

STATEWIDE FLOOD CONTROL PROGRAM

PROCEDURAL MANUAL

FOR

FUNDED PROJECTS



October 2020

PUBLIC WORKS AND WATER RESOURCES DIVISION
DEPARTMENT OF TRANSPORTATION AND DEVELOPMENT
STATE OF LOUISIANA
BATON ROUGE, LOUISIANA

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STATE OF LOUISIANA
DEPARTMENT OF TRANSPORTATION AND DEVELOPMENT
PUBLIC WORKS AND WATER RESOURCES DIVISION

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FOR FUNDED PROJECTS**

2020 EDITION

The following procedures apply to projects which have been allocated funding through the Statewide Flood Control Program:

I. PROGRAM DESCRIPTION

The Statewide Flood Control Program was established by Act 351 of the 1982 Regular Session of the Louisiana Legislature. Its primary goal is the reduction of existing flood damages. The Act provides for the creation of a Flood Control Project Evaluation Committee consisting of the Assistant Secretary of the Public Works and Water Resources Division (Division) as Chairman, the Director of the Louisiana Geological Survey, and the Director of the State Planning Office, or their designated representative. The Act further provides the criteria for evaluating Flood Control Projects; reporting to the Joint Legislative Committee on Transportation, Highways and Public Works; and presenting a recommended construction program to the Legislature.

The manual entitled "Procedures for Implementing the Statewide Flood Control Program" was published in the Louisiana Register on March 20, 1985. It established guidelines for submitting applications and the procedures for review and evaluation.

Act 351 states that sponsoring authorities (Sponsors) representing a population of fifty thousand persons or more will be responsible for the preparation of plans and specifications, letting of bids for construction, supervision of construction for their projects, preparation of an Operation and Maintenance Manual, and the proper operation and maintenance of the project. Sponsors representing a population of less than fifty thousand persons may request assistance from the Department of Transportation and Development, Public Works and Water Resources Division in preparing the necessary plans and specifications, letting the contract for bid, supervising the construction of the project, and in preparing an Operation and Maintenance Manual. The Sponsor is responsible for the proper operation and maintenance of the project. Should the Sponsors desire the Division to provide the necessary engineering services, they should so indicate on their pre-application. The Division will evaluate the pre-applications requesting assistance, identify the projects in which assistance will be given, and advise the Sponsors.

Projects that are funded by the Statewide Flood Control Program (SWFC) are planned and implemented with the primary goal being to reduce flooding and associated damage within the state. To assure this goal is met, the Division will enter into an Agreement with the respective sponsor for whom funding has been made available. The Agreement will identify the duties and

responsibilities of each party and the procedures to follow, to develop, and to construct the project. After the project is completed, the program requires that the Sponsor agree to operate and maintain the project in accordance with an Operation and Maintenance Manual, which has been approved by the Division. This manual expands on those minimum procedures that are necessary to ensure that the primary goal is met.

II. AGREEMENT

The Sponsor must enter into an agreement with the Division before any work is performed for projects funded through the SWFC Program; whereby, the Sponsor agrees to furnish all lands, easements, rights-of-way, and spoil disposal areas necessary to construct and maintain the project without cost to the State; agrees to assume all maintenance and operation costs for the project and all future alterations as may be required without cost to the State; agrees to accomplish all necessary utility and any other facility relocations, alterations, and maintenance without cost to the State; and agrees to provide at least ten percent (10%) local match for construction cost of the new project funded after July 1999. If the Sponsor has Federal matching funds, the Sponsor will be responsible for at least 30% of the Non-Federal share. If the project was funded before July 1999, then the Sponsor will be responsible for 30% of the project, but will have credits available for Engineering and Real Estate expenditures. If the Sponsor does not execute said agreement with the Division within six months from the date of the letter advising that the project has been funded, then the program funds will be forfeited.

III. PROGRESS SCHEDULE

Within ninety (90) days after the Sponsor has been notified that funding has been provided for the project, the Sponsor will submit to the Division a Progress Schedule that indicates, using a bar graph, the various activities that must be accomplished to develop construction plans and specifications and let a construction contract within the time allotted. The schedule will be submitted to the Statewide Flood Control Program Manager of DOTD. The Sponsor will also inform the Division whether it intends to build the project in phases and indicate how many. A copy of the Cost Estimate from the approved application shall be submitted with the request, with the components marked to indicate which phase the work will be accomplished.

IV. RECORD KEEPING

The Sponsor will maintain all documents, papers, files, field books, material test reports, accounting records, appropriate financial records and other evidence pertaining to cost incurred for the Project. The Sponsor will also make such materials available for inspection at all reasonable times during the Project, and for a three-year period, from the date of the last and final payment of the last complete phase of the Project. However, prior to disposal of any Project data, the Sponsor shall obtain the prior written approval from the Division. The Sponsor shall furnish copies of any said records to the Division and/or the Legislative Auditor at any time during the above period within thirty (30) days of a written request.

V. NON-FEDERAL PROJECTS

A. Plan Development

1. The Sponsor may elect to employ a consulting engineer, utilize its own engineering staff, or have DOTD develop the plans, specifications, cost estimate, and all other

necessary documents pertaining to the project. DOTD can be used to develop plans if the Sponsoring Authority represents a population of less than fifty thousand persons and so requests said services in the pre-application. A Louisiana Registered Professional Engineer must be in responsible charge of the project regardless of who is elected to do the work.

2. Plans and specifications shall reflect the scope of work shown in the approved Application. Any work beyond the approved scope of work will be paid for at 100% by the Sponsor.
3. The Construction Proposal as prepared by the Sponsor's Engineer shall be in accordance with the "Public Works Specifications Workbook."
4. Formatting Requirements:
 - a. Each set of plans shall contain a cover sheet including the name of the project, name of the sponsoring authority, the state project number, location map, vicinity map, Parish in which the project located, type of construction, Louisiana One Call note, and the governing edition of the Louisiana Department of Transportation Standard Specifications for Roads and Bridges and indicating that the project is funded in part by the Louisiana Transportation Trust through the Statewide Flood Control Program.
 - b. Maps, plans, profile sheets and cross-section sheets submitted shall be consistent with accepted engineering practice. Each sheet of the construction plans and the title page of the specifications shall be stamped, signed, and dated by a Registered Professional Engineer licensed to practice in the State of Louisiana.
 - c. Standard size 24"x36" or 22"x36" sheets shall be used for cross-section sheets, plans and profile sheets. Maps shall conform to appropriate scales.
 - d. All maps, plans, profile sheets, cross-section sheets and other exhibits shall include a standard title block that identifies the Sponsor, the project name, state project number, preparer, name of the exhibit, and sheet number, if applicable.
 - e. All elevations should reference mean sea level (National Geodetic Vertical Datum of 1929). The applicant is encouraged to make use of available information.
5. Technical specifications and special conditions for the project shall be developed in accordance with professional engineering standards and practices and shall utilize unit price pay items wherever possible. The general format for technical specifications shall be as follows:

Description of Work
Construction Methods
Materials
Measurements and Payments

Refer to the Statewide Flood Control Program website for bid document forms and the "Public Works Specifications Workbook" for additional information.

6. Plans and specifications shall indicate that all testing must be done by independent Testing Laboratories selected and paid for by the Sponsor.
7. Subsequent to review and comment, the Sponsor shall make any changes in the plans necessary to reflect agreements reached at this stage, and show existing and taking lines required for rights-of-way.

