

# ERC Recertification: 2 years or less experience

Britni Saunders  
LPA Training, Policy & Guidance, INDOT

March 12, 2014



# Welcome + Housekeeping

- **Welcome to ERC Recertification!**
  - Sign out sheets on tables- last 10 min
  - Your certification expires on March 12, 2015
- **Housekeeping**
  - How to use your packet
  - Please complete evaluations throughout class, turn in as you leave
  - Phones on silent
  - Restroom location
  - Parking Lot/Post-Its on table



# Welcome + Housekeeping

## ■ Agenda Review:

### ■ Welcome + Housekeeping: 8a-805a

- Britni Saunders, LPA Training, INDOT

### ■ LPA Update: 805-810a

- Kathy Eaton-McKalip, Director of LPA/MPO & Grants Administration, INDOT

### ■ Local Quarterly Report: 810a-830a

- David Armstrong, District Local Program Director, Fort Wayne, INDOT & Mike Cales, Local Programs Specialist, INDOT



# Welcome + Housekeeping

- **Agenda Review:**
  - **How to Assess Project Timelines + Funds Effectively: 830a-850a**
    - Jaclyn Schmitt, Local Project Engineer, Vincennes, INDOT & Greg Smith, Local Project Engineer, Fort Wayne, INDOT
  - **How to Do a Request for Proposals: 850a-915a**
    - Susan Kemp, District Local Program Director, Crawfordsville, INDOT



# Welcome + Housekeeping

- **Agenda Review:**
  - **Consultant Contract Review: 915a-940a**
    - Mike Wink, Local Project Engineer, Crawfordsville, INDOT
  - **Questions/Start sign out: 940a-945a**
  - **Closing Information: 945a-950a**



# Local Quarterly Report (LQR)

David Armstrong, District Local Program Director,  
Fort Wayne &  
Mike Cales, Local Programs Specialist

March 12, 2014



# Local Quarterly Report



INDOT Technical Application Pathway

Indiana Department of  
Transportation

ITAP - Login

INDOT Employees  Others

User Name [Forgot User Name?](#)

Password [Forgot Password?](#)

For external users this portal serves the following business processes:

- > American Recovery and Reinvestment Act Reporting - ARRA
- > Design Submittal
- > Geotechnical Engineering Document Management
- > Letters of Interest for Design RFP's - LOIS
- > Prequalification of Consultants
- > Project Commitments Database
- > Professional Services Contractual Services - PSCS
- > Real Estate Document Management
- > Subcontractor Payment Tracking - SPT

ITAP Training Videos:

- > [How to Enroll a Business](#)
- > [How to Enroll a User](#)
- > [How to Login as a Non INDOT User](#)
- > [How to retrieve a Forgotten Username](#)
- > [How to retrieve a Forgotten Password](#)
- > [How to Login as an INDOT User](#)

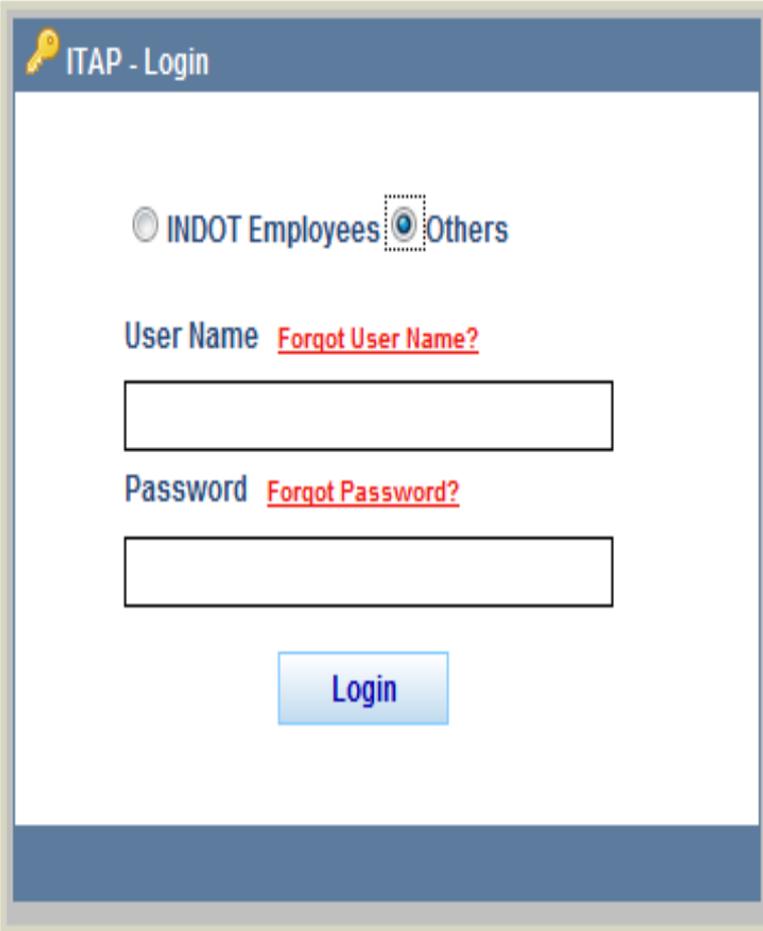
Do you need to enroll a new business? [Complete a business enrollment form.](#)

Do you need to apply for a user account? [Complete a user enrollment form.](#)

<https://itap.indot.in.gov>



# Local Quarterly Report



ITAP - Login

INDOT Employees  Others

User Name [Forgot User Name?](#)

Password [Forgot Password?](#)

