

VIRGINIA DEPARTMENT OF TRANSPORTATION

LOCATION AND DESIGN DIVISION

INSTRUCTIONAL AND INFORMATIONAL MEMORANDUM

GENERAL SUBJECT: SEALING & SIGNING OF PLANS AND DOCUMENTS	NUMBER: IIM-LD-243.10
SPECIFIC SUBJECT: SEALING & SIGNING RESPONSIBILITIES OF THE RESPONSIBLE PERSONS (LICENSED PROFESSIONAL ENGINEER, CERTIFIED LANDSCAPE ARCHITECT & LICENSED LAND SURVEYOR)	DATE: OCTOBER 25, 2013
	SUPERSEDES: IIM-LD-243.9
APPROVED:	B. A. Thrasher, P.E. State Location and Design Engineer Approved October 24, 2013

Changes are shaded.

CURRENT REVISIONS

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- A note was added on sheet 3 under "Right of Way / Plan Coordination Review / Advertisement Submission" that reads "All Tier 2 plans shall be submitted for Advertisement Submission in accordance with the Tier 2 Advertisement Cut-Off Chart and **shall have Electronic Seals and Digital Signatures on all appropriate sheets.**"
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EFFECTIVE DATE

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- These revisions for the development of Right of Way Plans are effective for all projects that have proceeded beyond Field Inspection Stage as of January 1, 2013, except for the following:
 - Projects that have **not** proceeded beyond Field Inspection shall proceed with the development of Right of Way Plans (Right of Way Plan Method).
 - Projects that have proceeded beyond Field Inspection and **No** platting has started shall proceed with the development of Right of Way Plans (Right of Way Plan Method).
 - Projects that have proceeded beyond Field Inspection and platting has started (Plat Method) should be evaluated by District Staff to determine the best "Method" of Acquisition to use.

- This memorandum is effective for all RAAP projects starting with a December 2009 advertisement date. The effective date for No Plan RAAP, SAAP projects and for all technical documents required to be Sealed and Signed is July 1, 2009.
- All instructions relative to the Tier 1/Tier 2 project approach are effective July 1, 2011.

All plans and documents as defined in this IIM submitted for advertisement to Scheduling and Contract Division (Tier 1 projects) or C.O. Plan Coordination Section (Tier 2 projects) shall be Sealed and Signed by the Responsible Person(s) (Licensed Professional Engineer, Certified Landscape Architect or Licensed Land Surveyor) or Signed Only (Exempt Stamp) by a Responsible Person who is exempt from licensure by Code of Virginia §54.1-402.1 (1950), as amended until June 30, 2010.

- “Responsible Person(s)” (Licensed Professional Engineer, Certified Landscape Architect or Licensed Land Surveyor or exempt from licensure by Code of Virginia §54.1-402.1 (1950), as amended until June 30, 2010) means the individual designated by VDOT to be responsible and has control of the regulated services offered, or rendered, or both.
- All surveys completed by or for VDOT on or after July 1, 2009 shall be Sealed and Signed or Signed Only (Exempt Stamp) by a Licensed Land Surveyor.
- All Standard sheets, Insertable sheets and Special Design sheets prepared on or after July 1, 2009 shall be Sealed and Signed or Signed Only (Exempt Stamp) by a Licensed Professional Engineer.
- All existing Standard sheets, Insertable sheets and Special Design sheets modified on or after July 1, 2009 shall be Sealed and Signed or Signed Only (Exempt Stamp) by a Licensed Professional Engineer.

Development of Right of Way Plans

- When Right of Way plans are developed, Right of Way plusses and offsets shall not be shown on the Roadway Plans, but shall be shown on the Right of Way Plans.
- Right of Way Plans shall be developed in accordance with Chapter 12 of the VDOT Survey Manual and the VDOT CADD Manual.
- Right of Way Plans submitted to Central Office for Tier 1 and Tier 2 projects shall be in accordance with the Electronic Plans Submission Process Flow Chart.
- Once Right of Way Plans are sealed and signed Central Office Plan Coordination Section will notify Right of Way Division that plans are available for printing and viewing for Notice to Proceed (NTP) in accordance with the Electronic Plan Submission Process Flow Chart.

