STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION
HIGHWAY DIVISION 3

PROPOSAL

DATE AND TIME OF BID OPENING: September 6, 2018 AT 2:00 PM

CONTRACT ID: DC00235

WBS ELEMENT NO.: 17BP.3.C.2

FEDERAL AID NO.: STATE FUNDED

COUNTY: Brunswick County

TIP NO.: STATE FUNDED

MILES: 0.06 MILES

ROUTE NO.: SR 1145

LOCATION: CULVERT CROSSING OF THE SWASH ALONG SR 1145 (VILLAGE POINT RD) NORTH OF THE INTERSECTION OF GARNER STREET SW

TYPE OF WORK: DIRECTIONAL DRILL, WATER LINE INSTALLATION

NOTICE:

ALL BIDDERS 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 BIDDER 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. BIDDERS 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. NOTWITHSTANDING THESE LIMITATIONS ON BIDDING, THE BIDDER WHO IS AWARDED ANY FEDERAL - AID FUNDED PROJECT SHALL COMPLY WITH CHAPTER 87 OF THE GENERAL STATUTES OF NORTH CAROLINA FOR LICENSING REQUIREMENTS WITHIN 60 CALENDAR DAYS OF BID OPENING.

THIS IS A ROADWAY PROJECT. BID BONDS ARE NOT REQUIRED.

NAME OF BIDDER

ADDRESS OF BIDDER

PROPOSAL FOR THE CONSTRUCTION OF

CONTRACT No. DC00235 IN BRUNSWICK COUNTY, NORTH CAROLINA

Date_____ 20_____

DEPARTMENT OF TRANSPORTATION,

RALEIGH, NORTH CAROLINA

The Bidder has carefully examined the location of the proposed work to be known as Contract No. **DC00235**; has carefully examined the plans and specifications, which are acknowledged to be part of the proposal, the special provisions, the proposal, the form of contract, and the forms of contract payment bond and contract performance bond; and thoroughly understands the stipulations, requirements and provisions. The undersigned bidder agrees to bound upon his execution of the bid and subsequent award to him by the Department of Transportation in accordance with this proposal to provide the necessary contract payment bond and contract performance bond within fourteen days after the written notice of award is received by him. The undersigned Bidder further agrees to provide all necessary machinery, tools, labor, and other means of construction; and to do all the work and to furnish all materials, except as otherwise noted, necessary to perform and complete the said contract in accordance with *the 2018 Standard Specifications for Roads and Structures* by the dates(s) specified in the Project Special Provisions and in accordance with the requirements of the Engineer, and at the unit or lump sum prices, as the case may be, for the various items given on the sheets contained herein.

The Bidder shall provide and furnish all the materials, machinery, implements, appliances and tools, and perform the work and required labor to construct and complete State Highway Contract No. **DC00235** in **Brunswick County**, for the unit or lump sum prices, as the case may be, bid by the Bidder in his bid and according to the proposal, plans, and specifications prepared by said Department, which proposal, plans, and specifications show the details covering this project, and hereby become a part of this contract.

The published volume entitled *North Carolina Department of Transportation, Raleigh, Standard Specifications for Roads and Structures, January 2018* with all amendments and supplements thereto, is by reference incorporated into and made a part of this contract; that, except as herein modified, all the construction and work included in this contract is to be done in accordance with the specifications contained in said volume, and amendments and supplements thereto, under the direction of the Engineer.

If the proposal is accepted and the award is made, 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 over the signature of the said Contract Officer or Division Engineer.

The quantities shown in the itemized proposal for the project are considered to be approximate only and are given as the basis for comparison of bids. The Department of Transportation may increase or decrease the quantity of any item or portion of the work as may be deemed necessary or expedient.

An increase or decrease in the quantity of an item will not be regarded as sufficient ground for an increase or decrease in the unit prices, nor in the time allowed for the completion of the work, except as provided for the contract.

Accompanying this bid is 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 Bidder 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 him, as provided in the Standard Specifications; otherwise said deposit will be returned to the Bidder.

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THIS CONTRACT IS FOR TIP **STATE FUNDED** CONTRACT ID **DC00235** FOR **DIRECTIONAL DRILL, WATER LINE INSTALLATION** TYPE OF WORK IN **Brunswick County**.

SPECIAL PROVISIONS

INSTRUCTIONS TO BIDDERS

PLEASE READ ALL INSTRUCTIONS CAREFULLY
BEFORE PREPARING AND SUBMITTING YOUR BID.

All bids shall be prepared and submitted in accordance with the following requirements. Failure to comply with any requirement may cause the bid to be considered irregular and may be grounds for rejection of the bid.

For preparing and submitting the bid electronically using the on-line system Bid Express®, refer to Article 102-8(B) of the *2018 Standard Specifications.*

Bidders that bid electronically on Raleigh Central-Let projects will need a separate Digital Signature form Bid Express® for Division Contracts.

ELECTRONIC ON-LINE BID THRU BID EXPRESS:

1. Download entire proposal from Connect NCDOT website. Download EBS file from Bid Express website.
2. Prepare and submit EBS file using Expedite software.
3. Expedite software necessary for electronic bid preparation may be downloaded from the Connect NCDOT website at: https://connect.ncdot.gov/letting/Pages/EBS-Information.aspx or from Bid Express.

PROJECT SPECIAL PROVISIONS

GENERAL

CONTRACT TIME AND LIQUIDATED DAMAGES:

(7-20-99) (Rev. 12-18-07) 108 SP1 G04

The date of availability for this contract is **October 1, 2018,** except that work in jurisdictional waters and wetlands shall not begin until a meeting between the DOT, Regulatory Agencies, and the Contractor is held as stipulated in the permits contained elsewhere in this proposal. This delay in availability has been considered in determining the contract time for this project.

The completion date for this contract is **December 14, 2018**.

Except where otherwise provided by the contract, observation periods required by the contract will not be a part of the work to be completed by the completion date and/or intermediate contract times stated in the contract. The acceptable completion of the observation periods that extend beyond the final completion date shall be a part of the work covered by the performance and payment bonds.

The liquidated damages for this contract are **Five Hundred Dollars ($ 500.00)** per calendar day.

MAJOR CONTRACT ITEMS:

(2-19-02) 104 SP1 G28

The following listed items are the major contract items for this contract (see Article 104-5 of the *2018 Standard Specifications*):

Line #		Description
6	—	DIRECTIONAL DRILLING OF 8" UTILITY PIPE

SPECIALTY ITEMS:

(7-1-95)(Rev. 1-17-12) 108-6 SP1 G37

Items listed below will be the specialty items for this contract (see Article 108-6 of the *2018 Standard Specifications*).

Line #	Description
2 - 6	Utility Construction

FUEL PRICE ADJUSTMENT:

(11-15-05) (Rev. 2-18-14) 109-8 SP1 G43

Revise the *2018 Standard Specifications* as follows:

Page 1-83, Article 109-8, Fuel Price Adjustments, add the following:

The base index price for DIESEL #2 FUEL is **$ 2.2375** per gallon. Where any of the following are included as pay items in the contract, they will be eligible for fuel price adjustment.

The pay items and the fuel factor used in calculating adjustments to be made will be as follows:

Description	Units	Fuel Usage Factor Diesel
Unclassified Excavation	Gal/CY	0.29
Borrow Excavation	Gal/CY	0.29
Class IV Subgrade Stabilization	Gal/Ton	0.55
Aggregate Base Course	Gal/Ton	0.55
Sub-Ballast	Gal/Ton	0.55
Asphalt Concrete Base Course, Type ____	Gal/Ton	2.90
Asphalt Concrete Intermediate Course, Type ____	Gal/Ton	2.90
Asphalt Concrete Surface Course, Type ____	Gal/Ton	2.90
Open-Graded Asphalt Friction Course	Gal/Ton	2.90
Permeable Asphalt Drainage Course, Type ____	Gal/Ton	2.90
Sand Asphalt Surface Course, Type ____	Gal/Ton	2.90
Aggregate for Cement Treated Base Course	Gal/Ton	0.55
Portland Cement for Cement Treated Base Course	Gal/Ton	0.55
__" Portland Cement Concrete Pavement	Gal/SY	0.245
Concrete Shoulders Adjacent to __" Pavement	Gal/SY	0.245

SCHEDULE OF ESTIMATED COMPLETION PROGRESS:

(7-15-08) (Rev. 6-19-18) 108-2 SP1 G58

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

	Fiscal Year	Progress (% of Dollar Value)
2019	(7/01/18 - 6/30/19)	**100**% of Total Amount Bid
2020	(7/01/19 - 6/30/20)	**0**% of Total Amount Bid
2021	(7/01/20 - 6/30/21)	**0**% of Total Amount Bid
2022	(7/01/21 - 6/30/22)	**0**% of Total Amount Bid
2023	(7/-1/22 – 6/30/23)	**0**% of Total Amount Bid

The Contractor shall also furnish his own progress schedule in accordance with Article 108-2 of the *2018 Standard Specifications*. Any acceleration of the progress as shown by the Contractor's progress schedule over the progress as shown above shall be subject to the approval of the Engineer.

MINORITY BUSINESS ENTERPRISE AND WOMEN BUSINESS ENTERPRISE (DIVISIONS):

(10-16-07)(Rev. 5-15-18) 102-15(J) SP1 G67

Description

The purpose of this Special Provision is to carry out the North Carolina Department of Transportation's policy of ensuring nondiscrimination in the award and administration of contracts financed in whole or in part with State funds.

Definitions

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

Combined MBE/WBE Goal: A portion of the total contract, expressed as a percentage that is to be performed by committed MBE/WBE subcontractors.

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

Contract Goal Requirement - The approved participation at time of award, but not greater than the advertised Combined MBE/WBE contract goal.

Goal Confirmation Letter - Written documentation from the Department to the bidder confirming the Contractor's approved, committed participation along with a listing of the committed MBE and WBE firms.

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

MBE Participation (Anticipated) - A portion of the total contract, expressed as a percentage that is anticipated to be performed by committed MBE subcontractor(s).

Minority Business Enterprise (MBE) - A firm certified as a Disadvantaged Minority-Owned Business Enterprise through the North Carolina Unified Certification Program.

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 MBE/WBE certification. The MBE/WBE program follows the same regulations as the federal Disadvantaged Business Enterprise (DBE) program 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.

WBE Participation (Anticipated) - A portion of the total contract, expressed as a percentage that is anticipated to be performed by committed WBE subcontractor(s).

Women Business Enterprise (WBE) - A firm certified as a Disadvantaged Women-Owned Business Enterprise through the North Carolina Unified Certification Program.

Forms and Websites Referenced in this Provision

Payment Tracking System - On-line system in which the Contractor enters the payments made to MBE and WBE 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 MBE/WBE firms working on the project. This form is for paper bid projects only. https://connect.ncdot.gov/business/Turnpike/Documents/Form%20DBE-IS%20Subcontractor%20Payment%20Information.pdf

RF-1 *MBE/WBE Replacement Request Form* - Form for replacing a committed MBE or WBE. 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 MBE/WBE subcontractor, manufacturer or regular dealer that affirms that a portion of said contract is going to be performed by the signed MBE/WBE for the estimated amount (based on quantities and unit prices) listed at the time of bid. http://connect.ncdot.gov/letting/LetCentral/Letter%20of%20Intent%20to%20Perform%20as%20a%20Subcontractor.pdf

Listing of MBE and WBE Subcontractors Form - Form for entering MBE/WBE subcontractors on a project that will meet the Combined MBE/WBE goal. This form is for paper bids only. http://connect.ncdot.gov/municipalities/Bid%20Proposals%20for%20LGA%20Content/09%20MBE-WBE%20Subcontractors%20(State).docx

Subcontractor Quote Comparison Sheet - Spreadsheet for showing all subcontractor quotes in the work areas where MBEs and WBEs 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

Combined MBE/WBE Goal

The Combined MBE/WBE Goal for this project is **0 %**

The Combined Goal was established utilizing the following anticipated participation for Minority Business Enterprises and Women Business Enterprises:

(A) Minority Business Enterprises **0 %**

(1) *If the anticipated MBE participation is more than zero,* the Contractor shall exercise all necessary and reasonable steps to ensure that MBEs participate in at least the percent of the contract as set forth above.

(2) *If the anticipated MBE participation is zero,* the Contractor shall make an effort to recruit and use MBEs during the performance of the contract. Any MBE participation obtained shall be reported to the Department.

(B) Women Business Enterprises **0 %**

(1) *If the anticipated WBE participation is more than zero,* the Contractor shall exercise all necessary and reasonable steps to ensure that WBEs participate in at least the percent of the contract as set forth above.

(2) *If the anticipated WBE participation is zero,* the Contractor shall make an effort to recruit and use WBEs during the performance of the contract. Any WBE participation obtained shall be reported to the Department.

The Bidder is required to submit only participation to meet the Combined MBE/WBE Goal. The Combined Goal may be met by submitting all MBE participation, all WBE participation, or a combination of MBE and WBE participation.

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 MBE and WBE certified shall be used to meet the Combined MBE / WBE goal. The Directory can be found at the following link.
https://www.ebs.nc.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 MBE/WBE Subcontractors

At the time of bid, bidders shall submit <u>all</u> MBE and WBE participation that they anticipate to use during the life of the contract. Only those identified to meet the Combined MBE/WBE goal will be considered committed, even though the listing shall include both committed MBE/WBE subcontractors and additional MBE/WBE subcontractors. Any additional MBE/WBE subcontractor participation above the goal will follow the banking guidelines found elsewhere in this provision. All other additional MBE/WBE subcontractor participation submitted at the time of bid will be used toward the Department's overall race-neutral goals. Only those firms with current MBE and WBE certification at the time of bid

opening will be acceptable for listing in the bidder's submittal of MBE and WBE participation. The Contractor shall indicate the following required information:

(A) Electronic Bids

Bidders shall submit a listing of MBE and WBE participation in the appropriate section of Expedite, the bidding software of Bid Express®.

(1) Submit the names and addresses of MBE and WBE firms identified to participate in the contract. If the bidder uses the updated listing of MBE and WBE firms shown in Expedite, the bidder may use the dropdown menu to access the name and address of the firms.

(2) Submit the contract line numbers of work to be performed by each MBE and WBE firm. When no figures or firms are entered, the bidder will be considered to have no MBE or WBE participation.

(3) The bidder shall be responsible for ensuring that the MBE and WBE are certified at the time of bid by checking the Directory of Transportation Firms. If the firm is not certified at the time of the bid-letting, that MBE's or WBE's participation will not count towards achieving the Combined MBE/WBE goal.

(B) Paper Bids

(1) *If the Combined MBE/ WBE goal is more than zero,*

(a) Bidders, at the time the bid proposal is submitted, shall submit a listing of MBE/WBE participation, including the names and addresses on *Listing of MBE and WBE Subcontractors* contained elsewhere in the contract documents in order for the bid to be considered responsive. Bidders shall indicate the total dollar value of the MBE and WBE participation for the contract.

(b) If bidders have no MBE or WBE participation, they shall indicate this on the *Listing of MBE and WBE 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.** Bids submitted that do not have MBE and WBE participation indicated on the appropriate form will not be read publicly during the opening of bids. The Department will not consider these bids for award and the proposal will be rejected.

(c) The bidder shall be responsible for ensuring that the MBE/WBE 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 bid-letting, that MBE's or WBE's participation will not count towards achieving the Combined MBE/WBE goal.

(2) *If the Combined MBE/WBE Goal is zero,* entries on the *Listing of MBE and WBE Subcontractors* are not required for the zero goal, however any MBE or WBE participation that is achieved during the project shall be reported in accordance with requirements contained elsewhere in the special provision.

MBE or WBE Prime Contractor

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

MBE/WBE prime contractors shall also follow Sections A or B listed under *Listing of MBE/WBE Subcontractors* just as a non-MBE/WBE bidder would.

Written Documentation – Letter of Intent

The bidder shall submit written documentation for each MBE/WBE that will be used to meet the Combined MBE/WBE goal of the contract, indicating the bidder's commitment to use the MBE/WBE 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 Engineer no later than 2:00 p.m. of the fifth calendar day following opening of bids, unless the fifth day falls on Saturday, Sunday or an official state holiday. In that situation, it is due in the office of the Engineer no later than 10:00 a.m. on the next official state business day.

If the bidder fails to submit the Letter of Intent from each committed MBE and WBE to be used toward the Combined MBE/WBE goal, or if the form is incomplete (i.e. both signatures are not present), the MBE/WBE participation will not count toward meeting the Combined MBE/WBE goal. If the lack of this participation drops the commitment below the Combined MBE/WBE goal, the Contractor shall submit evidence of good faith efforts for the goal not met, completed in its entirety, to the Engineer no later than 2:00 p.m. of the eighth calendar day following opening of bids, unless the eighth day falls on Saturday, Sunday or an official state holiday. In that situation, it is due in the office of the Engineer no later than 10:00 a.m. on the next official state business day.

Banking MBE/WBE Credit

If the committed MBE/WBE participation submitted exceeds the algebraic sum of the Combined MBE/WBE goal by $1,000 or more, the excess will be placed on deposit by the Department for future use by the bidder. Separate accounts will be maintained for MBE and WBE participation and these may accumulate for a period not to exceed 24 months.

When the apparent lowest responsive bidder fails to submit sufficient participation by MBE and WBE firms to meet the advertised goal, as part of the good faith effort, the Department will consider allowing the bidder to withdraw funds to meet the Combined MBE/WBE goal as long as there are adequate funds available from the bidder's MBE and WBE bank accounts.

Submission of Good Faith Effort

If the bidder fails to meet or exceed the Combined MBE/WBE goal, the apparent lowest responsive bidder shall submit to the Department documentation of adequate good faith efforts made to reach that specific goal.

One complete set and **5** copies of this information shall be received in the office of the Engineer no later than 2:00 p.m. of the fifth calendar day following opening of bids, unless the fifth day falls on Saturday, Sunday or an official state holiday. In that situation, it is due in the office of the Engineer no later than 10:00 a.m. on the next official state business day.

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 MBE/WBE 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 a Combined MBE/WBE Goal More Than Zero

Adequate good faith efforts mean that the bidder took all necessary and reasonable steps to achieve the goal which, by their scope, intensity, and appropriateness, could reasonably be expected to obtain sufficient MBE/WBE participation. Adequate good faith efforts also mean that the bidder actively and aggressively sought MBE/WBE 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 bidder has made. Listed below are examples of the types of actions a bidder will take in making a good faith effort to meet the goals 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 MBEs/WBEs that are also prequalified subcontractors. The bidder must solicit this interest within at least 10 days prior to bid opening to allow the MBEs/WBEs to respond to the solicitation. Solicitation shall provide the opportunity to MBEs/WBEs within the Division and surrounding Divisions where the project is located. The bidder must determine with certainty if the MBEs/WBEs are interested by taking appropriate steps to follow up initial solicitations.

(B) Selecting portions of the work to be performed by MBEs/WBEs in order to increase the likelihood that the Combined MBE/WBE goal will be achieved.

(1) Where appropriate, break out contract work items into economically feasible units to facilitate MBE/WBE 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 advertised goal when the work to be sublet includes potential for MBE/WBE participation (2^{nd} and 3^{rd} tier subcontractors).

(C) Providing interested certified MBEs/WBEs that are also prequalified subcontractors 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 MBEs/WBEs. It is the bidder's responsibility to make a portion of the work available to MBE/WBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available MBE/WBE subcontractors and suppliers, so as to facilitate MBE/WBE

participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of MBEs/WBEs 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 MBEs/WBEs to perform the work.

(2) A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including MBE/WBE subcontractors, and would take a firm's price and capabilities as well as the advertised goal into consideration. However, the fact that there may be some additional costs involved in finding and using MBEs/WBEs is not in itself sufficient reason for a bidder's failure to meet the advertised 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 bidder of the responsibility to make good faith efforts. Bidding contractors are not, however, required to accept higher quotes from MBEs/WBEs if the price difference is excessive or unreasonable.

(E) Not rejecting MBEs/WBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The bidder'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 bidder's efforts to meet the project goal.

(F) Making efforts to assist interested MBEs/WBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or bidder.

(G) Making efforts to assist interested MBEs/WBEs 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 MBEs/WBEs. Contact within 7 days from the bid opening the Business Opportunity and Work Force Development Unit at BOWD@ncdot.gov to give notification of the bidder's inability to get MBE or WBE quotes.

(I) Any other evidence that the bidder submits which shows that the bidder has made reasonable good faith efforts to meet the advertised goal.

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

(1) Whether the bidder's documentation reflects a clear and realistic plan for achieving the Combined MBE/WBE goal.

(2) The bidders' past performance in meeting the contract goal.

(3) The performance of other bidders in meeting the advertised goal. For example, when the apparent successful bidder fails to meet the goal, but others meet it, you may reasonably raise the question of whether, with additional reasonable efforts the apparent successful bidder could have met the goal. If the apparent successful bidder fails to meet the advertised goal, but meets or exceeds the average MBE and WBE participation obtained

by other bidders, the Department may view this, in conjunction with other factors, as evidence of the apparent successful bidder having made a good faith effort.

If the Department does not award the contract to the apparent lowest responsive bidder, the Department reserves the right to award the contract to the next lowest responsive bidder that can satisfy to the Department that the Combined MBE/WBE goal can be met or that an adequate good faith effort has been made to meet the advertised goal.

Non-Good Faith Appeal

The Engineer will notify the contractor verbally and in writing of non-good faith. A contractor may appeal a determination of non-good faith made by the Goal Compliance Committee. If a contractor wishes to appeal the determination made by the Committee, they shall provide written notification to the Engineer. The appeal shall be made within 2 business days of notification of the determination of non-good faith.

Counting MBE/WBE Participation Toward Meeting the Combined MBE/WBE Goal

(A) Participation

The total dollar value of the participation by a committed MBE/WBE will be counted toward the contract goal requirements. The total dollar value of participation by a committed MBE/WBE will be based upon the value of work actually performed by the MBE/WBE and the actual payments to MBE/WBE firms by the Contractor.

(B) Joint Checks

Prior notification of joint check use shall be required when counting MBE/WBE 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 MBE/WBE may enter into subcontracts. Work that a MBE subcontracts to another MBE firm may be counted toward the anticipated MBE participation. The same holds for work that a WBE subcontracts to another WBE firm. Work that a MBE/WBE subcontracts to a non-MBE/WBE firm does <u>not</u> count toward the contract goal requirement. It should be noted that every effort shall be made by MBE and WBE contractors to subcontract to the same certification (i.e., MBEs to MBEs and WBEs to WBEs), in order to fulfill the MBE or WBE participation breakdown. This, however, may not always be possible due to the limitation of firms in the area. If the MBE or WBE firm shows a good faith effort has been made to reach out to similarly certified firms and there is no interest or availability, and they can get assistance from other certified firms, the Engineer will not hold the prime responsible for meeting the individual MBE or WBE breakdown. If a MBE or WBE 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 MBE or WBE is not performing a commercially useful function.

(D) Joint Venture

When a MBE or WBE performs as a participant in a joint venture, the Contractor may count toward its contract goal requirement a portion of the total value of participation with the MBE or WBE in

the joint venture, that portion of the total dollar value being a distinct clearly defined portion of work that the MBE or WBE performs with its forces.

(E) Suppliers

A contractor may count toward its MBE /WBE requirement 60 percent of its expenditures for materials and supplies required to complete the contract and obtained from a MBE or WBE regular dealer and 100 percent of such expenditures from a MBE or WBE manufacturer.

(F) Manufacturers and Regular Dealers

A contractor may count toward its MBE /WBE requirement the following expenditures to MBE/WBE firms that are not manufacturers or regular dealers:

(1) The fees or commissions charged by a MBE/WBE 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 MBE/WBE, 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) MBE/WBE Utilization

The Contractor may count toward its contract goal requirement only expenditures to MBEs and WBEs that perform a commercially useful function in the work of a contract. A MBE/WBE 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 MBE/WBE 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 MBE/WBE 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 MBE/WBE credit claimed for its performance of the work, and any other relevant factors. If it is determined that a MBE or WBE is not performing a Commercially Useful Function, the contractor may present evidence to rebut this presumption to the Department.

(B) MBE/WBE Utilization in Trucking

The following factors will be used to determine if a MBE or WBE trucking firm is performing a commercially useful function:

(1) The MBE/WBE 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 the Combined MBE/WBE goal.

(2) The MBE/WBE shall itself own and operate at least one fully licensed, insured, and operational truck used on the contract.

(3) The MBE/WBE 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 MBE may subcontract the work to another MBE firm, including an owner-operator who is certified as a MBE. The same holds true that a WBE may subcontract the work to another WBE firm, including an owner-operator who is certified as a WBE. When this occurs, the MBE or WBE who subcontracts work receives credit for the total value of the transportation services the subcontracted MBE or WBE provides on the contract. It should be noted that every effort shall be made by MBE and WBE contractors to subcontract to the same certification (i.e., MBEs to MBEs and WBEs to WBEs), in order to fulfill the participation breakdown. This, however, may not always be possible due to the limitation of firms in the area. If the MBE or WBE firm shows a good faith effort has been made to reach out to similarly certified transportation service providers and there is no interest or availability, and they can get assistance from other certified providers, the Engineer will not hold the prime responsible for meeting the individual MBE or WBE participation breakdown.

(5) The MBE/WBE may also subcontract the work to a non-MBE/WBE firm, including from an owner-operator. The MBE/WBE who subcontracts the work to a non-MBE/WBE is entitled to credit for the total value of transportation services provided by the non-MBE/WBE subcontractor not to exceed the value of transportation services provided by MBE/WBE-owned trucks on the contract. Additional participation by non-MBE/WBE 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 MBE/WBE and the Contractor will not count towards the MBE/WBE contract requirement.

(6) A MBE/WBE may lease truck(s) from an established equipment leasing business open to the general public. The lease must indicate that the MBE/WBE 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 MBE/WBE, so long as the lease gives the MBE/WBE absolute priority for use of the leased truck. This type of lease may count toward the MBE/WBE's credit as long as the driver is under the MBE/WBE's payroll.

(7) Subcontracted/leased trucks shall display clearly on the dashboard the name of the MBE/WBE 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.

MBE/WBE Replacement

When a Contractor has relied on a commitment to a MBE or WBE firm (or an approved substitute MBE or WBE firm) to meet all or part of a contract goal requirement, the contractor shall not terminate the MBE/WBE for convenience. This includes, but is not limited to, instances in which the Contractor seeks to perform the work of the terminated subcontractor with another MBE/WBE subcontractor, a non-MBE/WBE subcontractor, or with the Contractor's own forces or those of an affiliate. A MBE/WBE may only be terminated after receiving the Engineer's written approval based upon a finding of good cause for the proposed termination. The prime contractor must give the MBE/WBE firm 5 days to respond to the prime contractor's notice of intent to terminate 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 MBE/WBE firm shall be submitted to the Engineer for approval on Form RF-1 *(Replacement Request).* If the Contractor fails to follow this procedure, the Contractor may be disqualified from further bidding for a period of up to 6 months.

The Contractor shall comply with the following for replacement of a committed MBE/WBE:

(A) Performance Related Replacement

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

If a replacement MBE/WBE is not found that can perform at least the same amount of work as the terminated MBE/WBE, the Contractor 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 MBEs/WBEs that their interest is solicited in contracting the work defaulted by the previous MBE/WBE or in subcontracting other items of work in the contract.

(2) Efforts to negotiate with MBEs/WBEs for specific subbids including, at a minimum:

(a) The names, addresses, and telephone numbers of MBEs/WBEs who were contacted.
(b) A description of the information provided to MBEs/WBEs regarding the plans and specifications for portions of the work to be performed.

(3) A list of reasons why MBE/WBE quotes were not accepted.

(4) Efforts made to assist the MBEs/WBEs contacted, if needed, in obtaining bonding or insurance required by the Contractor.

(B) Decertification Replacement

(1) When a committed MBE/WBE is decertified by the Department after the SAF (*Subcontract Approval Form*) has been received by the Department, the Department

will not require the Contractor to solicit replacement MBE/WBE 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 MBE/WBE is decertified prior to the Department receiving the SAF (*Subcontract Approval Form*) for the named MBE/WBE firm, the Contractor shall take all necessary and reasonable steps to replace the MBE/WBE subcontractor with another similarly certified MBE/WBE subcontractor to perform at least the same amount of work to meet the Combined MBE/WBE goal requirement. If a MBE/WBE firm is not found to do the same amount of work, a good faith effort must be submitted to NCDOT (see 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 MBE/WBE, the Contractor will not be required to seek additional participation. When the Engineer makes changes that result in additional work to be performed by a MBE/WBE based upon the Contractor's commitment, the MBE/WBE shall participate in additional work to the same extent as the MBE/WBE 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 Contractor shall seek additional participation by MBEs/WBEs 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 MBE/WBE, the Contractor shall seek participation by MBEs/WBEs unless otherwise approved by the Engineer.

When the Contractor requests changes in the work that result in the reduction or elimination of work that the Contractor committed to be performed by a MBE/WBE, the Contractor shall seek additional participation by MBEs/WBEs equal to the reduced MBE/WBE 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 MBE/WBE subcontractor. The Department reserves the right to require copies of actual subcontract agreements involving MBE/WBE subcontractors.

When using transportation services to meet the contract commitment, the Contractor 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 MBE/WBE for materials, supplies or services, not otherwise documented by the SAF as specified above, the Contractor shall furnish the Engineer a copy of the agreement. The documentation shall also indicate the percentage (60% or 100%) of expenditures claimed for MBE/WBE credit.

Reporting Minority and Women Business Enterprise Participation

The Contractor shall provide the Engineer with an accounting of payments made to all MBE and WBE 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 contractor 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 MBEs/WBEs, 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 Contractor to submit the required information in the time frame specified may result in the disqualification of that contractor and any affiliate companies from further bidding until the required information is submitted.

Failure on the part of any subcontractor to submit the required information in the time frame specified may result in the disqualification of that contractor and any affiliate companies from being approved for further work on future projects until the required information is submitted.

Contractors reporting transportation services provided by non-MBE/WBE 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 Contractor 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 *2018 Standard Specifications* may be cause to disqualify the Contractor.

SUBSURFACE INFORMATION:

(7-1-95) 450 SP1 G112 A

There is **no** subsurface information available on this project. The Contractor shall make his own investigation of subsurface conditions.

OUTSOURCING OUTSIDE THE USA:

(9-21-04) (Rev. 5-16-06) SP1 G150

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

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

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

STANDARD SPECIAL PROVISION
AVAILABILITY OF FUNDS – TERMINATION OF CONTRACTS

(5-20-08) Z-2

General Statute 143C-6-11. (h) Highway Appropriation is hereby incorporated verbatim in this contract as follows:

(h) Amounts Encumbered. – Transportation project appropriations may be encumbered in the amount of allotments made to the Department of Transportation by the Director for the estimated payments for transportation project contract work to be performed in the appropriation fiscal year. The allotments shall be multiyear allotments and shall be based on estimated revenues and shall be subject to the maximum contract authority contained in *General Statute 143C-6-11(c)*. Payment for transportation project work performed pursuant to contract in any fiscal year other than the current fiscal year is subject to appropriations by the General Assembly. Transportation project contracts shall contain a schedule of estimated completion progress, and any acceleration of this progress shall be subject to the approval of the Department of Transportation provided funds are available. The State reserves the right to terminate or suspend any transportation project contract, and any transportation project contract shall be so terminated or suspended if funds will not be available for payment of the work to be performed during that fiscal year pursuant to the contract. In the event of termination of any contract, the contractor shall be given a written notice of termination at least 60 days before completion of scheduled work for which funds are available. In the event of termination, the contractor shall be paid for the work already performed in accordance with the contract specifications.

Payment will be made on any contract terminated pursuant to the special provision in accordance with Subarticle 108-13(D) of the *2018 Standard Specifications*.

STANDARD SPECIAL PROVISION

ERRATA

(2-12-18) Z-4

Revise the *2018 Standard Specifications* as follows:

Division 7

Page 7-27, line 4, Article 725-1 MEASUREMENT AND PAYMENT, replace article number "725-1" with "724-4".

Page 7-28, line 10, Article 725-1 MEASUREMENT AND PAYMENT, replace article number "725-1" with "725-3".

Division 8

Page 8-23, lines 3, 6, 11 and 13, Section 836, SLUICE GATE, replace article number "8366" with "836".

Division 10

Page 10-69, Table 1046-1 WIRE DIAMETER, rename RECYCLED PLASTIC AND COMPOSITE OFFSET BLOCK PROPERTIES

Page 10-162, line 1, Article 1080-50 PAINT FOR VERTICAL MARKERS, replace article number "1080-50" with "1080-10".

Page 10-162, line 5, Article 1080-61 EPOXY RESIN FOR REINFORCING STEEL, replace article number "1080-61" with "1080-11".

Page 10-162, line 22, Article 1080-72 ABRASIVE MATERIALS FOR BLAST CLEANING STEEL, replace article number "1080-72" with "1080-12".