8. After preliminary plans have been developed sufficiently to show all information required (existing topography and proposed work), three (3) sets of the preliminary plans and a copy of the bid items must be submitted to the Division for review and comments. The bid items shall be developed using unit pricing wherever possible. The Division will review the plans to insure the scope of the project is as indicated in the approved application. This review will include a determination of any items that are ineligible for state participation which the Sponsor may have elected to include in the contract as per Article II of the Agreement. The review will also address omissions and deviations from the scope as presented in the original application. The Division will then schedule a Project Development Meeting. The Engineer, Sponsor, and members of DOTD will be required to attend.
9. A Project Development Meeting will be held in which the plans and specifications are reviewed. A site visit will commence following the conclusion of the review. Comments will be marked on the plans and specifications and left with the Sponsor's Engineer.
10. After the Project Development Meeting has been concluded and all comments have been addressed by the Sponsor, the marked up plans and specifications along with two (2) complete sets of prints of the revised plans, dated and stamped ACP (Advanced Checked Print), together with two (2) copies of the revised bid proposal and project cost estimate shall be submitted to the Division for review and comment. Also, one (1) set of prints and one (1) set of a bid proposal shall be submitted to the Water Resources Engineer.
11. The Sponsor shall proceed to acquire any permits, lands, easements, rights-of-way, and special disposal areas necessary to construct and maintain the project.
12. After the Sponsor receives written confirmation that the plans and specifications comply with program requirements, and other responsibilities of the Sponsor have been completed, such as obtaining all required permits, required rights-of-way, Sponsor's share of the funding, utility relocations, etc., the Sponsor must adopt and submit, to the Division: (1) a Resolution indicating that all permits, rights-of-way, servitudes, easements, and agreements to relocate and /or adjust utilities have been completed. The Resolution shall also reaffirm the availability of local funding and shall request permission to advertise the project. If plans and specifications do not meet program requirements, then all deficiencies must be resolved before the adoption of the above Resolution. (2) A certification by the Sponsor's Engineer stating that plans, specifications, and cost estimates are complete and have been developed in accordance with the Application. Program requirements must be adopted by the Sponsor's Engineer and provided to the Division. Sample copies of the Resolution requesting authority to advertise and the Engineer's Certificate stating that the project is ready to advertise will be provided by the Division. Copies of these sample documents can be found in Appendix I.

B. Advertisement and Award

Prior to advertising for bids, the following must have been completed:

- a. Written approval must have been obtained from the Division stating that the proposed project plans and specifications comply with the requirements of the Statewide Flood Control Program and of the Division.
- b. All required permits have been obtained and verification submitted to the Division.
- c. All rights-of-way, servitudes and/or easements have been obtained and verification submitted to the Division.
- d. Agreements to relocate and/or adjust utilities, if required, have been obtained and verification submitted to the Division.
- e. Assurance of the availability of required local matching funds.
- f. After completion of the Division review of final plans, acquisition of all required rights-of-way, execution of agreements to relocate and/or adjust all utility conflicts, and securing the Sponsor's portion of funds, the Sponsor shall adopt a Resolution certifying completion of the above and requesting authorization to advertise for bids. The Resolution shall be similar to the Draft Resolution in Appendix I. The Sponsor shall submit an original certified copy of the adopted resolution to the Division. The Sponsor's Engineer shall certify that the project is ready to be advertised (Engineer's Certification). This shall also be submitted to the Division.
- g. Written notice of no objection must be obtained from the Division for the Sponsor to advertise for receipt of bids.

1. Advertising

The following procedures, in accordance with current Louisiana Revised Statutes (LRS) 38:2211, et seq. shall be followed:

- a. The Notice to Contractors (from the Construction Proposal) shall be placed in the Sponsoring Authority's Official Journal within the parish in which the work is to be done. For added exposure, it is recommended that the Sponsor also advertise the project in such construction trade publications as the Daily Journal of Commerce, and The Advocate, the Official Journal for the State of Louisiana. In addition to the newspaper advertisement, a public entity may also publish an advertisement by electronic media available to the general public. Use the Notice to Contractors in the Construction Proposal that been reviewed by the Division.
- b. At least three (3) advertisement notices must appear in the Sponsor's local paper. These notices must appear for three (3) different weeks; the first advertisements to appear at least twenty-five (25) days prior to the bid opening date.
- c. Addenda shall have prior approval from the Division stating that said addenda complies with the requirements of the Division and the Statewide Flood Control Program.

- d. Upon advertising for bids, the Sponsor shall add the Division, to the Bidder's List and forward two (2) sets of plans and construction proposals marked Not For Bid.
- e. All bid proposals and bid bonds shall comply with LRS 38:2212, 38:2214, 38:2215, 38:2218, et seq. and the following:
 - i. All entries on the bid proposal are to be in blue ink or typed.
 - ii. The bid proposal shall be properly signed by the Bidder (individual owner, partner, or authorized officer of the corporation).
 - iii. If a bid bond is submitted in lieu of a cashier's or certified check, the bond must be properly executed by an individual owner, partner, or authorized officer of the corporation submitting the bid, be signed by a representative of an acceptable surety company, and countersigned by an authorized Louisiana Resident Agent. The surety company's representative must attach a valid Power of Attorney authorizing him to represent the surety company.
- f. The Sponsor shall be responsible for compliance with all current bid laws; the above requirements represent only the minimum known current requirements and are not a complete listing of possible statutes pertaining to Louisiana bid laws.

2. Reviewing and Awarding

All advertising and bidding procedures for projects which are to be funded in part by State funds through the Statewide Flood Control Program must be submitted to the Division for approval prior to the award of the contract. The Division will need the following:

- a. Copy of the letter to the publisher of the Journal requesting publication of the Notice of Advertisement.
- b. Certified proof of publication from the Sponsor's Official Journal of the Notice of Advertisement in accordance with LRS 38:2211, et seq. Said proof shall consist of a clipping of the Notice as published and an affidavit bearing the signature of an official of the publisher certifying the dates the Notice was published. The affidavit must be notarized. (The furnishing of the newspaper or newspaper clipping only, will not suffice as proof of publication.)
- c. One (1) copy of the bid proposal returnable packet as submitted by each of the three (3) lowest bidders.
- d. A legible certified copy of the bid tabulation of all bids received. The tabulation should include a column containing the Engineer's estimate and must be certified correct by an authorized official of the Sponsor.
- e. A copy of the Engineer's recommendation.
- f. A copy of all addenda.
- g. Letter of Intent from the Sponsor indicating that they intend to award a contract to the lowest qualified bidder or to reject all bids. If the intent is to award a contract,

the letter must state the date bids were received, the name of the qualified bidder, and the contract amount.

When the review of the above has been completed, the Division will make its recommendations to the Sponsor. After the Division has made its recommendations, the Sponsor shall adopt a Resolution either to award a contract to the lowest responsive bidder or to reject all bids received. The Sponsor must submit a certified copy of the adopted Resolution to the Division. (See Appendix I- E for Draft Resolution to award a contract, or Appendix I-F for Draft Resolution to Reject all bids).

3. Re-Advertisement

If the Sponsor rejects all bids received but still desires to construct the project and obtain Program funds, the procedures listed below should be followed. In all cases, the benefits to be derived from implementation of the project as stated in the Application must still be obtained.

a. Required Documentation

The Sponsor shall submit the following to the Division for review and comment:

- i. A certified copy of the Resolution rejecting, for just cause, all bids received and in compliance with LRS 38:2214 (see Appendix I-F for Draft Resolution to reject bids).
- ii. Two (2) sets of plans, specifications, and cost estimate which has been revised, if required.

b. Re-Advertising Procedures

The procedures for re-advertising shall be the same as that stated in the Advertising and Bidding Phases - Non-Federal and in the Review and Awarding Phase - Non-Federal, except that the Resolution requesting authorization to re-advertise shall be reworded to reflect the re-advertisement, i.e., change the word "advertise" to re-advertise" and furnish a certified copy of the adopted Resolution and a new engineer's certificate if the plans were modified to this Division.

