric

Refer to Section 1056 for Type 2 Engineering Fabric and the following:

Use a woven fabric consisting of strong rot-proof synthetic fibers such as polypropylene, polyethylene, or polyester formed into a stable network such that the filaments or yarns retain their relative positions to each other.

Fabric Property	Requirements	Test Method
Minimum Flow Rate	2 gallons/min/square foot	ASTM D 4491

Lamination of fabric sheets to produce the physical requirements of a fabric layer will not be accepted. Furnish letters of certification from the manufacturer with each shipment of the fabric and geomembrane attesting that the material meets the requirements of this provision; however, the material is subject to inspection, test, or rejection by the Engineer at any time.

During all periods of shipment and storage, wrap the geomembrane and fabric in a heavy-duty protective covering to protect the material from ultraviolet rays. After the protective wrapping has been removed, do not leave the material uncovered under any circumstances for longer than 4 days.

Select Material

Provide select material meeting the requirements of Class III, Type 1 or Type 2, or Class V select material of Section 1016 of the 2006 *Standard Specifications for Roads and Structures*. When select material is required under water, use select material class V only, up to one foot above the existing water elevation.

4 inch Diameter Corrugated Drainage Pipe and Fittings

Provide pipe and fittings that meet all the applicable requirements of Section 815 or 816 of the 2006 *Standard Specifications for Roads and Structures*.

Construction Methods

Place the geomembrane and fabric as shown on the plans or as directed by the Engineer. Perform the excavation for the fabric reinforced fill to the limits shown on the plans. Provide an excavated surface free of obstructions, debris, pockets, stumps, and cleared of all vegetation. The geomembrane or fabric will be rejected if it has defects, rips, holes, flaws, deterioration or damage incurred during manufacture, transportation, handling or storage. Lay all layers smooth, and free from tension, stress, folds, wrinkles or creases. Place all the fabric layers with the machine direction (roll direction) parallel to the centerline of the roadway. A minimum roll width of 10.0 feet for the fabric is required. Overlap geomembrane or fabric splices parallel to the centerline of the roadway a minimum of 18 inches. Geomembrane or fabric splices parallel to the backwall face will not be allowed.

Deposit and spread select material in successive, uniform, approximately horizontal layers of not more than 10 inches in depth, loose measurement, for the full width of the cross section, and keep each layer approximately level. Place and compact each layer of select material fill no

more than 10 inches thick with low ground pressure equipment. Use hand operated equipment to compact the fill material within three feet of the backwall and wingwalls as directed by the Engineer. Compact select material to a density equal to at least 95% of that obtained by compacting a sample of the material in accordance with AASHTO T99 as modified by the Department. Compact the top eight inches of select material to a density to at least 100% of that obtained by compacting a sample of the material in accordance with AASHTO T99 as modified by the Department. Density requirements are not applicable to select material, class V; however compact the fill with at least four passes of low ground pressure equipment on the entire surface as directed by the Engineer. The compaction of each layer of select material shall be inspected and approved by the Department prior to the placement of the next fill layer. No equipment will be allowed to operate on the drainage pipe or any geomembrane / fabric layer until it is covered with at least six inches of fill material. Compaction shall not damage the drainage pipe, geomembrane, or fabric under the fill. Cover the geomembrane / fabric with a layer of fill material within four days after placement of the geomembrane / fabric. Geomembrane and fabric that are damaged as a result of installation will be replaced as directed by the Department at no additional cost.

Place the geomembrane on the ground, and attach and secure it tightly to the vertical face of the backwall and wingwalls with adhesives, duct-tape, nails or any other method approved by the Engineer. Place the first fabric layer on the surface of the geomembrane with the same dimensions of the geomembrane. No material or void is allowed between the geomembrane and the first fabric layer. Place and fold the remaining fabric layers on the edges as shown on the plans or as directed by the Engineer. Provide vertical separation between fabric layers as specified on the plans. The number of fabric layers will be shown in the plans.

Place four-inch diameter perforated drainage pipe along the base of the backwall and sloped to drain as shown on the plans. Completely wrap perforated drainage pipe and #78M stone with Type 2 Engineering Fabric as shown on the plan detail. Install a pipe sleeve through the bottom of or under the wing wall prior to placing concrete for the wing wall. The pipe sleeve shall be of adequate strength to withstand the wingwall load. Place the pipe sleeve in position to allow the drainage pipe to go through the wing wall with a proper slope. Connect four-inch diameter nonperforated (plain) drainage pipe with a coupling to the perforated pipe near the inside face of the wingwall. Place the nonperforated drainage pipe through the pipe sleeve, extend down to the toe of the slope and connect, to a ditch or other drainage systems as directed by the Engineer. For bridge approaches in cut sections where no side slope is available, direct the drainage pipe outlet to the end slope down to the toe using elbows as directed by the Engineer.

AGGREGATE BASE COURSE

12-19-06

DB5 R03

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 5-11, Article 520-5 Hauling and Placing Aggregate Base Material, 6th paragraph, replace the first sentence with the following:

Base course that is in place on November 15 shall have been covered with a subsequent layer of pavement structure or with a sand seal. Base course that has been placed between November 16

and March 15 inclusive shall be covered within 7 calendar days with a subsequent layer of pavement structure or with a sand seal.

PREPARATION OF SUBGRADE AND BASE

(1-16-96)

DB5 R05

On mainline portions and ramps of this project, prepare the subgrade and base beneath the pavement structure in accordance with the applicable sections of the 2006 *Standard Specifications for Roads and Structures* except use an automatically controlled fine grading machine utilizing string lines, laser controls, or other approved methods to produce final subgrade and base surfaces meeting the lines, grades, and cross sections required by the plans or established by the Engineer.

ASPHALT PAVEMENTS - SUPERPAVE

(9-19-06) (Rev 12-18-07)

DB6 R01

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 6-2, Article 600-9 Measurement and Payment, delete the second paragraph.

Page 6-12, Subarticle 609-5(C)2, Required Sampling and Testing Frequencies, first partial paragraph at the top of the page, delete last sentence and add the following:

If the Engineer allows the mix to remain in place, payment will be made in accordance with Article 105-3.

Page 6-12, Subarticle 609-5(C)2, QUALITY CONTROL MINIMUM SAMPLING AND TESTING SCHEDULE

First paragraph, delete and replace with the following.

Sample and test the completed mixture from each mix design per plant per year at the following minimum frequency during mix production:

Second paragraph, delete the fourth sentence, and replace with the following

When daily production of each mix design exceeds 100 tons and a regularly scheduled full test series random sample location for that mix design does not occur during that day's production, perform at least one partial test series consisting of Items A and B in the schedule below.

Page 6-12, Subarticle 609-5(C)2(c) Maximum Specific Gravity, add after (AASHTO T 209):

or ASTM D 2041

Page 6-13, last line and on page and Page 6-14, Subarticle 609-5(C)(2)(e) Retained Tensile Strength, add a heading before the first paragraph as follows:

- (1) Option 1

Insert the following immediately after the first paragraph:

- (2) Option 2

Mix sampled from truck at plant with one set of specimens prepared by the Contractor and then tested jointly by QA and QC at a mutually agreed upon lab site within the first 7 calendar days after beginning production of each new mix design.

Second paragraph, delete and replace with the following:

Test all TSR specimens required by either option noted above on either a recording test press or a test press that maintains the peak load reading after the specimen has broken.

Subarticle 609-5(C)(3) Control Charts, delete the second sentence of the first paragraph and replace with the following:

For mix incorporated into the project, record full test series data from all regularly scheduled random samples or directed samples that replace regularly scheduled random samples, on control charts the same day the test results are obtained.

Page 6-15, Subarticle 609-5(C)(3) Control Charts, first paragraph on this page, delete the last sentence and substitute the following:

Denote the moving average control limits with a dash green line and the individual test limits with a dash red line.

Subarticle 609-5(C)(3)(a), (b) and (c), replace (a) (b) and (c) with the following:

- (a) A change in the binder percentage, aggregate blend, or G_{mm} is made on the JMF, or,
- (b) When the Contractor elects to stop or is required to stop production after one or two moving average values, respectively, fall outside the moving average limits as outlined in subarticle 609-5(C)6 or,
- (c) If failure to stop production after two consecutive moving averages exceed the moving average limits occurs, but production does stop at a subsequent time, re-establish a new moving average beginning at the actual production stop point.

Subarticle 609-5(C)(4) Control Limits, replace the first paragraph and the CONTROL LIMITS Table on page 6-16 with the following.

The following are established as control limits for mix production. Apply the individual limits to the individual test results. Control limits for the moving average limits are based on a moving average of the last 4 data points. Apply all control limits to the applicable target source.

CONTROL LIMITS

Mix Control Criteria	Target Source	Moving Average Limit	Individual Limit
2.36 mm Sieve	JMF	±4.0 %	±8.0 %
0.075mm Sieve	JMF	±1.5 %	±2.5 %
Binder Content	JMF	±0.3 %	±0.7 %
VTM @ N _{des}	JMF	±1.0 %	±2.0 %
VMA @ N _{des}	Min. Spec. Limit	-0.5%	-1.0%
P _{0.075} / P _{be} Ratio	1.0	±0.4	±0.8
%G _{mm} @ N _{ini}	Max. Spec. Limit	N/A	+2.0%
TSR	Min. Spec. Limit	N/A	- 15%

Page 6-16, Subarticle 609-5(C)(5) Warning Bands, delete this subarticle in its entirety.

Pages 6-16 through 6-19, Subarticle 609-5(C)(6), delete the word "warning" and substitute the words "moving average".

Page 6-16, Subarticle 609-5(C)(6) Corrective Actions, first paragraph, first sentence, delete and replace with the following:

Immediately notify the Engineer when moving averages exceed the moving average limits.

Page 6-17, third full paragraph, delete and replace with the following:

Failure to stop production when required due to an individual mix test not meeting the specified requirements will subject all mix from the stop point tonnage to the point when the next individual test is back on or within the moving average limits, or to the tonnage point when production is actually stopped, whichever occurs first, to being considered unacceptable.

Sixth full paragraph, delete the first, second, and third sentence and replace with the following:

Immediately notify the Engineer when any moving average value exceeds the moving average limit. If two consecutive moving average values for any one of the mix control criteria fall outside the moving average limits, cease production of that mix, immediately

notify the Engineer of the stoppage, and make adjustments. The Contractor may elect to stop production after only one moving average value falls outside the moving average limits.

Page 6-18, Subarticle 609-5(C)(6) Corrective Actions second full paragraph, delete and replace with the following:

If the process adjustment improves the property in question such that the moving average after four additional tests is on or within the moving average limits, the Contractor may continue production with no reduction in payment

Page 6-18, delete the third and fourth full paragraphs, including the Table for Payment for Mix Produced in the Warning Bands and substitute the following:

If the adjustment does not improve the property in question such that the moving average after four additional individual tests is outside the moving average limits, the mix will be evaluated for acceptance in accordance with Article 105-3. Reduced payment for or removal of the mix in question will be applied starting from the plant sample tonnage at the stop point to the sample tonnage when the moving average is on or within the moving average limits. In addition, any mix that is obviously unacceptable will be rejected for use in the work.

Page 6-19, First paragraph, delete and replace with the following:

Failure to stop production and make adjustments when required due to two consecutive moving average values falling outside the moving average limits will subject all mix produced from the stop point tonnage to the tonnage point when the moving average is back on or within the moving average limits or to the tonnage point when production is actually stopped, whichever occurs first, to being considered unacceptable. Remove this material and replaced with materials which comply with the Specifications at no additional costs to the Department, unless otherwise approved. Payment will be made for the actual quantities of materials required to replace the removed quantities, not to exceed the original amounts.

Page 6-20, Subarticle 609-5(D)(1) General, delete the third full paragraph, and replace with the following:

Perform the sampling and testing at the minimum test frequencies as specified above. Should the density testing frequency fail to meet the minimum frequency as specified above, all mix without the required density test representation will be considered unsatisfactory. If the Engineer allows the mix to remain in place, payment will be made in accordance with Article 105-3.

Page 6-23, Subarticle 609-5(D)(5) Limited Production Procedure, delete the first paragraph including (a), (b), (c) and substitute the following:

Proceed on limited production when, for the same mix type and on the same contract, one of the following conditions occur (except as noted in the first paragraph below).

- (a) Two consecutive failing lots, except on resurfacing*
- (b) Three consecutive failing lots on resurfacing*
- (c) Two consecutive failing nuclear control strips.

* Resurfacing is defined as the first new uniform layer placed on an existing pavement.

Page 6-28, Subarticle 610-3(A) Mix Design-General, third sentence of the fourth paragraph:

Substitute 20% for 15%

First, second and third sentences of the fifth paragraph:

Substitute 20% for 15%

Page 6-28, Subarticle 610-3(A) Mix Design-General, add the following as the fourth paragraph:

Reclaimed Asphalt Pavement (RAP) or Reclaimed Asphalt Shingles (RAS) may be incorporated into asphalt plant mixes in accordance with Article 1012-1 and the following applicable requirements.

Page 6-35, Table 610-3 delete and replace with the following:

**TABLE 610-3
ASPHALT PLACEMENT- MINIMUM TEMPERATURE REQUIREMENTS**

Asphalt Concrete Mix Type	Minimum Air Temperature	Minimum Surface Temperature
ACBC, Type B 25.0B, C, B 37.5C	35°F	35°F
ACIC, Type I 19.0B, C, D	35°F	35°F
ACSC, Type S 4.75A, SF 9.5A, S 9.5B	40°F	50°F *
ACSC, Type S 9.5C, S 12.5C	45°F	50°F
ACSC, Type S 9.5D, S 12.5D	50°F	50°F

* 35°F if surface is soil or aggregate base for secondary road construction.

Page 6-44, Article 610-8 Spreading and Finishing, third full paragraph, replace the first sentence with the following:

Use the 30-foot minimum length mobile grade reference system or the non-contacting laser or sonar type ski *with at least four referencing stations mounted on the paver at a minimum length of 24 feet* to control the longitudinal profile when placing the initial lanes and all adjacent lanes of all layers, including resurfacing and asphalt in-lays, unless otherwise specified or approved.

Page 6-50, Article 610-13 Density Acceptance, delete the second paragraph and replace with the following:

As an exception, when the first layer of mix is a surface course and is being placed directly on an unprimed aggregate or soil base, the layer will be included in the "Other" construction category.

Page 6-53, Article 620-4 Measurement and Payment, sixth paragraph, delete the last sentence.

Page 6-54, Article 620-4 Measurement and Payment, add the following pay item:

Pay Item	Pay Unit
Asphalt Binder for Plant Mix, Grade PG 70-28	Ton

Page 6-69, Table 660-1 Material Application Rates and Temperatures, add the following:

Type of Coat	Grade of Asphalt	Asphalt Rate gal/yd ²	Application Temperature °F	Aggregate Size	Aggregate Rate lb./sq. yd. Total
Sand Seal	CRS-2 or CRS-2P	0.22-0.30	150-175	Blotting Sand	12-15

Page 6-75, Subarticle 660-9(B), add the following as sub-item (5)

- (5) Sand Seal

Place the fully required amount of asphalt material in one application and immediately cover with the seal coat aggregate. Uniformly spread the fully required amount of aggregate in one application and correct all non-uniform areas prior to rolling.

Immediately after the aggregate has been uniformly spread, perform rolling.

When directed, broom excess aggregate material from the surface of the seal coat.

When the sand seal is to be constructed for temporary sealing purposes only and will not be used by traffic, other grades of asphalt material meeting the

requirements of Articles 1020-6 and 1020-7 may be used in lieu of the grade of asphalt required by Table 660-1 when approved.

Page 6-76, Article 661-1 Description, add the following as the 2nd paragraph:

Provide and conduct the quality control and required testing for acceptance of the UBWC in accordance with "Quality Management System for Asphalt Pavements (OGAFC, PADL, and Ultra-Thin HMA Version)", included in the contract.

Page 6-80, Subarticle 661-3(A) Equipment, add the following as the first paragraph:

Use asphalt mixing plants in accordance with Article 610-5.

Page 10-41, Table 1012-1, delete the last row of entries for OGAFC and add the following:

Mix Type	Course Aggregate Angularity ^(b) ASTM D5821	Fine Aggregate Angularity % Minimum AASHTO T304 Method A	Sand Equivalent % Minimum AASHTO T176	Flat & Elongated 5:1 Ratio % Maximum ASTM D4791 Section 8.4
S 9.5 D	100/100	45	50	10
OGAFC	100/100	N/A	N/A	10
UBWC	100/85	40	45	10

Delete Note (c) under the Table 1012-1 and replace with the following:

- (c) Does not apply to Mix Types SF 9.5A and S 9.5B.

Page 10-43 through 10-45, Subarticle 1012-1(G), delete this in its entirety and replace with the following:

- (G) Reclaimed Asphalt Pavement (RAP)

- (1) Mix Design RAP

Incorporate RAP from stockpiles or other sources that have been tested for uniformity of gradation and binder content prior to use in an asphalt mix design. Use reclaimed asphalt pavement that meets all requirements specified for *one of* the following *two* classifications.

- (a) Millings

Existing reclaimed asphalt pavement (RAP) that is removed from its original location by a milling process as specified in Section 607. Millings should be such that it has a uniform gradation and binder content and all materials will pass a 2" sieve prior to introduction into the plant mixer unit.

(b) Processed RAP

RAP that is processed in some manner (possibly by crushing and / or use of a blending method) to produce a uniform gradation and binder content in the RAP prior to use in a recycled mix. Process RAP so that all materials have a uniform gradation and binder content and will pass a 2" sieve prior to introduction into the plant mixer unit.

(2) Mix Production RAP

During mix production use RAP that meets the criteria for one of the following categories:

(a) Mix Design RAP

RAP contained in the mix design stockpiles as described above may be used in all applicable JMFs. These stockpiles have been pretested; however, they are subject to required QC/QA testing in accordance with Subarticle 609-5(C)(2).

(b) New Source RAP

New Source RAP is defined as any acceptable material which was not included in the stockpile or other source when samples were taken for mix design purposes. Process new source RAP so that all materials have a uniform gradation and binder content and will pass a 2" sieve prior to introduction into the plant mixer unit.

After a stockpile of processed RAP or millings has been sampled and mix designs made from these samples, do not add new source RAP to the original stockpile without prior field testing to insure gradation and binder uniformity. Sample and test new source RAP before blending with the existing stockpile.

Store new source RAP in a separate stockpile until the material can be sampled and tested for comparison with the original recycled mix design data. New source RAP may also be placed against the existing stockpile in a linear manner provided it is sampled for mix design conformity prior to its use in the recycled mix.

Unprocessed RAP is asphalt material that was not milled and / or has not been processed to obtain a uniform gradation and binder content and is not representative of the RAP used during the applicable mix design. Unprocessed RAP shall not be incorporated into any JMFs prior to processing. Different sources of unprocessed RAP may be

stockpiled together provided it is generally free of contamination and will be processed prior to use in a recycled mix. RAP contamination in the form of excessive dirt, debris, clean stone, concrete, etc. will not be allowed. Incidental amounts of dirt, concrete, and clean stone may be acceptable. Unprocessed RAP may be processed and then classified as a new source RAP as described above.

Field approval of new source RAP will be based on Table 1012-2 below and volumetric mix properties on the mix with the new source RAP included. Provided the Table 1012-2 tolerances are met, volumetric properties of the new mix will then be performed. If all volumetric mix properties meet the mix design criteria for that mix type, the new source RAP may continue to be used.

If the gradation, binder content, or any of the volumetric mix properties are not within the allowable tolerances of Table 1012-2, do not use the new source RAP unless approved by the Engineer. The Contractor may elect to either not use the stockpile, to request an adjustment to the JMF, or to redesign the mix.