Page 10-163, line 25, Article 1080-83 FIELD PERFORMANCE AND SERVICES, replace article number "1080-83" with "1080-13".

STANDARD SPECIAL PROVISION

PLANT AND PEST QUARANTINES

(Imported Fire Ant, Gypsy Moth, Witchweed, Emerald Ash Borer, And Other Noxious Weeds)

(3-18-03) (Rev. 12-20-16) Z-04a

Within Quarantined Area

This project may be within a county regulated for plant and/or pests. If the project or any part of the Contractor'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, emerald ash borer, or other noxious weeds.

STANDARD SPECIAL PROVISION

MINIMUM WAGES

(7-21-09) Z-5

FEDERAL: The Fair Labor Standards Act provides that with certain exceptions every employer shall pay wages at the rate of not less than SEVEN DOLLARS AND TWENTY FIVE CENTS ($7.25) per hour.

STATE: The North Carolina Minimum Wage Act provides that every employer shall pay to each of his employees, wages at a rate of not less than SEVEN DOLLARS AND TWENTY FIVE CENTS ($7.25) per hour.

The minimum wage paid to all skilled labor employed on this contract shall be SEVEN DOLLARS AND TWENTY FIVE CENTS ($7.25) per hour.

The minimum wage paid to all intermediate labor employed on this contract shall be SEVEN DOLLARS AND TWENTY FIVE CENTS ($7.25) per hour.

The minimum wage paid to all unskilled labor on this contract shall be SEVEN DOLLARS AND TWENTY FIVE CENTS ($7.25) per hour.

This determination of the intent of the application of this act to the contract on this project is the responsibility of the Contractor.

The Contractor shall have no claim against the Department of Transportation for any changes in the minimum wage laws, Federal or State. It is the responsibility of the Contractor to keep fully informed of all Federal and State Laws affecting his contract.

STANDARD SPECIAL PROVISION

TITLE VI AND NONDISCRIMINATION:

(6-28-77)(Rev 6/19/2018) Z-6

Revise the *2018 Standard Specifications* as follows:

Replace Article 103-4(B) with the following:

The North Carolina Department of Transportation is committed to carrying out the U.S. Department of Transportation's policy of ensuring nondiscrimination in the award and administration of contracts.

The provisions of this section related to United States Department of Transportation (US DOT) Order 1050.2A, Title 49 Code of Federal Regulations (CFR) part 21, 23 United States Code (U.S.C.) 140 and 23 CFR part 200 (or 49 CFR 303, 49 U.S.C. 5332 or 49 U.S.C. 47123) are applicable to all North Carolina Department of Transportation (NCDOT) contracts and to all related subcontracts, material supply, engineering, architectural and other service contracts, regardless of dollar amount. Any Federal provision that is specifically required not specifically set forth is hereby incorporated by reference.

(1) **Title VI Assurances (USDOT Order 1050.2A, Appendix A)**

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:

(a) Compliance with Regulations

The contractor (hereinafter includes consultants) shall comply with the Acts and the Regulations relative to Nondiscrimination in Federally-assisted programs of the U.S. Department of Transportation, Federal Highway Administration (FHWA), as they may be amended from time to time, which are herein incorporated by reference and made a part of this contract.

(b) 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 directly or indirectly in the discrimination prohibited by the Acts and the Regulations, including employment practices when the contract covers any activity, project, or program set forth in Appendix B of 49 CFR Part 21.

(c) 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 Acts and the Regulations relative to Nondiscrimination on the grounds of race, color, or national origin.

(d) Information and Reports

The contractor shall provide all information and reports required by the Acts, the Regulations, and 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 Recipient or the FHWA to be pertinent to ascertain compliance with such Acts, Regulations, and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish the information, the contractor shall so certify to the Recipient or the FHWA, as appropriate, and shall set forth what efforts it has made to obtain the information.

(e) Sanctions for Noncompliance:

In the event of a contractor's noncompliance with the Non-discrimination provisions of this contract, the Recipient will impose such contract sanctions as it and/or the FHWA may determine to be appropriate, including, but not limited to:

(i) Withholding payments to the contractor under the contract until the contractor complies; and/or

(ii) Cancelling, terminating, or suspending a contract, in whole or in part.

(f) Incorporation of Provisions

The contractor shall include the provisions of paragraphs one through six in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Acts, the Regulations and directives issued pursuant thereto. The contractor shall take action with respect to any subcontract or procurement as the Recipient or the FHWA may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, that if the contractor becomes involved in, or is threatened with litigation by a subcontractor, or supplier because of such direction, the contractor may request the Recipient to enter into any litigation to protect the interests of the Recipient. In addition, the contractor may request the United States to enter into the litigation to protect the interests of the United States.

(2) **Title VI Nondiscrimination Program (23 CFR 200.5(p))**

The North Carolina Department of Transportation (NCDOT) has assured the USDOT that, as a condition to receiving federal financial assistance, NCDOT will comply with Title VI of the Civil Rights Act of 1964 and all requirements imposed by Title 49 CFR part 21 and related nondiscrimination authorities to ensure that no person shall, on the ground of race, color, national origin, limited English proficiency, sex, age, or disability (including religion/creed or income-level, where applicable), be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any programs, activities, or services conducted or funded by NCDOT. Contractors and other organizations under contract or agreement with NCDOT must also comply with Title VI and related authorities, therefore:

(a) During the performance of this contract or agreement, contractors (e.g., subcontractors, consultants, vendors, prime contractors) are responsible for complying with NCDOT's Title VI Program. Contractors are not required to prepare or submit Title VI Programs. To comply with this section, the prime contractor shall:

1. Post NCDOT's Notice of Nondiscrimination and the Contractor's own Equal Employment Opportunity (EEO) Policy in conspicuous locations accessible to all employees, applicants and subcontractors on the jobsite.
2. Physically incorporate the required Title VI clauses into all subcontracts on federally-assisted and state-funded NCDOT projects, and ensure inclusion by subcontractors into all lower-tier subcontracts.
3. Required Solicitation Language. The Contractor shall include the following notification in all solicitations for bids and requests for work or material, regardless of funding source:

   "The North Carolina Department of Transportation, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 US.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award. In accordance with other related nondiscrimination authorities, bidders and contractors will also not be discriminated against on the grounds of sex, age, disability, low-income level, creed/religion, or limited English proficiency in consideration for an award."

4. Physically incorporate the FHWA-1273, in its entirety, into all subcontracts and subsequent lower tier subcontracts on Federal-aid highway construction contracts only.
5. Provide language assistance services (i.e., written translation and oral interpretation), free of charge, to LEP employees and applicants. Contact NCDOT OCR for further assistance, if needed.
6. For assistance with these Title VI requirements, contact the NCDOT Title VI Nondiscrimination Program at 1-800-522-0453.

(b) Subrecipients (e.g. cities, counties, LGAs, planning organizations) may be required to prepare and submit a Title VI Plan to NCDOT, including Title VI Assurances and/or agreements. Subrecipients must also ensure compliance by their contractors and subrecipients with Title VI. (23 CFR 200.9(b)(7))

(c) If reviewed or investigated by NCDOT, the contractor or subrecipient agrees to take affirmative action to correct any deficiencies found within a reasonable time period, not to exceed 90 calendar days, unless additional time is granted by NCDOT. (23 CFR 200.9(b)(15))

(d) The Contractor is responsible for notifying subcontractors of NCDOT's External Discrimination Complaints Process.

1. Applicability
   Title VI and related laws protect participants and beneficiaries (e.g., members of the public and contractors) from discrimination by NCDOT employees, subrecipients and contractors, regardless of funding source.
2. Eligibility
   Any person—or class of persons—who believes he/she has been subjected to discrimination based on race, color, national origin, Limited English Proficiency (LEP), sex, age, or disability (and religion in the context of employment, aviation, or transit) may file a written complaint. The law also prohibits intimidation or retaliation of any sort.
3. Time Limits and Filing Options
   Complaints may be filed by the affected individual(s) or a representative and must be filed no later than 180 calendar days after the following:
   (i) The date of the alleged act of discrimination; or
   (ii) The date when the person(s) became aware of the alleged discrimination; or
   (iii) 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 related discrimination complaints may be submitted to the following entities:
   - North Carolina Department of Transportation, Office of Civil Rights, Title VI Program, 1511 Mail Service Center, Raleigh, NC 27699-1511; toll free 1-800-522-0453
   - Federal Highway Administration, North Carolina Division Office, 310 New Bern Avenue, Suite 410, Raleigh, NC 27601, 919-747-7010
   - 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
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 Civil Rights 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 (LEP), sex, age, disability, or religion (in the context of employment, aviation or transit). "Basis" refers to the complainant's membership in a protected group category.

TABLE 103-1
COMPLAINT BASIS

Protected Categories	Definition	Examples	Applicable Nondiscrimination Authorities
Race and Ethnicity	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; 49 U.S.C. 5332(b); 49 U.S.C. 47123. *(Executive Order 13166)*
Color	Color of skin, including shade of skin within a racial group	Black, White, brown, yellow, etc.	
National Origin *(Limited English Proficiency)*	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. The sex of an individual. *Note:* Sex under this program does not include sexual orientation.	Women and Men	1973 Federal-Aid Highway Act; 49 U.S.C. 5332(b); 49 U.S.C. 47123.
Age	Persons of any age	21-year-old person	Age Discrimination Act of 1975 49 U.S.C. 5332(b); 49 U.S.C. 47123.
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
Religion (in the context of employment) *(Religion/ Creed in all aspects of any aviation or transit-related construction)*	An individual belonging to a religious group; or the perception, based on distinguishable characteristics that a person is a member of a religious group. In practice, actions taken as a result of the moral and ethical beliefs as to what is right and wrong, which are sincerely held with the strength of traditional religious views. ***Note:*** Does not have to be associated with a recognized religious group or church; if an individual sincerely holds to the belief, it is a protected religious practice.	Muslim, Christian, Sikh, Hindu, etc.	Title VII of the Civil Rights Act of 1964; 23 CFR 230; FHWA-1273 Required Contract Provisions. *(49 U.S.C. 5332(b);* *49 U.S.C. 47123)*

(3) **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:

(a) 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.

(b) 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);

(c) Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 et seq.), (prohibits discrimination on the basis of sex);

(d) 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;

(e) The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 et seq.), (prohibits discrimination on the basis of age);

(f) 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);

(g) 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);

(h) 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;

(i) The Federal Aviation Administration's Nondiscrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);

(j) Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures Nondiscrimination 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;

(k) 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);

(l) 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).

(m) 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).

(4) **Additional Title VI Assurances**

***The following Title VI Assurances (Appendices B, C and D) shall apply, as applicable*

(a) Clauses for Deeds Transferring United States Property (1050.2A, Appendix B)

The following clauses will be included in deeds effecting or recording the transfer of real property, structures, or improvements thereon, or granting interest therein from the United States pursuant to the provisions of Assurance 4.

NOW, THEREFORE, the U.S. Department of Transportation as authorized by law and upon the condition that the North Carolina Department of Transportation (NCDOT) will accept title to the lands and maintain the project constructed thereon in accordance with the North Carolina General Assembly, the Regulations for the Administration of the Federal-Aid Highway Program, and the policies and procedures prescribed by the Federal Highway Administration of the U.S. Department of Transportation in accordance and in compliance with all requirements imposed by Title 49, Code of Federal Regulations, U.S. Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the U.S Department of Transportation pertaining to and effectuating the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252; 42 U.S.C. § 2000d to 2000d-4), does hereby remise, release, quitclaim and convey unto the NCDOT all the right, title and interest of the U.S. Department of Transportation in and to said lands described in Exhibit A attached hereto and made a part hereof.

(HABENDUM CLAUSE)

TO HAVE AND TO HOLD said lands and interests therein unto the North Carolina Department of Transportation (NCDOT) and its successors forever, subject, however, to the covenants, conditions, restrictions and reservations herein contained as follows, which will remain in effect for the period during which the real property or structures are used for a purpose for which Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits and will be binding on the NCDOT, its successors and assigns.

The NCDOT, in consideration of the conveyance of said lands and interests in lands, does hereby covenant and agree as a covenant running with the land for itself, its successors and assigns, that (1) no person will on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination with regard to any facility located wholly or in part on, over, or under such lands hereby conveyed [,] [and]* (2) that the NCDOT will use the lands and interests in lands and interests in lands so conveyed, in compliance with all requirements imposed by or pursuant to Title 49, Code of Federal Regulations, U.S. Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Non-discrimination in Federally-assisted programs of the U.S. Department of Transportation, Effectuation of Title VI of the Civil Rights Act of 1964, and as said Regulations and Acts may be amended [, and (3) that in the event of breach of any of the above-mentioned nondiscrimination conditions, the Department will have a right to enter or re-enter said lands and facilities on said land, and that above described land and facilities will thereon revert to and vest in and become the absolute property of the U.S. Department of Transportation and its assigns as such interest existed prior to this instruction].*

(*Reverter clause and related language to be used only when it is determined that such a clause is necessary in order to make clear the purpose of Title VI.)

(b) Clauses for Transfer of Real Property Acquired or Improved Under the Activity, Facility, or Program (1050.2A, Appendix C)

The following clauses will be included in deeds, licenses, leases, permits, or similar instruments entered into by the North Carolina Department of Transportation (NCDOT) pursuant to the provisions of Assurance 7(a):

1. The (grantee, lessee, permittee, etc. as appropriate) for himself/herself, his/her heirs, personal representatives, successors in interest, and assigns, as a part of the consideration hereof, does hereby covenant and agree [in the case of deeds and leases add "as a covenant running with the land"] that:

(i.) In the event facilities are constructed, maintained, or otherwise operated on the property described in this (deed, license, lease, permit, etc.) for a purpose for which a U.S. Department of Transportation activity, facility, or program is extended or for another purpose involving the provision of similar services or benefits, the (grantee, licensee, lessee, permittee, etc.) will maintain and operate such facilities and services in compliance with all requirements imposed by the Acts and Regulations (as may be amended) such that no person on the grounds of race, color, or national origin, will be excluded from participation in, denied the benefits of, or be otherwise subjected to discrimination in the use of said facilities.

2. With respect to licenses, leases, permits, etc., in the event of breach of any of the above Nondiscrimination covenants, the NCDOT will have the right to terminate the (lease, license, permit, etc.) and to enter, re-enter, and repossess said lands and facilities thereon, and hold the same as if the (lease, license, permit, etc.) had never been made or issued. *
3. With respect to a deed, in the event of breach of any of the above Nondiscrimination covenants, the NCDOT will have the right to enter or re-enter the lands and facilities thereon, and the above described lands and facilities will there upon revert to and vest in and become the absolute property of the NCDOT and its assigns. *

(*Reverter clause and related language to be used only when it is determined that such a clause is necessary to make clear the purpose of Title VI.)

(c) Clauses for Construction/Use/Access to Real Property Acquired Under the Activity, Facility or Program (1050.2A, Appendix D)

The following clauses will be included in deeds, licenses, permits, or similar instruments/ agreements entered into by the North Carolina Department of Transportation (NCDOT) pursuant to the provisions of Assurance 7(b):

1. The (grantee, licensee, permittee, etc., as appropriate) for himself/herself, his/her heirs, personal representatives, successors in interest, and assigns, as a part of the consideration hereof, does hereby covenant and agree (in the case of deeds and leases add, "as a covenant running with the land") that (1) no person on the ground of race, color, or national origin, will be excluded from participation in, denied the benefits of, or be otherwise subjected to discrimination in the use of said facilities, (2) that in the construction of any improvements on, over, or under such land, and the furnishing of services thereon, no person on the ground of race, color, or national origin, will be excluded from participation in, denied the benefits of, or otherwise be subjected to discrimination, (3) that the (grantee, licensee, lessee, permittee, etc.) will use the premises in compliance with all other requirements imposed by or pursuant to the Acts and Regulations, as amended, set forth in this Assurance.
2. With respect to (licenses, leases, permits, etc.), in the event of breach of any of the above Non¬ discrimination covenants, the NCDOT will have the right to terminate the (license, permit, etc., as appropriate) and to enter or re-enter and repossess said land and the facilities thereon, and hold the same as if said (license, permit, etc., as appropriate) had never been made or issued. *
3. With respect to deeds, in the event of breach of any of the above Nondiscrimination covenants, the NCDOT will there upon revert to and vest in and become the absolute property of the NCDOT and its assigns. *

(*Reverter clause and related language to be used only when it is determined that such a clause is necessary to make clear the purpose of Title VI.)

STANDARD SPECIAL PROVISION

ON-THE-JOB TRAINING

(10-16-07) (Rev. 4-21-15) 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.

STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

ROY COOPER
GOVERNOR

JAMES H. TROGDON, III
SECRETARY

June 12, 2018

MEMO TO: Michael Bass
Advanced Engineering Technician

FROM: Mason Herndon
Division Environmental Program Supervisor

SUBJECT: Brunswick County; SR 1145 Village Point Rd. Waterline Installation.
WBS No. 17BP.3.C.2

Attached are the US Army Corps of Engineers Nationwide Permit 12 and N.C. Division of Coastal Management General Permit 07H.1600 for subject project. All environmental permits have been received for the construction of this project.

If you have any questions or if I can be of any further assistance, please do not hesitate to contact me.

ec:

Lloyd Royal, Division Contract Engineer, P.L.S
Katie Hite, Division Project Development Engineer, P.E.
Jonathan Mitchell, DDC Advance Engineering Technician
Tim Banta, Assistant Program Manager, P.E.
Christopher Dustin, Environmental Consultant
Sean Farrell, Environmental Specialist

Mailing Address:
NC DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
5501 BARBADOS BOULEVARD
CASTLE HAYNE, NC 28429-5647

Telephone: (910) 341-2000
Fax: (910) 675-0143
Customer Service: 1-877-368-4968

Website: www.ncdot.gov

Location:
5501 BARBADOS BOULEVARD
CASTLE HAYNE, NC 28429-5647

H. Project Commitments

Brunswick County
SR 1145 Waterline Installation
Federal Project No. N/A
WBS No. 17BP.3.C.2
TIP No. N/A

Conditions Through Permitting:

- Pre-construction meeting with the permitting agencies is required prior to commencing construction.

Electronically Transmitted

U.S. ARMY CORPS OF ENGINEERS

WILMINGTON DISTRICT

Action Id. **SAW-2016-02323** County: **Brunswick** U.S.G.S. Quad: **NC-HOLDEN BEACH**

GENERAL PERMIT (REGIONAL AND NATIONWIDE) VERIFICATION

Permittee: **NCDOT-Division 3 Env. Superviser**
attn.: Mr. Mason Herndon
Address: **5501 Barbados Blvd.**
Castle Hayne, NC 28429

Size (acres) **+/- 0.50**
Nearest Waterway **Shallotte River**
USGS HUC **03040208**
Nearest Town **Shalotte**
River Basin **Lower Pee Dee**
Coordinates Latitude: **33.9303141739827**
Longitude: **-78.3750737442594**

Location description: **The project location is located along SR 1145 (Village Point Road) where the road crosses "The Swash" just north of the Village Point United Methodist Church, Brunswick County.**

Description of projects area and activity: **This verification covers the directional bore of relocated 8" waterline under "The Swash", Section 10 waterbody.**

Applicable Law: ☐ Section 404 (Clean Water Act, 33 USC 1344)
☒ Sections 10 (Rivers and Harbors Act, 33 USC 403)

Authorization: Regional General Permit Number or Nationwide Permit Number: **NW-12**
SEE ATTACHED RGP or NWP GENERAL, REGIONAL AND SPECIAL CONDITIONS

Your work is authorized by the above referenced permit provided it is accomplished in strict accordance with the attached conditions and your submitted application and attached information dated May 17, 2018 via e-PCN. Any violation of the attached conditions or deviation from your submitted plans may subject the permittee to a stop work order, a restoration order, a Class I administrative penalty, and/or appropriate legal action.

This verification will remain valid until the expiration date identified below unless the nationwide authorization is modified, suspended or revoked. If, prior to the expiration date identified below, the nationwide permit authorization is reissued and/or modified, this verification will remain valid until the expiration date identified below, provided it complies with all requirements of the modified nationwide permit. If the nationwide permit authorization expires or is suspended, revoked, or is modified, such that the activity would no longer comply with the terms and conditions of the nationwide permit, activities which have commenced (i.e., are under construction) or are under contract to commence in reliance upon the nationwide permit, will remain authorized provided the activity is completed within twelve months of the date of the nationwide permit's expiration, modification or revocation, unless discretionary authority has been exercised on a case-by-case basis to modify, suspend or revoke the authorization.

Activities subject to Section 404 (as indicated above) may also require an individual Section 401 Water Quality Certification. You should contact the NC Division of Water Resources (telephone 919-807-6300) to determine Section 401 requirements.

For activities occurring within the twenty coastal counties subject to regulation under the Coastal Area Management Act (CAMA), prior to beginning work you must contact the N.C. Division of Coastal Management in Wilmington, NC, at (910) 796-7215.

This Department of the Army verification does not relieve the permittee of the responsibility to obtain any other required Federal, State or local approvals/permits.

If there are any questions regarding this verification, any of the conditions of the Permit, or the Corps of Engineers regulatory program, please contact **Brad Shaver at (910) 251-4611 or Brad.E.Shaver@usace.army.mil**.

Corps Regulatory Official: SHAVER.BRAD.E.1276601756 Digitally signed by SHAVER.BRAD.E.1276601756 DN: c=US, o=U.S. Government, ou=DoD, ou=PKI, ou=USA, cn=SHAVER.BRAD.E.1276601756 Date: 2018.05.22 11:22:49 -04'00' Date: **May 22, 2018**

Expiration Date of Verification: **March 18, 2023**

Determination of Jurisdiction:

A. ☒ There are waters, including wetlands, on the above described project area that may be subject to Section 404 of the Clean Water Act (CWA) (33 USC § 1344) and/or Section 10 of the Rivers and Harbors Act (RHA) (33 USC § 403). This preliminary determination is not an appealable action under the Regulatory Program Administrative Appeal Process (Reference 33 CFR Part 331). However, you may request an approved JD, which is an appealable action, by contacting the Corps district for further instruction. Please note, if work is authorized by either a general or nationwide permit, and you wish to request an appeal of an approved JD, the appeal must be received by the Corps and the appeal process concluded prior to the commencement of any work in waters of the United States and prior to any work that could alter the hydrology of waters of the United States.

B. ☐ There are Navigable Waters of the United States within the above described project area subject to the permit requirements of Section 10 of the Rivers and Harbors Act (RHA) (33 USC § 403) and Section 404 of the Clean Water Act (CWA) (33 USC § 1344). Unless there is a change in the law or our published regulations, this determination may be relied upon for a period not to exceed five years from the date of this notification.

C. ☐ There are waters, including wetlands, within the above described project area that are subject to the permit requirements of Section 404 of the Clean Water Act (CWA) (33 USC § 1344). Unless there is a change in the law or our published regulations, this determination may be relied upon for a period not to exceed five years from the date of this notification.

D. ☐ The jurisdictional areas within the above described project area have been identified under a previous action. Please reference jurisdictional determination issued 11/21/2016. Action ID: **SAW-2016-02323**.

Basis For Determination: **The subject area exhibits wetland criteria as described in the 1987 Corps Delineation Manual and appropriate regional supplement and has areas that possess an ordinary high water mark. The subject area is subject to the ebb and flood of tide.**

Remarks: **See special conditions. Plans attached.**

The Wilmington District is committed to providing the highest level of support to the public. To help us ensure we continue to do so, please complete our Customer Satisfaction Survey, located online at http://corpsmapu.usace.army.mil/cm_apex/f?p=136:4:0.

Copy furnished(electronic):

NC DEQ-DWR attn.: Ms. Joanne Steenhuis
NCDOT Division 3 Env. attn.: Mr. Sean Farrell

Action ID Number: SAW-2016-02323 **County:** Brunswick

Permittee: NCDOT - Division 3

Project Name: NCDOT / SR 1145 / Village Point Road / The Swash/ Division 3/ Utility

Date Verification Issued: May 22, 2018

Project Manager: Brad Shaver

Upon completion of the activity authorized by this permit and any mitigation required by the permit, sign this certification and return it to the following address:

US ARMY CORPS OF ENGINEERS
WILMINGTON DISTRICT
Attn: Brad Shaver
69 Darlington Ave
Wilmington, NC 28403

Please note that your permitted activity is subject to a compliance inspection by a U. S. Army Corps of Engineers representative. Failure to comply with any terms or conditions of this authorization may result in the Corps suspending, modifying or revoking the authorization and/or issuing a Class I administrative penalty, or initiating other appropriate legal action.

I hereby certify that the work authorized by the above referenced permit has been completed in accordance with the terms and condition of the said permit, and required mitigation was completed in accordance with the permit conditions.

_____ _____

Signature of Permittee **Date**

Special Conditions
SR 1145 "The Swash"
Utility Relocation under Section 10 water
SAW-2016-02323

1. When directional boring or horizontal directional drilling (HDD) under waters of the U.S., including wetlands, the permittee shall closely monitor the project for hydraulic fracturing or "fracking" and material from the drilling operation leaching to the surface and into jurisdictional areas. Any discharge from fracking or leaching into waters of the U.S., including wetlands, shall be reported to the appropriate Corps Regulatory Field Office within 48 hours. Restoration and/or mitigation may be required as a result from any unintended discharges.

2. The contractor should provide for containment around the bore entrance and exit pits to avoid any slurry from entering the adjacent coastal marsh/wetland complex and open waters.

3. The contractor should have in place a contingency plan to address any upsets or hydraulic fracturing which may occur during the directional drill process (i.e. vac truck, hay bales, silt fence, etc.)

SHAVER.BRAD.E.1276601756

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DN: c=US, o=U.S. Government, ou=DoD, ou=PKI, ou=USA, cn=SHAVER.BRAD.E.1276601756
Date: 2018.05.22 11:23:44 -04'00'

NATIONWIDE PERMIT 12
DEPARTMENT OF THE ARMY
CORPS OF ENGINEERS
FINAL NOTICE OF ISSUANCE AND MODIFICATION OF NATIONWIDE PERMITS
FEDERAL REGISTER
AUTHORIZED MARCH 19, 2017

Utility Line Activities. Activities required for the construction, maintenance, repair, and removal of utility lines and associated facilities in waters of the United States, provided the activity does not result in the loss of greater than 1/2-acre of waters of the United States for each single and complete project.

Utility lines: This NWP authorizes discharges of dredged or fill material into waters of the United States and structures or work in navigable waters for crossings of those waters associated with the construction, maintenance, or repair of utility lines, including outfall and intake structures. There must be no change in pre-construction contours of waters of the United States. A "utility line" is defined as any pipe or pipeline for the transportation of any gaseous, liquid, liquescent, or slurry substance, for any purpose, and any cable, line, or wire for the transmission for any purpose of electrical energy, telephone, and telegraph messages, and internet, radio, and television communication. The term "utility line" does not include activities that drain a water of the United States, such as drainage tile or french drains, but it does apply to pipes conveying drainage from another area.

Material resulting from trench excavation may be temporarily sidecast into waters of the United States for no more than three months, provided the material is not placed in such a manner that it is dispersed by currents or other forces. The district engineer may extend the period of temporary side casting for no more than a total of 180 days, where appropriate. In wetlands, the top 6 to 12 inches of the trench should normally be backfilled with topsoil from the trench. The trench cannot be constructed or backfilled in such a manner as to drain waters of the United States (e.g., backfilling with extensive gravel layers, creating a french drain effect). Any exposed slopes and stream banks must be stabilized immediately upon completion of the utility line crossing of each waterbody.

Utility line substations: This NWP authorizes the construction, maintenance, or expansion of substation facilities associated with a power line or utility line in non-tidal waters of the United States, provided the activity, in combination with all other activities included in one single and complete project, does not result in the loss of greater than 1/2-acre of waters of the United States. This NWP does not authorize discharges into non-tidal wetlands adjacent to tidal waters of the United States to construct, maintain, or expand substation facilities.

Foundations for overhead utility line towers, poles, and anchors: This NWP authorizes the construction or maintenance of foundations for overhead utility line towers, poles, and anchors in all waters of the United States, provided the foundations are the minimum size necessary and separate footings for each tower leg (rather than a larger single pad) are used where feasible.

Access roads: This NWP authorizes the construction of access roads for the construction and maintenance of utility lines, including overhead power lines and utility line substations, in non-tidal waters of the United States, provided the activity, in combination with all other activities included in one single and complete project, does not cause the loss of greater than 1/2-acre of non-tidal waters of the United States. This NWP does not authorize discharges into non-tidal wetlands adjacent to tidal waters for access roads. Access roads must be the minimum width necessary (see Note 2, below). Access roads must be constructed so that the length of the road minimizes any adverse effects on waters of the United States and must be as near as possible to pre-construction contours and elevations (e.g., at grade corduroy roads or geotextile/gravel roads). Access roads constructed above pre-construction contours and elevations in waters of the United States must be properly bridged or culverted to maintain surface flows.

This NWP may authorize utility lines in or affecting navigable waters of the United States even if there is no associated discharge of dredged or fill material (See 33 CFR part 322). Overhead utility lines constructed over section 10 waters and utility lines that are routed in or under section 10 waters without a discharge of dredged or fill material require a section 10 permit.

This NWP authorizes, to the extent that Department of the Army authorization is required, temporary structures, fills, and work necessary for the remediation of inadvertent returns of drilling fluids to waters of the United States through sub-soil fissures or fractures that might occur during horizontal directional drilling activities conducted for the purpose of installing or replacing utility lines. These remediation activities must be done as soon as practicable, to restore the affected waterbody. District engineers may add special conditions to this NWP to require a remediation plan for addressing inadvertent returns of drilling fluids to waters of the United States during horizontal directional drilling activities conducted for the purpose of installing or replacing utility lines.

This NWP also authorizes temporary structures, fills, and work, including the use of temporary mats, necessary to conduct the utility line activity. Appropriate measures must be taken to maintain normal downstream flows and minimize flooding to the maximum extent practicable, when temporary structures, work, and discharges, including cofferdams, are necessary for construction activities, access fills, or dewatering of construction sites. Temporary fills must consist of materials, and be placed in a manner, that will not be eroded by expected high flows. After construction, temporary fills must be removed in their entirety and the affected areas returned to pre-construction elevations. The areas affected by temporary fills must be revegetated, as appropriate.

Notification: The permittee must submit a pre-construction notification to the district engineer prior to commencing the activity if any of the following criteria are met: (1) the activity involves mechanized land clearing in a forested wetland for the utility line right-of-way; (2) a section 10 permit is required; (3) the utility line in waters of the United States, excluding overhead lines, exceeds 500 feet; (4) the utility line is placed within a jurisdictional area (i.e., water of the United States), and it runs parallel to or along a stream bed that is within that jurisdictional area; (5) discharges that result in the loss of greater than 1/10-acre of waters of the United States; (6) permanent access roads are constructed above

grade in waters of the United States for a distance of more than 500 feet; or (7) permanent access roads are constructed in waters of the United States with impervious materials. (See general condition 32.) (Authorities: Sections 10 and 404)

Note 1: Where the utility line is constructed or installed in navigable waters of the United States (i.e., section 10 waters) within the coastal United States, the Great Lakes, and United States territories, a copy of the NWP verification will be sent by the Corps to the National Oceanic and Atmospheric Administration (NOAA), National Ocean Service (NOS), for charting the utility line to protect navigation.

Note 2: For utility line activities crossing a single waterbody more than one time at separate and distant locations, or multiple waterbodies at separate and distant locations, each crossing is considered a single and complete project for purposes of NWP authorization. Utility line activities must comply with 33 CFR 330.6(d).

Note 3: Utility lines consisting of aerial electric power transmission lines crossing navigable waters of the United States (which are defined at 33 CFR part 329) must comply with the applicable minimum clearances specified in 33 CFR 322.5(i).

Note 4: Access roads used for both construction and maintenance may be authorized, provided they meet the terms and conditions of this NWP. Access roads used solely for construction of the utility line must be removed upon completion of the work, in accordance with the requirements for temporary fills.

Note 5: Pipes or pipelines used to transport gaseous, liquid, liquescent, or slurry substances over navigable waters of the United States are considered to be bridges, not utility lines, and may require a permit from the U.S. Coast Guard pursuant to section 9 of the Rivers and Harbors Act of 1899. However, any discharges of dredged or fill material into waters of the United States associated with such pipelines will require a section 404 permit (see NWP 15).

Note 6: This NWP authorizes utility line maintenance and repair activities that do not qualify for the Clean Water Act section 404(f) exemption for maintenance of currently serviceable fills or fill structures.

Note 7: For overhead utility lines authorized by this NWP, a copy of the PCN and NWP verification will be provided to the Department of Defense Siting Clearinghouse, which will evaluate potential effects on military activities.

Note 8: For NWP 12 activities that require pre-construction notification, the PCN must include any other NWP(s), regional general permit(s), or individual permit(s) used or intended to be used to authorize any part of the proposed project or any related activity, including other separate and distant crossings that require Department of the Army authorization but do not require pre-construction notification (see paragraph (b) of general condition 32). The district engineer will evaluate the PCN in accordance with Section D, "District Engineer's Decision." The district engineer may require mitigation to ensure that the authorized activity results in no more than minimal individual and cumulative adverse environmental effects (see general condition 23).