C. Contract Documents

1. Contract Documents: Contract Documents shall be in accordance with LRS 38:2216, 38:2217, and 38:2219 to 38:2225 et seq. Prior to issuance of a Work Order or Notice to Proceed, two (2) certified copies, or two originals, and one (1) conforming copy of the contract documents must be submitted to the Division for review, along with three certified copies of the award.
2. The contract documents shall be bound and shall consist of the following:
 - a. Fully executed contract, executed and witnessed in ink.
 - b. If the Contractor is a corporation, a certified copy of a Resolution adopted by its Board of Directors authorizing the Officer to sign for the corporation must be included. The Resolution should be attested by the corporation's secretary and signed in ink. Authorization of an officer may be specific or general.
 - c. Performance and Payment bonds, fully executed, bearing original signatures in ink

and the seal of the surety company, along with a Power of Attorney authorizing a representative of the surety company to execute the bond. Bonds must also be countersigned by a Louisiana Resident Agent.

- d. A notarized Affidavit by the Contractor (individual owner, partner, officer of the corporation authorized to execute the contract) attesting that the public contract was not and will not be secured through employment, or payment of solicitor.
 - e. Two originals and one copy of the Construction proposal including project specifications. The duplicate original shall contain original ink signatures for the contract, bond, power of attorney, affidavit and resolution. The power of attorney for the bonds may be signed by facsimile if the surety agrees.
 - f. All Addenda (Addendum) shall be bound in the contract documents with proof of receipt by the contractor.
3. Work Order or Notice to Proceed. Upon obtaining written notice from the Division that the contract documents comply with the program's requirements, the Sponsor must have an original of the approved contract and performance bond recorded in the mortgage records of the parish or parishes where the work is to be performed. A copy of the recordation data must be furnished to the Division. The Sponsor may proceed to issue the work order and furnish four copies to the Division.
 4. Sponsor shall execute the Resolution Certifying Compliance with Bid Laws and provide an original to the Division. (See Appendix I-H)

D. Construction Administration and Inspection

1. Inspection of the constructed work shall be directed by a Registered Professional Engineer, licensed to practice in Louisiana. The Sponsor shall insure appointment of a resident project representative or inspector to inspect the constructed work. The representative will be under direct supervision of the Engineer. The Engineer must certify that the contractor is constructing the project with quality materials as specified, and that the work substantially complies with the plans and specifications.
2. Partial Payments: DOTD shall pay the Sponsor its portion of the costs of construction, less retainage. These payments will not exceed the amount made available by the Legislature. Costs in excess of this amount shall be borne 100% by the Sponsor.
 - a. Incidental project costs incurred by the Sponsor in negotiating preliminary engineering contracts, right-of-way settlements, railroad and utility adjustments and bid advertisements, contract recordation, testing, and such other costs shall be the responsibility of the Sponsor.
 - b. During construction, partial payments will be made monthly. The contractor must submit a request for payment in accordance with the General Provisions. The Engineer and Sponsor shall each certify that the quantities and amount of the completed work shown on the partial payment request substantially complies with the plans and specifications. This pay estimate will then be forwarded to this Division. A copy should also be sent to the DOTD District Water Resources Engineer who will review the work to date and send via email, followed with hard copy, the Statewide Flood Control Program Manager, his/her recommendation for payment. The State's portion of the recommended amount will be paid to the Sponsor within a reasonable time after receipt of the payment request and supporting documents.

- c. In accordance with state law, retainage shall not be greater than ten percent of the amount of work completed and certified if the total contract price is up to \$500,000.00, and not greater than five percent of the work complete to date if the contract price is more than \$500,000.00.
3. Sampling and Testing: Material testing shall be done by an independent Testing Laboratory selected and paid for by the Sponsor. All testing must be done in accordance with the Standard Specifications of the American Concrete Institute (ACI), the American Society of Testing Material (ASTM E329-93b et seq.) and/or the DOTD Standard Testing Procedures. Certified test reports must be kept on file in accordance with Section IV, Record keeping.
4. Change Orders and/or Plan Changes: All Change Orders (CO) executed by the Sponsor must be sent to the Division with documented reasons for its execution prior to authorizing contractor to perform any work. The letter of transmittal must indicate whether financial participation is being requested of the Division and must be accompanied by a letter from the Sponsor's Engineer which states the reason(s) for the CO. (See Appendix III-A for NSPE sample format and Appendices III-B and III-C for sample format letters). The following procedures shall be followed for all change orders:
 - a. One original and one copy of the CO signed by the engineer, the Sponsor, and the contractor shall be sent with the letter of transmittal. Neither will be returned. The sponsor must execute at least three extra originals for the three parties affected by the CO.
 - b. The Water Resources Engineer shall be sent a copy of the request and supporting documentation.
 - c. The CO must identify all bids items modified or created by the CO.
 - d. Any Lump Sum Bid Item that is modified shall be canceled out and substituted with a new bid item reflecting the new scope of work.
 - e. After the Division has received comments from the Water Resources Engineer, a decision will be made concerning the CO. A written response shall be made to the sponsor. The Division will keep its copies of the CO.
 - f. At the conclusion of the contract and after the final inspection, a final CO will be executed adjusting all unit cost bid items to actual work done and approved by the engineer certifying that the job is substantially complete. This final CO should be sent in with the request for release of retainage along with all necessary documentation required for project close-out.
5. Substantial Completion Inspection: Upon completion of the project, the Sponsor's Engineer shall notify the Statewide Flood Control Program Manager to schedule a substantial completion inspection. The Division will inspect the project with the Sponsor's Engineer and Contractor. Upon certification by the Sponsor's Engineer that the project is substantially complete, and upon acceptance by the Sponsor, said Acceptance will be recorded by the Sponsor in the Mortgage Records of the Parish or Parishes that the work was performed.
6. Clear Lien Certification: Forty-five (45) days after the recordation of the substantial completion, the Contractor shall submit to the Sponsor a Clear Lien Certificate from the Recorder's office of the Parish or parishes in which the work was performed. The Sponsor shall submit to DOTD, Water Resources Engineer a certified copy of the Recordation of Acceptance and the Clear Lien Certificate. In the event the certificate

is not clear and there are liens filed against the contractor, the Sponsor shall pay the retainage, minus any funds due the Sponsor, into the Court in accordance with the law, and notify the bond holders and all known unpaid lien holders. Final payments of all amounts due by DOTD shall be made upon receipt of the above certificates and/or a copy of the Court filing showing the case number and title.

VI. FEDERAL PROJECTS

Several Federal agencies offer funding opportunities for projects designed to reduce local flood risk. Local projects may be funded by the U.S. Department of Housing and Urban Development (HUD) provides Community Development Block Grant (CDBG) Program, the Federal Emergency Management Agency's (FEMA) Hazard Mitigation Assistance (HMA) grant programs, the Natural Resources Conservation Service (NRCS) Watershed Protection and Flood Prevention Operations Program, or the United States Army Corps of Engineers' (USACE) Flood Risk Management Program.