TABLE 1012-2 NEW SOURCE RAP GRADATION and BINDER TOLERANCES (Apply Tolerances to Mix Design Data)									
Mix Type	0-20% RAP			20 ⁺ -25 % RAP			25 ⁺ % RAP		
Sieve (mm)	Base	Inter.	Surf.	Base	Inter.	Surf.	Base	Inter.	Surf.
P _b %	± 0.7%			± 0.4%			± 0.3%		
25.0	±10	-	-	±7	-	-	±5	-	-
19.0	±10	±10	-	±7	±7	-	±5	±5	-
12.5	-	±10	±6	-	±7	±3	-	±5	±2
9.5	-	-	±8	-	-	±5	-	-	±4
4.75	±10	-	±10	±7	-	±7	±5	-	±5
2.36	±8	±8	±8	±5	±5	±5	±4	±4	±4
1.18	±8	±8	±8	±5	±5	±5	±4	±4	±4
0.300	±8	±8	±8	±5	±5	±5	±4	±4	±4
0.150	-	-	±8	-	-	±5	-	-	±4
0.075	±4	±4	±4	±2	±2	±2	±1.5	±1.5	±1.5

ASPHALT PAVER - FIXED AND MOBILE STRING LINE

10-21-03

DB6 R07

The Design Build Team's attention is directed to Article 610-8 of the 2006 *Standard Specifications for Roads and Structures* dealing with automatically controlled screeds on the asphalt pavement spreaders.

A mobile string line consisting of a 30 to 40-foot long ski is required for the widening and resurfacing on this project. A fixed string line is required for the new pavement construction on this project.

ASPHALT BINDER CONTENT OF ASPHALT PLANT MIXES

(10-6-05)

DB6 R15

The approximate asphalt binder content of the asphalt concrete plant mixtures used on this project will be as follows:

Asphalt Concrete Base Course	Type B 25.0_	4.3%
Asphalt Concrete Intermediate Course	Type I 19.0_	4.7%
Asphalt Concrete Surface Course	Type S 4.75_	7.0%
Asphalt Concrete Surface Course	Type SF 9.5_	6.5%
Asphalt Concrete Surface Course	Type S 9.5_	6.0%
Asphalt Concrete Surface Course	Type S 12.5_	5.5%

The actual asphalt binder content will be established during construction by Engineer within the limits established in the 2006 *Standard Specifications for Roads and Structures* or Project Special Provisions.

FINAL SURFACE TESTING - ASPHALT PAVEMENTS

(4/16/07)

DB6 R45

Perform acceptance testing of the longitudinal profile of the finished pavement surface in accordance with these provisions using a North Carolina Hearne Straightedge (Model No. 1). Furnish and operate the straightedge to determine and record the longitudinal profile of the pavement on a continuous graph. Final surface testing is an integral part of the paving operation and is subject to observation and inspection by the Engineer as deemed necessary.

Push the straightedge manually over the pavement at a speed not exceeding 2 miles per hour (3 kilometers per hour). For all lanes, take profiles in the right wheel path approximately 3 feet (1 m) from the right edge of pavement in the same direction as the paving operation, unless otherwise approved due to traffic control or safety considerations. Make one pass of the straightedge in each full width travel lane. The full lane width should be comparable in ride quality to the area evaluated with the Hearne Straightedge. If deviations exist at other locations across the lane width, utilize a 10-foot non-mobile straightedge or the Hearne Straightedge to evaluate which areas may require corrective action. Take profiles as soon as practical after the pavement has been rolled and compacted but in no event later than 24 hours following placement

of the pavement, unless otherwise authorized by the Engineer. Take profiles over the entire length of final surface travel lane pavement exclusive of -Y- line travel lanes less than or equal to 300 feet (90 meters) in length, turn lanes less than or equal to 300 feet (90 meters) in length, structures, approach slabs, paved shoulders, loops, and tapers or other irregular shaped areas of pavement, unless otherwise approved by the Engineer. Test in accordance with this provision all mainline travel lanes, full width acceleration or deceleration lanes, -Y- line travel lanes greater than 300 feet (90 meters) in length, ramps, full width turn lanes greater than 300 feet (90 meters) in length, and collector lanes.

At the beginning and end of each day's testing operations, and at such other times as determined necessary by the Engineer, operate the straightedge over a calibration strip so that the Engineer can verify correct operation of the straightedge. The calibration strip must be a 100-foot (30 m) section of pavement that is reasonably level and smooth. Submit each day's calibration graphs with that day's test section graphs to the Engineer. Calibrate the straightedge in accordance with the current NCDOT procedure titled "North Carolina Hearne Straightedge - Calibration and Determination of Cumulative Straightedge Index". Copies of this procedure may be obtained from the Department's Pavement Construction Section.

Plot the straightedge graph at a horizontal scale of approximately 25 feet per inch (3 m per cm) with the vertical scale plotted at a true scale. Record station numbers and references (bridges, approach slabs, culverts, etc.) on the graphs, and distances between references/stations must not exceed 100 feet (30 m). Have the operator record the Date, Project No., Lane Location, Wheel Path Location, Type Mix, and Operator's Name on the graph.

Upon completion of each day's testing, evaluate the graph, calculate the Cumulative Straightedge Index (CSI), and determine which lots, if any, require corrective action. Document the evaluation of each lot on a QA/QC-7 form. Submit the graphs along with the completed QA/QC-7 forms to the Engineer, within 24 hours after profiles are completed, for verification of the results. The Engineer will furnish results of their acceptance evaluation to the Design-Build Team within 48 hours of receiving the graphs. In the event of discrepancies, the Engineer's evaluation of the graphs will prevail for acceptance purposes. The Engineer will retain all graphs and forms.

Use blanking bands of 0.2 inches, 0.3 inches, and 0.4 inches (5 mm, 7.5 mm, and 10 mm) to evaluate the graph for acceptance. The 0.2 inch and 0.3 inch (5 mm and 7.5 mm) blanking bands are used to determine the Straightedge Index (SEI), which is a number that indicates the deviations that exceed each of the 0.2 inch and 0.3 inch (5 mm and 7.5 mm) bands within a 100 ft (30 m) test section. The Cumulative Straightedge Index (CSI) is a number representing the total of the SEIs for one lot, which consist of not more than 25 consecutive test sections. In addition, the 0.4 inch (10 mm) blanking band is used to further evaluate deviations on an individual basis. The Cumulative Straightedge Index (CSI) will be determined by the Engineer in accordance with the current procedure titled "North Carolina Hearne Straightedge - Calibration and Determination of Cumulative Straightedge Index".

The pavement will be accepted for surface smoothness on a lot by lot basis. A test section represents pavement one travel lane wide not more than 100 feet (30 m) in length. A lot will

consist of 25 consecutive test sections, except that separate lots will be established for each travel lane, unless otherwise approved by the Engineer. In addition, full width acceleration or deceleration lanes, ramps, turn lanes, and collector lanes, will be evaluated as separate lots.

If during the evaluation of the graphs, 5 lots (mainline travel lanes and full width -Y- line travel lanes greater than 300 feet in length only) require corrective action, then proceed on limited production for unsatisfactory laydown in accordance with Article 610-12. Proceeding on limited production is based upon the Design-Build Team's initial evaluation of the straightedge test results and must begin immediately upon obtaining those results. Additionally, the Engineer may direct the Design-Build Team to proceed on limited production in accordance with Article 610-12 due to unsatisfactory laydown or workmanship.

Limited production for unsatisfactory laydown is defined as being restricted to the production, placement, compaction, and final surface testing of a sufficient quantity of mix necessary to construct only 2500 feet (750 meter) of pavement at the laydown width. Once this lot is complete, the final surface testing graphs will be evaluated jointly by the Design-Build Team and the Engineer. Remain on limited production until such time as acceptable laydown results are obtained or until three consecutive 2500-foot (750-meter) sections have been attempted without achieving acceptable laydown results. The Engineer will determine if normal production may resume based upon the CSI for the limited production lot and any adjustments to the equipment, placement methods, and / or personnel performing the work. Once on limited production, the Engineer may require the Design-Build Team to evaluate the smoothness of the previous asphalt layer and take appropriate action to reduce and / or eliminate corrective measures on the final surface course. Additionally, the Design-Build Team may be required to demonstrate acceptable laydown techniques off the project limits prior to proceeding on the project.

If the Design-Build Team fails to achieve acceptable laydown results after three consecutive 2500-foot (750-meter) sections have been attempted, cease production of that mix type until such time as the cause of the unsatisfactory laydown results can be determined.

As an exception, the Engineer may grant approval to produce a different mix design of the same mix type if the cause is related to mix problem(s) rather than laydown procedures. If production of a new mix design is allowed, proceed under the limited production procedures detailed above.

After initially proceeding under limited production, the Design-Build Team shall immediately notify the Engineer if any additional lot on the project requires corrective action. The Engineer will determine if limited production procedures are warranted for continued production.

If the Design-Build Team does not operate by the limited production procedures as specified above, the 5 lots, which require corrective action, will be considered unacceptable and may be subject to removal and replacement.

The adjustment schedule for the Cumulative Straightedge Index (CSI) test results per lot is as follows:

Adjustment Schedule for Cumulative Straightedge Index (CSI) (Obtained by adding SE Index of up to 25 consecutive 100-foot (30m) sections)		
*CSI	ACCEPTANCE CATEGORY	CORRECTIVE ACTION
0-0	Acceptable	None
1-0 or 2-0	Acceptable	None
3-0 or 4-0	Acceptable	None
Any other Number	Unacceptable	Required

***Either Before or After Corrective Actions**

Correct any deviation that exceeds a 0.3 inch (7.5 mm) blanking band such that the deviation is reduced to 0.2 inches (5.0 mm) or less.

Corrective actions shall be performed at the Design-Build Team's expense and shall be presented for evaluation and approval by the Engineer prior to proceeding. Any corrective action performed shall not reduce the integrity or durability of the pavement which is to remain in place. Corrective action for deviation repair may consist of overlaying or removing and replacing. Scraping of the pavement with any blade type device will not be allowed as a corrective action. Provide overlays of the same type mix, full roadway width, and to the length and depth established by the Engineer. Tapering of the longitudinal edges of the overlay will not be allowed.

Take corrective actions as specified if the CSI indicates "Required" corrective action. The CSI after corrective action should meet or exceed "Acceptable" requirements.

Where corrective action is required, the test section(s) requiring corrective action will be retested, unless the Engineer directs the retesting of the entire lot.

Test sections and / or lots that are initially tested by the Design-Build Team which indicate excessive deviations such that corrective action is required, may be re-rolled with asphalt rollers while the mix is still warm and in a workable condition, to possibly correct the problem. In this instance, reevaluation of the test section(s) must be completed within 24 hours of pavement placement and these test results will serve as the initial test results.

Areas excluded from testing by the N.C. Hearne Straightedge will be tested by using a non-mobile 10-foot (3m) straightedge. Assure that the variation of the surface from the testing edge of the straightedge between any two contact points with the surface is not more than 1/8 inch (3mm). Correct deviations exceeding the allowable tolerance in accordance with the corrective actions specified above, unless the Engineer permits other corrective actions.

Furnish the North Carolina Hearne Straightedge(s) necessary to perform this work. Maintain responsibility for all costs relating to the procurement, handling, and maintenance of these

devices. The Department has entered into a license agreement with a manufacturer to fabricate, sell, and distribute the N.C. Hearne Straightedge. The Department's Pavement Construction Section may be contacted for the name of the current manufacturer and the approximate price of the straightedge.

CABLE GUIDERAIL

(12-19-06) (Revised 11-29-07)

DB8 R69

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 8-51, Article 865-1 Description, add the following as the second sentence of the first paragraph:

Install additional double faced cable guiderail posts without cable at median hazards as shown in Roadway Standard Drawing No. 865.01 (Sheet 1 of 12)

Page 8-52, Article 865-2 Materials, add the following as the last paragraph:

Additional guiderail posts shall be double faced guiderail intermediate posts.

IMPACT ATTENUATOR UNITS, TYPE 350

(4/20/04) (Rev. 7-18-06)

DB8 R75

Description

Furnish and install impact attenuator units and any components necessary to connect the impact attenuator units in accordance with the manufacturer's requirement, the details in the plans and at locations shown in the plans.

Materials

NON-GATING IMPACT ATTENUATOR UNITS:

The impact attenuator unit (QUADGUARD) as manufactured by:

ENERGY ABSORPTION SYSTEMS, INC.
ONE EAST WACKER DRIVE
CHICAGO, ILLINOIS 60601-2076
TELEPHONE: 312-467-6750

The impact attenuator unit (TRACC) as manufactured by:

TRINITY INDUSTRIES, INC.
2525 N. STEMMONS FREEWAY
DALLAS, TEXAS 75207
TELEPHONE: 1-800-644-7976

GATING IMPACT ATTENUATOR UNITS:

The impact attenuator unit (BRAKEMASTER) as manufactured by:

ENERGY ABSORPTION SYSTEMS, INC.
ONE EAST WACKER DRIVE
CHICAGO, ILLINOIS 60601-2076
TELEPHONE: 312-467-6750

The impact attenuator unit (CAT) as manufactured by:

TRINITY INDUSTRIES, INC.
2525 N. STEMMONS FREEWAY
DALLAS, TEXAS 75207
TELEPHONE: 1-800-644-7976

Prior to installation the Design-Build Team shall submit to the Engineer:

1. FHWA acceptance letter for each impact attenuator unit certifying it meets the requirements of NCHRP Report 350, Test Level 3, in accordance with Section 106-2 of the 2006 *Standard Specifications for Roads and Structures*.
2. Certified working drawings and assembling instructions from the manufacturer for each impact attenuator unit in accordance with Section 105-2 of the 2006 *Standard Specifications for Roads and Structures*.

No modifications shall be made to the impact attenuator unit without the express written permission from the manufacturer. Perform installation in accordance with the details in the plans, and details and assembling instructions furnished by the manufacturer.

Construction Methods

If the median width is 40 feet or less, the Design-Build Team shall supply one of the NON-GATING Impact Attenuator Units listed in the Materials Section herein.

If the median width is greater than 40 feet, the Design-Build Team may use any of the GATING or NON-GATING Impact Attenuator Units listed in the Materials Section herein.

FENCE

(3-6-06)

DB8 R86

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 8-54, Subarticle 866-3(A), second sentence,

Add *existing fencing* after stumps

STREET SIGNS AND MARKERS AND ROUTE MARKERS

(7-1-95)

DB9 R01

Move any existing street signs, markers, and route markers out of the construction limits of the project and install the street signs and markers and route markers so that they will be visible to the traveling public if there is sufficient right of way for these signs and markers outside of the construction limits.

Near the completion of the project and when so directed by the Engineer, move the signs and markers and install them in their proper location in regard to the finished pavement of the project.

Stockpile any signs or markers that cannot be relocated due to lack of right of way, or any signs and markers that will no longer be applicable after the construction of the project, at locations directed by the Engineer for removal by others.

The Design-Build Team shall be responsible to the owners for any damage to any street signs and markers or route markers during the above described operations.

STEEL U-CHANNEL POSTS

(7-18-06)

DB9 R02

Amend the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 9-15 Subarticle 903-3(D) first paragraph, last sentence, delete the last sentence and add the following:

Use posts of sufficient length to permit the appropriate sign mounting height. Spliced posts are not permitted on new construction.

SHIPPING SIGNS

(5-15-07)

DB9 R03

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 9-2, Section 901-3(A), General, add the following as the 7th paragraph:

Ship all multi-panel signs to the project intact, completely assembled and ready to be hung. Fabricate signs taller than 12 feet as 2 separate signs with a horizontal splice, ready to be spliced and hung. No assembly other than a horizontal splice will be permitted.

AGGREGATE PRODUCTION

(11-20-01)

DB10 R05

Provide aggregate from a producer who utilizes the new Aggregate Quality Control / Quality Assurance Program that is in effect at the time of shipment.

No price adjustment is allowed to Design-Build Team or producers who utilize the new program. Participation in the new program does not relieve the producer of the responsibility of complying with all requirements of the 2006 *Standard Specifications for Roads and Structures*. Copies of this procedure are available upon request from the Materials and Test Unit.

CONCRETE BRICK AND BLOCK PRODUCTION

(11-20-01)

DB10 R10

Provide concrete brick and block from a producer who utilizes the new Solid Concrete Masonry Brick / Unit Quality Control / Quality Assurance Program that is in effect on the date that material is received on the project.

No price adjustment is allowed to Design-Build Team or producers who utilize the new program. Participation in the new program does not relieve the producer of the responsibility of complying with all requirements of the 2006 *Standard Specifications for Roads and Structures*. Copies of this procedure are available upon request from the Materials and Test Unit.

PORTLAND CEMENT CONCRETE (Alkali-Silica Reaction)

(2-20-07)

DB10 R16

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Article 1024-1(A), replace the 2nd paragraph with the following:

Certain combinations of cement and aggregate exhibit an adverse alkali-silica reaction. The alkalinity of any cement, expressed as sodium-oxide equivalent, shall not exceed 1.0 percent. For mix designs that contain non-reactive aggregates and cement with an alkali content less than 0.6%, straight cement or a combination of cement and fly ash, cement and ground granulated blast furnace slag or cement and microsilica may be used. The pozzolan quantity shall not exceed the amount shown in Table 1024-1. For mixes that contain cement with an alkali content between 0.6% and 1.0%, and for mixes that contain a reactive aggregate documented by the Department, regardless of the alkali content of the cement, use a pozzolan in the amount shown in Table 1024-1.

Obtain the list of reactive aggregates documented by the Department at the following website:

<http://www.ncdot.org/doh/operations/materials/pdf/quarryasrprob.pdf>

Table 1024-1	
Pozzolans for Use in Portland Cement Concrete	
<i>Pozzolan</i>	<i>Rate</i>
Class F Fly Ash	20% by weight of required cement content, with 1.2 lbs Class F fly ash per lb of cement replaced
Ground Granulated Blast Furnace Slag	35%-50% by weight of required cement content with 1 lb slag per lb of cement replaced
Microsilica	4%-8% by weight of required cement content, with 1 lb microsilica per lb of cement replaced

GLASS BEADS

(7-18-06)

DB10 R35

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 10-223, 1087-4(C) Gradation & Roundness

Replace the second sentence of the first paragraph with the following:

All Drop-On and Intermixed Glass Beads shall be tested in accordance with ASTM D1155.

Delete the last paragraph.

ENGINEERING FABRICS TABLE 1056-1

(7-18-06)

DB10 R40

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 10-100, Table 1056-1, replace the values for Trapezoidal Tear Strength with the following:

Physical Property	ASTM Test Method	Type 1	Type 2	Type 3		Type 4
				Class A	Class B	
Typical Applications		Shoulder Drain	Under Riprap	Temporary Silt Fence		Soil Stabilization
Trapezoidal Tear Strength	D4533	45 lb	75 lb	--	--	75 lb

PAINT SAMPLING AND TESTING:

(8-15-06)

DB10 R 45

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 10-190, Article 1080-4, Delete the first paragraph and replace with the following:

All paint will be sampled, either at the point of manufacture or at the point of destination. Inspection and sampling will be performed at the point of manufacture wherever possible. The Design-Build Team shall not begin painting until the analysis of the paint has been performed, and the paint has been accepted.

PORTABLE CONCRETE BARRIER

(2-20-07)

DB10 R50

The 2006 *Standard Specifications for Roads and Structures* is revised as follows:

Page 10-245, Article 1090-1(A) General, add the following after the first sentence:

The requirement for approved galvanized connectors will be waived if the barrier remains the property of the Design-Build Team.

