

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

**FINAL REQUEST FOR PROPOSALS**



**DESIGN-BUILD PROJECT**

**TIP B-2500B**

**June 9, 2016**



*VOID FOR BIDDING*

DATE AND TIME OF TECHNICAL AND PRICE PROPOSAL SUBMISSION: **August 30, 2016 BY 4:00 PM**

DATE AND TIME OF PRICE PROPOSAL OPENING: **September 20, 2016 AT 2:00 PM**

CONTRACT ID: C203474

WBS ELEMENT NO. 32635.3.FR7

FEDERAL-AID NO. BRNHF-0012(56)

COUNTY: Dare

ROUTE NO. NC 12

MILES: 3.0

LOCATION: NC 12 – RODANTHE BREACH LONG TERM IMPROVEMENTS (PHASE IIb)

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. C203474  
IN DARE 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. C203474; 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 Secretary 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. C203474 in Dare 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 and Addenda thereto, the 2012 *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

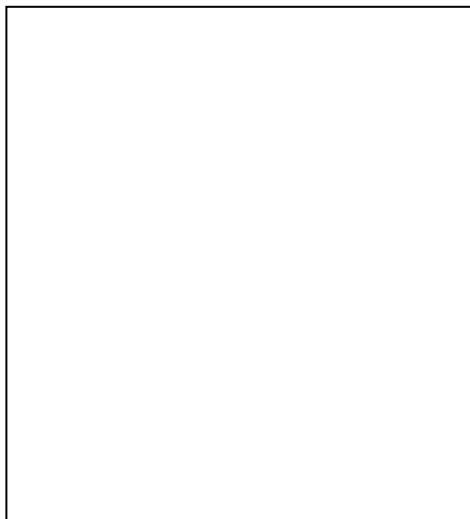
project design, including the use of portions of the Department design, modification of such design, or other designs as may be submitted by the Design-Build Team.

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.

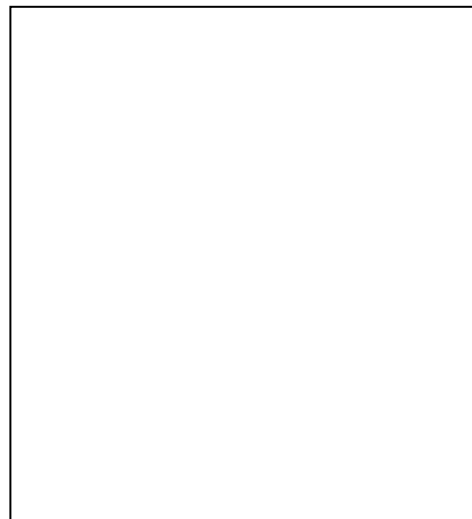
The published volume entitled *North Carolina Department of Transportation, Raleigh, Standard Specifications for Roads and Structures*, January 2012, as well as, all design manuals, policy and procedures manuals, and AASHTO publications and guidelines referenced in the Request For Proposals, with all 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.



*Administrator of the Technical Services Division*



*State Contract Officer*

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**PROPOSAL FORMS - ITEMIZED SHEET, ETC.**

- Itemized Proposal Sheet (TAN SHEET)
- Fuel Usage Factor Chart and Estimate of Quantities
- Listing of DBE Subcontractors
- Execution of Bid, Non-Collusion Affidavit, Debarment Certification and Gift Ban Certification
- Signature Sheet

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

07/12/07

DB1 G04A

The date of availability for this contract is October 31, 2016, except that the Design-Build Team shall only begin ground disturbing activities as allowed by 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, 2020.

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 proposed by the Design-Build Team in the Technical Proposal, the performance and payment bonds shall remain in full force and effect until the observation period has been completed and the work accepted by the Department.

The liquidated damages for this contract are Five **Thousand 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 *Substantial Completion* Project Special Provision found elsewhere in this RFP, the liquidated damages will be reduced to Two **Thousand Dollars (\$2,000.00)** 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 **Thousand Dollars (\$5,000.00)** per calendar day will be applicable to the early date for substantial completion proposed by the bidder. Liquidated damages of **Two Thousand Dollars (\$2,000.00)** 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. 02/14/08)

DB1 G11

**Refer to the Transportation Management 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 NC 12 are \$500.00 per 15-minute period or any portion thereof.

Liquidated Damages for Intermediate Contract Time #2 for road closure time restrictions for NC 12 are \$500.00 per 15-minute time period or any portion thereof.

**Liquidated Damages for Erosion and Sedimentation Control efforts apply to this project.**

Reference the Erosion and Sedimentation Control Scope of Work found elsewhere in this RFP for additional information under the Liquidated Damages Section.

**PAYOUT SCHEDULE**

(11-16-09)

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.

Submit updates of the Anticipated Monthly Payout Schedule on March 15, June 15, September 15, and December 15 of each calendar year until project acceptance. Submit all updates to the Resident Engineer with a copy to the State Construction Engineer at 1 South Wilmington St, 1543 Mail Service Center, Raleigh, NC 27699-1543.

**MOBILIZATION**

(9-1-11)

DB1 G15B

Revise the 2012 *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**

Ten percent of the "Total Amount of 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 75 percent of the lump sum amount calculated for Mobilization. The remaining 25 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 except the U.S. Coast Guard Permit.



**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. Excluding signs on intersecting roadways, all signs are complete and accepted.
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-Build Team 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-Build Team 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.

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

1/23/14

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 and Estimate of Quantities* sheet will be subject to fuel price adjustments.

**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 **\$1.5868** 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* sheet 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 are submitted.

(E) **Failure to Submit**

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.

**INDIVIDUAL MEETINGS WITH PROPOSERS**

(9-1-11)

DB1 G048

The Department will provide at least two Question and Answer Sessions to meet with each proposer individually to specifically address questions regarding the draft Requests for Proposals.

The Department will attempt to arrange for a meeting between each individual proposer and the affected utility owners. The Department will attempt to arrange a meeting between each individual proposer and the environmental agencies.

The Department will afford each proposer one additional meeting with the Department (maximum two-hour time limit) to discuss project specifics and address the proposers' concerns and questions. This meeting may occur at any time after the first Question and Answer Session with the proposers and before two weeks prior to the Technical and Price Proposals submittal date. The proposer shall request this meeting, in writing, to the State Contract Officer, providing the Department a minimum of one week advance notice of the requested date. The proposer shall also state in the request those disciplines within the Department that are requested to be in attendance. The Department makes no assurance that the request may be honored on that specific date or that all disciplines requested can be in attendance.

Additional individual meetings may be permitted in accordance with the *Alternative Technical Concepts and Confidential Questions* Project Special Provision found elsewhere in this RFP.

**EXECUTION OF BID, NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION**

(1/24/13)

DB1 G52

The Proposer's attention is directed to the various sheets in the Request for Proposals 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:

**<https://connect.ncdot.gov/letting/Pages/Design-Build-Resources.aspx>**

or by contacting the Records and Documents office at 919-707-6900.

1. Applicable Signature Sheets: 1, 2, 3, 4, 5, or 6 (Bid)
2. Bid Bond dated the day of Technical and Price Proposal submission

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 Non-Collusion Affidavit, Debarment Certification and Gift Ban 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**

(9-1-11)

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 Proposals.
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, dated the day of Technical and Price Proposal submission.
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 *Disadvantaged Business Enterprises* Project Special Provision.
6. The Design-Build Proposal shall address all the requirements as specified in this Request for Proposals.

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), Article 102-9 of the 2012 *Standard Specifications for Roads and Structures*, or Article 102-10 of the 2012 *Standard Specifications for Roads and Structures* and as amended in the Standard Special Provisions, Division One (found elsewhere in this RFP) may result in a Design-Build Proposal being rejected.

### **ALTERNATIVE TECHNICAL CONCEPTS AND CONFIDENTIAL QUESTIONS**

(6-8-11)

DB1 G56A

To accommodate innovation that may or may not be specifically allowed by the RFP, or other documents incorporated into the contract by reference, the Design-Build Team has the option of submitting Confidential Questions and Alternative Technical Concepts.

#### **Definitions**

A Confidential Question is defined as a private query to the Department containing information whose disclosure could alert others to certain details of doing business in a particular manner.

An Alternative Technical Concept is a private query to the Department that requests a variance to the requirements of the RFP, or other documents incorporated into the contract by reference, that is equal or better in quality or effect, as determined by the Department in its sole discretion, and that have been used elsewhere under comparable circumstances.

### **Confidential Questions**

The Design-Build Team will be permitted to ask Confidential Questions of the Department, and neither the question nor the answer will be shared with other Design-Build Teams. The Department, in its sole discretion, will determine if a question is considered confidential.

Confidential Questions arising prior to issuance of the Final RFP will be allowed during the industry review of the draft RFP with the individual Design-Build Teams. The Department will answer the Confidential Question verbally at the industry review meeting, if possible, and / or through subtle changes in the Final RFP, which will clarify the scope by either allowing or disallowing the request. To the greatest extent possible, the revision will be made in such a manner as to not disclose the Confidential Question.

After the issuance of the Final RFP, Confidential Questions may be asked by requesting a meeting with the State 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 State Contract Officer will respond to the question in writing to the Design-Build Team and / or through subtle changes in the Final RFP as reflected in an addendum, which will clarify the scope by either allowing or disallowing the request. To the greatest extent possible, the revision will be made in such a manner as to not disclose the Confidential Question.

If the Design-Build Team includes work based on the Confidential Questions and answers, the work shall be discussed in the Technical Proposal.

### **Alternative Technical Concepts**

The Design-Build Team may include an ATC in the Technical and Price Proposal only if the ATC has been received by the Department by no later than four weeks prior to the deadline for submitting Technical and Price Proposals and it has been approved by the Department (including conditionally approved ATCs, if all conditions are met).

The submittal deadline above applies only to initial ATC submittals. Resubmittal of an ATC that (1) has been revised in response to the Department's requests for further information concerning a prior submittal or (2) is a Formal ATC for a Preliminary ATC that received a favorable response from the Department shall be received by the Department no later than two weeks prior to the deadline for submitting Technical and Price Proposals.

The Design-Build Team shall be solely responsible for reviewing all versions of the RFP, including all Addenda, and determining variances required by a Formal ATC. The Design-Build Team is cautioned that the Department's approval in no way implies that the Design-Build Team

has requested approval of all the required variances to the RFP requirements. Additionally, should the Department revise the RFP after a Formal ATC has been approved, the Design-Build Team shall be solely responsible for reviewing the RFP and determining if the ATC deviates from the revised requirements. If necessary, the Design-Build Team must submit a request for approval of all additional required variance(s) within five business days of the revised RFP distribution.

An ATC shall in no way take advantage of an error or omission in the RFP, or other documents incorporated into the contract by reference. If, at the sole discretion of the Department, an ATC is deemed to take advantage of an error or omission in the RFP, or other documents incorporated into the contract by reference, the RFP will be revised without regard to confidentiality. If at any time, the Department receives a documented question on the project similar to a concept submitted in the form of a Preliminary ATC or Formal ATC, the Department reserves the right to revise the RFP without further regard for confidentiality.

By approving an ATC, the Department acknowledges that the ATC may be included in the design and RFC Plans; however, approval of any ATC in no way relieves the Design-Build Team of its obligation to satisfy (1) other contract requirements not specifically identified in the ATC submittal; (2) any obligation that may arise under applicable laws and regulations; and (3) any obligation mandated by the regulatory agencies as a permit condition.

### **ATC Submittals**

Each ATC submittal shall include three individually bound hard copies and an electronic .pdf file of the entire submittal and shall be submitted to the State Contract Officer at the address provided elsewhere in this RFP.

### **Formal ATCs**

Each Formal ATC submittal shall include the following information:

- 1) **Description** - A detailed description and schematic drawings of the configuration of the ATC or other appropriate descriptive information (including, if appropriate, product details [i.e., specifications, construction tolerances, special provisions] and a traffic operational analysis, if appropriate);
- 2) **Usage** - Where and how the ATC would be used on the project;
- 3) **Deviations** - References to all RFP requirements, or other documents incorporated into the contract by reference, that are inconsistent with the proposed ATC, an explanation of the nature of the deviations from said requirements, and a request for approval of such variance(s);
- 4) **Analysis** - An analysis justifying use of the ATC and why the variance to the RFP requirements, or other documents incorporated into the contract by reference, should be allowed;
- 5) **Impacts** - Discussion of potential impacts on vehicular traffic, environmental impacts identified, community impact, safety and life-cycle project impacts, and infrastructure costs (including impacts on the cost of repair and maintenance);
- 6) **History** - A detailed description of other projects where the ATC has been used, the success of such usage, and names and telephone numbers of project owners that can confirm such statements;

- 7) **Risks** - A description of added risks to the Department and other entities associated with implementing the ATC; and
- 8) **Costs** - An estimate of the ATC implementation costs to the Department, the Design-Build Team, and other entities (right of way, utilities, mitigation, long term maintenance, etc.).

The Formal ATC, if approved, shall be included in the Price Proposal if the Design-Build Team elects to include it in their Technical Proposal.

### **Review of ATCs**

A panel will be selected to review each ATC, which may or may not include members of the Technical Review Committee. The Design-Build Team shall make no direct contact with any member of the review panel, except as may be permitted by the State Contract Officer. Unapproved contact with any member of the review panel will result in a disqualification of that ATC.

The Department may request additional information regarding a proposed ATC at any time. To the greatest extent possible, the Department will return responses to, or request additional information from, the Design-Build Team within 15 business days of the original submittal of a Formal ATC. If additional information is requested, the Department will provide a response within five business days of receipt of all requested information.

The Department may conduct confidential one-on-one meeting(s) to discuss the Design-Build Team's ATC. Under no circumstances will the Department be responsible or liable to the Design-Build Team or any other party as a result of disclosing any ATC materials, whether the disclosure is deemed required by law, by a court order, or occurs through inadvertence, mistake or negligence on the part of the Department or their respective officers, employees, contractors or consultants.

In the event that the Department receives ATCs from more than one Design-Build Team that are deemed by the Department, in its sole discretion, to be similar in nature, the Department reserves the right to modify the RFP without further regard for confidentiality.

### **The Department Response to Formal ATCs**

The Department will review each Formal ATC and will respond to the Design-Build Team with one of the following determinations:

- 1) The ATC is approved.
- 2) The ATC is not approved.
- 3) The ATC is not approved in its present form, but may be approved upon satisfaction, in the Department's sole discretion, of certain identified conditions that shall be met or certain clarifications or modifications that shall be made (conditionally approved).

- 4) The submittal does not qualify as an ATC but may be included in the Design-Build Proposal without an ATC (i.e., the concept complies with the baseline requirements of the RFP).
- 5) The submittal does not qualify as an ATC and may not be included in the Design-Build Proposal.
- 6) The ATC is deemed to take advantage of an error or omission in the RFP, or other documents incorporated into the contract by reference, in which case the ATC will not be considered, and the RFP will be revised to correct the error or omission.
- 7) A documented question has been received outside of the ATC process on the same topic and the RFP will be revised to address that question.
- 8) More than one ATC has been received on the same topic and the Department has elected to exercise its right to revise the RFP. This response could also follow and supersede one of the other previously supplied responses above.

### **Formal ATC Inclusion in Technical Proposal**

The Design-Build Team may incorporate one or more approved Formal ATCs as part of its Technical and Price Proposals. If the Department responded to a Formal ATC by stating that it would be approved if certain conditions were met, those conditions shall be stipulated and met in the Technical Proposal.

In addition to outlining each implemented Formal ATC, and providing assurances to meet all attached conditions, the Design-Build Team shall also include a copy of the Formal ATC approval letter from the State Contract Officer in each of the twelve Technical Proposals submitted. This letter will be included in the distribution of the Technical Proposals to the Technical Review Committee.

Approval of a Formal ATC in no way implies that the Formal ATC will receive a favorable review from the Technical Review Committee. The Technical Proposals will be evaluated in regards to the evaluation criteria found in this RFP, regardless of whether or not Formal ATCs are included.

The Price Proposal shall reflect all incorporated Formal ATCs. Except for incorporating approved Formal ATCs, the Technical Proposal may not otherwise contain exceptions to, or deviations from, the requirements of the RFP, or other documents incorporated into the contract by reference.

### **Preliminary ATCs**

At the Design-Build Team's option, a Preliminary ATC submittal may be made that presents a concept and a brief narrative of the benefits of said concept. The purpose of allowing such a Preliminary ATC is to limit the Design-Build Team's expense in the pursuit of a Formal ATC that may be quickly denied by the Department.



To the greatest extent possible, the Department will review Preliminary ATCs within ten business days of submittal and provide written comments that include one of the responses noted below. The Department's response to a Preliminary ATC submittal will be either (1) that the Preliminary ATC is denied; (2) that the Preliminary ATC would be considered as a Formal ATC if the Team so elects to pursue a Formal ATC submission; (3) that an ATC is not required; (4) a documented question has been received outside of the ATC process on the same topic and the RFP will be revised to address that question; (5) more than one ATC has been received on the same topic and the Department has elected to exercise its right to revise the RFP; or (6) that the ATC takes advantage of an error or omission in the RFP or other documents incorporated into the contract by reference, in which case the ATC will not be considered and the RFP will be revised to correct the error or omission. The Department in no way warrants that a favorable response to a Preliminary ATC submittal will translate into a favorable response to a Formal ATC submittal. Likewise, a favorable response to a Preliminary ATC submittal is not sufficient to include the ATC in a Technical Proposal.

### **SCHEDULE OF ESTIMATED COMPLETION PROGRESS**

(9-1-11) (Rev. 8/3/15)

DB1 G58

The Design-Build Team's attention is directed to the *Availability of Funds - Termination of Contracts* Standard Special Provision found 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 (% of Dollar Value)</u>
2017 (07/01/16 – 06/30/17)	10% of Total Amount Bid
2018 (07/01/17 – 06/30/18)	35% of Total Amount Bid
2019 (07/01/18 – 06/30/19)	34% of Total Amount Bid
2020 (07/01/19 – 06/30/20)	20% of Total Amount Bid
2021 (07/01/20 – 06/30/21)	1% of Total Amount Bid

The Design-Build Team shall also furnish its own progress schedule in accordance with Article 108-2 of the 2012 *Standard Specifications for Roads and Structures*. 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.

### **DISADVANTAGED BUSINESS ENTERPRISE**

(12-1-13)(Rev. 1-8-16)

DB1 G061

#### **Description**

The purpose of this Special Provision is to carry out the U.S. Department of Transportation's policy of ensuring nondiscrimination in the award and administration of contracts financed in whole or in part with Federal funds. This provision is guided by 49 CFR Part 26.

**Definitions**

*Additional DBE Subcontractors* - Any DBE submitted at the time of bid that will not be used to meet the DBE goal. No submittal of a Letter of Intent is required.

*Committed DBE Subcontractor* - Any DBE submitted at the time of bid that is being used to meet the DBE goal by submission of a Letter of Intent. Or any DBE used as a replacement for a previously committed DBE firm.

*Contract Goal Requirement* - The approved DBE participation at time of award, but not greater than the advertised contract goal.

*DBE Goal* - A portion of the total contract, expressed as a percentage, that is to be performed by committed DBE subcontractor(s).

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

*Goal Confirmation Letter* - Written documentation from the Department to the Proposer confirming the Design-Build Team's approved, committed DBE participation along with a listing of the committed DBE firms.

*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 and operates distribution equipment for the products. Brokers and packagers are not regarded as manufacturers or regular dealers within the meaning of this section.

*North Carolina Unified Certification Program (NCUCP)* - A program that provides comprehensive services and information to applicants for DBE 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.

*United States Department of Transportation (USDOT)* - Federal agency responsible for issuing regulations (49 CFR Part 26) and official guidance for the DBE program.

**Forms and Websites Referenced in this Provision**

*DBE Payment Tracking System* - On-line system in which the Design-Build Team enters the payments made to DBE subcontractors who have performed work on the project.

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

DBE-IS *Subcontractor Payment Information* - Form for reporting the payments made to all DBE firms working on the project.

**<http://www.ncdot.org/doh/forms/files/DBE-IS.xls>**

RF-1 *DBE Replacement Request Form* - Form for replacing a committed DBE.

**<http://connect.ncdot.gov/projects/construction/Construction%20Forms/DBE%20MBE%20WBE%20Replacement%20Request%20Form.pdf>**

SAF *Subcontract Approval Form* - Form required for approval to sublet the contract.

**<http://connect.ncdot.gov/projects/construction/Construction%20Forms/Subcontract%20Approval%20Form%20Rev.%202012.zip>**

JC-1 *Joint Check Notification Form* - Form and procedures for joint check notification. The form acts as a written joint check agreement among the parties providing full and prompt disclosure of the expected use of joint checks.

**<http://connect.ncdot.gov/projects/construction/Construction%20Forms/Joint%20Check%20Notification%20Form.pdf>**

*Letter of Intent* - Form signed by the Contractor and the DBE subcontractor, manufacturer or regular dealer that affirms that a portion of said contract is going to be performed by the signed DBE for the amount listed at the time of bid.

**<http://connect.ncdot.gov/letting/LetCentral/Letter%20of%20Intent%20to%20Perform%20as%20a%20Subcontractor.pdf>**

*Listing of DBE Subcontractors Form* - Form for entering DBE subcontractors on a project that will meet this DBE goal contained elsewhere in this RFP.

**[http://connect.ncdot.gov/municipalities/Bid%20Proposals%20for%20LGA%20Content/08%20DBE%20Subcontractors%20\(Federal\).doc](http://connect.ncdot.gov/municipalities/Bid%20Proposals%20for%20LGA%20Content/08%20DBE%20Subcontractors%20(Federal).doc)**

*Subcontractor Quote Comparison Sheet* - Spreadsheet for showing all subcontractor quotes in the work areas where DBEs quoted on the project. This sheet is submitted with good faith effort packages.

**<http://connect.ncdot.gov/business/SmallBusiness/Documents/DBE%20Subcontractor%20Quote%20Comparison%20Example.xls>**

**DBE Goal**

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

Disadvantaged Business Enterprises **2.0%**

- (A) *If the DBE goal is more than zero*, the Design-Build Team shall exercise all necessary and reasonable steps to ensure that DBEs participate in at least the percent of the contract as set forth above as the DBE goal.
- (B) *If the DBE goal is zero*, the Design-Build Team shall make an effort to recruit and use DBEs during the performance of the contract. Any DBE participation obtained shall be reported to the Department.

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

**Directory of Transportation Firms (Directory)**

Real-time information is available about firms doing business with the Department and firms that are certified through NCUCP in the Directory of Transportation Firms. Only firms identified in the Directory as DBE certified shall be used to meet the DBE goal. The Directory can be found at the following link.

**<https://partner.ncdot.gov/VendorDirectory/default.html>**

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

**Listing of DBE Subcontractors**

At the time of bid, Proposers shall submit all DBE participation that they anticipate to use during the life of the contract. Only those identified to meet the DBE goal will be considered committed, even though the listing shall include both committed DBE subcontractors and additional DBE subcontractors. Additional DBE subcontractor participation submitted at the time of bid will be used toward the Department's overall race-neutral goal. Only those firms with current DBE certification at the time of Price Proposal opening will be acceptable for listing in the Proposer's submittal of DBE participation. The Design-Build Team shall indicate the following required information:

- (1) *If the DBE goal is more than zero*,
  - (a) Proposers, at the time the Price Proposal is submitted, shall submit a listing of DBE participation, including the names and addresses on *Listing of DBE Subcontractors* contained elsewhere in the contract documents in order for the Price Proposal to be

considered responsive. Proposers shall indicate the total dollar value of the DBE participation for the contract.

- (b) If Proposers have no DBE participation, they shall indicate this on the *Listing of DBE Subcontractors* by entering the word “None” or the number “0.” 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 the Price Proposals. The Department will not consider these Price Proposals for award and the proposal will be rejected.
- (c) The Proposer shall be responsible for ensuring that the DBE is certified at the time of bid by checking the Directory of Transportation Firms. If the firm is not certified at the time of the opening of the Price Proposals, that DBE’s participation will not count towards achieving the corresponding goal.
- (2) *If the DBE goal is zero*, entries on the *Listing of DBE Subcontractors* are not required for the zero goal, however any DBE participation that is achieved during the project shall be reported in accordance with requirements contained elsewhere in this special provision.

### **DBE Prime Contractor**

When a certified DBE firm proposes on a contract that contains a DBE goal, the DBE firm is responsible for meeting the goal or making good faith efforts to meet the goal, just like any other proposer. In most cases, a DBE proposer on a contract will meet the DBE goal by virtue of the work it performs on the contract with its own forces. However, all the work that is performed by the DBE proposer and any other DBE subcontractors will count toward the DBE goal. The DBE proposer shall list itself along with any DBE subcontractors, if any, in order to receive credit toward the DBE goal.

For example, if the DBE goal is 45.0% and the DBE proposer will only perform 40.0% of the contract work, the prime will list itself at 40.0%, and the additional 5.0% shall be obtained through additional DBE participation with DBE subcontractors or documented through a good faith effort.

DBE prime contractors shall also follow Sections A and B listed under *Listing of DBE Subcontractor* just as a non-DBE proposer would.

### **Written Documentation – Letter of Intent**

The Proposer shall submit written documentation for each DBE that will be used to meet the DBE goal of the contract, indicating the Proposer’s commitment to use the DBE in the contract. This documentation shall be submitted on the Department’s form titled *Letter of Intent*.

The documentation shall be received in the office of the State Contractor Utilization Engineer or at DBE@ncdot.gov no later than 12:00 noon of the sixth calendar day following opening of Price

Proposals, unless the sixth day falls on an official state holiday. In that situation, it is due in the office of the State Contractor Utilization Engineer no later than 12:00 noon on the next official state business day.

If the Proposer fails to submit the Letter of Intent from each committed DBE to be used toward the DBE goal, or if the form is incomplete (i.e. both signatures are not present), the DBE participation will not count toward meeting the DBE goal. If the lack of this participation drops the commitment below the DBE goal, the Design-Build Team shall submit evidence of good faith efforts, completed in its entirety, to the State Contractor Utilization Engineer or DBE@ncdot.gov no later than 12:00 noon on the eighth calendar day following opening of the Price Proposals, unless the eighth day falls on an official state holiday. In that situation, it is due in the office of the State Contractor Utilization Engineer no later than 12:00 noon on the next official state business day.

### **Submission of Good Faith Effort**

If the Proposer fails to meet or exceed the DBE goal the Proposer with the apparent adjusted low price shall submit to the Department documentation of adequate good faith efforts made to reach the DBE goal.

A hard copy and an electronic copy of this information shall be received in the office of the State Contractor Utilization Engineer or at DBE@ncdot.gov no later than 12:00 noon of the sixth calendar day following opening of the Price Proposals unless the sixth day falls on an official state holiday. In that situation, it is due in the office of the State Contractor Utilization Engineer the next official state business day. If the Design-Build Team cannot send the information electronically, then one complete set and nine copies of this information shall be received under the same time constraints above.

Note: 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. This documentation may include written subcontractor quotations, telephone log notations of verbal quotations, or other types of quotation documentation.

### **Consideration of Good Faith Effort for Projects with DBE Goals More Than Zero**

Adequate good faith efforts mean that the Proposer took all necessary and reasonable steps to achieve the goal which, by their scope, intensity, and appropriateness, could reasonably be expected to obtain sufficient DBE participation. Adequate good faith efforts also mean that the Proposer actively and aggressively sought DBE participation. Mere *pro forma* efforts are not considered good faith efforts.

The Department will consider the quality, quantity, and intensity of the different kinds of efforts a Proposer has made. Listed below are examples of the types of actions a proposer will take in making a good faith effort to meet the goal and are not intended to be exclusive or exhaustive, nor is it intended to be a mandatory checklist.

- (A) Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, advertising, written notices, use of verifiable electronic means through the use of the NCDOT Directory of Transportation Firms) the interest of all certified DBEs who have the capability to perform the work of the contract. The Proposer must solicit this interest within at least ten days prior to the opening of the Price Proposals to allow the DBEs to respond to the solicitation. Solicitation shall provide the opportunity to DBEs within the Division and surrounding Divisions where the project is located. The Proposer must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.
- (B) Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved.
- (1) Where appropriate, break out contract work items into economically feasible units to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces.
  - (2) Negotiate 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 (2<sup>nd</sup> and 3<sup>rd</sup> tier subcontractors).
- (C) Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.
- (D) 1. Negotiating in good faith with interested DBEs. It is the Proposer's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBEs to perform the work.
2. A proposer using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a proposer's failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the Proposer of the responsibility to make good faith efforts. Proposing Design-Build Teams are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.
- (E) Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The Proposer's standing within its industry, membership

in specific groups, organizations, or associates and political or social affiliations (for example, union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the Proposer's efforts to meet the project goal.

- (F) Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or proposer.
- (G) Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.
- (H) Effectively using the services of available minority / women community organizations; minority / women contractors' groups; Federal, State, and local minority / women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs. Contact within seven days from the opening of the Price Proposals the Business Development Manager in the Business Opportunity and Work Force Development Unit to give notification of the Proposer's inability to get DBE quotes.
- (I) Any other evidence that the Proposer submits which shows that the Proposer has made reasonable good faith efforts to meet the DBE goal.

In addition, the Department may take into account the following:

1. Whether the Proposer's documentation reflects a clear and realistic plan for achieving the DBE goal.
2. The Proposer's past performance in meeting the DBE goals.
3. The performance of other proposers in meeting the DBE goal. For example, when the Proposer with the apparent adjusted low price fails to meet the DBE goal, but others meet it, you may reasonably raise the question of whether, with additional reasonable efforts the Proposer with the apparent adjusted low price could have met the goal. If the Proposer with the apparent adjusted low price fails to meet the DBE goal, but meets or exceeds the average DBE participation obtained by other proposers, the Department may view this, in conjunction with other factors, as evidence of the Proposer with the apparent adjusted low price having made a good faith effort.

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 adjusted lowest adjusted price that can satisfy to the Department that the DBE goal can be met or that an adequate good faith effort has been made to meet the DBE goal.

### **Non-Good Faith Appeal**

The State Contractual Services Engineer will notify the Design-Build Team verbally and in writing of non-good faith. A Design-Build Team may appeal a determination of non-good faith made by the Goal Compliance Committee. If a Design-Build Team wishes to appeal the



determination made by the Committee, they shall provide written notification to the State Contractual Services Engineer or at DBE@ncdot.gov. The appeal shall be made within two business days of notification of the determination of non-good faith.

### **Counting DBE Participation Toward Meeting DBE Goal**

#### **(A) Participation**

The total dollar value of the participation by a committed DBE will be counted toward the contract goal requirement. The total dollar value of participation by a committed 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) Joint Checks**

Prior notification of joint check use shall be required when counting DBE participation for services or purchases that involves the use of a joint check. Notification shall be through submission of Form JC-1 (*Joint Check Notification Form*) and the use of joint checks shall be in accordance with the Department's Joint Check Procedures.

#### **(C) Subcontracts (Non-Trucking)**

A DBE may enter into subcontracts. Work that a DBE subcontracts to another DBE firm may be counted toward the contract goal requirement. Work that a DBE subcontracts to a non-DBE firm does not count toward the contract goal 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, it shall be presumed that the DBE is not performing a commercially useful function. The DBE may present evidence to rebut this presumption to the Department. 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.

#### **(D) Joint Venture**

When a DBE performs as a participant in a joint venture, the Design-Build Team may count toward its contract goal requirement 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.

#### **(E) Suppliers**

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 a DBE regular dealer and 100 percent of such expenditures from a DBE manufacturer.

(F) Manufacturers and Regular Dealers

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. With respect to materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, count the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or 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 determined to be reasonable and not excessive as compared with fees customarily allowed for similar services.

**Commercially Useful Function**

(A) DBE Utilization

The Design-Build Team may count toward its contract goal 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 any other relevant factors.

(B) DBE Utilization in Trucking

The following factors will be used to determine if a DBE trucking firm is performing a commercially useful function.

1. 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.
2. The DBE shall itself own and operate at least one fully licensed, insured, and operational truck used on the contract.

3. 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.
4. The DBE may subcontract the work to another DBE firm, including an owner-operator who is certified as a DBE. The DBE who subcontracts work to another DBE receives credit for the total value of the transportation services the subcontracted DBE provides on the contract.
5. The DBE may also subcontract the work to a non-DBE firm, including from an owner-operator. The DBE who subcontracts the work to a non-DBE is entitled to credit for the total value of transportation services provided by the non-DBE subcontractor not to exceed the value of transportation services provided by DBE-owned trucks on the contract. Additional participation by non-DBE subcontractors receives credit only for the fee or commission it receives as a result of the subcontract arrangement. The value of services performed under subcontract agreements between the DBE and the Design-Build Team will not count towards the DBE contract requirement.
6. A DBE may lease truck(s) from an established equipment leasing business open to the general public. The lease must indicate that the DBE has exclusive use of and control over the truck. This requirement 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. This type of lease may count toward the DBE's credit as long as the driver is under the DBE's payroll.
7. Subcontracted / leased trucks shall display clearly on the dashboard the name of the DBE that they are subcontracted / leased to and their own company name if it is not identified on the truck itself. Magnetic door signs are not permitted.

### **DBE Replacement**

When a Design-Build Team has relied on a commitment to a DBE firm (or an approved substitute DBE firm) to meet all or part of a contract goal requirement, the Design-Build Team shall not terminate the DBE for convenience. This includes, but is not limited to, instances in which the Design-Build Team seeks to perform the work of the terminated subcontractor with another DBE subcontractor, a non-DBE subcontractor, or with the Contractor's own forces or those of an affiliate. A DBE may only be terminated after receiving the Engineer's written approval based upon a finding of good cause for the termination. The prime contractor must give the DBE firm five (5) calendar days to respond to the prime contractor's notice of termination and advise the prime contractor and the Department of the reasons, if any, why the firm objects to the proposed termination of its subcontract and why the Department should not approve the action.

All requests for replacement of a committed DBE firm shall be submitted to the Engineer for approval on Form RF-1 (*DBE Replacement Request*). If the Design-Build Team fails to follow

this procedure, the Prime Contractor or other affiliated companies within the Design-Build Team may be disqualified from further bidding for a period of up to six months.

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

(A) Performance Related Replacement

When a committed DBE is terminated for good cause as stated above, an additional DBE that was submitted at the time of bid may be used to fulfill the DBE commitment. A good faith effort will only be required for removing a committed DBE if there were no additional DBEs submitted at the time of bid to cover the same amount of work as the DBE that was terminated.

If a replacement DBE is not found that can perform at least the same amount of work as the terminated DBE, the Design-Build Team shall submit a good faith effort documenting the steps taken. Such documentation shall include, but not be limited to, the following:

1. Copies of written notification to DBEs that their interest is solicited in contracting the work defaulted by the previous DBE 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. A list of reasons why DBE quotes were not accepted.
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 the SAF (*Subcontract Approval Form*) 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 goal requirement.
2. When a committed DBE is decertified prior to the Department receiving the SAF (*Subcontract Approval Form*) 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 DBE goal requirement. If a DBE firm is not found to do the same amount of work, a good faith effort must be submitted to NCDOT (Reference A herein for required documentation).

### **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 the 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 and Documentation**

A SAF (*Subcontract Approval Form*) shall be submitted for all work which is to be performed by a DBE subcontractor. The Department reserves the right to require copies of actual subcontract agreements involving DBE subcontractors.

When using transportation services to meet the contract commitment, the Design-Build Team shall submit a proposed trucking plan in addition to the SAF. The plan shall be submitted prior to beginning construction on the project. The plan shall include the names of all trucking firms proposed for use, their certification type(s), the number of trucks owned by the firm, as well as the individual truck identification numbers, and the line item(s) being performed.

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

### **Reporting Disadvantaged Business Enterprise Participation**

The Design-Build Team shall provide the Engineer with an accounting of payments made to all DBE firms, including material suppliers and 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:

- (A) Withholding of money due in the next partial pay estimate; or
- (B) Removal of an approved Prime Contractor or other affiliated companies within the Design-Build Team from the prequalified bidders' list or the removal of other entities from the approved subcontractors list.

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 Prime Contractor and any affiliate companies within the Design-Build Team 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 Prime Contractor or any affiliate companies within the Design-Build Team from being approved for work on future DOT projects until the required information is submitted.

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.

At any time, the Engineer can request written verification of subcontractor payments.

The Design-Build Team shall report the accounting of payments through the Department's DBE Payment Tracking System.

### **Failure to Meet Contract Requirements**

Failure to meet contract requirements in accordance with Subarticle 102-15(J) of the 2012 *Standard Specifications for Roads and Structures* may be cause to disqualify the Prime Contractor or any affiliated companies within the Design-Build Team from further bidding for a specified length of time.

### **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.

### **CONTRACTOR'S LICENSE REQUIREMENTS**

(7-1-95)

DB1 G88

If the Design-Build Team does not hold the proper license to perform any plumbing, heating, air conditioning, or electrical work in this contract, he will be required to sublet such work to a contractor properly licensed in accordance with *Article 2 of Chapter 87 of the General Statutes* (licensing of heating, plumbing, and air conditioning contractors) and *Article 4 of Chapter 87 of the General Statutes* (licensing of electrical contractors).

### **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. It is operated under the direction of the DOT Inspector General. All information will be treated confidentially and caller anonymity will be respected.

### **RESOURCE CONSERVATION AND ENVIRONMENTALLY SUSTAINABLE PRACTICES**

(5-21-13)(Rev. 4-10-15)

104-13

DB1 G118

In accordance with North Carolina Executive Order 156, NCGS 130A-309.14(3), and NCGS 136-28.8, it is the objective of the Department to aid in the reduction of materials that

become a part of our solid waste stream, to divert materials from landfills, to find ways to recycle and reuse materials, to consider and minimize, where economically feasible, the environmental impacts associated with agency land use and acquisition, construction, maintenance and facility management for the benefit of the Citizens of North Carolina.

To achieve the mission of reducing environmental impacts across the state, the Department is committed to supporting the efforts to initiate, develop and use products and construction methods that incorporate the use of recycled, solid waste products and environmentally sustainable practices in accordance with Article 104-13 of the 2012 *Standard Specifications for Roads and Structures*.

Report the quantities of reused or recycled materials either incorporated in the project or diverted from landfills and any practice that minimizes the environmental impact on the project annually on the Project Construction Reuse and Recycling Reporting Form. The Project Construction Reuse and Recycling Reporting Form and a location tool for local recycling facilities are available at:

**<http://connect.ncdot.gov/resources/Environmental/Pages/North-Carolina-Recycling-Locations.aspx>**

Submit the Project Construction Reuse and Recycling Reporting Form by August 1<sup>st</sup> annually to **valuemanagementunit@ncdot.gov**. For questions regarding the form or reporting, contact the State Value Management Engineer at 919-707-4810.

### **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.

### **DOMESTIC STEEL**

(3-6-13)

106

DB G 120

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 1-49, Subarticle 106-1(B) Domestic Steel, lines 2-7**, replace the first paragraph with the following:

All steel and iron products that are permanently incorporated into this project shall be produced in the United States except minimal amounts of foreign steel and iron products may be used provided the combined material cost of the items involved does not exceed 0.1% of the total amount bid for the entire project or \$2,500.00, whichever is greater, and that the contractor can provide invoices documenting the cost of the items. This minimal amount of foreign produced steel and iron products permitted for use is not applicable to high strength fasteners. Domestically produced high strength fasteners are required.



**COOPERATION BETWEEN CONTRACTORS**

(9-1-11)

DB1 G133

The Design-Build Team's attention is directed to Article 105-7 of the 2012 *Standard Specifications for Roads and Structures*.

- Project B-2500 is located on NC 12 approximately 9.4 miles north. Project B-2500 has an anticipated August 2019 completion date.
- Project B-2500AB is located on NC 12 approximately 1.5 miles north. Project B-2500AB has an anticipated July 2017 completion date.

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**

(Rev. 07-31-12) (8-3-15)

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 within 10 days after receipt of notice of award of contract. Such documentation shall be placed in escrow with a banking institution or other bonded document storage facility selected by the Department.

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.

**Terms**

*Bid Documentation* – Bid Documentation shall mean all written information, working papers, computer printouts, electronic media, charts, and all other data compilations which contain or reflect information, data, and calculations used by the Proposer in the preparation of the 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. *Bid Documentation* does not include bid documents provided by the Department for use by the Proposer in bidding on this project. The Bid Documentation can be in the form of electronic submittal (i.e. thumb drive) or paper. If the Bidder elects to submit the Bid Documentation in electronic format, the Department requires a backup submittal (i.e. a second thumb drive) in case one is corrupted.

*Design-Build Team's Representative* – Officer of the Prime Contractor's company; if not an officer, the Contractor shall supply a letter signed and notarized by an officer of the Prime Contractor's company, granting permission for the representative to sign the escrow agreement on behalf of the Prime Contractor.

*Escrow Agent* – Officer of the select banking institution or other bonded document storage facility authorized to receive and release bid documentation.

### **Escrow Agreement Information**

A draft copy of the Escrow Agreement will be mailed to the Proposer after the notice of award for informational purposes. The Proposer and Department will sign the actual Escrow Agreement at the time the bid documentation is delivered to the Escrow Agent.

### **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 him may be just cause for rescinding the award of the contract and may result in the removal of the Proposer from the Department's list of qualified bidders for a period of 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 Department may decide.

### **Submittal of Bid Documentation**

- (A) Appointment – Email [specs@ncdot.gov](mailto:specs@ncdot.gov) or call 919.707.6900 to schedule an appointment.
- (B) Delivery - A representative of the Bidder 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 10 days after the notice of award is received.
- (C) Packaging – The container shall be no larger than 15.5 inches in length by 12 inches wide by 11 inches high and shall be water resistant. The container shall be clearly marked on the face and the back of the container with the following information: Bid Documentation, Bidder's Name, Bidder's Address, Date of Escrow Submittal, Contract Number, TIP Number if applicable, and County.

### **Affidavit**

Bid documentation will be considered a certified copy if the proposer includes an affidavit stating that the enclosed documentation is an EXACT copy of the original documentation used by the Proposer to determine the bid for this project. The affidavit shall also 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 for escrow. 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 bid for this project, and that all bid documentation has been included. The affidavit shall 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 affidavit.

### **Verification**

Upon delivery of the bid documentation, the Department's Contract Officer and the Design-Build Team's representative will verify the accuracy and completeness of the bid documentation compared to the affidavit. Should a discrepancy exist, the Design-Build Team'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 Design-Build Team's representative, immediately place the complete bid documentation and affidavit in the container and seal it. Both parties will deliver the sealed container to the Escrow Agent for placement in a safety deposit box, vault, or other secure accommodation.

### **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*.

### **Duration and Use**

The bid documentation and affidavit shall remain in escrow until 60 calendar days from the time the Prime Contractor receives the final estimate; or until such time as the Design-Build Team:

- (A) Gives written notice of intent to file a claim,
- (B) Files a written claim,
- (C) Files a written and verified claim,
- (D) Initiates litigation against the Department related to the contract; or
- (E) Authorizes in writing its release.

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.

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.

### **Release of Bid Documentation to the Contractor**

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 will instruct the Escrow Agent to release the sealed container to the Prime Contractor.

The Prime Contractor will be notified by certified letter from the Escrow Agent that the bid documentation will be released to the Prime Contractor. The Prime Contractor or his representative shall retrieve the bid documentation from the Escrow Agent within 30 days of the receipt of the certified letter. If the Prime Contractor does not receive the documents within 30 days of the receipt of the certified letter, the Department will contact the Prime Contractor to determine final disposition of the bid documentation.

### **Payment**

The cost of the escrow will be borne by the Department. There will be no separate payment for all costs of compilation of the data, container, or verification of the bid documentation. Payment at the various contract unit or lump sum prices in the contract 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 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 shall be 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.

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 include pavement structures, bridge components 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, etc.) 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 shall be removed for a minimum of six 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.

### **PERMANENT VEGETATION ESTABLISHMENT**

(6-11-15)

104

DB01 G160

Establish permanent vegetation stands of the Long Term Stabilization mixtures identified in the Erosion Control Scope of Work found elsewhere in this RFP. During the period between initial vegetation planting and final project acceptance, perform all work necessary to establish 80% coverage of permanent vegetation within the project limits, as well as, in borrow and waste pits. This work shall include erosion control device maintenance and installation, repair seeding and mulching, supplemental seeding and mulching, mowing, and fertilizer topdressing, as directed. All work shall be performed in accordance with the Erosion Control Scope of Work found elsewhere in this RFP and the applicable section of the 2012 *Standard Specifications for Roads and Structures*.

Once the Engineer has determined that 80% coverage of permanent vegetation has been established, the Design-Build Team will be notified to remove the remaining erosion control devices that are no longer needed. The Design-Build Team shall be responsible for, and shall correct, any areas disturbed by operations performed in permanent vegetation establishment and the removal of temporary erosion control measures, whether occurring prior to or after placing traffic on the project.

### **EROSION & SEDIMENT CONTROL / STORMWATER CERTIFICATION**

(1-16-07) (Rev 12-4-14)

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 or sediment / stormwater control 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.

### **Roles and Responsibilities**

- (A) *Certified Erosion and Sediment Control / Stormwater Supervisor* - The Certified Supervisor shall be Level II and responsible for ensuring the erosion and sediment control / stormwater plan is adequately implemented and maintained on the project and for conducting the quality control program. The Certified Supervisor shall be on the project within 24 hours notice from initial exposure of an erodible surface to the project's final acceptance. Perform the following duties:
  - (1) 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.
    - (a) Oversee the work of subcontractors so that appropriate erosion and sediment control / stormwater preventive measures are conformed to at each stage of the work.
    - (b) Prepare the required National Pollutant Discharge Elimination System (NPDES) Inspection Record and submit to the Engineer.
    - (c) Attend all weekly or monthly construction meetings to discuss the findings of the NPDES inspection and other related issues.
    - (d) Implement the erosion and sediment control / stormwater site plans requested.
    - (e) Provide any needed erosion and sediment control / stormwater practices for the Design-Build Team's temporary work not shown on the plans developed by the Design-Build Team, such as, but not limited to work platforms, temporary construction, pumping operations, plant and storage yards, and cofferdams.

- (f) Acquire applicable permits and comply with requirements for borrow pits, dewatering, and any temporary work conducted by the Design-Build Team in jurisdictional areas.
  - (g) Conduct all erosion and sediment control / stormwater work in a timely and workmanlike manner.
  - (h) Fully perform and install erosion and sediment control / stormwater work prior to any suspension of the work.
  - (i) 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.
  - (j) Ensure that proper cleanup occurs from vehicle tracking on paved surfaces and / or any location where sediment leaves the right of way.
  - (k) Have available a set of erosion and sediment control / stormwater plans that are initialed and include the installation date of Best Management Practices. These practices shall include temporary and permanent groundcover and be 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 Stormwater Permit (NCS000250) 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 for construction activities disturbing one or more acres of land. The Department further incorporates these requirements on all contracted bridge and culvert work at jurisdictional waters, regardless of size. Some of the requirements shall be, but are not limited to:
- (a) Control project site waste to prevent contamination of surface or ground waters of the state, i.e. from equipment operations / maintenance 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 and stormwater discharge outfalls at least once every 7 calendar days, twice weekly for construction related Federal Clean Water Act, Section 303(d) impaired streams with turbidity violations, and within 24 hours after a significant rainfall event of 0.5 inch that occurs within a 24-hour period.
  - (c) Maintain an onsite rain gauge or use the Department's Multi-Sensor Precipitation Estimate website to maintain a daily 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, waste sites and staging areas.
  - (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 Department's NPDES Stormwater Permit NCS000250 requirements, and the applicable requirements of the *General Permit, NCG010000*.
  - (i) Report violations of the NPDES Permit to the Engineer immediately who will notify the NC Department of Environmental Quality Regional Office within 24 hours of becoming aware of the violation.
3. Quality Control Program - Maintain a quality control program to control erosion, prevent sedimentation and follow provisions / conditions 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) Use flocculants approved by state regulatory authorities where appropriate and where required for turbidity and sedimentation reduction.
  - (h) Ensure proper installation and maintenance of temporary erosion and sediment control devices.
  - (i) Remove temporary erosion or sediment control devices when they are no longer necessary as agreed upon by the Engineer.
  - (j) 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 Level I *Certified Installer* is not onsite, the Design-Build Team may substitute a Level II Foreman for a Level I Installer, 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 Certified Designer on the erosion and sediment control / stormwater component of all reclamation plans and if applicable, the certification number of the Level III Certified Designer on the design of the project erosion and sediment control / stormwater plan.

### **Preconstruction Meeting**

Furnish the names of the *Certified Erosion and Sediment Control / Stormwater 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 two 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 to the certification entity, certification for Supervisor, Certified Foremen, Certified Installers and Certified Designer may be revoked or suspended with the issuance of an Immediate Corrective Action (ICA), Notice of Violation (NOV), or Cease and Desist Order for erosion and sediment control / stormwater related issues.

The Chief Engineer may recommend suspension or permanent revocation of such certification due to the following:

- (A) Failure to adequately perform the duties as defined within this certification provision
- (B) Issuance of an 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 by another entity

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

A certificant 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 ten calendar days after receiving notice of the proposed adverse action.

Chief Engineer  
1536 Mail Service Center  
Raleigh, NC 27699-1536

Failure to appeal within ten calendar days shall result in the proposed adverse action becoming effective on the date specified on the certified notice. Failure to appeal within the time specified shall result in a waiver of all future appeal rights regarding the adverse action taken. The certificant 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 seven days

of hearing the appeal. The decision of the Chief Engineer shall be final and will be made in writing to the certificant.

If a certification is temporarily suspended, the certificant 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 Erosion and Sediment Control / Stormwater 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**

(1-22-13)

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 DWR 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 2012 *Standard Specifications for Roads and Structures*, 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 will 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 will be considered an indication of possible adverse impacts on wetland use.

The Engineer will perform independent turbidity tests on a random basis. These results will 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.

To plan, design, construct, and maintain BMPs to address water quality standards, the Design-Build Team shall use the *NCDOT Turbidity Reduction Options for Borrow Pits Matrix*, available at the website noted below:

**[http://www.ncdot.gov/doh/operations/dp\\_chief\\_eng/roadside/fieldops/downloads/Files/TurbidityReductionOptionSheet.pdf](http://www.ncdot.gov/doh/operations/dp_chief_eng/roadside/fieldops/downloads/Files/TurbidityReductionOptionSheet.pdf)**

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 DWR'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.

### **CLEARING AND GRUBBING**

(9-1-11)

DB2 R01

With the exception of areas with Permanent Utility Easements, perform clearing on this project to the limits established by Method "II" shown on Roadway Standard Drawing No. 200.02. In areas with Permanent Utility Easements, clearing shall extend to the right of way limits.

**BUILDING AND APPURTENANCE REMOVAL / DEMOLITION**

(9-1-11)

DB2 R12A

Unless otherwise as agreed upon by the Department, seal all wells and 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 205, 210 and 215 of the 2012 *Standard Specifications for Roads and Structures*.

The Department will perform all assessment, removal and disposal of asbestos. Once the Design-Build Team has acquired a parcel and all buildings and appurtenances have been vacated, the Design-Build Team shall immediately notify the Division Right of Way Agent in writing. Upon receipt of the written notification, the Department then requires 60 days to assess and remove any asbestos prior to the Design-Build Team demolishing any building or appurtenance.

In the unlikely event that the Design-Build Team encounters unknown contaminated materials, these materials shall be handled in accordance with Article 107-25 of the 2012 *Standard Specifications for Roads and Structures*.

**PIPE INSTALLATION**

(9-28-12) (Rev 8-3-15)

300

DB3 R01

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 3-1, Article 300-2, Materials, line 15**, in the materials table, replace “Flowable Fill” and “Geotextiles” with the following:

<b>Item</b>	<b>Section</b>
Flowable Fill, Excavatable	1000-6
Grout, Type 2	1003
Geotextiles, Type 4	1056

**Page 3-1, Article 300-2, Materials, line 23-24**, replace sentence with the following:

Provide foundation conditioning geotextile, and geotextile to wrap pipe joints, in accordance with Section 1056 for Type 4 geotextile.

**Page 3-3, Subarticle 300-6(A), Rigid Pipe, line 2**, in the first paragraph, replace “an approved non-shrink grout” with “grout” and **line 4**, in the second paragraph, replace “filtration geotextile” with “geotextile”

**Page 3-3, Article 300-7, Backfilling, lines 37-38**, in the first and second sentences of the fifth paragraph, replace “Excavatable flowable fill” with “Flowable fill”.

