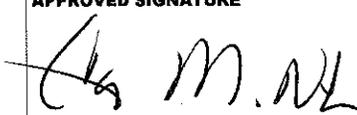




TECHNICAL SERVICES DIRECTIVE

SUBJECT Documents Requiring the Seal of Licensed Engineers, Land Surveyors, Geologists, Landscape Architects, and Photogrammetrists	FINAL NUMBER TSB11-02(D)	EFFECTIVE DATE 08/01/2011	VALIDATION DATE 00/00/0000	SUPERSEDES TSB 10-01(D)
	WEB LINK(S) http://www.oregon.gov/ODOT/HWY/TECHSERV/technicalguidance.shtml			
TOPIC/PROGRAM Documents Requiring Professional of Record Seal	APPROVED SIGNATURE  Catherine M. Nelson, P.E. Technical Services Manager/Chief Engineer			

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PURPOSE

This Directive specifies the types of documents that are required to be sealed by a Professional of Record (POR) for highway design, construction, and maintenance. The documents required to be sealed under this Directive are in addition to the requirements of Technical Directive TSB11-01(D) that pertains to sealing of Project Special Provisions by a POR. This Directive also includes a list of documents not requiring the seal of a POR.

GUIDANCE

ODOT Design Policy DES 05-02 stipulates that the Chief Engineer is responsible for issuing Technical Guidance that establishes requirements for professionals of record to seal final work products used by the Department.

This Directive provides a list of the types of final work products requiring a seal by a POR. The work products are listed in three general categories: pictorial representations, text documents and final calculations. More specific guidance on the work products of technical disciplines will be provided through the Technical Leadership Team and various discipline leadership teams. The Committee on Professional of Record Policies (CPRO) was established by the Chief Engineer to coordinate and make recommendations to the Chief Engineer and the Technical Leadership Team on sealing requirements.

DEFINITIONS

“OSBEELS” refers to the Oregon State Board of Examiners for Engineering and Land Surveying.

“OSBGE” refers to the Oregon State Board of Geologist Examiners.

“OSLAB” refers to the Oregon State Landscape Architect Board.

“Licensed Professionals” This group includes, but is not limited to Registered Photogrammetrists, Registered Professional Engineers, Registered Professional Land

32 Surveyors, Registered Geologists, Certified Engineering Geologists, and Registered
33 Landscape Architects.

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35 **“Professional of Record” (POR)** includes all licensed professionals that, by the conditions
36 of their professional license, are required to sign and seal their final professional work
37 products. The final work product may include, but is not limited to final design plans,
38 technical reports, final calculations and specifications.

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40 **REFERENCES**

41 Work performed for the ODOT by Licensed Professionals is subject to the following Oregon
42 Revised Statutes (ORS), Oregon Administrative Rules (OAR) and governing boards:

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44 ORS 672.002 to 672.325, 672.991 and OAR 820-001 to 820-040 establish legal
45 requirements for Professional Engineers, Professional Land Surveyors, and
46 Professional Photogrammetrists. ORS 672.020 requires that: “Every final document
47 including drawings, specifications, designs, reports, narratives, maps and plans issued
48 by a registrant shall be stamped with the seal and signed by the registrant. The
49 signature and stamp of a registrant constitute a certification that the document was
50 prepared by the registrant or under the supervision and control of the registrant.”

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52 ORS 672.505 to 672.705, 672.991 and OAR 809-001 to 809-060 establish the legal
53 requirements for Registered Geologists and Certified Engineering Geologists. ORS
54 672.605 requires that: “All drawings, reports or other geologic papers or documents
55 involving geologic work as defined in ORS 672.505 to 672.705 that have been
56 prepared or approved by a registered geologist or a subordinate employee under the
57 direction of a registered geologist for the use of or for delivery to any person or for
58 public record within this state shall be signed by the registered geologist and
59 impressed with the seal or the seal of a nonresident practicing under the provisions of
60 ORS 672.505 to 672.705, either of which shall indicate responsibility for them.”