TEMPORARY SHORING

(09/25/07)

DB11 R02

Description

Design and construct temporary shoring in accordance with the contract. Temporary shoring includes standard shoring, temporary mechanically stabilized earth (MSE) walls and non-anchored temporary shoring. Trench boxes are not considered temporary shoring. "Standard shoring" refers to *standard temporary shoring* and *standard temporary MSE walls*. Notes on plans may restrict the use of one or both types of standard shoring. Notes on plans may also require or prohibit temporary MSE walls.

Unless noted otherwise on the plans, temporary shoring is required as shown on the plans and to maintain traffic. Temporary shoring to maintain traffic is defined as shoring necessary to provide lateral support to the side of an excavation or embankment parallel to an open travelway when a theoretical 2:1 (H:V) slope from the bottom of the excavation or embankment intersects the existing ground line closer than 5 feet from the edge of pavement of the open travelway.

This provision is not applicable to anchored temporary shoring or the installation of pipes, drop inlets and utilities unless noted otherwise on the plans. Provide all shoring submittals before beginning work.

Materials

(A) Certifications, Storage and Handling

Provide Type 7 Contractor's Certifications in accordance with Article 106-3 of the 2006 *Standard Specifications for Roads and Structures* for all shoring materials used with the exception of reinforcing fabrics and geogrids. Furnish Type 2 Typical Certified Mill Test Reports in accordance with Article 106-3 of the 2006 *Standard Specifications for Roads and Structures* for all seam strengths and reinforcing fabric and geogrid properties. Provide minimum average roll values (MARV) in accordance with ASTM D4759 for test

reports. For testing reinforcing fabric and geogrids, a lot is defined as a single day's production.

Load, transport, unload and store shoring materials such that they are kept clean and free of damage. Identify, store and handle all geogrids and geotextile fabrics in accordance with ASTM D4873. Geogrids and fabrics with defects, flaws, deterioration or damage will be rejected. Do not leave fabrics or geogrids uncovered for more than 7 days.

(B) Shoring Backfill

Use shoring backfill for the construction of all temporary shoring including backfilling behind non-anchored temporary shoring and in the reinforced zone for temporary MSE walls. Unless backfilling around culverts, use shoring backfill that meets the requirements of Class II Type I, Class III, Class V or Class VI select material in accordance with Section 1016 of the 2006 *Standard Specifications for Roads and Structures* or AASHTO M145 for soil classification A-2-4 with a maximum plasticity index (PI) of 6. For backfilling around culverts, use shoring backfill as defined herein except for A-2-4 soil.

(C) Non-anchored Temporary Shoring

Use steel shapes, plates and piles that meet the requirements of ASTM A36 and steel sheet piles that meet the requirements of Article 1084-2 of the 2006 *Standard Specifications for Roads and Structures*. Use timber lagging with a minimum allowable bending stress of 1000 psi that meets the requirements of Article 1082-1 of the 2006 *Standard Specifications for Roads and Structures*. For standard temporary shoring, use pile sections and lengths and lagging sizes as shown on the plans.

(D) Temporary MSE Walls

Use welded wire reinforcement forms, facings, mesh and mats that meet the requirements of AASHTO M55 or M221. Use connector bars and wires for welded wire wall components and support struts that meet the requirements of AASHTO M32. For standard temporary MSE walls, use wire gauges, strut sizes and welded wire components as shown on the plans.

(1) Geotextile Fabrics

Use geotextile fabrics that meet the requirements of Article 1056-1 of the 2006 *Standard Specifications for Roads and Structures*.

(a) Reinforcing Fabric

The reinforcement direction (RD) is defined as the direction perpendicular to the wall face and the cross-reinforcement direction (CRD) is defined as the direction parallel to the wall face.

Use woven polyester or polypropylene fabric that meets the following properties:

Property	Test Method	Requirement (MARV)
Wide Width Tensile Strength @ Ultimate (RD)	ASTM D4595	Varies – 200 lb/in min
Wide Width Tensile Strength @ Ultimate (CRD)	ASTM D4595	100 lb/in min
Trapezoidal Tear Strength	ASTM D4533	100 lb min
CBR Puncture Strength	ASTM D6241	600 lb min
UV Resistance after 500 hrs	ASTM D4355	70 %
Apparent Opening Size (AOS), US Sieve	ASTM D4751	20 min – 70 max
Permittivity	ASTM D4491	0.20 sec ⁻¹

For standard temporary MSE walls (temporary fabric wall) use reinforcing fabric wide width tensile strengths and lengths in the RD as shown on the plans.

(b) Retention Fabric

Retain shoring backfill at the face of temporary MSE walls with retention fabric. Use fabric that meets the requirements of Class 3 and the UV resistance, AOS and permittivity for separation geotextile in accordance with AASHTO M288.

(2) SierraScape Temporary Wall

Use uniaxial (UX) geogrids composed of high-density polyethylene (HDPE) manufactured by Tensar Earth Technologies. Test geogrids in accordance with ASTM D6637. Use connection rods manufactured by Tensar Earth Technologies to transfer the load between the facings and geogrids.

For standard temporary MSE walls (SierraScape temporary wall) use geogrid types and lengths as shown on the plans.

(3) Terratrel Temporary Wall

Use ribbed reinforcing steel strips manufactured by The Reinforced Earth Company that meet the requirements of ASTM A572, Grade 65. Use connector rods that meet the requirements of AASHTO M31, Grade 60 and hair pin connectors that meet the requirements of ASTM A1011, Grade 50. Use bolts, nuts and washers that meet the requirements of AASHTO M164.

For standard temporary MSE walls (Terratrel temporary wall) use ribbed steel strip size and lengths, rod lengths and diameters, hairpin connectors, bolts, nuts and washers as shown on the plans.

Embedment

“Embedment” is defined as the depth of shoring below the bottom of the excavation or the grade in front of the shoring. For cantilever shoring, embedment is the depth of the piling below the grade in front of the shoring. For temporary MSE walls, embedment is the difference between the grade elevation in front of the wall and the elevation of the bottom of the reinforced zone.

Portable Concrete Barriers

Provide portable concrete barriers in accordance with the plans and if shoring is located within the clear zone as defined in the *AASHTO Roadside Design Guide*. Use NCDOT portable concrete barriers (PCBs) in accordance with Roadway Standard Drawing No. 1170.01 and Section 1170 of the 2006 *Standard Specifications for Roads and Structures*. Use Oregon Tall F-Shape Concrete Barriers in accordance with detail drawing and special provision obtained from:

<http://www.ncdot.org/doh/preconstruct/wztc/DesRes/English/DesResEng.html>

The clear distance is defined as the horizontal distance from the back face of the barrier to the edge of pavement and the minimum required clear distance is shown on the traffic control plans. At the Contractor’s option or if the minimum required clear distance is not available, set an unanchored PCB against the traffic side of the shoring and design shoring for traffic impact or use the “surcharge case with traffic impact” for the standard temporary shoring. An anchored PCB or Oregon barrier is required for barriers above and behind temporary MSE walls.

Contractor Designed Shoring

“Contractor designed shoring” is defined as non-anchored temporary shoring or temporary MSE walls designed by the Contractor. Unless prohibited or required, Contractor designed shoring is optional. Contractor designed shoring is required when notes on plans prohibit the use of standard shoring. Non-anchored Contractor designed shoring is prohibited when notes on plans require the use of temporary MSE walls and Contractor designed temporary MSE walls are prohibited when notes on plans prohibit the use of temporary MSE walls.

Before beginning design, survey the shoring location to determine existing elevations and actual design heights. Submit design calculations and drawings including typical sections for review and acceptance showing details of the proposed design and construction sequence in accordance with Article 105-2 of the 2006 *Standard Specifications for Roads and Structures*. Have shoring designed, detailed and sealed by a Professional Engineer registered in the State of North Carolina. Submit 3 hard copies of design calculations and 10 hard copies of drawings and an electronic copy (pdf or jpeg format on CD or DVD) of both the calculations and drawings.

Design non-anchored temporary shoring in accordance with the *AASHTO Guide Design Specifications for Bridge Temporary Works* and temporary MSE walls in accordance with the

AASHTO *Allowable Stress Design Standard Specifications for Highway Bridges*. Use the following soil parameters for shoring backfill in the reinforced zone.

Total Unit Weight = 120 pcf

Friction Angle = 30 degrees

Cohesion = 0 psf

Design temporary shoring in accordance with the in-situ assumed soil parameters shown on the plans. Design shoring for a 3-year design service life and a traffic surcharge equal to 240 psf. This surcharge is not applicable for construction traffic. If a construction surcharge will be present within a horizontal distance equal to the height of the shoring, design the shoring for the required construction surcharge. If the edge of pavement or a structure to be protected is within a horizontal distance equal to the height of the shoring, design shoring for a maximum deflection of 3". Otherwise, design shoring for a maximum deflection of 6".

For non-anchored temporary shoring, the top of shoring elevation is defined as the elevation where the grade intersects the back face of the shoring. For traffic impact, apply 2 kips / ft to the shoring 1.5 feet above the top of shoring elevation. When designing for traffic impact, extend shoring at least 32" above the top of shoring elevation. Otherwise, extend shoring at least 6" above the top of shoring elevation.

Standard Shoring

Unless notes on plans prohibit the use of one or both types of standard shoring, standard shoring is optional. Submit a "Standard Temporary MSE Wall Selection Form" for each standard temporary MSE wall location and a "Standard Temporary Shoring Selection Form" for up to three standard temporary shoring locations. Submit selection forms at least 14 days before beginning shoring construction. Obtain standard shoring selection forms from:

<http://www.ncdot.org/doh/preconstruct/highway/geotech/formdet/standards.html>

(A) Standard Temporary Shoring

Determine the shoring height, traffic impact, groundwater condition and slope or surcharge case for each standard temporary shoring location. Determine the minimum required extension, embedment and sheet pile section modulus or H pile section from the plans for each location.

(B) Standard Temporary MSE Walls

Choose a standard temporary MSE wall from the multiple temporary MSE wall options shown in the plans. Do not use more than one option per wall location.

Step bottom of reinforced zone in increments equal to vertical reinforcement spacing for the wall option chosen. Determine the wall height and slope or surcharge case for each section of standard temporary MSE wall. With the exception of either the first or last section of wall, use horizontal section lengths in increments equal to the following for the wall option chosen.

Standard Temporary MSE Wall Option	Increment
Temporary Fabric Wall	9 ft min (varies)
Hilfiker Temporary Wall	10 ft min (varies)
SierraScape Temporary Wall	18 ft – 7 ¼ in
Retained Earth Temporary Wall	24 ft
Terratrel Temporary Wall	19 ft – 8 in

Determine the appropriate facings and / or forms and reinforcement length, spacing, strength, type, density and / or size from the plans for each wall section.

Construction Methods

When using an anchored PCB, anchor the barrier in accordance with Roadway Standard Drawing 1170.01 and Section 1170 of the 2006 *Standard Specifications for Roads and Structures*. Control drainage during construction in the vicinity of temporary shoring. Collect and direct run off away from temporary MSE walls, shoring and shoring backfill.

(A) Non-anchored Temporary Shoring

Install and interlock sheet piling or install piles as shown on the plans or accepted submittals with a tolerance of 1/2 inch per foot from vertical. Contact the Engineer if the design embedment is not achieved. If piles are placed in drilled holes, perform pile excavation to the required elevations and backfill excavations with concrete and lean sand grout.

Remove grout as necessary to install timber lagging. Install timber lagging with a minimum bearing distance of 3” on each pile flange. Backfill voids behind lagging with shoring backfill.

Perform welding in accordance with the accepted submittals and Article 1072-20 of the 2006 *Standard Specifications for Roads and Structures*.

(1) Pile Excavation

Excavate a hole with a diameter that will result in at least 3” of clearance around the entire pile. Use equipment of adequate capacity and capable of drilling through soil and non-soil including rock, boulders, debris, man-made objects and any other materials encountered. Blasting is not permitted to advance excavations. Blasting for core removal is permitted only when approved by the Engineer. Dispose of drilling spoils in accordance with Section 802 of the 2006 *Standard Specifications for Roads and Structures*. Drilling spoils consist of all excavated material including water removed from excavations by either pumping or drilling tools.

If unstable, caving or sloughing soils are encountered, stabilize excavations with clean watertight steel casing. Steel casings may be either sectional type or one continuous corrugated or non-corrugated piece. Provide casings of ample strength to withstand handling and driving stresses and the pressures imposed by concrete, earth or backfill. Use steel casings with an outside diameter equal to the hole size and a minimum wall thickness of 1/4 inch.

Before placing concrete, check the water inflow rate in the excavation after any pumps have been removed. If the inflow rate is less than 6" per half-hour, remove any water and free fall the concrete into the excavation. Ensure that concrete flows completely around the pile. If the water inflow rate is greater than 6" per half-hour, propose and obtain approval of the concrete placement procedure before placing concrete.

Center the pile in the excavation and fill the excavation with Class A concrete in accordance with Section 1000 of the 2006 *Standard Specifications for Roads and Structures* except as modified herein. Provide concrete with a slump of 6 to 8 inches. Use an approved high-range water reducer to achieve this slump. Place concrete in a continuous manner to the bottom of shoring or the elevations shown on the accepted submittals. Fill the remainder of the excavation with a lean sand grout and remove all casings.

(B) Temporary MSE Walls

The Engineer may require a wall preconstruction meeting to discuss the construction and inspection of the temporary MSE walls. If required, conduct the meeting with the Site Superintendent, the Resident or Bridge Maintenance Engineer, the Bridge Construction Engineer and the Geotechnical Operations Engineer before beginning wall construction.

Perform all necessary clearing and grubbing in accordance with Section 200 of the 2006 *Standard Specifications for Roads and Structures*. Excavate as necessary as shown on the plans or accepted submittals. Notify the Engineer when foundation excavation is complete. Do not place shoring backfill or first reinforcement layer until obtaining approval of the excavation depth and foundation material.

If applicable, install foundations located within the reinforced zone in accordance with the plans or accepted submittals.

Erect and maintain facings and forms as shown on the plans or accepted submittals. Stagger vertical joints of facings and forms to create a running bond when possible unless shown otherwise on the plans or accepted submittals.

Place facings and forms as near to vertical as possible with no negative batter. Construct temporary MSE walls with a vertical and horizontal tolerance of 3" when measured with a 10-foot straight edge and an overall vertical plumbness (batter) and horizontal alignment of less than 6".

Place reinforcement at locations and elevations shown on the plans or accepted submittals and in slight tension free of kinks, folds, wrinkles or creases. Repair or replace any damaged reinforcement. Contact the Engineer when existing or future structures such as foundations, pavements, pipes, inlets or utilities will interfere with reinforcement. To avoid structures, deflect, skew and modify reinforcement.

Do not splice reinforcement in the reinforcement direction (RD), i.e., parallel to the wall face. Seams are allowed in the cross-reinforcement direction (CRD). Bond or sew adjacent reinforcing fabric together or overlap fabric a minimum of 18" with seams oriented perpendicular to the wall face.

Place shoring backfill in 8 to 10-inch thick lifts and compact in accordance with Subarticle 235-4(C) of the 2006 *Standard Specifications for Roads and Structures*. Use only hand operated compaction equipment within 3 ft of the wall face. Do not damage reinforcement when placing and compacting shoring backfill. End dumping directly on the reinforcement is not permitted. Do not operate heavy equipment on reinforcement until it is covered with at least 10" of shoring backfill. Do not use sheepsfoot, grid rollers or other types of compaction equipment with feet.

Cover reinforcing and retention fabric with at least 3" of shoring backfill. Place top reinforcement layer between 4 and 24 inches below top of wall as shown on the plans or accepted submittals.

Bench temporary MSE walls into the sides of excavations where applicable. If the top of wall is within 5 feet of finished grade, remove top form or facing and incorporate the top reinforcement layer into the fill when placing fill in front of the wall. Temporary MSE walls remain in place permanently unless required otherwise.

CHANGEABLE MESSAGE SIGNS

(11-21-06)

DB11 R 11

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 11-9, Article 1120-3, Replace the 3rd sentence with the following:

Sign operator will adjust flash rate so that no more than two messages will be displayed and be legible to a driver when approaching the sign at the posted speed.

PAVEMENT MARKING LINES

(11-21-06) (Rev. 9-18-07)

DB 12 R001

Revise the 2006 *Standard Specifications for Roads and Structures* as follows:

Page 12-2, 1205-3(D) Time Limitations for Replacement, add the following at the beginning of the chart:

Facility Type	Marking Type	Replacement Deadline
Full-control-of-access multi-lane roadway (4 or more total lanes) and ramps, including Interstates	All markings including symbols	By the end of each workday's operation if the lane is opened to traffic

ON-THE-JOB TRAINING

(10-16-07)

Z-10

Description

The North Carolina Department of Transportation will administer a custom version of the Federal On-the-Job Training (OJT) Program, commonly referred to as the Alternate OJT Program. All contractors (existing and newcomers) will be automatically placed in the Alternate Program. Standard OJT requirements typically associated with individual projects will no longer be applied at the project level. Instead, these requirements will be applicable on an annual basis for each contractor.

On the Job Training shall meet the requirements of 23 CFR 230.107 (b), 23 USC – Section 140, this provision and the On-the-Job Training Program Manual.

The Alternate OJT Program will allow a contractor to train employees on Federal, State and privately funded projects located in North Carolina. However, priority must be given to training employees on Federal funded projects.

Minorities and Women

Training and upgrading of minorities and women toward journeymen status is a primary objective of this provision. Accordingly, the Contractor shall make every effort to enroll minority trainees and women to the extent that such persons are available within a reasonable area of recruitment. This training commitment is not intended, and shall not be used, to discriminate against any applicant for training, whether or not members of a minority group.

Assessing Training Goals

The Department through the On-The-Job Training (OJT) Program Manager of the Contractor Support Services Section within the UCP, Training and HBCU/MIHE Services Unit will assign training goals for a calendar year based on past three years' activity and anticipated upcoming year's activity with the Department. At the beginning of each year, all contractors will be contacted by the Department to determine the number of trainees that will be assigned to the Contractor for that calendar year. At that time the Contractor shall enter into an agreement with the Department to provide a self-imposed on-the-job training program for the calendar year. This

agreement will include a specific number of annual training slots agreed to by both parties. The number of training slots may range from 1 to 15 per contractor per calendar year. The Contractor shall sign an agreement to fulfill their goal for the year. A sample agreement is available at www.ncdot.org/business/ocs/ojt/.

Training Classifications

The Contractor shall provide on-the-job training aimed at developing full journey workers in the construction crafts. Preference shall be given to providing training in the following skilled work classifications:

Equipment Operators	Office Engineers
Truck Drivers	Estimators
Carpenters	Iron / Reinforcing Steel Workers
Concrete Finishers	Mechanics
Pipe Layers	Welders

The Department has established common training classifications and their respective training requirements that may be used by the contractors. However, the classifications established are not all-inclusive. Where the training is oriented toward construction applications, training will be allowed in lower-level management positions such as office engineers, estimators and timekeepers. Contractors shall submit new classifications for specific job functions that their employees are performing. The Department will review and recommend for acceptance to FHWA the new classifications proposed by contractors, if applicable. New classifications shall meet the following requirements:

Proposed training classifications are reasonable and realistic based on the job skill classification needs, and

The number of training hours specified in the training classification is consistent with common practices and provides enough time for the trainee to obtain journeyman level status.

The Contractor may allow trainees to be trained by a subcontractor provided that the Contractor retains primary responsibility for meeting the training and this provision is made applicable to the subcontract. However, only the Contractor will receive credit towards the annual goal for the trainee.