If a sponsor intends to use Statewide Flood Control Program funds to meet a portion of the cost share for projects receiving funding through an agency other than USACE, the local sponsor shall follow the Guidelines for Non-Federal Projects described above in Section V. It is the local sponsor's responsibility to ensure that requirements of both the Statewide Flood Control Program and the federal grant are met.

The USACE takes a more proactive approach when participating in the development and construction of a project. The following is a list of guidelines for Project Development of Corps of Engineers Projects funded in part by the Statewide Flood Control Program:

A. USACE Agreements

1. The Sponsor executes an agreement with the USACE to participate in the construction of the project. The USACE will be the engineer and the contracting agency.
2. The Department of Transportation and Development, Public Works and Water Resources Division executes a funding agreement with the local Sponsor (Non-Federal Sponsor).

B. USACE Plan Development

1. The USACE will submit four (4) sets of preliminary plans to the Division for review and comment.
2. The Division then schedules a Project Development Meeting (PDM).
3. The USACE will address the comments from the PDM and submit two (2) sets of plans and specifications to the Division for review along with the marked up set of preliminary plans.
4. When the plans and specifications comply with the Division requirements, the Division will advise the Sponsor and the USACE.

C. USACE Advertisement and Award

1. When all actions necessary to advertise the project for bids are complete, the Sponsor will adopt a resolution so stating and send a certified copy of the resolution to the Division.
2. After receiving the appropriate resolution and verifying that Statewide Flood Control Program funds are available, the Sponsor and the USACE will be advised that the Division does not object to the USACE advertising the project, provided that the advertising commences within forty-five days of the date of the letter of no objections.
3. Upon advertising for bids, the Division will be added to the Bidder's List to receive three sets of plans and specifications.
4. Prior to the award of a construction contract, the USACE shall submit to the Division a copy of the following:
 - a. A copy of the three lowest bidders' proposal including a copy of their bid security.
 - b. A bid tabulation in accordance with the Statewide Flood Control Program Procedural Manual, attested to be a "True Copy" by a responsible COE Official and approved by the Non-Federal Sponsor.
 - c. Engineers recommendation
5. Upon review by the Division, the USACE and the Sponsor will be notified that the Division has no objection to the award of the construction contract.
6. The USACE shall submit to the Division three "True Copies" of the contract and three copies of the Notice to Proceed.

D. USACE Construction Phase

1. After the construction contract is executed, the USACE will estimate the amount of funds necessary for the remaining fiscal year and will so advise the Sponsor and the Division. Said funds will be broken down into Federal and Non-Federal. The Division share will be paid to the Sponsor when requested with appropriate documentation.
2. The USACE will invite the Division to the final inspection.
3. Upon completion of the final estimate, the USACE will prepare and submit to the Division an Operation & Maintenance Manual which was prepared in accordance with the Procedures Manual for Funded Projects.

VII. OPERATION AND MAINTENANCE

A. General

1. Projects that are funded by the Statewide Flood Control Program are planned and implemented with their primary goal being the reduction of existing flood damages. To assure that this goal is met after the project is completed, the program requires that the Sponsor agrees to operate and maintain the project in accordance with an Operation and Maintenance Manual, which has been approved by the Division.
2. Upon completion of the project, the Sponsor shall submit to the Division for review

and approval, two (2) hard copies and one electronic set (PDF format) of the Operation and Maintenance Manual which has been prepared by the Sponsor's Engineer in accordance with the Division's requirements. If the Division prepares the plans and specifications, the Division shall prepare the Operation and Maintenance Manual. As-built plans shall be submitted in the form of two hard copies and one electronic set (PDF format) for permanent files. Upon determining that the Manual meets the requirements of the Division, written approval will be sent to the Sponsor by the Division.

3. The Sponsor shall operate and maintain the project in accordance with the approved Operation and Maintenance Manual for a minimum of three (3) years. DOTD may inspect a completed project at any time to assure compliance. Noncompliance will cause the Sponsor to be ineligible for funding of any subsequent project by the Statewide Flood Control Program.
4. To minimize flood damages, the Sponsor is encouraged to continually operate and maintain the flood control project.

B. Requirements

1. The Sponsor shall appoint a Superintendent who shall have the authority and responsibility to operate and maintain, in accordance with the approved Operation and Maintenance Manual, the structures and facilities that have been constructed by funds provided by the Statewide Flood Control Program.
2. The Sponsor shall advise the Division in writing the Superintendent's name, mailing address, home and business telephone numbers, and will agree to advise the Division in writing of any changes.
3. The Superintendent shall submit to the Division an annual report covering inspections, problems and corrective actions taken.
4. A reserve supply of materials needed during a flood emergency shall be maintained.
5. Encroachments or trespasses which will adversely affect the operation or maintenance of the facilities shall not be permitted.
6. No improvements shall be passed over, under or through the walls, levees, channels or floodways, nor shall any excavation or construction be permitted within the limits of the project right-of-way, nor shall any changes be made to the structures and facilities without written approval from the Division.

C. Format for Operation and Maintenance Manual

The format for the Operation and Maintenance Manual shall be as follows:

I. Project Summary

A. Identify

1. Parish
2. Sponsoring Authority
3. Project Name
4. Person responsible for operation and maintenance

- a) Name
- b) Mailing address
- c) Telephone number
 - (1) Business
 - (2) Home
- 5. Contractor
 - a) Name
 - b) Mailing address
 - c) Telephone number
- 6. Engineer
 - a) Name
 - b) Mailing address
 - c) Telephone number
- 7. Brief Project Description
 - a) Project components
 - b) General location
- B. History

II. Detailed Description of Project

- A. Project components
- B. Location

III. Operation

- A. Normal procedures
- B. Emergency procedures

IV. Maintenance

- A. Inspecting
- B. Testing
- C. Lubricating
- D. Troubleshooting
- E. Repairing

V. Appendix

- A. As-built data
 - 1. Final estimate
 - 2. "As-built" plans
 - a) Wiring diagrams
 - b) Plumbing diagrams
 - c) Pump curves
 - d) Testing data
- B. Manufacturers' Recommendations
 - 1. Operation
 - 2. Maintenance
- C. Suggested Forms
 - 1. Operator's log
 - 2. Maintenance records
 - 3. Inspection check list
 - 4. Repair and cost records

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Appendix I

RESOLUTIONS AND CERTIFICATES

Appendix I-A

Resolution Authorizing an Agreement & Designation of Person Authorized to Sign

RESOLUTION

(Public Entity)

A Resolution authorizing the (Public Entity) to enter into an agreement with the State of Louisiana, Department of Transportation and Development under the Louisiana Statewide Flood Control Program for assistance in the implementation of a flood control improvement project; providing for the necessary documentation of the need for the flood control improvement; and providing for other matters in connection therewith.

WHEREAS, the (Public Entity) has a need for flood control improvements; and

WHEREAS, the (Public Entity) has reviewed the application for (Project Name) and agrees with said agreement; and

WHEREAS, the (Public Entity) has applied for State matching funds pursuant to Chapter 38 of Title 34 of the Louisiana Revised Statutes of 1950, as amended, to implement a project to improve its flood control and (Public Entity) is fully aware of its obligations under said Statute; and

WHEREAS, the (Public Entity) is a political body duly organized and existing under the laws of the State of Louisiana and is eligible to apply for funds under said Statute; and

WHEREAS, the State has made funds available pursuant to the above Statutes.

NOW, THEREFORE, BE IT RESOLVED by the (Public Entity) as follows:

Section 1. That (Public Entity) acknowledges that an application was submitted to the Louisiana Statewide Flood Control Program.