NATIONWIDE PERMIT GENERAL CONDITIONS

The following General Conditions must be followed in order for any authorization by a NWP to be valid:

1. Navigation. (a) No activity may cause more than a minimal adverse effect on navigation.

(b) Any safety lights and signals prescribed by the U.S. Coast Guard, through regulations or otherwise, must be installed and maintained at the permittee's expense on authorized facilities in navigable waters of the United States.

(c) The permittee understands and agrees that, if future operations by the United States require the removal, relocation, or other alteration, of the structure or work herein authorized, or if, in the opinion of the Secretary of the Army or his authorized representative, said structure or work shall cause unreasonable obstruction to the free navigation of the navigable waters, the permittee will be required, upon due notice from the Corps of Engineers, to remove, relocate, or alter the structural work or obstructions caused thereby, without expense to the United States. No claim shall be made against the United States on account of any such removal or alteration.

2. Aquatic Life Movements. No activity may substantially disrupt the necessary life cycle movements of those species of aquatic life indigenous to the waterbody, including those species that normally migrate through the area, unless the activity's primary purpose is to impound water. All permanent and temporary crossings of waterbodies shall be suitably culverted, bridged, or otherwise designed and constructed to maintain low flows to sustain the movement of those aquatic species. If a bottomless culvert cannot be used, then the crossing should be designed and constructed to minimize adverse effects to aquatic life movements.

3. Spawning Areas. Activities in spawning areas during spawning seasons must be avoided to the maximum extent practicable. Activities that result in the physical destruction (e.g., through excavation, fill, or downstream smothering by substantial turbidity) of an important spawning area are not authorized.

4. Migratory Bird Breeding Areas. Activities in waters of the United States that serve as breeding areas for migratory birds must be avoided to the maximum extent practicable.

5. Shellfish Beds. No activity may occur in areas of concentrated shellfish populations, unless the activity is directly related to a shellfish harvesting activity authorized by NWPs 4 and 48, or is a shellfish seeding or habitat restoration activity authorized by NWP 27.

6. Suitable Material. No activity may use unsuitable material (e.g., trash, debris, car bodies, asphalt, etc.). Material used for construction or discharged must be free from toxic pollutants in toxic amounts (see section 307 of the Clean Water Act).

7. Water Supply Intakes. No activity may occur in the proximity of a public water supply intake, except where the activity is for the repair or improvement of public water supply intake structures or adjacent bank stabilization.

8. Adverse Effects From Impoundments. If the activity creates an impoundment of water, adverse effects to the aquatic system due to accelerating the passage of water, and/or restricting its flow must be minimized to the maximum extent practicable.

9. Management of Water Flows. To the maximum extent practicable, the pre-construction course, condition, capacity, and location of open waters must be maintained for each activity, including stream channelization, storm water management activities, and temporary and permanent road crossings, except as provided below. The activity must be constructed to withstand expected high flows. The activity must not restrict or impede the passage of normal or high flows, unless the primary purpose of the activity is to impound water or manage high flows. The activity may alter the pre-construction course, condition, capacity, and location of open waters if it benefits the aquatic environment (e.g., stream restoration or relocation activities).

10. Fills Within 100-Year Floodplains. The activity must comply with applicable FEMA-approved state or local floodplain management requirements.

11. Equipment. Heavy equipment working in wetlands or mudflats must be placed on mats, or other measures must be taken to minimize soil disturbance.

12. Soil Erosion and Sediment Controls. Appropriate soil erosion and sediment controls must be used and maintained in effective operating condition during construction, and all exposed soil and other fills, as well as any work below the ordinary high water mark or high tide line, must be permanently stabilized at the earliest practicable date. Permittees are encouraged to perform work within waters of the United States during periods of low-flow or no-flow, or during low tides.

13. Removal of Temporary Fills. Temporary fills must be removed in their entirety and the affected areas returned to pre-construction elevations. The affected areas must be revegetated, as appropriate.

14. Proper Maintenance. Any authorized structure or fill shall be properly maintained, including maintenance to ensure public safety and compliance with applicable NWP general conditions, as well as any activity-specific conditions added by the district engineer to an NWP authorization.

15. Single and Complete Project. The activity must be a single and complete project. The same NWP cannot be used more than once for the same single and complete project.

16. Wild and Scenic Rivers. (a) No NWP activity may occur in a component of the National Wild and Scenic River System, or in a river officially designated by Congress as a "study river" for possible inclusion in the system while the river is in an official study status,

unless the appropriate Federal agency with direct management responsibility for such river, has determined in writing that the proposed activity will not adversely affect the Wild and Scenic River designation or study status.

(b) If a proposed NWP activity will occur in a component of the National Wild and Scenic River System, or in a river officially designated by Congress as a "study river" for possible inclusion in the system while the river is in an official study status, the permittee must submit a pre-construction notification (see general condition 32). The district engineer will coordinate the PCN with the Federal agency with direct management responsibility for that river. The permittee shall not begin the NWP activity until notified by the district engineer that the Federal agency with direct management responsibility for that river has determined in writing that the proposed NWP activity will not adversely affect the Wild and Scenic River designation or study status.

(c) Information on Wild and Scenic Rivers may be obtained from the appropriate Federal land management agency responsible for the designated Wild and Scenic River or study river (e.g., National Park Service, U.S. Forest Service, Bureau of Land Management, U.S. Fish and Wildlife Service). Information on these rivers is also available at: http://www.rivers.gov/.

17. Tribal Rights. No NWP activity may cause more than minimal adverse effects on tribal rights (including treaty rights), protected tribal resources, or tribal lands.

18. Endangered Species. (a) No activity is authorized under any NWP which is likely to directly or indirectly jeopardize the continued existence of a threatened or endangered species or a species proposed for such designation, as identified under the Federal Endangered Species Act (ESA), or which will directly or indirectly destroy or adversely modify the critical habitat of such species. No activity is authorized under any NWP which "may affect" a listed species or critical habitat, unless ESA section 7 consultation addressing the effects of the proposed activity has been completed. Direct effects are the immediate effects on listed species and critical habitat caused by the NWP activity. Indirect effects are those effects on listed species and critical habitat that are caused by the NWP activity and are later in time, but still are reasonably certain to occur.

(b) Federal agencies should follow their own procedures for complying with the requirements of the ESA. If pre-construction notification is required for the proposed activity, the Federal permittee must provide the district engineer with the appropriate documentation to demonstrate compliance with those requirements. The district engineer will verify that the appropriate documentation has been submitted. If the appropriate documentation has not been submitted, additional ESA section 7 consultation may be necessary for the activity and the respective federal agency would be responsible for fulfilling its obligation under section 7 of the ESA.

(c) Non-federal permittees must submit a pre-construction notification to the district engineer if any listed species or designated critical habitat might be affected or is in the vicinity of the activity, or if the activity is located in designated critical habitat, and shall not begin work on the activity until notified by the district engineer that the requirements of the ESA have been satisfied and that the activity is authorized. For activities that might affect Federally-listed endangered or threatened species or designated critical habitat, the pre-construction notification must include the name(s) of the endangered or threatened species that

might be affected by the proposed activity or that utilize the designated critical habitat that might be affected by the proposed activity. The district engineer will determine whether the proposed activity "may affect" or will have "no effect" to listed species and designated critical habitat and will notify the non- Federal applicant of the Corps' determination within 45 days of receipt of a complete pre- construction notification. In cases where the non-Federal applicant has identified listed species or critical habitat that might be affected or is in the vicinity of the activity, and has so notified the Corps, the applicant shall not begin work until the Corps has provided notification that the proposed activity will have "no effect" on listed species or critical habitat, or until ESA section 7 consultation has been completed. If the non-Federal applicant has not heard back from the Corps within 45 days, the applicant must still wait for notification from the Corps.

(d) As a result of formal or informal consultation with the FWS or NMFS the district engineer may add species-specific permit conditions to the NWPs.

(e) Authorization of an activity by an NWP does not authorize the "take" of a threatened or endangered species as defined under the ESA. In the absence of separate authorization (e.g., an ESA Section 10 Permit, a Biological Opinion with "incidental take" provisions, etc.) from the FWS or the NMFS, the Endangered Species Act prohibits any person subject to the jurisdiction of the United States to take a listed species, where "take" means to harass, harm, pursue, hunt, shoot, wound, kill, trap, capture, or collect, or to attempt to engage in any such conduct. The word "harm" in the definition of "take" means an act which actually kills or injures wildlife. Such an act may include significant habitat modification or degradation where it actually kills or injures wildlife by significantly impairing essential behavioral patterns, including breeding, feeding or sheltering.

(f) If the non-federal permittee has a valid ESA section 10(a)(1)(B) incidental take permit with an approved Habitat Conservation Plan for a project or a group of projects that includes the proposed NWP activity, the non-federal applicant should provide a copy of that ESA section 10(a)(1)(B) permit with the PCN required by paragraph (c) of this general condition. The district engineer will coordinate with the agency that issued the ESA section 10(a)(1)(B) permit to determine whether the proposed NWP activity and the associated incidental take were considered in the internal ESA section 7 consultation conducted for the ESA section 10(a)(1)(B) permit. If that coordination results in concurrence from the agency that the proposed NWP activity and the associated incidental take were considered in the internal ESA section 7 consultation for the ESA section 10(a)(1)(B) permit, the district engineer does not need to conduct a separate ESA section 7 consultation for the proposed NWP activity. The district engineer will notify the non-federal applicant within 45 days of receipt of a complete pre-construction notification whether the ESA section 10(a)(1)(B) permit covers the proposed NWP activity or whether additional ESA section 7 consultation is required.

(g) Information on the location of threatened and endangered species and their critical habitat can be obtained directly from the offices of the FWS and NMFS or their world wide web pages at http://www.fws.gov/ or http://www.fws.gov/ipac and http://www.nmfs.noaa.gov/pr/species/esa/ respectively.

19. Migratory Birds and Bald and Golden Eagles. The permittee is responsible for ensuring their action complies with the Migratory Bird Treaty Act and the Bald and Golden Eagle Protection Act. The permittee is responsible for contacting appropriate local office of the U.S. Fish and Wildlife Service to determine applicable measures to reduce impacts to migratory

birds or eagles, including whether "incidental take" permits are necessary and available under the Migratory Bird Treaty Act or Bald and Golden Eagle Protection Act for a particular activity.

20. Historic Properties. (a) In cases where the district engineer determines that the activity may have the potential to cause effects to properties listed, or eligible for listing, in the National Register of Historic Places, the activity is not authorized, until the requirements of Section 106 of the National Historic Preservation Act (NHPA) have been satisfied.

(b) Federal permittees should follow their own procedures for complying with the requirements of section 106 of the National Historic Preservation Act. If pre-construction notification is required for the proposed NWP activity, the Federal permittee must provide the district engineer with the appropriate documentation to demonstrate compliance with those requirements. The district engineer will verify that the appropriate documentation has been submitted. If the appropriate documentation is not submitted, then additional consultation under section 106 may be necessary. The respective federal agency is responsible for fulfilling its obligation to comply with section 106.

(c) Non-federal permittees must submit a pre-construction notification to the district engineer if the NWP activity might have the potential to cause effects to any historic properties listed on, determined to be eligible for listing on, or potentially eligible for listing on the National Register of Historic Places, including previously unidentified properties. For such activities, the pre-construction notification must state which historic properties might have the potential to be affected by the proposed NWP activity or include a vicinity map indicating the location of the historic properties or the potential for the presence of historic properties. Assistance regarding information on the location of, or potential for, the presence of historic properties can be sought from the State Historic Preservation Officer, Tribal Historic Preservation Officer, or designated tribal representative, as appropriate, and the National Register of Historic Places (see 33 CFR 330.4(g)). When reviewing pre-construction notifications, district engineers will comply with the current procedures for addressing the requirements of section 106 of the National Historic Preservation Act. The district engineer shall make a reasonable and good faith effort to carry out appropriate identification efforts, which may include background research, consultation, oral history interviews, sample field investigation, and field survey. Based on the information submitted in the PCN and these identification efforts, the district engineer shall determine whether the proposed NWP activity has the potential to cause effects on the historic properties. Section 106 consultation is not required when the district engineer determines that the activity does not have the potential to cause effects on historic properties (see 36 CFR 800.3(a)). Section 106 consultation is required when the district engineer determines that the activity has the potential to cause effects on historic properties. The district engineer will conduct consultation with consulting parties identified under 36 CFR 800.2(c) when he or she makes any of the following effect determinations for the purposes of section 106 of the NHPA: no historic properties affected, no adverse effect, or adverse effect. Where the non-Federal applicant has identified historic properties on which the activity might have the potential to cause effects and so notified the Corps, the non-Federal applicant shall not begin the activity until notified by the district engineer either that the activity has no potential to cause effects to historic properties or that NHPA section 106 consultation has been completed.

(d) For non-federal permittees, the district engineer will notify the prospective permittee within 45 days of receipt of a complete pre-construction notification whether NHPA section 106 consultation is required. If NHPA section 106 consultation is required, the district engineer will notify the non-Federal applicant that he or she cannot begin the activity until section 106 consultation is completed. If the non-Federal applicant has not heard back from the Corps within 45 days, the applicant must still wait for notification from the Corps.

(e) Prospective permittees should be aware that section 110k of the NHPA (54 U.S.C. 306113) prevents the Corps from granting a permit or other assistance to an applicant who, with intent to avoid the requirements of section 106 of the NHPA, has intentionally significantly adversely affected a historic property to which the permit would relate, or having legal power to prevent it, allowed such significant adverse effect to occur, unless the Corps, after consultation with the Advisory Council on Historic Preservation (ACHP), determines that circumstances justify granting such assistance despite the adverse effect created or permitted by the applicant. If circumstances justify granting the assistance, the Corps is required to notify the ACHP and provide documentation specifying the circumstances, the degree of damage to the integrity of any historic properties affected, and proposed mitigation. This documentation must include any views obtained from the applicant, SHPO/THPO, appropriate Indian tribes if the undertaking occurs on or affects historic properties on tribal lands or affects properties of interest to those tribes, and other parties known to have a legitimate interest in the impacts to the permitted activity on historic properties.

21. Discovery of Previously Unknown Remains and Artifacts. If you discover any previously unknown historic, cultural or archeological remains and artifacts while accomplishing the activity authorized by this permit, you must immediately notify the district engineer of what you have found, and to the maximum extent practicable, avoid construction activities that may affect the remains and artifacts until the required coordination has been completed. The district engineer will initiate the Federal, Tribal, and state coordination required to determine if the items or remains warrant a recovery effort or if the site is eligible for listing in the National Register of Historic Places.

22. Designated Critical Resource Waters. Critical resource waters include, NOAA-managed marine sanctuaries and marine monuments, and National Estuarine Research Reserves. The district engineer may designate, after notice and opportunity for public comment, additional waters officially designated by a state as having particular environmental or ecological significance, such as outstanding national resource waters or state natural heritage sites. The district engineer may also designate additional critical resource waters after notice and opportunity for public comment.

(a) Discharges of dredged or fill material into waters of the United States are not authorized by NWPs 7, 12, 14, 16, 17, 21, 29, 31, 35, 39, 40, 42, 43, 44, 49, 50, 51, and 52 for any activity within, or directly affecting, critical resource waters, including wetlands adjacent to such waters.

(b) For NWPs 3, 8, 10, 13, 15, 18, 19, 22, 23, 25, 27, 28, 30, 33, 34, 36, 37, 38, and 54, notification is required in accordance with general condition 32, for any activity proposed in the designated critical resource waters including wetlands adjacent to those waters. The district engineer may authorize activities under these NWPs only after it is determined that the impacts to the critical resource waters will be no more than minimal.

23. Mitigation. The district engineer will consider the following factors when determining appropriate and practicable mitigation necessary to ensure that the individual and cumulative adverse environmental effects are no more than minimal:

(a) The activity must be designed and constructed to avoid and minimize adverse effects, both temporary and permanent, to waters of the United States to the maximum extent practicable at the project site (i.e., on site).

(b) Mitigation in all its forms (avoiding, minimizing, rectifying, reducing, or compensating for resource losses) will be required to the extent necessary to ensure that the individual and cumulative adverse environmental effects are no more than minimal.

(c) Compensatory mitigation at a minimum one-for-one ratio will be required for all wetland losses that exceed 1/10-acre and require pre-construction notification, unless the district engineer determines in writing that either some other form of mitigation would be more environmentally appropriate or the adverse environmental effects of the proposed activity are no more than minimal, and provides an activity-specific waiver of this requirement. For wetland losses of 1/10-acre or less that require pre-construction notification, the district engineer may determine on a case-by-case basis that compensatory mitigation is required to ensure that the activity results in only minimal adverse environmental effects.

(d) For losses of streams or other open waters that require pre-construction notification, the district engineer may require compensatory mitigation to ensure that the activity results in no more than minimal adverse environmental effects. Compensatory mitigation for losses of streams should be provided, if practicable, through stream rehabilitation, enhancement, or preservation, since streams are difficult-to-replace resources (see 33 CFR 332.3(e)(3)).

(e) Compensatory mitigation plans for NWP activities in or near streams or other open waters will normally include a requirement for the restoration or enhancement, maintenance, and legal protection (e.g., conservation easements) of riparian areas next to open waters. In some cases, the restoration or maintenance/protection of riparian areas may be the only compensatory mitigation required. Restored riparian areas should consist of native species. The width of the required riparian area will address documented water quality or aquatic habitat loss concerns. Normally, the riparian area will be 25 to 50 feet wide on each side of the stream, but the district engineer may require slightly wider riparian areas to address documented water quality or habitat loss concerns. If it is not possible to restore or maintain/protect a riparian area on both sides of a stream, or if the waterbody is a lake or coastal waters, then restoring or maintaining/protecting a riparian area along a single bank or shoreline may be sufficient. Where both wetlands and open waters exist on the project site, the district engineer will determine the appropriate compensatory mitigation (e.g., riparian areas and/or wetlands compensation) based on what is best for the aquatic environment on a watershed basis. In cases where riparian areas are determined to be the most appropriate form of minimization or compensatory mitigation, the district engineer may waive or reduce the requirement to provide wetland compensatory mitigation for wetland losses.

(f) Compensatory mitigation projects provided to offset losses of aquatic resources must comply with the applicable provisions of 33 CFR part 332.

(1) The prospective permittee is responsible for proposing an appropriate compensatory mitigation option if compensatory mitigation is necessary to ensure that the activity results in no more than minimal adverse environmental effects. For the NWPs, the preferred mechanism for providing compensatory mitigation is mitigation bank credits or in-

lieu fee program credits (see 33 CFR 332.3(b)(2) and (3)). However, if an appropriate number and type of mitigation bank or in-lieu credits are not available at the time the PCN is submitted to the district engineer, the district engineer may approve the use of permittee-responsible mitigation.

(2) The amount of compensatory mitigation required by the district engineer must be sufficient to ensure that the authorized activity results in no more than minimal individual and cumulative adverse environmental effects (see 33 CFR 330.1(e)(3)). (See also 33 CFR 332.3(f)).

(3) Since the likelihood of success is greater and the impacts to potentially valuable uplands are reduced, aquatic resource restoration should be the first compensatory mitigation option considered for permittee-responsible mitigation.

(4) If permittee-responsible mitigation is the proposed option, the prospective permittee is responsible for submitting a mitigation plan. A conceptual or detailed mitigation plan may be used by the district engineer to make the decision on the NWP verification request, but a final mitigation plan that addresses the applicable requirements of 33 CFR 332.4(c)(2) through (14) must be approved by the district engineer before the permittee begins work in waters of the United States, unless the district engineer determines that prior approval of the final mitigation plan is not practicable or not necessary to ensure timely completion of the required compensatory mitigation (see 33 CFR 332.3(k)(3)).

(5) If mitigation bank or in-lieu fee program credits are the proposed option, the mitigation plan only needs to address the baseline conditions at the impact site and the number of credits to be provided.

(6) Compensatory mitigation requirements (e.g., resource type and amount to be provided as compensatory mitigation, site protection, ecological performance standards, monitoring requirements) may be addressed through conditions added to the NWP authorization, instead of components of a compensatory mitigation plan (see 33 CFR 332.4(c)(1)(ii)).

(g) Compensatory mitigation will not be used to increase the acreage losses allowed by the acreage limits of the NWPs. For example, if an NWP has an acreage limit of 1/2-acre, it cannot be used to authorize any NWP activity resulting in the loss of greater than 1/2-acre of waters of the United States, even if compensatory mitigation is provided that replaces or restores some of the lost waters. However, compensatory mitigation can and should be used, as necessary, to ensure that an NWP activity already meeting the established acreage limits also satisfies the no more than minimal impact requirement for the NWPs.

(h) Permittees may propose the use of mitigation banks, in-lieu fee programs, or permittee-responsible mitigation. When developing a compensatory mitigation proposal, the permittee must consider appropriate and practicable options consistent with the framework at 33 CFR 332.3(b). For activities resulting in the loss of marine or estuarine resources, permittee-responsible mitigation may be environmentally preferable if there are no mitigation banks or in-lieu fee programs in the area that have marine or estuarine credits available for sale or transfer to the permittee. For permittee-responsible mitigation, the special conditions of the NWP verification must clearly indicate the party or parties responsible for the implementation and performance of the compensatory mitigation project, and, if required, its long-term management.

(i) Where certain functions and services of waters of the United States are permanently adversely affected by a regulated activity, such as discharges of dredged or fill

material into waters of the United States that will convert a forested or scrub-shrub wetland to a herbaceous wetland in a permanently maintained utility line right-of-way, mitigation may be required to reduce the adverse environmental effects of the activity to the no more than minimal level.

24. Safety of Impoundment Structures. To ensure that all impoundment structures are safely designed, the district engineer may require non-Federal applicants to demonstrate that the structures comply with established state dam safety criteria or have been designed by qualified persons. The district engineer may also require documentation that the design has been independently reviewed by similarly qualified persons, and appropriate modifications made to ensure safety.

25. Water Quality. Where States and authorized Tribes, or EPA where applicable, have not previously certified compliance of an NWP with CWA section 401, individual 401 Water Quality Certification must be obtained or waived (see 33 CFR 330.4(c)). The district engineer or State or Tribe may require additional water quality management measures to ensure that the authorized activity does not result in more than minimal degradation of water quality.

26. Coastal Zone Management. In coastal states where an NWP has not previously received a state coastal zone management consistency concurrence, an individual state coastal zone management consistency concurrence must be obtained, or a presumption of concurrence must occur (see 33 CFR 330.4(d)). The district engineer or a State may require additional measures to ensure that the authorized activity is consistent with state coastal zone management requirements.

27. Regional and Case-By-Case Conditions. The activity must comply with any regional conditions that may have been added by the Division Engineer (see 33 CFR 330.4(e)) and with any case specific conditions added by the Corps or by the state, Indian Tribe, or U.S. EPA in its section 401 Water Quality Certification, or by the state in its Coastal Zone Management Act consistency determination.

28. Use of Multiple Nationwide Permits. The use of more than one NWP for a single and complete project is prohibited, except when the acreage loss of waters of the United States authorized by the NWPs does not exceed the acreage limit of the NWP with the highest specified acreage limit. For example, if a road crossing over tidal waters is constructed under NWP 14, with associated bank stabilization authorized by NWP 13, the maximum acreage loss of waters of the United States for the total project cannot exceed 1/3-acre.

29. Transfer of Nationwide Permit Verifications. If the permittee sells the property associated with a nationwide permit verification, the permittee may transfer the nationwide permit verification to the new owner by submitting a letter to the appropriate Corps district office to validate the transfer. A copy of the nationwide permit verification must be attached to the letter, and the letter must contain the following statement and signature:
"When the structures or work authorized by this nationwide permit are still in existence at the time the property is transferred, the terms and conditions of this nationwide permit, including any special conditions, will continue to be binding on the new owner(s) of the property. To

validate the transfer of this nationwide permit and the associated liabilities associated with compliance with its terms and conditions, have the transferee sign and date below."

_____
(Transferee)

_____
(Date)

30. Compliance Certification. Each permittee who receives an NWP verification letter from the Corps must provide a signed certification documenting completion of the authorized activity and implementation of any required compensatory mitigation. The success of any required permittee-responsible mitigation, including the achievement of ecological performance standards, will be addressed separately by the district engineer. The Corps will provide the permittee the certification document with the NWP verification letter. The certification document will include:

(a) A statement that the authorized activity was done in accordance with the NWP authorization, including any general, regional, or activity-specific conditions;

(b) A statement that the implementation of any required compensatory mitigation was completed in accordance with the permit conditions. If credits from a mitigation bank or in-lieu fee program are used to satisfy the compensatory mitigation requirements, the certification must include the documentation required by 33 CFR 332.3(l)(3) to confirm that the permittee secured the appropriate number and resource type of credits; and

(c) The signature of the permittee certifying the completion of the activity and mitigation.

The completed certification document must be submitted to the district engineer within 30 days of completion of the authorized activity or the implementation of any required compensatory mitigation, whichever occurs later.

31. Activities Affecting Structures or Works Built by the United States. If an NWP activity also requires permission from the Corps pursuant to 33 U.S.C. 408 because it will alter or temporarily or permanently occupy or use a U.S. Army Corps of Engineers (USACE) federally authorized Civil Works project (a "USACE project"), the prospective permittee must submit a pre-construction notification. See paragraph (b)(10) of general condition 32. An activity that requires section 408 permission is not authorized by NWP until the appropriate Corps office issues the section 408 permission to alter, occupy, or use the USACE project, and the district engineer issues a written NWP verification.

32. Pre-Construction Notification. (a) Timing. Where required by the terms of the NWP, the prospective permittee must notify the district engineer by submitting a pre-construction notification (PCN) as early as possible. The district engineer must determine if the PCN is complete within 30 calendar days of the date of receipt and, if the PCN is determined to be incomplete, notify the prospective permittee within that 30 day period to request the additional information necessary to make the PCN complete. The request must specify the information needed to make the PCN complete. As a general rule, district engineers will request additional information necessary to make the PCN complete only once. However, if the

prospective permittee does not provide all of the requested information, then the district engineer will notify the prospective permittee that the PCN is still incomplete and the PCN review process will not commence until all of the requested information has been received by the district engineer. The prospective permittee shall not begin the activity until either:

(1) He or she is notified in writing by the district engineer that the activity may proceed under the NWP with any special conditions imposed by the district or division engineer; or

(2) 45 calendar days have passed from the district engineer's receipt of the complete PCN and the prospective permittee has not received written notice from the district or division engineer. However, if the permittee was required to notify the Corps pursuant to general condition 18 that listed species or critical habitat might be affected or are in the vicinity of the activity, or to notify the Corps pursuant to general condition 20 that the activity might have the potential to cause effects to historic properties, the permittee cannot begin the activity until receiving written notification from the Corps that there is "no effect" on listed species or "no potential to cause effects" on historic properties, or that any consultation required under Section 7 of the Endangered Species Act (see 33 CFR 330.4(f)) and/or section 106 of the National Historic Preservation Act (see 33 CFR 330.4(g)) has been completed. Also, work cannot begin under NWPs 21, 49, or 50 until the permittee has received written approval from the Corps. If the proposed activity requires a written waiver to exceed specified limits of an NWP, the permittee may not begin the activity until the district engineer issues the waiver. If the district or division engineer notifies the permittee in writing that an individual permit is required within 45 calendar days of receipt of a complete PCN, the permittee cannot begin the activity until an individual permit has been obtained. Subsequently, the permittee's right to proceed under the NWP may be modified, suspended, or revoked only in accordance with the procedure set forth in 33 CFR 330.5(d)(2).

(b) Contents of Pre-Construction Notification: The PCN must be in writing and include the following information:

(1) Name, address and telephone numbers of the prospective permittee;

(2) Location of the proposed activity;

(3) Identify the specific NWP or NWP(s) the prospective permittee wants to use to authorize the proposed activity;

(4) A description of the proposed activity; the activity's purpose; direct and indirect adverse environmental effects the activity would cause, including the anticipated amount of loss of wetlands, other special aquatic sites, and other waters expected to result from the NWP activity, in acres, linear feet, or other appropriate unit of measure; a description of any proposed mitigation measures intended to reduce the adverse environmental effects caused by the proposed activity; and any other NWP(s), regional general permit(s), or individual permit(s) used or intended to be used to authorize any part of the proposed project or any related activity, including other separate and distant crossings for linear projects that require Department of the Army authorization but do not require pre-construction notification. The description of the proposed activity and any proposed mitigation measures should be sufficiently detailed to allow the district engineer to determine that the adverse environmental effects of the activity will be no more than minimal and to determine the need for compensatory mitigation or other mitigation measures. For single and complete linear projects, the PCN must include the quantity of anticipated losses of wetlands, other special aquatic sites, and other waters for each single and complete crossing of those wetlands, other special aquatic sites, and other waters.

Sketches should be provided when necessary to show that the activity complies with the terms of the NWP. (Sketches usually clarify the activity and when provided results in a quicker decision. Sketches should contain sufficient detail to provide an illustrative description of the proposed activity (e.g., a conceptual plan), but do not need to be detailed engineering plans);

(5) The PCN must include a delineation of wetlands, other special aquatic sites, and other waters, such as lakes and ponds, and perennial, intermittent, and ephemeral streams, on the project site. Wetland delineations must be prepared in accordance with the current method required by the Corps. The permittee may ask the Corps to delineate the special aquatic sites and other waters on the project site, but there may be a delay if the Corps does the delineation, especially if the project site is large or contains many wetlands, other special aquatic sites, and other waters. Furthermore, the 45 day period will not start until the delineation has been submitted to or completed by the Corps, as appropriate;

(6) If the proposed activity will result in the loss of greater than 1/10-acre of wetlands and a PCN is required, the prospective permittee must submit a statement describing how the mitigation requirement will be satisfied, or explaining why the adverse environmental effects are no more than minimal and why compensatory mitigation should not be required. As an alternative, the prospective permittee may submit a conceptual or detailed mitigation plan.

(7) For non-Federal permittees, if any listed species or designated critical habitat might be affected or is in the vicinity of the activity, or if the activity is located in designated critical habitat, the PCN must include the name(s) of those endangered or threatened species that might be affected by the proposed activity or utilize the designated critical habitat that might be affected by the proposed activity. For NWP activities that require pre-construction notification, Federal permittees must provide documentation demonstrating compliance with the Endangered Species Act;

(8) For non-Federal permittees, if the NWP activity might have the potential to cause effects to a historic property listed on, determined to be eligible for listing on, or potentially eligible for listing on, the National Register of Historic Places, the PCN must state which historic property might have the potential to be affected by the proposed activity or include a vicinity map indicating the location of the historic property. For NWP activities that require pre-construction notification, Federal permittees must provide documentation demonstrating compliance with section 106 of the National Historic Preservation Act;

(9) For an activity that will occur in a component of the National Wild and Scenic River System, or in a river officially designated by Congress as a "study river" for possible inclusion in the system while the river is in an official study status, the PCN must identify the Wild and Scenic River or the "study river" (see general condition 16); and

(10) For an activity that requires permission from the Corps pursuant to 33 U.S.C. 408 because it will alter or temporarily or permanently occupy or use a U.S. Army Corps of Engineers federally authorized civil works project, the pre-construction notification must include a statement confirming that the project proponent has submitted a written request for section 408 permission from the Corps office having jurisdiction over that USACE project.

(c) Form of Pre-Construction Notification: The standard individual permit application form (Form ENG 4345) may be used, but the completed application form must clearly indicate that it is an NWP PCN and must include all of the applicable information required in paragraphs (b)(1) through (10) of this general condition. A letter containing the required information may also be used. Applicants may provide electronic files of PCNs and

supporting materials if the district engineer has established tools and procedures for electronic submittals.

(d) Agency Coordination: (1) The district engineer will consider any comments from Federal and state agencies concerning the proposed activity's compliance with the terms and conditions of the NWPs and the need for mitigation to reduce the activity's adverse environmental effects so that they are no more than minimal.

(2) Agency coordination is required for: (i) all NWP activities that require pre-construction notification and result in the loss of greater than 1/2-acre of waters of the United States; (ii) NWP 21, 29, 39, 40, 42, 43, 44, 50, 51, and 52 activities that require pre-construction notification and will result in the loss of greater than 300 linear feet of stream bed; (iii) NWP 13 activities in excess of 500 linear feet, fills greater than one cubic yard per running foot, or involve discharges of dredged or fill material into special aquatic sites; and (iv) NWP 54 activities in excess of 500 linear feet, or that extend into the waterbody more than 30 feet from the mean low water line in tidal waters or the ordinary high water mark in the Great Lakes.

