14-1.02(02) Plan Submittals [Rev. Jan. 2013, Rev. Mar. 2016]

Items to be reviewed at each plan development milestone should be submitted electronically to the Electronic Records Management System (ERMS) via the INDOT Technical Assistance Pathway (ITAP). The designer should notify the appropriate coordinator, project manager, and other offices as appropriate by e-mail.

All submissions are evaluated in accordance with the INDOT Performance Evaluation Guidelines. Additional information, including how to find performance evaluation criteria, is available at http://www.in.gov/indot/2733.htm.

Accessing ITAP and ERMS [Added Mar. 2016]

A first-time user must enroll in ITAP prior to requesting access to ERMS Design Submittals application. Instructions on how to request access to the application are available at https://itap.indot.in.gov/login.aspx.

A current ITAP enrollee should request access to the ERMS Design Submittals application. Users can upload files individually via the UCM URL or upload multiple files concurrently using the multiple file upload tool (MFUT). The MFUT is accessed by selectiing the File Upload URL. Manuals for use are contained within each of the applications.

ERMS Uploading Requirements[Added Mar. 2016]

All plans and documents should be uploaded into ERMS.

When uploading design documents using the MFUT, the Design Type should be entered as one of the following: INDOT Planning Oversight Committee (IPOC), Non-IPOC Consultant, or Non-IPOC District. Since the conclusion of the Major Moves program, most projecs will be Non-IPOC. Non-IPOC Consultant should be entered for Local Public Agency (LPA) projects. The maximum file size for each individual file is 50 Mb.

A specific naming convention is required for documents uploaded into ERMS. It follows the format [Submittal] [Description] [Des No.] for [Bridge, Roadway or Contract Services]. For items that are reviewed outside of the typical Road or Bridge project review, the Submittal designation should identify the reviewing Division or Office. The Naming Convention document which includes additional information regarding submittals prior to Final Tracings is available on the Department's Design Manual Editable Documents webpage under Design Submittal.

For Final Tracings, all files should have the Submittal designation “FT”. A specific file type format (PDF, Excel, or Word) and ERMS document type are also required for the Final Tracings submission. Consistency in these fields allows for standard queries to be developed and ensure files can be released for public view on schedule. The file type and ERMS document type are included on the Final Trackings Checklist, and is available on the Department’s Design Manual Editable Documents webpage under Design Submittal.

ERMS Coordinators[Added Mar. 2016]

There is a coordinator for each district and two in central office who transition project files within ERMS for review or for processing by Contract Administriation. Projects should be submitted to the respective district coordinator and will be transitioned to a central office coordinator as required for review. The coordinators are as follows:

1. Coordinator 1— Crawfordsville District (e-mail: Coordinator1@indot.in.gov);
2. Coordinator 2—Fort Wayne District (e-mail: Coordinator2@indot.in.gov);
3. Coordinator 3—Greenfield District (e-mail: Coordinator3@indot.in.gov);
4. Coordinator 4—LaPorte District (e-mail: Coordinator4@indot.in.gov);
5. Coordinator 5—Seymour District (e-mail: Coordinator5@indot.in.gov);
6. Coordinator 6—Vincennes District (e-mail: Coordinator6@indot.in.gov);
7. Coordinator 7—Central Office Roadway Services (e-mail: Coordinator7@indot.in.gov);
8. Coordinator 8—Central Office Bridge Services (e-mail: Coordinator8@indot.in.gov).

14-1.02(03) Field Check Stage [Rev. Jan. 2013]

The designer is responsible for preparing and distributing plans for each field check. This will consist of the following:

1. Scheduling Field Check. The designer is responsible for setting the field check date. The designer must coordinate this effort with the project manager and the district area engineer so that all the appropriate personnel can attend.

2. Notification and Plan Distribution. The designer is responsible for preparing the field check notification letter and submitting electronic plans so that they are received by all parties on the distribution list at least two weeks prior to the field check. The designer should strive for all plans to be distributed electronically. Utilities or other parties not able to accept electronic plans may require the transmission of paper copies. See Figure 14-1B, Field-Check Notification. An editable version of this form may also be found on the Department's website at www.in.gov/dot/div/contracts/design/dmforms/.