Login

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- > [How to retrieve a Forgotten Username](#)
- > [How to retrieve a Forgotten Password](#)
- > [How to Login as an INDOT User](#)



# Local Quarterly Report

Do you need to enroll a new business? [Complete a business enrollment form.](#)

**Business Registration - Business Information**

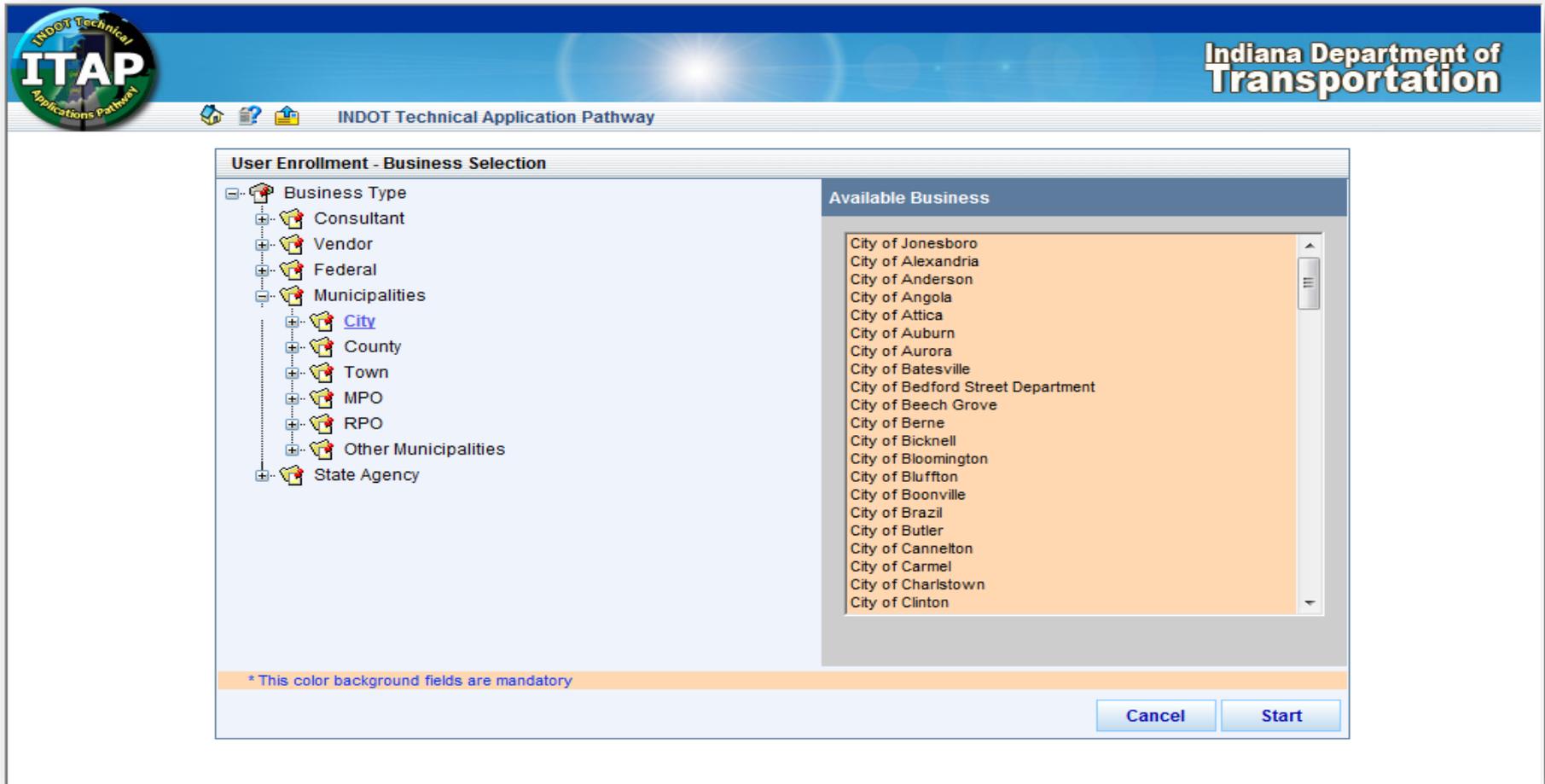
Business Name	<input type="text"/>
Business Type	<input type="text"/>
Description	<input type="text"/>
Federal Tax Id	<input type="text"/> - <input type="text"/>
DUNS Number	<input type="text"/>
What type of work does your company do?	<input type="text"/>
Main Business Address	<input type="text"/>
Zip Code	<input type="text"/>
City	<input type="text"/> <input type="text"/>

\* This color background fields are mandatory



# Local Quarterly Report

Do you need to apply for a user account? [Complete a user enrollment form.](#)



**INDOT Technical Applications Pathway**

**Indiana Department of Transportation**

**User Enrollment - Business Selection**

**Business Type**

- Consultant
- Vendor
- Federal
- Municipalities
  - City**
  - County
  - Town
  - MPO
  - RPO
  - Other Municipalities
- State Agency

**Available Business**

- City of Jonesboro
- City of Alexandria
- City of Anderson
- City of Angola
- City of Attica
- City of Auburn
- City of Aurora
- City of Batesville
- City of Bedford Street Department
- City of Beech Grove
- City of Berne
- City of Bicknell
- City of Bloomington
- City of Bluffton
- City of Boonville
- City of Brazil
- City of Butler
- City of Cannelton
- City of Carmel
- City of Charlestown
- City of Clinton

\* This color background fields are mandatory

Cancel Start



# Local Quarterly Report

The screenshot displays the ITAP (Indiana Technical Application Pathway) web application interface. The top navigation bar includes the ITAP logo, the text "INDOT Technical Application Pathway", and the user name "Welcome!!! Peri Myers".