Where feasible, 25 percent of apprentices or trainees in each occupation shall be in their first year of apprenticeship or training. The number of trainees shall be distributed among the work classifications on the basis of the contractor's needs and the availability of journeymen in the various classifications within a reasonable area of recruitment.

No employee shall be employed as a trainee in any classification in which they have successfully completed a training course leading to journeyman status or in which they have been employed as a journeyman.

Records and Reports

The Contractor shall furnish the trainee a copy of the training program to be followed. Additionally, the Contractor shall provide each trainee with a certification showing the type and length of training satisfactorily completed.

The Contractor will maintain and furnish monthly reports documenting company compliance under these contract documents. This information shall be provided to the On-The-Job Training (OJT) Program Manager of the Contractor Support Services Section within the UCP, Training and HBCU / MIHE Services Unit.

Trainee Wages

Contractors shall compensate trainees on a graduating pay scale based upon a percentage of the prevailing minimum journeyman wages (Davis-Bacon Act). Minimum pay shall be as follows:

- 60 percent of the journeyman wage for the first half of the training period
- 75 percent of the journeyman wage for the third quarter of the training period
- 90 percent of the journeyman wage for the last quarter of the training period

In no instance shall a trainee be paid less than the local minimum wage. It is the Contractor's responsibility to adhere to the minimum rate that will satisfy both the NCDOL and the Department.

Achieving or Failing to Meet Training Goals

The Contractor will be credited for each trainee employed by him on the contract work who is currently enrolled or becomes enrolled in an approved program and who receives training for at least 50 percent of the specific program requirement. Trainees will be allowed to be transferred between projects if required by the Contractor's workload scheduling.

If a contractor fails to attain their training assignments for the calendar year, they may be taken off the Bidders List.

Measurement and Payment

No compensation will be provided for providing training required by the contract documents.

STANDARD SPECIAL PROVISION**AVAILABILITY OF FUNDS – TERMINATION OF CONTRACTS**

(05-20-08)

Z-2

General Statute 143C-6-11. (h) Highway Appropriation is hereby incorporated verbatim in this contract as follows:

“(h) Amounts Encumbered – Transportation project appropriations may be encumbered in the amount of allotments made to the Department of Transportation by the Director for the estimated payments for transportation project contract work to be performed in the appropriation fiscal year. The allotments shall be multiyear allotments and shall be based on estimated revenues and shall be subject to the maximum contract authority contained in *General Statute 143C-6-11(c)*. Payment for transportation project work performed pursuant to contract in any fiscal year other than the current fiscal year is subject to appropriations by the General Assembly. Transportation project contracts shall contain a schedule of estimated completion progress, and any acceleration of this progress shall be subject to the approval of the Department of Transportation provided funds are available. The State reserves the right to terminate or suspend any transportation project contract, and any transportation project contract shall be so terminated or suspended if funds will not be available for payment of the work to be performed during that fiscal year pursuant to the contract. In the event of termination of any contract, the contractor shall be given a written notice of termination at least 60 days before completion of scheduled work for which funds are available. In the event of termination, the contractor shall be paid for the work already performed in accordance with the contract specifications.”

Payment will be made on any contract terminated pursuant to the special provision in accordance with Article 108-13(E), of the *North Carolina Department of Transportation Standard Specifications for Roads and Structures*, dated July 1, 2006.

***** STANDARD SPECIAL PROVISIONS *******NCDOT GENERAL SEED SPECIFICATIONS FOR SEED QUALITY**

(5-17-05)

Z-3

Seed shall be sampled and tested by the North Carolina Department of Agriculture and Consumer Services, Seed Testing Laboratory. When said samples are collected, the vendor shall supply an independent laboratory report for each lot to be tested. Results from seed so sampled shall be final. Seed not meeting the specifications shall be rejected by the Department of Transportation and shall not be delivered to North Carolina Department of Transportation warehouses. If seed has been delivered it shall be available for pickup and replacement at the supplier's expense.

Any re-labeling required by the North Carolina Department of Agriculture and Consumer Services, Seed Testing Laboratory, that would cause the label to reflect as otherwise specified herein shall be rejected by the North Carolina Department of Transportation.

Seed shall be free from seeds of the noxious weeds Johnsongrass, Balloonvine, Jimsonweed, Witchweed, Itchgrass, Serrated Tussock, Showy Crotalaria, Smooth Crotalaria, Sicklepod, Sandbur, Wild Onion, and Wild Garlic. Seed shall not be labeled with the above weed species on the seed analysis label. Tolerances as applied by the Association of Official Seed Analysts will NOT be allowed for the above noxious weeds except for Wild Onion and Wild Garlic.

Tolerances established by the Association of Official Seed Analysts will generally be recognized. However, for the purpose of figuring pure live seed, the found pure seed and found germination percentages as reported by the North Carolina Department of Agriculture and Consumer Services, Seed Testing Laboratory will be used. Allowances, as established by the NCDOT, will be recognized for minimum pure live seed as listed on the following pages.

The specifications for restricted noxious weed seed refers to the number per pound as follows:

<u>Restricted Noxious Weed</u>	<u>Limitations per Lb. Of Seed</u>	<u>Restricted Noxious Weed</u>	<u>Limitations per Lb. of Seed</u>
Blessed Thistle	4 seeds	Bermudagrass	27 seeds
Cocklebur	4 seeds	Cornflower (Ragged Robin)	27 seeds
Spurred Anoda	4 seeds	Texas Panicum	27 seeds
Velvetleaf	4 seeds	Bracted Plantain	54 seeds
Morning-glory	8 seeds	Buckhorn Plantain	54 seeds
Corn Cockle	10 seeds	Broadleaf Dock	54 seeds
Wild Radish	12 seeds	Curly Dock	54 seeds
Purple Nutsedge	27 seeds	Dodder	54 seeds
Yellow Nutsedge	27 seeds	Giant Foxtail	54 seeds
Canada Thistle	27 seeds	Horsenettle	54 seeds
Field Bindweed	27 seeds	Quackgrass	54 seeds
Hedge Bindweed	27 seeds	Wild Mustard	54 seeds

Seed of Pensacola Bahiagrass shall not contain more than 7% inert matter, Kentucky Bluegrass and Fine or Hard Fescue shall not contain more than 5% inert matter whereas a maximum of 2% inert matter will be allowed on all other kinds of seed. In addition, all seed shall not contain

more than 2% other crop seed or more than 1% total weed seed. The germination rate as tested by the North Carolina Department of Agriculture shall not fall below 70%, which includes both dormant and hard seed. Seed shall be labeled with not more than 7%, 5% or 2% inert matter (according to above specifications), 2% other crop seed and 1% total weed seed.

Exceptions may be made for minimum pure live seed allowances when cases of seed variety shortages are verified. Pure live seed percentages will be applied in a verified shortage situation. Those purchase orders of deficient seed lots will be credited with the percentage that the seed is deficient.

FURTHER SPECIFICATIONS FOR EACH SEED GROUP ARE GIVE BELOW:

Minimum 85% pure live seed; maximum 1% total weed seed; maximum 2% total other crop seed; maximum 144 restricted noxious weed seed per pound. Seed less than 83% pure live seed will not be approved.

Sericea Lespedeza
Oats (seeds)

Minimum 80% pure live seed; maximum 1% total weed seed; maximum 2% total other crop; maximum 144 restricted noxious weed seed per pound. Seed less than 78% pure live seed will not be approved.

Tall Fescue (all approved varieties)	Bermudagrass
Kobe Lespedeza	Browntop Millet
Korean Lespedeza	German Millet - Strain R
Weeping Lovegrass	Centipedegrass
Carpetgrass	Clover - Red/White/Crimson

Minimum 78% pure live seed; maximum 1% total weed seed; maximum 2% total other crop seed; maximum 144 restricted noxious weed seed per pound. Seed less than 76% pure live seed will not be approved.

Common or Sweet Sundangrass

Minimum 76% pure live seed; maximum 1% total weed seed; maximum 2% total other crop seed; maximum 144 restricted noxious weed seed per pound. Seed less than 74% pure live seed will not be approved.

Rye (grain; all varieties)
Kentucky Bluegrass (all approved varieties)
Hard Fescue (all approved varieties)
Shrub (bicolor) Lespedeza

Minimum 70% pure live seed; maximum 1% total weed seed; maximum 2% total other crop seed; maximum 144 restricted noxious weed seed per pound. Seed less than 70% pure live seed will not be approved.

Crownvetch
Japanese Millet
Reed Canary Grass

Pensacola Bahiagrass
Switchgrass

Minimum 65% pure live seed; maximum 1% total weed seed; maximum 2% total other crop seed; maximum 144 restricted noxious weed seed per pound. Seed less than 60% pure live seed will not be approved.

Little Bluestem
Switchgrass

Minimum 75% pure live seed; maximum 1% total weed seed; maximum 2% total other crop seed; maximum 144 restricted noxious weed seed per pound. Seed less than 70% pure live seed will not be approved.

Big Bluestem

Minimum 78% pure live seed; maximum 1% total weed seed; maximum 2% total other crop seed; maximum 144 restricted noxious weed seed per pound. Seed less than 73% pure live seed will not be approved.

Indiangrass

***** STANDARD SPECIAL PROVISIONS *****

ERRATA

(12-18-07)

Z-4

Revise the *Standard Specifications for Roads and Structures July 2006* on all projects as follows:

Division 1

- Page 1-1, replace AREA - American Railway Engineering Association with ***American Railway Engineering and Maintenance of Way Association***.
- Page 1-7, remove **-L-** in middle of page after INVITATION TO BID and before LABORATORY.
- Page 1-25, 102-16(R), move 2nd paragraph to left margin. It is not a part of this subarticle, but part of the entire article.

Division 2

- Page 2-15, Subarticle 226-3, 5th paragraph, first line, replace the word *in* with the word ***is***.
- Page 2-23, Subarticle 235-4(B)(9), at the end of the sentence, replace finished greater with finished ***grade***.
- Page 2-28, Article 260-3, First paragraph, second line, remove the word *foot*.

Division 3

- Page 3-13, Article 340-4, Second paragraph, change Flowable Backfill to Flowable ***Fill***

Division 4

- Page 4-70, 442-13(B) Second sentence, change SSPC Guide 6I to SSPC Guide **6**.
- Pages 4-72, 4-74, 4-76, at the top of the page, substitute the heading Section 452 with Section **450**.
- Page 4-79, at the top of the page, substitute the heading Section 450 with Section **452**
- Page 4-80, change 452-7 to **452-6** at the top of the page.
- Page 4-80, change Pay Item ___Steel Pile Retaining Walls, to ***Sheet*** Pile Retaining Walls.
- Page 4-88, 462-4, Title, Replace last word Measurement with the word ***PAYMENT***

Division 5

- Page 5-8, Article 501-15 Measurement and Payment, delete the 4th paragraph that begins The quantity of lime, measured as provided ...

Division 6

- Page 6-3, Article 600-9, 2nd Paragraph on this page, replace 818-5 with **818-4**.
- Pages 6-30 and 31, Subarticle 610-3(A)(13) Move 2 paragraphs from the margin to the right under the number (13).

- ❑ Page 6-43, Article 610-8, 4th paragraph, remove the first *the*
- ❑ Page 6-44, 2nd full paragraph, 1st sentence, delete the first *and* and add *transverse* just before cross-slope control.
- ❑ Page 6-51, at the top of the page, add **610-14** on the same line, and just before the heading MAINTENANCE.
- ❑ Page 6-53, Article 620-4 sixth paragraph, second line; the word that should be *which*.
- ❑ Page 6-66, title, Replace EXISTNG with **EXISTING**
- ❑ Page 6-66, Article 657-1, Description, first sentence, replace PS/AR (hot-poured rubber asphalt with *hot applied joint sealer*.
- ❑ Page 6-66, Article 657-2, replace PS/AR (Hot-Poured Rubber Asphalt with the following:

Item	Section
<i>Hot Applied Joint Sealer</i>	1028-2

- ❑ Page 6-67, at the top of the page, substitute the heading Section 654 with Section **657**.
- ❑ Page 6-67, Article 657-3 Construction Methods, 2nd paragraph, replace PS/AR sealant with *hot applied joint sealer*.
- ❑ Page 6-67, at the top of the page, substitute the heading Section 654 with Section **657**.
- ❑ Page 6-71, 660-9(B)(1), Replace the first sentence of the first paragraph with the following:

Using the quantities shown in *Table 660-1*, apply asphalt material to the existing surface followed by an application of No. 78 M or lightweight aggregate.

- ❑ Page 6-89, Add a period at the end of the last sentence at the bottom of the page.
- ❑ Page 6-90, Article 663-5, first paragraph, first sentence, change 50oF to **50°F**; third paragraph, fourth sentence change 325oF to **325°F**.

Division 7

- ❑ Page 7-12, at the top of the page, substitute the heading Section 710 with Section **700**.
- ❑ Page 7-15, Article 710-9, 4th paragraph, last line, change 710-11(B) to 710-10(B).

Division 8

- ❑ Page 8-13, Article 808-3, 4th Paragraph, third line, replace Eexcavation with **Excavation**
- ❑ Page 8-35, Article 848-2, Item: Replace Cncrete with **Concrete**

Division 9

- ❑ Page 9-2, add **901-3** just before CONSTRUCTION METHODS

Division 10

- Page 10-12, near bottom of page add *(C)* before Proportioning and Mixing of Modified Compositions, which should be bold type.
- Page 10-28, at the top of the page, substitute Section 1006 for 1005.
- Page 10-54, Subarticle 1018-2A), First line, substitute *(B)* for II, third line, substitute *(B)(2)* for II-b.
- Pages 10-56, 10-58, 10-60 at the top of the page, substitute Section 1018 with Section **1020**.
- Page 10-84, Table 1042-1, Class 2, Maximum, change from 23r to **23**.
- Page 10-84, Article 1042-2 Testing, last sentence, replace the word alterations with the word ***cycles***.
- Page 10-100, Table 1056-1, replace on the line for Trapezoidal Tear Strength:

Type 1	Type 2	Type 3		Type 4
		Class A	Class B	Soil Stabilization
45 lb	75 lb	--	--	75 lb

- Page 10-116, Subarticle 1070-10, first paragraph, second sentence, add ***or*** just before cold-forged sleeve.
- Pages 10-136 through 10-147, at the top of the page, substitute Section 1074 with Section **1072**.
- Page 10-157, Article 1077-11, first paragraph, change the reference from Subarticle 420-18(B) to Subarticle 420-**17**(B).
- Page 10-211, at the top of the page, substitute Section 1081 with Section **1082**.
- Page 10-229, add **1088-6 BLANK** on the line above 1088-7 TUBULAR MARKERS.
- Page 10-244, add **1089-10 BLANK** and **1089-11 BLANK** on the lines just above 1089-12 FLAGGER.
- Page 10-272, delete Article 1098-6 in its entirety. Renumber Articles 1098-7 through 1098-17 as Articles 1098-6 through 1098-16 consecutively.

Division 12

- Page 12-21 Add **1266-2** just before the heading MATERIALS.

Division 15

- Page 15-2 add **1500-4** just before the heading WEEKEND, NIGHT AND HOLIDAY WORK.

- ❑ Page 15-4, Subarticle 1505-3(A)(2), replace the 2nd line with the following: ***Provide shielding or shoring as required under Section 150 or as required elsewhere in the contract.***
- ❑ Page 15-5, add **1505-6** on the same line and just before the heading MEASUREMENT AND PAYMENT. (Remove the period after PAYMENT.)
- ❑ Page 15-6, Article 1505-6(3), delete *in Section 1175* and replace it with *elsewhere in the contract*.
- ❑ Page 15-8, add **1510-4** on the same line and just before the heading MEASUREMENT AND PAYMENT.
- ❑ Page 15-10, substitute **BLANK** for CONSTRUCTION REQUIREMENTS on the same line and just before 1515-4.
- ❑ Page 15-10, substitute **CONSTRUCTION REQUIREMENTS** for General Requirements
- ❑ Page 15-10, Article 1515-4, add **(D)** just before the bolded Fire Hydrants.
- ❑ Page 15-13, Article 1520-3, 8th paragraph, add ***pipe*** after diameter.
- ❑ Page 15-22, add **1540-3** on the same line and just before the heading CONSTRUCTION REQUIREMENTS
- ❑ Page 15-28, Replace 1550-6 METHOD OF MEASUREMENT with ***MEASUREMENT AND PAYMENT***.

Division 16

- ❑ Page 16-12, Subarticle 1632-1(C) ¼ Inch hardware cloth, change the minimum width from 24 inches to **48** inches.

Division 17

- ❑ Page 17-19, Subarticle 1725-2 Material, Second paragraph, change Article 1098-7 to 1098-8
- ❑ Page 17-20, Subarticle 1726-2 Material, Second paragraph, change Article 1098-8 to 1098-9

END

***** STANDARD SPECIAL PROVISIONS *****

AWARD OF CONTRACT

(6-28-77)

Z-6

“The North Carolina Department of Transportation, in accordance with the provisions of *Title VI of the Civil Rights Act of 1964* (78 Stat. 252) and the Regulations of the Department of Transportation (*49 C.F.R., Part 21*), issued pursuant to such act, hereby notifies all bidders that it will affirmatively insure that the contract entered into pursuant to this advertisement will be awarded to the lowest responsible bidder without discrimination on the ground of race, color, or national origin”.

***** STANDARD SPECIAL PROVISIONS *******MINORITY AND FEMALE EMPLOYMENT REQUIREMENTS**

(12-18-07)

Z-7

NOTICE OF REQUIREMENTS FOR AFFIRMATIVE ACTION TO ENSURE EQUAL EMPLOYMENT OPPORTUNITY (*EXECUTIVE NUMBER 11246*)

1. The goals and timetables for minority and female participation, expressed in percentage terms for the Contractor's aggregate workforce in each trade on all construction work in the covered area, see as shown on the attached sheet entitled "Employment Goals for Minority and Female Participation".

These goals are applicable to all the Contractor's construction work (whether or not it is Federal or federally assisted) performed in the covered area. If the Contractor performs construction work in a geographical area located outside of the covered area, it shall apply the goals established for such geographical area where the work is actually performed. With regard to this second area, the Contractor also is subject to the goals for both its federally involved and nonfederally involved construction.

The Contractor's compliance with the Executive Order and the regulations in *41 CFR Part 60-4* shall be based on its implementation of the Equal Opportunity Clause, specific affirmative action obligations required by the specifications set forth in *41 CFR 60-4.3(a)*, and its effort to meet the goals. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade and the Contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor to Contractor or from project to project or the sole purpose of meeting the Contractor's goals shall be a violation of the contract, the executive Order and the regulations in *41 CFR Part 60-4*. Compliance with the goals will be measured against the total work hours performed.

2. As used in this Notice and in the contract resulting from this solicitation, the "covered area" is the county or counties shown on the cover sheet of the proposal form and contract.