> *** PRACTICE POINTER ***
>
> For work in Gibson, Posey, Vanderburgh, or Warrick county, a copy of the plans and notification letter should be sent to EUTS (Evansville Urban Transportation System). This information is shown on the distribution list on the Designer Forms webpage, at www.in.gov/dot/div/contracts/design/dmforms/.

4. Field Check Report. After the field check has been completed, the designer will be responsible for preparing a report of the meeting and listing the comments from all individuals involved in the field check. Copies of this report will be electronically distributed to all those involved in the field check and to those individuals listed in the distribution in Figure 14-1B.

14-1.02(04) Final Tracings Submittal [Rev. Jan. 2013, Feb. 2015, Mar. 2016]

The designer will electronically transmit the Final Tracings to the project manager. The project manager will submit the Final Tracings package to the Contract Administration Division. All submissions should be submitted electronically into ERMS in accordance with Section 14-1.02(02). It is the responsibility of the designer handling a lead project to ensure the tracings for all kinned projects are brought together and submitted to the project manager.

The Final Tracings Checklist, Figure 14-1E, along with the established naming conventions, is available on the Department's website, at www.in.gov/dot/div/contracts/design/dmforms/, under Design Submittals.

Final tracings which have been developed in metric units will not be accepted.

The plans must be signed, sealed, and dated by an engineer licensed in Indiana with the exception of the cross sections.

The following items should be reviewed and included as required in the Final Tracings package. Failure to submit items marked with an asterisk (where required) may impact the letting date:

1. 10-Week Letter*. This document is required where building demolition is part of the contract.

2. All Project Commitment Report*. This document is required for all projects. The All Project Commitments Report is generated from the Commitments Database. Information on accessing the Commitments Database and other project commitments documents is available at http://www.in.gov/indot/2731.htm.

3. Asbestos Certification*. This document is required for new bridge construction, bridge replacement, or bridge rehabilitation projects. This certifies that the designer has not specified any asbestos materials to be used. The Asbestos Certification form is available for download from the Department's Editable Documents webpage, under Bridges.

4. Asbestos Report. This document is required for all bridge projects.

5. Bridge Load Rating Memo. This document is required for bridge replacement and rehabilitation projects. The bridge load rating memo is generated by the Department's Bridge Load Rating Engineer and confirms that a load rating has been performed.

6. Bridge Search Data Form. This document is required for all bridge projects. Multiple structures can be included on a single form. A template for this worksheet is available for download from the Department's Editable Documents webpage, under Bridges.

7. The Contract Preparation Documents to Contract Administration Division Memorandum*. This document is required for all projects. A template for this memorandum is available for download from the Department's Editable Documents webpage, under Contract Administration.

8. Correspondence Files. This document is intended for project-related correspondence that does not have a dedicated file. For example, correspondence regarding design exceptions, meeting minutes, Woody Revegetation review, or other project decision letters. All documents should be combined into a single file. Correspondence files are not required for LPA projects.

9. Cost Estimate*. The cost estimate is entered in the Department's Cost Estimate Software (CES). A separate cost estimate is required for each des. number. When submitting a PDF copy, each cost estimate should be a separate file. For a contract containing multiple designation (des) numbers, the designer handling the lead project should ensure that when the cost estimates are combined there are neither conflicting pay items nor variances in how the contractor is paid for items of work. Developing the cost estimate using Bid Tabs Professional is at the discretion of the project manager; however, its use does not preclude submitting the cost estimate in CES.

   To complete the cost estimate submission, the group number in CES number should be changed to 12 per CES instructions.

10. Cross Sections*. A separate file for cross sections is required only when the combined plan sheets and cross sections exceed the ERMS file size limit.

