



**CALL NO. 113**

**CONTRACT ID. 251021**

**POWELL COUNTY**

**FED/STATE PROJECT NUMBER PROT 6000(214)**

**DESCRIPTION LITTLE FORK ROAD(KY-613)**

**WORK TYPE GRADE & DRAIN WITH ASPHALT SURFACE**

**PRIMARY COMPLETION DATE 8/1/2026**

**LETTING DATE: August 21,2025**

Sealed Bids will be received electronically through the Bid Express bidding service until 10:00 AM EASTERN DAYLIGHT TIME August 21,2025. Bids will be publicly announced at 10:00 AM EASTERN DAYLIGHT TIME.

**PLANS AVAILABLE FOR THIS PROJECT.**

**DBE CERTIFICATION REQUIRED - 12.50%**

**REQUIRED BID PROPOSAL GUARANTY:** Not less than 5% of the total bid.

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# **PART I**

## **SCOPE OF WORK**

**ADMINISTRATIVE DISTRICT - 10**

**CONTRACT ID - 251021**  
**PROT 6000(214)**  
**COUNTY - POWELL**  
**PCN - DE09906132521**  
**PROT 6000(214)**

LITTLE FORK ROAD(KY-613) (MP 0.000) CORRECT FLOODING ISSUES ON KY-613 AT BOWEN FROM KY-11 TO  
BRIDGE OVER RED RIVER IN POWELL COUNTY (MP 0.363), A DISTANCE OF 0.35 MILES.GRADE & DRAIN WITH  
ASPHALT SURFACE SYP NO. 10-00174.00.  
GEOGRAPHIC COORDINATES LATITUDE 37:50:36.00 LONGITUDE 83:46:13.00  
ADT

**COMPLETION DATE(S):**  
COMPLETED BY 08/01/2026                      APPLIES TO ENTIRE CONTRACT

## **CONTRACT NOTES**

### **INSURANCE**

Refer to Kentucky Standard Specifications for Road and Bridge Construction, current edition.

### **PROPOSAL ADDENDA**

All addenda to this proposal must be applied when calculating bid and certified in the bid packet submitted to the Kentucky Department of Highways. Failure to use the correct and most recent addenda may result in the bid being rejected.

### **BID SUBMITTAL**

Bidder must use the Department's electronic bidding software. The Bidder must download the bid file located on the Bid Express website ([www.bidx.com](http://www.bidx.com)) to prepare a bid packet for submission to the Department. The bidder must submit electronically using Bid Express.

### **JOINT VENTURE BIDDING**

Joint venture bidding is permissible. All companies in the joint venture must be prequalified in one of the work types in the Qualifications for Bidders for the project. The bidders must get a vendor ID for the joint venture from the Division of Construction Procurement and register the joint venture as a bidder on the project. Also, the joint venture must obtain a digital ID from Bid Express to submit a bid. A joint bid bond of 5% may be submitted for both companies or each company may submit a separate bond of 5%.

### **UNDERGROUND FACILITY DAMAGE PROTECTION**

The contractor shall make every effort to protect underground facilities from damage as prescribed in the Underground Facility Damage Protection Act of 1994, Kentucky Revised Statute KRS 367.4901 to 367.4917. It is the contractor's responsibility to determine and take steps necessary to be in compliance with federal and state damage prevention directives. When prescribed in said directives, the contractor shall submit Excavation Locate Requests to the Kentucky Contact Center (KY811) via web ticket entry. The submission of this request does not relieve the contractor from the responsibility of contacting non-member facility owners, whom shall be contacted through their individual Protection Notification Center. Non-compliance with these directives can result in the enforcement of penalties.

### **REGISTRATION WITH THE SECRETARY OF STATE BY A FOREIGN ENTITY**

Pursuant to KRS 176.085(1)(b), an agency, department, office, or political subdivision of the Commonwealth of Kentucky shall not award a state contract to a person that is a foreign entity required by [KRS 14A.9-010](#) to obtain a certificate of authority to transact business in the Commonwealth ("certificate") from the Secretary of State under [KRS 14A.9-030](#) unless the person produces the certificate within fourteen (14) days of the bid or proposal opening. If the

foreign entity is not required to obtain a certificate as provided in [KRS 14A.9-010](#), the foreign entity should identify the applicable exception. Foreign entity is defined within [KRS 14A.1-070](#).

**For all foreign entities required to obtain a certificate of authority to transact business in the Commonwealth, if a copy of the certificate is not received by the contracting agency within the time frame identified above, the foreign entity's solicitation response shall be deemed non-responsive or the awarded contract shall be cancelled.**

Businesses can register with the Secretary of State at <https://secure.kentucky.gov/sos/ftbr/welcome.aspx>.

### **SPECIAL NOTE FOR PROJECT QUESTIONS DURING ADVERTISEMENT**

Questions about projects during the advertisement should be submitted in writing to the Division of Construction Procurement. This may be done by email to [kytc.projectquestions@ky.gov](mailto:kytc.projectquestions@ky.gov). The Department will attempt to answer all submitted questions. The Department reserves the right not to answer if the question is not pertinent or does not aid in clarifying the project intent.

The deadline for posting answers will be 3:00 pm Eastern Daylight Time, the day preceding the Letting. Questions may be submitted until this deadline with the understanding that the later a question is submitted, the less likely an answer will be able to be provided.

The questions and answers will be posted for each Letting under the heading "Questions & Answers" on the Construction Procurement website ([www.transportation.ky.gov/construction-procurement](http://www.transportation.ky.gov/construction-procurement)). The answers provided shall be considered part of this Special Note and, in case of a discrepancy, will govern over all other bidding documents.

### **HARDWOOD REMOVAL RESTRICTIONS**

The US Department of Agriculture has imposed a quarantine in Kentucky and several surrounding states, to prevent the spread of an invasive insect, the emerald ash borer. Hardwood cut in conjunction with the project may not be removed from the state. Chipping or burning on site is the preferred method of disposal.

### **INSTRUCTIONS FOR EXCESS MATERIAL SITES AND BORROW SITES**

Identification of excess material sites and borrow sites shall be the responsibility of the Contractor. The Contractor shall be responsible for compliance with all applicable state and federal laws and may wish to consult with the US Fish and Wildlife Service to seek protection under Section 10 of the Endangered Species Act for these activities.

### **ACCESS TO RECORDS**

The state agency certifies that it is in compliance with the provisions of KRS 45A.150, "Access to contractor's books, documents, papers, records, or other evidence directly pertinent to the contract." The Contractor, as defined in KRS 45A.030, agrees that the contracting agency, the

Finance and Administration Cabinet, the Auditor of Public Accounts, and the Legislative Research Commission, or their duly authorized representatives, shall have access to any books, documents, papers, records, or other evidence, which are directly pertinent to this agreement for the purpose of financial audit or program review. The Contractor also recognizes that any books, documents, papers, records, or other evidence, received during a financial audit or program review shall be subject to the Kentucky Open Records Act, KRS 61.870 to 61.884. Records and other prequalification information confidentially disclosed as part of the bid process shall not be deemed as directly pertinent to the agreement and shall be exempt from disclosure as provided in KRS 61.878(1)(c).

### **BOYCOTT PROVISIONS**

If applicable, the contractor represents that, pursuant to [KRS 45A.607](#), they are not currently engaged in, and will not for the duration of the contract engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which Kentucky can enjoy open trade. **Note:** The term Boycott does not include actions taken for bona fide business or economic reasons, or actions specifically required by federal or state law.

If applicable, the contractor verifies that, pursuant to KRS 41.480, they do not engage in, and will not for the duration of the contract engage in, in energy company boycotts as defined by KRS 41.472.

### **LOBBYING PROHIBITIONS**

The contractor represents that they, and any subcontractor performing work under the contract, have not violated the agency restrictions contained in [KRS 11A.236](#) during the previous ten (10) years, and pledges to abide by the restrictions set forth in such statute for the duration of the contract awarded.

The contractor further represents that, pursuant to [KRS 45A.328](#), they have not procured an original, subsequent, or similar contract while employing an executive agency lobbyist who was convicted of a crime related to the original, subsequent, or similar contract within five (5) years of the conviction of the lobbyist.

Revised: 1/1/2025

## 1.0 BUY AMERICA REQUIREMENT.

Follow the “Buy America” provisions as required by 23 U.S.C. § 313 and 23 C.F.R. § 635.410. Except as expressly provided herein all manufacturing processes of steel or iron materials including but not limited to structural steel, guardrail materials, corrugated steel, culvert pipe, structural plate, prestressing strands, and steel reinforcing bars shall occur in the United States of America, including the application of:

- Coating,
- Galvanizing,
- Painting, and
- Other coating that protects or enhances the value of steel or iron products.

The following are exempt, unless processed or refined to include substantial amounts of steel or iron material, and may be used regardless of source in the domestic manufacturing process for steel or iron material:

- Pig iron,
- Processed, pelletized, and reduced iron ore material, or
- Processed alloys.

The Contractor shall submit a certification stating that all manufacturing processes involved with the production of steel or iron materials occurred in the United States.

Produce, mill, fabricate, and manufacture in the United States of America all aluminum components of bridges, tunnels, and large sign support systems, for which either shop fabrication, shop inspection, or certified mill test reports are required as the basis of acceptance by the Department.

Use foreign materials only under the following conditions:

- 1) When the materials are not permanently incorporated into the project; or
- 2) When the delivered cost of such materials used does not exceed 0.1 percent of the total Contract amount or \$2,500.00, whichever is greater.

The Contractor shall submit to the Engineer the origin and value of any foreign material used.

## 2.0 – BUILD AMERICA, BUY AMERICA (BABA)

Contractor shall comply with the Federal Highway Administration (FHWA) Buy America Requirement in 23 C.F.R. § 635.410 and all relevant provisions of the Build America, Buy America Act (BABA), contained within the Infrastructure Investment and Jobs Act, Pub. L. No. 117-58, §§ 70901-52 enacted November 15, 2021. The BABA requires iron, steel, manufactured products, and construction materials used in infrastructure projects funded by federal financial assistance to be produced in the United States. Comply with 2 C.F.R § 184.

BABA permits FHWA participation in the Contract only if domestic steel and iron will be used on the Project. To be considered domestic, all steel and iron used, and all products manufactured from steel and iron must be produced in the United States and all manufacturing processes, including application of a coating, for these materials must occur in the United States. Coating includes all processes that protect or enhance the value of the material to which the coating is applied. This requirement does not preclude a minimal use of foreign steel and iron materials, provided the cost of such materials does not exceed 0.1% of the total contract amount under the Contract or \$2,500.00 whichever is greater.

BABA permits FHWA participation in the Contract only if all “construction materials” as defined in the Act are made in the United States. The Buy America preference applies to the following construction materials incorporated into infrastructure projects: non-ferrous metals; plastic and polymer-based products (including polyvinylchloride, composite building materials, and polymers used in fiber optic cables); glass (including optic glass); Fiber optic cable; optical fiber; lumber; engineered wood; and drywall. Contractor will be



required to use construction materials produced in the United States on this Project. The Contractor shall submit a certification stating that all construction materials are certified to be BABA compliant.

### **3.0 FINAL RULE – FHWA’S BUY AMERICA REGULATION TO TERMINATE GENERAL APPLICABILITY WAIVER FOR MANUFACTURED PRODUCTS**

- **March 17, 2025** (effective date): For all Federal-aid projects obligated on or after March 15, 2025, all iron or steel products, as defined in § 635.410(c)(1)(iii), must comply with FHWA’s Buy America requirements for steel and iron in § 635.410(b). In addition, for all Federal-aid projects obligated on or after March 15, 2025, per § 635.410(c)(2), articles, materials, and supplies should be classified as an iron or steel product, a manufactured product, or another product as specified by law or in 2 CFR part 184 (such other products specified by law or in 2 CFR part 184 include “excluded materials” and “construction materials”); an article, material, or supply must not be considered to fall into multiple categories.
- **October 1, 2025:** The final assembly requirement will become effective for Federal-aid projects obligated on or after October 1, 2025. This means that, for manufactured product to be Buy America compliant, for Federal-aid projects obligated on or after October 1, 2025, final assembly of the manufactured product must occur in the United States.
- **October 1, 2026:** The 55 percent requirement will become effective for Federal-aid projects obligated on or after October 1, 2026. This means that, for manufactured product to be Buy America-compliant, for Federal-aid projects obligated on or after October 1, 2026, all manufactured products permanently incorporated into the project must both be manufactured in the United States (satisfy the final assembly requirement) and have the cost of the components of the manufactured product that are mined, produced, or manufactured in the United States be greater than 55 percent of the total cost of all components of the manufactured product (satisfy the 55 percent requirement).

### **4.0 – ADDITIONAL REQUIREMENTS**

The Contractor has completed and submitted, or shall complete and submit, to the Cabinet a Buy America/Build America, Buy America Certificate prior to the Cabinet issuing the notice to proceed, in the format below. After submittal, the Contractor is bound by its original certification.

A false certification is a criminal act in violation of 18 U.S.C. § 1001. The Contractor has the burden of proof to establish that it’s in compliance.

At the Contractor’s request, the Cabinet may, but is not obligated to, seek a waiver of Buy America requirements if grounds for the waiver exist under 23 C.F.R. § 635.410(c) or will comply with the applicable Buy America requirements if a waiver of those requirements is not available or not pursued by the Cabinet.

Please refer to the Federal Highway Administration’s Buy America webpage for more information.

[Buy America - Construction Program Guide - Contract Administration - Construction - Federal Highway Administration \(dot.gov\)](#)

Effective - June 26, 2025, Letting

**BUY AMERICA / BUILD AMERICA, BUY AMERICA (ACT) MATERIALS CERTIFICATE OF COMPLIANCE**

The Contractor hereby certifies that it will comply with all relevant provisions of the Build America, Buy America Act, contained within the Infrastructure Investment and Jobs Act, Pub. L. NO. 117-58, §§ 70901-52, the requirements of 23 U.S.C. § 313, 23 C.F.R. § 635.410 and 2 C.F.R § 184.

Date Submitted:\_\_\_\_\_

Contractor:\_\_\_\_\_

Signature:\_\_\_\_\_

Printed Name:\_\_\_\_\_

Title:\_\_\_\_\_

**NOTE: THIS CERTIFICATION IS IN ADDITION TO ANY AND ALL REQUIREMENTS OUTLINED IN THE CURRENT EDITION OF THE STANDARD SPECIFICATIONS FOR ROAD AND BRIDGE CONSTRUCTION AND/OR SPECIAL NOTES CONTAINED IN THE PROJECT PROPOSAL.**

## **FEDERAL CONTRACT NOTES**

The Kentucky Department of Highways, in accordance with the Regulations of the United States Department of Transportation 23 CFR 635.112 (h), hereby notifies all bidders that failure by a bidder to comply with all applicable sections of the current Kentucky Standard Specifications, including, but not limited to the following, may result in a bid not being considered responsive and thus not eligible to be considered for award:

- |                                |  |
|--------------------------------|--|
| 102.02 Current Rating          | 102.08 Preparation and Delivery of Proposals |
| 102.13 Irregular Bid Proposals | 102.14 Disqualification of Bidders           |
| 102.09 Proposal Guaranty       |  |

### **CIVIL RIGHTS ACT OF 1964**

The Kentucky Transportation Cabinet, Department of Highways, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 U.S.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, national origin, sex, age (over 40), religion, sexual orientation, gender identity, veteran status, disability, income- level, or Limited English Proficiency (LEP) in consideration for an award.

### **NOTICE TO ALL BIDDERS**

To report bid rigging activities call: 1-800-424-9071.

The U.S. Department of Transportation (DOT) operates the above toll-free “hotline” Monday through Friday, 8:00 a.m. to 5:00 p.m. eastern time. Anyone with knowledge of possible bid rigging, bidder collusion, or other fraudulent activities should use the “hotline” to report such activities.

The “hotline” is part of the DOT’s continuing effort to identify and investigate highway construction contract fraud and abuse and is operated under the direction of the DOT Inspector General. All information will be treated confidentially and caller anonymity will be respected.

### **SECOND TIER SUBCONTRACTS**

Second tier subcontracts are acceptable per Section 108.01 of the Standard Specifications for Road and Bridge Construction. Sub-Contractors fulfilling a disadvantaged business enterprise goal on a project may enter into a 2<sup>nd</sup> tier subcontract with a Non-DBE Subcontractor. However, in this instance, none of the work subcontracted to the Non-DBE Contractor will count toward fulfilling the established Disadvantaged Goal for the project.

### **DISADVANTAGED BUSINESS ENTERPRISE PROGRAM**

It is the policy of the Kentucky Transportation Cabinet (“the Cabinet”) that Disadvantaged Business Enterprises (“DBE”) shall have the opportunity to participate in the performance of highway construction projects financed in whole or in part by Federal Funds in order to create a level playing field for all businesses who wish to contract with the Cabinet. To that end, the Cabinet will comply with the regulations found in 49 CFR Part 26, and the definitions and requirements contained therein shall be adopted as if set out verbatim herein.

The Cabinet, contractors, subcontractors, and sub-recipients shall not discriminate on the basis of race, color, national origin, or sex in the performance of work performed pursuant to Cabinet contracts. The contractor shall carry out applicable requirements of 49 CFR 26 in the award and administration of federally assisted highway construction projects. The contractor will include this provision in all its subcontracts and supply agreements pertaining to contracts with the Cabinet.

Failure by the contractor to carry out these requirements is a material breach of its contract with the Cabinet, which may result in the termination of the contract or such other remedy as the Cabinet deems necessary.

### **DBE GOAL**

The Disadvantaged Business Enterprise (DBE) goal established for this contract, as listed on the front page of the proposal, is the percentage of the total value of the contract.

The contractor shall exercise all necessary and reasonable steps to ensure that Disadvantaged Business Enterprises participate in a least the percent of the contract as set forth above as goals for this contract.

### **OBLIGATION OF CONTRACTORS**

Each contractor prequalified to perform work on Cabinet projects shall designate and make known to the Cabinet a liaison officer who is assigned the responsibility of effectively administering and promoting an active program for utilization of DBEs.

If a formal goal has not been designated for the contract, all contractors are encouraged to consider DBEs for subcontract work as well as for the supply of material and services needed to perform this work.

Contractors are encouraged to use the services of banks owned and controlled by minorities and women.

### **CERTIFICATION OF CONTRACT GOAL**

Contractors shall include the following certification in bids for projects for which a DBE goal has been established. BIDS SUBMITTED WHICH DO NOT INCLUDE CERTIFICATION OF DBE PARTICIPATION WILL NOT BE ACCEPTED. These bids will not be considered for award by the Cabinet and they will be returned to the bidder.

“The bidder certifies that it has secured participation by Disadvantaged Business Enterprises (“DBE”) in the amount of \_\_\_\_\_ percent of the total value of this contract and that the DBE participation is in compliance with the requirements of 49 CFR 26 and the policies of the Kentucky Transportation Cabinet pertaining to the DBE Program.”

**The certification statement is located in the electronic bid file. All contractors must certify their DBE participation on that page. DBEs utilized in achieving the DBE goal must be certified and prequalified for the work items at the time the bid is submitted.**

### **DBE PARTICIPATION PLAN**

Lowest responsive bidders must submit the *DBE Plan/ Subcontractor Request*, form TC 14-35 DBE, within **5** days of the letting. This is necessary before the Awards Committee will review and make a recommendation. **The project will not be considered for award prior to submission and approval of the apparent low bidder’s DBE Plan/Subcontractor Request.**

The DBE Participation Plan shall include the following:

1. Name and address of DBE Subcontractor(s) and/or supplier(s) intended to be used in the proposed project;
2. Description of the work each is to perform including the work item, unit, quantity, unit price and total amount of the work to be performed by the individual DBE. The Proposal Line Number, Category Number, and the Project Line Number can be found in the “material listing” on the Construction Procurement website under the specific letting;
3. The dollar value of each proposed DBE subcontract and the percentage of total project contract value this represents. DBE participation may be counted as follows:
  - a) If DBE suppliers and manufactures assume actual and contractual responsibility, the dollar value of materials to be furnished will be counted toward the goal as follows:
    - The entire expenditure paid to a DBE manufacturer;
    - 60 percent of expenditures to DBE suppliers that are not manufacturers provided the supplier is a regular dealer in the product involved. A regular dealer must be engaged in, as its principal business and in its own name, the sale of products to the public, maintain an inventory and own and operate distribution equipment; and
    - The amount of fees or commissions charged by the DBE firms for a bona fide service, such as professional, technical, consultant, or managerial services and assistance in the procurement of essential personnel, facilities, equipment, materials, supplies, delivery of materials and supplies or for furnishing bonds, or insurance, providing such fees or commissions are determined to be reasonable and customary.
  - b) The dollar value of services provided by DBEs such as quality control testing, equipment repair and maintenance, engineering, staking, etc.;

- c) The dollar value of joint ventures. DBE credit for joint ventures will be limited to the dollar amount of the work actually performed by the DBE in the joint venture;
- 4. Written and signed documentation of the bidder's commitment to use a DBE contractor whose participation is being utilized to meet the DBE goal; and
- 5. Written and signed confirmation from the DBE that it is participating in the contract as provided in the prime contractor's commitment.

**AFTER PROJECT AWARD AND BEFORE NOTICE TO PROCEED/WORK ORDER IS ISSUED (SEE SECTION 103.06, STANDARD SPECIFICATIONS FOR ROAD AND BRIDGE CONSTRUCTION)**

Prime Contractors awarded a federally funded project with a DBE Goal greater than zero will be required to submit a fully executed DBE Subcontract, along with the attached FHWA 1273 and Certificate of Liability Insurance for each DBE Firm submitted as part of the previously approved DBE Utilization Plan (TC 14-35). A signed quote or purchase order shall be attached when the DBE subcontractor is a material supplier or broker.

The Certificate of Liability Insurance submitted must meet the requirements outlined in Section 107.18 of the Standard Specifications for Road and Bridge Construction.

Changes to **APPROVED** DBE Participation Plans must be approved by the Office for Civil Rights & Small Business Development. The Cabinet may consider extenuating circumstances including, but not limited to, changes in the nature or scope of the project, the inability or unwillingness of a DBE to perform the work in accordance with the bid, and/or other circumstances beyond the control of the prime contractor.

**CONSIDERATION OF GOOD FAITH EFFORTS REQUESTS**

If the DBE participation submitted in the bid by the apparent lowest responsive bidder does not meet or exceed the DBE contract goal, the apparent lowest responsive bidder must submit a Good Faith Effort Package to satisfy the Cabinet that sufficient good faith efforts were made to meet the contract goals prior to submission of the bid. Efforts to increase the goal after bid submission will not be considered in justifying the good faith effort, unless the contractor can show that the proposed DBE was solicited prior to the letting date. DBEs utilized in achieving the DBE goal must be certified and prequalified for the work items at the time the bid is submitted. One complete set (hard copy along with an electronic copy) of this information must be received in the Division of Contract Procurement no later than 12:00 noon of the tenth calendar day after receipt of notification that they are the apparent low bidder.

Where the information submitted includes repetitious solicitation letters it will be acceptable to submit a sample representative letter along with a distribution list of the firms solicited. Documentation of DBE quotations shall be a part of the good faith effort submittal as necessary to demonstrate compliance with the factors listed below which the Cabinet considers in judging good faith efforts. This documentation may include written subcontractors' quotations, telephone log notations of verbal quotations, or other types of quotation documentation.

The Good Faith Effort Package shall include, but may not be limited to information showing evidence of the following:

1. Whether the bidder attended any pre-bid meetings that were scheduled by the Cabinet to inform DBEs of subcontracting opportunities;
2. Whether the bidder provided solicitations through all reasonable and available means;
3. Whether the bidder provided written notice to all DBEs listed in the DBE directory at the time of the letting who are prequalified in the areas of work that the bidder will be subcontracting;
4. Whether the bidder followed up initial solicitations of interest by contacting DBEs to determine with certainty whether they were interested. If a reasonable amount of DBEs within the targeted districts do not provide an intent to quote or no DBEs are prequalified in the subcontracted areas, the bidder must notify the Disadvantaged Enterprise Business Liaison Officer (DEBLO) in the Office for Civil Rights and Small Business Development to give notification of the bidder's inability to get DBE quotes;
5. Whether the bidder selected portions of the work to be performed by DBEs in order to increase the likelihood of meeting the contract goals. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the prime contractor might otherwise perform these work items with its own forces;
6. Whether the bidder provided interested DBEs with adequate and timely information about the plans, specifications, and requirements of the contract;
7. Whether the bidder negotiated in good faith with interested DBEs not rejecting them as unqualified without sound reasons based on a thorough investigation of their capabilities. Any rejection should be so noted in writing with a description as to why an agreement could not be reached;
8. Whether quotations were received from interested DBE firms but were rejected as unacceptable without sound reasons why the quotations were considered unacceptable. The fact that the DBE firm's quotation for the work is not the lowest quotation received will not in itself be considered as a sound reason for rejecting the quotation as unacceptable. The fact that the bidder has the ability and/or desire to perform the contract work with its own forces will not be considered a sound reason for rejecting a DBE quote. Nothing in this provision shall be construed to require the bidder to accept unreasonable quotes in order to satisfy DBE goals;
9. Whether the bidder specifically negotiated with subcontractors to assume part of the responsibility to meet the contract DBE goal when the work to be subcontracted includes potential DBE participation;
10. Whether the bidder made any efforts and/or offered assistance to interested DBEs in obtaining the necessary equipment, supplies, materials, insurance and/or bonding to satisfy the work requirements of the bid proposal; and
11. Any other evidence that the bidder submits which may show that the bidder has made reasonable good faith efforts to include DBE participation.

### **FAILURE TO MEET GOOD FAITH REQUIREMENT**

Where the apparent lowest responsive bidder fails to submit sufficient participation by DBE firms to meet the contract goal and upon a determination by the Good Faith Committee based upon the information submitted that the apparent lowest responsive bidder failed to make sufficient reasonable efforts to meet the contract goal, the bidder will be offered the opportunity to meet in person for administrative reconsideration. The bidder will be notified of the Committee's decision within 24 hours of its decision. The bidder will have 24 hours to request reconsideration of the Committee's decision. The reconsideration meeting will be held within two days of the receipt of a request by the bidder for reconsideration.

The request for reconsideration will be heard by the Office of the Secretary. The bidder will have the opportunity to present written documentation or argument concerning the issue of whether it met the goal or made an adequate good faith effort. The bidder will receive a written decision on the reconsideration explaining the basis for the finding that the bidder did or did not meet the goal or made adequate Good Faith efforts to do so.

The result of the reconsideration process is not administratively appealable to the Cabinet or to the United States Department of Transportation.

The Cabinet reserves the right to award the contract to the next lowest responsive bidder or to rebid the contract in the event that the contract is not awarded to the low bidder as the result of a failure to meet the good faith requirement.

### **SANCTIONS FOR FAILURE TO MEET DBE REQUIREMENTS OF THE PROJECT**

Failure by the prime contractor to fulfill the DBE requirements of a project under contract or to demonstrate good faith efforts to meet the goal constitutes a breach of contract. When this occurs, the Cabinet will hold the prime contractor accountable, as would be the case with all other contract provisions. Therefore, the contractor's failure to carry out the DBE contract requirements shall constitute a breach of contract and as such the Cabinet reserves the right to exercise all administrative remedies at its disposal including, but not limited to the following:

- Suspension of Prequalification;
- Disallow credit toward the DBE goal;
- Withholding progress payments;
- Withholding payment to the prime in an amount equal to the unmet portion of the contract goal; and/or
- Termination of the contract.

### **PROMPT PAYMENT**

The prime contractor will be required to pay the DBE and Non-DBE Subcontractors within seven (7) working days after he or she has received payment from the Kentucky Transportation Cabinet for work performed or materials furnished.



### **CONTRACTOR REPORTING**

All contractors must keep detailed records and provide reports to the Cabinet on their progress in meeting the DBE requirement on any highway contract. These records may include, but shall not be limited to payroll, lease agreements, cancelled payroll checks, executed subcontracting agreements, etc. Prime contractors will be required to complete and submit a **signed and notarized** Affidavit of Subcontractor Payment (TC 18-7) and copies of checks for any monies paid to each DBE subcontractor or supplier utilized to meet a DBE goal. These documents must be completed and signed within 7 days of being paid by the Cabinet.

Payment information that needs to be reported includes date the payment is sent to the DBE, check number, Contract ID, amount of payment and the check date. Before Final Payment is made on this contract, the Prime Contractor will certify that all payments were made to the DBE subcontractor and/or DBE suppliers.

\*\*\*\*\* IMPORTANT \*\*\*\*\*

**Please mail the original, signed and completed TC (18-7) Affidavit of Subcontractor Payment form and all copies of checks for payments listed above to the following address:**

Office for Civil Rights and Small Business Development  
6<sup>th</sup> Floor West 200 Mero Street  
Frankfort, KY 40622

The prime contractor should notify the KYTC Office for Civil Rights and Small Business Development seven (7) days prior to DBE contractors commencing work on the project. The contact in this office is Mr. Tony Youssefi. Mr. Youssefi's current contact information is email address – [tyousseffi@ky.gov](mailto:tyousseffi@ky.gov) and the telephone number is (502) 564-3601.

### **DEFAULT OR DECERTIFICATION OF THE DBE**

If the DBE subcontractor or supplier is decertified or defaults in the performance of its work, and the overall goal cannot be credited for the uncompleted work, the prime contractor may utilize a substitute DBE or elect to fulfill the DBE goal with another DBE on a different work item. If after exerting good faith effort in accordance with the Cabinet's Good Faith Effort policies and procedures, the prime contractor is unable to replace the DBE, then the unmet portion of the goal may be waived at the discretion of the Cabinet.

### **PROHIBITION ON TELECOMMUNICATIONS EQUIPMENT OR SERVICES**

In accordance with the FY 2019 National Defense Authorization Act (NDAA), 2 CFR 200.216, and 2 CFR 200.471, Federal agencies are prohibited, after August 13, 2020, from obligating or expending financial assistance to obtain certain telecommunications and video surveillance services and equipment from specific producers. As a result of these regulations, contractors and subcontractors are prohibited, on projects with federal funding participation, from providing telecommunication or video surveillance equipment, services, or systems produced by:

- Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities)
- Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities)

**LEGAL REQUIREMENTS AND RESPONSIBILITY TO THE PUBLIC – CARGO  
PREFERENCE ACT (CPA).**

**(REV 12-17-15) (1-16)**

SECTION 7 is expanded by the following new Article:

**102.10      Cargo Preference Act – Use of United States-flag vessels.**

Pursuant to Title 46CFR Part 381, the Contractor agrees

- To utilize privately owned United States-flag commercial vessels to ship at least 50 percent of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, material, or commodities pursuant to this contract, to the extent such vessels are available at fair and reasonable rates for United States-flag commercial vessels.
- To furnish within 20 days following the date of loading for shipments originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, ‘on-board’ commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph 1 of this section to both the Contracting Officer (through the prime contractor in the case of subcontractor bills-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590.
- To insert the substance of the provisions of this clause in all subcontracts issued pursuant to this contract.

### **ASPHALT MIXTURE**

Unless otherwise noted, the Department estimates the rate of application for all asphalt mixtures to be 110 lbs/sy per inch of depth.

### **INCIDENTAL SURFACING**

The Department has included in the quantities of asphalt mixtures established in the proposal estimated quantities required for resurfacing or surfacing mailbox turnouts, farm field entrances, residential and commercial entrances, curve widening, ramp gores and tapers, and road and street approaches, as applicable. Pave these areas to the limits as shown on Standard Drawing RPM-110-06 or as directed by the Engineer. In the event signal detectors are present in the intersecting streets or roads, pave the crossroads to the right of way limit or back of the signal detector, whichever is the farthest back of the mainline. Surface or resurface these areas as directed by the Engineer. The Department will not measure placing and compacting for separate payment but shall be incidental to the Contract unit price for the asphalt mixtures.

### **ASPHALT PAVEMENT RIDE QUALITY CATEGORY B**

The Department will apply Pavement Rideability Requirements on this project in accordance with Section 410, Category B.

### **OPTION A**

Be advised that the Department will accept compaction of asphalt mixtures furnished for driving lanes and ramps, at 1 inch (25mm) or greater, on this project according to OPTION A in accordance with Section 402 and Section 403 of the current Standard Specifications. The Department will require joint cores as described in Section 402.03.02 for surface mixtures only. The Department will accept compaction of all other asphalt mixtures according to OPTION B.

### **MATERIAL TRANSFER VEHICLE (MTV)**

Provide and use a MTV in accordance with Sections 403.02.10 and 403.03.05.

**Special Note for Fixed Completion Date and  
Liquidated Damages  
KY 613  
Powell County  
Item No. 10-174.00**

Contrary to Section 108.09, Liquidated Damages of \$5,000 per calendar day will be assessed for each day work remains uncompleted beyond the Fixed Completion Date. This project has a Fixed Completion Date of August 1, 2026.

KY 613 within the project limits may not be closed prior to March 1, 2026. See project Maintenance of Traffic plans and notes for additional information regarding road closure.

All liquidated damages will be applied cumulatively.

All other applicable portions of Section 108 apply.

## ***SPECIAL NOTE***

### **For No Effect to the Red River**

#### **Powell County Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River Item No. 10-174**

NO DIRECT OR INDRIECT EFFECTS TO THE RED RIVER ARE PERMITTED.  
ALL WORK WILL TAKE PLACE DURING NO FLOW OF WATER FROM THE  
FLOODPLAIN.

**If there are any questions regarding this note, please contact Danny Peake, Director,  
Division of Environmental Analysis, 200 Mero Street, Frankfort, KY 40601, Phone:  
(502) 564-7250.**

## SPECIAL NOTE FOR EXCESS & BORROW MATERIAL SITES

### POWELL COUNTY - KY 613

#### ITEM NO. 10-174.00

Identification of excess material site(s) and/or borrow site(s) shall be the responsibility of the contractor. The contractor shall be responsible for compliance with all applicable state and federal regulations. The contractor shall also consult with the District 10 Environmental Coordinator for information pertaining to state and federal agencies that may require consultation prior to use of excess material site(s) and/or borrow site(s). Following is a list of potential agencies:

- U.S. Fish and Wildlife Services, Section 7 & 10 of the Endangered Species Act.
- U.S. Army Corps of Engineers, Section 404 of the Clean Water Act.
- Kentucky Division of Water on Section 401 of the Clean Water Act.
- Kentucky State Historic Preservation Office, Section 106 of the National Historic Preservation Act and Archaeology & Historic clearances.
- Other applicable federal and state agencies.

Mitigation fee shall be paid by the contractor prior to use of excess material site(s) and/or borrow site(s).

**SPECIAL NOTE FOR STAKING**  
**KY 613**  
**Powell County**  
**Item # 10-174**

Perform Contractor Staking according to Section 201; except, in addition to the requirements of Section, perform the following:

1. Contrary to Section 201, perform item 2 usually performed by the Engineer.
2. Verify the dimensions, type, and quantities of the culvert pipes, entrance pipes, and/or box culverts as listed and detailed in the proposal, and determine flow line elevations and slopes necessary to provide positive drainage. Revise as necessary to accommodate the existing site conditions; to provide proper alignment of the drainage structures with existing and/or proposed ditches, stream channels, swales, and the roadway lines and grades; and to ensure positive drainage upon completion of the work.
3. Produce and furnish to the Engineer "As Built" information for the superelevation improvements and the drainage improvements. For superelevation improvements, as built information will consist of a record of the final pavement cross slopes every 50 feet, for each lane of travel along the curves and the transitions into and out of the curves. Elevation data of the curve improvements is not necessary; simply the cross slope percentage every 50 feet. For the drainage improvements, as built information will consist of a final record of the actual types, sizes, and locations of the drainage structures (i.e. box inlets, headwalls, junction boxes, etc.), culvert pipes, and/or box culverts constructed. **Constructing the roadway to the vertical grade specified in the plans is critically important to this project**, therefore the contractor shall also produce and furnish to the Engineer "As Built" information for the subgrade centerline elevations, the final asphalt base pavement lift centerline elevations, and the final surface centerline elevations. The Engineer must provide approval of the subgrade centerline elevations before DGA crushed stone base may be placed and pavement operations begin. If the "As Built" centerline subgrade elevations are different than the proposed centerline subgrade elevations, the Engineer may require the contractor to re-grade the subgrade to match the proposed subgrade elevations before allowing the contractor to place DGA crushed stone base and begin paving operations, and no additional compensation will be provided to the contractor for this work. The Engineer must provide approval of the final asphalt base pavement lift centerline elevations before final surface pavement may be placed. If the "As Built" final asphalt base pavement lift centerline elevations are different than the proposed final asphalt base pavement lift centerline elevations, the Engineer may require the contractor to mill & texture, level & wedge, or place additional pavement as necessary to match the proposed final asphalt base pavement lift centerline elevations, and no additional compensation will be provided to the contractor for this work. The Engineer must provide approval of the final surface centerline elevations before project completion. If the "As Built" final surface centerline elevations are different than the proposed final surface centerline elevations, the Engineer may require the contractor to mill & texture, level & wedge, or place additional pavement as necessary to match the proposed final surface centerline elevations, and no additional compensation will be provided to the contractor for this work.

4. Prior to incorporating into the work, obtain the Engineers approval of all revisions determined by the Contractor.
5. Perform any and all other staking operations required to control and construct the work.



Special Note Concerning Environmental Training Specified by Permit:

In accordance with Section 213.02.02 of Kentucky Standard Specifications for Road and Bridge Construction (latest edition), a qualified erosion and sediment control inspector who has successfully completed the KEPSC-RI qualification training and testing course is required. A record of training qualification will be maintained by the contractor and a copy provided to the resident engineer within 10 days of employment and annually thereafter for as long as the contractor is under contract.

***SPECIAL NOTE***

**For Tree Removal**

**Powell County**

**Correct flooding issues on KY 613 at Bowen from KY 11 to  
Bridge over Red River in Powell County.**

**Item No. 10-0174**

**NO CLEARING OF TREES 5 INCHES OR GREATER (DIAMETER BREAST  
HEIGHT) FROM MAY 15 THROUGH JULY 31.**

**If there are any questions regarding this note, please contact Danny Peake, Director,  
Division of Environmental Analysis, 200 Mero Street, Frankfort, KY 40601, Phone:  
(502) 564-7250.**

## SPECIAL NOTE FOR NON-TRACKING TACK COAT

1. DESCRIPTION AND USEAGE. This specification covers the requirements and practices for applying a non-tracking tack asphalt coating. Place this material on the existing pavement course, prior to placement of a new asphalt pavement layer. Use when expedited paving is necessary or when asphalt tracking would negatively impact the surrounding area. This material is not suitable for other uses. Ensure material can “break” within 15 minutes under conditions listed in 3.2.
2. MATERIALS, EQUIPMENT, AND PERSONNEL.

2.1 Non-Tracking Tack. Provide material conforming to Subsection 2.1.1.

2.1.1 Provide a tack conforming to the following material requirements:

Property	Specification	Test Procedure
Viscosity, SFS, 77 ° F	20 – 100	AASHTO T 72
Sieve, %	0.3 max.	AASHTO T 59
Asphalt Residue <sup>1</sup> , %	50 min.	AASHTO T 59
Oil Distillate, %	1.0 max.	AASHTO T 59
Residue Penetration, 77 ° F	0 - 30	AASHTO T 49
Original Dynamic Shear (G*/sin δ), 82 ° C	1.0 min.	AASHTO T 315
Softening Point, ° F	149 min.	AASHTO T 53
Solubility, %	97.5 min.	AASHTO T 44

<sup>1</sup> Bring sample to 212 °F over a 10-15 minute period. Maintain 212 °F for 15-20 minutes or until 30-40 mL of water has distilled. Continue distillation as specified in T59.

- 2.2. Equipment. Provide a distributor truck capable of heating, circulating, and spraying the tack between 170 °F and 180 °F. Do not exceed 180 °F. Circulate the material while heating. Provide the correct nozzles that is recommend by the producer to ensure proper coverage of tack is obtained. Ensure the bar can be raised to between 14” and 18” from the roadway.
- 2.3. Personnel. Ensure the tack supplier has provided training to the contractor on the installation procedures for this product. Make a technical representative from the supplier available at the request of the Engineer.
3. CONSTRUCTION.

3.1 Surface Preparation. Prior to the application of the non-tracking tack, ensure the pavement surface is thoroughly dry and free from dust or any other debris that would inhibit adhesion. Clean the surface by scraping, sweeping, and the use of compressed air. Ensure this preparation process occurs shortly before application to prevent the return of debris on to the pavement. If rain is expected within one hour after application, do not apply material. Apply material only when the surface is dry, and no precipitation is expected.

- 3.2 Non-tracking Tack Application. Placement of non-tracking tack is not permitted from October 1<sup>st</sup> to May 15<sup>th</sup>. When applying material, ensure the roadway temperature is a minimum of 40°F and rising. Prior to application, demonstrate competence in applying the tack according to this note to the satisfaction of the Engineer. Heat the tack in the distributor to between 170 – 180 °F. After the initial heating, between 170 – 180 °F, the material may be sprayed between 165 °F and 180 °F. Do not apply outside this temperature range. Apply material at a minimum rate of 0.70 pounds (0.08 gallons) per square yard. Ensure full coverage of the material on the pavement surface. Full coverage of this material is critical. Increase material application rate if needed to achieve full coverage. Schedule the work so that, at the end of the day's production, all non-tracking tack is covered with the asphalt mixture. If for some reason the non-tracking tack cannot be covered by an asphalt mixture, ensure the non-tracking tack material is clean and reapply the non-tracking tack prior to placing the asphalt mixture. Do not heat material more than twice in one day.
- 3.3 Non-tracking Tack Certification. Furnish the tack certification to the Engineer stating the material conforms to all requirements herein prior to use.
- 3.4 Sampling and Testing. The Department will require a sample of non-tracking tack be taken from the distributor at a rate of one sample per 15,000 tons of mix. Take two 1 gallon samples of the heated material and forward the sample to the Division of Materials for testing within 7 days. Ensure the product temperature is between 170 and 180 °F at the time of sampling.
4. MEASUREMENT. The Department will measure the quantity of non-tracking tack in tons. The Department will not measure for payment any extra materials, labor, methods, equipment, or construction techniques used to satisfy the requirements of this note. The Department will not measure for payment any trial applications of non-tracking tack, the cleaning of the pavement surface, or furnishing and placing the non-tracking tack. The Department will consider all such items incidental to the non-tracking tack.
5. PAYMENT. The Department will pay for the non-tracking tack at the Contract unit bid price and apply an adjustment for each manufacturer's lot of material based on the degree of compliance as defined in the following schedule. Non-tracking tack will not be permitted for use from October 1<sup>st</sup> to May 15<sup>th</sup>. During this timeframe, the department will allow the use of an approved asphalt emulsion in lieu of a non-tracking tack product but will not adjust the unit bid price of the material. When a sample fails on two or more tests, the Department may add the deductions, but the total deduction will not exceed 100 percent.

Non-Tracking Tack Price Adjustment Schedule						
Test	Specification	100% Pay	90% Pay	80% Pay	50% Pay	0% Pay
Viscosity, SFS, 77 ° F	20 – 100	19 - 102	17 - 18	15 - 16	14	≤13
			103 - 105	106 - 107	108 - 109	≥ 110
Sieve, %	0.30 max.	≤ 0.40	0.41 - 0.50	0.51 - 0.60	0.61 - 0.70	≥ 0.71
Asphalt Residue, %	50 min.	≥49.0	48.5 – 48.9	48.0 – 48.4	47.5-47.9	≤ 47.4
Oil Distillate, %	1.0 max.	≤1.0	1.1-1.5	1.6 - 1.7	1.8-1.9	>2.0
Residue Penetration, 77 ° F.	30 max.	≤ 31	32 - 33	34 - 35	36 - 37	≥ 38
Original Dynamic Shear (G*/sin δ), 82 ° C	1.0 min.	≥0.95	0.92 – 0.94	0.90 – 0.91	0.85 - 0.89	≤ 0.84
Softening Point, ° F	149 min.	≥145	142 - 144	140 - 141	138 - 139	≤ 137
Solubility, %	97.5 min.	≥ 97.0	96.8 – 96.9	96.6 – 96.7	96.4 – 96.5	≤ 96.3

Code  
24970EC

Pay Item  
Asphalt Material for Tack Non-Tracking

Pay Unit  
Ton

Revised: May 23, 2022

## **SPECIAL NOTE FOR ELECTRONIC DELIVERY MANAGEMENT SYSTEM (e-Ticketing) ASPHALT**

This Special Note will apply when indicated on the plans or in the proposal. Section references herein are to the Department's Standard Specifications for Road and Bridge Construction current edition.

**1.0 DESCRIPTION.** Incorporate an e-Ticketing Delivery Software for weighed asphalt material delivered to the project to report loads and provide daily running totals of weighed asphalt material for pay items and incidental work during the construction processes from the point of measurement and loading to the point of incorporation to the project.

**2.0 MATERIALS AND EQUIPMENT.** Contractor shall supply material data in JavaScript Object Notation (JSON) documents to the KYTC e-Ticketing Delivery Software (KYTC e-Ticketing Portal) via Application Programming Interface (API) or direct connection. Test and verify that ticket data can be shared from the original source no fewer than 30 days prior to material placement activities. An e-Ticketing Delivery Software supplier can provide a qualified representative for on-site technical assistance during the initial setup, pre-construction verifications, and data management and processing as needed during the Project to maintain material data delivery capabilities. Virtual meetings may be hosted in lieu of on-site meetings when deemed appropriate by the Engineer.

Provide e-Ticketing Delivery Software that will meet the following:

1. The e-Ticketing Delivery Software shall be fully integrated with the Contractor's Load Read-Out scale system at the material source location.
2. The e-Ticketing Delivery Software shall provide real-time delivery to KYTC e-Ticketing Portal.
3. Transmit any updates to the ticket data within 5 minutes of a change.

**3.0 CONSTRUCTION.** Provide the Engineer with the manufacturer's specifications and all required documentation for data access at the pre-construction conference.

### **A. Construction Requirements**

1. Install and operate software in accordance with the manufacturer's specifications.
2. Verify that all pertinent information is provided by the software within the requirements of this Special Note.

### **B. Data Deliverables**

Provide to the Engineer a means in which to gather report summaries by way of iOS apps, web pages, or any other method at the disposal of the Engineer. The Engineer may request data at any time during the project.

#### **1. Asphalt Material**

##### **a. Real-time Continuous Data Items**

Provide the Engineer access to JSON documents capable of being transmitted through the KYTC's e-Ticketing Portal that displays the following information in real-time with a web-based system compatible with iOS and Windows environments.

- Each Truck
  - Supplier Name
  - Supplier Address
  - Supplier Phone
  - Plant location
  - Date
  - Time at source
  - Project Location

- Contract ID#
- Carrier Name
- Unique Truck ID
- Description of Material
- Mix Design Number
- Gross, Tare and Net Weight
- Weighmaster

**4.0 MEASUREMENT.** The Department will not measure the electronic delivery management system.

**5.0 PAYMENT.** The Department will not measure this work for payment and will consider all items contained in this note to be incidental to the asphalt mixtures on the project, as applicable.

May 5, 2025

## **SPECIAL NOTE FOR ELECTRONIC DELIVERY MANAGEMENT SYSTEM (e-Ticketing) AGGREGATE**

This Special Note will apply when indicated on the plans or in the proposal. Section references herein are to the Department's Standard Specifications for Road and Bridge Construction current edition.

**1.0 DESCRIPTION.** Incorporate an e-Ticketing Delivery Software for weighed aggregate material delivered to the project to report loads and provide daily running totals of weighed aggregate material for pay items and incidental work during the construction processes from the point of measurement and loading to the point of incorporation to the project.

**2.0 MATERIALS AND EQUIPMENT.** Contractor shall supply material data in JavaScript Object Notation (JSON) documents to the KYTC e-Ticketing Delivery Software (KYTC e-Ticketing Portal) via Application Programming Interface (API) or direct connection. Test and verify that ticket data can be shared from the original source no fewer than 30 days prior to material placement activities. An e-Ticketing Delivery Software supplier can provide a qualified representative for on-site technical assistance during the initial setup, pre-construction verifications, and data management and processing as needed during the Project to maintain material data delivery capabilities. Virtual meetings may be hosted in lieu of on-site meetings when deemed appropriate by the Engineer.

Provide e-Ticketing Delivery Software that will meet the following:

1. The e-Ticketing Delivery Software shall be fully integrated with the Contractor's Load Read-Out scale system at the material source location.
2. The e-Ticketing Delivery Software shall provide real-time delivery to KYTC e-Ticketing Portal.
3. Transmit any updates to the ticket data within 5 minutes of a change.

**3.0 CONSTRUCTION.** Provide the Engineer with the manufacturer's specifications and all required documentation for data access at the pre-construction conference.

### **A. Construction Requirements**

1. Install and operate software in accordance with the manufacturer's specifications.
2. Verify that all pertinent information is provided by the software within the requirements of this Special Note.

### **B. Data Deliverables**

Provide to the Engineer a means in which to gather report summaries by way of iOS apps, web pages, or any other method at the disposal of the Engineer. The Engineer may request data at any time during the project.

#### **1. Aggregate Material**

##### **a. Real-time Continuous Data Items**

Provide the Engineer access to JSON documents capable of being transmitted through the KYTC's e-Ticketing Portal that displays the following information in real-time with a web-based system compatible with iOS and Windows environments.

- Each Truck
  - Supplier Name
  - Supplier Address
  - Supplier Phone
  - Plant location
  - Date
  - Time at source
  - Project Location



- Contract ID#
- Carrier Name
- Unique Truck ID
- Description of Material
- Load Number
- Gross, Tare and Net Weight
- Weighmaster

**4.0 MEASUREMENT.** The Department will measure the electronic delivery management system as a lump sum item.

**5.0 PAYMENT.** The Department will make payment for the completed and accepted quantities under the following:

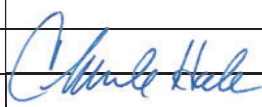
1. Payment is full compensation for all work associated with providing all required equipment, training, and documentation.
2. Payment will be full compensation for costs related to providing the e-Ticketing Delivery Software, including integration with plant load-out systems, and report viewing/exporting process. All quality control procedures including the software representative’s technical support and on-site training shall be included in the Contract lump sum price.

<u>Code</u>	<u>Pay Item</u>	<u>Pay Unit</u>
26248EC	ELECTRONIC DELIVERY MGMT SYSTEM-AGG	LS

May 5, 2025

KENTUCKY TRANSPORTATION CABINET  
Department of Highways  
DIVISION OF RIGHT OF WAY & UTILITIESTC 62-226  
Rev. 01/2016  
Page 1 of 1

## RIGHT OF WAY CERTIFICATION

<input checked="" type="checkbox"/> Original	<input type="checkbox"/> Re-Certification	RIGHT OF WAY CERTIFICATION	
ITEM #	COUNTY	PROJECT # (STATE)	PROJECT # (FEDERAL)
10-174.00	Powell	12F0 FD52 099 1544901R	STP 6000214
PROJECT DESCRIPTION			
Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River in Powell County.			
<input type="checkbox"/> No Additional Right of Way Required			
Construction will be within the limits of the existing right of way. The right of way was acquired in accordance to FHWA regulations under the Uniform Relocation Assistance and Real Property Acquisitions Policy Act of 1970, as amended. No additional right of way or relocation assistance were required for this project.			
<input checked="" type="checkbox"/> Condition # 1 (Additional Right of Way Required and Cleared)			
All necessary right of way, including control of access rights when applicable, have been acquired including legal and physical possession. Trial or appeal of cases may be pending in court but legal possession has been obtained. There may be some improvements remaining on the right-of-way, but all occupants have vacated the lands and improvements, and KYTC has physical possession and the rights to remove, salvage, or demolish all improvements and enter on all land. Just Compensation has been paid or deposited with the court. All relocations have been relocated to decent, safe, and sanitary housing or that KYTC has made available to displaced persons adequate replacement housing in accordance with the provisions of the current FHWA directive.			
<input type="checkbox"/> Condition # 2 (Additional Right of Way Required with Exception)			
The right of way has not been fully acquired, the right to occupy and to use all rights-of-way required for the proper execution of the project has been acquired. Some parcels may be pending in court and on other parcels full legal possession has not been obtained, but right of entry has been obtained, the occupants of all lands and improvements have vacated, and KYTC has physical possession and right to remove, salvage, or demolish all improvements. Just Compensation has been paid or deposited with the court for most parcels. Just Compensation for all pending parcels will be paid or deposited with the court prior to AWARD of construction contract			
<input type="checkbox"/> Condition # 3 (Additional Right of Way Required with Exception)			
The acquisition or right of occupancy and use of a few remaining parcels are not complete and/or some parcels still have occupants. All remaining occupants have had replacement housing made available to them in accordance with 49 CFR 24.204. KYTC is hereby requesting authorization to advertise this project for bids and to proceed with bid letting even though the necessary right of way will not be fully acquired, and/or some occupants will not be relocated, and/or the just compensation will not be paid or deposited with the court for some parcels until after bid letting. KYTC will fully meet all the requirements outlined in 23 CFR 635.309(c)(3) and 49 CFR 24.102(j) and will expedite completion of all acquisitions, relocations, and full payments after bid letting and prior to AWARD of the construction contract or force account construction.			
Total Number of Parcels on Project	6	EXCEPTION (S) Parcel #	ANTICIPATED DATE OF POSSESSION WITH EXPLANATION
Number of Parcels That Have Been Acquired			
Signed Deed	4		
Condemnation	2		
Signed ROE	2		
Notes/ Comments (Text is limited. Use additional sheet if necessary.)			
ROE was obtained on Parcel 1 on June 6, 2025			
ROE was obtained on Parcel 4 on May 30, 2025			
LPA RW Project Manager		Right of Way Supervisor	
Printed Name		Printed Name	Edgar Raleigh II
Signature		Signature	Edgar Raleigh II <small>Digitally signed by Edgar Raleigh II Date: 2025.06.19 14:48:55 -04'00'</small>
Date		Date	6/18/2025
Right of Way Director		FHWA	
Printed Name		Printed Name	
Signature		Signature	
Date	2025.06.20 08:16:36 -04'00'	Date	

## UTILITIES AND RAIL CERTIFICATION NOTE

**Powell County**  
**00STP6000214**  
**FD52 099 1544901U**  
**Mile point: 0.000 TO 0.363**  
**Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River in**  
**Powell County.**  
**ITEM NUMBER: 10-174.00**

### PROJECT NOTES ON UTILITIES

The contractor should be aware that there is UTILITY WORK INCLUDED IN THIS ROAD CONSTRUCTION CONTRACT. The Contractor shall review the GENERAL UTILITY NOTES AND INSTRUCTIONS which may include KYTC Utility Bid Item Descriptions, utility owner supplied specifications, plans, list of utility owner preapproved subcontractors, and other instructions. Utility contractors may be added via addendum if KYTC is instructed to do so by the utility owner. Potential contractors must seek prequalification from the utility owner. Any revisions must be sent from the utility owner to KYTC a minimum of one week prior to bid opening.

For all projects under 2000 Linear feet which require a normal excavation locate request pursuant to KRS 367.4901-4917, the awarded contractor shall field mark the proposed excavation or construction boundaries of the project (also called white lining) using the procedure set forth in KRS 367.4909(9)(k). For all projects over 2000 linear feet, which are defined as a "Large Project" in KRS 367.4903(18), the awarded contractor shall initially mark the first 2000 linear feet minimally of proposed excavation or construction boundaries of the project to be worked using the procedure set forth in KRS 367.4909(9)(k). This temporary field locating of the project excavation boundary shall take place prior to submitting an excavation location request to the underground utility protection Kentucky Contact Center. For large projects, the awarded contractor shall work with the impacted utilities to determine when additional white lining of the remainder of the project site will take place. This provision shall not alter or relieve the awarded contractor from complying with requirements of KRS 367.4905 to 367.4917 in their entirety.

Please Note: The information presented in this Utility Note is informational in nature and the information contained herein is not guaranteed.

## UTILITIES AND RAIL CERTIFICATION NOTE

**Powell County**  
**00STP6000214**  
**FD52 099 1544901U**  
**Mile point: 0.000 TO 0.363**  
**Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River in**  
**Powell County.**  
**ITEM NUMBER: 10-174.00**

The contractor shall make every effort to protect underground facilities from damage as prescribed in the Underground Facility Damage Protection Act of 1994, Kentucky Revised Statute KRS 367.4901 to 367.4917. It is the contractor's responsibility to determine and take steps necessary to be in compliance with federal and state damage prevention directives. The contractor is instructed to contact KY 811 for the location of existing underground utilities. Contact shall be made a minimum of two (2) and no more than ten (10) business days prior to excavation. The contractor shall submit Excavation Locate Requests to the Kentucky Contact Center (KY 811) via web ticket entry. The submission of this request does not relieve the contractor from the responsibility of contacting non-member facility owners, whom are to be contacted through their individual Protection Notification Center. It may be necessary for the contractor to contact the County Court Clerk to determine what utility companies have facilities in the area. Non-compliance with these directives can result in the enforcement of penalties.

**NOTE: DO NOT DISTURB THE FOLLOWING FACILITIES LOCATED WITHIN THE PROJECT  
DISTURB LIMITS**

Not Applicable

**\*The Contractor is fully responsible for protection of all utilities listed above\***

UTILITIES AND RAIL CERTIFICATION NOTE

Powell County  
00STP6000214  
FD52 099 1544901U  
Mile point: 0.000 TO 0.363  
Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River in  
Powell County.  
ITEM NUMBER: 10-174.00

THE FOLLOWING FACILITY OWNERS ARE RELOCATING/ADJUSTING THEIR FACILITIES  
WITHIN THE PROJECT LIMITS AND WILL BE COMPLETE PRIOR TO CONSTRUCTION

Clark Energy Cooperative, Inc. - Electric, Completion date: 5/1/2025

THE FOLLOWING FACILITY OWNERS HAVE FACILITIES TO BE RELOCATED/ADJUSTED  
BY THE OWNER OR THEIR SUBCONTRACTOR AND IS TO BE COORDINATED WITH THE  
ROAD CONTRACT

See supplemental plans for further detail.

AT&T - KY - Telephone, Completion date: 12/30/2025

Spectrum (Charter) Cable - Communication, Completion date: 12/30/2025

**UTILITIES AND RAIL CERTIFICATION NOTE**

<p><b>Powell County</b> <b>00STP6000214</b> <b>FD52 099 1544901U</b> <b>Mile point: 0.000 TO 0.363</b> <b>Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River in</b> <b>Powell County.</b> <b>ITEM NUMBER: 10-174.00</b></p>
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**THE FOLLOWING FACILITY OWNERS HAVE FACILITIES TO BE RELOCATED/ADJUSTED  
BY THE ROAD CONTRACTOR AS INCLUDED IN THIS CONTRACT**

City of Stanton - Water

**RAIL COMPANIES HAVE FACILITIES IN CONJUNCTION WITH THIS PROJECT AS NOTED**

☒ **No Rail Involvement**    ☐ **Rail Involved**    ☐ **Rail Adjacent**

UTILITIES AND RAIL CERTIFICATION NOTE

Powell County  
00STP6000214  
FD52 099 1544901U  
Mile point: 0.000 TO 0.363  
Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River in  
Powell County.  
ITEM NUMBER: 10-174.00

AREA FACILITY OWNER CONTACT LIST

Facility Owner	Address	Contact Name	Phone	Email
AT&T - KY - Telephone	894 E. Main St. Ext. Georgetown KY 40324	Frank Ambrose	8597538377	fa2207@att.com
City of Stanton - Water	P.O. Box 370 Stanton KY 40380	Willie Means	6066636474	willie.means@stantonky.gov
Clark Energy Cooperative, Inc. - Electric	2460 Ironworks Road Winchester KY 40391	Todd Peyton	8597444251	tpeyton@clarkenergy.com
Spectrum(Charter)Cable - Communication	1575 Winchester Rd - suite 140 Lexington KY 40505	Brad Dean	8592699515	Brad.Dean@charter.com

## UTILITIES AND RAIL CERTIFICATION NOTE

**Powell County**

**00STP6000214**

**FD52 099 1544901U**

**Mile point: 0.000 TO 0.363**

**Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River in  
Powell County.**

**ITEM NUMBER: 10-174.00**



# **GENERAL UTILITY NOTES AND INSTRUCTIONS APPLICABLE TO ALL UTILITY WORK MADE A PART OF THE ROAD CONSTRUCTION CONTRACT**

The contractor should be aware the following utility notes and KYTC Utility Bid Item Descriptions shall supersede, replace and take precedence over any and all conflicting information that may be contained in utility owner supplied specifications contained in the contract, on plans supplied by the utility owner, or any utility owner specifications or information externally referenced in this contract.

Where information may have been omitted from these notes, bid item descriptions, utility owner supplied specifications or plans; the KYTC Standard Specifications for Road and Bridge Construction shall be referenced.

## **PROTECTION OF EXISTING UTILITIES**

The existing utilities shown on the plans are shown as best known at the time the plans were developed and are to be used as a guide only by the Contractor. The Contractor shall use all means at his disposal to accurately locate all existing utilities, whether shown on the plans or not, prior to excavation. The contractor shall protect these utilities during construction. Any damage to existing utilities during construction that are shown or not shown on the plans shall be repaired at the Contractor's expense.

## **PREQUALIFIED UTILITY CONTRACTORS**

Some utility owners may require contractors that perform relocation work on their respective facilities as a part of the road contract be prequalified or preapproved by the utility owner. **Utility contractors may be added via addendum if KYTC is instructed to do so by the utility owner. Potential contractors must seek prequalification from the utility owner. Any revisions must be sent from the utility owner to KYTC a minimum of one week prior to bid opening.** Those utility owners with a prequalification or preapproval requirement are as follows:

***"No contractors are required to be prequalified or preapproved by the utility owner(s) to perform utility relocation work under this contract."***

The bidding contractor needs to review the above list and choose from the list of approved subcontractors at the end of these general notes as identified above before bidding. When the list of approved subcontractors is provided, only subcontractors shown on the following list(s) will be allowed to work on that utility as a part of this contract. In such instances, the utility subcontractor is not required to be prequalified with the KYTC Division of Construction Procurement.

## **IF A UTILITY SUPPLIED CONTRACTOR LIST IS NOT PROVIDED**

When the above list of approved subcontractors for the utility work is not provided, the utility work can be completed by the prime contractor, or a prime contractor-chosen subcontractor. In such instances, the subcontractor shall be prequalified with the KYTC Division of Construction Procurement in the work type of “Utilities” (I33). Those who would like to become prequalified may contact the Division of Construction Procurement at (502) 564-3500. Please note: it could take up to 30 calendar days for prequalification to be approved. The prequalification does not have to be approved prior to the bid, but must be approved before the subcontract will be approved by KYTC and the work can be performed.

### CONTRACT ADMINISTRATION RELATIVE TO UTILITY WORK

All utility work is being performed as a part of a contract administered by KYTC; there is not a direct contract between the utility contractor and utility owner. The KYTC Section Engineer is ultimately responsible for the administration of the road contract and any utility work included in the contract.

### SUBMITTALS AND CORRESPONDENCE

All submittals and correspondence of any kind relative to utility work included in the road contract shall be directed to the KYTC Section Engineer, a copy of which may also be supplied to the utility owner by the contractor to expedite handling of items like material approvals and shop drawings. All approvals and correspondence generated by the utility owner shall be directed to the KYTC Section Engineer. The KYTC Section Engineer will relay any approvals or correspondence to the utility contractor as appropriate. At no time shall any direct communication between the utility owner and utility contractor without the communication flowing through the KYTC Section Engineer be considered official and binding under the contract.

### ENGINEER

Where the word “Engineer” appears in any utility owner specifications included in this proposal, utility owner specifications included as a part of this contract by reference or on the utility relocation plans, it shall be understood the “Engineer” is the Kentucky Transportation Cabinet (KYTC) Section Engineer or designated representative and the utility owner engineer or designated representative jointly. Both engineers must mutually agree upon all decisions made with regard to the utility construction. The Transportation Cabinet, Section Engineer shall make all final decisions in all disputes.

### INSPECTOR OR RESIDENT PROJECT REPRESENTATIVE

Where the word “Inspector” or “Resident Project Representative” appears in the utility specifications included in this proposal, utility owner specifications included as a part of this contract by reference or on the utility relocation plans, it shall be understood the “Inspector” or “Resident Project Representative” is the utility owner inspector and KYTC inspector jointly. The Transportation Cabinet, Section Engineer shall make all final decisions in all disputes.

## NOTICE TO UTILITY OWNERS OF THE START OF WORK

One month before construction is to start on a utility, the utility contractor shall make notice to the KYTC Section Engineer and the utility owner of when work on a utility is anticipated to start. The utility contractor shall again make confirmation notice to the KYTC Section Engineer and the utility owner one week before utility work is to actually start.

## UTILITY SHUTDOWNS

The Contractor shall not shut down any active and in-service mains, utility lines or services for any reason unless specifically given permission to do so by the utility owner. The opening and closing of valves and operating of other active utility facilities for main, utility line or utility service shut downs are to be performed by the utility owner unless specific permission is given to the contractor by the owner to make shutdowns. If and when the utility owner gives the contractor permission to shutdown mains, utility lines or utility services, the contractor shall do so following the rules, procedures and regulations of the utility owner. Any permission given by the utility owner to the contractor to shutdown active and in-service mains, utility lines or services shall be communicated to the KYTC Section Engineer by the utility owner that such permission has been given.

Notice to customers of utility shut downs is sometimes required to be performed by the utility contractor. The contractor may be required; but, is not limited to, making notice to utility customers in a certain minimum amount of time in advance of the shut down and by whatever means of communication specified by the utility owner. The means of communication to the customer may be; but is not limited to, a door hanger, notice by newspaper ad, telephone contact, or any combination of communication methods deemed necessary, customary and appropriate by the utility owner. The contractor should refer to the utility owner specifications for requirements on customer notice.

Any procedure the utility owner may require the contractor to perform by specification or plan note and any expense the contractor may incur to comply with the utility owner's shut down procedure and notice to customers shall be considered an incidental expense to the utility construction.

CUSTOMER SERVICE AND LATERAL ABANDONMENTS When temporary or permanent abandonment of customer water, gas, or sewer services or laterals are necessary during relocation of utilities included in the contract, the utility contractor shall perform these abandonments as part of the contract as incidental work. No separate payment will be made for service line and lateral abandonments. The contractor shall provide all labor, equipment and materials to accomplish the temporary or permanent abandonment in accordance with the plans, specifications and/or as directed by the engineer. Abandonment may include, but is not limited to, digging down on a water or gas main at the tap to turn off the tap valve or corporation stop and/or capping or plugging the tap, digging down on a sewer tap at the main and plugging or capping the tap, digging down on a service line or lateral at a location shown on the plans or agreeable to the engineer and capping or plugging, or performing any other work necessary to abandon the service or lateral to satisfactorily accomplish the final utility relocation.