The left sidebar contains a navigation menu with the following items: Home, Application, Business, User, Reference Data, and Training Videos List. A red arrow points to the "Application" menu item.

The main content area is titled "Application Enrollment" and lists various applications. A red arrow points to the "Request New Application" link, which has opened a dropdown menu with the following options: Maintenance, Requests, and Request New Application. A second red arrow points to the "Request New Application" option in the dropdown menu.

The "Request New Application" dropdown menu is open, showing a list of applications with expandable icons. A red arrow points to the "Local Quarterly Report" application in this list.

The "Local Quarterly Report" application details are displayed in a table:

Application Details	
Name	Local Quarterly Report
Description	Application that allows ERC's to submit project local quarterly reports.
Abbreviation	LQR

Below the application details table, a "Submit" button is highlighted with a red box.

# Local Quarterly Report



Indiana Department of  
Transportation



INDOT Technical Application Pathway

Welcome!!! [Peri Myers](#)

Home  
Application  
Business  
User  
Reference Data  
Training Videos List

## Main Page

- INDOT Applications
  - Clean Answers
  - ERMS
  - Human Resources
  - MIS Custom Applications
  - Project Close Out
  - Scheduling Project Management System
    - [Local Quarterly Report](#)
  - Scheduling Project Management System

## Application Details

Name	Local Quarterly Report
URL	<a href="#">Click here to access application</a>
Description	Application that allows ERC's to submit project local quarterly reports.
Abbreviation	LQR
Last Login Time	
No of Users Logged In Today	0

[Click here to request a new application](#)



# Local Quarterly Report



SPMS - Local Quarterly Reporting

Home

Main Page

Filter: AND

Des #	Contract #	Sponsor	Project Manager	County	Project Description	Project Status	
1297748	R - 34531	Scott County	Richardson, Carolyn	Scott	Bridge No. 7 over Sweet Run on Standard Rd.	Active	edit

Showing 1-1 of 1

Items Per Page: 10 Prev 1 Next

Indiana Department of Transportation



# Local Quarterly Report

Main Page

Filter: **AND**

Des #	Contract #	Sponsor	Project Manager	County	Project Description	Project Status	
0810577		Scott County	Winslow, Robert	Scott	Inspection and re-inspection of all county bridges 20 ft and longer	Active	
1005948	R - 34531	Scott County	Fischvogt, Brandi	Scott	Boatman Road from N. Shady Lane to Austin town limits	Active	
1297182	R - 35897	Scott County	Winslow, Robert	Scott	Various locations within Scott County	Active	
1297748	R - 34531	Scott County	Richardson, Carolyn	Scott	Bridge No. 7 over Sweet Run on Standard Rd.	Active	
1297749	R - 34531	Scott County	Richardson, Carolyn	Scott	Bridge No. 7 over Stucker Ditch on Boatman Rd.	Active	
1297898	B - 36109	Scott County	Richardson, Carolyn	Scott	Bridge inspections in Scott County	Active	

Showing 1-6 of 6 Items Per Page **10** Prev **1** Next

**Des # - 1297898 LQR Current Report**

Filter: **AND**

Qtr #	Year	LQR Status	ERC Name	Consultant Firm Name	
Showing 1-1 of 1 <span style="float: right;">Items Per Page <b>10</b> Prev <b>1</b> Next</span>					

Uploaded Reports

Filter: **AND**

Qtr #	Year	Description	Created By	Created Date
Showing 1-1 of 1 <span style="float: right;">Items Per Page <b>10</b> Prev <b>1</b> Next</span>				

**Cancel**



# Local Quarterly Report

## Add a New Report

Click on the **Add New**  icon to the right of the Consultant Firm Name in the LQR Current Report table to start a new Report.



Des # - 1297748 LQR Current Report

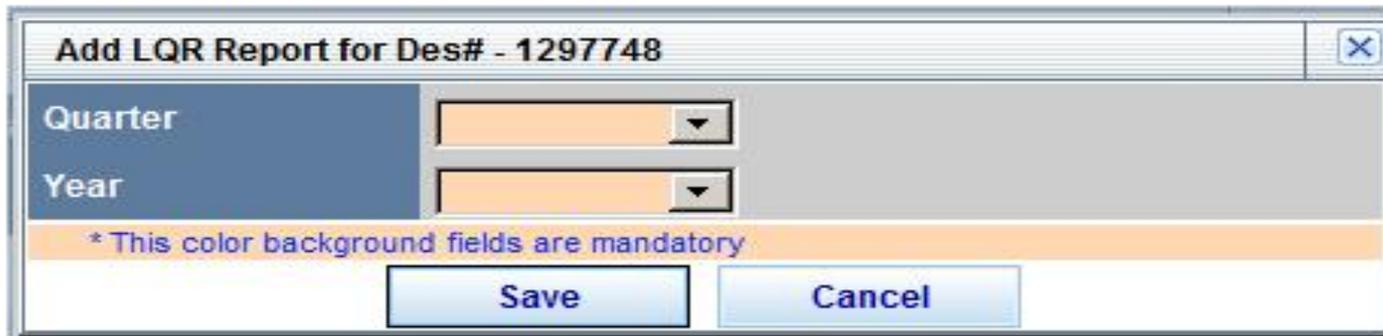
Filter: AND

Otr #	Year	LQR Status	ERC Name	Consultant Firm Name
Showing 1-1 of 1				

Items Per Page 10 Prev 1

**Add New**

The Add LQR Report window will appear. Select the Quarter and Year from the drop down lists and click **Save** to create a new report or click **Cancel** to return to the LQR Main Page without creating a new report.