(3) When agency coordination is required, the district engineer will immediately provide (e.g., via e-mail, facsimile transmission, overnight mail, or other expeditious manner) a copy of the complete PCN to the appropriate Federal or state offices (FWS, state natural resource or water quality agency, EPA, and, if appropriate, the NMFS). With the exception of NWP 37, these agencies will have 10 calendar days from the date the material is transmitted to notify the district engineer via telephone, facsimile transmission, or e-mail that they intend to provide substantive, site-specific comments. The comments must explain why the agency believes the adverse environmental effects will be more than minimal. If so contacted by an agency, the district engineer will wait an additional 15 calendar days before making a decision on the pre-construction notification. The district engineer will fully consider agency comments received within the specified time frame concerning the proposed activity's compliance with the terms and conditions of the NWPs, including the need for mitigation to ensure the net adverse environmental effects of the proposed activity are no more than minimal. The district engineer will provide no response to the resource agency, except as provided below. The district engineer will indicate in the administrative record associated with each pre-construction notification that the resource agencies' concerns were considered. For NWP 37, the emergency watershed protection and rehabilitation activity may proceed immediately in cases where there is an unacceptable hazard to life or a significant loss of property or economic hardship will occur. The district engineer will consider any comments received to decide whether the NWP 37 authorization should be modified, suspended, or revoked in accordance with the procedures at 33 CFR 330.5.

(4) In cases of where the prospective permittee is not a Federal agency, the district engineer will provide a response to NMFS within 30 calendar days of receipt of any Essential Fish Habitat conservation recommendations, as required by section 305(b)(4)(B) of the Magnuson-Stevens Fishery Conservation and Management Act.

(5) Applicants are encouraged to provide the Corps with either electronic files or multiple copies of pre-construction notifications to expedite agency coordination.

DISTRICT ENGINEER'S DECISION

1. In reviewing the PCN for the proposed activity, the district engineer will determine whether the activity authorized by the NWP will result in more than minimal

individual or cumulative adverse environmental effects or may be contrary to the public interest. If a project proponent requests authorization by a specific NWP, the district engineer should issue the NWP verification for that activity if it meets the terms and conditions of that NWP, unless he or she determines, after considering mitigation, that the proposed activity will result in more than minimal individual and cumulative adverse effects on the aquatic environment and other aspects of the public interest and exercises discretionary authority to require an individual permit for the proposed activity. For a linear project, this determination will include an evaluation of the individual crossings of waters of the United States to determine whether they individually satisfy the terms and conditions of the NWP(s), as well as the cumulative effects caused by all of the crossings authorized by NWP. If an applicant requests a waiver of the 300 linear foot limit on impacts to streams or of an otherwise applicable limit, as provided for in NWPs 13, 21, 29, 36, 39, 40, 42, 43, 44, 50, 51, 52, or 54, the district engineer will only grant the waiver upon a written determination that the NWP activity will result in only minimal individual and cumulative adverse environmental effects. For those NWPs that have a waivable 300 linear foot limit for losses of intermittent and ephemeral stream bed and a 1/2-acre limit (i.e., NWPs 21, 29, 39, 40, 42, 43, 44, 50, 51, and 52), the loss of intermittent and ephemeral stream bed, plus any other losses of jurisdictional waters and wetlands, cannot exceed 1/2-acre.

2. When making minimal adverse environmental effects determinations the district engineer will consider the direct and indirect effects caused by the NWP activity. He or she will also consider the cumulative adverse environmental effects caused by activities authorized by NWP and whether those cumulative adverse environmental effects are no more than minimal. The district engineer will also consider site specific factors, such as the environmental setting in the vicinity of the NWP activity, the type of resource that will be affected by the NWP activity, the functions provided by the aquatic resources that will be affected by the NWP activity, the degree or magnitude to which the aquatic resources perform those functions, the extent that aquatic resource functions will be lost as a result of the NWP activity (e.g., partial or complete loss), the duration of the adverse effects (temporary or permanent), the importance of the aquatic resource functions to the region (e.g., watershed or ecoregion), and mitigation required by the district engineer. If an appropriate functional or condition assessment method is available and practicable to use, that assessment method may be used by the district engineer to assist in the minimal adverse environmental effects determination. The district engineer may add case-specific special conditions to the NWP authorization to address site- specific environmental concerns.

3. If the proposed activity requires a PCN and will result in a loss of greater than 1/10-acre of wetlands, the prospective permittee should submit a mitigation proposal with the PCN. Applicants may also propose compensatory mitigation for NWP activities with smaller impacts, or for impacts to other types of waters (e.g., streams). The district engineer will consider any proposed compensatory mitigation or other mitigation measures the applicant has included in the proposal in determining whether the net adverse environmental effects of the proposed activity are no more than minimal. The compensatory mitigation proposal may be either conceptual or detailed. If the district engineer determines that the activity complies with the terms and conditions of the NWP and that the adverse environmental effects are no more than minimal, after considering mitigation, the district engineer will notify the permittee and

include any activity-specific conditions in the NWP verification the district engineer deems necessary. Conditions for compensatory mitigation requirements must comply with the appropriate provisions at 33 CFR 332.3(k). The district engineer must approve the final mitigation plan before the permittee commences work in waters of the United States, unless the district engineer determines that prior approval of the final mitigation plan is not practicable or not necessary to ensure timely completion of the required compensatory mitigation. If the prospective permittee elects to submit a compensatory mitigation plan with the PCN, the district engineer will expeditiously review the proposed compensatory mitigation plan. The district engineer must review the proposed compensatory mitigation plan within 45 calendar days of receiving a complete PCN and determine whether the proposed mitigation would ensure the NWP activity results in no more than minimal adverse environmental effects. If the net adverse environmental effects of the NWP activity (after consideration of the mitigation proposal) are determined by the district engineer to be no more than minimal, the district engineer will provide a timely written response to the applicant. The response will state that the NWP activity can proceed under the terms and conditions of the NWP, including any activity-specific conditions added to the NWP authorization by the district engineer.

4. If the district engineer determines that the adverse environmental effects of the proposed activity are more than minimal, then the district engineer will notify the applicant either: (a) that the activity does not qualify for authorization under the NWP and instruct the applicant on the procedures to seek authorization under an individual permit; (b) that the activity is authorized under the NWP subject to the applicant's submission of a mitigation plan that would reduce the adverse environmental effects so that they are no more than minimal; or (c) that the activity is authorized under the NWP with specific modifications or conditions. Where the district engineer determines that mitigation is required to ensure no more than minimal adverse environmental effects, the activity will be authorized within the 45-day PCN period (unless additional time is required to comply with general conditions 18, 20, and/or 31, or to evaluate PCNs for activities authorized by NWPs 21, 49, and 50), with activity-specific conditions that state the mitigation requirements. The authorization will include the necessary conceptual or detailed mitigation plan or a requirement that the applicant submit a mitigation plan that would reduce the adverse environmental effects so that they are no more than minimal. When compensatory mitigation is required, no work in waters of the United States may occur until the district engineer has approved a specific mitigation plan or has determined that prior approval of a final mitigation plan is not practicable or not necessary to ensure timely completion of the required compensatory mitigation.

FURTHER INFORMATION

1. District Engineers have authority to determine if an activity complies with the terms and conditions of an NWP.

2. NWPs do not obviate the need to obtain other federal, state, or local permits, approvals, or authorizations required by law.

3. NWPs do not grant any property rights or exclusive privileges.

4. NWPs do not authorize any injury to the property or rights of others.

5. NWPs do not authorize interference with any existing or proposed Federal project (see general condition 31).

DEFINITIONS

Best management practices (BMPs): Policies, practices, procedures, or structures implemented to mitigate the adverse environmental effects on surface water quality resulting from development. BMPs are categorized as structural or non-structural.

Compensatory mitigation: The restoration (re-establishment or rehabilitation), establishment (creation), enhancement, and/or in certain circumstances preservation of aquatic resources for the purposes of offsetting unavoidable adverse impacts which remain after all appropriate and practicable avoidance and minimization has been achieved.

Currently serviceable: Useable as is or with some maintenance, but not so degraded as to essentially require reconstruction.

Direct effects: Effects that are caused by the activity and occur at the same time and place.

Discharge: The term "discharge" means any discharge of dredged or fill material into waters of the United States.

Ecological reference: A model used to plan and design an aquatic habitat and riparian area restoration, enhancement, or establishment activity under NWP 27. An ecological reference may be based on the structure, functions, and dynamics of an aquatic habitat type or a riparian area type that currently exists in the region where the proposed NWP 27 activity is located. Alternatively, an ecological reference may be based on a conceptual model for the aquatic habitat type or riparian area type to be restored, enhanced, or established as a result of the proposed NWP 27 activity. An ecological reference takes into account the range of variation of the aquatic habitat type or riparian area type in the region.

Enhancement: The manipulation of the physical, chemical, or biological characteristics of an aquatic resource to heighten, intensify, or improve a specific aquatic resource function(s). Enhancement results in the gain of selected aquatic resource function(s), but may also lead to a decline in other aquatic resource function(s). Enhancement does not result in a gain in aquatic resource area.

Ephemeral stream: An ephemeral stream has flowing water only during, and for a short duration after, precipitation events in a typical year. Ephemeral stream beds are located above the water table year-round. Groundwater is not a source of water for the stream. Runoff from rainfall is the primary source of water for stream flow.

Establishment (creation): The manipulation of the physical, chemical, or biological characteristics present to develop an aquatic resource that did not previously exist at an upland site. Establishment results in a gain in aquatic resource area.

High Tide Line: The line of intersection of the land with the water's surface at the maximum height reached by a rising tide. The high tide line may be determined, in the absence of actual data, by a line of oil or scum along shore objects, a more or less continuous deposit of fine shell or debris on the foreshore or berm, other physical markings or characteristics, vegetation lines, tidal gages, or other suitable means that delineate the general height reached by a rising tide. The line encompasses spring high tides and other high tides that occur with periodic frequency but does not include storm surges in which there is a departure from the normal or predicted reach of the tide due to the piling up of water against a coast by strong winds such as those accompanying a hurricane or other intense storm.

Historic Property: Any prehistoric or historic district, site (including archaeological site), building, structure, or other object included in, or eligible for inclusion in, the National

Register of Historic Places maintained by the Secretary of the Interior. This term includes artifacts, records, and remains that are related to and located within such properties. The term includes properties of traditional religious and cultural importance to an Indian tribe or Native Hawaiian organization and that meet the National Register criteria (36 CFR part 60).

Independent utility: A test to determine what constitutes a single and complete non-linear project in the Corps Regulatory Program. A project is considered to have independent utility if it would be constructed absent the construction of other projects in the project area. Portions of a multi-phase project that depend upon other phases of the project do not have independent utility. Phases of a project that would be constructed even if the other phases were not built can be considered as separate single and complete projects with independent utility.

Indirect effects: Effects that are caused by the activity and are later in time or farther removed in distance, but are still reasonably foreseeable.

Intermittent stream: An intermittent stream has flowing water during certain times of the year, when groundwater provides water for stream flow. During dry periods, intermittent streams may not have flowing water. Runoff from rainfall is a supplemental source of water for stream flow.

Loss of waters of the United States: Waters of the United States that are permanently adversely affected by filling, flooding, excavation, or drainage because of the regulated activity. Permanent adverse effects include permanent discharges of dredged or fill material that change an aquatic area to dry land, increase the bottom elevation of a waterbody, or change the use of a waterbody. The acreage of loss of waters of the United States is a threshold measurement of the impact to jurisdictional waters for determining whether a project may qualify for an NWP; it is not a net threshold that is calculated after considering compensatory mitigation that may be used to offset losses of aquatic functions and services. The loss of stream bed includes the acres or linear feet of stream bed that are filled or excavated as a result of the regulated activity. Waters of the United States temporarily filled, flooded, excavated, or drained, but restored to pre-construction contours and elevations after construction, are not included in the measurement of loss of waters of the United States. Impacts resulting from activities that do not require Department of the Army authorization, such as activities eligible for exemptions under section 404(f) of the Clean Water Act, are not considered when calculating the loss of waters of the United States.

Navigable waters: Waters subject to section 10 of the Rivers and Harbors Act of 1899. These waters are defined at 33 CFR part 329.

Non-tidal wetland: A non-tidal wetland is a wetland that is not subject to the ebb and flow of tidal waters. Non-tidal wetlands contiguous to tidal waters are located landward of the high tide line (i.e., spring high tide line).

Open water: For purposes of the NWPs, an open water is any area that in a year with normal patterns of precipitation has water flowing or standing above ground to the extent that an ordinary high water mark can be determined. Aquatic vegetation within the area of flowing or standing water is either non-emergent, sparse, or absent. Vegetated shallows are considered to be open waters. Examples of "open waters" include rivers, streams, lakes, and ponds.

Ordinary High Water Mark: An ordinary high water mark is a line on the shore established by the fluctuations of water and indicated by physical characteristics, or by other appropriate means that consider the characteristics of the surrounding areas.

Perennial stream: A perennial stream has flowing water year-round during a typical year. The water table is located above the stream bed for most of the year. Groundwater is the

primary source of water for stream flow. Runoff from rainfall is a supplemental source of water for stream flow.

Practicable: Available and capable of being done after taking into consideration cost, existing technology, and logistics in light of overall project purposes.

Pre-construction notification: A request submitted by the project proponent to the Corps for confirmation that a particular activity is authorized by nationwide permit. The request may be a permit application, letter, or similar document that includes information about the proposed work and its anticipated environmental effects. Pre-construction notification may be required by the terms and conditions of a nationwide permit, or by regional conditions. A pre-construction notification may be voluntarily submitted in cases where pre-construction notification is not required and the project proponent wants confirmation that the activity is authorized by nationwide permit.

Preservation: The removal of a threat to, or preventing the decline of, aquatic resources by an action in or near those aquatic resources. This term includes activities commonly associated with the protection and maintenance of aquatic resources through the implementation of appropriate legal and physical mechanisms. Preservation does not result in a gain of aquatic resource area or functions.

Protected tribal resources: Those natural resources and properties of traditional or customary religious or cultural importance, either on or off Indian lands, retained by, or reserved by or for, Indian tribes through treaties, statutes, judicial decisions, or executive orders, including tribal trust resources.

Re-establishment: The manipulation of the physical, chemical, or biological characteristics of a site with the goal of returning natural/historic functions to a former aquatic resource. Re-establishment results in rebuilding a former aquatic resource and results in a gain in aquatic resource area and functions.

Rehabilitation: The manipulation of the physical, chemical, or biological characteristics of a site with the goal of repairing natural/historic functions to a degraded aquatic resource. Rehabilitation results in a gain in aquatic resource function, but does not result in a gain in aquatic resource area.

Restoration: The manipulation of the physical, chemical, or biological characteristics of a site with the goal of returning natural/historic functions to a former or degraded aquatic resource. For the purpose of tracking net gains in aquatic resource area, restoration is divided into two categories: re-establishment and rehabilitation.

Riffle and pool complex: Riffle and pool complexes are special aquatic sites under the 404(b)(1) Guidelines. Riffle and pool complexes sometimes characterize steep gradient sections of streams. Such stream sections are recognizable by their hydraulic characteristics. The rapid movement of water over a course substrate in riffles results in a rough flow, a turbulent surface, and high dissolved oxygen levels in the water. Pools are deeper areas associated with riffles. A slower stream velocity, a streaming flow, a smooth surface, and a finer substrate characterize pools.

Riparian areas: Riparian areas are lands next to streams, lakes, and estuarine- marine shorelines. Riparian areas are transitional between terrestrial and aquatic ecosystems, through which surface and subsurface hydrology connects riverine, lacustrine, estuarine, and marine waters with their adjacent wetlands, non-wetland waters, or uplands. Riparian areas provide a variety of ecological functions and services and help improve or maintain local water quality. (See general condition 23.)

Shellfish seeding: The placement of shellfish seed and/or suitable substrate to increase shellfish production. Shellfish seed consists of immature individual shellfish or individual shellfish attached to shells or shell fragments (i.e., spat on shell). Suitable substrate may consist of shellfish shells, shell fragments, or other appropriate materials placed into waters for shellfish habitat.

Single and complete linear project: A linear project is a project constructed for the purpose of getting people, goods, or services from a point of origin to a terminal point, which often involves multiple crossings of one or more waterbodies at separate and distant locations. The term "single and complete project" is defined as that portion of the total linear project proposed or accomplished by one owner/developer or partnership or other association of owners/developers that includes all crossings of a single water of the United States (i.e., a single waterbody) at a specific location. For linear projects crossing a single or multiple waterbodies several times at separate and distant locations, each crossing is considered a single and complete project for purposes of NWP authorization. However, individual channels in a braided stream or river, or individual arms of a large, irregularly shaped wetland or lake, etc., are not separate waterbodies, and crossings of such features cannot be considered separately.

Single and complete non-linear project: For non-linear projects, the term "single and complete project" is defined at 33 CFR 330.2(i) as the total project proposed or accomplished by one owner/developer or partnership or other association of owners/developers. A single and complete non-linear project must have independent utility (see definition of "independent utility"). Single and complete non-linear projects may not be "piecemealed" to avoid the limits in an NWP authorization.

Stormwater management: Stormwater management is the mechanism for controlling stormwater runoff for the purposes of reducing downstream erosion, water quality degradation, and flooding and mitigating the adverse effects of changes in land use on the aquatic environment.

Stormwater management facilities: Stormwater management facilities are those facilities, including but not limited to, stormwater retention and detention ponds and best management practices, which retain water for a period of time to control runoff and/or improve the quality (i.e., by reducing the concentration of nutrients, sediments, hazardous substances and other pollutants) of stormwater runoff.

Stream bed: The substrate of the stream channel between the ordinary high water marks. The substrate may be bedrock or inorganic particles that range in size from clay to boulders. Wetlands contiguous to the stream bed, but outside of the ordinary high water marks, are not considered part of the stream bed.

Stream channelization: The manipulation of a stream's course, condition, capacity, or location that causes more than minimal interruption of normal stream processes. A channelized stream remains a water of the United States.

Structure: An object that is arranged in a definite pattern of organization. Examples of structures include, without limitation, any pier, boat dock, boat ramp, wharf, dolphin, weir, boom, breakwater, bulkhead, revetment, riprap, jetty, artificial island, artificial reef, permanent mooring structure, power transmission line, permanently moored floating vessel, piling, aid to navigation, or any other manmade obstacle or obstruction.

Tidal wetland: A tidal wetland is a jurisdictional wetland that is inundated by tidal waters. Tidal waters rise and fall in a predictable and measurable rhythm or cycle due to the gravitational pulls of the moon and sun. Tidal waters end where the rise and fall of the water

surface can no longer be practically measured in a predictable rhythm due to masking by other waters, wind, or other effects. Tidal wetlands are located channelward of the high tide line.

Tribal lands: Any lands title to which is either: 1) held in trust by the United States for the benefit of any Indian tribe or individual; or 2) held by any Indian tribe or individual subject to restrictions by the United States against alienation.

Tribal rights: Those rights legally accruing to a tribe or tribes by virtue of inherent sovereign authority, unextinguished aboriginal title, treaty, statute, judicial decisions, executive order or agreement, and that give rise to legally enforceable remedies.

Vegetated shallows: Vegetated shallows are special aquatic sites under the 404(b)(1) Guidelines. They are areas that are permanently inundated and under normal circumstances have rooted aquatic vegetation, such as seagrasses in marine and estuarine systems and a variety of vascular rooted plants in freshwater systems.

Waterbody: For purposes of the NWPs, a waterbody is a jurisdictional water of the United States. If a wetland is adjacent to a waterbody determined to be a water of the United States, that waterbody and any adjacent wetlands are considered together as a single aquatic unit (see 33 CFR 328.4(c)(2)). Examples of "waterbodies" include streams, rivers, lakes, ponds, and wetlands.

FINAL REGIONAL CONDITIONS 2017

NOTICE ABOUT WEB LINKS IN THIS DOCUMENT:
The web links (both internal to our Wilmington District and any external links to collaborating agencies) in this document are valid at the time of publication. However, the Wilmington District Regulatory Program web page addresses, as with other agency web sites, may change over the timeframe of the five-year Nationwide Permit renewal cycle, in response to policy mandates or technology advances. While we will make every effort to check on the integrity of our web links and provide re-direct pages whenever possible, we ask that you report any broken links to us so we can keep the page information current and usable. We apologize in advanced for any broken links that you may encounter, and we ask that you navigate from the Regulatory home page (Regulatory Permit Program Wetlands and Streams) of the Wilmington District Corps of Engineers, to the "Permits" section of our web site to find links for pages that cannot be found by clicking directly on the listed web link in this document.

Final 2017 Regional Conditions for Nationwide Permits (NWP) in the Wilmington District

1.0 Excluded Waters

The Corps has identified waters that will be excluded from the use of all NWP's during certain timeframes. These waters are:

1.1 Anadromous Fish Spawning Areas

Waters of the United States identified by either the North Carolina Division of Marine Fisheries (NCDMF) or the North Carolina Wildlife Resources Commission (NCWRC) as anadromous fish spawning areas are excluded during the period between February 15 and June 30, without prior written approval from the Corps and either NCDMF or NCWRC.

1.2 Trout Waters Moratorium

Waters of the United States in the designated trout watersheds of North Carolina are excluded during the period between October 15 and April 15 without prior written approval from the NCWRC, or from the Eastern Band of Cherokee Indians (EBCI) Fisheries and Wildlife Management (FWM) office if the project is located on EBCI trust land. (See Section 2.7 for information on the designated trout watersheds).

1.3 Sturgeon Spawning Areas as Designated by the National Marine Fisheries Service (NMFS)

Waters of the United States designated as sturgeon spawning areas are excluded during the period between February 1 and June 30, without prior written approval from the NMFS.

2.0 Waters Requiring Additional Notification

The Corps has identified waters that will be subject to additional notification requirements for activities authorized by all NWPs. These waters are:

2.1 Western NC Counties that Drain to Designated Critical Habitat

For proposed activities within waters of the United States that require a Pre-Construction Notification (PCN) and are located in the sixteen counties listed below, permittees must provide a copy of the PCN to the U.S. Fish and Wildlife Service (USFWS), 160 Zillicoa Street, Asheville, North Carolina 28801. This PCN must be sent concurrently to the U.S. Fish and Wildlife Service and the Corps Asheville Regulatory Field Office. Please see General Condition 18 for specific notification requirements related to the Endangered Species Act and the below website for information on the location of designated critical habitat.

Counties with tributaries that drain to designated critical habitat that require notification to the Asheville U.S. Fish and Wildlife Service: Avery, Cherokee, Forsyth, Graham, Haywood, Henderson, Jackson, Macon, Mecklenburg, Mitchell, Stokes, Surry, Swain, Transylvania, Union and Yancey.

Website and office addresses for Endangered Species Act Information:

The Wilmington District has developed the following website for permittees which provides guidelines on how to review linked websites and maps in order to fulfill NWP General Condition 18 requirements:
http://www.saw.usace.army.mil/Missions/RegulatoryPermitProgram/AgencyCoordination/ESA.aspx

Permittees who do not have internet access may contact the appropriate U.S. Fish and Wildlife Service offices listed below or Corps at (910) 251-4633:

Asheville U.S. Fish and Wildlife Service Office counties: All counties west of and including Anson, Stanly, Davidson, Forsythe and Stokes Counties.

U.S. Fish and Wildlife Service
Asheville Field Office
160 Zillicoa Street
Asheville, NC 28801
Telephone: (828) 258-3939

Raleigh U.S. Fish and Wildlife Service Office counties: all counties east of and including Richmond, Montgomery, Randolph, Guilford, and Rockingham Counties.

U.S. Fish and Wildlife Service
Raleigh Field Office
Post Office Box 33726

Raleigh, NC 27636-3726
Telephone: (919) 856-4520

2.2 Special Designation Waters

Prior to the use of any NWP, except NWP 3, that involves a discharge of dredged or fill material in any of the following identified waters and/or adjacent wetlands in North Carolina, permittees shall submit a PCN to the District Engineer prior to commencing the activity (see General Condition 32). The North Carolina waters and wetlands that require additional notification requirements are:

"Outstanding Resource Waters" (ORW) or "High Quality Waters" (HQW) as designated by the North Carolina Environmental Management Commission; "Primary Nursery Areas" (PNA), including inland PNA, as designated by the North Carolina Marine Fisheries Commission and the NCWRC; or wetlands adjacent to these waters. Definitions of ORW, HQW and PNA waters can be found in the North Carolina State Administrative Code, Title 15A, Subchapters 2B and 10C (15A NCAC 02B, 15A NCAC 10C) and at the following World Wide Web page: http://reports.oah.state.nc.us/ncac.asp?folderName=\Title%2015A%20-%20Environmental%20Quality&lookUpError=15A%20NCAC%20000%20. Surface water classifications for waters in North Carolina can be viewed at the North Carolina Division of Water Resources website or at the following World Wide Web Page: https://deq.nc.gov/about/divisions/water-resources/planning/classification-standards/classifications

Permittees who do not have internet access may contact the Corps at (910) 251- 4633.

2.3 Coastal Area Management Act (CAMA) Areas of Environmental Concern

Non-federal permittees for any NWP in a designated "Area of Environmental Concern" (AEC) in the twenty (20) counties of Eastern North Carolina covered by the North Carolina Coastal Area Management Act (CAMA) must also obtain the required CAMA permit. Development activities for non-federal projects may not commence until a copy of the approved CAMA permit is furnished to the appropriate Wilmington District Regulatory Field Office (Wilmington Field Office – 69 Darlington Avenue, Wilmington, NC 28403, (910) 251-4802 or Washington Field Office – 2407 West 5th Street, Washington, NC 27889, (910) 251-4610).

2.4 Barrier Islands

Prior to the use of any NWP on a barrier island of North Carolina, permittees must submit a PCN to the District Engineer prior to commencing the activity (see General Condition 32).

2.5 Mountain or Piedmont Bogs

Prior to the use of any NWP in a Bog, as classified by the North Carolina Wetland Assessment Methodology (NCWAM), permittees shall submit a PCN to the District Engineer prior to commencing the activity (see General Condition 32). The latest version of NCWAM can be

viewed on the Corps RIBITS (Regulatory In-lieu Fee and Bank Information Tracking System) website or at the following World Wide Web Page: https://ribits.usace.army.mil/ribits_apex/f?p=107:27:0::NO:::

2.6 Animal Waste Facilities

Prior to use of any NWP for construction of animal waste facilities in waters of the United States, including wetlands, permittees shall submit a PCN to the District Engineer prior to commencing the activity (see General Condition 32).

2.7 Trout Waters

Prior to any discharge of dredge or fill material into streams, waterbodies or wetlands within the 294 designated trout watersheds of North Carolina, the permittee shall submit a PCN (see General Condition 32) to the District Engineer prior to commencing the activity, unless other thresholds are established in the Regional Conditions in Section 4 (Additional Regional Conditions for Specific Nationwide Permits). The permittee shall also provide a copy of the notification to the appropriate NCWRC office, or to the EBCI FWM Office (if the project is located on EBCI trust land), to facilitate the determination of any potential impacts to designated Trout Waters.

Notification to the Corps will include a statement with the name of the NCWRC or EBCI FWM biologist contacted, the date of the notification, the location of work, a delineation of wetlands and waters, a discussion of alternatives to working in the mountain trout waters, why alternatives were not selected, and, if applicable, a plan to provide compensatory mitigation for all unavoidable adverse impacts to mountain trout waters.

NCWRC and NC Trout Watersheds:

NCWRC Contact**	**Counties that are entirely within Trout Watersheds***		**Counties that are partially within Trout Watersheds***	
Mountain Coordinator Balsam Depot 20830 Great Smoky Mountain Expressway Waynesville, NC 28786 Telephone: (828) 558-6011 For NCDOT Projects: NCDOT Coordinator 206 Charter. Street Albemarle, NC 28001 Telephone: (704) 982-9181	Alleghany Ashe Avery Graham Haywood	Jackson Macon Swain Transylvania Watauga	Burke Buncombe Caldwell Cherokee Clay Henderson Madison	McDowell Mitchell Polk Rutherford Surry Wilkes Yancey

*NOTE: To determine notification requirements, contact the Corps Asheville Regulatory Field Office at (828) 271-7980 or view maps for each County at the following World Wide Web page: http://www.saw.usace.army.mil/Missions/Regulatory-Permit-Program/Agency-Coordination/Trout/.

**If a project is located on EBCI trust land, submit the PCN in accordance with Section 3.14. Contact the Corps Asheville Regulatory Field Office at (828) 271-7980 with questions.

2.8 Western NC Waters and Corridors

The permittee shall submit a PCN (see General Condition 32) to the District Engineer prior to commencing the activity in waters of the United States if the activity will occur within any of the following identified waters in western North Carolina, within 0.5 mile on either side of these waters, or within 0.75 mile of the Little Tennessee River, as measured from the top of the bank of the respective water (i.e., river, stream, or creek):

Brasstown Creek
Burningtown Creek
Cane River
Caney Fork
Cartoogechaye Creek
Chattooga River
Cheoah River
Cowee Creek
Cullasaja River
Deep Creek
Ellijay Creek
French Broad River
Garden Creek
Hiwassee River
Hominy Creek
Iotla Creek
Little Tennessee River (within the river or within 0.75 mile on either side of this river)
Nantahala River
Nolichucky River
North Fork French Broad River
North Toe River
Nottley River
Oconaluftee River (portion not located on trust/EBCI land)
Peachtree Creek
Shooting Creek
Snowbird Creek
South Toe River
Stecoah Creek
Swannanoa River
Sweetwater Creek

Tuckasegee River (also spelled Tuckaseegee or Tuckaseigee)
Valley River
Watauga Creek
Watauga River
Wayah Creek
West Fork French Broad River

To determine notification requirements, contact the Corps Asheville Regulatory Field Office at (828) 271-7980 or view maps for all corridors at the following World Wide Web page: http://www.saw.usace.army.mil/Missions/Regulatory-Permit-Program/Agency-Coordination/Designated-Special-Waters.aspx

3.0 List of Corps Regional Conditions for All Nationwide Permits

The following conditions apply to all Nationwide Permits in the Wilmington District:

3.1 Limitation of Loss of Stream Bed

NWPs may not be used for activities that may result in the loss or degradation of more than 300 total linear feet of stream bed, unless the District Engineer has waived the 300 linear foot limit for ephemeral and intermittent streams on a case-by-case basis and has determined that the proposed activity will result in minimal individual and cumulative adverse impacts to the aquatic environment. Waivers for the loss of ephemeral and intermittent streams must be in writing and documented by appropriate/accepted stream quality assessments*. This waiver only applies to the 300 linear feet threshold for NWPs.

This Regional Condition does not apply to NWP 23 (Approved Categorical Exclusions).

*NOTE: Permittees should utilize the most current methodology prescribed by Wilmington District to assess stream function and quality. Information can be found at: https://ribits.usace.army.mil/ribits_apex/f?p=107:27:0::NO:::

3.2 Mitigation for Loss of Stream Bed

For any NWP that results in a loss of more than 150 linear feet of stream, the permittee shall provide a mitigation proposal to compensate for more than minimal individual and cumulative adverse impacts to the aquatic environment. For stream losses of 150 linear feet or less that require a PCN, the District Engineer may determine, on a case-by-case basis, that compensatory mitigation is required to ensure that the activity results in minimal adverse effect on the aquatic environment.

3.3 Pre-construction Notification for Loss of Streambed Exceeding 150 Feet

Prior to use of any NWP for any activity which impacts more than 150 total linear feet of perennial stream, intermittent or ephemeral stream, the permittee shall submit a PCN to the District Engineer prior to commencing the activity (see General Condition 32). This applies to

NWPs that do not have specific notification requirements. If a NWP has specific notification requirements, the requirements of the NWP should be followed.

3.4 Restriction on Use of Live Concrete

For all NWPs which allow the use of concrete as a building material, live or fresh concrete, including bags of uncured concrete, may not come into contact with the water in or entering into waters of the United States. Water inside coffer dams or casings that has been in contact with wet concrete shall only be returned to waters of the United States after the concrete is set and cured and when it no longer poses a threat to aquatic organisms.

3.5 Requirements for Using Riprap for Bank Stabilization

For all NWPs that allow for the use of riprap material for bank stabilization, the following measures shall be applied:

3.5.1. Where bank stabilization is conducted as part of an activity, natural design, bioengineering and/or geoengineering methods that incorporate natural durable materials, native seed mixes, and native plants and shrubs are to be utilized to the maximum extent practicable.

3.5.2. Filter cloth must be placed underneath the riprap as an additional requirement of its use in North Carolina waters. The placement of filter fabric is not required if the riprap will be pushed or "keyed" into the bank of the waterbody. A waiver from the specifications in this Regional Condition may be requested in writing. The waiver will only be issued if it can be demonstrated that the impacts of complying with this Regional Condition would result in greater adverse impacts to the aquatic environment.

3.5.3. The placement of riprap shall be limited to the areas depicted on submitted work plan drawings.

3.5.4. The riprap material shall be clean and free from loose dirt or any pollutant except in trace quantities that would not have an adverse environmental effect.

3.5.5. It shall be of a size sufficient to prevent its movement from the authorized alignment by natural forces under normal conditions.