11. Demolition Letter*. This document is required where building demolition is part of the contract.

12. Design Computations. This document should contain all computations (traffic, lighting, inlet spacing, bridge design, etc.) which are not included with the Level One Controlling-Criteria checklist. Signed forms which are not included as a separate file, e.g. signed Foundation Review form, Hydraulic Approval Memo should be included. Do not provide output from the pipe-material selection program.

13. Detour Map*. The map of the official detour route, as developed by the district Office of Traffic, if not already provided on the plans. Do not provide a graphic showing the unofficial detour(s).

14. Environmental Consultation Form. This document is required for all projects. This form is available for download from the Department's Editable Documents webpage, under Environmental.

15. Geotechnical Report or Geotechnical Waiver*. Either the geotechnical report or geotechnical waiver is required for all projects.

16. Geotechnical Review of Final Check Prints Form. This document is required all projects, except for projects with a Geotechnical Waiver. The form should contain the required signatures. The form is available for download from the Department's Editable Documents webpage, under Bridges

17. Level One Controlling Criteria Checklist and Design Computations. These documents are required for 3R and 4R projects and where applicable for Maintenance of Traffic (MOT). If there are no changes to the plans which affect Level One controlling criteria since the prior submission, it is acceptable to submit the previous checklist and initial and date next to the statement that no changes have been made to the plans that affect Level One controlling criteria.

18. LPA-Project Construction Engineering Agreement. This document is required for LPA projects. The document need not be resubmitted at Final Tracings, but the project manager should confirm the agreement has been executed.

19. LPA-Project Master Contract Signed by LPA. This document is required for LPA projects. The document need not be resubmitted at Final Tracings, but the project manager should confirm the agreement has been executed.

20. Markups. The plans from the previous submission (typically Stage 3 or Final Plans) with responses to all comments should be combined and submitted with the Response to Comments Letter, see below.

21. Pavement Design. Where a pavement design is required, include the final stamped pavement design letter.

22. Permits*. All permit approvals or permit information should be combined into a single file. For General permits where an approval document is not issued, the general permit conditions should be included in the file. For contracts with multiple des. numbers, use the lead des. number in the ERMS Title and include a summary sheet identifying which permits are applicable to which des. number.

23. Plans - Full Size or Letter Size*. Full-size plans may be a single file or multiple files to meet the ERMS uploading requirements for file size. Letter-size plans should not exceed 50 double-sided sheets or exceed 10 Mb.

24. PSE Checklist*. The FHWA-Indiana PSE checklist is required for all projects. The INDOT reviewer completes Section 1 at Stage 3. The project manager should complete Section 2 and include it with the Final Tracings package.

25. Proprietary Materials Use Public Interest Finding (PIF)*. A PIF is required only when proprietary materials are specified.

26. Quality Assurance Form. This document is required for all projects.

27. Quantity Calculations. Quantity calculations are required for all projects. Calculations should be initialed and dated by the designer and checker. Include the existing cross section elevations printout with any earthwork quantities.

28. Railroad Agreement*. This document is required when the project includes railroad involvement.

29. Railroad Coordination Certification*. This document is required for all projects, regardless of the presence of a railroad within the project limits.

30. Railroad Special Provisions*. This document is required when the project includes railroad involvement.

31. Response to Comments Letter. This document is required when comments are generated during review of a submission prior to Final Tracings (typically Stage 3 or Final Plans). The previous review plan markups should be combined with the Response to Comments letter and submitted as a single file.

32. Right-of-Way Certification Letter*. This document is required for all projects. Right-of-Way Certification must be dated and initialed by the certifier and should be one of the following:
    a. [INDOT OR LPA] No Right of Way Required
    b. [INDOT or LPA] Right of Way Clear
    c. [INDOT or LPA] Right of Way with Exceptions

33. Special Provisions Menus*. This document is required for all projects. Recurring and unique special provisions menus should be submitted as two separate (single) files. Contracts that include multiple des. numbers should have a single recurring provisions menu and single unique provisions menu that includes all provisions required for each des. number in the contract. The menus are available at http://www.in.gov/dot/div/contracts/standards/rsp/index.html