**DRAINAGE PIPE**

(9-1-11)

DB3 R36

**Description**

Where shown in the plans developed by the Design-Build Team, the Contractor shall use Reinforced Concrete Pipe, Corrugated Aluminum Alloy Pipe, Aluminized Corrugated Steel Pipe, Corrugated Polyethylene Pipe (HDPE Pipe) or Polyvinyl-Chloride Pipe (PVC Pipe) in accordance with the following requirements:

All pipe types are subject to the maximum and minimum fill height requirements as found on Roadway Standard Drawing No. 300.01 - Sheet 3 of 3. The appropriate Reinforced Concrete Pipe class and the appropriate gage thickness for Corrugated Aluminum Alloy Pipe and Aluminized Corrugated Steel Pipe shall be selected based on fill height.

Site specific conditions may limit a particular material beyond what is identified in this Special Provision. These conditions include, but are not limited to, abrasion, environmental, soil resistivity and pH, high ground water and special loading conditions. The Design-Build Team shall determine if additional restrictions are necessary.

Slope drains shall be Corrugated Aluminum Alloy Pipe, Corrugated Polyethylene Pipe (HDPE Pipe) or Polyvinyl-Chloride Pipe (PVC Pipe).

Transverse median drains, storm drainage system pipes and open-ended cross drains shall be Reinforced Concrete Pipe unless the pipe slope is greater than 10%, in which case the pipe shall be Corrugated Aluminum Alloy Pipe.

**PRICE ADJUSTMENTS FOR ASPHALT BINDER**

(9-1-11)

DB6 R25

Price adjustments for asphalt binder for plant mix will be made in accordance with Section 620 of the 2012 *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 **\$332.86** per ton.

This base price index represents an average of F.O.B. selling prices of asphalt binder at supplier's terminals on **June 1, 2016**.

**PRICE ADJUSTMENTS - ASPHALT CONCRETE PLANT MIX**

(9-1-11) (Rev. 3-13-13)

DB6 R26

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 6-18, Article 609-11 and Page 6-35, Article 610-14**

Add the following paragraph before the first paragraph:

The “Asphalt Price” used to calculate any price adjustments set forth in this section shall be \$40 per theoretical ton. This price shall apply for all mix types.

**BRIDGE DECK RIDEABILITY – INTERNATIONAL ROUGHNESS INDEX (IRI)**

(SPECIAL)

**General**

Perform the smoothness acceptance testing, diamond grinding, transverse grooving and all other related work associated with obtaining satisfactory rideability and surface texture of the bridge deck surface.

Use an inertial profiler(s) with line laser technology to perform this work. The Design-Build Team shall maintain responsibility for all costs relating to the procurement, handling and maintenance of these devices.

**Smoothness Acceptance Testing Requirements**

Perform smoothness acceptance testing using an inertial profiler of the longitudinal profile of the finished bridge deck in the presence of the Engineer. Submit a proposed plan of action, including but not limited to, transition distances to begin and end testing, preparing start and stop markers for the profiler, handling of joints and blockouts, preparing segments to be tested, bridge deck preparation and cleaning and schedule for profiler testing for entire bridge deck surface to the Engineer. Produce International Roughness Index (IRI) and Mean Roughness Index (MRI) values for measuring smoothness.

Prior to smoothness testing, placement of the bridge deck and barrier rail within the section to be tested shall be complete, with the exception of blockouts required for the installation of joints. Do not install joints until the Engineer determines that the rideability requirements herein have been met. Joint locations shall be temporarily bridged sufficiently to facilitate operation of the profiler and corrective equipment across the joint, including but not limited to filling joints with temporary material which is flush with surface on both sides and reasonably consolidated. Use a ten-foot stationary straightedge or other equipment, furnished by the Design-Build Team, to ensure the joint locations are flush. Remove all obstructions from the bridge deck and sweep the surface clean of debris prior to profiler testing.

Use testing and recording software to produce electronic inertial road profiles in a format compatible with the latest version of FHWA’s ProVAL (Profile Viewing and Analysis) software.

The inertial profiler shall be calibrated and verified in accordance with AASHTO M 328. Provide equipment calibration documentation and operator training certification that the inertial profiler system meets AASHTO M 328 to the Engineer before the first day the inertial profiler is used on the project.

Configure the profiler to record the elevation profile of the bridge deck surface. Do not use the profiler's internal IRI calculation mode. The profile data shall be filtered with a cutoff wavelength of 300 feet. The interval at which relative profile elevations are reported shall be two inches.

Use personnel with proper training and experience to collect, record and evaluate IRI data.

Provide a competent operator, trained in the operation of the inertial profiler. Operation of the inertial profiling system shall conform to AASHTO R 57.

Provide the user selected inertial profiler settings to the Engineer for the project records. Certification of the inertial profiling system shall conform to AASHTO R 56.

Remove all objects and foreign material on the bridge deck surface prior to longitudinal bridge deck profile testing.

Traffic control and all associated activities included in the bridge deck smoothness testing of the bridge deck surface shall be the responsibility of the Design-Build Team.

Operate the profiler at any speed, as per the manufacturer's recommendations, however, the speed shall be constant to within  $\pm 3$  mph of the intended speed and any required acceleration shall be gradual. For example, if the intended speed were 30 mph, the acceptable range of speed for testing would be 27 to 33 mph.

Operate the inertial profiler in the direction of the final traffic pattern. Collect IRI data from both wheel paths during the same run. It is permissible to collect data one wheel path at a time if each wheel path is tested and evaluated separately. Define a "wheel path" as three feet from the edge of the travel lane. MRI values shall be the average of the IRI values from both wheel paths. When using an inertial profiler that collects a single trace per pass, take care to ensure that the measurements from each trace in a travel lane start and stop at the same longitudinal locations. Unless otherwise specified, multiple runs are not necessary for data collection.

Operate the automatic triggering method at all times unless impractical. A tape stripe or traffic cone wrapped with reflective material may be used to alert the profiler's automatic triggering sensor to begin data collection. The profiler shall reach the intended operating speed before entering the test section. The runup and runout distances shall be sufficient to obtain the intended operating speed and to slow down after testing is completed.

The evaluation of the profiles shall be performed on a section basis. A section shall be defined as the length from expansion joint to expansion joint for each travel lane of the finished bridge deck surface.



Perform all smoothness testing in the presence of the Engineer. Perform smoothness tests on the finished surface of the completed project or at the completion of a major stage of construction, as approved by the Engineer. Coordinate with and receive authorization from the Engineer before starting smoothness testing. Perform smoothness tests within seven days after receiving authorization. Any testing performed without the Engineer's presence, unless otherwise authorized, may be ordered retested at the Design-Build Team's expense.

Areas excluded from testing by the profiler shall be tested by the Design-Build Team and the Engineer using a ten-foot stationary straightedge furnished by the Design-Build Team. Any location on the bridge deck selected by the Department shall be tested as well as all transverse joints. Apply the straightedge parallel to the centerline of the surface. Do not exceed 1/8" variation of the surface being tested from the edge of the straightedge between any two contact points. Correct areas found to exceed this tolerance with corrective measures approved by the Engineer. Provide the work and materials required in the correction of defective work at no cost to the Department.

When corrections to the bridge deck surface are required, the method of correction shall be diamond grinding in accordance with the *Diamond Grinding* section herein. Where corrections are made after the initial smoothness testing, the bridge deck shall be retested by the Design-Build Team to verify that corrections have produced the acceptable ride surface.

### **Reporting Requirements**

After testing, transfer the profile data from the profiler portable computer's hard drive to a write once storage media (DVD-R or CD-R) or electronic media (flash drive) approved by the Engineer. Label the disk or electronic media with the Project Number, Route, file number, date, and termini of the profile data. Submit the electronic data on the approved media to the Engineer immediately after testing and this media will not be returned to the Design-Build Team.

Submit documentation and electronic data of the evaluation for each section to the Engineer within ten days after completion of the smoothness testing. Submit the electronic files compatible with ProVAL and the evaluation in tabular form with each section occupying a row. Include each row with the beginning and ending station for the section, the length of the section, the original IRI values from each wheel path, and the MRI value for the section. Each continuous run for a section shall occupy a separate table and each table shall have a header that includes the following: the project contract number, county, the roadway number or designation, a lane designation, the dates of the smoothness runs, and the beginning and ending station of the continuous run. Summarize each table at the bottom.

IRI and MRI numbers recorded in inches per mile shall be established from expansion joint to expansion joint for each travel lane of the finished bridge deck surface.

### **Acceptance Criteria**

The bridge deck smoothness acceptance criteria shall be an MRI, the average IRI from both wheel paths, of 130 in/mile or less.

### **Localized Roughness**

Areas of localized roughness shall be identified through the “Smoothness Assurance Module” provided in the ProVAL software. Use the “Smoothness Assurance Module” to optimize repair strategies by analyzing the measurements from profiles collected using inertial profilers. The ride quality threshold for localized roughness shall be 300 in/mile at the continuous short interval of 25 feet. Submit a continuous roughness report to identify sections outside the threshold and identify all localized roughness areas.

The Department will review the localized roughness data and determine the areas that require any corrective action. Re-profile the corrected area to ensure that the corrective action was successful. If the corrective action is not successful, the Department will assess a penalty or require additional corrective action.

Corrective work for localized roughness shall be either diamond grinding or another method approved by the Engineer. Any corrective action performed shall not reduce the integrity or durability of the bridge deck that is to remain in place. Notify the Engineer five days prior to commencement of the corrective action.

Localized roughness correction work shall be for the entire traffic lane width. Bridge deck cross slope shall be maintained through corrective areas.

### **Diamond Grinding**

If the deck does not meet the smoothness acceptance testing requirements, diamond grinding shall be required to make corrections. Diamond grind the full width of all lanes in the direction of travel.

Submit grinding equipment specifications to the Engineer for approval before any grinding is performed. Use a grinding machine with diamond tipped saw blades gang mounted on a power driven self-propelled machine capable of removing a minimum of three feet of width with each pass. Multiple passes may be needed to achieve the required depth of removal. In addition, hand grinding may be required to remove vertical steps between passes.

The ground surface shall consist of between 50 and 60 grooves per foot of width. The grooves shall be between 0.09" and 0.15" in width and 0.0625" in depth. The area between the grooves shall be between 0.06" and 0.13" in width. The final concrete texture shall be uniform.

Construct and operate the grinding machine such that it will not cause strain or damage to the deck surface, excessive ravels, aggregate fractures, spalls, or disturbance of transverse joints. Longitudinally grind the deck parallel to the roadway centerline.

Continuously remove all slurry or other debris resulting from the grinding operations by vacuum pick-up or other approved methods. Prevent the slurry from flowing into floor drains, onto the ground or into the body of water under the bridge. Dispose of all residues in accordance with Section 802 of the 2012 *Standard Specifications for Roads and Structures*.

In completing all corrective work on the deck surface to satisfy the rideability criteria stated herein, limit grinding such that the final reinforcement cover is not less than the plan cover minus 1/2". In cases where this cannot be achieved, other corrective work may be required as directed by the Engineer.

If corrective action is required on an area equal to or greater than of 50% of the joint to joint section, then corrective action shall be required on the entire section at no cost to the Department.

### **Grooving Bridge Floors**

After the concrete surface profile has been accepted by the Engineer, the concrete blockouts poured, and the joints installed, groove the bridge deck in accordance with Subarticle 420-14(B) of the 2012 *Standard Specifications for Roads and Structures*. On joint to joint sections which have been completely diamond ground, grooving will not be required.

### **FIELD OFFICE**

(6-1-07) (Rev. 8-3-15)

DB 08-01

### **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 shall 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 ten 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, fiber board, 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
1	Internet Connection Service (modem for Wi-Fi)

### **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 shall be 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 internet and utility connections, maintain internet and utilities, pay internet and utility service fees and bills, and make arrangements for final disconnection of internet and 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.

**IRAN DIVESTMENT ACT**

(5-17-16)

SP01 G151

As a result of the Iran Divestment Act of 2015 (Act), Article 6E, N.C. General Statute § 147-86.55, the State Treasurer published the Final Divestment List (List) which includes the Final Divestment List-Iran, and the Parent and Subsidiary Guidance-Iran. These lists identify

companies and persons engaged in investment activities in Iran and will be updated every 180 days. The List can be found on the website noted below:

**<https://www.netreasurer.com/inside-the-department/OpenGovernment/Pages/Iran-Divestment-Act-Resources.aspx>**

By submitting the Price Proposal, the Prime Contractor certifies that, as of the date of this bid, it is not on the then-current List created by the State Treasurer. The Prime Contractor must notify the Department immediately if, at any time before the award of the contract, it is added to the List.

As an ongoing obligation, the Prime Contractor must notify the Department immediately if, at any time during the contract term, it is added to the List. Consistent with § 147-86.59, the Prime Contractor shall not contract with any person to perform a part of the work if, at the time the subcontract is signed, that person is on the then-current List.

During the term of the Contract, should the Department receive information that a person is in violation of the Act as stated above, the Department will offer the person an opportunity to respond and the Department will take action as appropriate and provided for by law, rule, or contract.

### **CARGO PREFERENCE ACT**

(2-16-16)

Privately owned United States-flag commercial vessels transporting cargoes shall be subject to the Cargo Preference Act (CPA) of 1954 requirements and regulations found in 46 CFR 381.7. Contractors are directed to clause (b) of 46 CFR 381.7 as follows:

(b) Contractor and Subcontractor Clauses. "Use of United States-flag vessels: The contractor agrees-

“(1) To utilize privately owned United States-flag commercial vessels to ship at least 50 percent of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, material, or commodities pursuant to this contract, to the extent such vessels are available at fair and reasonable rates for United States-flag commercial vessels.

(2) To furnish within 20 days following the date of loading for shipments originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States a legible copy of a rated, 'on-board' commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph (b) (1) of this section to both the Engineer (through the prime contractor in the case of subcontractor bills-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590.

(3) To insert the substance of the provisions of this clause in all subcontracts issued pursuant to this contract."

**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 Contract Standards and Development Unit within the Technical Services Division. 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 Design-Build Unit 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 Design-Build Unit. Submittals will be reviewed within 10 working days (15 days for temporary structures, overhead sign assemblies, MSE walls, FEMA compliance documents, curved steel girder working drawings 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 Design-Build Unit 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 Design-Build Unit 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 and acceptance of the design submittals.

## OVERVIEW

The Design-Build Project, B-2500B realigns NC 12 from north of Laura Lane to approximately 1.8 miles north of the southern Pea Island National Refuge boundary with Rodanthe, a distance of approximately 3.0 miles. The proposed improvements consist of a two-lane roadway primarily on an approximately 2.5-mile bridge in the Pamlico Sound in Dare County.

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
  - **As-Constructed Drawings**
  - **As-Built Plans**
- ✓ The B-2500B – Phase IIb Environmental Assessment and Section 4(f) Evaluation was approved on December 3, 2013.
  - ✓ The Revised B-2500B – Phase IIb Environmental Assessment and Section 4(f) Evaluation was approved on May 24, 2016.

NCDOT is currently developing the B-2500B – Phase IIb Record of Decision which is anticipated to be approved in July 2016. It is important for Proposers to note, at this time, the proposed Project remains in the environmental process and that final environmental approvals have not been secured. Additional alternatives, including a no-build alternative, are always considered in the environmental process, and it is possible that the project scope may need to be modified to comply with the environmental process, or that a no-build alternative may be adopted. Nothing contained in the RFP is intended to modify, limit, or otherwise constrain the environmental process or commit NCDOT to undertake any action with respect to this project.

**Construction Engineering Inspection will be provided by the NCDOT Division personnel or will be performed under a separate contract.**

## 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 a two-lane roadway from north of Laura Lane



to approximately 1.8 miles north of the southern Pea Island National Refuge boundary with Rodanthe, a distance of approximately 3.0 miles, including an approximately 2.5 mile bridge in the Pamlico Sound. Unless noted otherwise elsewhere in this RFP, 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.

Unless noted otherwise elsewhere in this RFP, all documents referenced herein shall be the edition / version, including all interim revisions, effective on the Design-Build submittal date or the Best and Final Offer submittal 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 two-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 2012 *Standard Specifications for Roads 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
- Geotechnical
- GeoEnvironmental
- Foundation Design for Structures and Roadway
- Erosion and Sedimentation Control Design and Implementation
- Utility Construction
- R/W Utilities, Conflicts and / or Construction
- Transportation Management Plan Design and Implementation
- Pavement Marking Design
- Sign Design
- Construction
- Project Management
- Design and Construction Management
- Construction Surveying
- Location and Surveys
- 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 3.0 miles of a two-lane facility, including an approximately 2.5-mile bridge in Dare County as outlined in the Scope of Work section of this RFP. The Design-Build Team shall prepare final designs, construction drawings and special provisions.

Unless noted otherwise elsewhere in this RFP, 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 and / 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.

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 or the State Contract Officer. 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.

All firms shall be prequalified by the Department for the work they are to perform. Joint Ventures, LLCs or any legal structure that are different than the existing prequalification status must be prequalified prior to the Technical and Price Proposal submittal deadline. Subcontractors

need only be prequalified prior to performing the work. Design firms should be prequalified prior to the Technical and Price Proposal submittal deadline. If not prequalified at the time of the Technical and Price Proposal submittal deadline, the prime contractor shall be solely responsible for either (1) ensuring that the design firm is prequalified prior to its first design submittal or (2) replacing that firm with a prequalified firm. Design firms and Natural Systems firms are prequalified by the particular office performing the work. If the work is to be performed by an office other than the one that is prequalified, that office shall be prequalified prior to any design submittals.

### **ACCESS TO PROVIDED MATERIALS**

To facilitate distribution of documents that may be helpful to the Design-Build Teams in their development of a Technical and Price Proposal and subsequent designs, project material will be made accessible through a secure web portal. The Design-Build Project Manager for each short-listed team shall provide a list of team members that will require access to this portal. This list shall include the name, e-mail address and North Carolina Identity Management (NCID) for each individual team member. Once the list is complete, it shall be submitted to the Design-Build e-mail address (designbuild@ncdot.gov). No distribution of Provided Materials will be possible prior to this list being submitted and the access privileges established as noted herein.

To create an NCID account, each individual shall go to NCDOT's Connect website (<https://connect.ncdot.gov>) and click on the "How to get an Account" link and then, "Create NCID".

The Department will obtain access rights for these individuals and notify the Design-Build Project Manager accordingly. Individuals may then re-enter the "Connect" site and login with their NCID account. Once logged in, the Teamsite "B-2500B Project" link will be apparent on the left side of the webpage.

Please note that all material provided, including the material provided through this portal, is provided for informational purposes only and is provided solely to assist the Design-Build Team in the development of the project design unless noted otherwise elsewhere in this RFP. By submitting a Technical Proposal and Price Proposal, the Design-Build Team acknowledges that they are fully and totally responsible 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, unless noted otherwise elsewhere in this RFP. The Design-Build Team further acknowledges that they are fully and totally responsible for the accuracy and completeness of all work performed, including the determination of the accuracy of the information provided through this portal, and to the extent that the Design-Build Team chooses to rely on such information.

### **ELECTRONIC PLAN SUBMITTALS AND E-SIGNATURES**

The Design-Build Team shall submit all Release for Construction Plans in accordance with the NCDOT e-Signature requirements, including but not limited to providing signed and sealed searchable .pdf files that are assembled in a portfolio. Reference the website noted below for additional information:

<https://connect.ncdot.gov/projects/roadway/pages/private-engineering-firm-resources.aspx>

## **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.

In the event of engagement of a former employee of the Department, 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 contract scope
- Design-Build Team selection
- Negotiation of the contract cost (including calculating manhours or fees)
- Contract administration

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 Tuesday, August 30, 2016**, at the office of the State Contract Officer:

Mr. Randy A. Garris, PE  
 Contract Standards and Development  
 1020 Birch Ridge Drive  
 Century Center Complex - Building B  
 Raleigh, NC 27610

**No Proposals will be accepted after the time specified.**

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

**TECHNICAL PROPOSAL - Hard Copies**

Hard copies of the Technical Proposal shall be submitted in a sealed package. The outer wrapping shall clearly indicate the following information:

Technical Proposal – Hard Copies  
 Submitted By: (Design-Build Team's Name)  
 Design-Build Team Address  
 Contract Number C203474  
 TIP Number B-2500B  
 Dare County  
 NC 12 – Rodanthe Breach Long Term Improvements (Phase IIb)

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 "Technical Proposal for the Design-Build of State Highway Contract No. C203474".

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

Minimal font size 10 is permissible within embedded tables, charts, or graphics. No more than 50 pages, excluding the introductory letter to Mr. Randy Garris, P.E. (two-page maximum length) and the 11 inch by 17 inch appropriate plan sheets

The aforementioned introductory letter to Mr. Randy Garris, P.E. shall include a statement acknowledging that the NCDOT may destroy all Technical Proposals not retained by the Department, **or** a statement that the NCDOT should return all Technical Proposals not retained by the Department.

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- Contract Standards and Development  
Century Center Complex - Building B  
1020 Birch Ridge Drive  
Raleigh, NC 27610

**TECHNICAL PROPOSAL - Electronic Copy**

An electronic copy of the Technical Proposal shall be submitted in a sealed package. The electronic copy shall be created by converting the original MicroStation / GeoPak files into PDF format. The electronic copy shall be scaled to reproduce to the appropriate page format, as defined above. The outer wrapping shall clearly indicate the following information:

Technical Proposal – Electronic Copy  
Submitted By: (Design-Build Team's Name)  
Design-Build Team Address  
Contract Number C203474  
TIP Number B-2500B  
Dare County  
NC 12 – Rodanthe Breach Long Term Improvements (Phase IIB)

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 "Technical Proposal for the Design-Build of State Highway Contract No. C203474".

**PRICE PROPOSAL**

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

Price Proposal  
Submitted by (Design-Build Team's Name)  
Design-Build Team Address  
Contract Number C203474  
TIP Number B-2500B  
Dare County  
NC 12 – Rodanthe Breach Long Term Improvements (Phase IIB)

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 Price Proposal non-responsive.

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 Contract No. C203474".

### **EVALUATIONS**

Decisions based on cost alone will not establish the design standards for the project. 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 Design-Build Team's understanding of the project, demonstrate the Design-Build 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 review of design plans by the Department is not intended to reflect a reviewer's personal preferences, but rather to ensure that all contract requirements are met, sound engineering judgment is exercised by the Design-Build Team, and that the Design-Build Team adheres to all referenced documents, including but not limited to, design standards, codes, memos and manuals. As such, the award of the Design-Build contract does not in any way imply that the NCDOT accepts the details of the Technical Proposal submitted by the Design-Build Team.

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

<b>EVALUATION FACTORS</b>	<b>POINTS</b>
1. Management	10
2. Responsiveness to Request for Proposal	35
3. Long Term Maintenance	8
4. Schedule and Milestones	25
5. Innovation	10
6. Maintenance of Traffic and Safety Plan	7
7. Oral Interview	5

### **TECHNICAL PROPOSAL EVALUATION CRITERIA**

#### **1. Management – 10 points**

##### ***Design-Build Team Management***

- Describe the Design-Build Team's concept of design management. The proposal shall identify key positions and subordinate organizational units.
- 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.
- List projects, including description and similarity to the subject project that the Design-Build Team's designer(s) have developed Transportation Management Plans, Pavement Marking Plans and Signing Plans.
- List projects, including description and similarity to the subject project, that the Design-Build Team's right of way firm has performed right of way acquisition services.

### *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.
- Describe any significant quality control issues experienced on NCDOT projects in the last ten years and how those issues will be addressed for this project.
- 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 – 35 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, surface water, submerged aquatic vegetation, and other 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 the months the Department should schedule the 4B and 4C meetings.
- Identify all required Special Use Permits that are anticipated for construction and access.
- Identify methods of construction in wetlands, surface waters and submerged aquatic vegetation.
- Describe all project / construction related Notice of Violations (NOVs) received by any team member within the last five years on projects in the United States and the disposition of each listed NOV.
- Describe the Design-Build Team's approach to Sedimentation and Erosion Control for the project.
- Describe efforts to minimize excavation within the contaminated sites and associated disturbance to underlying soil.
- Provide a narrative overview of the Design-Build Team's Vegetation Management Plan.

### ***Design Features***

- Show plan view of design concepts with key elements noted.
- Identify preliminary horizontal and vertical alignments of all roadway elements.
- Show mainline typical sections.
- Show proposed deviations to the preliminary design provided by the Department.
- Identify drainage modifications and designs to be implemented.
- Throughout the project limits, identify all hydraulically deficient pipes and their proposed hydraulic mitigation.
- Indicate if the Design-Build Team will develop a new 2D Flow Model. Identify previous relative two-dimensional (2D) flow modeling experience, if applicable.
- Identify the appropriate design criteria for each feature, if not provided herein.

- Provide stations and offsets, as well as the approximate acreage, for the permanent easement required for the containment and maintenance of the NC 12 realignment within the Pea Island National Wildlife Refuge and Cape Hatteras National Seashore properties.
- Provide stations and offsets, as well as the approximate acreage, for the temporary construction easement required solely for the NC 12 and parking lot construction within the Pea Island National Wildlife Refuge and Cape Hatteras National Seashore properties.
- Identify all temporary construction easements within the Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore properties that are anticipated for construction access, staging areas, etc.; and provide the associated stations and offsets, as well as the approximate acreage.
- Identify all anticipated Special Use Permits required from the US Fish and Wildlife Service and the National Park Service.
- Provide the anticipated acreage to be returned to the Pea Island National Wildlife Refuge.
- Identify all bridge types to be constructed, including any special design features or construction techniques needed.
- Describe the structure details that will accommodate the future main bridge extension northward with the last span remaining in place on the main bridge.
- Describe the structure details that will accommodate the future main bridge extension northward along the -L- Line tangent alignment between Station 44+69.79 -L- and Station 113+34.26 -L-.
- Describe the structure details that will accommodate the future main bridge extension northward while maintaining a two-lane two-way traffic pattern, consisting of minimum 11-foot lanes with minimum two-foot barrier offsets, on the bridge.
- Indicate the distance on each end of the main bridge with a low chord elevation less than 17 mean sea level.
- Indicate the type and number of bridge expansion joints.
- 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 and note any deviations to NCDOT requirements for subsurface investigations noted in the Geotechnical Scope of Work.
- Identify the means and methods that will be used to maintain pile driving stresses below the prescribed limits.
- Indicate the intent to use the Department's stockpile of 30" square prestressed concrete piles and the quantity to be used.
- Identify any special aesthetics considerations that will be part of the design.
- Describe how 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, if applicable.
- Provide a Preliminary Signing Concept Map that includes, at a minimum, all proposed bridge mounted and ground mounted guide signs.

- Indicate the outside girder bay provided for the future utility hanger system installation.

### 3. Long Term Maintenance – 8 points

- Describe any special materials, not referenced elsewhere in this RFP, 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, design or construction methods into the project.

### 4. Schedule and Milestones – 25 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.
- Indicate how the Design-Build Team will maintain the project schedule if the right of way acquisition process and / or the utility relocations are delayed.
- 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 – 7 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.
- Identify any self-imposed liquidated damages and associated Intermediate Contract Time(s), if applicable.
- Specifically describe how business, school and residential access will be maintained, if applicable.
- Describe the Design-Build Team's approach to providing the public with communication access to project personnel to inquire as to traffic impacts, including

vehicular, boat and pedestrian, especially during the higher traffic volume summer months.

- Address how hauling will be conducted, including but not limited to, hauling material to and from the site, hauling material within NCDOT right of way, and hauling material using the emergency ferry channels and / or basins.
- 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 road closures and / or all proposed offsite detours; reason for need and duration.
- Address where and how law enforcement officers will be used.
- Identify a Traffic Control Supervisor and briefly describe their qualifications for this role.
- Address any proposed uses of the emergency ferry channels and / or basins.

### ***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 the project construction.

### **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 Design-Build Team's Technical Proposal, background, philosophies and project approach.
- 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 Technical Proposal evaluation.

### **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 found elsewhere in this RFP, 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. The Department reserves the right to ask for clarification on any item in the Technical Proposal. A written response to this request for clarification shall be provided to the Department prior to the opening of the Price Proposals. The contents of the written response may affect the Technical Review Committee's determination of the Technical Proposal's responsiveness and / or the overall evaluation of the Technical Proposal. If any commitments or clarifications provided in the written response conflict with the contents of the Technical Proposal, the contents of the written response will govern and be incorporated into the contract.

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	10
Responsiveness to Request for Proposal	35
Long Term Maintenance	8
Schedule and Milestones	25
Innovation	10
Maintenance of Traffic and Safety Plan	7
Oral Interview	5
<b>Maximum Score</b>	<b>100</b>

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 **25%**. The Technical Review Committee may elect to assign point values to the nearest one-half of a point (e.g. 90.5). In this event, the Quality Credit Percentage will be determined by linearly interpolating within the table entitled “Quality Credit Percentage for Technical Proposals”.

### Quality Credit Percentage for Technical Proposals

Technical Score	Quality Credit (%)	Technical Score	Quality Credit (%)
100	25.00	84	11.67
99	24.17	83	10.83
98	23.33	82	10.00
97	22.50	81	9.17
96	21.67	80	8.33
95	20.83	79	7.50
94	20.00	78	6.67
93	19.17	77	5.83
92	18.33	76	5.00
91	17.50	75	4.17
90	16.67	74	3.33
89	15.83	73	2.50
88	15.00	72	1.67
87	14.17	71	0.83
86	13.33	70	0.00
85	12.50		

**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**

<b>Proposal</b>	<b>Technical Score</b>	<b>Quality Credit (%)</b>	<b>Price Proposal (\$)</b>	<b>Quality Value (\$)</b>	<b>Adjusted Price (\$)</b>
A	95	20.83	3,000,000	624,900	2,375,100
B	90	16.67	2,900,000	483,430	2,416,570
C *	90	16.67	2,800,000	466,760	2,333,240
D	80	8.33	2,700,000	224,910	2,475,090
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.

In the event that the Department elects to not proceed with a Best and Final Offer (BAFO), then the State Contract Officer will schedule a date and time to publicly reiterate all Price Proposals, and read all Technical Scores and Adjusted Prices.

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.

### **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 can apply for the stipulated fee by notifying the State Contract Officer in writing and providing an original invoice within 60 days of Award. 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 Proposal and / or Alternative Technical Concepts, whether incorporated into the Design-Build Proposal or not, 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.

In the event that the Department suspends or discontinues the procurement process prior to the Design-Build Proposal submittal date current at the time of the suspension, no stipulated fee will be paid.



**ROADWAY SCOPE OF WORK** (6-8-16)**Project Details**

- The Design-Build Team shall design and construct a two-lane facility from existing NC 12 north of Laura Lane to existing NC 12 approximately 1.8 miles north of the southern Pea Island National Wildlife Refuge boundary with Rodanthe. Unless noted otherwise elsewhere in this RFP, the Design-Build Team shall design and construct the -L- Line (mainline) providing the same or better access, widening, improvements, and traffic measures of effectiveness, in the Department's sole discretion, included in the Bonner Bridge Replacement Project Phase Iib 2014B Revised Bridge on New Location Alternative Map provided by the Department. The limits of the mainline construction shall be of sufficient length to tie to existing based upon the current NCDOT guidelines and standards. Unless noted otherwise elsewhere in this RFP, the section of the mainline between the southern project limits and the southern bridge terminus shall be designed and constructed to meet a 40-mph design speed for a level terrain rural collector. The remainder of the -L- Line shall be designed and constructed to meet a 60-mph design speed for a level terrain rural collector. The mainline shall be designed and constructed in accordance with the *AASHTO A Policy on Geometric Design of Highways and Streets* Table 3-9 ( $e_{\max} = 6\%$ ). The Design-Build Team shall provide all other design criteria in the Technical Proposal.
- Along the mainline, the Design-Build Team shall design and construct minimum eight-foot outside shoulders, four-foot of which shall be full depth paved shoulders.
- The grade for the -L- Line shall not exceed 5.0%. A grade of zero percent will be allowable provided all hydraulic requirements are met. (Reference the Hydraulic Scope of Work found elsewhere in this RFP).
- Within the Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore, the Design-Build Team shall maintain the mainline horizontal alignment shown on the Bonner Bridge Replacement Project Phase Iib 2014B Revised Bridge on New Location Alternative Map provided by the Department.
- Unless noted otherwise elsewhere in this RFP, the Design-Build Team shall design and construct -Y- Lines, providing the same or better access, widening, improvements, and traffic measures of effectiveness, in the Department's sole discretion, included in the Bonner Bridge Replacement Project Phase Iib 2014B Revised Bridge on New Location Alternative Map provided by the Department. The limits of -Y- Line construction shall be of sufficient length to tie to existing based upon the current NCDOT guidelines and standards.
- Excluding transitions required to tie to existing, the mainline normal crown cross slope shall be 0.02. The mainline grade point and crown point shall be located at the centerline.
- The Design-Build Team shall design and construct the "T" at-grade intersection with the lane configurations noted in the February 24, 2016 Congestion Management Recommendations provided by the Department. At all intersections impacted by the Design-Build Team's

design and / or construction, excluding resurfacing, the Design-Build Team shall design and construct turn lanes that adhere to the greater of the following:

- All turn lane lengths shall adhere to the NCDOT minimum turn lane lengths as defined in the NCDOT Roadway Design Manual (Reference Section 9-1, Figure 4).
  - All lengths for the turn lanes required by the Congestion Management Recommendations provided by the Department shall adhere to the NCDOT Recommended Treatment for Turn Lanes. These lengths shall be determined by adding the storage length defined in the aforementioned recommendations; the minimum deceleration length, as defined in the NCDOT Roadway Design Manual (Reference Section 9-1, Figure F-4A); and the approach / departure taper.
  - Right turn lanes / tapers shall be provided in accordance with the NCDOT Right Turn Lane Warrants, as defined in the Roadway Design Manual (Reference Section 9-1, Figure F-4C).
- For all intersection design modifications, the Design-Build Team shall provide a traffic analysis that adheres to the July 1, 2015 *Congestion Management Capacity Analysis Guidelines* for the Department's review and acceptance.
  - South of the proposed bridge, a portion of the mainline is a full control of access facility. The Design-Build team shall bring to the Design-Build Unit's attention any deviations from the proposed control of access shown on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map provided by the Department. Prior to installation, the Design-Build Team shall be responsible for coordinating with, and obtaining approval from, the NCDOT for the control of access fence placement. The Design-Build Team shall be responsible for installation of the control of access fence as noted below:
    - The Design-Build Team shall install woven wire control of access fence.
    - The Design-Build Team shall replace, in kind, all control of access fence damaged during construction.
  - Except as required elsewhere in this RFP, to minimize / eliminate impacts, and / or to eliminate a design exception, the Design-Build Team shall not further impact any cultural, historical, cemetery or otherwise protected landmark or topographic feature beyond that shown on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map provided by the Department. Unless approved otherwise by the Department, the Design-Build Team shall not acquire right of way or easements from the aforementioned features unless shown on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map provided by the Department.
  - Excluding haul roads, the Design-Build Team shall design and construct resurfacing grades for all roadways impacted by construction. All resurfacing grades shall adhere to the design criteria and standards, provide all required pavement wedging (Reference the Pavement

Management Scope of Work found elsewhere in this RFP) and adhere to the minimum requirements noted below:

- The Design-Build Team shall resurface all lanes and shoulders of an undivided facility throughout the limits of proposed widening and construction.
- Unless noted otherwise elsewhere in this RFP, the Design-Build Team shall resurface all lanes and shoulders within the outermost construction limits of all proposed widening and construction, including any gaps along the facility where construction activities are not required (e.g. 1) along existing NC 12 from the -Y1- northern construction limits to the proposed turnaround – the Design-Build Team shall resurface the aforementioned section regardless of the turnaround construction, and 2) along existing NC 12 from the proposed parking lot entrance to the northern mainline construction limits).
- The Design-Build Team shall resurface all existing facilities to the limits of pavement marking obliterations / revisions.
- The Design-Build Team shall provide turn-arounds on all roads that are dead-ended.
- Excluding the modifications required herein, the Design-Build Team shall inform the Design-Build Unit, in writing, of all proposed design revisions, including but not limited to the following:
  - The Design-Build Team shall note in the Technical Proposal any proposed deviations to the preliminary design shown on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map provided by the Department. The Design-Build Team shall be responsible for all activities, as deemed necessary by the Department, US Fish and Wildlife Service, National Parks Service, and / or the FHWA, resulting from changes to the NCDOT preliminary design, including but not limited to, public involvement, NEPA re-evaluation and / or coordination with other stakeholders. 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.
  - After the contract has been Awarded, the Design-Build Team shall inform the Design-Build Unit, in writing, of all proposed changes to the design shown in the Technical Proposal.
  - After the Department has reviewed and accepted the Design-Build Team's design submittals, the Design-Build Team shall inform the Design-Build Unit, in writing, of any changes to previously reviewed submittals.
- Excluding the horizontal stopping sight distance for the southernmost curve on the proposed bridge, design exceptions will not be allowed for the -L- Line. NCDOT prefers not to have design exceptions for the -Y- Lines. 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 Design-Build Unit. If conceptual approval is obtained, the Design-Build Team shall be responsible for the development and approval of all design exceptions.

- For all parcels, the Design-Build Team shall locate and install concrete right of way markers that delineate all proposed right of way within the project limits. The Design-Build Team shall replace all existing right of way markers / monuments damaged and / or relocated during construction.
- For all parcels, the Design-Build Team shall locate and install iron pins and metal caps with fiberglass markers that delineate all proposed permanent easements within the project limits. The Design-Build Team shall replace all existing permanent easement markers / monuments damaged and / or relocated during construction. In accordance with NCDOT Policy, the Department will furnish the metal caps with fiberglass markers.
- As shown on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map provided by the Department, the Design-Build Team shall remove, and dispose of, the existing NC 12 pavement structure between the southern Pea Island National Wildlife Refuge boundary with Rodanthe and the northern bridge terminus. Within the aforementioned limits, the Design-Build Team shall also 1) remove, and dispose of, any sandbags; 2) re-grade the existing roadbed, including but not limited to, the pavement area, embankments, and / or roadway ditches; and 3) return the area to a condition similar to its surroundings.
- In accordance with the February 2016 Parking Lot Location Detail provided by the Department, the Design-Build Team shall design and construct a new parking lot near the northern project limits. In accordance with the aforementioned detail and *the National Park Service VIS and Wayside Hardware Specification Manual* provided by the Department, the Design-Build Team shall purchase and install an Upright Inline 3 (double-sided) Visitor Information Sign (VIS), with six 3-foot by 4-foot graphic panels, in the parking lot. The VIS shall be oriented perpendicular to NC 12 and be constructed of painted aluminum. Prior to ordering any VIS material, the Design-Build Team shall coordinate the required paint color and graphics with the US Fish and Wildlife Service. The Design-Build Team will not be required to provide landscaping for the parking lot. However, the Design-Build Team shall return the area within the Temporary Construction Easement surrounding the parking lot to a condition similar to its surroundings. Upon receipt of all required environmental permits and Special Use Permits, and acquisition of all associated Temporary Construction Easement, the US Fish and Wildlife Services has indicated that the Design-Build Team may use the parking lot area for staging operations. (Reference B-2500B - Phase IIb Record of Decision Project Commitments to be provided by the Department and the Environmental Permits Scope of Work found elsewhere in this RFP)

## **Pea Island National Wildlife Refuge and Cape Hatteras National Seashore Easement Requirements**

Right of way will not be allowed within the Pea Island National Wildlife Refuge and Cape Hatteras National Seashore properties; only permanent / temporary easements will be allowed. Thus, the areas designated as proposed right of way on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map provided by the Department will be secured as permanent easements.

- Within the Pea Island National Wildlife Refuge and Cape Hatteras National Seashore properties, the Design-Build Team shall minimize all temporary impacts required to construct the project without violating the requirements of this Request for Proposals and / or any environmental commitment. In accordance with the requirements noted below, the Department will obtain the permanent construction easement, temporary construction easements and Special Use Permits from the US Fish and Wildlife Service and the National Park Service for impacts to the Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore properties, respectively. However, the Design-Build Team is cautioned that the Department does not warrant or guarantee that any permanent construction easement or temporary construction easement beyond that shown on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map and Parking Lot Location Detail provided by the Department will be attainable. The Design-Build Team is also cautioned that the Department does not warrant or guarantee that any Special Use Permit required for construction activities other than those construction activities required specifically for the NC 12 typical section and the parking lot (e.g. construction access, staging, etc.) will be attainable.
  - A. The permanent easement required for the containment and maintenance of the NC 12 realignment shall not extend beyond the proposed right of way limits shown on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map provided by the Department. The Design-Build Team shall provide stations and offsets, as well as the approximate acreage, for the permanent easement required for the containment and maintenance of the NC 12 realignment in the Technical Proposal.
  - B. It is anticipated that additional temporary construction easement beyond the proposed temporary construction easement shown on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map and the Parking Lot Location Detail provided by the Department will be attainable, provided the additional temporary construction easement is required solely for the construction of NC 12 and / or the parking lot. However, the Department does not warrant or guarantee that additional temporary construction easement, as well as the associated Special Use Permits, beyond those identified on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map and the Parking Lot Location Detail provided by the Department will be attainable. The Design-Build Team shall provide stations and offsets, as well as the approximate

- acreage, for the anticipated temporary construction easement required solely for the NC 12 and the parking lot construction in the Technical Proposal.
- C. It is anticipated that additional temporary construction easement beyond that required solely for the NC 12 and parking lot construction will **NOT** be attainable (e.g. temporary construction easement for construction access, staging areas, etc.). Thus, the Design-Build Team is cautioned that additional temporary construction easement, as well as the associated Special Use Permits, for activities other than those required solely for the NC 12 and parking lot construction are not warranted or guaranteed. The Design-Build Team shall identify all additional temporary construction easements that are anticipated for construction access, staging areas, etc.; and provide the associated stations and offsets, as well as the approximate acreage, in the Technical Proposal.
- D. Upon acceptance of the Right of Way Plans developed by the Design-Build Team, the Design-Build Team shall provide updated stations and offsets, as well as the approximate acreage, for 1) the permanent easement required for the containment and maintenance of the NC 12 typical section, 2) the temporary construction easement required solely for the NC 12 construction, 3) the temporary construction easement required solely for the proposed parking lot construction, and 4) the temporary construction easements required for construction activities other than those construction activities required solely for the NC 12 and parking lot construction (e.g. construction access, staging, etc.). Based on these stations and offsets, the Department will obtain the allowable permanent and temporary easements from the US Fish and Wildlife Service and the National Park Service. The Department does not warrant or guarantee that the temporary construction easements identified beyond those identified on the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map and the Parking Lot Location Detail provided by the Department are attainable.
- E. Based on the impacts shown in the accepted Right of Way Plans developed by the Design-Build Team, the Department will 1) secure the Special Use Permits required for the proposed NC 12 realignment through the Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore properties, 2) secure the Special Use Permits required for the parking lot in proximity to the northern project limits, and 3) **ATTEMPT** to secure any other required Special Use Permits (e.g. construction access, staging, etc.). The Department does not warrant or guarantee that the Special Use Permits identified as Item E-3 above are attainable. The Design-Build Team shall provide the Department all permit drawings necessary to secure the aforementioned Special Use Permits. (Reference the Environmental Permits Scope of Work found elsewhere in this RFP) The Design-Build Team shall identify all anticipated Special Use Permits required from the US Fish and Wildlife Service and the National Park Service in the Technical Proposal.
- F. The Department will require 12 months from the date of accepting the Right of Way Plans developed by the Design-Build Team to obtain the permanent easements,

temporary easements and Special Use Permits from the US Fish and Wildlife Service and the National Park Service. If the permanent construction easement and the temporary construction easements identified on the Bonner Bridge Replacement Project Phase IIB 2014B Revised Bridge on New Location Alternative Map and the Parking Lot Location Detail provided by the Department, and the associated Special Use Permits, are attained within the aforementioned 12-month timeframe, the Department will not honor any requests for additional contract time or compensation, including but not limited to idle equipment or mobilization / demobilization costs, for the Design-Build Team mobilizing men, materials (or ordering materials), or equipment. If the temporary construction easements identified beyond the temporary construction easements shown on the Bonner Bridge Replacement Project Phase IIB 2014B Revised Bridge on New Location Alternative Map and the Parking Lot Location Detail provided by the Department, and / or the associated Special Use Permits, are not attained within the aforementioned 12-month timeframe or not attained at all, the Department will not honor any requests for additional contract time or compensation, including but not limited to the activities noted above, additional design effort, additional construction effort and / or additional environmental agency coordination and approvals. (Reference the Right of Way Scope of Work found elsewhere in this RFP)

- G. The Revised B-2500B Phase IIB Environmental Assessment (EA) discusses the easement that will be returned to the Pea Island National Wildlife Refuge. The Design-Build Team shall provide the anticipated acreage to be returned to the Pea Island National Wildlife Refuge in the Technical Proposal.

## General

- Unless allowed otherwise elsewhere in this RFP, the design shall be in accordance with the 2011 AASHTO *A Policy on Geometric Design of Highways and Streets* and 2013 Errata, 2002 NCDOT *Roadway Design Manual*, including all revisions effective on the Technical Proposal submittal date, January 2012 NCDOT Roadway Standard Drawings, or as superseded by detail sheets located at: <https://connect.ncdot.gov/resources/Specifications/Pages/2012-Roadway-Drawings.aspx>, *Roadway Design Policy and Procedure Manual*, *Roadway Design Guidelines for Design-Build Projects*, 2012 NCDOT *Standard Specifications for Roads and Structures* and the 2011 AASHTO *Roadside Design Guide*, 4<sup>th</sup> Edition and 2015 Errata.
- If the NCDOT *Roadway Design Manual* including all revisions, the 2011 AASHTO *A Policy on Geometric Design of Highways and Streets* and 2013 Errata, the 2012 NCDOT *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 noted otherwise 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.

- At all intersections, the Design-Build Team shall not exceed a 0.05 roll-over between the outside edge of travel lane of the primary roadway and the beginning of the proposed grade for the secondary roadway.
- Unless noted otherwise elsewhere in this RFP, 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. Narrower bridge rail offsets based on bridge length will not be allowed.
- Unless noted otherwise elsewhere in this RFP, the maximum allowable cut and fill slope shall be 3:1. (Reference the Geotechnical Scope of Work found elsewhere in this RFP)
- Outside the project limits, the Design-Build Team will not be allowed to use the NCDOT right of way and / or property for borrow or waste sites. Within the project limits, the Design-Build Team shall adhere to the following:
  - Only clean waste material may be wasted within the NCDOT right of way or property.
  - Excluding crushed concrete, debris shall not be buried within the NCDOT right of way or property.
  - Normal grading operations shall occur, including but not limited to, removal of the existing embankments supporting all removed roadway sections.
- 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.
- Prior to the Preliminary Roadway Plans submittal, the Design-Build Team shall submit Structure Recommendations and Design Criteria for NCDOT review and acceptance. 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, former State Roadway Design Engineer.
- Unless noted otherwise elsewhere in this RFP, the design speed for all roadways shall be the greater of the minimum design speed for the facility type, as specified in the 2011 AASHTO *A Policy on Geometric Design of Highways and Streets*, or the anticipated / actual posted speed plus five mph. If a speed limit is not physically posted on an existing facility, General Statutes mandate the speed limit as 55 mph, resulting in a 60 mph design speed.
- The Design-Build Team shall design and construct single face concrete barrier in front of the traffic face of all sound barrier walls, retaining walls and all elements acting as a retaining wall that are located within the vehicle recovery area. The aforementioned concrete barrier



shall be located beyond the typical section shoulder point, requiring the Design-Build Team to widen the outside shoulder beyond the typical section width.

- At all -Y- Line / -Y- Line intersection radius points, including service roads, the minimum lane width for the secondary roadway shall be 15 feet.
- At all intersections impacted by the Design-Build Team's design and / or construction methods, excluding resurfacing, a WB-62 design vehicle shall be required for all turning movements.
- A sag vertical curve low point shall not be located on any approach slab or bridge.
- The Department has followed the Merger Process used by the Environmental Agencies and the Department to obtain environmental permits. 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 will not allow any contract time extensions or additional compensation associated with any coordination or approval process resulting from design and / or construction modifications.
- Excluding parcels restricted by Control of Access, the Design-Build Team shall design and construct a minimum of one driveway per parcel. The Design-Build Team shall design and construct all driveways that adhere to the NCDOT *Policy on Street and Driveway Access to North Carolina Highways* and the minimum requirements noted below. Excluding the maximum grade requirement, if the NCDOT *Policy on Street and Driveway Access to North Carolina Highways* and the requirements noted below have conflicting design parameters, the proposed design shall adhere to the aforementioned Policy:
  - The Design-Build Team shall provide horizontal and vertical alignments for all driveways that require 100 feet or longer to tie to existing.
  - Excluding grades required to tie to existing, the maximum driveway grade shall be 10.0%.
  - For shoulder sections, the minimum driveway turnout for residential and commercial properties shall be 16'-0" and 24'-0", respectively, or the existing width, whichever is greater.
  - For curb and gutter sections, the minimum driveway turnout for residential and commercial properties shall be 20'-0" and 28'-0", respectively, or the existing width, whichever is greater.
- The Design-Build Team shall contact, Mr. Gary W. Thompson, North Carolina Geodetic Survey Manager, prior to disturbing any geodetic monuments.

- 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 Contract Standards and Development Unit may have special details available that can be provided to the Design-Build Team upon request.
- A 4:1 back slope shall extend from the back of the expressway gutter to the clear zone limit. Beyond that, a maximum 3:1 cut slope will be acceptable.
- The expressway gutter centerline shall be located at the hinge / shoulder point.
- Shoulder berm gutter shall not be installed in cut sections.
- At all locations with paved shoulders that extend beyond the typical width (i.e. to the face of single face barrier and guardrail, edge of expressway / shoulder berm gutter, etc.), the Design-Build Team shall taper the wider paved shoulder width to the typical paved shoulder width using an 8:1 taper. (Reference the Pavement Management Scope of Work found elsewhere in this RFP)
- Cut and fill slope transitions shall not exceed one increment (e.g. 3:1 to 4:1) per 50 feet.
- The Design-Build Team shall design and construct horizontal and vertical curves at all Points of Intersections (PIs) on the horizontal and vertical alignments, respectively.
- All paved shoulders shall be tapered at 8:1 to the existing pavement at tie-in points.
- Unless noted otherwise elsewhere in this RFP, all guardrail / guiderail placement shall be in accordance with the NCDOT *Roadway Standard Drawings* and / or approved details in lieu of standards. Along all 3:1 fill slopes, constructed at fill heights that are equal to or greater than 12 feet, the Design-Build Team shall install guardrail. Along all fill slopes steeper than 3:1, constructed at fill heights that are equal to or greater than six feet, the Design-Build Team shall install guardrail. The guardrail / guiderail design shall be submitted for review with the Preliminary Plans submittal.

### **NCDOT Information Supplied**

- The NCDOT will provide the B-2500B - Phase IIb Environmental Assessment (EA) and Section 4(f) Evaluation, the Revised B-2500B - Phase IIb Environmental Assessment (EA) and Section 4(f) Evaluation, and the B-2500B - Phase IIb Record of Decision (ROD). The NCDOT will also provide the B-2500 ROD, the Biological and Conference Opinion, including all subsequent amendments, 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. The Design-Build Team shall modify / incorporate boundary information used for the determination and valuation of property solely under the direct supervision of a Professional Land Surveyor registered in North Carolina. 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 Subsurface Utility Engineering (SUE) work shall be the responsibility of the Design-Build Team.

- The NCDOT will provide the Bonner Bridge Replacement Project Phase IIb 2014B Revised Bridge on New Location Alternative Map and the Parking Lot Location Detail. The Design-Build Team is cautioned that the preliminary designs shown on the aforementioned map and detail are 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 the B-2500B electronic design files.
- The NCDOT will provide final pavement designs for B-2500B. 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 B-2500B. 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 found elsewhere in this RFP)

**PAVEMENT MANAGEMENT SCOPE OF WORK** (2-22-16)

The pavement designs for this project shall be as listed in the table below:

<b>Line</b>	<b>Surface</b>	<b>Intermediate</b>	<b>Base</b>
-L- Line (NC 12)	3.0" S9.5B	----	5.5" B25.0B
All -Y- Lines	2.5" SF9.5A	----	4.0" B25.0B
Parking Lot	1.5" SF9.5A	----	4.0" B25.0B

For the -L- Line and all -Y- Lines, the Design-Build Team shall resurface the existing pavement with a minimum pavement depth that equals the full thickness of surface course as provided in the table above. (Reference the Roadway Scope of Work found elsewhere in this RFP)

For the pavement designs noted in the table above, the Design-Build Team shall not substitute an ABC layer for an asphalt base course layer.