**EMPLOYMENT GOALS FOR MINORITY
AND FEMALE PARTICIPATION**

Economic Areas

Area 023 29.7%

Bertie County
Camden County
Chowan County
Gates County
Hertford County
Pasquotank County
Perquimans County

Area 024 31.7%

Beaufort County
Carteret County
Craven County
Dare County
Edgecombe County
Green County
Halifax County
Hyde County
Jones County
Lenoir County
Martin County
Nash County
Northampton County
Pamlico County
Pitt County
Tyrrell County
Washington County
Wayne County
Wilson County

Area 025 23.5%

Columbus County
Duplin County
Onslow County
Pender County

Area 026 33.5%

Bladen County
Hoke County
Richmond County
Robeson County
Sampson County
Scotland County

Area 027 24.7%

Chatham County
Franklin County
Granville County
Harnett County
Johnston County
Lee County
Person County
Vance County
Warren County

Area 028 15.5%

Alleghany County
Ashe County
Caswell County
Davie County
Montgomery County
Moore County
Rockingham County
Surry County
Watauga County
Wilkes County

Area 029 15.7%

Alexander County
Anson County
Burke County
Cabarrus County
Caldwell County
Catawba County
Cleveland County
Iredell County
Lincoln County
Polk County
Rowan County
Rutherford County
Stanly County

Area 0480 8.5%

Buncombe County
Madison County

Area 030 6.3%

Avery County
Cherokee County
Clay County
Graham County
Haywood County
Henderson County
Jackson County
McDowell County
Macon County
Mitchell County
Swain County
Transylvania County
Yancey County

SMSA Areas

Area 5720 26.6%

Currituck County

Area 9200 20.7%

Brunswick County

New Hanover County

Area 2560 24.2%

Cumberland County

Area 6640 22.8%

Durham County

Orange County

Wake County

Area 1300 16.2%

Alamance County

Area 3120 16.4%

Davidson County

Forsyth County

Guilford County

Randolph County

Stokes County

Yadkin County

Area 1520 18.3%

Gaston County

Mecklenburg County

Union County

Goals for Female

Participation in Each Trade

(Statewide) 6.9%

***** STANDARD SPECIAL PROVISIONS *****

REQUIRED CONTRACT PROVISIONS FEDERAL-AID CONSTRUCTION CONTRACTS (FHWA-1273)

- I. General
- II. Nondiscrimination
- III. Nonsegregated Facilities
- IV. Payment of Predetermined Minimum Wage
- V. Statements and Payrolls
- VI. Record of Materials, Supplies, and Labor
- VII. Subletting or Assigning the Contract
- VIII. Safety: Accident Prevention
- IX. False Statements Concerning Highway Projects
- X. Implementation of Clean Air Act and Federal Water Pollution Control Act
- XI. Certification Regarding Debarment, Suspension Ineligibility, and Voluntary Exclusion
- XII. Certification Regarding Use of Contract Funds for Lobbying

I. GENERAL

1. These contract provisions shall apply to all work performed on the contract by the contractor's own organization and with the assistance of workers under the contractor's immediate superintendence and to all work performed on the contract by piecework, station work, or by subcontract.
2. Except as otherwise provided for in each section, the contractor shall insert in each subcontract all of the stipulations contained in these Required Contract Provisions, and further require their inclusion in any lower tier subcontract or purchase order that may in turn be made. The Required Contract Provisions shall not be incorporated by reference in any case. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with these Required Contract Provisions.
3. A breach of any of the stipulations contained in these Required Contract Provisions shall be sufficient grounds for termination of the contract.
4. A breach of the following clauses of the Required Contract Provisions may also be grounds for debarment as provided in 29 CFR 5.12:
 - Section I, paragraph 2;
 - Section IV, paragraphs 1, 2, 3, 4, and 7;
 - Section V, paragraphs 1 and 2a through 2g.
5. Disputes arising out of the labor standards provisions of Section IV (except paragraph 5) and Section V of these Required Contract Provisions shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the U.S. Department of Labor (DOL) as set forth in 29 CFR 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and the contracting agency, the DOL, or the contractor's employees or their representatives.
6. **Selection of Labor:** During the performance of this contract, the contractor shall not:
 - a. discriminate against labor from any other State, possession, or territory of the United States (except for employment preference for Appalachian contracts, when applicable, as specified in Attachment A), or
 - b. employ convict labor for any purpose within the limits of the project unless it is labor performed by convicts who are on parole, supervised release, or probation.

II. NONDISCRIMINATION

(Applicable to all Federal-aid construction contracts and to all related subcontracts of \$10,000 or more.)

1. **Equal Employment Opportunity:** Equal employment opportunity (EEO) requirements not to discriminate and to take affirmative action to assure equal opportunity as set forth under laws, executive orders, rules, regulations (28 CFR 35, 29 CFR 1630 and 41 CFR 60) and orders of the Secretary of Labor as modified by the provisions prescribed herein, and imposed pursuant to 23 U.S.C. 140 shall constitute the EEO and specific affirmative action standards for the contractor's project activities under this contract. The Equal Opportunity Construction Contract Specifications set forth under 41 CFR 60-4.3 and the provisions of the American Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.*) set forth under 28 CFR 35 and 29 CFR 1630 are incorporated by reference in this contract. In the execution of this contract, the contractor agrees to comply with the following minimum specific requirement activities of EEO:
 - a. The contractor will work with the State highway agency (SHA) and the Federal Government in carrying out EEO obligations and in their review of his/her activities under the contract.

- b. The contractor will accept as his operating policy the following statement:

"It is the policy of this Company to assure that applicants are employed, and that employees are treated during employment, without regard to their race, religion, sex, color, national origin, age or disability. Such action shall include: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship, preapprenticeship, and/or on-the-job training."
2. **EEO Officer:** The contractor will designate and make known to the SHA contracting officers an EEO Officer who will have the responsibility for and must be capable of effectively administering and promoting an active contractor program of EEO and who must be assigned adequate authority and responsibility to do so.
3. **Dissemination of Policy:** All members of the contractor's staff who are authorized to hire, supervise, promote, and discharge employees, or who recommend such action, or who are substantially involved in such action, will be made fully cognizant of, and will implement, the contractor's EEO policy and contractual responsibilities to provide EEO in each grade and classification of employment. To ensure that the above agreement will be met, the following actions will be taken as a minimum:
 - a. Periodic meetings of supervisory and personnel office employees will be conducted before the start of work and then not less often than once every six months, at which time the contractor's EEO policy and its implementation will be reviewed and explained. The meetings will be conducted by the EEO Officer.
 - b. All new supervisory or personnel office employees will be given a thorough indoctrination by the EEO Officer, covering all major aspects of the contractor's EEO obligations within thirty days following their reporting for duty with the contractor.
 - c. All personnel who are engaged in direct recruitment for the project will be instructed by the EEO Officer in the contractor's procedures for locating and hiring minority group employees.
 - d. Notices and posters setting forth the contractor's EEO policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.
 - e. The contractor's EEO policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.
4. **Recruitment:** When advertising for employees, the contractor will include in all advertisements for employees the notation: "An Equal Opportunity Employer." All such advertisements will be placed in publications having a large circulation among minority groups in the area from which the project work force would normally be derived.
 - a. The contractor will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minority group applicants. To meet this requirement, the contractor will identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority group applicants may be referred to the contractor for employment consideration.
 - b. In the event the contractor has a valid bargaining agreement providing for exclusive hiring hall referrals, he is expected to observe the provisions of that agreement to the extent that the system permits the contractor's compliance with EEO contract provisions. (The DOL has held that where implementation of such agreements have the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Executive Order 11246, as amended.)
 - c. The contractor will encourage his present employees to refer minority group applicants for employment. Information and procedures with regard to referring minority group applicants will be discussed with employees.
5. **Personnel Actions:** Wages, working conditions, and employee benefits shall be established and administered, and personnel actions of every type, including hiring, upgrading, promotion, transfer, demotion, layoff, and termination, shall be taken without regard to race, color, religion, sex, national origin, age or disability. The following procedures shall be followed:
 - a. The contractor will conduct periodic inspections of project sites to insure that working conditions and employee facilities do not indicate discriminatory treatment of project site personnel.
 - b. The contractor will periodically evaluate the spread of wages paid within each classification to determine any evidence of discriminatory wage practices.
 - c. The contractor will periodically review selected personnel actions in depth to determine whether there is evidence of discrimination. Where evidence is found, the contractor will promptly take corrective action. If the review indicates that the discrimination may extend beyond the actions reviewed, such corrective action shall include all affected persons.
 - d. The contractor will promptly investigate all complaints of alleged discrimination made to the contractor in connection with his obligations under this contract, will attempt to resolve such complaints, and will take appropriate corrective action within a reasonable time. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the contractor will inform every complainant of all of his avenues of appeal.
6. **Training and Promotion:**
 - a. The contractor will assist in locating, qualifying, and increasing the skills of minority group and women employees, and applicants for employment.
 - b. Consistent with the contractor's work force requirements and as permissible under Federal and State regulations, the contractor shall make full use of training programs, i.e., apprenticeship, and on-the-job training programs for the geographical area of contract performance. Where feasible, 25 percent of apprentices or trainees in each occupation shall be in their first year of apprenticeship or training. In the event a special provision for training is provided under this contract, this subparagraph will be superseded as indicated in the special provision.

- c. The contractor will advise employees and applicants for employment of available training programs and entrance requirements for each.
 - d. The contractor will periodically review the training and promotion potential of minority group and women employees and will encourage eligible employees to apply for such training and promotion.
7. **Unions:** If the contractor relies in whole or in part upon unions as a source of employees, the contractor will use his/her best efforts to obtain the cooperation of such unions to increase opportunities for minority groups and women within the unions, and to effect referrals by such unions of minority and female employees. Actions by the contractor either directly or through a contractor's association acting as agent will include the procedures set forth below:
- a. The contractor will use best efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minority group members and women for membership in the unions and increasing the skills of minority group employees and women so that they may qualify for higher paying employment.
 - b. The contractor will use best efforts to incorporate an EEO clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to their race, color, religion, sex, national origin, age or disability.
 - c. The contractor is to obtain information as to the referral practices and policies of the labor union except that to the extent such information is within the exclusive possession of the labor union and such labor union refuses to furnish such information to the contractor, the contractor shall so certify to the SHA and shall set forth what efforts have been made to obtain such information.
 - d. In the event the union is unable to provide the contractor with a reasonable flow of minority and women referrals within the time limit set forth in the collective bargaining agreement, the contractor will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, national origin, age or disability; making full efforts to obtain qualified and/or qualifiable minority group persons and women. (The DOL has held that it shall be no excuse that the union with which the contractor has a collective bargaining agreement providing for exclusive referral failed to refer minority employees.) In the event the union referral practice prevents the contractor from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such contractor shall immediately notify the SHA.
8. **Selection of Subcontractors, Procurement of Materials and Leasing of Equipment:** The contractor shall not discriminate on the grounds of race, color, religion, sex, national origin, age or disability in the selection and retention of subcontractors, including procurement of materials and leases of equipment.
- a. The contractor shall notify all potential subcontractors and suppliers of his/her EEO obligations under this contract.
 - b. Disadvantaged business enterprises (DBE), as defined in 49 CFR 23, shall have equal opportunity to compete for and perform subcontracts which the contractor enters into pursuant to this contract. The contractor will use his best efforts to solicit bids from and to utilize DBE subcontractors or subcontractors with meaningful minority group and female representation among their employees. Contractors shall obtain lists of DBE construction firms from SHA personnel.
 - c. The contractor will use his best efforts to ensure subcontractor compliance with their EEO obligations.
9. **Records and Reports:** The contractor shall keep such records as necessary to document compliance with the EEO requirements. Such records shall be retained for a period of three years following completion of the contract work and shall be available at reasonable times and places for inspection by authorized representatives of the SHA and the FHWA.
- a. The records kept by the contractor shall document the following:
 - 1. The number of minority and non-minority group members and women employed in each work classification on the project;
 - 2. The progress and efforts being made in cooperation with unions, when applicable, to increase employment opportunities for minorities and women;
 - 3. The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minority and female employees; and
 - 4. The progress and efforts being made in securing the services of DBE subcontractors or subcontractors with meaningful minority and female representation among their employees.
 - b. The contractors will submit an annual report to the SHA each July for the duration of the project, indicating the number of minority, women, and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on Form FHWA-1391. If on-the-job training is being required by special provision, the contractor will be required to collect and report training data.

III. NONSEGREGATED FACILITIES

(Applicable to all Federal-aid construction contracts and to all related subcontracts of \$10,000 or more.)

- a. By submission of this bid, the execution of this contract or subcontract, or the consummation of this material supply agreement or purchase order, as appropriate, the bidder, Federal-aid construction contractor, subcontractor, material supplier, or vendor, as appropriate, certifies that the firm does not maintain or provide for its employees any segregated facilities at any of its establishments, and that the firm does not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The firm agrees that a breach of this certification is a violation of the EEO provisions of this contract. The firm further certifies that no employee will be denied access to adequate facilities on the basis of sex or disability.
- b. As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, timeclocks, locker rooms, and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive, or are, in fact, segregated on the basis of race, color, religion, national origin, age or disability, because of habit, local custom, or otherwise. The only exception will be for the disabled when the demands for accessibility override (e.g. disabled parking).

- c. The contractor agrees that it has obtained or will obtain identical certification from proposed subcontractors or material suppliers prior to award of subcontracts or consummation of material supply agreements of \$10,000 or more and that it will retain such certifications in its files.

IV. PAYMENT OF PREDETERMINED MINIMUM WAGE

(Applicable to all Federal-aid construction contracts exceeding \$2,000 and to all related subcontracts, except for projects located on roadways classified as local roads or rural minor collectors, which are exempt.)

1. General:

- a. All mechanics and laborers employed or working upon the site of the work will be paid unconditionally and not less often than once a week and without subsequent deduction or rebate on any account [except such payroll deductions as are permitted by regulations (29 CFR 3) issued by the Secretary of Labor under the Copeland Act (40 U.S.C. 276c)] the full amounts of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment. The payment shall be computed at wage rates not less than those contained in the wage determination of the Secretary of Labor (hereinafter "the wage determination") which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor or its subcontractors and such laborers and mechanics. The wage determination (including any additional classifications and wage rates conformed under paragraph 2 of this Section IV and the DOL poster (WH-1321) or Form FHWA-1495) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers. For the purpose of this Section, contributions made or costs reasonably anticipated for bona fide fringe benefits under Section 1(b)(2) of the Davis-Bacon Act (40 U.S.C. 276a) on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of Section IV, paragraph 3b, hereof. Also, for the purpose of this Section, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs, which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in paragraphs 4 and 5 of this Section IV.
- b. Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein, provided, that the employer's payroll records accurately set forth the time spent in each classification in which work is performed.
- c. All rulings and interpretations of the Davis-Bacon Act and related acts contained in 29 CFR 1, 3, and 5 are herein incorporated by reference in this contract.

2. Classification:

- a. The SHA contracting officer shall require that any class of laborers or mechanics employed under the contract, which is not listed in the wage determination, shall be classified in conformance with the wage determination.
- b. The contracting officer shall approve an additional classification, wage rate and fringe benefits only when the following criteria have been met:
 1. the work to be performed by the additional classification requested is not performed by a classification in the wage determination;
 2. the additional classification is utilized in the area by the construction industry;
 3. the proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination; and
 4. with respect to helpers, when such a classification prevails in the area in which the work is performed.
- c. If the contractor or subcontractors, as appropriate, the laborers and mechanics (if known) to be employed in the additional classification or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the DOL, Administrator of the Wage and Hour Division, Employment Standards Administration, Washington, D.C. 20210. The Wage and Hour Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.
- d. In the event the contractor or subcontractors, as appropriate, the laborers or mechanics to be employed in the additional classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Wage and Hour Administrator for determination. Said Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.
- e. The wage rate (including fringe benefits where appropriate) determined pursuant to paragraph 2c or 2d of this Section IV shall be paid to all workers performing work in the additional classification from the first day on which work is performed in the classification.

3. Payment of Fringe Benefits:

- a. Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor or subcontractors, as appropriate, shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly case equivalent thereof.

- b. If the contractor or subcontractor, as appropriate, does not make payments to a trustee or other third person, he/she may consider as a part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, provided, that the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.
4. **Apprentices and Trainees (Programs of the U.S. DOL) and Helpers:**
- a. Apprentices:
1. Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the DOL, Employment and Training Administration, Bureau of Apprenticeship and Training, or with a State apprenticeship agency recognized by the Bureau, or if a person is employed in his/her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Bureau of Apprenticeship and Training or a State apprenticeship agency (where appropriate) to be eligible for probationary employment as an apprentice.
 2. The allowable ratio of apprentices to journeyman-level employees on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any employee listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate listed in the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor or subcontractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman-level hourly rate) specified in the contractor's or subcontractor's registered program shall be observed.
 3. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeyman-level hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator for the Wage and Hour Division determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination.
 4. In the event the Bureau of Apprenticeship and Training, or a State apprenticeship agency recognized by the Bureau, withdraws approval of an apprenticeship program, the contractor or subcontractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the comparable work performed by regular employees until an acceptable program is approved.
- b. Trainees:
1. Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the DOL, Employment and Training Administration.
 2. The ratio of trainees to journeyman-level employees on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed.
 3. Every trainee must be paid at not less than the rate specified in the approved program for his/her level of progress, expressed as a percentage of the journeyman-level hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman-level wage rate on the wage determination which provides for less than full fringe benefits for apprentices, in which case such trainees shall receive the same fringe benefits as apprentices.
 4. In the event the Employment and Training Administration withdraws approval of a training program, the contractor or subcontractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.
- c. Helpers:
- Helpers will be permitted to work on a project if the helper classification is specified and defined on the applicable wage determination or is approved pursuant to the conformance procedure set forth in Section IV.2. Any worker listed on a payroll at a helper wage rate, who is not a helper under an approved definition, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed.
5. **Apprentices and Trainees (Programs of the U.S. DOT):**
- Apprentices and trainees working under apprenticeship and skill training programs which have been certified by the Secretary of Transportation as promoting EEO in connection with Federal-aid highway construction programs are not subject to the requirements

of paragraph 4 of this Section IV. The straight time hourly wage rates for apprentices and trainees under such programs will be established by the particular programs. The ratio of apprentices and trainees to journeymen shall not be greater than permitted by the terms of the particular program.

6. **Withholding:**

The SHA shall upon its own action or upon written request of an authorized representative of the DOL withhold, or cause to be withheld, from the contractor or subcontractor under this contract or any other Federal contract with the same prime contractor, or any other Federally-assisted contract subject to Davis-Bacon prevailing wage requirements which is held by the same prime contractor, as much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the contract, the SHA contracting officer may, after written notice to the contractor, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

7. **Overtime Requirements:**

No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers, mechanics, watchmen, or guards (including apprentices, trainees, and helpers described in paragraphs 4 and 5 above) shall require or permit any laborer, mechanic, watchman, or guard in any workweek in which he/she is employed on such work, to work in excess of 40 hours in such workweek unless such laborer, mechanic, watchman, or guard receives compensation at a rate not less than one-and-one-half times his/her basic rate of pay for all hours worked in excess of 40 hours in such workweek.

8. **Violation:**

Liability for Unpaid Wages; Liquidated Damages: In the event of any violation of the clause set forth in paragraph 7 above, the contractor and any subcontractor responsible thereof shall be liable to the affected employee for his/her unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory) for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer, mechanic, watchman, or guard employed in violation of the clause set forth in paragraph 7, in the sum of \$10 for each calendar day on which such employee was required or permitted to work in excess of the standard work week of 40 hours without payment of the overtime wages required by the clause set forth in paragraph 7.

9. **Withholding for Unpaid Wages and Liquidated Damages:**

The SHA shall upon its own action or upon written request of any authorized representative of the DOL withhold, or cause to be withheld, from any monies payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other Federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph 8 above.

V. **STATEMENTS AND PAYROLLS**

(Applicable to all Federal-aid construction contracts exceeding \$2,000 and to all related subcontracts, except for projects located on roadways classified as local roads or rural collectors, which are exempt.)

1. **Compliance with Copeland Regulations (29 CFR 3):**

The contractor shall comply with the Copeland Regulations of the Secretary of Labor which are herein incorporated by reference.