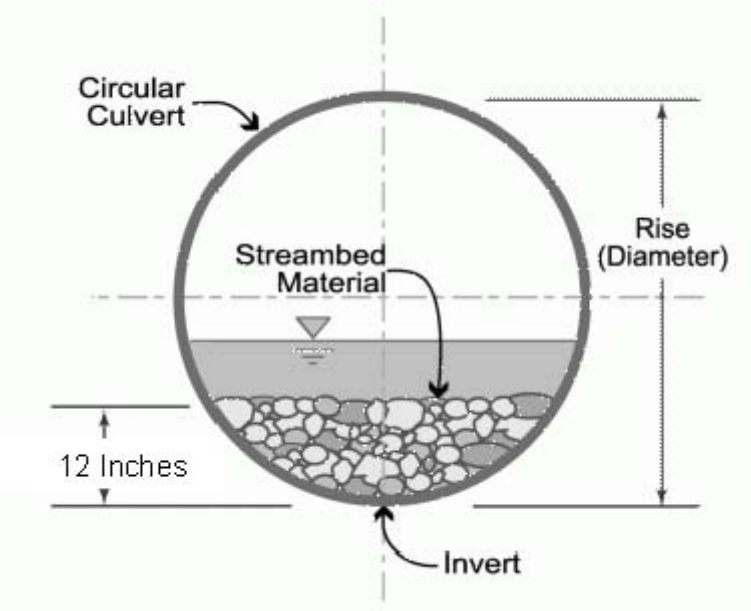
3.5.6. The riprap material shall consist of clean rock or masonry material such as, but not limited to, granite, marl, or broken concrete.

3.6 Requirements for Culvert Placement

3.6.1 For all NWPs that involve the construction/installation of culverts, measures will be included in the construction/installation that will promote the safe passage of fish and other aquatic organisms. The dimension, pattern, and profile of the stream above and below a pipe or culvert should not be modified by altering the width or depth of the stream profile in connection with the construction activity. The width, height, and gradient of a proposed culvert should be

sufficient to pass the average historical low flow and spring flow without adversely altering flow velocity. Spring flow is the seasonal sustained high flow that typically occurs in the spring. Spring flows should be determined from gage data, if available. In the absence of such data, bank-full flow can be used as a comparable indicator.

In Public Trust Areas of Environmental Concern (AEC) and/or the Estuarine Waters AEC as designated by the Coastal Area Management Act (CAMA): All pipes/culverts must be sufficiently sized to allow for the burial of the bottom of the culvert at least one foot below normal bed elevation.



In all other areas: Culverts greater than 48 inches in diameter will be buried at least one foot below the bed of the stream. Culverts 48 inches in diameter or less shall be buried to maintain aquatic passage and to maintain passage during drought or low flow conditions, and every effort shall be made to maintain the existing channel slope.

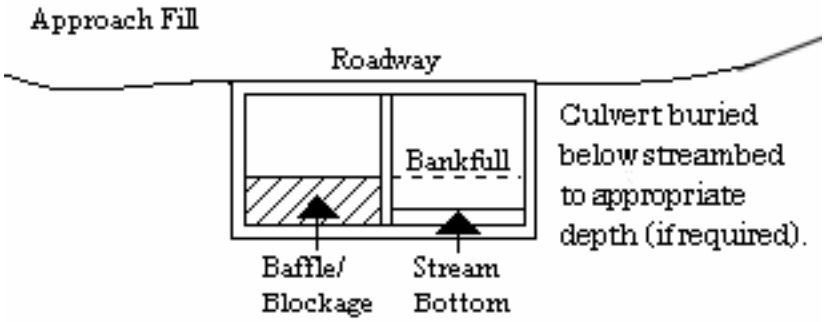
Culverts must be designed and constructed in a manner that minimizes destabilization and head cutting. Destabilizing the channel and head cutting upstream should be considered and appropriate actions incorporated in the design and placement of the culvert.

A waiver from the depth specifications in this condition may be requested, in writing, by the permittee and issued by the Corp; this request must be specific as to the reasons(s) for the request. The waiver will be issued if it can be demonstrated that the proposed design would result in less impacts to the aquatic environment.

All counties: Culverts placed within riparian and/or riverine wetlands must be installed in a manner that does not restrict the flow and circulation patterns of waters of the United States.

Culverts placed across wetland fills purely for the purposes of equalizing surface water do not have to be buried, but the culverts must be of adequate size and/or number to ensure unrestricted transmission of water.

3.6.2 Bank-full flows (or less) shall be accommodated through maintenance of the existing bank-full channel cross sectional area. Additional culverts or culvert barrels at such crossings shall be allowed only to receive bank-full flows.



3.6.3 Where adjacent floodplain is available, flows exceeding bank-full should be accommodated by installing culverts at the floodplain elevation. Additional culverts or culvert barrels at such crossings should not be buried, or if buried, must have sills at the inlets to ensure that they only receive flows exceeding bank-full.

3.6.4 Excavation of existing stream channels shall be limited to the minimum necessary to construct or install the proposed culvert. The final width of the impacted stream at the culvert inlet and outlet should be no greater than the original stream width. A waiver from this condition may be requested in writing; this request must be specific as to the reason(s) for the request. The waiver will be issued if the proposed design would result in less impacts to the aquatic environment and/or if it can be demonstrated that it is not practicable to restore the final width of the impacted stream at the culvert inlet and outlet to the width of the original stream channel.

3.6.5 The width of the culvert shall be comparable to the width of the stream channel. If the width of the culvert is wider than the stream channel, the culvert shall include baffles, benches and/or sills to maintain the width of the stream channel. A waiver from this condition may be requested in writing; this request must be specific as to the reason(s) for the request. The waiver will be issued if it can be demonstrated that it is not practicable or necessary to include baffles, benches or sills and the design would result in less impacts to the aquatic environment.

3.7 Notification to NCDEQ Shellfish Sanitation Section

Permittees shall notify the NCDEQ Shellfish Sanitation Section prior to dredging in or removing sediment from an area closed to shell fishing where the effluent may be released to an area open for shell fishing or swimming in order to avoid contamination from the disposal area and cause a temporary shellfish closure to be made. Such notification shall also be provided to the appropriate Corps Regulatory Field Office. Any disposal of sand to the ocean beach should occur between November 1 and April 30 when recreational usage is low. Only clean sand

should be used and no dredged sand from closed shell fishing areas may be used. If beach disposal were to occur at times other than stated above or if sand from a closed shell fishing area is to be used, a swimming advisory shall be posted, and a press release shall be issued by the permittee.

3.8 Submerged Aquatic Vegetation

Impacts to Submerged Aquatic Vegetation (SAV) are not authorized by any NWP, except NWP 48, unless EFH Consultation has been completed pursuant to the Magnuson-Stevens Fisheries Conservation and Management Act (Magnuson-Stevens Act). Permittees shall submit a PCN (See NWP General Condition 32) to the District Engineer prior to commencing the activity if the project would affect SAV. The permittee may not begin work until notified by the Corps that the requirements of the Magnuson-Stevens Act have been satisfied and that the activity is authorized.

3.9 Sedimentation and Erosion Control Structures and Measures

All PCNs will identify and describe sedimentation and erosion control structures and measures proposed for placement in waters of the United States. The structures and measures should be depicted on maps, surveys or drawings showing location and impacts to jurisdictional wetlands and streams.

3.10 Restoration of Temporary Impacts to Stream Beds

Upon completion of work that involves temporary stream impacts, streambeds are to be restored to pre-project elevations and widths using natural streambed material such that the impacted stream reach mimics the adjacent upstream and downstream reach. The impacted area shall be backfilled with natural streambed material to a depth of at least 12 inches or to the bottom depth of the impacted area if shallower than 12 inches. An engineered in-stream structure or material can be used to provide protection of a buried structure if it provides benefits to the aquatic environment and can be accomplished by a natural streambed design. A permittee may request a waiver of this condition if it is determined a buried structure needs significant physical protection beyond those provided in this condition. This condition does not apply to NWP 27 – Aquatic Habitat Restoration, Enhancement, and Establishment Activities.

3.11 Restoration of Temporary Impacts to Stream Banks

Upon completion of work involving temporary stream bank impacts, stream banks are to be restored to pre-project grade and contours or beneficial grade and contours if the original bank slope is steep and unstable. Natural durable materials, native seed mixes, and native plants and shrubs are to be utilized in the restoration. Natural designs which use bioengineered and/or geo-engineered methods are to be applied. An engineered structure or material can be used to provide protection of a buried structure if it provides benefits to the stream bank environment, provided it is not in excess of the minimum amount needed for protection and does not exceed an average of one cubic yard per running foot placed along the bank below the plane of the ordinary high water mark. A permittee may request a waiver of this condition if it is determined a buried structure

needs significant physical protection beyond those provided in this condition. This condition does not apply to NWP 27 – Aquatic Habitat Restoration, Enhancement, and Establishment Activities.

3.12 Federal Navigation Channel Setbacks and Corps Easements

3.12.1 Authorized structures and fills located in or adjacent to Federally authorized waterways will be constructed in accordance with the latest setback criteria established by the Wilmington District Engineer. You may review the setback policy at http://www.saw.usace.army.mil/Missions/Navigation/Setbacks.aspx. This general permit does not authorize the construction of hardened or permanently fixed structures within the Federally Authorized Channel Setback, unless the activity is approved by the Corps. The permittee shall submit a PCN (see General Condition 32) to the District Engineer prior to the construction of any structures or fills within the Federally Authorized Channel Setback.

3.12.2 The permittee shall obtain a Consent to Cross Government Easement from the Wilmington District's Land Use Coordinator prior to any crossing of the Corps easement and/or prior to commencing construction of any structures, authorized dredging or other work within the right-of-way of, or in proximity to, a federally designated disposal area. The Land Use Coordinator may be contacted at: CESAW-OP-N, 69 Darlington Avenue, Wilmington, North Carolina 28403-1343, email: SAWWeb-NAV@usace.army.mil

3.13 Northern Long-eared Bat – Endangered Species Act Compliance

The Wilmington District, U.S. Army Corps of Engineers has consulted with the United States Fish and Wildlife Service (USFWS) in regards to the threatened Northern long-eared bat (NLEB) (*Myotis septentrionalis*) and Standard Local Operating Procedures for Endangered Species (SLOPES) have been approved by the Corps and the USFWS. This condition concerns effects to the NLEB only and does not address effects to other federally listed species and/or federally designated critical habitat.

A. Procedures when the Corps is the lead federal* agency for a project:

The permittee must comply with (1) and (2) below when:

- the project is located in the western 41 counties of North Carolina, to include non-federal aid North Carolina Department of Transportation (NCDOT) projects, OR;

- the project is located in the 59 eastern counties of North Carolina, and is a non-NCDOT project.

*Generally, if a project is located on private property or on non-federal land, and the project is not being funded by a federal entity, the Corps will be the lead federal agency due to the requirement to obtain Department of the Army authorization to impact waters of the United States. If the project is located on federal land, contact the Corps to determine the lead federal agency.

(1) A permittee using a NWP must check to see if their project is located in the range of the NLEB by using the following website: http://www.fws.gov/midwest/endangered/mammals/nleb/pdf/WNSZone.pdf. If the project is within the range of the NLEB, or if the project includes percussive activities (e.g., blasting, pile driving, etc.), the permittee is then required to check the appropriate website in the paragraph below to discover if their project:

- is located in a 12-digit Hydrologic Unit Code area ("red HUC" - shown as red areas on the map), AND/OR;

- involves percussive activities within 0.25 mile of a red HUC.

Red HUC maps - for the western 41 counties in NC (covered by the Asheville Ecological Services Field Office), check the project location against the electronic maps found at: http://www.fws.gov/asheville/htmls/project_review/NLEB_in_WNC.html. For the eastern 59 counties in NC (covered by the Raleigh Ecological Services Field Office), check the project location against the electronic maps found at: https://www.fws.gov/raleigh/NLEB_RFO.html.

(2) A permittee must submit a PCN to the District Engineer, and receive written authorization from the District Engineer, prior to commencing the activity, if the activity will involve any of the following:

- tree clearing/removal, construction/installation of wind turbines in a red HUC, AND/OR;

- bridge removal or maintenance, unless the bridge has been inspected and there is no evidence of bat use, (applies anywhere in the range of the NLEB), AND/OR:

- percussive activities in a red HUC, or within 0.25 mile of a red HUC.

The permittee may proceed with the activity without submitting a PCN to either the Corps or the USFWS, provided the activity complies with all applicable NWP terms and general and regional conditions, if the permittee's review under A.(1) and A.(2) above shows that the project is:

- located outside of a red HUC (and there are no percussive activities), and the activity will NOT include bridge removal or maintenance, unless the bridge has been inspected and there is no evidence of bat use, OR;

- located outside of a red HUC and there are percussive activities, but the percussive activities will not occur within 0.25-mile of a red HUC boundary, and the activity will NOT include bridge removal or maintenance, unless the bridge has been inspected and there is no evidence of bat use, OR;

- located in a red HUC, but the activity will NOT include: tree clearing/removal; construction/installation of wind turbines; bridge removal or maintenance, unless the bridge has been inspected and there is no evidence of bat use, and/or; any percussive activities.

B. Procedures when the USACE is not the lead federal agency:

For projects where another federal agency is the lead federal agency - if that other federal agency has completed project-specific ESA Section 7(a)(2) consultation for the NLEB, and has (1) determined that the project would not cause prohibited incidental take of the NLEB, and (2) completed coordination/consultation that is required by the USFWS (per the directions on the respective USFWS office's website), that project may proceed without notification to either the USACE or the USFWS, provided all General and Regional Permit Conditions are met.

The NLEB SLOPES can be viewed on the USACE website at the following World Wide Web Page: http://www.saw.usace.army.mil/Missions/Regulatory-Permit-Program/Agency-Coordination/ESA/. Permittees who do not have internet access may contact the USACE at (910) 251- 4633.

3.14 Work on Eastern Band of Cherokee Indians Land

All PCNs submitted for activities in waters of the United States on Eastern Band of Cherokee Indians (EBCI) trust land (i.e., Qualla Boundary and non-contiguous tracts of trust land), must comply with the requirements of the latest MOU between the Wilmington District and the Eastern Band of Cherokee Indians.

4.0 Additional Regional Conditions for Specific Nationwide Permits

4.1 NWP #12 - Utility Line Activities

4.1.1 Pipeline/utility line construction through jurisdictional waters and wetlands will be accomplished utilizing directional drilling/boring methods to the maximum extent practicable.

4.1.2 Temporary discharge of excavated or fill material into wetlands and waters of the United States will be for the absolute minimum period of time necessary to accomplish the work. Temporary discharges will be fully contained with appropriate erosion control or containment methods or otherwise such fills will consist of non-erodible materials.

4.1.3 The work area authorized by this permit, including temporary and/or permanent fills, will be minimized to the greatest extent practicable. Justification for work corridors exceeding forty (40) feet in width is required and will be based on pipeline diameter and length, size of equipment required to construct the utility line, and other construction information deemed necessary to support the request. The permittee is required to provide this information to the Corps with the initial notification package.

4.1.4 Excavated materials shall be returned to the excavated areas and any remaining materials shall be disposed of in uplands, unless the Corps authorizes disposal in waters of the United States**.**

4.1.5 In areas where a sub-aqueous utility line is to cross a federally-maintained channel, (i.e., the Atlantic Intracoastal Waterway [AIWW]), the line will be buried at least six (6) feet below the allowable overdepth of the authorized channel, including all side slopes. For areas outside federally-maintained channels, sub-aqueous lines must be installed at a minimum depth of two (2) feet below the substrate when such lines might interfere with navigation.

4.1.6 The minimum clearance*(see NOTE in 4.1.7) for aerial communication lines, or any lines not transmitting electrical power, will be ten (10) feet above the clearance required for nearby stationary bridges as established by the U.S. Coast Guard. In the event the U.S. Coast Guard has not established a bridge clearance, minimum vertical clearances for power and aerial lines will not be less than required by Section 23, Rule 232, of the latest revision of the National Electrical Safety Code (ANSI C2). Clearances will not be less than shown in Table 232-1, Item 7, ANSI C2.

4.1.7 The minimum clearance* for an aerial line, transmitting electrical power, is based on the low point of the line under conditions that produce the greatest sag, taking into consideration temperature, load, wind, length or span and the type of supports. The minimum clearance for an aerial electrical power transmission line crossing navigable waters of the United States, where there is an established bridge clearance established by the U.S. Coast Guard, shall be governed by the system voltage, as indicated below:

Nominal System Voltage, kilovolt	Minimum Clearance Above Bridge Clearance (As Established by the U.S. Coast Guard)
115 and below	20 feet
138	22
161	24
230	26
350	30
500	35
700	42
750 to 765	45

*NOTE: Minimum clearance is the distance measured between the lowest point of a stationary bridge, including ***any*** infrastructure attached to underside of the bridge, and the Mean High Water (MHW) of the navigable waters of the United States beneath the bridge.

4.1.8 On navigable waters of the United States, including all federal navigation projects, where there is no bridge for reference for minimum clearance, the proposed project will need to be reviewed by the Corps in order to determine the minimum clearance between the line and MHW necessary to protect navigational interests.

4.1.9 A plan to restore and re-vegetate wetland areas cleared for construction must be submitted with the required PCN. Cleared wetland areas shall be re-vegetated to the maximum extent practicable with native species of canopy, shrub, and herbaceous species. Fescue grass shall not be used.

4.1.10 Any permanently maintained corridor along the utility right of way within forested wetlands shall be considered a permanent impact. A compensatory mitigation plan will be required for all such impacts associated with the requested activity if the activity requires PCN and the cumulative total of permanent forested wetland impacts exceeds 1/10-acre, unless the District Engineer determines in writing that either some other form of mitigation would be more environmentally appropriate or the adverse effects of the proposed activity are minimal.

For permanent forested wetland impacts of 1/10-acre or less, the District Engineer may determine, on a case-by-case basis, that compensatory mitigation is required to ensure that the activity results in minimal adverse effects on the aquatic environment.

4.1.11 Use of rip-rap or any other engineered structures to stabilize a stream bed should be avoided to the maximum extent practicable. If riprap stabilization is needed, it should be placed only on the stream banks, or, if it is necessary to be placed in the stream bed, the finished top elevation of the riprap should not exceed that of the original stream bed.

4.1.12 When directional boring or horizontal directional drilling (HDD) under waters of the United States, including wetlands, permittees shall closely monitor the project for hydraulic fracturing or "fracking." Any discharge from hydraulic fracturing or "fracking" into waters of the United States, including wetlands, shall be reported to the appropriate Corps Regulatory Field Office within 48 hours. Restoration and/or compensatory mitigation may be required as a result of any unintended discharges.

4.1.13 For purposes of this NWP, the term utility line does not include pipes or culverts associated with driveways, roadways, lots, etc.

4.1.14 The permittee shall submit a PCN to the District Engineer prior to commencing the activity if the activity will involve the discharge of dredged or fill material into more than 1/10-acre of wetlands or 150 linear feet of stream channel for the construction of temporary access fills and/or temporary road crossings. The PCN must include a restoration plan that thoroughly describes how all temporary fills will be removed, describes how pre-project conditions will be restored, and includes a timetable for all restoration activities.

☑CAMA / ☑DREDGE & FILL
GENERAL PERMIT
☑New ☐Modification ☐Complete Reissue ☐Partial Reissue

№ 70429 A B C (D)
Previous permit # –
Date previous permit issued –

As authorized by the State of North Carolina, Department of Environmental Quality and the Coastal Resources Commission in an area of environmental concern pursuant to 15A NCAC 07H. 1600
☑Rules attached.

Applicant Name NCDOT
Address 5501 Barbados Blvd.
City Castle Hayne State NC ZIP 28429
Phone # (910) 341-2000 E-Mail scfarrell@ncdot.gov
Authorized Agent Sean Farrell

Project Location: County Brunswick
Street Address/ State Road/ Lot #(s) SR 1145
approx. 0.1 miles south of SR 1148
Subdivision –
City Shallotte, NC ZIP 28470
Phone # (___) – River Basin Lumber
Adj. Wtr. Body The Swash (Squash Creek) (nat /man /(unkn))
Closest Maj. Wtr. Body Shallotte River

Affected AEC(s): ☑CW ☑EW ☑PTA ☐ES ☐PTS ☐OEA ☐HHF ☐IH ☐UBA ☐N/A ☐PWS:_____
ORW: yes / (no) PNA (yes) / no

Type of Project/ Activity Construct 260 linear feet of 8" waterline under and adjacent to "The Swash". **(Scale:** N/A)

Pier (dock) length –
Fixed Platform(s) –
Floating Platform(s) –
Finger pier(s) –
Groin length –
number –
Bulkhead/ Riprap length –
avg distance offshore –
max distance offshore –
Basin, channel –
–
cubic yards –
Boat ramp –
Boathouse/ Boatlift –
–
Beach Bulldozing –
Other ~190' of 8" waterline via direction bore
~70' of 8" waterline via open trenching
Shoreline Length ~200'
SAV: not sure yes (no)
Moratorium: n/a yes (no)
Photos: (yes) no
Waiver Attached: yes (no)

Utility Plans Attached and Incorporated into Permit.

A building permit may be required by: Brunswick County.
(Note Local Planning Jurisdiction)
☐ See note on back regarding River Basin rules.

Notes/ Special Conditions (1) Measures sufficient to restrain sedimentation and erosion shall be utilized and implemented in accordance with DOT's BMPs. (2) Finished grades shall be returned to pre-project contours and stabilized with vegetation. (3) The subaqueous line shall be installed a minimum of 16' below the existing culverts in accordance with plan drawings.

SEAN FARRELL
Agent or Applicant Printed Name

Signature ** Please read compliance statement on back of permit **

Stephen Lane
Permit Officer's Printed Name

Signature

$400.00 WBS# 17BP.3.C.2
Application Fee(s) Check #

6-11-18 6-11-19
Issuing Date Expiration Date

SECTION .1600 - GENERAL PERMIT FOR THE INSTALLATION OF AERIAL AND SUBAQUEOUS UTILITY LINES WITH ATTENDANT STRUCTURES IN COASTAL WETLANDS: ESTUARINE WATERS: PUBLIC TRUST WATERS AND ESTUARINE SHORELINES

15A NCAC 07H .1601 PURPOSE

A permit under this Section shall allow for the installation of utility lines both aerially and subaqueously in the coastal wetland, estuarine water, public trust areas and estuarine and public trust shoreline AECs according to the authority provided in Subchapter 7J .1100 and according rules in this Section. This general permit shall not apply to the ocean hazard AECs.

History Note: *Authority G.S. 113-229(c1); 113A-107(a)(b); 113A-113(b); 113A-118.1;*
Eff. March 1, 1985;
Amended Eff. August 1, 2000; August 1, 1998.

15A NCAC 07H .1602 APPROVAL PROCEDURES

(a) The applicant must contact the Division of Coastal Management and complete an application form requesting approval for development. The applicant shall provide information on site location, dimensions of the project area, and his name and address.

(b) The applicant must provide:

(1) confirmation that a written statement has been obtained signed by the adjacent riparian property owners indicating that they have no objections to the proposed work; or

(2) confirmation that the adjacent riparian property owners have been notified by certified mail of the proposed work. Such notice should instruct adjacent property owners to provide any comments on the proposed development in writing for consideration by permitting officials to the Division of Coastal Management within ten days of receipt of the notice, and, indicate that no response will be interpreted as no objection. DCM staff will review all comments and determine, based on their relevance to the potential impacts of the proposed project, if the proposed project can be approved by a General Permit. If DCM staff finds that the comments are worthy of more in-depth review, the applicant will be notified that he must submit an application for a major development permit.

(c) No work shall begin until an on-site meeting is held with the applicant and appropriate Division of Coastal Management representative so that the utility line alignment can be appropriately marked. Written authorization to proceed with the proposed development will be issued during this visit. Construction on the utility line must begin within twelve months of this visit or the general authorization expires.

History Note: *Authority G.S. 113A-107(a)(b); 113A-113(b); 113A-118.1; 113A-229(cl);*
Eff. March 1, 1985;
Amended Eff. January 1, 1990.

15A NCAC 07H .1603 PERMIT FEE

The applicant shall pay a permit fee of four hundred dollars ($400.00) by check or money order payable to the Department.

History Note: *Authority G.S. 113-229(c1); 113A-107; 113A-113(b); 113A-118.1; 113A-119; 113A-119.1;*
Eff. March 1, 1985;
Amended Eff. September 1, 2006; August 1, 2000; March 1, 1991.

15A NCAC 07H .1604 GENERAL CONDITIONS

(a) Utility lines for the purpose of this general permit or any pipes or pipelines for the transportation of potable water, domestic sanitary sewage, natural gas, and any cable, line, or wire for the transmission, for any purpose, of electrical energy, telephone and telegraph messages, and radio and television communication.

(b) There must be no resultant change in preconstruction bottom contours. Authorized fill includes only that necessary to backfill or bed the utility line. Any excess material must be removed to an upland disposal area.

(c) The utility line crossing will not adversely affect a public water supply intake.

(d) The utility line route or construction method will not disrupt the movement of those species of aquatic life indigenous to the waterbody.
(e) Individuals shall allow authorized representatives of the Department of Environment, Health, and Natural Resources to make periodic inspections at any time necessary to ensure that the activity being performed under authority of this general permit is in accordance with the terms and conditions prescribed herein.
(f) This general permit will not be applicable to proposed construction where the Department has determined, based on an initial review of the application, that notice and review pursuant to G.S. 113A-119 is necessary because there are unresolved questions concerning the proposed activity=s impact on adjoining properties or on water quality; air quality; coastal wetlands; cultural or historic sites; wildlife; fisheries resources; or public trust rights.
(g) This permit does not eliminate the need to obtain any other required state, local, or federal authorization, nor, to abide by regulations adopted by any federal or other state agency.
(h) Development carried out under this permit must be consistent with all local requirements, AEC guidelines, and local Land Use Plans current at the time of authorization.

History Note: *Authority G.S. 113-229(c1); 113A-107(a)(b); 113A-113(b); 113A-118.1;*
Eff. March 1, 1985;
Amended Eff. May 1, 1990;
RRC Objection due to ambiguity Eff. May 19, 1994;
Amended Eff. August 1, 1998; July 1, 1994.

15A NCAC 07H .1605 SPECIFIC CONDITIONS

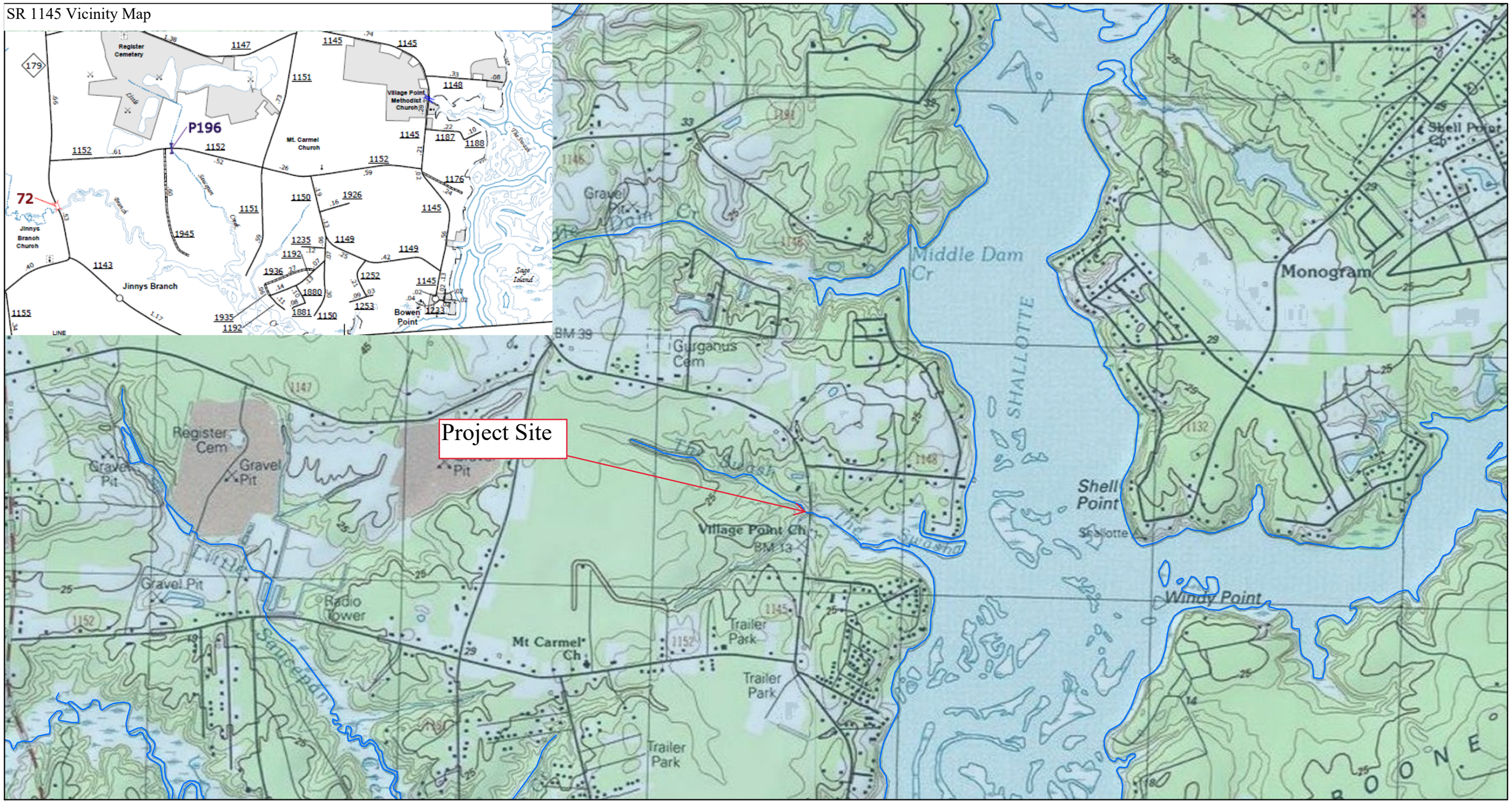
Proposed utility line installations must meet each of the following specific conditions to be eligible for authorization by this general permit:

(1) All domestic sanitary sewer line requests must be accompanied by a statement of prior approval from the NC Division Water Quality.
(2) All spoils which are permanently removed must be placed on a high ground disposal site and stabilized so as not to return to waters, marsh or other wetlands.
(3) Any additional backfill material required must be clean sand or rock free of organic matter.
(4) Cuts through wetlands must be minimized.
(5) Finished grades or subaqueous or wetland crossing must be returned to preproject contours.
(6) There can be no work within any productive shellfish beds.
(7) No excavation or filling activities will be permitted between April 1 and September 30 of any year within any designated primary nursery area.
(8) Subaqueous lines must be placed at a depth of six feet below the project depth of federal projects. In other areas they will be installed at a minimum depth of two feet below the bottom contour.
(9) The minimum clearance for aerial communication lines or any lines not transmitting electricity will be 10' above the clearance required for bridges in the vicinity.
(10) The minimum clearance for aerial electrical transmission lines shall be consistent with those established by the US Army Corps of Engineers and US Coast Guard.
(11) The installation of a utility line on pipe bents or otherwise above the elevation of mean high or mean ordinary water must be of sufficient height to allow for traditional navigation in the water body. Additionally the utility line must not interfere with the waterflow of normal or flood waters.
(12) Natural gas lines must not exceed 11 inches in diameter.

History Note: *Authority G.S. 113-229(c1); 113A-107(a)(b); 113A-113(b); 113A-118.1;*
Eff. March 1, 1985;
Amended Eff. August 1, 1998.

SR 1145 Village Point Rd.