Warm mix asphalt will be allowed.

In accordance with the *Class IV Aggregate Stabilization* Standard Special Provision found elsewhere in this RFP, use Class IV Aggregate Stabilization to provide a working platform, where needed.

Unless noted otherwise elsewhere in this RFP, the minimum narrow widened width shall be six feet. The minimum narrow widened width may be reduced to four feet only if the Design-Build Team demonstrates that their equipment properly compacts narrow widening and obtains prior Department approval. Tapers that tie proposed pavement to existing pavement are excluded from the narrow widening requirements noted above.

In areas where the existing paved shoulders are 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 to be 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 Design-Build Unit for review and acceptance or rejection.

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 / or 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 NCDOT *Pavement Design Procedure*. Temporary pavement designs and associated calculations shall be submitted for review and acceptance using the Design-Build submittal process prior to incorporation. The expected duration for traffic on temporary pavement must be included as part of the submittal.

When a resurfacing grade ties to an existing curb, bridge and / or pavement, the Design-Build Team shall perform incidental milling such that the new pavement ties flush with the existing feature(s). When tying to the aforementioned feature(s), the Design-Build Team shall not reduce the minimum required surface layer pavement thickness noted above. At existing pavement ties, the Design-Build Team shall perform incidental milling for a minimum distance of 25 feet at bridges and six feet at curb sections. The Design-Build Team shall not perform incidental milling more than 72 hours prior to placement of the asphalt surface layer.

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% grade shall be constructed with 1.5" S9.5B (or S9.5C or SF9.5A) and 8" ABC with prime coat. 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 (or S9.5C or SF9.5A) and 8" ABC with prime coat
- For existing concrete driveways, use 6" jointed concrete reinforced with woven wire mesh

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

Shoulder drains will not be required.

Unless noted otherwise elsewhere in this RFP, the Design-Build Team shall pave from 1) the edge of all paved shoulders to the face of all single face barrier / guardrail 2) from the edge of all paved shoulders to the edge of all expressway / shoulder berm gutter and 3) from the edge of all paved shoulders to the face of proposed retaining walls located on the outside shoulder with 4" of B25.0B and at least one lift of S9.5B surface course. As an alternative to the above pavement design for paving the shoulders to the face of the aforementioned features, the Design-Build Team may use the adjacent travel lane pavement design.

The Design-Build Team shall provide incidental milling of the end of existing pavement to provide a smooth transition to the proposed pavement. When tying into existing pavement, the Design-Build Team shall not reduce the minimum required surface layer pavement thickness noted above. The Design-Build Team shall not perform incidental milling more than 72 hours prior to placement of the asphalt surface layer.

Alternative Technical Concepts proposing alternate pavement designs will not be permitted.

**STRUCTURES SCOPE OF WORK** (5-18-16)

**Unless noted otherwise elsewhere in this RFP, all elevations referenced throughout this Request for Proposals (RFP) are referenced to the North American Vertical Datum of 1988 (NAVD 88).**

**Project Details**

The Design-Build Team shall design and construct a bridge on new location over the Pamlico Sound from the Town of Rodanthe to existing NC 12 north of Rodanthe. Throughout this RFP, the section of the aforementioned bridge from Station 23+39.12 -L- to Station 147+26 -L- shall be referred to as the main bridge. The Design-Build Team shall design and construct bridge transition sections on both ends of the main bridge. These transition sections shall be designed to reduce the grade from the main bridge to an elevation no higher than 14.0 and no lower than 10.0. Retaining walls may be used at the end of each transition span to return to existing grade.

The Design-Build Team shall design and construct the main bridge such that the future extensions noted below can occur without disruption of traffic on the main bridge. The Design-Build Team shall describe the structure details that will accommodate the future main bridge extension noted below in the Technical Proposal.

- The Design-Build Team shall design and construct the main bridge such that it can be extended northward in the future with the last span remaining in place.
- The Design-Build Team shall design and construct the main bridge such that it can be extended northward along the -L- Line tangent alignment between Station 44+69.79 -L- and Station 113+34.26 -L-.
- The Design-Build Team shall design and construct the main bridge such that it can be extended northward, as noted above, while maintaining a temporary two-lane two-way traffic pattern, consisting of minimum 11-foot lanes with minimum two-foot barrier offsets, on the bridge.

Except as allowed otherwise below, the low chord elevation of the main bridge shall be 17 feet mean sea level (MSL) or higher. The main bridge superstructure subjected to wave forces shall be kept to a minimum, resulting in an allowable reduction of the aforementioned main bridge minimum vertical clearance for a maximum distance of 300 feet from each end of the bridge. The Design-Build Team shall indicate the distance on each end of the main bridge with a low chord elevation less than 17 feet MSL in the Technical Proposal. The transition sections shall provide a minimum vertical clearance of four feet above natural ground to allow for bridge inspection access.

The requirements for vessel impact will not apply to the bridge transition sections.

In accordance with AASHTO Guide Specifications for Bridges Vulnerable to Coastal Storms, all components of the main bridge, transition sections and retaining walls below elevation

17 feet MSL shall be designed to resist coastal wave forces. The main bridge, transition sections and retaining walls shall be designed for scour as detailed in the Hydraulics and Geotechnical Scopes of Work found elsewhere in this RFP. The Design-Build Team shall evaluate Equation 5.2-1 as an extreme event limit state and design accordingly. Wave forces will not be required in any other loading combinations.

Using a base wind velocity of 105 mph, the 2014 AASHTO LRFD Bridge Design Specifications may be used for wind loading. Should the Design-Build Team use the 2016 interims to the 2014 AASHTO LRFD Bridge Design Specifications for wind loading, the wind gust velocities shall be per the figures.

Sand lightweight concrete will only be permitted in the bridge deck. Lightweight concrete, of any kind, shall not be used on any other part of the proposed bridge.

### **Superstructure - General**

The bridge typical section shall consist of a 40-foot clear roadway with 2-Bar Metal rail and a 3'-0" concrete parapet (parapet height has been increased from the Standard Drawing BMR34). However, the final design of the rail must be reviewed and endorsed by the SHPO, as required by Section 106 commitments, and the NPS and USFWS as required by Section 7 commitments. The Design-Build Team shall use the aluminum rail option detailed in Standard Drawing BMR34, and all associated hardware and anchorage shall be stainless steel.

The following will not be allowed:

- Cast-in-place and precast deck slabs as primary structural members, precast girders with an integrally cast deck, and steel girder superstructures
- Voided slabs (cored slabs or box beams) will not be allowed in the main bridge. (Voided slabs used in the transition sections shall have a concrete overlay adhering to the corrosion protection requirements for bridge decks.)
- Structures that require external tendons or strands (e.g. cable-stay, extradosed, suspension)
- Precast partial or full depth deck panels
- Precast bridge barrier rails
- Empirical method for deck design
- Steel diaphragms
- Modular Expansion Joints

The Design-Build Team shall provide an initial load rating for the proposed main bridge and transition sections. For all design and legal loads, prestressed concrete members shall not be in tension (0 psi) at the Service Limit State in the longitudinal direction. Stresses for all precast, pretensioned members shall be in conformance with the NCDOT Structure Management Unit Manual and associated memos.

Design for an additional superimposed dead load 30 psf for future wearing surface, regardless of the superstructure type.

The Design-Build Team shall use one type of expansion joint throughout the main bridge. Expansion joint seals shall have a maximum four-inch joint opening and a minimum  $\frac{3}{4}$ " opening. Creep and shrinkage movement may be excluded from the total movement calculations. Foam joint seals will only be allowed in the transition sections, and between the transition sections and the main bridge. The Department prefers that the number of bridge expansion joints be minimized. The Design-Build Team shall indicate the type and number of bridge expansion joints in the Technical Proposal.

### **Substructure – Vessel Impact**

All main bridge substructure units shall be designed in accordance with the AASHTO LRFD Bridge Design Specifications using the Minimum Impact Vessel as defined in LRFD 3.14.1 and using one half of the scour depth, as defined in the Geotechnical Scope of Work found elsewhere in this RFP. The flow velocities used shall be the 100-year velocities, as determined by the Design-Build Team's final 100-year scour analysis. If the Design-Build Team's flow velocities are based on the May 2016 *Pea Island Bridge Hydraulics Report* and Addendum provided by the Department, then the velocities shall be considered perpendicular to the proposed bridge. The AASHTO requirement for applying 50% of the vessel impact load to the substructure in the direction longitudinal to the bridge will be sufficient. Substructure units shall be designed for an extreme Vessel Collision load by a Minimum Impact Vessel vessel simultaneously with scour. Dynamic analysis techniques that take into account force-deformation or other dynamic interaction between vessel and bridge during collision will not be permitted.

When the length to the width ratio (L/W) is 2.0 or greater for long narrow footings in the waterway, apply the longitudinal force within the limits of the distance that is equal to the length minus twice the width, (L-2W).

No reduction on design loads via pier protection by “island” construction or fender systems will be allowed.

### **Substructure – Vessel Collision and Scour Limit States and Design Criteria**

In addition to the requirements of AASHTO LRFD Bridge Design Specifications, design the substructure units in accordance with the following Limit States:

- Limit State 1 (Always required – Scour may be “0”) Conventional LRFD loadings (using load factor combination groups as specified in LRFD Table 3.4.1-1), but utilizing the most severe case of scour up to and including that from a 100-year hurricane storm event.
- Limit State 2 (Applies when vessel collision force is specified) Extreme Event of Vessel Impact (using load factor combination groups as specified in the LRFD) utilizing scour depth described above for Vessel Collision with Scour.
- Limit State 3 (Applies only if scour is predicted) Stability Check during the superflood (most severe case of scour up to and including that from the 100-year flood) event.



$$\gamma_p (\text{DC}) + \gamma_p (\text{DW}) + \gamma_p (\text{EH}) + 0.5 (\text{L}) + 0.5 \text{EL} + 1.0 (\text{WA}) + 1.0 (\text{FR})$$

Where,  $L = LL + IM + CE + BR + PL$  and all terms are as per LRFD.

When preparing the soil models for computing the substructure strengths, and when otherwise modeling stiffness, analyze and assign soil strength parameters to the soil depth that is subject to Local and Contraction Scour that may have filled back in. The soil model shall utilize strength characteristics over this depth that are compatible with the type of soil that would be present after having been hydraulically re-deposited.

### **Substructure - General**

Waterline pile footings over open water shall be constructed such that the bottom of the pile footing is no higher than the mean low water elevation. The bottom of pile footings may be raised to no more than three feet above mean low water in areas where doing so would result in less physical impact to the intertidal marshes and wetlands. Within the Pea Island National Wildlife Refuge, the bottom of pile footings shall be at natural ground or above elevation 3, whichever is greater. For all other pile footings on land, the top of pile footing shall have 1'-6" minimum earth cover.

Pending review and acceptance of a design that adheres to all requirements, the NCDOT will make available a stockpile of 30" square prestressed concrete piles for bridge construction. A list of pile lengths and quantities, as well as the pile detail sheet, will be provided to the Design-Build Teams. Should the Design-Build Team choose to use the available concrete piles, the purchase cost shall be deducted from monies due to the Design-Build Team at a cost of \$50.00 per linear foot. The Design-Build Team shall be responsible for all transportation, handling, loading and unloading costs, as well as all disposal costs should the concrete piles be unsuitable for any reason once on-site. The Design-Build Team shall assume all risks associated with the use of the concrete piles. The Department will not honor any requests for additional contract time or compensation for any efforts associated with using the concrete piles, including but not limited to additional design effort, additional construction effort, and / or additional coordination and approvals. The Design-Build Team shall indicate in the Technical Proposal if they intend to use the concrete piles and the quantity to be used. Based on the unit price noted above, the Department will deduct the cost of the concrete piles used by the Design-Build Team from the lump sum price bid for the entire project in the first monthly payment after the concrete piles are installed. If the Design-Build Team does not indicate their intention to use the concrete piles and the quantity to be used in the Technical Proposal, the concrete piles may not be available to the Design-Build Team; and the Department will not honor any requests for additional contract time or compensation due to their unavailability.

The Design-Build Team shall not use concrete pile splices and buildups.

### **Corrosion Protection**

This section prescribes the minimum corrosion protection measures to be used on this project with the intent to provide a minimum 100-year corrosion service life.

Voided column sections and / or post-tensioning (and associated hardware) will not be allowed below an elevation 12.0 feet above mean high water (MHW).

For post-tensioned bridges, the Design-Build Team shall develop a Corrosion Protection Plan that includes specific detailed provisions for post-tensioning tendon corrosion protection. All corrosion protection details in the Corrosion Protection Plan shall provide a minimum 100-year corrosion service life. At a minimum, the aforementioned Plan shall specify corrosion allowances, and outline detailed provisions with regards to reinforcing steel and structural steel protection. In regards to concrete performance, the aforementioned Plan shall assess the effects on concrete permeability, corrosion thresholds, corrosion rate, impacts on cracked concrete, time-to-repair, and provide recommendations on the use of calcium nitrite, silica fume, sealers, membranes, reinforcing coatings, increased cover, corrosion inhibitors, etc. The Design-Build Team shall adhere to all Corrosion Protection Plan recommendations / conclusions that exceed the requirements herein.

For all bridge elements not identified in the Corrosion Protection Plan developed by the Design-Build Team, the Design-Build Team shall adhere to the requirements noted below that are deemed sufficient to meet a 100-year corrosion service life.

- All concrete shall include mineral admixtures in the mix designs. Mineral admixtures shall replace the cement content at a 1:1 ratio by weight. For concrete other than mass concrete:
  - The superstructure shall contain a minimum of 25% fly ash Class F or a minimum of 40% ground granulated blast furnace slag (GGBFS).
  - The substructure shall contain a minimum of 25% fly ash Class F or a minimum of 40% GGBFS. In addition, silica fume at a minimum of 5% shall be used in piles, footings and columns.
- For mass concrete elements, reference the NCDOT Structure Management Unit *Mass Concrete* Project Special Provision for additional ranges of pozzolan substitution.
- Calcium nitrite shall be used in the superstructure and substructure concrete at a minimum rate of four gallons per cubic yard. Calcium nitrite will not be required in cast-in place concrete elements containing only stainless steel rebar or bridge decks with stainless steel rebar extending into the bridge barrier rails.
- Reinforcement for both cast-in-place and precast elements shall have a minimum concrete cover of 2" except:
  - The greater limits listed in the NCDOT Structure Management Unit Manual Section 10 for Corrosive Sites and structure standard drawings shall be met.
  - Concrete cover in box girder sections shall be a minimum of 2" for both the external and internal sides and a minimum of 2.5" for the top deck cover after all grinding.

- 3" of concrete cover in the top slab (includes ½" for grinding to meet Bridge Deck Rideability and Grooving Special Provision and 1½" future deck rehabilitation).
- Stainless steel reinforcing steel shall be used in the following applications / locations and meet the following requirements:
  - All cast-in-place concrete, except the following: reinforcing steel entirely contained within a drilled pier, closure pours for segmental box construction, bridge barrier / parapet, and mild steel or strand projecting from precast superstructure elements. Stainless Steel will not be required for the reinforcing steel in retaining walls that are not a part of the bridge; any type of reinforcing steel may be proposed by the Design-Build Team for these retaining walls.
  - Bars extending from drilled piers. For a post and beam type bent or waterline footings, a drilled pier shall be defined to terminate, and transition to a column, at an elevation of one foot below mean low water (MLW).
  - All columns and pile footings below an elevation of 12 feet above MHW, regardless of whether these members are precast or cast-in-place.
  - Stainless steel shall be one of the stainless steel alloys listed in Table 2 of ASTM A955-12, have a minimum yield strength of 60 ksi, and meet all other requirements of ASTM A955-12.
- In all cases, reinforcing details shall be designed to minimize the potential for adverse reaction between dissimilar rebar materials. All incidental supports for reinforcing steel (i.e. chairs, ties, etc.) shall be non-ferrous.
- Structural steel will only be allowed in minor elements such as joints, solar array platforms, access platforms, and supports for such items as signs and navigational lights. Sole plates, embedded plates, and anchor bolts shall be stainless steel conforming to ASTM 240 and ASTM 316. Structural steel and steel components that are not stainless steel shall be metalized with a 15 mil DFT of 99% Aluminum and 1.5mil DFT seal coating.
- The bottom 18" of barge stored aggregate shall not be used in any cast-in-place concrete.
- All attachment inserts to remain in place in concrete, including but not limited to inserts shown in NCDOT Standard Drawings, shall be formed of Grade 316 Stainless Steel. All hardware used in conjunction with the aforementioned inserts shall be of suitable material to prevent galvanic corrosion, in the Department's sole discretion.
- Internal holding pins shall be required for all elastomeric bearing shim plates.
- Regarding falsework and forms for waterline footings and caps, sacrificial structural steel members will not be allowed and precast soffits shall meet all corrosion protection and

reinforcing steel requirements. Precast soffits shall be sacrificial and shall not contribute to footing strength. All reinforcing steel within and extending from the precast soffit into footings shall be stainless steel. All steel precast soffit supports to remain within the cast-in-place footing shall be stainless steel.

- Permanent steel casings shall be required for all drilled piers. The Design-Build Team shall determine and include a minimum of 0.125" of additional sacrificial casing thickness or more as needed to account for corrosion during the design life of the bridge.

\*\* Note \*\* Deleted precast concrete stay-in place panels allowance

- Cathodic protection will not be required.

### **Mass Concrete**

Mass Concrete shall be defined and shall be in accordance with the NCDOT Structure Management Unit *Mass Concrete* Project Special Provision.

### **Miscellaneous**

The Design-Build Team shall stamp identification numbers for every span and every tenth bent into the roadway face of the bridge barrier rail. The size of the identification numbers shall be in accordance with **Section 710-8** of the 2012 *Standard Specifications for Roads and Structures* pavement marking criteria.

The Design-Build Team shall design and construct the bridge for the installation of a future utility hanger system in an outside girder bay. For the conduit hanger system, the design and construction shall accommodate a unit weight of 80 pounds per linear foot for the entire bridge length. For splice enclosures, the design and construction shall accommodate six individual loads of 6000 pounds each, spaced evenly along the main bridge. The Design-Build Team shall indicate the outside girder bay provided for the future utility hanger system installation in the **Technical Proposal**.

### **General**

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

Bridge geometry (width, length, skew, span arrangement, typical section, grade, alignment, etc.) shall be in accordance with the accepted Bridge Survey Report, Structure Recommendations and Roadway Plans prepared by the Design-Build Team.

Alternate details or construction practices (such as those employed by other states, but not standard practice in NC) are subject to Department review and will be evaluated on a case by case basis. Use of Florida Department of Transportation Prestressed Florida I-Beams (FIB), the Prestressed Concrete Committee for Economic Fabrication (PCEF) prestressed concrete girders, and Modified Bulb Tee girders will be allowed. However, the structural details associated with

the aforementioned items, including but not limited to, mild reinforcing and reinforcing cover, 1) shall be subject to Department review and acceptance post-award; and 2) shall be in accordance with the “Corrosion Protection” section of this scope of work.

### **Applicable Codes, Manuals and Specifications**

Unless noted otherwise elsewhere in this RFP, the design, construction and materials shall be in accordance with the edition, including all interims, of the documents noted below that are effective on the Design-Build Proposal submittal date:

1. NCDOT *Structure Management Unit Manual* (including policy memos)
2. NCDOT Bridge Policy Manual
3. NCDOT Structure Management Unit Project Special Provisions
4. NCDOT LRFD Driven Pile Foundation Design Policy  
\*\* Note \*\* Deleted AASHTO LRFD Bridge Design Specifications duplication
5. NCDOT Structure Management Unit Standard Drawings
6. NCDOT *Standard Specifications For Roads and Structures*
7. AASHTO LRFD Bridge Design Specifications (with exceptions noted in the NCDOT *Structures Management Unit Manual*)
8. AASHTO LRFD Bridge Construction Specifications
9. AASHTO Guide Specifications for Bridges Vulnerable to Coastal Storms

For all proposed work that is not adequately covered by the applicably codes, manuals, or other specifications, the Design-Build Team shall provide Special Provisions for review and acceptance.

**GEOTECHNICAL ENGINEERING SCOPE OF WORK** (5-20-16)**I. GENERAL**

The Design-Build Team shall provide all geotechnical data, tests, computations and supporting subsurface investigations and documentation in English Units.

Obtain the services of a firm prequalified for geotechnical work by the NCDOT Geotechnical Engineering Unit at:

<https://partner.ncdot.gov/VendorDirectory/default.html>

The prequalified geotechnical firm shall prepare foundation design recommendation reports for use in designing structure foundations, roadway foundations, retaining walls, and temporary structures.

The Engineer of Record who prepares the foundation design recommendation reports shall be a Professional Engineer registered in the State of North Carolina who has 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 latest edition of the AASHTO *LRFD Bridge Design Specifications*.

The prequalified geotechnical firm shall determine if additional subsurface information, other than that required and noted elsewhere in this RFP, is required based upon the subsurface information provided by the NCDOT and the final roadway and structure designs. If a determination is made that additional subsurface information is required; the Design-Build Team shall use a prequalified geotechnical firm to perform all additional subsurface investigation and laboratory testing in accordance with the current NCDOT Geotechnical Engineering Unit *Guidelines and Procedures Manual for Subsurface Investigations*. Submit additional information collected by the Design-Build Team to the Geotechnical Engineering Unit for review. The Design-Build Team shall provide the final Subsurface Investigation report in electronic and hardcopy format to the NCDOT for its records.

For driven pile or drilled pier foundations, a standard penetration test (“SPT”) boring or cone penetration test (“CPT”) boring (both referred to hereafter as boring) is required to be located within the following distances from the center of the proposed bent locations:

<b>Foundation Type</b>	<b>Maximum Distance to Boring</b>
Piles	200 feet
Drilled Piers	30 feet

Borings used for foundation design shall extend to a depth that can provide sufficient subsurface information for foundation design including group effects on bearing capacity and settlement. However, the boring depth shall not be less than four diameters below the foundation element. All borings shall extend through unsuitable strata such as highly

organic materials, soft fine-grained soils, and loose coarse-grained soils to reach hard or dense materials with a minimum SPT blow count of 20 or equivalent CPT cone resistance. Additional subsurface investigation work required to meet the aforementioned boring depth requirements, beyond the subsurface investigation provided by the Department, will only be required for drilled piers terminating deeper than elevation -145.0 feet.

If a foundation type other than driven piles or drilled piers is selected as a foundation choice for any of the interior bents on the bridge, the Design-Build Team's Technical Proposal shall specify the locations and details of any additional geotechnical investigations that will be performed to develop design parameters.

## II. DESCRIPTION OF WORK

Unless otherwise noted herein, the Design-Build Team shall design foundations (except for sign foundations), embankments, slopes, and retaining walls in accordance with the current edition of the AASHTO *LRFD Bridge Design Specifications*, NCDOT *LRFD Driven Pile Foundation Design Policy*, all applicable NCDOT Geotechnical Engineering Unit Standard Provisions, NCDOT *Structures Management Unit Manual*, and NCDOT *Roadway Design Manual*. NCDOT *LRFD Driven Pile Foundation Design Policy* shall govern over AASHTO *LRFD Bridge Design Specifications*. Requirements included in this Scope of Work shall govern over AASHTO *LRFD Bridge Design Specifications*, NCDOT *LRFD Driven Pile Foundation Design Policy*, and NCDOT Geotechnical Engineering Unit Standard Provisions. The NCDOT *LRFD Driven Pile Foundation Design Policy* is located on the NCDOT Geotechnical Engineering Unit's website at:

[https://connect.ncdot.gov/resources/Geological/Pages/Geotech\\_Requirements\\_References.aspx](https://connect.ncdot.gov/resources/Geological/Pages/Geotech_Requirements_References.aspx)

For *Geotechnical Guidelines For Design-Build Projects*, the Design-Build Team shall adhere to the guidelines located at the following website:

<https://connect.ncdot.gov/letting/Pages/Design-Build-Resources.aspx>

### A. Structure Foundations

Steel piles will not be allowed for this project. Steel stingers less than three feet in exposed length embedded in the ends of precast concrete piles will be permitted.

Permanent steel casings shall be required for all drilled piers to five feet below the Final Design Scour Elevation.

The following scour elevations shall be considered the minimum contract requirement:

1. Transition Sections: Use Elevation no higher than -30.0 feet as the 100-year Design Scour Elevation. The transition section design scour

shall be entirely general scour consisting of both long term degradation scour and contraction scour.

2. Main Bridge: Use elevation no higher than -52.0 feet as the 100-year Preliminary Design Scour Elevation. The main bridge Preliminary Design Scour shall consist of a General Scour Elevation of Elevation -39.0 feet and 13 feet of local scour. General scour shall include both long term degradation scour and contraction scour.

Reference the Structures Scope of Work found elsewhere in this RFP for the definitions of *transition sections* and *main bridge*.

Pursuant to the Hydraulics Scope of Work found elsewhere in this RFP, the Design-Build Team shall perform its own scour evaluation for the main bridge prior to final design. In no case shall the scour elevations used for the final design of the main bridge or foundations for transition sections be higher than the Preliminary Design Scour Elevation provided above. On plan foundation notes, set scour critical elevations at one foot below the Final Design Scour Elevation used for the associated section of bridge.

End bent fill slopes shall be 2:1 (H:V) or flatter. All end bent cut slopes shall be 2:1 or flatter. Extend end bent slope protection from the toe of slope to berm and to the 3:1 side slopes or to tie to any rock plated side slopes.

Analyze drilled pier and pile foundations using Lpile, FB-Pier, or FB-Multiplier. Pile group analyses are required for bents using footing on pile or drilled pier foundations. Default soil lateral strength and stiffness parameters in Lpile, FB-Pier, or FB-Multiplier shall be utilized unless the use of alternative strength parameters is supported by laboratory or field test data that is accepted by the Department. Do not account for stress history effects or include weight of soils remaining above the design case scour elevation when calculating soil lateral strength and stiffness parameters. Design drilled pier post and beam bents, and pile bents with sufficient embedment below the Final Design Scour Elevation to develop a point of fixity. For footing on either piles or drilled piers, provide sufficient embedment below the Final Design Scour Elevation such that all piles or drilled piers in the lead row develop a point of fixity. Point of fixity should be selected from between where the deflection curve first intercepts the “point of the first zero deflection” and the “maximum negative deflection point.” Pile fixity is considered to be achieved when the pile or drilled pier deflection curve reaches a maximum negative deflection point and begins to return to the zero deflection line. In addition to the aforementioned foundation element fixity requirements, drilled pier and driven pile foundations shall adhere to the requirements listed in Items 1 through 4 below:



1. From Station 23+39.12 -L- to Station 42+00.00 -L-, provide drilled pier or driven pile foundations that terminate at an elevation no higher than elevation -125.0 feet.
2. From Station 42+00.01 -L- to Station 122+00.00 -L-, provide drilled pier or driven pile foundations that terminate at an elevation no higher than elevation -130.0 feet.
3. From Station 122+00.01 -L- to Station 144+00.00 -L-, provide drilled pier or driven pile foundations that terminate at an elevation no higher than elevation -135.0 feet.
4. From Station 144+00.01 -L- to Station 147+26.00 -L-, provide drilled pier or driven pile foundations that terminate at an elevation no higher than elevation -95.0 feet.

### Required Driving Resistance and PDA Testing for Piles

Develop Required Driving Resistance to account for reduction in nominal pile bearing capacity due to scour. Reduction in nominal pile bearing capacity due to scour shall be considered for both within the scour zone due to removal of material from around the pile and along the remaining pile embedment due to reduction of effective vertical stress as overlying soils are removed during scour. Reduction of effective vertical stress shall account for loss of soil down to the General Scour Elevation and loss of soil within the local scour zone. Do not account for stress history effects when calculating pile capacity after scour occurs.

Required Driving Resistance ( $R_{ndr}$ ) shall be calculated from PDA tests as follows:

1. Measure and report the existing ground surface elevation at the time of the PDA test.
2. Review the PDA/CAPWAP results and note the total skin resistance provided along the entire pile length ( $Q_{skin-installation}$ , kips) and the unit skin resistance values ( $q_{skin-installation}$ , ksf) from the **Final** Design Scour Elevation to the installed pile tip for individual soil layers as subsurface conditions dictate.
3. Calculate the effective vertical stress at the time of PDA testing ( $\sigma'_{v-installation}$ , ksf) at the midpoint of the layers from the **Final** Design Scour Elevation to the installed pile tip as determined in Step 2. The existing vertical stress at the midpoint of these layers shall be calculated based on the ground surface elevation at the time of the PDA test.
4. Use the  $q_{skin-installation}$  and the  $\sigma'_{v-installation}$  values determined above to calculate the  $\beta$  value in the  $\beta$  Method equation for each layer from the **Final** Design Scour Elevation to the installed pile tip as determined in Step 2:

$$q_{skin-installation} = \beta \times \sigma'_{v-installation}$$

Side resistance coefficient  $\beta$  represents the soil/pile interface properties within each selected layer below the Final Design Scour Elevation at the time the PDA test was performed. The calculated  $\beta$  factors shall be held constant and used as the ground surface is lowered due to scour to calculate new long-term unit skin resistance values with the reduced effective vertical stress.

5. Calculate the reduced effective vertical stress under design scour conditions ( $\sigma'_{v-scour}$ , ksf) at the midpoint of each layer from the Final Design Scour Elevation to the installed pile tip as determined in Step 2 using the General Scour Elevation and modeling a 2:1 (H:V) local scour hole extending from the General Scour Elevation to the Final Design Scour Elevation. Include stress distribution of soil loss within local scour hole when calculating effective vertical stress below the local scour hole.
6. Multiply the reduced effective vertical stress ( $\sigma'_{v-scour}$ ) at the midpoint of each layer from the Final Design Scour Elevation to the installed pile tip as determined in Step 2 by its  $\beta$  factor calculated in Step 4 to obtain a reduced unit skin resistance ( $q_{skin-long\ term}$ ) value of each layer below Final Design Scour Elevation for the design scour condition.
7. Multiply each layers'  $q_{skin-long\ term}$  value by the pile perimeter and layer thickness to calculate the total long-term skin resistance ( $Q_{skin-long\ term}$ , kips) available under the full design scour condition.
8. Subtract the calculated long term skin resistance ( $Q_{skin-long\ term}$ , kips) from the total CAPWAP skin resistance measured at the time of pile installation ( $Q_{skin-installation}$ , kips). This difference is the Unfactored Scour Resistance to be used in the required driving resistance ( $R_{ndr}$ ) equation below.
9. Calculate the Required Driving Resistance,  $R_{ndr}$  as indicated below:

$$R_{ndr} = \frac{\text{Factored Axial Resistance} + \text{Factored Pile Dead Load}}{\text{Dynamic Resistance Factor}} + \frac{\text{Unfactored Scour Resistance}}{1.0}$$

The total measured resistance (skin + tip) from the PDA/CAPWAP analysis must equal or exceed the calculated  $R_{ndr}$  value. The pile driving criteria shall provide a required set-up time to achieve this calculated  $R_{ndr}$  value.

Perform PDA testing and subsequent  $R_{ndr}$  calculations on at least 35% of piles, but no less than two per bent, in each interior bent. For all interior bents, use the highest  $R_{ndr}$  calculated from PDA piles in a given bent as the  $R_{ndr}$  to verify bearing capacity of remaining piles without PDA tests within that bent.  $R_{ndr}$  calculated from initial drive condition PDAs shall only be used to verify bearing on piles without PDA tests during initial drive on the non-PDA tested piles.  $R_{ndr}$  calculated from restrike condition PDAs shall only be used to verify bearing on piles without PDA tests during restrike conditions on the non-PDA tested piles. Waiting times after initial pile installation to verify restrike condition  $R_{ndr}$  on non-

PDA tested piles shall match pile wait times used for restrike PDAs within that bent. Pile installation procedures for piles without PDA tests shall be consistent with those used on PDA test piles within that bent.

### Resistance Factors

For dynamic pile analysis, The Design-Build Team may use a resistance factor of 0.8 for any for driven piles within 1,000 feet of a static load test pile tested and accepted in accordance with this scope of work. For piles further than 1,000 feet from an accepted static load test, the Design-Build Team shall use resistance factors as outlined in the NCDOT *LRFD Driven Pile Foundation Design Policy*.

For drilled piers, the Design-Build Team may use a resistance factor of 0.7 for piers within 1,000 feet of a static load test drilled pier tested and accepted in accordance with this scope of work. For drilled piers further than 1,000 feet from an accepted static load test, the Design-Build Team shall design drilled piers in accordance with the procedures and resistance factors for piers without load testing as described in the latest version of AASHTO LRFD Bridge Design Specifications.

### Pile Driving Stresses and Equipment

Limit pile driving compressive stresses for prestressed concrete piles with solid pile heads in accordance AASHTO *LRFD Bridge Design Specifications* for all stages of pile driving.

For all stages of pile driving, limit pile driving compressive stresses for prestressed concrete cylinder piles or square prestressed concrete piles with voided pile heads to:

$$\sigma_{dr} = \phi_{da}(0.66f'_c - f_{pe})$$

Where:

$\sigma_{dr}$  = driving stress in concrete (ksi)

$\phi_{da}$  = 1.00 (AASHTO LRFD 5.5.4.2 and Table 10.5.5.2.3-1)

$f'_c$  = compressive strength of the concrete (ksi)

$f_{pe}$  = effective prestressing stress in concrete (ksi)

For all prestressed concrete piles, limit tensile driving stress during all stages of pile driving in accordance with AASHTO *LRFD Bridge Design Specifications* and NCDOT *LRFD Driven Pile Foundation Design Policy* for Severe Corrosive Environments.

Use pile cushions that match the pile head cross-section shape. Do not cover pile head voids with pile cushions. To prevent damaging water or air pressure from

developing inside voided piles during driving, provide adequate pile venting to the outside atmosphere out of the side or top of the pile. The aforementioned venting shall remain in place and clear from obstruction after the pile is placed into the footing or cap.

Include detailed discussion in the Technical Proposal and Technical Presentation on means and methods that will be used to maintain pile driving stresses below prescribed limits. If using a diesel hammer, include discussion on means and methods to limit driving stresses to prescribed stress limits during initial starting of hammer. Adjust pile installation means and methods as necessary during construction to limit driving stresses to prescribed stress limits. Hydraulic hammers shall have a stroke control precision of at least six inches.

Throughout the driving operation, pile driving leads that align the pile and the hammer in proper positions shall be used. Pile driving leads shall be either fixed or swinging type. Swinging type leads shall be adequately embedded in the ground or secured to the pile template during pile driving or pile restriking. Pile driving leads shall be constructed in a manner that affords freedom of movement of the hammer in line with the pile, while maintaining alignment of the hammer and the pile during pile driving or pile restriking. The pile driving leads and pile template shall be designed to permit proper alignment of battered piles, when applicable.

### **Demonstration Test Pile Program**

If piles are proposed for interior bent foundation elements, the Design-Build Team shall install a minimum of four demonstration test piles typical of the main bridge piles prior to beginning production pile installation. Install at least two demonstration test piles between Station 23+00 -L- and Station 25+00 -L- and at least two demonstration test piles between Station 137+00 -L- and Station 139+00 -L-.

The demonstration test pile program shall not be performed on production foundation elements. However, test piles for the demonstration test pile program shall be the same type (material, diameter, approximate length, installation method, etc.) as the main bridge production piles. Any foundations or foundation elements used for the demonstration test pile program must be removed to the greatest extent practicable and in accordance with all permit requirements. Submit plan sheets and / or shop drawings and concrete mix designs for fabrication of demonstration piles four weeks prior to fabrication of demonstration piles for review and acceptance. Submit demonstration test pile installation procedures, locations, and schedules to the NCDOT Design-Build Unit and the Geotechnical Engineering Unit a minimum of four weeks prior to initiating the demonstration test pile program for review and acceptance. All results from the demonstration test pile program shall be transmitted to the NCDOT Design-Build Unit and the Geotechnical Engineering Unit prior to beginning production pile installation.

Demonstration test pile locations shall be within 30 feet of a boring that extends to at least four pile diameters below the proposed pile tip elevation. Perform new borings at proposed demonstration test pile locations if no existing borings of the required depth are within 30 feet of proposed pile locations.

Test piles shall be installed in the manner to be utilized on the main bridge production piles. Perform Pile Driving Analyzer (PDA) testing on test piles. At a minimum, perform a PDA testing on each demonstration test pile at the end of initial drive, at the beginning of restrikes at four hours, 24 hours, three days, and seven days after the end of initial drive, and immediately after static load testing if electing to perform static load testing.

### **Static Load Testing**

If electing to perform a static load test on piles, wait at least seven days after installing test piles to perform static load tests. The axial compressive load test shall be conducted pursuant to ASTM D-1143 Quick Test (Loading procedure A). The axial compressive load test shall be performed to failure, which is defined as axial movement equivalent to a distance of 5% of the pile diameter or more at the top of the pile. Load test piles shall be constructed pursuant to the methodology proposed for the production piles.

If electing to perform a static load test on drilled piers, load test drilled piers shall be constructed pursuant to the methodology proposed for the production drilled piers. The Design-Build Team shall conduct Sonic Caliper Testing (“SCT”) on each test drilled pier in accordance with the SCT special provision. Drilled pier axial compressive load tests shall be conducted pursuant to ASTM D-1143 Quick Test (Loading procedure A). In lieu of ASTM axial compressive load tests, bi-directional load tests may be performed on drilled piers in accordance with the procedures specified in Chapter 18 of the Federal Highway Administration manual on “Drilled Shafts: Construction Procedures and LRFD Design Methods” (Report No. FHWA\_NHI-10-016, dated May 2010). The axial compressive load tests shall be performed to failure, which is defined as axial movement equivalent to a distance of 5% of the drilled pier diameter or more at the top of the drilled pier. As overlaying soils are removed during scour, adjust drilled pier load test results to account for a reduction in nominal pier skin friction bearing capacity resulting from a reduction of effective vertical stress. The reduction of effective vertical stress shall account for loss of soil down to the General Scour Elevation and loss of soil within the local scour zone. Do not account for stress history effects when calculating drilled pier capacity after scour occurs.

## **B. Roadway Foundations**

Design all proposed unreinforced cut and fill slopes for a slope of 3:1 (H:V) or flatter excluding temporary slopes and bridge end bent slopes (Reference Section A – Structure Foundations).

All proposed reinforced soil slopes shall be designed with adequate reinforcement to provide the required stability. Submit detailed design calculations and slope stability analysis for any slopes steeper than 3:1 (H:V) to the NCDOT Geotechnical Engineering Unit, via the Design-Build Unit, for review and acceptance prior to construction.

All proposed slopes steeper than 3:1 (H:V) shall be rock plated using Class 2 Rip Rap. Safe pedestrian passage shall be accommodated in the design of any rock plated fill slopes in areas where pedestrian crossing may be expected. If reinforced slopes are used, provide ample room between the toe of the slope and the edge of easement to ensure that future maintenance or repair work can be performed from within the easement.

Design and construct embankments such that no more than one inch of settlement will occur after the waiting period or monitoring ends or embankment fill is constructed to subgrade elevation. Embankment settlement monitoring shall be required for locations when a total settlement of more than four (4) inches is calculated. Where computed settlement is greater than four (4) inches, monitor settlement across the width of the embankment at maximum spacing interval of 100 feet by settlement gauges or other approved methods. Submit documentation describing the method and procedures of settlement monitoring to the Geotechnical Engineering Unit, via the Design-Build Unit, for review and acceptance prior to construction of the embankment. Embankment waiting periods shall not be ended until less than one (1) inch of the anticipated settlement remains and less than 0.10 inch of settlement is measured over a period of four weeks. Do not drive piles or construct end bent caps until after approach embankment waiting periods are complete.

Soil improvement techniques to mitigate long term settlement problems or to transfer embankment load to a deeper bearing stratum are allowed. Soil improvement techniques shall 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*.

Undercut all unsuitable or unstable soils to the extent that is required to assure the stability of embankments or subgrades. Undercut unsuitable soils to a minimum depth of three feet below subgrade.

Reinforced bridge approach fills in accordance with the NCDOT standard are required for end bents.

### C. Permanent Retaining Wall Structures

The Department has coordinated with the North Carolina Division of Coastal Management (DCM) about the use of retaining walls for previous portions of this project. The DCM has determined that small retaining walls are not in conflict with the Coastal Area Management Act (CAMA), Chapter 7 of the North Carolina Administrative Code (NCAC), and the State Dredge and Fill Law.

Permanent retaining walls may only be used at each approach embankment and end bent. The requirements for permanent retaining walls specified in this scope of work are not applicable to end bent backwalls and associated wingwalls. If retaining walls are used, provide ample room between the wall and the edge of easement to ensure that future maintenance or repair work can be performed from within the easement.

For retaining walls, use a wall Design Scour Elevation no higher than Elevation -4.0 feet.

Design and construct permanent retaining walls as prestressed concrete sheet pile walls in accordance with the applicable NCDOT Special Provisions and policies. For each retaining wall submit a wall layout and design. The wall layout submittal must 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)

Submit global stability calculations for slopes at retaining walls and obtain acceptance from the NCDOT Geotechnical Engineering Unit prior to construction. Slopes behind walls shall be 3:1 (H:V) or flatter.

Sags in the top of walls are not permissible. Direct runoff above and below walls away from walls, if possible.

Precast or cast-in-place coping shall be required for walls with the exception of when a barrier is integrated into the top of the wall.

#### **D. Temporary Structures**

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

Traffic Control barrier on top of walls shall be in accordance with the NCDOT Work Zone Traffic Control Unit details available upon request by the Design-Build Team. If anchored barrier is required, then anchor the barrier in accordance with NCDOT 2012 Roadway Standard Drawing No. 1170.01.

### **III. CONSTRUCTION REQUIREMENTS**

All construction and materials shall be in accordance with the 2012 *Standard Specifications for Roads and Structures* and current NCDOT *Project Special Provisions* unless stated otherwise elsewhere in this scope of work. The Design-Build Team shall investigate, propose and incorporate remedial measures for any construction problems related to the following:

- Foundations
- Retaining walls
- Subgrades
- Settlement
- Slopes
- Construction vibrations

The NCDOT Geotechnical Engineering Unit shall review and accept these proposals prior to incorporation.

The Design-Build Team shall be responsible for any damage and / or claim caused by construction, including but not limited to damage caused by vibration (see Article 107-14 2012 *Standard Specifications for Roads and Structures*) and siltation or draining of ponds off the right of way. 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. At a minimum, the Design-Build Team shall perform pond preconstruction condition assessments as outlined in the NCDOT Geotechnical Engineering Unit *Guidelines and Procedures Manual for Subsurface Investigations*.

The prequalified geotechnical firm that prepared the foundation designs shall review the settlement monitoring data a minimum of once a month and issue a letter prior to releasing the embankment or approach fill from monitoring. Monitoring may not be ended until less than 0.10 inch of settlement is measured over a period of four weeks.



Submit the settlement monitoring data to the Geotechnical Engineering Unit for review and acceptance prior to issuing the release letter.

The prequalified geotechnical firm that prepared the foundation designs shall review and approve all pile driving hammers and drilled pier construction sequences. After the prequalified geotechnical firm has approved these submittals, the Design-Build Team shall submit to the Geotechnical Engineering Unit for review and acceptance prior to beginning construction.

The prequalified geotechnical firm that prepared the original foundation designs shall perform any changes to the foundation designs. All changes shall be based upon additional information, subsurface investigation and / or testing. 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 NCDOT for review and acceptance prior to beginning construction.

Perform hammer approvals with GRLWEAP Version 2010 or later and in accordance with the NCDOT LRFD Driven Pile Foundation Design Policy. On a per bent basis, the foundation design firm shall develop pile driving inspection charts or tables based upon Pile Driving Analyzer (PDA) testing and CAPWAP analysis, for acceptance by the NCDOT prior to driving the remaining non-PDA tested piles within that bent.

Construct piles in accordance with Section 450 of the 2012 *Standard Specifications for Roads and Structures*. Verify required driving resistance on all piles with an impact hammer. Perform Pile Driving Analyzer (PDA) testing using a NCDOT prequalified company to develop pile driving inspection charts or tables. Provide additional PDA testing for any revisions to pile type, size or hammer previously approved. Perform PDA tests in accordance with ASTM D 4945-89, Standard Test Method for High Strain Dynamic Testing of Piles and this scope of work.

Analyze data with the Case Pile Wave Analysis Program (CAPWAP), version 2006 or later. At a minimum, analysis is required for a hammer blow near the end of initial drive and for each restrike and redrive. Additional CAPWAP analysis shall be required as determined by the Engineer.

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 at 919-707-6850. Submit a complete PDA report to the foundation design firm. The foundation design firm shall develop pile driving inspection charts or tables for acceptance by the NCDOT prior to pile installation.

The Design-Build Team shall minimize jetting impacts to wetlands and submerged aquatic vegetation as required by all applicable environmental permits. The Design-Build Team shall follow all permit requirements when jetting for pile installation. The Design-Build Team shall contain and dispose of all jetting spoils as required by all applicable

environmental permits. Re-verify bearing on previously accepted piles if jetting occurs within 15 feet or five pile diameters, whichever is greater, of the previously accepted pile. The aforementioned distances shall be measured center to center at the mud line.

For drilled piers, the following additional requirements shall apply:

1. Use current NCDOT inspection forms for drilled piers available on the NCDOT Geotechnical Engineering Unit's webpage. Construct and inspect drilled piers in accordance with Section 411 of the 2012 *Standard Specifications for Roads and Structures* and the *Drilled Piers* Project Special Provision found elsewhere in this RFP.
2. Using the Shaft Inspection Device (SID), the Department will inspect a minimum of 25% of drilled piers at each bent; but no less than one per bent.
3. The Design-Build Team shall notify Sam Lawhorn by e-mail (sclawhorn@ncdot.gov) a minimum of five days prior to required SID testing, followed by a confirmation two days prior to required SID testing. The Design-Build Team shall notify Sam Lawhorn of all SID testing cancellations as soon as possible at the e-mail address noted above and at (919) 329-4200.
4. Install Crosshole Sonic Logging (CSL) tubes in all drilled piers. CSL test a minimum of 25% of drilled piers at each bridge or one per bent, whichever is greater. If a CSL test identifies any defect in the drilled pier, the Department has the right to request additional CSL testing as needed. The Department will determine which piers will be CSL tested. Submit CSL test information and results to the Geotechnical Engineering Unit, via the Design-Build Unit, for review and acceptance.
5. Drilled pier tip elevations shall not be changed during construction unless the prequalified geotechnical firm that prepared the bridge foundation design redesigns the drilled pier from either an SPT / rock core boring, performed 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 any inspection forms related to foundations, settlement or retaining walls to the NCDOT Geotechnical Engineering Unit for review.

**HYDRAULICS SCOPE OF WORK** (5-16-16)**Project Details**

- The Design-Build Team shall employ a private engineering firm to perform hydraulic design for all work required under this contract. The private engineering firm must be prequalified for Tier II hydraulic design work under the Department's normal prequalification procedures prior to the Technical Proposal submittal date.
- The Design-Build Team shall hold a pre-design meeting with the Design-Build Unit and Hydraulic Review Engineer upon acceptance of the Preliminary Roadway Plans developed by the Design-Build Team.
- The Design-Build Team shall design all storm drainage systems using Geopak Drainage.
- If appropriate for the drainage area, the Design-Build Team shall use the USGS Scientific Investigations Report 2014-5030 (*Methods for Estimating the Magnitude and Frequency of Floods for Urban and Small, Rural Streams in Georgia, South Carolina and North Carolina, 2011*) for determining storm discharges, in lieu of the USGS Water-Resources Investigations Report 96-4084 (*Estimation of Flood-Frequency Characteristics of Small Urban Streams in North Carolina*).
- In accordance with the Hydraulic Guidelines noted below, the Design-Build Team shall provide a Bridge Survey Report for the Department's review and acceptance.
- For shoulder facilities, including those with expressway gutter and shoulder berm gutter, the hydraulic spread shall not encroach into a permanent travel lane or encroach more than two feet into an operational temporary travel lane.
- The Design-Build Team shall analyze spread for the bridge identified in the Structures Scope of Work found elsewhere in this RFP and, as necessary, provide mitigation that eliminates spread in a travel lane during a four-inch per hour storm event. If required, the Design-Build Team shall design bridge drainage without the use of Bridge Scuppers (open-grated inlets). If deck drains are used, they shall be six-inch vertical pipes at the flow line through the deck with no elbow and shall be consistent with that shown in the current NCDOT Stormwater Best Management Practices Toolbox. Deck drains will not be allowed at an elevation lower than 14.0 mean sea level, as measured from the low chord elevation or bottom of the deck drain, whichever is lower.
- In accordance with the Hydraulic Guidelines noted below, the Design-Build Team shall prepare Outlet Analyses for increases in discharge and take appropriate action to ensure that any increases are appropriately mitigated.
- Unless noted otherwise elsewhere in this RFP, the Design-Build Team shall remove or fill with flowable fill all pipes not retained for drainage purposes.

- Throughout the project limits, the Design-Build Team shall analyze all existing pipes within the existing / proposed right of way for hydraulic and structural deficiencies. Based on these analyses, the following shall be adhered to:
  - The Design-Build Team shall provide the appropriate hydraulic mitigation for all hydraulically deficient pipes; and for all hydraulically and structurally deficient pipes, including but not limited to replacement. The Design-Build Team shall identify all hydraulically deficient pipes and their proposed hydraulic mitigation in the Technical Proposal.
  - To ensure that all cross pipes retained for drainage purposes are structurally sound, the Design-Build Team shall provide appropriate documentation obtained from video inspections for the Department's review and approval prior to any hydraulic design submittal. Prior to performing any storm drain clean-out required for the aforementioned video inspections, the Design-build Team shall obtain approval from the Engineer. In accordance with Subarticle 104-8(A) of the 2012 *Standard Specifications for Roads and Structures*, required storm drain clean-out for video inspections will be paid for as extra work.
  - As directed by the Engineer, the Design-Build Team shall provide the appropriate structural mitigation for all structurally deficient pipes. Structural mitigation, for structural deficiencies in pipes, including but not limited to all repairs, will be paid for as extra work in accordance with Subarticle 104-8(A) of the 2012 *Standard Specifications for Roads and Structures*.
- In accordance with FHWA's publications HEC-18 (Evaluating Scour at Bridges) and HEC-25 (Highways in the Coastal Environment), the Design-Build Team shall perform scour analyses. If vertical abutments are proposed, the Design-Build Team shall provide abutment scour calculations, in accordance with HEC-18, for the Department's review and acceptance. The Design-Build Team shall perform scour analyses for the proposed final bridge design for the 100-year storm. Data from the *May 2016 Pea Island Bridge Hydraulics Report* and Addendum to the *May 2016 Pea Island Bridge Hydraulics Report*, provided by the Department may be used to develop the scour analyses. If the Design-Build Team elects to use the *May 2016 Pea Island Bridge Hydraulics Report* and Addendum to the *May 2016 Pea Island Bridge Hydraulics Report*, the Design-Build Team will not be required to perform additional two-dimensional (2D) flow modeling. If the Design-Build Team does not use the *May 2016 Pea Island Bridge Hydraulics Report* and Addendum to the *May 2016 Pea Island Bridge Hydraulics Report*, the Design-Build Team 1) shall develop a new 2D Flow Model for the Pamlico Sound to determine scour velocities using the design breach configuration process defined in Section 3.5 of the *May 2016 Pea Island Bridge Hydraulics Report*, and 2) must be experienced in two-dimensional (2D) flow modeling. At a minimum, the 2D Flow Model shall include the following:
  - Cross-sections, soundings, etc.
  - Water velocities and elevation survey for 2D Flow Model calibration info

- Field reconnaissance and supplemental surveys
- Boundary condition determination
- 2D Flow Model to determine velocities for bridge scour calculations and vessel impact
- Analyses that investigate not only the magnitude of flow velocities but also the likely flow directions and their effects on scour and vessel impact
- Report of facts, findings and conclusion of the 2D Flow Model

The Design-Build Team shall indicate if they will develop a new 2D Flow Model in the Technical Proposal. If the Design-Build Team elects to develop a new 2D Flow Model, the Design-Build Team shall also indicate previous relative two-dimensional (2D) flow modeling experience in the Technical Proposal.