Add LQR Report for Des# - 1297748

Quarter

Year

\* This color background fields are mandatory

**Save** **Cancel**

# Local Quarterly Report

Main Page

Filter: **AND**

Des #	Contract #	Sponsor	Project Manager	County	Project Description	Project Status	
0810577		Scott County	Winslow, Robert	Scott	Inspection and re-inspection of all county bridges 20 ft and longer	Active	60
1005948	R - 34531	Scott County	Fischvogt, Brandi	Scott	Boatman Road from N. Shady Lane to Austin town limits	Active	60
1297182	R - 35897	Scott County	Winslow, Robert	Scott	Various locations within Scott County	Active	60
1297748	R - 34531	Scott County	Richardson, Carolyn	Scott	Bridge No. 7 over Sweet Run on Standard Rd.	Active	60
1297749	R - 34531	Scott County	Richardson, Carolyn	Scott	Bridge No. 7 over Stucker Ditch on Boatman Rd.	Active	60
1297898	B - 36109	Scott County	Richardson, Carolyn	Scott	Bridge inspections in Scott County	Active	60

Showing 1-6 of 6 Items Per Page **10** Prev **1** Next

Des # - 1297898 LQR Current Report

Filter: **AND**

Qtr #	Year	LQR Status	ERC Name	Consultant Firm Name	
2	2013	Draft	Carr, Taylor		60

Showing 1-1 of 1 Items Per Page **10** Prev **1** Next

Uploaded Reports

Filter: **AND**

Qtr #	Year	Description	Created By	Created Date
Showing 1-1 of 1 Items Per Page <b>10</b> Prev <b>1</b> Next				

Cancel



# LQR Main Page

INDOT - LOCAL PUBLIC AGENCY QUARTERLY REPORTING FORM					
<a href="#">Save</a>		<a href="#">Submit to INDOT</a>		<a href="#">Print</a>	<a href="#">Close</a>
* This color background fields are mandatory					
<b>SECTION A: GENERAL PROJECT INFORMATION</b>					
Des #	1297898	Contract #	B - 36109	Local Public Agency	Scott County
Quarter/Year	2/2013	LQR Status	Draft	Project Description	Bridge inspections in Scott County
INDOT Project Manager	Richardson, Carolyn	District	Seymour	Letting Status	Not Complete
INDOT Program Manager	Ault, Debra				
<b>Consultant Information</b>			<b>ERC Information</b>		
Consultant Name		ERC Name	Carr, Taylor		
Consultant Firm		ERC Firm	Scott County		
Consultant Email		ERC Email	taylorcarr@555.com		
Consultant Phone #		ERC Phone #	(317) 555-5555		
Consultant Certification Date	<input type="text"/>	ERC Certification Date	<input type="text"/>		
<a href="#">Click here to upload ERC certificate</a> <a href="#">Click here to view latest certificate</a>					
<b>MPO Information</b>					
Is Project in a MPO Planning Area	<input type="text"/>	MPO Firm Name	<input type="text"/>		
MPO Contact Name	<input type="text"/>	MPO Email	<input type="text"/>		
<a href="#">Section B: General Project Questions</a>		<a href="#">Section C: Awarded Federal Funding &amp; Project Costs</a>		<a href="#">Section D: Project Schedule</a>	
<a href="#">Section E: Permits</a>		<a href="#">Section F: Post Letting</a>		<a href="#">Section G: Comments</a>	
<a href="#">Documents</a>					
<b>SECTION B: GENERAL PROJECT QUESTIONS</b>					
Do you still want to continue this project?	<input type="text"/>				
Are credits being used?	<input type="text"/>				
Explain type of credit	<input type="text"/>				
# of RW Parcels	<input type="text"/>				
# of RW Parcels Acquired	<input type="text"/>				
Has your RFP process been approved for Preliminary Engineering?	<input type="text"/>				
Has your RFP process been approved for Right of Way?	<input type="text"/>				
Has your RFP process been approved for Construction Inspection?	<input type="text"/>				
Are reimbursable design utility costs included in Preliminary Engineering?	<input type="text"/>				
Are reimbursable utility costs included in Construction?	<input type="text"/>				
Do you anticipate unique special provisions?	<input type="text"/>				
Are all INDOT/LPA Contract and Supplements fully Executed?	<input type="text"/>				
Is this a non-infrastructure project?	<input type="text"/>				
<b>Report Signature</b>					
<b>ERC Signature/Approval</b>		<b>MPO Signature</b>		<b>INDOT - Review</b>	
<input type="checkbox"/> I have accurately completed this report to the best of my ability.		Signed Date	<input type="text"/>	Signed Date	<input type="text"/>
Signed Date		Name		Name	
<input type="text"/>		<a href="#">Click here to view MPO comments</a>		<input type="text"/>	
Name		<input type="text"/>		<input type="text"/>	
Name		<input type="text"/>		<input type="text"/>	
* This color background fields are mandatory					
<a href="#">Save</a>		<a href="#">Submit to INDOT</a>		<a href="#">Print</a>	<a href="#">Close</a>





### INDOT - LOCAL PUBLIC AGENCY QUARTERLY REPORTING FORM

Please save your changes often.