## STATIONS AND DISTANCES

All stations and distances, when indicated for utility placement in utility relocation plans or specifications, are approximate; therefore, some minor adjustment may have to be made during construction to fit actual field conditions. Any changes in excess of 6 inches of plan location shall be reviewed and approved jointly by the KYTC Section Engineer or designated representative and utility owner engineer or designated representative. Changes in location without prior approval shall be remedied by the contractor at his own expense if the unauthorized change creates an unacceptable conflict or condition.

## RESTORATION

Temporary and permanent restoration of paved or stone areas due to utility construction shall be considered incidental to the utility work. No separate payment will be made for this work. Temporary restoration shall be as directed by the KYTC Section Engineer. Permanent restoration shall be “in-kind” as existing.

Restoration of seed and sod areas will be measured and paid under the appropriate seeding and sodding bid items established in the contract for roadway work.

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BELOW ARE NOTES FOR WHEN “INST” ITEMS ARE IN THE CONTRACT MEANING THE UTILITY COMPANY IS PROVIDING CERTAIN MATERIALS FOR UTILITY RELOCATION

## MATERIAL

Contrary to Utility Bid Item Descriptions, those bid items that have the text “**Inst**” at the end of the bid item will have the major components of the bid item provided by the utility owner. No direct payment will be made for the major material component(s) supplied by the utility company. All remaining materials required to construct the bid item as detailed in utility bid item descriptions, in utility specifications and utility plans that are made a part of this contract will be supplied by the contractor. The contractor’s bid price should reflect the difference in cost due to the provided materials.

The following utility owners have elected to provide the following materials for work under this contract:

***“No materials are being supplied by the utility owner(s). All materials are to be supplied by the contractor per bid item descriptions, utility specifications and utility plans.”***

## SECURITY OF SUPPLIED MATERIALS

If any utility materials are to be supplied by the utility owner, it will be the responsibility of the utility contractor to secure all utility owner supplied materials after delivery to the project site. The utility contractor shall coordinate directly with the utility owner and their suppliers for delivery and security of the supplied materials. Any materials supplied by the utility owner and delivered to the construction site that are subsequently stolen, damaged or vandalized and deemed unusable shall be replaced with like materials at the contractor’s expense.

# Standard Water Bid Item Descriptions

**THESE BID ITEM DESCRIPTIONS SHALL SUPERCEDE ANY BID ITEM DESCRIPTIONS CONTAINED IN UTILITY OWNER SUPPLIED SPECIFICATIONS PROVIDED ELSEWHERE IN THIS PROPOSAL.**

**W AIR RELEASE VALVE** This bid item description shall apply to all air release valve installations of every size except those defined as “Special”. This item shall include the air release valve, main to valve connecting line or piping, manhole, vault, structure, access casting or doors, tapping the main, labor, equipment, excavation, proper backfill, and restoration required to install the air release valve at the location shown on the plans or as directed, in accordance with the specifications and standard drawings, complete and ready-for-use. Please refer to the Utility Company’s Specifications. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**BOLLARDS** This item is for payment for furnishing and installing protective guard posts at above-ground utility installations. A bollard may consist of, but is not limited to, a steel post set in concrete or any other substantial post material. This item shall include all labor, equipment, and materials needed for complete installation of the bollard, as specified by the utility owner specifications and plans. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

*NOTE: A bid code for this item has been established in standard roadway bid items and shall be used for payment of this item. The bid code is 2134IND.*

**W CAP EXISTING MAIN** This item shall include the specified cap, concrete blocking and/or mechanical anchoring, labor, equipment, excavation, backfill, and restoration required to install the cap on an existing main to be left in service at the location shown on the plans or as directed, in accordance with the specifications. This item is not to be paid to cap new main installations or mains that are to be abandoned. This pay item is only to be paid to cap existing mains to be left in service. Caps on new mains are to be considered incidental to the new main, as are other fittings, and are not to be paid under this item. All caps on existing mains shall be paid under this one bid item included in the contract, regardless of size. No separate bid items will be established for size variations. Please refer to the Utility Company’s Specifications. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

*Plugging of existing abandoned mains shall be performed and paid in accordance with Section 708.03.05 of KYTC Standard Specifications for Road and Bridge Construction, using Bid code 01314, Plug Pipe.*

**W CATHODIC PROTECTION** This item is for providing and installing all cathodic protection materials to iron pipe and fittings, as specified in plans and specifications, complete and ready-for-use. Materials to be supplied and installed by the contractor shall include, but are not limited to, anodes, wire, fusion kits, test stations, and/or marker posts. All cathodic protection required for the entire project shall be paid under this one item. Please refer to the Utility Company’s Specifications. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This item shall be paid LUMP SUM (LS) when complete.

**W DIRECTIONAL BORE** Payment under this item is made whenever the plans or specifications specifically show directional boring is to be utilized to minimize the impact of open-cut for the installation of water main under streets, creeks, etc. Payment under this item shall include the specified bore pipe, labor, and equipment. No separate payment shall be made for bore pipe installed in the bore, whether used as a carrier pipe or an encasement of a separate carrier pipe. This item shall also include pipe anchors at

each end of the bore, when specified, to prevent the creep or contraction of the bore pipe. Carrier pipe installed within a bore pipe shall be paid separately under pipe items. Payment under this item shall not be size specific and no separate bid items will be established for size variations. The bore pipe sizes to be included under this item shall be as shown on the plans and/or in the specifications. Any and all directional bores in each contract shall be paid under one directional bore bid item included in the contract, regardless of size. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W ENCASEMENT CONCRETE** This item shall include all labor, equipment, excavation, concrete, reinforcing steel, backfill, restoration, etc., to construct the concrete encasement of the water main as shown on the plans, and in accordance with the specifications and standard drawings. Payment under this item shall be in addition to the carrier pipe, as paid under separate bid items. Carrier pipe is not included in this bid item. Any and all concrete encasements shall be paid under one bid item included in the contract, regardless of the size of the carrier pipe or the volume of concrete or steel reinforcement, as specified in the plans and specifications. No separate bid items will be established for size variations. Measurement of pay quantity shall be from end of concrete to end of concrete. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W ENCASEMENT STEEL BORED** This item shall include the steel encasement pipe size as specified on the plans and in the specifications, casing spacers, end seals, labor, and equipment to bore and install the encasement in accordance with the plans and specifications, complete and ready-for-use. The size shall be the measured internal diameter of the encasement pipe. The sizes of encasement to be paid under the size ranges specified in the bid items shall be as follows:

- Range 1 = All encasement sizes greater than 2 inches to and including 6 inches
- Range 2 = All encasement sizes greater than 6 inches to and including 10 inches
- Range 3 = All encasement sizes greater than 10 inches to and including 14 inches
- Range 4 = All encasement sizes greater than 14 inches to and including 18 inches
- Range 5 = All encasement sizes greater than 18 inches to and including 24 inches
- Range 6 = All encasement sizes greater than 24 inches

*(Encasement sizes of 2 inches internal diameter or less shall not be paid separately but shall be considered incidental to the carrier pipe.)* Payment under this bid item shall not include the carrier pipe. Carrier pipe shall be paid under a separate bid item. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W ENCASEMENT STEEL OPEN CUT** This item shall include the steel encasement pipe size as specified on the plans and in the specifications, casing spacers, end seals, labor, and equipment to open-cut and install the encasement in accordance with the plans and specifications, complete and ready-for-use. The size shall be the measured internal diameter of the encasement pipe. The size encasement to be paid under the size ranges specified in the bid items shall be as follows:

- Range 1 = All encasement sizes greater than 2 inches to and including 6 inches
- Range 2 = All encasement sizes greater than 6 inches to and including 10 inches
- Range 3 = All encasement sizes greater than 10 inches to and including 14 inches
- Range 4 = All encasement sizes greater than 14 inches to and including 18 inches
- Range 5 = All encasement sizes greater than 18 inches to and including 24 inches
- Range 6 = All encasement sizes greater than 24 inches

*(Encasement sizes of 2 inches internal diameter or less shall not be paid separately but shall be considered incidental to the carrier pipe.)* Payment under this bid item shall not include the carrier pipe. Carrier pipe shall be paid under a separate bid item. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W FIRE HYDRANT ADJUST** This item includes all labor, equipment, excavation, materials, and backfill to adjust the existing fire hydrant using the fire hydrant manufacturer's extension kit for adjustments of 18" or less. Adjustments greater than 18" require anchoring couplings and vertical bends to adjust to grade. The Contractor will supply and install all anchor couplings, bends, fire hydrant extension, concrete blocking, restoration, granular drainage material, etc., needed to adjust the fire hydrant, complete and ready-for-use as shown on the plans, and in accordance with the specifications and standard drawings. This also includes allowing for the utility owner inspector to inspect the existing fire hydrant prior to adjusting, contractor returning unusable fire hydrants to the utility owner warehouse and picking up a replacement hydrant. No additional payment will be made for rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete and ready for use.

**W FIRE HYDRANT ASSEMBLY** This item includes all labor, equipment, new fire hydrant, isolating valve and valve box, concrete pad around valve box (when specified in specifications or plans), piping, anchoring tee, anchoring couplings, fire hydrant extension, excavation, concrete blocking, granular drainage material, backfill, and restoration, to install a new fire hydrant assembly as indicated on plans and standard drawings, complete and ready-for-use. No additional payment will be made for rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W FIRE HYDRANT RELOCATE** This item includes all labor and equipment to remove the existing fire hydrant from its existing location and to reinstall at a new location. This item shall include a new isolating valve and valve box, concrete pad around valve box (when required in specifications or plans), new piping, new anchoring tee, anchoring couplings, fire hydrant extensions, concrete blocking, restoration, granular drainage material, excavation, and backfill as indicated on plans, specifications, and standard drawings, complete and ready-for-use. This item shall also include allowing for utility owner inspector to inspect the existing fire hydrant prior to reuse, contractor returning unusable fire hydrants to the utility owner warehouse and picking up a replacement hydrant for use if the existing fire hydrant is determined unfit for reuse. No additional payment will be made for rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W FIRE HYDRANT REMOVE** This item includes removal of an abandoned fire hydrant, isolating valve, and valve box, to the satisfaction of the engineer. The removed fire hydrant, isolating valve, and valve box shall become the property of the contractor for his disposal as salvage or scrap. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W FLUSH HYDRANT ASSEMBLY** This item shall include the flushing hydrant assembly, service line, tapping the main, labor, equipment, excavation, backfill, and restoration required to install the flush hydrant at the location shown on the plans and in accordance with the specifications and standard drawings, complete and ready-for-use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W FLUSHING ASSEMBLY** This item shall include the flushing device assembly, service line, meter box and lid, tapping the main, labor, equipment, excavation, backfill, and restoration required to install the flushing device at the location shown on the plans and in accordance with the specifications and standard drawings, complete and ready-for-use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W LEAK DETECTION METER** This item is for payment for installation of a water meter at main valve locations, as shown on the plans, for detection of water main leaks. The meter shall be of the size and type specified in the plans or specifications. This item shall include all labor, equipment, meter, meter box or vault, connecting pipes between main and meter, main taps, tapping saddles, casting, yoke, and any other associated material needed for installation of a functioning water meter in accordance with the plans and specifications, complete and ready-for-use. No separate payment will be made under any other contract item for connecting pipe or main taps. All leak detection meters shall be paid under one bid item included in the contract, regardless of size. No separate bid items will be established for size variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete and ready for use.

**W LINE MARKER** This item is for payment for furnishing and installing a water utility line marker as specified by the utility owner specifications and plans. A line marker may consist of a post or monument of whatever materials specified and shall include markings and/or signage on same as specified by plans or specifications. This item shall include all labor, equipment, and materials needed for complete installation of the marker. This item shall be paid EACH (EA) when complete.

**W LINE STOP SIZE 1 OR 2** This item shall include the line stop saddle/sleeve, valve, completion plug and any other material, labor, and equipment necessary to complete the line stop as indicated in the plans and/or specifications. This installation shall allow the waterline system to operate as usual without any interruption of service. The size shall be the measured internal diameter of the live pipe to be tapped. The line stop size to be paid under sizes 1 or 2 shall be as follows:

Size 1 = All live tapped main sizes up to and including 8 inches

Size 2 = All live tapped main sizes greater than 8 inches

Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W MAIN POINT RELOCATE** This item is intended for payment for horizontal and/or vertical relocation of a short length of an existing main at the location shown on the plans. This bid item is to be used to relocate an existing water main at point locations, such as to clear a conflict at a proposed drainage structure, pipe, or any other similar short relocation situation, and where the existing pipe material is to be reused. The contractor shall provide any additional pipe or fitting material needed to complete the work, as shown on the plans and specifications. The materials provided shall be of the same type and specifications as those that exist. Substitution of alternative materials shall be approved by the engineer in advance on a case-by-case basis. New polyethylene wrap is to be provided (if wrap exists or is specified in the specifications to be used). If it is necessary that the pipe be disassembled for relay, payment under this item shall also include replacement of joint gaskets as needed. Bedding and backfill shall be provided and performed the same as with any other pipe installation as detailed in the plans and specifications. Payment under this item shall be for each location requiring an existing main to be relocated horizontally or vertically, regardless of pipe size or relocation length. No separate pay items will be established for pipe size variations or relocation segment length variations. Water Main Relocate shall not be paid on a linear feet basis but shall be paid EACH (EA) at each location when complete and placed in service. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced.



**W METER** This item is for payment for installation of all standard water meters of all sizes 2 inches in diameter or less as specified on the plans. This item shall include all labor, equipment, meter, meter box, casting, yoke, and any other associated materials needed for installation of a functioning water meter, in accordance with the plans and specifications, complete and ready-for-use. This item shall include connections to the new or existing water service line. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W METER ADJUST** This item includes all labor, equipment, excavation, materials, backfill, restoration, etc., to adjust the meter casting to finished grade (whatever size exists) at the location shown on the plans or as directed, in accordance with the specifications and standard drawings, complete and ready-for-use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W METER RELOCATE** This item includes all labor, equipment, excavation, additional fittings, disinfection, testing, restoration, etc., to relocate the existing water meter (whatever size exists), meter yoke, meter box, casting, etc., from its old location to the location shown on the plans or as directed, in accordance with the specifications and standard drawings, complete and ready-for-use. The new service pipe (if required) will be paid under the short side or long side service bid item. Any and all meter relocations of 2 inches or less shall be paid under one bid item included in the contract, regardless of size. Each individual relocation shall be paid individually under this item; however, no separate bid items will be established for meter size variations of 2 inches in diameter or less. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W METER VAULT SIZE RANGE 1 OR 2** This item is for payment for installation of an underground structure for housing of a large water meter, fittings, and valves as required by the plans and specifications. This item shall include all labor, equipment, excavation, concrete, manhole castings or access doors, the specified meter(s) valve(s), all piping, and fitting materials associated with installing a functioning meter and vault in accordance with the plans, standard drawings, and specifications, complete and ready-for-use. The size shall be the measured internal diameter of the meter and piping to be installed. The size meter vault to be paid under size 1 or 2 shall be as follows:

Size Range 1 = All meter and piping sizes greater than 2 inches up to and including 6 inches  
 Size Range 2 = All meter and piping sizes greater than 6 inches

This item shall be paid EACH (EA) when complete. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced.

**W METER/FIRE SERVICE COMBO VAULT** This item is for payment for installation of an underground structure for housing of a water meter and fire service piping, fittings, and valves as required by the plans and specifications. This item shall include all labor, equipment, excavation, concrete, manhole castings or access doors, the specified meter(s), valve(s), all piping, and fitting materials associated with installing a functioning meter and fire service vault, in accordance with the plans and specifications, complete and ready-for-use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W METER WITH PRESSURE REDUCING VALVE (PRV)** This item is for payment for installation of all standard water meters with pressure reducing valves (PRV) of all sizes 2 inches in diameter or less,

as specified on the plans. This item shall include all labor, equipment, meter, PRV, meter box, casting, yoke, and any other associated materials needed for installation of a functioning water meter with PRV, in accordance with the plans and specifications, complete and ready-for-use. This item shall include connections to the new or existing water service line. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W PIPE** This item shall apply to all pipe of every size and type material to be used as water main, except those bid items defined as "Special". This item includes the pipe specified by the plans and specifications, all fittings (including, but not limited to, bends, tees, reducers, plugs, and caps), tracing wire with test boxes (if required by specifications), polyethylene wrap (when specified), labor, equipment, excavation, bedding, backfill, restoration, testing, sanitizing, etc., required to install the specified new pipe and new fittings at the locations shown on the plans, or as directed, in accordance with the specifications and standard drawings, complete and ready-for-use. No additional payment will be made for rock excavation. This bid item includes material and placement of flowable fill under existing and proposed pavement, and wherever else specified on the plans or in the specifications. This item shall include all temporary and permanent materials, as well as equipment required to pressure test and sanitize mains including, but not limited to, pressurization pumps, hoses, tubing, gauges, main taps, saddles, temporary main end caps or plugs and blocking, main end taps for flushing, chlorine liquids or tablets for sanitizing, water for testing/sanitizing and flushing (when not supplied by the utility), chlorine neutralization equipment and materials, and any other items needed to accomplish pressure testing and sanitizing the main installation. This item shall also include pipe anchors at each end of polyethylene pipe runs, when specified to prevent the creep or contraction of the pipe. When owner specifications require, this bid item shall include contractor preparation of as-built drawings to be provided to the engineer and/or utility owner at the end of construction. Measurement of quantities under this item shall be through fittings, encasements, and directional bores (only when a separate carrier pipe is specified within the directional bore pipe). Measurements shall be further defined to be to the center of tie-in where new pipe contacts existing pipe at the center of connecting fittings, to the outside face of vault or structure walls, or to the point of main termination at dead ends. No separate payment will be made under pipe items when the directional bore pipe is the carrier pipe. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W PLUG EXISTING MAIN** This item shall include the specified plug, concrete blocking and/or mechanical anchoring, labor, equipment, excavation, backfill, and restoration required to install the plug on an existing main to be left in service at the location shown on the plans or as directed, in accordance with the specifications. This item is not to be paid to plug new main installations or mains that are to be abandoned. This pay item is only to be paid to plug existing mains that are to be left in service. Plugs on new mains are to be considered incidental to the new main, as are other fittings, and are not to be paid under this item. All plugs on existing mains left in service shall be paid under this one bid item included in the contract, regardless of size. No separate bid items will be established for size variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

*Plugging of existing abandoned mains shall be performed and paid in accordance with Section 708.03.05 of KYTC Standard Specifications for Road and Bridge Construction, using Bid code 01314, Plug Pipe.*

**W PRESSURE REDUCING VALVE** This item shall apply to all pressure reducing valves (PRV) of every size required in the plans and specifications, except those bid items defined as "Special". Payment under this description is to be for PRVs being installed with new main. This item includes the PRV as specified in the plans and specifications, polyethylene wrap (if required by specification), labor, equipment, excavation, anchoring (if any), pit or vault, backfill, restoration, testing, disinfection, etc., required to install the specified PRV at the location shown on the plans, in accordance with the specifications and standard

drawings, complete and ready-for-use. If required on the plans and/or proposed adjoining DIP is restrained, PRVs shall be restrained. PRV restraint shall be considered incidental to the PRV and adjoining pipe. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W PUMP STATION** This item is for payment for installation of pumps and an above or below ground structure for housing of the pumps. This item shall include all pumps, piping, fittings, valves, electrical components, building materials, concrete, any other appurtenances, labor, equipment, excavation, and backfill, to complete the pump station installation as required by the plans, standard drawings, and specifications, complete and ready-for-use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LUMP SUM (LS) when complete.

**W REMOVE TRANSITE (AC) PIPE** This item shall include all labor, equipment, and materials needed for removal and disposal of the pipe as hazardous material. All work shall be performed by trained and certified personnel, in accordance with all environmental laws and regulations. Any and all transite AC pipe removed shall be paid under one bid item included in the contract, regardless of size. No separate bid items will be established for size variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W SERVICE LONG SIDE** This item shall apply to all service line installations of every size bid up to and including 2-inch inside diameter, except those service bid items defined as "Special". This item includes the specified piping material, main tap, tapping saddle (if required), corporation stop materials, coupling for connecting the new piping to the surviving existing piping, encasement of 2 inches or less internal diameter (if required by plans or specifications), labor, equipment, excavation, backfill, testing, disinfection, and restoration, at the locations shown on the plans or as directed, in accordance with the specifications and standard drawings, complete and ready-for-use. This bid item is to pay for service installations where the ends of the service connection are on opposite sides of the public roadway and the service line crosses the centerline of the public roadway, as shown on the plans. The length of the service line is not to be specified. Payment under this item shall not be restricted by a minimum or maximum length. The contractor shall draw his own conclusions as to the length of piping that may be needed. Payment under this item shall include boring, jacking, or excavating across the public roadway for placement. Placement of a service across a private residential or commercial entrance alone shall not be reason to make payment under this item. Private or commercial entrances shall not be considered a public roadway in defining payment under this item. This pay item does not include installation or relocation of meters. Meters will be paid separately. No additional payment will be made for rock excavation or for special bedding required in rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W SERVICE SHORT SIDE** This item shall apply to all service line installations of every size up to and including 2-inch internal diameter, except those service bid items defined as "Special". This item includes installation of the specified piping material of the size specified on plans, encasement of 2 inches or less internal diameter (if required by plans or specifications), main tap, tapping saddle (if required), corporation stop, coupling for connecting the new piping to the surviving existing piping, labor, equipment, excavation, backfill, testing, disinfection, and restoration at the locations shown on the plans or as directed, in accordance with the specifications and standard drawings, complete and ready-for-use. This bid item is to pay for service installations where both ends of the service connection are on the same side of the public roadway, or when an existing service crossing a public roadway will remain and is being extended, reconnected, or relocated, with all work on one side of the public roadway centerline as shown on the plans. The length of

the service line is not to be specified and shall not be restricted to any minimum or maximum length. Placement of a service lateral across a private residential or commercial entrance alone shall not be reason to make payment under this item. Private or commercial entrances shall not be considered a public roadway in defining payment under this item. The contractor shall draw his own conclusions as to the length of piping that may be needed. This pay item does not include installation or relocation of meters. Meters will be paid separately. No additional payment will be made for rock excavation or for bedding required in rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W SERVICE RELOCATE** This item is for the relocation of an existing water service line where a meter is not involved, and where an existing service line can easily be adjusted by excavating alongside and moving the line horizontally and/or vertically a short distance without cutting the service line to avoid conflicts with road construction. This item shall include excavation, labor, equipment, bedding, and backfill to relocate the line, in accordance with the plans and specifications, complete and ready-for-use. Payment under this item shall be for each location requiring relocation. Payment shall be made under this item regardless of service size or relocation length. No separate pay items will be established for size or length variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W STRUCTURE ABANDONMENT** This item is to be used to pay for abandonment of larger above or below ground water structures such as meter vaults, fire pits, pump stations, tanks, etc. Payment under this item shall not be limited to size or scope; however, structures with connecting pipes of 2 inches or less shall not be paid under this item but shall be considered incidental to water construction (i.e., abandonment of standard water meters up to and including 2 inches would not be paid under this item). Payment under this item shall include all labor, equipment, and compacted fill or flowable fill for abandonment of the structure in-place and complete restoration. No separate bid items will be established for size or structure variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W STRUCTURE REMOVAL** This item is to be used to pay for removal of larger above or below ground water structures such as meter vaults, fire pits, pump stations, tanks, etc. Payment under this item shall not be limited to size or scope; however, structures with connecting pipes of 2 inches or less shall not be paid under this item but shall be considered incidental to water construction (i.e., removal of standard water meters up to and including 2 inches would not be paid under this item). Payment under this item shall include all labor, equipment, and compacted backfill for removal of the structure and complete restoration. No separate bid items will be established for size or structure variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W TAPPING SLEEVE AND VALVE SIZE 1 OR 2** This item shall include the specified tapping sleeve, valve, valve box, concrete pad around valve box (when required in specifications or plans), labor, and equipment to install the specified tapping sleeve and valve, complete and ready-for-use, in accordance with the plans and specifications. The size shall be the measured internal diameter of the live pipe to be tapped. The size tapping sleeve and valve to be paid under sizes 1 or 2 shall be as follows:

- Size 1 = All live tapped main sizes up to and including 8 inches
- Size 2 = All live tapped main sizes greater than 8 inches

Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W TIE-IN** This item shall be used for all main tie-in bid items of every size, except those defined as “Special”. This item includes all labor, equipment, excavation, fittings, sleeves, reducers, couplings, blocking, anchoring, restoration, disinfection, testing, and backfill required to make the water main tie-in as shown on the plans and in accordance with the specifications, complete and ready-for-use. Pipe for tie-ins shall be paid under separate bid items. This item shall be paid EACH (EA) when complete.

*Plugging of existing abandoned mains shall be performed and paid in accordance with Section 708.03.05 of KYTC Standard Specifications for Road and Bridge Construction, using Bid code 01314, Plug Pipe.*

**W VALVE** This item shall apply to all valves of every size required in the plans and specifications, except those bid items defined as “Special”. Payment under this description is to be for gate or butterfly valves being installed with new main. This item includes the valve as specified in the plans and specifications, polyethylene wrap (if required by specifications), labor, equipment, excavation, anchoring (if any), valve box and valve stem extensions, backfill, concrete pad around valve box (if required by specifications), restoration, testing, disinfection, etc., required to install the specified valve at the location shown on the plans, in accordance with the specifications and standard drawings, complete and ready-for-use. If required on plans and/or proposed adjoining DIP is restrained, valves shall be restrained. Valve restraint shall be considered incidental to the valve and adjoining pipe. This description does not apply to cut-in valves. Please refer to the Utility Company’s Specifications. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W VALVE ANCHOR EXISTING** This item is intended to pay for installation of restraint hardware on an existing valve where no restraint exists, to hold the valve in place to facilitate tie-ins and other procedures where restraint is prudent. This work shall be performed in accordance with water specifications and plans. This bid item shall include all labor, equipment, excavation, materials, and backfill to complete restraint of the designated valve, regardless of size, at the location shown on the plans, complete and ready-for-use. Materials to be provided may include, but are not limited to, retainer glands, lugs, threaded rod, concrete, reinforcing steel, or any other material needed to complete the restraint. Should the associated valve box require removal to complete the restraint, the contractor shall reinstall the existing valve box, the cost of which shall be considered incidental to this bid item. No separate bid items are being provided for size variations. All sizes shall be paid under one bid item. Please refer to the Utility Company’s Specifications. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W VALVE BOX ADJUST** This item include all labor, equipment, valve box and valve stem extensions (if required), excavation, backfill, concrete pad around valve box (when specified in specifications or plans), restoration, etc., to adjust the top of the box to finished grade, complete and ready-for-use. Please refer to the Utility Company’s Specifications. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W VALVE BOX REMOVE** This item is in payment for all labor, equipment, restoration materials, disposal, and any other effort for removal of a valve box, leaving the valve in place. Please refer to the Utility Company’s Specifications. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W VALVE CUT-IN** This item is for new cut-in valve installations of all sizes, where installation is accomplished by cutting out a section of existing main. This item shall include cutting the existing pipe, supplying the specified valve, couplings or sleeves, valve box, concrete pad around valve box (when required in specifications or plans), labor, equipment, and materials to install the valve at the locations

shown on the plans, or as directed by the engineer, complete and ready-for-use. Any pipe required for installation shall be cut from that pipe removed or supplied new by the contractor. No separate payment will be made for pipe required for cut-in valve installation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W VALVE REMOVE** This item is in payment for all labor, equipment, and restoration materials for cutting of existing pipe and any other effort necessary for total removal of an existing valve and valve box. This bid item shall include disposal of the valve and box, unless plans or specifications state the valve and box are to be salvaged and delivered to the utility owner for reuse. No separate pay items are to be established for size variations. All valve removals, regardless of size, shall be paid under this one pay item. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

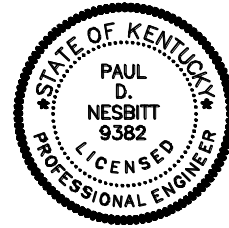
*If plugging of existing abandoned mains is needed after valve removal, the work shall be performed and paid in accordance with Section 708.03.05 of KYTC Standard Specifications for Road and Bridge Construction, using Bid code 01314, Plug Pipe.*

**W VALVE VAULT** This item is for payment for installation of an underground structure for housing of specific valve(s), as required by the plans and specifications. This item shall include all labor, equipment, excavation, concrete, manhole castings or doors, the specified valve(s), all piping, and fitting materials associated with installing a functioning valve vault, in accordance with the plans, standard drawings, and specifications, complete and ready-for-use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.



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227 North Upper Street  
Lexington, KY 40507-1016



# Technical Specifications

**KY 613 Improvement Project, 10-174  
Waterline Relocation  
City of Stanton  
Powell County, Kentucky**

**March 2025**

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## SECTION 01025

### MEASUREMENT AND PAYMENT

#### PART 1 - GENERAL

##### 1.01 WORK INCLUDED

The Contractor shall furnish all necessary labor, machinery, tools, apparatus, equipment, materials, service, other necessary supplies and perform all work including all excavation and backfilling (without additional compensation, except where specifically set out in these specifications) at the unit or lump sum bid price for the items or work described under PART 2 of this section.

##### 1.02 PROGRESS AND PAYMENTS SCHEDULES

- A. Within fifteen (15) days after the date of formal execution of the AGREEMENT, the Contractor shall prepare and submit to the Engineer, for approval, a construction schedule which depicts the Contractor's plan for completing the contract requirements and show work placement in dollars versus contract time. **The Contractor's construction schedule must be approved by the Engineer before any payments will be made on this contract.**
- B. Within fifteen (15) days after the date of formal execution of the CONTRACT AGREEMENT, the Contractor shall prepare and submit to the Engineer, for approval, a periodic estimate which depicts the Contractor's cost for completing the contract requirements and show by major unit of the project work, the Contractor's dollar value for the material and the labor (two separate amounts) to be used as a basis for the periodic payments. The Contractor's periodic estimate must be approved by the Engineer before any payments will be made on this contract.
- C. The Engineer's decision as to sufficiency and completeness of the Contractor's construction schedule and periodic estimate will be final.
- D. The Contractor must make current, to the satisfaction of the Engineer, the construction schedule and periodic estimate each time he requests a payment on this contract.
- E. The Contractor's construction schedule and periodic estimate must be maintained at the construction site available for inspection and shall be revised to incorporate approved change orders as they occur.
- F. When the Contractor requests a payment on this contract, it must be on the approved periodic estimate and be current. Further, the current periodic estimate and construction schedule (both updated and revised) shall be submitted for review and approval by the Engineer before monthly payments will be made by the Owner. The Contractor shall

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submit six (6) current copies of each (periodic estimate and construction schedule) when requesting payment.

### 1.03 CONDITIONS FOR PAYMENT

- A. The Owner will make payments for acceptable work in place and materials properly stored on-site. The value of payment shall be as established on the approved construction schedule and periodic estimate, EXCEPT the Owner will retain ten percent (10%) of the work in place and a percentage as hereinafter listed for items properly stored or untested.
- B. No payment will be made for stored materials unless a proper invoice from the supplier is attached to the pay request. Further, no item whose value is less than \$1,000.00 will be considered as stored materials for pay purposes.
- C. Payment for pipeline items shall be limited to eighty percent (80%) of the bid price until the pipeline items have been tested and accepted by the Engineer.
- D. Payment for equipment items shall be limited to eighty-five percent (85%) of their scheduled value (materials portion only) until they are set in place. Eighty-five percent (85%) payment for stored materials and equipment shall be contingent on proper on-site storage as recommended by the manufacturer or required by the Engineer.
- E. Payment for equipment items set in-place shall be limited to ninety percent (90%) of their scheduled value until they are ready for operation and have been certified by the manufacturer. Ninety percent (90%) payment for installed equipment shall be contingent on proper routine maintenance of the equipment in accordance with the manufacturer's recommendations.
- F. Payment for equipment items set in place and ready for operation shall be limited to ninety-five percent (95%) of their scheduled value until all acceptance tests have been completed and the required manufacturer's pre-startup operator's training has been completed.
- G. Payment for the labor portion of equipment items will be subject only to the degree of completeness and the appropriate retainage.
- H. The Owner may reduce the percent of retainage once the project has achieved satisfactory progress and is at the fifty percent (50%) mark. If the percent of retainage is reduced, the dollar amount of retainage for work-in-place will not be reduced but will remain constant following the fifty percent (50%) constructed status. The retainage on the equipment items shall be determined as defined hereinbefore.
- I. Additionally, the Owner may reinstate the retainage to a full ten percent (10%) of the scheduled value of work-in-place and material items should the Owner, at its discretion, determine that the Contractor is not making

satisfactory progress or there is other specific cause for such withholding.

#### **1.04 CLAIMS FOR EXTRA WORK**

- A. If the Contractor claims that any instructions by Drawings or otherwise involve extra cost, he shall give the Engineer written notice of said claim within ten (10) days after the receipt of such instructions, and in any event before proceeding to execute the work, stating clearly and in detail the basis of his claim or claims. No such claim shall be valid unless so made.
- B. Claims for additional compensation for extra work, due to alleged errors in spot elevations, contour lines, or bench marks, will not be recognized unless accompanied by certified survey data, made prior to the time the original ground was disturbed, clearly showing that errors exist which resulted, or would result, in handling more material, or performing more work than would reasonably be estimated from the Drawings and/or topographical maps issued.
- C. Any discrepancies which may be discovered between actual conditions and those represented by the topographical maps and/or Drawings shall at once be reported to the Engineer, and work shall not proceed, except at the Contractor's risk, until written instructions have been received by him from the Engineer.
- D. If, on the basis of the available evidence, the Engineer determines that an adjustment of the Contract Price or time is justifiable, the procedure shall then be as provided herein for "Changes in the Work".
- E. By execution of this Contract, the Contractor warrants that he has visited the site of the proposed work and fully acquainted himself with the existing site conditions relating to construction and labor, and that he fully understands the facilities, difficulties, and restrictions attending the execution of the work under this Contract. The Contractor further warrants that he has thoroughly examined and is familiar with the Drawings, Specifications and all other documents comprising the Contract. The Contractor further warrants that by execution of this Contract his failure when he was bidding on this Contract to receive or examine any form, instrument or document, or to visit the site and acquaint himself with conditions there existing, in no way relieves him from any obligation under the Contract, and the Contractor agrees that the Owner shall be justified in rejecting any claim based on facts regarding which he should have been on notice as a result thereof.

#### **1.05 DETERMINATION OF THE VALUE OF EXTRA (ADDITIONAL) OR OMITTED WORK**

- A. The value of extra (additional) or omitted work shall be determined in one or more of the following ways:

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1. On the basis of the actual cost of all the items of labor (including on-the-job supervision), materials, and use of equipment, plus a maximum 15 percent for added work or a minimum 15 percent for deleted work which shall cover the Contractor's general supervision, overhead and profit. In case of subcontracts, the 15 percent (maximum for added work and minimum for deleted work) is interpreted to mean the subcontractor's supervision, overhead and profit, and an additional 5 percent (maximum for added work and minimum for deleted work) may then be added to such costs to cover the General Contractor's supervision, overhead and profit. The cost of labor shall include required insurance, taxes and fringe benefits. Equipment costs shall be based on current rental rates in the areas where the work is being performed but, in no case shall such costs be greater than the current rates published by the Associated Equipment Distributors, Chicago, Illinois.
  2. By estimate and acceptance in a lump sum.
  3. By unit prices named in the Contract or subsequently agreed upon.
- B. Provided, however, that the cost or estimated cost of all extra (additional) work shall be determined in advance of authorization by the Engineer and approved by the Owner.
- C. All extra (additional) work shall be executed under the conditions of the original Contract. Any claim for extension of time shall be adjusted according to the proportionate increase or decrease in the final total cost of the work unless negotiated on another basis.
- D. Except for over-runs in contract unit price items, no extra (additional) work shall be done except upon a written Field Order Directive, or Change Order from the Engineer, and no claim on the part of the Contractor for pay for extra (additional) work shall be recognized unless so ordered in writing by the Engineer.

**PART 2 – PRODUCTS**

# **Standard Sanitary Sewer Bid Item Descriptions**

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**S BYPASS PUMPING** This item shall include all labor, equipment, and materials needed to complete a bypass pumping and/or hauling operation for diversion of sewage during sanitary sewer construction. Examples of such operations when bypass pumping and/or hauling may be necessary is during force main tie-ins, manhole invert reconstruction, insertion of new manholes into existing mains, or other similar construction. There may be more than one bypass pumping/hauling operation on a project. This item shall be paid for each separate bypass pumping/hauling operation occurrence as called out on the plans or directed by the engineer and actually performed. There will be no separate bid items defined for length, duration, or volume of sewage pumped or hauled in each occurrence. If a bypass pumping/hauling operation is called out on the plans; but, conditions are such that the bypass pumping/hauling operation is not needed or utilized, no payment will be made under this item. The contractor shall draw his own conclusions as to what labor, equipment, and materials may be needed for each bypass pumping/hauling occurrence. The contractor should be prepared to handle the maximum volume of the sewer being bypassed, even during a storm event. This item shall not be paid separately, but shall be considered incidental, when bypass pumping and/or hauling is needed during cast-in-place-pipe (CIPP) and/or point repair operations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA).

**S CIPP LATERAL SERVICE INVESTIGATION** This item shall include all equipment, materials, labor and incidentals necessary to enter the sewer in compliance with all safety/confined space requirements and perform the identification, assessment and pre-measurement of all existing and abandoned laterals for the placement of Cured-In-Place-Pipe lining. This item shall be in payment for all lateral service investigation for all sewer segments to be lined as a part of this contract. This bid item shall include bypass pumping when required. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. Payment for this item shall be LUMP SUM (LS).

**S CIPP LATERAL REINSTATEMENT** This item is to pay for installing a Cured-In-Place-Pipe liner in service laterals and service/mainline connections to stabilize structural defects and construction inadequacies. This bid item shall include all labor, equipment, materials and incidentals necessary to perform the service lateral reinstatement in accordance with the plans and specifications. Work under this item shall include bypass pumping, sewer flow control, pre-installation cleaning, sealing connections to existing sewer main, pre- and post- construction CCTV inspection and final testing of the CIPP system. This item shall also include the "top hat" required by the specifications. All CIPP lateral reinstatements shall be paid under this item regardless of the size or length of reinstatement. No separate bid items of varying sizes or length of CIPP lateral reinstatement will be provided in the contract. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. Payment for this item shall be EACH (EA) for each CIPP lateral reinstatement complete and ready for use.

**S CIPP LINER** This bid Item is to pay for rehabilitation of existing sanitary sewers using the Cured-In-Place-Pipe method. This bid item description applies to all CIPP sizes included in the contract. All CIPP Liner items of all varying sizes shall include all labor, materials, customer notification, testing, necessary permits, ingress and egress procedures, bypass pumping, pre-construction video, sediment and root removal, dewatering, traffic control, erosion and sediment control, excavation pits, removal and replacement of manhole frames and covers as necessary to facilitate the lining work, sealing at manholes and service connections, clearing

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and grubbing, pipeline cleaning, re-cleaning and video inspection as many times as necessary, debris collection and disposal, root removal, pre- and post-construction video inspection, all digital inspection footage, final report preparation and approval, the cost of potable water from the Owner, required compliance tests, site restoration, site cleanup, sealing of liner at manholes, acceptance testing and all other rehabilitation work and incidentals not included under other pay items necessary to complete the rehabilitation per the plans and specifications. There will be no separate payment for acceptance testing of the lined pipe; but shall be considered incidental to this item. Pay under this item shall be by each size bid in the contract. Pay measurement shall be from center of manhole to center of manhole. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF).

**S CIPP PROTRUDING LATERAL REMOVAL** This item includes all equipment, materials, labor and incidentals necessary to enter the sewer in compliance with all safety/confined space requirements, remove a sufficient amount of the protruding tap to insure a proper and safe Cured-In-Place-Pipe lining insertion and perform pre-installation CCTV. This bid item shall include bypass pumping when required. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. Payment for this item shall be EACH (EA) for each protruding lateral removed.

**S CONCRETE PIPE ANCHOR** This item shall be constructed on the sewer pipe at the locations shown on the plans in accordance with sanitary sewer specifications and standard drawings. Payment for concrete anchors will be made at the contract unit price each in place complete and ready for use. Each concrete anchor of sewer pipe or force main shall be paid under one bid item per contract regardless of the sizes of carrier pipe being anchored in the contract. No separate bid items will be established for size variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S DIRECTIONAL BORE** Payment under this item is made whenever the plans or specifications specifically show directional boring is to be utilized in order to minimize the impact of open cut for the installation of force main or gravity sewer under streets, creeks, and etc. Payment under this item shall include the specified bore pipe, labor, and equipment. No separate payment shall be made for bore pipe installed in the bore whether used as a carrier pipe or an encasement of a separate carrier pipe. This item shall also include pipe anchors at each end of the bore when specified to prevent the creep or contraction of the bore pipe. Carrier pipe installed within a bore pipe shall be paid separately under pipe items. Payment under this item shall not be size specific and no separate bid items will be established for size variations. The bore pipe sizes to be included under this item shall be as shown on the plans and/or in the specifications. Any and all directional bores in each contract shall be paid under one directional bore bid item included in the contract regardless of size. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF).

**S ENCASEMENT CONCRETE** Includes all labor, equipment, excavation, concrete, reinforcing steel, backfill, restoration, and etc., to construct the concrete encasement of the sewer or force main as shown on the plans, and in accordance with the specifications and standard drawings. Payment under this item shall be in addition to the carrier pipe as paid under separate bid items. Carrier pipe is not included in this bid item. Any and all concrete encasement shall be paid under one bid item included in the contract regardless of the size of

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the carrier pipe or the volume of concrete or steel reinforcement as specified in the plans and specifications. No separate bid items will be established for size variations. Measurement of pay quantity shall be from end of concrete to end of concrete. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**S ENCASEMENT STEEL BORED** This item shall include the steel encasement pipe size as specified on the plans and in the specifications, casing spacers, end seals, labor, and equipment to bore and install the encasement in accordance with the plans and specifications, complete and ready for use. The size shall be the measured internal diameter of the encasement pipe. The sizes of encasement to be paid under the size ranges specified in the bid items shall be as follows:

- Range 1 = All encasement sizes greater than 2 inches to and including 6 inches
- Range 2 = All encasement sizes greater than 6 inches to and including 10 inches
- Range 3 = All encasement sizes greater than 10 inches to and including 14 inches
- Range 4 = All encasement sizes greater than 14 inches to and including 18 inches
- Range 5 = All encasement sizes greater than 18 inches to and including 24 inches
- Range 6 = All encasement sizes greater than 24 inches

*(Encasement sizes of 2 inches internal diameter or less shall not be paid separately; but, shall be considered incidental to the carrier pipe.)* Payment under this bid item shall not include the carrier pipe. Carrier pipe shall be paid under a separate bid item. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF).

**S ENCASEMENT STEEL OPEN CUT** This item shall include the steel encasement pipe size as specified on the plans and in the specifications, casing spacers, end seals, labor, and equipment to open cut install the encasement in accordance with the plans and specifications, complete and ready for use. The size shall be the measured internal diameter of the encasement pipe. The size encasement to be paid under the size ranges specified in the bid items shall be as follows:

- Range 1 = All encasement sizes greater than 2 inches to and including 6 inches
- Range 2 = All encasement sizes greater than 6 inches to and including 10 inches
- Range 3 = All encasement sizes greater than 10 inches to and including 14 inches
- Range 4 = All encasement sizes greater than 14 inches to and including 18 inches
- Range 5 = All encasement sizes greater than 18 inches to and including 24 inches
- Range 6 = All encasement sizes greater than 24 inches

*(Encasement sizes of 2 inches internal diameter or less shall not be paid separately; but, shall be considered incidental to the carrier pipe.)* Payment under this bid item shall not include the carrier pipe. Carrier pipe shall be paid under a separate bid item. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF).

**S FORCE MAIN** This description shall apply to all PVC and ductile iron and polyethylene/plastic pipe bid items of every size and type, except those bid items defined as "Special". This item includes the pipe specified by the plans and specifications, all fittings (including, but not limited to, bends, tees, reducers, plugs, and caps), tracing wire with test



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boxes (if required by specification), polyethylene wrap (when specified), labor, equipment, excavation, bedding, restoration, testing, backfill, and etc., required to install the specified new pipe and new fittings at the locations shown on the plans, or as directed, in accordance with the specifications and standard drawings complete and ready for use. No additional payment will be made for rock excavation. This bid item includes material and placement of flowable fill under existing and proposed pavement, and wherever else specified on the plans or in the specifications. This item shall also include pipe anchors on polyethylene pipe runs as shown on the plans or required by the specifications to prevent the creep or contraction of the pipe. Measurement of quantities under this item shall be through fittings, encasements, and directional bores (only when a separate carrier pipe is specified within the directional bore pipe). No separate payment will be made under pipe items when the directional bore pipe is the carrier pipe. Measurements shall be further defined to be to the center of tie-in where new pipe contacts existing pipe at the center of connecting fittings, to the outside face of vault or structure walls, or to the point of main termination at dead ends. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF).

**S FORCE MAIN AIR RLS/VAC VLV** This bid item description shall apply to all force main air release/vacuum valve installations of every size except those defined as "Special". This item shall include the air release/vacuum valve, main to valve connecting line or piping, manhole/vault/structure, access casting or doors, tapping the main, labor, equipment, excavation, proper backfill and restoration required to install the air release/vacuum valve at the location shown on the plans or as directed in accordance with the specifications and standard drawings complete and ready for use. All air release/vacuum valves on a project shall be paid under one bid item regardless of size. No separate pay items will be established for size variations. Only in the case of the uniqueness of a particular air release/vacuum valve would a separate bid item be established. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S FORCE MAIN DIRECTIONAL BORE** Payment under this item is made whenever the plans or specifications specifically show directional boring is to be utilized in order to minimize the impact of open cut for the installation of sewer or force main under streets, buildings, creeks, and etc. Payment under this item shall include the specified bore pipe, labor, and equipment. No separate payment shall be made for bore pipe installed in the bore whether used as a carrier pipe or an encasement of a separate carrier pipe. This item shall also include pipe anchors at each end of the bore when specified to prevent the creep or contraction of the bore pipe. Carrier pipe installed within a bore pipe shall be paid separately under pipe items. Payment under this item shall not be size specific and no separate bid items will be established for size variations. The bore pipe sizes to be included under this item shall be as shown on the plans and/or in the specifications. Any and all directional bores in each contract shall be paid under one directional bore bid item included in the contract regardless of size. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF).

**S FORCE MAIN POINT RELOCATE** This item is intended for payment for horizontal and/or vertical relocation of a short length of an existing main at the locations shown on the plans. This bid item is to be used to relocate an existing force main at point locations such as to clear a conflict at a proposed drainage structure, pipe or any other similar short relocation situation, and where the existing pipe material is to be reused. The contractor shall provide any additional pipe or fitting material needed to complete the work as shown on the plans and

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specifications. The materials provided shall be of the same type and specification as those that exist. Substitution of alternative materials shall be approved by the engineer in advance on a case by case basis. New polyethylene wrap is to be provided (if wrap exists or is specified in the specifications to be used). If it is necessary that the pipe be disassembled for relay, payment under this item shall also include replacement of joint gaskets as needed. Bedding and backfill shall be provided and performed the same as with any other pipe installation as detailed in the plans and specifications. Payment under this item shall be for each location requiring an existing main to be relocated horizontally or vertically regardless of pipe size or relocation length. No separate pay items will be established for pipe size variations or relocation segment length variations. Force Main Relocate shall not be paid on a linear feet basis; but shall be paid EACH (EA) at each location when complete and placed in service. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced.

**S FORCE MAIN TAP SLEEVE/VALVE RANGE 1 OR 2** This item shall include the specified tapping sleeve, valve, valve box, concrete pad around valve box (when required in specifications or plans), labor, and equipment to install the specified tapping sleeve and valve, complete and ready for use in accordance with the plans and specifications. The size shall be the measured internal diameter of the live pipe to be tapped. The size tapping sleeve and valve to be paid under sizes 1 or 2 shall be as follows:

Range 1 = All live tapped main sizes up to and including 8 inches

Range 2 = All live tapped main sizes greater than 8 inches

Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S FORCE MAIN TIE-IN** This bid description shall be used for all force main tie-in bid items of every size except those defined as "Special". This item includes all labor, equipment, excavation, fittings, sleeves, reducers, couplings, blocking, anchoring, restoration, testing and backfill required to make the force main tie-in as shown on the plans and in accordance with the specifications complete and ready for use. This bid item shall include purge and sanitary disposal of any sewage from any abandoned segments of force main. Pipe for tie-ins shall be paid under separate bid items. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S FORCE MAIN VALVE** This description shall apply to all force main valves of every size required in the plans and specifications, except those bid items defined as "Special". Payment under this description is to be for gate or butterfly force main valves being installed with new force main. This item includes the valve as specified in the plans and specifications, polyethylene wrap (if required by specification), labor, equipment, excavation, anchoring (if any), valve box and valve stem extensions, backfill, concrete pad around valve box (if required by specification), restoration, testing, and etc., required to install the specified valve at the location shown on the plans in accordance with the specifications and standard drawings complete and ready for use. If required on plans and/or proposed adjoining DIP is restrained, force main valves shall be restrained. Force main valve restraint shall be considered incidental to the force main valve and adjoining pipe. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

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**S FORCE MAIN VALVE BOX ADJUST** Includes all labor, equipment, valve box and valve stem extensions (if required), excavation, backfill, concrete pad around valve box (when specified in specifications or plans), restoration, and etc., to adjust the top of the force main valve box to finished grade complete and ready for use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S LATERAL CLEANOUT** This item shall be for payment for installation of a cleanout in a service lateral line. This item shall include furnishing and installation of a tee, vertical pipe of whatever length required, and threaded cap. The cleanout shall extend from the lateral to final grade elevation. The size of the cleanout shall be equivalent to the size of the lateral. The cleanout materials shall meet the same specification as those for the lateral. The cleanout shall be installed at the locations shown on the plans or as directed by the engineer. Only one pay item shall be established for cleanout installation. No separate pay items shall be established for size or height variances. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S LATERAL LOCATE** This bid item is to pay for all labor, equipment, and materials needed in locating an existing sanitary sewer service lateral for tie-in of the lateral to new mainline sewers and/or for the relocation of a lateral. This bid item shall be inclusive of any and all methods and efforts required to locate the lateral for tie-in or relocation of the lateral. Locating methods to be included under this items shall include, but are not limited to, those efforts employing the use of video cameras from within an existing sanitary sewer main or lateral, electronic locating beacons and/or tracers inserted into the sanitary sewer main or lateral, careful excavation as a separate operation from mainline sewer or lateral excavation, the use of dyes to trace the flow of a lateral, or any combination of methods required to accurately locate the lateral. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA).

**S LATERAL LONG SIDE** This bid item description shall apply to all service lateral installations of every size up to and including 6 inch internal diameter, except those lateral bid items defined as "Special". This item includes the specified piping material, main tap, bends, clean outs, labor, equipment, excavation, backfill, testing, and restoration, at the locations shown on the plans or as directed, in accordance with the specifications and standard drawings, complete and ready for use. This bid item is to pay for service lateral installations where the ends of the lateral connection are on opposite sides of the public roadway. The new lateral must cross the centerline of the public roadway to qualify for payment as a long side lateral. The length of the service lateral is not to be specified. Payment under this item shall not be restricted by a minimum or maximum length. The contractor shall draw his own conclusions as to the length of piping that may be needed. Payment under this item shall include boring, jacking, or excavating across the public roadway for placement. Placement of a service lateral across a private residential or commercial entrance alone shall not be reason to make payment under this item. Private or commercial entrances shall not be considered a public roadway in defining payment under this item. No additional payment will be made for rock excavation or for bedding required in rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

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**S LATERAL SHORT SIDE** This bid item description shall apply to all service lateral installations of every size up to and including 6 inch, except those lateral bid items defined as “Special”. This item includes the specified piping material, main tap tee, bends, clean outs, labor, equipment, excavation, backfill, testing, and restoration, at the locations shown on the plans or as directed, in accordance with the specifications and standard drawings, complete and ready for use. This bid item is to pay for lateral installations where both ends of the lateral connection are on the same side of the public roadway, or when an existing lateral crossing a public roadway will remain and is being extended, reconnected, or relocated with all work on one side of the public roadway centerline as shown on the plans. The length of the service lateral is not to be specified and shall not be restricted to any minimum or maximum length. Payment shall be made under this item even if the lateral crosses a private residential or commercial entrance; but, not a public roadway. Private or commercial entrances shall not be considered a public roadway in defining payment under this item. The contractor shall draw his own conclusions as to the length of piping that may be needed. No additional payment will be made for rock excavation or for bedding required in rock excavation. Please refer to the Utility Company’s Specifications. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S LINE MARKER** This item is for payment for furnishing and installing a sewer utility line marker as specified by the utility owner specifications and plans. A line marker may consist of a post or monument of whatever materials specified and shall include markings and/or signage on same as specified by plans or specifications. This item shall include all labor, equipment, and materials needed for complete installation of the marker. This item shall be paid EACH (EA) when complete.

**S MANHOLE** Payment under this item is for the installation of new 4 foot interior diameter sanitary sewer manhole. Payment for manholes will be made at the contract unit price each in place complete and ready for use at the locations shown on plans in accordance with specifications and standard drawings. Manholes shall include concrete base, barrel sections, cone section or slab top, steps, excavation, backfilling, air testing, restoration, and cleanup in accordance with the specifications and standard drawings. Payment shall be made under this item regardless of whether the base is to be precast or cast-in-place (doghouse). All materials, except casting, shall be new and unused. An existing casting from an existing abandoned or removed manhole is to be reused and shall be considered incidental to this item. When a new casting is specified, or an existing casting is unavailable, it shall be paid as a separate bid item. Anchoring of casting, new or used, shall be considered incidental to this bid item. No additional compensation will be paid for manhole height variations. No additional payment will be made for rock excavation. Please refer to the Utility Company’s Specifications. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S MANHOLE ABANDON/REMOVE** Payment under this item is for the partial removal and/or filling of any sanitary sewer manhole regardless of size or depth that no longer serves any purpose. Payment shall be made regardless of whether the manhole is or is not in conflict with other work. Any manhole requiring partial removal, but not total removal, in order to clear a conflict with other work shall be paid under this item. All manholes partially removed shall be removed to a point at least one foot below final grade, one foot below roadway subgrade, or one foot clear of any other underground infrastructure, whichever is lowest. If partial removal of an abandoned manhole is elected by the contractor, the remaining manhole structure shall be refilled with flowable fill. Payment for disposal of a sanitary sewer manhole will be made under this item only. Please refer to the Utility Company’s Specifications. If the Company does not have specifications, KYTC’s Specifications shall be referenced. This

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item shall be paid EACH (EA) when complete.

**S MANHOLE ADJUST TO GRADE** Payment under this item is for the adjustment of sanitary sewer casting elevation on all sizes of existing sanitary manholes. This work shall be performed in accordance with the sanitary sewer specifications. Payment shall be made under this bid item regardless of the amount of adjustment necessary to a sanitary sewer manhole casting or diameter of the manhole. Work under this pay item may be as simple as placing a bed of mortar under a casting; but, shall also be inclusive of installation of adjusting rings, and /or addition, removal, or replacement of barrel sections. The existing casting is to be reused unless a new casting is specified on the plans. New casting, when specified, shall be paid as a separate bid item. Anchoring of the casting shall be incidental to this item. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S MANHOLE CASTING STANDARD** Payment under this bid items is for furnishing of a new standard traffic baring casting for sanitary manholes meeting the requirements of the sanitary sewer specifications and standard drawings. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when installed.

**S MANHOLE CASTING WATERTIGHT** Payment under this bid item is for furnishing of a new watertight traffic baring casting for sanitary manholes meeting the requirements of the sanitary sewer specifications and standard drawings. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when installed.

**S MANHOLE RECONSTRUCT INVERT** This bid item is to pay for all labor, equipment, and material for rework of the manhole bench to redirect or eliminate flow, such as when the flow of a pipe or pipes are being removed or redirected. This work will be as specified in the plans, specifications, or directed by the engineer. This work may consist of, but is not limited to, removal of concrete and/or placement of concrete in elimination or redirect of flow. This item shall also include providing and placement of a rubber seal or boot as required by utility specification, standard drawing or plan. The contractor shall draw his own conclusions as to the effort and scope of work needed to comply with the specifications, standard drawings, and plans. No payment shall be made under this bid when MANHOLE TAP EXISTING, or MANHOLE TAP EXISTING ADD DROP are being paid at the same location, as this type of work is included in those items. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S MANHOLE TAP EXISTING** This bid item is to pay for all labor, equipment, and material for coring one opening in an existing manhole base, addition of a rubber seal as specified, and rework of the manhole bench to direct the additional pipe flow. The bid item shall be paid for each core opening added to a single manhole. This bid item shall also include any rework of the existing manhole bench due to the elimination of other existing pipes and flow. This work will be as specified in the plans, specifications, or directed by the engineer. This work may consist of, but is not limited to, removal of concrete and/or placement of concrete in the addition, elimination, or redirect of flow. The contractor shall draw his own conclusions as to the effort and scope of work needed to comply with the specifications, standard drawings, and plans. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH

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(EA) when complete.

**S MANHOLE TAP EXISTING ADD DROP** This bid item is to pay for all labor, equipment, and material for coring one opening in an existing manhole base, addition of a rubber seal as specified, addition of a vertical drop pipe to the outside of the manhole, placement of reinforcing steel and concrete to encase vertical pipe, and rework of the manhole bench to direct the additional pipe flow. The bid item shall be paid for each drop added to a single manhole. This bid item shall also include any rework of the existing manhole bench due to the elimination of other existing pipes and flow. This work will be as specified in the plans, specifications, or directed by the engineer. This work may consist of, but is not limited to, removal of concrete and/or placement of concrete in the addition, elimination, or redirect of flow. The contractor shall draw his own conclusions as to the effort and scope of work needed to comply with the specifications, standard drawings, and plans. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S MANHOLE WITH DROP** Payment under this item is for the installation of new 4 foot interior diameter sanitary sewer manhole with drop. Payment for drop manholes will be made at the contract unit price each in place complete and ready for use at the locations shown on plans in accordance with specifications and standard drawings. Drop manholes shall include concrete base, barrel sections, drop materials, cone section or slab top, steps, excavation, backfilling, air testing, restoration, and cleanup. Payment shall be made under this item regardless of whether the base is to be precast or cast-in-place (doghouse). All materials, except casting, shall be new and unused. An existing casting from an existing abandoned or removed manhole is to be reused and shall be considered incidental to this item. When a new casting is specified, or an existing casting is unavailable, it shall be paid as a separate bid item. Anchoring of casting, new or used, shall be considered incidental to this bid item. No additional compensation will be paid for manhole height variations. No additional payment will be made for rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S MANHOLE WITH LINING** Payment under this item is for the installation of new 4 foot interior diameter sanitary sewer manhole with corrosion resistant lining. Payment for manholes will be made at the contract unit price each in place complete and ready for use at the locations shown on plans in accordance with specifications and standard drawings. Manholes shall include concrete base, barrel sections, cone section or slab top, steps, lining, excavation, backfilling, air testing, restoration, and cleanup in accordance with the standard drawings. Payment shall be made under this item regardless of whether the base is to be precast or cast-in-place (doghouse). All materials, except casting, shall be new and unused. An existing casting from an existing abandoned or removed manhole is to be reused and shall be considered incidental to this item. When a new casting is specified, or an existing casting is unavailable, it shall be paid as a separate bid item. Anchoring of casting, new or used, shall be considered incidental to this bid item. No additional compensation will be paid for manhole height variations. No additional payment will be made for rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S MANHOLE WITH TRAP** Payment under this item is for the installation of a new manhole with trap. Payment for trap manholes will be made at the contract unit price each in place complete and ready for use at the locations shown on plans in accordance with specifications

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and standard drawings. Trap manholes shall include concrete base, manhole structure and trap materials, cone section or slab top, steps, excavation, backfilling, air testing, restoration, and cleanup. All materials, except casting, shall be new and unused. Payment shall be made under this item regardless of whether the base is to be precast or cast-in-place (doghouse). An existing casting from an existing abandoned or removed manhole is to be reused and shall be considered incidental to this item. When a new casting is specified, or an existing casting is unavailable, it shall be paid as a separate bid item. Anchoring of casting, new or used, shall be considered incidental to this bid item. No additional compensation will be paid for manhole height variations. No additional payment will be made for rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S PIPE** This description shall apply to all PVC and ductile iron gravity sewer pipe bid items of every size and type 8 inches internal diameter and larger, except those bid items defined as "Special". This item includes the pipe specified by the plans and specifications, all fittings (including, but not limited to, tap tees and couplings for joining to existing similar or dissimilar pipes), polyethylene wrap (if required by specification), labor, equipment, excavation, bedding, restoration, pressure or vacuum testing, temporary testing materials, video inspection, backfill, and etc., required to install the specified new pipe and new fittings at the locations shown on the plans, or as directed, in accordance with the specifications and standard drawings complete and ready for use. This bid item shall include material and placement of flowable fill under existing and proposed pavement, and wherever specified on the plans or in the specifications. No additional payment will be made for rock excavation. Measurement of quantities under this item shall be through fittings and encasements to a point at the outside face of manhole barrels, or to the point of main termination at dead ends or lamp holes. Carrier pipe placed within an encasement shall be paid under this item and shall include casing spacers and end seals. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF).

**S PIPE POINT REPAIR** This item is to be used to pay for repair of short lengths of existing sanitary sewer pipe that, through prior video inspection or other means, are known to have pre-existing failure. Pipe Point Repair may be needed in preparation for installation of cured-in-place-pipe (CIPP) lining or other instances where failure is known and repair is prudent. The size of pipe shall not be defined in separate bid items. All diameter sizes of point repair shall be paid under this one item. The materials to be used to make the repair shall be as defined on the plans or in the specifications. This bid item shall include all excavation, pipe materials, joining materials to connect old and new pipe, bedding, and backfill to complete the repair at the locations shown on the plans or as directed by the engineer, complete and ready for use. This bid item shall include bypass pumping when required. Measurement shall be from contact point to contact point of old and new pipe. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF).

**S PUMP STATION** This item is for payment for installation of sanitary pump stations including above or below ground structure for housing of the pumps. This item shall include all pumps, piping, fittings, valves, electrical components, building materials, concrete, any other appurtenances, labor, equipment, excavation, and backfill, to complete the pump station installation as required by the plans, standard drawings, and specifications, complete and ready for use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LUMP

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SUM (LS) for each when complete.

**S STRUCTURE ABANDON** This item is to be used to pay for abandonment of larger above or below ground sewer structures such as air release/vacuum valve vaults, pump stations, tanks, etc. Payment under this time shall not be limited to size or scope; however structures with connecting pipes of 2 inches or less shall not be paid under this item; but, shall be considered incidental to sewer construction, (i.e., abandonment of standard air release/vacuum valves up to and including 2 inches would not be paid under this item). Payment under this item shall include all labor, equipment, and compacted fill or flowable fill for abandonment of the structure in place and restoration complete. No separate bid items will be established for size or structure variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**S STRUCTURE REMOVAL** This item is to be used to pay for removal of larger above or below ground sewer structures such as air release/vacuum valve vaults, pump stations, tanks, and etc. Payment under this time shall not be limited to size or scope; however, structures with connecting pipes of 2 inches or less shall not be paid under this item; but, shall be considered incidental to sewer construction, (i.e., removal of standard air release/vacuum valves and their structure up to and including 2 inches would not be paid under this item). Payment under this item shall include all labor, equipment, and compacted backfill for removal of the structure and restoration complete. No separate bid items will be established for size or structure variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

## Standard Water Bid Item Descriptions

**W AIR RELEASE VALVE** This bid item description shall apply to all air release valve installations of every size except those defined as "Special". This item shall include the air release valve, main to valve connecting line or piping, manhole, vault, structure, access casting or doors, tapping the main, labor, equipment, excavation, proper backfill and restoration required to install the air release valve at the location shown on the plans or as directed in accordance with the specifications and standard drawings complete and ready for use. All air release/vacuum valves on a project shall be paid under one bid item regardless of size. No separate pay items will be established for size variations. Only in the case of the uniqueness of a particular air release valve would a separate bid item be established. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**BOLLARDS** This item is for payment for furnishing and installing protective guard posts at above ground utility installations. A bollard may consist of, but not limited to, a steel post set in concrete or any other substantial post material. This item shall include all labor, equipment, and materials needed for complete installation of the bollard as specified by the utility owner specifications and plans. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

*NOTE: A bid code for this item has been established in standard roadway bid items and shall be*



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*used for payment of this item. The bid code is 21341ND*

**W CAP EXISTING MAIN** This item shall include the specified cap, concrete blocking and/or mechanical anchoring, labor, equipment, excavation, backfill, and restoration required to install the cap at the location shown on the plans or as directed in accordance with the specifications. This item is not to be paid on new main installations. This pay item is only to be paid to cap existing mains. Caps on new mains are incidental to the new main. Any and all caps on existing mains shall be paid under one bid item included in the contract regardless of size. No separate bid items will be established for size variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W DIRECTIONAL BORE** Payment under this item is made whenever the plans or specifications specifically show directional boring is to be utilized in order to minimize the impact of open cut for the installation of water main under streets, creeks, and etc. Payment under this item shall include the specified bore pipe, labor, and equipment. No separate payment shall be made for bore pipe installed in the bore whether used as a carrier pipe or an encasement of a separate carrier pipe. This item shall also include pipe anchors at each end of the bore when specified to prevent the creep or contraction of the bore pipe. Carrier pipe installed within a bore pipe shall be paid separately under pipe items. Payment under this item shall not be size specific and no separate bid items will be established for size variations. The bore pipe sizes to be included under this item shall be as shown on the plans and/or in the specifications. Any and all directional bores in each contract shall be paid under one directional bore bid item included in the contract regardless of size. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W ENCASEMENT CONCRETE** Includes all labor, equipment, excavation, concrete, reinforcing steel, backfill, restoration, and etc., to construct the concrete encasement of the water main as shown on the plans, and in accordance with the specifications and standard drawings. Payment under this item shall be in addition to the carrier pipe as paid under separate bid items. Carrier pipe is not included in this bid item. Any and all concrete encasement shall be paid under one bid item included in the contract regardless of the size of the carrier pipe or the volume of concrete or steel reinforcement as specified in the plans and specifications. No separate bid items will be established for size variations. Measurement of pay quantity shall be from end of concrete to end of concrete. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W ENCASEMENT STEEL BORED** This item shall include the steel encasement pipe size as specified on the plans and in the specifications, casing spacers, end seals, labor, and equipment to bore and install the encasement in accordance with the plans and specifications, complete and ready for use. The size shall be the measured internal diameter of the encasement pipe. The sizes of encasement to be paid under the size ranges specified in the bid items shall be as follows:

- Range 1 = All encasement sizes greater than 2 inches to and including 6 inches
- Range 2 = All encasement sizes greater than 6 inches to and including 10 inches
- Range 3 = All encasement sizes greater than 10 inches to and including 14 inches
- Range 4 = All encasement sizes greater than 14 inches to and including 18 inches
- Range 5 = All encasement sizes greater than 18 inches to and including 24 inches
- Range 6 = All encasement sizes greater than 24 inches

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*(Encasement sizes of 2 inches internal diameter or less shall not be paid separately; but, shall be considered incidental to the carrier pipe.)* Payment under this bid item shall not include the carrier pipe. Carrier pipe shall be paid under a separate bid item. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W ENCASEMENT STEEL OPEN CUT** This item shall include the steel encasement pipe size as specified on the plans and in the specifications, casing spacers, end seals, labor, and equipment to open cut and install the encasement in accordance with the plans and specifications, complete and ready for use. The size shall be the measured internal diameter of the encasement pipe. The size encasement to be paid under the size ranges specified in the bid items shall be as follows:

- Range 1 = All encasement sizes greater than 2 inches to and including 6 inches
- Range 2 = All encasement sizes greater than 6 inches to and including 10 inches
- Range 3 = All encasement sizes greater than 10 inches to and including 14 inches
- Range 4 = All encasement sizes greater than 14 inches to and including 18 inches
- Range 5 = All encasement sizes greater than 18 inches to and including 24 inches
- Range 6 = All encasement sizes greater than 24 inches

*(Encasement sizes of 2 inches internal diameter or less shall not be paid separately; but, shall be considered incidental to the carrier pipe.)* Payment under this bid item shall not include the carrier pipe. Carrier pipe shall be paid under a separate bid item. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W FIRE HYDRANT ADJUST** Includes all labor, equipment, excavation, materials, and backfill to adjust the existing fire hydrant using the fire hydrant manufacturer's extension kit for adjustments of 18" or less. Adjustments greater than 18" require anchoring couplings and vertical bends to adjust to grade. The Contractor will supply and install all anchor couplings, bends, fire hydrant extension, concrete blocking, restoration, granular drainage material, etc, needed to adjust the fire hydrant complete and ready for use as shown on the plans, and in accordance with the specifications and standard drawings. This also includes allowing for the utility owner inspector to inspect the existing fire hydrant prior to adjusting, contractor returning unusable fire hydrants to the utility owner warehouse and picking up a replacement hydrant. No additional payment will be made for rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete and ready for use.