34. Special Provisions - Unique and Modified Recurring*. Where unique provisions are included in a project, all unique special provisions should be combined into a single file. Unique special provisions must be reviewed by the Specifications Engineer. Where modified or contract-specific recurring provisions (Section II of the Special Provisions Menu) are included in a contract, all modified recurring special provisions (RSPs) should be combined into a single file. Instructions on combining RSPs are available at http://www.in.gov/dot/div/contracts/standards/rsp/index.html

35. Summary of Design Exceptions (DE). This document is required for all projects that complete the Level One checklist. The document should list both Level One and Level Two design exceptions. For Level One design exceptions, list the design element, the approval date, and the signed DE coversheet. For Level Two design exceptions, include the brief rational for the exception as well as any concurrence from local agencies or district personnel.

36. Survey Field Book. This document should include the original survey books or field notes and electronic survey files unless previously submitted.

37. Transportation Management Plan (TMP). A TMP is required for all projects as part of the PSE submittal process. For projects designated as significant, there are three elements that make up the TMP. For projects not designated as significant, the TMP consists of the temporary traffic control (maintenance of traffic) plan. More information is available in Chapter 81 and the Narrative for the PSE Checklist.

38. Transmittal Letter*. This document is required for all projects. The transmittal letter should be used to identify unique circumstances associated with the submittal, e.g. omitted items. The Responsible Person to receive the evaluation scores should be clearly indicated. Where a subconsultant is responsible for a portion of the work, the subconsultant firm, name, and work for which they are responsible should be clearly indicated.

    When notifying the district coordinator the transmittal letter should be attached. The preferred method of notifying the district coordinator is to forward the auto generated email confirmation from ERMS.

39. Utility Coordination Certification*. This document is required for all projects. The certification form is available on the Department's Utility Coordination Standard Documents webpage.

40. Utility Relocation Plans. Utility relocation plans are required as needed for a project. Plans are typically provided to the designer by the utility coordinator.

14-1.02(05) Changes to the Final Tracings Submission [Rev. Mar. 2016]

The procedure for making changes to contract documents and plans after the Final Tracings submission has been transitioned to Contract Administration differs depending on whether or not the contract has been advertised.

1. Preprint Changes. Preprint changes are changes made to a set of plans or contract documents prior to advertising for letting. Letting advertisement (Notice Posted) is typically 30 days prior to the letting date. The Letting Preparation Schedule for 2015-2022 is available at http://www.in.gov/dot/div/contracts/letting/lettingdates.htm.

   a. Preprint changes to contract documents, except for plans, are submitted via email to Contract Administration. A transmittal letter should be included identifying which items have been submitted. The original document should be marked showing changes and additions highlighted in yellow, information to be deleted highlighted in red and struck through. For items that are originally submitted in a format other than PDF, e.g. cost estimate, recurring special provisions menu, attach a PDF copy of the item marked accordingly to the email. Changes to documents will be made by Contract Administration.

   b. Preprint changes to plans should be submitted electronically to ERMS. The designer should notify the district coordinator and copy the project manager. When changes are made to the originally submitted plans (new, revised, or deleted sheets), the existing set of plans in ERMS should be deleted and a new complete set of plans should be uploaded. The plans should not include clouds or revision blocks. The file naming format is the same as that of the original submission.
      Example: FT Plans 0900010 for Contract Services
      FT PlansXsect 0900010 for Contract Services

Adequate time must be allowed for transitioning files within ERMS, i.e. documents submitted prior to letting may not reach Contract Administration the same day.

2. Changes after Advertisement, from 30 Days to 8 Days Prior to Letting

   a. Revisions to documents or plan sheets submitted after advertisement, typically from 30 days to 8 days prior to the letting date, must be transmitted to the district Area Engineer for approval prior to submitting to Contract Administration.

   b. Upon approval, the district Area Engineer should transmit the completed Request for Contract Revision form and the new or revised contract documents or plan sheets to Contract Administration. The form is available for download from the Department's Editable Documents webpage, under Contract Administration.

c. Changes to previously submitted contract documents should be marked in the same manner as preprint changes. See item 1.

d. Changes to plan sheets should be uploaded into ERMS.

