

Compliance Workshop Engineering

Chris Perkins, PE

CED Engineer/Environmental Officer

334-353-1028

christopher.perkins@adeca.alabama.gov

ENGINEERING SUBMITTAL CHECKLIST

Below are the items that are required to be submitted to ADECA for CDBG projects. Please ensure that these required items are submitted in a timely manner as to allow for the proper review and concurrence, should it be required. Email is the preferred method submittal.

| Submittal | Submittal Date | Concurrence Date |
|---|----------------|------------------|
| 1. Engineering Service Agreement <ul style="list-style-type: none"> a. Required if CDBG funds are being utilized to pay for engineering services b. Must receive concurrence in the form of an email or letter prior to proceeding | | |
| 2. Plans, Specifications and Contract Documents <ul style="list-style-type: none"> a. Required for all CDBG projects (excluding planning grants; demolition, housing/building rehabilitation, senior/community center projects and others as decided by the Engineer) b. Must receive concurrence in the form of an email or letter prior to proceeding | | |
| 3. Engineer's Letter of Recommendation, Bid Tabulation, Bid Bond & Power of Attorney <ul style="list-style-type: none"> a. Bid tabulation should contain the complete bid tabulation not just a summary of the bids b. Must receive concurrence in the form of an email or letter prior to proceeding | | |
| 4. Notice of Start of Construction | | n/a |
| 5. Final Inspection Certification | | n/a |
| 6. Final Summary Change Order <ul style="list-style-type: none"> a. Required for all construction projects (should contain the summarization of all change orders on the project and/or the reconciliation of quantities for the project) b. A concurrence email and letter will be issued once reviewed | | |
| 7. As-built Certification Certification can be achieved by: <ul style="list-style-type: none"> a. completing the form found in the Standard Bid Contract Package b. having the Mayor/Commissioner send an email or letter certifying that the as-built plans were received | | n/a |

Required Engineering Submittals

- 7 Required Engineering Submittals
 - Engineering Service Agreements
 - Plans, Specs & Contract Documents
 - Bid Results Package
 - Notice of Start of Construction
 - Final Inspection Certification
 - Final Summary Change Order
 - As-Built Certification
- Concurrence should be received prior to the next submittal

1. Engineering Service Agreements

- Required submittal when CDBG funds pay for Engineering Fees
- A sample Standard Engineering Service Agreement is available on the ADECA website
- Fees are subject to amounts presented in application, unless they exceeded the maximum allowable amounts. Any required reductions should be in the LCC packet
 - Fees subject to Policy Letter 25
 - Design 60% (max) Construction 30% Final Inspection 10%
- Submit for concurrence prior to Execution
- Electronic (email) submittal
- Wait for concurrence before submitting the next submittal

2. Plans, Specs & Contract Docs

- Standard Bid Contract Package available on ADECA website
 - Don't forget about the Required Pre-Bid Meeting. Add to the Advertisement for Bids if you are not using the Standard Bid Contract Package
 - Submittals will be rejected without all the parts of the Standard Bid Contract Package
- Content should match the application unless there has been an amendment
- Construction must begin within 180 days of the date of the Grant Agreement
- Submit for concurrence prior to Publication
- Electronic (email) submittal
- Wait for concurrence before submitting the next submittal

Pre-Bid Meetings

- Holding the Pre-Bid Meeting is mandatory for all non-housing rehab projects
 - Aides in complying with HUD Forms 2516 and 60002
- Attendance is NOT mandatory for the bidders
- Meeting requirements are available in the memo available on the website
- Must observe a minimum 7 day wait period between the Pre-Bid Meeting and Bid Opening.

3. Bid Results Package

- Verify low bid doesn't exceed application construction budget
 - If the low bid DOES exceed the budget, the owner can add the additional funds, or you can negotiate with the low bidder to bring the cost within 10% of the original budget or redesign the project and rebid.
 - If after the next bid opening the low bid STILL exceeds the budget, follow the same process as before.
 - If NO bids or only ONE bid is received, you may rebid – or – negotiate for the work through the receipt of informal bids
- Once an acceptable bid has been received, submit the Bid Results Package
 - Certified Bid Summary and complete Bid Tabulation
 - Engineer's Letter of Recommendation
 - Copy of the winning bidder's Bid Bond
 - Copy of the Bid Bond's Power of Attorney
- Wait for concurrence before awarding the contract

Pre-Construction Conference

- All parties should understand their roll and responsibilities
- Responsibilities should be outlined and discussed
- Discuss payment schedules, contract time and how to handle changes of work
- COMMUNICATE effectively, we're all part of the team
- Fully execute contract documents prior to the Pre-Con Conference except for the Notice to Proceed
- Notice to Proceed should be executed within one (1) week of the Pre-Con Conference

4. Notice of Start of Construction

- Complete and submit the Notice of Start of Construction
- No concurrence is required for this submittal

Change Orders

- Change orders required due to a deviation from previously approved activities require an amendment (usually) and a change order and need concurrence from ADECA prior to their execution
- Change orders that result in a 10% change in the construction cost require concurrence from ADECA prior to their execution

5. Final Inspection Certification

6. Final Summary Change Order

7. As-Built Certification

- Submittals 5-7 are generally part of the Close-Out process and final payments will NOT be issued without them
- The Final Inspection Certification form should be executed and submitted with the close-out paperwork
- The Final Summary Change Order may be submitted after construction has been completed or with the close-out paperwork
 - The Final Summary Change Order should contain a summary of all change orders issued for the project
 - If no other change orders exist, then a reconciliation of quantities is all that is needed
- The As-Built Certification should be submitted with the close-out paperwork
 - Certification can be achieved by executing the form in the Standard Bid Contract Package, submission of a letter from the grantee or via an email from the grantee assuring ADECA that they have their copy of the as-built plans

Things to be mindful of

- Give sufficient time for contractors to evaluate addendums
- Get all possible permits prior to bidding
- Required easements must be in hand prior to bidding
- Contract times should be reasonable based on type of work and time of year
- Avoid overlapping conditions in the General & Supplemental Conditions sections
- Additive alternatives must be taken in the order they were originally presented
- Bonds should have an escalator clause (20% should suffice)

Thanks