Development of Right of Way Acquisition Plats

- Prior to July 1, 2010 plusses and offsets may be shown on plans, which shall be sealed and signed OR preliminary plats may be provided. Preliminary plats shall be provided on all projects submitted for Right of Way acquisition on or after July 1, 2010. Preliminary plats shall be developed in accordance with Chapter 12 of the VDOT Survey Manual.
- If Preliminary Plats are provided, then Right of Way plusses and offsets shall not be shown on the plans.
- Preliminary Plats shall be submitted to the Central Office Plan Coordination Section prior to Form LD-368 being completed to notify Right of Way Division that plans are available for printing and viewing for Notice to Proceed (NTP) in accordance with the Electronic Plan Submission Process Flow Chart.

Right of Way/Plan Coordination Review/Advertisement Submission

- All Tier 1 and Tier 2 project plans submitted for Right of Way and Advertisement shall be in accordance with the Electronic Plan Submission Process Reference Guides
<http://www.virginiadot.org/business/locdes/reference-guides.asp>
- Instructions relative to electronic plan submittal for Pre-Advertisement Conference (PAC) are available at:
<http://www.virginiadot.org/business/locdes/reference-guides.asp>
- All Tier 1 project plans submitted for advertisement to Scheduling and Contract Division in accordance with the Tier 1 Advertisement Cut-Off Chart **shall have Electronic Seals and Digital Signatures on all appropriate sheets.**
- All Tier 2 project plans submitted for C.O. Plan Coordination Review in accordance with the Tier 2 Advertisement Cut-Off Chart (column 2) **shall have the Seal and Sign BLOCKS only on all appropriate sheets. No Electronic Seal and Digital Signatures.**
- All Tier 2 plans shall be submitted in accordance with the Tier 2 Advertisement Cut-Off Chart (column 4) and **shall have Electronic Seals and Digital Signatures on all appropriate sheets.**

POLICY

- In a letter dated June 15, 2006 the Virginia Department of Transportation (VDOT) requested the Department of Professional and Occupational Regulation (DPOR) to address VDOT's interpretation of Virginia Code Article 54.1-402.1. VDOT's letter inquired whether employees of VDOT who are licensed as professional engineers, landscape architects and/or land surveyors are required to seal and sign their work or if they are exempt from doing so until June 30, 2010.
- In a letter dated September 8, 2006 DPOR provided its response to VDOT stating that professionals employed by VDOT were not exempt from complying with the Board's Regulations.
- Based on this interpretation and ruling VDOT's Chief Engineer formed the Professional Licensure Sealing and Signing Committee, known hereafter as the Committee.
- On July 17, 2012, VDOT sent DPOR a letter clarifying the use of Right of Way Plan sheets in lieu of Right of Way Plats as well as an example sheet showing monumentation to be set and that Right of Way monumentation will be set after completion of construction.
- Information on VDOT's Professional Licensure Sealing and Signing is available at: http://www.virginiadot.org/business/digital_signature.asp
- **The following instructions are also applicable to consultants under contract with VDOT and Design-Build / PPTA Projects.**
- For Locally Administered Projects, see the Locally Administered Projects Manual, which can be accessed at: http://www.virginiadot.org/business/locally_administered_projects_manual.asp .

DIGITAL SIGNATURES / CERTIFICATES / SEALS

- All plans and documents are to be signed with ACES (Access Certificates for Electronic Services) Digital Certificates. VDOT staff will be supplied certificates purchased from IdenTrust LLC.
- Adobe Acrobat Standard Version 9 will be the signing solution for the Department.
- See VDOT's CADD Manual, Appendix F for additional Sealing and Signing requirements, which can be accessed at: http://www.virginiadot.org/business/locdes/vdot_cadd_manual.asp

SEALING & SIGNING OF DOCUMENTS BY THE SURVEY SECTION

- VDOT has determined that the following Location and Design related Plans and Documents are required to be:
 - **Sealed and Signed** by a Responsible Person (Licensed Land Surveyor) as defined in §54.1-400 of the Code of Virginia Licensed in the Commonwealth of Virginia.