1) The designer may upload only the new or revised sheets, including the index sheet, or a complete new set of plans. The designer should notify the district coordinator and copy the district Area Engineer.

2) The file naming convention for both a partial and complete set of plans is the same as that of the original submission:

FT Plans or PlansXsect [Des. No.] for Contract Services.

3) A revision note should be placed in the revision block on the Index Sheet when plan sheets are revised. The revision note should include the date of the revision, the revised sheet numbers, and a short description of the change. The revision block should be clouded. Do not include a revision number in the revision block as the number may not correspond sequentially to the Notice of Revision number for the contract as a whole.

4) A revision note should be placed on the revised sheet in a location that will not restrict its visibility. The revision note should include the date and a description of the change. The revision and the revision note should be clouded.

5) Original plan sheets, other than the Title Sheet, may be replaced with new sheets and numbered exactly as the original deleted sheets, with the original sheets discarded. New sheets that were not in the original plan numbering that are inserted into an original set of plans will be numbered with a numeric extension as follows. Clouds are not required around the periphery of the new sheet.

1. A new sheet inserted after 22 and before 23, should be numbered 22-1.
2. Three new sheets inserted after 13 and before 14, should be numbered as 13-1, 13-2, and 13-3.
3. A new sheet at the end of a 40-sheet set of plans should be numbered as 40-1.

Adequate time must be allowed for transitioning files within ERMS, i.e. documents may not reach Contract Administration the same day they are submitted.

3. Changes within 7 Days Prior to Letting. No changes are allowed within seven days prior to letting. The letting date, not the plan signing date, controls when and how revisions can be made to the plans.

14-1.02(06) Contract Information Book Certification [Rev. Mar. 2016]

The designer should receive the Contract Information Book (CIB) via email for review. Within three days after notification from the Contract Administration Division the designer should complete the review. The CIB Certification form should be completed and returned via email. The CIB Certification form is available for download from the Department's Editable Documents webpage, under Contract Administration.

Preprint changes identified during the review should be processed in accordance with Section 14-1.02(05).

14-1.02(07) Construction Change [Rev. Mar. 2016]

A construction change is made to a set of plans or contract documents following the project letting and subsequent awarding to a contractor.

All construction changes should be submitted electronically into ERMS using the Construction Changes Document Management System link in ITAP. Instructions on how to request access to the application are available at https://itap.indot.in.gov/login.aspx.

The file naming format is as follows: [Submittal] [Description] [Des No.] for Contract Services.

Example: ConstChg#1 Plans 0900010 for Contract Services

After the files are uploaded, notify the coordinator, project manager and the Research & Documents Library Team that the construction change has been submitted. After the review process, the Research & Documents personnel prepare a Construction Change Memorandum and the revised plans and documents for distribution. The Construction Change Memorandum template is available for download from the Department's Design Manual Editable Documents webpage, under Contract Administration.

A construction change is processed as follows.

1. Transmittal Letter. A transmittal letter is required and should be attached to the email notification to the coordinator.

2. Plan Revisions. Where a change is made to the final tracings, a revision note should be placed in the revision block on the index sheet. This revision note should include the date of the revision, the revised sheet numbers, and a short explanation of the change. A note with the same information should also be placed on the revised sheet or sheets in a location that will not restrict its visibility. No deletions may be made to the original tracings as they are considered a legal contract document at the time of letting. If space allows, the original item to be revised should be hatch-marked through and the revision should be made on the same sheet. The revision should be placed on the sheet in a location that will not restrict visibility and shown in a cloud,. If the revision is too large to be shown on the original sheet, the deleted sheet number should be noted in the revision block. This deleted sheet will remain in the original set of plans. The deleted sheet does not need to be included in the revised plan sheets file which will be uploaded to ERMS. Only the revised sheets should be included in the revised plan sheet file.

    a. Replace an existing plan sheet. If an existing plan sheet is to be replaced, the replacement sheet should be numbered with an alphabetic extension (number-letter) to indicate that it is a replacement sheet. The deleted sheet should be identified in the revision block and will remain in the original plan set for future reference. Clouds should be used on the replacement sheet to indicate the changes made. The replacement sheet number should also be identified in the revision block on the index sheet. Examples of the number-letter extension are as follows.

