

VIRGINIA DEPARTMENT OF TRANSPORTATION

LOCATION AND DESIGN DIVISION

INSTRUCTIONAL AND INFORMATIONAL MEMORANDUM

GENERAL SUBJECT: SEALING & SIGNING OF PLANS AND DOCUMENTS	NUMBER: IIM-LD-243.11
SPECIFIC SUBJECT: SEALING AND SIGNING RESPONSIBILITIES OF THE RESPONSIBLE PERSONS (LICENSED PROFESSIONAL ENGINEER, CERTIFIED LANDSCAPE ARCHITECT AND LICENSED LAND SURVEYOR)	DATE: January 20, 2017
	SUPERSEDES: IIM-LD-243.10
APPROVED:	B. A. Thrasher, P.E. State Location and Design Engineer Approved January 20, 2017

Changes are shaded.

CURRENT REVISIONS

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- Removed the language under EFFECTIVE DATE regarding the development of Right of Way Plans, Right of Way Acquisition Plans and the Electronic Plan Submission Process.
 - Removed language regarding **Signed Only** (Exempt Stamp) by a Responsible Person who is not licensed. This exemption expired on June 30, 2010.
 - CD-2009-2 for Documentation of Field Changes was converted to IIM-CD-2013-12.01
 - Design Waivers are now required to be sealed and signed. Also see IIM-LD-227.
 - Other minor revisions as shown in shading.

EFFECTIVE DATE

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- This memorandum is effective upon receipt.

POLICY

- The following instructions are applicable to all Tier 1 and Tier 2 plan assemblies that require engineering decisions.
 - 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 .
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BACKGROUND

- 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.
 - 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.
 - 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
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DIGITAL SIGNATURES / CERTIFICATES / SEALS

- See VDOT's CADD Manual, Appendix F for 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.
- 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 the VDOT Road and Bridge Specifications and Chapter 8 of the VDOT Survey Manual)
 - f. Donated R/W Surveys
 - g. Wetland Mitigation Site Surveys
- 2. Plans and **Plats**
 - 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. 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.
- 3. Permits
 - a. 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 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.

1. Plans for Advertisement – Construction (“C”), Minimum (“M”) Plan and No 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. All “No Plan” assemblies that require engineering decisions shall be Sealed and Signed. See Road Design Manual, Section A-7 for No Plan Title Sheet and No Plan Sealing and Signing Sheet. Also see IIM-LD-241 regarding Temporary Traffic Control Plans for Type “A” projects.
- See Example List of Sheets in this IIM of Construction (“C”) Minimum (“M”) Plans to be Sealed and Signed.
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DOCUMENTS REQUIRED TO BE SEALED AND SIGNED 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 Reports, consisting of Roadway Drainage Design and Stormwater Management Calculations and Computations
2. Interchange Justification Reports and Interchange Modification Reports
3. Design Exceptions / Design Waivers
 - Shall be Sealed and Signed by the Responsible Person preparing the Design Exception (LD-440) / Design Waiver (LD-448).

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
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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.
- 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

- All Changes made to plans after Advertisement Submission are required to be Re-Sealed and Re-signed in accordance with the Electronic Plan Submission Process Flow Chart at:
http://www.extranet.vdot.state.va.us/locdes/reference-guides/ElectronicPlan_Submission.pdf

STANDARD SHEETS, INSERTABLE SHEETS, RIGHT OF WAY PLANS AND PLAT REVISIONS TO BE SEALED AND SIGNED OR RE-SEALED AND RE-SIGNED