SR 1145 Vicinity Map



May 31, 2018

Surface Water Classifications

River Basins

LBR

1:18,056

0 0.17 0.35 0.7 mi

0 0.3 0.6 1.2 km

09/08/09

TIP PROJECT: 17BP.3.C.2

STATE	STATE PROJECT REFERENCE NO.	SHEET NO.	TOTAL SHEETS
N.C.	17.BP.3.C.2	1	

STATE PROJ. NO.	F. A. PROJ. NO.	DESCRIPTION

PERMIT DRAWING
SHEET 1 OF 4

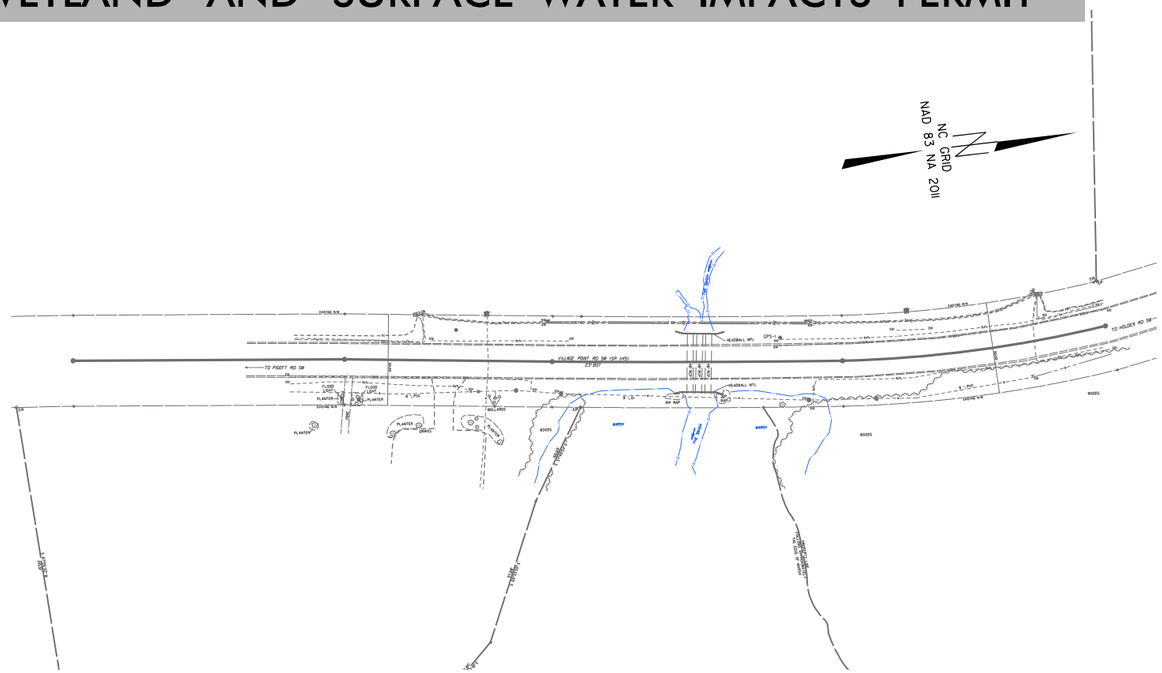
STATE OF NORTH CAROLINA
DIVISION OF HIGHWAYS

BRUNSWICK COUNTY

LOCATION: CULVERT CROSSING OF THE SWASH ALONG SR-1145 (VILLAGE POINT ROAD) NORTH OF THE INTERSECTION OF GARNER STREET SW

TYPE OF WORK: WATER LINE RELOCATION

WETLAND AND SURFACE WATER IMPACTS PERMIT



GRAPHIC SCALES

50 25 0 50 100
PLANS

50 25 0 50 100
PROFILE (HORIZONTAL)

10 5 0 10 20
PROFILE (VERTICAL)

PREPARED IN THE OFFICE OF

HNTB NORTH CAROLINA, P.C.
343 E. Six Forks Road, Suite 200
Raleigh, North Carolina 27609
NC License No: C-1554

KEVIN ZDEB, PE	*PROJECT ENGINEER*
SAM FORSTER	*PROJECT DESIGNER*
WEBB WHITE	*PROJECT UTILITY COORDINATOR*

DAVID LEONARD, PE	*DIVISION PROJECT TEAM LEAD*
KEVIN G. BOWEN, PE	*DIV. CONSTRUCTION ENGINEER*
LONNY A. SLEEPER	*DIVISION UTILITY ENGINEER*
ROBERT VAUSE, PE	*DIV. MAINTENANCE ENGINEER*

STATE OF NORTH CAROLINA • DEPARTMENT OF TRANSPORTATION •

4/23/2018
...\17BP3C2_hyd_prm_tsh.dgn
HNTB

1/31/18

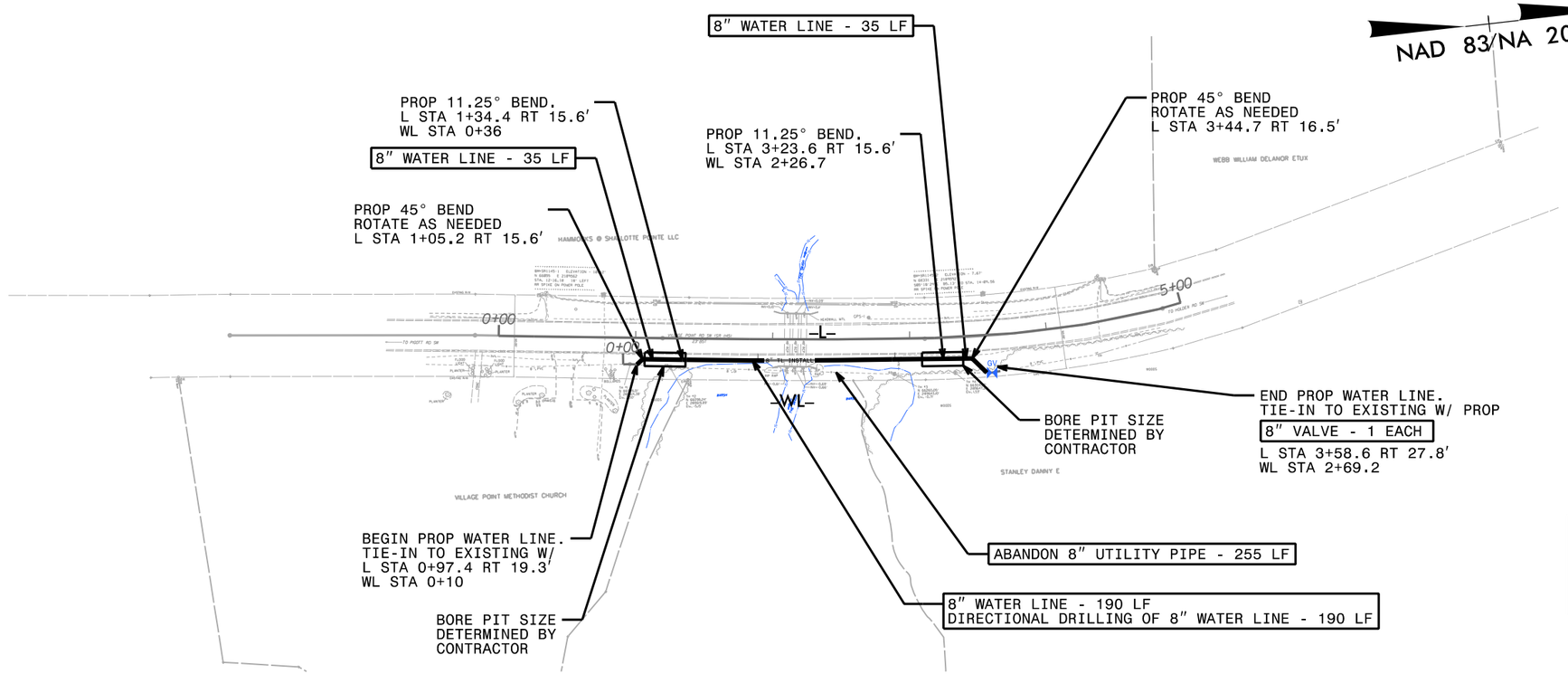
WETLAND & STREAM IMPACTS

HNTB NORTH CAROLINA, P.C.
343 E. Six Forks Road, Suite 200
Raleigh, North Carolina 27609
NC License No: C-1554

PROJECT REFERENCE NO.	SHEET NO.
17BP.3.C.2	
R/W SHEET NO.	
RAILROAD DESIGN	HYDRAULICS ENGINEER

NAD 83/NA 2011

PERMIT DRAWING SHEET 2 OF 4

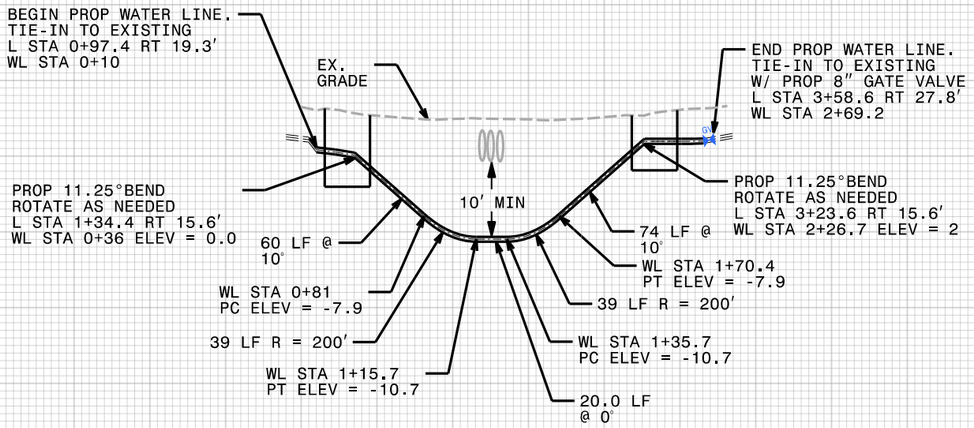


UTILITY OWNERS ON THIS PROJECT:

BRUNSWICK COUNTY PUBLIC UTILITIES
UTILITY: 8" WATER LINE
CONTACT: CORY SUMNER
PHONE: 910-520-4473

THE ESTIMATED QUANTITY OF DUCTILE IRON WATER PIPE FITTINGS ON THIS PLAN SHEET IS 660 POUNDS. THE ACTUAL QUANTITY AND TYPE OF FITTINGS WILL VARY BASED ON FIELD CONDITIONS.

-WL-



NOTES:

1. OPEN TRENCH CONSTRUCTION SHALL PROVIDE 3 FEET MINIMUM COVER TO TOP OF PIPE.
2. TRENCHLESS INSTALLATION SHALL PROVIDE 10 FEET MINIMUM COVER FROM BOTTOM OF DRAINAGE TO TOP OF PIPE.
3. WATER LINE SHALL BE INSTALLED A MINIMUM OF 4 FEET INSIDE THE EXISTING RIGHT OF WAY.
4. EXISTING PIPE AT TIE-IN LOCATIONS ARE ESTIMATED BASED ON TEST HOLE REPORT PROVIDED BY OTHERS. CONTRACTOR SHALL VERIFY PIPE LOCATION BEFORE STARTING WORK.
5. ALL PROPOSED PIPE ELEVATIONS IN PROFILE REFER TO CENTER OF PIPE.
6. HDPE PIPE SHALL BE FIELD BENT WITH A MINIMUM RADIUS = 50 X PIPE O.D. OR PER MANUFACTURER SPECIFICATIONS, WHICHEVER IS GREATER.

1/31/18

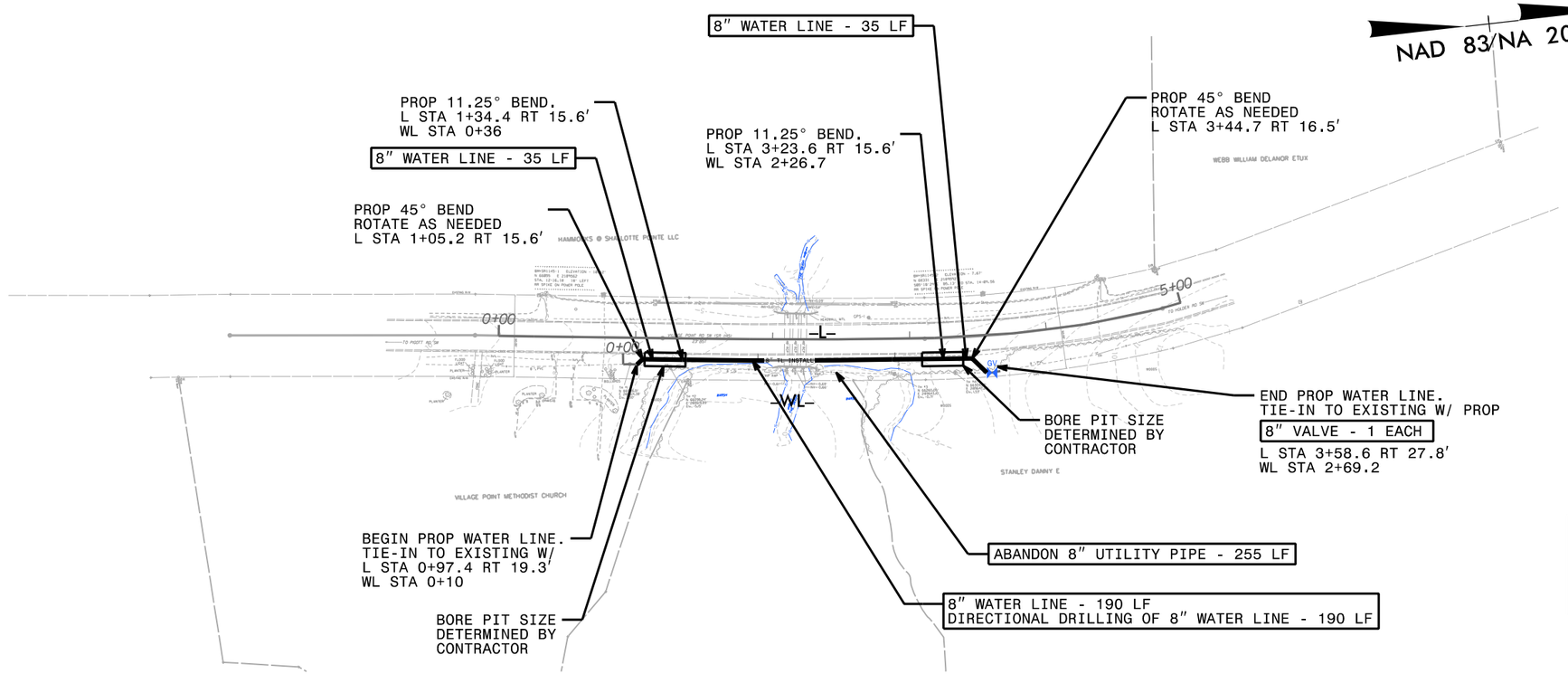
WETLAND & STREAM IMPACTS

HNTB NORTH CAROLINA, P.C.
343 E. Six Forks Road, Suite 200
Raleigh, North Carolina 27609
NC License No: C-1554

PROJECT REFERENCE NO.	SHEET NO.
17BP.3.C.2	
R/W SHEET NO.	
RAILROAD DESIGN	HYDRAULICS ENGINEER

NAD 83/NA 2011

PERMIT DRAWING SHEET 3 OF 4



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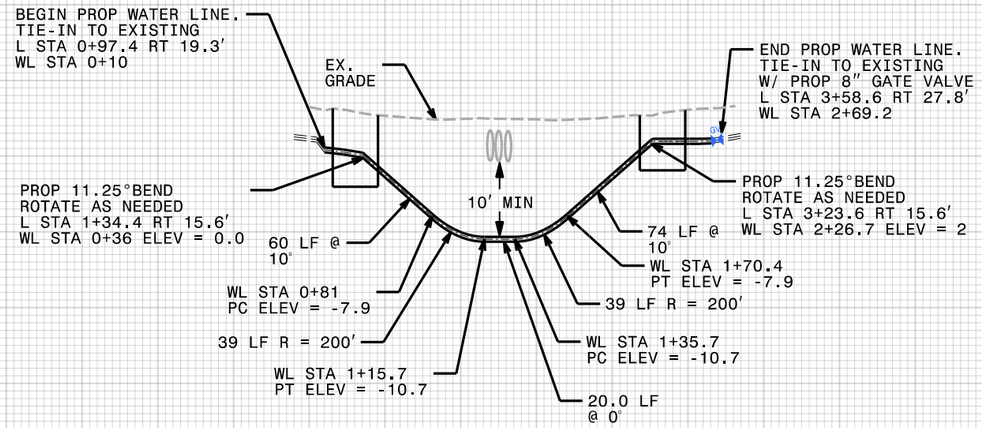

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6. HDPE PIPE SHALL BE FIELD BENT WITH A MINIMUM RADIUS = 50 X PIPE O.D. OR PER MANUFACTURER SPECIFICATIONS, WHICHEVER IS GREATER.

40 30 20 10 0 -10 -20 -30

0+00 1+00 2+00 3+00

WETLAND AND SURFACE WATER IMPACTS SUMMARY

			WETLAND IMPACTS					SURFACE WATER IMPACTS				
Site No.	Station (From/To)	Structure Size / Type	Permanent Fill In Wetlands (ac)	Temp. Fill In Wetlands (ac)	Excavation in Wetlands (ac)	Mechanized Clearing in Wetlands (ac)	Hand Clearing in Wetlands (ac)	Permanent SW impacts (ac)	Temp. SW impacts (ac)	Existing Channel Impacts Permanent (ft)	Existing Channel Impacts Temp. (ft)	Natural Stream Design (ft)
1	-L- 0+00 to 5+00	EXISTING 3 @ 48" RCP										
TOTALS*:												

*Rounded totals are sum of actual impacts

NOTES:

NC DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
5/8/2018
Brunswick County
17BP.3.C.2

Revised 2016 09 09

NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION
RALEIGH

STANDARD SPECIFICATIONS FOR ROADS AND STRUCTURES

Sections 1034, 1036, and Division 15

JANUARY 2018

SECTION 1034
SANITARY SEWER PIPE AND FITTINGS

1034-1 CLAY PIPE

Use extra strength vitrified clay sewer pipe conforming to ASTM C700. Manufacture all joints and seals in accordance with ASTM C425.

1034-2 PLASTIC PIPE

(A) PVC Gravity Flow Sewer Pipe

Use PVC pipe that conforms to ASTM D3034 with a minimum SDR of 35. Use pipe with push-on type joints having bells made as an integral part of the pipe conforming to ASTM D3212.

(B) PVC Force Main Sewer Pipe

(1) Pressure Rated Pipe

Use PVC pipe conforming to ASTM D2241 or to ANSI/AWWA C905 with a minimum SDR of 21 and minimum pressure rating of 200 psi. Use pipe with push-on type joints having bells made as an integral part of the pipe conforming to ASTM D3139 or pipe with butt fused joints made from ASTM D1784 Class 12454B plastic formulated for fusing.

Use PVCO pipe conforming to ASTM F1483 or to ANSI/AWWA C909 for molecularly oriented pipe with a minimum pressure rating of 200 psi. Use pipe with push-on type joints having bells made as an integral part of the pipe conforming to ASTM D3139.

(2) Pressure Class Pipe

Use PVC pipe conforming to ANSI/AWWA C900 with a minimum DR of 18 and a minimum pressure class of 235 psi. Use pipe with push-on type joints having bells made as an integral part of the pipe conforming to ASTM D3139 or pipe with butt fused joints made from ASTM D1784 Class 12454B plastic formulated for fusing.

(C) Polyethylene (PE) Pipe Force Main Sewer Pipe

Use PE pipe and tubing that conforms to AWWA C901 or AWWA C906 with a minimum pressure class of 200 psi.

1034-3 CONCRETE SEWER PIPE

Use reinforced concrete sewer pipe conforming to ASTM C76 or AASHTO M 170 with a Class III minimum rating. Use pipe with gasket joints conforming to ASTM C443 or AASHTO M 198 Type A or B.

1034-4 DUCTILE IRON PIPE

(A) Gravity Flow Sewer Pipe

Use ductile iron pipe that conforms to ASTM A746 or ANSI/AWWA C151/A21.51.

Use ductile iron pipe fittings and specials conforming to ANSI/AWWA C110/A21.10 for standard size fittings or ANSI/AWWA C153/A21.53 for compact fittings.

Use pipe and fittings with push-on joints conforming to ANSI/AWWA C111/A21.11.

(B) Force Main Sewer Pipe

Use ductile iron pipe that conforms to ANSI/AWWA C151/A21.51.

Use ductile iron pipe fittings and specials conforming to ANSI/AWWA C110/A21.10 for standard size fittings or ANSI/AWWA C153/A21.53 for compact fittings. Manufacture

fittings with a cement mortar lining and a seal coat in accordance with ANSI/AWWA C104/A21.4.

Use pipe and fittings with either mechanical joints or push-on joints conforming to ANSI/AWWA C111/A21.11. When required or necessary, use approved type joint restraint devices with a minimum working pressure rating of 200 psi and a factor of safety of 2.

SECTION 1036
WATER PIPE AND FITTINGS

1036-1 GENERAL

All materials when used to convey potable drinking water shall meet the National Sanitation Foundation Standard No. 61. All materials in contact with potable water shall be in conformance with Section 1417 of the Safe Drinking Water Act.

1036-2 COPPER PIPE

For indoor plumbing use copper pipe and sweated fittings conforming to ASTM B88 for the type and temper called for in the plans and Specifications. Cast fittings for copper pipe shall meet ASTM B61 or ASTM B62.

For buried service, use copper water pipe and tube conforming to ASTM B88 soft annealed Type K. Use flared or compression type fittings conforming to ANSI/AWWA C800 and local plumbing codes to connect pipe and tube.

1036-3 PLASTIC PIPE

(A) PVC Pipe

(1) Pressure Rated Pipe

Use PVC pipe conforming to ASTM D2241 or to ANSI/AWWA C905 with a minimum SDR of 21 and minimum pressure rating of 200 psi. Use pipe with push-on type joints having bells made as an integral part of the pipe conforming to ASTM D3139 or pipe with butt fused joints made from ASTM D1784 Class 12454B plastic formulated for fusing.

Use PVCO pipe conforming to ASTM F1483 or to ANSI/AWWA C909 for molecularly oriented pipe with a minimum pressure rating of 200 psi. Use pipe with push-on type joints having bells made as an integral part of the pipe conforming to ASTM D3139.

(2) Pressure Class Pipe

Use PVC pipe conforming to ANSI/AWWA C900 with a minimum DR of 18 and a minimum pressure class of 235 psi. Use pipe with push-on type joints having bells made as an integral part of the pipe conforming to ASTM D3139 or pipe with butt-fused joints made from ASTM D1784 Class 12454B plastic formulated for fusing.

(B) Polyethylene (PE) Pipe

Use PE water pipe and tubing that conforms to AWWA C901 or AWWA C906 with a minimum pressure class of 200 psi.

1036-4 STEEL PIPE

(A) Water Pipe

Use galvanized steel pipe meeting ASTM A53 for standard weight. Fittings for steel water pipe shall meet ASTM A126 for Class B iron or of ASTM A197. Galvanize all fittings in accordance with ASTM A153.

(B) Encasement Pipe

Use steel pipe meeting an ASTM specification with the minimum yield strength of 35,000 psi. Use pipe that is circular in shape and straight in length.

1036-5 DUCTILE IRON PIPE AND FITTINGS

Use ductile iron pipe that conforms to ANSI/AWWA C151/A21.51.

Use ductile iron pipe fittings and specials conforming to ANSI/AWWA C110/A21.10 for standard size fittings or ANSI/AWWA C153/A21.53 for compact fittings. Manufacture fittings with a cement mortar lining and a seal coat in accordance with ANSI/AWWA C104/A21.4.

Use either mechanical joints or push-on joints conforming to ANSI/AWWA C111/A21.11. When required or necessary, use approved type joint restraint devices with a minimum working pressure rating of 200 psi and a factor of safety of 2.

1036-6 FIRE HYDRANTS

Use dry barrel type fire hydrants conforming to ANSI/AWWA C502 with a minimum 4 1/2 inch diameter valve opening with a 6 inch mechanical joint inlet connection, with two 2 1/2 inch hose connections and with one 4 1/2 inch pumper connection. Outlets shall have national standard fire hose coupling threads. Use fire hydrants with a minimum bury length of 36 inches. Securely chain nipple caps to the barrel. Paint hydrants with one coat of primer paint and two coats of an approved paint of the owner's standard color. Apply the final coat after hydrant installation.

1036-7 WATER VALVES

(A) Gate Valves

Use iron body gate valves which conform to ANSI/AWWA C500 for bronze mounted, double disc, parallel seat type valves or to ANSI/AWWA C509 for resilient seat-type valves or to ANSI/AWWA C515 for reduced-wall, resilient seat gate valves. For buried service use gate valves with non-rising stems, 2 inch square operating nuts, O-ring seals and which open by turning counter clockwise. Gate valves shall have mechanical joint ends conforming to ANSI/AWWA C111/A21.11. Gate valves shall have a design working water pressure of 200 psi.

(B) Bronze Gate Valves

Use bronze gate valves conforming to ASTM B62 with tee head operating nuts and solid wedges. Use valves with a design working pressure of 200 psi.

(C) Tapping Valves

Use tapping valves conforming to Subarticle 1036-7(A) with appropriately sized openings, with flanged by mechanical joint ends and pressure rated at 200 psi.

1036-8 SLEEVES, COUPLINGS AND MISCELLANEOUS

(A) Tapping Sleeves

Use cast iron, ductile iron or Type 304 stainless steel tapping sleeves pressure rated at 200 psi. Use either the split sleeve type with mechanical joint ends or the full circle type with double seals. Manufacture the outlet flange to mate with the tapping valve flange.

(B) Transition Sleeves and Couplings

Use sleeve type couplings for transitioning between plain ends of different pipe types. Manufacture couplings in conformance with ANSI/AWWA C219 for a rated working

pressure of 200 psi. Coat the coupling at the factory with an epoxy in conformance with ANSI/AWWA C210 or ANSI/AWWA C213.

1036-9 SERVICE LINE VALVES AND FITTINGS

Use corporation stops and curb stops of all bronze material and high-pressure construction conforming to ANSI/AWWA C800.

Use tapping saddles of high-pressure construction, shaped to conform to the pipe and in conformance with ANSI/AWWA C800.

Use high-pressure fittings manufactured in conformance with ANSI/AWWA C800.

SECTION 1040
MASONRY

1040-1 BRICK

Use clay or shale brick that meets ASTM C62 for Grade SW, except as otherwise provided herein.

Use brick of uniform standard commercial size, with straight and parallel edges and square corners that are burned hard and entirely true, free from injurious cracks and flaws, tough, strong and have a clear ring when struck together. The sides, ends and faces of all brick shall be plane surfaces at right angles and parallel to each other.

Brick of the same manufacturer shall not vary more than ± 1/16 inch in thickness, ± 1/8 inch in width and ± 1/4 inch in length.

Concrete brick may be used instead of clay or shale brick when designated in the plans or in the specifications. Concrete brick shall meet ASTM C55 for Grade S-II except that the absorption of brick used in minor drainage structures shall not exceed 10 lbs/cf.

1040-2 CONCRETE BUILDING BLOCK

Use concrete building block from sources that participate in the Department's Solid Concrete Masonry Brick/Unit QC/QA Program. A list of these sources in North Carolina and adjoining states is available from the Materials and Tests Unit in Raleigh.

Use concrete building block that meets ASTM C90. Block shall be pink in color and substantially free from chips and cracks.

Use solid concrete block instead of clay brick for minor drainage structures that meet ASTM C139 except that the nominal dimensions shall be 4 inches x 8 inches x 16 inches.

Concrete block for block manholes shall meet ASTM C139.

1040-3 CONCRETE PAVING BLOCK

Use concrete paving block from sources that participate in the Department's Solid Concrete Masonry Brick/Unit QC/QA Program. A list of these sources in North Carolina and adjoining states is available from the Materials and Tests Unit in Raleigh.

Use concrete paving block that meet ASTM C139, except that the nominal dimensions shall be 4 inches x 8 inches x 16 inches. The block shall have a uniform surface color and texture.

1040-4 SEGMENTAL RETAINING WALL UNITS

Use segmental retaining wall (SRW) units from sources that participate in the Department's Solid Concrete Masonry Segmental Retaining Wall Units QC/QA Program. A list of these sources in North Carolina and adjoining states is available from the Materials and Tests Unit in Raleigh.

Use freeze-thaw durable SRW units when noted in the plans. Unless required otherwise in the contract, provide SRW units with a vertical straight face and a concrete gray color with no

DIVISION 15
UTILITY CONSTRUCTION

SECTION 1500
GENERAL UTILITY REQUIREMENTS

1500-1 DESCRIPTION

Construct various utilities as required by the contract or as directed.

Apply the applicable provisions of the rules and regulations of the NCDEQ to the construction of water lines and sanitary sewer lines. Perform all work in accordance with the applicable plumbing codes.

1500-2 COOPERATION WITH THE UTILITY OWNER

The utility owner owns the existing utility facilities and will own the new utility facilities after acceptance by the Department. The Department owns the construction contract and has administrative authority. Communications and decisions between the contractor and utility owner are not binding upon the Department or this contract unless authorized by the Engineer. Agreements between the utility owner and contractor for work that is not part of this contract or is secondary to this contract are allowed, but are not binding upon the Department.

Provide access for Department personnel and the owner's representatives to all phases of construction. Notify Department personnel and the utility owner 2 weeks before commencement of any work and one week before service interruption. Keep utility owners' representatives informed of work progress and provide opportunity for inspection of construction and testing.

Except in an emergency, do not operate any of the controls on the existing systems without prior approval of the owner.

Notify the utility owner at least 24 hours in advance of all arrangements for temporary service and for agreement with the owner as to the time that service may be interrupted.

1500-3 UTILITY LOCATIONS AND CONTRACTOR'S RESPONSIBILITY

The plans depict the best available information for the location, size and type of material for all existing utilities. Make investigations for determining the exact location, size and type of material of the existing facilities as necessary for the construction of the proposed utilities and for avoiding damage to existing facilities. Repair any contractor caused damage of existing facilities to the original or better condition at no additional cost to the Department.

1500-4 WEEKEND, NIGHT AND HOLIDAY WORK

Make connections between existing and proposed utilities at times most convenient to the public, without endangering the utility service and in accordance with the utility owner's requirements. Make connections on weekends, at night and on holidays, if necessary.

1500-5 RELATION OF WATER MAINS TO SEWERS

Lay water mains at least 10 feet laterally from existing or proposed sewers. If local conditions or barriers prevent a 10 foot separation, lay the water main with at least 18 inches vertical separation above the top of the sewer pipe either in a separate trench or in the same trench on a bench of undisturbed earth.

When a proposed water main crosses over a proposed or existing sewer, lay the water main with at least 18 inches vertical separation above the top of the sewer. If local conditions or barriers prevent an 18 inch vertical separation, construct both the water main and the sewer for a distance of 10 feet on each side of the point crossing with ferrous pipe having water main quality joints.

When a proposed water main crosses under a proposed or existing sewer, construct both the water main and the sewer of ferrous materials with joints that are equivalent to water main standards for a distance of 10 feet on each side of the point of crossing. Center the section of water pipe at the point of crossing.

1500-6 PROTECTION OF PEDESTRIAN AND VEHICULAR TRAFFIC

During the progress of the work, keep sidewalks and crossings open for the passage of pedestrians. Take necessary measures to keep roadways open for traffic unless lane or roadway closures are approved.

Construct and maintain adequate and approved bridges over excavations as necessary for the purpose of accommodating pedestrians or vehicles.

When open cut installation is allowed across a roadway and traffic is to be maintained, construct the installation in sections so that half the width of the roadway will be available to traffic. Provide all traffic control measures necessary to provide for safe traffic passage.

1500-7 SUBMITTALS AND RECORDS

Deliver only approved materials to the project. Provide sufficient information as required under Sections 105 and 106 to demonstrate the materials meet the specifications and intended use. Provide 2 copies to the utility owner and 6 copies to the Engineer or provide electronic submittals if accepted by the Engineer. Identify each item's intended use. As a minimum, the submitted information shall show the material description, brand name, stock number, size, rating and manufacturing specification.

Provide working drawings of thrust restraint designs and connection details along with schedules for performing the work.

Provide as-built plans of the installed utility. The plans shall include notations of the size and type material installed, coordinates of utility controls and horizontal and vertical locations of the piping. Provide 2 copies to the utility owner and 2 copies to the Engineer.

1500-8 LOCATING AND MARKING

Tape a continuous locator wire along the top of all piping. Mechanically fasten locator wire to valve boxes, meter boxes, fire hydrants, manhole covers and other above grade appurtenances. Install marking tape 18 inches to 24 inches below finished grade above all pipelines.

1500-9 PLACING PIPELINES INTO SERVICE

Make final connections of the new work to the existing mains where indicated in the plans, as required to fit the actual conditions or as directed. Provide sufficient work crews, equipment and materials on site to assure quick and efficient connections.

Schedule and notify owners and customers in advance of any interruptions of water service with ample time to make arrangements. Limit interruption of service to water customers to no more than 8 hours. Provide temporary connections as needed to maintain service. Obtain approval from the NCDEQ-Water Resources Section prior to placing a new water line into service. Use backflow prevention assemblies for temporary connections to isolate new water lines from existing water line.

1500-10 MEASUREMENT AND PAYMENT

The general utility construction work will be incidental and will be paid at the contract unit prices of the various utility items included in the contract.

SECTION 1505
EXCAVATION, TRENCHING, PIPE LAYING AND BACKFILLING FOR UTILITIES

1505-1 DESCRIPTION

Perform all excavation, undercut, foundation conditioning, pipe laying, bedding, backfill and pavement, sidewalk and driveway repair necessary for installation of utilities.

1505-2 MATERIALS

Refer to Division 10.

Item	Section
Portland Cement Concrete, Class B	1000
Select Material	1016

Use Class III, IV, V or VI select material for foundation conditioning and bedding.

1505-3 CONSTRUCTION METHODS

Excavate, trench, lay pipe, bed and backfill utilities in conformance with the applicable requirements of Division 1, Division 2 and Articles 300-1, 300-4 and 300-6. Comply with AWWA and ASTM standards along with the product manufacturer requirements for installing utilities.