[Print](#) [Close](#)

[Field Definitions](#)

\* This color background fields are mandatory

#### SECTION A: GENERAL PROJECT INFORMATION

Des #	0100358	Contract #	B - 35940	Local Public Agency	Randolph County
Quarter/Year	1/2014	LQR Status	ERC Submitted	Project Description	Bridge #145 over Cabin Creek on CR 400S
INDOT Project Manager	Jeffers, Marcy	District	Greenfield	Letting Status	Not Complete
INDOT Program Manager	Bowdell, Kimberley				

#### Consultant Information

#### ERC Information

Consultant Name		ERC Name	Slick, Kevin
Consultant Firm		ERC Firm	Randolph County Highway Department
Consultant Email		ERC Email	kevin.slick@hotmail.com



## LQR Field Definitions

Field	Description
Consultant Certification Date	Date consultant took Guidance Document Training
ERC Certification Date	Date ERC took Guidance Document Training
Is Project in a MPO Planning Area	Does MPO include projects from this LPA in their TIP or perform planning services.
MPO Firm Name	Name of MPO
MPO User	MPO Designated representative for Quarterly report reviews
Do you still want to continue this project?	Self explanatory
Are credits being used?	Are you intending to use development costs as your match for construction.
Explain type of credit	Are you using PE or ROW costs as match.
# of RW Parcels	How many Parcels will you need to acquire for the project.
# of RW Parcels Acquired	The number of Parcels you have Acquired. (payment and recording)
Has your RFP process been approved for Preliminary Engineering?	The Request for Proposals (RFP) must be reviewed and approved by INDOT for Reimbursement or Match Credits.
Has your RFP process been approved for Right of Way?	The Request for Proposals (RFP) must be reviewed and approved by INDOT for Reimbursement or Match Credits.
Has your RFP process been approved for Construction Inspection	The Request for Proposals (RFP) must be reviewed and approved by INDOT for Reimbursement.
Are reimbursable design utility costs included in Preliminary Engineering?	This includes your consultant and any charges by the Utility Company.
Are reimbursable utility costs included in Construction?	This is for utility work not done under the let Contract. (i.e., utility force account, or forces hired by the Utility Co.
Do you anticipate <a href="#">unique</a> special provisions?	A special provision written for this Project. Does not include any of INDOT's reoccurring special provisions. Unique Special Provisions also must be submitting to INDOT for approval. This submission is before Stage 3 plan submission.



# Tab Identification

MPO Information [Click here if you do not find MPO firm or user.](#)

Is Project in a MPO Planning Area

MPO Firm Name

MPO Name

MPO Email

**Section B: General Project Questions** | Section C: Awarded Federal Funding & Project Costs | Section D: Project Schedule | Section E: Permits  
Section F: Post Letting | Section G: Comments | Documents

**SECTION B: GENERAL PROJECT QUESTIONS**

Do you still want to continue this project?

Are credits being used?

Explain type of credit

# of RW Parcels

# of RW Parcels Acquired

# General Questions

## SECTION B: GENERAL PROJECT QUESTIONS

Do you still want to continue this project?

No

[Click here to explain.](#)

Are credits being used?

No

Explain type of credit

# of RW Parcels

# of RW Parcels Acquired

Has your RFP process been approved for Preliminary Engineering?

Yes

Has your RFP process been approved for Right of Way?

No

Has your RFP process been approved for Construction Inspection?

Yes

Are reimbursable design utility costs included in Preliminary Engineering?

Yes

Are reimbursable utility costs included in Construction?

Yes

Do you anticipate **unique** special provisions?

Yes

Are all INDOT/LPA Contract and Supplements fully Executed?

No

[Click here to explain.](#)

Is this a non-infrastructure project?

Yes

[Click here to explain.](#)



# Comment Box

Add Comment

Please provide a reason for not continuing this project

Comment Type: Continue Project

Comments

Characters Left: 4000

\* This color background fields are mandatory

Save Cancel

Once a comment has been entered, the blue text will change to "Click here to View/Edit." Click on the link to open the comment window and view or edit the comment as necessary.

SECTION B: GENERAL PROJECT QUESTIONS

Do you still want to continue this project? Yes

Are credits being used? No

Explain type of credit

# of RW Parcels

# of RW Parcels Acquired

Has your RFP process been approved for Preliminary Engineering? Yes

Has your RFP process been approved for Right of Way? No

Has your RFP process been approved for Construction Inspection? Yes

Are reimbursable design utility costs included in Preliminary Engineering? Yes

Are reimbursable utility costs included in Construction? Yes

Do you anticipate unique special provisions? Yes

Are all INDOT/LPA Contract and Supplements fully Executed? No [Click here to View/Edit](#)

Is this a non-infrastructure project? Yes [Click here to explain](#)

# Project Cost and Budget Tab

Section B: General Project Questions | Section C: Awarded Federal Funding & Project Costs | Section D: Project Schedule | Section E: Permits  
 Section F: Post Letting | Section G: Comments | Documents

**SECTION C: Awarded Federal Funding & Project Costs**

Primary Amount:   
 Secondary Amount (if applicable):   
 Other Amount (if applicable):   
 Total Federal Funds: \$0.00

Primary Fund Type:   
 Secondary Fund Type:   
 Other Fund Type:   
 Is Project Funded by an MPO?:

Other:   
 Other:   
 Other:

**Project Costs**

Phase	Current Estimate Amount	Updated Estimate Amount	Awarded Federal Funds	Proposed Distribution of Federal Award	Local Match	Federal %	All Invoices Submitted to INDOT?
a) Preliminary and Right of Way Engineering (PE1, PE2, RW2)	\$0.01	<input type="text"/>	\$0.00	<input type="text"/>	<input type="text"/>		<input type="text"/>
b) Right of Way (RW1)	\$0.00	<input type="text"/>	\$0.00	<input type="text"/>	<input type="text"/>		<input type="text"/>
<b>Total (a &amp; b)</b>	<b>\$0.01</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		
c) Construction (CN)	\$200,940.00	<input type="text"/>	\$990,000.00	<input type="text"/>	<input type="text"/>		<input type="text"/>
d) Utilities (UT1, UT2)	\$0.00	<input type="text"/>	\$0.00	<input type="text"/>	<input type="text"/>		<input type="text"/>
e) Railroad (RR1, RR2)	\$0.00	<input type="text"/>	\$0.00	<input type="text"/>	<input type="text"/>		<input type="text"/>
f) Construction Engineering (CE)	\$0.00	<input type="text"/>	\$0.00	<input type="text"/>	<input type="text"/>		<input type="text"/>
<b>Total (c through f)</b>	<b>\$200,940.00</b>	<b>\$0.00</b>	<b>\$990,000.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		
<b>Total All Phases (a,b,c,d,e &amp; f)</b>	<b>\$200,940.01</b>	<b>\$0.00</b>	<b>\$990,000.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		



# Project Schedule Tab

Section B: General Project Questions | Section C: Awarded Federal Funding & Project Costs | **Section D: Project Schedule** | Section E: Permits  
 Section F: Post Letting | Section G: Comments | Documents

**SECTION D: PROJECT SCHEDULE**

*\*PROPOSED SCHEDULE dates must be justified in comments by LPA and Letting changes APPROVED BY INDOT\**

Activity Code	Original Est. Start or Scheduled Start Date	Original Est. Start Date Status	Original Est. Completion or Scheduled Completion Date	Original Est. Completion or Scheduled Completion Status	Proposed* Change to Completion Date	Percent Complete	Comments Exist
Project Authorized	05/16/2013		05/21/2013		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
Start Plan Development	05/21/2013		09/18/2013		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
State/LPA Contract	05/21/2013		05/22/2013		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
Stage 1 Design (0-30%)	09/18/2013		02/15/2014		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
Final Environment Document Approval	09/18/2013		11/02/2013		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
Preliminary Field Check	09/18/2013		10/12/2013		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
Stage 3 Design (61-90%)	10/12/2013		01/10/2014		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
R/W Clear	11/02/2013		01/31/2014		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
Ready For Contracts	01/10/2014		11/04/2015		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
Local Funding Window	11/04/2015		11/05/2015		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
Letting	11/04/2015		01/13/2016		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
Contract Award	01/13/2016		03/13/2016		<input type="text"/>	<input type="text"/>	<a href="#">N</a>
Final Audit	01/13/2016		08/30/2016		<input type="text"/>	<input type="text"/>	<a href="#">N</a>



# Permits Tab

Section B: General Project Questions | Section C: Awarded Federal Funding & Project Costs | Section D: Project Schedule | **Section E: Permits**

Section F: Post Letting | Section G: Comments | Documents

Permits Required				
Permit Type	Permits Required	Date Applied	Date Approved	Date Expires
401	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
404	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
DNR	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Rule 5	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
FAA	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Flood Protection	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



# Tab for Post Bid Letting

Section B: General Project Questions   Section C: Awarded Federal Funding & Project Costs   Section D: Project Schedule   Section E: Permits

Section F: Post Letting   Section G: Comments   Documents

**SECTION F: Post Letting**

*Fields below this line are disabled until Letting Activity is complete*

Are there Advice of Changes?	<input type="text"/>
# of Advice of Changes	<input type="text"/>
Original Construction Completion Date	<input type="text"/>
Expected Construction Completion Date	<input type="text"/>
Has the Final Construction Inspection Invoice been submitted?	<input type="text"/>
Can Construction Inspection PO's be closed?	<input type="text"/>
Are there any outstanding liabilities or financial obligations on this project?	<input type="text"/>



# Comments Tab

Section B: General Project Questions | Section C: Awarded Federal Funding & Project Costs | Section D: Project Schedule | Section E: Permits | Section F: Post Letting | Section G: Comments | Documents

SECTION G: COMMENTS

Filter: AND

Qtr #	Year	Subject	Comments	Updated By	Updated Date	
1	2013	Contract	Personnel issues have resulted in delayed contract execution.	Carr, Taylor	9/18/2013 8:45:21 PM	+

Showing 1-1 of 1

Items Per Page: 10 | Prev: 1 | Next



Instructions for common functions such as [Applying Filters](#), [Sorting](#), [Showing More Items per Page](#) and [Viewing Details](#) may be found in the Getting Started section.

To add a comment, click on the **Add New**  icon to the right of the Updated Date column. A new Comment window will open. Select **Other** as the comment type and enter the comment. Click **Save** to save the comment or click **Cancel** to return to the Report without adding a comment.

Add Comment

Comment Type:

Comments:

Characters Left: 4000

\* This color background fields are mandatory

Save Cancel

The new comment will appear in the Comment table, with the ability to **View Details** , **Edit**  or **Delete**  the comment.