or

 - **Signed Only** (Exempt Stamp) by a Responsible Person who is not licensed, but exempt from licensure by Code of Virginia §54.1-402.1 (1950), as amended until June 30, 2010.
- 1. Engineering and Construction Surveys
 - a. Survey Base Mapping (To include Base Survey Controls)
 - b. Photogrammetric Surveys
 - c. As-Built Surveys
 - d. Bridge Situation Surveys
 - e. Bridge, large Drainage Structure Stakeout and R/W Monumentation Surveys (See Section 105.13 of VDOT's 2007 Road and Bridge Specifications and Chapter 8 of VDOT's Survey Manual)
 - f. Donated R/W Surveys
 - g. Wetland Mitigation Site Surveys
- 2. Plans and Permits
 - a. Final Right of Way Plans

Right of Way Plans for Tier 1 and Tier 2 projects shall be sealed and signed prior to the Central Office Plan Coordination Section notifying Right of Way Division that plans are available for printing and viewing for Notice to Proceed (NTP) in accordance with the Electronic Plan Submission Process Flow Chart.
 - b. U.S. Army Corps of Engineer (USACOE) for Wetlands Mitigation permits and Department of Conservation and Recreation (DCR) permits
- 3. Plats and Permits
 - a. Final Right of Way and/or Easement Acquisition Plats
 - Upon completion of negotiations with property owners, the plats shall be finalized, electronically sealed and digitally signed and submitted to the Regional Right of Way Team Leader.

- b. U.S. Army Corps of Engineer (USACOE) Plats for Wetlands Mitigation permits and Department of Conservation and Recreation (DCR) permits
- The following documents are required to be Sealed and Signed or Signed Only (Exempt Stamp) on the Report Cover Sheet only:
 1. Letter Form Documents or Plats used for RADAR, LADAR or VASCAR Calibration Ranges
 2. High Water Information or Data to be used in FEMA or FIRM Studies
 3. Geodetic Control Data for submission to National Geodetic Survey (NGS)
 4. Reports or Documents establishing Control for Aerial Photography to assure Standards Compliance
 5. FEMA Flood Plain Revisions (Letter Form) including the following:
 - a. CLOMR (Conditional Letter of Map Revision)
 - b. CLOMR-F (Conditional Letter of Map Revision Fill)
 - c. LOMR (Letter of Map Revision)
 - d. LOMR-F (Letter of Map Revision Fill)

For further information/details, please refer to Chapter 12 of the VDOT Survey Manual, which can be accessed at:

http://www.virginiadot.org/business/locdes/survey_manual.asp

DOCUMENTS **NOT REQUIRED TO BE** SEALED AND SIGNED BY THE SURVEY SECTION

- VDOT has determined that the following Survey related document will **NOT** be required to be Sealed and Signed.
 - Asset Management Surveys (Inventory Surveys)

SEALING & SIGNING OF PLANS AND DOCUMENTS BY THE DESIGN SECTIONS (ROADWAY, HYDRAULICS, TRAFFIC, LANDSCAPE AND UTILITIES)

- VDOT has determined that the following Location and Design related Plans and Documents are required to be:

- **Sealed and Signed** by a Responsible Person (Licensed Professional Engineer or Certified Landscape Architect) as defined in §54.1-400 of the Code of Virginia Licensed in the Commonwealth of Virginia.
or
- **Signed Only** (Exempt Stamp) by a Responsible Person who is not licensed, but exempt from licensure by Code of Virginia §54.1-402.1 (1950), as amended until June 30, 2010.

1. Plans for Advertisement – Construction (“C”) and Minimum (“M”) Plan
 - a. Roadway Plans
 - b. Drainage Plans
 - c. Utility Relocation Plans
 - d. Traffic Plans (signals / lighting / signs / pavement markings and markers)
 - e. Landscape Architecture Plans (Landscaping/Wetland Mitigation/Bio-Retention)
 2. No Plans - See Scheduling and Contract Division’s CD-2009-3 for Requirements for Sealing and Signing No Plan Assemblies for Advertisement, accessible at: http://www.virginiadot.org/business/locdes/memorandum_signing_and_sealing.asp
- See Sheet 9 of this memorandum for an Example List of Sheets of Construction (“C”) Minimum (“M”) Plans to be Sealed and Signed.
 - The following Documents are required to be Sealed and Signed or Signed Only (Exempt Stamp) on the Report Cover Sheet only:
 1. Hydraulics and Hydrologic Analysis
 - a. Official Recommendations and Reports including:
 - All Hydraulic and Hydrologic Analysis (H&HA) and Scour Analysis Reports
 - Hydraulic Analysis and Reports for CLOMR (Conditional Letter of Map Revision)
 - b. Drainage Design and Stormwater Management Calculations and Computations
 2. Interchange Justification Reports and Interchange Modification Reports
 3. Design Exceptions
 - Shall be Sealed and Signed by the Responsible Person submitting the Design Exception Request (LD-440).
 - Consultants shall Seal and Sign the LD-440 prior to submitting to the District L&D Engineer.
 - District L&D Engineers shall Seal and Sign the LD-440 for all district generated Design Exceptions prior to submitting to the appropriate Assistant State L&D Engineer.