- In accordance with the NCDOT Stormwater Best Management Practices Toolbox and the NCDOT Post-Construction Stormwater Program effective on the Technical Proposal submittal date, the Design-Build Team shall develop a Stormwater Management Plan that, at a minimum, demonstrates the following:
  - To the maximum extent practicable, stormwater runoff shall be diverted away from surface waters.
  - To the maximum extent practicable, on-site stormwater control measures identified in the most current NCDOT BMP Toolbox shall be employed to minimize water quality impacts.
- The Design-Build Team shall provide permit drawings, calculations and impact summary sheets for USACE 404 Permit, the NCDWR Section 401 Certification, and the NCDCM CAMA permit.
- The Design-Build Team shall conduct an interagency hydraulic design review meeting and an interagency permit impacts meeting prior to submittal of the environmental permit applications. These meetings shall adhere to the Concurrence Point 4B and Concurrence Point 4C requirements of the Merger Process. (Reference the Environmental Permits Scope of Work found elsewhere in this RFP.) All work resulting from the hydraulic design and permit review meetings shall be the Design-Build Team's responsibility. The Design-Build Team shall provide hydraulic plans and permit impact sheets to the Design-Build Unit a minimum of five weeks prior to the appropriate interagency meeting. The Design-Build Team shall take minutes of the interagency meetings and provide them to the Department within three business days of the aforementioned meetings.
- The Design-Build Team shall demonstrate that the hydraulic design treats stormwater from the bridge to the maximum extent practicable and is in accordance with the NCDOT Stormwater Best Management Practices Toolbox. The aforementioned demonstration shall occur with the appropriate NCDOT and environmental agency personnel at or before the interagency hydraulic design review meeting referenced above

- In shallow areas where submerged aquatic vegetation habitat is present and / or in intertidal marsh areas, the Design-Build Team shall use work bridges for the movement of all construction equipment. Barges will only be allowed in areas where the water depth is deep enough to float barges without dredging or dragging. (Reference the *Revised B-2500B Phase IIb EA Project Commitments*)
- The Design-Build Team shall use a minimum ditch grade of 0.3% and avoid using ditches in wetlands.
- At a minimum, the Design-Build Team shall install traffic bearing drop inlets with steel frames and flat steel grates at the following locations:
  - Within a temporary and / or permanent travel lane
  - Within four feet of a temporary and / or permanent travel lane

### General

- The Design-Build Team's 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, NCDOT Stormwater Best Management Practices Toolbox, NCDOT Post-Construction Stormwater Program, and the North Carolina Division of Highways Hydraulics Unit website noted below:

**<https://connect.ncdot.gov/resources/hydro/pages/default.aspx>**

- In the Pamlico Sound, the Design-Build Team shall use a water surface datum in accordance with the website noted below:

**<https://tidesandcurrents.noaa.gov/datums.html?id=8653215>**

**ENVIRONMENTAL PERMITS SCOPE OF WORK** (5-12-16)**General**

The Design-Build Team shall be responsible for preparing all documents necessary for the Department to obtain the environmental permits required for the project construction. Permit applications shall be required for the: US Coast Guard authorization (Advance Approval or Permit), US Army Corps of Engineers (USACE) Section 404 Permit, the NC Department of Environmental Quality (DEQ), Division of Water Resources (DWR) Section 401 Water Quality Certification, and Division of Coastal Management (DCM) Coastal Area Management Act (CAMA) Major Development Permit and Dredge and Fill Permit.

Unless allowed otherwise elsewhere in this RFP, the Design-Build Team shall not begin ground-disturbing activities, including utility relocation in jurisdictional areas until the environmental permits have been issued.

Outside the Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore properties, the Design-Build Team may perform geotechnical investigative borings covered under a Nationwide Permit No. 6 prior to obtaining the environmental permits provided (1) the Design-Build Team coordinates with the Design-Build Unit to determine if a Preconstruction Notification (PCN) is required for the Nationwide Permit No. 6 and (2) if a PCN is required, the Design-Build Team shall submit all necessary documents and forms to the Design-Build Unit for submittal to the appropriate agencies and shall not perform any geotechnical investigative work within the jurisdictional resource(s) requiring a PCN prior to obtaining the required approval. If a PCN is not required, the Design-Build Team may proceed with geotechnical investigations inside and outside jurisdictional resources, provided all of the Nationwide Permit No. 6 General Conditions are adhered to, and the Division of Coastal Management approval has been obtained.

Outside the Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore properties, the Design-Build Team may begin utility relocation work prior to obtaining the aforementioned permits provided that (1) the Department is notified in writing prior to these activities; (2) such activities are outside jurisdictional resources; (3) a meeting is held with the NCDOT and permitting agencies prior to beginning work, if necessary; and (4) the Division of Coastal Management approval has been obtained.

Within the Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore properties, the Design-Build Team shall not begin any ground-disturbing activities, including but not limited to geotechnical investigative borings or utility relocation until the Special Use Permits have been issued. The Design-Build Team shall prepare all documents and forms necessary for the Department to obtain the US Fish and Wildlife Service and the National Park Service (NPS) Special Use Permits (SUP) for impacts to the Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore properties; and submit them to the Design-Build Unit. (Reference the Roadway Scope of Work found elsewhere in this RFP) As part of the NPS SUP the Design-Build Team shall abide by all the terms and conditions of the latest annual NPS Hurricane Plan and follow all directives issued by the NPS Incident Command. The Design-Build Team shall also coordinate with the Design-Build Unit to determine if a Preconstruction

Notification is required for the Nationwide Permit No. 6. If a PCN is required, the Design-Build Team shall submit all necessary documents and forms to the Design-Build Unit for submittal to the appropriate agencies and shall not perform any geotechnical investigative work within the jurisdictional resource(s) requiring a PCN prior to obtaining the required approval. If a PCN is not required, the Design-Build Team may proceed with geotechnical investigations inside and outside jurisdictional resources, provided all of the Nationwide Permit No. 6 General Conditions are adhered to, the Division of Coastal Management approval has been obtained, and the necessary Special Use Permits have been secured.

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 Natural Environment Section (NES) - Environment Coordination and Permitting Group (ECAP), the Department's NES – Biological Surveys Group (BSG), or the Division's Environmental Officer present. A representative from the Design-Build Unit shall be included on all correspondence.

Prior to the Technical and Price Proposal submittal date, the Department will arrange individual meetings with representatives of the permitting agencies and each short-listed team. The discussions and answers provided at these meetings shall not be contractually binding, but will offer the Design-Build Team an opportunity to inquire on the permitting process, as well as specific Design-Build Team concepts.

The Department has reached Concurrence Point 4A in the Merger Process used by the environmental agencies and the Department to obtain environmental permits for projects. The Design-Build Team shall participate and present information for Concurrence Points 4B and 4C that are necessary to complete the Merger Process. In addition, prior to the 4B meeting, the Design-Build Team shall participate and present information in a Pre-4B meeting with the environmental agencies. During this Pre-4B meeting, the Design-Build Team shall present and discuss the Technical Proposal design and associated anticipated impacts.

Prior to the Concurrence Point 4B Meeting, the Design-Build Team shall meet with representatives from the Department, FHWA, State Historic Preservation Office (SHPO), US Fish and Wildlife Service, and the National Park Service to provide an opportunity to review and comment on the plans and specifications for the parapet and bridge rail, per stipulation II.A of the signed Section 106 Programmatic Agreement (contained within the B-2500 ROD). The Design-Build Team shall contact the Design-Build Unit to schedule this review meeting.

Around the time of, but prior to the Concurrence Point 4C meeting, the Design-Build Team shall meet with NCDOT personnel, field representatives from the Division of Coastal Management and other interested agencies, to review the project and project commitments. Around this same time, key members of the Design-Build Team and NCDOT personnel shall also meet with the US Fish and Wildlife Service to receive education on the effects artificial lighting and construction activities can have on nearby wildlife habitat and behavior. In addition, the Design-Build Team and NCDOT personnel shall attend meetings with the National Park Service and the US Fish and Wildlife Service to address any necessary Special Use Permit application



requirements and expectations, and to address permit conditions. Every effort shall be made to have this meeting prior to submitting the permit application. The Design-Build Team shall contact PDEA-NES in order to schedule these field reviews.

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 will not allow any contract time extensions or compensation associated with this additional coordination. The Design-Build Team shall follow the appropriate details in the document titled *Section 404 / NEPA Merger Process Information* which can be found on the website noted below:

**<https://connect.ncdot.gov/resources/Environmental/Compliance%20Guides%20and%20Procedures/Section404NEPAMergerProcessInformation.pdf>**

Unless stipulated otherwise in the Technical Proposal, the Department will schedule the pre-4B, 4B and 4C meetings for **November** 2016, March 2017 and June 2017, 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 these dates shall place all responsibility for delays resulting from missing these dates solely in the hands of the Design-Build Team.

Unless noted otherwise elsewhere in this RFP, 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 necessary to provide permit compliance.

Unless noted otherwise elsewhere in this RFP, the Department will not honor any requests for additional contract time or compensation for any efforts required in order to obtain any permit or permit modification, including but not limited to public involvement, additional design effort, additional construction effort and / or additional environmental agency coordination and approvals.

### **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 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, **including but not limited to CAMA Areas of Environmental Concern impacts**, Pea Island National Wildlife Refuge impacts and National Park Service impacts. The permit applications shall include all utility relocations required by the project. At a minimum, the permit application shall consist of the following:

- Cover Letter
- Minutes from the 4B and 4C meetings
- Permit drawings (with and without contours)
- Wetland Permit Impact Summary Sheets
- Half-size plans
- Completed forms (USCG, CAMA, PCN, ENG 4345, SUP, etc.) appropriate for impacts
- Division of Mitigation Acceptance Letter
- Mitigation Plan (if required by the Design-Build Team's design and / or construction methods)
- Adjacent riparian landowner letters

The Department will 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 Department will provide preliminary mapping or aerial photography depicting areas of approximately six-foot water depth in which Submerged Aquatic Vegetation (SAV) is likely to be found. The Department will be responsible for any additional SAV surveys or ground-truthing that may be required prior to submittal of the permit application. The SAV limits will be verified by the environmental agencies and provided to the Design-Build Team for incorporation into the permit applications.

Depending on the Design-Build Team's final alignment and / or approach to construction staging and access, a revised Section 7 Consultation may be necessary. The Design-Build Team shall be responsible for assembling all pertinent information required for determining the need for a re-initiation of the Section 7 Consultation, and if applicable, the Section 7 Consultation. In addition, the Design-Build Team shall draft and submit a letter to the Design-Build Unit for the Project Development & Environmental Analysis Unit's (PDEA) review and FHWA's signature, requesting concurrence from the US Fish and Wildlife Service (USFWS) and the National Marine Fisheries Service, as necessary, to document compliance with Section 7 of the Endangered Species Act for those species requiring such concurrence. (For other endangered or threatened species guidelines / requirements, that shall be adhered to, reference the B-2500 ROD, the B-2500A ROD, the B-2500B Phase IIb Environmental Assessment, the Revised B-2500B Phase IIb Environmental Assessment, the B-2500B Phase IIb ROD when issued, the Biological and Conference Opinions and subsequent amendments, as well as other documentation from the US Fish and Wildlife Service and the National Marine Fisheries Service relating to Section 7 of the Endangered Species Act.)

The Design-Build Team shall submit one permit application package 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.

Direct coordination among the Design-Build Team, the Design-Build Unit, Resident Engineer, Division Environmental Officer (DEO) and the Project Development and Environmental

Analysis Unit - Natural Environment Section (PDEA-NES) 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 Design-Build Unit, Resident Engineer, DEO, Hydraulics Unit and PDEA-NES for review and approval. After all revisions are complete, the Department will subsequently forward the package to the appropriate agencies.

Any temporary construction measures, including de-watering, construction access, etc. shall be addressed in the permit applications. Impacts that result from so-called temporary measures may not be judged to be temporary impacts by the environmental agencies. These issues shall be addressed and reviewed by PDEA-NES prior to the 4B and 4C meetings and resolved with the environmental agencies during the aforementioned meetings.

The Design-Build Team shall clearly indicate the location of, duration, and impacts of haul roads and utility relocations in jurisdictional areas. The Design-Build Team shall also identify all proposed borrow and waste sites. These details shall be included in the permit application. Further, the Design-Build Team shall describe the construction methods for all structures. The temporary impacts descriptions (haul roads, utility relocations, work bridges, etc.) shall include restoration plans, schedules, and disposal plans. The aforementioned information, descriptions and details shall be presented during the Pre-4B, 4B and 4C Meetings and be included in the permit application.

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. In accordance with the Division of Water Resources' NCG 010000, all fill material shall be 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.

Certified mail return receipts of notification to adjacent riparian landowners shall be required as part of the CAMA Major Development Permit and Dredge and Fill Permit application process.

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 hydraulic design shall be complete prior to the permit application.

### **Major Permit Timeframe**

The Design-Build Team should expect it to take up to 12 months to accurately and adequately complete all designs necessary for the permit application, submit the application to the Department, and obtain approval for the permits from the environmental agencies. Environmental agency review time will be approximately 120 days from receipt of a "complete" package. No requests for additional contract time or compensation will be allowed if the permits are obtained within this 12-month period. With the exception of location and survey work, utility relocations outside jurisdictional resources that adhere to the aforementioned requirements, geotechnical investigative borings that adhere to all the aforementioned

requirements, and permitted load test program work, 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 12-month period or beyond the 12-month period). 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 12-month period has been exceeded. If time were granted it would be only for that time exceeding the 12-month period. This 12-month period is considered to begin on the Date of Availability, as noted elsewhere in the RFP.

The Design-Build Team needs to be aware that the timeframes listed above for review by NCDOT-PDEA, US Coast Guard, National Park Service, US Fish and Wildlife Service, Division of Water Resources, Division of Coastal Management, and the US Army Corps of Engineers to review any permit applications begin only after a fully complete and 100% accurate submittal.

### **Notable Avoidance / Minimization Details**

The following details are highlighted:

**Submerged Aquatic Vegetation (SAV)** – All restrictions to work in SAV habitat areas shall apply equally to all levels (homogeneous, sparse, void, etc.) of SAV presence.

Work trestles installed to traverse SAV habitat shall be of an open-grated variety to maximize sunlight to the underlying vegetation.

**Dredging** - The Design-Build Team is encouraged to minimize dredging, especially during the spring. Pipeline or clamshell dredging shall be required for all dredging activities. Hopper dredges shall be prohibited. Dredging shall be prohibited in areas where SAV habitat is present [Reference 15A NCAC 03I.0101(4)(i) and 15A NCAC 07H.0208(b)(1)]. Disposal of dredged material shall be coordinated with the environmental agencies during the Merger Process and resolved prior to the permit application. Unless otherwise approved by the NCDOT and environmental agencies, barge access dredge spoils shall be deposited at new or existing dredge material islands. This requirement does not apply to material resulting from drilled shaft excavation or pile jetting. The Design-Build Team shall be responsible for all additional permits that may be required to create a new dredge material island. The National Park Service and US Fish and Wildlife Service will not allow the deposition of dredged materials, or a borrow pit, within their respective properties (Cape Hatteras National Seashore and Pea Island National Wildlife Refuge). Unless otherwise approved by the NCDOT and the environmental agencies, the maximum dredging depth shall be eight feet.

A moratorium on the disposal of dredged materials to the aforementioned islands is anticipated from April 1<sup>st</sup> to August 31<sup>st</sup> of each year. Exceptions to this moratorium may be allowed dependent upon nesting activities. The environmental agencies have stated

that this moratorium will likely be shortened depending upon the nesting activities occurring at the time. In addition, the Wildlife Resource Commission anticipates that there will be ample areas where nesting is not occurring such that disposal of dredged material can be placed in approved areas throughout the majority of the moratorium period. Technical and / or Price Proposals that rely upon exceptions to and / or shortening of the aforementioned moratorium, shall be solely at the Design-Build Team's risk. The Department will not honor any requests for a contract time extension or additional compensation if the Design-Build Team elects to assume in their Technical and / or Price Proposal that exceptions to and / or shorting of the moratorium will occur.

**Jetting** - Jetting of piles shall be done in such a manner as to minimize turbidity and to minimize damage to wetlands and SAVs from jetting and jetting spoils. It is preferred that jetting not be used for work bridge construction. If jetting is intended to be used, the permit application shall contain a detailed plan for minimizing disturbance and turbidity that temporarily and / or permanently results from jetting and / or jetting spoils. A discussion on the need for the jetting and a detailed plan for restoration of jurisdictional areas impacted by jetting and / or jetting spoils shall also be mentioned at the 4C meeting and included in the permit application.

**Haul Roads** - Haul roads shall not be placed in **intertidal marsh areas or within areas where SAV habitat is present in coastal wetlands.** Coordination of haul road location, placement, materials, and means to minimize erosion and equipment leakage shall be coordinated with the environmental agencies during the Merger Process.

**Noise Restrictions** – The Design-Build Team shall follow all local noise ordinances with the following exception. Unless allowed by the Engineer, in writing, pile strikes shall not occur between the hours of 9:00 p.m. and 8:00 a.m.

### **Mitigation Responsibilities of the Design-Build Team**

As required by the NEPA Process and the USACE / EPA Section 404 (b)(1) Guidelines, to offset potential wetland and stream impacts, the Department has reviewed the roadway project corridor for potential on-site mitigation opportunities. The Department will acquire compensatory mitigation for unavoidable impacts to wetlands, surface waters, and SAVs due to the project construction. The aforementioned mitigation amount will be based on the impacts identified in the B-2500B Phase IIb ROD when issued.

Any changes proposed by the Design-Build Team to any design or construction details provided by the Department shall be approved by the Department prior to being submitted to the environmental agencies for their approval.

Should additional jurisdictional impacts result from revised design and / or construction methods, suitable compensatory mitigation for wetlands, surface waters and / or SAV shall be the sole responsibility of the Design-Build Team. Therefore, it is important to note that additional mitigation shall be approved by the environmental agencies and such approval shall require, at a minimum, the preparation and approval of a Mitigation Plan before permit are

approved and before construction may commence. To mitigate for these additional jurisdictional impacts, the Design-Build Team shall be responsible for all costs associated with acquiring suitable mitigation. Construction of any on-site mitigation shall be performed by a contractor that has successfully constructed similar on-site mitigation. In the absence of suitable on-site mitigation, the Design-Build Team shall be responsible for acquiring additional mitigation. The Department will debit compensatory mitigation for the aforementioned additional wetland mitigation from the Bodie Island Lighthouse Pond Site and the Design-Build Team shall reimburse the Department for all additional wetland mitigation costs. The aforementioned reimbursement cost for additional suitable compensatory mitigation from the Bodie Island Lighthouse Pond site shall be at a unit price of \$43,786.75 per quarter acre of wetlands. At the Concurrence Point 4B meeting, the Design-Build Team shall identify all additional jurisdictional impacts anticipated beyond that outlined in the B-2500B Phase IIb ROD to be issued.

The Design-Build Team shall analyze all new areas to be impacted that have not been analyzed during the NEPA Process and any staging areas that are located outside the project right of way. 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, SAV, avoidance and minimization in jurisdictional areas, compensatory mitigation, FEMA compliance, CAMA consideration, and historical, archaeological, and cultural resources surveys in these areas. The environmental consultant shall obtain concurrence, through PDEA-NES, from the US Fish and Wildlife Service and the National Marine Fisheries Service to document compliance with Section 7 of the *Endangered Species Act* for those species requiring such concurrence. If additional staging areas are needed on land owned by the National Park Service and / or the US Fish and Wildlife Service, the Design-Build Team shall complete all NEPA documentation required by the National Park Service and / or the US Fish and Wildlife Service. In addition, the Design-Build Team shall identify additional mitigation required, identify the amount of time beyond the aforementioned 12-month period, and fulfill all other requirements that the environmental agencies impose to obtain the permit and / or modification. Any contract extensions resulting from additional environmental assessments required by the Design-Build Team's design and / or construction methods impacting areas outside those previously analyzed through the NEPA Process shall be solely at the Department's discretion.

### **Additional Commitments**

The NCDOT is committed to incorporating all reasonable and practicable design features to avoid and minimize wetlands, surface waters, CAMA Areas of Environmental Concern and SAV impacts, and to provide compensatory mitigation of remaining wetland and SAV impacts. Avoidance measures were taken during the planning and NEPA Process and minimization measures were incorporated as part of the preliminary design provided by the Department. The Design-Build Team shall incorporate these avoidance and minimization features, plus any minimization identified during the pre-4B, 4B and 4C Meetings, into the design and / or construction methods.

All work by the Design-Build Team must be accomplished in strict compliance with the plans submitted with the permit applications and in compliance with all conditions of the permits and certifications issued by the environmental 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 and certifications.

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 B-2500 ROD, the B-2500A ROD, the B-2500B Phase IIb ROD when issued, revised Final Section 4(f) Evaluation, Biological and Conference Opinions and subsequent amendments, all permits, interagency meetings, and site visits. The Design-Build Team will not be responsible for the commitments contained in the Section 106 Programmatic Agreement or Project Commitment Nos. 1, 6, 7, 24, 28, 29, 30, 32 and 34 in the Revised B-2500B Phase IIb EA.

If the Design-Build Team discovers any previously undocumented historic or archeological remains while accomplishing the authorized work, they shall immediately notify, in writing, the NCDOT Archaeology Supervisor and NCDOT Project Development Engineer, as listed below, who will initiate any required State / Federal coordination after a timely initial assessment. The Design-Build Team shall also immediately notify a representative from the Design-Build Unit. Inadvertent or accidental discovery of human remains shall be handled in accordance with North Carolina General Statutes 65 and 70. All questions regarding these discoveries shall be addressed to Mr. Matthew Wilkerson, NCDOT Archaeology Group Leader at (919) 707-6089, or Mr. Brian Yamamoto, PE, NCDOT Project Development Group Supervisor (919) 707-6051.

**GEOENVIRONMENTAL SCOPE OF WORK** (1-19-16)**I. DEFINITION**

For the purpose of this scope of work, contamination / contaminants shall be defined as any substance that when discharged in any quantity may present an imminent and substantial danger to the public health or welfare. Petroleum is defined as any petroleum-derived product 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 occurring singly or in combination with other substances.

**II. DESCRIPTION OF WORK**

Sites of concern were identified in the four planning reports noted below:

- *GeoEnvironmental Impact Evaluation*, June 6, 2003
- *GeoEnvironmental Impact Evaluation*, July 12, 2005
- *GeoEnvironmental Impact Evaluation (R-3116D)*, July 11, 2006
- *GeoEnvironmental Impact Evaluation*, October 4, 2007

After submittal of the right of way / 60% Roadway Plans developed by the Design-Build Team, the Design-Build Team shall hold a right of way consultation with the Department's GeoEnvironmental staff, the Design-Build Unit, and key Design-Build team members.

As documented in the aforementioned GeoEnvironmental Impact Evaluations, the Department has investigated the known sites of concern within the proposed right of way. Additional sites of concern within the proposed right of way that are identified during the right of way consultation with the Design-Build Team will be investigated by the Department. The Department shall require 90 days from the date of the consultation to investigate and provide Right of Way Recommendations. The Right of Way Recommendations shall be completed prior to the Design-Build Team making offers to purchase the right of way on these sites of concern.

The Design-Build Team shall notify the Design-Build Unit in writing of any underground storage tanks (USTs) containing fuel, chemicals, or heating oil tanks discovered during property appraisals. The Department shall require 90 days from the date of written notification to investigate and provide Right of Way Recommendations. The Right of Way Recommendations shall be completed prior to the Design-Build Team making offers to purchase the right of way on sites containing USTs.

The Design-Build Team shall adhere to all Right of Way Unit procedures regarding the acquisition of contaminated property and all Right of Way Recommendations provided by the Department. (Reference the Right of Way Scope of Work found elsewhere in this RFP) After the parcels with identified contamination and / or underground storage tanks



(USTs) are acquired and cleared of all above ground structures, the Department will 1) remove from the right of way USTs identified in the aforementioned GeoEnvironmental Impact Evaluations and discovered during the property appraisals and 2) remove all associated contaminated soil anticipated to require excavation to complete the project. The Department will remove the aforementioned USTs and contaminated soil within 60 days of written notification that the above-ground structures have been removed. All contaminated soil not required for removal to complete the project shall be left in place and undisturbed.

### **III. INFORMATION PROVIDED BY NCDOT:**

- GeoEnvironmental MicroStation Reference File
- Planning Reports
  - *GeoEnvironmental Impact Evaluation*, June 6, 2003
  - *GeoEnvironmental Impact Evaluation*, July 12, 2005
  - *GeoEnvironmental Impact Evaluation*, July 11, 2006
  - *GeoEnvironmental Impact Evaluation*, October 4, 2007

### **IV. UNKNOWN CONTAMINATED SITES:**

The Design-Build Team shall immediately notify the Department if the Design-Build Team's operations encounter or expose any abnormal condition that 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, the removal and disposal of this material shall be performed as extra work in accordance with Article 107-25 of the 2012 NCDOT *Standard Specifications for Roads and Structures*.

**TRANSPORTATION MANAGEMENT SCOPE OF WORK** (3-18-16)**I. Project Requirements****A. Laws, Standards and Specifications**

The Design-Build Team shall design the Transportation Management Plans in accordance with the requirements of this RFP and the version of the standards listed below that are effective on the Technical Proposal submittal date.

- NCDOT Standard Specifications for Roads and Structures
- NCDOT Roadway Standard Drawings
- NCDOT Supplement to the Manual on Uniform Traffic Control Devices (NCSMUTCD)
- FHWA Manual on Uniform Traffic Control Devices (MUTCD)
- NCDOT Roadway Design Manual
- Americans with Disabilities Act of 1990 (ADA)
- AASHTO A Policy on Geometric Design of Highways and Streets
- AASHTO Roadside Design Guide
- FHWA Standard Highway Signs and Markings
- NCDOT Guidelines for Preparation of Traffic Control and Pavement Marking Plans for Design-Build Projects
- NCDOT Design-Build Submittal Guidelines
- FHWA *Rule on Work Zone Safety and Mobility* (23 CFR 630 Subpart J and K)

**B. References**

The Design-Build Team shall use the references provided on the site below, as supplementary guidelines and requirements for the design and implementation of the Transportation Management Plans.

**<https://connect.ncdot.gov/projects/WZTC/>**

**C. Transportation Management Plans**

The Design-Build Team shall prepare Transportation Management Plans (TMP) that include Temporary Traffic Control Plans (TTCP) and a Traffic Operations Plan (TOP). In accordance with the Public Information Scope of Work found elsewhere in this RFP, the Design-Build Team shall assist the Department in the development of a Public Information Plan (PIP).

The Design-Build Team shall produce TMP for each phase of work that impacts road users. The TMP shall include details of all planned detours, traffic control devices, striping, and signage applicable to each phase of work. The information on the TMP shall be of sufficient

detail to allow verification of design criteria and safety requirements, including but not limited to, typical sections, alignment, striping layout, drop off conditions, and temporary drainage. The Design-Build Team shall develop TMP that include procedures to communicate TMP information to the public about road and travel conditions within the work zone and affected roadway network.

A Transportation Management Phasing Concept (TMPC) shall be prepared by the Design-Build Team to present the Design-Build Team's approach to all areas covered under the TMP, including but not limited to, hauling of materials to, from, and within the project right of way (ROW). The Design-Build Team shall include the TMPC in the Technical Proposal. The Design-Build Team shall submit the TMPC for Department review and acceptance and shall address NCDOT comments on the TMPC prior to commencing production of the TMP for each phase of work or any construction. Any changes to the TMPC after acceptance by NCDOT shall require a submittal for review prior to any future phasing submittals.

The Design-Build Team shall select a Private Engineering Firm (PEF) that has experience developing TMP on comparable projects for the North Carolina Department of Transportation (NCDOT) and shall list these comparable projects in the Technical Proposal.

In the event any self-imposed liquidated damages are included in the Technical Proposal, an Intermediate Contract Time(s) shall be established and shall become part of the contract.

#### **D. General Requirements**

Unless permitted otherwise elsewhere in this RFP, maintain the existing number of travel lanes on all roads. For existing travel lanes that are 11-foot wide or wider, maintain a minimum of 11-foot travel lanes at all times. For existing travel lanes that are narrower than 11 feet, maintain the existing travel lane widths at all times. Unless permitted otherwise elsewhere in this RFP, maintain existing shoulder widths.

Except as allowed otherwise elsewhere in this RFP, traffic barrier shall be located a minimum two-foot offset (shy distance) from the edge of an open travel lane. All other traffic control devices shall be located a minimum three-foot offset (shy distance) from the edge of an open travel lane.

Placement of temporary barrier shall be shown on the Transportation Management Phasing Concept. Temporary barrier systems shall be designed in accordance with the following requirements:

- Determine the need for temporary barrier in accordance with the FHWA *Rule on Temporary Traffic Control Devices* (23 CFR 630 Subpart K). Reference the NCDOT Work Zone Traffic Control website noted below for examples and *Guidelines for the Use of Positive Protection in Work Zones*.

**<https://connect.ncdot.gov/projects/WZTC/Pages/Design-Resources.aspx>**

- The Design-Build Team shall adhere to the AASHTO Roadside Design Guide in determining the length of need, flare rate and clear zone. The Design-Build Team shall adhere to the possible deflection of the proposed temporary barrier system in accordance with NCHRP-350 *Recommended Procedures for the Safety Performance Evaluation of Highway Features* deflections from crash testing. Providing less than the minimum deflection distance shall require the use of anchored temporary barrier systems in accordance with the NCDOT *Standard Specifications for Roads and Structures*.
- The Design-Build Team shall not place temporary barrier systems utilized for traffic control on unpaved surfaces.

The design speed for temporary alignments of NC routes shall not be lower than the current posted speed limit. The minimum 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 traffic shifts requiring vertical grades shall be considered a temporary alignment. All temporary alignments shall adhere to the *NCDOT Roadway Design Manual*, including all revisions, AASHTO *A Policy on Geometric Design of Highways and Streets* and the most current edition of the Transportation Research Board (TRB) *Highway Capacity Manual*.

The NCDOT Roadway Standard Drawing No. 1101.11 shall be used to calculate the length of temporary merges for lane closures and temporary traffic shifts. For temporary traffic patterns that will remain in place for a period longer than three days, including but not limited to traffic shifts, merges and temporary alignments, breaks in the superelevation and / or crown breaks in a normal crown section will not be allowed within the shifting taper. Excluding the aforementioned temporary traffic patterns, breaks in the superelevation and / or crown breaks in a normal crown section shall only occur on a lane line or lane midpoint and shall not exceed 0.04.

Maintain access to all residences, schools, bus stops, mass transit facilities (emergency ferry channels and basins), emergency services and businesses at all times. Prior to incorporation, obtain written approval from the Engineer on method to maintain access.

Traffic traveling in the same direction shall not be split (i.e. separation by any type of barrier, bridge piers, existing or proposed median, etc.).

Prior to incorporation, obtain written approval from the Engineer for all road or access point closures.

The Design-Build Team shall not place NC 12 on an offsite detour.

On all roadways within the project limits, the Design-Build Team shall provide safe access for wide-loads and oversized permitted vehicles through the work zone. Safe access shall entail, but shall not be limited to, a sufficient pavement structure (Reference the Pavement Management Scope of Work found elsewhere in this RFP), required vertical clearance and a minimum horizontal clear width of 20 feet.

At a minimum, the Design-Build Team shall provide and operate one Changeable Message Sign (CMS) per direction on NC 12 when construction activities impact traffic on existing or proposed NC 12. Depending on the impact to traffic, the aforementioned CMSs may need to be in continuous operation until the construction activity impacting traffic is complete. The Design-Build Team shall provide and operate other CMSs that provide information on lane closures and other construction activities that adversely impact the traveling public. Prior to incorporation, the Design-Build Team shall show approximate CMS locations, along with the respective messages that have been approved by the Department, in the Transportation Management Plans.

On all roads, the Design-Build Team shall make all modifications to existing pavement markings, markers and / or signing located outside the project limits that are necessitated by the Transportation Management Plans.

The Design-Build Team shall not place traffic on pavement containing rumble strips.

The Design-Build Team shall take steps to minimize disruptions to existing roadway facilities during construction and shall demonstrate how the traffic control phasing, minimizes inconvenience to motorists on all roads.

Throughout the project construction, the Design-Build Team shall maintain safe access to all pedestrian facilities and / or provide alternate pedestrian facilities with the same connectivity.

#### **E. Lane Closure Notice (LCN)**

The Design-Build Team shall issue a Lane Closure Notice (LCN) to NCDOT and affected government entities a minimum of twenty-one (21) calendar days prior to the publication of any notices or placement of any traffic control devices associated with lane closures, detour routing or other change in traffic control requiring lane closures. The Design-Build Team will be allowed to issue a single LCN for multiple / consecutive lane closures that occur in the same location.

For a LCN utilizing a non-NCDOT controlled facility, the Design-Build Team shall secure concurrence in writing from the controlling government entity. A LCN shall contain the estimated date, time, duration and location of the proposed work. The Design-Build Team shall keep NCDOT informed of any and all changes or cancellations of proposed lane closures prior to the date of their implementation.

If an emergency condition should occur, a LCN shall be provided to NCDOT within two (2) days after the event. For non-NCDOT controlled facilities, the Design-Build Team shall immediately notify the controlling government entity.

## F. Road Closure Notice (RCN)

Proposed road closures on any road shall be approved by the Engineer prior to incorporation in the TMP.

The Design-Build Team shall issue a Road Closure Notice (RCN) to NCDOT and affected government entities a minimum of twenty one (21) calendar days prior to the publication of any notices or placement of any traffic control devices associated with road closures, detour routing or other change in traffic control requiring road closures.

For a RCN utilizing a non-NCDOT controlled facility, Design-Build Team shall secure concurrence in writing from the controlling government entity. A RCN shall contain the estimated date, time, duration, and location of the proposed work. The Design-Build Team shall keep NCDOT and any other affected government entity informed of any and all changes or cancellations of proposed Road Closures prior to the date of their implementation.

If an emergency condition should occur, a RCN shall be provided to NCDOT within two (2) days after the event. For non-NCDOT controlled facilities, the Design-Build Team shall immediately notify the controlling government entity.

## II. Project Operations Requirements

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

### A. Time Restrictions

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

At a minimum, the Design-Build Team shall maintain the existing traffic pattern, number of lanes and lane widths, and shall not close or narrow a lane on NC 12 during the times below. When traffic is placed into the final traffic pattern on NC 12, that shall become the minimal traffic pattern and the following time restrictions shall still apply.

Days	Time Restrictions
September 15 <sup>th</sup> through June 13 <sup>th</sup>	3:00 p.m. Friday to 7:00 a.m. Monday
June 14 <sup>th</sup> through September 14 <sup>th</sup>	6:00 a.m. to 8:00 p.m. Tuesday through Thursday and 6:00 a.m. Friday to 8:00 p.m. Monday

The Design-Build Team shall not install, reset, and / or remove any traffic control device during the times listed above, or during the event restrictions listed below.

In addition, the Design-Build Team shall not close or narrow a lane of traffic, detain the traffic flow or alter the traffic flow on or during holidays, holiday weekends, or any other time when traffic is unusually heavy on NC 12. At a minimum, these requirements / restrictions shall apply to the following schedules:

- (a) For any unexpected occurrence that creates unusually high traffic volumes, as directed by the Engineer.
- (b) For New Year's between the hours of 6:00 a.m. December 31<sup>st</sup> and 8:00 p.m. January 3<sup>rd</sup>. If New Year's Day is on a Friday, Saturday, Sunday or Monday then until 8:00 p.m. the following Tuesday.
- (c) For Easter, between the hours of 6:00 a.m. the Friday before Easter and 8:00 p.m. the Tuesday after Easter.
- (d) For Memorial Day, between the hours of 6:00 a.m. the Friday before Memorial Day to 8:00 p.m. the Wednesday after Memorial Day.
- (e) For Independence Day, between the hours of 6:00 a.m. July 3<sup>rd</sup> and 8:00 p.m. July 6<sup>th</sup>. If Independence Day is on a Friday, Saturday or Sunday, between the hours of 6:00 a.m. the Thursday before Independence Day and 8:00 p.m. the Tuesday after Independence Day.
- (f) For Labor Day, between the hours of 6:00 a.m. the Friday before Labor Day and 8:00 p.m. the Wednesday after Labor Day.
- (g) For Thanksgiving, between the hours of 6:00 a.m. the Tuesday before Thanksgiving and 8:00 p.m. the Tuesday of the following week.
- (h) For Christmas, between the hours of 6:00 a.m. the Friday before the week of Christmas Day and 8:00 p.m. the following Tuesday after the week of Christmas Day.

**Liquidated Damages for Intermediate Contract Time #1 for the above lane narrowing, lane closure, holiday, and special event time restrictions for NC 12 are \$500.00 per 15-minute period or any portion thereof.**

**2. Intermediate Contract Time #2 for Road Closure Restrictions for Short-Term Construction Operations.**

Unless allowed otherwise elsewhere in this RFP, at a minimum, the Design-Build Team shall maintain the existing traffic pattern and follow the road closure restrictions listed below for NC 12. 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.

Unless allowed otherwise elsewhere in this RFP, the Design-Build Team shall 1) not close any direction of travel on NC 12 during the times noted below; and 2) only close NC 12 for the operation(s) listed in this intermediate contract time restriction.

<b>Road Name</b>	<b>Time Restrictions</b>
NC 12	5:00 a.m. to 10:00 p.m. Tuesday through Thursday and 5:00 a.m. Friday to 10:00 p.m. Monday

For the operation(s) noted below, the maximum NC 12 road closure duration shall not exceed **30 minutes**:

- Traffic shifts to complete tie-in work and placement of pavement markings

Prior to incorporation in the Transportation Management Plans, the Design-Build Team shall obtain written approval from the Engineer for all road / driveway closures within the project limits.

**Liquidated Damages for Intermediate Contract Time #2 for the above road closure time restrictions for NC 12 are \$500.00 per 15-minute period or any portion thereof.**

## **B. Hauling Restrictions**

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

The Design-Build Team shall conduct all hauling operations as follows:

- 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 separates the traffic from the hauling operation.
- The Design-Build Team shall not haul during the lane narrowing, lane closure, holiday, and special events time restrictions listed in Intermediate Contract Time #1, unless the hauling operation occurs completely behind temporary traffic barrier or guardrail and does not impact traffic operations.
- All entrances and exits for hauling to and from the work zone shall conform to the most current NCDOT Roadway Standard Drawings.
- All hauling entrances, exits and crossings shall be shown on the Transportation Management Plans.



- Haul vehicles shall not enter and / or exit an open travel lane at speeds more than 10 mph below the posted speed limit.
- Hauling operations that perpendicularly cross a roadway shall require Transportation Management Plans and shall be subject to the lane narrowing, lane closure, holiday, and special event time restrictions listed in Intermediate Contract Time #1.
- Hauling materials by barge shall not impact the operations of the NCDOT emergency ferry route between Rodanthe and Stumpy Point. When the emergency ferry is in operation, NCDOT shall have total control of the ferry channels and ferry basins in Rodanthe and Stumpy Point. Throughout the project construction, the Department maintains the right to restrict the Design-Build Team's use of the emergency ferry channels and / or basins with a 24-hour notice for as long as emergency ferry operations are required.

The Design-Build Team shall address how hauling will be conducted in the Technical Proposal, including but not limited to hauling material to and from the site, hauling material within the NCDOT right of way and hauling material using the emergency ferry channels and / or basins in the Technical Proposal.

### **C. Lane and Shoulder Closure Requirements**

The Design-Build Team shall not install more than 0.5 miles of lane closures in any one direction on any roadway within the project limits or in conjunction with this project, measured from the beginning of the merge taper to the end of the lane closure.

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 barrier is placed on the roadway shoulder, the Design-Build Team shall install shoulder closure signs and devices in advance of the barrier using NCDOT Roadway Standard Drawings.

When personnel and / or equipment are working within 15 feet of an open travel lane, the Design-Build Team shall close the nearest open shoulder using NCDOT Roadway Standard Drawings, 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, at a minimum, close the nearest open travel lane using NCDOT Roadway Standard Drawings, 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, at a minimum, close the lane using the appropriate roadway standard drawing from the NCDOT 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.

#### **D. Pavement Edge Drop off Requirements**

The Design-Build Team shall backfill at a 6:1 slope up to the edge and elevation of the existing pavement in areas adjacent to an open travel lane that has an edge of pavement drop-off as follows:

- Elevation differences that exceed two inches on roadways with posted speed limits of 45 mph or greater and a paved shoulder four-foot wide or less.
- Elevation differences greater than three inches on roadways with posted speed limits less than 45 mph and with a paved shoulder four-foot wide or less.
- Refer to the current AASHTO *Roadside Design Guide* for proper treatment of all other conditions.

Do not exceed a difference of two inches in elevation between open lanes of traffic for nominal lifts of 1.5 inches. Install advance warning “UNEVEN LANES” signs (W8-11) 1000 feet in advance and a minimum of every half mile throughout the uneven area.

#### **E. Traffic Pattern Alterations**

The Design-Build Team shall notify the Engineer in writing at least six weeks prior to any traffic pattern alteration. (Reference the Public Information Scope of Work for additional public information requirements.)

#### **F. 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. Stationary work zone warning signs shall be covered with an opaque material that prevents reading of the sign at night by a driver traveling in either direction.

When portable signs are not in use for periods longer than 30 minutes, the Design-Build Team shall lay the portable work zone sign flat on the ground and collapse the sign stand and lay it flat on the ground.

The Design-Build Team shall install and maintain all detour signing and devices required for road closures. 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 proper signing (including but not limited to guide signs) are in place at all times during construction, as required by the *MUTCD*. All temporary signing shall be shown on the Traffic Control Plans or Temporary Signing Plans to be reviewed and accepted by the Department prior to incorporation.

### **G. Traffic Barrier**

The Design-Build Team shall use only an NCDOT approved temporary traffic barrier system and adhere to the following requirements:

- Install temporary traffic barrier system a maximum of two (2) weeks prior to beginning work in any location. Once the temporary traffic barrier system is installed at any location, proceed in a continuous manner to complete the proposed work in that location.
- Place all temporary barrier used for traffic control directly on an asphalt or concrete surface.
- Temporary barrier used for traffic control shall not act as a retaining wall.
- Once the temporary traffic barrier system is installed and no work has been or will be performed behind the temporary traffic barrier system for a period longer than two (2) months, remove / reset the temporary traffic barrier system unless the barrier is protecting traffic from a hazard.
- Excluding water filled barrier, protect the approach end of temporary traffic barrier system at all times during the installation and removal of the barrier by either a truck mounted impact attenuator (maximum 72 hours) or a temporary crash cushion.
- Excluding water filled barrier, protect the approach end of temporary traffic barrier system from oncoming traffic at all times by a temporary crash cushion unless the approach end of temporary traffic barrier system is offset from oncoming traffic as follows:

<b>Posted speed limit (MPH)</b>	<b>Minimum offset (feet)</b>
40 or less	15
45 – 50	20
55	25
60 mph or higher	30

- Install temporary traffic barrier system with the traffic flow, beginning with the upstream side of traffic. Remove the temporary traffic barrier system against the traffic flow, beginning with the downstream side of traffic.
- Install drums to close or keep closed tangent sections of the roadway until the temporary traffic barrier system can be placed or after the temporary traffic barrier system has been removed. The distance, in feet, between drums shall be no greater than twice the posted speed limit (MPH).
- The Design-Build Team shall be responsible for providing proper connection between the existing bridge rail and the temporary barrier system and include this information in the appropriate plans.

## **H. Traffic Control Devices**

The Design-Build Team shall use traffic control devices that conform to all NCDOT requirements and are listed on the NCDOT's Approved Products List. The Approved Products List may be referenced on the website noted below:

**<https://apps.ncdot.gov/vendor/approvedproducts/>**

The use of any devices that are not shown on the Approved Product List shall require written approval from the Department prior to incorporation.

Channelizing device spacing shall not exceed a distance in feet equal to twice the posted speed limit. Channelization devices shall be spaced ten feet on-center in radii. Channelization devices shall be located three feet off the edge of an open travelway, when lane closures are not in effect. Skinny drums shall only be allowed as defined in Section 1180 of the NCDOT *Standard Specifications for Roads and Structures*.

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.

Portable changeable message signs should be placed off the shoulder of the roadway and behind a traffic barrier, if practical. Where a traffic barrier is not available to shield the portable changeable message sign, it should be placed off the shoulder and outside of the clear zone. If a portable changeable message sign must be placed on the roadway shoulder or within the clear zone, it shall be delineated with retroreflective temporary

traffic control (TTC) devices. When portable changeable message signs are not being used to display TTC messages, they should be relocated such that they are outside of the clear zone or shielded behind a traffic barrier, and turned away from traffic. If relocation or shielding is not practical, the portable changeable message signs shall be delineated with retroreflective TTC devices.

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.

## **I. Temporary Pavement Markings, Markers and Delineation**

The Design-Build Team shall show temporary pavement markings on the Transportation Management Plans that 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 only use pavement marking and marker products that conform to all NCDOT requirements and are listed on the NCDOT's Approved Products List. The use of any devices that are not shown on the Approved Product List shall require approval from the Department prior to incorporation.

The Design-Build Team shall install pavement markings and markers in accordance with the NCDOT *Standard Specifications for Roads and Structures*, and in accordance with the manufacturer's procedures and specifications.

The Design-Build Team shall install temporary pavement markings that are the same width as existing pavement markings on all roadways. For roadways that do not have existing pavement markings, the Design-Build Team shall install pavement markings that are the same width required for the final pavement markings in the Pavement Markings Scope of Work found elsewhere in this RFP

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

<b>Road</b>	<b>Marking</b>	<b>Marker</b>
All Roads	Any Marking on the Approved Product List	Raised Temporary
Proposed Structures	Cold Applied Plastic Type 4 - Removable Tape	Raised Temporary

The Design-Build Team may use any type of pavement markings on the NCDOT Approved Products List for temporary patterns. However, the Design-Build Team shall maintain a minimum retroreflectivity for pavement marking on all roads (existing and temporary markings) at all times during construction, as follows:

White: 125 mcd / lux / m2  
Yellow: 100 mcd / lux / m2

When using Cold Applied Plastic Type 4 pavement markings, place temporary raised markers half on and half off edge lines and centerlines to help secure the tape to the roadway. Markers shall match the color of the pavement markings they are supplementing and be spaced the appropriate distance apart as described by the NCDOT 2012 Roadway Standard Drawing No. 1250.01, Sheet 1 of 3.

The Design-Build Team shall tie proposed pavement marking lines to existing pavement marking lines.

By the end of each day's operation, the Design-Build Team shall remove / replace all conflicting / damaged pavement markings and markers.

The Design-Build Team shall trace existing and / or proposed monolithic island locations with the proper color pavement marking prior to removal and / or installation. The Design-Build Team shall place drums to delineate existing and / or proposed monolithic islands after the removal and / or before installation.

The Design-Build Team shall not place temporary markings, other than Cold Applied Plastic Type 4 – Removable Tape, on any final asphalt pavement surface unless the temporary markings are placed in the exact location of the final pavement markings.

The Design-Build Team shall remove all conflicting markings and markers prior to shifting traffic to a new pattern.

Unless noted otherwise elsewhere in this RFP, removal of temporary pavement markings on asphalt surfaces shall be accomplished by an NCDOT approved system to minimize damage to the road surface. All temporary pavement markings on concrete shall only be removed by hydroblasting. Temporary pavement markings shall not be obliterated with any type of Black Pavement Markings (paint or other material). The Design-Build Team shall remove all temporary pavement markings without removing more than 1/32-inch of the pavement surface.

#### **J. Portable Temporary Lighting**

Provide portable temporary lighting to conduct night work in accordance with the NCDOT *Standard Specifications for Roads and Structures* and all environmental commitments / consultations.

#### **K. Traffic Control Supervisor**

The Design-Build Team shall furnish a Traffic Control Supervisor for the project who is knowledgeable of TMP design, devices and application, and has full authority to ensure

traffic is maintained in accordance with the plans and specifications developed by the Design-Build Team.

The Traffic Control Supervisor shall be on the project site overseeing all road closures and median crossover operations to ensure traffic control devices are properly installed and adjusted as necessary. The Traffic Control Supervisor shall also make necessary changes to the traffic control operations and aide in the monitoring of traffic queuing.

The Design-Build Team shall identify a Traffic Control Supervisor in their Technical Proposal that has the following qualifications:

- 1) A minimum 24 months of On-the-Job Training in supervision and work zone set up and implementation on similar projects.
- 2) Be certified by responsible party (contractor or NCDOT) to have the required experience and training and is qualified to perform the duties of this position. If certified by the Contractor, a notarized certification letter shall be furnished to the Engineer at the preconstruction meeting. The letter shall state the Traffic Control Supervisor is qualified, and state that the Traffic Control Supervisor has the authority to ensure traffic is maintained in accordance with the contract documents.

The Traffic Control Supervisor for the project shall perform the following:

- 1) During construction, be available or on call 24 hours per day, 7 days per week to direct / make any necessary changes in the traffic control operations in a timely and safe manner.
- 2) Coordinate and cooperate with traffic control supervisors of adjacent, and overlapping construction projects, as well as construction projects in proximity to the subject project, to ensure safe and adequate traffic control setup is maintained throughout the project at all times, including periods of construction inactivity.
- 3) Coordinate and cooperate with the NCDOT Division Incident Management staff.
- 4) Coordinate and cooperate with the NCDOT Division 6 Operations Engineer and Traffic Engineer to ensure proper messages are displayed on the CMSs.
- 5) Provide traffic control setup that ensures safe traffic operations and workers' safety throughout the construction area.
- 6) Attend all scheduled traffic control coordination meetings, as required by the Engineer.
- 7) Monitor traffic delays and backups within the work zone.

## L. Law Enforcement

Law enforcement officers shall be used during any rolling road block operations. Law enforcement officers may be used to maintain traffic through the work area and / or intersections. The use of law enforcement officers shall adhere to the following requirements:

- The Design-Build Team shall be responsible for coordinating with the law enforcement agency for the use of law enforcement officers.
- The Design-Build Team shall only 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.
- The Design-Build Team shall coordinate with the Engineer where and how law enforcement officers will be used during construction.

The Design-Build Team shall address where and how law enforcement officers will be used in the Technical Proposal.

## M. Temporary Shoring for the Maintenance of Traffic

The Design-Build Team shall be responsible for all required temporary shoring, including but not limited to designing, providing, installing, maintaining and removing. Temporary shoring for the maintenance of traffic shall be 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 five feet from the edge of pavement of the open travelway. The Design-Build Team shall identify locations where temporary shoring for maintenance of traffic will be required on the Transportation Management Phasing Concept. The Design-Build Team shall install temporary traffic barrier as shown on the *PCB at Temporary Shoring Locations* detail available on the Work Zone Traffic Control website noted below. The aforementioned detail provides design information on the temporary traffic barrier location in relation to the temporary shoring and traffic location. (Notes related to Temporary Shoring are not required in the General Notes sheet for the TMP)

The NCDOT Geotechnical Engineering Unit and Work Zone Traffic Control websites have more information on temporary shoring. The Design-Build Team shall adhere to the additional shoring requirements located on the websites noted below:

**<https://connect.ncdot.gov/resources/Geological/Pages/default.aspx>**

**<https://connect.ncdot.gov/projects/WZTC/Pages/default.aspx>**



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

#### **N. Coordination**

At a minimum, the Design-Build Team shall coordinate with all Contractors and NCDOT Resident Engineers in charge of any project in proximity to this project for any work that may affect the construction, traffic operations, and / or placement of temporary traffic control devices (including advanced warning signs) on all roads within the project limits or in conjunction with this project.