**W FIRE HYDRANT ASSEMBLY** Includes all labor, equipment, new fire hydrant, isolating valve and valve box, concrete pad around valve box (when specified in specifications or plans), piping, anchoring tee, anchoring couplings, fire hydrant extension, excavation, concrete blocking, granular drainage material, backfill, and restoration, to install a new fire hydrant assembly as indicated on plans and on standard drawings complete and ready for use. No additional payment will be made for rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W FIRE HYDRANT RELOCATE** This item includes all labor and equipment to remove the existing fire hydrant from its existing location and reinstalling at a new location. This item shall include a new isolating valve and valve box, concrete pad around valve box (when required in specifications or plans), new piping, new anchoring tee, anchoring couplings, fire hydrant

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extensions, concrete blocking, restoration, granular drainage material, excavation, and backfill as indicated on plans, specifications, and on standard drawings complete and ready for use. This item shall also include allowing for utility owner inspector to inspect the existing fire hydrant prior to reuse, contractor returning unusable fire hydrants to the utility owner warehouse and picking up a replacement hydrant for use, if the existing fire hydrant is determined unfit for reuse. No additional payment will be made for rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W FIRE HYDRANT REMOVE** This bid item includes removal of an abandoned fire hydrant, isolating valve, and valve box to the satisfaction of the engineer. The removed fire hydrant, isolating valve and valve box shall become the property of the contractor for his disposal as salvage or scrap. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W FLUSH HYDRANT ASSEMBLY** This item shall include the flushing hydrant assembly, service line, tapping the main, labor, equipment, excavation, backfill, and restoration required to install the flush hydrant at the location shown on the plans and in accordance with the specifications and standard drawings, complete and ready for use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W FLUSHING ASSEMBLY** This item shall include the flushing device assembly, service line, meter box and lid, tapping the main, labor, equipment, excavation, backfill, and restoration required to install the flushing device at the location shown on the plans and in accordance with the specifications and standard drawings, complete and ready for use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W LEAK DETECTION METER** This item is for payment for installation of a water meter at main valve locations where shown on the plans for detection of water main leaks. The meter shall be of the size and type specified in the plans or specifications. This item shall include all labor, equipment, meter, meter box or vault, connecting pipes between main and meter, main taps, tapping saddles, casting, yoke, and any other associated material needed for installation of a functioning water meter in accordance with the plans and specifications, complete and ready for use. No separate payment will be made under any other contract item for connecting pipe or main taps. Any and all leak detection meters shall be paid under one bid item included in the contract regardless of size. No separate bid items will be established for size variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete and ready for use.

**W LINE MARKER** This item is for payment for furnishing and installing a water utility line marker as specified by the utility owner specifications and plans. A line marker may consist of a post or monument of whatever materials specified and shall include markings and/or signage on same as specified by plans or specifications. This item shall include all labor, equipment, and materials needed for complete installation of the marker. This item shall be paid EACH (EA) when complete.

**W MAIN POINT RELOCATE** This item is intended for payment for horizontal and/or vertical relocation of a short length of an existing main at the locations shown on the plans. This bid item is to be used to relocate an existing water main at point locations such as to clear a conflict at a

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proposed drainage structure, pipe or any other similar short relocation situation, and where the existing pipe material is to be reused. The contractor shall provide any additional pipe or fitting material needed to complete the work as shown on the plans and specifications. The materials provided shall be of the same type and specification as those that exist. Substitution of alternative materials shall be approved by the engineer in advance on a case by case basis. New polyethylene wrap is to be provided (if wrap exists or is specified in the specifications to be used). If it is necessary that the pipe be disassembled for relay, payment under this item shall also include replacement of joint gaskets as needed. Bedding and backfill shall be provided and performed the same as with any other pipe installation as detailed in the plans and specifications. Payment under this item shall be for each location requiring an existing main to be relocated horizontally or vertically regardless of pipe size or relocation length. No separate pay items will be established for pipe size variations or relocation segment length variations. Water Main Relocate shall not be paid on a linear feet basis; but, shall be Paid EACH (EA) at each location when complete and placed in service. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced.

**W METER** This item is for payment for installation of all standard water meters of all sizes 2 inches ID or less as specified on the plans. This item shall include all labor, equipment, meter, meter box, casting, yoke, and any other associated material needed for installation of a functioning water meter in accordance with the plans and specifications, complete and ready for use. This item shall include connections to the new or existing water service line. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W METER ADJUST** This item includes all labor, equipment, excavation, materials, backfill, restoration, and etc., to adjust the meter casting to finished grade (whatever size exists) at the location shown on the plans or as directed in accordance with the specifications and standard drawings complete and ready for use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W METER RELOCATE** This item includes all labor, equipment, excavation, additional fittings, disinfection, testing, restoration, and etc., to relocate the existing water meter (whatever size exists), meter yoke, meter box, casting, and etc., from its old location to the location shown on the plans or as directed, in accordance with the specifications and standard drawings complete and ready for use. The new service pipe (if required) will be paid under short side or long side service bid items. Any and all meter relocations of 2 inches or less shall be paid under one bid item included in the contract regardless of size. Each individual relocation shall be paid individually under this item; however, no separate bid items will be established for meter size variations of 2 inches ID or less. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W METER VAULT SIZE RANGE 1 OR 2** This item is for payment for installation of an underground structure for housing of a larger water meter, fittings, and valves as required by the plans and specifications. This item shall include all labor, equipment, excavation, concrete, manhole castings or access doors, the specified meter(s) valve(s), all piping, and fitting materials associated with installing a functioning meter and vault in accordance with the plans, standard drawings, and specifications, complete and ready for use. The size shall be the measured internal diameter of the meter and piping to be installed. The size meter vault to be paid under size 1 or 2 shall be as follows:

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Size Range 1 = All meter and piping sizes greater than 2 inches up to and including 6 inches

Size Range 2 = All meter and piping sizes greater than 6 inches

This item shall be paid EACH (EA) when complete. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced.

**W METER/FIRE SERVICE COMBO VAULT** This item is for payment for installation of an underground structure for housing of a water meter and fire service piping, fittings, and valves as required by the plans and specifications. This item shall include all labor, equipment, excavation, concrete, manhole castings or access doors, the specified meter(s), valve(s), all piping, and fitting materials associated with installing a functioning meter and fire service vault in accordance with the plans and specifications, complete and ready for use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W METER WITH PRESSURE REDUCING VALVE (PRV)** This item is for payment for installation of all standard water meters with pressure reducing valves (PRV) of all sizes 2 inches ID or less as specified on the plans. This item shall include all labor, equipment, meter, PRV, meter box, casting, yoke, and any other associated material needed for installation of a functioning water meter with PRV in accordance with the plans and specifications, complete and ready for use. This item shall include connections to the new or existing water service line. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W PIPE** This description shall apply to all PVC, ductile iron, and polyethylene/plastic pipe bid items of every size and type to be used as water main, except those bid items defined as "Special". This item includes the pipe specified by the plans and specifications, all fittings (including, but not limited to, bends, tees, reducers, plugs, and caps), tracing wire with test boxes (if required by specification), polyethylene wrap (when specified), labor, equipment, excavation, bedding, restoration, testing, sanitizing, backfill, and etc., required to install the specified new pipe and new fittings at the locations shown on the plans, or as directed, in accordance with the specifications and standard drawings complete and ready for use. No additional payment will be made for rock excavation. This bid item includes material and placement of flowable fill under existing and proposed pavement, and wherever else specified on the plans or in the specifications. This item shall include all temporary and permanent materials and equipment required to pressure test and sanitize mains including, but not limited to, pressurization pumps, hoses, tubing, gauges, main taps, saddles, temporary main end caps or plugs and blocking, main end taps for flushing, chlorine liquids or tablets for sanitizing, water for testing/sanitizing and flushing (when not supplied by the utility), chlorine neutralization equipment and materials, and any other items needed to accomplish pressure testing and sanitizing the main installation. This item shall also include pipe anchors, at each end of polyethylene pipe runs when specified to prevent the creep or contraction of the pipe. Measurement of quantities under this item shall be through fittings, encasements, and directional bores (only when a separate carrier pipe is specified within the directional bore pipe). Measurements shall be further defined to be to the center of tie-in where new pipe contacts existing pipe at the center of connecting fittings, to the outside face of vault or structure walls, or to the point of main termination at dead ends. No separate payment will be made under pipe items when the directional bore pipe is the carrier pipe. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

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**W PLUG EXISTING MAIN** This item shall include the specified plug, concrete blocking and/or anchoring, labor, equipment, excavation, backfill, and restoration required to install the plug in an existing in-service main that is to remain at the location shown on the plans or as directed in accordance with the specifications. Any and all plugs on all existing in-service mains shall be paid under one bid item included in the contract regardless of size. No separate bid items will be established for size variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

*NOTE: This utility bid item is not to be paid on new main installations or abandoned mains. This pay item is to plug existing in-service mains only. Plugs on new mains are incidental to the new main just like all other fittings.*

*NOTE: Plugging of existing abandon mains shall be performed and paid in accordance with Section 708.03.05 of KYTC Standard Specifications For Road And Bridge Construction and paid using Bid Code 01314 Plug Pipe.*

**W PRESSURE REDUCING VALVE** This description shall apply to all pressure reducing valves (PRV) of every size required in the plans and specifications except those bid items defined as "Special". Payment under this description is to be for PRVs being installed with new main. This item includes the PRV as specified in the plans and specifications, polyethylene wrap (if required by specification), labor, equipment, excavation, anchoring (if any), pit or vault, backfill, restoration, testing, disinfection, and etc., required to install the specified PRV at the location shown on the plans in accordance with the specifications and standard drawings complete and ready for use. If required on plans and/or proposed adjoining DIP is restrained, PRVs shall be restrained. PRV restraint shall be considered incidental to the PRV and adjoining pipe. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W PUMP STATION** This item is for payment for installation of pumps and an above or below ground structure for housing of the pumps. This item shall include all pumps, piping, fittings, valves, electrical components, building materials, concrete, any other appurtenances, labor, equipment, excavation, and backfill, to complete the pump station installation as required by the plans, standard drawings, and specifications, complete and ready for use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LUMP SUM (LS) when complete.

**W REMOVE TRANSITE (AC) PIPE** This item shall include all labor, equipment, and materials needed for removal and disposal of the pipe as hazardous material. All work shall be performed by trained and certified personnel in accordance with all environmental laws and regulations.

Any and all transite AC pipe removed shall be paid under one bid item included in the contract regardless of size. No separate bid items will be established for size variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid LINEAR FEET (LF) when complete.

**W SERVICE LONG SIDE** This bid item description shall apply to all service line installations of every size bid up to and including 2 inch inside diameter, except those service bid items defined as "Special". This item includes the specified piping material, main tap, tapping saddle (if required), and corporation stop materials, coupling for connecting the new piping to the surviving existing piping, encasement of 2 inches or less internal diameter (if required by plan or specification), labor, equipment, excavation, backfill, testing, disinfection, and restoration, at the

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locations shown on the plans or as directed, in accordance with the specifications and standard drawings, complete and ready for use. This bid item is to pay for service installations where the ends of the service connection are on opposite sides of the public roadway and the service line crosses the centerline of the public roadway as shown on the plans. The length of the service line is not to be specified. Payment under this item shall not be restricted by a minimum or maximum length. The contractor shall draw his own conclusions as to the length of piping that may be needed. Payment under this item shall include boring, jacking, or excavating across the public roadway for placement. Placement of a service across a private residential or commercial entrance alone shall not be reason to make payment under this item. Private or commercial entrances shall not be considered a public roadway in defining payment under this item. This pay item does not include installation or relocation of meters. Meters will be paid separately. No additional payment will be made for rock excavation or for special bedding required in rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W SERVICE SHORT SIDE** This bid item description shall apply to all service line installations of every size up to and including 2 inch internal diameter, except those service bid items defined as "Special". This item includes installation of the specified piping material of the size specified on plans, encasement of 2 inches or less internal diameter (if required by plan or specification), main tap, tapping saddle (if required), corporation stop, coupling for connecting the new piping to the surviving existing piping, labor, equipment, excavation, backfill, testing, disinfection, and restoration, at the locations shown on the plans or as directed, in accordance with the specifications and standard drawings, complete and ready for use. This bid item is to pay for service installations where both ends of the service connection are on the same side of the public roadway, or when an existing service crossing a public roadway will remain and is being extended, reconnected, or relocated with all work on one side of the public roadway centerline as shown on the plans. The length of the service line is not to be specified and shall not be restricted to any minimum or maximum length. Payment shall be made under this item even if the service crosses a private residential or commercial entrance; but, not a public roadway. Private or commercial entrances shall not be considered a public roadway in defining payment under this item. The contractor shall draw his own conclusions as to the length of piping that may be needed. This pay item does not include installation or relocation of meters. Meters will be paid separately. No additional payment will be made for rock excavation or for bedding required in rock excavation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W SERVICE RELOCATE** This item is for the relocation of an existing water service line where a meter is not involved, and where an existing service line can easily be adjusted by excavating alongside and moving the line horizontally and/or vertically a short distance without cutting the service line to avoid conflicts with road construction. This item shall include excavation, labor, equipment, bedding, and backfill to relocate the line in accordance with the plans and specifications complete and ready for use. Payment under this item shall be for each location requiring relocation. Payment shall be made under this item regardless of service size or relocation length. No separate pay items will be established for size or length variation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W STRUCTURE ABANDONMENT** This item is to be used to pay for abandonment of larger above or below ground water structures such as meter vaults, fire pits, pump stations, tanks, and

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etc. Payment under this time shall not be limited to size or scope; however structures with connecting pipes of 2 inches or less shall not be paid under this item; but, shall be considered incidental to water construction, (i.e., abandonment of standard water meters up to and including 2 inches would not be paid under this item). Payment under this item shall include all labor, equipment, and compacted fill or flowable fill for abandonment of the structure in place and restoration complete. No separate bid items will be established for size or structure variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W STRUCTURE REMOVAL** This item is to be used to pay for removal of larger above or below ground water structures such as meter vaults, fire pits, pump stations, tanks, and etc. Payment under this time shall not be limited to size or scope; however structures with connecting pipes of 2 inches or less shall not be paid under this item; but, shall be considered incidental to water construction, (i.e., removal of standard water meters up to and including 2 inches would not be paid under this item). Payment under this item shall include all labor, equipment, and compacted backfill for removal of the structure and restoration complete. No separate bid items will be established for size or structure variations. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W TAPPING SLEEVE AND VALVE SIZE 1 OR 2** This item shall include the specified tapping sleeve, valve, valve box, concrete pad around valve box (when required in specifications or plans), labor, and equipment to install the specified tapping sleeve and valve, complete and ready for use in accordance with the plans and specifications. The size shall be the measured internal diameter of the live pipe to be tapped. The size tapping sleeve and valve to be paid under sizes 1 or 2 shall be as follows:

- Size 1 = All live tapped main sizes up to and including 8 inches
- Size 2 = All live tapped main sizes greater than 8 inches

Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W TIE-IN** This bid description shall be used for all main tie-in bid items of every size except those defined as "Special". This item includes all labor, equipment, excavation, fittings, sleeves, reducers, couplings, blocking, anchoring, restoration, disinfection, testing and backfill required to make the water main tie-in as shown on the plans, and in accordance with the specifications complete and ready for use. Pipe for tie-ins shall be paid under separate bid items. This item shall be paid EACH (EA) when complete.

**W VALVE** This description shall apply to all valves of every size required in the plans and specifications except those bid items defined as "Special". Payment under this description is to be for gate or butterfly valves being installed with new main. This item includes the valve as specified in the plans and specifications, polyethylene wrap (if required by specification), labor, equipment, excavation, anchoring (if any), valve box and valve stem extensions, backfill, concrete pad around valve box (if required by specification), restoration, testing, disinfection, and etc., required to install the specified valve at the location shown on the plans in accordance with the specifications and standard drawings complete and ready for use. If required on plans and/or proposed adjoining DIP is restrained, valves shall be restrained. Valve restraint shall be



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considered incidental to the valve and adjoining pipe. This description does not apply to cut-in valves. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W VALVE ANCHOR EXISTING** This bid item is intended to pay for installation of restraint hardware on an existing valve where no restraint exists to hold the valve in place to facilitate tie-ins and other procedures where restraint is prudent. This work shall be performed in accordance with water specifications and plans. This bid item shall include all labor equipment, excavation, materials and backfill to complete restraint of the designated valve, regardless of size, at the location shown on the plans, complete and ready for use. Materials to be provided may include, but is not limited to, retainer glands, lugs, threaded rod, concrete, reinforcing steel or any other material needed to complete the restraint. Should the associated valve box require removal to complete the restraint, the contractor shall reinstall the existing valve box, the cost of which shall be considered incidental to this bid item. No separate bid items are being provided for size variations. All sizes shall be paid under one bid item. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W VALVE BOX ADJUST** Includes all labor, equipment, valve box and valve stem extensions (if required), excavation, backfill, concrete pad around valve box (when specified in specifications or plans), restoration, and etc., to adjust the top of the box to finished grade complete and ready for use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W VALVE CUT-IN** This bid description is for new cut-in valve installations of all sizes where installation is accomplished by cutting out a section of existing main. This item shall include cutting the existing pipe, supplying the specified valve, couplings or sleeves, valve box, concrete pad around valve box (when required in specifications or plans), labor, equipment, and materials to install the valve at the locations shown on the plans, or as directed by the engineer, complete and ready for use. Any pipe required for installation shall be cut from that pipe removed or supplied new by the contractor. No separate payment will be made for pipe required for cut-in valve installation. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

**W VALVE VAULT** This item is for payment for installation of an underground structure for housing of specific valve(s) as required by the plans and specifications. This item shall include all labor, equipment, excavation, concrete, manhole castings or doors, the specified valve(s), all piping, and fitting materials associated with installing a functioning valve vault in accordance with the plans, standard drawing, and specifications, complete and ready for use. Please refer to the Utility Company's Specifications. If the Company does not have specifications, KYTC's Specifications shall be referenced. This item shall be paid EACH (EA) when complete.

### **PART 3      QUANTITIES OF ESTIMATE**

- A.      Wherever the estimated quantities of work to be done and materials to be furnished under this contract are shown in any of the documents,

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including the Bid Proposal, they are given for use in comparing bids and the right is especially reserved except as herein otherwise specifically limited, to increase or diminish them as may be deemed reasonably necessary or desirable by the Owner to complete the work contemplated by this contract, and such increase or diminution shall not give cause for claims or liability for damages. The Engineer will not be financially responsible for any omissions from the Contract Documents and therefore not included by the Contractor in his proposal.

- B. Aerial photographs utilized for plan sheets in the Contract Documents are indicated at an approximate scale and shall not be scaled for quantity take-offs. The quantities listed in the bid schedule are given for use in comparing bids and may not be the actual quantities to be installed. It is the Contractor's responsibility to field verify the bid item quantities to be installed prior to the ordering of materials. Payment on unit price contracts are based on actual quantities installed. The Owner or Engineer will not be financially responsible for any shortage of the bid items or overrun of bid items ordered for the quantities.
- C. The actual quantities of all materials to be used for this project shall be field verified prior to the Contractor ordering the necessary materials. The quantity listed in the bid schedule is given for use in comparing bids and may increase or diminish as may be deemed necessary or as directed by the Owner. Any such increase or diminution shall not give cause for claims or liability for damages. The Engineer or Owner will not be financially responsible for any charges incurred for restocking of materials ordered.

- END OF SECTION -

## **SECTION 01300**

### **SUBMITTALS**

#### **PART 1 GENERAL**

##### **1.01 DESCRIPTION OF REQUIREMENTS**

- A. This section specifies the general methods and requirements of submissions applicable to the following WORK-related submittals:

1. General Procedures for Submittals
2. Construction Schedule
3. Schedule of Values and Payments
4. Schedule of SHOP DRAWING Submittals
5. SHOP DRAWINGS, Product Data, Samples and O&M Instructions
6. Construction Photographs
7. Test Reports
8. Manufacturer's Certificates
9. Manufacturer's Instructions
10. Contractor's Responsibility
11. Submission Requirements
12. Resubmission Requirements

Additional general submissions requirements are contained in paragraphs 5.1 through 5.7 of the General Conditions. The CONTRACTOR is responsible for the submittal of all weekly payrolls, monthly utilization and other required forms and reports, including reports and forms from his SUBCONTRACTORS. The prompt submittal of all required reports and forms will help to insure the timely processing of pay request. Detailed submittal requirements will be specified in the technical SPECIFICATIONS sections.

##### **1.02 GENERAL PROCEDURES FOR SUBMITTALS**

- A. Coordination of Submittal Times:

The CONTRACTOR shall prepare and transmit each submittal sufficiently in advance of performing the related WORK or other applicable activities, or within the time specified in the individual WORK section of the SPECIFICATIONS, so that the installation will not be delayed by

processing times including disapproval and re-submittal (if required), coordination with other submittals, testing, purchasing, fabrication, delivery and similar sequenced activities. No extension of time will be authorized because of the WORK.

### 1.03 CONSTRUCTION SCHEDULE

- A. In addition to the progress schedule requirements specified in Article 3 of the General Conditions, the CONTRACTOR shall, within ten (10) days after the NOTICE TO PROCEED provide and submit to the ENGINEER for review the schedule he plans to maintain in order to successfully construct the WORK within the time allotted. The schedule shall account for all WORK of the CONTRACTOR and his SUBCONTRACTORS.
- B. The CONTRACTOR shall update the schedule information monthly and submit the update information to the ENGINEER at the same time the pay estimate is prepared. The schedule shall contain all of the items of the periodic estimate and pay schedule.
- C. The CONTRACTOR bears full responsibility for scheduling all phases and stages of the WORK including his SUBCONTRACTOR WORK to insure its successful prosecution and completion within the time specified in accordance with all provisions of these SPECIFICATIONS.
- D. Refer to Section 01310 for additional requirements.

### 1.04 SCHEDULE OF VALUES AND PAYMENTS

- A. Within the (10) days after award of the Contract the CONTRACTOR shall submit to the OWNER in triplicate, a breakdown of the pay items, including a schedule of values and a schedule of payments. This breakdown shall be subject to approval by the OWNER, and when so approved shall become the basis for determining progress payments and for negotiation of CHANGE ORDERS, if required.

### 1.05 SCHEDULE OF SHOP DRAWING SUBMITTALS

- A. The CONTRACTOR shall, within ten (10) days after the NOTICE TO PROCEED provide and submit to the ENGINEER for review a SCHEDULE OF SHOP DRAWING SUBMITTALS. The schedule shall account for all materials used by the CONTRACTOR and his SUBCONTRACTORS.
- B. The schedule shall be organized to reflect the respective specification division under which it applies.

### 1.06 SHOP DRAWINGS, PRODUCT DATA, SAMPLES AND O & M INSTRUCTIONS

- A. Shop Drawings
  - 1. SHOP DRAWINGS, as defined in the General Conditions, and as specified in the technical SPECIFICATIONS include, but are not

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necessarily limited to custom-prepared data such as fabrication and erection/installation DRAWINGS, scheduled information, setting diagrams, actual shop WORK manufacturing instructions, custom templates, special wiring diagrams, coordination DRAWINGS, individual system of equipment inspection and test reports including performance curves and certifications, as applicable to the WORK.

2. All details on SHOP DRAWINGS submitted for review shall show clearly the relation of the various parts to the main member and lines of the structure, and where correct fabrication of the WORK depends upon field measurements, such measurements shall be made and noted on the SHOP DRAWINGS before being submitted for review by the ENGINEER.
3. Unless otherwise specified, the CONTRACTOR is not required to resubmit SHOP DRAWINGS on existing equipment. The CONTRACTOR shall, however, be responsible for obtaining all SHOP DRAWINGS and/or other information from the manufacturer necessary to complete the installation and startup of existing equipment.

B. Product Data

1. Product data as specified in individual sections, include, but are not necessarily limited to, standard prepared data for manufactured products (sometimes referred to as catalog data), such as the manufacturer's product specification and installation instructions, availability of colors and patterns, manufacturer's printed statements of compliances and applicability, roughing-in diagrams and templates, catalog cuts, product photographs, standard wiring diagrams, printed performance curves and operational-range diagrams, production or quality control inspection and test reports and certifications, mill reports, product operating and maintenance instructions and recommended spare parts listing, and printed product warranties, as applicable to the WORK.

C. Samples

1. Samples specified in individual sections, included, but are not necessarily limited to, physical examples of the WORK such as sections of manufactured or fabricated WORK, small cuts or containers of materials, complete units of repetitively-used products, color/texture/pattern swatches and range sets, specimens for coordination of visual effects, graphic symbols, and units of WORK to be used by the ENGINEER or OWNER for independent inspection and testing, as applicable to the WORK.

D. Operation and Maintenance Instructions

1. O&M instructions shall conform to Article 5 of the General Conditions (Section 00710) and the particular requirements of the individual sections.
2. Refer to Section 01785 for additional requirements.

## 1.07 CONSTRUCTION PHOTOGRAPHS

- A. Miscellaneous photographs as directed by the ENGINEER or OWNER.
1. Photographs are required on this PROJECT and are the responsibility of the CONTRACTOR. Photographs shall be 3" x 5" color snapshots taken with a standard 35mm camera, or a digital camera with 8 MP minimum. CONTRACTOR shall be responsible for the taking, development, labeling and organizing of the photographs. All photographs shall be identified as to location, date and subject matter. Photographs shall be arranged in a photo album(s) by location, subject matter and date taken. Upon completion of the project, the CONTRACTOR shall supply the OWNER with the negatives or digital photo files. The later, if provided, shall be supplied on CD media in .jpg format.
  2. Upon completion of the project, the CONTRACTOR shall provide three (3) professional-quality 8 x 10 color aerial photographs. Prior to photographing, the CONTRACTOR shall confirm with the ENGINEER that the site is ready. The photo shall also be provided in digital format (.jpg) on CD media.
  3. The CONTRACTOR, before final payment is made, shall deliver one (1) set of photographic prints and negatives/.jpg's to the OWNER, one (1) set of prints to the ENGINEER, and one aerial photograph to each. Both sets of prints shall be arranged in a photo album(s) and labeled as outlined above.
  4. No pay item has been set up for the photographs. The CONTRACTOR shall allow for a minimum of 200 - 3" x 5" color photographs (taken and arranged as outlined above) in his BID.

## 1.08 TEST REPORTS

- A. Submit for the Architect/Engineer's knowledge as contract administrator or for the Owner.
- B. Submit test reports for information for the limited purpose of assessing conformance with information given and the design concept expressed in the contract documents.

## 1.09 MANUFACTURER'S CERTIFICATES

- A. When specified in individual specification sections, submit certification by the manufacturer, installation/application subcontractor, or the Contractor to Architect/Engineer, in quantities specified for Product Data.
- B. Indicate material or Product conforms to or exceeds specified requirements. Submit supporting reference data, affidavits, and certifications as appropriate.

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- C. Certificates may be recent or previous test results on material or Product, but must be acceptable to Architect/Engineer.

#### 1.10 MANUFACTURER'S INSTRUCTIONS

- A. When specified in individual specification sections, submit printed instructions for delivery, storage, assembly, installation, start-up, adjusting, and finishing, to Architect/Engineer for delivery to owner in quantities specified for Product Data.

#### 1.11 CONTRACTOR'S RESPONSIBILITY

- A. The CONTRACTOR shall review SHOP DRAWINGS, product data and samples prior to submission to determine and verify the following:
  - 1. Field measurements
  - 2. Field construction criteria
  - 3. Catalog numbers and similar data
  - 4. Conformance with the SPECIFICATIONS
- B. All SHOP DRAWINGS submitted by SUBCONTRACTORS for review shall be sent directly to the CONTRACTOR for preliminary checking. The CONTRACTOR shall be responsible for their submission at the proper time so as to prevent delays in delivery of materials.
- C. The CONTRACTOR shall check all SUBCONTRACTOR'S SHOP DRAWINGS regarding measurements, size of members, materials, and details to satisfy himself that they conform to the intent of the DRAWINGS and SPECIFICATIONS. DRAWINGS found to be inaccurate or otherwise in error shall be returned to the SUBCONTRACTORS for correction before submission thereof.
- D. Each shop drawing, WORKING drawing, sample and catalog data submitted by the CONTRACTOR shall have affixed to it a certification statement, signed by the CONTRACTOR. The certification shall state that the CONTRACTOR represents that he has determined and verified all field measurements, field construction criteria, materials, dimensions, catalog numbers and similar data and has checked and coordinated each item with other applicable review SHOP DRAWINGS and all Contract requirements.
- E. The CONTRACTOR shall notify the OWNER in writing, at the time of submittal, of any deviations in the submittals from the requirements of the CONTRACT DOCUMENTS.
- F. The CONTRACTOR should include the notation "Critical Path" on critical path submittals.

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- G. The review of SHOP DRAWINGS, samples or catalog data by the ENGINEER shall not relieve the CONTRACTOR from his responsibility with regard to the fulfillment of the terms of the Contract.
- H. No portion of the WORK requiring a shop drawing, WORKING drawing, sample or catalog data shall be started nor shall any materials be fabricated or installed prior to the review or qualified review SHOP DRAWINGS and data shall be at the CONTRACTOR'S risk. The OWNER will not be liable for any expense or delay due to corrections or remedies required to accomplish conformity.
- I. PROJECT WORK, materials, fabrication, and installation shall conform with reviewed SHOP DRAWINGS, WORKING DRAWINGS, applicable samples, and catalog data.

#### 1.12 SUBMISSION REQUIREMENTS

- A. The CONTRACTOR shall make submittals promptly in accordance with the accepted schedule, and in such sequence as to cause no delay in the WORK or in the WORK of any other CONTRACTOR.
- B. Number of submittals required:
  - 1. SHOP DRAWINGS: Submit six (6) copies.
  - 2. Operation and Maintenance Instructions: Submit six (6) copies.
- C. Submittals shall contain:
  - 1. The date of submission and the dates of any previous submissions.
  - 2. The PROJECT title, contract number, and submittal number.
  - 3. CONTRACTOR identification.
  - 4. The names of:
    - a. CONTRACTOR
    - b. SUPPLIER
    - c. Manufacturer
  - 5. Identification of the product, with the specification section number.
  - 6. Field dimensions, clearly identified as such.
  - 7. Relation to adjacent or critical features of the WORK or materials.
  - 8. Applicable standards, such as ASTM or Federal Specification numbers.
  - 9. Identification of revisions on re-submittals.



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10. An 8-inch x 3-inch blank space for CONTRACTOR'S and ENGINEER'S stamps.
- D. Submittals shall be clear and legible. Submittals with facsimile copies will be automatically rejected.

**1.13 RESUBMISSION REQUIREMENTS**

- A. The CONTRACTOR shall make any corrections or changes in the submittals required by the ENGINEER and resubmit until accepted, in accordance with the following:
  1. SHOP DRAWINGS and Product Data:
    - a. Revise initial DRAWINGS or data, and resubmit as specified for the initial submittal.
    - b. Indicate any changes which have been made other than those requested by the ENGINEER.
  2. Samples:
    - a. Submit new samples as required for initial submittal.

**PART 2 PRODUCTS**

Not Used.

**PART 3 EXECUTION**

Not Used.

END OF SECTION

## **SECTION 01500**

### **CONSTRUCTION FACILITIES AND TEMPORARY CONTROLS**

#### **PART 1 GENERAL**

##### **1.01 SANITARY FACILITIES**

- A. The CONTRACTOR shall construct and maintain sanitary facilities for his employees and employees of the subcontractors. The CONTRACTOR shall, at completion of the Contract Work, properly dispose of these sanitary facilities.

##### **1.02 UTILITIES**

- A. The CONTRACTOR shall be totally responsible for installation, maintenance and cost of his and his sub-contractor's telephone service.
- B. The CONTRACTOR shall install meters at all his points of use of electric, water, and natural gas utilities. The CONTRACTOR shall pay the monthly billed cost from the servicing utility for the CONTRACTOR'S use of these utilities. The CONTRACTOR shall pay any initial installation costs.
- C. If CONTRACTOR requires other utilities, he shall obtain and pay for them.

##### **1.03 MAINTENANCE OF SERVICE IN EXISTING UTILITIES**

- A. Where the existing utilities must be disturbed during construction under this Contract, their operation and function shall be maintained by the CONTRACTOR to such a degree that service to customers will be interrupted for minimum time periods only. Such disturbances and any maintenance use of these lines shall constitute no cost to the OWNER. The OWNER shall be notified of interruptions in sufficient time to prepare for them and shall agree to the hour, date, and duration of them before they are undertaken.
- B. Should shutdowns in service be in excess of the time of duration agreed upon, and such excessive shutdown time be due to the CONTRACTOR'S negligence, faulty Work and/or inability to perform, then and in that event, the CONTRACTOR shall be held liable to the OWNER for any and all damages that may accrue to the OWNER, by reason of such excessive shutdown periods.
- C. Digging through services with trenching machines will not be permitted. Upon damage to utility services, such services shall be repaired immediately and tested to the satisfaction of the ENGINEER. The CONTRACTOR shall notify all utility users of impending interruption of service and shall notify all utility users of impending interruption of service

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and shall be responsible for all damage resulting from same. Payment for necessary disconnection and reconnection of utility services shall be included as a part of the CONTRACTOR'S bid and no extra compensation will be made for same.

- D. The CONTRACTOR shall at all times maintain on hand an adequate supply of repair materials and tools with which to make repair to damaged water, gas and sewer lines. Should the CONTRACTOR inadvertently damage existing utilities, he shall make immediate repair thereto and in no event shall he leave the site before such repair has been made and proven to be successful.
- E. As far as possible, the locations and sizes of existing mains are indicated on the drawings; however, exact locations, pipe materials and sizes cannot be guaranteed. It shall be the responsibility of the CONTRACTOR to locate and uncover existing lines. The CONTRACTOR shall provide all connecting fittings of the correct size and type for each connection to existing lines.

#### 1.04 PROPERTY PROTECTION

- A. Care is to be exercised by the CONTRACTOR in all phases of construction, to prevent damage and/or injury to the OWNER'S and/or other property.
- B. The CONTRACTOR shall avoid unnecessary injury to trees and shall remove only those authorized to be removed by written consent of the OWNER. Fences, gates, and terrain damaged or disarranged by the CONTRACTOR'S forces shall be immediately restored in their original condition or better.

#### 1.05 CONSTRUCTION WARNING SIGNS

- A. The CONTRACTOR shall provide construction warning signs for each location where he is working in the state highway right-of-way or in City or County streets. He will further provide flag men as required and shall abide by all Kentucky Transportation Cabinet, Department of Highways safety rules, including size, type and placement of construction signs.

#### 1.06 RESIDENT OBSERVER OFFICE

- A. No office is required.

#### 1.07 EXCAVATION

- A. No separate payment for solid rock excavation will be made under this Contract, unless specifically noted on the Bid Form. All excavation shall be considered unclassified, except in locations where solid rock excavation is paid for on a unit price basis.

## 1.08 ACCESS ROADWAYS

- A. The CONTRACTOR shall construct all access roadways needed during construction, and the planned access roadways for the completed project. The CONTRACTOR shall maintain access roadways continuously during the construction period.
- B. The CONTRACTOR shall maintain all existing roadways within the project site which are used for any purpose by construction operations. The degree and frequency of maintenance shall be adequate to keep existing roadways in a condition at least equal to their condition prior to construction. Road maintenance shall include dust control and sweeping.

## 1.09 RESPONSIBILITY FOR TRENCH SETTLEMENT

- A. The CONTRACTOR shall be responsible for any settlement caused by the construction, that occurs within one (1) year after the final acceptance of this Contract by the OWNER. Temporary fences shall be provided at no extra cost to the OWNER wherever necessary to keep livestock away from the construction area. Ornamental shrubbery and tree branches shall be temporarily tied back, where appropriate, to minimize damage. Damaged limbs shall be trimmed and damaged tree trunks shall be treated with wound dressing.

## 1.10 DAMAGE TO CROPS, LIVESTOCK AND VEGETATION

- A. The CONTRACTOR shall protect crops, livestock and vegetation against damage or injury from construction operations at all times. Crops damaged or equipment access obtained outside of the easements provided shall be the responsibility of the CONTRACTOR. Temporary fences shall be provided at no extra cost to the OWNER wherever necessary to keep livestock away from the construction area.
- B. Ornamental shrubbery and tree branches shall be temporarily tied back, where appropriate, to minimize damage. Damaged limbs shall be trimmed and damaged tree trunks shall be treated with wound dressing.

## 1.11 WASTE DISPOSAL

- A. The CONTRACTOR shall dispose of waste, including hazardous waste, off-site in accordance with all applicable laws and regulations.

## 1.12 CONTRACTOR'S TRAILERS AND MATERIAL STORAGE

- A. The location of the CONTRACTOR'S and Subcontractor's office, work trailers and parking areas for the project shall be subject to the OWNER'S approval.
- B. The CONTRACTOR'S and Subcontractor's material storage yards for the project shall be subject to the OWNERS approval.

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**1.13 JURISDICTIONAL DISPUTES**

- A. It shall be the responsibility of the CONTRACTOR to pay all costs that may be required to perform any of the work shown on the Drawings or specified herein in order to avoid any work stoppages due to jurisdictional disputes. The basis for subletting work in question, if any, shall conform with precedent agreements and decisions on record with the Building and Construction Trades Department, AFL-CIO, dated June, 1973, including any amendments thereto.

**PART 2 PRODUCTS**

Not Used.

**PART 3 EXECUTION**

Not Used.

END OF SECTION

## **SECTION 02110**

### **SITE CLEARING AND GRUBBING**

#### **PART 1 GENERAL**

##### **1.01 WORK INCLUDED**

- A. Furnish all labor and equipment required and perform all clearing, grubbing and stripping of topsoil complete as shown on the DRAWINGS and as specified herein.

##### **1.02 RELATED WORK**

None this section.

##### **1.03 SUBMITTALS**

None this section.

#### **PART 2 PRODUCTS**

None in this Section.

#### **PART 3 EXECUTION**

##### **3.01 GENERAL**

- A. The proposed areas designated for embankment construction, impoundments, ditches and channel changes, borrow pits, etc., (except any portions thereof that may be reserved) shall be cleared of all trees, timbers, brush, stumps, rubbish and other debris. All this material, unless otherwise specified, shall be burned or otherwise removed, as may be directed and without injury to adjoining property. Burning must be in compliance with any applicable regulations covering open burning and smoke abatement. Where clearing is to be done, all stumps and roots shall be grubbed. No debris will be allowed to be left under or in the embankments. In felling trees near structures and wire lines, necessary precaution must be exercised in order to prevent damage to wire lines, structures, the facilities of others. Payment for all clearing and grubbing shall be incidental to the prices bid for doing other work.

##### **3.02 TREES**

- A. Trees (3" caliper and larger) shall not be disturbed by construction without written permission from the OWNER, except in those areas to be cleared.
- B. Trees disturbed by construction shall be replaced by the CONTRACTOR with same size and type at no additional cost to the OWNER. Trees shall be purchased locally from a reputable nursery specializing in this field.

END OF SECTION

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## **SECTION 02140**

### **DEWATERING**

#### **PART 1 GENERAL**

##### **1.01 WORK INCLUDED**

- A. Furnish all labor and equipment required to dewater all excavations. Dewatering of all excavations shall be the responsibility of the CONTRACTOR, and no additional compensation will be allowed for same unless specifically included as a BID item.

##### **1.02 RELATED WORK**

- A. Earthwork is included in Division 2, Section 02200.

##### **1.03 SUBMITTALS**

Not applicable to this CONTRACT.

#### **PART 2 PRODUCTS**

Not applicable to this CONTRACT.

#### **PART 3 EXECUTION**

##### **3.01 GENERAL**

- A. Dewatering equipment shall be of adequate size and quantity to assure maintaining proper conditions for installing pipe, concrete, backfill or other material or structure in the excavation. Dewatering shall include proper removal of any and all liquid, regardless of its source, from the excavation and the use of all practical means available to prevent surface runoff from entering any excavation. No extra payment shall be made for dewatering.
- B. No sanitary sewer shall be used for the disposal of water from trenches or other excavations. (From "10-States' Standards)

END OF SECTION

## **SECTION 02200**

### **EARTHWORK**

#### **PART 1 GENERAL**

##### **1.01 DESCRIPTION OF WORK**

- A. Extent of earthwork is indicated on the DRAWINGS.
  - 1. Preparation of sub-grade for embankments and outlet works is included as part of this WORK.
  - 2. Engineered fill course for support of concrete slabs is included as part of this WORK.
  - 3. Backfilling of structures, headwalls, channels, manholes and trenches is included as part of this WORK.
- B. Excavation for Mechanical/Electrical WORK  
  
Excavation and backfill required in conjunction with underground mechanical and electrical appurtenances is included as WORK of this Section.
- C. Definition  
  
“Excavation” consists of removal of material encountered to sub-grade elevations indicated and subsequent disposal of materials removed.

##### **1.02 RELATED WORK**

- A. Dewatering is included in this Division, Section 02140.
- B. Erosion and sedimentation control is included in this Division, Section 02270.
- C. Piping is included in this Division, Section 02610 and 02700.
- D. Landscaping is included in this Division, Section 02900.

##### **1.03 QUALITY ASSURANCE**

- A. Codes and Standards  
  
Perform excavation WORK in compliance with applicable requirements of governing authorities having jurisdiction.
- B. Testing and Inspection Services



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Employ, at CONTRACTOR'S expense, testing laboratory acceptable to the OWNER and the ENGINEER to perform soil testing and inspection service for quality control during earthwork operations.

#### 1.04 SUBMITTALS

##### A. Test Reports

Submit following reports directly to the ENGINEER from the testing services, with copy to CONTRACTOR:

1. Test reports on borrow material.
2. Verification of each cutoff trench elevation and embankment sub-grade elevation.
3. Field density test reports, one per 3,000 S.F. per lift.
4. One optimum moisture-maximum dry density curve for each type of soil encountered, per ASTM D-698.

#### 1.05 JOB CONDITIONS

##### A. Site Information

1. Data on indicated subsurface conditions are not intended as representations or warranties of accuracy or continuity between soil borings. It is expressly understood that OWNER will not be responsible for interpretation or conclusions drawn therefrom by CONTRACTOR. Data are made available for convenience of CONTRACTOR.
2. Additional test borings and other exploratory operations may be made by CONTRACTOR at no cost to OWNER.

##### B. Existing Utilities

Locate existing underground utilities in areas of WORK. If utilities are to remain in place, provide adequate means of protection during earthwork operations.

##### C. Use of Explosives

Do not bring explosives onto site or use in WORK without prior written permission from authorities having jurisdiction. Contact Kentucky Department of Mines and Minerals for information. CONTRACTOR is solely responsible for handling, storage, and use of explosive materials when their use is permitted.

##### D. Protection of Persons and Property

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1. Barricade open excavations occurring as part of this WORK and post with warning lights.
  - a. Operate warning lights as directed by authorities having jurisdiction.
  - b. Protect structures, utilities, sidewalks, pavements, and other facilities from damage caused by settlement, lateral movement, undermining, washout, and other hazards created by earthwork operations.

## **PART 2 PRODUCTS**

### **2.01 SOIL MATERIALS**

#### **A. Definitions**

1. Sub-base material: Naturally or artificially graded mixture of natural or crushed gravel, crushed stone, crushed slag, natural or crushed sand.
2. Backfill and fill materials: Satisfactory soil materials free of debris, waste, frozen materials, vegetable, and other deleterious matter.
3. Embankment Materials

All fill materials shall be obtained from required excavations and from the proposed borrow areas if shown on the CONTRACT DRAWINGS. The selection, blending, routing and disposition of materials shall be subject to the approval of the ENGINEER.

#### **a. Materials - Impervious Clay Core**

Core fill materials shall consist of residual overburden soils within the proposed excavation and borrow areas. These soils consist primarily of brown clays classified as CH or CL using the Unified Soil Classification System.

Fill materials shall contain no sod, organic topsoil, brush, roots or other deleterious materials. Fill material shall be rock free and shall be approved by the ENGINEER prior to fill placement.

#### **b. Materials - Random Earth and Rock Zones**

Fill material shall consist of non-organic soil or weathered rock with a maximum particle size of 12 inches. Rock materials from the borrow area shall be excavated by ripping methods. No blasting will be allowed without written permission from the OWNER.

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## 2.02 EMBANKMENT DRAINAGE MATERIALS

- A. No. 57 crushed stone is specified in this Division, Section 02255.
- B. Filter fabric for use with the embankment drain location at the downstream face of the impervious core, where called for in this Section, on the DRAWINGS or as determined by the ENGINEER shall be Mirafi 140N as manufactured by Celanese Corporation, New York, NY 10036, or equal.

## PART 3 EXECUTION

### 3.01 STRIPPING AND TOPSOILING

- A. Before excavation and grading is commenced for structures, the embankment, outlet works or other WORK described hereinafter (except pipelines and manholes) or before material is removed from borrow pits, (impoundment area) the topsoil shall be removed from the areas affected and stockpiled. When final grading is accomplished, the topsoil shall be spread evenly over the disturbed area, except within the impoundment area. Rough grading shall have been carried approximately 6 inches below finished grade (except solid rock, where it shall be carried 12 inches below finished grade) and brought back up to grade with topsoil as set out herein.

### 3.02 EXCAVATION

- A. All excavation to be unclassified standard excavation includes excavation to sub-grade elevations indicated including excavation of earth, rock (at depth shown on DRAWINGS), bricks, wood, cinders, and other debris.
- B. Differing Site Conditions
  - 1. Should the CONTRACTOR, during the course of construction, encounter subsurface or latent physical conditions differing materially from the subsurface information provided, or unknown physical conditions of an unusual nature differing materially from those ordinarily encountered and generally recognized as inherent in WORK of the character provided for in this CONTRACT, he shall immediately notify the ENGINEER in writing of the conditions encountered.
  - 2. Upon receipt of such notice, the ENGINEER shall promptly investigate the conditions described by the CONTRACTOR and shall advise the CONTRACTOR in writing of the decision and/or disposition of the conditions encountered.
- C. Unanticipated Material

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1. No classification of excavation will be made when unanticipated material is encountered in WORK:
  - a. Excavation includes excavation of pavements and other obstructions visible on ground surface; underground structures, utilities, and other items indicated to be demolished and removed; together with earth and other materials encountered that are not classified as unauthorized excavation.
- D. Unauthorized excavation consists of removal of materials beyond indicated sub-grade elevations or dimensions without specific direction of ENGINEER. Unauthorized excavation, as well as remedial WORK directed by ENGINEER, shall be at CONTRACTOR'S expense.
  1. Under footings or foundation bases fill unauthorized excavation by extending indicated bottom elevation of footing or base to excavation bottom, without altering required top elevation. Lean concrete fill may be used to bring elevations to proper position, when acceptable to the ENGINEER.
  2. Elsewhere, backfill and compact unauthorized excavations as specified for authorized excavations of same classification, unless otherwise directed by the ENGINEER.
- E. Additional Excavation
  1. When excavation has reached required sub-grade elevations, notify the ENGINEER who will make an inspection of conditions.
    - a. If unsuitable bearing materials are encountered at required sub-grade elevations, carry excavations deeper and replace excavated material as directed by the ENGINEER.
    - b. Removal of unsuitable material and its replacement as directed will be paid on basis of CONTRACT conditions relative to changes in WORK using Unit Price Modification prices.
- F. Stability of Excavations
  1. Slope sides of excavations to comply with Federal, State and local codes and ordinances having jurisdiction. Shore and brace where sloping is not possible because of space restrictions or stability of material excavated.
  2. Maintain sides and slopes of excavations in safe condition until completion of backfilling.
- G. Shoring and Bracing

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Provide materials for shoring and bracing, such as sheet piling, uprights, stringers, and cross-braces, in good serviceable condition.

1. Establish requirements for trench shoring and bracing to comply with Federal, State and local codes and authorities having jurisdiction.
2. Maintain shoring and bracing in excavations regardless of time period excavation progresses.
3. Provide permanent steel sheet piling or pressure creosoted timber sheet piling wherever subsequent removal of sheet piling might permit lateral movement of soil under adjacent structures. Cut off tops as required and leave permanently in place.

H. Dewatering

1. Prevent surface water and subsurface or groundwater from flowing into excavations and from flooding PROJECT site and surrounding area.
  - a. Do not allow water to accumulate in excavation. Remove water to prevent softening of foundation bottoms, undercutting footings, and soil changes detrimental to stability of sub-grades and foundations. Provide and maintain pumps, well points, sumps, suction and discharge lines, and other dewatering system components necessary to convey water away from excavations.
  - b. Establish and maintain temporary drainage ditches and other diversions outside excavation limits to convey rain water and water removed from excavation to collecting or runoff areas. Do not use trench excavations as temporary drainage ditches.
2. Prevent impoundment of water behind embankment during construction and prior to acceptance of OWNER.
3. See this Division, Section 02140 for additional requirements.

I. Material Storage

1. Stockpile satisfactory excavated materials where directed, until required for backfill or fill. Place, grade, and shape stockpiles for proper drainage.
  - a. Dispose of excess soil material and waste materials as herein specified.

J. Excavation for Structures

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1. Conform to elevations and dimensions shown within a tolerance of plus or minus 0.10 feet and extending a sufficient distance from footings and foundations to permit placing and removal of concrete formwork, installation of services, other construction, and for inspection.
2. In excavating for footings and foundations, take care not to disturb bottom of excavation. Excavate by hand to final grade just before concrete reinforcement is placed. Trim bottoms to required lines and grades to leave solid base to receive other WORK.

K. Excavation for Pavements

1. Cut surface under pavements to comply with cross-sections, elevations, and grades as shown on DRAWINGS.

L. Trench Excavation

1. The CONTRACTOR shall include in his lump sum BID all trenching and backfill necessary for installation of all pipelines as planned and specified. Trenching shall include clearing and grubbing of all trash, weeds, briars, trees and stumps encountered in the trenching. The CONTRACTOR shall dispose of such material at no extra cost to the OWNER. Shrubs shall be removed, maintained and replanted in the same or adjacent location as the ENGINEER may direct. Trenching also includes such items as pipe and small creek crossings; cutting, moving or repairing damage to fences, posts, gates, and other surface structures regardless of whether shown on the DRAWINGS.
2. All existing facilities shall be protected from danger or damage while pipelines are being constructed and backfilled, and from damage due to settlement of the backfill.
3. In the event any existing structure is damaged, repair and restoration shall be made at once and backfill shall not be replaced until this is done. Restoration and repair shall be such that the damaged structure is equal to or better than its original condition and can serve its purpose as completely as before. All such restoration and repair shall be done without extra cost to the OWNER.
4. Trenches must be dug to lines and grades shown on the DRAWINGS. Hand trenching will be required in areas where machine trenching would result in undue damage to existing structures and facilities.
5. Excavation shall be open trenches.
6. Sheet piling and shoring of trenches shall be provided at the expense of the CONTRACTOR where necessary to protect life, property

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and the new or existing structures from damage or to maintain maximum permissible trench widths at top of pipe. All necessary materials, including, but not limited to, sheeting, sheet piling, trench jacks, braces, shores and stringers, shall be used to hold trench walls. Sheeting and shoring may be withdrawn as the trenches are being backfilled, after backfill has been tamped over top of the pipe at least 18 inches. If removal before backfill is completed to surface endangers adjacent structures, such as buildings, pipelines, street paving, and sidewalks, then the sheeting and shoring shall be left in place until such danger has passed, and then pulled if practical. Voids caused by sheeting withdrawal shall be backfilled and tamped. If not withdrawn, sheeting shall be cut off at least 18 inches below final surface grade, so there is no obstruction at the ground level.

7. Where sub-grade of trench has insufficient stability to support the pipeline and hold it to its original grade, the ENGINEER may order stabilization by various means. Exclusive of dewatering normally required for construction, and instability caused by neglect of the CONTRACTOR, the necessary stabilization shall be paid for at unit price set up in the CONTRACT. In the event no particular BID price is applicable, then the payment for stabilization will be negotiated.
8. The location of the pipelines and their appurtenances as shown are those intended for the final construction. However, conditions may present themselves before or after construction on any line is started that would indicate desirable changes in location. The OWNER reserves the right to make reasonable changes in line and structure locations without extra cost, except as may be determined by extra units of materials and construction actually involved. The OWNER is under no obligation to locate pipelines, so they may be excavated by machine.
9. Tunneling may be used as an alternate to open-cut trenching, at no extra cost to the OWNER. The annular space between plates and excavation shall be either permanently placed pea gravel or sand, pumped grout (3 parts sand and 1 part Portland cement by volume) or other suitably installed material approved by the ENGINEER. Backfilling shall be kept close to the heading and completed after each day's WORK. Where grout is used for backfill, injection holes with threaded plugs shall be provided in liner plates at various levels and in sufficient number to effectively grout the void around the tunnel. A minimum of 3 grout holes shall be provided in each 8 feet of tunnel length. Grout shall be injected in the lower holes first, proceeding upward as the void is filled. Plugs shall be installed after each hole is filled and grout stops shall be provided behind plates as necessary to ensure complete filling of the void. In tunneling under buildings, the CONTRACTOR will be responsible for all damage resulting from his operations and methods of excavation and backfilling. Boring

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may also be used as an alternate to tunneling or open-cut trenching, at no extra cost to the OWNER.

10. Dig trenches to the uniform width required for particular item to be installed, sufficiently wide to provide ample working room. Provide 6" to 9" clearance on both sides of pipe or conduit.
  - a. Excavate trenches to depth indicated or required. Carry depth of trenches for piping to establish indicated flow lines and invert elevations. Beyond building perimeter, keep bottoms of trenches sufficiently below finish grade to avoid freeze-ups.
  - b. Where rock is encountered, carry excavation 6 inches below required elevation and backfill with a 6-inch layer of crushed stone or gravel prior to installation of pipe.
  - c. For pipes or conduit 3 inches or less in nominal size and for flat-bottomed, multiple-duct conduit units, excavate to sub-base depth indicated or, if not indicated, then to 2 inches below bottom of WORK to be supported.
  - d. For pipes or conduit 6 inches or larger in nominal size, tanks, and other mechanical/electrical WORK indicated to receive sub-base, excavate to sub-base depth indicated or, if not otherwise indicated, to 6 inches below bottom of WORK to be supported.
  - e. Except as otherwise indicated, excavate for exterior water-bearing piping (water, steam, condensate, drainage) so top of piping is no less than 2 feet 6 inches below finish grade.
  - f. Grade bottoms of trenches as indicated on DRAWINGS, notching under pipe bells to provide solid bearing for entire body of pipe.
  - g. Concrete is specified in Division 3.
  - h. Do not backfill trenches until tests and inspections have been made and backfilling authorized by the ENGINEER. Use care in backfilling to avoid damage or displacement of pipe systems.
  - i. For piping or conduit less than 2 feet 6 inches below surface of roadways, provide 4-inch thick concrete base slab support. After installation and testing of piping or conduit, provide minimum 4-inch thick encasement (sides and top) of concrete prior to backfilling or placement of roadway sub-base.

M. Cold Weather Protection



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1. Protect excavation bottoms against freezing when atmospheric temperature is less than 35°F (1°C).

### 3.03 COMPACTION

#### A. General

1. Control soil compaction during construction providing minimum percentage of density specified for each area classification indicated below.
  - a. Percentage of maximum density requirements: Compact soil to not less than the following percentages of maximum density for soils which exhibit a well-defined moisture density relationship (cohesive soils) determined in accordance with ASTM D698; and not less than the following percentage of relative density, determined in accordance with ASTM D2049, for soils which will not exhibit a well-defined moisture-density relationship (cohesionless soils). CONTRACTOR is responsible for providing one optimum moisture content - maximum dry density curve in accordance with the above referenced ASTM standards for each soil type encountered.
  - b. Structures, building slabs and steps, pavements: Compact top 12 inches of sub-grade and each 8 inch loose, uncompacted layer of backfill or fill material at 100 percent maximum density for cohesive material or 95 percent relative density for cohesionless material.
  - c. Lawn or unpaved areas: Compact to 6 inches of sub-grade and each 8 inch loose, uncompacted layer of backfill or fill material at 90 percent maximum density for cohesive soils and 90 percent relative density for cohesionless soils.
  - d. Walkways: Compact top 6 inches of sub-grade and each 8 inch loose, uncompacted layer of backfill or fill material at 95 percent maximum density for cohesive material or 95 percent relative density for cohesionless material.
2. Subgrade and backfill for sewers located in fill areas shall be compacted to not less than 95 percent maximum density.

#### B. Moisture Control

1. Where sub-grade or layer of soil material must be moisture conditioned before compaction, uniformly apply water to surface or sub-grade, or layer of soil material, to prevent free water from appearing on surface during or subsequent to compaction operations.

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2. Remove and replace, or scarify and air dry, soil material that is too wet to permit compaction to specified density.
3. Soil material that has been removed because it is too wet to permit compaction may be stockpiled or spread and allowed to dry. Assist drying by deicing, harrowing, or pulverizing until moisture content is reduced to a satisfactory value.

### 3.04 BACKFILL AND FILL

#### A. General

1. Place acceptable soil material in layers to required sub-grade elevations, for each area classification listed below.
  - a. In excavations, use satisfactory excavated or borrow material.
  - b. Under grassed areas, use satisfactory excavated or borrow material.
  - c. Under walks and pavements, use sub-base material, or satisfactory excavated or borrow material, or combination of both.
  - d. Under steps, use sub-base material.
  - e. Under building slabs, use engineered fill material for a minimum depth of 6 inches.
  - f. Sub-base material or satisfactory excavated or borrow material may be used below engineered fill at building slabs.
  - g. Under piping and conduit, use sub-base material where sub-base is indicated under piping or conduit; shape to fit bottom 90° of cylinder.

#### B. Backfill excavations as promptly as WORK permits, but not until completion of the following:

1. Acceptance of construction below finish grade including, where applicable, dampproofing, waterproofing, and perimeter insulation.
2. Inspection, testing, approval, and recording locations of underground utilities.
3. Removal of concrete formwork.
4. Removal of shoring and bracing, and backfilling of voids with satisfactory materials. Cut off temporary sheet piling driven below

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bottom of structures and remove in manner to prevent settlement of the structure or utilities, or leave in place if required.

5. Removal of trash and debris.
6. Permanent or temporary horizontally supported walls.

C. Ground Surface Preparation

1. Remove vegetation, debris, unsatisfactory soil materials, obstructions, and deleterious materials from ground surface prior to placement of fills. Plow, strip, or break up sloped surfaces steeper than 1 vertical to 4 horizontal so that fill material will bond with existing surface, except as otherwise specified in Section 02200-3.05 for embankments.
2. When existing ground surface has a density less than that specified under "Compaction" for particular area classification, break up ground surface, pulverize, adjust moisture condition to optimum moisture content, and compact to required depth and percentage of maximum density.

D. Placement and Compaction

1. Place backfill and fill materials in layers not more than 8 inches in loose depth for material compacted by heavy compaction equipment, and not more than 4 inches in loose depth for material compacted by hand-operated tampers.
  - a. Before compaction, add moisture to each layer as necessary to provide optimum moisture content. Compact each layer to required percentage of maximum dry density or relative dry density for each area classification. Do not place backfill or fill material on surfaces that are muddy, frozen, or contain frost or ice.
  - b. Place backfill and fill materials evenly adjacent to structures, piping, or conduit to required elevations. Take care to prevent wedging action of backfill against structures or displacement of piping or conduit by carrying material uniformly around structure, piping, or conduit to approximately same elevation in each lift.

E. Backfilling Trenches

1. Backfilling shall be accomplished as soon as practical after pipe has been laid and jointing and alignment approved. Packing of crushed rock between joints shall be the usual procedure as the laying progresses. This is in order to avoid danger of misalignment from slides, flooding or other causes. The

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ENGINEER shall be given a maximum of 24 hours for inspection before backfilling.

2. The backfill over the pipe shall be in accordance with the standard details shown on the DRAWINGS for bedding and backfilling pipe.
3. In case maximum permissible trench widths (as designated by the pipe manufacturer) are exceeded, the CONTRACTOR shall furnish crushed rock backfill to a minimum of 12 inches over the top of pipe at no extra cost to the OWNER.
4. After the foregoing cover requirements over top of the pipe have been met, rock may be used in the backfill in pieces no larger than 12 inches in any dimension and to an extent not greater than one-half the backfill materials used. If additional earth is required for backfilling, it must be obtained and placed by the CONTRACTOR at no additional cost to the OWNER. Filling with rock and earth shall proceed simultaneously, such that no voids are left in the rock. After cover requirements over top of pipe have been met, backfilling may be employed without tamping, provided caution is used in quantity per dump and uniformity of level of backfilling. Surplus material shall be uniformly ridged over trench and excess rock hauled away, with no rock over 1-1/2 inch diameter in the top 6 inches. Ridged backfill shall be confined to the width of the trench and no higher than needed for replacement of settlement of backfill. All rock over 1-1/2 inch diameter shall be broomed to remove all earth and loose rock, all immediately following backfilling.
5. In the case of street, highway, railroad, sidewalk and driveway crossings; or within any roadway paving; or about manholes, valve and meter boxes; the backfill must be mechanically tamped in not over 6 inch layers, measured loose. Alternate method of compacting backfill shall be used, if refill material is in large hard lumps (crushed rock excepted) which cannot be consolidated without leaving voids.
6. In the case of tunnels, the annular space between plates and excavation shall be either permanently placed pea gravel or sand, pumped grout (3 parts sand and 1 part Portland cement by volume) or other suitably installed material approved by the ENGINEER. Backfilling shall be kept close to the heading and completed after each day's WORK. Where grout is used for backfill, injection holes with threaded plugs shall be provided in liner plates at various levels and in sufficient number to effectively grout the void around the tunnel. A minimum of 3 grout holes shall be provided in each 3 feet of tunnel length. Grout shall be injected in the lower holes first, proceeding upward as the void is filled. Plugs shall be installed after each hole is filled and grout stops shall be provided behind plates as necessary to ensure complete filling of the void.

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7. Where traffic on streets, driveways, railroads, sidewalks and highways requires temporary surfacing, backfilling shall be terminated 4 inches below original ground level and 4 inches to 6 inches of dense graded aggregate shall be placed on the trench. Backfills shall be maintained easily passable to traffic at original ground level, until acceptance of PROJECT or replacement of paving or sidewalks.
8. Excavated materials from trenches and tunnels in excess of that required for backfill shall be disposed of on the plant lot, as directed by the ENGINEER.
9. The CONTRACTOR shall protect all sewer, gas, electric, telephone, water, and drain pipes or conduits from damage while pipelines are being constructed and backfilled, and from danger due to settlement of trench backfill.
10. No extra payment shall be made for backfilling of any kind, except as specified herein before. Backfilling shall be included as a part of the Unit Price BID. No extra payment will be made to the CONTRACTOR for supplying outside materials for backfill.
11. On completion of the PROJECT, all backfills shall be dressed; holes filled; and surplus material hauled away. All permanent walks, street paving, roadway, etc., shall be restored and seeding and sodding performed as required.

### 3.05 EMBANKMENTS

#### A. Borrow Excavation

Should insufficient quantities of suitable soil fill material for construction of the embankment be located within the designated areas, where shown on the PLANS, the CONTRACTOR shall obtain suitable soil material conforming to the requirements of the "Materials" SPECIFICATIONS at no additional cost to the OWNER.

Excavation areas shall be excavated and finally dressed in a manner such that no steep or unstable side slopes or other hazardous or unsightly conditions exist.

To the extent that they are needed, all suitable materials shall be used in the construction of permanent earth fill or rock fill. The suitability of materials for specific purposes will be determined by the ENGINEER. The CONTRACTOR shall not waste or otherwise dispose of suitable excavated materials.

#### B. Foundation Preparation

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Foundations for earth fill shall be stripped of all topsoil to remove vegetation and other deleterious materials or shall be excavated as specified.

Except as otherwise specified for foundation benches, earth foundation surfaces shall be graded to remove surface irregularities and shall be scarified parallel to the axis of the fill or otherwise acceptably scored and loosened to a minimum depth of 2 inches. The moisture content of the loosened material shall be controlled as specified for the earth fill, and the surface materials of the foundation shall be compacted and bonded with the first layer of earth fill as specified for subsequent layers of earth fill.