- The appropriate Central Office Roadway Design Section Manager shall Seal and Sign the LD-440 for all Central Office generated Design Exceptions prior to submitting to the appropriate Assistant State L&D Engineer.
- 4. Soils Surveys /Geotechnical Reports /Pavement Reports and Minor Structure Foundation Reports – (To be Sealed and Signed by the Materials Engineer.) For additional information, see Materials Division’s Memorandum MD 327-09, which can be accessed at:
http://www.virginiadot.org/business/locdes/memorandum_signing_and_sealing.asp
- 5. Transportation Management Plan (TMP) Components – (e.g. - Operational / Capacity Analysis, Traffic Safety Studies, Accident Analysis and Temporary Traffic Control Plan / MOT – To be Sealed and Signed by the Preparer), For additional information, see Traffic Engineering Division’s Memorandum TE-362, available at:
http://www.virginiadot.org/business/locdes/memorandum_signing_and_sealing.asp
- 6. Underground Utility Test Hole Data Report

PLANS AND DOCUMENTS **NOT REQUIRED TO BE** SEALED AND SIGNED BY THE DESIGN SECTION

- VDOT has determined that the following Design related Plans and Documents will **NOT** be required to be Sealed and Signed.
 1. Scoping Report
 2. Preliminary Field Inspection Plans
 3. Public Hearing Plans
 4. Field Inspection Plans
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SEALING & SIGNING OF LAND DEVELOPMENT PLANS

- Sealing and signing responsibility for improvements within VDOT R/W in conjunction with land development plans submitted to VDOT for review shall be in accordance with the Code of Virginia. Virginia Department of Transportation (VDOT’s) land development guidelines are at: <http://www.virginiadot.org/projects/landuse.asp>
- Land development plans may include work that is considered “incidental” to the overall land development project. The term “incidental” is utilized within several areas of the Code of Virginia (Title 54.1, 400-410). The question of what work is considered “incidental” was brought forth before the Department of Professional and Occupational regulation (DPOR). In January, 1972, the Attorney General’s office provided an official

interpretation on this matter. “The determination of whether the work is considered incidental to the engineering project is a question of fact to be determined in each case...” The actual letter can be found in the Spring 1999, version of DPOR’s “DIMENSIONS” newsletter, Volume 18., available at:

<http://www.dpor.virginia.gov/dporweb/forms/ape/spring99.pdf>

- In order to minimize confusion on which professional (Architects, Engineers, Surveyors and Landscape Architects) is allowed to seal and sign land development plans and in order to be in compliance with the Code of Virginia, the Department shall accept for “review” land development plans developed by any of the professionals noted above. Review means the Department will have a designated person (licensed professional) ensure all technical requirements are met before approving the proposed designed solution. VDOT reserves the right to deny the proposed design should it not meet VDOT/AASHTO requirements.
- The following Code of Virginia references provide information regarding Architects, Engineers, Surveyors and Landscape Architects. Article § 54.1-400 provides the definitions for Architects, Engineers, Surveyors and Landscape Architects. Articles § 54.1-401 & § 54.1-402 identify exemptions which allows professionals to conduct work when the work is incidental to a project. Article § 54.1-406 describes license requirements. Articles § 54.1-407 & § 54.1-408 provide information on Land Surveying and Article § 54.1-409 provides information on Landscape Architects.

PLAN CHANGES

1. Any Changes made to plans after Plan Coordination Review has been completed are not required to be Re-Sealed and Re-Signed until Advertisement Submission in accordance with the Advertisement Cut-Off Chart.