(A) Shoring

Excavate trenches and pits for the installation of utilities that are safe for the workers and roadway users and that protect the roadway and other property from damage. Provide appropriate groundwater and surface water controls to stabilize the excavation and foundation and to provide a clean working area.

(1) Worker Safety

Provide any necessary shielding or shoring to protect workers.

(2) Roadway Users

Provide shielding or shoring as required under Section 150 or as required elsewhere in the contract.

(3) Roadbed and Foundation Protection

Provide shoring of excavations less than one horizontal to one vertical from existing or proposed pavement to prevent failure or weakening of the roadbed. Provide plans and designs demonstrating the methods and techniques proposed and their adequacy. Provide engineered shoring systems as required for the actual conditions.

(4) Building and Structure Protection

Provide shoring of excavations less than one horizontal to one vertical from existing structures and buildings, on or off the right of way, to prevent foundation damage. Provide plans and designs demonstrating the methods and techniques proposed and their adequacy. Provide engineered shoring systems as required for the actual conditions.

(B) Foundation Conditioning

Undercut and replace weak or saturated soils below the pipe trench with select material to provide a firm foundation.

(C) Bedding

Provide excavations with sufficient width for placing and compacting bedding around the utility. Bed utilities in select material. Place bedding material to stable ground on both sides and to at least 2 inches below and above the pipe bells. Provide at least 6 inches of bedding material between rock and piping. Shape the bottom of trenches to fit the pipe. Compact bedding material completely in the pipe haunches. Provide recesses in the bedding to accommodate pipe joints.

(D) Pipe Laying

Lay pipe in accordance with the specifications and the manufacturer's recommendations. Except where necessary in making connections with other lines or as authorized by the Engineer, lay pressurized pipe with the bells facing in the direction of laying.

Where possible, keep joints exposed for visual inspection during testing.

During the progress of the work and until the completion and final acceptance, keep the pipelines and their appurtenances clean throughout and remove any obstructions or deposits. Provide secure watertight seals on pipe when work is not in progress.

Lay gravity sewer pipe upgrade with the spigot ends pointing in the direction of flow. Lay each pipe to form a close concentric joint with the adjoining pipe and to prevent sudden offsets of the flow line.

(E) Thrust Restraint

Provide thrust restraint for pressurized pipelines and appurtenances. When shown in the plans, construct as specified with modifications to match the actual field conditions. When not shown, engineer the thrust restraint system with a factor of safety of 1.25 for the test pressure specified and for the actual field conditions.

Provide thrust restraint on the existing piping system as necessary.

Use joint restraint methods, such as integral restraining bells and spigots, restraining retainer glands, restraining gaskets or restraining clamps and lugs with tie rods. Use concrete reaction backing and thrust collars where joint restraint is impractical.

Where any section of a main is provided with concrete thrust restraint for fittings, controls or hydrants, perform the hydrostatic pressure test after the concrete reaches appropriate strength.

(F) Backfilling

Backfill in accordance with Article 300-7 and compact to the density required by Subarticle 235-3(C).

1505-4 REPAIR OF PAVEMENTS, SIDEWALKS AND DRIVEWAYS

Repair sidewalks and driveways that are disturbed by excavation and trenching to an original or better condition in accordance with Section 848.

Use asphalt plant mix to repair or replace pavement damaged by utility work. Perform all work in accordance with Section 654. Immediately upon completion of the utility removal or installation, make repairs to the pavement.

1505-5 CONCRETE ENCASEMENT OF UTILITY LINES

Encase existing or proposed utility lines in concrete for protection in areas as shown on the utility plans or as directed. Place the concrete completely around the line with a minimum thickness of 6 inches.

1505-6 MEASUREMENT AND PAYMENT

Foundation Conditioning material will be measured and paid as provided in Article 300-9.

Asphalt Plant Mix for pavement repair will be measured and paid as provided in Article 654-4.

Class B Concrete for Encasing Utility Lines will be measured and paid in cubic yards of concrete, measured in place.

__" *Concrete Sidewalk* and __" *Concrete Driveways* will be measured and paid in accordance with Article 848-4.

Trenching, excavation, pipe laying, bedding, backfilling and disposal of unsuitable materials for utility construction are included in the contract price for the applicable utility item and no separate measurement or payment will be made.

The following work and items are included in the contract price for the applicable utility item and no separate measurement or payment will be made for items (A) through (F) below:

(A) Undercut or Wet Excavation,

(B) Dewatering of Excavation,

(C) Shoring and Sheeting (except temporary shoring for maintenance of traffic covered elsewhere in the contract and protection of structures and buildings),

(D) Thrust Restraint,

(E) Bedding Material, or

(F) Select Material for Backfill.

Payment will be made under:

Pay Item	Pay Unit
Class B Concrete for Encasing Utility Lines	Cubic Yard

SECTION 1510
WATER LINES

1510-1 DESCRIPTION

Provide water lines suitable for use in transporting potable water.

1510-2 MATERIALS

Refer to Division 10.

Item	Section
Water Pipe and Fittings	1036

The Contractor may use any of the water pipe specified under Section 1036 except where a particular type pipe is specified in the plans or required by environmental regulations or Departmental policy. The Contractor shall verify that the pipe is appropriate for the test pressure of the system and the external loading.

Use ductile iron fittings on water lines 4 inches or larger.

Use #12 AWG solid-copper wire with blue insulation for the utility locator wires.

Use 2 inch plastic marking tape colored blue with “Caution Water Line” or similar wording, permanently printed at 36 inch centers.

Protect steel rods and other metal clamps and lugs by galvanizing or painting with approved bituminous paint.

1510-3 CONSTRUCTION METHODS

(A) General

Meet the installation standards of AWWA or ASTM for water line construction.

Apply Section 1505 for excavation, trenching, pipe laying and backfill to water line installation.

Install small diameter pipe (4 inches or less) under existing pavement by a trenchless method at no additional cost to the Department.

Connect the ends of the water service piping using AWWA C800 type couplings or fittings. Make NPT screw joints with a double wrap of a polytetrafluoroethylene (PTFE) tape and torque as required by the manufacturer.

Store plastic pipe out of direct sunlight until burying. All plastic pipe showing discoloration or deterioration will be rejected for use and replaced with suitable pipe as specified under Article 106-9.

Install water lines with 36 inches to 42 inches of cover to finished grade unless otherwise directed or approved. Install water lines with greater cover for short distances to accommodate utility controls, to make tie-ins to existing facilities, to eliminate high points in the pipeline or to provide clearance between existing and proposed utilities, drainage, other obstacles or actual field conditions.

(B) Testing and Sterilization

Perform pressure and leakage tests and sterilization on newly installed water mains and altered water mains prior to placing such pipelines into service. Provide all equipment, piping, controls, pumps, water and safety devices necessary for performing the tests and sterilization.

Obtain clean water for cleaning, testing and sterilization from approved sources. Provide connections to potable water sources with approved backflow preventors until acceptance of all test results.

Perform tests using clean water and provide certified results demonstrating leakage less than the following amount when pressurized at 200 ± 5 psi for 2 hours.

$$\mathbf{W} = LD\sqrt{P} \div 148{,}000$$

Where:

W	=	allowable leakage in gallons per hour
L	=	length of pipeline tested, in feet
D	=	nominal diameter of the pipe, in inches
P	=	average test pressure during the leakage test, in lb/sq.in.

Repair using approved methods or replace pipe, controls or appurtenances as necessary to reduce leakage below acceptable levels. Additionally, repair any leaks that are visible after 2 hours duration.

Clean water lines by flushing with water at least 2.5 feet per second velocity. Remove all debris and dirt from water mains larger than 4 inches by passing a medium density foam pig with abrasive strips through the lines.

Sterilize water lines in accordance with Section 1003 of the Rules Governing Public Water supply and AWWA C651 Section 4.4.3, the Continuous Feed Method. Provide a

chlorine solution with between 50 parts per million and 100 parts per million in the initial feed. If the chlorine level drops below 10 parts per million during a 24 hour period, then flush, refill with fresh chlorine solution, and repeat for 24 hours. Provide certified bacteriological and contaminant test results from a state-approved or state-certified laboratory. Operate all valves and controls to assure thorough sterilization. Testing, cleaning and sterilization shall be performed consecutively.

Dispose of waste water in accordance with all environmental regulations.

For short sections (less than 100 feet) and tie-in sections of water lines perform visual tests for leakage after installation instead of separate pressure and leakage tests. Sterilize according to AWWA C651 Sections 4.6 and 4.7.

Provide copies of the test results to the Engineer and to the water line owner.

Flush with clean water until the residual chlorine is reduced to the same level as in the existing water mains.

Place new water lines into service after approval of all testing and flushing and authorization by the Engineer.

1510-4 MEASUREMENT AND PAYMENT

Water lines of the various sizes will be measured from end to end in place with no deduction for length through valves or other fixtures and paid by the horizontal linear foot.

The quantity of *Ductile Iron Water Pipe Fittings* will be measured and paid per pound based on the published weights for ductile iron fittings, exclusive of the weights of any accessories, as listed in the "DI Fittings Weight Chart" located on the Utilities Unit web site. If the Contractor elects to use compact ductile iron water pipe fittings, measurement will be based on the weight of standard size ductile iron water pipe fittings. Any fitting not listed will be measured based on the published weights for ductile iron fittings listed in ANSI/AWWA C-110/A21.10. This is limited to pressure pipe 4 inches or larger.

If the contract does not include such pay items, measurement will not be made and the work will be incidental to other contract pay items.

Payment will be made under:

Pay Item	**Pay Unit**
__" Water Line	Linear Foot
Ductile Iron Water Pipe Fittings	Pound

SECTION 1515
UTILITY CONTROLS

1515-1 DESCRIPTION

Provide appropriate control devices, valves, meters, backflow prevention assembly and hydrants on water lines and force main sewers.

1515-2 MATERIALS

Refer to Division 10.

Item	**Section**
Sanitary Sewer	1034
Water	1036

Deliver only approved materials to the project.

Air release valves shall meet AWWA C512. In addition, air release valves for sanitary sewer force mains shall have long bodies, shall be equipped with back flushing connections and shall have a hood over the outlet.

Double check valves (DCV) and Reduced Pressure Zone principal (RPZ) backflow prevention assemblies shall be listed on the University of Southern California Foundation for Cross-Connection Control and Hydraulic Research list of approved backflow devices. Line stops consist of a sleeve, temporary valve and closure cap. The sleeve and cap shall meet applicable AWWA standards, shall be made of cast iron or stainless steel, shall be pressure rated at 200 psi and shall be sized for the type pipe to be tapped. The temporary valve shall be suitable for contact with potable water with NSF certification and designed to match the actual field conditions.

Line stop bypass pipe shall be pressure rated at 200 psi, shall be NSF certified and shall be adequately restrained.

Use screw or slip type valve boxes with a base to fit the valve yoke and a removable plug cap with the word “Water” or “Sewer” cast therein.

Precast manholes in accordance with Section 1525.

1515-3 CONSTRUCTION METHODS

Apply Section 1505 for excavation, trenching, pipe laying and backfill.

Place two 4 inch x 8 inch x 16 inch concrete blocks beneath valves and fire hydrants for support.

When necessary, due to project staging, install valves, meters and fire hydrants as appropriate for the current grade and make adjustments to finished grade as work progresses.

Provide enclosures with positive drainage for utility controls.

(A) Valves

Install all valves with an approved valve box set flush with the ground or pavement. Place a 24 inch diameter precast concrete ring flush with the ground around all valve boxes not in pavement.

Test and sterilize tapping valves before making the tap. Do not allow cuttings to enter the tapped main.

(B) Meters

Install water meters adjacent to the right of way or as shown in the plans.

Place meter boxes with the top of the meter box flush with finished grade of the project.

(C) Backflow Prevention Assembly

Install backflow prevention assembly off the highway right of way or as shown in the plans.

Licensed installers shall test and certify RPZ backflow preventer installations. Enclose RPZ backflow prevention assembly above grade in a hot box.

Enclose DCV backflow prevention assembly below grade in a precast concrete vault with positive drainage or above grade in a hot box.

Install the hot box on a 4 inch thick concrete slab that is 6 inches larger than the box and 2 inches to 4 inches above finished grade.

(D) Fire Hydrants

Install fire hydrants outside of the vehicle recovery area of the roadway, adjacent to the right-of-way line or in protected areas.

Connect fire hydrants to the main with a 6 inch valve and branch line having at least as much cover as the distribution main. Set hydrants plumb with the pumper nozzle facing the roadway and with the breakaway safety flange between 1 inch and 4 inches above the

finished surrounding grade. Except where otherwise approved, place hydrants into service as soon as practicable. Place at least 7 cf of clean crushed stone around the base of the hydrant to insure drainage of the hydrant barrel.

Where necessary, remove the hydrant shoe and replace with the appropriate type to connect a relocated hydrant to the new pipe. Furnish and install or remove hydrant extension pieces to provide the proper bury of the pipe and hydrant.

(E) Line Stops

Provide line stop valves to temporarily shut down the flow in pressurized pipes. Provide line stops to temporarily dead end a pipeline when there are no available working valves on the existing piping. Provide line stops with bypass to isolate a section of the existing pipeline while maintaining the flow.

After line stop valves are removed, permanently cap the tapping sleeve and backfill the entire excavation with compacted select material.

(F) Air Release Valves

Install air release valves at the high point of pressurized pipelines. Place a precast manhole around air release valves.

(G) Miscellaneous Controls

Install corporation stops with tapping saddles for connecting 2 inches or smaller water lines to larger water lines. Install corporation stops at 45 ± 10 degrees from vertical on the larger line.

To aid in testing and flushing, install corporation stops at all elevated points along the pipeline to bleed off all entrapped air.

1515-4 MEASUREMENT AND PAYMENT

Valves, Water Meters, Fire Hydrants, Line Stops and other items listed in the pay items will be measured and paid per each for the appropriate size and type. *Fire Hydrant Leg* will be paid per linear foot.

The term *Relocate* in a pay item means to physically move the existing item, either vertically or horizontally, using the appropriate materials to place the item into working order. Measurement and payment will be made per each for the appropriate size and type. When relocating a fire hydrant, valves will only be paid for if there is no properly functioning existing valve.

No additional compensation will be made for adjustments due to project staging on new or relocated items.

Reconnect Water Meter means to transfer or replace the piping from a new water line to an existing water meter that is not relocated. Measurement and payment for meters will be made per each.

__”*Water Service Line* will be paid per linear foot for pipes 2 inches or greater.

Water Service Line will be paid per linear foot for pipes less than 2 inches

Valve boxes, meter boxes, hot boxes, vaults and manholes for protecting and servicing utility controls are incidental to the appropriate pay item.

A line stop with bypass consists of installing line stops on opposite ends of the piping to be isolated, tapping the piping beyond the line stops and providing temporary bypass piping between the taps. The entire assembly of valves and piping will be measured as one unit and paid per each.

Corporation stops or other items to aid in testing and flushing of the piping are incidental items.

If the contract does not include such pay items, measurement will not be done and the items will be incidental to other contract pay items. All piping, controls, certifications, appurtenances and other miscellaneous items necessary to place the new or relocated item in proper working condition are incidental.

Payment will be made under:

Pay Item	Pay Unit
__" Valve	Each
__" Tapping Sleeve and Valve	Each
__" Air release Valve	Each
__" Blow Off	Each
__" Water Meter	Each
Relocate Water Meter	Each
Reconnect Water Meter	Each
__" DCV Backflow Prevention Assembly	Each
Relocate __" DCV Backflow Prevention Assembly	Each
__" RPZ Backflow Prevention Assembly	Each
Relocate __" RPZ Backflow Prevention Assembly	Each
Fire Hydrant	Each
Relocate Fire Hydrant	Each
__" Line Stop	Each
__" Line Stop with Bypass	Each
Fire Hydrant Leg	Linear Foot
__” Water Service Line	Linear Foot
Water Service Line	Linear Foot

SECTION 1520
SANITARY SEWER

1520-1 DESCRIPTION

Provide sanitary sewers suitable for transporting sewage.

1520-2 MATERIALS

Refer to Division 10.

Item	Section
Sanitary Sewer Pipe and Fittings	1034

Use any pipe specified under Section 1034 except where a particular type pipe is specified in the plans or required by environmental regulations or Departmental policy. Verify the pipe is appropriate for the test pressure of the system and the external loading.

Use ductile iron fittings on pressurized (force main) pipelines 4 inches or larger.

Use screw type plastic or brass clean-out covers.

Use #12 AWG solid-copper wire with green insulation for the utility locator wires.

Use 2 inch plastic marking tape colored green with “Caution Sewer Line,” or similar wording, permanently printed at 36 inch centers.

1520-3 CONSTRUCTION METHODS

Apply Section 1505 for excavation, trenching, pipe laying and backfill to sanitary sewer installation.

Assemble pipe in accordance with the recommendations of the manufacturer.

Install PVC pipe in accordance with approved bedding methods.

Install vitrified clay sewer pipe in accordance with ASTM C12.

Install 4 inch minimum diameter sanitary sewer clean-outs flush with finished grade on 4 inch and 6 inch service lines. Provide clean-outs at the right-of-way line and at changes in direction. Do not locate clean-outs within the roadway pavement or shoulders. Provide clean-outs no more than 50 feet apart when beyond the roadway shoulders.

Use ductile iron pipe for sewers with 10% or greater slope.

Install sewer lines entering manholes with the crown at or higher than the sewer line leaving the manhole.

Install small diameter pipe (4 inches or less) under existing pavement by a trenchless method at no additional compensation.

(A) Gravity Sanitary Sewer

Construct gravity sanitary sewers in conformance with *NCDEQ Gravity Sewer Minimum Design Criteria*.

(1) Pipe Installation

Use fittings or saddles to connect service lines to the sewer main.

Maintain sewer flow at all times. Use temporary diversions or pumping to maintain flow when connecting proposed sewers to existing sewers. Use engineered temporary pumping systems capable of handling full pipe flow. Use pumping systems with automatic reliable operation or constantly tended manual operation.

(2) Testing

Perform tests on newly installed sewers and altered sewers before placing into service. Provide all equipment, piping, controls, pumps, water and safety devices necessary for performing the tests.

Test all 24 inches and smaller gravity sewer lines for leakage using infiltration, exfiltration, or air test. Perform visual inspection on gravity sewer lines larger than 24 inches. Perform line and grade testing and deflection testing on all gravity sewer lines.

(a) Infiltration

For sewer lines greater than 3 feet below groundwater, measure the amount of water infiltrating into the pipeline between manholes in at least 24 hours. Repair leaks or replace piping when the rate of infiltration exceeds the following equation:

$$\mathbf{W} = 0.000789LD$$

Where:

W = maximum allowable leakage in gallons per hour
L = length of pipeline tested, in feet
D = nominal diameter of the pipe, in inches

(b) Exfiltration

For sewer lines above groundwater, perform an exfiltration test on the pipeline between manholes. Repair leaks or replace piping when the rate of exfiltration exceeds maximum allowable leakage calculated in Subarticle 1520-3(A)(2)(a).

The exfiltration test shall consist of securely plugging the pipe at the lower manhole and filling the pipeline with water. Allow the water to sit for 24 hours in clay or concrete pipes. Raise the water level in the upstream manhole

to 3 feet above the top of pipe. After 4 hours, measure the amount of water required to bring the water level back to the level at the start of the test and record the time.

Perform exfiltration tests through a series of manhole to manhole segments to limit the length of pipe tested to between 300 feet and 1,500 feet. Shorter sections may be tested with longer test times. No additional leakage allowance for manholes permitted.

(c) Air Test

Instead of hydrostatic testing, sewer lines 24 inches in diameter or smaller may be air tested in accordance with ASTM C828, ASTM C924 and the following. Securely plug the sewer pipe at the manholes. Fill the pipe with air to 4.0 psi and hold this pressure for 5 minutes. Reduce the pressure to 3.5 psi. Measure the time for the pressure to drop 1.0 psi to the new pressure of 2.5 psi. Exceed the minimum test time in Table 1520-1 for the appropriate nominal pipe diameter.

TABLE 1520-1
AIR TEST TIME

Pipe Size (Inches)	Test Time (Minutes/100 ft)	Pipe Size (Inches)	Test Time (Minutes/100 ft)
8	1.2	18	2.4
10	1.5	21	3.0
12	1.8	24	3.6

(d) Visual Inspection

Visually inspect sewer lines larger than 24 inches from the inside using approved cameras. Correct any leakage, rolled gaskets or defects.

(e) Line and Grade

Test all sewers for straight alignment by lamping or using a laser.

(f) Deflection Testing

Perform deflection tests on all flexible pipes. Conduct the test after the final backfill has been in place at least 30 days to permit stabilization of the soil-pipe system. As an alternative to waiting 30 days to permit stabilization of the soil-pipe system, provide certified soil testing verifying the backfill of the trench has been compacted to at least 95% maximum density.

No pipe shall exceed a deflection of 5%. If deflection exceeds 5%, relay the pipe.

The rigid ball or nine-point mandrel used for the deflection test shall have a diameter not less than 95% of the base inside diameter or average inside diameter of the pipe depending on which is specified in the ASTM, to which the pipe is manufactured. The pipe shall be measured in compliance with ASTM D2122. The test shall be performed without mechanical pulling devices.

(B) Force Main Sanitary Sewer

Construct force main sewers in conformance with *NCDEQ Minimum Design Criteria for the Fast-Track Permitting of Pump Stations and Force Mains.*

(1) Installation

Install lines with 36 inches to 42 inches of cover to finished grade unless otherwise directed or approved. Install lines with greater cover for short distances to accommodate utility controls, to make tie-ins to existing facilities, to eliminate high

points in the pipeline or to provide clearance from existing or proposed utilities, drainage, other obstacles or actual field conditions.

Provide automatic air release valves at all high points.

(2) Testing

Perform pressure and leakage tests on newly installed force mains and altered sewers before placing such pipelines into service. Provide all equipment, piping, controls, pumps, water and safety devices necessary for performing the tests and sterilization.

Test all new sewer force mains with clean water at 200 ± 5 psi for a 2 hour duration. Vent all high points and expel all air. Provide certified results demonstrating leakage less than:

$$\mathbf{W} = 0.000106LD$$

Where:

W = allowable leakage in gallons per hour
L = length of pipeline tested, in feet
D = nominal diameter of the pipe, in inches

Repair leaks using approved methods or replace pipe, controls or appurtenances as necessary to reduce leakage. Additionally, repair any leaks that are visible after 2 hours duration.

1520-4 MEASUREMENT AND PAYMENT

__" *Sanitary Gravity Sewer* and __" *Force Main Sewer* will be measured from end to end in place with no deduction for length through manholes, valves or fittings and paid per linear foot for the appropriate size. Where two different sizes enter or go from a manhole, each size will be measured to the center of the manhole. Unless otherwise shown in the plans, branch connections, ells or other fixtures will be included in the length measurement. All fittings will be incidental on *Sanitary Gravity Sewer*.

Sanitary Sewer Clean-Out will be measured and paid per each.

Sewer Service Line will be paid per linear foot.

The quantity of *Ductile Iron Sewer Pipe Fittings* will be measured and paid per pound based on the published weights for ductile iron fittings, exclusive of the weights of any accessories, as listed in the "DI Fittings Weight Chart" located on the Utilities Unit web site. If the Contractor elects to use compact ductile iron sewer pipe fittings, measurement will be based on the weight of standard size ductile iron sewer pipe fittings. Any fitting not listed will be measured based on the published weights for ductile iron fittings listed in ANSI/AWWA C-110/A21.10. This is limited to pressure pipe 4 inches or larger.

Payment will be made under:

Pay Item	**Pay Unit**
__" Sanitary Gravity Sewer	Linear Foot
__" Force Main Sewer	Linear Foot
Sanitary Sewer Clean-Out	Each
Sewer Service Line	Linear Foot
Ductile Iron Sewer Pipe Fittings	Pound

SECTION 1525
UTILITY MANHOLES

1525-1 DESCRIPTION

Provide utility manholes on water and sanitary sewer lines.

1525-2 MATERIALS.

Refer to Division 10.

Item	Section
Brick	1040-1
Concrete Block	1040-2
Curing Agents	1026
Gray Iron Castings	1074-7(B)
Grout, Type 2	1003
Mortar	1040-9
Portland Cement Concrete	1000
Precast Concrete Units	1077
Reinforcing Steel	1070
Select Materials	1016
Steps	1074-8
Structural Steel	1072

Use precast concrete manholes with monolithic bottoms which conform to ASTM C478, AASHTO M 199 and are as shown in the plans or in *Roadway Standard Drawings*. Use ASTM C443 gaskets or AASHTO M 198 flexible sealants for joints between precast manhole sections. Use resilient connectors for piping conforming to ASTM C923. Use ASTM A48, Class 35 cast iron or Grade 60 steel reinforcement steps with polypropylene plastic coating.

Use manhole frames and covers made of cast iron conforming to ASTM A48 Class 35, which are traffic bearing, have machined contact surfaces and are sized as shown. Use covers with two 1 inch diameter air vents for vented manholes and use solid, non-vented covers with gaskets for watertight installation. Use covers with “Sanitary Sewer” or “Water” cast in large letters as appropriate for the type of utility.

Use Type 2 grout with properties that meet Table 1003-2 in the *Grout Production and Delivery* provision except provide grout with a plastic consistency in accordance with ASTM C1107.

1525-3 CONSTRUCTION METHODS

Apply Section 1505 for excavation, trenching, pipe laying and backfill.

Make connections of pipe to manholes in cored or precast holes using a resilient connector. Use horseshoe type holes only when approved. For horseshoe type holes wrap the pipe with a butyl rubber gasket and fill the space between the pipe and manhole with a non-shrinking grout.

Provide an outside drop assembly on manholes for sewer pipes entering with 2.5 feet or more vertical drop. Inside drop assemblies may be used for connections to existing manholes when the drop exceeds 5 feet and the manhole diameter is greater than 4 feet.

In sewer manholes over 3 feet in depth, provide steps spaced 16 inches on center. Install steps in line with the effluent opening unless otherwise specified.

Construct invert channels to confine and direct the flow through sanitary sewer manholes. Use smooth finished invert channels that provide easy transition from inlet to outlet. Finish the benches or shelves to a non-slip texture and slope toward the invert channel. Precast invert channels are recommended but not required.

On deep manholes, a transition type manhole may be used provided there is at least 6 feet from the manhole bench to the transition cone.

Construct manholes with the top of the cover as shown in Table 1525-1.

TABLE 1525-1
MANHOLE CONSTRUCTION

Location	Top height above finished grade
Roadway pavement, Driveways, Sidewalks, Parking lots	Flush ± 1/4"
Vehicle Recovery Area	Flush ± 3"
Manicured Areas, such as lawns	Flush to + 2" with concrete pad
Flood Zones less than 3 ft above finished grade	1 ft above 100 year flood elevation
Flood Zones greater than 3 ft above finished grade	2 ft above finished grade with watertight frame and cover and vent pipe to 1 ft above 100 year flood
Other areas	2 ft above finished grade

For manholes installed before finished grading or paving, construct the top flush with the current grade to provide access during all phases of construction and adjust as grading and paving work progresses in accordance with Section 858.

(A) Cast-In-Place Concrete, Brick and Block Masonry

Construct concrete manholes in accordance with Section 825 with an ordinary surface finish. Construct brick masonry in accordance with Section 830. Furnish and place reinforcing steel in accordance with Section 425. Construct block masonry in accordance with Section 834 except that reinforcing will not be required.

Where necessary to fit field conditions, vary the dimensions of the manhole and footings as directed.

(B) Installation of Precast Units

Assemble precast manhole units in accordance with the manufacturer's instructions and grout together to form a sound structural unit. Fill all lifting holes with grout. Where it is necessary to use cast-in-place, brick masonry or block masonry construction as part of the structure, apply Subarticle 1525-3(A) to such construction.

(C) Fittings and Connections

Where fittings enter the manhole, place them as the work is built up, thoroughly bonded and accurately spaced and aligned.

Make pipe connections so that the pipe does not project beyond the inside wall of the manhole and grout smooth and uniform surfaces on the inside of the manhole.

Set metal frames for covers in full mortar beds and mechanically secure by an approved method.

(D) Testing

Vacuum test all manholes before grouting and backfilling. Test according to ASTM C1244.

1525-4 MEASUREMENT AND PAYMENT

The height of the manhole will be measured and paid to the nearest tenth of a foot from the inside bottom (invert) of the manhole to the final finished top of the manhole ring.

Utility manholes will be measured and paid by appropriate diameter per each for manholes of 0 to 6 feet height and per linear foot of height over 6 feet. Adjustment of existing manholes

will be measured and paid in accordance with Article 858-4. Drop assemblies will be incidental to the work being performed.

Payment will be made under:

Pay Item	Pay Unit
__' Dia Utility Manhole	Each
Utility Manhole Wall __' Dia	Linear Foot

SECTION 1530
ABANDON OR REMOVE UTILITIES

1530-1 DESCRIPTION

Abandon or remove utility facilities.

1530-2 MATERIALS

Refer to Division 10.

Item	Section
Flowable Fill	1000-6
Portland Cement Concrete	1000
Select Materials	1016

1530-3 CONSTRUCTION METHODS

Apply Section 1505 for excavation, trenching, pipe laying and backfill.

(A) Abandoning Pipe

Abandon utility pipes shown in the plans or designated by the Engineer by emptying the pipeline contents and plugging the ends with grout or flowable fill. Prepare grout to a consistency that will flow and be vibrated in order for the mix to flow uniformly into the pipe to be filled. Use the construction methods in Article 340-3.

Fill or remove the following abandoned utility pipes:

(1) Pipe larger than 24 inches.

(2) Pipe located within the roadway typical section or the project slope stake line and one of the following:

(a) Pipe 12 inches to 24 inches diameter located less than 20 feet below finished grade.

(b) Pipe 6 inches to 12 inches diameter located less than 12 feet below finished grade and not made of cast iron, ductile iron, HDPE or PVC.

(c) Located below groundwater table that could become a conduit for water movement.

Excavate, remove and dispose of properly any abandoned pipe to be removed. Backfill the resulting trench and properly compact using local excavated material or select backfill as required.

Fill abandoned pipe with grout or flowable fill to at least 90% full or completely when on railroad right of way.

Remove any abandoned utility pipe exposed by grading operations to a minimum depth of 12 inches below subgrade elevation of the proposed roadbed or completed grading template.

Plug all abandoned utility pipes. Use grout to plug all abandoned utility pipes at the entrance to all manholes whether the manhole is to be abandoned or not. Use grout to

plug all abandoned water mains after new mains are placed in service. Abandon valves by removing valve box and backfilling with approved material.

(B) Abandoning Manholes

Abandon utility manholes in the construction limits by removing the top of the manhole to the manhole spring line or to an elevation of 2 feet below the roadway subgrade, whichever is greater and filling the manhole barrel with approved material.

Plug connecting utility pipes before filling or removing the manhole.

Remove the manhole taper, wall and base on all manholes to be removed.

Removed frames and covers become the property of the Contractor for proper disposal.

(C) Remove Water Meter

Remove water meters by disconnecting and plugging the water service piping at the source main and plugging the piping at the right-of-way line. Return the meter to the utility owner. Dispose of all other parts, piping and boxes.

(D) Remove Fire Hydrant

Remove fire hydrants by disconnecting and plugging the hydrant leg piping as close to the water main as possible. If the hydrant valve is within 4 feet of the main, close the valve, plug the outlet side of the valve and remove the valve box.

Removed hydrants become the property of the Contractor for proper disposal.

1530-4 MEASUREMENT AND PAYMENT

Utility pipe that is abandoned by filling or removal will be measured and paid by the linear foot for the size of pipe. Utility pipe that is abandoned by plugging the ends only and leaving in place will not be measured or paid. Abandoned valves will not be measured and paid. Grout used for plugging of abandoned utility pipe is incidental to the work being performed. Utility pipe that is removed by other work of the contract will be incidental to the other work.

Abandon Utility Manhole will be measured and paid per each.

Remove Utility Manhole will be measured and paid per each.

Remove Water Meter and *Remove Fire Hydrant* will be measured and paid per each.

Payment will be made under:

Pay Item	**Pay Unit**
Abandon __" Utility Pipe	Linear Foot
Abandon Utility Manhole	Each
Remove Utility Manhole	Each
Remove Water Meter	Each
Remove Fire Hydrant	Each

SECTION 1540
ENCASEMENT

1540-1 DESCRIPTION

Furnish and install encasement or casing pipes. For the purposes of this specification the words encasement, casing, encasement pipe and casing pipe are interchangeable.

1540-2 MATERIAL

Refer to Division 10.

Item	Section
Concrete Pipe	1034-3
Flowable Fill	1000-6
Grout	1003
PVC Pipe	1034-2
Select Materials	1016
Steel Encasement Pipe	1036-4(B)
Treated Timber	1082-3
Clay Pipe	1034-1

Other pipe as designed by an engineer licensed by the State of North Carolina.