When the original ground surface is sloping at rate of 15 percent or greater, perpendicular to the embankment axis, embankment foundation benches shall be constructed as shown on the CONTRACT DRAWINGS. Preparation of the foundation shall proceed as described in the previous paragraph.

Earth abutment surfaces shall be free of loose, uncompacted earth in excess of two inches in depth normal to the slope and shall be at such a moisture content that the earth fill can be compacted against them to effect a good bond between the fill and the abutments.

C. Fill Placement

Fill shall not be placed until the required excavation and foundation preparation have been completed and the foundation has been inspected and approved by the ENGINEER. Fill shall not be placed upon a frozen surface, nor shall snow, ice or frozen material be incorporated in the fill.

Fill shall be placed in approximately horizontal layers. The thickness of each layer before compaction shall not exceed twelve inches (12"). Materials placed by dumping in piles or windrows shall be spread uniformly to not more than the specified thickness before being compacted. Hand compacted fill, including fill compacted by manually directed power tampers, shall be placed in layers whose thickness before compaction does not exceed six inches (6").

Adjacent to pipe or structures, fill shall be placed in a manner which will prevent damage to the pipes or structures and will allow the pipes or structures to assume the loads from the fill gradually and uniformly. The height of the fill adjacent to a structure shall be increased at approximately the same rate on all sides of the structures.

Earth fill for embankments shall also be placed so as to meet the following additional requirements:

1. The distribution of materials, throughout the zone shall be essentially uniform, and the fill shall be free from voids, pockets, streaks or layers of material differing substantially in texture or gradation from the surrounding material.

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2. If the surface of any layer becomes too hard and smooth for proper bond with the succeeding layer, it shall be scarified parallel to the axis of the fill to a depth of not less than 2 inches before the next layer is placed.
3. The top surfaces of embankments shall be maintained approximately level during construction, except that a crown or cross-slope of not less than 2 percent shall be maintained to insure effective drainage. If the DRAWINGS or SPECIFICATIONS require or the ENGINEER directs that fill be placed at a higher level in one part of an embankment than another, the top surface of each part shall be maintained as specified above.
4. Embankments shall be constructed in continuous layers except where openings to facilitate construction or to allow the passage of stream flow during construction are specifically authorized.
5. Embankments built at different levels as described under (3) or (4) above shall be constructed so that the slope of the bonding surfaces between embankment in place and embankment to be placed is not steeper than 3 feet horizontal to 1 foot vertical. The bonding surface of the embankment in place shall be stripped of all loose material, and shall be scarified, moistened and recompacted when the new fill is placed against it as needed to insure a good bond with the new fill and to obtain the specified moisture content and density in the junction of the in place and new fill.
6. Embankment materials shall be placed in the zones (impervious core and random earth and rock) shown on the CONTRACT DRAWINGS. Prior to fill placement in the cutoff trench, the bottom of the cut off trench shall be inspected by the ENGINEER. All fractures or joints shall be clean and filled with mortar or concrete unless otherwise directed by the ENGINEER.
7. Fill placement shall then proceed in accordance with CONTRACT PLANS AND SPECIFICATIONS and in a manner such that no steep or unstable slopes or other hazardous or unsightly conditions exist. Fill material used shall conform to requirements of the "Materials" SPECIFICATIONS previously mentioned.
8. Rocks placed in the random earth and rock zones shall be kept at least 2 feet below the embankment surface. The rock shall not be dumped into final position, but shall be distributed by blading or dozing in a manner that will ensure proper placement in the embankment so that voids, pockets and bridging will be eliminated.

D. Compaction

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Each layer of fill shall be compacted as necessary to make density of the fill matrix not less than the minimum density specified. The fill matrix is defined as the portion of the fill material finer than the maximum particle size used in the compaction test method specified. Embankment fill shall be compacted to minimum field densities equal to or greater than 95 percent of maximum dry density as determined by the Standard Procter Maximum Dry Density test method ASTM D-698. Moisture content may vary optimum, -2 percent to +1 percent as also determined by ASTM D-698.

CONTRACTOR shall provide one moisture content vs. dry density relationship curve as determined by standard test method ASTM D-698 to help determine optimum moisture content and maximum dry density for each soil type encountered during construction prior to placement in the embankment.

Fill adjacent to structures shall be compacted to a density equivalent to that of the surrounding fill by means of hand tamping or manually directed power tampers or plate vibrators. Heavy equipment shall not be operated within 2 feet of any structure. Vibrating rollers shall not be operated within 5 feet of any structure. Compaction by means of drop weights operating from a crane or hoist will not be permitted.

The passage of heavy equipment will not be allowed: (a) over cast-in place conduits prior to 14 days after placement of the concrete; (b) over cradled pre-cast conduits prior to 7 days after placement of the concrete cradle; or (c) over any type of conduit until the backfill has been placed above the top surface of the structure to a height equal to one-half of the clear span width of the structure or pipe or 2 feet, whichever is greater.

E. Testing

During the course of the WORK, the CONTRACTOR will perform such tests as are required to identify the materials, to determine compaction characteristics, to determine moisture content, and to determine density of fill in place. These tests performed by the CONTRACTOR will be used to verify that the fills conform to the requirements of the SPECIFICATIONS. Such tests are intended to provide the CONTRACTOR with the information required by him for the proper execution of the WORK.

Submittals shall be per Section 02200, paragraph 1.04 A.

F. Removal and Replacement of Defective Fill

Fill placed at densities lower than the specified minimum density or at moisture contents outside the specified acceptable range of moisture content or otherwise not conforming to the requirements of the SPECIFICATIONS shall be reworked to meet the requirements or removed and replaced by acceptable fill. The replacement fill, the foundation, and the surfaces upon which the fill is placed shall conform to



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all requirements of the SPECIFICATIONS for foundation preparation, approval, placement, moisture control and compaction.

### 3.06 GRADING

#### A. General

1. Uniformly grade areas within limits of grading under this section, including adjacent transition areas. Smooth finished surface within specified tolerances, compact with uniform levels or slopes between such points and existing grades.

#### B. Grading Outside Building Lines

1. All materials used for backfill around structures shall be of a quality acceptable to the ENGINEER and shall be free from large or frozen lumps, wood and other extraneous material. All spaces excavated and not occupied by footings, foundations, walls or other permanent WORK shall be refilled with earth up to the surface of the surrounding ground, unless otherwise specified, with sufficient allowance for settlement. In making the fills and terraces around the structures, the fill shall be placed in layers not exceeding 12 inches in depth and shall be kept smooth as the WORK progresses. Each layer of the fill shall be rolled with an approved type roller and/or be compacted. When it is not practicable to compact sections of the fill immediately adjacent to buildings or structures by rolling, then such sections shall be thoroughly compacted by means of mechanical tamping or hand tamping as may be required by the conditions encountered. All fills shall be placed so as to load structures symmetrically.
2. As set out herein before, rough grading shall be held below finished grade and then the topsoil which has been stockpiled shall be evenly spread over the surface. The grading shall be brought to the levels shown on the DRAWINGS or to the elevations established by the ENGINEER. Final dressing shall be accomplished by hand WORK or machine WORK, or a combination of these methods as may be necessary to produce a uniform and smooth finish to all parts of the re-grade. The surface shall be free from clods greater than 2 inches in diameter. Excavated rock (6 inches maximum size) may be placed in the fills, but it shall be thoroughly covered. Rock placed in fills shall not be closer than 12 inches from finished grade.
3. Grade areas adjacent to building lines to drain away from structures and to prevent ponding.
  - a. Finish surfaces free from irregular surface changes, and as follows:

- (1) Lawn or unpaved areas: Finish areas to receive topsoil to within not more than 0.10 ft. above or below required sub-grade elevations.
- (2) Walks: Shape surface of areas under walks to line, grade, and cross-section, with finish surface not more than 0.10 ft. above or below required sub-grade elevation.
- (3) Pavements: Shape surface of areas under pavement to line, grade, and cross-section, with finish surface not more than 0.04 ft. above or below required sub-grade elevation.

C. Grading Surface of Fill Under Building Slabs

- 1. Grade smooth and even, free of voids, compacted as specified, and to required elevation. Provide final grades within a tolerance of 0.04 ft. when tested with a 10ft. straightedge.

D. Compaction

- 1. After grading, compact sub-grade surfaces to the depth and indicated percentage of maximum or relative density for each area classification.

3.07 PAVEMENT SUB-BASE COURSE

A. General

- 1. Sub-base course consists of placing sub-base material, in layers of specified thickness, over sub-grade surface to support a pavement base course.

B. Grade Control

- 1. During construction, maintain lines and grades including crown and cross-slope of sub-base course.

C. Shoulders

- 1. Place shoulders along edges of sub-base course to prevent lateral movement. Construct shoulders of acceptable soil materials, placed in such quantity to compact to thickness of each sub-base course layer. Compact and roll at least a 12 inch width of shoulder simultaneously with compacting and rolling of each layer of sub-base course.

D. Placing

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1. Place sub-base course material on prepared sub-grade in layers of uniform thickness, conforming to indicated cross-section and thickness. Maintain optimum moisture content for compacting sub-base material during placement operations.
2. When a compacted sub-base course is shown to be 6 inches thick or less, place material in a single layer. When it is shown to be more than 6 inches thick, place material in equal layers, such that no single layer shall be more than 6 inches or less than 3 inches in thickness when compacted.

### 3.08 BUILDING SLAB ENGINEERED FILL COURSE

#### A. General

1. Engineered fill course consists of placement of fill material, in layers of indicated thickness, over sub-grade surface to support concrete building slabs.

#### B. Placing

1. Place fill material on prepared sub-grade in layers of uniform thickness, conforming to indicated cross-section and thickness. Maintain optimum moisture content for compacting material during placement operations.
2. When a compacted course is shown to be 6 inches or less, place material in a single layer. When it is shown to be more than 6 inches thick, place material in equal layers, such that no single layer shall be more than 6 inches or less than 3 inches in thickness when compacted.

### 3.09 FIELD QUALITY CONTROL

#### A. Quality Control Testing During Construction

1. Allow testing service to inspect and report to the ENGINEER on findings and approve sub-grades and fill layers before further construction WORK is performed.
  - a. Perform field density tests in accordance with ASTM D 1556 (sand cone method), ASTM D 2167 (rubber balloon method), or ASTM D 2992 (nuclear density method), as applicable.
  - b. Footing sub-grade: For each strata of soil on which footings will be placed, conduct at least one test to verify required design bearing capacities. Subsequent verification and approval of each footing sub-grade may be based on a visual comparison of each sub-grade with related tested strata, when acceptable to ENGINEER.

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- c. Paved areas and building slab sub-grade: Make at least one field density test of sub-grade for every 2,000 square feet of paved area or building slab, but in no case less than three tests. In each compacted fill layer, make one field density test for every 2,000 square feet of overlaying building slab or paved area, but in no case less than three tests.
  - d. Foundation wall backfill: Take at least two field density tests, at locations and elevations as directed.
- B. If in the opinion of the ENGINEER, based on testing service reports and inspection, sub-grade or fills which have been placed are below specified density, CONTRACTOR shall provide additional compaction and testing at no additional expense to the OWNER.

### 3.10 MAINTENANCE

- A. Protection of Graded Areas
  - 1. Protect newly graded areas from traffic and erosion. Keep free of trash and debris. Repair and re-establish grades in settled, eroded, and rutted areas to specified tolerances.
- B. Reconditioning Compacted Areas
  - 1. Where completed compacted areas are disturbed by subsequent construction operations or adverse weather, scarify surface, reshape, and compact to required density prior to further construction.
- C. Settling
  - 1. Where settling is measurable or observable at excavated areas during general PROJECT warranty period, remove surface (pavement, lawn or other finish), add backfill material, compact, and replace surface treatment. Restore appearance, quality, and condition of surface or finish to match adjacent WORK, and eliminate evidence of restoration to greatest extent possible.

### 3.11 BASIS FOR PAYMENT

Payment for excavation shall be made on a unit price or a lump sum basis where a separate bid item is provided. Otherwise payment for all excavation, trenching and backfilling required for other work, such as structures, pipelines, etc., shall be made on a unit price or lump sum basis bid for that work.

END OF SECTION

## **SECTION 02320**

### **HORIZONTAL DIRECTIONAL DRILLING**

#### **PART 1 GENERAL**

##### **1.01 SECTION DESCRIPTION**

The work specified in this section consists of furnishing and installing underground utilities using the horizontal directional drilling (HDD) method of installation, also commonly referred to as directional boring or guided horizontal boring. This work shall include all services, equipment, materials, and labor for the complete and proper installation, testing, restoration of underground utilities and environmental protection and restoration.

##### **1.02 REFERENCES**

Specification 02610 – High Density Polyethylene (HDPE) Pipe and Fittings shall be used as a reference.

##### **1.03 QUALITY ASSURANCE**

The requirements set forth in this document specify a wide range of procedural precautions necessary to insure that the very basic, essential aspects of a proper directional bore installation are adequately controlled. Strict adherence shall be required under specifically covered conditions outlined in this specification. Adherence to the specifications contained herein, or the Engineer's approval of any aspect of any directional bore operation covered by this specification, shall in no way relieve the Contractor of their ultimate responsibility for the satisfactory completion of the work authorized under the Contract.

##### **1.04 SUBMITTALS**

###### **A. WORK PLAN**

Prior to beginning work, the Contractor must submit to the Engineer a general work plan outlining the procedure and schedule to be used to execute the project. Plan should document the thoughtful planning required to successfully complete the project.

###### **B. EQUIPMENT**

Contractor will submit specifications on directional drilling equipment to be used to ensure that the equipment will be adequate to complete the project.

**C. MATERIALS**

Specifications on material to be used shall be submitted to Engineer. Material shall include the pipe, fittings and any other item which is to be an installed component of the project.

**PART 2 EQUIPMENT REQUIREMENTS**

**2.01 EQUIPMENT**

The directional drilling equipment shall consist of a directional drilling rig of sufficient capacity to perform the bore and pullback the pipe, a drilling fluid mixing & delivery system of sufficient capacity to successfully complete the crossing, a guidance system to accurately guide boring operations and trained and competent personnel to operate the system. All equipment shall be in good, safe operating condition with sufficient supplies, materials and spare parts on hand to maintain the system in good working order for the duration of this project.

**2.02 DRILLING SYSTEM**

**A. DRILLING RIG**

The directional drilling machine shall consist of a hydraulically powered system to rotate, push and pull hollow drill pipe into the ground at a variable angle while delivering a pressurized fluid mixture to a guidable drill (bore) head. The machine shall be anchored to the ground to withstand the pulling, pushing and rotating pressure required to complete the crossing. The hydraulic power system shall be self-contained with sufficient pressure and volume to power drilling operations. Hydraulic system shall be free of leaks. Rig shall have a system to monitor and record maximum pull-back pressure during pull-back operations.

**B. DRILL HEAD**

The drill head shall be steerable by changing its rotation and shall provide the necessary cutting surfaces and drilling fluid jets.

**C. MUD MOTORS (if required)**

Mud motors shall be of adequate power to turn the required drilling tools.

**D. DRILL PIPE**

Shall be constructed of high quality 4130 seamless tubing, grade D or better, with threaded box and pins. Tool joints should be hardened to 32-36 RC.

## **2.03 GUIDANCE SYSTEM**

The Guidance System shall be of a proven type and shall be setup and operated by personnel trained and experienced with this system. The Operator shall be aware of any magnetic anomalies and shall consider such influences in the operation of the guidance system if using a magnetic system.

## **2.04 DRILLING FLUID (MUD) SYSTEM**

### **A. MIXING SYSTEM**

A self-contained, closed, drilling fluid mixing system shall be of sufficient size to mix and deliver drilling fluid composed of bentonite clay, potable water and appropriate additives. Mixing system shall be able to molecularly shear individual bentonite particles from the dry powder to avoid clumping and ensure thorough mixing. The drilling fluid reservoir tank shall be sized for adequate storage of the mud. Mixing system shall continually agitate the drilling fluid during drilling operations.

### **B. DRILLING FLUIDS**

Drilling fluid shall be composed of clean water and an appropriate additive. Water shall be from a clean source with a pH of 8.5 – 10 and/or as per mixing requirements of the Manufacturer. Water of a lower pH or with excessive calcium shall be treated with the appropriate amount of sodium carbonate or equal. The water and additives shall be mixed thoroughly and be absent of any clumps or clods. No hazardous additives may be used. Drilling fluid shall be maintained at a viscosity sufficient to suspend cuttings and maintain the integrity of bore wall.

### **C. DELIVERY SYSTEM**

The mud pumping system shall have a minimum capacity to supply mud in accordance with the drilling equipment pull-back rating at a constant required pressure. The delivery system shall have filters in-line to prevent solids from being pumped into the drill pipe. Connections between the pump and drill pipe shall be relatively leak-free. Used drilling fluid and drilling fluid spilled during drilling operations shall be contained and properly disposed of. A berm, minimum of 12" high, shall be maintained around drill rigs, drilling fluid mixing system, entry and exit pits and drilling fluid recycling system (if used) to prevent spills into the surrounding environment. Pumps and or vacuum truck(s) of sufficient size shall be in place to convey excess drilling fluid from containment areas to storage facilities.

## **2.05 OTHER EQUIPMENT**

### **A. PIPE ROLLERS**

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Pipe rollers, if required, shall be of sufficient size to fully support the weight of the pipe while being hydro-tested and during pull-back operations. Sufficient number of rollers shall be used to prevent excess sagging of pipe.

**B. PIPE RAMMERS**

Hydraulic or pneumatic pipe rammers may only be used if necessary and with the authorization of Engineer.

**C. RESTRICTIONS**

Other devices or utility placement systems for providing horizontal thrust other than those previously defined in the preceding sections shall not be used unless approved by the Engineer prior to commencement of the work. Consideration for approval will be made on an individual basis for each specified location. The proposed device or system will be evaluated prior to approval or rejection on its potential ability to complete the utility placement satisfactorily without undue stoppage and to maintain line and grade within the tolerances prescribed by the particular conditions of the project.

**PART 3 - EXECUTION**

**3.01 GENERAL**

The Engineer must be notified 48 hours in advance of starting work. The Directional Bore shall not begin until the Engineer is present at the job site and agrees that proper preparations for the operation have been made. The Engineer approval for beginning the installation shall in no way relieve the Contractor of the ultimate responsibility for the satisfactory completion of the work as authorized under the Contract. It shall be the responsibility of Engineer to provide inspection personnel at such times as appropriate without causing undue hardship by reason of delay to the Contractor.

**3.02 PERSONNEL REQUIREMENTS**

All personnel shall be fully trained in their respective duties as part of the directional drilling crew and in safety.

**3.03 DRILLING PROCEDURE**

**A. SITE PREPARATION**

1. Prior to any alterations to work-site, contractor shall photograph or video tape entire work area, including entry and exit points. One copy of which shall be given to Engineer and one copy to remain with contractor for a period of one year following the completion of the project.



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2. Work site as indicated on drawings, within right-of-way, shall be graded or filled to provide a level working area. No alterations beyond what is required for operations are to be made. Contractor shall confine all activities to designated work areas.

**B. DRILL PATH SURVEY**

Entire drill path shall be accurately surveyed with entry and exit stakes placed in the appropriate locations within the areas indicated on drawings. If contractor is using a magnetic guidance system, drill path will be surveyed for any surface geo-magnetic variations or anomalies.

**C. ENVIRONMENTAL PROTECTION**

Contractor shall place silt fence between all drilling operations and any drainage, wetland, waterway or other area designated for such protection by contract documents, state, federal and local regulations. Additional environmental protection necessary to contain any hydraulic or drilling fluid spills shall be put in place, including berms, liners, turbidity curtains and other measures. Contractor shall adhere to all applicable environmental regulations. Fuel or oil may not be stored in bulk containers within 200' of any water-body or wetland.

**D. SAFETY**

Contractor shall adhere to all applicable state, federal and local safety regulations and all operations shall be conducted in a safe manner.

**E. PIPE**

Pipe shall be welded/fused together in one length, if space permits. Pipe welds will be X-rayed prior to being placed in bore hole. Pipe will be placed on pipe rollers before pulling into bore hole with rollers spaced close enough to prevent excessive sagging of pipe.

**F. PILOT HOLE**

1. Pilot hole shall be drilled on bore path with no deviations greater than 5% of depth over a length of 100'. In the event that pilot does deviate from bore path more than 5% of depth in 100', Contractor will notify Engineer and Engineer may require Contractor to pull-back and re-drill from the location along bore path before the deviation.
2. In the event that a drilling fluid fracture, inadvertent returns or returns loss occurs during pilot hole drilling operations, contractor shall cease drilling, wait at least 30 minutes, inject a quantity of drilling fluid with a viscosity exceeding 120 seconds as measured by a March funnel and then wait another 30 minutes. If mud fracture or returns loss continues, contractor will cease operations and notify Engineer. Engineer and

contractor will discuss additional options and work will then proceed accordingly.

**G. REAMING**

Upon successful completion of pilot hole, contractor will ream bore hole to a minimum of 25% greater than outside diameter of pipe using the appropriate tools. Contractor will not attempt to ream at one time more than the drilling equipment and mud system are designed to safely handle.

**H. PULL-BACK**

1. After successfully reaming bore hole to the required diameter, contractor will pull the pipe through the bore hole. In front of the pipe will be a swivel. Once pull-back operations have commenced, operations must continue without interruption until pipe is completely pulled into borehole. During pull-back operations contractor will not apply more than the maximum safe pipe pull pressure at any time.
2. In the event that pipe becomes stuck, contractor will cease pulling operations to allow any potential hydro-lock to subside and will commence pulling operations. If pipe remains stuck, contractor will notify Engineer. Engineer and contractor will discuss options and then work will proceed accordingly.

**3.04 PIPE TESTING**

- A.** Sections shall be followed in its entirety following pull-back of the pipe.
1. All mains shall be swabbed.
  2. All mains shall be chlorinated.

**3.05 Basis For Payment**

- A.** Piping shall be paid for at the unit price bid or lump sum bid and shall include all work incidental to making a complete installation such as excavation, bedding, backfill, painting, testing, disinfection, cleanup, seeding, etc.

END OF SECTION

**SECTION 02326**

**STEEL CASING PIPE**

**PART 1 GENERAL**

**1.01 SCOPE OF WORK**

- A. Steel casing pipe shall be furnished and installed as shown on the DRAWINGS and specified herein.

**1.02 RELATED WORK**

- A. Horizontal Directional Drilling, Section 02320
- B. Erosion and sedimentation control is included in this Division, Section 02270.
- C. Piping is included in this Division, Section 02700.
- D. Landscaping is included in this Division, Section 02900.

**PART 2 PRODUCTS**

**2.01 STEEL CASING PIPE**

- A. Steel casing shall be plain end steel pipe with a minimum yield strength of 35,000 psi and tensile strength of 60,000 psi per API-5L Grade B material. The steel pipe supplied shall be manufactured by the seamless, electric-weld, submerged arc weld or gas metal-arc weld process as specified in API-5L. Certifications of 35,000 psi minimum yield strength shall be furnished by the CONTRACTOR.
- B. The inside diameter shall be at least 2 inches greater than the largest outside diameter of the carrier pipe, joint or couplings for carrier pipe less than 6" in diameter and at least 4" greater for carrier pipe 6" and over in diameter unless otherwise noted on the plan sheets. In all cases, the casing pipe shall be great enough to allow the carrier pipe to be removed subsequently without disturbing the casing pipe or roadbed.
- C. Casing pipe shall have minimum wall thickness as shown in the following table:

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	Nominal Diameter (Inch)	Nominal Thickness (Inch)	Nominal Diameter (Inch)	Nominal Thickness (Inch)
<b>PART 3 EXEC UTION</b>	Under 10	0.188	24	0.438
	10 - 12	0.250	26	0.438
	14 - 16	0.281	28 - 30	0.500

3.01 TUNNELING, BORING OR JACKING

- A. Boring or jacking as specified herein shall be located as shown on DRAWINGS. All other casing pipe installations shall be open cut trench.
- B. Tunneling under paving, railroads, buildings and underground structures is included as an alternate to boring or repaving required by open cut trenching at no extra cost to the OWNER. Bore and casing pipe is also included as an alternate to tunneling. Backfilling of tunnels shall be mechanically tamped in not more than 3-inch layers and with material rendered suitable for tamping before being placed in tunnel unless otherwise shown on the DRAWINGS. No payment will be made for tunnels less than 3 feet long.
- C. In tunneling under buildings, the CONTRACTOR will held responsible for all damage by his operations and methods of excavation and backfilling.
- D. Should the CONTRACTOR elect and receive permission to tunnel and bore, other than locations designated on the DRAWINGS or required by the ENGINEER to be tunneled or bored, the entire compensation therefore shall be the same as the unit prices bid for installation in open trench, including paving replacement, but not including bore or unit prices.
- E. At locations where tunneling or boring or jacking is called for on the DRAWINGS, in addition to the unit prices for permanent tunnel, tunnel liner, temporary tunnel, boring or jacking and/or casing pipe, payment will be made for furnishing and laying carrier pipe inside the tunnel or casing pipe. No payment will be made for separate trench and backfill unit price items where permanent tunnel, tunnel liner, temporary tunnel, boring or jacking and/or casing pipe unit prices is paid.
- F. Boring or jacking under highways, railroads, sidewalks, pipelines, etc., shall be done at the locations shown on the DRAWINGS. It shall be performed by mechanical means and accurate vertical and horizontal alignment must be maintained. When shown on the DRAWINGS, casing pipe shall be used and shall be installed inside bored holes concurrently with boring, or jacking.

3.02 STEEL CASING PIPE INSTALLATION

- A. Steel casing pipe shall be of the size and wall thickness as shown on the DRAWINGS or specifications.

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- B. When casing pipe is jacked, concurrent with boring, all joints shall be solidly welded. The weld shall be such that the joint shall be of such strength to withstand the forces exerted from the boring and jacking operation as well as the vertical loading imposed on the pipe after installation. The weld shall also be such that it provides a smooth, non-obstructing joint in the interior of the pipe, which will allow easy installation of the carrier pipe without hanging or abrasion to the carrier pipe upon installation.
- C. When casing pipe is installed in open trench or permanent tunnel, it shall be bedded and backfilled as specified in Division 2. When casing pipe is installed in temporary tunnel, it shall be laid accurately to alignment of proposed pipeline and at an elevation below proposed pipeline necessary to support it at the planned elevation. Bedding and backfill for casing pipe in temporary tunnel shall be as specified in Division 2.
- D. Casing pipe in open trench, permanent tunnel and temporary tunnel shall be joined by welding such that it will not be moved out of alignment or grade and will prevent backfill material from entering joint. Where casing pipes are shown on the DRAWINGS to be equipped with vent pipes, vents shall be installed as shown on the DRAWINGS with cost of the same included in the price bid for the casing pipe unless otherwise specified.

### 3.03 CARRIER PIPE IN CASING PIPE INSTALLATION

#### A. Pipeline Spacers

Carrier pipes shall be centered inside casing pipe throughout the length of the casing pipe. Centering shall be accomplished by the installation of polyethylene pipeline spacers attached to the casing pipe in such a manner as to prevent the dislodgment of the spacers as the carrier pipe is pulled or pushed through the casing pipe. Spacers shall be of such dimensions to provide (1) full supportive load capacity of the carrier pipe and contents; (2) of such thickness to allow installation and/or removal of the pipe; and (3) to allow no greater than 1/2 inch movement of the carrier pipe within the casing pipe after the carrier pipe is installed. Installation shall be in accordance with manufacturer's recommendations.

- B. Upon completion of installation of the carrier pipe, the annular space at the ends of the cover pipe shall be sealed to prevent the entrance of groundwater, silt, etc., into the casing pipe. The seal shall be a manufactured product specially made for this purpose. The seal shall be the best seal type constructed of synthetic rubber with stainless steel banding straps. Seals may be of the "pull-on" or "wrap around" type as manufactured by Advance Products and Systems, Inc. or equal.

### 3.04 BASIS FOR PAYMENT

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Steel Casing Pipe shall be paid for at the unit price bid or lump sum bid and shall include all work incidental to making a complete installation such as excavation, carrier pipe, bedding, backfill, painting, testing, disinfection, cleanup, seeding, etc.

END OF SECTION

## **SECTION 02610**

### **GENERAL PIPING**

#### **PART 1 GENERAL**

##### **1.01 SCOPE OF WORK**

- A. Furnish all labor, materials, equipment and incidentals necessary to install and test pipe and fittings as shown on the Drawings and required by the Specifications.
- B. Piping shall be located substantially as shown. The ENGINEER reserves the right to make such modifications in locations as may be found desirable to avoid interference between pipes or for other reasons. Pipe fitting notation is for the CONTRACTOR'S convenience and does not relieve him from laying and jointing different or additional items where required without additional compensation.
- C. Wherever the word pipe or piping is used it shall mean pipe and fittings unless otherwise noted.
- D. All references to Standards/Specifications shall mean the latest revision.

##### **1.02 RELATED WORK**

- A. Trenching, backfilling and compacting are included in this Division, Section 02200.
- B. Concrete is included in Division 3, Section 03300.

##### **1.03 DESCRIPTION OF SYSTEM**

- A. Piping shall be installed substantially as shown on the Drawings so as to form a complete smooth flow path and workable system.
- B. The piping and materials specified herein are intended to be standard types of pipe for use in transporting the fluids as indicated on the Drawings. The pipe and fittings shall be designed, constructed, and installed in accordance with the best practices and methods and the manufacturer's recommendations.

##### **1.04 QUALIFICATIONS**

- A. All pipe and fittings under this section shall be furnished by manufacturers who are fully experienced, qualified, and regularly engaged in the manufacture of the materials to be furnished.

##### **1.05 SUBMITTALS**

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- A. The CONTRACTOR shall submit to the ENGINEER for review in accordance with Division 1, Section 01300, complete sets of shop drawings showing layout and details of materials, joints and methods of construction and installation of the pipe, specials and fittings required.
- B. Before fabrication and/or shipping of the pipe is begun, the CONTRACTOR shall submit for approval a schedule of pipe lengths for the entire job. All pipe furnished under the Contract shall be fabricated in full accordance with the approved Drawings.

## 1.06 INSPECTION

- A. The manufacturer shall inspect all pipe joints for out-of-roundness and pipe ends for squareness. The manufacturer shall furnish to the ENGINEER a notarized affidavit stating all pipe meets the requirements of applicable ASTM Specifications, these Specifications, and the joint design with respect to square ends and out-of-round joint surfaces.

## PART 2 PRODUCTS

### 2.01 DUCTILE IRON PIPE

- A. General
  - 1. Ductile iron pipe shall be centrifugally cast of ductile iron conforming to ASTM Specifications A 746 latest revision. The pipe design conditions shall be as follows:
    - a. Pressure: Minimum of 250 psi operating plus 100 psi surge allowance.
    - b. Trench Loading: Laying condition Type 4 unless otherwise specified on Drawings. Trench depth not less than 2' nor more than that shown on the Drawings.
    - c. Metal Design Strengths: 

Bursting Tensile	40,000 psi
Modulus of Rupture	90,000 psi
  - 2. The manufacturing tolerances included in the nominal thickness shall not be less than specified by ANSI/AWWA C150/A21.50, latest revision.
  - 3. Minimum wall thickness shall be 0.33 inches (Class 52), or more if required for minimum operating pressure of 250 psi.
  - 4. Pipe may be furnished in 18', or 20' nominal laying lengths; and the weight of any single pipe shall not be less than the tabulated weight by more than 5 percent for pipe 12" or smaller in diameter, nor by more than 4 percent for pipe larger than 12" in diameter.



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5. The hydrostatic and acceptance tests for the physical characteristics of the pipe shall be as specified in ANSI/AWWA C151/A21.51, latest revision.
6. Any pipe not meeting the ANSI/AWWA specifications quotes above shall be rejected in accordance with the procedure outlined in the particular specification.
7. The ENGINEER shall be provided with 3 copies of a certification by the manufacturer that the pipe supplied for this Contract has been tested in accordance with the referenced specifications and is in compliance therewith.
8. The net weight, class or nominal thickness and sampling period shall be marked on each pipe. The pipe shall also be marked to show that it is ductile iron.
9. Unless otherwise noted, joints for ductile iron pipe will be "push-on" type consisting of a rubber gasket installed in a recess in the bell.
10. Ductile iron pipe must be used within 200 feet of underground petroleum storage tanks and shall have gaskets designed for this purpose such as Nitrile Butadiene (NBR), approved equal or better.

B. Lining and Coating Ductile Iron Pipe

1. All buried ductile iron pipe shall have manufacturer's outside coal tar or asphaltic base coating and a cement lining and bituminous seal coat on the inside. Cement mortar lining and bituminous seal coat inside shall conform to ANSI/AWWA C104/A21.4 latest revision.

C. Fittings for Ductile Iron Pipe-3" and larger

1. Ductile Iron fittings only shall be used with the ductile iron pipe.
2. Mechanical joint fittings shall be used with underground pipe.
3. Rubber-gasket joints shall conform to ANSI/AWWA C111/A21.11 latest revision for centrifugally cast ductile iron water pipe.
4. All Working Pressures - Fittings shall conform to ANSI/AWWA Specifications C110/A21.10 latest revision for 250 psi water working pressure plus water hammer. Ductile iron fittings shall be ductile cast iron per ASTM Specifications A536, latest revision.
5. All fittings shall be cement lined and bituminous coated per Federal Specifications WW-P-421b.

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- D. Ductile Iron Pipe and Fittings - Smaller than 3"
1. Small size ductile iron pipe shall conform to ANSI Specifications A21.12 (AWWA C 112) latest revision. Fittings shall conform to ANSI Specifications A21.10 (AWWA C 110) latest revision.
  2. Pipe may be furnished with either mechanical joints or slip-on joints. Buried fittings shall be furnished with mechanical joints.
- E. Flanged Cast Iron Pipe and Flanged Coupling Adapters for Flexible Couplings
1. Non-buried ductile iron pipe and fittings shall be flanged unless otherwise specified.
  2. Flanged cast iron pipe and fittings shall have dimensions facing and drilling for ANSI Class 125 flanges (125 psi steam working pressure; 250 psi water working pressure).
  3. Where flanges are pit cast integrally with pipe in vertical position in dry sand molds, flanged pipe shall be AWWA Class "B" or latest revision of ANSI Specifications A21.2, Class 50 pipe for sewage, sludge, gas and air service and Class 150 pipe for all types of water service.
  4. Where flanged pipe is made up by threading plain end, centrifugally cast pipe, screwing on specially designed long hub flanges, and refacing across both the face of the flange and the end of pipe, flange shall be per ANSI Specification B16.1 latest revision and pipe shall be Class 150 per ANSI Specification A21.6 latest revision.
  5. Either of the foregoing methods of manufacture of flanged pipe will be acceptable, but when plain ends of flanged pipe are to fit into mechanical joint bells, then the outside diameter of the pipe shall be such that the joint can be made.
  6. CBS (rubber and cloth both sides) gaskets 1/16" in thickness shall be used in connecting flanged piping. Nuts and bolts for use in making flanged connections shall have hexagonal heads, be of proper lengths and with U.S. standard threads. The tensile strength of steel used in the bolts shall be not less than 55,000 psi.
  7. Flanged Coupling Adapters for flanged pipe shall be a mechanical joint cast to a special flanged joint using a neoprene "O-ring", in place of the usual 1/16" rubber ring gasket. The mechanical bell and special flanged joint piece shall be of high grade gray cast iron with bolt circle, bolt size and spacing conforming to ASA B16.1 Specifications latest revision. Mechanical joint follower flange shall be of ductile or malleable iron with high

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strength/weight ratio design. Bolts shall be fine grained, high tensile, malleable iron with malleable iron hexagon nuts.

8. Flanged Coupling Adapters for 12" and smaller cast iron pipe shall be Smith-Blair #912; Dresser style 127; or approved equal. For pipe larger than 12", flexible couplings shall be Smith-Blair #913; Dresser style 128; or approved equal. All flexible couplings shall be furnished with anchor studs.

F. Mechanical Joint Restraints

1. Gland body, wedges and wedge actuating components shall be cast from grade 65-45-12 ductile iron material in accordance with ASTM A536.
2. Ductile iron gripping wedges shall be heat treated within a range of 370 to 470 BHN.
3. Three (3) test bars shall be incrementally poured per production shift as per Underwriter's Laboratory (U.L.) specifications and ASTM A536. Testing for tensile, yield and elongation shall be done in accordance with ASTM E8.
4. Chemical and nodularity tests shall be performed as recommended by the Ductile Iron Society, on a per ladle basis.

**2.02 POLYVINYL CHLORIDE (PVC) PIPE AND FITTINGS**

- A. PVC pipe shall comply with ASTM D01784 and shall be Type 1, Grade 1, with pressure and SDR rating as shown on the drawings or indicated in the proposal form. All PVC pipe shall conform to the latest revisions of the following specifications:

ASTM D2241 (PVC plastic pipe SDR-PR and Class T)  
Commercial Standard CS 256 (pressure rated type)  
National Sanitation Foundation Testing Laboratories (NSF)

- B. The name of the manufacturer of the plastic pipe to be used must be found on the current listing of Plastic Materials for Potable Water Application, published by the NSF (National Sanitation Foundation), Ann Arbor, Michigan, and must meet the requirements of the Standard Specifications for Polyvinyl Chloride (PVC) Plastic Pipe, D1785, published by ASTM (American Society for Testing and Materials).
- C. Pipe lengths shall not exceed 40 feet. Wall thickness shall be in accordance with CS-256 and ASTM D-2241. Pipe ends shall be beveled to accept the gasketed coupling. Rubber gasketing shall conform to ASTM 1869.
- D. Samples of pipe, physical and chemical data sheets shall be submitted to the ENGINEER for approval and his approval shall be obtained before

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pipe is purchased. The pipe shall be homogenous throughout and free from cracks, holes, foreign inclusions or other defects. The pipe shall be as uniform as commercially practical in color. Pipe shall have a ring painted around spigot ends in such a manner as to allow field checking of setting depth of pipe in the socket.

- E. Pipe must be delivered to the job site by means which will adequately support it, and not subject it to undue stresses. In particular, the load shall be so supported that the bottom rows of pipe are not damaged by crushing. Pipe shall be unloaded carefully and strung or stored as close to the final point of placement as is practical.
- F. The couplings and fittings shall be furnished by the pipe manufacturer and shall accommodate the pipe for which they are to be used. They shall have a minimum pressure rating of 200 psi. Insertion depth of the pipe in the coupling shall be controlled by an internal PVC mechanical stop in the coupling which will allow for a thermal expansion and contraction. Couplings method shall allow for half of each end of the pipe. Couplings shall permit 5 degree deflection (2-1/2 degrees each side) of the pipe without any evidence of infiltration, cracking or breaking. Couplings shall have rubber seals factory installed.
- G. Pipe markings shall include the following, marked continuously down the length:
  - Manufacturer's Name
  - Nominal Size
  - Class Pressure Rating
  - PVC 1120
  - NSF Logo, and
  - Identification Code
- H. Lubricant shall be water soluble, nontoxic, be non-objectionable in taste and odor imparted to the fluid, be non-supporting of bacteria growth and have no deteriorating effect on the PVC or rubber gaskets.

## **2.03 POLYVINYL CHLORIDE (PVC) PIPE AND FITTINGS (SCHEDULE 80)**

### **A. General**

Schedule 80 PVC pipe shall be as manufactured by the Celanese Piping Systems, Inc., or approved equal. To ensure installation uniformity, all piping system components shall be the products of one manufacturer.

### **B. Materials**

- 1. Pipe and fittings shall be manufactured from a PVC compound which meets the requirements of Type 1, Grade 1 polyvinyl chloride as outlined in ASTM D-1784. A Type 1, Grade 1 compound is characterized as having the highest requirements for

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mechanical properties and chemical resistance. Fittings shall be socket type and shall conform to the requirements of ASTM D-2467.

2. Compound from which pipe is produced shall have a design stress rating of 200 psi at 73° F., listed by the Plastics Pipe Institute (PPI).
3. Materials from which pipe and fittings are manufactured shall have been tested and approved for conveying potable water by the National Sanitation Foundation (NSF).

C. Solvent Cement

All socket type connections shall be joined with PVC solvent cement complying to ASTM D-2564. Cement shall have a minimum viscosity of 2000 cps.

D. Installation

Installation shall be in strict accordance with the manufacturer's printed instructions. Printed installation instructions shall be submitted and approved by the ENGINEER prior to shipment of the pipe.

E. Testing

1. Pressure Pipe - Refer to Paragraph 3.02 of this Division.
2. Vacuum Pipe - All pipe intended for use under partial vacuum shall be tested by subjection to 24 inches of mercury vacuum; allowing 15 minutes to stabilize and thereafter lose not more than 1% vacuum pressure per hour over a minimum 4 hour test period. This test must be met or exceed prior to final acceptance.

## **2.04 HIGH DENSITY POLYETHYLENE PIPE**

A. General

1. High density polyethylene pipe shall be Adyl "D" polyethylene pipe manufactured by E.I. DuPont DeNemours and Co., Inc., or "Driscopipe" as manufactured by Phillips Product Co., Inc., or approved equal.

B. Materials for Polyethylene Pipe

1. The polyethylene pipe and fittings shall be made of polyethylene resins classified in ASTM D 1248 as Type III, Category 5, Grade P34 (pipe designation PE 3408 defined per ASTM D 3035 latest revision), having specific base resin densities of 0.942 g/cc minimum and 0.955 g/cc maximum, respectively; and having melt

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indexes of 0.4 g/10 min. maximum and 0.15 g/0.10 min. minimum, respectively.

2. Pipe made from these resins must have a long-term strength rating of 1,600 psi or more.
3. The polyethylene resin shall contain antioxidants and shall be stabilized with carbon black against ultra-violet degradation to provide protection during processing and subsequent weather exposure.
4. The polyethylene resin compound shall have a resistance to environmental stress cracking as determined by the procedure detailed in ASTM D 16930 latest revision, Condition B with sample preparation by procedure C of not less than 200 hours.

C. Polyethylene Pipe and Fittings

1. Polyethylene pipe furnished and installed under this Contract shall be of nominal outside diameter shown on the Drawings, and shall be designed for a normal internal working pressure and earth cover over top of the pipe to suit the conditions of proposed use.
2. Each length of pipe shall be marked, at no more than 10 foot intervals, with the following information:

Nominal pipe size  
Type plastic material - PE3408  
Pipe pressure rating  
Manufacturer's name, trademark and code

3. All pipe shall be made from virgin material. No rework compound.
4. Pipe shall be homogenous throughout, and be free of visible cracks, holes, foreign material, blisters, or other deleterious faults.
5. Fittings for the polyethylene pipe line shall be molded for fabricated from the same material as specified hereinbefore for the high density polyethylene pipe.
6. Fittings for bends 22-1/2 degrees or greater shall be provided as shown on the Drawings. For alignment changes of less than 20 degrees deflection, the pipe may be laid in curves with a radius of 80 feet or greater.
7. All run-of-the-pipe fittings shall be fusion welded into the pipe line. Tee branches shall be of the size shown on the Drawings and shall be furnished with flanged ends per ANSI B-16.1. All fittings shall be factory made.
8. Fittings shall be capable of withstanding the same pressure and loading conditions specified for the pipe.

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9. Wye Branches shall be true wyes.

D. Pipe Jointing

1. Pipe to be joined by leak-proof, thermal, butt fusion joints. All fusion must be done by personnel trained by the pipe supplier using tools approved by the pipe supplier.
2. The fusion machine shall have hydraulic pressure control for fusing 2 pipe ends together; it shall include pressure fusion indicating gauges to correctly monitor fusion pressures. The machines shall be equipped with an electric or gasoline engine powered facing unit to trim irregularities from the pipe ends. The heating plate on the fusion machine shall be electrically heated and thermostatically controlled and shall contain a temperature gauge for monitoring temperature.
3. Joint strength must be equal to that of adjacent pipe as demonstrated by tensile test. In addition, results of tensile impact testing of joint should indicate a ductile rather than a brittle fracture. External appearance of fusion bead should be smooth without significant juncture groove.
4. Threaded or solvent cement joints and connections are not permitted.

E. Joining, Terminating or Adapting by Mechanical Means

1. The polyethylene pipe shall be connected to systems or fittings of other materials by means of an assembly consisting of a polyethylene flange adapter butt-fused to the pipe, a backup ring of either cast iron, steel, or high silica aluminum alloy made to ANSI B-16.1 dimensional standards (with modified pressure ratings), bolts of compatible material (insulated from the fittings where necessary) and a gasket of reinforced black rubber, asbestos-rubber compound or other material approved by the ENGINEER, cut to fit the joint. In all cases, the bolts shall be drawn up evenly and in line.
2. Termination of valves, or fittings such as tees, bonds, etc., made of other materials shall be by the flange assemblies specified hereinbefore. The pipe adjacent to these joints and to joints themselves must be rigidly supported for a distance of one pipe diameter or 1 foot, whichever is greater, beyond the flange assembly.

F. Tools and Procedures

1. Fusion jointing and other procedures necessary for correct assembly of the polyethylene pipe and fittings will be done only by personnel trained in those skills by the pipe supplier.
2. Only those tools designed for aforementioned procedures and approved by the pipe supplier shall be used for assembly of pipe and fittings to ensure proper installation.

2.05 COPPER PIPE AND FITTINGS

- A. Exterior copper pipe shall be Type K pipe (ASTM B88 latest revision), with compression fittings. Joints shall be drawn up firmly and shall be tested before backfilling and any leakage stopped.
- B. Wherever copper pipes pass through walls or floors, they shall have wrought or cast iron sleeves, for easy removal. Pipes passing through structural beams shall be placed as near as possible to the top of the beam under the floor slab.

2.06 UNDERGROUND UTILITY WARNING TAPES

- A. Non-metallic underground utility warning tapes shall be installed directly above all buried pipe.
- B. The tape shall a pigmented polyolefin film with a printed message on one side that is impervious to all known alkalis, acids, chemical reagents and solvents found in the soil.
- C. The minimum overall thickness of the tape shall be 4.0 mils and the width shall not be less than 3” and a minimum unit length of 1000 ft/roll. The tape shall be color coded and imprinted with the message as follows:

Type of Utility	Color Code	Legends
Water	Safety Precaution Blue	Caution Buried Water Line Below
Sewer	Safety Green	Caution Buried Sewer Line Below

- D. Underground marking tape shall be “Terra Tape” as manufactured by Reef Industries, or approved equal.
- E. Installation of marking tapes shall be per manufacturer’s recommendations and shall be as close to the grade as is practical for optimum protection and delectability. Allow a minimum of 18” between the tape and the line.
- F. Payment for detectable tapes shall be included in the linear foot price BID of the piping BID item(s).



## **2.07 DETECTABLE TRACER WIRE AND FLEXIBLE PIPELINE MARKERS**

- A. 10 gauge TRACER WIRE shall be placed directly on top of all pipe and shall be attached to the pipe at 5 ft intervals maximum. Tracer wire segments shall be 800 feet maximum and shall terminate at each air release valve manhole, or a structure the same as a clean-out box. Contractor shall leave three feet of coiled slack at each termination point.
- B. A FLEXIBLE FIBER REINFORCED flat composite pipeline marker shall be installed above the force main approximately every 500 feet at a location designated by the ENGINEER.
- C. The marker shall be manufactured of a fiber reinforced composite material. The reinforcement material shall be comprised of both lineal strands and horizontal mesh mats. The marker post must be flat in shape with rails on both sides. Marker shall be at least 3 <sup>3</sup>/<sub>4</sub>" wide. A 2 <sup>7</sup>/<sub>8</sub>" wide decal must fit on each side of the marker. The back side of the post shall have a rounded rib down the center and two small ribs on the sides to act as guides for the decals. Decals will be placed on both sides to ensure that a warning message can be seen from both directions.
- D. The marker shall be capable of withstanding a minimum of 10 vehicle impacts at 55 M.P.H. with a car bumper.
- E. The marker shall be coated with a coloring which matches the color of the post. The coating shall totally stop ultraviolet light from reaching the resin portion of the post. The coating shall not fade, peel, or blister after a minimum of 2,000 hours in a QUV Weatherometer.
- F. The marker post shall remain flexible from -40° F to +140° F.
- G. Decals shall be fade resistant and remain legible after a minimum of 2,000 hours in a QUV Weatherometer. Decal graphics shall include the international Do0Dig symbol. Decals shall be placed on both sides of the post.
- H. Marker shall be Rhino 3-Rail, with Rhino Force Main Sewer Warning decal GD-5314C, or approved equal.

## **PART 3 EXECUTION**

### **3.01 LAYING PIPE IN COMMON TRENCH**

- A. Pipelines, force mains and sewers laid in same trench shall, in all cases, be laid on original earth, regardless of divergence in their elevations. Pipe shall never be laid in backfill or one above the other. The CONTRACTOR shall include payment for all trenching and backfilling in his lump sum bid.

### **3.02 PRESSURE PIPE INSTALLATION - GENERAL**

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A. General

1. Pipe shall be handled with such care as necessary to prevent damage during installation. The interior of the pipe shall be kept clean and the pipe shall be installed to the lines and grades shown on the Drawings. Pipe shall be installed according to instructions and with tools recommended by the manufacturer. Whenever pipe laying is stopped, the end of the pipe shall be securely plugged or capped.
2. Ductile Iron fittings only shall be used with the PVC pipe.
3. Mechanical joint fittings shall be used with underground pipe.
4. Fittings less than 4-inches in diameter shall be of the mechanical joint type and be firmly blocked to original earth or rock to prevent water pressure from springing pipe sideward or upward. Concrete or other blocking material approved by the ENGINEER shall be placed such that it does not cover the pipe joints, nuts, and bolts.
5. Fittings 4-inches in diameter and greater shall be of the mechanical joint type and firmly restrained to prevent water pressure from springing pipe sideward or upward. The mechanical restraint shall be the Series 2000PV produced by EBAA Iron, Inc. or approved equal.
6. Pipes shall be free of all structures other than those planned. Openings and joints to concrete walls shall be constructed as shown on the Drawings.
7. Ductile iron or steel pressure pipe, 4 inch diameter or larger, entering a structure below original earth level, unsupported by original earth for a distance of more than 6 feet shall be supported by Class "2500" concrete, where depth of such support does not exceed 3 feet, and by Class "4000" concrete piers each 6 feet, where depth exceeds 3 feet. All other pressure pipe entering buildings or basins below original earth and having a cover of more than 24 inches of earth, or under roadway, shall be supported as shown in detail on the Drawings. All piers required will be paid for in accordance with the appropriate specification hereinbefore. Class "2500" concrete required will be included in the payment for furnishing and laying the particular pipe, in order to discourage excessive excavation outside the limits of structures. Pipes entering structures shall have flexible joint within 18 inches of exterior of structure, and also from point of leaving concrete support to original earth or crushed stone bedding.

B. Pressure Pipe Laying

1. Pressure pipe shall first be thoroughly cleaned at joints, then joined according to instructions and with tools recommended by the manufacturer. A copy of such instructions shall be available at all times at the site of the work.

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2. All pipes must be forced and held together, or “homed” at the joints, before sealing ground level and unsupported by original earth for a distance of more than 6 feet shall be supported by concrete to original ground where depth of such support does not exceed 3 feet. When depth exceeds 3 feet, beams with piers shall be used for support.
3. Trench excavation for pipe laying must be of sufficient width to allow the proper jointing and alignment of the pipe. Trenches in earth or rock shall be dug deep enough to ensure 30” minimum cover over top of the pipe, unless otherwise indicated on the Drawings.
4. Trench line stations shall be set ahead of the trenching at least each 100 feet of pipeline. Trenches shall be dug true to alignment of stakes. Alignment of trenches or pipes in trench must not be changed to pass around obstacles such as poles, fences and other evident obstructions without the approval of the ENGINEER. Lines will be laid out to avoid obstacles as far as possible, consistent with maintenance of alignment necessary to finding the pipeline in the future and avoiding obstruction of future utilities and structures.
5. Cut pieces of pressure pipe 18” or more in length may be used in fitting to the specials and valves and fitting changes in grade and alignment. Cut ends shall be even enough to make first class joints.

C. Testing Pressure Pipe

1. Pressure and leakage tests shall be conducted in accordance with ANSI/AWWA C600.
2. The CONTRACTOR shall furnish all necessary equipment for pressure testing.
3. Inspection of pipe laying shall in no way relieve the CONTRACTOR of the responsibility for passing tests, stopping leakage, or correcting poor workmanship.
4. Underground pipelines will not be finally accepted until leakage is less than allowable by ANSI/AWWA C600. In case leakage exceeds this amount, the CONTRACTOR shall locate and repair leaks until the entire pipeline will pass the required test. All leakage shall be stopped in exposed piping. The pumping equipment shall be disconnected during test.
5. The CONTRACTOR shall furnish meter or suction tank, pipe test plugs and bypassing piping and make all connections for conducting the above tests. The pumping equipment used shall be compressed air, centrifugal pump or other pumping equipment which will not place shock pressures on the pipeline. Power

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plunger pumps will not be permitted or us on closed pipe system for any purpose.

### 3.03 DUCTILE IRON PIPE INSTALLATION

- A. Pipe shall be handled with such care as necessary to prevent damage during installation. The interior of the pipe shall be kept clean and the pipe shall be laid to the lines and grades shown on the Drawings and/or as established by the ENGINEER.
- B. Whenever pipe laying is stopped, the end of the pipe shall be securely plugged or capped. Care should be taken to prevent flotation of pipe in the event the trench should flood.
- C. Fitting shall be firmly blocked to original earth or rock to prevent water pressure from springing pipe sideward or upward. Concrete or other blocking material shall be placed such that it does not cover the pipe joints, nuts and bolts.
- D. Pipes shall be free of all structures other than those planned. Openings and joints to concrete walls shall be constructed as shown on the Drawings. Any cast iron pipe entering a structure below original ground level and unsupported by original earth for a distance of more than 6 feet shall be supported by concrete to original ground where depth of such support does not exceed 3 feet. When depth exceeds 3 feet, beams with piers shall be used for support.
- E. All pipes entering buildings or basins below original earth level, which have less than 6 feet span between wall and original earth and having a cover of more than 24 inches of earth, or under roadway, must be adequately supported as approved by the ENGINEER or shown on the Drawings. All such supports are to be included in the contract price and no extra payment will be made for same.
- F. Pipes entering structures shall have a flexible joint within 18" of exterior of structure, or from point of leaving concrete support to original earth or rock bedding.
- G. Cast iron pipe shall be thoroughly cleaned at joints, then joined according to instructions and with tools recommended by the manufacturer.
- H. All pipes must be forced and held together, or "homed" at the joints, before sealing or bolting. Pipe must be aligned as each joint is placed, so as to obtain straight lines and grades. Curves and changes in grades shall be laid in such a manner that maximum allowable joint deflection is not exceeded.
- I. Cut pieces of cast iron pipe 18" or more in length, may be used in connecting valves and fittings and for changes in grade and alignment. Cut ends shall be even enough to make first class joints.

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- J. Sufficient excavation for bell holes will be required for tightening of bolts. No pipe shall be laid resting on rock, blocking, or other unyielding objects except where laid above ground on piers or in permanent tunnels.

### 3.05 HIGH DENSITY POLYETHYLENE PIPE INSTALLATION

#### A. General

1. High density polyethylene pipe shall be installed in strict accordance with the manufacturer's recommendations and these Specifications.
2. The CONTRACTOR shall have the manufacturer furnish all necessary technical assistance, installation instruction and jointing supervision required to ensure that the pipe is properly installed. The CONTRACTOR shall furnish the services of a technical representative of the manufacturer to supervise the joining, bedding, laying and backfilling of at least the first 200 feet of pipe.
3. Upon satisfactory completion of the initial jointing, bedding, laying and backfilling of the first 300 feet of pipe, the CONTRACTOR shall furnish the ENGINEER a written statement from the manufacturer's technical representative certifying that he has witnessed the work in progress and approves the techniques being used and the results obtained by the CONTRACTOR.
4. The manufacturer's technical representative shall have had previous experience with similar work, and be fully qualified to supervise and demonstrate proper procedures for jointing and laying the high density polyethylene pipe.

#### B. Bedding

1. The laying condition for the high density polyethylene pipe will be on a 6" pad of loose soil with mechanically compacted earth (to a 90 percent of maximum density as determined by Standard Proctor density test) to the centerline of the pipe.
2. At the CONTRACTOR'S option, he may substitute a 6" pad of No. 8 crushed stone below the bottom of the pipe and backfill to the centerline of the pie with No. 8 crushed stone.

#### C. Grade and Alignment

1. Polyethylene pipe shall be laid to predetermined grades and lines as indicated by the Contract Drawings. Grade lines shall be established either by means of offset grade stakes or by direct levels.

### 3.06 INSTALLING FLANGED OR THREADED PIPE AND FITTINGS

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- A. The CONTRACTOR shall clean off all rust and dirt and paint all threads with red lead, before assembling, and the pipe shall be installed with flanges and pipes plumb and level, showing no leakage. Unions shall be included in threaded pipe runs to allow for easy removal of pipes. All valve operating devices shall be in locations and of types shown on the Drawings. They shall be accurately plumbed, leveled, supported and braced for smooth operation. Flanged joints shall be assembled with appropriate flanges, gaskets, and bolting. The clearance between flange faces shall be such that the connections can be gasketed and bolted tight without imposing undue strain on the piping system. Flange faces shall be parallel and the bores concentric; gaskets shall be centered on the flange faces so as not to project into the bore. Bolting shall be lubricated before assembly to ensure uniform bolt stressing. The flange bolts shall be drawn up and tightened in staggered sequence in order to prevent unequal gasket flange spacing. When a raised face is joined to a companion flange with a flat face, the raised face shall be machined down to a smooth matching surface and a full face gasket shall be used.

### 3.08 PVC PIPE INSTALLATION

PVC pipe shall be installed in accordance with the manufacturer's instructions and the "General" provisions under 3.01 and 3.02 in this Section.

### 3.09 STERILIZATION OF POTABLE WATER PIPE

- A. Upon completion of the work and cleaning up, and prior to final acceptance, the CONTRACTOR shall sterilize all new distribution system improvements which will be in contact with drinking water, including potable water pipe and connections thereto (including pumps and pump piping).
- B. Sterilization shall be accomplished by filling the facilities with water containing at least fifty (50) parts per million available chlorine utilizing a contact time of 24 hours. A residual of at least 25 parts per million, at the end of the 24 hour contact time, is required. No portion of the new work shall be placed in service prior to sterilization. At the end of the sterilization period, all sterilized surfaces and areas shall be thoroughly flushed with treated water and drained from the system, as directed by the OWNER.
- C. CONTRACTOR shall make an allowance in his bid to cover cost of filling the new water mains. The CONTRACTOR shall be billed for all water used for the construction and testing at a rate equal to the rate that the OWNER must pay the supplier.
- D. CONTRACTOR will be responsible for notifying the Health Department to observe sterilization test and shall be responsible for all sampling, including coordination, mailing and retesting, if required.

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### 3.10 Testing Pressure Pipe

1. Pressure and leakage tests shall be conducted in accordance with ANSI/AWWA C600.
2. The CONTRACTOR shall furnish all necessary equipment for pressure testing.
3. Inspection of pipe laying shall in no way relieve the CONTRACTOR of the responsibility for passing tests, stopping leakage, or correcting poor workmanship.
4. The piping shall be complete, and thrust blocks shall have been in place for less than 10 days prior to be tested.
5. Piping shall be tested at a static pressure of 150 pounds per square inch over a period of not less than eight consecutive hours. The test will be considered successful when the pressure drop over the test period is 5 psi or less. If the pressure drop exceeds 5 psi, repair the leaks and repeat the test. After repairs have been made the test shall be conducted, again. Piping will be accepted once pressure loss does not exceed 5 psi.
6. Underground pipelines will not be finally accepted until leakage is less than allowable by ANSI/AWWA C600. In case leakage exceeds this amount, the CONTRACTOR shall locate and repair leaks until the entire pipeline will pass the required test. All leakage shall be stopped in exposed piping. The pumping equipment shall be disconnected during test. Allowable leakage is calculated by the following:

L: Allowable leakage, gallons per hour  
S: Length of pipe, feet  
D: Nominal diameter, inches  
P: Average test pressure, psi

$$L = \frac{(SD\sqrt{P})}{133,200}$$

7. The CONTRACTOR shall furnish meter or suction tank, pressure recorder, pressure gauges, pipe test plugs and bypassing piping and make all connections for conducting the above tests. The pumping equipment used shall be compressed air, centrifugal pump or other pumping equipment which will not place shock pressures on the pipeline. Power plunger pumps will not be permitted or used on closed pipe system for any purpose.

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3.10 BASIS FOR PAYMENT

Piping shall be paid for at the unit price bid or lump sum bid and shall include all work incidental to making a complete installation such as excavation, bedding, backfill, painting, testing, disinfection, cleanup, seeding, paving, etc.

END OF SECTION



## **SECTION 02900**

### **LANDSCAPING**

#### **PART 1 GENERAL**

##### **1.01 DESCRIPTION OF WORK**

- A. Landscape development work in this phase is generally limited to seeding and sodding.

##### **1.02 RELATED WORK**

- A. Sub-grade elevations, excavation, filling, and grading required to establish elevations shown on Drawings are not specified in this Section. Refer to this Division, Section 02200.
- B. Erosion and sediment control are included in this Division, Section 02270.

##### **1.03 SCOPE OF WORK**

- A. Sod shall be placed on all slopes steeper than 3:1 except for dam embankment slopes. All other surfaces including dam embankment slopes shall be fertilized and seeded as specified hereinafter, except for those surfaces to be paved or rip-rapped.
- B. Fertilizing and seeding shall be performed on all disturbed areas within the limits of work of this contract which are not specified to be sodded and are not occupied by structures, road, concrete slab walls, etc. or within the impoundment area.

#### **PART 2 PRODUCTS**

##### **2.01 QUALITY OF SOD**

- A. Sod shall be well-rooted Kentucky Blue Grass sod or other approved pasture sod, completely free from noxious weeds. and reasonably free from objectionable grasses, weeds and stones or other foreign materials. The source of the sod shall be available for inspection and approval by the ENGINEER prior to stripping.
- B. Sections of sod stripped may vary in length not to exceed 8 feet but shall be of uniform width of not less than 10 inches nor more than 18 inches, and shall be cut to a depth of not less than 1 inch and not more than 2 inches. The above widths and lengths are required to ensure proper handling without undue tearing and breaking. Sod from light sand or heavy clay will not be accepted. When cut in strips, the sod shall be rolled with the grass folded inside. The sod shall be cut by means of an approved mechanical sod cutter. During dry weather, the sod shall be watered before stripping to ensure its vitality and to prevent the loss of

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soil from the roots. Sod shall be rejected if permitted to decay or dry out to the extent that, in the judgment of the ENGINEER, its survival is doubtful.

## 2.02 PLACING SOD

- A. The sod bed shall be shaped to a smooth even surface and shall be graded such that the sod, when in place, shall be flush with any adjacent turfed area, pavement or other structures, except when otherwise directed by the ENGINEER. Prior to placing of the sod, fertilizer (10-20-10 - Ratio - 25 lbs. per one thousand square feet), Agricultural Limestone (Ratio - 75 lbs. per one thousand square feet), shall be applied, harrowed, raked or otherwise incorporated into the soil. After application of above, the sod bed, if dry, shall be moistened to the loosened depth.
- B. No sod shall be placed when the temperature is below 32°F. No frozen sod shall be placed, nor shall any sod be placed on frozen soil. Sod shall not be placed during extremely dry weather unless authorized, in writing, by the ENGINEER and provided that immediately after placing, the wood is covered with a 1 inch thickness of straw mulch.
- C. The sod shall be carefully placed by hand so that each section closely joins the adjacent sections without overlapping. All open spaces or gaps shall be plugged with sod cut to the same size and shape.
- D. The sod, after it is placed, shall be wetted thoroughly and tamped or rolled to incorporate the roots with the sod bed and to ensure tight joints between strips.
- E. All sodded areas shall be kept thoroughly moist for 2 weeks after sodding.

## 2.03 FERTILIZING AND SEEDING

- A. This work consists of furnishing all labor, equipment and materials and in performing all operations in connection with the fertilizing and seeding of all the finished graded areas not specified to be sodded or occupied by structures, roads, concrete slabs, sidewalks, walls, etc., and including grassed areas destroyed or damaged by the CONTRACTOR.
- B. The areas to be seeded shall be thoroughly tilled to a depth of at least 4" by deicing, harrowing, or other approved methods until the condition of the soil is acceptable to the ENGINEER. After harrowing or deicing, the seed bed shall be dragged and/or hand raked to finished grade.
- C. Fertilizer shall be 25 lbs. of 10-20-10 or equivalent per 1,000 square feet. The incorporation of the fertilizer and the agricultural lime (Ratio - 75 lbs. per one thousand square feet) may be a part of the tillage operation and shall be applied not less than 24 hours nor more than 48 hours before the seed is to be sown.