At a minimum, the Design-Build Team shall coordinate with the Division Operations Engineer, Division Traffic Engineer, Law Enforcement, Emergency Services and the Work Zone Traffic Control Section to schedule and attend Traffic Safety and Operations Meetings. These meetings shall be held to monitor and assess safety and mobility during construction. The Traffic Safety and Operations Meetings shall be held on an as needed basis during project construction. Additional Traffic Safety and Operations Meetings shall be held to address any specific issue, as directed by the Engineer.

#### **O. Miscellaneous**

The Design-Build Team shall provide proper drainage for all temporary alignments and / or traffic shifts.

The Design-Build Team shall design the Transportation Management Plans for the posted speed limit; a Work Zone Speed Limit Reduction Ordinance will not be allowed for this project.

**PAVEMENT MARKINGS SCOPE OF WORK** (7-9-15)**General**

The Design-Build Team shall prepare Final Pavement Marking Plans in accordance with the latest edition of the *Manual on Uniform Traffic Control Devices (MUTCD)* effective on the Technical Proposal submittal date, the NCDOT Roadway Standard Drawings (January 2012), “*Guidelines for Preparation of Traffic Control and Pavement Marking Plans for Design-Build Projects*”, the “*Design-Build Submittal Guidelines*”, and the contract requirements contained herein.

**Final Pavement Marking Plan Requirements**

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

The Design-Build Team shall develop Pavement Marking Plans that maintain all types of traffic (motorists, bicyclists, and pedestrians within the highway, including persons with disabilities in accordance with the Americans with Disabilities Act of 1990 (ADA), Title II, Paragraph 35.130) as defined by the *Manual for Uniform Traffic Control Devices (MUTCD)*.

**Final Pavement Marking Project Limits**

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

**Pavement Markings, Markers and Delineation**

The Design-Build Team shall submit a complete set of Final Pavement Marking Plans that include the -L- Line and all -Y- Lines for review and acceptance. The Design-Build Team shall not place any final pavement markings or markers until the aforementioned Final Pavement Marking Plans are reviewed and accepted by the Department.

The Design-Build Team shall use pavement marking and marker products that conform to all NCDOT requirements and are listed on the NCDOT’s Approved Products List. The use of any devices that are not shown on the Approved Product List shall require written approval from the NCDOT Signing and Delineation Unit prior to incorporation.

The Design-Build Team shall install pavement markings and markers in accordance with the NCDOT 2012 *Standard Specifications for Roads and Structures*, and in accordance with the manufacturer’s procedures and specifications.

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

<b>Road</b>	<b>Marking</b>	<b>Marker</b>
All	Polyurea with Highly Reflective Elements	Permanent Raised

On asphalt surfaces, the Design-Build Team shall install Heated-in-Place Thermoplastic or Extruded Thermoplastic markings for stop bars, symbols, characters, crosswalks and diagonals.

On concrete surfaces, the Design-Build Team shall install Heated-in-Place Thermoplastic or Cold Applied Plastic (Type II or III) markings for stop bars, symbols, characters, crosswalks and diagonals.

The Design-Build Team shall only remove pavement markings from concrete surfaces by hydroblasting.

The Design-Build Team shall tie proposed pavement marking lines to existing pavement marking lines.

The Design-Build Team shall replace any pavement markings that have been damaged by the end of each day's operation.

Using approved methods, the Design-Build Team shall remove residue and surface laitance on concrete bridge decks prior to placing final pavement marking materials. In accordance with approved methods and the 2012 *Standard Specifications for Road and Structures*, the Design-Build Team shall remove curing compound from all other concrete surfaces prior to placing final pavement marking materials.

**RIGHT OF WAY SCOPE OF WORK** (2-4-16)

**\*\* NOTE \*\* Prior to negotiating property acquisition with property owners, the Design-Build Team shall meet with the appropriate NCDOT Location and Surveys, Right of Way and Design-Build personnel.**

**Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore Properties**

Within the Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore properties, the Department will be responsible for all right of way acquisition services, including but not limited to negotiation services, permanent and temporary easement field staking, deed development, and recordation of deeds. (Reference the Roadway Scope of Work found elsewhere in this RFP)

**All Other Properties**

Excluding the Pea Island National Wildlife Refuge and the Cape Hatteras National Seashore properties, the Design-Build Team shall be responsible for all right of way, easement and / or control of access acquisition services required by the Design-Build Team's design and / or construction methods. The Design-Build Team's acquisition services shall be in accordance with the requirements noted below:

- The Design-Build Team shall employ qualified, competent personnel who are currently **approved by the NCDOT Right of Way Unit**, to provide all services necessary to perform all appraisal (except appraisal reviews and updated appraisals required solely for condemned parcels), negotiation and relocation services required for all right of way, control of access and easements, including but not limited to permanent utility easements, necessary 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. The Design-Build Team shall also field stake all right of way, control of access and easements, including but not limited to utility easements, in accordance with the requirements noted above. For a list of firms currently approved, the Design-Build Team should contact Mr. Neal Strickland, in the NCDOT Right of Way Unit, at 919-707-4364. 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 all additional right of way, easements, and / or control of access not acquired by the Department.

- With respect to the payments, costs and fees associated with the acquisition of right of way, easements and / or control of access, the Department will 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 of any claims. The Department will 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, including but not limited to attorney fees required for all non-condemnation acquisitions.
- 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 April 2015 NCDOT *Right of Way Manual*.
- The Department will prepare all Condemnation Maps. The Design-Build Team shall prepare all Final Condemnation Reports. For all plan revisions on condemned parcels that modify the area acquired, modify the control of access and / or impact the appraised value, the Design-Build Team shall be responsible for the following:
  - The Design-Build Team shall notify the Division Right of Way Agent, the Area Negotiator, Area Appraiser and the Attorney General, in writing, that revisions have been made that impact a condemned parcel, and provide updated plan sheets and revised area takes.
  - The Design-Build Team shall consult with the Attorney General and the Area Appraiser to determine the status of the negotiations and appraisal(s).
  - If the Attorney General and / or Area Appraiser recommend an updated appraisal, the Design-Build Team shall provide an updated Summary Sheet to the Area Appraiser for the Department's use in obtaining an updated appraisal(s).
  - Upon receipt of the approved updated appraisal(s), the Design-Build Team shall develop a revised written offer. If settlement is not reached, the Design-Build Team shall submit an updated Final Condemnation Report. If settlement is reached, the Design-Build Team shall notify the Attorney General and Area Appraiser, in writing, and submit an updated Final Condemnation Report with all necessary documentation.

- The Department will be responsible for payment for the additional deposit to the Attorney General's Office and the Attorney General will prepare and file an Amendment to the Declaration of Taking.
- The following shall be required:
  - Unless otherwise approved by the Engineer, in writing, the Design-Build Team shall provide right of way, control of access and easement descriptions in metes and bounds format (bearings and distances). The Design-Build Team shall provide exhibits, diagrams and / or other information required to verify the aforementioned descriptions.
  - In accordance with the NCDOT April 2015 Right of Way Manual, the Design-Build Team may prepare red-line adjustments for parcels that are not condemned. The Department must approve a red-line adjustment, in writing, prior to the Design-Build Team making an offer based on the red-line adjustment.
  - 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 two appraisals for all appraisals over \$1,000,000.00.

- The NCDOT, or its agent, will provide appraisal reviews complying with the Department's *Uniform Appraisal Standards and General Legal Principles for Highway Right of Way Acquisitions*. The reviewer will ensure that the appraisal meets the Department's guidelines and requirements, conforms to acceptable appraisal standards and techniques, does not include any non-compensable items or exclude any compensable 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. Within ten business days from the date of receipt, all appraisals will be reviewed by NCDOT Review Appraisers or Review Appraisers under contract to the corresponding NCDOT Area Appraisal Office. The NCDOT will sign as approving any and all appraisals to be used in acquisition.
- The NCDOT will provide relocation reviews and approvals for all Replacement Housing Payment calculations and all Rent Supplement Payment calculations prior to the Design-Build Team making any offers to the displacees. Within five business days of the receipt of the Replacement Housing Payment or Rent Supplement Payment calculation documentation, which shall include all documentation required for an Evaluation Package, the Department will approve the calculation, and the signed FRM15-D will be returned to the Design-Build Team, or a request for an updated calculation or documentation will be presented to the Design-Build Team for further handling. At this time, the Relocation Coordinator in the NCDOT Right of Way Unit is the approving authority for the aforementioned calculations.
- The Design-Build Team shall coordinate with the Health Department to determine if septic systems can be relocated / modified to remain operational. The Department will be responsible for the Health Department fees associated with these determinations. The Design-Build Team shall determine the relocation / modification design and construction costs required for the septic systems to remain operational and include these costs in the property right of way appraisals. (Reference the Utilities Coordination Scope of Work found elsewhere in this RFP)
- All Claims for Payment involving relocation benefits must be submitted to the NCDOT Relocation Coordinator in the Right of Way Unit for approval and processing.
- The Design-Build Team shall provide a right of way certification prior to entering the property.
- The Design-Build Team shall prepare Right of Way Transmittal Summaries and / or Narrative Appraisals for all right of way, control of access and easement acquisitions. Claim Reports will not be allowed for any acquisition.
- In accordance with Chapter 133 of the *General Statutes of North Carolina*, Section 133-40, the Council of State must approve acquisition of property with contaminated soil. Thus, prior to acquiring right of way, control of access and / or easement from any parcel with contaminated soil, the Design-Build Team shall provide a written priority list of all properties with contaminated soil that require right of way, control of access and / or

easement acquisition to the Division Right of Way Agent, the Area Negotiator, the Area Appraiser, and the Real Property Coordinator, Terry Niles. At a minimum, the aforementioned priority list shall contain the following information:

- Project TIP Number, description and county
- Parcel number(s) requiring acquisition of contaminated soil
- Acquisition Appraisal(s)
- GeoEnvironmental Impact Evaluation and Hazardous Materials Report provided by the Department
- Description, with metes and bounds, of the area(s) to be acquired

The Department will require 90 days from receipt of the information noted above to coordinate with the Council of State and obtain their approval for the acquisition of contaminated property.



**UTILITIES COORDINATION SCOPE OF WORK** (1-14-16)

The Design-Build Team shall obtain the services of a Professional Services Firm (PSF) 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, removals, and / or adjustments where the Design-Build Team and utility owner, with concurrence from the Department, determine that such work is essential for highway safety and performance of the required highway construction. Coordination shall be for all utilities whether or not they are specifically identified in this scope of work and shall include any necessary utility agreements when applicable. NCDOT will be the approving authority for all utility agreements and approval of plans.

In accordance with the requirements herein, the Design-Build Team shall relocate / coordinate the relocation of all existing facilities that are 1) parallel to a roadway in full control of access, 2) in physical conflict with the construction, 3) beneath the existing or proposed pavement structure and structurally inadequate, and / or 4) beneath the existing or proposed pavement structure and consist of unacceptable material. Proposed / relocated underground facilities that are located beneath the pavement structure shall only be allowed to cross the roadway as close to perpendicular as possible.

**Project Details**

The Design-Build Team shall be responsible for verifying the utility locations, type of facilities, and identifying the utility owners in order to coordinate the relocation of any utilities, known and unknown, in conflict with the project. The following utilities are known to be located within the project construction limits:

<b>Utility Owner</b>	<b>Utility Type</b>	<b>Cost Responsibility</b>
Cape Hatteras EMC	Power	NCDOT / Cape Hatteras EMC
Charter Communications	Cable	Charter Communications (normally)
Century-Link Telephone	Fiber Optic Cable	Century Link (normally)
Dare County Water & Sewer	Water	Design-Build Team (NCDOT will obtain an agreement with Dare County Water & Sewer allowing the Design-Build Team to work on their facilities)

**Water**

If the Design-Build Team's design and / or construction requires the relocation and / or encasement of existing water facilities, designs shall be coordinated with the NCDOT Utilities Unit. All costs associated with the design and construction for relocation and / or encasement of these existing water facilities shall be the responsibility of the Design-Build Team and shall be included in the lump sum bid for the project. 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.

Designs shall be coordinated with the NCDOT Utilities Unit and the utility owners or their representatives. The Design-Build Team shall submit five (5) sets of 11 x 17 utility construction drawings to the State Utilities Manager, via the Design-Build Unit, for further handling. Each set shall include a title sheet, plan sheets, profiles and special provisions, if required. Once approved by the State Utilities Manager, the plans, with the appropriate agreement, will be sent to the utility owner for their review and concurrence.

The relocation of all water facilities shall be done in accordance with the NCDOT policies and the latest Dare County water design requirements / specifications. In the event of conflicting design parameters in the requirements noted above, the proposed design shall adhere to the most conservative values. The materials and appurtenances proposed by the Design-Build Team shall require approval by both NCDOT and the utility owner prior to installation.

### **All Other Utility Relocation Plans**

In the event of any other 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 submit (3) three copies of the Utility Relocation Plans to the NCDOT State Utility Manager, via the Design-Build Unit, for review and approval prior to relocation work beginning. The Design-Build Team shall also be responsible for submitting the appropriate agreements to be used with the Utility Relocation Plans (See Agreements found elsewhere in this scope of work). After the review process is complete, the NCDOT Utilities Unit will submit one (1) copy of the authorization letter to the Design-Build Team. The NCDOT Utilities Unit will also submit two copies of the approved Utility Relocation Plans, estimate and agreement 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 owner.

### **Cost Responsibility**

The Design-Build Team shall be responsible for all costs associated with relocating water facilities as described in the Water Section of this Scope of Work.

The NCDOT will be responsible for all other 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 cannot furnish evidence of prior rights of way or a compensable interest in their facilities. The Design-Build Team shall be responsible for verifying / determining the cost responsibility (prior rights and compensable interest) 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.

### **Compensable Interest**

Typically, affidavits, recorded easements or NCDOT agreements can serve as evidence of prior rights. 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.
- (C) Utilities that have a joint-use agreement that constitutes a compensable interest with entities that have existing or prior easements rights within the project limits.

### **Work Performed by Design-Build Team for Utility Owners**

If the Design-Build Team elects to make arrangements with a utility owner for proposed utility construction, in which the 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 utility owner agree on a plan and a lump sum estimated cost for the utility construction, the Design-Build Team shall submit five (5) sets of 11 x 17 utility construction drawings to the State Utilities Manager, via the Design-Build Unit, for further handling. Each set shall include a title sheet, plan sheets, profiles and special provisions, if required. Also, a letter from the 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 utility owner for reimbursement shall be a two party agreement between the NCDOT and the utility owner; and will be developed and executed by the Department.

If the Design-Build Team is requested, in writing, by a utility company to relocate facilities not impacted by the project's construction, and / or upgrade or incorporate new facilities as part of the highway construction, designs shall be coordinated with the utility owner and the NCDOT Utilities Unit. The associated design and construction costs shall be negotiated and agreed upon between the Design-Build Team and the utility owner. 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.

**Cable TV**

The cost in relocating CATV due to the highway construction shall be the responsibility of the CATV Company; however, 1) if the CATV Company can validate a recorded easement for facilities outside the maintained NCDOT right of way, the Department will bear the relocation expense; and 2) if the adjustment is needed on existing utility poles to accommodate a proposed NCDOT Traffic Management System Fiber Optic Communication Cable Project, the Design-Build Team shall be responsible for the relocation cost.

The NCDOT will not permit CATV to place poles within the highway right of way but will allow down guys for their facilities within the highway right 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 right of way then plans and encroachment agreements shall be required by the NCDOT.

**Requirements for Attachments to Proposed Structures**

The Design-Build Team shall avoid attachments to structures where feasible. Attachments shall only be considered when other alternatives are cost prohibitive and / or not feasible due to environmental or geographical features. All utility related attachments must be evaluated and approved by the State Utilities Manager, including any existing attachments to any structure(s) that require modification or replacement. 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.

Attachments to structures, if approved by the State Utilities Manager, 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 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.

Documentation of adverse conditions or cost estimates of all feasible alternatives shall be submitted to the NCDOT State Utilities Manager, via the Design-Build Unit, 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.

## General

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 owner 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 the Design-Build Team’s operations. In the event of interruption of any utilities by the project construction, the Design-Build Team shall promptly notify the utility owner and cooperate with the utility owner 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.

If total property acquisition is unavoidable due to encroachment into wells, then the Design-Build Team shall investigate and determine if extending water 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 design and construction shall be addressed in accordance with Article 104-7 of the 2012 *Standard Specifications for Roads and Structures*.

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* and the *NCDOT Utilities Policy Manual*. If the two aforementioned manuals contradict each other, the *Utilities Policy Manual* shall govern. Reference the website noted below for the current version of the NCDOT utility manuals and additional information on the transition to the new utility manuals that shall be adhered to:

**<https://connect.ncdot.gov/municipalities/Utilities/Pages/UtilitiesManuals.aspx>**

- (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) NCDEQ *Public Water Supply* - Rules governing public water supply
- (G) NCDENQ *Division of Water Resources*- Title 15A - Environment and Natural Resources

### Agreements

If a utility company can provide evidence of prior rights of way or a compensable interest in their facilities, the Design-Build Team shall coordinate the non-betterment utility relocation costs with the utility company and develop the Utility Relocation Agreement.

The NCDOT State Utilities Manager must execute approved agreements on Design-Build projects. The Utility Relocation Agreements (Cost Agreement) and Encroachment Agreements are available from the NCDOT Utilities Unit. Reference 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.

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 right of way.
- (B) For **all** new utility installations not covered under a Utility Agreement and within the existing or proposed highway right of way. This includes all water, sewer and gas lines owned by entities covered under *General Statute 136-27.1* and *136-27.2*.
- (C) In either case above, the Design-Build Team shall submit five copies of the encroachment plans plus two originals and three copies of the Encroachment Agreement to the NCDOT State Utilities Manager, via the Design-Build Unit, for approval.

**SIGNING SCOPE OF WORK** (5-13-16)**Project Description**

The Design-Build Team shall prepare Signing Plans for the entire project limits, including but not limited to advance and other necessary signing outside of the roadway construction limits.

**Websites and References**

The Design-Build Team shall prepare Signing Plans in accordance with the information on the following websites, the version of the following references effective on the Technical Proposal submittal date and the contract requirements contained herein:

- The Signing and Delineation Unit website:

**<https://connect.ncdot.gov/resources/safety/Pages/Signing-and-Delineation.aspx>**

- Traffic Engineering Practices, Policies, and Legal Authority (TEPPL):

**<https://connect.ncdot.gov/resources/safety/Teppl/Pages/Teppl-Select-Topics.aspx>**

- *Manual on Uniform Traffic Control Devices* (MUTCD):

**[http://mutcd.fhwa.dot.gov/kno\\_2009r1r2.htm](http://mutcd.fhwa.dot.gov/kno_2009r1r2.htm)**

- *NC Supplement to the Manual on Uniform Traffic Control Devices*:

**<https://connect.ncdot.gov/resources/safety/TrafficSafetyResources/2009%20NC%20Supplement%20to%20MUTCD.pdf>**

- *Standard Specifications for Structural Supports for Highway Signs, Luminaires, and Traffic Signals* (AASHTO):

**[https://bookstore.transportation.org/collection\\_detail.aspx?ID=126](https://bookstore.transportation.org/collection_detail.aspx?ID=126)**

- *Guidelines for Preparation of Signing Plans for Design-Build Projects*

**<https://connect.ncdot.gov/letting/Pages/Design-Build-Resources.aspx>**

- *Design-Build Submittal Guidelines*

**<https://connect.ncdot.gov/letting/Pages/Design-Build-Resources.aspx>**

- *NCDOT Standard Specifications for Roads and Structures*

- *NCDOT Roadway Standard Drawings*

## **Signing Requirements for Technical Proposal**

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

The Design-Build Team shall include a Preliminary Signing Concept Map in the Technical Proposal. At a minimum, the aforementioned Concept Map shall include all proposed bridge mounted signs and ground mounted guide signs.

## **Signs to be Furnished by Design-Build Team**

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

## **Signing Project Limits**

Unless noted otherwise elsewhere in this RFP, the Design-Build Team shall design, fabricate and install all Type A, B, D, E and F signs and supports required through the construction limits of the mainline, all -Y- Lines and all turn-arounds / cul-de-sacs. Unless noted otherwise elsewhere in this RFP, the Design-Build Team shall design, fabricate and install all signs required beyond the roadway construction limits of the mainline and all -Y- Lines to ensure adequate advance signage and spacing is provided.

## **Sign Designs**

The Design-Build Team shall include all sign designs in the Signing Plans. All sign designs shall be prepared using the latest version of GuideSign software.

The Design-Build Team shall design, fabricate and install all signs required for the mainline, all -Y- Lines and all turn-arounds / cul-de-sacs, including Type A, B and D ground mounted signs. The Design-Build Team shall size and locate all Type E signs (warning and regulatory) and Type F signs (route marker assemblies).

## **Bridge Mounted Signs**

The Design-Build Team shall design, fabricate and install Type A, B, D, E and F signs on the proposed bridge. At a minimum, these signs shall include the signs noted below:

- REDUCED SPEED LIMIT AHEAD (W3-5)
- SPEED LIMIT (R2-1)
- NO FISHING FROM BRIDGE (R20-3)
- NO JUMPING OR DIVING FROM BRIDGE (R20-4)
- HORIZONTAL ALIGNMENT with Plaque (W1-2, W13-1P)



Unless approved otherwise by the Department, the vertical mounting height for bridge mounted signs shall be a minimum of seven feet and maximum of eight feet from the bridge deck to the bottom of the sign.

All bridge mounted signs shall be mounted behind the bridge rail.

The Design-Build Team shall not use U-channel posts to mount bridge mounted signs.

### **Speed Limit**

The Design-Build Team shall coordinate the mainline posted speed limits and sign locations on the bridge with the Regional Traffic Engineer.

### **Sign Locations**

The Design-Build Team shall determine the station location of all signs and sign structures.

To the maximum extent practical, the Design-Build Team shall limit or avoid the use of road signs adjacent to plover nesting or foraging areas. (Reference the B-2500B - Phase IIb Record of Decision Project Commitments)

The Design-Build Team shall coordinate all proposed sign designs and locations with the Department.

The Design-Build Team shall relocate 1) the existing Pea Island National Wildlife Refuge sign and supports, and 2) the existing Chicamacomico Lifesaving Station mileage sign and supports to locations near the project northern terminus. The Design-Build Team shall coordinate the relocation of both signs with the US Fish and Wildlife. The Design-Build Team shall design and install revised mileage on the relocated Chicamacomico Lifesaving Station sign.

### **Ground Mounted Sign Supports**

The Design-Build Team shall locate, design and install all ground mounted sign supports.

The Design-Build Team shall design, fabricate and install ground mounted signs supports in accordance with the revised NCDOT Roadway Standard Drawing No. 903D10, Sheets 1 and 2 of 3, dated July 26, 2013. The aforementioned revised Roadway Standard Drawing and the associated software for the design of Type A and B ground mounted sign supports may be referenced on the website noted below:

**<https://connect.ncdot.gov/resources/safety/Pages/Signing-and-Delineation.aspx>**

Unless approved otherwise by the Department, the vertical mounting height for ground mounted signs shall be a minimum of seven feet and maximum of eight feet from the edge of the travel lane to the bottom of the sign.

The minimum lateral offset for ground mounted signs shall be 12 feet, unless approved otherwise by the Department. The lateral offset shall be measured from the edge of the travel lane closest to the shoulder to the closest sign edge.

All ground mounted signs on simple (non-breakaway) supports shall be protected by guardrail, barrier or another form of approved positive protection. The minimum lateral distance between the face of guardrail and the closest sign edge shall be six feet.

Unless noted otherwise elsewhere in this RFP, all Type D, E and F signs shall be installed on wood posts in accordance with the NCDOT Roadway Standard Drawings. Type D signs shall not exceed eight feet in width and / or 24 square feet. Unless positively protected, all Type D, E and F signs and sign assemblies shall be installed on a maximum of **two wood posts**.

### **Removal and Disposal of Existing Signs**

The Design-Build Team shall determine which existing signs and sign supports will not be needed or relevant when the project is completed. The Design-Build Team shall remove and dispose of these signs and sign supports.

### **Temporary Sign and Support Design**

The Design-Build Team shall locate, design and install all temporary signs and sign supports. (Reference the Signing Requirements Section of the Transportation Management Scope of Work found elsewhere in this RFP for additional temporary signing requirements)

### **Sign Maintenance**

The Design-Build Team shall maintain all existing signs (including all temporary sign installations that may be required by the Transportation Management Plans) during project construction to ensure the signs are in good condition, perform as intended, and are visible to motorists. All signs and supports remaining / existing at the completion of this project shall be plumb, oriented correctly and meet AASHTO requirements.

### **Construction Revisions**

After submittal of RFC Signing Plans, the Design-Build Team shall submit all construction revisions to the Department for review and acceptance prior to incorporation.

### **As Built Plans**

After project completion, the Design-Build Team shall provide final electronic Signing Plans to the Department. At a minimum, these plans shall include all revisions that took place during project construction and verifications for ground mounted and bridge mounted sign supports. These plans shall be provided in .pdf and MicroStation format.

**EROSION AND SEDIMENTATION CONTROL SCOPE OF WORK** (3-21-16)

The NCDOT Roadside Environmental Unit 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 Control Plans. Refer to the most recent version of the NCDEQ - *Erosion and Sediment Control Planning and Design Manual* for erosion control design guidelines not addressed in this Scope of Work.

To ensure adherence with the August 3, 2011 NCG-010000 General Construction Permit, issued by the North Carolina Department of Environmental Quality, Division of Water Resources, the Design-Build Team shall formally submit a project-wide Vegetation Management Procedure for the Department's review and acceptance prior to any land disturbing activities. After this initial review, the Design-Build Team shall concurrently provide the Resident Engineer and Roadside Environmental Field Operations Engineer updated versions of the Vegetation Management Procedure on a monthly basis. These updated versions will not require formal submittal to the Design-Build Unit, but will be subject to review comments by the aforementioned field personnel. All versions of the Vegetation Management Procedure shall include, but not be limited to, 1) provisions for the early establishment of grasses / vegetation, 2) provisions for obtaining the required 80% permanent vegetation stand, as defined in the August 3, 2011 NCG-010000 General Construction Permit and in accordance with the *Permanent Vegetation Establishment* Project Special Provision found elsewhere in this RFP, by the project final completion date, and 3) procedure and schedule details for fertilizer topdressing, supplemental seeding, mowing and repair seeding. The Vegetation Management Procedure shall be closely coordinated with the grading and hauling operations. The Design-Build Team shall provide a narrative overview of the Vegetation Management Procedure in the Technical Proposal.

From the beginning through the end of construction, the Design-Build Team shall maintain comprehensive "red-line" As-Constructed Drawings that detail when and where permanent / temporary / repair seeding and topdressing have been performed.

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 silt ditches (TSD), temporary silt fence (TSF), etc.).
4. Clean Water Diversions (CWD) shall not be used to divert offsite runoff through the project construction limits.
5. 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.
6. Take into account existing topography and show existing contour lines on Clearing and Grubbing Plans only.
7. 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 TSD's and temporary diversions (TD).
8. Protect existing streams; do not place erosion control devices in live streams unless permitted by the Division of Water Resources 401 Certification and the Army Corps of Engineers 404 Permit.
9. Sediment basins shall be sized to provide adequate silt storage for 3600 cubic feet per disturbed acre 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 (NCDEQ - *Erosion and Sediment Control Planning and Design Manual* or NOAA's National Weather Service website <http://dipper.nws.noaa.gov/hdsc/pfds/> for partial duration (ARI) time series type). A Sediment Basin Designer Spreadsheet will be provided by the NCDOT Roadside Environmental Unit upon request.
10. Infiltration 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 (NCDEQ - *Erosion and Sediment Control Planning and Design Manual* or NOAA's National Weather Service website <http://dipper.nws.noaa.gov/hdsc/pfds/> for partial duration (ARI) time series type). Infiltration Basin shall be designed to dewater in three days or less. Infiltration Basins shall not be placed in cut ditches and shall only be placed in areas where Skimmer Basins will not have positive drainage. An Infiltration Basin Designer Spreadsheet will be provided by the NCDOT Roadside Environmental Unit upon request.
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 (NCDEQ - *Erosion and Sediment Control Planning and Design Manual* or NOAA's National Weather Service web site <http://dipper.nws.noaa.gov/hdsc/pfds/> for partial duration (ARI) time series type). Skimmer Basins shall be designed to dewater in two to three days. A Skimmer Basin Designer Spreadsheet will be provided by the NCDOT Roadside Environmental Unit 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 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.
14. Include any culvert and / or pipe construction sequence plan sheets in the Clearing & Grubbing Plans; all pipes 48 inches or larger, or any combination of pipes that total 48 inches or more require a construction sequence. Prior to installation of pipes smaller than 48 inches 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.
15. During construction, provide temporary sediment basins that dewater from the surface at all permanent stormwater devices.
16. Utilize Coir Fiber Wattles with Polyacrylamide (PAM) and / or TRSC-As with Matting and PAM in temporary and permanent, existing and proposed ditches at a spacing of 50 feet in areas where sediment basins are not feasible at drainage outlets and in areas where sediment basins at drainage outlets with sediment traps (i.e. PIST-A, RIST-A, etc.), cannot be properly sized to surface area and / or sediment storage requirements due to safety concerns, right of way restrictions, utility conflicts, or other construction limitations approved by the NCDOT Roadside Environmental Unit.
17. Place a device utilizing PAM at all sediment basin inlets.
18. At a maximum spacing of 200 feet and as directed, utilize Coir Fiber Wattle drainage breaks in silt fence.
19. Do not place erosion control devices that require excavation (i.e. sediment basins, silt ditches, etc.) in wetlands.
20. Within the entire project limits, provide disturbed and undisturbed drainage areas in MicroStation Format.
21. For all drainage outlets where the runoff cannot be treated with a sediment basin and / or the sediment basin cannot be constructed to the required sediment storage or surface area requirements, provide a written explanation.
22. Silt Fence shall be designed for six-foot steel post spacing and with woven wire in accordance with the Reinforced Temporary Silt Fence Detail.
23. Excluding perimeter Sediment Basins that will function only during Clearing and Grubbing operations, all perimeter Sediment Basins shall be placed outside of fill slopes.

#### 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 (TSD, TSF, etc.).
4. Clean Water Diversions (CWD) shall not be used to divert offsite runoff through the project construction limits.
5. 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 TSD's and TD's.
6. Utilize temporary slope drains and earth berms at top of fill slopes five feet or higher and a fill slope grade of 4:1 or steeper, or where there are superelevations above 0.04 and fills are greater than three feet. Maximum slope drain spacing shall be 200 feet.
7. Utilize rock energy dissipater at outlet of slope drain.
8. Devices at all drainage turnouts shall utilize infiltration, skimmer, or sediment control stone (TRSD-B, TRSC-A, etc.) and a spillway with an adequately designed base length to distribute outflow.
9. Sediment basins shall be sized to provide adequate silt storage for 3600 cubic feet per disturbed acre 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 (NCDEQ - *Erosion and Sediment Control Planning and Design Manual* or NOAA's National Weather Service website <http://dipper.nws.noaa.gov/hdsc/pfds/> for partial duration (ARI) time series type). A Sediment Basin Designer Spreadsheet will be provided by the NCDOT Roadside Environmental Unit upon request.
10. Infiltration 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 (NCDEQ - *Erosion and Sediment Control Planning and Design Manual* or NOAA's National Weather Service website <http://dipper.nws.noaa.gov/hdsc/pfds/> for partial duration (ARI) time series type). Infiltration Basin shall be designed to dewater in three days or less. Infiltration Basins shall not be placed in cut ditches and shall only be placed in areas where Skimmer Basins will not have positive drainage. An Infiltration Basin Designer Spreadsheet will be provided by the NCDOT Roadside Environmental Unit upon request.
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 (NCDEQ - *Erosion and Sediment Control Planning and Design Manual* or NOAA's National Weather Service website <http://dipper.nws.noaa.gov/hdsc/pfds/> for partial duration (ARI) time series type). Skimmer Basins shall be designed to dewater in two to three days. A Skimmer Basin Designer Spreadsheet will be provided by the NCDOT Roadside Environmental Unit upon request.
12. Provide matting for erosion control in all ditch lines, including but not limited to temporary ditch lines (TDs) utilized to divert offsite runoff around construction areas, where the velocity is greater than 2.0 feet / sec, 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.

13. Unless otherwise approved by the Roadside Environmental Field Operations Engineer, provide matting for erosion control on all slopes (cut and fill) that are 4:1 or steeper and a height of eight feet or greater.
14. The minimum and maximum length to width ratio of all Sediment Basins shall be 2:1 and 6:1, respectively.
15. 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 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.
16. During construction, provide temporary sediment basins that dewater from the surface at all permanent stormwater devices.
17. Utilize Coir Wattles with Polyacrylamide (PAM) and / or TRSC-As with matting and PAM in temporary and permanent, existing and proposed ditches at a spacing of 50 feet in areas where sediment basins are not feasible at drainage outlets, and in areas where sediment basins at drainage outlets with sediment traps (i.e. PIST-A, RIST-A, etc.) cannot be properly sized to surface area and / or sediment storage requirements due to safety concerns, right of way restrictions, utility conflicts, or other construction limitations approved by the NCDOT Roadside Environmental Unit.
18. Place a device utilizing PAM at all sediment basin inlets.
19. At a maximum spacing of 200 feet and as directed, utilize Coir Fiber Wattle drainage breaks in silt fence.
20. Do not place erosion control devices that require excavation (i.e. sediment basins, silt ditches, etc.) in wetlands.
21. Within the entire project limits, provide disturbed and undisturbed drainage areas in MicroStation Format.
22. For all drainage outlets where the runoff cannot be treated with a sediment basin and / or the sediment basin cannot be constructed to the required sediment storage or surface area requirements, provide a written explanation.
23. Silt Fence shall be designed for six-foot steel post spacing and with woven wire in accordance with the Reinforced Temporary Silt Fence Detail.
24. All perimeter Sediment Basins shall be placed outside of fill slopes

### 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, including but not limited to Infiltration Basins, Skimmer Basins, Reinforced Temporary Silt Fence, Temporary Silt Fence Coir Fiber Wattle Drainage Breaks, etc.
- B. Provide matting summary sheet(s): matting for erosion control and permanent soil reinforcement mat
- C. Provide reforestation sheet(s): regular and / or wetland showing appropriate species

## III. Title Sheet

- A. Show correct notes: NCG-01, HQW, ESA, clearing and grubbing, etc.
- B. Show correct standards for project
- C. List of standard NCDOT symbology
- D. Show name and certification number of Level III certified individual responsible for designing and / or reviewing Erosion and Sedimentation Control Plans
- E. Show name of primary NCDOT Roadside Environmental Unit Erosion and Sedimentation Control Plan reviewer

## IV. 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/](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 & Sediment Control / Stormwater Certification* Project Special Provision found elsewhere in this RFP.

## V. Miscellaneous

- A. Plan submittals shall include all pertinent design information required for review, such as design calculations, drainage areas, etc.
- B. The NCDOT Roadside Environmental Unit will provide a sample set of Erosion and Sedimentation Control Plans (including any special details or special provisions used by the NCDOT Roadside Environmental Unit) 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 Roadside Environmental Unit.
- 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. Temporary access and haul roads located within the footprint and / or right of way / easement corridor of the project shall be part of the highway Erosion and Sedimentation Control Plans. Temporary access and haul roads associated with borrow pits and staging areas shall be included in the Reclamation Plan.

- F. To contain concrete waste water and associated concrete mix from washing out ready-mix trucks, drums, pumps, or other equipment, provide Concrete Washout Structures at egress points. Concrete Washout Structures must collect and retain all concrete waste water and solids so that this material does not migrate to surface waters or into the ground water. The Concrete Washout Structures are not intended for concrete waste not associated with washout operations. The Concrete Washout Structures may include devices above or below ground and / or commercially available devices designed specifically to capture concrete waste water. Concrete Washout Structure options may be found in the special provision, available at the website noted in Section IV above. For construction details of an above grade and below grade Concrete Washout Structure, reference the website noted below:

**[http://www.ncdot.gov/doh/operations/dp\\_chief\\_eng/roadside/soil\\_water/pdf/ConcreteWashoutStructuresdetail.pdf](http://www.ncdot.gov/doh/operations/dp_chief_eng/roadside/soil_water/pdf/ConcreteWashoutStructuresdetail.pdf)**

- G. Borrow or waste areas that are part of the project shall require a separate Reclamation Plan, unless the borrow or waste activity is regulated under the *Mining Act of 1971*, or is a landfill regulated by the Division of Waste Management (NCDEQ). For newly created borrow pit(s) that require dewatering, Borrow Pit(s) Dewatering Basins shall be required and shall be in accordance with the applicable Special Provisions available at the website noted in Section IV above. The Design-Build Team shall submit the location and permit number for waste / borrow sites covered by the Mining Act or regulated by DWM (NCDEQ) concurrently to the Design-Build Unit and the Resident Engineer. For Reclamation Procedures, see:

**[http://www.ncdot.org/doh/operations/dp\\_chief\\_eng/roadside/fieldops/downloads/Files/ContractedReclamationProcedures.pdf](http://www.ncdot.org/doh/operations/dp_chief_eng/roadside/fieldops/downloads/Files/ContractedReclamationProcedures.pdf)**

- H. 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.
- I. An accepted Erosion and Sedimentation Control Plan shall not exempt the Design-Build Team from making every effort to contain sediment onsite.
- J. Any Erosion Control Design revisions made during the construction of the project shall be submitted to the NCDOT Roadside Environmental Unit by the 15<sup>th</sup> of the month via the Design-Build Unit. At anytime requested by the Engineer or the NCDOT 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.
- K. The Design-Build Team shall comply with the North Carolina Administrative Code *Title 15A Environmental Quality* Chapter 4, Sedimentation Control.

- L. A pre-submittal meeting shall take place between the NCDOT Roadside Environmental Unit Soil & Water Engineering Section, the Design-Build Team, and any other pertinent NCDOT personnel before any Erosion and Sedimentation Control Designs are submitted to the NCDOT Roadside Environmental Unit. Erosion and Sedimentation Control Plan submittals shall only be reviewed and accepted by the NCDOT Roadside Environmental Unit after the Erosion and Sedimentation Control Pre-Submittal Meeting. The Design-Build Team shall be required to submit a tentative Erosion and Sedimentation Control Plan submittal schedule at the pre-submittal meeting.
- M. At minimum, the Design-Build Team shall bring one erosion control plan sheet with a Clearing & Grubbing erosion control design to the Erosion and Sedimentation Control pre-submittal meeting.
- N. 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.
- O. Immediately after the clearing and grubbing erosion control measures have been installed for the entire project, or for individual sections if the Design-Build Team has divided the project into construction segments, the Design-Build Team's erosion and sedimentation control designer shall field verify constructed dimensions and installation of all erosion control devices. After this initial inspection(s), the aforementioned designer shall review the project conditions a minimum of every 30 days during the heavy grading operations, and as directed by the Engineer, to verify the field conditions of disturbed areas draining to erosion control devices and to ensure that the erosion control devices provide the current field condition requirements for sediment storage and surface area. During construction, the NCDOT may conduct separate field inspections of the project conditions and the erosion control devices. The erosion and sedimentation control designer shall make appropriate design revisions to the Clearing and Grubbing, Intermediate Erosion Control Plans and / or Final Grade Erosion Control Plans resulting from / required by the Design-Build Team and / or the Departmental field inspections for the Department's review and acceptance, in accordance with the Design-Build Submittal Guidelines. The Design-Build Team shall concurrently provide written documentation of all field verifications / inspections performed by the Design-Build Team to the NCDOT Roadside Environmental Unit, Soil and Water Engineering and Field Operations Section, and the Resident Engineer. At a minimum, this documentation shall detail what was observed during the field verification / inspection and all resulting required actions with a timeframe for implementation. When the project conditions no longer warrant, in the sole discretion of the Department, inspections by the erosion and sedimentation control designer may cease.
- P. The Design-Build Team's erosion and sedimentation control designer shall submit design calculations, for the Department's review and acceptance, for all modifications to the Erosion and Sedimentation Control Plans that result in dimension modifications and / or relocations, other than minor shifts to accurately place, to the devices noted below:
- Skimmer Basin and all devices with Skimmers
  - Infiltration Basins
  - Temporary Rock Sediment Dam Type A

- Temporary Rock Sediment Dam Type B
- Temporary Rock Silt Check Type A
- Culvert Construction Sequences
- Temporary and Permanent Stream Channel Relocations

- Q. Erosion & Sediment Control / Stormwater Certification shall be required according to the Project Special Provision found elsewhere in this RFP.
- R. Prior to installation of any erosion control devices, the Design-Build Team shall verify boundaries of jurisdictional areas in the field and delineate with Safety Fence or flagging. For guidance on Safety Fence and flagging in jurisdictional areas, see:

**[http://www.ncdot.org/doh/operations/dp\\_chief\\_eng/roadside/fieldops/downloads/](http://www.ncdot.org/doh/operations/dp_chief_eng/roadside/fieldops/downloads/)**

- S. Once RFC Erosion and Sedimentation Control Plans are issued, any major design change or addition, any change that involves calculations, and any addition, deletion, or relocation of a sediment basin shall be submitted to the NCDOT Roadside Environmental Unit for review and acceptance. Minor changes such as moving silt fence, adding or moving temporary ditches (unless adding new runoff flow to a sediment basin), and adding or moving slope drains shall be reviewed by the Engineer in the field.
- T. All erosion control measures with stone extending beyond the construction limits shall be considered temporary fill. If impacted wetland areas are permitted as Hand Clearing, then the aforementioned temporary fill shall be permitted as Temporary Fill in Hand Cleared Areas for Erosion Control. (Reference the Environmental Permits Scope of Work found elsewhere in this RFP).
- U. At a minimum, the Design-Build Team shall install Floating Turbidity Curtain around each bridge end bent and construction staging areas in the water on the north and south side approaches. If Turbidity Curtain is required at proposed bridge columns by environmental regulatory agencies, the Design-Build Team shall submit a Turbidity Curtain design for the bridge columns to the NCDOT Roadside Environmental Unit for review and acceptance.
- V. Sediment basins that drain directly into jurisdictional water or have a total drainage area of one acre or more shall be designed and constructed with outlet structures that only withdraw water from the surface. For sediment basins that do not drain directly into jurisdictional water or have less than one acre of total drainage area, surface dewatering outlets or stone outlets may be provided.
- W. In accordance with the requirements noted herein, the Design-Build Team shall be responsible for erosion control design, plans, plan implementation and maintenance of erosion control measures for all utility installation and relocation work performed by the Design-Build Team. To ensure that the Design-Build Team's erosion control designs, plan implementation and / or maintenance of erosion control measures do not conflict with the erosion control design, plan implementation and / or maintenance of erosion control measures for utility installation and / or relocation work performed by others, the Design-Build Team shall coordinate with the utility companies performing Utilities by Others (UBO) work.

#### X. Ground Cover Stabilization Requirements – NCG01000 (7 – 14 days)

Ground cover stabilization shall comply with the timeframe guidelines specified by the North Carolina Department of Environmental Quality Division of Water Resources NCG-010000 General Construction Permit that became effective on August 3, 2011. Excluding the slopes noted below, temporary and permanent ground cover stabilization shall be provided within seven calendar days from the last land-disturbing activity. The Design-Build Team shall label all slopes subject to the seven-day ground cover stabilization requirements on all Erosion and Sedimentation Control Plans submitted to the Department for review and acceptance.

For the slopes noted below, temporary and / or permanent ground cover stabilization shall be provided within 14 calendar days from the last land-disturbing activity:

- Slopes between 2:1 and 3:1, with a slope length of ten feet or less
- Slopes 3:1 or flatter, with a slope length of 50 feet or less
- Slopes 4:1 or flatter

Temporary and / or permanent ground cover stabilization shall be provided in accordance with the provisions in this RFP, the Vegetation Management Procedure developed by the Design-Build Team and NCG-010000.

#### Y. Additional Ground Cover Stabilization Requirements

Once the Design-Build Team identifies the area for stabilization due to inactivity, the Design-Build Team shall obtain concurrence from the Engineer and adhere to the following options based on the estimated amount of time the area will remain inactive. If the area stabilized exceeds the estimated timeframe, the Design-Build Team shall implement the next level of stabilization as directed by the Engineer.

All application rates noted below are in pounds per acre.

##### **Short Term Stabilization: For areas that will remain inactive for up to 21 days**

Erodible areas shall be stabilized utilizing non-vegetative cover. Non-vegetative cover options include straw mulch, hydraulic applied erosion control products or rolled erosion control products. If straw mulch is used, it shall provide 100% groundcover and be tacked sufficiently to hold the mulch in place for the duration of the inactive period. All other methods shall be installed according to the manufacturer's directions.

**Mid-Term Stabilization: For areas that will remain inactive for up to 90 days**

Erodible areas shall be stabilized utilizing the following stabilization protocol:

**March 1 - August 31**

50# German or Browntop Millet  
500# Fertilizer  
4000# Limestone

**September 1 - February 28**

50# Rye Grain or Wheat  
500# Fertilizer  
4000# Limestone

At the Engineer's sole discretion, the use of limestone on sandy soils that require topsoil for stabilization may be eliminated. The Design-Build Team shall consult with, and obtain written approval from, the NCDOT Roadside Environmental Unit prior to eliminating limestone.

Upon obtaining written approval from the Engineer, the Design-Build Team may use wood mulch and / or ground clearing and grubbing debris as an option for Mid-Term Stabilization. If approved in writing, the aforementioned mulch and / or debris shall be installed at a thickness that prevents erosion.

**Long Term Stabilization: For areas that will remain inactive for more than 91 days**

Erodible areas shall be stabilized utilizing the following stabilization protocol:

**All Roadway Areas****March 1 - August 31**

10# Centipede \*  
50# Tall Fescue Cultivars \*\*  
50# Bahiagrass  
25# Bermudagrass (hulled)  
500# Fertilizer  
4000# Limestone

**September 1 - February 28**

10# Centipede \*  
50# Tall Fescue Cultivars \*\*  
50# Bahiagrass  
35# Bermudagrass (unhulled)  
500# Fertilizer  
4000# Limestone

\* On cut and fill slopes 2:1 or steeper, the Design-Build Team shall apply centipede at a rate of five pounds per acre.

### Waste and Borrow Locations

#### March 1 – August 31

75# Tall Fescue Cultivars \*\*  
 50# Bahiagrass  
 25# Bermudagrass (hulled)  
 500# Fertilizer  
 4000# Limestone

#### September 1 - February 28

75# Tall Fescue Cultivars \*\*  
 50# Bahiagrass  
 35# Bermudagrass (unhulled)  
 500# Fertilizer  
 4000# Limestone

### Riparian and Wetland Locations

#### March 1 - August 31

18# Creeping Red Fescue Cultivars \*\*\*  
 6# Indiangrass  
 8# Little Bluestem  
 4# Switchgrass  
 25# Browntop or German Millet  
 500# Fertilizer  
 4000# Limestone

#### September 1 - February 28

18# Creeping Red Fescue Cultivars \*\*\*  
 6# Indiangrass  
 8# Little Bluestem  
 4# Switchgrass  
 35# Rye Grain  
 500# Fertilizer  
 4000# Limestone

**\*\* Approved Tall Fescue Cultivars**

4-Season	Blue Velvet	Gladstone	Quantum Leap
Alexa II	Blueberry	Granite	Rambo
America	Boomerang	Hampton	Rhapsody
Apollo	Brilliant	Harmonie	Rhythm
Arcadia	Cabernet	Impact	Rita
Aries	Champagne	Jefferson	Royce
Armada	Champlain	Juliet	Rubicon
Arrow	Chicago II	Jump Start	Rugby II
Arrowhead	Corsair	Keeneland	Shiraz
Aura	Courtyard	Langara	Showcase
Avid	Delight	Liberator	Skye
Award	Diva	Madison	Solar Eclipse
Awesome	Dynamo	Mercury	Sonoma
Bandera	Eagleton	Midnight	Sorbonne
Barduke	Emblem	Midnight II	Starburst
Barnique	Empire	Moon Shadow	Sudden Impact
Baroness	Envicta	Moonlight SLT	Total Eclipse
Barrister	Everest	Mystere	Touche
Barvette HGT	Everglade	Nu Destiny	Tsunami
Bedazzled	Excursion	NuChicago	Unique
Belissimo	Freedom II	NuGlade	Valor
Bewitched	Freedom III	Odyssey	Voyager II
Beyond	Front Page	Perfection	Washington
Blacksburg II	Futurity	Pinot	Zinfandel
Blackstone	Gaelic	Princeton 105	
Blue Note	Ginney II	Prosperity	

**\*\*\* Approved Creeping Red Fescue Cultivars**

Aberdeen                      Boreal                      Epic                      Cindy Lou

From January 1 – December 31, the Design-Build Team shall apply an additional 20# of Sericea Lespedeza on cut and fill slopes 2:1 or steeper.

Fertilizer shall be 10-20-20 analysis or a different analysis that provides a 1-2-2 ratio applied at a rate that provides the same amount of plant food as a 10-20-20 analysis and as directed.

**Soil Analysis**

If vegetation establishment indicates a deficiency in soil nutrients or an incurred pH level is present, the Design-Build Team shall take soil samples and apply additional soil amendments to the affected area and as directed.

### **Fertilizer Topdressing**

In accordance with the requirements noted below, the Design-Build Team shall apply a minimum of one Fertilizer Topdressing application to all permanently seeded areas immediately prior to completion of the project, twice during every growing season from April 1<sup>st</sup> through September 30<sup>th</sup>, and at other times as directed.

Fertilizer used for topdressing shall be 10-20-20 analysis applied at a rate of 500 pounds per acre; or a different analysis that provides a 1-2-2 ratio applied at a rate that provides the same amount of plant food as a 10-20-20 analysis, and as directed.

Fertilizer used for waste and borrow areas shall be 16-8-8 grade applied at a rate of 500 pounds per acre; or a different analysis that provides a 2-1-1 ratio applied at a rate that provides the same amount of plant food as a 16-8-8 analysis, and as directed.

### **Supplemental Seeding**

For all supplemental seeding, the kinds of seed and proportions shall be the same as specified above for *Long Term Stabilization*, with the exception that centipede seed will not be allowed in the seed mix. The rate of application for supplemental seeding shall be between 25# to 75# per acre. Prior to topdressing, the Design-Build Team shall determine the actual rate per acre for supplemental seeding and submit the supplemental seeding rate and areas to the Department for review and acceptance.

To prevent disturbance of existing vegetation, minimum tillage equipment, consisting of a sod seeder, shall be used to incorporate seed into the soil where degree of slope allows. Where degree of slope prevents the use of a sod seeder, a clodbuster (ball and chain) may be used.

### **Mowing**

The minimum mowing height shall be four inches.

## **EROSION CONTROL LIQUIDATED DAMAGES**

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 2012 *Standard Specifications for Roads and Structures*.

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.

**PUBLIC INFORMATION SCOPE OF WORK** (1-14-16)

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

- Organizing public meetings, including venue selection, reservation and fee
- Providing media announcements
- Developing and producing informational print materials for all meetings and workshops
- Soliciting and administering advertisements, as deemed necessary
- Mailings to the identified target audiences, including postage

The Design-Build Team shall coordinate with the Department to promote public awareness for this project. The amount of public involvement required for this project is directly based on the Design-Build Team's Transportation Management Plan and construction details. The Design-Build Team's responsibilities shall include:

- Providing information requested by the Department to develop and produce informational print materials for all meetings and workshops.
- 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 at least six weeks 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 six (6) 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, 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 minimum public information requirements solely associated with the Transportation Management Plans shall include, but not be limited to the following:

- 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 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. If the Design-Build Team informs the Department of the aforementioned activities less than six (6) weeks in advance, the Design-Build Team shall hand deliver the informational materials to the impacted target audiences.

The Department will be responsible for establishing, creating, maintaining and updating the project website for this project. However, throughout the project duration, the Design-Build Team shall coordinate with Kelly Gardner (kgardner3@ncdot.gov), the Web Content Manager in the NCDOT Communications Office, to ensure the accuracy of the aforementioned project website. At a minimum, the Design-Build Team shall designate a contact for public information inquiries / coordination. Throughout construction, this contact shall provide weekly updates to the NCDOT Communications Office, including, but not limited to, traffic control phasing, graphic illustrations, project pictures, etc.

The Design-Build shall discuss in the Technical Proposal their approach to providing the public with communication access to project personnel to inquire as to traffic impacts, including vehicular, boat and pedestrian, especially during the higher traffic volume summer months.