Section 2. That at the appropriate time and upon approval of funding assistance and prior to commencement of work on the project (Public Entity) agrees to execute a Project Agreement and a Statement of Sponsorship pursuant to the Statute and hereby authorizes and empowers (Name of Chairman, President, or Other Person Authorized to execute the agreement and their official title) to enter into and execute said agreement with the Louisiana Department of Transportation and Development.

Section 3. That (Name of Chairman, President, or Other Person Authorized to execute the agreement and their official title) is hereby Authorized Representative for (Public Entity) to represent the (Public Entity) with regards to the receipt of funds from the Louisiana Statewide Flood Control Program for a flood control improvement project.

Section 4. That said Authorized Representative shall have the authority to sign and approve all documents that are necessary under the circumstances to accomplish the above project.

(SECRETARY OR CLERK)

(MAYOR), (CHAIRMAN) OR (PRESIDENT)

CERTIFICATE

I hereby certify that the above and foregoing is a true and correct copy of a resolution adopted at a (Regular) or (Special) Meeting of The (Public Entity) held on the ____ Day of _____, 20____, in which a quorum was present and voting and that the resolution adopted is still in effect and has not been rescinded or revoked.

Signed at _____ On the ____ Day of _____, 20 ____.

(SECRETARY) OR (CLERK)

Appendix I-B

Resolution Requesting Authority to Advertise
(Sponsor has own Engineer)

RESOLUTION

(Public Entity)

WHEREAS, (Public Entity) has submitted an application for funding of the (Project Name) flood control project under the Statewide Flood Control Program; and

WHEREAS, the State's share of the project funds has been made available and the (Public Entity) has available its local matching share of the project funds in an amount of not less than ten (10%) percent; and

WHEREAS, at the request of this (Public Entity), (Consulting Engineer) has prepared plans and specifications for said project, which plans and specifications are designated by State Project No. _____; and

WHEREAS, this (Public Entity) has reviewed the final plans, specifications and cost estimate and accepts them as submitted and the Department of Transportation and Development has reviewed the final plans, specifications, and cost estimate and has approved them inasmuch as they comply with the requirements of the Statewide Flood Control Program; and

WHEREAS, all necessary servitudes, rights-of-way, spoil disposal areas, rights of ingress and egress and the means thereof have been acquired by this (Public Entity), and the titles thereto are valid and indefeasible; and

WHEREAS, this (Public Entity) has obtained all necessary permits required for the construction of this project; and

WHEREAS, (Public Entity) has agreed to accomplish all necessary utilities, fence and other facilities relocations and alterations made necessary by this project; and

WHEREAS, the Official Journal for the (Public Entity) is (Official Journal), whose mailing address is (Mailing Address including City, State & Zip code), and whose telephone number is (Area Code & Telephone Number); and

WHEREAS, this (Public Entity) desires to advertise for competitive bids, in accordance with LRS 38:2212, et seq., for the award of a contract in the name of the (Public Entity), and furnish engineering services during the progress of the work.

NOW, THEREFORE, BE IT RESOLVED by the (Public Entity), in (Regular) or (Special) session assembled on this _____ day of _____, 20____, that the Department of Transportation and Development be and hereby is requested to authorize the (Public Entity) to advertise for competitive bids in accordance with LRS 38:2212, et seq., for the award of a contract in the name of (Public Entity), covering the aforesaid improvements.

BE IT RESOLVED that the Department of Transportation and Development be and hereby is assured that all necessary servitudes, rights-of-way, rights of ingress and egress and the means thereof have been obtained by (Public Entity), and the titles thereto are valid and indefeasible and (Public Entity) expressly agrees to defend any action for the failure of any servitude, right-of-way, right of ingress or egress, and (Public Entity) does hereby assume complete responsibility for providing engineering services during construction and the maintenance and upkeep of the project after construction.

BE IT RESOLVED that the Department of Transportation and Development be and hereby is assured that all required permits have been obtained by (Public Entity).

BE IT RESOLVED that the Department of Transportation and Development be and hereby is assured that (Public Entity) has available its local matching funds in an amount not less than ten (10%) percent of the total project cost to insure construction of this project.

BE IT RESOLVED that (Public Entity) will and hereby does assume complete responsibility for all utilities, fence, and other facilities relocations and alterations made necessary by this project.

BE IT RESOLVED THAT (Public Entity) does hereby save and hold harmless the Department of Transportation and Development against any loss or damage of any kind incident to or occasioned by Activities undertaken in pursuance of this agreement and expressly agrees to defend any suit brought against the Department of Transportation & Development, and pay any judgment which may result from said suit as it relates to this project.

(SECRETARY OR CLERK)

(MAYOR), (CHAIRMAN) OR (PRESIDENT)

CERTIFICATE

I hereby certify that the above and foregoing is a true and correct copy of a resolution adopted at a (Regular) or (Special) Meeting of The (Public Entity) held on the ___ Day of _____, 20___, in which a quorum was present and voting and that the resolution adopted is still in effect and has not been rescinded or revoked.

Signed at _____ On the _____ Day of _____, 20

(SECRETARY) OR (CLERK)

Appendix I-C

Resolution Requesting Authority to Advertise
(DOTD is the Engineer)

RESOLUTION

(Public Entity)

WHEREAS, (Public Entity) has submitted an application for funding of the (Project Name) flood control project under the Statewide Flood Control Program; and

WHEREAS, the State's share of the project funds has been made available and the (Public Entity) has available its local matching share of the project funds in an amount of not less than ten (10%); and

WHEREAS, at the request of this (Public Entity), the Department of Transportation and Development has prepared plans and specifications for said project, which plans and specifications are designated by State Project No. _____; and

WHEREAS, this (Public Entity) has reviewed the final plans, specifications and cost estimate and accepts them as submitted; and

WHEREAS, all necessary servitudes, rights-of-way, spoil disposal areas, rights of ingress and egress and the means thereof have been acquired by this (Public Entity), and the titles thereto are valid and indefeasible; and

WHEREAS, this (Public Entity) has obtained all necessary permits required for the construction of this project; and

WHEREAS, (Public Entity) has agreed to accomplish all necessary utilities, fence and other facilities, relocations and alterations made necessary by this project; and

WHEREAS, the Official Journal for the (Public Entity) is (Official Journal), whose mailing address is (Mailing Address including City, State & Zip code), and whose telephone number is (Area Code & Telephone Number); and

WHEREAS, this (Public Entity) desires that the Department of Transportation and Development advertise for competitive bids, in accordance with LRS 38:2212 et seq., for the award of a contract in the name of the (Public Entity), and for the Department of Transportation and Development to furnish engineering services during the progress of the work.

NOW, THEREFORE, BE IT RESOLVED by the (Public Entity), in (Regular) or (Special) session assembled on this _____ Day of _____, 20____, that the Department of Transportation and Development be and hereby is requested to advertise for competitive bids in accordance with LRS 38:2211, et seq., for the award of a contract in the name of (Public Entity), covering the aforesaid improvements and furnish engineering services during the progress of the work.

BE IT RESOLVED that the Department of Transportation and Development be and hereby is assured that all necessary servitudes, rights-of-way, rights of ingress and egress and the means thereof have been obtained by (Public Entity), and the titles thereto are valid and indefeasible and (Public Entity) expressly agrees to defend any action for the failure of any servitude, right-of-way, right of ingress or egress, and (Public Entity) does hereby assume complete responsibility for the maintenance and upkeep of the project after construction.