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D. The seed mixture to be sown for dry land areas shall be in the following proportions:

Common Name	Proportion By Weight	% of Purity	% of Germination
Kentucky Bluegrass	40	90	85
Chewings Fescue	25	90	85
Italian Rye Grass	20	90	85
Red Top	10	90	85
White Clover	5	95	90

The seed mixture for stream bank and wet soil areas shall be in the following proportions and applied at the noted rates:

Scientific Name	Common Name	Pure Live Seed (PLS) Ounces/Acre
<i>Andropogon gerardii</i>	Big bluestem grass	66
<i>Calamagrostis canadensis</i>	Blue joint grass	4
<i>Elymus canadensis</i>	Canada wild rye	16
<i>Panicum virgatum</i>	Switch grass	2
<i>Sorghastrum nutans</i>	Indian grass	2
Scientific Name	Common Name	Pure Live Seed (PLS) Ounces/Acre
<i>Spartina pectinata</i>	Prairie cord grass	6
<i>Agrostis alba</i>	Redtop	8
<i>Avena sativa</i>	Seed oats	360
<i>Lolium multiflorum</i>	Annual rye	100
<i>Phleum pratense</i>	Timothy	20
<i>Aster ericoides</i>	Heath aster	2
<i>Aster novae-angliae</i>	New England aster	1.25
<i>Baptisia leucantha</i>	White wild indigo	1.5
<i>Cassia fasciculata</i>	Partridge pea	3.5
<i>Coreopsis tripteris</i>	Tall coreopsis	1.25
<i>Desmodium illinoense</i>	Illinois tick trefoil	1
<i>Eryngium yuccifolium</i>	Rattlesnake master	3
<i>Gentiana andrewsii</i>	Bottle gentian	1
<i>Helenium autumnale</i>	Sneezeweed	1.25
<i>Helianthus grosseserratus</i>	Sawtooth sunflower	2

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<i>Lespedeza capitata</i>	Round-headed bush clover	3
<i>Liatris spicata</i>	Marsh blazing star	4
<i>Monarda fistulosa</i>	Prairie bergamot	0.75
<i>Parthenium integrifolium</i>	Wild quinine	2.5
<i>Physostegia virginiana</i>	False dragon; Obedient plant	1
<i>Pycnanthemum virginianum</i>	Common mountain mint	0.5
<i>Ratibida pinnata</i>	Yellow coneflower	3.5
<i>Rudbeckia hirta</i>	Black-eyed susan	1.5
<i>Rudbeckia laciniata</i>	Wild golden glow	2
<i>Rudbeckia subtomentosa</i>	Sweet black-eyed susan	1.25
<i>Silphium integrifolium</i>	Rosin weed	2
<i>Silphium laciniatum</i>	Compass plant	3
<i>Silphium perfoliatum</i>	Cup plant	3
<i>Silphium terebinthinaceum</i>	Prairie dock	2
<i>Solidago juncea</i>	Early goldenrod	2
<i>Solidago rigida</i>	Stiff goldenrod	2
<i>Solidago rugosa</i>	Rough goldenrod	2.5
<i>Tradescantia ohioensis</i>	Common spiderwort	1.25
<i>Vernonia altissima taeniotricha</i>	Hairy tall ironweed	3
<i>Veronicastrum virginicum</i>	Culver's root	1
<i>Zizia aurea</i>	Golden alexanders	0.5

- E. All seed shall be fresh and clean and shall be delivered mixed, in unopened packages, bearing a guaranteed analysis of the seed and mixture.
- F. Seed shall be broadcast either by hand or approved sowing equipment at the rate of ninety (90) pounds per acre (two pounds per 1,000 square feet), uniformly distributed over the area. Broadcasting seed during high winds will not be permitted. The seed shall be drilled or raked into a depth of approximately 1/2 inch and the seeded area shall be lightly raked to cover the seed and rolled. Drill seeding shall be done with approved equipment with drills not more than 3 inches apart. All ridges shall be smoothed out, and all furrows and wheel tracks, shall be removed.
- G. Seed may be sown during the following periods:

February 1 to April 15  
August 15 to October 15
- H. Seed may not be sown at any other time except with the written approval of the ENGINEER.
- I. After the seed has been sown, the areas so seeded shall be mulched with clean straw at the rate of one (1) bale per 2,000 feet (approximately 1

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inch loose depth). Mulch on slopes shall be held in place with binder twine staked down at approximately 18 inch centers or by other equally acceptable means.

- J. Areas seeded shall be protected until a uniform stand develops, when it will be accepted and the CONTRACTOR relieved of further responsibility for maintenance. Displaced mulch shall be replaced or any damage to the seeded area shall be repaired promptly, both in a manner to cause minimum disturbance to the existing stand of grass. If necessary to obtain a uniform stand, the CONTRACTOR shall re-fertilize, re-seed and re-mulch as needed. Scattered bare spots up to one (1) square yard in size will be allowed up to a maximum of 10 percent of any area.

### **PART 3 EXECUTION**

#### **3.01 SEQUENCE OF WORK**

- A. All finish grading in a general area shall be complete before sodding or fertilizing and seeding begins.

#### **3.02 BASIS FOR PAYMENT**

- A. Payment for sod or fertilizing and seeding shall be made on a unit price or a lump sum basis where a separate bid item is provided. Otherwise payment for all landscaping required for other work, such as structures, pipelines, etc., shall be made on a unit price or lump sum basis bid for that work.

END OF SECTION

## **SECTION 05540**

### **CASTINGS**

#### **PART 1 GENERAL**

##### **1.01 SCOPE OF WORK**

- A. Furnish all labor, materials, and equipment required to install castings as shown on the Drawings and specified herein. Included in this section are manhole covers, steps, valve boxes, and hatch covers.

##### **1.02 RELATED WORK NOT INCLUDED**

- A. Concrete work is included in Division 3.
- B. Surface preparation and furnishing of castings is included in Division 9, Section 09900.

##### **1.03 SUBMITTALS**

The CONTRACTOR shall submit to the ENGINEER, in accordance with Division 1, Section 01300, copies of construction details of castings proposed for use.

#### **PART 2 MATERIALS**

##### **2.01 GENERAL**

- A. All castings shall be gray iron, conforming to the requirements of the ASTM Standards, Designation A48 - latest revision, Class 35B.

##### **2.02 MANHOLE CASTINGS**

- A. Frames and Covers
  - 1. Sanitary sewer manhole castings shall consist of cast iron frames and 22-3/4 inch diameter covers, having a combined weight of not less than 350 pounds for out of traffic locations and 460 pounds for traffic locations. The frame shall be at least 7 inches high overall. Manhole covers must set neatly in the frame, with contact surfaces machined smooth for even bearing. The top of the cover shall be flush with the frame edge. The top of the cover shall sufficient corrugations to prevent slipperiness and be marked in large letters "SANITARY SEWER." Covers shall have one pick hole only, about 1-1/2 inches wide and 3/4 inch deep with 3/8 inch square undercut at rear and 3/4 inch square undercut on sides. Covers on sanitary sewer manholes must not be perforated and shall be as manufactured by J.R. Hoe & Sons, Inc. or approved equal.

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2. Storm sewer manhole castings shall consist of cast iron frames and 22-3/4 inch diameter grate type covers, having a combined weight of not less than 460 pounds. The frames shall be at least 7 inches high overall. Manhole covers must set neatly in the frame with contact surfaces machined smooth for even bearing. The top of the cover shall be flush with the frame edge. The castings shall be Neenah Foundry Company with type "D" grate, or approved equal.

B. Steps

1. Cast iron or polypropylene plastic encapsulated steel manhole steps shall be patterns shown on the detail Drawings, and have corrugated treads. In case of need for non-protruding steps, shop drawings of special inset cast iron steps shall be reviewed by and be acceptable to the ENGINEER.
2. If a step constructed of another material is going to be considered, shop drawings will need to be submitted far enough in advance to allow consideration.
3. It is intended that the cast iron step be Neenah Foundry Company's R-1980-E, or equal, and the polypropylene plastic encapsulated steel step be M.A. Industries PS-1, or equal.

2.03 VALVE BOXES

A. Slip Type for Iron Body Gate Valves

1. Valve boxes for 2 inch through 10 inch valves shall be the 2 piece slip type, without screw, of sufficient length to allow for 36 inches of cover over the top of the pipe, Tyler 6855 series, model #562-A, or approved equal. The inner section shall have a minimum inside diameter of 5-1/4 inches with a hood type base that will cover the packing gland on a 2 inch through 10 inch valve (minimum of 8 inches inside diameter). The base of the top section shall be flanged at least 1-1/4 inches. The caps shall be circular with a corrugated surface and have pick holes in the periphery and be marked "Water", "Gas", "Sewer", or "Air" according to use. For 12 inch through 16 inch valves, the valve boxes shall be Opelika Foundry Company No. 4907 for cast iron or approved equal.
2. Valve boxes for valves in the horizontal position shall be Opelika Foundry Company No. 4907 for cast iron or approved equal, with a base that is sized to allow covering of the bevel gear case and centering of the operating nut in the valve box.

**PART 3 EXECUTION**

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3.01 INSTALLATION

- A. The installation of castings is generally covered under specifications for pipe work and manholes. Castings shall be leveled, plumbed, secured, and installed in accordance with the Drawings.

END OF SECTION



## **SECTION 15100**

### **SMALL PLUMBING VALVES, PLUMBING SPECIALTIES AND SERVICE ACCESSORIES**

#### **PART 1 GENERAL**

##### **1.01 WORK INCLUDED**

- A. Furnish all labor, materials, equipment, and incidentals required, and install complete and ready for operation, all valves and appurtenances as show on the Drawings and as specified herein.

##### **1.02 RELATED WORK**

- A. Excavation, backfill and grading are included in Division 2
- B. Painting is included in Division 9, Section 09960.
- C. Electrical is included in Division 16.

##### **1.03 SYSTEM DESCRIPTION**

- A. All of the equipment and materials specified herein is intended to be standard for use in controlling the flow of wastewater, sludge, water, air or chemicals, depending on the applications.

##### **1.04 QUALITY ASSURANCE**

- A. All of the types of valves and appurtenances shall be products of well established firms who are fully experienced, reputable and qualified in the manufacture of the particular equipment to be furnished. All materials of construction shall be of an acceptable type and shall be designated for the pressure and temperature at which they are to be operated, for the materials they are to handle and for the use for which they are intended. The materials shall meet established technical standards of quality and strength necessary to assure safe installations and conform to applicable standards. The equipment shall be designed, constructed and installed in accordance with the best practices and methods and shall comply with these Specifications as applicable.

##### **1.05 REFERENCES**

- A. Kentucky Basic Building Code.
- B. Kentucky State Plumbing Law, Regulations and Code

##### **1.06 SUBMITTALS**

- A. Copies of all materials required to establish compliance with these Specifications shall be submitted in accordance with the provisions of Division 1, Section 01300. Submittals shall include at least the following:
  - 1. Certified drawings showing all important details of construction and dimensions.

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2. Descriptive literature, bulletins, and/or catalogs of the equipment.
  3. The total weight of each item.
  4. A complete total bill of materials.
  5. A list of the manufacturer's recommended spare parts.
- B. O&M instructions shall conform to Article 5 of the General Conditions and the particular requirements of the individual sections.

1.07 OPERATING INSTRUCTIONS

- A. Operating and maintenance instructions shall be furnished to the ENGINEER as provided in Division 1. The instructions shall be prepared specifically for this installation and shall include all required cuts, drawings, equipment lists, descriptions, etc., that are required to instruct operating and maintenance personnel unfamiliar with such equipment.

**PART 2 PRODUCTS**

2.01 MATERIALS AND EQUIPMENT

- A. General
1. All valves and appurtenances shall be of the size shown on the Drawings and as far as possible all equipment of the same type shall be from one manufacturer.
  2. All valves and appurtenances shall have the name of the maker, flow directional arrows, and the working pressure for which they are designed cast in raised letters on some appropriate part of the body.
  3. All buried valves shall open left (counterclockwise). Insofar as possible, all valves shall open counterclockwise.

2.02 VALVES

A. Plug Valves

Eccentric plug valves shall be used in shut-off applications for pump stations and where the valves are scheduled for infrequent use.

Eccentric plug valves 3 to 12 inches in diameter shall be rated for 175 psi working pressure. The body and cover shall be cast iron conforming to ASTM A126, Class B. Flange ends shall comply with ANSI B16.1, Class 125 standards. Mechanical joint ends shall comply with AWWA C11/ANSI 21.11. The entire seat surface shall be protected by a welded nickel seat of minimum 1/8" thickness. The plug shall be cast iron ASTM A126, Class B. The portion of the plug in the valve body cavity shall be coated with Buna-N rubber using an injection-mold process. Valve bonnet shall be full sealed and bolted to the body for ease of maintenance. The seal between the body and the bonnet shall be an O-ring. Stem packing shall be Buna-N multiple "V" ring stem packing seals, conforming to AWWA C504 and AWWA C507 standards. The packing seal shall be held in place with an adjustable gland follower. Shaft bearings shall be

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sintered 316 stainless steel for both the upper and lower trunnions. Bearings shall be permanently lubricated. 3" valves shall be quarter-turn and shall be supplied with a position indicator marked at 10 degree increments. Valves 4" and larger shall be equipped with a worm gear operator. Eccentric plug valves shall be Clow F-5412, F-5413 or approved equal.

B. Ball Valves

1. Ball Valves for Wastewater Service

Ball valves shall be rated for a minimum of 225 psi working pressure. Valves 2 inch and smaller shall be PVC body construction, with EPDM seals, PTFE ball seats, double stem seals. Valves shall operate at full port when open, be a true union with solvent cement socket ends. The valves shall be manufactured by George Fischer, Hayward or approved equal. Ball valves shall normally be used in quick shut-off and frequent use applications.

2. Ball Valves for Water Service

Ball valves shall be for 125-pound water working pressure, 2 inches and smaller, standard bronze construction, with precision machined bronze ball, twin Buna-N seats, and handle operator with integral stop where exposed. Buried ball valves shall be as above with key or nut operators. Valves shall be Lunkenheimer No. 700-SB, Ford, or approved equal.

C. Gate Valves

Gate valves shall be used in shut-off applications and where the valves are scheduled for infrequent use.

1. Gate Valves for Water

a. Gate valves shall be for 125-pound water working pressure, 2-1/2 inches and 3 inches for air release. Valves 3 inches and smaller shall be standard brass construction, rising stem, double disc, parallel seat, with handwheel where exposed or key operated when in the ground. The valves shall be Crane No. 440, Jenkins 62U or approved equal.

b. In copper-solder-joint piping, Chase Style 1334 or approved equal, gate valves are preferred with solder joint connections.

D. Swing Check Valves

Check valves for cast iron and ductile iron pipelines shall be swing type and shall meet the material requirements of AWWA Specification C508-latest revision. The valves shall be cast iron body with reinforced 125 lb flanges conforming to ANSI B 16.1. Valves shall be single disc with Buna-N seat, stainless steel hinge pin, 150 psi working water pressure, non-shock, and hydrostatically tested at 300 psi. The valves shall be manufactured by Clow, Kennedy or approved equal.

1. When there is no flow through the line, the disc shall hang lightly against its seat in practically a vertical position. When open, the disc shall swing clear of the water-way.

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2. Valves shall be so constructed that disc and body seat may easily be removed and replaced without removing the valve from the line. Valves shall be fitted with an extended hinge arm with outside lever and adjustable weight.

E. Y Check Valves

Check valves for PVC pipelines shall be Y-type. The valves shall be PVC body with Viton seals, rated for 150 psi working water pressure. The disk guide shall be a PVC coil. The valves shall be manufactured by George Fischer, Hayward, or approved equal.

1. Valves shall be so constructed that the plunger assembly can be easily accessed for cleaning.
2. Valves shall be so constructed such full flow may be achieved. Minimal back pressure shall be necessary to seat the plunger.

F. True-Union Diaphragm Valves (Type 14)

Type 14 True Union diaphragm valves (sizes ½" to 2") shall be of solid thermoplastic construction for body and bonnet with socket, threaded or butt end connectors. The valves shall come standard with a position indicator, travel stop and bonnet O-ring sealing arrangement. The valve shall be weir type with a square bonnet body sealing design and bayonet connection diaphragm. All PTFE diaphragms shall accept the installation of a PVDF gas barrier between the layers of EPDM and PTFE for aggressive chemical service. PVC conforming to ASTM D1784 Cell Classification 12454-A, CPVC conforming to ASTM D1784 Cell Classification 23567-A, PP conforming to ASTM D4101 Cell Classification PP0210B67272, PPG (Bonnet Only) conforming to ASTM D4101 Cell Classification PP0110M20A21130, and PVDF conforming to ASTM D3222 Cell Classification Type II. PVC, CPVC, PP and PVDF shall be rated to 150 psi for elastomeric and PTFE diaphragms at 70 degrees F, as manufactured by Asahi/America, Inc., or approved equal.

1. Operator shall be handwheel standard operator, with position indicator.
2. Valves shall have a pressure rating of: 150 psi at 70° F

G. Sewage Air/Vacuum Valves

1. Sewage Air/Vavuum Valves shall be furnished and installed at the locations shown on the PLANS. The valves shall be ARI sewage air/vacuum valves as manufactured by A.R.I. Flow Control Accessories, Kfar Charuv, 12932 Israel, or approved equal.
2. The valves shall be the size shown on the PLANS and be A.R.I. Model D-025 or approved equal.
3. The valves shall be designed to allow entrapped air to escape from the pipeline when pumps are started and close water tight when liquid enters the valves. When the sewage line is filled, the valves shall allow air to reenter when draining, to prevent vacuum or water column separation. The valves shall allow unrestricted venting or re-entry of air through it,

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during filling or draining of the force main. The complete valve shall withstand 500 psi test pressure.

4. Inlet and outlet blow off valves, and five (5) feet of hose for flushing shall be provided with each valve. Fittings shall be  $\frac{3}{4}$ " hose connections.
5. The body, cover and baffle of each valve assembly shall be constructed of cast iron, conforming to ASTM A126 GR.B. The upper float shall be constructed of stainless steel conforming to ASTM A240. The lower float shall have a concave underside, and shall be constructed of stainless steel and conform to ASTM S240, Series T304. The stem and guide bushing shall be constructed of stainless steel, Series T300. The seat shall be constructed of Buna-N rubber. The valve shall be delivered coated with red oxide primer.

G. Air Release Valves

1. Air Release Valves shall be furnished and installed at the locations shown on the PLANS. The valves shall be A.R.I. sewage air release valves as manufactured by A.R.I. Flow Control Accessories, Kfar Charuv, 12932 Israel or approved equal.
2. The valves shall be the size shown on the PLANS and be A.R.I. Model S-020 or approved equal.
3. The valves shall be designed to allow entrapped air to escape from the pipeline when pumps are started and close water tight when liquid enters the valves. The complete valve shall withstand 500 psi test pressure.
4. Inlet and outlet blow off valves, and five (5) feet of hose for flushing shall be provided with each valve. Fittings shall be  $\frac{3}{4}$ " hose connections.
5. The body, cover and baffle of each valve assembly shall be constructed of cast iron, conforming to ASTM A126 GR.B. The float shall have a concave underside, and shall be constructed of stainless steel and conform to ASTM S240, Series T304. The stem and guide bushing shall be constructed of stainless steel, Series T300. The seat shall be constructed of Buna-N rubber. The valve shall be delivered coated with red oxide primer.

H. Mud Valves

1. Mud valves shall be of the iron body, bronze mounted type with non-rising stems, flanged ends, extension stem with t-bar. The frame, yoke and gate shall be sturdily proportioned for strength and rigidity and be of cast iron conforming to ASTM specifications A126, Class B. the stem, stem nuts and seats shall be bronze. The stem shall be machined with accurately cut threads. The valves shall be Troy-Valve A-25600, or approved equal.

I. Water-Pressure Reducing Valves

1. Individual pressure reducing valves for water service are described in Section 02640, "Meters, Individual Pressure Reducing Valves, and Service Lines."

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J. Yard Hydrants

1. Above ground yard hydrants shall be of the anti-freezing, non-pollutable type, 1-1/2" size for 30" cover over water service line. The yard hydrant assembly shall include a ball-wheel handle, vacuum breaker, 1-1/2" hose connection, and double-ball check valve on the drain. The operating valve shall be located at the bottom of the hydrant assembly. When the operating valve is turned off it shall allow the water remaining in the supply line in the hydrant above the valve to drain from the hydrant by means of a by-pass in the valve stem. The hydrant handle, casing, and base shall be cast iron, and the operating valve red brass.
2. The yard hydrant shall be Murdock BFHM-150, 1-1/2" or approved equal.
3. All hydrants shall be furnished with anti-siphon vacuum breaker.

K. Freezeless Wall Hydrants

1. Freezeless wall hydrants shall be Woodford Model 65 with 1" brass casing pipe, 3/4" copper water tube inlet, polished brass finish, and 3/4" male hose thread, Zurn, or approved equal. Two operating keys shall be provided.

L. Hose and Nozzles

1. Hose
  - a. Furnish 3/4-inch and 1-1/4 inch hose as indicated below. The 3/4 inch hose for hose stations shall be heavy-duty rubber, Gates Figure 35B, or approved equal. Hose for yard hydrants shall be as above in 1-1/4 inch size.
  - b. Furnish one 3/4" x 50' hose for each 3/4" hose station and one 1-1/4" x 75' hose for each yard hydrant.
  - c. Furnish 1-1/2" x 1-1/4" reducing adaptors for connecting each 1-1/4" hose to each 1-1/2" hydrant.
2. Nozzles
  - a. Furnish 1-1/4" x 8" cast plain brass nozzles for each yard hydrant, and 3/4-inch nozzles for each hose station. The 1-1/4-inch nozzles shall be Akron Brass, or approved equal; and the 3/4-inch nozzle for hose stations shall be Leonard N-2, or approved equal.

M. Strainers, Filters, and Dryers

1. Strainers for Water Service
  - a. Strainers shall be "Y" type with a body made of ASTM A 126-latest revision Class B steel, sizes 1/4 inch thru 3 inches, rated at 250-pounds steam pressure, with stainless steel screen and screwed ends. Strainers shall be Keckley type "B", Hoffman Series 410, or approved equal.

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N. Vacuum Breakers

1. Vacuum Breakers for Water Service

- a. Vacuum breakers shall be designed to prevent back-siphonage of water lines. Valve types shall be either bottom inlet or side outlet, or top inlet and bottom outlet as required. Internal discs or floats shall be either plastic or silicone. Piping systems with solenoid-operated valves shall require a vacuum breaker with an "O" ring seal. Breakers shall be Sloan No. V-350-A, V-370-A, V-188-A, Wilkins, or approved equal.

O. Dielectric Pipe Couplings

1. Dielectric pipe couplings shall be used wherever copper pipe connects to steel or cast iron pipe and appurtenances. Couplings shall have steel bodies with non-conducting bushings on both ends. Ends shall have standard pipe threads. Couplings shall be rated for at least 200 psi at 225°F. Couplings shall be as manufactured by Thermodynamics Corporation, Needham, MA; Water Vallett Company, Detroit, MI; or approved equal.

P. Water-hammer Arresters

1. Water-hammer arresters shall be used on water lines as shown on the DRAWINGS. Arresters shall consist of a permanently pre-charged air chamber and a rugged rubber sealed-in diaphragm to absorb shock. The unit shall be capable of being mounted at any angle. Arresters shall be Watts No. 150, or approved equal.

Q. Air Vents

1. Air vents shall be used on water lines as shown on the DRAWINGS for the removal of unwanted air. Vents shall be rated at 150 pounds working water pressure, shall have a safety drain connection, stainless or copper clad steel internal components and a cast iron or brass body and cap. Vents shall be Hoffman No. 78, or approved equal.
2. See Section 15500 of these SPECIFICATIONS for air vents on unit heaters.

R. Water Service Accessories

1. Backflow Preventers

- a. The reduced pressure principle backflow preventers shall be a complete assembly consisting of two independently acting spring loaded toggle levers or poppet-type check valves together with an automatically operating pressure differential relief valve located between the two check valves. The first check valve shall reduce the supply pressure a predetermined amount so that during normal flow and the cessation of normal flow, the pressure between the checks is less than the supply pressure. In the case of leakage of either check valve, the differential relief valve shall discharge to atmosphere to maintain the pressure between the checks at a level less than the supply pressure.

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- b. Each unit shall include tightly closing shutoff valves located at each end of the device, and shall be fitted with four properly located test cocks. Operation shall be completely automatic. All parts must be removable or replaceable without removal of the unit from the line. The total head loss through the complete backflow assembly shall not exceed 10 psi at rated flow.
- c. The backflow preventer shall be Watts 9090SOS&Y, or approved equal, shall have prior approval of the State Environmental Protection Agency and shall be in accordance with AWWA C506-latest revision.
- d. Furnish and mount an air gap on the body of the backflow preventer. The air gap shall be Watts No. 909AG, or approved equal.

### **PART 3 EXECUTION**

#### **3.01 INSTALLATION**

- A. All valves and appurtenances shall be installed in the locations shown, true to alignment and rigidly supported. Any damage to the above items shall be repaired to the satisfaction of the ENGINEER before they are installed.
- B. After installation, all valves and appurtenances shall be tested at least one hour at the working pressure corresponding to the class of pipe, unless a different test pressure is specified. If any joint proves to be defective, it shall be repaired to the satisfaction of the ENGINEER.
- C. All materials shall be carefully inspected for defects in workmanship and materials; all debris and foreign material cleaned out of valve openings, etc.; all operating mechanisms operated to check their proper functioning, and all nuts and bolts checked for tightness. Valves and other equipment which do not operate easily, or are otherwise defective, shall be repaired or replaced at no additional cost to the OWNER.
- D. Buried valves and valve boxes shall be set with the valve stem vertically aligned in the center of the box. Valves shall be set on firm foundation and supported by tamping selected excavated material under the sides of the valve. The valve box shall be supported during backfilling and maintained in vertical alignment with the top flush with finish grade.

#### **3.02 SHOP PAINTING**

- A. Interior surfaces of all valves, the exterior surfaces of buried valves, and miscellaneous piping appurtenances shall be given a shop finish of a primer compatible with the final coating system and in accordance with the instructions of the paint manufacturer.
- B. The exterior surface of various parts of the valves, operators, and miscellaneous piping shall be thoroughly cleaned of all scale, dirt, grease or other foreign matter and thereafter one shop coat of an approved rust-inhibitive primer, compatible



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with the final coating system and in accordance with the instructions of the paint manufacturer.

- C. Ferrous surfaces obviously not to be painted shall be given a shop coat of grease or other suitable rust-resistant coating.
- D. Field painting is specified under Division 9, Section 09960.

3.03 INSPECTION AND TESTING

- A. The various pipelines in which the valves and appurtenances are to be installed are specified to be field tested. During these tests any defective valve or appurtenance shall be adjusted, removed and replaced, or otherwise made acceptable to the ENGINEER.
- B. Various valves, or appurtenances shall be tested to demonstrate their conformance with the specified operational capabilities and any deficiencies shall be corrected or the device replaced or otherwise made acceptable to the ENGINEER.

END OF SECTION

## **SECTION 15101**

### **LARGE VALVES AND APPURTENANCES**

#### **PART 1 GENERAL**

##### **1.01 SCOPE OF WORK**

- A. Furnish all labor, materials, equipment, and incidentals required and install complete and ready for operation all valves and appurtenances where shown on the Drawings as specified herein.
- B. The equipment specified herein includes the following:
  - 1. Gate valves with boxes for yard piping
  - 2. Gate valves for inside service
  - 3. Butterfly valves for yard piping
  - 4. Butterfly valves for inside service
  - 5. Plug valves for yard piping
  - 6. Plug valves for interior or above ground service
  - 7. Ball valves
  - 8. Check valves
  - 9. Air and vacuum relief valves (piping application)
  - 10. Automatic air release valves
  - 11. Shock absorbers
  - 12. Service clamps
  - 13. Expansion joints
  - 14. Pressure-reducing valves
  - 15. Back Pressure Sustaining Valves
- C. The work of this Section shall include the installation of valve tags furnished by the CONTRACTOR. All exposed valves provided under this Section shall be tagged.

##### **1.02 RELATED WORK NOT INCLUDED**

- A. Excavation, backfill, fill and grading is included in Division 2.
- B. Piping is included in the respective sections of Division 2 and 15.
- C. Valves, hydrants, meters and service lines for distribution system application are included in Division 2.
- D. Valves and service accessories on all plumbing systems are included in this Division, Section 15100.
- E. Pipe hangers and supports are included in this Division, Section 15094.
- F. Electrical is included in Division 16.

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1.03 DESCRIPTION OF SYSTEMS

- A. All of the equipment and materials specified herein is intended to be standard for use in controlling the flow of wastewater, sludges, water, air or chemicals, depending on the applications.

1.04 QUALIFICATIONS

- A. All of the types of valves and appurtenances shall be products of well-established firms who are fully experienced, reputable and qualified in the manufacture of the particular equipment to be furnished. The equipment shall be designed, constructed and installed in accordance with the best practices and methods and shall comply with these SPECIFICATIONS as applicable.

1.05 SUBMITTALS

- A. Complete shop drawings of all valves and appurtenances shall be submitted to the ENGINEER in accordance with the requirements of Division 1.
- B. Furnish all information required in Division 1.

1.06 OPERATING INSTRUCTIONS

- A. Manufacturer's operating and maintenance instructions as set forth in Division 1 shall be furnished to the ENGINEER for equipment furnished under this Section.

1.07 TOOLS

- A. Special tools, if required for normal operation and maintenance, shall be supplied with the equipment.

**PART 2 PRODUCTS**

2.01 MATERIALS AND EQUIPMENT

- A. General
  - 1. All valves and appurtenances shall be of the size shown on the PLANS and as far as possible all equipment of the same type shall be from one manufacturer.
  - 2. All valves and appurtenances shall have the name of the maker, flow-directional arrows, and the working pressure for which they are designed cast in raised letters on some appropriate part of the body.
  - 3. Handwheel operator shall be no less than 12-inch diameter.

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4. Except as otherwise shown on the PLANS or specified herein, all valves with operators located 7 feet or more above the operating floor shall be provided with chain-wheel operators complete with chain guides and galvanized steel chain.
5. All buried valves shall open left (counterclockwise). Insofar as possible, all valves shall open counterclockwise.
6. All butterfly valves, gate valves and plug valves 8 inches or larger shall be furnished with gear operators and gear cases conforming to the requirements of AWWA C504 or as shown on the PLANS.

## 2.02 VALVES

### A. Butterfly Valves for Buried Service

1. Butterfly valves and operators for buried service shall conform to AWWA C504, except as hereinafter provided. Butterfly valves shall be rated for Class 150B and both valve and operator shall be especially designed for service buried in the ground where the ground water may at times completely submerge the valve and operator, and shall be of the totally enclosed type.
2. The valve bodies shall be of cast iron conforming to ASTM A48-CL 40. Valve ends shall be mechanical joint meeting ANSI Specification A21.11.
3. Except as otherwise specified herein, valve shafts shall be of Type 304 stainless steel. Shaft seals shall be rubber O-ring seals. Shafts having a minimum torsional strength equivalent to shafts specified in Section 3.3 of AWWA C504 and completely isolated from the pipeline contents shall be furnished. Connections between shafts and discs shall be designed to transmit full shaft torque.
4. If the rubber seat is in the body, the disc shall be of an alloy cast iron conforming to ASTM A436 Type I with the periphery machined to a smooth spherical surface. If the rubber seat is mounted on the disc edge it shall be held in place by a one-piece Type 304 stainless steel retaining ring and stainless steel screws, the disc shall be of ASTM A48, Class 40 cast iron and a mating Type 304 stainless steel ring shall be installed in the valve body.
5. The unit shall be permanently lubricated with grease or oil. A standard AWWA 2 inch square operating nut shall be provided on the input shaft and it shall have a cap to center the valve box. Valves shall open to the left (counterclockwise).
6. Valve and operator assemblies shall be given two coats of asphalt varnish conforming to Section 4 of AWWA C504.

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7. An Affidavit of Compliance in accordance with Section 1.5 of AWWA C504 shall be furnished to the ENGINEER prior to shipment of valves to the job site.
8. Valve boxes shall be provided for each buried valves. Valve boxes and appurtenances are specified in Division 5, Section 05540.
9. Four tee-handled gate wrenches of suitable length shall be furnished to operate all valves with valve boxes.

B. Butterfly Valves (for Interior Service)

1. Butterfly valves and operators shall conform to the AWWA Standard Specification for rubber seated butterfly valves Designation C504, except as hereinafter specified. Valves shall have a minimum 150-psi pressure rating and be equal to those manufactured by Allis-Chalmers, Henry Pratt Company, or equal.
2. Butterfly valves shall be flanged end with face-to-face dimensions in accordance with Table 3 of the above mentioned AWWA Specification for short-body valve, or wafer type.
3. Valve seats shall be full resilient seats retained in the body or the disc edge in accordance with Section 3.5 of the above mentioned AWWA Specification. If the resilient seat is in the body, the disc shall be of an alloy cast iron conforming to ASTM A436 Type 1 with the periphery machined to a smooth spherical surface. If the resilient seat is mounted on the disc edge, it shall be held in place by a one-piece Type 304 stainless steel retaining ring and stainless screws, the disc shall be of ASTM A48, Class 40 cast iron and a mating Type 304 stainless steel ring shall be installed in the valve body. Resilient seats shall be Hycar or equal for water service and Nordel or equal for air service.
4. The valve body shall be constructed of close grain cast iron per ASTM A126, Class B with integrally cast hubs for shaft bearing housings of the through boss-type. Permanently self-lubricating body bushings shall be provided and shall be sized to withstand bearing loads. Stuffing box of liberal dimensions shall be provided at the operator end of the vane shaft, arranged so that the packing can be replaced by removing the bronze follower without removing the operator. Packing shall be of the Chevron type as manufactured by Garlock Packing Company. A sealing element utilizing O-rings shall also be acceptable.
5. The valve shaft shall be of Type 304 stainless steel and designed for both torsional and shearing stresses when the valve is operated under its greater dynamic or seating torque.

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6. In general, the butterfly valve operators shall conform to the requirements of Section 3.8 of the AWWA Standard Specifications for Rubber Seated Butterfly Valves, Designation C504, insofar as applicable and as herein specified.
7. Gearing for the operators where required shall be totally enclosed in a gear case in accordance with Section 3.8.3 of the above mentioned AWWA Standard Specification.
8. The manual operators shall conform to Section 3.8.2 of the above mentioned AWWA Standard Specifications, insofar as applicable. Valves shall have Handwheel or lever operators and open left, or counterclockwise. Operators shall have indicators to show position of the valve disc. Operators shall be rigidly attached to the valve body.

C. Gate Valves and Appurtenances for Yard Piping

1. Gate valves for water shall meet the requirements of AWWA C509 covering resilient seated gate valves. Valves shall be rated for 200-psi working pressure and a minimum of 400-psi test pressure. The wedge shall be of cast iron completely encapsulated with rubber. The sealing rubber shall be permanently bonded to the cast iron wedge to meet ASTM tests for rubber metal bond ASTM D429. They shall have non-rising cast bronze stems (unless otherwise shown on the PLANS) and be fitted with "O-ring" seals. The operating nuts shall be 2-inch square. All valves shall open left, or counterclockwise. Stuffing boxes shall be the "O-ring" type with two rings located above thrust collar; the two rings shall be replaceable with valve fully open and subjected to full rated working pressure. Gate valves shall be mechanical joint, ANSI Standard 21.11 except where shown otherwise. The body and bonnet shall be coated with a fusion coating both interior and exterior to meet C50. Each valve shall have maker's name, pressure rating and year in which manufactured cast on the body. Gate valves shall be as manufactured by Mueller Co., or approved equal.
2. Tapping sleeves shall be as manufactured by the Ford Meter Box Company, Inc., with cadmium-plated cast iron nuts and bolts. Sleeves shall be of cast iron, designated for working pressures not less than 200 psi. Lead gaskets shall be provided for the full area of the sleeve flanges.
3. Tapping valves shall conform to the requirements specified above for gate valves except that one end shall be flanged and one mechanical. Tapping valves shall be provided with an over-sized opening to permit the use of full sized cutters.
4. Four tee-handled gate wrenches of suitable length shall be furnished to operate all valves with valve boxes.

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D. Gate Valves for Inside Service

1. See Section 15100 of these SPECIFICATIONS for gate valves 2-1/2" in diameter and smaller.
2. Gate valves 3" and larger in size, unless otherwise specified shall be iron body, bronze mounted, solid wedge gate valves with flanged ends and conforming to the AWWA Standard Specification for Gate Valve for Water and Sewage Systems, Designation C509-latest revision, insofar as applicable and in addition to the following requirements:
  - a. Valve shall be outside screw and yoke type with rising stem (unless otherwise shown on the PLANS).
  - b. Flanges shall be faced and drilled to ANSI B16.1 125 pound template, unless otherwise shown on the PLANS.
  - c. Bronze gate rings shall be fitted into grooves of dovetail or similar shape in the gates. For grooves or other shapes, the rings shall be firmly attached to the gates with bronze rivets.
  - d. Handwheels shall turn counterclockwise to open the valves. Handwheels shall be of ample size and shall have an arrow and the word "OPEN" cast thereon to indicate the direction of opening.
  - e. Stuffing box follower bolts shall be of steel and the nuts shall be of bronze.
  - f. The design of the valves shall permit packing the valves without undue leakage while they are wide open and in service.
  - g. O-ring stuffing boxes may be used.
  - h. Gate valves for pipeline installation shall be housed in an adjustable two-piece cast iron valve box and have a cover with the word "Water" or "Sewer" stamped or cast.
  - i. Gate valves with spur gears shall be housed to accommodate the offset of the operating nut.

E. Gate Valves For 16 and 24 Inch Distribution Mains

1. General

Valves to be installed on 16 and 24-inch high service and transmission lines shall conform to the

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latest revision of AWWA Standard C-509 covering resilient seated gate valves. These large diameter valves shall be as manufactured by Clow Valve Co., M & H Valve Co., or approved equal.

2. Design

The valves shall be either, **non-rising stem**, opening by turning stem left or right and provided with **2" square operating nut or handwheel** with the word Open and an Arrow cast in the metal to indicate direction to open.

The wedge shall be of cast iron completely encapsulated with rubber.

The sealing rubber shall be permanently bonded to the cast iron wedge to meet ASTM tests for rubber metal bond ASTM D429.

Stems for NRS assemblies shall be cast bronze with integral collars in full compliance with AWWA. OS & Y stems shall be on bronze bar stock. The NRS stem stuffing box shall be the o-ring seal type with two rings located above thrust collar; the two rings shall be replaceable with valve fully open and subjected to full rated working pressure.

There shall be two low torque thrust bearings located above and below the stem collar. The stem nut shall be independent of wedge and shall be made of solid bronze. There shall be a smooth unobstructed waterway free of all pockets, cavities and depressions in the seat area.

3. Materials

All cast iron shall conform to ASTM-A-126 Class C. Castings shall be clean and sound without defects that will impair their service. No plugging or welding of such defects will be allowed.

Stems shall be manganese bronze having a minimum tensile strength of 60,000 psi, a minimum yield of 20,000 psi.

Bolts shall be electro-zinc plated steel with hex heads and hex nuts in accordance with ASTM A-307 and A-563, respectively.



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4. Testing

Prior to shipment from factory, each valve shall be tested by hydrostatic pressure equal to twice the specified working pressure of 250 psi.

5. Coating AWWA

The body and bonnet shall be coated with a fusion coating both interior and exterior to meet C550.

6. Marking

Valves shall be marked with name of manufacturer, the year of manufacture, the maximum working pressure and size of valve.

F. Plug Valves for Interior or Above Ground Service

1. Plug valves shall be manufactured in accordance with AWWA C-504, shall be of the 1/4 turn, eccentric, non-lubricated type, serviceable under full line pressure, and capable of sealing in both directions at the rated pressure. Valves shall have a minimum port area of 80% of the nominal pipe size. The valve body shall be of cast iron, 30,000 psi tensile strength with added nickel and chromium, ASTM A-126, Class B, 175 psi rating. Valve ends shall be flanged. The valve plug shall be ductile iron conforming to ASTM A-536, Grade 65-45-12 with neoprene resilient facing. The valve seating design shall be resilient and of the continuous interface type having consistent opening/closing torques and shall be non-jamming in the closed position. Closure shall be accomplished by means of an off-set plug design with a resilient seating face that achieves full 360 degree seating contact. Valves shall be of the bolted bonnet design. The resilient faced plug shall be replaceable without removing the valve body from the line. The valve body seating area shall be corrosion resistant by a welded-in overlay of high nickel content. Sprayed or plated seating surfaces will not be acceptable. Valves shall have permanently lubricated Type 316 stainless steel bearings on the upper and lower plug stem journal. Bearings shall be replaceable. Packing shall be Buna N (Vee Type) rated for 150 psig working pressure. Packing shall be adjustable and valves shall be designed such that they can be repacked without removing the bonnet. All exposed nuts, bolts, springs, and washers shall be zinc plated, except exposed hardware for submerged valves that shall be of stainless steel.
2. All valves shall be equipped with gear actuators and handwheel operators (unless otherwise shown on the PLANS). All gearing shall be enclosed suitable for running in oil with seals provided on all shafts to prevent entry of dirt and water into the actuator. All

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shaft bearings shall be furnished with permanently lubricated bronze bearing bushings. Actuator shall clearly indicate valve position and an adjustable stop shall be provided. Construction of actuator housing shall be semi-steel. Hardware on actuators shall be of the same materials as the valves.

3. All valves and actuators shall be as manufactured by DeZurik Corporation or equal.
4. All plug valves shall be installed so that the direction of flow through the valve is in accordance with the manufacturer's recommendations.

G. 3-Way Plug Valves

1. Valves shall be of the non-lubricated taper plug type and shall have resilient faced plugs for drip tight shutoff. End connections shall be flanged and shall be drilled to ANSI 125 pound standard. Valves shall be semi-steel and shall have stainless steel bearings in the upper and lower journal areas. The three-way valve shall be furnished as standard with a plug to shut off one port at a time.
2. The valve shall be furnished with a resilient facing bonded to the plug sealing surface and shall have double handwheel actuators. The actuator shall be of the worm and gear type and shall have one handwheel to lift and reseal the plug and one handwheel to rotate the plug. Handwheel actuators shall be totally enclosed and shall have seals and gaskets to prevent entry of dirt, water or corrosive atmosphere. Actuators shall have corrosion resistant bearings on the gear sector. Actuators shall provide plug rotation up to 360°.
3. The 3-way valves, actuators and accessories shall be as manufactured by DeZurik Corporation, or equal.

H. Plug Valves for Yard Piping

1. Plug valves for yard piping shall be as specified above for interior plug valves, except valves shall have mechanical joint ends and stainless steel hardware. Buried actuators shall be as specified above and shall be of buried, submerged service with seals on all covers and shafts and all exposed hardware of stainless steel. Provide valve box, stem extension, and operating nut as specified above for gate valves.

I. Ball Valves

1. See Section 15100 of these SPECIFICATIONS.

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J. Check Valves

1. Check valves for cast iron and ductile iron pipelines shall be swing type and shall meet the material requirements of AWWA Specification C508-latest revision Swing-Check Valves for ordinary water-works service. The valves shall be iron body, bronze mounted, single disc, 150 psi working water pressure, non-shock, and hydrostatically tested at 300 psi. Ends shall be 125 lb. ANSI B16.1 flanges.
  - a. When there is no flow through the line the disc shall hang lightly against its seat in practically a vertical position. When open, the disc shall swing clear of the water-way.
  - b. Check valves shall have bronze seat and body rings, extended bronze hinge pins and bronze nuts on the bolts of bolted covers.
  - c. Valves shall be so constructed that disc and body seat may easily be removed and replaced without removing the valve from the line. Valves shall be fitted with an extended hinge arm with outside lever and spring. Springs with various tensions shall be provided and springs approved by the ENGINEER shall be installed.

K. Automatic Air and Vacuum Relief Valves for Vertical Turbine Pumps

1. Combination air and vacuum valves for vertical turbine pumps shall be equal to APCO Air Valves for Vertical Turbine Pumps, per APCO Bulletin 586, as manufactured by Valve and Primer Corp., Schaumburg, Illinois, or approved equal.
2. Valves shall be the size shown on the drawings and shall be equipped with an automatic air release valve, such as APCO Valve No. 55, or approved equal.
3. Air valves for vertical turbine pumps shall be designed to allow large quantities of air to escape out the orifice when the pump is started and close water tight when the liquid enters the valve. The air valve shall also permit large quantities of air to re-enter through the orifice when the pump is stopped to prevent a vacuum from forming in the pump column.
4. The valve shall consist of a body, cover, baffle, float and seat. The valve shall be designed to prevent prematurely shut-off. The seat shall be fastened into the valve cover, without distortion, and shall be easily removed, if necessary.
5. The entire float and baffle assembly must be shrouded with a perforated water diffuser to prevent the water column entering the

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valve, from slamming the float shut and eliminate water hammer in the system.

6. The float shall be stainless steel, designed to withstand a minimum of 1,000 psi, or approved equal. The float shall be center guided and not free floating for positive seating.
7. The discharge orifice shall be fitted with an automatic air release valve in order to vent small pockets of air. This valve shall consist of a body, cover, float and seat, and shall be rated at a working pressure of 150 psi.
8. The body, cover, and baffle of this valve assembly shall be constructed of cast iron, conforming to ASTM A48 Class 30, or approved equal. The float shall be stainless steel, conforming to ASTM A240, or approved equal. The seats shall be BUNA-N and the water diffuser shall be brass, or approved equal. All flanges shall be 125# ANSI.

L. Air Release Valves

1. Combination Air Valve Assemblies

- a. Sizes 1-inch through 6-inch. Valve shall be single body, double orifice, allowing air to exit when filling a pipeline, and air to enter when draining. Orifices shall operate independently; the smaller release orifice shall be capable of opening when the larger is in the closed position.
- b. The valve shall be designed to prevent premature closing. The closing mechanism shall be either needle and seat and be Buna-N, or of the rolling seal type made of Rubber E.P.DM., and attached to the valve cover to ensure drop-tight shut-off. The float shall be stainless steel, hermetically sealed, and designed to withstand pressures up to 1000 pounds per square inch, or approved equal. The float shall be of corrosion resistant materials in accordance with ASTM A240, or approved equal. The plug shall be bronze and in accordance with ASTM B124, or approved equal. The body, cover, and leverage frame shall be cast iron/Delrin and shall be in accordance with ASTM A126 GR, B and ASTM D2133, reinforced Nylon, or approved equal.
- c. Valve exterior shall be painted with Red Oxide Phenolic Primer, or approved equal as accepted by the FDA for use in contact with potable water.
- d. Valve to be APCO Model (corresponding to size) Combination Air Valve as manufactured by Valve & Primer Corp., Schaumburg, Illinois, U.S.A., or approved equal.

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1. Air valves shall be installed as shown in the plans, housed in a valve box with cover. Valve boxes for air valves shall be carefully set to grade with covers at grade.
2. Air Release (Vent) Valve Assemblies
  - a. Air Vent Valve No. 50, or approved equal. Valve shall operate under pressure, allowing entrapped air to escape from a pipeline. Orifices shall operate by means of a simple lever mechanism (stainless steel, ASTM A240), rolling seal mechanism, or approved equal to prevent water from escaping as or after air is expelled.
  - b. The closing mechanism shall be either needle and seat and be Buna-N, or of the rolling seal type made of Rubber E.P.D.M., and attached to the valve cover to ensure drop-tight shut-off. The float shall be stainless steel, hermetically sealed, and designed to withstand pressures up to 1000 pounds per square inch, or approved equal. The float shall be of corrosion resistant materials in accordance with ASTM A240, or approved equal. The seat shall be of stainless steel, or approved equal. The seat shall have an orifice of 3/32 inches, or approved equal to operate up to 175 pounds per square inch (psi), or a 1/16 inch orifice when operation at pressures higher than 175 psi, or approved equal. The body shall be cast iron, ASTM A48, Class 30, or approved equal, and shall have a ½ inch NPT female threaded inlet and outlet, and be rated for 350 psi test pressure.
  - c. Valve exterior shall be painted with Red Oxide Phenolic Primer, or approved equal as accepted by the FDA for use in contact with potable water.
  - d. Valve to be APCO Model 50 Air Vent Valve as manufactured by Valve & Primer Corp., Schaumburg, Illinois, U.S.A., or approved equal.
- M. Shock Absorbers
  1. Shock absorbers shall be supplied on the plant water distribution piping where shown on the PLANS. The shock absorbers shall be Model 1485-1 as manufactured by Josam Manufacturing Company, Michigan City, Indiana or approved equal.
- N. Service Clamps
  1. Service clamps shall have malleable or ductile iron bodies, which extend at least 160 degrees around the circumference of the pipe and shall have neoprene gaskets cemented to the saddle body.

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Bodies shall be tapped for either corporation stop threads of IPS as required. Clamps with tap sizes 1 inch and smaller shall be of the single strap design. Clamps with tap sizes larger than 1 inch shall be of the double strap design.

2. Service clamps shall be Style 91 or 291 as manufactured by Dresser Industries, Inc., Type 311 or 313 as manufactured by Smith-Blair, Inc. or equal.

O. Expansion Joints

1. Expansion joints shall be single arch type of butyl rubber construction with carcass of high grade woven cotton or suitable synthetic fiber and individual solid steel ring reinforcement. Soft rubber fillers shall be integrally cured into the arches to prevent settling of material into the arch. Joints shall be constructed to pipeline size and to meet working pressure and corrosive conditions similar to the line where installed. Joints shall have full faced fabric reinforced butyl flanges integral with body. Split type steel backup rings shall be provided to ensure a good joint. Rings shall be designed for mating the ANSI Standard 150 lb. flanges. Joints shall have a working pressure rating of 140 psig (minimum). All joints shall be finish coated with Hypalon paint.
2. Expansion joints shall be furnished with control units. Control units shall consist of two (2) drilled plates, stretcher bolts, and rubber washers backed by metal washers. The stretcher bolts shall prevent over-elongation of the joint. Extra nuts shall be provided on the stretcher bolts on the inside of the plate to prevent over-compression. All nuts, bolts and plates shall be galvanized.
3. Expansion joints shall be Style 500B as manufactured by Mercer Rubber Company, Style 4140 by Uniroyal Company, or equal.

P. Pressure Reducing Valves

1. Pressure reducing valves shall be of the single seated balanced design type globe body with threaded inlet and outlet ports. It shall be diaphragm operated, spring loaded permitted adjustment over a range of no less than 30 psi.
2. The body shall be bronze construction with bronze or stainless steel stem and furnished with a replacement rubber seat.
3. The pressure reducing valves shall be G-A Industries, APCO, or equal.

Q. Mud Valves

1. Mud valves shall be flanged end, rising stem type.

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2. Bodies shall be cast iron. The stem, stem nut, disk ring, and seat ring shall be bronze. Bolts and nuts shall be rustproof steel.
3. Handwheel operator and floorstand shall be furnished where shown on the PLANS.
4. Provide stem guides for maximum unsupported stem length of 5 feet.
5. The valves shall be Clow F-3085, or equal.

### **PART 3 EXECUTION**

#### **3.01 INSTALLATION**

- A. All valves and appurtenances shall be installed in the locations shown on the PLANS, true to alignment and rigidly supported. Any damage to the above items shall be repaired to the satisfaction of the ENGINEER before they are installed.
- B. After installation, all valves and appurtenances shall be tested at least 1 hour at the working pressure corresponding to the class of pipe, unless a different test pressure is specified. If a joint proves to be defective, it shall be repaired to the satisfaction of the ENGINEER.
- C. Install all brackets, extension rods, guides, the various types of operators and appurtenances as shown on the PLANS that are in masonry floors or walls, and install concrete inserts for hangers and supports as soon as forms are erected and before concrete is poured. Before setting these items, the CONTRACTOR shall check all plans and figures, which have a direct bearing on their location and he shall be responsible for the proper location of these valves and appurtenances during the construction of the structures.
- D. All materials shall be carefully inspected for defects in workmanship and materials; all debris and foreign material cleaned out of valve openings, etc.; all operating mechanisms operated to check their proper functioning, and all nuts and bolts checked for tightness. Valves and other equipment, which do not operate easily or are otherwise defective, shall be repaired or replaced at no additional cost the OWNER.
- E. Buried flanged or mechanical joints shall be made with cadmium plated bolts. All exposed bolts and nuts shall be cadmium plated. All exposed bolts and nuts shall be heavily coated with two (2) coats of bituminous paint comparable to Inertol No. 66 Special Heavy.
- F. Buried valves and valve boxes shall be set with the stem vertically aligned in the center of the gate box. Valves shall be set on a firm foundation and supported by tamping selected excavated material under the sides of the valve. The valve box shall be supported during backfilling and maintained in vertical alignment with the top flush with finish grade.

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3.02 SHOP PAINTING

- A. Interior surfaces of all valves, the exterior surfaces of buried valves and miscellaneous piping appurtenances shall be given a shop finish of an asphalt varnish conforming to Federal Specification TT-V51e for Varnish Asphalt.
- B. The exterior surface of various parts of valves, operators, floor stands and miscellaneous piping shall be thoroughly cleaned of all scale, dirt, grease or other foreign matter and thereafter on shop coat an approved rust-inhibitive primer (such as specified in Section 09900) shall be applied in accordance with the instructions of the paint manufacturer.
- C. Ferrous surfaces obviously not to be painted shall be given a shop coat of grease or other suitable rust-resistant coating.
- D. Field painting is included under Division 9.

3.03 INSPECTION AND TESTING

- A. The various pipe lines in which the valves and appurtenances are to be installed are specified to be field tested. During these tests any defective valve or appurtenance shall be adjusted, removed and replaced, or otherwise made acceptable or the ENGINEER.
- B. Various regulating valves, strainer, or other appurtenances shall be tested to demonstrate their conformance with the specified operational capabilities and any deficiencies shall be corrected or the device replaced or otherwise made acceptable to the ENGINEER.

END OF SECTION



## **SECTION 15123**

### **COUPLINGS, FLANGED COUPLING ADAPTERS, AND SERVICE SADDLES**

#### **PART I GENERAL**

##### **1.01 SUMMARY**

- A. Section Includes:
  - 1. Couplings, flanged coupling adapters, and service saddles required for piping connections. Some products specified in this Section may not be required for this Contract. Refer to piping system specification section(s) and Drawings to determine particular products to be provided under this Contract.

##### **1.02 SUBMITTALS**

- A. Product Data:
  - 1. Manufacturer's technical product data, including installation instructions, for each instrument. Include scale range and ratings, certified where indicated.
  - 2. Instrument schedule showing manufacturer's figure number, scale range, location, and accessories for each instrument.
- B. Submittals in accordance with Section 01300.

#### **PART 2 PRODUCTS**

##### **2.01 COUPLINGS**

- A. Couplings for connecting plain-end steel or ductile iron pipe of same outside diameter;
  - 1. Dresser Style 38.
  - 2. Smith-Blair Product No. 411.
  - 3. Or approved equal
- B. Stainless steel couplings for stainless steel aeration piping:
  - 1. Brico Depend-0-Lok Air Master Couplings, or approved equal
    - a. Housing and closure plates: ASTM A-240-T-304L stainless

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- steel.
- b. Sealing plates: T-304 stainless steel.
- c. Gaskets: ASTM D2000-EPDM for -20 deg. to 300 deg. F.
- d. Hardware: ASTM A-276 T-304 stainless steel.
- C. Transition couplings for connecting plain-end steel or ductile iron pipe of different outside diameter:
  - 1. Dresser Style 162
  - 2. Smith-Blair Product No. 413
  - 3. Or approved equal
- D. Insulating couplings for connecting plain-end steel or ductile iron pipe and stopping flow of electrical current:
  - 1. Dresser Style 39
  - 2. Smith-Blair Product No. 416
  - 3. Or approved equal
- E. Pressure rating shall be greater than test pressure of piping system.
- F. Materials:
  - 1. Middle Ring and Gaskets: As selected by manufacturer. Suitable for fluid service and maximum operating temperature of piping system,
  - 2. Followers: Ductile iron or steel.
  - 3. Bolts and Nuts: Manufacturer's standard.

## 2.02 FLANGED COUPLING ADAPTERS

- A. Flanged coupling adapters for connecting plain-end steel or ductile iron pipe to flanged pipe, fitting, valve, instrument, or equipment item:
  - 1. Dresser Style 128
  - 2. Smith-Blair Product No. 913
  - 3. Or approved equal
- B. Pressure rating shall be greater than test pressure of piping system.

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C. Materials:

1. Flange: Steel, faced and drilled to 150 lb. class in conformance with ANSI B16.5.
2. Body: Steel.
3. Follower: Ductile iron or steel.
4. Gasket: As selected by manufacturer. Suitable for fluid service and maximum operating temperature of piping system.
5. Bolts and Nuts: Manufacturer's standard.

2.03 SERVICE SADDLES

- A. Service saddles for tapping pipe sizes 18 in. and smaller shall be double strap design.
1. Dresser Style 91
  2. Smith-Blair Product No. 313
  3. Or approved equal
- B. Service saddles for tapping pipe sizes larger than 18 in. shall be triple strap design.
1. Smith-Blair Product No. 366, or approved equal
- C. "Materials:
1. Body: Malleable iron or ductile iron.
  2. Straps: Steel.
  3. Nuts and Washers: Manufacturer's standard.
  4. Gasket: As selected by manufacturer. Suitable for fluid service and maximum operating temperature of piping system.

2.04 ANCHORS

- A. Provide anchors including, but not limited to, tie rods, lugs, harness assemblies, flanged spool pieces, friction collars and hardware for each coupling, and flanged coupling adapter. Anchors shall restrain pipe to prevent movement out of each coupling and flanged coupling adapter.
- B. Design each anchor to sustain force developed by test pressure of piping system.

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- C. Anchor studs placed perpendicular to longitudinal axis of pipe is unacceptable.
- D. Anchorage with welded attachments to ductile iron piping is unacceptable.

2.05 COATINGS

- A. Coatings for couplings, flanged coupling adapters, and service saddles shall be same material as coatings for connected pipe.

**PART 3 EXECUTION**

3.01 INSTALLATION

- A. Install in accordance with manufacturer's written instructions.

END OF SECTION



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# *N O T I C E*

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**DEPARTMENT OF THE ARMY  
CORPS OF ENGINEERS 404  
NATIONWIDE 14 PERMIT AUTHORIZATION  
KENTUCKY DIVISION OF WATER 401 WQC**

**3-21-2023**

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**PROJECT:** Powell County, Item No. 10-174.00  
Correcting flooding issues on KY 613 at Bowen

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The Section 404 & 401 activities for this project have been previously permitted under the authority of the Department of the Army Nationwide Permit No. 14 “Linear Transportation Projects” & Division of Water General Water Quality Certification. In order for these authorizations to be valid, the attached conditions must be followed. The contractor shall post a copy of this Nationwide Permit & General WQC in a conspicuous location at the project site for the duration of construction and comply with the general conditions as required.

Station 108+00

Install a 24" pipe on KY 613. The **ephemeral** stream will have impacts below the normal high-water mark. The estimated area of impact is **73 linear feet** and **0.002 acres**.

This project involves work near and/or within Jurisdictional Waters of the United States as defined by the United States Army Corps of Engineers and therefore requires a Nationwide 14 General 404 Permit. The Division of Water certified this General Permit with several conditions (See attached). One that should be brought to your attention is regarding the use of heavy equipment in the stream channel. If there is need to cross the stream channel with heavy equipment or conduct work from within the stream channel a working platform or temporary crossing is authorized. This should be constructed with clean rock and sufficient pipe to allow stream flow to continue unimpeded (see attached typical drawing).

In order for this authorization to be valid, the attached conditions must be followed. The contractor shall post a copy of this Nationwide Approval in a conspicuous location at the project site for the duration of construction and comply with the general conditions as required.

To more readily expedite construction, the contractor may elect to alter the design or perform the work in a manner different from what was originally proposed and specified. Prior to commencing such alternative work, the contractor shall obtain written permission from the Division of Construction and the Division of Environmental Analysis. If such changes necessitate further permitting then the contractor will be responsible for applying to the Army Corps of Engineers and the Kentucky Division of Water (KDOW). A copy of any request to the Corps of Engineers or the KDOW to alter this proposal and subsequent responses shall be forwarded to the Division of Environmental Analysis, DA Permit Coordinator, for office records and for informational purposes.



ANDY BESHEAR  
GOVERNOR

REBECCA W. GOODMAN  
SECRETARY

**ENERGY AND ENVIRONMENT CABINET  
DEPARTMENT FOR ENVIRONMENTAL PROTECTION**

ANTHONY R. HATTON  
COMMISSIONER

300 SOWER BOULEVARD  
FRANKFORT, KENTUCKY 40601

## **General Certification--Nationwide Permit # 14 Linear Transportation Projects**

This General Certification is issued **December 18, 2020**, in conformity with the requirements of Section 401 of the Clean Water Act of 1977, as amended (33 U.S.C. §1341), as well as Kentucky Statute KRS 224.16-050.

For this General Certification and all General Certifications of Nationwide Permits (NWP), the term 'surface water' is defined pursuant to 401 KAR Chapter 10, Section 1(72): Surface Waters means those waters having well-defined banks and beds, either constantly or intermittently flowing; lakes and impounded waters; marshes and wetlands; and any subterranean waters flowing in well-defined channels and having a demonstrable hydrologic connection with the surface. Lagoons used for waste treatment and effluent ditches that are situated on property owned, leased, or under valid easement by a permitted discharger are not considered to be surface waters of the Commonwealth.

As required by 40 CFR Part 121 – State Certification of Activities Requiring a Federal License or Permit, all conditions include a statement explaining why the condition is necessary to assure that any discharge authorized under the general permit will comply with water quality requirements and a citation to federal, state, or tribal law that authorizes the condition. The statements and citations are included with each condition. The statements are written entirely at the end of the certification under the section *Statements of Necessity*.

Agricultural operations, as defined by KRS 224.71-100(1) conducting activities pursuant to KRS 224.71-100 (3), (4), (5), (6), or 10 are deemed to have certification if they are implementing an Agriculture Water Quality Plan pursuant to KRS 224.71-145.

For all other operations, the Commonwealth of Kentucky hereby certifies under Section 401 of the Clean Water Act (CWA) that it has reasonable assurances that applicable water quality standards under Kentucky Administrative Regulations Title 401, Chapter 10, established pursuant to Sections 301, 302, 303, 306 and 307 of the CWA, will not be violated for the activity covered under NATIONWIDE PERMIT 14, namely Linear Transportation Projects, provided that the conditions in this certification are met. Activities that do not meet the conditions of this General Certification require an Individual Section 401 Water Quality Certification.



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1. Activities occurring within surface waters assessed by the Kentucky Division of Water as designated Outstanding State Resource Waters, National Resource Waters, Cold Water Aquatic Habitat, Exceptional Waters, or identified as candidate Outstanding State Resource Waters or candidate Exceptional Waters are not authorized under this General Certification and require an Individual Certification. [Statement A and citations KRS 224.70-110, 401 KAR 10:030, Section 1(1), Section 1(2), & Section 1(3); and 401 KAR 10:031, Section 4(2) & Section 8]
2. Activities impacting surface waters assessed by the Kentucky Division of Water as impaired for warm water or cold water aquatic habitat where the parameter or source is related to habitat\* are not authorized under this General Certification and require an Individual Certification. [Statement B and citations KRS 224.70-110 and 401 KAR 10:031, Section 2 & Section 4]  
  
\*These include waters impaired by the parameter 'habitat assessment', 'combined biota/habitat bioassessment' or any parameter from the parameter group 'habitat alterations, and/or waters where the parameter identified as a cause of impairment has a source from the source group 'habitat impacts'.
3. Activities impacting surface waters assessed by the Kentucky Division of Water as full support for warm water or cold water aquatic habitat are not authorized under this General Certification and require an Individual Certification. [Statements A and B and citations KRS 224.70-110 and 401 KAR 10:031, Section 2 & Section 4]
4. The activity will not occur within surface waters identified as perpetually-protected mitigation sites (e.g., deed restriction or conservation easement). [Statement C and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3); and 40 C.F.R. 230.97]
5. Activities with cumulative temporary and permanent impacts greater than 1/2 acre of wetland or 300 linear feet of surface waters are not authorized under this General Certification and require an Individual Certification. This General Certification shall not apply to projects where multiple Nationwide Permits are issued for individual crossings which are part of a single, larger transportation projects. [Statement A and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
6. For complete linear transportation projects, all impacts shall not exceed a cumulative length of 500 linear feet within each Hydrologic Unit Code (HUC) 14. [401 KAR 10:030 and 401 KAR 10:031]
7. Stream realignment greater than 100 feet is not authorized under this General Certification and require and Individual Certification. [Statement A and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]

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8. Surface water impacts covered under this General Certification and undertaken by those persons defined as an agricultural operation under the Agricultural Water Quality Act must be completed in compliance with the Kentucky Agricultural Water Quality Plan (KAWQP). [Statements A and F and citations KRS 224.71-145(1), 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
9. Any crossings must be constructed in a manner that does not impede natural water flow. [Statement A and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
10. The use of creek rock for bank stabilization; grouted rip-rap; unformed, poured grout; unformed, poured concrete; poured asphalt; or asphalt pieces is not authorized under this General Certification and requires an Individual Certification. Poured concrete or grout will be authorized under this General Certification when contained by tightly sealed forms or cells. Equipment shall not discharge waste washwater into surface waters at any time without adequate wastewater treatments. [Statement A and citations 401 KAR 10:030, Section 1(3)(b) & 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
11. New stormwater detention/ retention basins constructed in surface waters or modifications to stormwater detention/ retention basins resulting in the reduction in reach or that cause impairment of flow of surface waters are not authorized under this General Certification and require an Individual Certification. [Statement A and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
12. Erosion and sedimentation pollution control plans and Best Management Practices (BMPs) must be designed, installed, and maintained in effective operating condition at all times during construction activities so that violations of state water quality standards do not occur. [Statements A and D and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
13. Sediment and erosion control measures, such as check-dams constructed of any material, silt fencing, hay bales, etc., shall not be placed within surface waters, either temporarily or permanently, without prior approval by the Kentucky Division of Water's Water Quality Certification Section. If placement of sediment and erosion control measures in surface waters is unavoidable, design and placement of temporary erosion control measures shall not be conducted in such a manner that may result in instability of streams that are adjacent to, upstream, or downstream of the structures. All sediment and erosion control devices shall be removed and the natural grade restored within the completion timeline of the activities. [Statements A and D and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]

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14. Measures shall be taken to prevent or control spills of fuels, lubricants, or other toxic materials used in construction from entering surface waters. [Statements A and D and citations. [KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
15. Removal of riparian vegetation shall be limited to that necessary for equipment access. [Statements A and D and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
16. To the maximum extent practicable, all in-stream work under this certification shall be performed under low-flow conditions [Statements A and D and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
17. Heavy equipment (e.g., bulldozers, backhoes, and draglines), if required for this project, should not be used or operated within the stream channel. In those instances in which such in-stream work is unavoidable, then it shall be performed in such a manner and duration as to minimize turbidity and disturbance to substrates and bank or riparian vegetation. [Statements A and D and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
18. Any fill shall be of such composition that it will not adversely affect the biological, chemical, or physical properties of the receiving waters and/or cause violations of water quality standards. If rip-rap is utilized, it should be of such weight and size that bank stress or slump conditions will not be created because of its placement. [Statements A and D and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
19. If domestic water supply intakes are located downstream that may be affected by increased turbidity and suspended solids, the permittee shall notify the operator when such work will be done prior to construction. [Statement E and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
20. Should evidence of stream pollution or jurisdictional wetland impairment and/or violations of water quality standards occur as a result of this activity (either from a spill or other forms of water pollution), the Kentucky Division of Water shall be notified immediately by calling (800) 928-2380. [Statement A and D and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
21. The Kentucky Division of Water requires submission of a formal application for any federal applicant that is not required to submit a Preconstruction Notification that would typically be required of any non-federal applicant. [Statements A and D and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]

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22. The Kentucky Division of Water may require submission of a formal application for an Individual Certification for any project that has been determined to likely have a significant adverse effect upon water quality or degrade surface waters so that existing uses of the water body or downstream waters are precluded. [Statement A and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]
23. If the final issued General Permit for Nationwide Permit 14 Linear Transportation Projects changes significantly, the Division of Water may opt to deny certification for this permit. [Statements A and D and citations KRS 224.70-110, 401 KAR 10:030, Section 1(3)(b) & Section 1(4)(b); and 401 KAR 10:031, Section 2 & Section 4]

Statements of Necessity:

- A. This condition is necessary to protect waters categorized under the anti-degradation policy to protect the designated and existing uses and to maintain the associated water quality criteria necessary to protect these water resources.
- B. This condition is necessary to protect existing uses and the level of water quality necessary to protect those existing uses shall be assured in impaired water.
- C. This condition is necessary for long-term protection of compensatory mitigation sites.
- D. This condition is necessary to provide for the prevention, abatement, and control of all water pollution and to conserve water resources for legitimate uses, safeguard from pollution the uncontaminated waters, prevent the creation of any new pollution, and abate any existing pollution.
- E. This condition is necessary to protect domestic water supply use.
- F. This condition is necessary to evaluate, develop, and improve best-management practices in conservation plans, compliance plans, and forest stewardship management plans; establish statewide and regional agriculture water quality plans; and otherwise promote soil and water conservation activities that protect surface waters from the adverse impacts of agriculture operations within the Commonwealth.