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.

**\*\*\* STANDARD SPECIAL PROVISIONS \*\*\*****VALUE ENGINEERING PROPOSALS**

(4-6-15)

104

DB01 G116

Value Engineering Proposals (VEP), as specified in Article 104-12 of the 2012 *Standard Specifications for Roads and Structures* will be accepted. Only proposals, which alter the Technical Proposal submitted by the Design-Build Team and / or the requirements of the RFP issued by the Department, will be considered as Value Engineering Proposals.

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 1-36, Subarticle 104-12(B), Evaluation of Proposals, lines 42-44**, replace the fourth sentence of the second paragraph with the following:

Pending execution of a formal supplemental agreement implementing an approved VEP and transferal of final plans (hard copy and electronic), sealed by an engineer licensed in the State of North Carolina, incorporating an approved VEP to the State Value Management Engineer, the Resident Engineer and the Design-Build Unit, the Design-Build Team shall remain obligated to perform the work in accordance with the terms of the existing contract with no additional contract time or compensation.

**Page 1-37, Subarticle 104-12(D), Preliminary Review, lines 9-12**, replace the first sentence of the first paragraph with the following:

Should the Design-Build Team desire a preliminary review of a possible VEP, prior to expending considerable time and expense in full development, a copy of the Preliminary VEP shall be concurrently submitted to the State Value Management Engineer at **ValueManagementUnit@ncdot.gov**, the Resident Engineer and the Design-Build Unit.

**Page 1-37, Subarticle 104-12(E), Final Proposal, lines 22-23**, replace the first sentence of the first paragraph with the following:

The Design-Build Team shall concurrently submit a copy of the Final VEP to the State Value Management Engineer at **ValueManagementUnit@ncdot.gov**, the Resident Engineer and the Design-Build Unit.

**Page 1-38, Subarticle 104-12(F), Modifications, lines 2-8**, replace the first paragraph with the following:

The preparation of new design drawings by the Design-Build Team shall be coordinated with the appropriate Department personnel through the State Value Management Engineer. The Design-Build Team shall provide, at no charge to the Department, one set of reproducible drawings of the approved design needed to implement the VEP. Drawings (hard copy and electronic) which are sealed by an engineer licensed in the State of North Carolina shall be concurrently submitted to the State Value Management Engineer, the Resident Engineer and the Design-Build Unit no later than ten (10) business days after acceptance of a VEP, unless otherwise permitted in writing.

**Page 1-38, Subarticle 104-12(F), Modifications, line 17**, add the following at the end of the third paragraph:

Supplemental agreements shall add one line item deducting the full savings from the lump sum price bid for the entire project and one line item crediting the Design-Build Team with 50.0% of the total VEP savings.

**Page 1-38, Subarticle 104-12(F), Modifications, lines 45-47**, replace the eighth paragraph with the following:

Unless and until a supplemental agreement is executed and issued by the Department; and final plans (hard copy and electronic) sealed by an engineer licensed in the State of North Carolina incorporating an approved VEP have been concurrently provided to the State Value Management Engineer, the Resident Engineer and the Design-Build Unit, the Design-Build Team shall remain obligated to perform the work in accordance with the terms of the existing contract with no additional contract time or compensation.

### **PLANT AND PEST QUARANTINES**

#### **(Imported Fire Ant, Gypsy Moth, Witchweed, And Other Noxious Weeds)**

(8-31-13)

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, 919-707-3730, or <http://www.ncagr.gov/plantindustry/> 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.

### **GIFTS FROM VENDORS AND CONTRACTORS**

(12-15-09)

DB1 G152

By Executive Order 24, issued by Governor Perdue, and N.C. *G.S. § 133-32*, it is unlawful for any vendor or contractor (i.e. architect, bidder, contractor, construction manager, design professional, engineer, landlord, offeror, seller, subcontractor, supplier, or vendor), to make gifts or to give favors to any State employee of the Governor's Cabinet Agencies (i.e. Administration, Commerce, Correction, Crime Control and Public Safety, Cultural Resources, Environment and Natural Resources, Health and Human Services, Juvenile Justice and Delinquency Prevention, Revenue, Transportation, and the Office of the Governor). This prohibition covers those vendors and contractors who:

- (1) have a contract with a governmental agency; or
- (2) have performed under such a contract within the past year; or
- (3) anticipate bidding on such a contract in the future.

For additional information regarding the specific requirements and exemptions, vendors and contractors are encouraged to review Executive Order 24 and *G.S. § 133-32*.

Executive Order 24 also encouraged and invited other State Agencies to implement the requirements and prohibitions of the Executive Order to their agencies. Vendors and contractors should contact other State Agencies to determine if those agencies have adopted Executive Order 24.

### **LIABILITY INSURANCE**

(3-19-14)

DB1 G160

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 1-60, Article 107-15, LIABILITY INSURANCE, line 16**, add the following as the second sentence of the third paragraph:

Prior to beginning services, all contractors shall provide proof of coverage issued by a workers' compensation insurance carrier, or a certificate of compliance issued by the Department of Insurance for self-insured subcontractors, irrespective of whether having regularly in service fewer than three employees.

**STATE HIGHWAY ADMINISTRATOR TITLE CHANGE**

(7-31-12)

DB1 G185

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

Replace all references to “State Highway Administrator” with “Chief Engineer”.

**SUBLETTING OF CONTRACT**

(12-19-2014)

108-6

DB1 G186

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 1-67, Article 108-6, SUBLETTING OF CONTRACT, line 7**, add the following as the second sentence of the fourth paragraph:

Purchasing materials for subcontractors is not included in the percentage of work required to be performed by the Design Build Team. If the Design Build Team sublets items of work but elects to purchase material for the subcontractor, the value of the material purchased will be included in the total dollar amount considered to have been sublet.

**NAME CHANGE FOR NCDENR**

(11-25-15)

DB Z11

Wherever in the 2012 *Standard Specifications for Roads and Structures*, elsewhere in this RFP, or material / information provided by the Department that reference is made to “NCDENR” or “North Carolina Department of Environment and Natural Resources”, replace with “NCDEQ” or “North Carolina Department of Environmental Quality”, respectively, as the case may be.

**SELECT GRANULAR MATERIAL**

(9-1-11)

DB2 R80

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 2-28, Article 265-2 MATERIALS**, add the following:

Use only Class III select material for select granular material.

**ROCK AND BROKEN PAVEMENT FILLS**

(12-29-15)

235

DB2 R85

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 2-22, Article 235-2 MATERIALS**, add the following after **line 19**:

<b>Item</b>	<b>Section</b>
Geotextile for Rock and Broken Pavement Fills, Type 2	1056

Provide Type 2 geotextile for filtration geotextiles. Use rip rap and No. 57 stone from either a quarry or onsite material to fill voids in rock and broken pavement fills. Provide small and large size rip rap with stone sizes that meet Class A and B in accordance with Table 1042-1 and No. 57 stone with a gradation that meets Table 1005-1 or use similar size onsite material approved by the Engineer.

**Page 2-23, Subarticle 235-3(B) Embankment Formation, lines 18-19,** delete the third sentence in the seventh paragraph.

**Page 2-23, Subarticle 235-3(B) Embankment Formation, lines 21-23,** replace the eighth paragraph with the following:

Before placing embankment fill material or filtration geotextiles over rock and broken pavement, fill voids in the top of rock and broken pavement fill with rip rap and No. 57 stone. Place and compact larger rip rap first followed by smaller rip rap. Then, fill any remaining voids with No. 57 stone so geotextiles are not torn, ripped or otherwise damaged when installed and covered. Compact rip rap and No. 57 stone with tracked equipment or other approved methods. Install filtration geotextiles on top of rock, broken pavement, rip rap and No. 57 stone in accordance with Article 270-3 before placing remaining embankment fill material.

Remove any rocks, debris or pavement pieces from the roadbed larger than two inches within 12" of the subgrade or finished grade, whichever is lower.

### **BRIDGE APPROACH FILLS**

(9-1-11)

DB4 R01

#### **Description**

Bridge approach fills include bridge approach fills for sub regional tier bridges and reinforced bridge approach fills. Construct bridge approach fills in accordance with the contract and Roadway Standard Drawing Nos. 422.10 or 422.11. Define “geosynthetics” as geotextiles or geomembranes.

#### **Materials**

Refer to Division 10 of the 2012 *Standard Specifications for Roads and Structures*.

<b>Item</b>	<b>Section</b>
Anchor Pins	1056-2
Geotextiles	1056
Portland Cement Concrete	1000
Select Material	1016
Subsurface Drainage Materials	1044
Wire Staples	1060-8(D)

For bridge approach fills for sub regional tier bridges, provide Type 1 geotextile for filtration geotextiles. For reinforced bridge approach fills, provide Type 5 geotextile for geotextile reinforcement and Type 1 geotextile and No. 78M stone for drains. Use Class B concrete for concrete pads.



Use Class III or V select material for reinforced bridge approach fills and only Class V select material (standard size No. 78M stone) for bridge approach fills for sub regional tier bridges. Provide PVC pipes, fittings and outlet pipes for subsurface drainage materials. For drains and PVC pipes behind end bents, use pipes with perforations that meet AASHTO M 278.

Use PVC, HDPE or linear low density polyethylene (LLDPE) geomembranes for reinforced bridge approach fills. For PVC geomembranes, provide grade PVC30 geomembranes that meet ASTM D7176. For HDPE and LLDPE geomembranes, use geomembranes with a nominal thickness of at least 30 mils that meet Geosynthetic Research Institute Standard Specifications GM13 or GM17, respectively. Handle and store geomembranes in accordance with Article 1056-2 of the 2012 *Standard Specifications for Roads and Structures*. Provide material certifications for geomembranes in accordance with Article 1056-3 of the 2012 *Standard Specifications for Roads and Structures*.

### **Construction Methods**

Excavate as necessary for bridge approach fills in accordance with the contract. Notify the Engineer when foundation excavation is complete. Do not place geomembranes or filtration geotextiles until excavation dimensions and foundation material are approved. Attach geomembranes and filtration geotextiles to end bent cap back and wing walls with adhesives, tapes or other approved methods. Glue or weld geomembrane seams to prevent leakage.

For reinforced bridge approach fills, place geotextile reinforcement within 3" of locations shown in Roadway Standard Drawing No. 422.10 and in slight tension free of kinks, folds, wrinkles or creases. Install geotextile reinforcement with the orientation, dimensions and number of layers shown in Roadway Standard Drawing No. 422.10. Place first layer of geotextile reinforcement directly on geomembranes with no void or material in between. Install geotextile reinforcement with the machine direction (MD) parallel to the roadway centerline. The MD is the direction of the length or long dimension of the geotextile roll. Do not splice or overlap geotextile reinforcement in the MD so seams are perpendicular to the roadway centerline. Wrap geotextile reinforcement at end bent cap back and wing walls as shown in Roadway Standard Drawing No. 422.10 and directed by the Engineer. Extend geotextile reinforcement at least four feet back behind end bent cap back and wing walls into select material.

Overlap adjacent geotextiles at least 18" with seams oriented parallel to the roadway centerline. Hold geotextiles in place with wire staples or anchor pins as needed. Contact the Engineer when existing or future obstructions such as foundations, pavements, pipes, inlets or utilities will interfere with geosynthetics.

For reinforced bridge approach fills, construct one foot square drains consisting of 4" diameter continuous perforated PVC pipes surrounded by No. 78M stone wrapped in Type 1 geotextiles. Install drains in accordance with Roadway Standard Drawing No. 422.10. For bridge approach fills for sub regional tier bridges, install 4" diameter continuous perforated PVC drain pipes in accordance with Roadway Standard Drawing No. 422.11.

Use solvent cement to connect PVC pipes so joints do not leak. Connect perforated pipes to outlet pipes just behind wing walls. Provide drain pipes and drains with positive drainage towards outlets. Place pipe sleeves in or under wing walls for outlet pipes so positive drainage is

maintained. Use sleeves that can withstand wing wall loads.

Place select material in 8" to 10" thick lifts. Use only hand operated compaction equipment to compact select material for bridge approach fills. Compact Class III select material in accordance with Subarticle 235-3(C) of the 2012 *Standard Specifications for Roads and Structures*. Compact No. 78M stone with a vibratory compactor to the satisfaction of the Engineer. Do not displace or damage geosynthetics, drain pipes or drains when placing and compacting select material. End dumping directly on geosynthetics is not permitted. Do not operate heavy equipment on geosynthetics, drain pipes or drains until they are covered with at least 8" of select material. Replace any damaged geosynthetics, drain pipes or drains to the satisfaction of the Engineer.

Cover open ends of outlet pipes with rodent screens as shown in Roadway Standard Drawing No. 815.03. Connect ends of outlet pipes to concrete pads or existing drainage structures as directed by the Engineer. Construct concrete pads with an Ordinary surface finish that meets Subarticle 825-6(B) of the 2012 *Standard Specifications for Roads and Structures*.

### **PREPARATION OF SUBGRADE AND BASE**

(9-1-11)

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 2012 *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 developed by the Design-Build Team or established by the Engineer.

### **CLASS IV AGGREGATE STABILIZATION**

(10-02-14)

510

DB05 R12

#### **Description**

As directed by the Engineer, stabilize sandy subgrade material with Class IV aggregate to prevent rutting of the subgrade prior to paving directly on the subgrade. Remove material as needed in cut areas prior to placing the Class IV aggregate.

#### **Materials**

Refer to Division 10

<b>Item</b>	<b>Section</b>
Select Material, Class IV	1016

Use Class IV Select Material for Class IV Aggregate Stabilization.

**Construction Methods**

As directed by the Engineer, place aggregate by end dumping aggregate on approved subgrade soils to provide a working platform and reduce wheel rutting of subgrade material. Place the Class IV aggregate stabilization to a thickness of three to four inches.

**Maintenance**

Maintain aggregate stabilization in an acceptable condition and minimize the use of heavy equipment on aggregate in order to avoid damaging the subgrade. Provide and maintain drainage ditches and drains as required to prevent entrapping water in aggregate stabilization.

**AGGREGATE BASE COURSE**

(10-2-14)

520

DB05 R14

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 5-10, Article 520-5, HAULING AND PLACING AGGREGATE BASE MATERIAL,** add the following sentence to the end of the first paragraph starting on **line 21**:

In addition, as approved by the Engineer, place by end dumping aggregate on approved sandy subgrade soils to provide a working platform and reduce wheel rutting of the subgrade. When allowed, end dumping will be limited to a uniformly spread thickness of two to three inches prior to placing the remaining aggregate thickness with a mechanical spreader.

**ASPHALT PAVEMENTS - SUPERPAVE**

(6-19-12) (Rev. 11-20-15)

605, 609, 610, 650

DB 6 R01

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 6-3, Article 605-7, APPLICATION RATES AND TEMPERATURES,** replace this article, including Table 605-1, with the following:

Apply tack coat uniformly across the existing surface at target application rates shown in Table 605-1.

<b>TABLE 605-1 APPLICATION RATES FOR TACK COAT</b>	
<b>Existing Surface</b>	<b>Target Rate (gal/sy)</b>
	<b>Emulsified Asphalt</b>
New Asphalt	0.04 ± 0.01
Oxidized or Milled Asphalt	0.06 ± 0.01
Concrete	0.08 ± 0.01

Apply tack coat at a temperature within the ranges shown in Table 605-2. Tack coat shall not be overheated during storage, transport or at application.

<b>TABLE 605-2</b>	
<b>APPLICATION TEMPERATURE FOR TACK COAT</b>	
<b>Asphalt Material</b>	<b>Temperature Range</b>
Asphalt Binder, Grade PG 64-22	350 - 400° F
Emulsified Asphalt, Grade RS-1H	130 - 160° F
Emulsified Asphalt, Grade CRS-1	130 - 160° F
Emulsified Asphalt, Grade CRS-1H	130 - 160° F
Emulsified Asphalt, Grade HFMS-1	130 - 160° F
Emulsified Asphalt, Grade CRS-2	130 - 160° F

**Page 6-7, Article 609-3, FIELD VERIFICATION OF MIXTURE AND JOB MIX FORMULA ADJUSTMENTS, lines 35-37,** delete the second sentence of the second paragraph.

**Page 6-18, Article 610-1, DESCRIPTION, lines 40-41,** delete the last sentence of the last paragraph.

**Page 6-19, Subarticle 610-3(A), Mix Design-General, line 5,** add the following as the first paragraph:

Warm mix asphalt (WMA) is allowed for use at the Design-Build Team's option in accordance with the NCDOT Approved Products List for WMA Technologies available at:

**<https://connect.ncdot.gov/resources/Materials/MaterialsResources/Warm%20Mix%20Asphalt%20Approved%20List.pdf>**

**Page 6-20, Subarticle 610-3(C), Job Mix Formula (JMF), lines 47-48,** replace the last sentence of the third paragraph with the following:

The JMF mix temperature shall be within the ranges shown in Table 610-1 unless otherwise approved.

**Page 6-21, Subarticle 610-3(C), Job Mix Formula (JMF),** replace Table 610-1 with the following:

<b>TABLE 610-1 MIXING TEMPERATURE AT THE ASPHALT PLANT</b>	
<b>Binder Grade</b>	<b>JMF Mix Temperature</b>
PG 58-28; PG 64-22	250 – 290° F
PG 70-22	275- 305° F
PG 76-22	300- 325° F

**Page 6-21, Subarticle 610-3(C), Job Mix Formula (JMF), lines 1-2**, in the first sentence of the first paragraph, delete “and compaction”. Lines 4-7, delete the second paragraph and replace with the following:

When RAS is used, the JMF mix temperature shall be established at 275° F or higher.

**Page 6-22, Article 610-4, WEATHER, TEMPERATURE AND SEASONAL LIMITATIONS FOR PRODUCING AND PLACING ASPHALT MIXTURES, lines 15-17**, replace the second sentence of the first paragraph with the following:

Do not place asphalt material when the air or surface temperatures, measured at the location of the paving operation away from artificial heat, do not meet Table 610-5.

**Page 6-23, Article 610-4, WEATHER, TEMPERATURE AND SEASONAL LIMITATIONS FOR PRODUCING AND PLACING ASPHALT MIXTURES**, replace Table 610-5 with the following:

<b>TABLE 610-5 PLACEMENT TEMPERATURES FOR ASPHALT</b>	
<b>Asphalt Concrete Mix Type</b>	<b>Minimum Surface and Air Temperature</b>
B25.0B, C	35° F
I19.0B, C, D	35° F
SF9.5A, S9.5B	40° F <sup>A</sup>
S9.5C, S12.5C	45° F <sup>A</sup>
S9.5D, S12.5D	50° F

- A.** For the final layer of surface mixes containing recycled asphalt shingles (RAS), the minimum surface and air temperature shall be 50° F.

**Page 6-23, Subarticle 610-5(A), General, lines 33-34**, replace the last sentence of the third paragraph with the following:

Produce the mixture at the asphalt plant within  $\pm 25^{\circ}$  F of the JMF mix temperature. The temperature of the mixture, when discharged from the mixer, shall not exceed 350° F.

**Page 6-26, Article 610-7, HAULING OF ASPHALT MIXTURE, lines 22-23**, in the fourth sentence of the first paragraph replace “so as to overlap the top of the truck bed and” with “to”. **Line 28**, in the last paragraph, replace “+15° F to -25° F of the specified JMF temperature.” with “ $\pm 25^{\circ}$  F of the specified JMF mix temperature.”

**Page 6-26, Article 610-8, SPREADING AND FINISHING, line 34**, add the following new paragraph:

As referenced in Section 9.6.3 of the *HMA / QMS Manual*, use the automatic screed controls on the paver to control the longitudinal profile. Where approved by the Engineer, the Design-Build Team has the option to use either a fixed or mobile string line.

**Page 6-29, Article 610-13, FINAL SURFACE TESTING AND ACCEPTANCE, line 39**, add the following after the first sentence in the first paragraph:

Smoothness acceptance testing using the inertial profiler is not required on ramps and turn lanes that are less than 1000 feet and all loops.

**Page 6-30, Subarticle 610-13(A), Option 1 – Inertial Profiler, lines 15-16**, replace the fourth sentence of the fourth paragraph with the following:

The interval at which relative profile elevations are reported shall be 2”.

**Page 6-30, Subarticle 610-13(A), Option 1 – Inertial Profiler, lines 25-28**, replace the ninth paragraph with the following:

Operate the profiler at any speed, as per the manufacturer’s recommendations, to collect valid data.

**Page 6-30, Subarticle 610-13(A), Option 1 – Inertial Profiler, lines 30-31**, delete the third sentence of the tenth paragraph.

**Page 6-31, Subarticle 610-13(A), Option 1 – Inertial Profiler, lines 11-13**, replace the first sentence of the third paragraph with the following:

After testing, transfer the profile data from the profiler portable computer’s hard drive to a write once storage media (Flash drive, USB, DVD-R or CD-R) or electronic media approved by the Engineer.

**Page 6-31, Subarticle 610-13(A), Option 1 – Inertial Profiler, lines 17-18**, replace the first sentence of the fourth paragraph with the following:

Submit a report with the documentation and electronic data of the evaluation for each section to the Engineer within ten days after completion of the smoothness testing. The report shall be in the tabular format for each 0.10 segment, or a portion thereof, with a summary of the MRI values and the localized roughness areas including corresponding project station numbers or acceptable reference points. Calculate the pay adjustments for all segments in accordance with the formulas in Sections (1) and (2) shown below. The Engineer shall review and approve all pay adjustments unless corrective action is required.

**Page 6-31, Subarticle 610-13(A)(1), Acceptance for New Construction, lines 36-37,** replace the third paragraph with the following:

The price adjustment will apply to each 0.10-mile section, or prorated for a portion thereof, based on the Mean Roughness Index (MRI), the average IRI values from both wheel paths.

**Page 6-32, Subarticle 610-13(A)(2), Localized Roughness, lines 12-16,** replace the first paragraph with the following:

Areas of localized roughness shall be identified through the “Smoothness Assurance Module (SAM)” provided in the ProVAL software. Use the SAM report to optimize repair strategies by analyzing the measurements from profiles collected using inertial profilers. The ride quality threshold for localized roughness shall be 165 in/mile for any sections that are 15 feet to 100 feet in length at the continuous short interval of 25 feet. Submit a continuous roughness report to identify each section with project station numbers or reference points outside the threshold and identify all localized roughness, with the signature of the Operator included with the submitted IRI trace and electronic files.

**Page 6-32, Subarticle 610-13(A)(2), Localized Roughness, line 21,** add the following new paragraph:

If the Engineer does not require corrective action, the pay adjustment for each area of localized roughness shall be based on the following formula:

$$PA = (165 - LR\#) 5$$

Where:

- PA = Pay Adjustment (dollars)
- LR# = The Localized Roughness number determined from SAM report for the ride quality threshold

**Page 6-41, Subarticle 650-3(B), Mix Design Criteria,** replace Table 650-1 with the following:

<b>Grading Requirements</b>	<b>Total Percent Passing</b>		
	<i>Type FC-1</i>	<i>Type FC-1 Modified</i>	<i>Type FC-2 Modified</i>
<i>Sieve Size (mm)</i>			
19.0	-	-	100
12.5	100	100	80 - 100
9.50	75 - 100	75 - 100	55 - 80
4.75	25 - 45	25 - 45	15 - 30
2.36	5 - 15	5 - 15	5 - 15
0.075	1.0 - 3.0	1.0 - 3.0	2.0 - 4.0

**ASPHALT BINDER CONTENT OF ASPHALT PLANT MIXES**

(6-07-12)

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_	4.4%
Asphalt Concrete Intermediate Course	Type I 19.0_	4.8%
Asphalt Concrete Surface Course	Type S 4.75A	6.8%
Asphalt Concrete Surface Course	Type SA-1	6.8%
Asphalt Concrete Surface Course	Type SF 9.5A	6.7%
Asphalt Concrete Surface Course	Type S 9.5_	6.0%
Asphalt Concrete Surface Course	Type S 12.5_	5.6%

The actual asphalt binder content will be established during construction by the Engineer within the limits established in the 2012 *Standard Specifications for Roads and Structures*.

**ASPHALT PLANT MIXTURES**

(07-01-95)

DB6 R20

Place asphalt concrete base course material in trench sections with asphalt pavement spreaders made for the purpose or with other equipment approved by the Engineer.

**FINAL SURFACE TESTING**

(4-26-16)

DB6 R45

On all mainline travel lanes and -Y- Line travel lanes with 1) two or more layers of asphalt, 2) one mile or greater in length, and 3) a posted speed limit of 45 mph or greater, perform smoothness acceptance testing of the longitudinal profile of the finished pavement surface using an Inertial Profiler in accordance with Article 610-13 of the 2012 *Standard Specifications for Roads and Structures* and the *Asphalt Pavements - Superpave* Standard Special Provision found elsewhere in this RFP. The North Carolina Hearne Straightedge will not be permitted.

**SUBSURFACE DRAINAGE**

(9-1-11)

DB8 R05

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 8-11, Article 815-1, Delete the first sentence and replace with the following:**

The Design-Build Team shall construct subsurface drains, underdrains, blind drains and other types of drains where groundwater is within six feet of subgrade.



**GUARDRAIL ANCHOR UNITS, TYPE 350 (TL-3)**

(12-19-14) (Rev. 7-21-15)

DB8 R65

**Description**

Furnish and install guardrail anchor units in accordance with the details in the plans developed by the Design-Build Team, the applicable requirements of Section 862 of the 2012 *Standard Specifications for Roads and Structures*, and at locations shown in the plans developed by the Design-Build Team.

**Materials**

The Design-Build Team shall furnish guardrail anchor units listed on the NCDOT Approved Products List at <https://apps.dot.state.nc.us/vendor/approvedproducts/> or approved equal.

Prior to installation the Design-Build Team shall submit to the Engineer:

1. FHWA acceptance letter for each guardrail anchor unit certifying it meets the requirements of NCHRP Report 350, Test Level 3, in accordance with Article 106-2 of the 2012 *Standard Specifications for Roads and Structures*.
2. Certified working drawings and assembling instructions from the manufacturer for each guardrail anchor unit in accordance with Article 105-2 of the 2012 *Standard Specifications for Roads and Structures*.

No modifications shall be made to the guardrail anchor unit without the express written permission from the manufacturer. Perform installation in accordance with the details in the plans developed by the Design-Build Team, and details and assembling instructions furnished by the manufacturer.

**Construction Methods**

Guardrail end delineation shall be required on all approach and trailing end sections for both temporary and permanent installations. Guardrail end delineation shall consist of yellow reflective sheeting applied to the entire end section of the guardrail in accordance with Article 1088-3 of the 2012 *Standard Specifications for Roads and Structures*.

**PREFORMED SCOUR HOLE WITH LEVEL SPREADER APRON**

(08-24-09)

DB8 R105

**Description**

Construct and maintain preformed scour holes with spreader aprons at the locations shown on the plans developed by the Design-Build Team and in accordance with the details in the plans developed by the Design-Build Team. Work includes excavation, shaping and maintaining the hole and apron, furnishing and placing filter fabric, rip rap (class as specified in the plans developed by the Design-Build Team) and permanent soil reinforcement matting.

## Materials

Item	Section
Plain rip rap	1042
Filter Fabric	1056

The permanent soil reinforcement matting shall be permanent erosion control reinforcement mat and shall be constructed of synthetic or a combination of coconut and synthetic fibers evenly distributed throughout the mat between a bottom UV stabilized netting and a heavy duty UV stabilized top net. The matting shall be stitched together with UV stabilized polypropylene thread to form a permanent three dimensional structure. The mat shall have the following minimum physical properties:

<i>Property</i>	<i>Test Method</i>	<i>Value Unit</i>
Light Penetration	ASTM D6567	9 %
Thickness	ASTM D6525	0.40 in
Mass Per Unit Area	ASTM D6566	0.55 lb/sy
Tensile Strength	ASTM D6818	385 lb/ft
Elongation ( Maximum)	ASTM D6818	49 %
Resiliency	ASTM D1777	>70 %
UV Stability *	ASTM 4355	≥80 %
Porosity (Permanent Net)	ECTC Guidelines	≥85 %
Maximum Permissible Shear Stress (Vegetated)	Performance Bench Test	≥8.0 lb/ft <sup>2</sup>
Maximum Allowable Velocity (Vegetated)	Performance Bench Test	≥16.0 ft/s

\*ASTM D1682 Tensile Strength and % strength retention of material after 1000 hours of exposure.

A certification (Type 1, 2, or 3) from the manufacturer showing:

- (A) the chemical and physical properties of the mat used, and
- (B) conformance of the mat with this specification will be required.

## Construction Methods

All areas to be protected with the mat shall be brought to final grade and seeded in accordance with Section 1660 of the 2012 *Standard Specifications for Roads and Structures*. The surface of the soil shall be smooth, firm, stable and free of rocks, clods, roots or other obstructions that would prevent the mat from lying in direct contact with the soil surface. Areas where the mat is to be placed will not need to be mulched.

**STREET SIGNS AND MARKERS AND ROUTE MARKERS**

(07-01-95)

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.

**MATERIALS**

(2-21-12) (Rev. 1-29-16)

1000, 1002, 1005, 1016, 1018, 1024, 1050, 1074, 1078, 1080, 1081, 1086, 1084, 1087, 1092

DB10 R01

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 10-1, Article 1000-1, DESCRIPTION, lines 9-10**, replace the last sentence of the first paragraph with the following:

Type IL, IP, IS or IT blended cement may be used instead of Portland cement.

**Page 10-1, Article 1000-1, DESCRIPTION, line 14**, add the following:

If any change is made to the mix design, submit a new mix design (with the exception of an approved pozzolan source change).

If any major change is made to the mix design, also submit new test results showing the mix design conforms to the criteria. Define a major change to the mix design as:

- (1) A source change in coarse aggregate, fine aggregate or cement.
- (2) A pozzolan class or type change (e.g. Class F fly ash to Class C fly ash).
- (3) A quantitative change in coarse aggregate (applies to an increase or decrease greater than 5%), fine aggregate (applies to an increase or decrease greater than 5%), water (applies to an increase only), cement (applies to a decrease only), or pozzolan (applies to an increase or decrease greater than 5%).

Use materials which do not produce a mottled appearance through rusting or other staining of the finished concrete surface.

**Page 10-1, Article 1000-2, MATERIALS, line 16; Page 10-8, Subarticle 1000-7(A), MATERIALS, line 8; and Page 10-18, Article 1002-2, MATERIALS, line 9, add the following to the table of item references:**

Item	Section
Type II Blended Cement	1024-1

**Page 10-1, Subarticle 1000-3(A), Composition and Design, lines 25-27, replace the second paragraph with the following:**

Fly ash may be substituted for cement in the mix design up to 30% at a rate of 1.0 pound of fly ash to each pound of cement replaced.

**Page 10-2, Subarticle 1000-3(A), Composition and Design, lines 12-21, delete the third paragraph through the sixth paragraph beginning with “If any change is made to the mix design, submit...” through “...(applies to a decrease only).”**

**Page 10-5, Table 1000-1, REQUIREMENTS FOR CONCRETE**, replace with the following:

<b>TABLE 1000-1 REQUIREMENTS FOR CONCRETE</b>											
<b>Class of Concrete</b>	<b>Min. Comp. Strength at 28 days</b>	<b>Maximum Water-Cement Ratio</b>				<b>Consistency Max. Slump</b>		<b>Cement Content</b>			
		<b>Air-Entrained Concrete</b>		<b>Non Air- Entrained Concrete</b>		<b>Vibrated</b>	<b>Non- Vibrated</b>	<b>Vibrated</b>		<b>Non- Vibrated</b>	
		<b>Rounded Aggregate</b>	<b>Angular Aggregate</b>	<b>Rounded Aggregate</b>	<b>Angular Aggregate</b>			<b>Min.</b>	<b>Max.</b>	<b>Min.</b>	<b>Max.</b>
<i>Units</i>	<i>psi</i>					<i>inch</i>	<i>inch</i>	<i>lb/cy</i>	<i>lb/cy</i>	<i>lb/cy</i>	<i>lb/cy</i>
AA	4,500	0.381	0.426	-	-	3.5	-	639	715	-	-
AA Slip Form	4,500	0.381	0.426	-	-	1.5	-	639	715	-	-
Drilled Pier	4,500	-	-	0.450	0.450	-	5-7 dry 7-9 wet	-	-	640	800
A	3,000	0.488	0.532	0.550	0.594	3.5	4	564	-	602	-
B	2,500	0.488	0.567	0.559	0.630	1.5 machine- placed 2.5 hand- placed	4	508	-	545	-
Sand Light- weight	4,500	-	0.420	-	-	4	-	715	-	-	-
Latex Modified	3,000 7 day	0.400	0.400	-	-	6	-	658	-	-	-
Flowable Fill Excavatable	150 max. at 56 days	as needed	as needed	as needed	as needed	-	Flow- able	-	-	40	100
Flowable Fill Non- Excavatable	125	as needed	as needed	as needed	as needed	-	Flow- able	-	-	100	as needed
Pavement	4,500 design, field 650 flexural, design only	0.559	0.559	-	-	1.5 slip form 3.0 hand place	-	526	-	-	-
Precast	See Table 1077-1	as needed	as needed	-	-	6	as needed	as needed	as needed	as needed	as needed
Prestress	per contract	See Table 1078-1	See Table 1078-1	-	-	8	-	564	as needed	-	-

**Page 10-6, Subarticle 1000-4(I), Use of Fly Ash, lines 36-2**, replace the first paragraph with the following:

Fly ash may be substituted for cement in the mix design up to 30% at a rate of 1.0 pound of fly ash to each pound of cement replaced. Use Table 1000-1 to determine the maximum allowable water-cementitious material (cement + fly ash) ratio for the classes of concrete listed.

**Page 10-7, Table 1000-3, MAXIMUM WATER CEMENTITIOUS MATERIAL RATIO**, delete the table.

**Page 10-7, Article 1000-5, HIGH EARLY STRENGTH PORTLAND CEMENT CONCRETE, lines 30-31,** delete the second sentence of the third paragraph.

**Page 10-19, Article 1002-3, SHOTCRETE FOR TEMPORARY SUPPORT OF EXCAVATIONS, line 30,** add the following at the end of section 1002:

**(H) Handling and Storing Test Panels**

Notify the Area Materials Engineer when preconstruction or production test panels are made within 24 hours of shooting the panels. Field cure and protect test panels from damage in accordance with ASTM C1140 until the Department transports panels to the Materials and Tests Regional Laboratory for coring.

**Page 10-23, Table 1005-1, AGGREGATE GRADATION-COARSE AGGREGATE,** replace with the following:

<b>TABLE 1005-1 AGGREGATE GRADATION - COARSE AGGREGATE</b>													
<b>Percentage of Total by Weight Passing</b>													
<b>Std. Size #</b>	<b>2"</b>	<b>1-1/2"</b>	<b>1"</b>	<b>3/4"</b>	<b>1/2"</b>	<b>3/8"</b>	<b>#4</b>	<b>#8</b>	<b>#10</b>	<b>#16</b>	<b>#40</b>	<b>#200</b>	<b>Remarks</b>
4	100	90-100	20-55	0-15	-	0-5	-	-	-	-	-	A	Asphalt Plant Mix
467M	100	95-100	-	35-70	-	0-30	0-5	-	-	-	-	A	Asphalt Plant Mix
5	-	100	90-100	20-55	0-10	0-5	-	-	-	-	-	A	AST, Sediment Control Stone
57	-	100	95-100	-	25-60	-	0-10	0-5	-	-	-	A	AST, Str. Concrete, Shoulder Drain, Sediment Control Stone
57M	-	100	95-100	-	25-45	-	0-10	0-5	-	-	-	A	AST, Concrete Pavement
6M	-	-	100	90-100	20-55	0-20	0-8	-	-	-	-	A	AST
67	-	-	100	90-100	-	20-55	0-10	0-5	-	-	-	A	AST, Str. Concrete, Asphalt Plant Mix
78M	-	-	-	100	98-100	75-100	20-45	0-15	-	-	-	A	Asphalt Plant Mix, Str. Conc, Weep Hole Drains
14M	-	-	-	-	-	100	35-70	5-20	-	0-8	-	A	Asphalt Plant Mix, AST, Weep Hole Drains, Str. Concrete
9	-	-	-	-	-	100	85-100	10-40	-	0-10	-	A	AST
ABC	-	100	75-97	-	55-80	-	35-55	-	25-45	-	14-30	4-12 <sup>B</sup>	Aggregate Base Course, Aggregate Stabilization
ABC (M)	-	100	75-100	-	45-79	-	20-40	-	0-25	-	-	0-12 <sup>B</sup>	Maintenance Stabilization
Light-weight <sup>C</sup>	-	-	-	-	100	80-100	5-40	0-20	-	0-10	-	0-2.5	AST

A. See Subarticle 1005-4(A).  
 B. See Subarticle 1005-4(B).  
 C. For Lightweight Aggregate used in Structural Concrete, see Subarticle 1014-2(E)(6).

**Page 10-39, Article 1016-3, CLASSIFICATIONS , lines 27-32, replace with the following:**

Select material is clean, unweathered durable, blasted rock material obtained from an approved source. While no specific gradation is required, the below criteria shall be used to evaluate the materials for visual acceptance by the Engineer:

- (A) At least 50% of the rock has a diameter from 1.5-foot to 3-foot,
- (B) 30% of the rock ranges in size from 2” to 1.5-foot in diameter, and
- (C) Not more than 20% of the rock is less than 2” in diameter. No rippable rock will be permitted.

**Page 10-40, Tables 1018-1 and 1018-2, PIEDMONT, WESTERN AND COASTAL AREA CRITERIA FOR ACCEPTANCE OF BORROW MATERIAL**, under second column in both tables, replace second row with the following:

Acceptable, but not to be used in the top three feet of embankment or backfill

**Page 10-46, Article 1024-1, PORTLAND CEMENT, line 33**, add the following as the ninth paragraph:

Use Type IL blended cement that meets AASHTO M 240, except that the limestone content shall be limited to between 5 and 12% by weight and the constituents shall be interground. Class F fly ash can replace a portion of Type IL blended cement and shall be replaced as outlined in Subarticle 1000-4(I) for Portland cement. For mixes that contain cement with alkali content between 0.6% and 1.0% and for mixes that contain a reactive aggregate documented by the Department, use a pozzolan in the amount shown in Table 1024-1.

**Page 10-46, Table 1024-1, POZZOLANS FOR USE IN PORTLAND CEMENT CONCRETE**, replace with the following:

<b>TABLE 1024-1</b>	
<b>POZZOLANS FOR USE IN PORTLAND CEMENT CONCRETE</b>	
<b>Pozzolan</b>	<b>Rate</b>
Class F Fly Ash	20% - 30% by weight of required cement content with 1.0 pound Class F fly ash per pound of cement replaced
Ground Granulated Blast Furnace Slag	35% - 50% by weight of required cement content with 1.0 pound slag per pound of cement replaced
Microsilica	4% - 8% by weight of required cement content with 1.0 pound microsilica per pound of cement replaced

**Page 10-47, Subarticle 1024-3(B), Approved Sources, lines 16-18**, replace the second sentence of the second paragraph with the following:

Tests shall be performed by AASHTO’s designated National Transportation Product Evaluation Program (NTPEP) laboratory for concrete admixture testing.



**Page 10-65, Article 1050-1, GENERAL, line 41**, replace the first sentence with the following:

All fencing material and accessories shall meet Section 106.

**Page 10-115, Subarticle 1074-7(B), Gray Iron Castings, lines 10-11**, replace the first two sentences with the following:

Supply gray iron castings meeting all facets of AASHTO M 306 excluding proof load. Proof load testing will only be required for new casting designs during the design process, and conformance to M306 loading (40,000 lbs.) will be required only when noted on the design documents developed by the Design-Build Team.

**Page 10-126, Table 1078-1, REQUIREMENTS FOR CONCRETE**, replace with the following:

<b>TABLE 1078-1 REQUIREMENTS FOR CONCRETE</b>		
<b>Property</b>	<b>28 Day Design Compressive Strength 6,000 psi or less</b>	<b>28 Day Design Compressive Strength greater than 6,000 psi</b>
Maximum Water / Cementitious Material Ratio	0.45	0.40
Maximum Slump without HRWR	3.5"	3.5"
Maximum Slump with HRWR	8"	8"
Air Content (upon discharge into forms)	5 + 2%	5 + 2%

**Page 10-151, Article 1080-4, INSPECTION AND SAMPLING, lines 18-22**, replace (B), (C) and (D) with the following:

- (B) At least 3 panels prepared as specified in 5.5.10 of AASHTO M 300, Bullet Hole Immersion Test.
- (C) At least 3 panels of 4" x 6" x 1/4" for the Elcometer Adhesion Pull Off Test, ASTM D4541.
- (D) A certified test report from an approved independent testing laboratory for the Salt Fog Resistance Test, Cyclic Weathering Resistance Test, and Bullet Hole Immersion Test as specified in AASHTO M 300.
- (E) A certified test report from an approved independent testing laboratory that the product has been tested for slip coefficient and meets AASHTO M253, Class B.

**Page 10-161, Subarticle 1081-1(A), Classifications, lines 29-33**, delete first three sentences of the description for Type 2 and replace with the following:

**Type 2** - A low-modulus, general-purpose adhesive used in epoxy mortar repairs. It may be used to patch spalled, cracked or broken concrete where vibration, shock or expansion and contraction are expected.

**Page 10-162, Subarticle 1081-1(A), Classifications, lines 4-7**, delete the second and third sentences of the description for Type 3A. **Lines 16-22**, delete Types 6A, 6B and 6C.

**Page 10-162, Subarticle 1081-1(B), Requirements, lines 26-30**, replace the second paragraph with the following:

For epoxy resin systems used for embedding dowel bars, threaded rods, rebar, anchor bolts and other fixtures in hardened concrete, the manufacturer shall submit test results showing that the bonding system will obtain 125% of the specified required yield strength of the fixture. Furnish certification that, for the particular bolt grade, diameter and embedment depth required, the anchor system will not fail by adhesive failure and that there is no movement of the anchor bolt. For certification and anchorage, use 3,000 psi as the minimum Portland cement concrete compressive strength used in this test. Use adhesives that meet Section 1081.

List the properties of the adhesive on the container and include density, minimum and maximum temperature application, setting time, shelf life, pot life, shear strength and compressive strength.

**Page 10-163, Table 1081-1, PPROPERTIES OF MIXED EPOXY RESIN SYSTEMS,** replace with the following:

Property	Type 1	Type 2	Type 3	Type 3A	Type 4A	Type 4B	Type 5
Viscosity-Poises at 77°F ± 2°F	Gel	10-30	25-75	Gel	40-150	40-150	1-6
Spindle No.	-	3	4	--	4	4	2
Speed (RPM)	-	20	20	--	10	10	50
Pot Life (Minutes)	20-50	30-60	20-50	5-50	40-80	40-80	20-60
Minimum Tensile Strength at 7 days (psi)	1,500	2,000	4,000	4,000	1,500	1,500	4,000
Tensile Elongation at 7 days (%)	30 min.	30 min.	2-5	2-5	5-15	5-15	2-5
Min. Compressive Strength of 2" mortar cubes at 24 hours	3,000 (Neat)	4,000-	6,000-	6,000 (Neat)	3,000	3,000	6,000
Min. Compressive Strength of 2" mortar cubes at 7 days	5,000 (Neat)	-	-	-	-	5,000	-
Maximum Water Absorption (%)	1.5	1.0	1.0	1.5	1.0	1.0	1.0
Min. Bond Strength Slant Shear Test at 14 days (psi)	1,500	1,500	2,000	2,000	1,500	1,500	1,500

**Page 10-164, Subarticle 1081-1(E), Prequalification, lines 31-33,** replace the second sentence of the first paragraph with the following:

Manufacturers choosing to supply material for Department jobs must submit an application through the Value Management Group with the following information for each type and brand name:

**Page 10-164, Subarticle 1081-1(E)(3), line 37**, replace with the following:

(3) Type of the material in accordance with Articles 1081-1 and 1081-4,

**Page 10-165, Subarticle 1081-1(E)(6), line 1**, in the first sentence of the first paragraph replace “AASHTO M 237” with “the specifications”.

**Page 10-165, Subarticle 1081-1(E), Prequalification, line 9-10**, delete the second sentence of the last paragraph.

**Page 10-165, Subarticle 1081-1(F), Acceptance, line 14**, in the first sentence of the first paragraph replace “Type 1” with “Type 3”.

**Page 10-169, Subarticle 1081-3(G), Anchor Bolt Adhesives**, delete this subarticle.

**Page 10-170, Article 1081-3, HOT BITUMEN, line 9**, add the following at the end of Section 1081:

#### **1081-4 EPOXY RESIN ADHESIVE FOR BONDING TRAFFIC MARKINGS**

##### **(A) General**

This section covers epoxy resin adhesive for bonding traffic markers to pavement surfaces.

##### **(B) Classification**

The types of epoxies and their uses are as shown below:

**Type I** – Rapid Setting, High Viscosity, Epoxy Adhesive. This type of adhesive provides rapid adherence to traffic markers to the surface of pavement.

**Type II** – Standard Setting, High Viscosity, Epoxy Adhesive. This type of adhesive is recommended for adherence of traffic markers to pavement surfaces when rapid set is not required.

**Type III** – Rapid Setting, Low Viscosity, Water Resistant, Epoxy Adhesive. This type of rapid setting adhesive, due to its low viscosity, is appropriate only for use with embedded traffic markers.

**Type IV** – Standard Set Epoxy for Blade Deflecting-Type Plowable Markers.

##### **(C) Requirements**

Epoxies shall conform to the requirements set forth in AASHTO M 237.

**(D) Prequalification**

Refer to Subarticle 1081-1(E).

**(E) Acceptance**

Refer to Subarticle 1081-1(F).

**Page 10-173, Article 1084-2, STEEL SHEET PILES, lines 37-38**, replace first paragraph with the following:

Steel sheet piles detailed for permanent applications shall be hot rolled and meet ASTM A572 or ASTM A690 unless otherwise required by the plans developed by the Design-Build Team. Steel sheet piles shall be coated as required by the plans developed by the Design-Build Team. Galvanized sheet piles shall be coated in accordance with Section 1076. Metallized sheet piles shall be metallized in accordance to the Project Special Provision “Thermal Sprayed Coatings (Metallization)” with an 8 mil, 99.9% aluminum alloy coating and a 0.5 mil seal coating. Any portion of the metallized sheet piling encased in concrete shall receive a barrier coat. The barrier coat shall be an approved waterborne coating with a low-viscosity which readily absorbs into the pores of the aluminum thermal sprayed coating. The waterborne coating shall be applied at a spreading rate that results in a theoretical 1.5 mil dry film thickness. The manufacturer shall issue a letter of certification that the resin chemistry of the waterborne coating is compatible with the 99.9% aluminum thermal sprayed alloy and suitable for tidal water applications.

**Page 10-174, Subarticle 1086-1(B)(1), Epoxy, lines 18-24**, replace with the following:

The epoxy shall meet Article 1081-4.

The two types of epoxy adhesives which may be used are Type I, Rapid Setting, and Type II, Standard Setting. Use Type II when the pavement temperature is above 60° F or per the manufacturer’s recommendations, whichever is more stringent. Use Type I when the pavement temperature is between 50° F and 60° F or per the manufacturer’s recommendations, whichever is more stringent. Epoxy adhesive Type I, Cold Set, may be used to attach temporary pavement markers to the pavement surface when the pavement temperature is between 32° F and 50° F or per the manufacturer’s recommendations, whichever is more stringent.

**Page 10-175, Subarticle 1086-2(E), Epoxy Adhesives, line 27**, replace “Section 1081” with “Article 1081-4”.

**Page 10-177, Subarticle 1086-3(E), Epoxy Adhesives, line 22**, replace “Section 1081” with “Article 1081-4”.

**Page 10-179, Subarticle 1087-4(A), Composition, lines 39-41**, replace the third paragraph with the following:

All intermixed and drop-on glass beads shall not contain more than 75 ppm arsenic or 200 ppm lead.

**Page 10-180, Subarticle 1087-4(B), Physical Characteristics, line 8**, replace the second paragraph with the following:

All intermixed and drop-on glass beads shall comply with NCGS § 136-30.2 and 23 USC § 109(r).

**Page 10-181, Subarticle 1087-7(A), Intermixed and Drop-on Glass Beads, line 24**, add the following after the first paragraph:

Use X-ray Fluorescence for the normal sampling procedure for intermixed and drop-on beads, without crushing, to check for any levels of arsenic and lead. If any arsenic or lead is detected, the sample shall be crushed and repeat the test using X-ray Fluorescence. If the X-ray Fluorescence test shows more than a LOD of 5 ppm, test the beads using United States Environmental Protection Agency Method 6010B, 6010C or 3052 for no more than 75 ppm arsenic or 200 ppm lead.

**SELECT MATERIAL, CLASS III, TYPE 3**

(12-02-11)

DB10 R005

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 10-39, Article 1016-3, CLASS III**, add the following after **line 14**:

**Type 3 Select Material**

Type 3 select material is a natural or manufactured fine aggregate material meeting the following gradation requirements and as described in Sections 1005 and 1006:

Percentage of Total by Weight Passing							
3/8"	#4	#8	#16	#30	#50	#100	#200
100	95-100	65-100	35-95	15-75	5-35	0-25	0-8

**Page 10-39, Article 1016-3, CLASS III, line 15**, replace “either type” with “Type 1, Type 2 or Type 3”.

**Page 10-62, Article 1044-1, line 36**, delete the sentence and replace with the following:

Subdrain fine aggregate shall meet Class III select material, Type 1 or Type 3.

**Page 10-63, Article 1044-2, line 2**, delete the sentence and replace with the following:

Subdrain coarse aggregate shall meet Class V select material.

### **SHOULDER AND SLOPE BORROW**

(1/22/13)

1019

DB10 R10

Use soil in accordance with Section 1019 of the 2012 *Standard Specifications for Roads and Structures*. Use soil consisting of loose, friable, sandy material with a PI greater than 6 and less than 25 and a pH ranging from 5.5 to 7.0.

Soil with a pH ranging from 4.0 to 5.5 will be accepted without further testing if additional limestone is provided in accordance with the application rates shown in Table 1019-1A. Soil type shall be identified during the soil analysis. Soils with a pH above 7.0 require acidic amendments to be added. Submit proposed acidic amendments to the Engineer for review and approval. Soils with a pH below 4.0 or that do not meet the PI requirements shall not be used.

<b>TABLE 1019-1A</b>			
<b>ADDITIONAL LIMESTONE APPLICATION RATE TO RAISE pH</b>			
<b>pH TEST RESULT</b>	<b>Sandy Soils Additional Rate (lbs. / Acre)</b>	<b>Silt Loam Soils Additional Rate (lbs. / Acre)</b>	<b>Clay Loam Soils Additional Rate (lbs. / Acre)</b>
4.0 - 4.4	1,000	4,000	6,000
4.5 - 4.9	500	3,000	5,000
5.0 - 5.4	NA	2,000	4,000

Note: Limestone application rates shown in this table are in addition to the standard rate of 4000 lbs. / acre required for seeding and mulching.

No direct payment will be made for providing additional lime or acidic amendments for pH adjustment.

**GROUT PRODUCTION AND DELIVERY**

(3-17-15)

1003

DB10 R20

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

Replace Section 1003 with the following:

**SECTION 1003  
GROUT PRODUCTION AND DELIVERY**

**1003-1 DESCRIPTION**

This section addresses cement grout to be used for structures, foundations, retaining walls, concrete barriers, embankments, pavements and other applications in accordance with the contract. Produce non-metallic grout composed of Portland cement and water and at the Design-Build Team's option or as required, aggregate and pozzolans. Include chemical admixtures as required or needed. Provide sand cement or neat cement grout as required. Define "sand cement grout" as grout with only fine aggregate and "neat cement grout" as grout without aggregate.

The types of grout with their typical uses are as shown below:

**Type 1** – A cement grout with only a three-day strength requirement and a fluid consistency that is typically used for filling subsurface voids.

**Type 2** – A non-shrink grout with strength, height change and flow conforming to ASTM C1107 that is typically used for foundations, ground anchors and soil nails.

**Type 3** – A non-shrink grout with high early strength and freeze-thaw durability requirements that is typically used in pile blockouts, grout pockets, shear keys, dowel holes and recesses for concrete barriers and structures.