Submit material certifications and obtain approval from the Engineer before installation.

1540-3 CONSTRUCTION METHODS

(A) Open Cut

Apply Section 1505 for excavation, trenching, pipe laying and backfill.

(B) Welding

Weld in accordance with Article 1032-5.

(C) Encasements for Future Use

Mark encasements for future use with a treated wooden marker post. Place wooden marker post at the right of way or at the ends of encasements if encasements extend beyond the right of way. Encasements 24 inches and larger require certification of durability and a design life of 100 years.

(D) Carrier Pipe Installation

Install carrier pipe through casing using spacers or insulators to support the carrier pipe. Place spacers at intervals sufficient to support the carrier pipe without sagging. Install spacers sized to raise the carrier pipe bells above the encasement pipe invert.

Seal ends of casing with concrete, brick or other approved materials. Ensure drainage of encasement by leaving a 1 inch diameter weep hole in the seal of the lower end of the encasement.

(E) Casing Pipe Fill

Pump or place flowable fill; grout; or Class III, Class IV or Class V select materials into the annular void between the carrier pipe and casing pipes 24 inches or larger. Otherwise, certification of durability and a design life of 100 years is required.

1540-4 MEASUREMENT AND PAYMENT

__" *Encasement Pipe* will be measured from end to end and paid at the contract unit price per linear foot for each size.

Payment will be made under:

Pay Item	Pay Unit
__" Encasement Pipe	Linear Foot

SECTION 1550
TRENCHLESS INSTALLATION OF UTILITIES

1550-1 DESCRIPTION

Install pipe using a trenchless method. Pipe refers to the specified pipe, which may be the primary carrier pipe or an encasement pipe. Shoring means the earth support system used for installing the pipe. The terms for encasement, casing, encasement pipe and casing pipe are interchangeable.

An engineer licensed by the State of North Carolina shall design the method and certify the work will not damage the roadway above or endanger the roadway user.

1550-2 MATERIAL

Refer to Division 10.

Item	Section
Concrete	1000
Encasement Pipe	1540
Flowable Fill	1000-6
Structural Timber	1082
Structural Steel	1072
Treated Timber	1082-3

Use pipe joints that are modified to suit the installation method. Provide engineering calculations for piping and shoring. Submit material certifications and obtain approval from the Department's Engineer before installation.

Use steel or concrete liner plates. Steel tunnel liner plates shall meet Sections 16 and 25 in *AASHTO LRFD Bridge Design Specifications*. Concrete liner plates shall meet AASHTO specifications.

Drilling fluids consist of water, bentonite and polymer additives.

Other materials will be considered with adequate design and quality control.

1550-3 CONSTRUCTION METHODS

(A) General

Apply Section 1505 for excavation, trenching, pipe laying and backfill.

Install the pipe to the lines and grades shown in the plans. Use workers that are skilled in the method of construction. Construct with good workmanship by skilled workers along with proper safety precautions.

Locate ends of trenchless construction and pits beyond the vehicle recovery area of the roadway. The vehicle recovery area may be reduced using acceptable traffic control methods.

(B) Design

Contract plans will show a trenchless method including but not limited to length, profile and bore pit locations based on available information. The Contractor's design shall confirm this method is appropriate for the field conditions and for the specified pipe. Subsurface information in the vicinity of the trenchless installation may be available in accordance with Section 102-7.

Assess soil conditions expected during trenchless operations.

Design the method to minimize the vertical movement of the pipe or the completed roadway section. Use methods of construction and installation that will not disturb the soils outside of the immediate vicinity of the pipeline or pits.

Before construction, provide detailed plans for the method of installation certified by an engineer licensed by the State of North Carolina. Provide certified calculations demonstrating the method of installation as safe and of minimal risk. Provide certified calculations of the structural adequacy of all materials. The design shall meet *AASHTO LRFD Bridge Design Specifications*. An engineer licensed by the State of North Carolina shall certify changes or modifications to the designed method as needed for actual field conditions.

(C) Water Control

Provide groundwater control and removal as appropriate for the method of excavation and installation. Remove the groundwater using an engineered dewatering system provided in the design submittal. Keep surface waters out of the excavation and pits.

(D) Shoring

Provide temporary or permanent shoring, as needed. Provide temporary shoring to maintain the hole or pit excavation for the duration of the work. Casing pipe 24 inches and larger, tunnel liner, and shoring that is not certified for permanent use is considered temporary. Fill the annular space between the specified pipe and temporary shoring. Provide permanent shoring when desired or specified to maintain the open hole for an indefinite time. Permanent shoring requires certification of durability and a design life of 100+ years.

Fill all voids around the excavation and shoring with structural fill material as work progresses.

Either work continuously (24 hours/day and 7 days/week) on the operations from the time the excavation begins through the filling of voids or use an engineered system for shoring the excavation during work stoppage.

(E) Pre-Construction Meeting

The Contractor shall conduct a pre-construction meeting with the Department's Engineer to review the proposed method for installation of the pipe. Conduct the meeting at least 48 hours before beginning installation. The meeting shall consist of, but is not limited to:

(1) Presentation of the construction methods for understanding by all involved,

(2) Presentation of methods for filling any potential voids around the pipe,

(3) Demonstrating that appropriate equipment and materials are on site,

(4) Providing a progress schedule, and

(5) Demonstrating ability to react to failures or roadway settlement or heave.

1550-4 TRENCHLESS METHODS

(A) Bore and Jack

For bore holes up to 6 inches in diameter in stable ground, the hole may be augured and the pipe pushed or jacked through the cleaned out hole. For bore holes greater than 6 inches, provide continuous support of the hole by simultaneously jacking the pipe or casing into the hole.

Use equipment suitably sized and designed to simultaneously bore or drill the soil or rock while pushing or jacking pipe on a controlled grade. Position the cutter head within one diameter of the leading edge of the pipe. In cohesive, dense and dry soils and rock, position the cutter head in front of the leading edge. In non-cohesive or loose soils, position the cutter head inside the pipe.

Dry bore only, do not use jetting or wet boring methods. Use drilling fluids only on the outside of pipe for lubrication or hole stabilization.

Minimize over bore, match cutter diameter to the outside diameter of the encasement pipe. Limit overbore to the O.D. + 2 inches.

Provide steering controls as necessary to maintain line and grade.

If conditions allow and with the approval of the Engineer, the Contractor may elect to use the pipe ramming method in lieu of bore and jack. Payment for the pipe ramming method will be paid as bore and jack.

(B) Directional Drilling

For drilled holes up to 6 inches in diameter in stable ground, the hole may be drilled and reamed followed by pulling the pipe into the hole within 8 hours. For drilled holes greater than 6 inches, simultaneously pull the pipe or casing into the hole as reaming occurs

When under pavement or within a one horizontal to one vertical distance from pavement, maintain the depth of cover in Table 1550-1.

TABLE 1550-1
DEPTH OF COVER FOR DIRECTIONAL DRILLING

Drilled Hole Diameter	Minimum Depth of Cover
2" to 6"	6 ft
> 6" to 15"	12 times the hole diameter
> 15" to 36"	15 ft

Begin bores at locations that allow transitioning the bore to meet the above depths.

Use drilling fluids as appropriate for the type soils. Pump drilling fluids only while drilling or reaming. Monitor flow rates to match the amount leaving the bore hole. Do not increase pressure or flow to free stuck drillheads, reamers or piping.

Limit drilled or reamed holes to 1.5 x O.D. for pipe 12 inches or less and O.D. + 6 inches for pipes larger than 12 inches.

(C) Tunneling

Tunnel using hand mining, mechanical excavation, tunnel boring machine (TBM), microtunneling, or other accepted tunneling method. Use tunnel shields or fore poling along with benched excavation and breast boarding as appropriate for the field conditions. Alternatively, the Contractor's engineer may certify that the soils are self-supporting of the dead and live loads and design tunneling methods as appropriate.

Provide active support to the tunnel walls. Shore tunnel walls using liner plates, steel ribs with lagging or other engineered method or by jacking piping into place.

Limit over excavation to 2 inches larger than the liner or shield. Grout the external voids as work progresses and as specified by the Contractor's engineer.

(D) Pipe Ramming

Use pipe ramming only where soils are homogeneous and free of rock, boulders, stumps and debris. Do not use in the vicinity of quick or liquefiable soils.

Steel bands 1/2 inch thick are allowed on the outside of the leading edge of the pipe or casing to oversize the hole to reduce friction. Steel bands 1/2 inch thick may be used on the inside to compact the spoil and to prevent plugging.

Install at the following minimum depth of cover.

TABLE 1550-2 DEPTH OF COVER FOR PIPE RAMMING	
Pipe or Casing Diameter	**Minimum Depth of Cover**
2" to 6"	4 ft
> 6" to 14"	6 pipe diameters
>14" to 72"	8 ft

Contain spoil within the casing during ramming. After completion, use compressed air or augers to remove the spoil. Clean the interior using a pig. Provide appropriate safety devises. Limit air pressure to less than the rating of the pipe or casing.

Use lubricants and surfactants as needed and ensure vibration induced consolidation of soils does not result in settlement greater than 0.02 feet.

(E) Other Methods

Other methods will be considered on a case by case basis when thoroughly engineered.

(F) Lubrication and Drilling Fluids

Use drilling fluids for lubrication. Do not use water alone.

1550-5 QUALITY CONTROL

The Contractor, at no cost to the Department, shall replace or repair damaged or defective installations. The method to be used shall be designed by the Contractor's engineer and approved by the Engineer.

(A) Ground Movement

Before excavation, establish control points for measuring vertical movement of the road at 10 feet intervals along the centerline and 10 feet each side of the pipeline. A land surveyor licensed in the State of North Carolina shall monitor these points daily until construction is complete.

Cease trenchless operations when measured movement exceeds 0.02 feet. Determine cause of settlement and repair as necessary. Modify trenchless methods as needed.

(B) Leakage

Limit leakage through tunnel walls to minor seepage. All leaks in pipes, casing or other permanent shoring shall be sealed.

(C) Roundness

Provide permanent shoring maintaining at least 95% of nominal diameter in all directions.

(D) External Voids

Fill all external voids greater than 2 inches high or 2 feet wide. Fill with flowable fill, grout or Class II or III select material.

1550-6 MEASUREMENT AND PAYMENT

Bore and Jack of ___" will be measured and paid in linear feet. Measurement will be made horizontally to the nearest tenth of a linear foot.

Directional Drilling of ___" will be measured and paid in linear feet. Measurement will be made horizontally to the nearest tenth of a linear foot.

Tunneling of ___" will be measured and paid in linear feet. Measurement will be made horizontally to the nearest tenth of a linear foot.

Measurement will be made along utility pipes with required trenchless installation. Payment for trenchless installation will be made as additional compensation for utility piping with

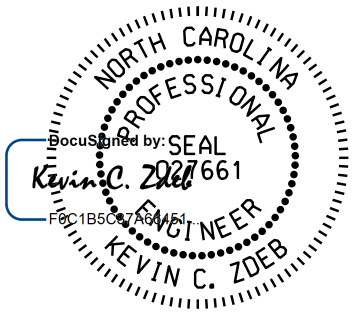
contract pay items of the various sizes. No additional payment will be made for access pits or shoring required for the installation. Shoring required for the maintenance of traffic or the protection of building or other structures, on or off the right of way, shall be paid under *Temporary Shoring*. No payment will be made for abandoning defective installations.

Payment will be made under:

Pay Item	**Pay Unit**
Bore and Jack of ___"	Linear Foot
Directional Drilling of ___"	Linear Foot
Tunneling of ___"	Linear Foot

PROJECT SPECIAL PROVISIONS
Utility Construction

M A ENGINEERING CONSULTANTS, INC.
598 E. Chatham Street, Suite 137, Cary, NC 27511



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Revise the 2018 Standard Specifications as follows:

Page 1-63, Sub-article 1036-7(A) Gate Valves:
Revise the first sentence as follows:

Use iron body gate valves which conform to ANSI/AWWA C509 for resilient seat-type valves or to ANSI/AWWA C515 for reduced-wall, resilient seat gate valves.

Add the following to the end of the paragraph:

Operating nut shall have an arrow on it indicating the direction of opening. Valve shall be factory tested to 300 psi. Provide integrally cast bronze or stainless steel thrust collar. One (1) O-Ring shall be located below the thrust collar and two (2) O-Rings shall be located above the thrust collar. The thrust collar between the two lower O-Rings shall be factory filled with a lubricant to provide permanent lubrication of the thrust collar area. An antifriction thrust washer shall be provided both above and below the thrust collar for ease of operation.

Page 15-1, Sub-article 1500-2, Cooperation with the Utility Owner, paragraph 2:
Add the following sentences:

The Utility Owner is the Brunswick County Public Utilities. The contact person is Mr. Cory Sumner and he can be reached by phone at 910-520-4473.

Page 15-2, Sub-article 1500-7, Submittals and Records
Replace the paragraph beginning on Line 28 with the following:

Provide surveyed as-builts of the installed utility. The plans shall include notations of the size and type material installed; GPS coordinates of all: fittings, utility controls, and the horizontal and vertical locations of the piping. Provide boring logs from trenchless installations. Provide 2 copies to the utility owner and 2 copies to the Engineer at the end of the project.

Page 15-5, Sub-article 1510-2, Materials
Replace line 37 sentence with the following:

Use #12 AWG, high strength copper clad steel (HS-CCS) conductor with blue HDPE insulation that is rated for direct burial for the utility locator wire. Listed and approved underground connectors shall be used for all splices. The wire shall be taped to the top of the water line at minimum ten (10) feet intervals. The wire shall be brought up into a valve box at 1,000 feet maximum intervals to provide wire access points. The contractor shall perform a signal strength test of the installed tracer wire at the end of the project with utility owner representative present.

Page 15-6, Sub-article 1510-2, Materials
Revise the sentence on line 1 as follows:

Use 3-inch wide plastic marking tape colored blue with "CAUTION WATER LINE BURIED BELOW" permanently printed at 36-inch centers. Marking tape shall be buried continuously above the water line at a depth of eighteen (18) inches below finished grade.

Page 15-6, Sub-article 1510-2, Materials
Add the following:

Electronic marker balls are required for non-ferrous water lines eight (8) inches nominal diameter and larger. Marker balls shall be 4-inch diameter and colored blue. The marker ball is a sealed shell containing a passive antenna with a low frequency resonance circuit tuned to a specific frequency of 145.7 kHz for water lines. Marker balls shall be placed at: tees; crosses; casing ends; arcs; bends; utility crossings; water crossings; rail crossings; repair points; service laterals; and service stubs. Depth of burial shall be: 18 inches minimum / 24 inches nominal / 48 inches maximum. Minimum height above the water line: 6 inches. Distance between marker balls: 3.5 feet minimum / 100 feet nominal / 200 feet maximum. On bends and lateral pipe deflections, place one marker ball every 25 feet. Marker balls shall be placed above the water line marking tape.

Page 15-6, Sub-article 1510-3 (B) Testing and Sterilization
After line 27 add the following sentences:

A Brunswick County representative shall witness all hydrostatic testing. Directionally drilled pipe may be pressure tested after manufacturer's required pipe relaxation period, as applicable, in order to ascertain the successful completion of the HDD. All directionally drilled pipe shall be tested again with the system as a whole.

Page 15-7, Sub-article 1510-3-B, Testing and Sterilization
Add the following to the end of paragraph on line 6 as follows:

Contact Utility Owner for assistance and verification of sampling. A minimum forty-eight (48) hour notice is required.

Page 15-7, Sub-article 1510-3-B, Testing and Sterilization
Revise the sentence on line 11 as follows:

Provide copies of the test results to the Engineer and ORIGINALS of the test results to the Utility Owner.

Page 15-8, Sub-article 1515-2, Materials
Add the following:

Valve markers in public rights-of-way shall be concrete, extend thirty-six (36) inches above finished grade, and have the cast letters facing the nearest street. Concrete valve marker shall have one of the following two letter identifiers cast into it: MV (Main Valve); AV (Air release Valve); or BO (Blow Off). Valve markers are not required for fire hydrant valves. Concrete valve markers shall have a bronze, stamped, insert on top of the marker.

Page 15-8, Sub-article 1515-3A, Valves
Line 24, add the following after end of sentence:

Spray paint the valve cover blue after installation

UTILITY OWNER PREFERRED PRODUCT LIST

Ductile Iron Pipe (Push-On and Mechanical Joint)
AMERCIAN CAST IRON PIPE Company
GRIFFIN PIPE PRODUCTS Company
U.S. PIPE & FOUNDRY Company
Or approved equal

Restrained Joints - Mechanical Joint Restraint System
EBAA IRON SALES, Inc.
SMITH-BLAIR, Inc.
JCM, Inc.
Or approved equal

Ductile Iron Fittings (Mechanical Joint)
AMERCIAN CAST IRON PIPE Company
GRIFFIN PIPE PRODUCTS Company
U.S. PIPE & FOUNDRY Company
Or approved equal

PVC Pipe
DIAMOND PLASTICS Corp.
JM EAGLE MANUFACTURING Co.
NATIONAL CERTAINTEED
NORTH AMERICAN
Or approved equal

Fusible PVC Pipe
UNDERGROUND SOLUTIONS, Inc.
Or approved equal

Gate Valve – 4-in through 12-in
AMERCIAN FLOW CONTROL
CLOW (M&H)
MUELLER
Or approved equal

Valve Box
ADAPTOR, Inc. – Valve Box Adaptor II
Or approved equal

Locator Wire
COPPERHEAD SUPERFLEX
Or approved equal

Electronic Marker Balls
3M SCOTCHMARK ELECTRONIC MARKER – Model #1403-XR
Or approved equal

LISTING OF MBE/WBE SUBCONTRACTORS

Sheet _____ of _____

Firm Name and Address	Circle One	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name Address	MBE WBE				
Name Address	MBE WBE				
Name Address	MBE WBE				
Name Address	MBE WBE				
Name Address	MBE WBE				
Name Address	MBE WBE				

***** The Dollar Volume shown in this column shall be the Actual Price Agreed Upon by the Prime Contractor and the MBE/WBE subcontractor, and these prices will be used to determine the percentage of the MBE/WBE participation in the contract.
** Dollar Volume of MBE/WBE Subcontractor Percentage of Total Contract Bid Price:
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.

LISTING OF MBE/WBE SUBCONTRACTORS

Sheet _____ of _____

Firm Name and Address	Circle One	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name Address	MBE WBE				
Name Address	MBE WBE				
Name Address	MBE WBE				
Name Address	MBE WBE				
Name Address	MBE WBE				

**** Dollar Volume of MBE Subcontractor $ _____**

MBE Percentage of Total Contract Bid Price _____%

**** Dollar Volume of WBE Subcontractor $ _____**

WBE Percentage of Total Contract Bid Price _____%

***The Dollar Volume shown in this column shall be the Actual Price Agreed Upon by the Prime Contractor and the MBE/WBE subcontractor, and these prices will be used to determine the percentage of the MBE/WBE participation in the contract.**

**** Dollar Volume of MBE/WBE Subcontractor Percentage of Total Contract Bid Price.**
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.

STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION
RALEIGH, NC

CONTRACT PAYMENT BOND

Date of Payment Bond Execution _____

Name of Principal Contractor _____

Name of Surety: _____

Name of Contracting Body: _____

_____

Amount of Bond: _____

Contract ID No.: DC00235

County Name: Brunswick County

KNOW ALL MEN BY THESE PRESENTS, That we, the PRINCIPAL CONTRACTOR (hereafter, PRINCIPAL) and SURETY above named, are held and firmly bound unto the above named Contracting Body, hereinafter called the Contracting Body, in the penal sum of the amount stated above for the payment of which sum well and truly to be made, we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally, firmly by these presents.

THE CONDITION OF THIS OBLIGATION IS SUCH, that whereas the principal entered into a certain contract with the Contracting Body, numbered as shown above and hereto attached:

NOW THEREFORE, if the principal shall promptly make payment to all persons supplying labor and material in the prosecution of the work provided for in said contract, and any and all duly authorized modifications of said contract that may hereafter be made, notice of which modifications to the surety being hereby waived, then this obligation to be void; otherwise to remain in full force and virtue.

IN WITNESS WHEREOF, the above-bound parties have executed this instrument under their several seals on the date indicated above, the name and corporate seal of each corporate party being hereto affixed and these presents duly signed by its undersigned representative, pursuant to authority of its governing body.

CONTRACT PAYMENT BOND

Affix Seal of Surety Company

Print or type Surety Company Name

By

Print, stamp or type name of Attorney-in-Fact

Signature of Attorney-in-Fact

Signature of Witness

Print or type Signer's name

Address of Attorney-in-Fact

CONTRACT PAYMENT BOND

CORPORATION

SIGNATURE OF CONTRACTOR (Principal)

Full name of Corporation

Address as prequalified

By

Signature of President, Vice President, Assistant Vice President
Select appropriate title

Print or type Signer's name

Affix Corporate Seal

Attest

Signature of Secretary, Assistant Secretary
Select appropriate title

Print or type Signer's name

CONTRACT PAYMENT BOND

LIMITED LIABILITY COMPANY

SIGNATURE OF CONTRACTOR (Principal)

Name of Contractor _____

Full name of Firm

_____

Address as prequalified

By: _____

Signature of Member, Manager, Authorized Agent
Select appropriate title

_____

Print or type Signer's name

CONTRACT PAYMENT BOND

INDIVIDUAL DOING BUSINESS UNDER A FIRM NAME

SIGNATURE OF CONTRACTOR (Principal)

Name of Contractor _____
Individual Name

Trading and doing business as _____
Full name of Firm

_____
Address as prequalified

Signature of Contractor _____
Individually

_____
Print or type Signer's name

_____
Signature of Witness

_____
Print or type Signer's name

CONTRACT PAYMENT BOND

INDIVIDUAL DOING BUSINESS IN HIS OWN NAME

SIGNATURE OF CONTRACTOR (Principal)

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

CONTRACT PAYMENT BOND

PARTNERSHIP

SIGNATURE OF CONTRACTOR (Principal)

Full name of Partnership

Address as prequalified

By

Signature of Partner

Print or type Signer's name

Signature of Witness

Print or type Signer’s name

CONTRACT PAYMENT BOND
JOINT VENTURE (2) or (3)
SIGNATURE OF CONTRACTORS (Principal)

Instructions to Bidders: 2 Joint Ventures, Fill in lines (1), (2) and (3) and execute. 3 Joint Venturers Fill in lines (1), (2), (3), (4) and execute. On Line (1), print or type the name of Joint Venture. On line (2), print or type the name of one of the joint venturers and execute below in the appropriate manner required by Article 102-8 of the *NCDOT Standard Specifications*. On Line (3), print or type the name of second joint venturer and execute below in the appropriate manner required by said article of the Specifications. On Line (4), print or type the name of the third joint venturer, if applicable and execute below in the appropriate manner required by said article of the Specifications. This form of execution must be strictly followed.

Signature of Witness or Attest	By	Signature of Contractor
Print or type Signer's name		Print or type Signer's name
	and	
Signature of Witness or Attest	By	Signature of Contractor
Print or type Signer's name		Print or type Signer's name
	and	
Signature of Witness or Attest	By	Signature of Contractor
Print or type Signer's name		Print or type Signer's name

CONTRACT PAYMENT BOND

Attach certified copy of Power of Attorney to this sheet

STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION
RALEIGH, NC

CONTRACT PERFORMANCE BOND

Date of Performance Bond Execution: _____

Name of Principal Contractor: _____

Name of Surety: _____

Name of Contracting Body: _____

_____

Amount of Bond: _____

Contract ID No.: DC00235

County Name: Brunswick County

KNOW ALL MEN BY THESE PRESENTS, That we, the PRINCIPAL CONTRACTOR (hereafter, PRINCIPAL) and SURETY above named, are held and firmly bound unto the above named Contracting Body, hereinafter called the Contracting Body, in the penal sum of the amount stated above for the payment of which sum well and truly to be made, we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally, firmly by these presents.

THE CONDITION OF THIS OBLIGATION IS SUCH, that whereas the principal entered into a certain contract with the Contracting Body, numbered as shown above and hereto attached:

NOW THEREFORE, if the principal shall well and truly perform and fulfill all the undertakings, covenants, terms, conditions, and agreements of said contract during the original term of said contract and any extensions thereof that may be granted by the Contracting Body, with or without notice to the Surety, and during the life of any guaranty required under the contract, and shall also well and truly perform and fulfill all the undertakings, covenants, terms, conditions, and agreements of any and all duly authorized modifications of said contract that may hereafter be made, notice of which modifications to the surety being hereby waived, then this obligation to be void; otherwise to remain in full force and virtue.

IN WITNESS WHEREOF, the above-bound parties have executed this instrument under their several seals on the date indicated above, the name and corporate seal of each corporate party being hereto affixed and these presents duly signed by its undersigned representative, pursuant to authority of its governing body.

CONTRACT PERFORMANCE BOND

Affix Seal of Surety Company

Print or type Surety Company Name

By

Print, stamp or type name of Attorney-in-Fact

Signature of Attorney-in-Fact

Signature of Witness

Print or type Signer's name

Address of Attorney-in-Fact

CONTRACT PERFORMANCE BOND

CORPORATION

SIGNATURE OF CONTRACTOR (Principal)

Full name of Corporation

Address as prequalified

By

Signature of President, Vice President, Assistant Vice President
Select appropriate title

Print or type Signer's name

Affix Corporate Seal

Attest

Signature of Secretary, Assistant Secretary
Select appropriate title

Print or type Signer's name

CONTRACT PERFORMANCE BOND

LIMITED LIABILITY COMPANY

SIGNATURE OF CONTRACTOR (Principal)

Name of Contractor _____

Full name of Firm

_____

Address as prequalified

By: _____

Signature of Member, Manager, Authorized Agent
Select appropriate title

_____

Print or type Signer's name

CONTRACT PERFORMANCE BOND

INDIVIDUAL DOING BUSINESS UNDER A FIRM NAME

SIGNATURE OF CONTRACTOR (Principal)

Name of Contractor _____

Individual Name

Trading and doing business as _____

Full name of Firm

_____

Address as prequalified

Signature of Contractor _____

Individually

_____

Print or type Signer's name

_____

Signature of Witness

_____

Print or type Signer's name

CONTRACT PERFORMANCE BOND

INDIVIDUAL DOING BUSINESS IN HIS OWN NAME

SIGNATURE OF CONTRACTOR (Principal)

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

CONTRACT PERFORMANCE BOND

PARTNERSHIP

SIGNATURE OF CONTRACTOR (Principal)

Full name of Partnership

Address as prequalified

By

Signature of Partner

Print or type Signer's name

Signature of Witness

Print or type Signer’s name

CONTRACT PERFORMANCE BOND
JOINT VENTURE (2) OR (3)
SIGNATURE OF CONTRACTORS (Principal)

Instructions to Bidders: 2 Joint Ventures, Fill in lines (1), (2) and (3) and execute. 3 Joint Venturers Fill in lines (1), (2), (3), (4) and execute. On Line (1), print or type the name of Joint Venture. On line (2), print or type the name of one of the joint venturers and execute below in the appropriate manner required by Article 102-8 of the *NCDOT Standard Specifications*. On Line (3), print or type the name of second joint venturer and execute below in the appropriate manner required by said article of the Specifications. On Line (4), print or type the name of the third joint venturer, if applicable and execute below in the appropriate manner required by said article of the Specifications. This form of execution must be strictly followed.

Signature of Witness or Attest	By	Signature of Contractor
Print or type Signer's name		Print or type Signer's name
	and	
Signature of Witness or Attest	By	Signature of Contractor
Print or type Signer's name		Print or type Signer's name
	and	
Signature of Witness or Attest	By	Signature of Contractor
Print or type Signer's name		Print or type Signer's name

CONTRACT PERFORMANCE BOND

Attach certified copy of Power of Attorney to this sheet

ADDENDUM(S)

ADDENDUM #1

I, _____ representing _____
(SIGNATURE)

Acknowledge receipt of Addendum #1.

ADDENDUM #2

I, _____ representing _____
(SIGNATURE)

Acknowledge receipt of Addendum #2.

ADDENDUM #3

I, _____ representing _____
(SIGNATURE)

Acknowledge receipt of Addendum #3.

AWARD LIMITS ON MULTIPLE PROJECTS

It is the desire of the Proposer to be awarded contracts, the value of which will not exceed a total of $_____, for those projects indicated below on which bids are being opened on the same date as shown in the Proposal Form. Individual projects shall be indicated by placing the project number and county in the appropriate place below. Projects not selected will not be subject to an award limit.

_____	_____
(Project Number)	(County)
_____	_____
(Project Number)	(County)
_____	_____
(Project Number)	(County)
_____	_____
(Project Number)	(County)

*If a Proposer desires to limit the total amount of work awarded to him in this letting, he shall state such limit in the space provided above in the second line of this form.

It is agreed that in the event that I am (we are) the successful bidder on indicated projects, the total value of which is more that the above stipulated award limits, the Board of Transportation will award me (us) projects from among those indicated which have a total value not exceeding the award limit and which will result in the best advantage to the Department of Transportation.

_____
**Signature of Authorized Person

**Only those persons authorized to sign bids under the provisions of Article 102-8, Item 7, shall be authorized to sign this form.

EXECUTION OF BID

NON-COLLUSION, DEBARMENT AND GIFT BAN CERTIFICATION

CORPORATION

The prequalified bidder being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee 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 prequalified bidder has not been convicted of violating *N.C.G.S. §133-24* within the last three years, and that the prequalified bidder intends to do the work with his own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his 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 PREQUALIFIED BIDDER

_____

Full name of Corporation

_____

Address as Prequalified

Attest _____ By _____

Secretary/Assistant Secretary
(Select appropriate title)

President/Vice President/Assistant Vice President
(Select appropriate title)

_____ _____

Print or type Signer's name

Print or type Signer's name

CORPORATE SEAL

NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION

PARTNERSHIP

The prequalified bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee 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 prequalified bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the prequalified bidder intends to do the work with its own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his 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 PREQUALIFIED BIDDER

_____

Full Name of
Partnership

_____

Address as
Prequalified

_____ _____

Signature of Witness | Signature of Partner

_____ _____

Print or Type Signer's Name | Print or Type Signer's Name

NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION

LIMITED LIABILITY COMPANY

The prequalified bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee 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 prequalified bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the prequalified bidder intends to do the work with its own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his 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 PREQUALIFIED BIDDER

_____

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

NON-COLLUSION, DEBARMENT AND GIFT BAN CERTIFICATION

JOINT VENTURE (2) or (3)

The prequalified bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee 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 prequalified bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the prequalified bidder intends to do the work with its own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his 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 PREQUALIFIED BIDDER

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

_____ BY _____
Signature of Witness or Attest — 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

_____ BY _____
Signature of Witness or Attest — 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

_____
Address as Prequalified

_____ BY _____
Signature of Witness or Attest — Signature of Contractor

_____ _____
Print or Type Signer's Name — Print or Type Signer's Name

If Corporation, affix Corporate Seal

NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION

INDIVIDUAL DOING BUSINESS UNDER A FIRM NAME

The prequalified bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee 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 prequalified bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the prequalified bidder intends to do the work with its own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his 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 PREQUALIFIED BIDDER

Name of Prequalified Bidder _____
Individual Name

Trading and Doing Business As _____
Full name of Firm

_____
Address as Prequalified

_____ _____
Signature of Witness Signature of Prequalified Bidder, Individual

_____ _____
Print or Type Signer's Name Print or Type Signer's Name

NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION

INDIVIDUAL DOING BUSINESS IN HIS OWN NAME

The prequalified bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee 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 prequalified bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the prequalified bidder intends to do the work with its own bona fide employees or subcontractors and will not bid for the benefit of another contractor.

By submitting this non-collusion, debarment and gift ban certification, the Contractor is attesting his 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 PREQUALIFIED BIDDER

Name of Prequalified Bidder _____

Print or Type Name

_____

Address as Prequalified

_____

Signature of Prequalified Bidder, Individually

_____

Print or type Signer's Name

_____

Signature of Witness

_____

Print or type Signer's name

DEBARMENT CERTIFICATION OF PREQUALIFIED BIDDER

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.

ITEMIZED PROPOSAL FOR CONTRACT NO. DC00235

County : Brunswick

Line #	Item Number	Sec #	Description	Quantity	Unit Cost	Amount
			ROADWAY ITEMS			
0001	0000100000-N	800	MOBILIZATION	Lump Sum	L.S.	
0002	5325800000-E	1510	8" WATER LINE	294 LF		
0003	5329000000-E	1510	DUCTILE IRON WATER PIPE FITTINGS	440 LB		
0004	5546000000-E	1515	8" VALVE	1 EA		
0005	5801000000-E	1530	ABANDON 8" UTILITY PIPE	291 LF		
0006	5872600000-E	1550	DIRECTIONAL DRILLING OF **" 8"	264 LF		

0817/Aug22/Q1291.0/D27874500000/E6

Total Amount Of Bid For Entire Project :