2. **Payrolls and Payroll Records:**

- a. Payrolls and basic records relating thereto shall be maintained by the contractor and each subcontractor during the course of the work and preserved for a period of 3 years from the date of completion of the contract for all laborers, mechanics, apprentices, trainees, watchmen, helpers, and guards working at the site of the work.
- b. The payroll records shall contain the name, social security number, and address of each such employee; his or her correct classification; hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalent thereof of the types described in Section 1(b)(2)(B) of the Davis Bacon Act); daily and weekly number of hours worked; deductions made; and actual wages paid. In addition, for Appalachian contracts, the payroll records shall contain a notation indicating whether the employee does, or does not, normally reside in the labor area as defined in Attachment A, paragraph 1. Whenever the Secretary of Labor, pursuant to Section IV, paragraph 3b, has found that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in Section 1(b)(2)(B) of the Davis Bacon Act, the contractor and each subcontractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, that the plan or program has been communicated in writing to the laborers or mechanics affected, and show the cost anticipated or the actual cost incurred in providing benefits. Contractors or subcontractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprentices and trainees, and ratios and wage rates prescribed in the applicable programs.
- c. Each contractor and subcontractor shall furnish, each week in which any contract work is performed, to the SHA resident engineer a payroll of wages paid each of its employees (including apprentices, trainees, and helpers, described in Section IV, paragraphs 4 and 5, and watchmen and guards engaged on work during the preceding weekly payroll period). The payroll submitted shall set out accurately and completely all of the information required to be maintained under paragraph 2b of this Section V. This information may be submitted in any form desired. Optional Form WH-347 is available for this purpose and may be purchased from the Superintendent of Documents (Federal stock number 029-005-0014-1), U.S. Government Printing

Office, Washington, D.C. 20402. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors.

- d. Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his/her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:
 1. that the payroll for the payroll period contains the information required to be maintained under paragraph 2b of this Section V and that such information is correct and complete;
 2. that such laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in the Regulations, 29 CFR 3;
 3. that each laborer or mechanic has been paid not less than the applicable wage rate and fringe benefits or cash equivalent for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.
- e. The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph 2d of this Section V.
- f. The falsification of any of the above certifications may subject the contractor to civil or criminal prosecution under 18 U.S.C. 1001 and 31 U.S.C. 231.
- g. The contractor or subcontractor shall make the records required under paragraph 2b of this Section V available for inspection, copying, or transcription by authorized representatives of the SHA, the FHWA, or the DOL, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the SHA, the FHWA, the DOL, or all may, after written notice to the contractor, sponsor, applicant, or owner, take such actions as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

VI. RECORD OF MATERIALS, SUPPLIES, AND LABOR THIS SECTION DELETED JUNE 4, 2007.

VII. SUBLETTING OR ASSIGNING THE CONTRACT

1. The contractor shall perform with its own organization contract work amounting to not less than 30 percent (or a greater percentage if specified elsewhere in the contract) of the total original contract price, excluding any specialty items designated by the State. Specialty items may be performed by subcontract and the amount of any such specialty items performed may be deducted from the total original contract price before computing the amount of work required to be performed by the contractor's own organization (23 CFR 635).
 - a. "Its own organization" shall be construed to include only workers employed and paid directly by the prime contractor and equipment owned or rented by the prime contractor, with or without operators. Such term does not include employees or equipment of a subcontractor, assignee, or agent of the prime contractor.
 - b. "Specialty Items" shall be construed to be limited to work that requires highly specialized knowledge, abilities, or equipment not ordinarily available in the type of contracting organizations qualified and expected to bid on the contract as a whole and in general are to be limited to minor components of the overall contract.
2. The contract amount upon which the requirements set forth in paragraph 1 of Section VII is computed includes the cost of material and manufactured products which are to be purchased or produced by the contractor under the contract provisions.
3. The contractor shall furnish (a) a competent superintendent or supervisor who is employed by the firm, has full authority to direct performance of the work in accordance with the contract requirements, and is in charge of all construction operations (regardless of who performs the work) and (b) such other of its own organizational resources (supervision, management, and engineering services) as the SHA contracting officer determines is necessary to assure the performance of the contract.
4. No portion of the contract shall be sublet, assigned or otherwise disposed of except with the written consent of the SHA contracting officer, or authorized representative, and such consent when given shall not be construed to relieve the contractor of any responsibility for the fulfillment of the contract. Written consent will be given only after the SHA has assured that each subcontract is evidenced in writing and that it contains all pertinent provisions and requirements of the prime contract.

VIII. SAFETY: ACCIDENT PREVENTION

1. In the performance of this contract the contractor shall comply with all applicable Federal, State, and local laws governing safety, health, and sanitation (23 CFR 635). The contractor shall provide all safeguards, safety devices and protective equipment and take any other needed actions as it determines, or as the SHA contracting officer may determine, to be reasonably necessary to protect the life and health of employees on the job and the safety of the public and to protect property in connection with the performance of the work covered by the contract.
2. It is a condition of this contract, and shall be made a condition of each subcontract, which the contractor enters into pursuant to this contract, that the contractor and any subcontractor shall not permit any employee, in performance of the contract, to work in surroundings or under conditions which are unsanitary, hazardous or dangerous to his/her health or safety, as determined under construction safety and health standards (29 CFR 1926) promulgated by the Secretary of Labor, in accordance with Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 333).
3. Pursuant to 29 CFR 1926.3, it is a condition of this contract that the Secretary of Labor or authorized representative thereof, shall have right of entry to any site of contract performance to inspect or investigate the matter of compliance with the construction safety

and health standards and to carry out the duties of the Secretary under Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 333).

IX. FALSE STATEMENTS CONCERNING HIGHWAY PROJECTS

In order to assure high quality and durable construction in conformity with approved plans and specifications and a high degree of reliability on statements and representations made by engineers, contractors, suppliers, and workers on Federal-aid highway projects, it is essential that all persons concerned with the project perform their functions as carefully, thoroughly, and honestly as possible. Willful falsification, distortion, or misrepresentation with respect to any facts related to the project is a violation of Federal law. To prevent any misunderstanding regarding the seriousness of these and similar acts, the following notice shall be posted on each Federal-aid highway project (23 CFR 635) in one or more places where it is readily available to all persons concerned with the project:

NOTICE TO ALL PERSONNEL ENGAGED ON FEDERAL-AID HIGHWAY PROJECTS

18 U.S.C. 1020 reads as follows:

"Whoever, being an officer, agent, or employee of the United States, or of any State or Territory, or whoever, whether a person, association, firm, or corporation, knowingly makes any false statement, false representation, or false report as to the character, quality, quantity, or cost of the material used or to be used, or the quantity or quality of the work performed or to be performed, or the cost thereof in connection with the submission of plans, maps, specifications, contracts, or costs of construction on any highway or related project submitted for approval to the Secretary of Transportation; or

Whoever knowingly makes any false statement, false representation, false report or false claim with respect to the character, quality, quantity, or cost of any work performed or to be performed, or materials furnished or to be furnished, in connection with the construction of any highway or related project approved by the Secretary of Transportation; or

Whoever knowingly makes any false statement or false representation as to material fact in any statement, certificate, or report submitted pursuant to provisions of the Federal-aid Roads Act approved July 1, 1916, (39 Stat. 355), as amended and supplemented;

Shall be fined not more than \$10,000 or imprisoned not more than 5 years or both."

X. IMPLEMENTATION OF CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT

(Applicable to all Federal-aid construction contracts and to all related subcontracts of \$100,000 or more.)

By submission of this bid or the execution of this contract, or subcontract, as appropriate, the bidder, Federal-aid construction contractor, or subcontractor, as appropriate, will be deemed to have stipulated as follows:

1. That any facility that is or will be utilized in the performance of this contract, unless such contract is exempt under the Clean Air Act, as amended (42 U.S.C. 1857 *et seq.*, as amended by Pub.L. 91-604), and under the Federal Water Pollution Control Act, as amended (33 U.S.C. 1251 *et seq.*, as amended by Pub.L. 92-500), Executive Order 11738, and regulations in implementation thereof (40 CFR 15) is not listed, on the date of contract award, on the U.S. Environmental Protection Agency (EPA) List of Violating Facilities pursuant to 40 CFR 15.20.
2. That the firm agrees to comply and remain in compliance with all the requirements of Section 114 of the Clean Air Act and Section 308 of the Federal Water Pollution Control Act and all regulations and guidelines listed thereunder.
3. That the firm shall promptly notify the SHA of the receipt of any communication from the Director, Office of Federal Activities, EPA, indicating that a facility that is or will be utilized for the contract is under consideration to be listed on the EPA List of Violating Facilities.
4. That the firm agrees to include or cause to be included the requirements of paragraph 1 through 4 of this Section X in every nonexempt subcontract, and further agrees to take such action as the government may direct as a means of enforcing such requirements.

XI. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

1. Instructions for Certification - Primary Covered Transactions:

(Applicable to all Federal-aid contracts - 49 CFR 29)

- a. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- b. The inability of a person to provide the certification set out below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such a person from participation in this transaction.
- c. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.
- d. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- e. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is submitted for assistance in obtaining a copy of those regulations.

- f. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- g. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- h. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the nonprocurement portion of the "Lists of Parties Excluded From Federal Procurement or Nonprocurement Programs" (Nonprocurement List) which is compiled by the General Services Administration.
- i. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- j. Except for transactions authorized under paragraph f of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

* * * * *

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Primary Covered Transactions

- 1. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - b. Have not within a 3-year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph 1b of this certification; and
 - d. Have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- 2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

* * * * *

2. Instructions for Certification - Lower Tier Covered Transactions:

(Applicable to all subcontracts, purchase orders and other lower tier transactions of \$25,000 or more - 49 CFR 29)

- a. By signing and submitting this proposal, the prospective lower tier is providing the certification set out below.
- b. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department, or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- c. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous by reason of changed circumstances.
- d. The terms "covered transaction," "debarred," "suspended," "ineligible," "primary covered transaction," "participant," "person," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- e. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- f. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- g. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
- h. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- i. Except for transactions authorized under paragraph e of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

* * * * *

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions:

- 1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- 2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

* * * * *

XII. CERTIFICATION REGARDING USE OF CONTRACT FUNDS FOR LOBBYING

(Applicable to all Federal-aid construction contracts and to all related subcontracts which exceed \$100,000 - 49 CFR 20)

- 1. The prospective participant certifies, by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that:
 - a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
 - b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- 2. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
- 3. The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such recipients shall certify and disclose accordingly.

GENERAL DECISION NC20080011 NC11

Z-12

Date: February 8, 2008

General Decision Number NC20080011

Superseded General Decision No. NC20070011

State: North Carolina

Construction Type: HIGHWAY

COUNTIES:

Alamance	Durham	Orange
Alexander	Forsyth	Randolph
Buncombe	Franklin	Rowan
Burke	Gaston	Stokes
Cabarrus	Guilford	Union
Catawba	Lincoln	Wake
Cumberland	Mecklenburg	Yadkin
Davidson	New Hanover	
Davie	Onslow	

HIGHWAY CONSTRUCTION PROJECTS (does not include tunnels, building structures in rest area projects, railroad construction, and, bascule, suspension and spandrel arch bridges, bridges designed for commercial navigation, and bridges involving marine construction, and other major bridges).

Modification Number
0

Publication Date
02/08/2008

	Rates	Fringes
CARPENTER	7.63	
CONCRETE FINISHER	7.52	
ELECTRICIAN	10.26	
IRONWORKERS (reinforcing)	9.76	
LABORER		
Common	5.85	
Asphalt Lay Down Man	5.85	
Asphalt Raker	6.14	
Form Setter (road)	8.57	
Mason (brick, block, stone)	7.44	
Pipe Layer	6.23	
Power Tool Operator	8.28	
POWER EQUIPMENT OPERATORS		
Asphalt Distributor	6.78	
Asphalt Paver	7.47	
Bulldozer	7.33	
Bulldozer (utility)	6.72	
Concrete Curb Machine	7.09	
Concrete Finishing Machine	7.85	
Concrete Paver	6.90	
Crane, Backhoe, Shovel & Dragline (over 1 yd)	8.16	
Crane, Backhoe, Shovel & Dragline (1 yd and under)	6.95	
Drill Operator	7.34	
Grade Checker	5.85	
Gradeall	8.38	
Greaseman	6.49	
Loader	7.09	
Mechanic	8.47	
Motor Grader (Fine Grade)	8.04	
Motor Grader (Rough Grade)	7.68	
Oiler	5.88	
Roller (Finisher)	6.70	
Roller (Rough)	5.85	
Scraper	6.63	
Screed Asphalt	7.09	
Stone Spreader	6.02	
Stripping Machine Operator	6.00	
Subgrade Machine	7.13	
Sweeper	5.85	
Tractor (Utility)	5.85	
TRUCK DRIVERS		
Trucks – Single Rear Axle	5.85	
Trucks – Multi Rear Axle	6.08	
Trucks – Heavy Duty	9.47	
WELDERS – Receive rate prescribed for craft performing operation to which welding is incidental.		

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR 5.5(a)(1)(ii)).

In the listing above, the "SU" designation means that rates listed under that identifier do not reflect collectively bargained wage and fringe benefit rates. Other designations indicate unions whose rates have been determined to be prevailing.

WAGE DETERMINATION APPEALS PROCESS

1.) Has there been an initial decision in the matter? This can be:

- * an existing published wage determination
- * a survey underlying a wage determination
- * a Wage and Hour Division letter setting forth a position on a wage determination matter
- * a conformance (additional classification and rate) ruling

On survey related matters, initial contact, including requests for summaries of surveys, should be with the Wage and Hour Regional Office for the area in which the survey was conducted because those Regional Offices have responsibility for the Davis-Bacon survey program. If the response from this initial contact is not satisfactory, then the process described in 2.) and 3.) should be followed.

With regard to any other matter not yet ripe for the formal process described here, initial contact should be with the Branch of Construction Wage Determinations. Write to:

Branch of Construction Wage Determinations
Wage and Hour Division
U. S. Department of Labor
200 Constitution Avenue, N.W.
Washington, D.C. 20210

2.) If the answer to the question in 1.) is yes, then an interested party (those affected by the action) can request review and reconsideration from the Wage and Hour Administrator (See 29 CFR Part 1.8 and 29 CFR Part 7). Write to:

Wage and Hour Administrator
U.S. Department of Labor
200 Constitution Avenue, N.W.
Washington, D.C. 20210

The request should be accompanied by a full statement of the interested party's position and by any information (wage payment data, project description, area practice material, etc.) that the requestor considers relevant to the issue.

3.) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board
U. S. Department of Labor
200 Constitution Avenue, N.W.
Washington, D.C. 20210

4.) All decisions by the Administrative Review Board are final.

END OF GENERAL DECISION

***** STANDARD SPECIAL PROVISIONS *****

(12-18-07)

DIVISION ONE OF STANDARD SPECIFICATIONS

Division One of the 2006 NCDOT Standard Specifications for Roads and Structures (Standard Specifications) shall apply except as follows:

Definitions: Throughout Division One of the *Standard Specifications*, the term “Contractor” is replaced with “Design-Build Team”, the term “Bidder” is replaced with “Proposer,” the term “Bid” is replaced by “Price Proposal,” and the phrase “lowest Responsible Bidder” is replaced with “responsible Proposer with the lowest adjusted price.” The replacement of “Contractor” with “Design-Build Team” does not apply to Article 102-2. The replacement of the above terms also does not apply when the terms are part of a phrase (e.g. bid bond, prime contractor, total amount bid, etc.)

Deletions: Articles 102-4, 102-10(C)(2), 102-11(A), 103-2(B), 103-4(B), 104-13, and 108-2 of the *Standard Specifications* are deleted from Design-Build Contracts.

Modifications: The remainder of this Standard Special Provision includes modifications to Division One of the *Standard Specifications*.

**SECTION 101
DEFINITION OF TERMS**

Page 1-2, Article 101-3, replace and add certain definitions as follows:

ADDITIONAL WORK

Additional work is that which results from a change or alteration in the contract and for which there are contract unit prices in the original contract or an executed supplemental agreement.

ADVERTISEMENT

The public advertisement inviting Statements of Qualifications for the design and construction of specific projects.

AWARD

The decision of the Board of Transportation to accept the proposal of the selected Design-Build Team for work which is subject to the furnishing of payment and performance bonds, and such other conditions as may be otherwise provided by law, the Request for Proposals, and the *Standard Specifications*.

CONTRACT

The executed agreement between the Department of Transportation and the successful proposer, covering the performance of the work and the compensation therefor.

The term contract is all inclusive with reference to all written agreements affecting a contractual relationship and all documents referred to therein. The contract shall specifically

include, but not be limited to, the Request for Proposals, the Technical Proposal, the Price Proposal, the printed contract form and all attachments thereto, the contract bonds, the plans and associated special provisions prepared by the Design-Build Team, the standard specifications and all supplemental specifications thereto, the standard special provisions and the project special provisions contained in the Request for Proposals, and all executed supplemental agreements, all of which shall constitute one instrument.

DATE OF AVAILABILITY

That date set forth in the Request for Proposals, by which it is anticipated that the Contract will be executed and sufficient design efforts or work sites within the project limits will be available for the Design-Build Team to begin his controlling operations or design.

DESIGN-BUILD

A form of contracting in which the successful proposer undertakes responsibility for both the design and construction of a project.

DESIGN-BUILD TEAM

An individual, partnership, joint venture, corporation or other legal entity that furnishes the necessary design and construction services, whether by itself or through subcontracts.

DESIGN-BUILD PROPOSAL

A proposal to contract consisting of a separately sealed Technical Proposal and a separately sealed Price Proposal submitted in response to a Request for Proposals on a Design-Build project.

PLANS

The project plans, Standard Drawings, working drawings and supplemental drawings, or reproductions thereof, accepted by the Engineer, which show the location, character, dimensions and details of the work to be performed.

(A) Standard Drawings:

Drawings approved for repetitive use, showing details to be used where appropriate. All Standard Drawings approved by the Department plus subsequent revisions and additions. Standard Drawings are available for purchase from:

Randy A. Garris, PE
State Contract Officer
1591 Mail Service Center
Raleigh, NC 27699-1591

(B) Preliminary Plans:

Department-furnished drawings included along with a Request for Proposals, or as developed by the Design-Build Team.

(C) Project Plans:

Construction drawings prepared, sealed and completed by the Design-Build Team, or as provided by the Department, that contain specific details and dimensions peculiar to the work.

(D) Working Drawings and Supplemental Drawings:

Supplemental design sheets, shop drawings, or similar data which the Design-Build Team is required to submit to the Engineer.

(E) As-Constructed Drawings:

Final drawings prepared by the Design-Build Team, documenting the details and dimensions of the completed work.

PRICE PROPOSAL

The offer of a Proposer, submitted on the prescribed forms, to perform the work and furnish the labor and materials at the price quoted.

PROPOSAL (OR REQUEST FOR PROPOSALS)

The paper document provided by the Department that the proposer uses to develop his paper offer to perform the work at designated bid prices.

PROPOSER

An individual, partnership, firm, corporation, LLC, or joint venture formally submitting a Technical Proposal and Price Proposal in response to a Request for Proposals.

RIGHT OF WAY

The land area shown on the plans as right of way within which the project is to be constructed.

SCHEDULE OF VALUES

A schedule of work items necessary to complete work, along with the progress of each work item, primarily for the purpose of partial payments.

TABLE OF QUANTITIES

A listing of work items (corresponding to the items in the Trns*port pay item list) that contributes to a project completion. The table shall include estimated quantities for each work item.

TECHNICAL PROPOSAL

A submittal from a proposer, in accordance with requirements of the Request for Proposals, for the purpose of final selection.

