

WFLHD SUPPLEMENT 9.6.1-2

9.6.1 PS&E PACKAGE

Add the following:

9.6.1.2 Sealing and Signing of Documents Prepared by A/E Firms

This supplement specifies the type of documents that are required to be sealed by a licensed professional for highway design, construction, and related services, and the requirements for signing and sealing those documents.

Architect/Engineer consulting firms (A/E) shall seal and sign designs, drawings, specifications and other services furnished under the contract. A licensed professional, registered in the state in which the project is located, seals and signs the documents.

This requirement applies to the **final** documents for the following work products:

Final Pictorial Representations	Final Text Documents	Final Calculations
<ul style="list-style-type: none"> • Project Plans • Drawings • Details • Standard Drawings other than FLH • Sketches • Tables and Data Sheets • Maps and Plats • Surveys • R/W Retracements 	<ul style="list-style-type: none"> • Project specifications and special provisions • Reports • Narratives • Design Memos • Design Exceptions and Deviations • Other documents that provide professional direction on scope of work 	<ul style="list-style-type: none"> • Hand-written calculations • Spreadsheets • Design software output • Graphs • Calculation books

The following items do not require a seal: Products that are clearly marked as Draft, Preliminary, Not for Construction, Review Copy, Subject to Change, or similar wording to indicate it is not intended to be a final product. Lab testing and monitoring data does not require a seal.

9.6.1.2.1 Definitions

When these terms are used within this supplement, they will have the following meaning:

Contract Officer's Representative (COR) – The representative of the Contracting Officer in administering a Task Order.

Electronic Signature – A digital authentication process attached to or logically associated with an electronic document and carrying the same weight, authority, and effects as an original signature.

Licensed Professional – This group includes, but is not limited to Registered Photogrammetrists, Registered Professional Engineers, Registered Professional Land Surveyors, Registered Geologist, Certified Engineering Geologist, and Registered Landscape Architects.

Minor Revision – Revisions that do not change the original design intent.

Major Revision – Revisions that change the intent of the design.

9.6.1.2.2 Sealing and Signing of Final Documents

The preferred method for sealing plans is a digital seal and signature; for sheets that cannot be digitally sealed, wet stamp and seal are acceptable with COR approval. All seals must meet the requirements of the seal's issuing State. Affix digital seal and signatures in such a manner that allows for electronic reproduction, transmittal and incorporation into contract.

Do not seal engineering documents that are not final. Label all non-final documents with appropriate descriptors, i.e. "Not for Construction", "Preliminary", "95 Percent Review", etc.

The personal seal, signature, and date of the licensed professional shall appear on all final engineering documents. Documents shall be personally signed and sealed by the responsible architect or engineer. An architect or engineer shall not affix, or permit to be affixed, their seal or name to any plan, specification, drawing, or other related document which was not prepared by them or under their responsible supervising control.

When a licensed professional seals and signs documents, they are responsible for the entire engineering work unless they limit the seal to specific elements of the work. To limit the scope of responsibility for engineering work, the licensed professional must include a specific written statement adjacent to the seal which accurately reflects the scope of responsibility. However, all disciplines and aspects of the work must be signed and sealed. The licensed professional may limit responsibility of FHWA furnished data to the correct selection, incorporation, and specification of the data. The selection and incorporation of the data must be consistent with the design intent. Data where responsibility may be limited includes "Federal Lands Highway (FLH) Standard" drawings, "WFLHD Detail" drawings, and items where WFLHD and the A/E have documented that WFLHD is responsible for the deliverable.

A seal must be applied to final documents as follows:

1. Each sheet of engineering drawings
2. The cover page of specifications
3. Estimates and support data
4. The title or signature page of engineering reports and technical memorandums (i.e. Geotechnical, Hydraulic, traffic studies)
5. Permits requiring sealing, including documents that are submitted to obtain the permits
6. All other formal technical recommendations or deliverables; for example, cross sections, staking notes.
7. Transmittal statement for final electronic files that a seal cannot be affixed to.