**Violation of Kentucky state water quality standards may result in civil penalties and remediation actions.**

For assistance contact the Kentucky Division of Water, Water Quality Certification Section by email ([401WQC@ky.gov](mailto:401WQC@ky.gov)) or by phone (502)-564-3410.



# 2021 Nationwide Permit Summary

US Army Corps  
of Engineers  
Louisville District ®

Issued: February 25, 2022  
Expires: March 14, 2026

## No. 14. Linear Transportation Projects

(NWP Final Rule, 86 FR 73522)

Activities required for crossings of waters of the United States associated with the construction, expansion, modification, or improvement of linear transportation projects (e.g., roads, highways, railways, trails, driveways, airport runways, and taxiways) in waters of the United States. For linear transportation projects in non-tidal waters, the discharge of dredged or fill material cannot cause the loss of greater than 1/2-acre of waters of the United States. For linear transportation projects in tidal waters, the discharge of dredged or fill material cannot cause the loss of greater than 1/3-acre of waters of the United States. Any stream channel modification, including bank stabilization, is limited to the minimum necessary to construct or protect the linear transportation project; such modifications must be in the immediate vicinity of the project.

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

This NWP cannot be used to authorize

non-linear features commonly associated with transportation projects, such as vehicle maintenance or storage buildings, parking lots, train stations, or aircraft hangars.

**Notification:** The permittee must submit a pre-construction notification to the district engineer prior to commencing the activity if: (1) The loss of waters of the United States exceeds 1/10 acre; or (2) there is a discharge of dredged or fill material in a special aquatic site, including wetlands. (See general condition 32.) (Authorities: Sections 10 and 404).

**Note 1:** For linear transportation projects crossing a single waterbody more than one time at separate and distant locations, or multiple waterbodies at separate and distant locations, each crossing is considered a single and complete project for purposes of NWP authorization. Linear transportation projects must comply with 33 CFR 330.6(d).

**Note 2:** Some discharges of dredged or fill material for the construction of farm roads or forest roads, or temporary roads for moving mining equipment, may qualify for an exemption under Section 404(f) of the Clean Water Act (see 33 CFR 323.4).

**Note 3:** For NWP 14 activities that require pre-construction notification, the PCN must include any other NWP(s), regional general permit(s), or individual permit(s) used or intended to be used to authorize any part of the proposed project or any related activity, including other separate and distant crossings that require Department of the Army authorization but do not require pre-construction notification (see paragraph (b)(4) of general condition 32). The district engineer will evaluate the PCN in accordance with Section D, "District Engineer's Decision." The

district engineer may require mitigation to ensure that the authorized activity results in no more than minimal individual and cumulative adverse environmental effects (see general condition 23).

## Nationwide Permit General Conditions

**Note:** To qualify for NWP authorization, the prospective permittee must comply with the following general conditions, as applicable, in addition to any regional or case-specific conditions imposed by the division engineer or district engineer. Prospective permittees should contact the appropriate Corps district office to determine if regional conditions have been imposed on an NWP. Prospective permittees should also contact the appropriate Corps district office to determine the status of Clean Water Act Section 401 water quality certification and/or Coastal Zone Management Act consistency for an NWP. Every person who may wish to obtain permit authorization under one or more NWPs, or who is currently relying on an existing or prior permit authorization under one or more NWPs, has been and is on notice that all of the provisions of 33 CFR 330.1 through 330.6 apply to every NWP authorization. Note especially 33 CFR 330.5 relating to the modification, suspension, or revocation of any NWP authorization.

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

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

(c) The permittee understands and agrees that, if future operations by the United



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

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

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

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

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

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

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

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

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

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

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

12. Soil Erosion and Sediment Controls. Appropriate soil erosion and sediment controls must be used and maintained in effective operating condition during construction, and all exposed soil and other

fills, as well as any work below the ordinary high water mark or high tide line, must be permanently stabilized at the earliest practicable date. Permittees are encouraged to perform work within waters of the United States during periods of low-flow or no-flow, or during low tides.

13. Removal of Temporary Structures and Fills. Temporary structures must be removed, to the maximum extent practicable, after their use has been discontinued. Temporary fills must be removed in their entirety and the affected areas returned to pre-construction elevations. The affected areas must be revegetated, as appropriate.

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

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

16. Wild and Scenic Rivers. (a) No NWP activity may occur in a component of the National Wild and Scenic River System, or in a river officially designated by Congress as a "study river" for possible inclusion in the system while the river is in an official study status, unless the appropriate Federal agency with direct management responsibility for such river, has determined in writing that the proposed activity will not adversely affect the Wild and Scenic River designation or study status.

(b) If a proposed NWP activity will occur in a component of the National Wild and Scenic River System, or in a river officially designated by Congress as a "study river" for possible inclusion in the system while the river is in an official study status, the permittee must submit a pre-construction notification (see general condition 32). The district engineer will coordinate the PCN with the Federal agency with direct

management responsibility for that river. Permittees shall not begin the NWP activity until notified by the district engineer that the Federal agency with direct management responsibility for that river has determined in writing that the proposed NWP activity will not adversely affect the Wild and Scenic River designation or study status.

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

17. Tribal Rights. No activity or its operation may impair reserved tribal rights, including, but not limited to, reserved water rights and treaty fishing and hunting rights.

18. Endangered Species. (a) No activity is authorized under any NWP which is likely to directly or indirectly jeopardize the continued existence of a threatened or endangered species or a species proposed for such designation, as identified under the Federal Endangered Species Act (ESA), or which will directly or indirectly destroy or adversely modify designated critical habitat or critical habitat proposed for such designation. No activity is authorized under any NWP which "may affect" a listed species or critical habitat, unless ESA section 7 consultation addressing the consequences of the proposed activity on listed species or critical habitat has been completed. See 50 CFR 402.02 for the definition of "effects of the action" for the purposes of ESA section 7 consultation, as well as 50 CFR 402.17, which provides further explanation under ESA section 7 regarding "activities that are reasonably certain to occur" and "consequences caused by the proposed action."

(b) Federal agencies should follow their own procedures for complying with the requirements of the ESA (see 33 CFR 330.4(f)(1)). If pre-construction notification is required for the proposed activity, the Federal permittee must provide the district engineer with the appropriate

documentation to demonstrate compliance with those requirements. The district engineer will verify that the appropriate documentation has been submitted. If the appropriate documentation has not been submitted, additional ESA section 7 consultation may be necessary for the activity and the respective federal agency would be responsible for fulfilling its obligation under section 7 of the ESA.

(c) Non-federal permittees must submit a pre-construction notification to the district engineer if any listed species (or species proposed for listing) or designated critical habitat (or critical habitat proposed such designation) might be affected or is in the vicinity of the activity, or if the activity is located in designated critical habitat or critical habitat proposed for such designation, and shall not begin work on the activity until notified by the district engineer that the requirements of the ESA have been satisfied and that the activity is authorized. For activities that might affect Federally-listed endangered or threatened species (or species proposed for listing) or designated critical habitat (or critical habitat proposed for such designation), the pre-construction notification must include the name(s) of the endangered or threatened species (or species proposed for listing) that might be affected by the proposed activity or that utilize the designated critical habitat (or critical habitat proposed for such designation) that might be affected by the proposed activity. The district engineer will determine whether the proposed activity "may affect" or will have "no effect" to listed species and designated critical habitat and will notify the non-Federal applicant of the Corps' determination within 45 days of receipt of a complete pre-construction notification. For activities where the non-Federal applicant has identified listed species (or species proposed for listing) or designated critical habitat (or critical habitat proposed for such designation) that might be affected or is in the vicinity of the activity, and has so notified the Corps, the applicant shall not begin work until the Corps has provided notification that the proposed activity will have "no effect" on listed species (or species proposed for listing) or designated critical habitat (or critical habitat proposed for such designation), or until ESA section 7

consultation or conference has been completed. If the non-Federal applicant has not heard back from the Corps within 45 days, the applicant must still wait for notification from the Corps.

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

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

(f) If the non-federal permittee has a valid ESA section 10(a)(1)(B) incidental take permit with an approved Habitat Conservation Plan for a project or a group of projects that includes the proposed NWP activity, the non-federal applicant should provide a copy of that ESA section 10(a)(1)(B) permit with the PCN required by paragraph (c) of this general condition. The district engineer will coordinate with the agency that issued the ESA section 10(a)(1)(B) permit to determine whether the proposed NWP activity and the associated incidental take were considered in the internal ESA section 7 consultation conducted for the ESA section 10(a)(1)(B) permit. If that coordination results in concurrence from the agency that the proposed NWP activity and the associated incidental take were considered in the internal ESA section 7 consultation for the ESA section 10(a)(1)(B) permit, the district

engineer does not need to conduct a separate ESA section 7 consultation for the proposed NWP activity. The district engineer will notify the non-federal applicant within 45 days of receipt of a complete pre-construction notification whether the ESA section 10(a)(1)(B) permit covers the proposed NWP activity or whether additional ESA section 7 consultation is required.

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

19. Migratory Birds and Bald and Golden Eagles. The permittee is responsible for ensuring that an action authorized by an NWP complies with the Migratory Bird Treaty Act and the Bald and Golden Eagle Protection Act. The permittee is responsible for contacting the appropriate local office of the U.S. Fish and Wildlife Service to determine what measures, if any, are necessary or appropriate to reduce adverse effects to migratory birds or eagles, including whether "incidental take" permits are necessary and available under the Migratory Bird Treaty Act or Bald and Golden Eagle Protection Act for a particular activity.

20. Historic Properties. (a) No activity is authorized under any NWP which may have the potential to cause effects to properties listed, or eligible for listing, in the National Register of Historic Places until the requirements of Section 106 of the National Historic Preservation Act (NHPA) have been satisfied.

(b) Federal permittees should follow their own procedures for complying with the requirements of section 106 of the National Historic Preservation Act (see 33 CFR 330.4(g)(1)). If pre-construction notification is required for the proposed NWP activity, the Federal permittee must provide the district engineer with the appropriate documentation to demonstrate compliance with those requirements. The

district engineer will verify that the appropriate documentation has been submitted. If the appropriate documentation is not submitted, then additional consultation under section 106 may be necessary. The respective federal agency is responsible for fulfilling its obligation to comply with section 106.

(c) Non-federal permittees must submit a pre-construction notification to the district engineer if the NWP activity might have the potential to cause effects to any historic properties listed on, determined to be eligible for listing on, or potentially eligible for listing on the National Register of Historic Places, including previously unidentified properties. For such activities, the pre-construction notification must state which historic properties might have the potential to be affected by the proposed NWP activity or include a vicinity map indicating the location of the historic properties or the potential for the presence of historic properties. Assistance regarding information on the location of, or potential for, the presence of historic properties can be sought from the State Historic Preservation Officer, Tribal Historic Preservation Officer, or designated tribal representative, as appropriate, and the National Register of Historic Places (see 33 CFR 330.4(g)). When reviewing pre-construction notifications, district engineers will comply with the current procedures for addressing the requirements of section 106 of the National Historic Preservation Act. The district engineer shall make a reasonable and good faith effort to carry out appropriate identification efforts commensurate with potential impacts, which may include background research, consultation, oral history interviews, sample field investigation, and/or field survey. Based on the information submitted in the PCN and these identification efforts, the district engineer shall determine whether the proposed NWP activity has the potential to cause effects on the historic properties. Section 106 consultation is not required when the district engineer determines that the activity does not have the potential to cause effects on historic properties (see 36 CFR 800.3(a)). Section 106 consultation is required when the district engineer determines that the activity has the potential

to cause effects on historic properties. The district engineer will conduct consultation with consulting parties identified under 36 CFR 800.2(c) when he or she makes any of the following effect determinations for the purposes of section 106 of the NHPA: no historic properties affected, no adverse effect, or adverse effect.

(d) Where the non-Federal applicant has identified historic properties on which the proposed NWP activity might have the potential to cause effects and has so notified the Corps, the non-Federal applicant shall not begin the activity until notified by the district engineer either that the activity has no potential to cause effects to historic properties or that NHPA section 106 consultation has been completed. For non-federal permittees, the district engineer will notify the prospective permittee within 45 days of receipt of a complete pre-construction notification whether NHPA section 106 consultation is required. If NHPA section 106 consultation is required, the district engineer will notify the non-Federal applicant that he or she cannot begin the activity until section 106 consultation is completed. If the non-Federal applicant has not heard back from the Corps within 45 days, the applicant must still wait for notification from the Corps.

(e) Prospective permittees should be aware that section 110k of the NHPA (54 U.S.C. 306113) prevents the Corps from granting a permit or other assistance to an applicant who, with intent to avoid the requirements of section 106 of the NHPA, has intentionally significantly adversely affected a historic property to which the permit would relate, or having legal power to prevent it, allowed such significant adverse effect to occur, unless the Corps, after consultation with the Advisory Council on Historic Preservation (ACHP), determines that circumstances justify granting such assistance despite the adverse effect created or permitted by the applicant. If circumstances justify granting the assistance, the Corps is required to notify the ACHP and provide documentation specifying the circumstances, the degree of damage to the integrity of any historic properties affected, and proposed mitigation. This documentation must



include any views obtained from the applicant, SHPO/THPO, appropriate Indian tribes if the undertaking occurs on or affects historic properties on tribal lands or affects properties of interest to those tribes, and other parties known to have a legitimate interest in the impacts to the permitted activity on historic properties.

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

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

(a) Discharges of dredged or fill material into waters of the United States are not authorized by NWPs 7, 12, 14, 16, 17, 21, 29, 31, 35, 39, 40, 42, 43, 44, 49, 50, 51, 52, 57 and 58 for any activity within, or directly affecting, critical resource waters, including wetlands adjacent to such waters.

(b) For NWPs 3, 8, 10, 13, 15, 18, 19, 22, 23, 25, 27, 28, 30, 33, 34, 36, 37, 38, and 54, notification is required in accordance with general condition 32, for any activity proposed by permittees in the designated critical resource waters including wetlands

adjacent to those waters. The district engineer may authorize activities under these NWPs only after she or he determines that the impacts to the critical resource waters will be no more than minimal.

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

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

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

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

(d) Compensatory mitigation at a minimum one-for-one ratio will be required for all losses of stream bed that exceed 3/100-acre and require pre-construction notification, unless the district engineer determines in writing that either some other form of mitigation would be more environmentally appropriate or the adverse environmental effects of the proposed activity are no more

than minimal, and provides an activity-specific waiver of this requirement. This compensatory mitigation requirement may be satisfied through the restoration or enhancement of riparian areas next to streams in accordance with paragraph (e) of this general condition. For losses of stream bed of 3/100-acre or less that require pre-construction notification, the district engineer may determine on a case-by-case basis that compensatory mitigation is required to ensure that the activity results in only minimal adverse environmental effects. Compensatory mitigation for losses of streams should be provided, if practicable, through stream rehabilitation, enhancement, or preservation, since streams are difficult-to-replace resources (see 33 CFR 332.3(e)(3)).

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

engineer may waive or reduce the requirement to provide wetland compensatory mitigation for wetland losses.

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

(1) The prospective permittee is responsible for proposing an appropriate compensatory mitigation option if compensatory mitigation is necessary to ensure that the activity results in no more than minimal adverse environmental effects. For the NWP, the preferred mechanism for providing compensatory mitigation is mitigation bank credits or in-lieu fee program credits (see 33 CFR 332.3(b)(2) and (3)). However, if an appropriate number and type of mitigation bank or in-lieu credits are not available at the time the PCN is submitted to the district engineer, the district engineer may approve the use of permittee-responsible mitigation.

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

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

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

timely completion of the required compensatory mitigation (see 33 CFR 332.3(k)(3)). If permittee-responsible mitigation is the proposed option, and the proposed compensatory mitigation site is located on land in which another federal agency holds an easement, the district engineer will coordinate with that federal agency to determine if proposed compensatory mitigation project is compatible with the terms of the easement.

(5) If mitigation bank or in-lieu fee program credits are the proposed option, the mitigation plan needs to address only the baseline conditions at the impact site and the number of credits to be provided (see 33 CFR 332.4(c)(1)(ii)).

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

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

(h) Permittees may propose the use of mitigation banks, in-lieu fee programs, or permittee-responsible mitigation. When developing a compensatory mitigation proposal, the permittee must consider appropriate and practicable options consistent with the framework at 33 CFR 332.3(b). For activities resulting in the loss of marine or estuarine resources, permittee-responsible mitigation may be environmentally preferable if there are no mitigation banks or in-lieu fee programs in

the area that have marine or estuarine credits available for sale or transfer to the permittee. For permittee-responsible mitigation, the special conditions of the NWP verification must clearly indicate the party or parties responsible for the implementation and performance of the compensatory mitigation project, and, if required, its long-term management.

(i) Where certain functions and services of waters of the United States are permanently adversely affected by a regulated activity, such as discharges of dredged or fill material into waters of the United States that will convert a forested or scrub-shrub wetland to a herbaceous wetland in a permanently maintained utility line right-of-way, mitigation may be required to reduce the adverse environmental effects of the activity to the no more than minimal level.

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

25. Water Quality. (a) Where the certifying authority (state, authorized tribe, or EPA, as appropriate) has not previously certified compliance of an NWP with CWA section 401, a CWA section 401 water quality certification for the proposed discharge must be obtained or waived (see 33 CFR 330.4(c)). If the permittee cannot comply with all of the conditions of a water quality certification previously issued by certifying authority for the issuance of the NWP, then the permittee must obtain a water quality certification or waiver for the proposed discharge in order for the activity to be authorized by an NWP.

(b) If the NWP activity requires pre-construction notification and the certifying authority has not previously certified compliance of an NWP with CWA section 401, the proposed discharge is not

authorized by an NWP until water quality certification is obtained or waived. If the certifying authority issues a water quality certification for the proposed discharge, the permittee must submit a copy of the certification to the district engineer. The discharge is not authorized by an NWP until the district engineer has notified the permittee that the water quality certification requirement has been satisfied by the issuance of a water quality certification or a waiver.

(c) The district engineer or certifying authority may require additional water quality management measures to ensure that the authorized activity does not result in more than minimal degradation of water quality.

26. Coastal Zone Management. In coastal states where an NWP has not previously received a state coastal zone management consistency concurrence, an individual state coastal zone management consistency concurrence must be obtained, or a presumption of concurrence must occur (see 33 CFR 330.4(d)). If the permittee cannot comply with all of the conditions of a coastal zone management consistency concurrence previously issued by the state, then the permittee must obtain an individual coastal zone management consistency concurrence or presumption of concurrence in order for the activity to be authorized by an NWP. The district engineer or a state may require additional measures to ensure that the authorized activity is consistent with state coastal zone management requirements.

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

28. Use of Multiple Nationwide Permits. The use of more than one NWP for a single and complete project is authorized, subject to the following restrictions:

(a) If only one of the NWPs used to authorize the single and complete project has a specified acreage limit, the acreage loss of waters of the United States cannot exceed the acreage limit of the NWP with the highest specified acreage limit. For example, if a road crossing over tidal waters is constructed under NWP 14, with associated bank stabilization authorized by NWP 13, the maximum acreage loss of waters of the United States for the total project cannot exceed 1/3-acre.

(b) If one or more of the NWPs used to authorize the single and complete project has specified acreage limits, the acreage loss of waters of the United States authorized by those NWPs cannot exceed their respective specified acreage limits. For example, if a commercial development is constructed under NWP 39, and the single and complete project includes the filling of an upland ditch authorized by NWP 46, the maximum acreage loss of waters of the United States for the commercial development under NWP 39 cannot exceed 1/2-acre, and the total acreage loss of waters of United States due to the NWP 39 and 46 activities cannot exceed 1 acre.

29. Transfer of Nationwide Permit Verifications. If the permittee sells the property associated with a nationwide permit verification, the permittee may transfer the nationwide permit verification to the new owner by submitting a letter to the appropriate Corps district office to validate the transfer. A copy of the nationwide permit verification must be attached to the letter, and the letter must contain the following statement and signature:

“When the structures or work authorized by this nationwide permit are still in existence at the time the property is transferred, the terms and conditions of this nationwide permit, including any special conditions, will continue to be binding on the new owner(s) of the property. To validate the transfer of this nationwide permit and the associated liabilities associated with compliance with its terms and conditions, have the transferee sign and date below.”

\_\_\_\_\_  
(Transferee)

\_\_\_\_\_  
(Date)

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

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

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

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

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

31. Activities Affecting Structures or Works Built by the United States. If an

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

**32. Pre-Construction Notification.** (a) *Timing.* Where required by the terms of the NWP, the prospective permittee must notify the district engineer by submitting a pre-construction notification (PCN) as early as possible. The district engineer must determine if the PCN is complete within 30 calendar days of the date of receipt and, if the PCN is determined to be incomplete, notify the prospective permittee within that 30 day period to request the additional information necessary to make the PCN complete. The request must specify the information needed to make the PCN complete. As a general rule, district engineers will request additional information necessary to make the PCN complete only once. However, if the prospective permittee does not provide all of the requested information, then the district engineer will notify the prospective permittee that the PCN is still incomplete and the PCN review process will not commence until all of the requested information has been received by the district engineer. The prospective permittee shall not begin the activity until either:

- (1) He or she is notified in writing by the district engineer that the activity may proceed under the NWP with any special conditions imposed by the district or division engineer; or
- (2) 45 calendar days have passed from the district engineer's receipt of the complete PCN and the prospective permittee has not received written notice from the district or division engineer. However, if the

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

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

- (1) Name, address and telephone numbers of the prospective permittee;
- (2) Location of the proposed activity;
- (3) Identify the specific NWP or NWP(s) the prospective permittee wants to use to authorize the proposed activity;
- (4) (i) A description of the proposed activity; the activity's purpose; direct and indirect adverse environmental effects the activity would cause, including the anticipated amount of loss of wetlands, other special aquatic sites, and other waters expected to result from the NWP activity, in acres, linear feet, or other appropriate unit of measure; a description of any proposed mitigation measures intended to reduce the adverse environmental effects caused by the proposed activity; and any

other NWP(s), regional general permit(s), or individual permit(s) used or intended to be used to authorize any part of the proposed project or any related activity, including other separate and distant crossings for linear projects that require Department of the Army authorization but do not require pre-construction notification. The description of the proposed activity and any proposed mitigation measures should be sufficiently detailed to allow the district engineer to determine that the adverse environmental effects of the activity will be no more than minimal and to determine the need for compensatory mitigation or other mitigation measures.

(ii) For linear projects where one or more single and complete crossings require pre-construction notification, the PCN must include the quantity of anticipated losses of wetlands, other special aquatic sites, and other waters for each single and complete crossing of those wetlands, other special aquatic sites, and other waters (including those single and complete crossings authorized by an NWP but do not require PCNs). This information will be used by the district engineer to evaluate the cumulative adverse environmental effects of the proposed linear project, and does not change those non-PCN NWP activities into NWP PCNs.

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

(5) The PCN must include a delineation of wetlands, other special aquatic sites, and other waters, such as lakes and ponds, and perennial and intermittent streams, on the project site. Wetland delineations must be prepared in accordance with the current method required by the Corps. The permittee may ask the Corps to delineate the special aquatic sites and other waters on the project site, but there may be a delay if the Corps does the delineation, especially if the project site is large or contains many



wetlands, other special aquatic sites, and other waters. Furthermore, the 45-day period will not start until the delineation has been submitted to or completed by the Corps, as appropriate;

(6) If the proposed activity will result in the loss of greater than 1/10-acre of wetlands or 3/100-acre of stream bed and a PCN is required, the prospective permittee must submit a statement describing how the mitigation requirement will be satisfied, or explaining why the adverse environmental effects are no more than minimal and why compensatory mitigation should not be required. As an alternative, the prospective permittee may submit a conceptual or detailed mitigation plan.

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

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

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

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

*(c) Form of Pre-Construction Notification:* The nationwide permit pre-construction notification form (Form ENG 6082) should be used for NWP PCNs. A letter containing the required information may also be used. Applicants may provide electronic files of PCNs and supporting materials if the district engineer has established tools and procedures for electronic submittals.

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

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

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

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

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

#### **D. District Engineer's Decision**

1. In reviewing the PCN for the proposed activity, the district engineer will determine whether the activity authorized by the NWP will result in more than minimal individual or cumulative adverse environmental effects or may be contrary to the public interest. If a project proponent requests authorization by a specific NWP, the district engineer should issue the NWP verification for that activity if it meets the terms and conditions of that NWP, unless he or she determines, after considering mitigation, that the proposed activity will result in more than minimal individual and cumulative adverse effects on the aquatic environment and other aspects of the public interest and exercises discretionary authority to require an individual permit for the proposed activity. For a linear project, this determination will include an evaluation of the single and complete crossings of waters of the United States that require PCNs to determine whether they individually satisfy the terms and conditions of the NWP(s), as well as the cumulative effects caused by all of the crossings of waters of the United States authorized by an NWP. If an applicant requests a waiver of an applicable limit, as provided for in NWPs 13, 36, or 54, the district engineer will only grant the waiver upon a written determination that the NWP activity will result in only minimal individual and cumulative adverse environmental effects.

2. When making minimal adverse environmental effects determinations the district engineer will consider the direct and indirect effects caused by the NWP activity. He or she will also consider the cumulative adverse environmental effects caused by activities authorized by an NWP and whether those cumulative adverse environmental effects are no more than minimal. The district engineer will also consider site specific factors, such as the environmental setting in the vicinity of the

NWP activity, the type of resource that will be affected by the NWP activity, the functions provided by the aquatic resources that will be affected by the NWP activity, the degree or magnitude to which the aquatic resources perform those functions, the extent that aquatic resource functions will be lost as a result of the NWP activity (e.g., partial or complete loss), the duration of the adverse effects (temporary or permanent), the importance of the aquatic resource functions to the region (e.g., watershed or ecoregion), and mitigation required by the district engineer. If an appropriate functional or condition assessment method is available and practicable to use, that assessment method may be used by the district engineer to assist in the minimal adverse environmental effects determination. The district engineer may add case-specific special conditions to the NWP authorization to address site-specific environmental concerns.

3. If the proposed activity requires a PCN and will result in a loss of greater than 1/10-acre of wetlands or 3/100-acre of stream bed, the prospective permittee should submit a mitigation proposal with the PCN. Applicants may also propose compensatory mitigation for NWP activities with smaller impacts, or for impacts to other types of waters. The district engineer will consider any proposed compensatory mitigation or other mitigation measures the applicant has included in the proposal in determining whether the net adverse environmental effects of the proposed activity are no more than minimal. The compensatory mitigation proposal may be either conceptual or detailed. If the district engineer determines that the activity complies with the terms and conditions of the NWP and that the adverse environmental effects are no more than minimal, after considering mitigation, the district engineer will notify the permittee and include any activity-specific conditions in the NWP verification the district engineer deems necessary. Conditions for compensatory mitigation requirements must comply with the appropriate provisions at 33 CFR 332.3(k). The district engineer must approve the final mitigation plan before the permittee commences work in waters of the United States, unless the district engineer determines that prior approval of the final mitigation plan is not

practicable or not necessary to ensure timely completion of the required compensatory mitigation. If the prospective permittee elects to submit a compensatory mitigation plan with the PCN, the district engineer will expeditiously review the proposed compensatory mitigation plan. The district engineer must review the proposed compensatory mitigation plan within 45 calendar days of receiving a complete PCN and determine whether the proposed mitigation would ensure that the NWP activity results in no more than minimal adverse environmental effects. If the net adverse environmental effects of the NWP activity (after consideration of the mitigation proposal) are determined by the district engineer to be no more than minimal, the district engineer will provide a timely written response to the applicant. The response will state that the NWP activity can proceed under the terms and conditions of the NWP, including any activity-specific conditions added to the NWP authorization by the district engineer.

4. If the district engineer determines that the adverse environmental effects of the proposed activity are more than minimal, then the district engineer will notify the applicant either: (a) that the activity does not qualify for authorization under the NWP and instruct the applicant on the procedures to seek authorization under an individual permit; (b) that the activity is authorized under the NWP subject to the applicant's submission of a mitigation plan that would reduce the adverse environmental effects so that they are no more than minimal; or (c) that the activity is authorized under the NWP with specific modifications or conditions. Where the district engineer determines that mitigation is required to ensure no more than minimal adverse environmental effects, the activity will be authorized within the 45-day PCN period (unless additional time is required to comply with general conditions 18, 20, and/or 31), with activity-specific conditions that state the mitigation requirements. The authorization will include the necessary conceptual or detailed mitigation plan or a requirement that the applicant submit a mitigation plan that would reduce the adverse environmental effects so that they are no more than minimal. When compensatory mitigation is required, no

work in waters of the United States may occur until the district engineer has approved a specific mitigation plan or has determined that prior approval of a final mitigation plan is not practicable or not necessary to ensure timely completion of the required compensatory mitigation.

## **E. Further Information**

1. District engineers have authority to determine if an activity complies with the terms and conditions of an NWP.
2. NWPs do not obviate the need to obtain other federal, state, or local permits, approvals, or authorizations required by law.
3. NWPs do not grant any property rights or exclusive privileges.
4. NWPs do not authorize any injury to the property or rights of others.
5. NWPs do not authorize interference with any existing or proposed Federal project (see general condition 31).

## **F. Nationwide Permit Definitions**

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

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

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

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

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

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

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

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

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

water against a coast by strong winds such as those accompanying a hurricane or other intense storm.

Historic Property: Any prehistoric or historic district, site (including archaeological site), building, structure, or other object included in, or eligible for inclusion in, the National Register of Historic Places maintained by the Secretary of the Interior. This term includes artifacts, records, and remains that are related to and located within such properties. The term includes properties of traditional religious and cultural importance to an Indian tribe or Native Hawaiian organization and that meet the National Register criteria (36 CFR part 60).

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

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

Loss of waters of the United States: Waters of the United States that are permanently adversely affected by filling, flooding, excavation, or drainage because of the regulated activity. The loss of stream bed includes the acres of stream bed that are permanently adversely affected by filling or excavation because of the regulated activity. Permanent adverse effects include permanent discharges of dredged or fill material that change an aquatic area to dry land, increase the bottom elevation of a waterbody, or change the use of a waterbody. The acreage of loss of waters of the United States is a threshold measurement of the impact to jurisdictional waters or wetlands for determining whether a project may qualify for an NWP; it is not

a net threshold that is calculated after considering compensatory mitigation that may be used to offset losses of aquatic functions and services. Waters of the United States temporarily filled, flooded, excavated, or drained, but restored to pre-construction contours and elevations after construction, are not included in the measurement of loss of waters of the United States. Impacts resulting from activities that do not require Department of the Army authorization, such as activities eligible for exemptions under section 404(f) of the Clean Water Act, are not considered when calculating the loss of waters of the United States.

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

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

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

Ordinary High Water Mark: The term ordinary high water mark means that line on the shore established by the fluctuations of water and indicated by physical characteristics such as a clear, natural line impressed on the bank, shelving, changes in the character of soil, destruction of terrestrial vegetation, the presence of litter and debris, or other appropriate means that consider the characteristics of the surrounding areas.

Perennial stream: A perennial stream has surface water flowing continuously year-round during a typical year.

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

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

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

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

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

Restoration: The manipulation of the physical, chemical, or biological characteristics of a site with the goal of returning natural/historic functions to a former or degraded aquatic resource. For

the purpose of tracking net gains in aquatic resource area, restoration is divided into two categories: re-establishment and rehabilitation.

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

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

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

Single and complete linear project: A linear project is a project constructed for the purpose of getting people, goods, or services from a point of origin to a terminal point, which often involves multiple crossings of one or more waterbodies at separate and distant locations. The term "single and complete project" is defined as that portion of the total linear project proposed or accomplished by one owner/developer or partnership or other association of owners/developers that includes all crossings of a single water of



the United States (i.e., a single waterbody) at a specific location. For linear projects crossing a single or multiple waterbodies several times at separate and distant locations, each crossing is considered a single and complete project for purposes of NWP authorization. However, individual channels in a braided stream or river, or individual arms of a large, irregularly shaped wetland or lake, etc., are not separate waterbodies, and crossings of such features cannot be considered separately.

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

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

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

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

Stream channelization: The manipulation of a stream’s course, condition, capacity, or location that causes more than minimal

interruption of normal stream processes. A channelized jurisdictional stream remains a water of the United States.

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

Tidal wetland: A tidal wetland is a jurisdictional wetland that is inundated by tidal waters. Tidal waters rise and fall in a predictable and measurable rhythm or cycle due to the gravitational pulls of the moon and sun. Tidal waters end where the rise and fall of the water surface can no longer be practically measured in a predictable rhythm due to masking by other waters, wind, or other effects. Tidal wetlands are located channelward of the high tide line.

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

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

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

Waterbody: For purposes of the NWPs, a waterbody is a “water of the United States.” If a wetland is adjacent to a waterbody determined to be a water of the United

States, that waterbody and any adjacent wetlands are considered together as a single aquatic unit (see 33 CFR 328.4(c)(2)).

## **2021 KENTUCKY REGIONAL GENERAL CONDITIONS**

These regional conditions are in addition to, but do not supersede, the requirements in the Federal Register (See volume 86, date January 13, 2021, pp 2867-2874 for the text of Section C, General Conditions).

Notifications for all Nationwide Permits (NWP) shall be in accordance with General Condition No. 32.

1. For activities that would result in a loss of Outstanding State or National Resource Waters (OSNRWs), Exceptional Waters (EWs), Coldwater Aquatic Habitat Waters (CAHs) and waters with Designated Critical Habitat (DCH) under the Endangered Species Act for the NWPs listed below, a Pre-Construction Notification (PCN) will be required to the Corps. The Corps will coordinate with the appropriate resource agencies (see attached list) on these NWPs for impacts to these waters.

NWP 3 (Maintenance)

NWP 4 (Fish and Wildlife Harvesting, Enhancement, and Attraction Devices and Activities)

NWP 5 (Scientific Measurement Devices)

NWP 6 (Survey Activities)

NWP 12 (Oil or Natural Gas Pipeline Activities)

NWP 13 (Bank Stabilization)

NWP 14 (Linear Transportation Projects)

NWP 15 (U.S. Coast Guard Approved Bridges)

NWP 16 (Return Water from Upland Contained Disposal Areas)

NWP 17 (Hydropower Projects)

NWP 18 (Minor Discharges)

NWP 19 (Minor Dredging)

NWP 20 (Response Operations for Oil or Hazardous Substances)

NWP 22 (Removal of Vessels)

NWP 23 (Approved Categorical Exclusions)

NWP 25 (Structural Discharges)

NWP 30 (Moist Soil Management for Wildlife)

NWP 32 (Completed Enforcement Actions)

NWP 33 (Temporary Construction, Access, and Dewatering)

NWP 36 (Boat Ramps)

NWP 41 (Reshaping Existing Drainage Ditches)

NWP 51 (Land-Based Renewable Energy Generation Facilities)

NWP 57 (Electric Utility Line and Telecommunications Activities)

NWP 58 (Utility Line Activities for Water and Other Substances)

2. In addition to the notification and agency coordination requirements in the NWPs, for impacts greater than 0.25 acres in all "waters of the U.S." for the NWPs listed below, a PCN will be required to the Corps. The Corps will coordinate with the appropriate resource agencies (see attached list) on these NWPs:

NWP 3 (Maintenance)  
NWP 14 (Linear Transportation Projects)

3. Nationwide Permit No. 14 – Linear Transportation Projects.

- (a) New road alignments or realignments are limited to a permanent loss of 500 linear feet of intermittent or perennial stream length or the stream bed acreages listed in the table below at each crossing. Road crossings with permanent losses greater than 500 linear feet of intermittent or perennial stream or the stream bed acreages listed in the table below associated with new alignments or realignments will be evaluated as an individual permit (i.e., a Letter of Permission or Standard Permit).

Table of Acreages at Varying Stream Widths for 500 Linear Feet of Impact	
Stream Width (Feet)	Acres of Stream at Varying Widths for 500 Linear Feet of Stream
1	0.011
2	0.023
3	0.034
4	0.046
5	0.057
6	0.069
7	0.080
8	0.092
9	0.103
10	0.115

- (b) In addition to the notification requirements contained in NWP 14, the permittee must submit a PCN to the district engineer prior to commencing the activity for the permanent loss of greater than 300 linear feet of stream bed or the stream bed acreages listed in the table below. (See General Condition 32 and the definition of "loss of waters of the United States" in the Nationwide Permits for further information.)

Table of Acreages at Varying Stream Widths for 300 Linear Feet of Impact	
Stream Width (Feet)	Acres of Stream at Varying Widths for 300 Linear Feet of Stream
1	0.007
2	0.014
3	0.021
4	0.028
5	0.034
6	0.041
7	0.048
8	0.055
9	0.062
10	0.069

4. Notification in accordance with General Condition 32 is required to the Corps for all activities located in the following Section 10 waterways, to include the portion of their tributaries below the Ordinary High Water Mark or navigation pool, or otherwise subject to inundation, by the Section 10 waterway:
  - Mississippi River
  - Ohio River
  - Licking River
  - Kentucky River
  - Salt River
  - Green River
  - Cumberland River
  - Tennessee River
  - Big Sandy River (from mouth to Louisa, KY)
5. All applications and requests should be submitted electronically. To submit applications or other requests electronically, all documents should be saved as a PDF document, and then submitted as an attachment in an email to the following email address:

[CELRL.Door.To.The.Corps@usace.army.mil](mailto:CELRL.Door.To.The.Corps@usace.army.mil)

Your email should include the following:

- a) Subject Line with the name of the applicant, type of request, and location (County and State). Example: RE: Doe, John, DA Permit Application, Jefferson County, KY
- b) Brief description of the request and contact information (phone number, mailing address, and email address) for the applicant and/or their agent.

c) Project Location: Address and Latitude/Longitude in decimal degrees (e.g. 42.927883, -88.362576).

All forms that require signature must be digitally signed or signed manually, scanned and then sent electronically.

Electronic documents must have sufficient resolution to show project details. In order to have the highest quality documents, the original digital documents should be converted to PDF rather than providing scanned copies of original documents.

The electronic application and attached documents must not exceed 10 megabytes (10MB).

6. For all activities, the applicant shall review the U.S. Fish and Wildlife Service's IPaC website: <http://ecos.fws.gov/ipac> to determine if the activity might affect threatened and/or endangered species or designated critical habitat. If federally-listed species or designated critical habitat are identified, a PCN in accordance with General Condition 18 and 32 would be triggered and the official species list generated from the IPaC website must be submitted with the PCN.

Further information:

Outstanding State or National Resource Water (OSNRWs), Exceptional Waters (EWs), and Coldwater Aquatic Habitat Waters (CAHs) are waters designated by the Commonwealth of Kentucky, Natural Resources and Environmental Protection Cabinet. The list can be found at the following link: <http://eppcapp.ky.gov/spwaters/>

Designated Critical Habitat (DCH) under the Endangered Species Act is determined within the Commonwealth of Kentucky by the U.S. Fish and Wildlife Service. The current list of Kentucky's Threatened, Endangered, and Federal Candidate Species can be found at the following link: <http://www.fws.gov/frankfort/EndangeredSpecies.html>

Information on Pre-Construction Notification (PCN) can be found at NWP General Condition No. 32 in the Federal Register (See volume 86, date January 13, 2021, pp 2867-2874 for the text of Section C, General Conditions).

**COORDINATING RESOURCE AGENCIES**

Chief, Wetlands Regulatory Section  
U.S. Environmental Protection Agency  
Region IV  
Atlanta Federal Center  
61 Forsyth Street, SW  
Atlanta, Georgia 30303

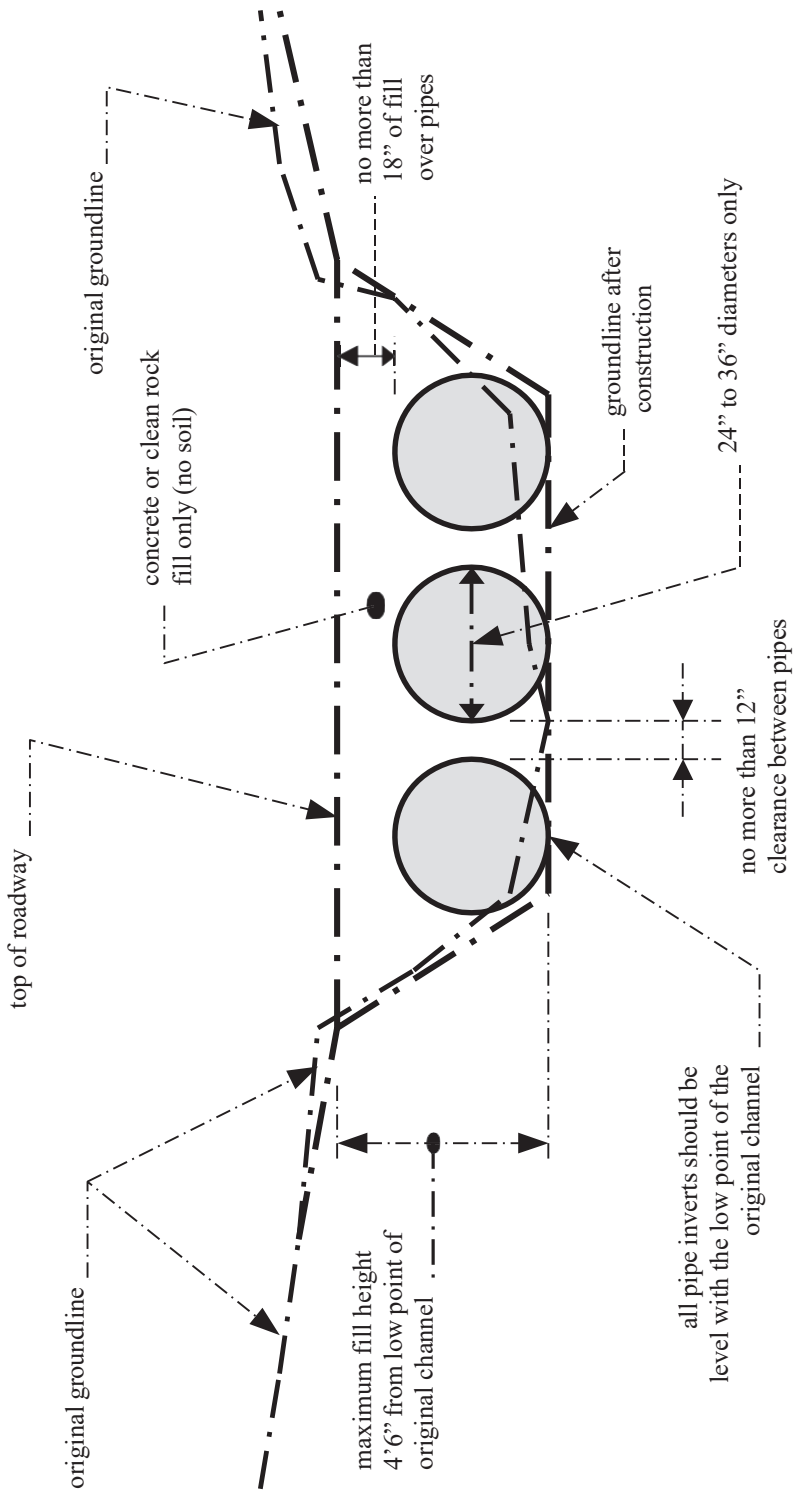
Supervisor  
U.S. Fish & Wildlife Service  
JC Watts Federal Building, Room 265  
330 West Broadway  
Frankfort, Kentucky 40601

Supervisor  
401 Water Quality Certification  
Kentucky Division of Water  
300 Sower Boulevard, 3<sup>rd</sup> Floor  
Frankfort, KY 40601

Commissioner  
Department of Fish and Wildlife Resources  
#1 Sportsman's Lane  
Frankfort, KY 40601

Executive Director and State Historic Preservation Officer  
Kentucky Heritage Council  
410 High Street  
Frankfort, KY 40601

ATTACHMENT 1



NOTES:

1. This is a conceptual drawing. The number and size of pipes and other details will vary depending on specific site conditions.
2. The pipes and backfill must be contained within the stream channel as shown above. During the construction of the approaches and access roadway across the floodplain, unstable and unconsolidated materials unsuitable for roadways may be excavated and replaced with riprap, crushed stone, or other stable road construction materials. This may only be done, however, with the following provisions: (1) the disposal of excess, unconsolidated materials thus excavated must be outside of the floodplain and (2) the finished surface of the completed road may be no more than three inches (3") above the pre-construction surface of the floodplain at any point beyond the top of banks.

LOW-WATER CROSSING

STANDARD DRAWING  
Not to Scale

KyTC BMP Plan for Project PCN ## - #####



**Kentucky Transportation Cabinet**

**Highway District 10**

**And**

**\_\_\_\_\_ (2), Construction**

**Kentucky Pollutant Discharge Elimination System**

**Permit KYR10**

**Best Management Practices (BMP) plan**

**Groundwater protection plan**

**For Highway Construction Activities**

**For KYTC SYP #10-174.00**

**[KY 613 Little North Fork Road]**

**Project: PCN ## - #####**



## KyTC BMP Plan for Project PCN ## - #####

### Project information

Note – (1) = Design (2) = Construction (3) = Contractor

1. Owner – Kentucky Transportation Cabinet, District \_10\_
2. Resident Engineer: (2)
3. Contractor name: (2)  
Address: (2)  
  
Phone number: (2)  
Contact: (2)  
Contractors agent responsible for compliance with the KPDES permit requirements (3):
4. Project Control Number (2)
5. Route (Address) KY 613 (Little North Fork Road) (1)
6. Latitude/Longitude (project mid-point) 37°50'36", -83°46'13" (1)
7. County (project mid-point) Powell County. (1)
8. Project start date (date work will begin): (2)
9. Projected completion date: (2)

### A. Site description:

1. Nature of Construction Activity (from letting project description)  
Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River in Powell County. (1)
2. Order of major soil disturbing activities (2) and (3)
3. Projected volume of material to be moved  
3,585 cubic yards to be excavated. (1)

## KyTC BMP Plan for Project PCN ## - ####

4. Estimate of total project area (acres) Approximately 4.65 acres (1)
5. Estimate of area to be disturbed (acres) Approximately 2.81 acres (1)
6. Post construction runoff coefficient will be included in the project drainage folder. Persons needing information pertaining to the runoff coefficient will contact the resident engineer to request this information.
7. Data describing existing soil condition (2)
8. Data describing existing discharge water quality (if any) (1) & (2)
9. Receiving water name **Tributaries to Red River.**
10. TMDLs and Pollutants of Concern in Receiving Waters: (1 DEA)
11. Site map – Project layout sheet plus the erosion control sheets in the project plans that depict Disturbed Drainage Areas (DDAs) and related information. These sheets depict the existing project conditions with areas delineated by DDA (drainage area bounded by watershed breaks and right of way limits), the storm water discharge locations (either as a point discharge or as overland flow) and the areas that drain to each discharge point. These plans define the limits of areas to be disturbed and the location of control measures. Controls will be either site specific as designated by the designer or will be annotated by the contractor and resident engineer before disturbance commences. The project layout sheet shows the surface waters and wetlands.
12. Potential sources of pollutants:  
  
The primary source of pollutants is solids that are mobilized during storm events. Other sources of pollutants include oil/fuel/grease from servicing and operating construction equipment, concrete washout water, sanitary wastes and trash/debris. (3)

## **B. Sediment and Erosion Control Measures:**

1. Plans for highway construction projects will include erosion control sheets that depict Disturbed Drainage Areas (DDAs) and related information. These plan sheets will show the existing project conditions with areas delineated by DDA within the right of way limits, the discharge points and the areas that drain to each discharge point. Project managers and designers will analyze the DDAs and identify Best Management Practices

## KyTC BMP Plan for Project PCN ## - #####

(BMPs) that are site specific. The balance of the BMPs for the project will be listed in the bid documents for selection and use by the contractor on the project with approval by the resident engineer.

Projects that do not have DDAs annotated on the erosion control sheets will employ the same concepts for development and managing BMP plans.

2. Following award of the contract, the contractor and resident engineer will annotate the erosion control sheets showing location and type of BMPs for each of the DDAs that will be disturbed at the outset of the project. This annotation will be accompanied by an order of work that reflects the order or sequence of major soil moving activities. The remaining DDAs are to be designated as "Do Not Disturb" until the contractor and resident engineer prepare the plan for BMPs to be employed. The initial BMP's shall be for the first phase (generally Clearing and Grubbing) and shall be modified as needed as the project changes phases. The BMP Plan will be modified to reflect disturbance in additional DDA's as the work progresses. All DDA's will have adequate BMP's in place before being disturbed.
3. As DDAs are prepared for construction, the following will be addressed for the project as a whole or for each DDA as appropriate:
  - Construction Access – This is the first land-disturbing activity. As soon as construction begins, bare areas will be stabilized with gravel and temporary mulch and/or vegetation.
  - At the beginning of the project, all DDAs for the project will be inspected for areas that are a source of storm water pollutants. Areas that are a source of pollutants will receive appropriate cover or BMPs to arrest the introduction of pollutants into storm water. Areas that have not been opened by the contractor will be inspected periodically (once per month) to determine if there is a need to employ BMPs to keep pollutants from entering storm water.
  - Clearing and Grubbing – The following BMP's will be considered and used where appropriate.
    - Leaving areas undisturbed when possible.
    - Silt basins to provide silt volume for large areas.
    - Silt Traps Type A for small areas.
    - Silt Traps Type C in front of existing and drop inlets which are to be saved
    - Diversion ditches to catch sheet runoff and carry it to basins or traps or to divert it around areas to be disturbed.

## KyTC BMP Plan for Project PCN ## - #####

- Brush and/or other barriers to slow and/or divert runoff.
- Silt fences to catch sheet runoff on short slopes. For longer slopes, multiple rows of silt fence may be considered.
- Temporary Mulch for areas which are not feasible for the fore mentioned types of protections.
- Non-standard or innovative methods.
- Cut & Fill and placement of drainage structures - The BMP Plan will be modified to show additional BMP's such as:
  - Silt Traps Type B in ditches and/or drainways as they are completed
  - Silt Traps Type C in front of pipes after they are placed
  - Channel Lining
  - Erosion Control Blanket
  - Temporary mulch and/or seeding for areas where construction activities will be ceased for 21 days or more.
  - Non-standard or innovative methods
- Profile and X-Section in place – The BMP Plan will be modified to show elimination of BMP's which had to be removed and the addition of new BMP's as the roadway was shaped. Probably changes include:
  - Silt Trap Type A, Brush and/or other barriers, Temporary Mulch, and any other BMP which had to be removed for final grading to take place.
  - Additional Silt Traps Type B and Type C to be placed as final drainage patterns are put in place.
  - Additional Channel Lining and/or Erosion Control Blanket.
  - Temporary Mulch for areas where Permanent Seeding and Protection cannot be done within 21 days.
  - Special BMP's such as Karst Policy
- Finish Work (Paving, Seeding, Protect, etc.) – A final BMP Plan will result from modifications during this phase of construction. Probably changes include:
  - Removal of Silt Traps Type B from ditches and drainways if they are protected with other BMP's which are sufficient to control erosion, i.e. Erosion Control Blanket or Permanent Seeding and Protection on moderate grades.
  - Permanent Seeding and Protection
  - Placing Sod
  - Planting trees and/or shrubs where they are included in the project
- BMP's including Storm Water Management Devices such as velocity dissipation devices and Karst policy BMP's to be installed during construction to control the pollutants in storm water discharges that will occur after construction has been completed are : (1)

## KyTC BMP Plan for Project PCN ## - #####

### C. Other Control Measures

1. No solid materials, including building materials, shall be discharged to waters of the commonwealth, except as authorized by a Section 404 permit.

All waste materials that may leach pollutants (paint and paint containers, caulk tubes, oil/grease containers, liquids of any kind, soluble materials, etc.) will be collected and stored in appropriate covered waste containers. Waste containers shall be removed from the project site on a sufficiently frequent basis as to not allow wastes to become a source of pollution. All personnel will be instructed regarding the correct procedure for waste disposal. Wastes will be disposed in accordance with appropriate regulations. Notices stating these practices will be posted in the office.

2. Hazardous Waste

All hazardous waste materials will be managed and disposed of in the manner specified by local or state regulation. The contractor shall notify the Resident Engineer if there any hazardous wastes being generated at the project site and how these wastes are being managed. Site personnel will be instructed with regard to proper storage and handling of hazardous wastes when required. The Transportation Cabinet will file for generator, registration when appropriate, with the Division of Waste Management and advise the contractor regarding waste management requirements.

3. Spill Prevention

The following material management practices will be used to reduce the risk of spills or other exposure of materials and substances to the weather and/or runoff.

➤ **Good Housekeeping:**

The following good housekeeping practices will be followed onsite during the construction project.

- An effort will be made to store only enough product required to do the job
- All materials stored onsite will be stored in a neat, orderly manner in their appropriate containers and, if possible, under a roof or other enclosure
- Products will be kept in their original containers with the original manufacturer's label
- Substances will not be mixed with one another unless recommended by the manufacturer

## KyTC BMP Plan for Project PCN ## - #####

- Whenever possible, all of the product will be used up before disposing of the container
- Manufacturers' recommendations for proper use and disposal will be followed
- The site contractor will inspect daily to ensure proper use and disposal of materials onsite

### ➤ **Hazardous Products:**

These practices will be used to reduce the risks associated with any and all hazardous materials.

- Products will be kept in original containers unless they are not resealable
- Original labels and material safety data sheets (MSDS) will be reviewed and retained
- Contractor will follow procedures recommended by the manufacturer when handling hazardous materials
- If surplus product must be disposed of, manufacturers' or state/local recommended methods for proper disposal will be followed

**The following product-specific practices will be followed onsite:**

### ➤ **Petroleum Products:**

Vehicles and equipment that are fueled and maintained on site will be monitored for leaks, and receive regular preventative maintenance to reduce the chance of leakage. Petroleum products onsite will be stored in tightly sealed containers, which are clearly labeled and will be protected from exposure to weather.

The contractor shall prepare an Oil Pollution Spill Prevention Control and Countermeasure plan when the project that involves the storage of petroleum products in 55 gallon or larger containers with a total combined storage capacity of 1,320 gallons. This is a requirement of 40 CFR 112.

This project (will / will not) (3) have over 1,320 gallons of petroleum products with a total capacity, sum of all containers 55 gallon capacity and larger.

### ➤ **Fertilizers:**

Fertilizers will be applied at rates prescribed by the contract, standard specifications or as directed by the resident engineer. Once applied, fertilizer will be covered with mulch or blankets or worked into the soil to limit exposure to storm water. Storage will be in a covered shed. The contents of any partially used bags of fertilizer will be transferred to a sealable plastic bin to avoid spills.

## KyTC BMP Plan for Project PCN ## - #####

### ➤ **Paints:**

All containers will be tightly sealed and stored indoors or under roof when not being used. Excess paint or paint wash water will not be discharged to the drainage or storm sewer system but will be properly disposed of according to manufacturers' instructions or state and local regulations.

### ➤ **Concrete Truck Washout:**

Concrete truck mixers and chutes will not be washed on pavement, near storm drain inlets, or within 75 feet of any ditch, stream, wetland, lake, or sinkhole. Where possible, excess concrete and wash water will be discharged to areas prepared for pouring new concrete, flat areas to be paved that are away from ditches or drainage system features, or other locations that will not drain off site. Where this approach is not possible, a shallow earthen wash basin will be excavated away from ditches to receive the wash water

### ➤ **Spill Control Practices**

In addition to the good housekeeping and material management practices discussed in the previous sections of this plan, the following practices will be followed for spill prevention and cleanup:

- Manufacturers' recommended methods for spill cleanup will be clearly posted. All personnel will be made aware of procedures and the location of the information and cleanup supplies.
- Materials and equipment necessary for spill cleanup will be kept in the material storage area. Equipment and materials will include as appropriate, brooms, dust pans, mops, rags, gloves, oil absorbents, sand, sawdust, and plastic and metal trash containers.
- All spills will be cleaned up immediately after discovery.
- The spill area will be kept well ventilated and personnel will wear appropriate protective clothing to prevent injury from contact with a hazardous substance.
- Spills of toxic or hazardous material will be reported to the appropriate state/local agency as required by KRS 224 and applicable federal law.
- The spill prevention plan will be adjusted as needed to prevent spills from reoccurring and improve spill response and cleanup.
- Spills of products will be cleaned up promptly. Wastes from spill clean up will be disposed in accordance with appropriate regulations.

## **D. Other State and Local Plans**

This BMP plan shall include any requirements specified in sediment and erosion control plans, storm water management plans or permits that have been



## KyTC BMP Plan for Project PCN ## - #####

approved by other state or local officials. Upon submittal of the NOI, other requirements for surface water protection are incorporated by reference into and are enforceable under this permit (even if they are not specifically included in this BMP plan). This provision does not apply to master or comprehensive plans, non-enforceable guidelines or technical guidance documents that are not identified in a specific plan or permit issued for the construction site by state or local officials. (1)

### E. Maintenance

1. The BMP plan shall include a clear description of the maintenance procedures necessary to keep the control measures in good and effective operating condition.
- Maintenance of BMPs during construction shall be a result of weekly and post rain event inspections with action being taken by the contractor to correct deficiencies.
  - Post Construction maintenance will be a function of normal highway maintenance operations. Following final project acceptance by the cabinet, district highway crews will be responsible for identification and correction of deficiencies regarding ground cover and cleaning of storm water BMPs. The project manager shall identify any BMPs that will be for the purpose of post construction storm water management with specific guidance for any non-routine maintenance. (1)

### F. Inspections

Inspection and maintenance practices that will be used to maintain erosion and sediment controls:

- All erosion prevention and sediment control measures will be inspected at least once each week and following any rain of one-half inch or more.
- Inspections will be conducted by individuals that have successfully completed the KEPSC-RI course as required by Section 213.02.02 of the Standard Specifications for Road and Bridge Construction, current edition.
- Inspection reports will be written, signed, dated, and kept on file.
- Areas at final grade will be seeded and mulched within 14 days.
- Areas that are not at final grade where construction has ceased for a period of 21 days or longer and soil stock piles shall receive temporary



## KyTC BMP Plan for Project PCN ## - #####

mulch no later than 14 days from the last construction activity in that area.

- All measures will be maintained in good working order; if a repair is necessary, it will be initiated within 24 hours of being reported.
- Built-up sediment will be removed from behind the silt fence before it has reached halfway up the height of the fence.
- Silt fences will be inspected for bypassing, overtopping, undercutting, depth of sediment, tears, and to ensure attachment to secure posts.
- Sediment basins will be inspected for depth of sediment, and built-up sediment will be removed when it reaches 70 percent of the design capacity and at the end of the job.
- Diversion dikes and berms will be inspected and any breaches promptly repaired. Areas that are eroding or scouring will be repaired and re-seeded / mulched as needed.
- Temporary and permanent seeding and mulching will be inspected for bare spots, washouts, and healthy growth. Bare or eroded areas will be repaired as needed.
- All material storage and equipment servicing areas that involve the management of bulk liquids, fuels, and bulk solids will be inspected weekly for conditions that represent a release or possible release of pollutants to the environment.

## G. Non – Storm Water discharges

It is expected that non-storm water discharges may occur from the site during the construction period. Examples of non-storm water discharges include:

- Water from water line flushings.
- Water from cleaning concrete trucks and equipment.
- Pavement wash waters (where no spills or leaks of toxic or hazardous materials have occurred).
- Uncontaminated groundwater and rain water (from dewatering during excavation).

All non-storm water discharges will be directed to the sediment basin or to a filter fence enclosure in a flat vegetated infiltration area or be filtered via another approved commercial product.

## H. Groundwater Protection Plan (3)

## KyTC BMP Plan for Project PCN ## - #####

This plan serves as the groundwater protection plan as required by 401 KAR 5:037.

➤ Contractors statement: (3)

The following activities, as enumerated by 401 KAR 5:037 Section 2 that require the preparation and implementation of a groundwater protection plan, will or may be may be conducted as part of this construction project:

\_\_\_\_\_ 2. (e) land treatment or land disposal of a pollutant;

\_\_\_\_\_ 2. (f) Storing, ..., or related handling of hazardous waste, solid waste or special waste, ..., in tanks, drums, or other containers, or in piles, (This does not include wastes managed in a container placed for collection and removal of municipal solid waste for disposal off site);

\_\_\_\_\_ 2. (g) .... Handling of materials in bulk quantities (equal or greater than 55 gallons or 100 pounds net dry weight transported held in an individual container) that, if released to the environment, would be a pollutant;

\_\_\_\_\_ 2. (j) Storing or related handling of road oils, dust suppressants, ...., at a central location;

\_\_\_\_\_ 2. (k) Application or related handling of road oils, dust suppressants or deicing materials, (does not include use of chloride-based deicing materials applied to roads or parking lots);

\_\_\_\_\_ 2. (m) Installation, construction, operation, or abandonment of wells, bore holes, or core holes, (this does not include bore holes for the purpose of explosive demolition);

Or, check the following only if there are no qualifying activities

\_\_\_\_\_ There are no activities for this project as listed in 401 KAR 5:037 Section 2 that require the preparation and implementation of a groundwater protection plan.

The contractor is responsible for the preparation of a plan that addresses the

401 KAR 5:037 Section 3. (3) Elements of site specific groundwater protection plan:

- (a) General information about this project is covered in the Project information;
- (b) Activities that require a groundwater protection plan have been identified above;

KyTC BMP Plan for Project PCN ## - #####

- (c) Practices that will protect groundwater from pollution are addressed in section C. Other control measures.
- (d) Implementation schedule – all practices required to prevent pollution of groundwater are to be in place prior to conducting the activity;
- (e) Training is required as a part of the ground water protection plan. All employees of the contractor, sub-contractor and resident engineer personnel will be trained to understand the nature and requirements of this plan as they pertain to their job function(s). Training will be accomplished within one week of employment and annually thereafter. A record of training will be maintained by the contractor with a copy provide to the resident engineer.
- (f) Areas of the project and groundwater plan activities will be inspected as part of the weekly sediment and erosion control inspections
- (g) Certification (see signature page.)

KyTC BMP Plan for Project PCN ## - #####

Contractor and Resident Engineer Plan certification

The contractor that is responsible for implementing this BMP plan is identified in the Project Information section of this plan.

The following certification applies to all parties that are signatory to this BMP plan:

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gathered and evaluated the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations. Further, this plan complies with the requirements of 401 KAR 5:037. By this certification, the undersigned state that the individuals signing the plan have reviewed the terms of the plan and will implement its provisions as they pertain to ground water protection.

Resident Engineer and Contractor Certification:

(2) Resident Engineer signature

Signed \_\_\_\_\_ title \_\_\_\_\_, \_\_\_\_\_  
Typed or printed name<sup>2</sup> signature

(3) Signed \_\_\_\_\_ title \_\_\_\_\_, \_\_\_\_\_  
Typed or printed name<sup>1</sup> signature

1. Contractors Note: to be signed by a person who is the owner, a responsible corporate officer, a general partner or the proprietor or a person designated to have the authority to sign reports by such a person in accordance with 401 KAR 5:060 Section 9. This delegation shall be in writing to: Manager, KPDES Branch, Division of Water, 14 Reilly Road, Frankfort Kentucky 40601. Reference the Project Control Number (PCN) and KPDES number when one has been issued.
2. KyTC note: to be signed by the Chief District Engineer or a person designated to have the authority to sign reports by such a person (usually the resident engineer) in accordance with 401 KAR 5:060 Section 9. This delegation shall be in writing to: Manager, KPDES Branch, Division of Water, 14 Reilly Road, Frankfort Kentucky 40601 Reference the Project Control Number (PCN) and KPDES number when one has been issued.

## Sub-Contractor Certification

Subcontractor

Name:  
Address:  
Address:

Phone:

The part of BMP plan this subcontractor is responsible to implement is:

I certify under penalty of law that I understand the terms and conditions of the general Kentucky Pollutant Discharge Elimination System permit that authorizes the storm water discharges, the BMP plan that has been developed to manage the quality of water to be discharged as a result of storm events associated with the construction site activity and management of non-storm water pollutant sources identified as part of this certification.

Signed \_\_\_\_\_ title \_\_\_\_\_,  
 Typed or printed name<sup>1</sup> \_\_\_\_\_ signature \_\_\_\_\_

1. Sub Contractor Note: to be signed by a person who is the owner, a responsible corporate officer, a general partner or the proprietor or a person designated to have the authority to sign reports by such a person in accordance with 401 KAR 5:060 Section 9. This delegation shall be in writing to: Manager, KPDES Branch, Division of Water, 14 Reilly Road, Frankfort Kentucky 40601. Reference the Project Control Number (PCN) and KPDES number when one has been issued.