**Type 4** – A neat cement grout with low strength, a fluid consistency and high fly ash content that is typically used for slab jacking.

**Type 5** – A low slump, low mobility sand cement grout with minimal strength that is typically used for compaction grouting.



**1003-2 MATERIALS**

Refer to Division 10.

<b>Item</b>	<b>Section</b>
Chemical Admixtures	1024-3
Fine Aggregate	1014-1
Fly Ash	1024-5
Ground Granulated Blast Furnace Slag	1024-6
Portland Cement	1024-1
Silica Fume	1024-7
Water	1024-4

Do not use grout that contains soluble chlorides or more than 1% soluble sulfate. At the Design-Build Team's option, use an approved packaged grout instead of the materials above except for water. Use packaged grouts that are on the NCDOT Approved Products List.

Use admixtures for grout that are on the NCDOT Approved Products List or other admixtures in accordance with Subarticle 1024-3(E) except do not use concrete additives or unclassified or other admixtures in Type 4 or 5 grout. Use Class F fly ash for Type 4 grout and Type II Portland cement for Type 5 grout.

Use well graded rounded aggregate with a gradation, liquid limit (LL) and plasticity index (PI) that meet Table 1003-1 for Type 5 grout. Fly ash may be substituted for a portion of the fines in the aggregate. Do not use any other pozzolans in Type 5 grout.

<b>Gradation</b>		<b>Maximum Liquid Limit</b>	<b>Maximum Plasticity Index</b>
<b>Sieve Designation per AASHTO M 92</b>	<b>Percentage Passing (% by weight)</b>		
3/8"	100	N/A	N/A
No. 4	70 – 95		
No. 8	50 – 90		
No. 16	30 – 80		
No. 30	25 – 70		
No. 50	20 – 50		
No. 100	15 – 40	25	10
No. 200	10 – 30		

**1003-3 COMPOSITION AND DESIGN**

When using an approved packaged grout, a grout mix design submittal is not required. Otherwise, submit proposed grout mix designs for each grout mix to be used in the work. Mixes for all grout shall be designed by a Certified Concrete Mix Design Technician or an Engineer licensed by the State of North Carolina. Mix proportions shall be determined

by a testing laboratory approved by the Department. Base grout mix designs on laboratory trial batches that meet Table 1003-2 and this section. With permission, the Design-Build Team may use a quantity of chemical admixture within the range shown on the current list of approved admixtures maintained by the Materials and Tests Unit.

Submit grout mix designs in terms of saturated surface dry weights on Materials and Tests Form 312U at least 35 days before proposed use. Adjust batch proportions to compensate for surface moisture contained in the aggregates at the time of batching. Changes in the saturated surface dry mix proportions will not be permitted unless revised grout mix designs have been submitted to the Engineer and approved.

Accompany Materials and Tests Form 312U with a listing of laboratory test results of compressive strength, density and flow or slump and if applicable, aggregate gradation, durability and height change. List the compressive strength of at least three 2" cubes at the age of three and 28 days.

The Engineer will review the grout mix design for compliance with the contract and notify the Design-Build Team as to its acceptability. Do not use a grout mix until written notice has been received. Acceptance of the grout mix design or use of approved packaged grouts does not relieve the Design-Build Team of their responsibility to furnish a product that meets the contract. Upon written request from the Design-Build Team, a grout mix design accepted and used satisfactorily on any Department project may be accepted for use on other projects.

Perform laboratory tests in accordance with the following test procedures:

<b>Property</b>	<b>Test Method</b>
Aggregate Gradation <sup>A</sup>	AASHTO T 27
Compressive Strength	AASHTO T 106
Density (Unit Weight)	AASHTO T 121, AASHTO T 133 <sup>B</sup> , ANSI / API RP <sup>C</sup> 13B-1 <sup>B</sup> (Section 4, Mud Balance)
Durability	AASHTO T 161 <sup>D</sup>
Flow	ASTM C939 (Flow Cone)
Height Change	ASTM C1090 <sup>E</sup>
Slump	AASHTO T 119

- A.** Applicable to grout with aggregate
- B.** Applicable to Neat Cement Grout
- C.** American National Standards Institute / American Petroleum Institute Recommended Practice
- D.** Procedure A (Rapid Freezing and Thawing in Water) required
- E.** Moist room storage required

**1003-4 GROUT REQUIREMENTS**

Provide grout types in accordance with the contract. Use grouts with properties that meet Table 1003-2. The compressive strength of the grout shall be considered the average compressive strength test results of three 2" cubes at each age. Make cubes that meet AASHTO T 106 from the grout delivered for the work or mixed on-site. Make cubes at such frequencies as the Engineer may determine and cure them in accordance with AASHTO T 106.

Type of Grout	Minimum Compressive Strength at		Height Change at 28 days	Flow <sup>A</sup> / Slump <sup>B</sup>	Minimum Durability Factor
	3 days	28 days			
1	3,000 psi	–	–	10 – 30 sec	–
2	Table 1 <sup>C</sup>			Fluid Consistency <sup>C</sup>	–
3	5,000 psi	–	0 – 0.2%	Per Accepted Grout Mix Design / Approved Packaged Grout	80
4 <sup>D</sup>	600 psi	1,500 psi	–	10 – 26 sec	–
5	–	500 psi	–	1 – 3"	–

**A.** Applicable to Type 1 through 4 grouts

**B.** Applicable to Type 5 grout

**C.** ASTM C1107

**D.** Use Type 4 grout with proportions by volume of 1 part cement and 3 parts fly ash

**1003-5 TEMPERATURE REQUIREMENTS**

When using an approved packaged grout, follow the manufacturer's instructions for grout and air temperature at the time of placement. Otherwise, the grout temperature at the time of placement shall not be less than 50°F nor more than 90°F. Do not place grout when the air temperature measured at the location of the grouting operation in the shade away from artificial heat is below 40°F.

**1003-6 ELAPSED TIME FOR PLACING GROUT**

Agitate grout continuously before placement. Regulate the delivery so the maximum interval between the placing of batches at the work site does not exceed 20 minutes. Place grout before exceeding the times in Table 1003-3. Measure the elapsed time as the time between adding the mixing water to the grout mix and placing the grout.

<b>TABLE 1003-3 ELAPSED TIME FOR PLACING GROUT (with continuous agitation)</b>		
<b>Air or Grout Temperature, Whichever is Higher</b>	<b>Maximum Elapsed Time</b>	
	<b>No Retarding Admixture Used</b>	<b>Retarding Admixture Used</b>
90°F or above	30 minutes	1 hour 15 minutes
80°F through 89°F	45 minutes	1 hour 30 minutes
79°F or below	60 minutes	1 hour 45 minutes

### **1003-7 MIXING AND DELIVERY**

Use grout free of any lumps and undispersed cement. When using an approved packaged grout, mix grout in accordance with the manufacturer's instructions. Otherwise, comply with Articles 1000-8 through 1000-12 to the extent applicable for grout instead of concrete.

### **GEOSYNTHETICS**

(12-29-15)

1056

DB10 R25

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

Replace Section 1056 with the following:

### **SECTION 1056 GEOSYNTHETICS**

#### **1056-1 DESCRIPTION**

Provide geosynthetics for subsurface drainage, separation, stabilization, reinforcement, erosion control, filtration and other applications in accordance with the contract. Use geotextiles, geocomposite drains and geocells that are on the NCDOT Approved Products List. Prefabricated geocomposite drains include sheet, strip and vertical drains (PVDs), i.e., "wick drains" consisting of a geotextile attached to and / or encapsulating a plastic drainage core. Geocells are comprised of ultrasonically welded polymer strips that when expanded form a 3D honeycomb grid that is typically filled with material to support vegetation.

If necessary or required, hold geotextiles and sheet drains in place with new wire staples, e.g., "sod staples" that meet Subarticle 1060-8(D) or new anchor pins. Use steel anchor pins with a diameter of at least 3/16" and a length of at least 18" and with a point at one end and a head at the other end that will retain a steel washer with an outside diameter of at least 1.5".

**1056-2 HANDLING AND STORING**

Load, transport, unload and store geosynthetics so geosynthetics are kept clean and free of damage. Label, ship and store geosynthetics in accordance with Section 7 of AASHTO M 288. Geosynthetics with defects, flaws, deterioration or damage shall be rejected. Do not unwrap geosynthetics until just before installation. Do not leave geosynthetics exposed for more than seven days before covering except for geosynthetics for temporary wall faces and erosion control.

**1056-3 CERTIFICATIONS**

Provide Type 1, Type 2 or Type 4 material certifications in accordance with Article 106-3 for geosynthetics. Define “minimum average roll value” (MARV) in accordance with ASTM D4439. Provide certifications with MARV for geosynthetic properties as required. Test geosynthetics using laboratories accredited by the Geosynthetic Accreditation Institute (GAI) to perform the required test methods. Sample geosynthetics in accordance with ASTM D4354.

**1056-4 GEOTEXTILES**

When required, sew geotextiles together in accordance with Article X1.1.4 of AASHTO M 288. Provide sewn seams with seam strengths meeting the required strengths for the geotextile type and class specified.

Provide geotextile types and classes in accordance with the contract. Geotextiles shall be identified by the product name printed directly on the geotextile. When geotextiles are not marked with a product name or marked with only a manufacturing plant identification code, geotextiles shall be identified by product labels attached to the geotextile wrapping. When identification is based on labels instead of markings, unwrap geotextiles just before use in the presence of the Engineer to confirm that the product labels on both ends of the outside of the geotextile outer wrapping match the labels affixed to both ends of the inside of the geotextile roll core. Partial geotextile rolls without the product name printed on the geotextile or product labels affixed to the geotextile roll core shall not be used.

Use woven or nonwoven geotextiles with properties that meet Table 1056-1. Define “machine direction” (MD) and “cross-machine direction” (CD) in accordance with ASTM D4439.

<b>TABLE 1056-1 GEOTEXTILE REQUIREMENTS</b>						
<b>Property</b>	<b>Requirement</b>					<b>Test Method</b>
	<b>Type 1</b>	<b>Type 2</b>	<b>Type 3<sup>A</sup></b>	<b>Type 4</b>	<b>Type 5<sup>B</sup></b>	
<i>Typical Application</i>	<i>Shoulder Drains</i>	<i>Under Rip Rap</i>	<i>Silt Fence Fabric</i>	<i>Soil Stabilization</i>	<i>Temporary Walls</i>	
Elongation (MD & CD)	≥ 50%	≥ 50%	≤ 25%	< 50%	< 50%	ASTM D4632
Grab Strength (MD & CD)	Table 1 <sup>D</sup> , Class 3	Table 1 <sup>D</sup> , Class 1	100 lb <sup>C</sup>	Table 1 <sup>D</sup> , Class 3	–	ASTM D4632
Tear Strength (MD & CD)			–			ASTM D4533
Puncture Strength			–			ASTM D6241
Ultimate Tensile Strength (MD & CD)	–	–	–	–	2,400 lb/ft <sup>C</sup> (unless required otherwise in the contract)	ASTM D4595
Permittivity	Table 2 <sup>D</sup> , 15% to 50% <i>in Situ</i> Soil Passing 0.075 mm	Table 6 <sup>D</sup> , 15% to 50% <i>in Situ</i> Soil Passing 0.075mm	Table 7 <sup>D</sup>	Table 5 <sup>D</sup>	0.20 sec <sup>-1.C</sup>	ASTM D4491
Apparent Opening Size					0.60 mm <sup>E</sup>	ASTM D4751
UV Stability (Retained Strength)					70% <sup>C</sup> (after 500 hr of exposure)	ASTM D4355

**A.** Minimum roll width of 36inches required

**B.** Minimum roll width of 13 feet required

**C.** MARV per Article 1056-3

**D.** AASHTO M 288

**E.** Maximum average roll value

### **1056-5 GEOCOMPOSITE DRAINS**

Provide geocomposite drain types in accordance with the contract and with properties that meet Table 1056-2.

Property	Requirement			Test Method
	Sheet Drain	Strip Drain	Wick Drain	
Width	≥ 12" (unless required otherwise in the contract)	12" ±1/4"	4" ±1/4"	N/A
In-Plane Flow Rate <sup>A</sup> (with gradient of 1.0 and 24-hour seating period)	6 gpm/ft @ applied normal compressive stress of 10 psi	15 gpm/ft @ applied normal compressive stress of 7.26 psi	1.5 gpm <sup>B</sup> @ applied normal compressive stress of 40 psi	ASTM D4716

**A.** MARV per Article 1056-3

**B.** Per 4" drain width

For sheet and strip drains, use accessories (e.g., pipe outlets, connectors, fittings, etc.) recommended by the Drain Manufacturer. Provide sheet and strip drains with Type 1 geotextiles heat bonded or glued to HDPE, polypropylene or high impact polystyrene drainage cores that meet Table 1056-3.

Property	Requirement (MARV)		Test Method
	Sheet Drain	Strip Drain	
Thickness	1/4"	1"	ASTM D1777 or D5199
Compressive Strength	40 psi	30 psi	ASTM D6364

For wick drains with a geotextile wrapped around a corrugated drainage core and seamed to itself, use drainage cores with an ultimate tensile strength of at least 225 lb per 4-inch width in accordance with ASTM D4595 and geotextiles with properties that meet Table 1056-4.

<b>TABLE 1056-4 WICK DRAIN GEOTEXTILE REQUIREMENTS</b>		
<b>Property</b>	<b>Requirement</b>	<b>Test Method</b>
Elongation	≥ 50%	ASTM D4632
Grab Strength	Table 1 <sup>A</sup> , Class 3	ASTM D4632
Tear Strength		ASTM D4533
Puncture Strength		ASTM D6241
Permittivity	0.7 sec <sup>-1,B</sup>	ASTM D4491
Apparent Opening Size (AOS)	Table 2 <sup>A</sup> ,	ASTM D4751
UV Stability (Retained Strength)	> 50% <i>in Situ</i> Soil Passing 0.075 mm	ASTM D4355

**A.** AASHTO M 288

**B.** MARV per Article 1056-3

For wick drains with a geotextile fused to both faces of a corrugated drainage core along the peaks of the corrugations, use wick drains with an ultimate tensile strength of at least 1,650 lb/ft in accordance with ASTM D4595 and geotextiles with a permittivity, AOS and UV stability that meet Table 1056-4.

### **1056-6 GEOCELLS**

Geocells shall be identified by product labels attached to the geocell wrapping. Unwrap geocells just before use in the presence of the Engineer. Previously opened geocell products shall be rejected.

Manufacture geocells from virgin polyethylene resin with no more than 10% rework, also called “regrind”, materials. Use geocells made from textured and perforated HDPE strips with an open area of 10% to 20% and properties that meet Table 1056-5.



<b>TABLE 1056-5 GEOCELL REQUIREMENTS</b>		
<b>Property</b>	<b>Minimum Requirement</b>	<b>Test Method</b>
Cell Depth	4"	N/A
Sheet Thickness	50 mil -5%, +10%	ASTM D5199
Density	58.4 lb/cf	ASTM D1505
Carbon Black Content	1.5%	ASTM D1603 or D4218
ESCR <sup>A</sup>	5000 hr	ASTM D1693
Coefficient of Direct Sliding (with material that meets AASHTO M 145 for soil classification A-2)	0.85	ASTM D5321
Short-Term Seam (Peel) Strength (for 4" seam)	320 lb	USACE <sup>C</sup> Technical Report GL-86-19, Appendix A
Long-Term Seam (Hang) Strength <sup>B</sup> (for 4" seam)	160 lb	

**A.** Environmental Stress Crack Resistance

**B.** Minimum test period of 168 hours with a temperature change from 74°F to 130°F in one-hour cycles

**C.** US Army Corps of Engineers

Provide geocell accessories (e.g., stakes, pins, clips, staples, rings, tendons, anchors, deadmen, etc.) recommended by the Geocell Manufacturer.

### **TEMPORARY SHORING**

(2-20-07) (Rev. 3-17-15)

DB11 R02

#### **Description**

Temporary shoring includes cantilever, braced and anchored shoring and temporary mechanically stabilized earth (MSE) walls. Temporary shoring does not include trench boxes. At the Design-Build Team's option, use any type of temporary shoring, unless noted otherwise in the plans developed by the Design-Build Team or as directed.

Design and construct temporary shoring based on actual elevations and shoring dimensions in accordance with the plans developed by the Design-Build Team and accepted submittals. Construct temporary shoring at locations shown in the plans developed by the Design-Build Team and as directed. Temporary shoring shall be required to maintain traffic when a 2:1 (H:V) slope from the top of an embankment or bottom of an excavation will intersect the existing ground line less than five feet from the edge of pavement of an open travelway. This Standard Special Provision does not apply to pipe, inlet or utility installation unless noted otherwise in the plans developed by the Design-Build Team.

Positive protection includes concrete barrier and temporary guardrail. Provide positive protection for temporary shoring at locations shown in the plans developed by the Design-Build Team and as directed. Positive protection shall be required if temporary shoring is located in the clear zone in accordance with the AASHTO *Roadside Design Guide*.

(A) Cantilever and Braced Shoring

Cantilever shoring consists of steel sheet piles or H-piles with timber lagging. Braced shoring consists of sheet piles or H-piles with timber lagging and bracing such as beams, plates, walers, struts, rakers, etc. Define “piles” as sheet piles or H-piles.

(B) Anchored Shoring

Anchored shoring consists of sheet piles with walers or H-piles with timber lagging anchored with ground or helical anchors. Driven anchors may be accepted at the discretion of the Engineer. A ground anchor consists of a grouted steel bar or multi-strand tendon with an anchorage. A helical anchor consists of a lead section with a central steel shaft and at least one helix steel plate followed by extensions with only central shafts (no helixes) and an anchorage. Anchorages consist of steel bearing plates with washers and hex nuts for bars or steel wedge plates and wedges for strands. Use a prequalified Anchored Wall Contractor to install ground anchors. Define “anchors” as ground, helical or driven anchors.

(C) Temporary MSE Walls

Temporary MSE walls include temporary geosynthetic and wire walls. Define “temporary wall” as a temporary MSE wall. Define “reinforcement” as geotextile, geogrid, welded wire grid or metallic strip reinforcement.

Temporary geosynthetic walls consist of geotextile or geogrid reinforcement wrapped behind welded wire facing. Define “temporary geotextile wall” as a temporary geosynthetic wall with geotextile reinforcement and “temporary geogrid wall” as a temporary geosynthetic wall with geogrid reinforcement.

Temporary wire walls consist of welded wire grid or metallic strip reinforcement connected to welded wire facing. Define “Wire Wall Vendor” as the vendor supplying the temporary wire wall.

(D) Embedment

Define “embedment” for cantilever, braced and anchored shoring as the pile depth below the grade in front of shoring. Define “embedment” for temporary walls as the wall height below the grade in front of walls.

(E) Positive Protection

Define “unanchored or anchored portable concrete barrier” as portable concrete barrier (PCB) that meets Roadway Standard Drawing No. 1170.01. Define “concrete barrier” as unanchored or anchored PCB or an approved equal. Define “temporary guardrail” as temporary steel beam guardrail that meets Roadway Standard Drawing No. 862.02.

## Materials

Refer to the 2012 *Standard Specifications for Roads and Structures*.

<b>Item</b>	<b>Section</b>
Anchor Pins	1056-2
Concrete Barrier Materials	1170-2
Flowable Fill, Excavatable	1000-6
Geotextiles	1056
Grout	1003
Portland Cement Concrete	1000
Select Material	1016
Steel Beam Guardrail Materials	862-2
Steel Plates	1072-2
Steel Sheet Piles and H-Piles	1084
Untreated Timber	1082-2
Welded Wire Reinforcement	1070-3
Wire Staples	1060-8(D)

Provide Type 6 material certifications for shoring materials in accordance with Article 106-3 of the 2012 *Standard Specifications for Roads and Structures*. Use Class IV select material (standard size No. ABC) for temporary guardrail. Use neat cement grout for Type 2 grout for ground anchors. Use Class A concrete that meets Article 450-2 of the 2012 *Standard Specifications for Roads and Structures* or Type 1 grout for drilled-in piles. Provide untreated timber with a thickness of at least 3" and a bending stress of at least 1,000 psi for timber lagging. Provide steel bracing that meets ASTM A36.

(A) Shoring Backfill

Use Class II, Type 1, Class III, Class V or Class VI select material or material that meets AASHTO M 145 for soil classification A-2-4 with a maximum PI of 6 for shoring backfill except do not use A-2-4 soil for backfill around culverts.

(B) Anchors

Store anchor materials on blocking a minimum of 12" above the ground and protect it at all times from damage; and when placing in the work make sure it is free from dirt, dust, loose mill scale, loose rust, paint, oil or other foreign materials. Load, transport, unload and store anchor materials so materials are kept clean and free of damage. Bent, damaged or defective materials will be rejected.

(1) Ground Anchors

Use high-strength deformed steel bars that meet AASHTO M 275 or seven-wire strands that meet ASTM A886 or Article 1070-5 of the 2012 *Standard Specifications for Roads and Structures*. Splice bars in accordance with Article 1070-9 of the 2012 *Standard Specifications for Roads and Structures*.

Do not splice strands. Use bondbreakers, spacers and centralizers that meet Article 6.3.5 of the AASHTO *LRFD Bridge Construction Specifications*.

(2) Helical Anchors

Use helical anchors with an ICC Evaluation Service, Inc. (ICC-ES) report. Helical anchors without an ICC-ES report may be approved at the discretion of the Engineer. Provide couplers, thread bar adapters and bolts recommended by the Anchor Manufacturer to connect helical anchors together and to piles.

(3) Anchorages

Provide steel plates for bearing plates and steel washers, hex nuts, wedge plates and wedges recommended by the Anchor Manufacturer.

(C) Temporary Walls

(1) Welded Wire Facing

Use welded wire reinforcement for welded wire facing, struts and wires. For temporary wire walls, provide welded wire facing supplied by the Wire Wall Vendor or a manufacturer approved or licensed by the vendor. For temporary wire walls with separate reinforcement and facing components, provide connectors (e.g., bars, clamps, plates, etc.) and fasteners (e.g., bolts, nuts, washers, etc.) required by the Wire Wall Vendor.

(2) Geotextiles

Provide Type 2 geotextile for separation and retention geotextiles. Provide Type 5 geotextile for geotextile reinforcement with ultimate tensile strengths in accordance with the accepted submittals.

(3) Geogrid Reinforcement

Handle and store geogrids in accordance with Article 1056-2 of the 2012 *Standard Specifications for Roads and Structures*. Define “machine direction” (MD) and “cross-machine direction” (CD) for geogrids in accordance with ASTM D4439.

Use geogrids with a roll width of at least four feet and an “approved” or “approved for provisional use” status code. The list of approved geogrids is available from:

**[connect.ncdot.gov/resources/Materials/Pages/SoilsLaboratory.aspx](http://connect.ncdot.gov/resources/Materials/Pages/SoilsLaboratory.aspx)**

Provide geogrids for geogrid reinforcement with design strengths in accordance with the accepted submittals. Geogrids are typically approved for ultimate tensile strengths in the MD and CD or short-term design strengths for a three-year design life in the MD based on material type. Define material type from the website above for shoring backfill as follows:

<b>Material Type</b>	<b>Shoring Backfill</b>
Borrow	A-2-4 Soil
Fine Aggregate	Class II, Type 1 or Class III Select Material
Coarse Aggregate	Class V or VI Select Material

(4) **Welded Wire Grid and Metallic Strip Reinforcement**

Provide welded wire grid and metallic strip reinforcement supplied by the Wire Wall Vendor or a manufacturer approved or licensed by the vendor. Use welded wire grid reinforcement (“mesh”, “mats” and “ladders”) that meet Article 1070-3 of the 2012 *Standard Specifications for Roads and Structures* and metallic strip reinforcement (“straps”) that meet ASTM A572 or A1011.

### **Preconstruction Requirements**

(A) **Concrete Barrier**

Define “clear distance” behind concrete barrier as the horizontal distance between the barrier and edge of pavement. The minimum required clear distance for concrete barrier is shown in the plans developed by the Design-Build Team. At the Design-Build Team’s option or if the minimum required clear distance is not available, set concrete barrier next to and up against traffic side of temporary shoring except for barrier above temporary walls. Concrete barrier with the minimum required clear distance shall be required above temporary walls.

(B) **Temporary Guardrail**

Define “clear distance” behind temporary guardrail as the horizontal distance between guardrail posts and temporary shoring. At the Design-Build Team’s option or if clear distance for cantilever, braced and anchored shoring is less than four feet, attach guardrail to traffic side of shoring as shown in the plans developed by the Design-Build Team. Place ABC in clear distance and around guardrail posts instead of pavement. Do not use temporary guardrail above temporary walls.

(C) **Temporary Shoring Designs**

Before beginning temporary shoring design, survey existing ground elevations in the vicinity of shoring locations to determine actual design heights (H). Submit eight copies of working drawings and three copies of design calculations and a PDF copy of each for temporary shoring designs in accordance with Article 105-2 of the 2012 *Standard Specifications for Roads and Structures*. Submit working drawings showing plan views,

shoring profiles, typical sections and details of temporary shoring design and construction sequence. Do not begin shoring construction until a design submittal is accepted.

Have cantilever and braced shoring designed, detailed and sealed by an engineer licensed in the state of North Carolina. Use a prequalified Anchored Wall Design Consultant to design anchored shoring. Provide anchored shoring designs sealed by a Design Engineer approved as a Geotechnical Engineer (key person) for an Anchored Wall Design Consultant. Include details in anchored shoring working drawings of anchor locations and lock-off loads, unit grout / ground bond strengths for ground anchors or minimum installation torque and torsional strength rating for helical anchors and if necessary, obstructions extending through shoring or interfering with anchors. Include details in the anchored shoring construction sequence of pile and anchor installation, excavation and anchor testing.

Use a prequalified MSE Wall Design Consultant to design temporary walls. Provide temporary wall designs sealed by a Design Engineer approved as a Geotechnical Engineer (key person) for the MSE Wall Design Consultant. Include details in temporary wall working drawings of geotextile and reinforcement types, locations and directions and obstructions extending through walls or interfering with reinforcement.

(1) Soil Parameters

Design temporary shoring for the assumed soil parameters and groundwater elevations shown in the plans. Assume the following soil parameters for shoring backfill:

(a) Unit weight ( $\gamma$ ) = 120 lb/cf;

(b)

Friction Angle ( $\phi$ )	Shoring Backfill
30°	A-2-4 Soil
34°	Class II, Type 1 or Class III Select Material
38°	Class V or VI Select Material

(c) Cohesion (c) = 0 lb/sf.

(2) Traffic Surcharge

Design temporary shoring for a traffic surcharge of 250 lb/sf if traffic will be above and within H of shoring. This traffic surcharge shall not apply to construction traffic. Design temporary shoring for any construction surcharge if construction traffic will be above and within H of shoring. For LRFD shoring designs, apply traffic (live load) surcharge in accordance with Figure C11.5.5-3 of the AASHTO *LRFD Bridge Design Specifications*.

(3) Cantilever, Braced and Anchored Shoring Designs

Use shoring backfill for fill sections and voids between cantilever, braced and anchored shoring and the critical failure surface. Use concrete or grout for embedded portions of drilled-in H-piles. Do not use drilled-in sheet piles.

Define “top of shoring” for cantilever, braced and anchored shoring as where the grade intersects the back of sheet piles or H-piles and timber lagging. Design cantilever, braced and anchored shoring for a traffic impact load of 2,000 lb/ft applied 18" above top of shoring if concrete barrier is above and next to shoring or temporary guardrail is above and attached to shoring. For anchored shoring designs, apply traffic impact load as horizontal load ( $P_{H1}$ ) in accordance with Figure 3.11.6.3-2(a) of the AASHTO LRFD specifications.

Extend cantilever, braced and anchored shoring at least 32" above top of shoring if shoring is designed for traffic impact. Otherwise, extend shoring at least 6" above top of shoring.

Design cantilever, braced and anchored shoring for a maximum deflection of 3" if the horizontal distance to the closest edge of pavement or structure is less than H. Otherwise, design shoring for a maximum deflection of 6". Design cantilever and braced shoring in accordance with the plans developed by the Design-Build Team and AASHTO *Guide Design Specifications for Bridge Temporary Works*.

Design anchored shoring in accordance with the plans developed by the Design-Build Team and Article 11.9 of the AASHTO *LRFD Bridge Design Specifications*. Use a resistance factor of 0.80 for tensile resistance of anchors with bars, strands or shafts. Extend the unbonded length for ground anchors and the shallowest helix for helical anchors at least five feet behind the critical failure surface. Do not extend anchors beyond right of way or easement limits. If existing or future obstructions such as foundations, guardrail posts, pavements, pipes, inlets or utilities will interfere with anchors, maintain a clearance of at least 6" between obstructions and anchors.

(4) Temporary Wall Designs

Use shoring backfill in the reinforced zone of temporary walls. Separation geotextiles are required between shoring backfill and backfill, natural ground or culverts along the sides of the reinforced zone perpendicular to the wall face. For Class V or VI select material in the reinforced zone, separation geotextiles are also required between shoring backfill and backfill or natural ground on top of and at the back of the reinforced zone.

Design temporary walls in accordance with the plans developed by the Design-Build Team and Article 11.10 of the AASHTO *LRFD Bridge Design Specifications*. Embed temporary walls at least 18" except for walls on structures or rock as determined by the Engineer. Use a uniform reinforcement length

throughout the wall height of at least 0.7H or six feet, whichever is longer. Extend the reinforced zone at least 6" beyond end of reinforcement. Do not locate the reinforced zone outside right of way or easement limits.

Use the simplified method for determining maximum reinforcement loads in accordance with the AASHTO LRFD specifications. For geotextile reinforcement, use geotextile properties approved by the Department or default values in accordance with the AASHTO LRFD specifications. For geogrid reinforcement, use approved geogrid properties available from the website shown elsewhere in this provision. If the website does not list a short-term design strength for an approved geogrid, use a short-term design strength equal to the ultimate tensile strength divided by 3.5 for the geogrid reinforcement. Use geosynthetic properties for the direction reinforcement will be installed, a three-year design life and shoring backfill to be used in the reinforced zone.

Do not use more than four different reinforcement strengths for each temporary geosynthetic wall. Design temporary geotextile walls for a reinforcement coverage ratio ( $R_c$ ) of 1.0 and temporary geogrid walls for an  $R_c$  of at least 0.8. For geogrid reinforcement with an  $R_c$  of less than 1.0, use a maximum horizontal clearance between geogrids of three feet and stagger reinforcement so geogrids are centered over gaps in the reinforcement layer below.

For temporary geosynthetic walls, use "L" shaped welded wire facing with 18" to 24" long legs. Locate geotextile or geogrid reinforcement so reinforcement layers are at the same level as the horizontal legs of welded wire facing. Use vertical reinforcement spacing equal to facing height. Wrap geotextile or geogrid reinforcement behind welded wire facing and extend reinforcement at least three feet back behind facing into shoring backfill.

For temporary wire walls with separate reinforcement and facing components, attach welded wire grid or metallic strip reinforcement to welded wire facing with a connection approved by the Department. For temporary geogrid and wire walls, retain shoring backfill at welded wire facing with retention geotextiles and extend geotextiles at least three feet back behind facing into backfill.

(D) Preconstruction Meeting

The Engineer may require a shoring preconstruction meeting to discuss the construction, inspection and testing of the temporary shoring. If required and if this meeting occurs before all shoring submittals have been accepted, additional preconstruction meetings may be required before beginning construction of temporary shoring without accepted submittals. The Resident, District or Bridge Maintenance Engineer, Bridge or Roadway Construction Engineer, Geotechnical Operations Engineer, Design-Build Team and Shoring Contractor Superintendent will attend preconstruction meetings.



## Construction Methods

Control drainage during construction in the vicinity of shoring. Direct run off away from shoring and shoring backfill. Contain and maintain backfill and protect material from erosion.

Install positive protection in accordance with the contract and accepted submittals. Use PCB in accordance with Section 1170 of the 2012 *Standard Specifications for Roads and Structures* and Roadway Standard Drawing No. 1170.01. Use temporary guardrail in accordance with Section 862 of the 2012 *Standard Specifications for Roads and Structures* and Roadway Standard Drawing Nos. 862.01, 862.02 and 862.03.

### (A) Tolerances

Construct shoring with the following tolerances:

- (1) Horizontal wires of welded wire facing are level in all directions,
- (2) Shoring location is within 6" of horizontal and vertical alignment shown in the accepted submittals, and
- (3) Shoring plumbness (batter) is not negative and within 2° of vertical.

### (B) Cantilever, Braced and Anchored Shoring Installation

If overexcavation behind cantilever, braced or anchored shoring is shown in the accepted submittals, excavate before installing piles. Otherwise, install piles before excavating for shoring. Install cantilever, braced or anchored shoring in accordance with the construction sequence shown in the accepted submittals. Remove piles and if applicable, timber lagging when shoring is no longer needed.

#### (1) Pile Installation

Install piles with the minimum required embedment and extension in accordance with Subarticles 450-3(D) and 450-3(E) of the 2012 *Standard Specifications for Roads and Structures* except that a pile driving equipment data form is not required. Piles may be installed with a vibratory hammer as approved by the Engineer.

Do not splice sheet piles. Use pile excavation to install drilled-in H-piles. After filling holes with concrete or grout to the elevations shown in the accepted submittals, remove any fluids and fill remaining portions of holes with flowable fill. Cure concrete or grout at least seven days before excavating.

Notify the Engineer if refusal is reached before pile excavation or driven piles attain the minimum required embedment. When this occurs, a revised design submittal may be required.

## (2) Excavation

Excavate in front of piles from the top down in accordance with the accepted submittals. For H-piles with timber lagging and braced and anchored shoring, excavate in staged horizontal lifts with a maximum height of five feet. Remove flowable fill and material in between H-piles as needed to install timber lagging. Position lagging with at least 3" of contact in the horizontal direction between the lagging and pile flanges. Do not excavate the next lift until timber lagging for the current lift is installed and if applicable, bracing and anchors for the current lift are accepted. Backfill behind cantilever, braced or anchored shoring with shoring backfill.

## (3) Anchor Installation

If applicable, install foundations located behind anchored shoring before installing anchors. Fabricate and install ground anchors in accordance with the accepted submittals, Articles 6.4 and 6.5 of the AASHTO *LRFD Bridge Construction Specifications* and the following unless otherwise approved:

- (a) Materials in accordance with this provision shall be required instead of materials conforming to Articles 6.4 and 6.5.3 of the AASHTO LRFD Specifications,
- (b) Encapsulation-protected ground anchors in accordance with Article 6.4.1.2 of the AASHTO LRFD specifications are not required, and
- (c) Corrosion protection for unbonded lengths of ground anchors and anchorage covers are not required.
- (d) Measure grout temperature, density and flow during grouting with at least the same frequency grout cubes are made for compressive strength. Perform density and flow field tests in the presence of the Engineer in accordance with American National Standards Institute / American Petroleum Institute Recommended Practice 13B-1 (Section 4, Mud Balance) and ASTM C939 (Flow Cone), respectively.

Install helical anchors in accordance with the accepted submittals and Anchor Manufacturer's instructions. Measure torque during installation and do not exceed the torsional strength rating of the helical anchor. Attain the minimum required installation torque and penetration before terminating anchor installation. When replacing a helical anchor, embed last helix of the replacement anchor at least 3 helix plate diameters past the location of the first helix of the previous anchor.

## (4) Anchor Testing

Proof test and lock-off anchors in accordance with the accepted submittals and Article 6.5.5 of the AASHTO *LRFD Bridge Construction Specifications* except

for the acceptance criteria in Article 6.5.5.5. For the AASHTO LRFD specifications, “ground anchor” refers to a ground or helical anchor and “tendon” refers to a bar, strand or shaft.

(a) Anchor Acceptance

Anchor acceptance is based in part on the following criteria.

- (i) For ground and helical anchors, total movement is less than 0.04" between the 1 and 10 minute readings or less than 0.08" between the 6 and 60 minute readings.
- (ii) For ground anchors, total movement at maximum test load exceeds 80% of the theoretical elastic elongation of the unbonded length.

(b) Anchor Test Results

Submit two copies of anchor test records including movement versus load plots for each load increment within 24 hours of completing each row of anchors. The Engineer will review the test records to determine if the anchors are acceptable.

If the Engineer determines an anchor is unacceptable, revise the anchor design or installation methods. Submit a revised anchored shoring design for acceptance and provide an acceptable anchor with the revised design or installation methods. If required, replace the anchor or provide additional anchors with the revised design or installation methods.

(C) Temporary Wall Installation

Excavate as necessary for temporary walls in accordance with the plans developed by the Design-Build Team and accepted submittals. If applicable, install foundations located in the reinforced zone before placing shoring backfill or reinforcement unless otherwise approved. Notify the Engineer when foundation excavation is complete. Do not place shoring backfill or reinforcement until excavation dimensions and foundation material are approved.

Erect welded wire facing so the wall position is as shown in the plans developed by the Design-Build Team and accepted submittals. Set welded wire facing adjacent to each other in the horizontal and vertical direction to completely cover the wall face with facing. Stagger welded wire facing to create a running bond by centering facing over joints in the row below.

Wrap geotextile reinforcement and retention geotextiles behind welded wire facing as shown in the plans developed by the Design-Build Team and accepted submittals, and cover geotextiles with at least 3" of shoring backfill. Overlap adjacent geotextile reinforcement and retention and separation geotextiles at least 18" with seams oriented

perpendicular to the wall face. Hold geotextiles in place with wire staples or anchor pins as needed.

Place reinforcement within 3" of locations shown in the plans developed by the Design-Build Team and accepted submittals, and in slight tension free of kinks, folds, wrinkles or creases. Install reinforcement with the direction shown in the plans developed by the Design-Build Team and accepted submittals. For temporary wire walls with separate reinforcement and facing components, attach welded wire grid or metallic strip reinforcement to welded wire facing as shown in the accepted submittals. Do not splice or overlap reinforcement so seams are parallel to the wall face. Contact the Engineer when unanticipated existing or future obstructions such as foundations, pavements, pipes, inlets or utilities will interfere with reinforcement.

Place shoring backfill in the reinforced zone in 8" to 10" thick lifts. Compact A-2-4 soil and Class II, Type 1 and Class III select material in accordance with Subarticle 235-3(C) of the 2012 *Standard Specifications for Roads and Structures*. Use only hand operated compaction equipment to compact backfill within three feet of welded wire facing. At a distance greater than three feet, compact shoring backfill with at least four passes of an eight-ton to ten-ton vibratory roller in a direction parallel to the wall face. Smooth wheeled or rubber tired rollers are also acceptable for compacting backfill. Do not use sheepsfoot, grid rollers or other types of compaction equipment with feet. Do not displace or damage reinforcement when placing and compacting shoring backfill. End dumping directly on geotextile or geogrid reinforcement shall not be permitted. Do not operate heavy equipment on reinforcement until it is covered with at least 8" of shoring backfill. Replace any damaged reinforcement to the satisfaction of the Engineer.

Backfill for temporary walls outside the reinforced zone in accordance with Article 410-8 of the 2012 *Standard Specifications for Roads and Structures*. Bench temporary walls into the sides of excavations where applicable. For temporary geosynthetic walls with top of wall within five feet of finished grade, remove top facing and incorporate top reinforcement layer into fill when placing fill in front of wall. Temporary walls remain in place permanently unless otherwise required.

### **TRUCK MOUNTED CHANGEABLE MESSAGE SIGNS**

(6/27/2012)

1101.02

DB11 R10

Revise the 2012 *Roadway Standard Drawings* as follows:

**Drawing No. 1101.02, Sheet 12, TEMPORARY LANE CLOSURES**, replace General Note #11 with the following:

11- TRUCK MOUNTED CHANGEABLE MESSAGE SIGNS (TMCMS) USED ON SHADOW VEHICLES FOR "IN LANE" ACTIVITIES SHALL BE A MINIMUM OF 43" X 73". THE DISPLAY PANEL SHALL HAVE FULL MATRIX CAPABILITY WITH THE CAPABILITY TO PROVIDE 2 MESSAGE LINES WITH 7 CHARACTERS PER LINE WITH A MINIMUM CHARACTER HEIGHT OF 18". FOR ADDITIONAL MESSAGING, CONTACT THE WORK ZONE TRAFFIC CONTROL SECTION.

12- TMCMS USED FOR ADVANCED WARNING ON VEHICLES LOCATED ON THE SHOULDER MAY BE SMALLER THAN 43" X 73". THE DISPLAY PANEL SHALL HAVE THE CAPABILITY TO PROVIDE 2 MESSAGE LINES WITH 7 CHARACTERS PER LINE WITH A MINIMUM CHARACTER HEIGHT OF 18". FOR ADDITIONAL MESSAGING, CONTACT THE WORK ZONE TRAFFIC CONTROL SECTION.

**Drawing No. 1101.02, Sheet 13, TEMPORARY LANE CLOSURES**, replace General Note #12 with the following:

12- TRUCK MOUNTED CHANGEABLE MESSAGE SIGNS (TMCMS) USED ON SHADOW VEHICLES FOR "IN LANE" ACTIVITIES SHALL BE A MINIMUM OF 43" X 73". THE DISPLAY PANEL SHALL HAVE FULL MATRIX CAPABILITY WITH THE CAPABILITY TO PROVIDE 2 MESSAGE LINES WITH 7 CHARACTERS PER LINE WITH A MINIMUM CHARACTER HEIGHT OF 18". FOR ADDITIONAL MESSAGING, CONTACT THE WORK ZONE TRAFFIC CONTROL SECTION.

13- TMCMS USED FOR ADVANCED WARNING ON VEHICLES LOCATED ON THE SHOULDER MAY BE SMALLER THAN 43" X 73". THE DISPLAY PANEL SHALL HAVE THE CAPABILITY TO PROVIDE 2 MESSAGE LINES WITH 7 CHARACTERS PER LINE WITH A MINIMUM CHARACTER HEIGHT OF 18". FOR ADDITIONAL MESSAGING, CONTACT THE WORK ZONE TRAFFIC CONTROL SECTION.

**GROUT REFERENCES FOR POSITIVE PROTECTION**

(4-10-15)

1170

DB11 R20

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 11-14, Article 1170-2, MATERIALS, line 30**, in the materials table, replace "Freeze-Thaw Durable Grout, Nonshrink" with "Grout, Type 3".

**Page 11-14, Article 1170-2, MATERIALS, lines 31-32**, delete the first paragraph after the materials table.

**GROUT REFERENCES FOR UTILITY MANHOLES**

(8-3-15)

1525

DB15 R40

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Page 15-13, Article 1525-2, Materials, line 9**, in the materials table, add the following:

<b>Item</b>	<b>Section</b>
Grout, Type 2	1003

**Page 15-13, Article 1525-2, Materials, lines 20-21**, replace the third paragraph after the materials table with the following:

Use Type 2 grout with properties that meet Table 1003-2 in the *Grout Production and Delivery* Standard Special Provision found elsewhere in this RFP, except provide grout with a plastic consistency in accordance with ASTM C1107.

**Page 15-14, Subarticle 1525-3(B), Installation of Precast Units, line 22**, in the second sentence of the first paragraph, replace “non-shrink grout.” with “grout.”

### **ON-THE-JOB TRAINING**

(2-24-15) (Rev. 3-2-15)

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 administered by the OJT Program Manager.

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 shall be given to training employees on NCDOT Federal-Aid funded projects.

#### **Minorities and Women**

Developing, training and upgrading of minorities and women toward journeyman level status is a primary objective of this special training provision. Accordingly, the Contractor shall make every effort to enroll minority and women as trainees 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 a member of a minority group or not.

#### **Assigning Training Goals**

The Department, through the OJT Program Manager, will assign training goals for a calendar year based on the contractors' past three years' activity and the contractors' anticipated upcoming year's activity with the Department. At the beginning of each year, all contractors eligible will be contacted by the Department to determine the number of trainees that will be assigned for the upcoming 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 goals agreed to by both parties.

The number of training assignments may range from 1 to 15 per contractor per calendar year. The Contractor shall sign an agreement to fulfill their annual goal for the year.

### **Training Classifications**

The Contractor shall provide on-the-job training aimed at developing full journeyman level workers in the construction craft/operator positions. 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 and estimators. 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 level status or in which they have been employed as a journeyman.

**Records and Reports**

The Contractor shall maintain enrollment, monthly and completion reports documenting company compliance under these contract documents. These documents and any other information as requested shall be submitted to the OJT Program Manager.

Upon completion and graduation of the program, the Contractor shall provide each trainee with a certification Certificate showing the type and length of training satisfactorily completed.

**Trainee Interviews**

All trainees enrolled in the program will receive an initial and Trainee / Post graduate interview conducted by the OJT program staff.

**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. The Contractor shall adhere to the minimum hourly wage rate that will satisfy both the NC Department of Labor (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 scheduled workload to meet training goals.

If a contractor fails to attain their training assignments for the calendar year, they may be taken off the NCDOT's Bidders List.

**Measurement and Payment**

No compensation will be made for providing required training in accordance with these contract documents.



**STANDARD SPECIAL PROVISION****AVAILABILITY OF FUNDS – TERMINATION OF CONTRACTS**

(9-1-11)

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 January 2012 and as amended by the Standard Special Provision, Division One found elsewhere in this RFP.

**\*\*\* STANDARD SPECIAL PROVISIONS \*\*\*****NCDOT GENERAL SEED SPECIFICATIONS FOR SEED QUALITY**

(5-7-11)

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:

<b>Restricted Noxious Weed</b>	<b>Limitations per Lb. of Seed</b>	<b>Restricted Noxious Weed</b>	<b>Limitations per Lb. of Seed</b>
Blessed Thistle	4 seeds	Cornflower (Ragged Robin)	27 seeds
Cocklebur	4 seeds	Texas Panicum	27 seeds
Spurred Anoda	4 seeds	Bracted Plantain	54 seeds
Velvetleaf	4 seeds	Buckhorn Plantain	54 seeds
Morning-glory	8 seeds	Broadleaf Dock	54 seeds
Corn Cockle	10 seeds	Curly Dock	54 seeds
Wild Radish	12 seeds	Dodder	54 seeds
Purple Nutsedge	27 seeds	Giant Foxtail	54 seeds
Yellow Nutsedge	27 seeds	Horsenettle	54 seeds
Canada Thistle	27 seeds	Quackgrass	54 seeds
Field Bindweed	27 seeds	Wild Mustard	54 seeds
Hedge Bindweed	27 seeds		

Seed of Pensacola Bahiagrass shall not contain more than 7% inert matter, Kentucky Bluegrass, Centipede 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 nor 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 GIVEN 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	Clover – Red / White / Crimson
Carpetgrass	

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 noxious weed seed per pound. Seed less than 70% pure live seed will not be approved.

Centipedegrass  
Crownvetch  
Pensacola Bahiagrass  
Creeping Red Fescue

Japanese Millet  
Reed Canary Grass  
Zoysia

Minimum 70% pure live seed; maximum 1% total weed seed; maximum 2% total other crop seed; maximum 5% inert matter; maximum 144 restricted noxious weed seed per pound.

Barnyard Grass  
Big Bluestem  
Little Bluestem  
Bristly Locust  
Birdsfoot Trefoil  
Indiangrass  
Orchardgrass  
Switchgrass  
Yellow Blossom Sweet Clover

**STANDARD SPECIAL PROVISION****ERRATA**

(02-24-15) (Rev.03/02/15)

Z-4

Revise the 2012 *Standard Specifications for Roads and Structures* as follows:

**Division 2**

**Page 2-7, line 31, Article 215-2 Construction Methods,** replace “Article 107-26” with “Article 107-25”.

**Page 2-17, Article 226-3, Measurement and Payment, line 2,** delete “pipe culverts,”.

**Page 2-20, Subarticle 230-4(B), Contractor Furnished Sources, change references as follows:** **Line 1,** replace “(4) Buffer Zone” with “(c) Buffer Zone”; **Line 12,** replace “(5) Evaluation for Potential Wetlands and Endangered Species” with “(d) Evaluation for Potential Wetlands and Endangered Species”; and **Line 33,** replace “(6) Approval” with “(4) Approval”.

**Division 3**

**Page 3-1, after line 15, Article 300-2 Materials,** replace “1032-9(F)” with “1032-6(F)”.

**Division 4**

**Page 4-77, line 27, Subarticle 452-3(C) Concrete Coping,** replace “sheet pile” with “reinforcement”.

**Division 6**

**Page 6-7, line 31, Article 609-3 Field Verification of Mixture and Job Mix Formula Adjustments,** replace “30” with “45”.

**Page 6-10, line 42, Subarticle 609-6(C)(2),** replace “Subarticle 609-6(E)” with “Subarticle 609-6(D)”.

**Page 6-11, Table 609-1 Control Limits,** replace “Max. Spec. Limit” for the Target Source of  $P_{0.075}/P_{be}$  Ratio with “1.0”.

**Page 6-40, Article 650-2 Materials,** replace “Subarticle 1012-1(F)” with “Subarticle 1012-1(E)”

**Division 7**

**Page 7-1, Article 700-3, CONCRETE HAULING EQUIPMENT**, line 33, replace “competition” with “completion”.

**Division 8**

**Page 8-23, line 10, Article 838-2 Materials**, replace “Portland Cement Concrete, Class B” with “Portland Cement Concrete, Class A”.

**Division 10**

**Page 10-166, Article 1081-3 Hot Bitumen**, replace “Table 1081-16” with “Table 1081-2”, replace “Table 1081-17” with “Table 1081-3”, and replace “Table 1081-18” with “Table 1081-4”.

**Division 12**

**Page 12-7, Table 1205-3**, add “FOR THERMOPLASTIC” to the end of the title.

**Page 12-8, Subarticle 1205-5(B), line 13**, replace “Table 1205-2” with “Table 1205-4”.

**Page 12-8, Table 1205-4 and 1205-5**, replace “THERMOPLASTIC” in the title of these tables with “POLYUREA”.

**Page 12-9, Subarticle 1205-6(B), line 21**, replace “Table 1205-4” with “Table 1205-6”.

**Page 12-11, Subarticle 1205-8(C), line 25**, replace “Table 1205-5” with “Table 1205-7”.

**Division 15**

**Page 15-4, Subarticle 1505-3(F) Backfilling, line 26**, replace “Subarticle 235-4(C)” with “Subarticle 235-3(C)”.

**Page 15-6, Subarticle 1510-3(B), after line 21**, replace the allowable leakage formula with the following:  $W = LD\sqrt{P} \div 148,000$

**Page 15-6, Subarticle 1510-3(B), line 32**, delete “may be performed concurrently or” and replace with “shall be performed”.

**Page 15-17, Subarticle 1540-3(E), line 27**, delete “Type 1”.

**Division 17**

**Page 17-26, line 42, Subarticle 1731-3(D) Termination and Splicing within Interconnect Center**, delete this subarticle.

Revise the 2012 *Roadway Standard Drawings* as follows:

**1633.01 Sheet 1 of 1, English Standard Drawing for Matting Installation**, replace “1633.01” with “1631.01”.

**\*\*\* STANDARD SPECIAL PROVISIONS \*\*\*****AWARD OF CONTRACT**

(6-28-77)(Rev. 1-8-16)

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”.

**TITLE VI AND NONDISCRIMINATION****I. Title VI Assurance**

During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

**(1) Compliance with Regulations:** The contractor shall comply with the Regulation relative to nondiscrimination in Federally-assisted programs of the Department of Transportation (hereinafter, "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time, (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.

**(2) Nondiscrimination:** The Contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.

**(3) Solicitations for Subcontractors, Including Procurements of Materials and Equipment:** In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin.

**(4) Information and Reports:** The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the North Carolina Department of Transportation (NCDOT) or the Federal Highway Administration (FHWA) to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to the NCDOT, or the FHWA as appropriate, and shall set forth what efforts it has made to obtain the information.



**(5) Sanctions for Noncompliance:** In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, the NCDOT shall impose such contract sanctions as it or the FHWA may determine to be appropriate, including, but not limited to:

- (a) Withholding of payments to the contractor under the contract until the contractor complies, and / or
- (b) Cancellation, termination or suspension of the contract, in whole or in part.

**(6) Incorporation of Provisions:** The contractor shall include the provisions of paragraphs (1) through (6) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto.