BE IT RESOLVED that the Department of Transportation and Development be and hereby is assured that all required permits have been obtained by (Public Entity).

BE IT RESOLVED that the Department of Transportation and Development be and hereby is assured that (Public Entity) has available its local matching funds in an amount not less than ten (10%)/thirty (30%) percent of the total project cost to insure construction of this project.

BE IT RESOLVED that (Public Entity) will and hereby does assume complete responsibility for all utilities, fence, and other facilities relocations and alterations made necessary by this project.

BE IT RESOLVED that (Public Entity) does hereby save and hold harmless the Department of Transportation and Development against any loss or damage of any kind incident to or occasioned by activities undertaken in pursuance of this agreement and expressly agrees to defend any suit brought against the Department of Transportation & Development, and pay any judgment which may result from said suit as it relates to this project.

(SECRETARY) OR (CLERK)

(CHAIRMAN), (MAYOR) OR (PRESIDENT)

CERTIFICATE

I hereby certify that the above and foregoing is a true and correct copy of a resolution adopted at a (Regular) Or (Special) Meeting of the (Public Entity) held on the ____ Day of _____, 20____, in which a quorum was present and voting and that the resolution adopted is still in effect and has not been rescinded or revoked.

Signed at _____ On the ____ Day of _____, 20 ____.

(SECRETARY) OR (CLERK)

Appendix I-D

Resolution Requesting Authority to Advertise
(USACE is the Engineer)

RESOLUTION

(Public Entity)

WHEREAS, (Public Entity) has submitted an application for funding of the (Project Name) flood control project under the Statewide Flood Control Program; and

WHEREAS, the State's share of the project funds has been made available and the (Public Entity) has available its local matching share of the project funds in an amount of not less than thirty (30%) percent; and

WHEREAS, at the request of this (Public Entity), (Consulting Engineer) has prepared plans and specifications for said project, which plans and specifications are designated by State Project No. _____; and

WHEREAS, this (Public Entity) has reviewed the final plans, specifications and cost estimate and accepts them as submitted and the Department of Transportation and Development has reviewed the final plans, specifications, and cost estimate and has approved them inasmuch as they comply with the requirements of the Statewide Flood Control Program; and

WHEREAS, all necessary servitudes, rights-of-way, spoil disposal areas, rights of ingress and egress and the means thereof have been acquired by this (Public Entity), and the titles thereto are valid and infeasible; and

WHEREAS, this (Public Entity) has obtained all necessary permits required for the construction of this project; and

WHEREAS, (Public Entity) has agreed to accomplish all necessary utilities, fence and other facilities relocations and alterations made necessary to this project; and

WHEREAS, the Official Journal for the (Public Entity) is (Official Journal), whose mailing address is (Mailing Address including City, State & Zip code), and whose telephone number is (Area Code & Telephone Number); and

WHEREAS, this (Public Entity) desires to advertise for competitive bids, in accordance with LRS 38:2212, et seq., for the award of a contract in the name of the (Public Entity), and furnish engineering services during the progress of the work.

NOW, THEREFORE, BE IT RESOLVED by the (Public Entity), in (Regular) or (Special) session assembled on this _____ day of _____, 20____, that the Department of Transportation and Development be and hereby is requested to authorize the (Public Entity) to advertise for competitive bids in accordance with LRS 38:2212, et seq., for the award of a contract in the name of (Public Entity), covering the aforesaid improvements.

BE IT RESOLVED that the Department of Transportation and Development be and hereby is assured that all necessary servitudes, rights-of-way, rights of ingress and egress and the means thereof have been obtained by (Public Entity), and the titles thereto are valid and indefeasible and (Public Entity) expressly agrees to defend any action for the failure of any servitude, right-of-way, right of ingress or egress, and (Public Entity) does hereby assume complete responsibility for providing engineering services during construction and the maintenance and upkeep of the project after construction.

BE IT RESOLVED that the Department of Transportation and Development be and hereby is assured that all required permits have been obtained by (Public Entity).

BE IT RESOLVED that the Department of Transportation and Development be and hereby is assured that (Public Entity) has available its local matching funds in an amount not less than thirty (30%) percent of the total project cost to insure construction of this project.

BE IT RESOLVED that (Public Entity) will and hereby does assume complete responsibility for all utilities, fence, and other facilities relocations and alterations made necessary by this project.

BE IT RESOLVED THAT (Public Entity) does hereby save and hold harmless the Department of Transportation and Development against any loss or damage of any kind incident to or occasioned by Activities undertaken in pursuance of this agreement and expressly agrees to defend any suit brought against the Department of Transportation & Development, and pay any judgment which may result from said suit as it relates to this project.

(SECRETARY OR CLERK)

(MAYOR), (CHAIRMAN) OR (PRESIDENT)

CERTIFICATE

I hereby certify that the above and foregoing is a true and correct copy of a resolution adopted at a (Regular) or (Special) Meeting of The (Public Entity) held on the ____ Day of _____, 20____, in which a quorum was present and voting and that the resolution adopted is still in effect and has not been rescinded or revoked.

Signed at _____ On the ____ Day of _____, 20_____.

(SECRETARY) OR (CLERK)

Appendix I-E

Resolution to Award

STATE PROJECT NO. _____

PARISH OF _____

RESOLUTION

(Public Entity)

WHEREAS, (Public Entity) has received bids on (Date and Time) on the (Project Name) flood control project under the Statewide Flood Control Program; and

WHEREAS, (Consulting Engineer) has recommended that award of contract be made to the lowest qualified bidder; (Low Bidder).

NOW, THEREFORE, BE IT RESOLVED, by the (Public Entity) in (Regular) or (Special) session assembled on this ____ Day of _____, 20____, acting pursuant to the recommendation of (Consulting Engineer) that the Base Bid in the Amount of (\$) by (Low Bidder) be accepted and a contract be awarded to them.

(Secretary) or (Clerk)

(Mayor), (Chairman), or (President)

CERTIFICATE

I hereby certify that the above and foregoing is a true and correct copy of a resolution adopted at a (Regular) or (Special) meeting of the (Public Entity) held on the ____ Day of _____, 20____, in which a quorum was present and voting and that the resolution adopted is still in effect and has not been rescinded or revoked.

Signed at _____ On the ____ Day of _____, 20____.

(Secretary) or (Clerk)

Appendix I-F

Resolution to Reject
(Just Cause)

STATE PROJECT NO. _____
PARISH OF _____

RESOLUTION

(Public Entity)

WHEREAS, (Public Entity) has received bids on (Date and Time) on the (Project Name) flood control project under the Statewide Flood Control Program; and

NOW, THEREFORE, BE IT RESOLVED, by the (Public Entity) in (Regular or (Special)) session assembled on this ____ Day of _____, 20 __, that (Just Cause Reasoning) and no contract be awarded per that bid process.

(Secretary) or (Clerk)

(Mayor), (Chairman), or (President)

CERTIFICATE

I hereby certify that the above and foregoing is a true and correct copy of a resolution adopted at a (Regular) or (Special) meeting of the (Public Entity) held on the ____ Day of _____, 20 __, in which a quorum was present and voting and that the resolution adopted is still in effect and has not been rescinded or revoked.

Signed at _____ On the _____ Day of _____, 20 __.

(Secretary) or (Clerk)

Appendix I-G

Engineer's Certificate
(Project Ready to Advertise)

Engineer's Certificate
Project Ready to Advertise

DATE

State Project No.
(Project Name)
(Parish)
Statewide Flood Control Program
(Sponsor)
(Address)

I (Name, Title) do hereby certify that the plans and specifications included herein for the above named project have been prepared by me or at my direction and control.