## ***SPECIAL NOTE***

### **Filing of eNOI for KPDES Construction Stormwater Permit**

**County: Powell  
Item No.: 10-174.00**

**Route: KY 613  
KDOW Submittal ID:  
510270**

**Project Description: Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River in Powell County.**

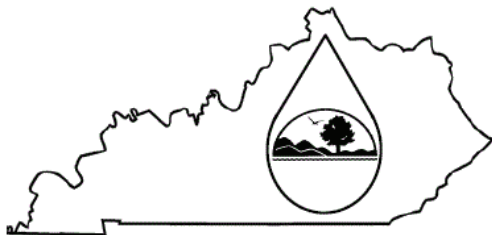
**A Notice of Intent for obtaining coverage under the Kentucky Pollutant Discharge Elimination System (KPDES) General Permit for Stormwater Discharges Associated with Construction Activities (KYR10) has been drafted, copy of which is attached. Upon award, the Contractor will be identified in Section III of the form as the “Building Contractor” and it will be submitted for approval to the Kentucky Division of Water. The Contractor shall be responsible for advancing the work in a manner that is compliant with all applicable and appropriate KYTC specifications for sediment and erosion control as well as meeting the requirements of the KYR10 permit and the KDOW.**

**Upon award of the project, the appropriate District Project Delivery & Preservation Branch is Responsible for providing the eNOI preparer (Brandy Fletcher) with the Contractor’s name, address and CID #. The project eNOI preparer is responsible for completing and submitting the eNOI document.**

**The eNOI preparer will notify the appropriate Project Delivery & Preservation Branch when the NOI is approved. The approved NOI will be placed in Site Manager. This will need to be accomplished prior to any on-site work.**

**This note confirms with the Joint Design (05-2017)/Construction (02-2017) Memorandum issued on March 28, 2017.**

**If there are any questions regarding this note, please contact Danny Peake, Director, Division of Environmental Analysis, TCOB, 200 Mero Street, Frankfort, KY 40622, Phone: (502) 564-7250.**



## KENTUCKY POLLUTION DISCHARGE ELIMINATION SYSTEM (KPDES)



Notice of Intent (NOI) for coverage of Storm Water Discharge  
Associated with Construction Activities Under the KPDES Storm  
Water General Permit KYR100000

[Click here for Instructions \(Controls/KYR10%20Instructions.pdf\)](#)

[Click here to obtain information and a copy of the KPDES General Permit.  
\(https://eec.ky.gov/Environmental-  
Protection/Water/PermitCert/KPDES/Documents/KYR10PermitPage.pdf\)](https://eec.ky.gov/Environmental-Protection/Water/PermitCert/KPDES/Documents/KYR10PermitPage.pdf)

(\*) indicates a required field; (✓) indicates a field may be required  
based on user input or is an optionally required field

Reason for Submittal: (*) Application for New Permit Coverage ▼		Agency Interest ID: Agency Interest ID		Permit Number: (✓) KPDES Permit Number	
If change to existing permit coverage is requested, describe the changes for which modification of coverage is being sought: (✓) <input type="text"/>					
<b>ELIGIBILITY:</b> Stormwater discharges associated with construction activities disturbing individually one (1) acre or more, including, in the case of a common plan of development, contiguous construction activities that cumulatively equal one (1) acre or more of disturbance.					
<b>COVERAGE:</b> Applicants shall complete and submit the eNOI-SWCA a minimum of seven (7) days before the proposed date for commencement of construction activities. Applicants shall receive written notification from the Division of Water before being authorized to discharge under the terms of the KYR10 General Permit.					
<b>EXCLUSIONS:</b> The following are excluded from coverage under this general permit: 1) Are conducted at or on properties that have obtained an individual KPDES permit for the discharge of other wastewaters which requires the development and implementation of a Best Management Practices (BMP) plan; 2) Any operation that the DOW determines an individual permit would better address the discharges from that operation; 3) Any project that discharges to an Impaired Water listed in the most recent Integrated Report, §305(b) as impaired for sediment and for which an approved TMDL has been developed.					
<b>SECTION I -- FACILITY OPERATOR INFORMATION (PERMITTEE)</b>					
Company Name: (✓) Kentucky Transportation Cabinet		First Name: (✓) Corbett		M.I.: MI	Last Name: (✓) Caudill
Mailing Address: (*) 473 KY 15 S		City: (*) Jackson		State: (*) Kentucky ▼	Zip: (*) 41339
eMail Address: (*) corbett.caudill@ky.gov		Business Phone: (*) 606-666-8841		Alternate Phone: _ - _ - _	
Additional Facility Operator information (Co-Permittee) required ? (*) No ▼					
<b>SECTION II -- GENERAL SITE LOCATION INFORMATION</b>					
Project Name: (*) KY 613 / KY 11 over Red River		Status of Owner/Operator (*) State Government ▼		SIC Code (*) 1611 Highway and Street Constr ▼	
Company Name: (✓) Kentucky Transportation Cabinet		First Name: (✓) Corbett		M.I.: MI	Last Name: (✓) Caudill
Site Physical Address: (*) KY 613 over Red River in Powell County, KY					
City: (*) Stanton		State: (*) Kentucky ▼		Zip: (*) 40380	
County: (*) Powell ▼		Latitude (decimal degrees) (*) DMS to DD Converter (https://www.fcc.gov/media/radio/dms-decimal) 37.842005 		Longitude (decimal degrees) (*) -83.77129 	

SECTION III -- SPECIFIC SITE ACTIVITY INFORMATION 	
Project Description:(*) <div>Correct flooding issues on KY 613 at Bowen from KY 11 to Bridge over Red River in Powell County.</div>	
Was the pre-development land used for agriculture ?(*) <div>Yes</div>	Will there be demolition of any structure built or renovated before January 1, 1980 ? (*) <div>No</div>
Select the type of construction site (check all that apply)(*) <div><div><input type="checkbox"/> Single-Family Residential</div><div><input type="checkbox"/> Multi-Family Residential</div><div><input type="checkbox"/> Commercial</div><div><input type="checkbox"/> Industrial</div><div><input type="checkbox"/> Institutional</div><div><input checked="" type="checkbox"/> Highway or Road</div><div><input type="checkbox"/> Utility</div><div><input type="checkbox"/> Other</div></div>	
a. For single projects provide the following information	
Total Number of Acres in Project:(√) <div>4.65</div>	Total Number of Acres Disturbed:(√) <div>2.81</div>
Anticipated Start Date:(√) <div></div>	Anticipated Completion Date:(√) <div></div>
b. For common plans of development provide the following information	
Total Number of Acres in Project:(√) <div># Acre(s)</div>	Total Number of Acres Disturbed:(√) <div># Acre(s)</div>
Number of individual lots in development, if applicable:(√) <div># lot(s)</div>	Number of lots in development:(√) <div># lot(s)</div>
Total acreage of lots intended to be developed:(√) <div>Project Acres</div>	Number of acres intended to be disturbed at any one time:(√) <div>Disturbed Acres</div>
Anticipated Start Date:(√) <div></div>	Anticipated Completion Date:(√) <div></div>
List Building Contractor(s) at the time of Application:(√) <div><div><div><div>+ Company Name</div></div></div></div>	
SECTION IV -- INFORMATION IS ALWAYS REQUIRED FOR ONSITE POINT OF DISCHARGE AND RECEIVING WATER 	
Discharge Point(s):(*)	



	Unnamed Tributary?	Latitude	Longitude	Receiving Water Name	
1		37.842005	-83.771290		Delete
2		37.842306	-83.770486		Delete
3		37.842813	-83.770253		Delete
+					



This grid can be edited either directly on this page or by editing the information in an excel sheet.  
If you would like to edit this information in an excel sheet, first use the right button (export) to download the sheet.  
After adding your data, save the sheet, and use the left button (import) to import the same file to this grid.

SECTION V -- Section V MUST BE COMPLETED IF WITHIN A MS4 AREA

Name of MS4:

SECTION VI -- WILL THE PROJECT REQUIRE CONSTRUCTION ACTIVITIES IN A WATER BODY, FLOODPLAIN OR THE RIPARIAN ZONE?

Will the project require construction activities in a water body or the riparian zone?:(\*)

No

If Yes, describe scope of activity: (✓)

Describe the scope of activity

Is a Clean Water Act 404 permit required?:(\*)

Yes

Is a Clean Water Act 401 Water Quality Certification required?:(\*)

Yes

SECTION VII -- NOI PREPARER INFORMATION

First Name:(\*)

Brandy

M.I.:

MI

Last Name:(\*)

Fletcher

Company Name:(\*)

Kentucky Transportation Cabinet

Mailing Address:(\*)

473 KY 15 S

City:(\*)

Jackson

State:(\*)

Kentucky

Zip:(\*)

41339

eMail Address:(\*)

Brandy.Fletcher@ky.gov

Business Phone:(\*)

606-666-8841

Alternate Phone:

- - -

SECTION VIII -- ATTACHMENTS

Facility Location Map:(\*)

Upload file

Supplemental Information:

Upload file

SECTION IX -- CERTIFICATION

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.

Signature:(\*)

Corbett Caudill

Title:(\*)

Executive Director

First Name:(\*)

Corbett

M.I.:

MI

Last Name:(\*)

Caudill

eMail Address:(\*)

Corbett.Caudill@ky.gov

Business Phone:(\*)

606-666-8841

Alternate Phone:

- - -

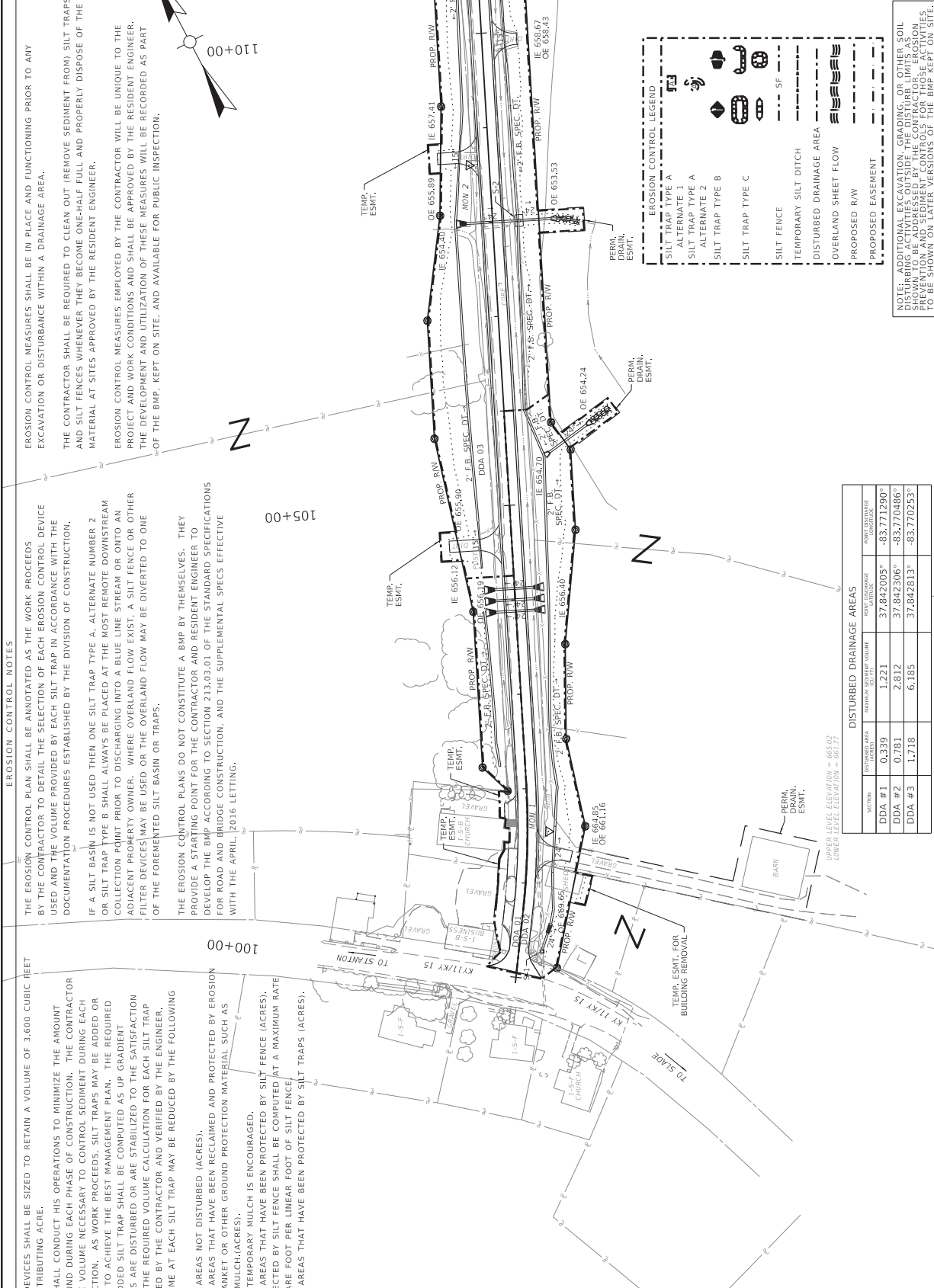
Signature Date:(\*)

6/3/2025

Click to Save Values for Future Retrieval

Click to Submit to EEC





**EROSION CONTROL NOTES**

THE EROSION CONTROL PLAN SHALL BE ANNOTATED AS THE WORK PROCEEDS BY THE CONTRACTOR TO DETAIL THE SELECTION OF EACH EROSION CONTROL DEVICE USED AND THE VOLUME PROVIDED BY EACH SILT TRAP IN ACCORDANCE WITH THE DOCUMENTATION PROCEDURES ESTABLISHED BY THE DIVISION OF CONSTRUCTION.

IF A SILT BASIN IS NOT USED THEN ONE SILT TRAP TYPE A, ALTERNATE NUMBER 2 OR SILT TRAP TYPE B SHALL ALWAYS BE PLACED AT THE MOST REMOTE DOWNSTREAM COLLECTION POINT PRIOR TO DISCHARGING INTO A BLUE LINE STREAM OR ONTO AN ADJACENT PROPERTY OWNER, WHERE OVERLAND FLOW EXIST, A SILT FENCE OR OTHER FILTER DEVICES MAY BE USED OR THE OVERLAND FLOW MAY BE DIVERTED TO ONE OF THE FOREMENTED SILT BASIN OR TRAPS.

THE EROSION CONTROL PLANS DO NOT CONSTITUTE A BMP BY THEMSELVES. THEY PROVIDE A STARTING POINT FOR THE CONTRACTOR AND RESIDENT ENGINEER TO DEVELOP THE BMP ACCORDING TO SECTION 213.03.01 OF THE STANDARD SPECIFICATIONS FOR ROAD AND BRIDGE CONSTRUCTION, AND THE SUPPLEMENTAL SPECS EFFECTIVE WITH THE APRIL, 2016 LETTING.

**ALL SILT CONTROL DEVICES SHALL BE SIZED TO RETAIN A VOLUME OF 3.600 CUBIC FEET PER DISTURBED CONTRIBUTING ACRE.**

THE CONTRACTOR SHALL CONDUCT HIS OPERATIONS TO MINIMIZE THE AMOUNT OF DISTURBED GROUND DURING EACH PHASE OF CONSTRUCTION. THE CONTRACTOR SHALL COMPUTE THE VOLUME NECESSARY TO CONTROL SEDIMENT DURING EACH PHASE OF CONSTRUCTION, AS WORK PROCEEDS. SILT TRAPS MAY BE ADDED OR REMOVED IN ORDER TO ACHIEVE THE BEST MANAGEMENT PLAN. THE REQUIRED VOLUME AT EACH ADDED SILT TRAP SHALL BE COMPUTED AS UP GRADIENT CONTRIBUTING AREAS ARE DISTURBED OR ARE STABILIZED TO THE SATISFACTION OF THE ENGINEER. THE REQUIRED VOLUME CALCULATION FOR EACH SILT TRAP SHALL BE DETERMINED BY THE CONTRACTOR AND VERIFIED BY THE ENGINEER. THE REQUIRED VOLUME AT EACH SILT TRAP MAY BE REDUCED BY THE FOLLOWING AMOUNTS:

- UPGRADIENT AREAS NOT DISTURBED (ACRES).
- UPGRADIENT AREAS THAT HAVE BEEN RECLAIMED AND PROTECTED BY EROSION CONTROL BLANKET OR OTHER GROUND PROTECTION MATERIAL SUCH AS TEMPORARY MULCH.(ACRES).
- THE USE OF TEMPORARY MULCH IS ENCOURAGED.
- UPGRADIENT AREAS THAT HAVE BEEN PROTECTED BY SILT FENCE (ACRES).
- AREAS PROTECTED BY SILT FENCE SHALL BE COMPUTED AT A MAXIMUM RATE OF 100 SQUARE FOOT PER LINEAR FOOT OF SILT FENCE.
- UPGRADIENT AREAS THAT HAVE BEEN PROTECTED BY SILT TRAPS (ACRES).

**DISTURBED DRAINAGE AREAS**

SECTION	DISTURBED AREA (ACRES)	MAXIMUM DISTURBED VOLUME	POINT SOURCE DRAINAGE (ACRES)	POINT SOURCE DRAINAGE VOLUME
DDA #1	0.339	1,221	37.842005*	-83.771290*
DDA #2	0.781	2,812	37.842306*	-83.770486*
DDA #3	1.718	6,185	37.842813*	-83.770253*

**EROSION CONTROL LEGEND**

- SILT TRAP TYPE A
- ALTERNATE 1
- SILT TRAP TYPE A
- ALTERNATE 2
- SILT TRAP TYPE B
- SILT TRAP TYPE C
- SILT FENCE
- TEMPORARY SILT DITCH
- DISTURBED DRAINAGE AREA
- OVERLAND SHEET FLOW
- PROPOSED EASEMENT

**NOTE:** ADDITIONAL EXCAVATION, GRADING OR OTHER SOIL DISTURBING ACTIVITIES OUTSIDE THE DISTURB LIMITS AS SHOWN ON THIS PLAN SHALL BE PROHIBITED. PREVENTION OF EROSION, PREVENTION OF SEDIMENT CONTROLS FOR THOSE ACTIVITIES TO BE SHOWN ON LATER VERSIONS OF THE BMP KEPT ON SITE.



DISTURBED DRAINAGE AREAS				
SECTION	DISTURBED AREA (ACRES)	WATERSHED CATCHMENT (CU FT)	PONY CATCHMENT LATITUDE	PONY CATCHMENT LONGITUDE
DDA #3	1.718	6,185	37.842813°	-83.770253°
DDA #4	1.102	3,968	37.845775°	-83.769275°
DDA #5	0.727	2,618	37.845393°	-83.768896°

Contract Id: \_\_\_\_\_

Contractor: \_\_\_\_\_

Section Engineer: \_\_\_\_\_

District & County: \_\_\_\_\_

DESCRIPTION	UNIT	QTY LEAVING PROJECT	QTY RECEIVED@BB YARD
GUARDRAIL (Includes End treatments & crash cushions)	LF	_____	_____
STEEL POSTS	EACH	_____	_____
STEEL BLOCKS	EACH	_____	_____
WOOD OFFSET BLOCKS	EACH	_____	_____
BACK UP PLATES	EACH	_____	_____
CRASH CUSHION	EACH	_____	_____
NUTS, BOLTS, WASHERS	BAG/BCKT	_____	_____
DAMAGED RAIL TO MAINT. FACILITY	LF	_____	_____
DAMAGED POSTS TO MAINT. FACILITY	EACH	_____	_____

**\*Required Signatures before Leaving Project Site**

Printed Section Engineer’s Representative\_\_\_\_\_ & Date\_\_\_\_\_

Signature Section Engineer’s Representative\_\_\_\_\_ & Date\_\_\_\_\_

Printed Contractor’s Representative\_\_\_\_\_ & Date\_\_\_\_\_

Signature Contractor’s Representative\_\_\_\_\_ & Date\_\_\_\_\_

**\*Required Signatures after Arrival at Bailey Bridge Yard (All material on truck must be counted & the quantity received column completed before signatures)**

Printed Bailey Bridge Yard Representative\_\_\_\_\_ & Date\_\_\_\_\_

Signature Bailey Bridge Yard Representative\_\_\_\_\_ & Date\_\_\_\_\_

Printed Contractor’s Representative\_\_\_\_\_ & Date\_\_\_\_\_

Signature Contractor’s Representative\_\_\_\_\_ & Date\_\_\_\_\_

\*\*Payment for the bid item remove guardrail will be based upon the quantities shown in the Bailey Bridge Yard received column. Payment will not be made for guardrail removal until the guardrail verification sheets are electronically submitted to the Section Engineer by the Bailey Bridge Yard Representative.

**PART II**

**SPECIFICATIONS AND STANDARD DRAWINGS**

### **STANDARD SPECIFICATIONS**

Any reference in the plans or proposal to previous editions of the *Standard Specifications for Road and Bridge Construction* and *Standard Drawings* are superseded by *Standard Specifications for Road and Bridge Construction, Edition of 2019* and *Standard Drawings, Edition of 2020*.

### **SUPPLEMENTAL SPECIFICATIONS**

The contractor shall use the Supplemental Specifications that are effective at the time of letting. The Supplemental Specifications can be found at the following link:  
<http://transportation.ky.gov/Construction/Pages/Kentucky-Standard-Specifications.aspx>

## **SPECIAL NOTE FOR PORTABLE CHANGEABLE MESSAGE SIGNS**

This Special Note will apply when indicated on the plans or in the proposal.

**1.0 DESCRIPTION.** Furnish, install, operate, and maintain variable message signs at the locations shown on the plans or designated by the Engineer. Remove and retain possession of variable message signs when they are no longer needed on the project.

## **2.0 MATERIALS.**

**2.1 General.** Use LED Variable Message Signs Class I, II, or III, as appropriate, from the Department's List of Approved Materials.

Unclassified signs may be submitted for approval by the Engineer. The Engineer may require a daytime and nighttime demonstration. The Engineer will make a final decision within 30 days after all required information is received.

**2.2 Sign and Controls.** All signs must:

- 1) Provide 3-line messages with each line being 8 characters long and at least 18 inches tall. Each character comprises 35 pixels.
- 2) Provide at least 40 preprogrammed messages available for use at any time. Provide for quick and easy change of the displayed message; editing of the message; and additions of new messages.
- 3) Provide a controller consisting of:
  - a) Keyboard or keypad.
  - b) Readout that mimics the actual sign display. (When LCD or LCD type readout is used, include backlighting and heating or otherwise arrange for viewing in cold temperatures.)
  - c) Non-volatile memory or suitable memory with battery backup for storing pre-programmed messages.
  - d) Logic circuitry to control the sequence of messages and flash rate.
- 4) Provide a serial interface that is capable of supporting complete remote control ability through land line and cellular telephone operation. Include communication software capable of immediately updating the message, providing complete sign status, and allowing message library queries and updates.
- 5) Allow a single person easily to raise the sign to a satisfactory height above the pavement during use, and lower the sign during travel.
- 6) Be Highway Orange on all exterior surfaces of the trailer, supports, and controller cabinet.
- 7) Provide operation in ambient temperatures from -30 to + 120 degrees Fahrenheit during snow, rain and other inclement weather.
- 8) Provide the driver board as part of a module. All modules are interchangeable, and have plug and socket arrangements for disconnection and reconnection. Printed circuit boards associated with driver boards have a conformable coating to protect against moisture.
- 9) Provide a sign case sealed against rain, snow, dust, insects, etc. The lens is UV stabilized clear plastic (polycarbonate, acrylic, or other approved material) angled to prevent glare.
- 10) Provide a flat black UV protected coating on the sign hardware, character PCB, and appropriate lens areas.
- 11) Provide a photocell control to provide automatic dimming.



- 12) Allow an on-off flashing sequence at an adjustable rate.
- 13) Provide a sight to aim the message.
- 14) Provide a LED display color of approximately 590 nm amber.
- 15) Provide a controller that is password protected.
- 16) Provide a security device that prevents unauthorized individuals from accessing the controller.
- 17) Provide the following 3-line messages preprogrammed and available for use when the sign unit begins operation:

/KEEP/RIGHT/⇒⇒⇒/	/MIN/SPEED/**MPH/
/KEEP/LEFT/⇐⇐⇐/	/ICY/BRIDGE/AHEAD/ /ONE
/LOOSE/GRAVEL/AHEAD/	LANE/BRIDGE/AHEAD/
/RD WORK/NEXT/**MILES/	/ROUGH/ROAD/AHEAD/
/TWO WAY/TRAFFIC/AHEAD/	/MERGING/TRAFFIC/AHEAD/
/PAINT/CREW/AHEAD/	/NEXT/***/MILES/
/REDUCE/SPEED/**MPH/	/HEAVY/TRAFFIC/AHEAD/
/BRIDGE/WORK/***() FT/	/SPEED/LIMIT/**MPH/
/MAX/SPEED/**MPH/	/BUMP/AHEAD/
/SURVEY/PARTY/AHEAD/	/TWO/WAY/TRAFFIC/

\*Insert numerals as directed by the Engineer.  
Add other messages during the project when required by the Engineer.

2.3 Power.

- 1) Design solar panels to yield 10 percent or greater additional charge than sign consumption. Provide direct wiring for operation of the sign or arrow board from an external power source to provide energy backup for 21 days without sunlight and an on-board system charger with the ability to recharge completely discharged batteries in 24 hours.

**3.0 CONSTRUCTION.** Furnish and operate the variable message signs as designated on the plans or by the Engineer. Ensure the bottom of the message panel is a minimum of 7 feet above the roadway in urban areas and 5 feet above in rural areas when operating. Use Class I, II, or III signs on roads with a speed limit less than 55 mph. Use Class I or II signs on roads with speed limits 55 mph or greater.

Maintain the sign in proper working order, including repair of any damage done by others, until completion of the project. When the sign becomes inoperative, immediately repair or replace the sign. Repetitive problems with the same unit will be cause for rejection and replacement.

Use only project related messages and messages directed by the Engineer, unnecessary messages lessen the impact of the sign. Ensure the message is displayed in either one or 2 phases with each phase having no more than 3 lines of text. When no message is needed, but it is necessary to know if the sign is operable, flash only a pixel.

When the sign is not needed, move it outside the clear zone or where the Engineer directs. Variable Message Signs are the property of the Contractor and shall be removed from the project when no longer needed. The Department will not assume ownership of these signs.

**4.0 MEASUREMENT.** The final quantity of Variable Message Sign will be

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the actual number of individual signs acceptably furnished and operated during the project. The Department will not measure signs replaced due to damage or rejection.

**5.0 PAYMENT.** The Department will pay for the Variable Message Signs at the unit price each. The Department will not pay for signs replaced due to damage or rejection. Payment is full compensation for furnishing all materials, labor, equipment, and service necessary to, operate, move, repair, and maintain or replace the variable message signs. The Department will make payment for the completed and accepted quantities under the following:

<u>Code</u>	<u>Pay Item</u>	<u>Pay Unit</u>
02671	Portable Changeable Message Sign	Each

Effective June 15, 2012

SPECIAL NOTE FOR TURF REINFORCING MAT

**1.0 DESCRIPTION.** Install turf reinforcement mat at locations specified in the Contract or as the Engineer directs. Section references herein are to the Department’s Current Standard Specifications for Road and Bridge Construction.

**2.0 MATERIALS.**

**2.1 Turf Reinforcement Mat (TRM).** Use a Turf Reinforcement Mat defined as permanent rolled erosion control product composed of non-degradable synthetic fibers, filaments, nets, wire mesh and/or other elements, processed into a three-dimensional matrix of sufficient thickness and from the Department’s List of Approved Materials. Mats must be 100% UV stabilized materials. For TRMs containing degradable components, all physical property values must be obtained on the non-degradable portion of the matting exclusively. Ensure product labels clearly show the manufacturer or supplier name, style name, and roll number. Ensure labeling, shipment and storage follows ASTM D-4873. The Department will require manufacturer to provide TRMs that are machine constructed web of mechanically or melt bonded nondegradable fibers entangled to form a three dimensional matrix. The Department will require all long term performance property values in table below to be based on non degradable portion of the matting alone. Approved methods include polymer welding, thermal or polymer fusion, or placement of fibers between two high strength biaxially oriented nets mechanically bound by parallel stitching with polyolefin thread. Ensure that mats designated in the plans as Type 4 mats, are not to be manufactured from discontinuous or loosely held together by stitching or glued netting or composites. Type 4 mats shall be composed of geosynthetic matrix that exhibits a very high interlock and reinforcement capacities with both soil and root systems and with high tensile modulus. The Department will require manufacturer to use materials chemically and biologically inert to the natural soil environments conditions. Ensure the blanket is smolder resistant without the use of chemical additives. When stored, maintain the protective wrapping and elevate the mats off the ground to protect them from damage. The Department will not specify these materials for use in heavily acidic coal seam areas or other areas with soil problems that would severally limit vegetation growth.

**2.2 Classifications**

The basis for selection of the type of mat required will be based on the long term shear stress level of the mat of the channel in question or the degree of slope to protect and will be designated in the contract. The Type 4 mats are to be used at structural backfills protecting critical structures, utility cuts, areas where vehicles may be expected to traverse the mat, channels with large heavy drift, channels with high shear stresses, and where higher factors of safety, very steep slopes and/or durability concerns are needed as determined by project team and designer and will be specified in the plans by designer.

Properties	Type 1	Type 2	Type 3	Type 4
Maximum Slope (H:V)	1:1	1:1	0.5:1	0.5:1
Un-vegetated Shear	≥ 2.0 lbs/ft <sup>2</sup> (≥ 96 Pa)	≥ 2.0 lb/ft2 (≥ 96 Pa)"	≥ 2.0 lb/ft2 (≥ 96 Pa)	≥ 2.0 lb/ft2 (≥ 96 Pa)

Stress <sup>b, c, d</sup> ASTM D6460				
Vegetated Shear Stress <sup>c, d, e, f</sup> ASTM D6460	≥ 6.0 lbs/ft <sup>2</sup> (≥ 287 Pa)	≥ 8.0 lb/ft2 (≥ 383 Pa)	≥ 10.0 lb/ft2 (≥ 479 Pa)	≥ 12.0 lb/ft2 (≥ 575 Pa)
Seedling Emergence <sup>d</sup> ASTM D7322	≥ 250%	≥ 250%	≥ 250%	≥ 250%
MD Material Tensile Strength <sup>d, f</sup> ASTM D6818	≥ 150 lbs/ft (≥ 2.2 kN/m)	≥ 175 lbs/ft (≥ 2.6 kN/m)	≥ 200 lbs/ft (≥ 2.9 kN/m)	≥ 1,500 lbs/ft (≥ 21.9 kN/m)
TD Material Tensile Strength <sup>d, f</sup> ASTM D6818	≥ 150 lbs/ft (≥ 2.2 kN/m)	≥ 175 lbs/ft (≥ 2.6 kN/m)	≥ 200 lbs/ft (≥ 2.9 kN/m)	≥ 1,500 lbs/ft (≥ 21.9 kN/m)
Mass Per Unit Area <sup>d</sup> ASTM D6566	≥ 8.0 oz/yd <sup>2</sup> (≥ 271 g/m <sup>2</sup> ))	≥ 8.0 oz/yd <sup>2</sup> (≥ 271 g/m2)	≥ 8.0 oz/yd <sup>2</sup> (≥ 271 g/m2)	≥ 8.0 oz/yd2 (≥ 271 g/m2)
Material Thickness <sup>d</sup> ASTM D6525	≥ 0.25 in (≥ 6.35 mm)	≥ 0.25 in (≥ 6.35 mm)	≥ 0.25 in (≥ 6.35 mm)	≥ 0.25 in (≥ 6.35 mm)
UV Stability <sup>c, e</sup> ASTM D4355	≥ 80% @ 500 hrs	≥ 80% @ 500 hrs	≥ 80% @ 1,000 hrs	≥ 90% @ 1,000 hrs

- a. For Type 4 mats, property values tested per ASTM D6818 and D6525 are reported as minimum average roll values (MARVs). MARVs are calculated as the typical minus two standard deviations. Statistically, it yields a 97.7% degree of confidence that any samples taken from quality assurance testing will exceed the value reported.
- b. Required minimum shear stress TRM (un-vegetated) can sustain without physical damage or excess erosion (> 12.7 mm (0.5 in.) soil loss during successive, minimum 30 minute flow events in large scale testing.
- c. Acceptable large-scale testing protocol may include ASTM D6460, or other independent testing deemed acceptable by the engineer. Large-scale performance testing typically involves limited soil types and vegetative stands, therefore it is recommended that an appropriate factor of safety be used in design and product selection (see Guidance Document for further information).
- d. Typical values are calculated as the average value, it yields a 50% degree of confidence that any samples taken from quality assurance testing will exceed the value reported.
- e. Required minimum shear stress TRM (fully vegetated) can sustain without physical damage or excess erosion (> 12.7 mm (0.5 in.) soil loss during successive, minimum 30 minute flow events in large scale testing.
- f. For TRMs containing degradable components, property values must be obtained on the non-degradable portion of the matting alone.

NOTE: TRMs are typically used in hydraulic applications, such as high flow ditches and channels, steep slopes, stream banks, and shorelines, where erosive forcers may exceed the limits of natural, unreinforced vegetation or in areas where limited vegetation establishment is anticipated.

2.3 Quality Assurance Sampling, Testing, and Acceptance

- A) Performance Testing: The Department will require AASHTO’s NTPEP index testing. The Department will also require the manufacturer to perform internal MARV testing at a Geosynthetic Accreditation Institute – Laboratory Accreditation Program (GAI-LAP) accredited laboratory for tensile strength, tensile elongation, mass per unit area, and thickness once every 24,000 yds of production or whatever rate is required to ensure

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97.7% confidence under ASTM D4439& 4354. The Department will require Full scale testing for slope and channel applications shear stress shall be done under ASTM D 6459, ASTM D 6460-07 procedures.

- B) Provide TRM listed on the Department's List of Approved Materials. Prior to inclusion on the LAM, the manufacturer of TRM must meet the physical and performance criteria as outlined in the specification and submit a Letter Certifying compliance of the product under the above ASTM testing procedures and including a copy of report from Full Scale Independent Hydraulics Facility that Fully Vegetated Shear Stress meets shear stress requirements tested under D6459 and D6460-07.
- C) Contractors will provide a Letter of Certification from Manufacturer stating the product name, manufacturer, and that the product MARV product unit testing results meets Department criteria. Provide Letters once per project and for each product.
- D) Acceptance shall be in accordance with ASTM D-4759 based on testing performed by a Geosynthetic Accreditation Institute – Laboratory Accreditation Program (GAI-LAP) accredited laboratory using Procedure A of ASTM D-4354.

Current mats meeting the above criteria are shown on the Department's List of Approved Materials. Mats that exceed the criteria for KYTC Types 1-4 are available. Contact an erosion control material supplier for more information.

**2.4 Fasteners.** When the mat manufacturer does not specify a specific fastener, use steel wire U-shaped staples with a minimum diameter of 0.09 inches (11 gauge), a minimum width of one inch and a minimum length of 12 inches. Use a heavier gauge when working in rocky or clay soils and longer lengths in sandy soils as directed by Engineer or Manufacturer's Representative. Provide staples with colored tops when requested by the Engineer.

**3.0 CONSTRUCTION.** Provide a Manufacturer's Representative on-site to oversee and approve the initial installation of the mat. When requested by the Engineer, provide a letter from the Manufacturer approving the installation. When there is a conflict between the Department's criteria and the Manufacturer's criteria, construct using the more restrictive. The Engineer and Manufacturer's Representative must approve all alternate installation methods prior to execution. Construct according to the Manufacturer's recommendations and the following as minimum installation technique:

**3.1 Site Preparation.** Smoothly grade areas to be treated with matting and compact. Remove large rocks, soil clods, vegetation, roots, and other sharp objects that could keep the mat from intimate contact with subgrade. Prepare seedbed by loosening the top 2 to 3 inch of soil.

**3.2 Installation.** Install mats according to Standard Drawing Sepias "Turf Mat Channel Installation" and "Turf Mat Slope Installation." Install mats at the specified elevation and alignment. Anchor the mats with staples with a minimum length of 12 inches. Use longer anchors for installations in sandy, loose, or wet soils as directed by the Engineer or Manufacturer's Representative. The mat should be in direct contact with the soil surface. Infill and overfill the mat with a minimum of ½" of soil as directed by the Manufacturer.

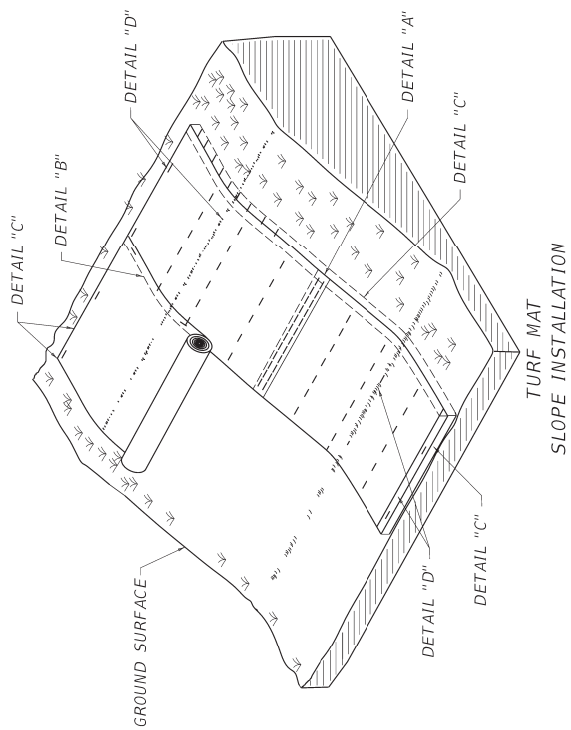
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**4.0 MEASUREMENT.** The Department will measure the quantity of Turf Reinforcement Mat by the square yard of surface covered. The Department will not measure preparation of the bed, providing a Manufacturer’s Representative, topsoil, or seeding for payment and will consider them incidental to the Turf Reinforcement Mat. The Department will not measure any reworking of slopes or channels for payment as it is considered corrective work and incidental to the Turf Reinforcement Mat. Seeding and protection will be an incidental item.

**5.0 PAYMENT.** The Department will make payment for the completed and accepted quantities under the following:

<u>Code</u>	<u>Pay Item</u>	<u>Pay Unit</u>
23274EN11F	Turf Reinforcement Mat 1	Square Yard
23275EN11F	Turf Reinforcement Mat 2	Square Yard
23276EN11F	Turf Reinforcement Mat 3	Square Yard
23277EN11F	Turf Reinforcement Mat 4	Square Yard

June 29, 2023



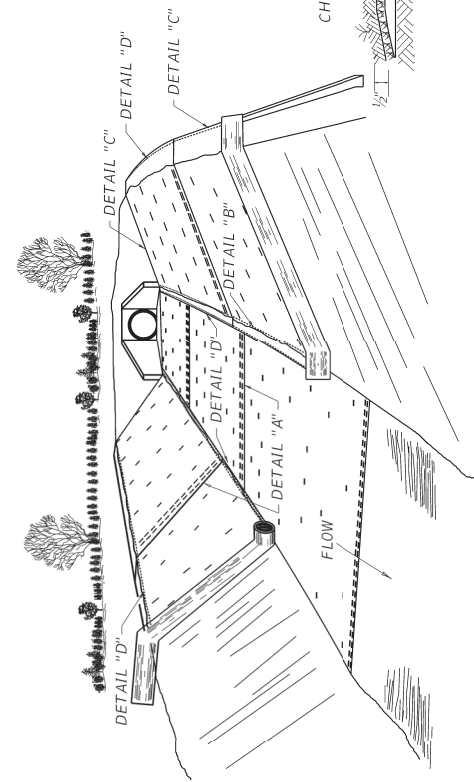
1. CONSTRUCT A 6" X 6" ANCHOR TRENCH AT THE BEGINNING OF THE SLOPE. LINE THE ANCHOR TRENCH WITH TURF REINFORCING MAT LEAVING 12" ANCHOR TRENCH ON THE ANCHOR TRENCH. FASTEN THE MAT MATERIAL INTO THE ANCHOR TRENCH ON 12" CENTERS BACKFILL THE TRENCH WITH TOPSOIL AND COMPACT. COVER THE AREA WITH THE REMAINING 12" OF THE MAT'S TERMINAL END LEAVING 6" TO OVERLAP THE TURF REINFORCING MAT. SECURE THE 6" OVERLAP WITH STAPLES ON 12" CENTERS.
2. UNROLL THE MAT DOWN THE SLOPE AND PLACE IN DIRECT CONTACT WITH THE SOIL SURFACE. INSURE THAT THE SOIL SURFACE IS GRADED SMOOTHLY AND DOES NOT CONTAIN IRREGULARITIES.
3. SECURELY FASTEN THE MAT TO THE SOIL BY INSTALLING STAPLES AT A MINIMUM RATE OF 1.5 PER SQ. YD. ANCHORS SHALL BE SELECTED SO THAT THEY HAVE SUFFICIENT GROUND PENETRATION TO RESIST PULLOUT. INCREASE ANCHORING FREQUENCY FOR SITE CONDITIONS (LOOSE, SANDY, OR WET SOILS) AS DIRECTED BY THE ENGINEER AND MANUFACTURER'S REPRESENTATIVE.
4. OVERLAP EDGES OF MATS ACCORDING TO THE LONGITUDINAL AND TRANSVERSE OVERLAP DETAILS. STAPLE LONGITUDINAL OVERLAPS WITH 2 ROWS OF STAPLES STAGGERED AT 4". STAPLE TRANSVERSE OVERLAPS WITH 1 ROW OF STAPLES SPACED AT 12".
5. CONSTRUCT A 6" X 12" ANCHOR TRENCH AT THE TOE OF THE SLOPE FOLLOWING SIMILAR PROCEDURES DENOTED FOR THE TOP OF THE SLOPE ANCHOR TRENCH.
6. ENSURE THAT THE MAT IS IN DIRECT CONTACT WITH THE SOIL SURFACE WITH NO PROJECTIONS OR PROTRUSIONS.
7. INFILL AND OVERFILL THE MAT WITH A MINIMUM OF 1 1/2" TOPSOIL. APPLY SEEDING AND PROTECTION AS DIRECTED BY THE MANUFACTURER. USE SEED MIX TYPE 1 AS DEFINED IN SECTION 212.03.03. TOPSOIL IS THE SOIL PROFILE DEFINED TECHNICALLY AS "A" HORIZON BY THE SOIL SCIENCE SOCIETY OF AMERICA. USE LOOSE, FRIABLE TOPSOIL THAT IS FREE OF STONES 1" OR GREATER IN OVERALL DIMENSIONS. ADMIXTURE OF SUBSOIL, REFUSE, STUMPS, ROOTS, BRUSH, WEEDS AND OTHER MATERIALS THAT PREVENT THE FORMATION OF A SUITABLE SEED BED. DO NOT USE TOPSOIL FROM SITES HAVING JOHNSON GRASS, CANADA THISTLE, QUACK GRASS, NODDING THISTLE OR EXCESSIVE MOUNTS OF WEEDS OR THEIR RHIZOMES.

SUBMITTED W. T. Lujan 01-24-2023  
DIVISION DIRECTOR DATE



SUBMITTED W. T. Lujan 01-24-2023  
DIVISION DIRECTOR DATE

SLOPE GRADE	ANCHORING FREQUENCY
UP TO 2H:1V	1.5 ANCHORS/SOYD
2H:1V TO 1H:1V	2.0 ANCHORS/SOYD
STEEPER THAN 1H:1V AND CHANNEL BOTTOMS	3.0 ANCHORS/SOYD



TURF MAT  
CHANNEL INSTALLATION

~ ~ NOTES ~ ~

1. CONSTRUCT A 6" X 6" ANCHOR TRENCH AT THE UPSTREAM END OF THE CHANNEL. LINE THE ANCHOR TRENCH WITH TURF REINFORCING MAT, LEAVING 12" EXTENDING PAST THE 12" CENTERS BAKING. FASTEN THE MAT TO TOPSOIL AND COMPACT OVER THE AREA WITH THE ROLLING 12" OF THE MAT'S TERMINAL END, LEAVING 6" TO OVERLAP THE TURF REINFORCING MAT. SECURE THE 6" OVERLAP WITH STAPLES ON 12" CENTERS.
2. UNROLL THE MAT PARALLEL TO THE PRIMARY DIRECTION OF WATER FLOW AND PLACE IN DIRECT CONTACT WITH THE SOIL SURFACE. INSURE THAT THE SOIL SURFACE IS GRADED SMOOTHLY AND DOES NOT CONTAIN IRREGULARITIES.
- ③ EXCAVATE 6" X 6" CHECK SLOTS EVERY 25' ALONG THE LENGTH OF THE CHANNEL. LINE THE SIDE AND BOTTOM OF THE SLOT WITH THE MAT AND THEN PULL BACK OVER. FASTEN WITH STAPLES ON 12" CENTERS. FILL THE CHECK SLOT WITH TOPSOIL, COMPACT, AND CONTINUE UNROLLING MAT DOWN THE CHANNEL.
4. CONTINUE UNROLLING THE MAT DOWNSTREAM OVER THE COMPACTED SLOT TO THE NEXT CHECK SLOT OR TERMINAL ANCHOR TRENCH. IF MORE THAN ONE SECTION OF MAT, AS SHOWN IN THE TRANSVERSE OVERLAP DETAIL, IS USED OVERLAP UPSTREAM MATS OVER TOP OF THE DOWNSTREAM MAT 6" AND SECURE. IF MATS ARE PLACED PARALLEL TO EACH OTHER ALONG THE CHANNEL, PLACE CHANNEL SECTIONS FIRST, THEN OVERLAP THE SIDE SLOPE SECTIONS 3" OVER THE CHANNEL SECTIONS AS SHOWN IN THE LONGITUDINAL OVERLAP DETAIL, AND SECURE WITH STAPLES ON 12" CENTERS. PROCEED UP THE SIDE SLOPES IN THE SAME MANNER UNTIL THE TOP OF CHANNEL IS REACHED.
5. SECURE MATS WHILE UNROLLING ON SIDESLOPES AND CHANNEL BOTTOMS WITH STAPLES AT A FREQUENCY THE TABLE INDICATES. USE STAPLES HAVING SUFFICIENT GROUND PENETRATION TO RESIST PULLOUT. INCREASE ANCHORING FREQUENCY AS DIRECTED BY THE ENGINEER AND MANUFACTURER'S REPRESENTATIVE.
6. INFILL AND OVERLAP THE MAT WITH A MINIMUM OF 1/2" TOPSOIL. APPLY SEEDING AND PROTECTION AS DIRECTED BY THE MANUFACTURER. USE SEED MIX TYPE 1 AS DEFINED IN SECTION 217.03.03.

TOPSOIL IS THE SOIL PROFILE DEFINED TECHNICALLY AS "A HORIZON BY THE SOIL SCIENCE SOCIETY OF AMERICA, USE LOOSE, FRIABLE TOPSOIL THAT IS FREE OF STONES 1" OR GREATER IN OVERALL DIMENSIONS, A MIXTURE OF SUBSOIL, REFUSE, STUMPS, ROOTS, BRUSH, WEEDS AND OTHER MATERIALS THAT PREVENT THE FORMATION OF A SUITABLE SEED BED. DO NOT USE TOPSOIL FROM SITES HAVING JOHNSON GRASS, CANADA THISTLE, QUACK GRASS, NODDING THISTLE OR EXCESSIVE AMOUNTS OF WEEDS OR THEIR RHIZOMES.



## **SPECIAL NOTE FOR LONGITUDINAL PAVEMENT JOINT ADHESIVE**

1. **DESCRIPTION.** This specification covers the requirements and practices for applying an asphalt adhesive material to the longitudinal joint of the surface course of an asphalt pavement. Apply the adhesive to the face of longitudinal joint between driving lanes for the first lane paved. Then, place and compact the adjacent lane against the treated face to produce a strong, durable, waterproof longitudinal joint.
2. **MATERIALS, EQUIPMENT, AND PERSONNEL.**

2.1 Joint Adhesive. Provide material conforming to Subsection 2.1.1.

2.1.1 Provide an adhesive conforming to the following requirements:

Property	Specification	Test Procedure
Viscosity, 400 ° F (Pa·s)	4.0 – 10.0	ASTM D 4402
Cone Penetration, 77 ° F	60 – 100	ASTM D 5329
Flow, 140 ° F (mm)	5.0 max.	ASTM D 5329
Resilience, 77 ° F (%)	30 min.	ASTM D 5329
Ductility, 77 ° F (cm)	30.0 min.	ASTM D 113
Ductility, 39 ° F (cm)	30.0 min.	ASTM D 113
Tensile Adhesion, 77 ° F (%)	500 min.	ASTM D 5329, Type II
Softening Point, ° F	171 min.	AASHTO T 53
Asphalt Compatibility	Pass	ASTM D 5329

Ensure the temperature of the pavement joint adhesive is between 380 and 410 °F when the material is extruded in a 0.125-inch-thick band over the entire face of the longitudinal joint.

2.2. Equipment.

2.2.1 Melter Kettle. Provide an oil-jacketed, double-boiler, melter kettle equipped with any needed agitation and recirculating systems.

2.2.2 Applicator System. Provide a pressure-feed-wand applicator system with an applicator shoe attached.

2.3 Personnel. Ensure a technical representative from the manufacturer of the pavement joint adhesive is present during the initial construction activities and available upon the request of the Engineer.

3. **CONSTRUCTION.**

3.1 Surface Preparation. Prior to the application of the pavement joint adhesive, ensure the face of the longitudinal joint is thoroughly dry and free from dust or any other debris that would inhibit adhesion. Clean the joint face by the use of compressed air.

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Ensure this preparation process occurs shortly before application to prevent the return of debris on the joint face.

3.2 Pavement Joint Adhesive Application. Ensure the ambient temperature is a minimum of 40 ° F during the application of the pavement joint adhesive. Prior to applying the adhesive, demonstrate competence in applying the adhesive according to this note to the satisfaction of the Engineer. Heat the adhesive in the melter kettle to the specified temperature range. Pump the adhesive from the melter kettle through the wand onto the vertical face of the cold joint. Apply the adhesive in a continuous band over the entire face of the longitudinal joint. Do not use excessive material in either thickness or location. Ensure the edge of the extruded adhesive material is flush with the surface of the pavement. Then, place and compact the adjacent lane against the joint face. Remove any excessive material extruded from the joint after compaction (a small line of material may remain).

3.3 Pavement Joint Adhesive Certification. Furnish the joint adhesive's certification to the Engineer stating the material conforms to all requirements herein prior to use.

3.4 Sampling and Testing. The Department will require a random sample of pavement joint adhesive from each manufacturer's lot of material. Extrude two 5 lb. samples of the heated material and forward the sample to the Division of Materials for testing. Reynolds oven bags, turkey size, placed inside small cardboard boxes or cement cylinder molds have been found suitable. Ensure the product temperature is 400°F or below at the time of sampling.

4. MEASUREMENT. The Department will measure the quantity of Pavement Joint Adhesive in linear feet. The Department will not measure for payment any extra materials, labor, methods, equipment, or construction techniques used to satisfy the requirements of this note. The Department will not measure for payment any trial applications of Pavement Joint Adhesive, the cleaning of the joint face, or furnishing and placing the adhesive. The Department will consider all such items incidental to the Pavement Joint Adhesive.
5. PAYMENT. The Department will pay for the Pavement Joint Adhesive at the Contract unit bid price and apply an adjustment for each manufacturer's lot of material based on the degree of compliance as defined in the following schedule. When a sample fails on two or more tests, the Department may add the deductions, but the total deduction will not exceed 100 percent.

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Pavement Joint Adhesive Price Adjustment Schedule						
Test	Specification	100% Pay	90% Pay	80% Pay	50% Pay	0% Pay
Joint Adhesive Referenced in Subsection 2.1.1						
Viscosity, 400 ° F (Pa•s)			3.0-3.4	2.5-2.9	2.0-2.4	≤1.9
ASTM D 3236	4.0-10.0	3.5-10.5	10.6-11.0	11.1-11.5	11.6-12.0	≥ 12.1
Cone Penetration, 77 ° F			54-56	51-53	48-50	≤ 47
ASTM D 5329	60-100	57-103	104-106	107-109	110-112	≥ 113
Flow, 140 ° F (mm) ASTM D 5329	≤ 5.0	≤ 5.5	5.6-6.0	6.1-6.5	6.6-7.0	≥ 7.1
Resilience, 77 ° F (%) ASTM D 5329	≥ 30	≥ 28	26-27	24-25	22-23	≤ 21
Tensile Adhesion, 77 ° F (%) ASTM D 5329	≥ 500	≥ 490	480-489	470-479	460-469	≤ 459
Softening Point, ° F AASHTO T 53	≥ 171	≥ 169	166-168	163-165	160-162	≤ 159
Ductility, 77 ° F (cm) ASTM D 113	≥ 30.0	≥ 29.0	28.0-28.9	27.0-27.9	26.0-26.9	≤ 25.9
Ductility, 39 ° F (cm) ASTM D 113	≥ 30.0	≥ 29.0	28.0-28.9	27.0-27.9	26.0-26.9	≤ 25.9

Code  
20071EC

Pay Item  
Joint Adhesive

Pay Unit  
Linear Foot

May 7, 2014

## **PART III**

### **EMPLOYMENT, WAGE AND RECORD REQUIREMENTS**

FHWA-1273 – Revised October 23, 2023

## REQUIRED CONTRACT PROVISIONS FEDERAL-AID CONSTRUCTION CONTRACTS

- I. General
- II. Nondiscrimination
- III. Non-segregated Facilities
- IV. Davis-Bacon and Related Act Provisions
- V. Contract Work Hours and Safety Standards Act Provisions
- VI. Subletting or Assigning the Contract
- VII. Safety: Accident Prevention
- VIII. False Statements Concerning Highway Projects
- IX. Implementation of Clean Air Act and Federal Water Pollution Control Act
- X. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
- XI. Certification Regarding Use of Contract Funds for Lobbying
- XII. Use of United States-Flag Vessels:

### ATTACHMENTS

A. Employment and Materials Preference for Appalachian Development Highway System or Appalachian Local Access Road Contracts (included in Appalachian contracts only)

### I. GENERAL

1. Form FHWA-1273 must be physically incorporated in each construction contract funded under title 23, United States Code, as required in 23 CFR 633.102(b) (excluding emergency contracts solely intended for debris removal). The contractor (or subcontractor) must insert this form in each subcontract and further require its inclusion in all lower tier subcontracts (excluding purchase orders, rental agreements and other agreements for supplies or services). 23 CFR 633.102(e).

The applicable requirements of Form FHWA-1273 are incorporated by reference for work done under any purchase order, rental agreement or agreement for other services. The prime contractor shall be responsible for compliance by any subcontractor, lower-tier subcontractor or service provider. 23 CFR 633.102(e).

Form FHWA-1273 must be included in all Federal-aid design-build contracts, in all subcontracts and in lower tier subcontracts (excluding subcontracts for design services, purchase orders, rental agreements and other agreements for supplies or services) in accordance with 23 CFR 633.102. The design-builder shall be responsible for compliance by any subcontractor, lower-tier subcontractor or service provider.

Contracting agencies may reference Form FHWA-1273 in solicitation-for-bids or request-for-proposals documents, however, the Form FHWA-1273 must be physically incorporated (not referenced) in all contracts, subcontracts and lower-tier subcontracts (excluding purchase orders, rental agreements and other agreements for supplies or services related to a construction contract). 23 CFR 633.102(b).

2. Subject to the applicability criteria noted in the following sections, these contract provisions shall apply to all work

performed on the contract by the contractor's own organization and with the assistance of workers under the contractor's immediate superintendence and to all work performed on the contract by piecework, station work, or by subcontract. 23 CFR 633.102(d).

3. A breach of any of the stipulations contained in these Required Contract Provisions may be sufficient grounds for withholding of progress payments, withholding of final payment, termination of the contract, suspension / debarment or any other action determined to be appropriate by the contracting agency and FHWA.

4. Selection of Labor: During the performance of this contract, the contractor shall not use convict labor for any purpose within the limits of a construction project on a Federal-aid highway unless it is labor performed by convicts who are on parole, supervised release, or probation. 23 U.S.C. 114(b). The term Federal-aid highway does not include roadways functionally classified as local roads or rural minor collectors. 23 U.S.C. 101(a).

### II. NONDISCRIMINATION (23 CFR 230.107(a); 23 CFR Part 230, Subpart A, Appendix A; EO 11246)

The provisions of this section related to 23 CFR Part 230, Subpart A, Appendix A are applicable to all Federal-aid construction contracts and to all related construction subcontracts of \$10,000 or more. The provisions of 23 CFR Part 230 are not applicable to material supply, engineering, or architectural service contracts.

In addition, the contractor and all subcontractors must comply with the following policies: Executive Order 11246, 41 CFR Part 60, 29 CFR Parts 1625-1627, 23 U.S.C. 140, Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d et seq.), and related regulations including 49 CFR Parts 21, 26, and 27; and 23 CFR Parts 200, 230, and 633.

The contractor and all subcontractors must comply with: the requirements of the Equal Opportunity Clause in 41 CFR 60-1.4(b) and, for all construction contracts exceeding \$10,000, the Standard Federal Equal Employment Opportunity Construction Contract Specifications in 41 CFR 60-4.3.

Note: The U.S. Department of Labor has exclusive authority to determine compliance with Executive Order 11246 and the policies of the Secretary of Labor including 41 CFR Part 60, and 29 CFR Parts 1625-1627. The contracting agency and the FHWA have the authority and the responsibility to ensure compliance with 23 U.S.C. 140, Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), and Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d et seq.), and related regulations including 49 CFR Parts 21, 26, and 27; and 23 CFR Parts 200, 230, and 633.

The following provision is adopted from 23 CFR Part 230, Subpart A, Appendix A, with appropriate revisions to conform to the U.S. Department of Labor (US DOL) and FHWA requirements.

**1. Equal Employment Opportunity:** Equal Employment Opportunity (EEO) requirements not to discriminate and to take affirmative action to assure equal opportunity as set forth under laws, executive orders, rules, regulations (see 28 CFR Part 35, 29 CFR Part 1630, 29 CFR Parts 1625-1627, 41 CFR Part 60 and 49 CFR Part 27) and orders of the Secretary of Labor as modified by the provisions prescribed herein, and imposed pursuant to 23 U.S.C. 140, shall constitute the EEO and specific affirmative action standards for the contractor's project activities under this contract. The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) set forth under 28 CFR Part 35 and 29 CFR Part 1630 are incorporated by reference in this contract. In the execution of this contract, the contractor agrees to comply with the following minimum specific requirement activities of EEO:

a. The contractor will work with the contracting agency and the Federal Government to ensure that it has made every good faith effort to provide equal opportunity with respect to all of its terms and conditions of employment and in their review of activities under the contract. 23 CFR 230.409 (g)(4) & (5).

b. The contractor will accept as its operating policy the following statement:

"It is the policy of this Company to assure that applicants are employed, and that employees are treated during employment, without regard to their race, religion, sex, sexual orientation, gender identity, color, national origin, age or disability. Such action shall include: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship, pre-apprenticeship, and/or on-the-job training."

**2. EEO Officer:** The contractor will designate and make known to the contracting officers an EEO Officer who will have the responsibility for and must be capable of effectively administering and promoting an active EEO program and who must be assigned adequate authority and responsibility to do so.

**3. Dissemination of Policy:** All members of the contractor's staff who are authorized to hire, supervise, promote, and discharge employees, or who recommend such action or are substantially involved in such action, will be made fully cognizant of and will implement the contractor's EEO policy and contractual responsibilities to provide EEO in each grade and classification of employment. To ensure that the above agreement will be met, the following actions will be taken as a minimum:

a. Periodic meetings of supervisory and personnel office employees will be conducted before the start of work and then not less often than once every six months, at which time the contractor's EEO policy and its implementation will be reviewed and explained. The meetings will be conducted by the EEO Officer or other knowledgeable company official.

b. All new supervisory or personnel office employees will be given a thorough indoctrination by the EEO Officer, covering all major aspects of the contractor's EEO obligations within thirty days following their reporting for duty with the contractor.

c. All personnel who are engaged in direct recruitment for the project will be instructed by the EEO Officer in the contractor's procedures for locating and hiring minorities and women.

d. Notices and posters setting forth the contractor's EEO policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.

e. The contractor's EEO policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.

**4. Recruitment:** When advertising for employees, the contractor will include in all advertisements for employees the notation: "An Equal Opportunity Employer." All such advertisements will be placed in publications having a large circulation among minorities and women in the area from which the project work force would normally be derived.

a. The contractor will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minorities and women. To meet this requirement, the contractor will identify sources of potential minority group employees and establish with such identified sources procedures whereby minority and women applicants may be referred to the contractor for employment consideration.

b. In the event the contractor has a valid bargaining agreement providing for exclusive hiring hall referrals, the contractor is expected to observe the provisions of that agreement to the extent that the system meets the contractor's compliance with EEO contract provisions. Where implementation of such an agreement has the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Federal nondiscrimination provisions.

c. The contractor will encourage its present employees to refer minorities and women as applicants for employment. Information and procedures with regard to referring such applicants will be discussed with employees.

**5. Personnel Actions:** Wages, working conditions, and employee benefits shall be established and administered, and personnel actions of every type, including hiring, upgrading, promotion, transfer, demotion, layoff, and termination, shall be taken without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, age or disability. The following procedures shall be followed:

a. The contractor will conduct periodic inspections of project sites to ensure that working conditions and employee facilities do not indicate discriminatory treatment of project site personnel.

b. The contractor will periodically evaluate the spread of wages paid within each classification to determine any evidence of discriminatory wage practices.

c. The contractor will periodically review selected personnel actions in depth to determine whether there is evidence of discrimination. Where evidence is found, the contractor will promptly take corrective action. If the review indicates that the discrimination may extend beyond the actions reviewed, such corrective action shall include all affected persons.

d. The contractor will promptly investigate all complaints of alleged discrimination made to the contractor in connection with its obligations under this contract, will attempt to resolve such complaints, and will take appropriate corrective action

within a reasonable time. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the contractor will inform every complainant of all of their avenues of appeal.

## 6. Training and Promotion:

a. The contractor will assist in locating, qualifying, and increasing the skills of minorities and women who are applicants for employment or current employees. Such efforts should be aimed at developing full journey level status employees in the type of trade or job classification involved.

b. Consistent with the contractor's work force requirements and as permissible under Federal and State regulations, the contractor shall make full use of training programs (i.e., apprenticeship and on-the-job training programs for the geographical area of contract performance). In the event a special provision for training is provided under this contract, this subparagraph will be superseded as indicated in the special provision. The contracting agency may reserve training positions for persons who receive welfare assistance in accordance with 23 U.S.C. 140(a).

c. The contractor will advise employees and applicants for employment of available training programs and entrance requirements for each.

d. The contractor will periodically review the training and promotion potential of employees who are minorities and women and will encourage eligible employees to apply for such training and promotion.

**7. Unions:** If the contractor relies in whole or in part upon unions as a source of employees, the contractor will use good faith efforts to obtain the cooperation of such unions to increase opportunities for minorities and women. 23 CFR 230.409. Actions by the contractor, either directly or through a contractor's association acting as agent, will include the procedures set forth below:

a. The contractor will use good faith efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minorities and women for membership in the unions and increasing the skills of minorities and women so that they may qualify for higher paying employment.

b. The contractor will use good faith efforts to incorporate an EEO clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to their race, color, religion, sex, sexual orientation, gender identity, national origin, age, or disability.

c. The contractor is to obtain information as to the referral practices and policies of the labor union except that to the extent such information is within the exclusive possession of the labor union and such labor union refuses to furnish such information to the contractor, the contractor shall so certify to the contracting agency and shall set forth what efforts have been made to obtain such information.

d. In the event the union is unable to provide the contractor with a reasonable flow of referrals within the time limit set forth in the collective bargaining agreement, the contractor will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, age, or disability; making full efforts to obtain qualified and/or qualifiable minorities and women. The failure of a union to provide

sufficient referrals (even though it is obligated to provide exclusive referrals under the terms of a collective bargaining agreement) does not relieve the contractor from the requirements of this paragraph. In the event the union referral practice prevents the contractor from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such contractor shall immediately notify the contracting agency.

## 8. Reasonable Accommodation for Applicants /

**Employees with Disabilities:** The contractor must be familiar with the requirements for and comply with the Americans with Disabilities Act and all rules and regulations established thereunder. Employers must provide reasonable accommodation in all employment activities unless to do so would cause an undue hardship.

## 9. Selection of Subcontractors, Procurement of Materials and Leasing of Equipment:

The contractor shall not discriminate on the grounds of race, color, religion, sex, sexual orientation, gender identity, national origin, age, or disability in the selection and retention of subcontractors, including procurement of materials and leases of equipment. The contractor shall take all necessary and reasonable steps to ensure nondiscrimination in the administration of this contract.

a. The contractor shall notify all potential subcontractors, suppliers, and lessors of their EEO obligations under this contract.

b. The contractor will use good faith efforts to ensure subcontractor compliance with their EEO obligations.

## 10. Assurances Required:

a. The requirements of 49 CFR Part 26 and the State DOT's FHWA-approved Disadvantaged Business Enterprise (DBE) program are incorporated by reference.

b. The contractor, subrecipient or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate, which may include, but is not limited to:

- (1) Withholding monthly progress payments;
- (2) Assessing sanctions;
- (3) Liquidated damages; and/or
- (4) Disqualifying the contractor from future bidding as non-responsible.

c. The Title VI and nondiscrimination provisions of U.S. DOT Order 1050.2A at Appendixes A and E are incorporated by reference. 49 CFR Part 21.

**11. Records and Reports:** The contractor shall keep such records as necessary to document compliance with the EEO requirements. Such records shall be retained for a period of three years following the date of the final payment to the contractor for all contract work and shall be available at reasonable times and places for inspection by authorized representatives of the contracting agency and the FHWA.

a. The records kept by the contractor shall document the following:

(1) The number and work hours of minority and non-minority group members and women employed in each work classification on the project;

(2) The progress and efforts being made in cooperation with unions, when applicable, to increase employment opportunities for minorities and women; and

(3) The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minorities and women.

b. The contractors and subcontractors will submit an annual report to the contracting agency each July for the duration of the project indicating the number of minority, women, and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on [Form FHWA-1391](#). The staffing data should represent the project work force on board in all or any part of the last payroll period preceding the end of July. If on-the-job training is being required by special provision, the contractor will be required to collect and report training data. The employment data should reflect the work force on board during all or any part of the last payroll period preceding the end of July.

### III. NONSEGREGATED FACILITIES

This provision is applicable to all Federal-aid construction contracts and to all related construction subcontracts of more than \$10,000. 41 CFR 60-1.5.

As prescribed by 41 CFR 60-1.8, the contractor must ensure that facilities provided for employees are provided in such a manner that segregation on the basis of race, color, religion, sex, sexual orientation, gender identity, or national origin cannot result. The contractor may neither require such segregated use by written or oral policies nor tolerate such use by employee custom. The contractor's obligation extends further to ensure that its employees are not assigned to perform their services at any location under the contractor's control where the facilities are segregated. The term "facilities" includes waiting rooms, work areas, restaurants and other eating areas, time clocks, restrooms, washrooms, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing provided for employees. The contractor shall provide separate or single-user restrooms and necessary dressing or sleeping areas to assure privacy between sexes.