SECTION 102 PROPOSAL REQUIREMENTS AND CONDITIONS

Page 1-11, delete Article 102-1 and replace with the following:

102-1 INVITATION TO BID

After the advertisement has been made, an invitation to bid will be mailed to known prequalified contractors and any other contracting firms, material suppliers, and other interested parties who have requested they be placed on the invitation to bid mailing list informing them that bids will be received for the construction of specific projects. Such invitation will indicate the contract identification number, length, locations, and descriptions; a general summary of the items of work to be performed; and information on how to receive a Request for Qualifications.

All projects will be advertised in daily newspapers throughout the state prior to the bid opening.

Page 1-15, delete Article 102-3 and replace with the following:

102-3 CONTENTS OF REQUEST FOR PROPOSALS

A Request for Proposals will be furnished by the Department to the selected proposers from among the respondents to the Request for Qualifications. Each Request for Proposals will be marked on the front cover by the Department with an identifier of the Proposer to whom it is being furnished. This Request for Proposals will state the location of the project and will show a schedule of contract items for which Technical and Price Proposals are invited. It will set forth the date and time Technical and Price Proposals are to be submitted and will be opened. The Request for Proposals will also include any special provisions or requirements that vary from or are not contained in any preliminary design information or standard specifications.

The Request for Proposals will also include the printed contract forms and signature sheets for execution by both parties to the contract. In the event the Proposer is awarded the contract, execution of the Request for Proposals by the Proposer is considered the same as execution of the contract.

Standard specifications, sealed plans specifically identified as the Department's responsibility and other documents designated in the Request for Proposals shall be considered a part of the Request for Proposals whether or not they are attached thereto. All papers bound with the proposal are necessary parts thereof and shall not be detached, taken apart, or altered.

The names and identity of each prospective Proposer that receives a copy of the Request for Qualifications for the purposes of submitting a Statement of Qualifications shall be made public, except that a potential Proposer who obtains a Request for Qualifications may, at the time of ordering, request that his name remain confidential.

Up to three copies of the Request for Proposals will be furnished to each prospective Proposer. Additional copies may be purchased for the sum of \$25 each. The copy marked with the Proposer's name and prequalification number shall be returned to the Department.

Page 1-16, Article 102-6, replace the first paragraph with the following:

The Proposer shall examine carefully the site of the work contemplated, the preliminary plans and specifications, and the Request for Proposals. The submission of a Technical Proposal and a Price Proposal shall be conclusive evidence that the Proposer has investigated and is satisfied as to the conditions to be encountered; as to the character, quality, and scope of work to be performed; the quantities of materials to be furnished; and as to the conditions and requirements of the proposed contract.

Page 1-17, delete Article 102-7 and replace with following:**102-7 SUBSURFACE INVESTIGATION REPORT**

The Subsurface Investigation and report was made for the purpose of information only.

If a subsurface investigation report is available on this project, a copy may be obtained by the prospective proposers upon request.

The subsurface investigation on which the report is based was made for the purpose of information only. The various field boring logs, rock cores, and soil test data available may be reviewed or inspected in Raleigh at the office of the Geotechnical Unit. Neither the subsurface investigation report nor the field boring logs, rock cores, or soil test data is part of the contract.

General soil and rock strata descriptions and indicated boundaries are based on a geotechnical interpretation of all available subsurface data and may not necessarily reflect the actual subsurface conditions between borings or between sampled strata within the borehole. The laboratory sample data and the in situ (in-place) test data can be relied on only to the degree of reliability inherent in the standard test method. The observed water levels or soil moisture conditions indicated in the subsurface investigations are as recorded at the time of the investigation. These water levels or soil moisture conditions may vary considerably with time according to climatic conditions including temperature, precipitation, and wind, as well as other nonclimatic factors.

The Proposer is cautioned that details shown in the subsurface investigation report are preliminary only. The Department does not warrant or guarantee the sufficiency or accuracy of the investigation made, nor the interpretations made or opinions of the Department as to the type of materials and conditions that may be encountered. The proposer is cautioned to make such independent subsurface investigations, as he deems necessary to satisfy himself as to conditions to be encountered on this project. The Design-Build Team shall have no claim for additional compensation or for an extension of time for any reason resulting from the actual conditions encountered at the site differing from those indicated in the subsurface investigation.

Pages 1-17, delete Article 102-8 and replace with the following:**102-8 PREPARATION AND SUBMISSION OF BIDS**

All Price Proposals shall be prepared and submitted in accordance with the following requirements:

1. The Request for Proposals provided by the Department shall be used and shall not be taken apart or altered. The Price Proposal shall be submitted on the same form, which has

been furnished to the Proposer by the Department as identified by the Proposer's name marked on the front cover by the Department.

2. All entries including signatures shall be written in ink.
3. The Proposer shall submit a lump sum or unit price for every item in the Price Proposal. The lump sum or unit prices bid for the various contract items shall be written in figures.
4. An amount bid shall be entered in the Request for Proposals for every item and the price shall be written in figures in the "Amount Bid" column in the Request for Proposals.
5. The total amount bid shall be written in figures in the proper place in the Request for Proposals. The total amount bid shall be determined by adding the amounts bid for each lump sum item.
6. Changes in any entry shall be made by marking through the entry in ink and making the correct entry adjacent thereto in ink. A representative of the Proposer shall initial the change in ink.
7. The Price Proposal shall be properly executed. In order to constitute proper execution, the Price Proposal shall be executed in strict compliance with the following:
 - a. If a Price Proposal is by an individual, it shall show the name of the individual and shall be signed by the individual with the word "Individually" appearing under the signature. If the individual operates under a firm name, the bid shall be signed in the name of the individual doing business under the firm name.
 - b. If the Price Proposal is by a corporation, it shall be executed in the name of the corporation by the President, Vice President, or Assistant Vice President. It shall be attested by the Secretary or Assistant Secretary. The seal of the corporation shall be affixed. If the Price Proposal is executed on behalf of a corporation in any other manner than as above, a certified copy of the minutes of the Board of Directors of said corporation authorizing the manner and style of execution and the authority of the person executing shall be attached to the Price Proposal or shall be on file with the Department.
 - c. If the Price Proposal is made by a partnership, it shall be executed in the name of the partnership by one of the general partners.
 - d. If the Price Proposal is made by a Limited Liability Company (LLC), it shall be signed by the manager and notarized.
 - e. If the Price Proposal is made by a joint venture, it shall be executed by each of the joint venturers in the appropriate manner set out above. In addition, the execution by the joint venturers shall appear below their names.
 - f. The Price Proposal execution shall be notarized by a notary public whose commission is in effect on the date of execution. Such notarization shall be applicable both to the Price Proposal and to the non-collusion affidavit which is part of the signature sheets.
8. The Price Proposal shall not contain any unauthorized additions, deletions, or conditional bids.

9. The Proposer shall not add any provision reserving the right to accept or reject an award, or to enter into a contract pursuant to an award.
10. The Price Proposal shall be accompanied by a bid bond on the form furnished by the Department or by a bid deposit. The bid bond shall be completely and properly executed in accordance with the requirements of Article 102-11. The bid deposit shall be a certified check or cashier check in accordance with Article 102-11.
11. The Price Proposal shall be placed in a sealed envelope and shall have been delivered to and received by the Department prior to the time specified in the Request for Proposals.

Page 1-22, delete Article 102-12 and replace with the following:

102-12 DELIVERY OF BIDS

All Price Proposals shall be placed in a sealed envelope having the name and address of the Proposer, and the statement " Price Proposal for the Design/Build of State Highway Project No. _____ in _____County(ies)" on the outside of the envelope. If delivered by mail, the sealed envelope shall be placed in another sealed envelope and the outer envelope addressed to the Contract Officer as stated in the Request for Proposals. The outer envelope shall also bear the statement "Price Proposal for the Design/Build of State Highway Project No. _____". All Technical Proposals shall be placed in a sealed envelope having the name and address of the Proposer, and the statement "Technical Proposal for the Design/Build of State Highway Project No. _____ in _____County(ies)" on the outside of the envelope. If delivered by mail, the sealed envelope shall be placed in another sealed envelope and the outer envelope addressed to the Contract Officer as stated in the Request for Proposal. The outer envelope shall also bear the statement "Technical Proposal for the Design/Build of State Highway Project No. _____". If delivered in person on or before the due date, the sealed envelope shall be delivered to the office of the Contract Officer as indicated in the Request for Proposals. Price Proposals and Technical Proposals shall be submitted in accordance with the project special provision "Submittal of Proposals" contained elsewhere in this Request for Proposals.

All Price Proposals and Technical Proposals shall be delivered prior to the time specified in the Request for Proposals. Price proposals and Technical Proposals received after such time will not be accepted and will be returned to the Proposer unopened.

Pages 1-22, delete Article 102-13 and replace with the following:

102-13 WITHDRAWAL OR REVISION OF BIDS

A Design-Build Team will not be permitted to withdraw its Technical and Price Proposals after they have been submitted to the Department, unless allowed under Article 103-3 or unless otherwise approved by the State Highway Administrator.

Page 1-23, delete Article 102-14 and replace with the following:

102-14 RECEIPT AND OPENING OF BIDS

Price Proposals will be opened and read publicly at the time and place indicated in the Request for Proposals. The scores of the previously conducted evaluation of the Technical Proposals will also be read publicly in accordance with the procedures outlined in the Request

for Proposals. Proposers, their authorized agents, and other interested parties are invited to be present.

Page 1-23, Article 102-15, Replace the 1st paragraph with the following:

102-15 REJECTION OF BIDS

Any Price Proposal submitted which fails to comply with any of the requirements of Articles 102-8, 102-10 or 102-11, or with the requirements of the project scope and functional specifications shall be considered irregular and may be rejected. A Price Proposal that does not contain costs for all proposal items shall be considered irregular and may be rejected.

SECTION 103 AWARD AND EXECUTION OF CONTRACT

Page 1-25, delete Article 103-1 and replace with the following:

103-1 CONSIDERATION OF PRICE PROPOSALS

After the Price Proposals are opened and read, they will be tabulated. The Price Proposal and score of the Technical Proposal will be made available in accordance with procedures outlined in the Request for Proposals. In the event of errors, omissions, or discrepancies in the costs, corrections to the Price Proposal will be made in accordance with the provisions of Article 103-2. Such corrected costs will be used to determine the lowest adjusted price.

After the reading of the Price Proposals and technical scores, the Department will calculate the lowest adjusted price as described in the "Selection Procedure" section of the Request for Proposals.

The right is reserved to reject any or all Price Proposals, to waive technicalities, to request the Proposer with the lowest adjusted price to submit an up-to-date financial and operating statement, to advertise for new proposals, or to proceed to do the work otherwise, if in the judgment of the Board, the best interests of the State will be promoted thereby.

Page 1-26, Subarticle 103-2(A), add items (7) and (8) as follows:

- (7) **Discrepancy in the "Total Amount Bid" and the addition of the "Amount Bid" for each line Item**

In the case of the Total Amount Bid does not equal the summation of each Amount Bid for the line items, the summation of each Amount Bid for the line items shall be deemed to be the correct total for the entire project.

- (8) **Omitted Total Amount Bid –Amount Bid Completed**

If the Total Amount Bid is not completed and the Amount Bid for all line items is completed the Total Amount Bid shall be the summation of the Amount Bid for all line items.

Page 1-29, delete Article 103-6 and replace with the following:

103-6 RETURN OF BID BOND OR BID DEPOSIT

Checks that have been furnished as a bid deposit will be retained until after the contract bonds have been furnished by the successful proposer, at which time Department of Transportation warrants in the equivalent amount of checks that were furnished as a bid deposit will be issued.

Paper bid bonds will be retained by the Department until the contract bonds are furnished by the successful proposer, after which all such bid bonds will be destroyed unless the individual bid bond form contains a note requesting that it be returned to the proposer or the Surety.

Page 1-30, delete Article 103-9 and replace with the following:

103-9 FAILURE TO FURNISH CONTRACT BONDS

The successful proposer's failure to file acceptable bonds within 14 calendar days after the notice of award is received by him shall be just cause for the forfeiture of the bid bond or bid deposit and rescinding the award of the contract. Award may then be made to the responsible proposer with the next lowest adjusted price or the work may be readvertised and constructed under contract or otherwise, as the Board of Transportation may decide.

**SECTION 104
SCOPE OF WORK**

Page 1-30, delete Article 104-1 and replace with the following:

104-1 INTENT OF CONTRACT

The intent of the contract is to prescribe the work or improvements that the Design-Build Team undertakes to perform, in full compliance with the contract. In case the method or character of any part of the work is not covered by the contract, this section shall apply. The Design-Build Team shall perform all work in accordance with the contract or as may be modified by written orders, and shall do such special, additional, extra, and incidental work as may be considered necessary to complete the work to the full intent of the contract. Unless otherwise provided elsewhere in the contract, the Design-Build Team shall furnish all implements, machinery, equipment, tools, materials, supplies, transportation, and labor necessary for the design, prosecution and completion of the work.

Page 1-31, Article 104-3, replace “plans or details of construction” with “contract” in all instances within this Article.

Page 1-40, Article 104-10, replace the first paragraph with the following:

104-10 MAINTENANCE OF THE PROJECT

The Design-Build Team shall maintain the project from the date of beginning construction on the project until the project is finally accepted. All existing and constructed guardrail / guiderail

within the project limits shall be included in this maintenance. This maintenance shall be continuous and effective and shall be prosecuted with adequate equipment and forces to the end that all work covered by the contract is kept in satisfactory and acceptable conditions at all times. The Design-Build Team shall perform weekly inspections of guardrail and guiderail and shall report damages to the Engineer on the same day of the weekly inspection. Where damaged guardrail or guiderail is repaired or replaced as a result of maintaining the project in accordance with this Article, such repair or replacement shall be performed within 7 consecutive calendar days of such inspection report.

Page 1-41, Article 104-10, add the following after the last paragraph:

The Design-Build Team will not be compensated for performance of weekly inspections and damage reports for the guardrail / guiderail. Other maintenance activities for existing guardrail / guiderail will be handled in accordance with Articles 104-7 and 104-8.

SECTION 105 CONTROL OF WORK

Pages 1-46, delete Article 105-2 and replace with the following:

105-2 PLANS AND WORKING DRAWINGS

All plans shall be supplemented by such approved working drawings as are necessary to adequately control the work. Working drawings furnished by the Design-Build Team and approved by the Engineer shall consist of such detailed drawings as may be required to adequately control the work. They may include stress sheets, shop drawings, erection drawings, falsework drawings, cofferdam drawings, bending diagrams for reinforcing steel, catalog cuts, or any other supplementary drawings or similar data required of the Design-Build Team. When working drawings are approved by the Engineer, such approval shall not operate to relieve the Design-Build Team of any of his responsibility under the contract for the successful completion of the work.

Changes on shop drawings after approval and/or distribution shall be subject to the approval of the Engineer and he shall be furnished a record of such changes.

Page 1-47, Article 105-3, add the following after the 3rd paragraph:

The Design-Build Team shall bear all the costs of providing the burden of proof that the nonconforming work is reasonable and adequately addresses the design purpose. The Design-Build Team shall bear all risk for continuing with nonconforming work in question until it is accepted.

The Engineer may impose conditions for acceptance of the nonconforming work. The Design-Build Team shall bear all costs for fulfilling the conditions.

The decisions whether the product satisfies the design purpose, whether the nonconforming work is reasonably acceptable and the conditions for acceptance are at the sole discretion of the Engineer.

Pages 1-47, delete Article 105-4 and replace with the following:

105-4 COORDINATION OF PLANS, SPECIFICATIONS, SUPPLEMENTAL SPECIFICATIONS, AND SPECIAL PROVISIONS

The Request for Proposals, all Plans, the Standard Specifications, and all supplementary documents are essential parts of the contract and a requirement occurring in one is as binding as though occurring in all. They are intended to be complementary and to describe and provide for a complete work.

In case of discrepancy or conflict, the order in which they govern shall be as follows:

- (A) Request for Proposals
- (B) Technical Proposal from the Design-Build Team
- (C) Accepted Plans and Details from the Design-Build Team, or sealed plans provided by the Department, as applicable
- (D) Standard Drawings
- (E) Standard Specifications

Where dimensions on the plans are given or can be computed from other given dimensions they shall govern over scaled dimensions.

The Design-Build Team shall take no advantage of any error or omission in the plans, estimated quantities, or specifications. In the event the Design-Build Team discovers an error or omission, he shall immediately notify the Engineer.

Page 1-50, delete Article 105-9 and replace with the following:

105-9 CONSTRUCTION STAKES, LINES, AND GRADES

The Design-Build Team shall be responsible for any surveying, construction staking and layout required in the performance of the work. He will be responsible for the accuracy of lines, slopes, grades and other engineering work which he provides under this contract. Unless otherwise specified in the Request for Proposals, no measurement or direct payment will be made for this work. The cost shall be considered as included in other contract items.

**SECTION 106
CONTROL OF MATERIAL**

Page 1-56, Article 106-2, add the following after the second paragraph:

Prior to beginning construction, the Design-Build Team shall provide a Table of Quantities as described in Article 101-3 of these specifications.

The Table of Quantities Work Items shall correspond to Pay Items as defined in the Standard Specifications. These Work Items have associated Materials and Conversion Factors. For non-standard Work Items, a Generic Work Item with the correct Unit of Measure and in an appropriate category will be used. For example, "GENERIC TRAFFIC CONTROL ITEM – EA" or "GENERIC RETAINING WALL ITEM – LF". For these Generic Work Items, Materials must be defined and appropriate conversion factors submitted

An initial Table of Quantities shall be submitted no later than 30 calendar days after the date of award. The Table of Quantities shall be updated and resubmitted within 14 days of when a set of Plans is sealed as Release for Construction (RFC) Plans, and whenever there are substantial changes to the Quantities on previously incorporated RFC Plans.

Page 1-58, Article 106-6, replace “specifications” with “contract” as the last word of the 1st paragraph.

Page 1-58, Article 106-6(C), replace the 2nd paragraph with the following:

Where the Department agrees to inspect or test materials during their production or at the source of supply, the Design-Build Team shall bear the cost of testing performed on materials ordered by him but not incorporated into the project. For items normally pretested by the Department, the Design-Build Team shall provide a minimum of 30 days notice prior to the beginning of production of the items for this project along with final approved shop drawings.

SECTION 107 LEGAL RELATIONS AND RESPONSIBILITY TO PUBLIC

Page 1-69, Article 107-18, in the last sentence of the first paragraph, replace the word “legally” with the word “contractually”.

Page 1-69, delete Article 107-19 and replace with the following:

107-19 FURNISHING RIGHT OF WAY

The responsibility for coordinating the securing of all necessary rights of way is as outlined in the Request for Proposals.

SECTION 108 PROSECUTION AND PROGRESS

Page 1-71, Article 108-1, add the following sentence to the end of the 1st paragraph:

The Design-Build Team shall not commence work prior to execution of the contract by both the Department and the Design-Build Team.

Page 1-72, delete Article 108-3 and replace with the following:

108-3 PRECONSTRUCTION AND PRE-DESIGN CONFERENCES

The selected Design-Build Team shall meet with the Engineer for a pre-design conference concerning the design phase of the work. This conference shall be held prior to the commencement of work, as it is determined according to Article 108-1, and will be scheduled by the Engineer. At the predesign conference, the Design-Build Team shall furnish authorized signature forms and a list of any proposed subcontractors associated with the design of the project.