SECTION G: COMMENTS

Filter: AND

Qtr #	Year	Subject	Comments	Updated By	Updated Date	
1	2013	Other	Community is behind the implementation of this project.	Carr, Taylor	9/18/2013 8:46:27 PM	+
1	2013	Contract	Personnel issues have resulted in delayed contract execution.	Carr, Taylor	9/18/2013 8:45:21 PM	+

Showing 1-2 of 2

Items Per Page: 10 | Prev: 1 | Next

# Document Upload Tab

Add New 

Section B: General Project Questions | Section C: Awarded Federal Funding & Project Costs | Section D: Project Schedule | Section E: Permits

Section F: Post Letting | Section G: Comments | Documents

Documents 

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Document Name	Document Type	Description	Upload Status	Created By	Created On	
ERC Certification.docx	ERC Certificate		Completed	TCARR01	9/14/2013 9:09:11 PM	 
Test Plan for Local Quarterly Report.doc	ERC Certificate		Completed	TCARR01	9/10/2013 1:13:14 PM	 

Showing 1-2 of 2

Items Per Page 10  Prev 1  Next

# Signing & Submitting Report

## Report Signature

Once the Report is ready for submittal, click in the box next to "I have accurately completed this report to the best of my ability." to electronically sign the report. The Report must be signed before it can be submitted to INDOT for review.

Report Signature		
ERC Signature/Approval	MPO Signature	INDOT - Review
<input type="checkbox"/> I have accurately completed this report to the best of my ability.	Signed Date	Signed Date
Signed Date	Name	Name
Name	<a href="#">Click here to view MPO comments</a>	

If the project is in a MPO Planning Area, the check box will not be available until the MPO marks the Report reviewed and the LQR Status changes to MPO Signed. If the MPO made comments, click on the blue "Click here to view MPO comments" link to view MPO comments. The comments will open in a new window.

If the project is in a MPO Planning Area, after the MPO reviews the Report the ERC must submit it to INDOT. The ERC will receive an email when the MPO review is complete. When the status is "MPO Signed," the Report will have buttons at the top to **Submit to INDOT**, **Print** and **Close**. Click **Submit to INDOT** to submit the Report to INDOT for review.



# Review

## INDOT - LOCAL PUBLIC AGENCY QUARTERLY REPORTING FORM

[Submit to INDOT](#)[Print](#)[Close](#)

\* The color background fields are mandatory

### SECTION A: GENERAL PROJECT INFORMATION

Des #	1297898	Contract #	B - 36109	Local Public Agency	Scott County
Quarter/Year	1/2013	LGR Status	MPO Signed	Project Description	Bridge inspections in Scott County
INDOT Project Manager	Richardson, Carolyn	District	Seymour	Letting Status	Not Complete
INDOT Program Manager	Ault, Debra				

### Consultant Information

Consultant Name  
Consultant Firm  
Consultant Email  
Consultant Phone #  
Consultant Certification Date

### ERC Information

ERC Name Carr, Taylor  
ERC Firm Scott County  
ERC Email taylorcar@555.com  
ERC Phone # (317) 555-5555  
ERC Certification Date 09/11/2013

[Click here to view latest certificate](#)

### MPO Information

Is Project in a MPO Planning Area

MPO Firm Name

[Click here if you do not find MPO firm or user.](#)

Area Plan Commission of Tippecanoe County

MPO Contact Name

Todd, Susan

MPO Email

stodd@in.gov



# Review

Print		Close			
* This color background fields are mandatory					
<b>SECTION A: GENERAL PROJECT INFORMATION</b>					
Des #	1297898	Contract #	B - 36109	Local Public Agency	Scott County
Quarter/Year	1/2013	LQR Status	Submitted to MPO	Project Description	Bridge inspections in Scott County
INDOT Project Manager	Richardson, Carolyn	District	Seymour	Letting Status	Not Complete
INDOT Program Manager	Ault, Debra				
<b>Consultant Information</b>			<b>ERC Information</b>		
Consultant Name		ERC Name	Carr, Taylor		
Consultant Firm		ERC Firm	Scott County		
Consultant Email		ERC Email	taylorcarr@555.com		
Consultant Phone #		ERC Phone #	(317) 555-5555		
Consultant Certification Date	<input type="text"/>	ERC Certification Date	09/11/2013		
<a href="#">Click here to view latest certificate</a>					
<b>MPO Information</b>					
<a href="#">Click here if you do not find MPO firm or user.</a>					
Is Project in a MPO Planning Area	<input type="text" value="Yes"/>	MPO Firm Name	Area Plan Commission of Tippecanoe County		
MPO Contact Name	<input type="text" value="Todd, Susan"/>	MPO Email	stodd@in.gov		
<b>Section B: General Project Questions</b>		<b>Section C: Awarded Federal Funding &amp; Project Costs</b>		<b>Section D: Project Schedule</b>	
<b>Section E: Permits</b>		<b>Section F: Post Letting</b>		<b>Section G: Comments</b>	
<b>Documents</b>					
<b>SECTION B: GENERAL PROJECT QUESTIONS</b>					
Do you still want to continue this project?	<input type="text" value="Yes"/>				
Are credits being used?	<input type="text" value="No"/>				
Explain type of credit	<input type="text"/>				
# of R/W Parcels	<input type="text"/>				
# of R/W Parcels Acquired	<input type="text"/>				
Has your RFP process been approved for Preliminary Engineering?	<input type="text" value="No"/>				



# Questions?



# How to Assess Project Timelines and Funds Effectively

Jaclyn Schmitt & Greg Smith  
Local Project Engineers, INDOT

March 12, 2014



# When to Assess Project Schedule

- **Proposing project/requesting funds**
  - Need to have a good understanding of project scope and schedule drivers to submit a project application for federal funding.
- **Red flag survey**
  - Can identify conflicts that may be schedule drivers
- **Early coordination meetings**
  - Early opportunity to discuss schedule drivers
  - Discussions at this meeting help set the schedule.