RIGHT OF WAY & CONSTRUCTION PLAN & PLAT REVISIONS TO BE SEALED & SIGNED OR RE-SEALED & RE-SIGNED

1. Standard Sheets and Insertable Sheets
 - If any Standard sheet(s) or Insertable sheet(s) is modified during project development, the Responsible Person(s) modifying the Standard sheet(s) or Insertable sheet(s) shall Seal and Sign the modified sheet(s).
2. Right of Way Plans and Right of Way Data Sheet
 - All Revisions made to Sealed and Signed Right of Way Plans shall be Re-sealed and Re-signed by the Land Surveyor.
 - All Revisions made to Sealed and Signed Right of Way Plans and the Right of Way Data Sheet prior to these revised instructions shall be Re-Sealed and Re-Signed by the Land Surveyor.

3. All Final Right of Way Plans, Right of Way and/or Easement Acquisition Plat Revisions, Construction Revisions and Field Changes made to Plans or Plats after Award and during Construction **on or after July 1, 2009** shall be either Sealed and Signed or Re-Sealed and Re-Signed by the appropriate Responsible Person(s). For additional information, see Scheduling and Contracts Division's CD-2009-2 for Documentation of Field Changes, accessible at:
http://www.virginiadot.org/business/locdes/memorandum_signing_and_sealing.asp

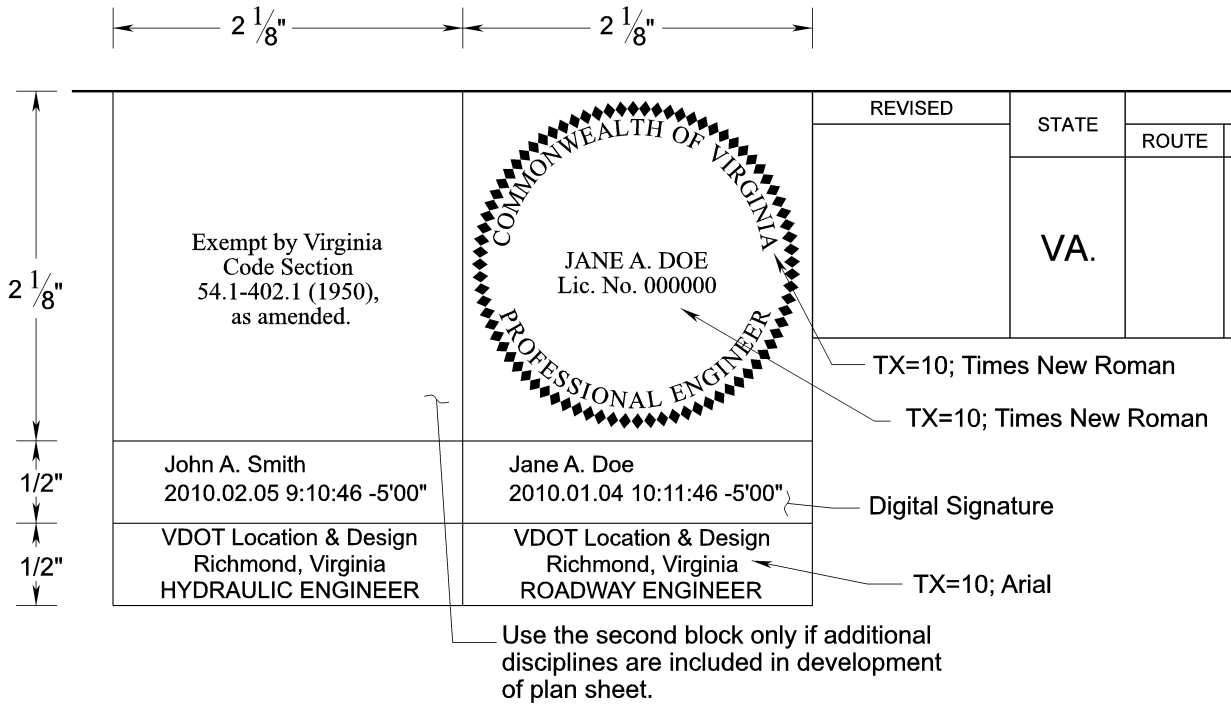
EXAMPLE OF SHEETS TO BE SEALED AND SIGNED