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62 ORS 671.310 to 671.459, 671.992, 671.995 and OAR 804-001 to 804-050 establish
63 the legal requirements for Registered Landscape Architects. ORS 671.020 requires
64 that: “All drawings and the title page of all specifications intended for use as
65 construction documents in the practice of architecture must bear the stamp of a
66 registered architect and be signed by the architect. The stamp and signature constitute
67 certification that the architect has exercised the requisite professional judgment about
68 and made the decisions upon all matters embodied within those construction
69 documents, that the documents were prepared either by the architect or under the
70 direct control and supervision of the architect and that the architect accepts
71 responsibility for them.”

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73 **EXPLANATION**

74 1) Knowledge in another field
75 A licensed professional may have acquired knowledge, training and experience in aspects
76 of another field in which the POR is not licensed. Such individuals, acting within their
77 statutory responsibilities, are not restricted from activities in the secondary field which are

78 incidental to their primary field of professional practice. Registrants are expected to follow
 79 the guidance of their respective Board's Code of Professional Conduct [Code of Ethics]
 80 and relevant legal interpretations. Conversely, if inadequate knowledge or expertise is
 81 possessed by a licensed professional to perform work outside their primary field of
 82 practice, then appropriate training, assistance, or counsel from other licensed
 83 professionals must be obtained.

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 85 2) Use of direction from another Professional of Record
 86 Sealing of a design or construction plan sheet by a single licensed professional when
 87 multiple disciplines have provided technical input is acceptable. Each final product used
 88 as supporting information must be sealed by the responsible POR (if applicable). The
 89 POR sealing the collective final product has the professional responsibility for the extent
 90 to which recommendations described in the supporting information prepared by the other
 91 POR(s) are included or excluded.

92 3) List of work products requiring the seal of a POR

Final Pictorial Representations	Final Text Documents	Final Calculations
Project Plans	Reports	Hand-written calculations
Drawings	Narratives	Spreadsheets
Details	Design Memos	Design software output
Standard Drawings	Design Exceptions and Deviations	Graphs
Sketches	Standard Drawing Baseline Report	Calculation books
Tables and Data Sheets	E-Mails or conversation records documenting professional direction	
Maps and Plats	Project specifications and special provisions	

93 4) List of items NOT requiring a seal
 94 Products that are clearly marked as Draft, Preliminary, Not for Construction, Review
 95 Copy, Subject to Change, or similar wording to indicate it is not intended to be a final
 96 product. Lab testing and monitoring data do not require a POR seal.

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98 **RESPONSIBILITIES**

99 RESPONSIBILITY:

ACTION:

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101 Chief Highway Engineer

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Communicate and distribute directive to all staff, consultants, and contractors. Establish procedures and provide guidance and training needed to implement this directive. Monitor implementation of directive and procedures and take action to correct non-compliance or make improvements. Revise directive and procedures as

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110	Committee on Professional	Review discipline specific guidance for consistency with this Directive. Make recommendations to the Chief Engineer to achieve consistency of requirements across disciplines. Identify and resolve issues and questions that need additional guidance or interpretation. Make recommendations to Chief Engineer for changes in policy or practice to address POR sealing requirements.
111	of Record Policies	
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118	Discipline Leadership Teams	Prepare discipline specific guidance and coordinate with leadership teams responsible for disciplines with similar skills. Submit draft guidance to CPRO for review and input. Collaborate with CPRO to resolve issues, related to POR practices and sealing requirements. Review discipline specific guidance not less than annually to ensure that it is kept up to date.
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126	Division, Region, Section, District,	Ensure this directive is distributed to and discussed with employees. Distribute and communicate related procedures, guidelines, and revisions to this Directive to employees, consultants and contractors. Establish quality control/assurance procedures to ensure implementation of this Directive and other discipline specific guidance. Recommend changes to Chief Highway Engineer or CPRO to address problems or concerns.
127	Unit Managers	
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136	Employees	Comply with this directive and related procedures and guidelines. Take questions and issues to manager or supervisor for resolution. Employees are encouraged to make use of internal forums and processes such as discipline leadership teams and CPRO, before taking issues to governing boards for action. Employees have a right to take issues regarding professional practice to the governing boards of the profession when they believe department policy is inconsistent with laws or administrative rules.
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ACTION REQUIRED

This Directive takes effect immediately.

CONTACT INFORMATION

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