A preconstruction conference shall be held at least 10 working days before construction activity begins. This second conference, concerning the construction phase, shall also be scheduled by the Engineer. The Design-Build Team shall give the Engineer a minimum of 45 days notice before he plans to begin construction activities. This will allow the Engineer time for any environmental agency representatives involved in the permitting process, as well as any other pertinent entities, to be scheduled to attend the preconstruction conference. If the Design-Build Team is responsible for utilities in accordance with Article 105-8 and the Request for Proposals, he shall be responsible for coordinating with the Engineer in scheduling their attendance and for notifying them. The Design-Build Team shall also be responsible for coordinating with the Engineer in scheduling the attendance of subcontractors and others deemed appropriate, and for notifying them.

At the preconstruction conference, a list of any proposed subcontractors and major material suppliers associated with the construction of the project will be submitted.

If the contract has a DBE requirement, the Design-Build Team shall submit copies of completed and signed DBE subcontracts, purchase orders, or invoices to the Department.

The Design-Build Team shall submit a traffic control plan in accordance with Article 1101-5 and the Request for Proposals. The Design-Build Team shall designate an employee who is competent and experienced in traffic control to implement and monitor the traffic control plan. The qualifications of the designated employee must be satisfactory to the Engineer.

The Design-Build Team shall submit a safety plan and designate an employee as Safety Supervisor.

Both plans shall be submitted at the preconstruction conference and must be satisfactory to the Engineer. Should the design plan include activities that would place personnel on the work site, traffic control and safety plans for those activities shall be submitted at the predesign conference.

During the preconstruction conference, the Engineer will designate a Department employee or employees who will be responsible to see that the traffic control plans and any alterations thereto are implemented and monitored to the end that traffic is carried through the work in an effective manner. If approved by the Engineer, the Design-Build Team may designate one employee to be responsible for both the traffic control and safety plans. The Design-Build Team shall not designate its superintendent as the responsible person for either the traffic control plan or the safety plan, unless approved by the Engineer.

If the project requires that Design-Build Team or State personnel work from falsework, within shoring, or in any other hazardous area the Design-Build Team shall submit, as part of the Design-Build Team's safety plan, specific measures it will use to ensure worker safety.

The Design-Build Team shall also submit a program for erosion control and pollution prevention on all projects involving clearing and grubbing, earthwork, structural work, or other construction, when such work is likely to create erosion or pollution problems.

If the Design-Build Team fails to provide the required submissions, the Engineer may order the preconstruction conference suspended until such time as they are furnished. Work shall not begin until the preconstruction conference has been concluded and the safety plan has been approved, unless authorized by the Engineer. The Design-Build Team shall not be entitled to

additional compensation or an extension of contract time resulting from any delays due to such a suspension.

The Design-Build Team shall designate a qualified employee as Quality Control Manager. The Quality Control Manager shall be responsible for implementing and monitoring the quality control requirements of the project.

Page 1-72, Article 108-4, add the following sentence to the end of this article:

The Design-Build Team shall record the proceedings of these conferences and distribute the final minutes of the conferences to all attendees.

Page 1-74, Article 108-6, replace “40 percent” with “30 percent” in the 1st paragraph.

Page 1-74, Article 108-6, delete the second paragraph and replace with the following:

In any event, the Contractor shall perform with his own organization work amounting to not less than 25% of the difference between the total amount bid and the value of specialty items that have been sublet.

Pages 1-75, delete Article 108-8 and replace with the following:

108-8 FAILURE TO MAINTAIN SATISFACTORY PROGRESS

The Engineer will check the Design-Build Team's progress at the time each partial pay request is received. The Design-Build Team's progress may be considered as unsatisfactory if, according to the Progress schedule, the projected finish date for all work exceeds the scheduled finish date by more than 10%.

When the Design-Build Team's progress is found to be unsatisfactory as described above, the Engineer may make written demand of the Design-Build Team to state in writing the reason for the unsatisfactory progress and produce such supporting data as the Engineer may require or the Design-Build Team may desire to submit. The Engineer will consider the justifications submitted by the Design-Build Team and extensions of the completion date that have or may be allowed in accordance with Article 108-10(B).

When the Design-Build Team cannot satisfactorily justify the unsatisfactory progress the Engineer may invoke one or more of the following sanctions:

1. Withhold anticipated liquidated damages from amounts currently due or which become due.
2. Remove the Design-Build Team and individual managing firms of the Design-Build Team and/or prequalified design firms from the Department's Prequalified Bidders List.

When any of the above sanctions have been invoked, they shall remain in effect until rescinded by the Engineer.

Page 1-79, Article 108-10(B), add the following as the first paragraph:

Only delays to activities which affect the completion date or intermediate contract date will be considered for an extension of contract time. No extensions will be granted until a delay

occurs which impacts the project's critical path and extends the work beyond the contract completion date or intermediate completion date. Any extension to the completion date or intermediate contract date will be based on the number of calendar days the completion date or intermediate completion date is impacted as determined by the Engineer's analysis.

Pages 1-79, delete Subarticle 108-10(B)(1) in its entirety.

Page 1-83, Article 108-13, delete bullet (E)(2) in its entirety.

SECTION 109 MEASUREMENT AND PAYMENT

Page 1-85, Article 109-2, delete the last sentence of the 1st paragraph and replace with the following:

Payment to the Design-Build Team will be made only for the work completed, certified and accepted in accordance with the terms of the contract.

Pages 1-90, delete Article 109-4(A) and replace with the following:

109-4 PARTIAL PAYMENTS

(A) General:

Partial payments will be based upon progress estimates prepared by the Engineer at least once each month on the date established by the Engineer. Partial payments may be made twice each month if in the judgment of the Engineer the amount of work performed is sufficient to warrant such payment. No partial payment will be made when the total value of work performed since the last partial payment amounts to less than \$10,000.00. Partial payments will be approximate only and will be subject to correction in the final estimate and payment.

When the contract includes one lump sum price for the entire work required by the contract, partial payments for the lump sum design-build price shall be based on a certified Schedule of Values submitted by the successful Design-Build Team and approved by the Engineer. The certification shall indicate the Design-Build Team has reviewed the information submitted and the information accurately represents the work performed for which payment is requested. The certified Schedule of Values shall be submitted no later than 30 calendar days after the date of award. Each item on the certified Schedule of Values shall be assigned a cost and quantity and shall be identified as an activity on the progress schedule. A revised certified Schedule of Values shall be submitted with each update of the Progress schedule as described in Article 108-2 or when requested by the Engineer. A certified copy of the Table of Quantities shall also be submitted with each payment request. The certification of the Table of Quantities shall indicate the Design-Build Team has reviewed the information submitted and the information accurately represent the materials for the work performed for which payment is requested.

When the contract includes lump sum items for portions of the work required by the contract, and the applicable section of the Specifications or Request for Proposals specify the means by which the total amount bid be included in the partial pay estimates, the Engineer will determine amounts due on the partial pay estimate in accordance with the applicable portion of the Specifications or Request for Proposals.

The Engineer will withhold an amount sufficient to cover anticipated liquidated damages as determined by the Engineer.

Page 1-92, Subarticle 109-5(D), delete the 4th and 5th paragraphs and replace with the following:

Partial payments will not be made on seed or any living or perishable plant materials.

Partial payment requests shall not be submitted by the Design-Build Team until those items requested have corresponding signed and sealed RFC plans accepted by the Department.

Pages 1-94, Article 109-10, add the following as bullets (E) and (F) under the 1st paragraph.

- (E) As-constructed plans or other submittals as required by the Contract.
- (G) Documents or guarantees to support any warranty provided by the Design Build Team.

ITEMIZED PROPOSAL FOR CONTRACT No. C 201918

Jan 17, 2008 10:50am

Page 1 of 1

County: Randolph

Line #	Item Number #	Sec #	Description	Quantity	Unit Cost	Amount
ROADWAY ITEMS						
0001	0000900000-N	SP	GENERIC MISCELLANEOUS ITEM DESIGN and CONSTRUCTION	Lump Sum	L.S.	

1050/Jan17/Q1.0/D900000/E1 /E1

Total Amount Of Bid For Entire Project: _____

******* SOLID WASTE MATERIAL IN EMBANKMENTS *******
 (Reference Solid Waste Material in Embankments Alternate Bids Project Special Provision)

0002	0000900000-N	SP	GENERIC MISCELLANEOUS ITEM Chipped Tires, Option #1	Lump Sum	L.S.	
------	--------------	----	--	----------	------	--

1050/Jan17/Q1.0/D900000/E1 /E1

Total Amount Of Lump Sum Price Adjustment For Option #1: _____

0003	0000900000-N	SP	GENERIC MISCELLANEOUS ITEM Fly Ash, Option #2	Lump Sum	L.S.	
------	--------------	----	--	----------	------	--

1050/Jan17/Q1.0/D900000/E1 /E1

Total Amount Of Lump Sum Price Adjustment For Option #2: _____

FUEL USAGE FACTOR CHART AND ESTIMATE OF QUANTITIES

Description of Work	Units	Fuel Usage Factor Diesel #2	Estimate of Quantities
Unclassified Excavation	Gal / CY	0.29	_____ CY
Borrow Excavation	Gal / CY	0.29	_____ CY
Aggregate Base Course Aggregate for Cement Treated Base Course Portland Cement for Cement Treated Base Course	Gal / Ton	0.55	_____ Tons
Asphalt Concrete Base Course Asphalt Concrete Intermediate Course Asphalt Concrete Surface Course Open-Graded Asphalt Friction Course Sand Asphalt Surface Course, Type F-1	Gal / Ton	2.90	_____ Tons
Portland Cement Concrete Pavement Structural Concrete Concrete Shoulders Adjacent to Pavement	Gal / CY	0.98	_____ CY

The above quantities represent a reasonable estimate of the total quantities anticipated, for each item, as pertaining to fuel price adjustments, and is representative of the design proposed in the Technical Proposal submitted under separate cover.

Or

The Design-Build Team elects not to pursue reimbursement for Fuel Price Adjustments on this project.

The information submitted on this sheet is claimed as a “Trade Secret” in accordance with the requirements of G.S. 66-152(3) until such time as the Price Proposal is opened.

Signature, Title

Dated

Print Name, Title

(Submit a copy of this sheet in a separate sealed package with the outer wrapping clearly marked “Fuel Price Adjustment” and deliver with the Technical and Cost Proposal.)

AWARD LIMITS ON MULTIPLE PROJECTS

It is the desire of the Proposer to be awarded contracts, the value of which will not exceed a total of \$ _____, for those projects indicated below on which bids are being opened on the same date as shown in the Proposal Form. Individual projects shall be indicated by placing the project number and county in the appropriate place below. Projects not selected will not be subject to an award limit.

(Project Number)	(County)
(Project Number)	(County)
(Project Number)	(County)
(Project Number)	(County)

*If a Proposer desires to limit the total amount of work awarded to him in this letting, he shall state such limit in the space provided above in the second line of this form.

It is agreed that in the event that I am (we are) the successful Design Build Team on indicated projects, the total value of which is more that the above stipulated award limits, the Board of Transportation will award me (us) projects from among those indicated which have a total value not exceeding the award limit and which will result in the best advantage to the Department of Transportation.

**Signature of Authorized Person

**Only those persons authorized to sign bids under the provisions of Article 102-8, Item 7, shall be authorized to sign this form.

LISTING OF DBE SUBCONTRACTORS

Sheet ____ of ____

FIRM NAME AND ADDRESS	ITEM NO.	ITEM DESCRIPTION	(*) AGREED UPON UNIT PRICE	DOLLAR VOLUME OF SUBLET ITEM
CONTRACT NO. _____		COUNTY _____		FIRM _____

COST OF CONSTRUCTION WORK ONLY \$ _____

(*) The Dollar Volume Shown In This Column Shall be Actual Price Agreed Upon by the Prime Contractor and the DBE Subcontractor, and These Prices Will Be Used to Determine The Percentage of the DBE Participation in this Contract.

**Dollar Volume of DBE Subcontractor \$ _____
Percentage of Total Construction Cost _____ %

**MUST HAVE ENTRY EVEN IF FIGURE TO BE ENTERED IS ZERO.

EXECUTION OF BID, NONCOLLUSION AFFIDAVIT AND DEBARMENT CERTIFICATION

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with this bid, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of "Status" under penalty of perjury under the laws of the United States in accordance with the Debarment Certification included elsewhere in the proposal form, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

SIGNATURE OF CONTRACTOR

(If a corporation uses this sheet)

(Print full name of corporation)

(Address as Prequalified)

Attest _____
(Secretary) (Assistant Secretary)
Delete inappropriate title

By _____
(President) (Vice President)
(Asst. Vice President)
Delete inappropriate title

Print Signer's Name

Print Signer's Name

NOTE - AFFIDAVIT MUST BE NOTARIZED

CORPORATE SEAL

Subscribed and sworn to before me this the
____ day of _____, 20 ____.

(Signature of Notary Public)

NOTARY SEAL:

of _____ County.

State of _____.

My Commission Expires: _____

EXECUTION OF BID, NONCOLLUSION AFFIDAVIT, AND DEBARMENT CERTIFICATION

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with this bid, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of "Status" under penalty of perjury under the laws of the United States in accordance with the Debarment Certification included elsewhere in the proposal form, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

SIGNATURE OF CONTRACTOR
(If a joint venture, use this sheet)

Instructions to Bidders: On Line (1), print the name of each contractor. On Line (2), print the name of one of the joint venturers and execute below in the appropriate manner and furnish in the following lines all information required by Article 102-8 of the Specifications. On Line (3), print the name of the other joint venturer and execute below in the appropriate manner and furnish all information required by said article of the Specifications. For correct form of execution and information required for execution of this sheet by an individual, see Signature Sheets 3 and 4; for a corporation, see Signature Sheet 1; and for a partnership, see Signature Sheet 5.

(1) _____ and _____
A Joint Venture

(2) _____ (Seal)
(Name of Contractor)

Witness or Attest By _____

Print Signer's Name Print Signer's Name
If a corporation, affix corporate seal:

and
(3) _____ (Seal)
(Name of Contractor)

(Address as Prequalified)

Witness or Attest By _____

Print Signer's Name Print Signer's Name
If a corporation, affix corporate seal:

NOTE - AFFIDAVIT MUST BE NOTARIZED For Line (2) NOTE - AFFIDAVIT MUST BE NOTARIZED For Line (3)

Subscribed and sworn to before me
this the ____ day of _____, 20____. Subscribed and sworn to before me
this the ____ day of _____, 20____.

(Signature of Notary Public & Seal) (Signature of Notary Public & Seal)

of _____ County. of _____ County.

State of _____ State of _____.

My Commission Expires: _____ My Commission Expires _____.

12/21/99

EXECUTION OF BID, NONCOLLUSION AFFIDAVIT, AND DEBARMENT CERTIFICATION

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with this bid, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of "Status" under penalty of perjury under the laws of the United States in accordance with the Debarment Certification included elsewhere in the proposal form, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

SIGNATURE OF CONTRACTOR
(If an individual doing business under a firm name, use this sheet)

Name of Contractor _____ trading
(Print individual name)

Witness

Print Signer's Name

and doing business as _____
(Print firm name)

(Address as Prequalified)

Signature of Contractor _____
(Individually)

Print Signer's Name

NOTE - AFFIDAVIT MUST BE NOTARIZED

Subscribed and sworn to before me this the _____ day of _____, 20____.

NOTARY SEAL

(Signature of Notary Public)

of _____ County.

State of _____.

My Commission Expires: _____

EXECUTION OF BID, NONCOLLUSION AFFIDAVIT, AND DEBARMENT CERTIFICATION

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with this bid, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of "Status" under penalty of perjury under the laws of the United States in accordance with the Debarment Certification included elsewhere in the proposal form, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

SIGNATURE OF CONTRACTOR

(If an individual doing business in his own name, use this sheet)

Name of Contractor _____
(Print)

(Address as Prequalified)

Witness

Signature of Contractor _____
(Individually)

Print Signer's Name

Print Signer's Name

NOTE - AFFIDAVIT MUST BE NOTARIZED

Subscribed and sworn to before me this the
____ day of _____, 20 ____.

NOTARY SEAL

(Signature of Notary Public)

of _____ County.

State of _____.

My Commission Expires: _____

EXECUTION OF BID, NONCOLLUSION AFFIDAVIT, AND DEBARMENT CERTIFICATION

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with this bid, and that the bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the bidder's certification of "Status" under penalty of perjury under the laws of the United States in accordance with the Debarment Certification included elsewhere in the proposal form, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

SIGNATURE OF CONTRACTOR

(If a partnership, use this sheet)

(Print Name of Partnership)

(Address as Prequalified)

Witness By _____ Partner

Print Signer's Name _____
Print Signer's Name

NOTE - AFFIDAVIT MUST BE NOTARIZED

Subscribed and sworn to before me this the _____ day of _____, 20____.

NOTARY SEAL

(Signature of Notary Public)

of _____ County.

State of _____.

My Commission Expires: _____

EXECUTION OF BID, NONCOLLUSION AFFIDAVIT, AND DEBARMENT CERTIFICATION

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with this bid, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of "Status" under penalty of perjury under the laws of the United States in accordance with the Debarment Certification included elsewhere in the proposal form, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

SIGNATURE OF CONTRACTOR
(Limited Liability Company, use this sheet)

Name of Contractor _____
(Print firm name)

(Address as Prequalified)

Signature of Manager _____
(Individually)

Print Signer's Name

NOTE - AFFIDAVIT MUST BE NOTARIZED

Subscribed and sworn to before me this the
_____ day of _____, 20____.

NOTARY SEAL

(Signature of Notary Public)

of _____ County.

State of _____.

My Commission Expires: _____

2/16/99

Contract No: C 201918

County: Randolph

ACCEPTED BY THE
DEPARTMENT OF TRANSPORTATION

Contract Officer

Date

Execution of Contract and Bonds
Approved as to Form:

Attorney General

DEBARMENT CERTIFICATION OF BIDDERS

Instructions & conditions for certification

1. By signing and submitting this proposal, the bidder is providing the certification set out below.
2. The inability of a bidder to provide the certification required below will not necessarily result in denial of participation in this contract. If the certification is not provided, the bidder must submit an explanation (exception) of why it cannot provide the certification set out below. The certification or explanation (exception) will be considered in connection with the Department's determination whether to award the contract. However, failure of the prospective bidder to furnish a certification or an explanation (exception) may be grounds for rejection of the bid.
3. The certification in this provision is a material representation of fact upon which reliance is placed when the Department determines whether or not to award the contract. If it is later determined that the bidder knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Department may terminate this contract for cause of default.
4. The prospective bidder shall provide immediate written notice to the Department if at any time the bidder learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this provision, have the meanings set out in the Definitions and Coverage sections of the rules implementing *Executive Order 12540*. A copy of the Federal Rules requiring this certification and detailing the definitions and coverages may be obtained from the Contract Officer of the Department.
6. The bidder agrees by submitting this bid that, should the contract be awarded, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this contract, unless authorized by the Department.
7. The prospective bidder further agrees by submitting this proposal that it will include the Federal-Aid Provision titled "Required Contract Provisions Federal-Aid Construction Contract" (Form FHWA PR 1273) provided by the Department, without subsequent modification, in all lower tier covered transactions.

8. The prospective bidder may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this provision. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if the successful bidder knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the Department may terminate this transaction for cause of default.

DEBARMENT CERTIFICATION

The bidder certifies to the best of its knowledge and belief, that it and its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records; making false statements; or receiving stolen property;
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph b. of this certification; and
- d. Have not within a three-year period preceding this proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the prospective bidder is unable to certify to any of the statements in this certification, it shall attach an explanation to this proposal.

IF AN EXPLANATION, AS PROVIDED IN THE ABOVE DEBARMENT CERTIFICATION, HAS BEEN ATTACHED TO THE PROPOSAL, PLEASE CHECK THE BOX SHOWN BELOW:

An explanation has been attached to the proposal.