The contractor shall take such action with respect to any subcontractor procurement as the NCDOT or the FHWA may direct as a means of enforcing such provisions including sanctions for noncompliance: provided, however, that, in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request the NCDOT to enter into such litigation to protect the interests of the NCDOT, and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

## **II. Title VI Nondiscrimination Program**

Title VI of the 1964 Civil Rights Act, 42 U.S.C. 2000d, provides that: "No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance." The broader application of nondiscrimination law is found in other statutes, executive orders, and regulations (see Section III, Pertinent Nondiscrimination Authorities), which provide additional protections based on age, sex, disability and religion. In addition, the 1987 Civil Rights Restoration Act extends nondiscrimination coverage to all programs and activities of federal-aid recipients and contractors, including those that are not federally-funded.

### *Nondiscrimination Assurance*

The North Carolina Department of Transportation (NCDOT) hereby gives assurance that no person shall on the ground of race, color, national origin, sex, age, and disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity conducted by the recipient, as provided by Title VI of the Civil Rights Act of 1964, the Civil Rights Restoration Act of 1987, and any other related Civil Rights authorities, whether those programs and activities are federally funded or not.

### *Obligation*

During the performance of this contract, the Contractor and its subcontractors are responsible for complying with NCDOT's Title VI Program. The Contractor must ensure that NCDOT's Notice

of Nondiscrimination is posted in conspicuous locations accessible to all employees and subcontractors on the jobsite, along with the Contractor's own Equal Employment Opportunity (EEO) Policy Statement. The Contractor shall physically incorporate this "**TITLE VI AND NONDISCRIMINATION**" language, in its entirety, into all its subcontracts on federally-assisted and state-funded NCDOT-owned projects, and ensure its inclusion by subcontractors into all subsequent lower tier subcontracts. The Contractor and its subcontractors shall also physically incorporate the **FHWA-1273**, in its entirety, into all subcontracts and subsequent lower tier subcontracts on Federal-aid highway construction contracts only. The Contractor is also responsible for making its subcontractors aware of NCDOT's Discrimination Complaints Process, as follows:

## **FILING OF COMPLAINTS**

- 1. Applicability** – These complaint procedures apply to the beneficiaries of the NCDOT's programs, activities, and services, including, but not limited to, members of the public, contractors, subcontractors, consultants, and other sub-recipients of federal and state funds.
- 2. Eligibility** – Any person or class of persons who believes he/she has been subjected to discrimination or retaliation prohibited by any of the Civil Rights authorities, based upon race, color, sex, age, national origin, or disability, may file a written complaint with NCDOT's Civil Rights office. The law prohibits intimidation or retaliation of any sort. The complaint may be filed by the affected individual or a representative, and must be in writing.
- 3. Time Limits and Filing Options** – A complaint must be filed no later than 180 calendar days after the following:
  - The date of the alleged act of discrimination; or
  - The date when the person(s) became aware of the alleged discrimination; or
  - Where there has been a continuing course of conduct, the date on which that conduct was discontinued or the latest instance of the conduct.

Title VI and other discrimination complaints may be submitted to the following entities:

- **North Carolina Department of Transportation**, Office of Equal Opportunity & Workforce Services (EOWS), External Civil Rights Section, 1511 Mail Service Center, Raleigh, NC 27699-1511; 919-508-1808 or toll free 800-522-0453
- **US Department of Transportation**, Departmental Office of Civil Rights, External Civil Rights Programs Division, 1200 New Jersey Avenue, SE, Washington, DC 20590; 202-366-4070

**Federal Highway Administration**, North Carolina Division Office, 310 New Bern Avenue, Suite 410, Raleigh, NC 27601, 919-747-7010

**Federal Highway Administration**, Office of Civil Rights, 1200 New Jersey Avenue, SE, 8<sup>th</sup> Floor, E81-314, Washington, DC 20590, 202-366-0693 / 366-0752

**Federal Transit Administration**, Office of Civil Rights, ATTN: Title VI Program Coordinator, East Bldg. 5<sup>th</sup> Floor – TCR, 1200 New Jersey Avenue, SE, Washington, DC 20590

**Federal Aviation Administration**, Office of Civil Rights, 800 Independence Avenue, SW, Washington, DC 20591, 202-267-3258

➤ **US Department of Justice**, Special Litigation Section, Civil Rights Division, 950 Pennsylvania Avenue, NW, Washington, DC 20530, 202-514-6255 or toll free 877-218-5228

4. **Format for Complaints** – Complaints must be in **writing** and **signed** by the complainant(s) or a representative and include the complainant’s name, address, and telephone number. Complaints received by fax or e-mail will be acknowledged and processed. Allegations received by telephone will be reduced to writing and provided to the complainant for confirmation or revision before processing. Complaints will be accepted in other languages including Braille.
5. **Discrimination Complaint Form** – Contact NCDOT EOWS at the phone number above to receive a full copy of the Discrimination Complaint Form and procedures.
6. **Complaint Basis** – Allegations must be based on issues involving race, color, national origin, sex, age, or disability. The term “basis” refers to the complainant’s membership in a protected group category. Contact this office to receive a Discrimination Complaint Form.

Protected Categories	Definition	Examples	Applicable Statutes and Regulations	
			FHWA	FTA
Race	An individual belonging to one of the accepted racial groups; or the perception, based usually on physical characteristics that a person is a member of a racial group	Black / African American, Hispanic / Latino, Asian, American Indian / Alaska Native, Native Hawaiian / Pacific Islander / White	Title VI of the Civil Rights Act of 1964; 49 CFR Part 21; 23 CFR 200	Title VI of the Civil Rights Act of 1964; 49 CFR Part 21; Circular 4702.1B
Color	Color of skin, including shade of skin within a racial group	Black / White / Brown / Yellow / etc.		
National Origin	Place of birth. Citizenship is not a factor. Discrimination based on language or a person's accent is also covered.	Mexican / Cuban / Japanese / Vietnamese / Chinese		
Sex	Gender	Women and Men	1973 Federal-Aid Highway Act	Title IX of the Education Amendments of 1972
Age	Persons of any age	21 year old person	Age Discrimination Act of 1975	
Disability	Physical or mental impairment, permanent or temporary or perceived.	Blind / Alcoholic / Para-amputee / Epileptic / Diabetic / Arthritic	Section 504 of the Rehabilitation Act of 1973; Americans with Disabilities Act of 1990	

### III. Pertinent Nondiscrimination Authorities

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest agrees to comply with the following non-discrimination statutes and authorities, including, but not limited to:

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*, 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin); and 49 CFR Part 21.
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 *et seq.*), (prohibits discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 *et seq.*), as amended, (prohibits discrimination on the basis of disability); and 49 CFR Part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 *et seq.*), (prohibits discrimination on the basis of age);

- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms “programs or activities” to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- Titles II and III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131 – 12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;
- The Federal Aviation Administration’s Non-discrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1681 et seq).
- Title VII of the Civil Rights Act of 1964 (42 U.S.C. § 2000e *et seq.*, Pub. L. 88-352), (prohibits employment discrimination on the basis of race, color, religion, sex, or national origin);
- 49 CFR Part 26, regulation to ensure nondiscrimination in the award and administration of DOT-assisted contracts in the Department's highway, transit, and airport financial assistance programs, as regards the use of Disadvantaged Business Enterprises (DBEs);
- Form FHWA-1273, “Required Contract Provisions,” a collection of contract provisions and proposal notices that are generally applicable to *all Federal-aid construction projects* and must be made a part of, and physically incorporated into, *all federally-assisted contracts*, as well as appropriate subcontracts and purchase orders, particularly Sections II (Nondiscrimination) and III (Nonsegregated Facilities).

**\*\*\* STANDARD SPECIAL PROVISIONS \*\*\*****MINORITY AND FEMALE EMPLOYMENT REQUIREMENTS**

(12-18-07)

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**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 PROVISION

### REQUIRED CONTRACT PROVISIONS FEDERAL - AID CONSTRUCTION CONTRACTS

FHWA - 1273 Electronic Version - May 1, 2012

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- I. General
- II. Nondiscrimination
- III. Nonsegregated Facilities
- IV. Davis-Bacon and Related Act Provisions
- V. Contract Work Hours and Safety Standards Act Provisions
- VI. Subletting or Assigning the Contract
- VII. Safety: Accident Prevention
- VIII. False Statements Concerning Highway Projects
- IX. Implementation of Clean Air Act and Federal Water Pollution Control Act
- X. Compliance with Governmentwide Suspension and Debarment Requirements
- XI. Certification Regarding Use of Contract Funds for Lobbying

#### ATTACHMENTS

- A. Employment and Materials Preference for Appalachian Development Highway System or Appalachian Local Access Road Contracts (included in Appalachian contracts only)

#### I. GENERAL

1. Form FHWA-1273 must be physically incorporated in each construction contract funded under Title 23 (excluding emergency contracts solely intended for debris removal). The contractor (or subcontractor) must insert this form in each subcontract and further require its inclusion in all lower tier subcontracts (excluding purchase orders, rental agreements and other agreements for supplies or services).

The applicable requirements of Form FHWA-1273 are incorporated by reference for work done under any purchase order, rental agreement or agreement for other services. The prime contractor shall be responsible for compliance by any subcontractor, lower-tier subcontractor or service provider.

Form FHWA-1273 must be included in all Federal-aid design-build contracts, in all subcontracts and in lower tier subcontracts (excluding subcontracts for design services, purchase orders, rental agreements and other agreements for supplies or services). The design-builder shall be responsible for compliance by any subcontractor, lower-tier subcontractor or service provider.

Contracting agencies may reference Form FHWA-1273 in bid proposal or request for proposal documents, however, the Form FHWA-1273 must be physically incorporated (not referenced) in all contracts, subcontracts and lower-tier subcontracts (excluding purchase orders, rental agreements and other agreements for supplies or services related to a construction contract).

2. Subject to the applicability criteria noted in the following sections, 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.
3. A breach of any of the stipulations contained in these Required Contract Provisions may be sufficient grounds for withholding of progress payments, withholding of final payment, termination of the contract, suspension / debarment or any other action determined to be appropriate by the contracting agency and FHWA.
4. Selection of Labor: During the performance of this contract, the contractor shall not use convict labor for any purpose within the limits of a construction project on a Federal-aid highway unless it is labor performed by convicts who are on parole, supervised release, or probation. The term Federal-aid highway does not include roadways functionally classified as local roads or rural minor collectors.

#### II. NONDISCRIMINATION

The provisions of this section related to 23 CFR Part 230 are applicable to all Federal-aid construction contracts and to all related construction subcontracts of \$10,000 or more. The provisions of 23 CFR Part 230 are not applicable to material supply, engineering, or architectural service contracts.

In addition, the contractor and all subcontractors must comply with the following policies: Executive Order 11246, 41 CFR 60, 29 CFR 1625-1627, Title 23 USC Section 140, the Rehabilitation Act of 1973, as amended (29 USC 794), Title VI of the Civil Rights Act of 1964, as amended, and related regulations including 49 CFR Parts 21, 26 and 27; and 23 CFR Parts 200, 230, and 633.

The contractor and all subcontractors must comply with: the requirements of the Equal Opportunity Clause in 41 CFR 60-1.4(b) and, for all construction contracts exceeding \$10,000, the Standard Federal Equal Employment Opportunity Construction Contract Specifications in 41 CFR 60-4.3.

Note: The U.S. Department of Labor has exclusive authority to determine compliance with Executive Order 11246 and the policies of the Secretary of Labor including 41 CFR 60, and 29 CFR 1625-1627. The contracting agency and the FHWA have the authority and the responsibility to ensure compliance with Title 23 USC Section 140, the Rehabilitation Act of 1973, as amended (29 USC 794), and Title VI of the Civil Rights Act of 1964, as amended, and related regulations including 49 CFR Parts 21, 26 and 27; and 23 CFR Parts 200, 230, and 633.

The following provision is adopted from 23 CFR 230, Appendix A, with appropriate revisions to conform to the U.S. Department of Labor (US DOL) and FHWA requirements.

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, 29 CFR 1625-1627, 41 CFR 60 and 49 CFR 27) 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 provisions of the Americans with 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 contracting agency and the Federal Government to ensure that it has made every good faith effort to provide equal opportunity with respect to all of its terms and conditions of employment and in their review of activities under the contract.
- b. The contractor will accept as its 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, pre-apprenticeship, and/or on-the-job training."
2. **EEO Officer:** The contractor will designate and make known to the contracting officers an EEO Officer who will have the responsibility for and must be capable of effectively administering and promoting an active EEO program 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 minorities and women.
  - 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 minorities and women 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 minorities and women. To meet this requirement, the contractor will identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority and women 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, the contractor is expected to observe the provisions of that agreement to the extent that the system meets the contractor's compliance with EEO contract provisions. Where implementation of such an agreement has the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Federal nondiscrimination provisions.
  - c. The contractor will encourage its present employees to refer minorities and women as applicants for employment. Information and procedures with regard to referring such 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 its 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 their avenues of appeal.
6. **Training and Promotion:**
  - a. The contractor will assist in locating, qualifying, and increasing the skills of minorities and women who are applicants for employment or current employees. Such efforts should be aimed at developing full journey level status employees in the type of trade or job classification involved.
  - 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. In the event a special provision for training is provided under this contract, this subparagraph will be superseded as indicated in the special provision. The contracting agency may reserve training positions for persons who receive welfare assistance in accordance with 23 U.S.C. 140(a).
  - 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 employees who are minorities and women 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 good faith efforts to obtain the cooperation of such unions to increase opportunities for minorities and women. 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 good faith efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minorities and women for membership in the unions and increasing the skills of minorities and women so that they may qualify for higher paying employment.
  - b. The contractor will use good faith 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 contracting agency 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 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 minorities and women. The failure of a union to provide sufficient referrals (even though it is obligated to provide exclusive referrals under the terms of a collective bargaining agreement) does not relieve the contractor from the requirements of this paragraph. 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 contracting agency.
8. **Reasonable Accommodation for Applicants / Employees with Disabilities:** The contractor must be familiar with the requirements for and comply with the Americans with Disabilities Act and all rules and regulations established there under. Employers must provide reasonable accommodation in all employment activities unless to do so would cause an undue hardship.
  9. **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. The contractor shall take all necessary and reasonable steps to ensure nondiscrimination in the administration of this contract.
    - a. The contractor shall notify all potential subcontractors and suppliers and lessors of their EEO obligations under this contract.
    - b. The contractor will use good faith efforts to ensure subcontractor compliance with their EEO obligations.
  10. **Assurance Required by 49 CFR 26.13(b):**
    - a. The requirements of 49 CFR Part 26 and the State DOT's U.S. DOT-approved DBE program are incorporated by reference.
    - b. The contractor or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the contracting agency deems appropriate.
  11. **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 the date of the final payment to the contractor for all contract work and shall be available at reasonable times and places for inspection by authorized representatives of the contracting agency and the FHWA.
    - a. The records kept by the contractor shall document the following:
      - (1) The number and work hours 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; and
      - (3) The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minorities and women;
    - b. The contractors and subcontractors will submit an annual report to the contracting agency 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. The staffing data should represent the project work force on board in all or any part of the last payroll period preceding the end of July. If on-the-job training is being required by special provision, the contractor will be required to collect and report training data. The employment data should reflect the work force on board during all or any part of the last payroll period preceding the end of July.

### III. NONSEGREGATED FACILITIES

This provision is applicable to all Federal-aid construction contracts and to all related construction subcontracts of \$10,000 or more.

The contractor must ensure that facilities provided for employees are provided in such a manner that segregation on the basis of race, color, religion, sex, or national origin cannot result. The contractor may neither require such segregated use by written or oral policies nor tolerate such use by employee custom. The contractor's obligation extends further to ensure that its employees are not assigned to perform their services at any location, under the contractor's control, where the facilities are segregated. The term "facilities" includes waiting rooms, work areas, restaurants and other eating areas, time clocks, restrooms, washrooms, locker rooms, and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing provided for employees. The contractor shall provide separate or single-user restrooms and necessary dressing or sleeping areas to assure privacy between sexes.

### IV. DAVIS-BACON AND RELATED ACT PROVISIONS

This section is applicable to all Federal-aid construction projects exceeding \$2,000 and to all related subcontracts and lower-tier subcontracts (regardless of subcontract size). The requirements apply to all projects located within the right-of-way of a roadway that is functionally classified as Federal-aid highway. This excludes roadways functionally classified as local roads or rural minor collectors, which are exempt. Contracting agencies may elect to apply these requirements to other projects.

The following provisions are from the U.S. Department of Labor regulations in 29 CFR 5.5 "Contract provisions and related matters" with minor revisions to conform to the FHWA-1273 format and FHWA program requirements.

#### 1. Minimum wages

- a. All laborers and mechanics 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 issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is

attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph 1.d. of this section; also, 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 29 CFR 5.5(a)(4). 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. The wage determination (including any additional classification and wage rates conformed under paragraph 1.b. of this section) and the Davis-Bacon poster (WH-1321) 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.

- b. (1) The contracting officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:
    - (i) The work to be performed by the classification requested is not performed by a classification in the wage determination; and
    - (ii) The classification is utilized in the area by the construction industry; and
    - (iii) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.
  - (2) If the contractor and the laborers and mechanics to be employed in the classification (if known), 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 Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210. The 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.
  - (3) In the event the contractor, the laborers or mechanics to be employed in the 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. The Wage and Hour 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.
  - (4) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs 1.b.(2) or 1.b.(3) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.
- c. 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 shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.
  - d. If the contractor does not make payments to a trustee or other third person, the contractor may consider as 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.
2. **Withholding.** The contracting agency shall upon its own action or upon written request of an authorized representative of the Department of Labor, withhold or cause to be withheld from the contractor 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, so 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 contracting agency 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.
  3. **Payrolls and basic records**
    - a. Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents 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. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) 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 shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.
    - b. (1) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the contracting agency. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i), except that full social security numbers and home addresses shall not be included on weekly transmittals. Instead the payrolls shall only need to include an individually identifying number for each employee ( e.g. , the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is

available for this purpose from the Wage and Hour Division Web site at <http://www.dol.gov/esa/whd/forms/wh347instr.htm> or its successor site. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to the contracting agency for transmission to the State DOT, the FHWA or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. It is not a violation of this section for a prime contractor to require a subcontractor to provide addresses and social security numbers to the prime contractor for its own records, without weekly submission to the contracting agency.

- (2) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:
- (i) That the payroll for the payroll period contains the information required to be provided under §5.5 (a)(3)(ii) of Regulations, 29 CFR part 5, the appropriate information is being maintained under §5.5 (a)(3)(i) of Regulations, 29 CFR part 5, and that such information is correct and complete;
  - (ii) That each 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 Regulations, 29 CFR part 3;
  - (iii) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.
- (3) 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 3.b.(2) of this section.
- (4) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 231 of title 31 of the United States Code.
- c. The contractor or subcontractor shall make the records required under paragraph 3.a. of this section available for inspection, copying, or transcription by authorized representatives of the contracting agency, the State DOT, the FHWA, or the Department of Labor, 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 FHWA may, after written notice to the contractor, the contracting agency or the State DOT, take such action 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.
4. **Apprentices and trainees**

- a. Apprentices (programs of the USDOL). 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 U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or 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 Office of Apprenticeship Training, Employer and Labor Services or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice.

The allowable ratio of apprentices to journeymen 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 worker 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 on 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 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's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed.

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 journeymen 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 determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination.

In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency recognized by the Office, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

- b. Trainees (programs of the USDOL). 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 U.S. Department of Labor, Employment and Training Administration.

The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration.

Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman 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 wage rate on the wage determination which provides for less than full fringe benefits for apprentices. 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.

In the event the Employment and Training Administration withdraws approval of a training program, the contractor 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. Equal employment opportunity. The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR part 30.
- d. 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.
- 5. **Compliance with Copeland Act requirements.** The contractor shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this contract.
- 6. **Subcontracts.** The contractor or subcontractor shall insert Form FHWA-1273 in any subcontracts and also require the subcontractors to include Form FHWA-1273 in any lower tier subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 CFR 5.5.
- 7. **Contract termination:** debarment. A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.
- 8. **Compliance with Davis-Bacon and Related Act requirements.** All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this contract.
- 9. **Disputes concerning labor standards.** Disputes arising out of the labor standards provisions of this contract shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 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 U.S. Department of Labor, or the employees or their representatives.
- 10. **Certification of eligibility.**
  - a. By entering into this contract, the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
  - b. No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
  - c. The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

#### V. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT

The following clauses apply to any Federal-aid construction contract in an amount in excess of \$100,000 and subject to the overtime provisions of the Contract Work Hours and Safety Standards Act. These clauses shall be inserted in addition to the clauses required by 29 CFR 5.5(a) or 29 CFR 4.6. As used in this paragraph, the terms laborers and mechanics include watchmen and guards.

- 1. **Overtime requirements.** No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.
- 2. **Violation; liability for unpaid wages; liquidated damages.** In the event of any violation of the clause set forth in paragraph (1.) of this section, the contractor and any subcontractor responsible therefor shall be liable for the 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 or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (1.) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (1.) of this section.
- 3. **Withholding for unpaid wages and liquidated damages.** The FHWA or the contracting agency shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys 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 (2.) of this section.
- 4. **Subcontracts.** The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraph (1.) through (4.) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (1.) through (4.) of this section.

#### VI. SUBLETTING OR ASSIGNING THE CONTRACT

This provision is applicable to all Federal-aid construction contracts on the National Highway System.

- 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 contracting agency. 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 635.116).
  - a. The term "perform work with its own organization" refers to workers employed or leased 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 or lower tier subcontractor, agents of the prime contractor, or any other assignees. The term may include payments for the costs of hiring leased employees from an employee leasing firm meeting all relevant Federal and State regulatory requirements. Leased employees may only be included in this term if the prime contractor meets all of the following conditions:
    - (1) the prime contractor maintains control over the supervision of the day-to-day activities of the leased employees;
    - (2) the prime contractor remains responsible for the quality of the work of the leased employees;
    - (3) the prime contractor retains all power to accept or exclude individual employees from work on the project; and

- (4) the prime contractor remains ultimately responsible for the payment of predetermined minimum wages, the submission of payrolls, statements of compliance and all other Federal regulatory requirements.
- 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 or propose 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 VI 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 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 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 contracting agency has assured that each subcontract is evidenced in writing and that it contains all pertinent provisions and requirements of the prime contract.
  5. The 30% self-performance requirement of paragraph (1) is not applicable to design-build contracts; however, contracting agencies may establish their own self-performance requirements.

#### **VII. SAFETY: ACCIDENT PREVENTION**

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

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 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. 3704).
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.3704).

#### **VIII. FALSE STATEMENTS CONCERNING HIGHWAY PROJECTS**

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

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, Form FHWA-1022 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:

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 under this title or imprisoned not more than 5 years or both."

#### **IX. IMPLEMENTATION OF CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT**

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

By submission of this bid/proposal or the execution of this contract, or subcontract, as appropriate, the bidder, proposer, Federal-aid construction contractor, or subcontractor, as appropriate, will be deemed to have stipulated as follows:

1. That any person who is or will be utilized in the performance of this contract is not prohibited from receiving an award due to a violation of Section 508 of the Clean Water Act or Section 306 of the Clean Air Act.
2. That the contractor agrees to include or cause to be included the requirements of paragraph (1) of this Section X in every subcontract, and further agrees to take such action as the contracting agency may direct as a means of enforcing such requirements.

#### **X. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION**

This provision is applicable to all Federal-aid construction contracts, design-build contracts, subcontracts, lower-tier subcontracts, purchase orders, lease agreements, consultant contracts or any other covered transaction requiring FHWA approval or that is estimated to cost \$25,000 or more – as defined in 2 CFR Parts 180 and 1200.

**1. Instructions for Certification – First Tier Participants:**

- a. By signing and submitting this proposal, the prospective first tier 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 first tier 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 first tier 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 contracting agency determined to enter into this transaction. If it is later determined that the prospective participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the contracting agency may terminate this transaction for cause of default.
- d. The prospective first tier participant shall provide immediate written notice to the contracting agency to whom this proposal is submitted if any time the prospective first tier 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," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180 and 1200. "First Tier Covered Transactions" refers to any covered transaction between a grantee or subgrantee of Federal funds and a participant (such as the prime or general contractor). "Lower Tier Covered Transactions" refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). "First Tier Participant" refers to the participant who has entered into a covered transaction with a grantee or subgrantee of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).
- f. The prospective first 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 entering into this transaction.
- g. The prospective first tier 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 Transactions," provided by the department or contracting agency, entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the \$25,000 threshold.
- 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 is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the Excluded Parties List System website (<https://www.epls.gov/>), which is compiled by the General Services Administration.
- i. Nothing contained in the foregoing shall be construed to require the establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of the prospective 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.

\* \* \* \* \*

**2. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – First Tier Participants:**

- a. The prospective first tier participant certifies to the best of its knowledge and belief, that it and its principals:
  - (1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency;
  - (2) 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;
  - (3) 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 (a)(2) of this certification; and
  - (4) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- b. Where the prospective 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 Participants:**

(Applicable to all subcontracts, purchase orders and other lower tier transactions requiring prior FHWA approval or estimated to cost \$25,000 or more - 2 CFR Parts 180 and 1200)

- 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," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180 and 1200. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations. "First Tier Covered Transactions" refers to any covered transaction between a grantee or subgrantee of



Federal funds and a participant (such as the prime or general contract). "Lower Tier Covered Transactions" refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). "First Tier Participant" refers to the participant who has entered into a covered transaction with a grantee or subgrantee of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).

- 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 exceeding the \$25,000 threshold.
- 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 is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the Excluded Parties List System website (<https://www.epls.gov/>), which is compiled by the General Services Administration.
- 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 Participants:**

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 participating in covered transactions 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.

\* \* \* \* \*

**XI. CERTIFICATION REGARDING USE OF CONTRACT FUNDS FOR LOBBYING**

This provision is 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 its bid or proposal that the participant 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.

**STANDARD SPECIAL PROVISION**  
**MINIMUM WAGES**  
**GENERAL DECISION NC160104 01/08/2016 NC104**

Z-104

Date: January 8, 2016

General Decision Number: NC160104 01/08/2016 NC104

Superseded General Decision Numbers: NC20150104

State: North Carolina

Construction Type: HIGHWAY

**COUNTIES**

Beaufort	Granville	Pasquotank
Bertie	Halifax	Perquimans
Bladen	Harnett	Robeson
Camden	Hertford	Sampson
Carteret	Hyde	Scotland
Chowan	Jones	Tyrrell
Columbus	Lenoir	Vance
Craven	Martin	Warren
Dare	Northampton	Washington
Duplin	Pamlico	Wilson
Gates		

HIGHWAY CONSTRUCTION PROJECTS (excluding tunnels, building structures in rest area projects & railroad construction; bascule, suspension & spandrel arch bridges designed for commercial navigation, bridges involving marine construction; and other major bridges).

Note: Executive Order (EO) 13658 establishes an hourly minimum wage of \$10.15 for calendar year 2016 that applies to all contracts subject to the Davis-Bacon Act for which the solicitation is issued on or after January 1, 2015. If this contract is covered by the EO, the contractor must pay all workers in any classification listed on this wage determination at least \$10.15 (or the applicable wage rate listed on this wage determination, if it is higher) for all hours spent performing on the contract for calendar year 2016. The EO minimum wage rate will be adjusted annually. Additional information on contractor requirements and worker protections under the EO is available at [www.dol.gov/whd/govcontracts](http://www.dol.gov/whd/govcontracts).

**Modification Number**

0

**Publication Date**

01/08/2016

SUNC2014-006 11/17/2014

	<b>Rates</b>	<b>Fringes</b>
<b>BLASTER</b>	21.85	
<b>CARPENTER</b>	13.72	
<b>CEMENT MASON / CONCRETE FINISHER</b>	14.26	
<b>ELECTRICIAN</b>		
Electrician	18.69	2.66
Telecommunications Technician	14.72	1.67
<b>IRONWORKER</b>	16.32	
<b>LABORER</b>		
Asphalt Raker and Spreader	12.42	
Asphalt Screed / Jackman	13.48	
Carpenter Tender	10.85	
Cement Mason / Concrete Finisher Tender	11.35	
Common or General	10.15	
Guardrail / Fence Installer	13.39	
Pipelayer	13.31	
Traffic Signal / Lighting Installer	16.88	
<b>PAINTER</b>		
Bridge	19.62	
<b>POWER EQUIPMENT OPERATORS</b>		
Asphalt Broom Tractor	13.28	
Bulldozer Fine	18.46	
Bulldozer Rough	14.09	
Concrete Grinder / Groover	24.66	
Crane Boom Trucks	17.25	
Crane Other	21.48	
Crane Rough / All-Terrain	19.00	
Drill Operator Rock	15.43	1.61
Drill Operator Structure	19.12	
Excavator Fine	17.61	
Excavator Rough	12.99	
Grader / Blade Fine	16.73	
Grader / Blade Rough	15.28	
Loader 2 Cubic Yards or Less	10.28	
Loader Greater Than 2 Cubic Yards	13.58	
Material Transfer Vehicle (Shuttle Buggy)	17.39	
Mechanic	18.63	
Milling Machine	14.38	
Off-Road Hauler / Water Tanker	10.15	
Oiler / Greaser	13.45	
Pavement Marking Equipment	11.87	
Paver Asphalt	15.53	
Roller Asphalt Breakdown	12.13	
Roller Asphalt Finish	13.65	
Roller Other	10.48	
Scraper Finish	13.98	
Scraper Rough	10.17	
Slip Form Machine	19.29	
Tack Truck / Distributor Operator	14.56	

	<b>Rates</b>	<b>Fringes</b>
<b>TRUCK DRIVER</b>		
GVWR of 26,000 Lbs or Greater	12.04	
GVWR of 26,000 Lbs or Less	10.35	

**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)).

The body of each wage determination lists the classification and wage rates that have been found to be prevailing for the cited type(s) of construction in the area covered by the wage determination. The classifications are listed in alphabetical order of "identifiers" that indicate whether the particular rate is a union rate (current union negotiated rate for local), a survey rate (weighted average rate) or a union average rate (weighted union average rate).

### **Union Rate Identifiers**

A four letter classification abbreviation identifier enclosed in dotted lines beginning with characters other than "SU" or "UAVG" denotes that the union classification and rate were prevailing for that classification in the survey. Example: PLUM0198-005 07/01/2014. PLUM is an abbreviation identifier of the union which prevailed in the survey for this classification, which in this example would be Plumbers. 0198 indicates the local union number or district council number where applicable, i.e., Plumbers Local 0198. The next number, 005 in the example, is an internal number used in processing the wage determination. 07/01/2014 is the effective date of the most current negotiated rate, which in this example is July 1, 2014.

Union prevailing wage rates are updated to reflect all rate changes in the collective bargaining agreement (CBA) governing this classification and rate.

### **Survey Rate Identifiers**

Classifications listed under the "SU" identifier indicate that no one rate prevailed for this classification in the survey and the published rate is derived by computing a weighted average rate based on all the rates reported in the survey for that classification. As this weighted average rate includes all rates reported in the survey, it may include both union and non-union rates. Example: SULA2012-007 5/13/2014. SU indicates the rates are survey rates based on a weighted average calculation of rates and are not majority rates. LA indicates the State of Louisiana. 2012 is the year of survey on which these classifications and rates are based. The next number, 007 in the example, is an internal number used in producing the wage determination. 5/13/2014 indicates the survey completion date for the classifications and rates under that identifier.

Survey wage rates are not updated and remain in effect until a new survey is conducted.

### **Union Average Rate Identifiers**

Classification(s) listed under the UAVG identifier indicate that no single majority rate prevailed for those classifications; however, 100% of the data reported for the classifications was union

data. EXAMPLE: UAVG-OH-0010 08/29/2014. UAVG indicates that the rate is a weighted union average rate. OH indicates the state. The next number, 0010 in the example, is an internal number used in producing the wage determination. 08/29/2014 indicates the survey completion date for the classifications and rates under that identifier.

A UAVG rate will be updated once a year, usually in January of each year, to reflect a weighted average of the current negotiated/CBA rate of the union locals from which the rate is based.

### **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 \*\*\***

**Davis-Bacon Decisions Wage Rate Link**

Davis-Bacon Decisions Wage Rate to be used for Federally Funded Major Coastal Bridge Construction Projects only.

Select which one, or which ones, to use by county listed in the documents on the website noted below:

**<http://www.wdol.gov/wdol/scafiles/davisbacon/nc.html>**

**\*\*\* STANDARD SPECIAL PROVISIONS \*\*\***

(7-9-12)

**DIVISION ONE OF STANDARD SPECIFICATIONS**

**Division One of the 2012 NCDOT Standard Specifications for Roads and Structures (Standard Specifications) shall apply except as follows:**

**Definitions:** Throughout Division One of the 2012 *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, 102-8(B), 102-9(C)(2), 103-2(B), and 103-4(B) of the 2012 *Standard Specifications for Roads and Structures* are deleted from Design-Build Contracts.

**Modifications:** The remainder of this Standard Special Provision includes modifications to Division One of the 2012 *Standard Specifications for Roads and Structures*.

## **SECTION 101 DEFINITION OF TERMS**

**Page 1-3, Article 101-3, replace and add certain definitions as follows:**

### **ADDITIONAL WORK**

Additional work is that which results from a change or alteration to 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 Department 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 2012 *Standard Specifications for Roads and Structures*.

### **CONTRACT**

The executed agreement between the Department and the successful proposer, covering the performance of, and compensation for, the work. 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 include, but not be limited to, the Request for Proposals, the



Technical Proposal, the Price Proposal, the printed contract form and attachments, contract bonds, plans and associated special provisions prepared by the Design-Build Team, standard specifications and supplemental specifications standard special provisions and project special provisions contained in the Request for Proposals or as developed by the Design-Build Team and accepted by the Department, and all executed supplemental agreements. The contract 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. Unless otherwise noted within the Request for Proposals, the term “plans” refers to plans as developed by the Design-Build Team and accepted by the Department.

#### **(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 distributed in concert 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:

Red-lined mark-up of the latest Released for Construction (RFC) Plans containing the information listed under As-Constructed Plans in the Records and Reports Section of the NCDOT Construction Manual.

(F) As-Built Plans:

Coordinately correct plans documenting the details, dimensions and locations 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. The Technical Proposal is defined to also include any supplemental information requested by the Department from a proposer prior to opening bids.

## **SECTION 102 PROPOSAL REQUIREMENTS AND CONDITIONS**

**Page 1-9, 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 made available 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 Statements of Qualifications and Proposals 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 scope 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 before the bid opening.

**Page 1-12, 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 when the Price Proposals will be opened. The Request for Proposals will also include 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.

One copy of the Final Request for Proposals will be furnished to each prospective Proposer. Additional copies may be purchased for the sum of \$25 each. The copy of the Final Request for Proposals marked with the Proposer's name and prequalification number shall be returned to the Department as the Proposer's Price Proposal.

**Page 1-14, Article 102-7, 4<sup>th</sup> paragraph, delete the first two sentences and replace with the following:**

The Proposer is cautioned that details shown in the subsurface investigation report are preliminary only. The subsurface investigation and subsurface report, if provided, is done so for information purposes only.

**Pages 1-14, 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. An amount bid shall be entered in the proposal for every item on which a unit price has been submitted. The amount bid for each item other than lump sum items shall be determined by multiplying each unit bid price by the quantity for that item and shall be written in figures in the Amount Bid column in the proposal.
6. 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.
7. 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.
8. The Price Proposal shall be properly executed. 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, it shall be signed by the manager, member, or authorized agent 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, Debarment Certification and Gift Ban Certification that is part of the signature sheets.
9. The Price Proposal shall not contain any unauthorized additions, deletions, or conditional bids.
  10. 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.
  11. 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 102-10 and as modified herein. The bid deposit shall be a certified check or cashier check in accordance with Article 102-10 and as modified herein.
  12. 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 1-18, Article 102-10, 3rd paragraph, delete the fifth sentence and replace with the following:**

The condition of the bid bond or bid deposit is: the Principal shall not withdraw its bid within 75 days after the submittal of the same, and if the Department shall award a contract to the Principal, the Principal shall within 14 calendar days after the notice of award is received by him, give payment and performance bonds with good and sufficient surety as required for the faithful performance of the contract and for the protection of all persons supplying labor and materials in the prosecution of the work.

**Page 1-18, Article 102-10, delete the end of the Article beginning with, and inclusive of, the 6<sup>th</sup> paragraph.**

**Pages 1-19, delete Article 102-12 and replace with the following:**

**102-12 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 Chief Engineer.

**Page 1-19, delete Article 102-13 and replace with the following:**

**102-13 RECEIPT AND OPENING OF BIDS**

Price Proposals from shortlisted Proposers will be opened and read publicly on the date and time 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 1-19, Article 102-14, replace the 1<sup>st</sup> paragraph with the following:**

**102-14 REJECTION OF BIDS**

Any Price Proposal submitted which fails to comply with any of the requirements of Articles 102-8, 102-9 or 102-10, or with the requirements of the project scope and 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.

**Page 1-20, Subarticle 102-15(O), delete and replace with the following:**

**(O)** Failure to restrict a former Department employee as prohibited by Article 108-5.

**SECTION 103  
AWARD AND EXECUTION OF CONTRACT**

**Page 1-21, 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 bid prices, corrections to the Price Proposal will be made in accordance with the provisions of Article 103-2. Such corrected bid prices 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 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 Department, the best interests of the State will be promoted thereby.

**Page 1-21, Subarticle 103-2(A), add items (6) and (7) as follows:**

**(6) 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 Amount Bid for the entire project.

**(7) 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 1-24, Subarticle 103-4(A), first paragraph, replace the 4<sup>th</sup> and 5<sup>th</sup> sentences with the following:**

Where award is to be made, the notice of award will be issued within 75 days after the submittal of Price Proposals, except with the consent of the responsible Proposer with the lowest adjusted price the decision to award the contract to such bidder may be delayed for as long a time as may be agreed upon by the Department and such Proposer. In the absence of such agreement, the Proposer may withdraw his Price Proposal at the expiration of the 75 days without penalty if no notice of award has been issued.

**Page 1-25, Article 103-6, delete the 1<sup>st</sup> and 2<sup>nd</sup> paragraphs and replace with the following:**

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 the checks that were furnished as a bid deposit will be returned.

## **SECTION 104 SCOPE OF WORK**

**Page 1-26, 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 documents. In case the method of construction 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 1-26, Article 104-3, replace “plans or details of construction” with “contract” in all instances within this Article.**

**Page 1-35, 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. For sections of facilities impacted by utility construction / relocation performed by the Design-Build Team prior to beginning construction on the roadway project, maintenance of the impacted sections of facilities shall be performed by the Design-Build Team beginning concurrently with the impact. 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 1-35, 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 1-40, 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 1-41, Article 105-3, add the following after the 3<sup>rd</sup> 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 1-41, 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 construction Plans, the Standard Specifications, Supplemental Specifications and Special Provisions 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 complementary and describe and provide the complete contract.

In case of discrepancy or conflict, the order in which they govern shall be as follows:

- (A) Request for Proposals, in which Project Special Provisions govern Standard Special Provisions
- (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 1-43, Article 105-8, line 28, after the first sentence, add the following:**

Identify excavation locations by means of pre-marking with white paint, flags, or stakes or provide a specific written description of the location in the locate request.

**Page 1-44, delete Article 105-9 and replace with the following:**

**105-9 CONSTRUCTION STAKES, LINES, AND GRADES**

The Design-Build Team shall be responsible for all 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.

**SECTION 106  
CONTROL OF MATERIAL**

**Page 1-49, 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 1-51, Article 106-6, add the following after the last paragraph:**

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 1-61, delete Article 107-18 and replace with the following:**

**107-18 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 1-64. Article 108-2, replace the 2<sup>nd</sup> paragraph with the following:**

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.

**Page 1-64, Subarticle 108-2(A)(1), add the following:**

- (k) Utility relocation and construction

**Page 1-65, Subarticle 108-2(A)(2), add the following:**

- (h) Critical design submittal dates
- (i) Critical permitting dates
- (j) Completion of right of way acquisition
- (k) Completion of utility relocation and construction

**Page 1-65, Article 108-2, add the following:**

- (D)** 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.

**Page 1-65, 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 1-65, 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 1-65, Article 108-5, delete the first sentence of the second paragraph and delete the first word of the second sentence of the second paragraph.**

**Page 1-66, Article 108-6, replace “40%” with “30%” in the 1st paragraph.**

**Page 1-66, Article 108-6, replace “35%” with “25%” in the 2<sup>nd</sup> paragraph.**

**Pages 1-68, 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) and as modified herein.

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 1-71, 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 1-71, delete Subarticle 108-10(B)(1) in its entirety.**

**Page 1-75, Article 108-13, delete bullet (E)(2) in its entirety.**

## **SECTION 109 MEASUREMENT AND PAYMENT**

**Page 1-76, Article 109-2, delete the last sentence of the 1<sup>st</sup> 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 1-81, 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, and as modified herein, 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 represents 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 1-82, 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 1-84, Article 109-10, add the following as bullets (E) and (F) under the 1<sup>st</sup> paragraph.**

- (E) As-Constructed Drawings, As-Built Plans and other documents required elsewhere in this RFP.
- (F) Documents or guarantees to support any warranty provided by the Design Build Team.

County : Dare

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Line #	Item Number	Sec #	Description	Quantity	Unit Cost	Amount
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**ROADWAY ITEMS**

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0001	0000900000-N	SP	GENERIC MISCELLANEOUS ITEM DESIGN AND CONSTRUCT	Lump Sum	L.S.	
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0842/Aug18/Q1.0/D900000/E1

Total Amount Of Bid For Entire Project :

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**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
Class IV Subgrade Stabilization			
Aggregate Base Course	Gal / Ton	0.55	_____ Tons
Sub-Ballast			
Aggregate for Cement Treated Base Course			
Portland Cement for Cement Treated Base Course	Gal / Ton	0.55	_____ Tons
Asphalt Concrete Base Course	Gal / Ton	2.90	_____ Tons
Asphalt Concrete Intermediate Course			
Asphalt Concrete Surface Course			
Open-Graded Asphalt Friction Course			
Permeable Asphalt Drainage Course			
Sand Asphalt Surface Course, Type SA-1			
<b>Portland Cement Concrete Pavement:</b>			
Thru Lanes and Shoulders (> 11")	Gal / SY	0.327	_____ SY
Thru Lanes and Shoulders (9" to 11")		0.272	_____ SY
Thru Lanes and Shoulders (< 9")		0.245	_____ SY
* Structural Concrete (Cast-in-Place Only)	Gal / CY	0.98	_____ CY

\* Structural Concrete shall be defined as cast-in-place Class A or Class AA concrete used in the construction of major structures for various work items identified in Division 4 of the 2012 Standard Specifications for Roads and Structures.

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 Price Proposal.)*

<b>LISTING OF DBE SUBCONTRACTORS</b>						
Firm Name and Address			Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name						
Address						
Name						
Address						
Name						
Address						
Name						
Address						
Name						
Address						
Name						
Address						

**This form must be completed in order for the Bid to be considered responsive and be publicly read. Bidders with no DBE participation must so indicate this on the form by entering the word or number *zero*.**

<b>LISTING OF DBE SUBCONTRACTORS</b>						
Firm Name and Address			Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name						
Address						
Name						
Address						
Name						
Address						
Name						
Address						
Name						
Address						
Name						
Address						

**This form must be completed in order for the Bid to be considered responsive and be publicly read. Bidders with no DBE participation must so indicate this on the form by entering the word or number *zero*.**

<b>LISTING OF DBE SUBCONTRACTORS</b>						
Firm Name and Address			Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name						
Address						
Name						
Address						
Name						
Address						
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Name						
Address						
Name						
Address						

**This form must be completed in order for the Bid to be considered responsive and be publicly read. Bidders with no DBE participation must so indicate this on the form by entering the word or number *zero*.**

<b>LISTING OF DBE SUBCONTRACTORS</b>				
			Sheet _____ of _____	
Firm Name and Address	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
<b>Name</b>  Address				
<b>Name</b>  Address				
<b>Name</b>  Address				
<b>Name</b>  Address				

**COST OF CONSTRUCTION WORK ONLY** \$ \_\_\_\_\_

\*The Dollar Volume shown in this column shall be the 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 the contract.

\*\* Dollar Volume of DBE Subcontractor \$ \_\_\_\_\_

Percentage of Total Construction Cost \_\_\_\_\_ %

(Including Right of Way Acquisition Services)

\*\* - Must have entry even if figure to be entered is zero.

\*\* - *If firm is a Material Supplier Only, show Dollar Volume as 60% of Agreed Upon Amount from Letter of Intent.  
If firm is a Manufacturer, show Dollar Volume as 100% of Agreed Upon Amount from Letter of Intent.*

**This form must be completed in order for the Bid to be considered responsive and be publicly read.  
Bidders with no DBE participation must so indicate this on the form by entering the word or number zero.**

**EXECUTION OF BID  
NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION**

**CORPORATION**

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 any bid or contract, that the bidder has not been convicted of violating N.C.G.S. § 133-24 within the last three years, 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 attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

N.C.G.S. § 133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

**SIGNATURE OF CONTRACTOR**

\_\_\_\_\_ Full name of Corporation

\_\_\_\_\_ Address as prequalified

Attest \_\_\_\_\_  
Secretary / Assistant Secretary  
Select appropriate title

By \_\_\_\_\_  
President / Vice President / Assistant Vice President  
Select appropriate title

\_\_\_\_\_ Print or type Signer's name

\_\_\_\_\_ Print or type Signer's name

**CORPORATE SEAL**

**AFFIDAVIT MUST BE NOTARIZED**

Subscribed and sworn to before me this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
Signature of Notary Public  
Of \_\_\_\_\_ County  
State of \_\_\_\_\_  
My Commission Expires \_\_\_\_\_

**NOTARY SEAL**

**EXECUTION OF BID  
NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION**

**PARTNERSHIP**

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 any bid or contract, that the bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, 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 attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

*N.C.G.S. § 133-32* and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

**SIGNATURE OF CONTRACTOR**

\_\_\_\_\_ Full Name of Partnership

\_\_\_\_\_ Address as Prequalified

\_\_\_\_\_ Signature of Witness By \_\_\_\_\_ Signature of Partner

\_\_\_\_\_ Print or type Signer's name

\_\_\_\_\_ Print or type Signer's name

**AFFIDAVIT MUST BE NOTARIZED**

Subscribed and sworn to before me this the  
day of \_\_\_\_\_ 20\_\_\_\_.

\_\_\_\_\_ Signature of Notary Public

of \_\_\_\_\_ County

State of \_\_\_\_\_

My Commission Expires: \_\_\_\_\_

**NOTARY SEAL**

**EXECUTION OF BID  
NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION  
LIMITED LIABILITY COMPANY**

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 any bid or contract, that the bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, 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 attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

*N.C.G.S. § 133-32* and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

**SIGNATURE OF CONTRACTOR**

\_\_\_\_\_  
Full Name of Firm

\_\_\_\_\_  
Address as Prequalified

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Signature of Member / Manager / Authorized Agent  
*Select appropriate title*

\_\_\_\_\_  
Print or type Signer's name

\_\_\_\_\_  
Print or type Signer's Name

**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
NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION
JOINT VENTURE (2) or (3)

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 any bid or contract, that the bidder has not been convicted of violating N.C.G.S. § 133-24 within the last three years, 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 attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

N.C.G.S. § 133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

SIGNATURE OF CONTRACTORS

Instructions: 2 Joint Venturers Fill in lines (1), (2) and (3) and execute. 3 Joint Venturers Fill in lines (1), (2), (3) and (4) and execute. On Line (1), fill in the name of the Joint Venture Company. On Line (2), fill in the name of one of the joint venturers and execute below in the appropriate manner. On Line (3), print or type the name of the other joint venturer and execute below in the appropriate manner. On Line (4), fill in the name of the third joint venturer, if applicable and execute below in the appropriate manner.

(1) Name of Joint Venture

(2) Name of Contractor

Address as prequalified

Signature of Witness or Attest By Signature of Contractor

Print or type Signer's name Print or type Signer's name

If Corporation, affix Corporate Seal and

(3) Name of Contractor

Address as prequalified

Signature of Witness or Attest By Signature of Contractor

Print or type Signer's name Print or type Signer's name

If Corporation, affix Corporate Seal and

(4) Name of Contractor (for 3 Joint Venture only)

Address as prequalified

Signature of Witness or Attest By Signature of Contractor

Print or type Signer's name Print or type Signer's name

If Corporation, affix Corporate Seal

NOTARY SEAL

Affidavit must be notarized for Line (2)

Subscribed and sworn to before me this day of 20

Signature of Notary Public of County State of My Commission Expires:

NOTARY SEAL

Affidavit must be notarized for Line (3)

Subscribed and sworn to before me this day of 20

Signature of Notary Public of County State of My Commission Expires:

NOTARY SEAL

Affidavit must be notarized for Line (4)

Subscribed and sworn to before me this day of 20

Signature of Notary Public of County State of My Commission Expires:

**EXECUTION OF BID  
NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION**

**INDIVIDUAL DOING BUSINESS UNDER A FIRM NAME**

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 any bid or contract, that the bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, 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 attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

*N.C.G.S. § 133-32* and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

**SIGNATURE OF CONTRACTOR**

Name of Contractor

\_\_\_\_\_ Individual name

Trading and doing business as

\_\_\_\_\_ Full name of Firm

\_\_\_\_\_ Address as Prequalified

\_\_\_\_\_ Signature of Witness

\_\_\_\_\_ Signature of Contractor, Individually

\_\_\_\_\_ Print or type Signer's name

\_\_\_\_\_ Print or type Signer's name

**AFFIDAVIT MUST BE NOTARIZED**

Subscribed and sworn to before me this the  
\_\_\_\_ day of \_\_\_\_\_ 20\_\_.

\_\_\_\_\_  
Signature of Notary Public  
of \_\_\_\_\_ County  
State of \_\_\_\_\_  
My Commission Expires: \_\_\_\_\_

**NOTARY SEAL**

**EXECUTION OF BID  
NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION**

**INDIVIDUAL DOING BUSINESS IN HIS OWN NAME**

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 any bid or contract, that the bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, 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 attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

*N.C.G.S. § 133-32* and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

**SIGNATURE OF CONTRACTOR**

Name of Contractor \_\_\_\_\_  
Print or type Individual name

\_\_\_\_\_  
Address as Prequalified

\_\_\_\_\_  
Signature of Contractor, Individually

\_\_\_\_\_  
Print or type Signer's Name

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Print or type Signer's name

**AFFIDAVIT MUST BE NOTARIZED**

Subscribed and sworn to before me this the  
\_\_\_\_ day of \_\_\_\_\_ 20\_\_.

\_\_\_\_\_  
Signature of Notary Public  
of \_\_\_\_\_ County  
State of \_\_\_\_\_  
My Commission Expires: \_\_\_\_\_

**NOTARY SEAL**

**DEBARMENT CERTIFICATION**

Conditions for certification:

1. The prequalified bidder shall provide immediate written notice to the Department if at any time the bidder learns that his certification was erroneous when he submitted his debarment certification or explanation that is file with the Department, or has become erroneous because of changed circumstances.
2. 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 12549. 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.
3. The prequalified bidder agrees by submitting this form, that he will not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in NCDOT contracts, unless authorized by the Department.
4. For Federal Aid projects, the prequalified bidder further agrees that by submitting this form he 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.
5. The prequalified bidder may rely upon a certification of a participant in a lower tier covered transaction that he is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless he knows that the certification is erroneous. The bidder may decide the method and frequency by which he will determine the eligibility of his subcontractors.
6. 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.
7. Except as authorized in paragraph 6 herein, the Department may terminate any contract if the 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 by the Federal Government.

**DEBARMENT CERTIFICATION**

The prequalified bidder certifies to the best of his knowledge and belief, that he and his 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.
- e. Will submit a revised Debarment Certification immediately if his status changes and will show in his bid proposal an explanation for the change in status.

If the prequalified bidder cannot certify that he is not debarred, he shall provide an explanation with this submittal. An explanation will not necessarily result in denial of participation in a contract.

Failure to submit a non-collusion affidavit and debarment certification will result in the prequalified bidder's bid being considered non-responsive.

Check here if an explanation is attached to this certification.

**Contract No.:**    **C203474**

**County:**         **Dare**

ACCEPTED BY THE  
DEPARTMENT OF TRANSPORTATION

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Contract Officer

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Date

Execution of Contract and Bonds  
Approved as to Form:

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Attorney General