The cost estimates, plans, designs, and the engineering information included therein conform to accepted engineering practice; they have been developed in accordance with the original application for funds that was approved by the Department of Transportation and Development.

I further certify that they are in accord with the rules, regulations and procedures governing the Statewide Flood Control Program; and that the project is ready to be advertised in accordance with the public bid laws of the State of Louisiana.

Sincerely,

Engineer, LA License No. _____

SEAL

Appendix I-H

Resolution Certifying Compliance with Public Bid Laws

STATE PROJECT NO. _____
PARISH OF _____

RESOLUTION

(Sponsor)

Whereas, the (Sponsor) has solicited bids for State Project No. _____ in accordance with the current bid laws of the state of Louisiana, including, but not limited to R.S. 38:2211 et seq.; and

Whereas, the (Sponsor) has submitted to DOTD Certification of proof of publication, one(1) copy of the bid proposals and bid bonds as submitted by each of the three(3) lowest bidders, a legible copy of the bid tabulation of all bids received, and certified to be correct by the Engineer and an authorized official of the Sponsor, a copy of the engineer's recommendation, contract documents, Notice of Award of Contract, and a copy of the recordation data in the Clerk of Court's Office.

NOW, THEREFORE, BE IT RESOLVED by the (Sponsor), in (Regular) or (Special) session, assembled on this _____ day of _____, 20____, does hereby certify that the bidding procedures comply with Louisiana Revised Statutes 38:2211, et seq.

(SECRETARY) or (CLERK)

(CHAIRMAN) or (PRESIDENT)

CERTIFICATE

I hereby certify that the above and foregoing is true and correct copy of the resolution adopted at a (Regular) or (Special) meeting of the (Sponsor) held on the _____ Day of _____, 20____, in which a quorum was present and voting and that the resolution is still in full effect and has not been rescinded or revoked.

Signed at _____ on the _____ Day of _____ 20____.

(SECRETARY) or (CLERK)

Appendix II

Partial Payment Documentation

Appendix II-A

Application for Partial Payment

DATE: _____

State Project No. _____
(Project Name)
(Parish)

Statewide Flood Control Program, Section 64
Department of Transportation and Development
P.O. Box 94245
Baton Rouge, LA 70804

Gentlemen:

This is to certify that the Application for Partial Payment No. ____ included herein for the above named project has been reviewed and is approved for payment in the amount of \$ _____ dollars. Reimbursement is hereby requested for the Department of Transportation and Development share.

Sincerely,
(Sponsor)

Enclosure

CC: (DOTD District Water Resources Engineer)
(DOTD District ADA Engineering)

ORIGINAL CONTRACT TOTAL	\$ _____
PLAN CHANGE NO. 1 THRU NO. _____	_____
TOTAL	\$ _____
NEW CONTRACT TOTAL	\$ _____

WORK COMPLETED TO DATE	\$ _____	\$ _____
LESS _____ % RETAINAGE	\$ _____	\$ _____
LESS PREVIOUS PAYMENTS	\$ _____	\$ _____
AMOUNT DUE THIS APPLICATION	\$ _____	\$ _____

Contractor's Certification:

The undersigned Contractor certifies that all work covered by this application for payment in accordance with the Contract Documents.

Dated: _____ 20 _____

CONTRACTOR

Engineer's Certification:

The undersigned Engineer certifies that the above application for payment has been reviewed by me or at my direction and control and that all work covered by this application for payment is in accordance with the Contract Documents. Payment in the amount of \$ _____ is recommended.

Dated: _____ 20 _____

ENGINEER

Appendix II-B

District Engineer Letter of Recommendation to Reimburse

MEMORANDUM

STATE PROJECT H. _____

(PROJECT TITLE)

(SPONSOR)

(PARISH)

TO: Statewide Flood Control Program
Mr. Billy Williamson, P.E.
Statewide Flood Control Program Manager

FROM: (District Engineer)

DATE: _____

SUBJECT: Partial Payment No. _____

Attached is Application for Partial Payment No. _____ in the amount of \$ _____ for construction of the above named project. A cursory inspection of the job site indicates that the payment request appears to be consistent with the work accomplished during the estimate period. Therefore, based on the Engineer's and Owner's certification, it is recommended that payment be made in the amount of the Department's share.

RECOMMENDED FOR APPROVAL

DATE

RECOMMENDED FOR APPROVAL

DATE

RECOMMENDED FOR APPROVAL

DATE

APPROVED

DATE

Appendix III

Change Orders

Appendix III-A

Change Order Form

CHANGE ORDER

No. _____

DATE OF ISSUANCE: _____

EFFECTIVE DATE: _____

OWNER: _____
 CONTRACTOR: _____
 Contract: _____
 Project: _____
 Owner's Contract #: _____
 Engineer: _____

Engineer's Contract #: _____

You are directed to make the following changes in the contract documents:

Description:

Reason for Change Order:

Attachments: (List documents supporting change)

CHANGE IN CONTRACT PRICE:
Original Contract Price \$ _____
Net Increase (Decrease) From Previous Change Orders No. ____ to ____: \$ _____
Contract Price prior to this Change Order: \$ _____
Net Increase (Decrease) this Change Order: \$ _____
Contract Price with all approved Change Orders: \$ _____

CHANGE IN CONTRACT TIMES:
Original Contract Times: Substantial Completion: _____ Ready for Final Payment: _____ (days or dates)
Net Change From Previous Change Orders No. ____ to ____: Substantial Completion: _____ Ready for Final Payment: _____ (days)
Contract Times prior to this Change Order: Substantial Completion: _____ Ready for Final Payment: _____ (days or dates)
Net Increase (Decrease) this Change Order: Substantial Completion: _____ Ready for Final Payment: _____ (days)
Contract Times with all approved Change Orders: Substantial Completion: _____ Ready for Final Payment: _____ (days or dates)

RECOMMENDED:

APPROVED:

ACCEPTED:

By: _____
 Engineer
 (Authorized Signature)

By: _____
 Owner
 (Authorized Signature)

By: _____
 Contractor
 (Authorized Signature)

Date: _____

Date: _____

Date: _____

Appendix III-B

Engineer's Recommendation

(Engineer's Letter to Sponsor)
(Recommendation for Plan Change)

DATE _____

State Project No. _____
(Project Name)
(Parish)
Statewide Flood Control Program
(Sponsor)
(Address)

SUBJECT: Plan Change No. _____

Enclosed for your review is Plan Change No. _____ for the above captioned project. We recommend that you approve of the Plan Change which will result in an (increase/decrease) in the contract amount by \$ _____. The reason(s) for this Plan Change are listed below.

Item _____. (Reason)

Item _____. (Reason)

I hope this adequately describes the reason(s) for the item(s) in Plan Change No. _____. If you desire further explanation, or if you have any questions, please give me a call.

Sincerely,

Engineer

LA License No. _____

Appendix III-C

Sample Request Letter

(Sponsor Letter to the Department)
(Recommending Plan Change)

DATE: _____

State Project No. _____
(Project Name)
(Parish)
Statewide Flood Control Program

Statewide Flood Control Program Manager
Department of Transportation and Development
Post Office Box 94245
Baton Rouge, Louisiana 70804

SUBJECT: Plan Change No. _____

Dear Sir or Madam:

Enclosed for your review is the Engineer's documentation for Plan Change No. _____ which includes (brief description). The (Sponsor) (is / is not) requesting participation from the Department of Transportation and Development for this work.