Size of Seal – Electronic and original seals must meet the issuing state's requirements.

Location of Seal on Plan Sheets – Place the seal in the lower right-hand corner adjacent to the title block of each sheet. When this is not possible, place the seal in a location that will produce a legible reproduction and does not cover up drawings, text, callouts, notes and other information.

9.6.1.2.3 Electronic Documents with a Digital Seal and Signature

Final electronic versions of engineering work transmitted in an electronic format shall contain a computer-generated seal and be accompanied by an electronic signature as described below. The electronic signature can be generated by using either public key infrastructure or signature dynamics technology, and must be as follows:

1. Meets the issuing state's requirements
2. Capable of verification
3. Under the sole control of the person using it
4. Linked to a document in such a manner that the electronic signature is invalidated if any data in the document is changed

9.6.1.2.4 Electronic Documents without a Secured Signature

If a professional document is stored, filed, or provided by a computer or any other electronic form other than those capable of a secure electronic seal and signature, the licensed professional shall mark each professional document with the following:

"This document is an electronic copy of a final document, originally sealed by (name), Registration Number (number) on (date)."

Sets of plans or drawings without a secured signature must have this statement attached to every sheet of the set. For specifications, reports, and studies, only include this statement on the cover or introductory sheet.

9.6.1.2.5 Revisions to Sealed Documents by A/E

Reseal and sign changes made by the A/E to consultant prepared engineering documents. The A/E firm is responsible for its work products and those of their sub-consultants. Maintain copies of the originally sealed and signed document, and mark each sheet changed as "REVISED," include the date of the revision, and the licensed professional responsible for revision.

9.6.1.2.6 Revisions and Resealing During the Acquisition Phase

A single post-design task order will be executed during the Acquisition and Construction phases.

For each amendment that requires a change to sealed documents, the changes will be coordinated with the A/E, and each affected document shall be resealed. For changes to pictorial documents, the A/E shall reseal each amended page. For changes to specifications, engineer's estimate or other non-pictorial documents, the A/E shall include an updated cover page or individual affected page that identifies the changes with a corresponding updated seal.

For changes to the engineer's estimate, the A/E shall resubmit all associated files (B sheets, spreadsheets, other bid tab related documents.)

Minor changes to SCRs such as typographical errors, that do not change the intent of the design, should be communicated to the A/E but do not require resealing.

Revisions to sections A through D of the solicitation package do not require coordination and resealing by the A/E.

For revisions made during the Acquisition phase, the A/E shall identify the changes and label each affected sheet with the amendment number and amendment callout symbols. For pictorial documents use the [Amendment CADD cell](#).

9.6.1.2.7 Revisions to Sealed Documents by WFLHD Staff

WFLHD expects the A/E will expedite revisions. WFLHD staff should not change A/E prepared and sealed documents except in rare situations. The A/E is responsible for their design and the responsibilities as Engineer of Record.

Minor revisions by WFLHD without resealing of documents – In these cases obtain concurrence from the COR and/or the Construction Operations Engineer. Affix the revised sheet to the original sealed and signed sheet. Mark the original sheet as revised and record the changes on the amended sheet per the procedures listed below. Included the following statement on the amended sheet:

“This sheet was originally issued and sealed by (name), Registration Number (number) on (date). The modification does not change the design intent of the Engineer of Record.”

Major Revisions by WFLHD staff – Do not change the original design intent unless approved by the Chief of Engineering. When approval is granted and changes to the design are made, identify those aspects of the work effected by the revision as the seal will no longer apply to the changed elements and will be removed from the affected document pages. The responsibility for those aspects of the design effected by the revision is transferred to WFLHD and the responsibility for the remaining engineering work resides with the A/E firm and the engineer of record. The COR will formally communicate all changes made to the A/E and provide copies of the revision for their records.