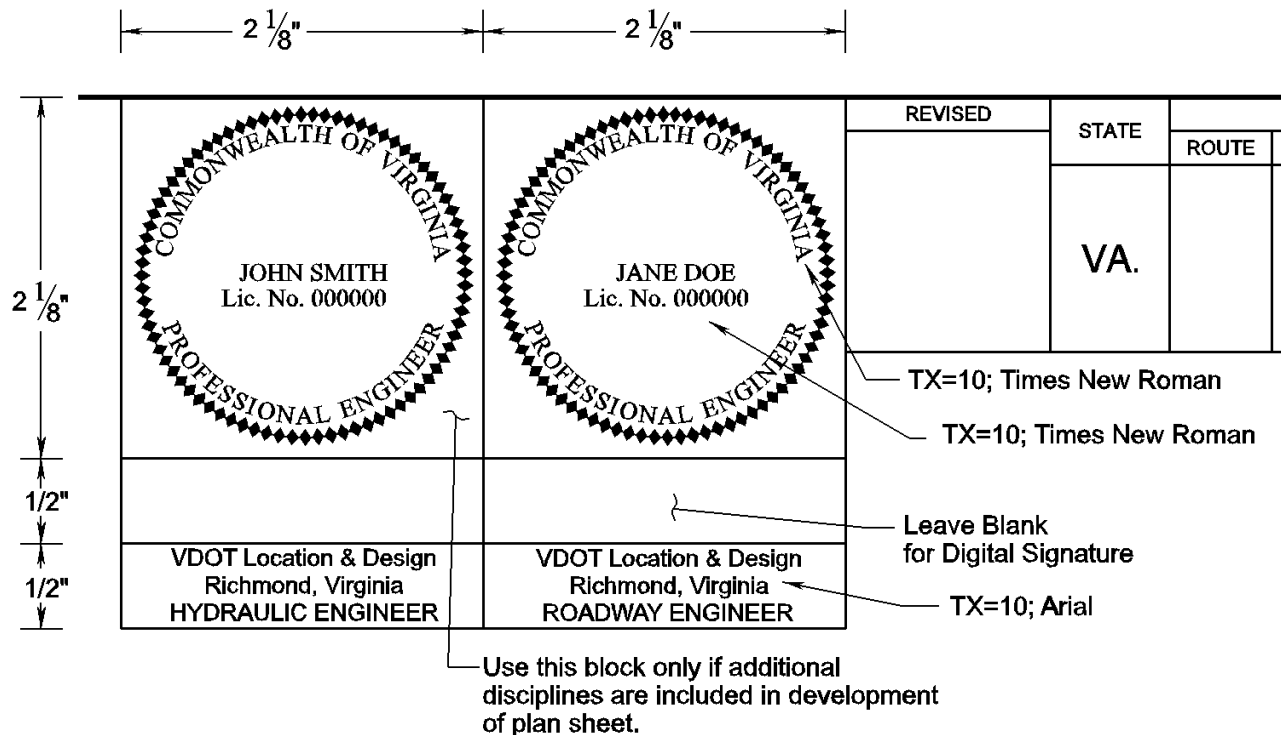
1. Standard Sheets and Insertable Sheets
 - If any Standard sheet(s) or Insertable sheet(s) is modified during project development, the Responsible Person(s) modifying the Standard sheet(s) or Insertable sheet(s) shall Seal and Sign the modified sheet(s).
2. Right of Way Plans and Right of Way Data Sheet
 - 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. Construction and/or Right of Way Revisions and Field Changes made to Plans and/or Plats **after Award and during Construction** shall be Re-Sealed and Re-Signed by the appropriate Responsible Person(s) in accordance with Construction Division's IIM-CD-2013-12.01 for Documentation of Field Changes, accessible at: <http://www.virginiadot.org/business/resources/const/IIM-CD-2013-12-01.pdf> and processed in accordance with the Electronic Plan Submission Process Flow Chart, accessible at: http://www.extranet.vdot.state.va.us/locdes/reference-guides/ElectronicPlan_Submission.pdf

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 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(1) thru 1J(?)	Sequence of Construction	Roadway Engineer
1K(1) thru 1K(?)	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.
7. See VDOT CADD Manual, Appendix F for more details.