If I may provide any additional information, please feel free to call me.

Sincerely,
(Sponsor)

Appendix III-D

District Recommendation

MEMORANDUM

STATE PROJECT H. _____

(PROJECT TITLE)

(SPONSOR)

(PARISH)

TO: (Statewide Flood Control Program Manager)
Statewide Flood Control Program

FROM: (District Engineer)

DATE: _____

SUBJECT: Plan Change No. _____

I have reviewed Change Order No. _____ and recommend the Department's participation financially if possible for the following reason(s): 1, 2, 3, 4, 5,....., (n-1), and n.

or

I have reviewed Change Order No. _____ and do not recommend the Department's participation financially for the following reason(s): 1, 2, 3, 4, 5,...., (n-1), and n.

or

I have reviewed Change Order No. _____ and recommend that the Department deny the execution of this Change Order for the following reason(s): 1, 2, 3, 4, 5,...., (n-1), and n.

Should you have any questions or need additional help, please feel free to call.

RECOMMENDED FOR APPROVAL

DATE

RECOMMENDED FOR APPROVAL

DATE

RECOMMENDED FOR APPROVAL

DATE

APPROVED

DATE

Appendix IV

Certificate of Substantial Completion

CERTIFICATE OF SUBSTANTIAL COMPLETION

Project.....

OWNER.....

OWNER'S Contract No.....

CONTRACTOR.....ENGINEER.....

This Certificate of Substantial Completion applies to all Work under the Contract Documents or to the following specified parts thereof:

TO.....
OWNER

And To.....
CONTRACTOR

The Work to which this Certificate applies has been inspected by authorized representatives of OWNER, CONTRACTOR AND ENGINEER, and Work is hereby declared to be substantially complete in accordance with the Contract Document on

.....
DATE OF SUBSTANTIAL COMPLETION

A tentative list of items to be completed or corrected is attached hereto. This list may not be all inclusive, and the failure to include an item in it does not alter the responsibility of CONTRACTOR to complete all the WORK in accordance with the Contract Documents. The items in the tentative list shall be completed or corrected by CONTRACTOR within ____ days of the above date of Substantial Completion.

From the date of Substantial Completion the responsibilities between OWNER and CONTRACTOR for security, operation, safety, maintenance, heat, utilities, insurance and warranties and guarantees shall be as follows:

RESPONSIBILITIES:

OWNER: _____

CONTRACTOR: _____

The following documents are attached to and made a part of the Certificate:

(For items to be attached see definition of Substantial Completion as supplemented and other specifically noted conditions precedent to achieving Substantial Completion as required by Contract Documents.)

This certificate does not constitute an acceptance of Work not in accordance with the Contract Documents nor is it a release of CONTRACTOR's obligation to complete the Work in accordance with the Contract Documents.

Executed by ENGINEER on _____, 20 ____

ENGINEER

By: _____
(Authorized Signature)

CONTRACTOR accepts this Certificate of Substantial Completion on _____, 20 ____

CONTRACTOR

By: _____
(Authorized Signature)

OWNER accepts this Certificate of Substantial Completion _____, 20 ____

OWNER

By: _____
(Authorized Signature)

Appendix V

Required Submittals

Appendix V-A

Required Submittals for Non-USACE Projects

This list intended to be a *brief* summation of materials that are to be submitted to DOTD. For complete details, see the corresponding section of this document and the Agreement.

AGREEMENT:

1. Agreement executed by the Sponsor.
2. Resolution authorizing an official of the Sponsor to sign this and all future documents pertaining to this project.

PROGRESS SCHEDULE:

1. A bar graph showing the proposed schedule to develop construction plans and specification and to let a construction contract.

PLAN DEVELOPMENT:

1. Two sets of preliminary plans and specifications/bid proposal, and cost estimate to reflect the scope of work undertaken by the project.
2. Two sets of plans and specifications/bid proposal addressing comments from the Project Development Meeting, along with the marked up set of preliminary plans.
3. One set of plan and specifications/bid proposal to the Water Resources Engineer.
4. A Resolution affirming availability of right-of-way, permits, local funding, etc.
5. Engineer's Certificate that plans, specification/bid proposal, and cost estimate are complete and have been developed in accordance with the Application and program requirements.

ADVERTISING AND BIDDING:

1. Letter requesting authorization to advertise.
2. Two sets of plans and specifications.
3. Copy of the letter to the publisher of the Journal requesting publication.
4. Certified proof of publication, the clipping of the Notice as published and an affidavit bearing the signature of the official of the publisher certifying the dates the Notice was published.
5. A copy of the three lowest bidders proposal including a copy of their bid security.
6. Legible copy of the bid tabulation of all bids received, certified correct by the Sponsor.
7. Engineer's recommendation.
8. Certified letter of Intent from the Sponsor indicating that they intend to award or to reject bids.
9. Resolution to either award or to reject bids.

AWARD OF CONTRACT:

1. Two originals and one conforming copy of the contract documents.
2. Two certified copies of the award.
3. A copy of the Recordation data, along with four copies of the Work Order.
4. An original copy of the Resolution for compliance to bid laws.

CONSTRUCTION ADMINISTRATION AND INSPECTION:

PARTIAL PAY ESTIMATES

1. One original copy of the pay estimate, certified by the Sponsor and Engineer.
2. One original copy of the pay estimate, certified by the Sponsor and Engineer shall be forwarded to the DOTD Water Resources Engineer

SUBSTANTIAL COMPLETION INSPECTION

1. Certificate of Substantial Completion by the Contractor, and the Sponsor's Engineer that the work is complete and a recommendation of acceptance.
2. A Resolution by the Sponsor accepting the work.

RECORDATION

1. A certified copy of The Recordation of Acceptance.
2. A certified copy of the Clear Lien Certificate.

OPERATION AND MAINTENANCE:

1. Two copies and one electronic set (PDF format) of the Operation and Maintenance Manual and "As-Built" plans.

Appendix V-B

Required Submittals for USACE Projects

This list intended to be a *brief* summation of materials that are to be submitted to DOTD. For complete details, see the corresponding section of this document and the Agreement.

AGREEMENT:

1. Agreement executed by the Sponsor.
2. Resolution authorizing an official of the Sponsor to sign this and all future documents pertaining to this project.

PLAN DEVELOPMENT:

1. Four sets of preliminary plans and specifications to reflect the scope of work undertaken by the project.
2. Two sets of plans and specifications addressing comments from the Project Development Meeting, along with the marked up set of preliminary plans.
3. A Resolution affirming availability of right-of-way, permits, local funding, etc.

ADVERTISING AND BIDDING:

1. Letter requesting authorization to advertise.
2. Two sets of plans and specifications.
3. A copy of the three lowest bidders proposal including a copy of their bid security.
4. Legible copy of the bid tabulation of all bids received, certified correct by the COE Official and the Sponsor.
5. Engineer's recommendation.

AWARD OF CONTRACT:

1. Two "True Copies" of the contract and two copies of the Notice to Proceed.

CONSTRUCTION ADMINISTRATION AND INSPECTION:

1. Letter to the Sponsor estimating the amount of funds necessary for the remaining fiscal year, with funds broken down into Federal and Non-Federal.
2. The Sponsor submits a letter to the Department requesting DOTD's portion of the Non-Federal share, along with a copy of the letter form the COE.

OPERATION AND MAINTENANCE:

1. Two copies of the Operation and Maintenance Manual and "as built" plans.

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