- Based on interpretation of statutes and regulations, the following engineering sheets/drawings for all "C" and "M" projects prepared by, or for the Department, shall be Sealed and Signed or Signed Only (Exempt Stamp) by Responsible Person(s) listed below:

<u>Sheet No.</u>	<u>Description</u>	<u>Responsible Person(s)</u>
1	Title Sheet	No Seal or Signature
1A, 1B	Location Map, Index of Sheets	No Seal or Signature
1C	Right of Way Data Sheet	No Seal or Signature
1D	Revision Data Sheet	No Seal or Signature
1E	Stream Flow Hydrograph Sheet (If Applicable)	No Seal or Signature
1F	Survey Alignment Data Sheet	No Seal or Signature
1G	Construction Alignment Data Sheet	Roadway Engineer
1H	Underground Utility Test Hole Information	No Seal or Signature
1J	CADD Level Structure Sheet	No Seal or Signature
1K(1) thru 1K(?)	Sequence of Construction	Roadway Engineer
1L(1) thru 1L(?)	Temporary Traffic Control Plan	Preparer of Plans, Technical Discipline
2	General Notes	No Seal or Signature
2A, 2B, etc.	Typical Sections	Roadway Engineer, Materials Engineer
	Grading Diagram and Summary	Roadway Engineer
	Summary Sheets	No Seal or Signature
	Roadside Development Sheet	No Seal or Signature
	Hydrologic Data Sheet (If Applicable)	No Seal or Signature
	Detail Sheets	Preparer of Sheets, Tech. Discipline
	Special Design Drawings	Preparer of Drawings, Tech. Discipline
	Stormwater Pollution Prevention Plan	No Seal or Signature
	Erosion & Sediment Control Plans	Hydraulic Engineer
3, 4, 5, etc.	Plan Sheets	Roadway Engineer Hydraulic Engineer
3A, 4A, 5A, etc.	Profile Sheets	Roadway Engineer, Hydraulic Engineer
3B, 4B, 5B, etc.	Drainage Description Sheets	Hydraulic Engineer
3C, 4C, 5C, etc.	Phased Erosion and Sediment Control Plans	Hydraulic Engineer
3RW, 4RW, 5RW, etc.	Right of Way Plan Sheets	Land Surveyor
8(1), 8(2), etc.	Storm Sewer Profile Sheets	Hydraulic Engineer
9(1), 9(2), etc.	Entrance Profiles	Roadway Engineer
10(1), 10(2), etc.	Signing Plans	Traffic Engineer
11(1), 11(2), etc.	Lighting Plans	Traffic Engineer
12(1), 12(2), etc.	Signal Plans	Traffic Engineer
13(1), 13(2), etc.	Pavement Marking and Marker Plans	Traffic Engineer
14(1), 14(2), etc.	Utility Plans	Preparer of Plans, Tech. Discipline
15(1), 15(2), etc.	Landscape Architecture Plans	Landscape Architect
	Total Cross Section Sheets * _____. (See Cross Section Index of Sheets)	No Seal or Signature
	Bridge Plan Sheets, B-XXX, Plan No.____, (* ____ Sheets)	Structure and Bridge Engineer

PLACEMENT OF SEALING AND SIGNING ON THE INTERIOR PLAN AND PROFILE SHEETS

INTERIOR PLAN AND PROFILE SHEETS



Notes:

1. The upper right corner next to the project information block is the preferred location of the blocks for sealing and signing interior plan sheets.
2. While the preferred orientation is horizontal, these blocks may be placed (stacked) vertically, or in an alternate location if necessary
3. Seal to be placed with Adobe using the "Place Stamp" tool.
4. Digital Signatures/Certificates to be placed with Adobe using the "Place Signature" tool.
5. Signature Blocks are part of the plan and profile sheet cell. They are also separate cells that can be placed inside the sheet file.
 - a. (Company Name) is the name of the company that the Responsible Person is representing.
 - b. (Location) is determined by office location of Responsible Person.
 - c. (Technical Discipline) is defined as the Responsible Person sealing and signing plans and can include Roadway, Hydraulic, Civil, Bridge and Materials Engineers as well as Land Surveyor and Landscape Architect, among others.
6. The edit text command can be used to modify text as needed.