        1) Sheet 2 is deleted and Sheet 2-A will take its place.

        2) Sheet 23 is deleted and Sheet 23-A will take its place.

        3) Sheet 17-A is deleted and Sheet 17-B will take its place.

        4) Sheet 15-1 is deleted and Sheet 15-1-A will take its place

        The number followed by a letter indicates that an existing sheet has been replaced.

    b. Insert a new plan sheet. If a new sheet is to be inserted into the original plans, the added sheet should be given a numeric extension, number-number, to indicate that it is an added sheet. A new sheet is numbered according to the sheet preceding the insertion. The added sheet should be identified in the revision block on the index sheet. Clouds are not required around the periphery of the new sheet. Examples of the number-number extension are as follows:

1) Sheet 15-3 is inserted after Sheet 15-2 and before Sheet 16.

2) Sheet 7-1 is inserted after 7-B and before Sheet 8.

3) Sheet 40-3 is inserted after 40-2 at the end of the set of plans.

4) Sheet 5 is revised and two new sheets are added. The sheet numbers are 5A, the revision to Sheet 5, 5-1, and 5-2 ,the two new sheets.

3. Quantity Revisions. The designer computes quantity revisions and indicates the changes on a copy of the schedule of pay items from the contract information book. The designer should show revisions by striking through the original quantity and placing the new quantity next to the old quantity and clouding all. For deleted items, strike through the quantity, show a "0", and cloud all. Add new items at the end of the schedule, with item descriptions, including item numbers, quantities, and units, and cloud all. The marked up document will be submitted electronically into ERMS. Mark ups should use the same process as described for preprint changes to contract document, Section 14-1.02(05).

4. Special Provision Revisions. The designer should indicate which special provisions were deleted, revised, or added by marking up a copy of the special provisions index which is contained in the contract information book. When a special provision is deleted, strike through and cloud the title on the index. If it is revised, cloud the title. If there is an addition, add the title to the end of the index and cloud it. The marked-up index, revised special provisions, with additions and struck-through text for deletions with both clouded, or new special provisions will be submitted electronically as PDF files. The submittal into ERMS should be the same as shown for the revised plan sheets, described above.

Revisions to items that are not contract documents, e.g. design computations, design exceptions, should not be uploaded as construction changes. These items should be uploaded into ERMS using the preprint changes process, Section 14-1.02(05).

The designer should notify the coordinator and the project manager of these revisions.

Any document uploaded as a construction change is placed on the web once released by the Research & Documents Library team. Documents uploaded as construction changes can be viewed by the public or construction personnel via the web.

14-3.03 Sheet Size [Rev. Jan. 2011, Apr. 2012, July 2012, Sep. 2014, Mar. 2016]

The plans-sheet sizes which may be used are as follows.

1. 8½ in. by 11 in. Letter-size plans may be used for a partial 3R or other type of project that does not require a significant amount of detail. This size may be used only if there are 100 pages (50 sheets double-sided) or fewer. File size is limited to 10 Mb.

2. 24 in. by 36 in. or 22 in. by 34 in. Full-size plans should be used where mark ups will be applied to as-built plans, when complex design elements are shown, and when larger drawings are needed to provide legibility. The same sheet size should be used for all sheets in a set of plans. File size is limited to 50 Mb.

3. 11 in. by 17 in. Plans sheets should not be initially developed, and final tracings should not be submitted, in this size. Plans sheets of 24 in. by 36 in., if reduced to this size, will not be exactly at half scale. Such plans sheets may be reduced to this size during the development or construction processes for use convenience. Final tracings submitted in this size will be rejected and a resubmission as 24 in. by 36 in. or 22 in. by 34 in. sheets will be required.