### IV. DAVIS-BACON AND RELATED ACT PROVISIONS

This section is applicable to all Federal-aid construction projects exceeding \$2,000 and to all related subcontracts and lower-tier subcontracts (regardless of subcontract size), in accordance with 29 CFR 5.5. The requirements apply to all projects located within the right-of-way of a roadway that is functionally classified as Federal-aid highway. 23 U.S.C. 113. This excludes roadways functionally classified as local roads or rural minor collectors, which are exempt. 23 U.S.C. 101. Where applicable law requires that projects be treated as a project on a Federal-aid highway, the provisions of this subpart will apply regardless of the location of the project. Examples include: Surface Transportation Block Grant Program projects funded under 23 U.S.C. 133 [excluding recreational trails projects], the Nationally Significant Freight and Highway

Projects funded under 23 U.S.C. 117, and National Highway Freight Program projects funded under 23 U.S.C. 167.

The following provisions are from the U.S. Department of Labor regulations in 29 CFR 5.5 "Contract provisions and related matters" with minor revisions to conform to the FHWA-1273 format and FHWA program requirements.

#### 1. Minimum wages (29 CFR 5.5)

a. *Wage rates and fringe benefits.* All laborers and mechanics employed or working upon the site of the work (or otherwise working in construction or development of the project under a development statute), will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act ([29 CFR part 3](#))), the full amount of basic hourly wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics. As provided in paragraphs (d) and (e) of 29 CFR 5.5, the appropriate wage determinations are effective by operation of law even if they have not been attached to the contract. Contributions made or costs reasonably anticipated for bona fide fringe benefits under the Davis-Bacon Act ([40 U.S.C. 3141\(2\)\(B\)](#)) on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph 1.e. of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics must be paid the appropriate wage rate and fringe benefits on the wage determination for the classification(s) of work actually performed, without regard to skill, except as provided in paragraph 4. of this section. Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: *Provided*, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classifications and wage rates conformed under paragraph 1.c. of this section) and the Davis-Bacon poster (WH-1321) must be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

b. *Frequently recurring classifications.* (1) In addition to wage and fringe benefit rates that have been determined to be prevailing under the procedures set forth in [29 CFR part 1](#), a wage determination may contain, pursuant to § 1.3(f), wage and fringe benefit rates for classifications of laborers and mechanics for which conformance requests are regularly submitted pursuant to paragraph 1.c. of this section, provided that:

(i) The work performed by the classification is not performed by a classification in the wage determination for which a prevailing wage rate has been determined;



(ii) The classification is used in the area by the construction industry; and

(iii) The wage rate for the classification bears a reasonable relationship to the prevailing wage rates contained in the wage determination.

(2) The Administrator will establish wage rates for such classifications in accordance with paragraph 1.c.(1)(iii) of this section. Work performed in such a classification must be paid at no less than the wage and fringe benefit rate listed on the wage determination for such classification.

c. *Conformance.* (1) The contracting officer must require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract be classified in conformance with the wage determination. Conformance of an additional classification and wage rate and fringe benefits is appropriate only when the following criteria have been met:

(i) The work to be performed by the classification requested is not performed by a classification in the wage determination; and

(ii) The classification is used in the area by the construction industry; and

(iii) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(2) The conformance process may not be used to split, subdivide, or otherwise avoid application of classifications listed in the wage determination.

(3) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken will be sent by the contracting officer by email to [DBAconformance@dol.gov](mailto:DBAconformance@dol.gov). The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(4) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer will, by email to [DBAconformance@dol.gov](mailto:DBAconformance@dol.gov), refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(5) The contracting officer must promptly notify the contractor of the action taken by the Wage and Hour Division

under paragraphs 1.c.(3) and (4) of this section. The contractor must furnish a written copy of such determination to each affected worker or it must be posted as a part of the wage determination. The wage rate (including fringe benefits where appropriate) determined pursuant to paragraph 1.c.(3) or (4) of this section must be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

d. *Fringe benefits not expressed as an hourly rate.* Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor may either pay the benefit as stated in the wage determination or may pay another bona fide fringe benefit or an hourly cash equivalent thereof.

e. *Unfunded plans.* If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, *Provided*, That the Secretary of Labor has found, upon the written request of the contractor, in accordance with the criteria set forth in § 5.28, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

f. *Interest.* In the event of a failure to pay all or part of the wages required by the contract, the contractor will be required to pay interest on any underpayment of wages.

## 2. Withholding (29 CFR 5.5)

a. *Withholding requirements.* The contracting agency may, upon its own action, or must, upon written request of an authorized representative of the Department of Labor, withhold or cause to be withheld from the contractor so much of the accrued payments or advances as may be considered necessary to satisfy the liabilities of the prime contractor or any subcontractor for the full amount of wages and monetary relief, including interest, required by the clauses set forth in this section for violations of this contract, or to satisfy any such liabilities required by any other Federal contract, or federally assisted contract subject to Davis-Bacon labor standards, that is held by the same prime contractor (as defined in § 5.2). The necessary funds may be withheld from the contractor under this contract, any other Federal contract with the same prime contractor, or any other federally assisted contract that is subject to Davis-Bacon labor standards requirements and is held by the same prime contractor, regardless of whether the other contract was awarded or assisted by the same agency, and such funds may be used to satisfy the contractor liability for which the funds were withheld. In the event of a contractor's failure to pay any laborer or mechanic, including any apprentice or helper working on the site of the work all or part of the wages required by the contract, or upon the contractor's failure to submit the required records as discussed in paragraph 3.d. of this section, the contracting agency may on its own initiative and after written notice to the contractor, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

b. *Priority to withheld funds.* The Department has priority to funds withheld or to be withheld in accordance with paragraph

2.a. of this section or Section V, paragraph 3.a., or both, over claims to those funds by:

- (1) A contractor's surety(ies), including without limitation performance bond sureties and payment bond sureties;
- (2) A contracting agency for its procurement costs;
- (3) A trustee(s) (either a court-appointed trustee or a U.S. trustee, or both) in bankruptcy of a contractor, or a contractor's bankruptcy estate;
- (4) A contractor's assignee(s);
- (5) A contractor's successor(s); or
- (6) A claim asserted under the Prompt Payment Act, [31 U.S.C. 3901](#)–3907.

### 3. Records and certified payrolls (29 CFR 5.5)

*a. Basic record requirements (1) Length of record retention.* All regular payrolls and other basic records must be maintained by the contractor and any subcontractor during the course of the work and preserved for all laborers and mechanics working at the site of the work (or otherwise working in construction or development of the project under a development statute) for a period of at least 3 years after all the work on the prime contract is completed.

*(2) Information required.* Such records must contain the name; Social Security number; last known address, telephone number, and email address of each such worker; each worker's correct classification(s) of work actually performed; hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in [40 U.S.C. 3141\(2\)\(B\)](#) of the Davis-Bacon Act); daily and weekly number of hours actually worked in total and on each covered contract; deductions made; and actual wages paid.

*(3) Additional records relating to fringe benefits.* Whenever the Secretary of Labor has found under paragraph 1.e. of this section that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in [40 U.S.C. 3141\(2\)\(B\)](#) of the Davis-Bacon Act, the contractor must maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits.

*(4) Additional records relating to apprenticeship.* Contractors with apprentices working under approved programs must maintain written evidence of the registration of apprenticeship programs, the registration of the apprentices, and the ratios and wage rates prescribed in the applicable programs.

*b. Certified payroll requirements (1) Frequency and method of submission.* The contractor or subcontractor must submit weekly, for each week in which any DBA- or Related Acts-covered work is performed, certified payrolls to the contracting

agency. The prime contractor is responsible for the submission of all certified payrolls by all subcontractors. A contracting agency or prime contractor may permit or require contractors to submit certified payrolls through an electronic system, as long as the electronic system requires a legally valid electronic signature; the system allows the contractor, the contracting agency, and the Department of Labor to access the certified payrolls upon request for at least 3 years after the work on the prime contract has been completed; and the contracting agency or prime contractor permits other methods of submission in situations where the contractor is unable or limited in its ability to use or access the electronic system.

*(2) Information required.* The certified payrolls submitted must set out accurately and completely all of the information required to be maintained under paragraph 3.a.(2) of this section, except that full Social Security numbers and last known addresses, telephone numbers, and email addresses must not be included on weekly transmittals. Instead, the certified payrolls need only include an individually identifying number for each worker ( e.g., the last four digits of the worker's Social Security number). The required weekly certified payroll information may be submitted using Optional Form WH-347 or in any other format desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division website at <https://www.dol.gov/sites/dolgov/files/WHDL/legacy/files/wh347.pdf> or its successor website. It is not a violation of this section for a prime contractor to require a subcontractor to provide full Social Security numbers and last known addresses, telephone numbers, and email addresses to the prime contractor for its own records, without weekly submission by the subcontractor to the contracting agency.

*(3) Statement of Compliance.* Each certified payroll submitted must be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor, or the contractor's or subcontractor's agent who pays or supervises the payment of the persons working on the contract, and must certify the following:

(i) That the certified payroll for the payroll period contains the information required to be provided under paragraph 3.b. of this section, the appropriate information and basic records are being maintained under paragraph 3.a. of this section, and such information and records are correct and complete;

(ii) That each laborer or mechanic (including each helper and apprentice) working on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in [29 CFR part 3](#); and

(iii) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification(s) of work actually performed, as specified in the applicable wage determination incorporated into the contract.

*(4) Use of Optional Form WH-347.* The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 will satisfy the requirement for submission of the "Statement of Compliance" required by paragraph 3.b.(3) of this section.

(5) *Signature.* The signature by the contractor, subcontractor, or the contractor's or subcontractor's agent must be an original handwritten signature or a legally valid electronic signature.

(6) *Falsification.* The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under [18 U.S.C. 1001](#) and [31 U.S.C. 3729](#).

(7) *Length of certified payroll retention.* The contractor or subcontractor must preserve all certified payrolls during the course of the work and for a period of 3 years after all the work on the prime contract is completed.

c. *Contracts, subcontracts, and related documents.* The contractor or subcontractor must maintain this contract or subcontract and related documents including, without limitation, bids, proposals, amendments, modifications, and extensions. The contractor or subcontractor must preserve these contracts, subcontracts, and related documents during the course of the work and for a period of 3 years after all the work on the prime contract is completed.

d. *Required disclosures and access* (1) *Required record disclosures and access to workers.* The contractor or subcontractor must make the records required under paragraphs 3.a. through 3.c. of this section, and any other documents that the contracting agency, the State DOT, the FHWA, or the Department of Labor deems necessary to determine compliance with the labor standards provisions of any of the applicable statutes referenced by § 5.1, available for inspection, copying, or transcription by authorized representatives of the contracting agency, the State DOT, the FHWA, or the Department of Labor, and must permit such representatives to interview workers during working hours on the job.

(2) *Sanctions for non-compliance with records and worker access requirements.* If the contractor or subcontractor fails to submit the required records or to make them available, or refuses to permit worker interviews during working hours on the job, the Federal agency may, after written notice to the contractor, sponsor, applicant, owner, or other entity, as the case may be, that maintains such records or that employs such workers, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available, or to permit worker interviews during working hours on the job, may be grounds for debarment action pursuant to § 5.12. In addition, any contractor or other person that fails to submit the required records or make those records available to WHD within the time WHD requests that the records be produced will be precluded from introducing as evidence in an administrative proceeding under [29 CFR part 6](#) any of the required records that were not provided or made available to WHD. WHD will take into consideration a reasonable request from the contractor or person for an extension of the time for submission of records. WHD will determine the reasonableness of the request and may consider, among other things, the location of the records and the volume of production.

(3) *Required information disclosures.* Contractors and subcontractors must maintain the full Social Security number and last known address, telephone number, and email address

of each covered worker, and must provide them upon request to the contracting agency, the State DOT, the FHWA, the contractor, or the Wage and Hour Division of the Department of Labor for purposes of an investigation or other compliance action.

#### **4. Apprentices and equal employment opportunity (29 CFR 5.5)**

a. *Apprentices (1) Rate of pay.* Apprentices will be permitted to work at less than the predetermined rate for the work they perform when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship (OA), or with a State Apprenticeship Agency recognized by the OA. A person who is not individually registered in the program, but who has been certified by the OA or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice, will be permitted to work at less than the predetermined rate for the work they perform in the first 90 days of probationary employment as an apprentice in such a program. In the event the OA or a State Apprenticeship Agency recognized by the OA withdraws approval of an apprenticeship program, the contractor will no longer be permitted to use apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(2) *Fringe benefits.* Apprentices must be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringe benefits must be paid in accordance with that determination.

(3) *Apprenticeship ratio.* The allowable ratio of apprentices to journeyworkers on the job site in any craft classification must not be greater than the ratio permitted to the contractor as to the entire work force under the registered program or the ratio applicable to the locality of the project pursuant to paragraph 4.a.(4) of this section. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated in paragraph 4.a.(1) of this section, must be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under this section must be paid not less than the applicable wage rate on the wage determination for the work actually performed.

(4) *Reciprocity of ratios and wage rates.* Where a contractor is performing construction on a project in a locality other than the locality in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyworker's hourly rate) applicable within the locality in which the construction is being performed must be observed. If there is no applicable ratio or wage rate for the locality of the project, the ratio and wage rate specified in the contractor's registered program must be observed.

b. *Equal employment opportunity.* The use of apprentices and journeyworkers under this part must be in conformity with

the equal employment opportunity requirements of Executive Order 11246, as amended, and [29 CFR part 30](#).

c. Apprentices and Trainees (programs of the U.S. DOT).

Apprentices and trainees working under apprenticeship and skill training programs which have been certified by the Secretary of Transportation as promoting EEO in connection with Federal-aid highway construction programs are not subject to the requirements of paragraph 4 of this Section IV. 23 CFR 230.111(e)(2). The straight time hourly wage rates for apprentices and trainees under such programs will be established by the particular programs. The ratio of apprentices and trainees to journeyworkers shall not be greater than permitted by the terms of the particular program.

**5. Compliance with Copeland Act requirements.** The contractor shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this contract as provided in 29 CFR 5.5.

**6. Subcontracts.** The contractor or subcontractor must insert FHWA-1273 in any subcontracts, along with the applicable wage determination(s) and such other clauses or contract modifications as the contracting agency may by appropriate instructions require, and a clause requiring the subcontractors to include these clauses and wage determination(s) in any lower tier subcontracts. The prime contractor is responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in this section. In the event of any violations of these clauses, the prime contractor and any subcontractor(s) responsible will be liable for any unpaid wages and monetary relief, including interest from the date of the underpayment or loss, due to any workers of lower-tier subcontractors, and may be subject to debarment, as appropriate. 29 CFR 5.5.

**7. Contract termination: debarment.** A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

**8. Compliance with Davis-Bacon and Related Act requirements.** All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this contract as provided in 29 CFR 5.5.

**9. Disputes concerning labor standards.** As provided in 29 CFR 5.5, disputes arising out of the labor standards provisions of this contract shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.

**10. Certification of eligibility.** a. By entering into this contract, the contractor certifies that neither it nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of [40 U.S.C. 3144\(b\)](#) or § 5.12(a).

b. No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of [40 U.S.C. 3144\(b\)](#) or § 5.12(a).

c. The penalty for making false statements is prescribed in the U.S. Code, Title 18 Crimes and Criminal Procedure, [18 U.S.C. 1001](#).

**11. Anti-retaliation.** It is unlawful for any person to discharge, demote, intimidate, threaten, restrain, coerce, blacklist, harass, or in any other manner discriminate against, or to cause any person to discharge, demote, intimidate, threaten, restrain, coerce, blacklist, harass, or in any other manner discriminate against, any worker or job applicant for:

a. Notifying any contractor of any conduct which the worker reasonably believes constitutes a violation of the DBA, Related Acts, this part, or [29 CFR part 1](#) or [3](#);

b. Filing any complaint, initiating or causing to be initiated any proceeding, or otherwise asserting or seeking to assert on behalf of themselves or others any right or protection under the DBA, Related Acts, this part, or [29 CFR part 1](#) or [3](#);

c. Cooperating in any investigation or other compliance action, or testifying in any proceeding under the DBA, Related Acts, this part, or [29 CFR part 1](#) or [3](#); or

d. Informing any other person about their rights under the DBA, Related Acts, this part, or [29 CFR part 1](#) or [3](#).

## V. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT

Pursuant to 29 CFR 5.5(b), the following clauses apply to any Federal-aid construction contract in an amount in excess of \$100,000 and subject to the overtime provisions of the Contract Work Hours and Safety Standards Act. These clauses shall be inserted in addition to the clauses required by 29 CFR 5.5(a) or 29 CFR 4.6. As used in this paragraph, the terms laborers and mechanics include watchpersons and guards.

**1. Overtime requirements.** No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek. 29 CFR 5.5.

**2. Violation; liability for unpaid wages; liquidated damages.** In the event of any violation of the clause set forth in paragraph 1. of this section the contractor and any subcontractor responsible therefor shall be liable for the unpaid wages and interest from the date of the underpayment. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or



mechanic, including watchpersons and guards, employed in violation of the clause set forth in paragraph 1. of this section, in the sum currently provided in 29 CFR 5.5(b)(2)\* for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph 1. of this section.

\* \$31 as of January 15, 2023 (See 88 FR 88 FR 2210) as may be adjusted annually by the Department of Labor, pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990.

### 3. Withholding for unpaid wages and liquidated damages

a. *Withholding process.* The FHWA or the contracting agency may, upon its own action, or must, upon written request of an authorized representative of the Department of Labor, withhold or cause to be withheld from the contractor so much of the accrued payments or advances as may be considered necessary to satisfy the liabilities of the prime contractor or any subcontractor for any unpaid wages; monetary relief, including interest; and liquidated damages required by the clauses set forth in this section on this contract, any other Federal contract with the same prime contractor, or any other federally assisted contract subject to the Contract Work Hours and Safety Standards Act that is held by the same prime contractor (as defined in § 5.2). The necessary funds may be withheld from the contractor under this contract, any other Federal contract with the same prime contractor, or any other federally assisted contract that is subject to the Contract Work Hours and Safety Standards Act and is held by the same prime contractor, regardless of whether the other contract was awarded or assisted by the same agency, and such funds may be used to satisfy the contractor liability for which the funds were withheld.

b. *Priority to withheld funds.* The Department has priority to funds withheld or to be withheld in accordance with Section IV paragraph 2.a. or paragraph 3.a. of this section, or both, over claims to those funds by:

- (1) A contractor's surety(ies), including without limitation performance bond sureties and payment bond sureties;
- (2) A contracting agency for its procurement costs;
- (3) A trustee(s) (either a court-appointed trustee or a U.S. trustee, or both) in bankruptcy of a contractor, or a contractor's bankruptcy estate;
- (4) A contractor's assignee(s);
- (5) A contractor's successor(s); or
- (6) A claim asserted under the Prompt Payment Act, [31 U.S.C. 3901](#)–3907.

**4. Subcontracts.** The contractor or subcontractor must insert in any subcontracts the clauses set forth in paragraphs 1. through 5. of this section and a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor is responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs 1. through 5. In the

event of any violations of these clauses, the prime contractor and any subcontractor(s) responsible will be liable for any unpaid wages and monetary relief, including interest from the date of the underpayment or loss, due to any workers of lower-tier subcontractors, and associated liquidated damages and may be subject to debarment, as appropriate.

**5. Anti-retaliation.** It is unlawful for any person to discharge, demote, intimidate, threaten, restrain, coerce, blacklist, harass, or in any other manner discriminate against, or to cause any person to discharge, demote, intimidate, threaten, restrain, coerce, blacklist, harass, or in any other manner discriminate against, any worker or job applicant for:

- a. Notifying any contractor of any conduct which the worker reasonably believes constitutes a violation of the Contract Work Hours and Safety Standards Act (CWHSSA) or its implementing regulations in this part;
- b. Filing any complaint, initiating or causing to be initiated any proceeding, or otherwise asserting or seeking to assert on behalf of themselves or others any right or protection under CWHSSA or this part;
- c. Cooperating in any investigation or other compliance action, or testifying in any proceeding under CWHSSA or this part; or
- d. Informing any other person about their rights under CWHSSA or this part.

## VI. SUBLETTING OR ASSIGNING THE CONTRACT

This provision is applicable to all Federal-aid construction contracts on the National Highway System pursuant to 23 CFR 635.116.

1. The contractor shall perform with its own organization contract work amounting to not less than 30 percent (or a greater percentage if specified elsewhere in the contract) of the total original contract price, excluding any specialty items designated by the contracting agency. Specialty items may be performed by subcontract and the amount of any such specialty items performed may be deducted from the total original contract price before computing the amount of work required to be performed by the contractor's own organization (23 CFR 635.116).

a. The term "perform work with its own organization" in paragraph 1 of Section VI refers to workers employed or leased by the prime contractor, and equipment owned or rented by the prime contractor, with or without operators. Such term does not include employees or equipment of a subcontractor or lower tier subcontractor, agents of the prime contractor, or any other assignees. The term may include payments for the costs of hiring leased employees from an employee leasing firm meeting all relevant Federal and State regulatory requirements. Leased employees may only be included in this term if the prime contractor meets all of the following conditions: (based on longstanding interpretation)

- (1) the prime contractor maintains control over the supervision of the day-to-day activities of the leased employees;
- (2) the prime contractor remains responsible for the quality of the work of the leased employees;

- (3) the prime contractor retains all power to accept or exclude individual employees from work on the project; and
- (4) the prime contractor remains ultimately responsible for the payment of predetermined minimum wages, the submission of payrolls, statements of compliance and all other Federal regulatory requirements.

b. "Specialty Items" shall be construed to be limited to work that requires highly specialized knowledge, abilities, or equipment not ordinarily available in the type of contracting organizations qualified and expected to bid or propose on the contract as a whole and in general are to be limited to minor components of the overall contract. 23 CFR 635.102.

2. Pursuant to 23 CFR 635.116(a), the contract amount upon which the requirements set forth in paragraph (1) of Section VI is computed includes the cost of material and manufactured products which are to be purchased or produced by the contractor under the contract provisions.

3. Pursuant to 23 CFR 635.116(c), the contractor shall furnish (a) a competent superintendent or supervisor who is employed by the firm, has full authority to direct performance of the work in accordance with the contract requirements, and is in charge of all construction operations (regardless of who performs the work) and (b) such other of its own organizational resources (supervision, management, and engineering services) as the contracting officer determines is necessary to assure the performance of the contract.

4. No portion of the contract shall be sublet, assigned or otherwise disposed of except with the written consent of the contracting officer, or authorized representative, and such consent when given shall not be construed to relieve the contractor of any responsibility for the fulfillment of the contract. Written consent will be given only after the contracting agency has assured that each subcontract is evidenced in writing and that it contains all pertinent provisions and requirements of the prime contract. (based on long-standing interpretation of 23 CFR 635.116).

5. The 30-percent self-performance requirement of paragraph (1) is not applicable to design-build contracts; however, contracting agencies may establish their own self-performance requirements. 23 CFR 635.116(d).

## **VII. SAFETY: ACCIDENT PREVENTION**

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

1. In the performance of this contract the contractor shall comply with all applicable Federal, State, and local laws governing safety, health, and sanitation (23 CFR Part 635). The contractor shall provide all safeguards, safety devices and protective equipment and take any other needed actions as it determines, or as the contracting officer may determine, to be reasonably necessary to protect the life and health of employees on the job and the safety of the public and to protect property in connection with the performance of the work covered by the contract. 23 CFR 635.108.

2. It is a condition of this contract, and shall be made a condition of each subcontract, which the contractor enters into pursuant to this contract, that the contractor and any subcontractor shall not permit any employee, in performance of the contract, to work in surroundings or under conditions which are unsanitary, hazardous or dangerous to his/her health or safety, as determined under construction safety and

health standards (29 CFR Part 1926) promulgated by the Secretary of Labor, in accordance with Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 3704). 29 CFR 1926.10.

3. Pursuant to 29 CFR 1926.3, it is a condition of this contract that the Secretary of Labor or authorized representative thereof, shall have right of entry to any site of contract performance to inspect or investigate the matter of compliance with the construction safety and health standards and to carry out the duties of the Secretary under Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 3704).

## **VIII. FALSE STATEMENTS CONCERNING HIGHWAY PROJECTS**

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

In order to assure high quality and durable construction in conformity with approved plans and specifications and a high degree of reliability on statements and representations made by engineers, contractors, suppliers, and workers on Federal-aid highway projects, it is essential that all persons concerned with the project perform their functions as carefully, thoroughly, and honestly as possible. Willful falsification, distortion, or misrepresentation with respect to any facts related to the project is a violation of Federal law. To prevent any misunderstanding regarding the seriousness of these and similar acts, Form FHWA-1022 shall be posted on each Federal-aid highway project (23 CFR Part 635) in one or more places where it is readily available to all persons concerned with the project:

18 U.S.C. 1020 reads as follows:

"Whoever, being an officer, agent, or employee of the United States, or of any State or Territory, or whoever, whether a person, association, firm, or corporation, knowingly makes any false statement, false representation, or false report as to the character, quality, quantity, or cost of the material used or to be used, or the quantity or quality of the work performed or to be performed, or the cost thereof in connection with the submission of plans, maps, specifications, contracts, or costs of construction on any highway or related project submitted for approval to the Secretary of Transportation; or

Whoever knowingly makes any false statement, false representation, false report or false claim with respect to the character, quality, quantity, or cost of any work performed or to be performed, or materials furnished or to be furnished, in connection with the construction of any highway or related project approved by the Secretary of Transportation; or

Whoever knowingly makes any false statement or false representation as to material fact in any statement, certificate, or report submitted pursuant to provisions of the Federal-aid Roads Act approved July 11, 1916, (39 Stat. 355), as amended and supplemented;

Shall be fined under this title or imprisoned not more than 5 years or both."

**IX. IMPLEMENTATION OF CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT (42 U.S.C. 7606; 2 CFR 200.88; EO 11738)**

This provision is applicable to all Federal-aid construction contracts in excess of \$150,000 and to all related subcontracts. 48 CFR 2.101; 2 CFR 200.327.

By submission of this bid/proposal or the execution of this contract or subcontract, as appropriate, the bidder, proposer, Federal-aid construction contractor, subcontractor, supplier, or vendor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act, as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal Highway Administration and the Regional Office of the Environmental Protection Agency. 2 CFR Part 200, Appendix II.

The contractor agrees to include or cause to be included the requirements of this Section in every subcontract, and further agrees to take such action as the contracting agency may direct as a means of enforcing such requirements. 2 CFR 200.327.

**X. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION**

This provision is applicable to all Federal-aid construction contracts, design-build contracts, subcontracts, lower-tier subcontracts, purchase orders, lease agreements, consultant contracts or any other covered transaction requiring FHWA approval or that is estimated to cost \$25,000 or more – as defined in 2 CFR Parts 180 and 1200. 2 CFR 180.220 and 1200.220.

**1. Instructions for Certification – First Tier Participants:**

a. By signing and submitting this proposal, the prospective first tier participant is providing the certification set out below.

b. The inability of a person to provide the certification set out below will not necessarily result in denial of participation in this covered transaction. The prospective first tier participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective first tier participant to furnish a certification or an explanation shall disqualify such a person from participation in this transaction. 2 CFR 180.320.

c. The certification in this clause is a material representation of fact upon which reliance was placed when the contracting agency determined to enter into this transaction. If it is later determined that the prospective participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the contracting agency may terminate this transaction for cause of default. 2 CFR 180.325.

d. The prospective first tier participant shall provide immediate written notice to the contracting agency to whom this proposal is submitted if any time the prospective first tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances. 2 CFR 180.345 and 180.350.

e. The terms "covered transaction," "debarred," "suspended," "ineligible," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180, Subpart I, 180.900-180.1020, and 1200. "First Tier Covered Transactions" refers to any covered transaction between a recipient or subrecipient of Federal funds and a participant (such as the prime or general contract). "Lower Tier Covered Transactions" refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). "First Tier Participant" refers to the participant who has entered into a covered transaction with a recipient or subrecipient of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).

f. The prospective first tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction. 2 CFR 180.330.

g. The prospective first tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions," provided by the department or contracting agency, entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the \$25,000 threshold. 2 CFR 180.220 and 180.300.

h. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. 2 CFR 180.300; 180.320, and 180.325. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. 2 CFR 180.335. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the System for Award Management website (<https://www.sam.gov/>). 2 CFR 180.300, 180.320, and 180.325.

i. Nothing contained in the foregoing shall be construed to require the establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of the prospective participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

j. Except for transactions authorized under paragraph (f) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default. 2 CFR 180.325.

\* \* \* \* \*

**2. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – First Tier Participants:**

a. The prospective first tier participant certifies to the best of its knowledge and belief, that it and its principals:

(1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency, 2 CFR 180.335;.

(2) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property, 2 CFR 180.800;

(3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (a)(2) of this certification, 2 CFR 180.700 and 180.800; and

(4) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default. 2 CFR 180.335(d).

(5) Are not a corporation that has been convicted of a felony violation under any Federal law within the two-year period preceding this proposal (USDOT Order 4200.6 implementing appropriations act requirements); and

(6) Are not a corporation with any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted, or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability (USDOT Order 4200.6 implementing appropriations act requirements).

b. Where the prospective participant is unable to certify to any of the statements in this certification, such prospective participant should attach an explanation to this proposal. 2 CFR 180.335 and 180.340.

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**3. Instructions for Certification - Lower Tier Participants:**

(Applicable to all subcontracts, purchase orders, and other lower tier transactions requiring prior FHWA approval or estimated to cost \$25,000 or more - 2 CFR Parts 180 and 1200). 2 CFR 180.220 and 1200.220.

a. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

b. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department, or agency with which

this transaction originated may pursue available remedies, including suspension and/or debarment.

c. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous by reason of changed circumstances. 2 CFR 180.365.

d. The terms "covered transaction," "debarred," "suspended," "ineligible," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180, Subpart I, 180.900 – 180.1020, and 1200. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations. "First Tier Covered Transactions" refers to any covered transaction between a recipient or subrecipient of Federal funds and a participant (such as the prime or general contract). "Lower Tier Covered Transactions" refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). "First Tier Participant" refers to the participant who has entered into a covered transaction with a recipient or subrecipient of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).

e. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated. 2 CFR 1200.220 and 1200.332.

f. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the \$25,000 threshold. 2 CFR 180.220 and 1200.220.

g. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the System for Award Management website (<https://www.sam.gov/>), which is compiled by the General Services Administration. 2 CFR 180.300, 180.320, 180.330, and 180.335.

h. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

i. Except for transactions authorized under paragraph e of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily



excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment. 2 CFR 180.325.

\* \* \* \* \*

#### **4. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Participants:**

a. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals:

(1) is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency, 2 CFR 180.355;

(2) is a corporation that has been convicted of a felony violation under any Federal law within the two-year period preceding this proposal (USDOT Order 4200.6 implementing appropriations act requirements); and

(3) is a corporation with any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted, or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability. (USDOT Order 4200.6 implementing appropriations act requirements)

b. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant should attach an explanation to this proposal.

\* \* \* \* \*

#### **XI. CERTIFICATION REGARDING USE OF CONTRACT FUNDS FOR LOBBYING**

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts which exceed \$100,000. 49 CFR Part 20, App. A.

1. The prospective participant certifies, by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that:

a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or

cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

2. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. The prospective participant also agrees by submitting its bid or proposal that the participant shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such recipients shall certify and disclose accordingly.

#### **XII. USE OF UNITED STATES-FLAG VESSELS:**

This provision is applicable to all Federal-aid construction contracts, design-build contracts, subcontracts, lower-tier subcontracts, purchase orders, lease agreements, or any other covered transaction. 46 CFR Part 381.

This requirement applies to material or equipment that is acquired for a specific Federal-aid highway project. 46 CFR 381.7. It is not applicable to goods or materials that come into inventories independent of an FHWA funded-contract.

When oceanic shipments (or shipments across the Great Lakes) are necessary for materials or equipment acquired for a specific Federal-aid construction project, the bidder, proposer, contractor, subcontractor, or vendor agrees:

1. To utilize privately owned United States-flag commercial vessels to ship at least 50 percent of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, material, or commodities pursuant to this contract, to the extent such vessels are available at fair and reasonable rates for United States-flag commercial vessels. 46 CFR 381.7.

2. To furnish within 20 days following the date of loading for shipments originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, 'on-board' commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph (b)(1) of this section to both the Contracting Officer (through the prime contractor in the case of subcontractor bills-of-lading) and to the Office of Cargo and Commercial Sealift (MAR-620), Maritime Administration, Washington, DC 20590. (MARAD requires copies of the ocean carrier's (master) bills of lading, certified onboard, dated, with rates and charges. These bills of lading may contain business sensitive information and therefore may be submitted directly to MARAD by the Ocean Transportation Intermediary on behalf of the contractor). 46 CFR 381.7.

**ATTACHMENT A - EMPLOYMENT AND MATERIALS  
PREFERENCE FOR APPALACHIAN DEVELOPMENT  
HIGHWAY SYSTEM OR APPALACHIAN LOCAL ACCESS  
ROAD CONTRACTS (23 CFR 633, Subpart B, Appendix B)**

This provision is applicable to all Federal-aid projects funded under the Appalachian Regional Development Act of 1965.

1. During the performance of this contract, the contractor undertaking to do work which is, or reasonably may be, done as on-site work, shall give preference to qualified persons who regularly reside in the labor area as designated by the DOL wherein the contract work is situated, or the subregion, or the Appalachian counties of the State wherein the contract work is situated, except:

a. To the extent that qualified persons regularly residing in the area are not available.

b. For the reasonable needs of the contractor to employ supervisory or specially experienced personnel necessary to assure an efficient execution of the contract work.

c. For the obligation of the contractor to offer employment to present or former employees as the result of a lawful collective bargaining contract, provided that the number of nonresident persons employed under this subparagraph (1c) shall not exceed 20 percent of the total number of employees employed by the contractor on the contract work, except as provided in subparagraph (4) below.

2. The contractor shall place a job order with the State Employment Service indicating (a) the classifications of the laborers, mechanics and other employees required to perform the contract work, (b) the number of employees required in each classification, (c) the date on which the participant estimates such employees will be required, and (d) any other pertinent information required by the State Employment Service to complete the job order form. The job order may be placed with the State Employment Service in writing or by telephone. If during the course of the contract work, the information submitted by the contractor in the original job order is substantially modified, the participant shall promptly notify the State Employment Service.

3. The contractor shall give full consideration to all qualified job applicants referred to him by the State Employment Service. The contractor is not required to grant employment to any job applicants who, in his opinion, are not qualified to perform the classification of work required.

4. If, within one week following the placing of a job order by the contractor with the State Employment Service, the State Employment Service is unable to refer any qualified job applicants to the contractor, or less than the number requested, the State Employment Service will forward a certificate to the contractor indicating the unavailability of applicants. Such certificate shall be made a part of the contractor's permanent project records. Upon receipt of this certificate, the contractor may employ persons who do not normally reside in the labor area to fill positions covered by the certificate, notwithstanding the provisions of subparagraph (1c) above.

5. The provisions of 23 CFR 633.207(e) allow the contracting agency to provide a contractual preference for the use of mineral resource materials native to the Appalachian region.

6. The contractor shall include the provisions of Sections 1 through 4 of this Attachment A in every subcontract for work which is, or reasonably may be, done as on-site work.

**KENTUCKY TRANSPORTATION CABINET  
DEPARTMENT OF HIGHWAYS**

**EMPLOYMENT REQUIREMENTS  
RELATING TO  
NONDISCRIMINATION OF EMPLOYEES  
(APPLICABLE TO FEDERAL-AID SYSTEM CONTRACTS)**

**AN ACT OF THE KENTUCKY GENERAL ASSEMBLY  
TO PREVENT DISCRIMINATION IN EMPLOYMENT**

**KRS CHAPTER 344  
EFFECTIVE JUNE 16, 1972**

The contract on this project, in accordance with KRS Chapter 344, provides that during the performance of this contract, the contractor agrees as follows:

1. The contractor shall not fail or refuse to hire, or shall not discharge any individual, or otherwise discriminate against an individual with respect to his compensation, terms, conditions, or privileges of employment, because of such individual's race, color, religion, national origin, sex, disability or age (forty and above); or limit, segregate, or classify his employees in any way which would deprive or tend to deprive an individual of employment opportunities or otherwise adversely affect his status as an employee, because of such individual's race, color, religion, national origin, sex, disability or age forty (40) and over. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.

2. The contractor shall not print or publish or cause to be printed or published a notice or advertisement relating to employment by such an employer or membership in or any classification or referral for employment by the employment agency, indicating any preference, limitation, specification, or discrimination, based on race, color, religion, national origin, sex, or age forty (40) and over, or because the person is a qualified individual with a disability, except that such a notice or advertisement may indicate a preference, limitation, or specification based on religion, national origin, sex, or age forty (40) and over, or because the person is a qualified individual with a disability, when religion, national origin, sex, or age forty (40) and over, or because the person is a qualified individual with a disability, is a bona fide occupational qualification for employment.

3. If the contractor is in control of apprenticeship or other training or retraining, including on-the-job training programs, he shall not discriminate against an individual because of his race, color, religion, national origin, sex, disability or age forty (40) and over, in admission to, or employment in any program established to provide apprenticeship or other training.

4. The contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representative of the contractor's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment. The contractor will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provisions, including sanctions for non-compliance.

Revised: January 25, 2017

### Standard Title VI/Non-Discrimination Assurances

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

1. **Compliance with Regulations:** The contractor (hereinafter includes consultants) will comply with the Acts and the Regulations relative to Non-discrimination in Federally-assisted programs of the U.S. Department of Transportation, **Federal Highway Administration**, as they may be amended from time to time, which are herein incorporated by reference and made a part of this contract.
2. **Non-discrimination:** The contractor, with regard to the work performed by it during the contract, will not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor will not participate directly or indirectly in the discrimination prohibited by the Acts and the Regulations, including employment practices when the contract covers any activity, project, or program set forth in Appendix B of 49 CFR Part 21.
3. **Solicitations for Subcontracts, Including Procurements of Materials and Equipment:** In all solicitations, either by competitive bidding, or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials, or leases of equipment, each potential subcontractor or supplier will be notified by the contractor of the contractor's obligations under this contract and the Acts and the Regulations relative to Non-discrimination on the grounds of race, color, or national origin.
4. **Information and Reports:** The contractor will provide all information and reports required by the Acts, the Regulations, and directives issued pursuant thereto and will permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Recipient or the **Federal Highway Administration** to be pertinent to ascertain compliance with such Acts, Regulations, and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish the information, the contractor will so certify to the Recipient or the **Federal Highway Administration**, as appropriate, and will set forth what efforts it has made to obtain the information.
5. **Sanctions for Noncompliance:** In the event of a contractor's noncompliance with the Non-discrimination provisions of this contract, the Recipient will impose such contract sanctions as it or the **Federal Highway Administration** may determine to be appropriate, including, but not limited to:
  - a. withholding payments to the contractor under the contract until the contractor complies; and/or
  - b. cancelling, terminating, or suspending a contract, in whole or in part.
6. **Incorporation of Provisions:** The contractor will include the provisions of paragraphs one through six in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Acts, the Regulations and directives issued pursuant thereto. The contractor will take action with respect to any subcontract or procurement as the Recipient or the **Federal Highway Administration** may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, that if the contractor becomes involved in, or is threatened with litigation by a subcontractor, or supplier because of such direction, the contractor may request the Recipient to enter into any litigation to protect the interests of the Recipient. In addition, the contractor may request the United States to enter into the litigation to protect the interests of the United States.

### **Standard Title VI/Non-Discrimination Statutes and Authorities**

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the “contractor”) agrees to comply with the following non-discrimination statutes and authorities; including but not limited to:

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*, 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin); and 49 CFR Part 21;
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 *et seq.*), (prohibits discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 *et seq.*), as amended, (prohibits discrimination on the basis of disability); and 49 CFR Part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 *et seq.*), (prohibits discrimination on the basis of age);
- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms “programs or activities” to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- Titles II and III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131 -- 12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;
- The Federal Aviation Administration’s Non-discrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures non-discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1681 *et seq.*).

## EXECUTIVE BRANCH CODE OF ETHICS

The Executive Branch Code of Ethics created by Kentucky Revised Statutes (KRS) Chapter 11A, effective July 14, 1992, establishes the ethical standards that govern the conduct of all executive branch employees. The Executive Branch Code of Ethics, which states, in part:

KRS 11A.040 (7) provides:

A present or former public servant listed in KRS 11A.010(9)(a) to (g) shall not, within one (1) year following termination of his or her office or employment, accept employment, compensation, or other economic benefit from any person or business that contracts or does business with, or is regulated by, the state in matters in which he was directly involved during the last thirty-six (36) months of his tenure. This provision shall not prohibit an individual from returning to the same business, firm, occupation, or profession in which he was involved prior to taking office or beginning his term of employment, or for which he received, prior to his state employment, a professional degree or license, provided that, for a period of one (1) year, he or she personally refrains from working on any matter in which he was directly involved during the last thirty-six (36) months of his or her tenure in state government. This subsection shall not prohibit the performance of ministerial functions, including but not limited to filing tax returns, filing applications for permits or licenses, or filing incorporation papers, nor shall it prohibit the former officer or public servant from receiving public funds disbursed through entitlement programs.

KRS 11A.040 (9) states:

A former public servant shall not represent a person or business before a state agency in a matter in which the former public servant was directly involved during the last thirty-six (36) months of his tenure, for a period of one (1) year after the latter of:

- a) The date of leaving office or termination of employment; or
- b) The date the term of office expires to which the public servant was elected.

This law is intended to promote public confidence in the integrity of state government and to declare as public policy the idea that state employees should view their work as a public trust and not to obtain private benefits.

If you have worked for the executive branch of state government within the past year, you may be subject to the law's prohibitions. The law's applicability may be different if you hold elected office or are contemplating representation of another before a state agency.

Also, if you are affiliated with a firm which does business with the state and which employs former state executive-branch employees, you should be aware that the law may apply to them.

In case of doubt, the law permits you to request an advisory opinion from the Executive Branch Ethics Commission, 1025 Capital Center Drive, Suite 105, Frankfort, Kentucky 40601; telephone (502) 564-7954.

Revised: March 11, 2025

"General Decision Number: KY20250107 01/03/2025

Superseded General Decision Number: KY20240107

State: Kentucky

Construction Type: Highway

Counties: Adair, Barren, Bell, Breathitt, Casey, Clay, Clinton, Cumberland, Estill, Floyd, Garrard, Green, Harlan, Hart, Jackson, Johnson, Knott, Knox, Laurel, Lawrence, Lee, Leslie, Letcher, Lincoln, Magoffin, Martin, McCreary, Menifee, Metcalfe, Monroe, Morgan, Owsley, Perry, Pike, Powell, Pulaski, Rockcastle, Russell, Taylor, Wayne, Whitley and Wolfe Counties in Kentucky.

HIGHWAY CONSTRUCTION PROJECTS

Note: Contracts subject to the Davis-Bacon Act are generally required to pay at least the applicable minimum wage rate required under Executive Order 14026 or Executive Order 13658. Please note that these Executive Orders apply to covered contracts entered into by the federal government that are subject to the Davis-Bacon Act itself, but do not apply to contracts subject only to the Davis-Bacon Related Acts, including those set forth at 29 CFR 5.1(a)(1).

If the contract is entered into on or after January 30, 2022, or the contract is renewed or extended (e.g., an option is exercised) on or after January 30, 2022:	<ul style="list-style-type: none"><li>. Executive Order 14026 generally applies to the contract.</li><li>. The contractor must pay all covered workers at least \$17.75 per hour (or the applicable wage rate listed on this wage determination, if it is higher) for all hours spent performing on the contract in 2025.</li></ul>
If the contract was awarded on or between January 1, 2015 and January 29, 2022, and the contract is not renewed or extended on or after January 30, 2022:	<ul style="list-style-type: none"><li>. Executive Order 13658 generally applies to the contract.</li><li>. The contractor must pay all covered workers at least \$13.30 per hour (or the applicable wage rate listed on this wage determination, if it is higher) for all hours spent performing on that contract in 2025.</li></ul>

The applicable Executive Order minimum wage rate will be adjusted annually. If this contract is covered by one of the Executive Orders and a classification considered necessary for performance of work on the contract does not appear on this wage determination, the contractor must still submit a conformance request.

Additional information on contractor requirements and worker protections under the Executive Orders is available at

http://www.dol.gov/whd/govcontracts.

Modification Number

0

Publication Date

01/03/2025

SUKY2015-047 10/20/2015

	Rates	Fringes
BOILERMAKER.....	\$ 24.65	12.94
BRICKLAYER		
Bricklayer.....	\$ 22.90	8.50
Stone Mason.....	\$ 21.50	8.50
CARPENTER		
Carpenter.....	\$ 24.90	14.50
Piledriver.....	\$ 24.55	14.50
CEMENT MASON.....	\$ 21.25	8.50
ELECTRICIAN		
Electrician.....	\$ 29.36	10.55
Equipment Operator.....	\$ 26.90	10.31
Groundsman.....	\$ 17.79	8.51
Lineman.....	\$ 30.09	10.94

When workmen are required to work from bosum chairs, trusses, stacks, tanks, scaffolds, catwalks, radio and T.V. towers, structural steel (open, unprotected, unfloored raw steel), and bridges or similar hazardous locations where workmen are subject to fall, except where using JLG's and bucket trucks up to 75 feet: Add 25% to workman's base rate for 50 to 75 feet, and add 50% to workman's base rate for over 75 feet.

IRONWORKER.....	\$ 27.56	20.57
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LABORER		
Group 1.....	\$ 21.80	12.36
Group 2.....	\$ 22.05	12.36
Group 3.....	\$ 22.10	12.36
Group 4.....	\$ 22.70	12.36

GROUP 1: Aging and Curing of Concrete (Any Mode or Method), Asbestos Abatement Worker, Asphalt Plant Laborers, Asphalt Laborers, Batch Truck Dumpers, Carpenter Tenders, Cement Mason Tenders, Cleaning of Machines, Concrete Laborers, Demolition Laborers, Dredging Laborers, Drill Tender, Environmental Laborer - Nuclear, Radiation, Toxic and Hazardous Waste - Level D, Flagmen, Grade Checkers, All Hand Digging and Hand Back Filling, Highway Marker Placers, Landscaping Laborers, Mesh Handlers and Placers, Puddler, Railroad Laborers, Rip-rap and Grouters, Right of Way Laborers, Sign, Guard Rail and Fence Installers (All Types), Signalmen, Sound Barrier Installer, Storm and Sanitary Sewer Laborers, Swampers, Truck Spotters and Dumpers, Wrecking of Concrete Forms, General Cleanup

GROUP 2: Batter Board Men (Sanitary and Storm Sewer), Brickmason Tenders, Mortar Mixer Operator, Scaffold Builders, Burner and Welder, Bushammers, Chain Saw Operator, Concrete Saw Operators, Deckhand Scow Man, Dry Cement Handlers, Environmental Laborers - Nuclear, Radiation, Toxic and Hazardous Waste - Level C, Forklift Operators for Masonry, Form Setters, Green Concrete Cutting, Hand Operated Grouter and Grinder Machine Operator, Jack Hammers, Lead Paint Abatement, Pavement Breakers, Paving Joint Machine, Pipe



Layers - Laser Operators (Non-metallic), Plastic Pipe Fusion, Power Driven Georgia Buggy and Wheel Barrow, Power Post Hole Diggers, Precast Manhole Setters, Walk-behind Tampers, Walk-behind Trenchers, Sand Blasters, Concrete Chippers, Surface Grinders, Vibrator Operators, Wagon Drillers  
GROUP 3: Air Track Driller (All Types), Asphalt Luteman and Rakers, Gunnite Nozzleman, Gunnite Operators and Mixers, Grout Pump Operator, Powderman and Blaster, Side Rail Setters, Rail Paved Ditches, Screw Operators, Tunnel Laborers (Free Air), Water Blasters  
GROUP 4: Caisson Workers (Free Air), Cement Finishers, Environmental Laborer - Nuclear, Radiation, Toxic and Hazardous Waste - Level A and B, miners and Drillers (Free Air), Tunnel Blasters, and Tunnel Mockers (Free Air), Directional and Horizontal Boring, Air Track Drillers (All Types), Powder Man and Blasters, Troxler and Concrete Tester if Laborer is Utilized

PAINTER

All Excluding Bridges.....	\$ 19.92	9.57
Bridges.....	\$ 23.92	10.07

PLUMBER.....	\$ 22.52	7.80
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POWER EQUIPMENT OPERATOR:

Group 1.....	\$ 29.95	14.40
Group 2.....	\$ 29.95	14.40
Group 3.....	\$ 27.26	14.40
Group 4.....	\$ 26.96	14.40

GROUP 1: Auto Patrol, Batch Plant, Bituminous Paver, Cable-Way, Clamshell, Concrete Mixer (21 cu ft or over), Concrete Pump, Crane, Crusher Plant, Derrick, Derrick Boat, Ditching and Trenching Machine, Dragline, Dredge Engineer, Elevator (regardless of ownership when used for hoisting any building material), Elevating Grader and all types of Loaders, Hoe-type Machine, Hoisting Engine, Locomotive, LeTourneau or Carry-all Scoop, Bulldozer, Mechanic, Orangepeel Bucket, Piledriver, Power Blade, Roller (Bituminous), Roller (Earth), Roller (Rock), Scarifier, Shovel, Tractor Shovel, Truck Crane, Well Point, Winch Truck, Push Dozer, Grout Pump, High Lift, Fork Lift (regardless of lift height), all types of Boom Cats, Multiple Operator, Core Drill, Tow or Push Boat, A-Frame Winch Truck, Concrete Paver, Grade-All, Hoist, Hyster, Material Pump, Pumpcrete, Ross Carrier, Sheepfoot, Sideboom, Throttle-Valve Man, Rotary Drill, Power Generator, Mucking Machine, Rock Spreader attached to Equipment, Scoopmobile, KeCal Loader, Tower Cranes, (French, German and other types), Hydrocrane, Tugger, Backfiller Gurries, Self-propelled Compactor, Self-Contained Hydraulic Percussion Drill  
GROUP 2: All Air Compressors (200 cu ft/min or greater), Bituminous Mixer, Concrete Mixer (21 cu. ft. or over), Welding Machine, Form Grader, Tractor (50 hp and over), Bull Float, Finish Machine, Outboard Motor Boat, Brakeman, Mechanic Tender, Whirly Oiler, Tract-air, Road Widening Trencher, Articulating Trucks  
GROUP 3: Greaser on Grease Facilities servicing Heavy Equipment  
GROUP 4: Bituminous Distributor, Cement Gun, Conveyor, Mud Jack, Paving Joint Machine, Pump, Tamping Machine, Tractor (under 50 hp), Vibrator, Oiler, Air Compressor (under 200 cu ft per minute), Concrete Saw, Burlap and Curing Machine, Hydro Seeder, Power Form Handling Equipment, Deckhand Oiler, Hydraulic Post Driver

SHEET METAL WORKER.....	\$ 20.40	7.80
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TRUCK DRIVER

Driver (3 Tons and Over), Driver (Truck Mounted Rotary Drill).....\$ 23.74	14.50
Driver (3 Tons and Under), Tire Changer and Truck Mechanic Tender.....\$ 23.53	14.50
Driver (Semi-Trailer or Pole Trailer), Driver (Dump Truck, Tandem Axle), Driver of Distributor.....\$ 23.40	14.50
Driver on Mixer Trucks (All Types).....\$ 23.45	14.50
Driver on Pavement Breakers.\$ 23.55	14.50
Driver, Euclid and Other Heavy Earth Moving Equipment and Low Boy.....\$ 24.31	14.50
Driver, Winch Truck and A- Frame when used in Transporting Materials.....\$ 23.30	14.50
Greaser on Greasing Facilities.....\$ 24.40	14.50
Truck Mechanic.....\$ 23.50	14.50
Truck Tender and Warehouseman.....\$ 23.20	14.50

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WELDERS - Receive rate prescribed for craft performing operation to which welding is incidental.

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Note: Executive Order (EO) 13706, Establishing Paid Sick Leave for Federal Contractors applies to all contracts subject to the Davis-Bacon Act for which the contract is awarded (and any solicitation was issued) on or after January 1, 2017. If this contract is covered by the EO, the contractor must provide employees with 1 hour of paid sick leave for every 30 hours they work, up to 56 hours of paid sick leave each year. Employees must be permitted to use paid sick leave for their own illness, injury or other health-related needs, including preventive care; to assist a family member (or person who is like family to the employee) who is ill, injured, or has other health-related needs, including preventive care; or for reasons resulting from, or to assist a family member (or person who is like family to the employee) who is a victim of, domestic violence, sexual assault, or stalking. Additional information on contractor requirements and worker protections under the EO is available at <https://www.dol.gov/agencies/whd/government-contracts>.

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29CFR 5.5 (a) (1) (iii)).

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The body of each wage determination lists the classifications and wage rates that have been found to be prevailing for the type(s) of construction and geographic area covered by the wage determination. The classifications are listed in alphabetical order under rate identifiers indicating whether the particular rate is a union rate (current union negotiated rate), a survey

rate, a weighted union average rate, a state adopted rate, or a supplemental classification rate.

#### Union Rate Identifiers

A four-letter identifier beginning with characters other than ""SU"", ""UAVG"", ?SA?, or ?SC? denotes that a union rate was prevailing for that classification in the survey. Example: PLUM0198-005 07/01/2024. PLUM is an identifier of the union whose collectively bargained rate prevailed in the survey for this classification, which in this example would be Plumbers. 0198 indicates the local union number or district council number where applicable, i.e., Plumbers Local 0198. The next number, 005 in the example, is an internal number used in processing the wage determination. The date, 07/01/2024 in the example, is the effective date of the most current negotiated rate.

Union prevailing wage rates are updated to reflect all changes over time that are reported to WHD in the rates in the collective bargaining agreement (CBA) governing the classification.

#### Union Average Rate Identifiers

The UAVG identifier indicates that no single rate prevailed for those classifications, but that 100% of the data reported for the classifications reflected union rates. EXAMPLE: UAVG-OH-0010 01/01/2024. UAVG indicates that the rate is a weighted union average rate. OH indicates the State of Ohio. The next number, 0010 in the example, is an internal number used in producing the wage determination. The date, 01/01/2024 in the example, indicates the date the wage determination was updated to reflect the most current union average rate.

A UAVG rate will be updated once a year, usually in January, to reflect a weighted average of the current rates in the collective bargaining agreements on which the rate is based.

#### Survey Rate Identifiers

The ""SU"" identifier indicates that either a single non-union rate prevailed (as defined in 29 CFR 1.2) for this classification in the survey or that the rate was derived by computing a weighted average rate based on all the rates reported in the survey for that classification. As a weighted average rate includes all rates reported in the survey, it may include both union and non-union rates. Example: SUFL2022-007 6/27/2024. SU indicates the rate is a single non-union prevailing rate or a weighted average of survey data for that classification. FL indicates the State of Florida. 2022 is the year of the survey on which these classifications and rates are based. The next number, 007 in the example, is an internal number used in producing the wage determination. The date, 6/27/2024 in the example, indicates the survey completion date for the classifications and rates under that identifier.

?SU? wage rates typically remain in effect until a new survey is conducted. However, the Wage and Hour Division (WHD) has the discretion to update such rates under 29 CFR 1.6(c)(1).

#### State Adopted Rate Identifiers

The ""SA"" identifier indicates that the classifications and prevailing wage rates set by a state (or local) government were

adopted under 29 C.F.R 1.3(g)-(h). Example: SAME2023-007 01/03/2024. SA reflects that the rates are state adopted. ME refers to the State of Maine. 2023 is the year during which the state completed the survey on which the listed classifications and rates are based. The next number, 007 in the example, is an internal number used in producing the wage determination. The date, 01/03/2024 in the example, reflects the date on which the classifications and rates under the ?SA? identifier took effect under state law in the state from which the rates were adopted.

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WAGE DETERMINATION APPEALS PROCESS

1) Has there been an initial decision in the matter? This can be:

- a) a survey underlying a wage determination
- b) an existing published wage determination
- c) an initial WHD letter setting forth a position on a wage determination matter
- d) an initial conformance (additional classification and rate) determination

On survey related matters, initial contact, including requests for summaries of surveys, should be directed to the WHD Branch of Wage Surveys. Requests can be submitted via email to [davisbaconinfo@dol.gov](mailto:davisbaconinfo@dol.gov) or by mail to:

Branch of Wage Surveys  
Wage and Hour Division  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, DC 20210

Regarding any other wage determination matter such as conformance decisions, requests for initial decisions should be directed to the WHD Branch of Construction Wage Determinations. Requests can be submitted via email to [BCWD-Office@dol.gov](mailto:BCWD-Office@dol.gov) or by mail to:

Branch of Construction Wage Determinations  
Wage and Hour Division  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, DC 20210

2) If an initial decision has been issued, then any interested party (those affected by the action) that disagrees with the decision can request review and reconsideration from the Wage and Hour Administrator (See 29 CFR Part 1.8 and 29 CFR Part 7). Requests for review and reconsideration can be submitted via email to [dba.reconsideration@dol.gov](mailto:dba.reconsideration@dol.gov) or by mail to:

Wage and Hour Administrator  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, DC 20210

The request should be accompanied by a full statement of the interested party's position and any information (wage payment data, project description, area practice material, etc.) that the requestor considers relevant to the issue.

3) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, DC 20210.

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END OF GENERAL DECISION"

Fringe benefit amounts are applicable for all hours worked except when otherwise noted.

No laborer, workman or mechanic shall be paid at a rate less than that of a Journeyman except those classified as bona fide apprentices.

Apprentices or trainees shall be permitted to work as such subject to Administrative Regulations adopted by the Commissioner of Workplace Standards. Copies of these regulations will be furnished upon request from any interested person.

Before using apprentices on the job the contractor shall present to the Contracting Officer written evidence of registration of such employees in a program of a State apprenticeship and training agency approved and recognized by the U. S. Bureau of Apprenticeship and Training. In the absence of such a State agency, the contractor shall submit evidence of approval and registration by the U. S. Bureau of Apprenticeship and Training.

The contractor shall submit to the Contracting Officer, written evidence of the established apprenticeship-journeyman ratios and wage rates in the project area, which will be the basis for establishing such ratios and rates for the project under the applicable contract provisions.

**TO: EMPLOYERS/EMPLOYEES**

**PREVAILING WAGE SCHEDULE:**

**The wages indicated on this wage schedule are the least permitted to be paid for the occupations indicated. When an employee works in more than one classification, the employer must record the number of hours worked in each classification at the prescribed hourly base rate.**

**OVERTIME:**

**Overtime is to be paid to an employee at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty (40) hours in such workweek. Wage violations or questions should be directed to the designated Engineer or the undersigned.**

Director  
Division of Construction Procurement  
Frankfort, Kentucky 40622  
502-564-3500

**PART IV**

**BID ITEMS**

251021

Section: 0001 - PAVING

LINE	BID CODE	ALT	DESCRIPTION	QUANTITY	UNIT	UNIT PRIC	FP	AMOUNT
0010	00003		CRUSHED STONE BASE	1,009.00	TON		\$	
0020	00020		TRAFFIC BOUND BASE	78.00	TON		\$	
0030	00078		CRUSHED AGGREGATE SIZE NO 2	2,469.00	TON		\$	
0040	00212		CL2 ASPH BASE 1.00D PG64-22	1,377.00	TON		\$	
0050	00296		ASPHALT PRIME COAT	3.04	TON		\$	
0060	00301		CL2 ASPH SURF 0.38D PG64-22	438.00	TON		\$	
0070	02602		FABRIC-GEOTEXTILE CLASS 1	3,862.00	SQYD		\$	
0080	02604		FABRIC-GEOTEXTILE CLASS 1A	3,579.00	SQYD		\$	
0090	02677		ASPHALT PAVE MILLING & TEXTURING	95.00	TON		\$	
0100	24970EC		ASPHALT MATERIAL FOR TACK NON-TRACKING	3.19	TON		\$	

Section: 0002 - ROADWAY

LINE	BID CODE	ALT	DESCRIPTION	QUANTITY	UNIT	UNIT PRIC	FP	AMOUNT
0110	01001		PERFORATED PIPE-6 IN	2,550.00	LF		\$	
0120	01011		NON-PERFORATED PIPE-6 IN	64.00	LF		\$	
0130	01015		INSPECT & CERTIFY EDGE DRAIN SYSTEM	1.00	LS		\$	
0140	01741		CORED HOLE DRAINAGE BOX CON-6 IN	2.00	EACH		\$	
0150	01891		ISLAND HEADER CURB TYPE 2	50.00	LF		\$	
0160	01987		DELINEATOR FOR GUARDRAIL BI DIRECTIONAL WHITE	20.00	EACH		\$	
0170	02014		BARRICADE-TYPE III	6.00	EACH		\$	
0180	02159		TEMP DITCH	914.00	LF		\$	
0190	02160		CLEAN TEMP DITCH	457.00	LF		\$	
0200	02200		ROADWAY EXCAVATION	3,585.00	CUYD		\$	
0210	02351		GUARDRAIL-STEEL W BEAM-S FACE	950.00	LF		\$	
0220	02363		GUARDRAIL CONNECTOR TO BRIDGE END TY A	2.00	EACH		\$	
0230	02381		REMOVE GUARDRAIL	1,055.00	LF		\$	
0240	02391		GUARDRAIL END TREATMENT TYPE 4A	2.00	EACH		\$	
0250	02403		REMOVE CONCRETE MASONRY	1.00	CUYD		\$	
0260	02429		RIGHT-OF-WAY MONUMENT TYPE 1	18.00	EACH		\$	
0270	02432		WITNESS POST	3.00	EACH		\$	
0280	02483		CHANNEL LINING CLASS II	42.00	TON		\$	
0290	02545		CLEARING AND GRUBBING APPROXIMATELY 2.81 ACRES	1.00	LS		\$	
0300	02562		TEMPORARY SIGNS	321.00	SQFT		\$	
0310	02650		MAINTAIN & CONTROL TRAFFIC	1.00	LS		\$	
0320	02671		PORTABLE CHANGEABLE MESSAGE SIGN	2.00	EACH		\$	
0330	02676		MOBILIZATION FOR MILL & TEXT	1.00	LS		\$	
0340	02697		EDGE LINE RUMBLE STRIPS	3,386.00	LF		\$	
0350	02701		TEMP SILT FENCE	914.00	LF		\$	
0360	02703		SILT TRAP TYPE A	5.00	EACH		\$	



Report Date 7/24/25

LINE	BID CODE	ALT	DESCRIPTION	QUANTITY	UNIT	UNIT PRIC	FP	AMOUNT
0370	02704		SILT TRAP TYPE B	5.00	EACH		\$	
0380	02705		SILT TRAP TYPE C	5.00	EACH		\$	
0390	02706		CLEAN SILT TRAP TYPE A	5.00	EACH		\$	
0400	02707		CLEAN SILT TRAP TYPE B	5.00	EACH		\$	
0410	02708		CLEAN SILT TRAP TYPE C	5.00	EACH		\$	
0420	02726		STAKING	1.00	LS		\$	
0430	05950		EROSION CONTROL BLANKET	1,302.00	SQYD		\$	
0440	05952		TEMP MULCH	15,263.00	SQYD		\$	
0450	05953		TEMP SEEDING AND PROTECTION	11,390.00	SQYD		\$	
0460	05963		INITIAL FERTILIZER	0.89	TON		\$	
0470	05964		MAINTENANCE FERTILIZER	0.54	TON		\$	
0480	05985		SEEDING AND PROTECTION	13,180.00	SQYD		\$	
0490	05992		AGRICULTURAL LIMESTONE	10.73	TON		\$	
0500	06514		PAVE STRIPING-PERM PAINT-4 IN	6,217.00	LF		\$	
0510	06568		PAVE MARKING-THERMO STOP BAR-24IN	10.00	LF		\$	
0520	20071EC		JOINT ADHESIVE	1,827.00	LF		\$	
0530	20191ED		OBJECT MARKER TY 3	2.00	EACH		\$	
0540	20550ND		SAWCUT PAVEMENT	911.00	LF		\$	
0550	21289ED		LONGITUDINAL EDGE KEY	911.00	LF		\$	
0560	23274EN11F		TURF REINFORCEMENT MAT 1	67.00	SQYD		\$	
0570	23277EN11F		TURF REINFORCEMENT MAT 4	2,755.00	SQYD		\$	
0580	23628EC		CORED HOLE DRAINAGE CONN TO HEADWALL	6.00	EACH		\$	
0590	24841EC		REPLACE HANDRAIL	1.00	LS		\$	
0600	26248EC		ELECTRONIC DELIVERY MGMT SYSTEM - AGG	1.00	LS		\$	

Section: 0003 - DRAINAGE

LINE	BID CODE	ALT	DESCRIPTION	QUANTITY	UNIT	UNIT PRIC	FP	AMOUNT
0610	00440		ENTRANCE PIPE-15 IN	148.00	LF		\$	
0620	00443		ENTRANCE PIPE-24 IN	84.00	LF		\$	
0630	00464		CULVERT PIPE-24 IN	180.00	LF		\$	
0640	00524		STORM SEWER PIPE-24 IN	108.00	LF		\$	
0650	01208		PIPE CULVERT HEADWALL-24 IN	3.00	EACH		\$	
0660	01434		SLOPED BOX OUTLET TYPE 1-24 IN	1.00	EACH		\$	
0670	01451		S & F BOX INLET-OUTLET-24 IN	7.00	EACH		\$	
0680	01490		DROP BOX INLET TYPE 1	1.00	EACH		\$	
0690	01643		JUNCTION BOX-24 IN	1.00	EACH		\$	
0700	02607		FABRIC-GEOTEXTILE CLASS 2 FOR PIPE	1,039.00	SQYD	\$2.00	\$	\$2,078.00
0710	03260		CLEAN ROADWAY DRAINS	1.00	EACH		\$	
0720	03262		CLEAN PIPE STRUCTURE	1.00	EACH		\$	

Section: 0004 - WATERLINE

LINE	BID CODE	ALT	DESCRIPTION	QUANTITY	UNIT	UNIT PRIC	FP	AMOUNT
0730	14022		W FLUSH HYDRANT ASSEMBLY	1.00	EACH		\$	
0740	14059		W PIPE PVC 06 INCH	1,120.00	LF		\$	

Report Date 7/24/25

LINE	BID CODE	ALT	DESCRIPTION	QUANTITY	UNIT	UNIT PRIC	FP	AMOUNT
0750	14094		W TIE-IN 06 INCH	2.00	EACH		\$	
0760	14105		W VALVE 06 INCH	2.00	EACH		\$	
0770	14144		W LINE MARKER	2.00	EACH		\$	

Section: 0005 - DEMOBILIZATION&/OR MOBILIZATION

LINE	BID CODE	ALT	DESCRIPTION	QUANTITY	UNIT	UNIT PRIC	FP	AMOUNT
0780	02569		DEMOBILIZATION	1.00	LS		\$	