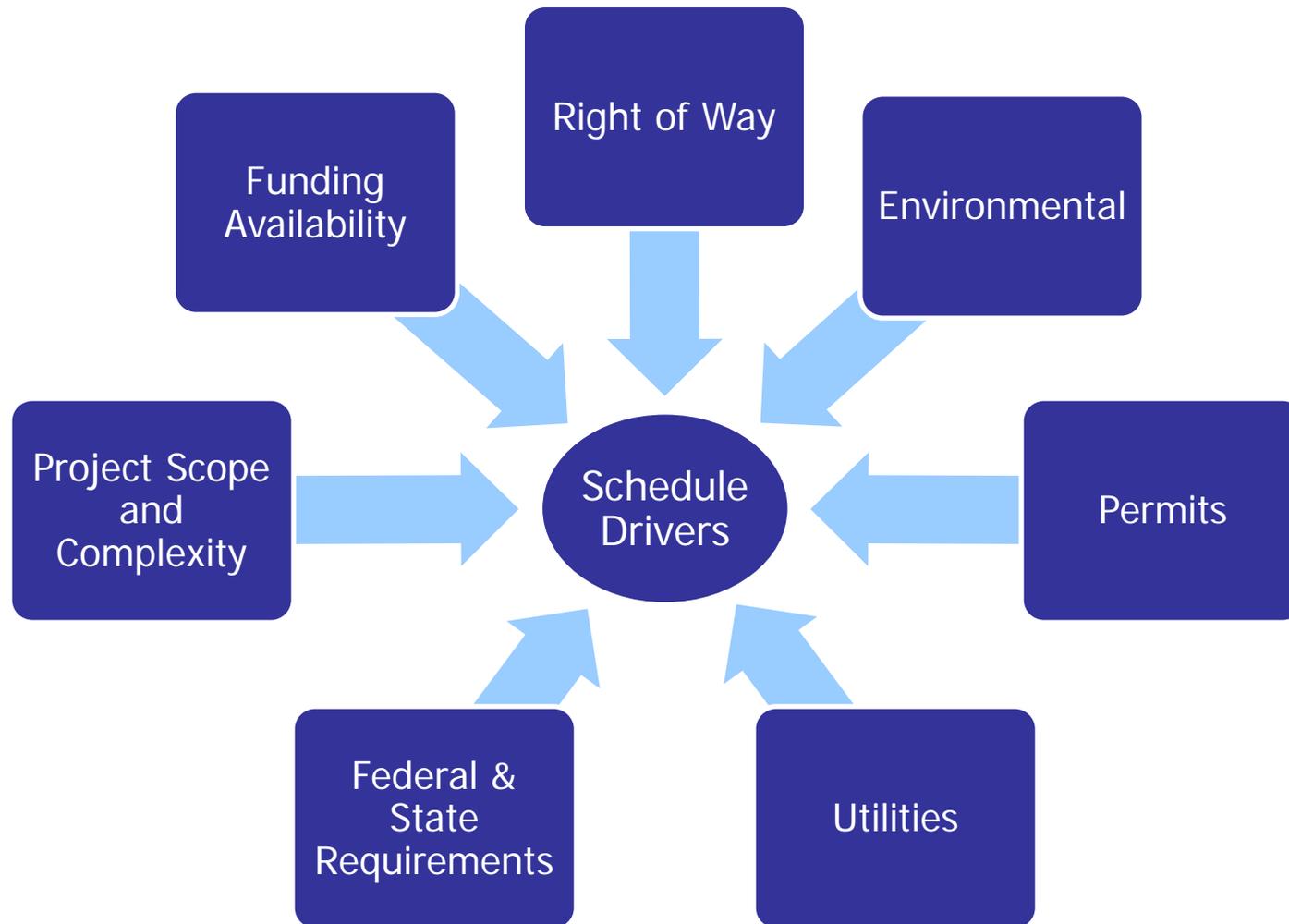


# When to Assess Project Schedule

- **Quarterly report meetings**
  - Required for all federal-aid projects.
  - Opportunity to discuss project schedule and funding with major project parties – LPA ERC, Consultant Designer, INDOT Project Manager, etc.



# Schedule Drivers



# Schedule Drivers

- **Right-of-way (ROW)**
  - Early ROW research helps verify parcel ownership.
  - Amount of ROW affects time to complete certification process.
  - Condemnation
    - Time to complete dependant on local courts
  - Recommend planning about 1 year for ROW in early schedule development.



# Schedule Drivers

- **Environmental Process**
  - CE Level
    - Programmatic Agreement
    - CE 1 – 4: 2-12 months
    - EA and EIS: 12-36 months
  - Section 106 for historic features
    - Often a “surprise” item that is not identified in early scoping efforts
      - Coordination can add 6-12 months of development schedule.



# Schedule Drivers

## ■ Permits

- Various types of permits
  - Each permit has its own review time.
  - Coordination with various agencies
- Need to make sure these are requested in a timely manner

## ■ Utilities

- Relocations require more coordination and work plans.
- Coordination should start early – around 30%-40% plan development.



# Schedule Resources

## ■ INDOT-LPA contract

Version 5-7-2013

**INDIANA DEPARTMENT OF TRANSPORTATION - LOCAL PUBLIC AGENCY  
PROJECT COORDINATION CONTRACT**

**SUPPLEMENT NUMBER 1**  
EDS No. [REDACTED]  
CFDA #: 20.205

This Supplemental Contract, is made and entered into effective as of the date of the Indiana Attorney General signature affixed to this Supplemental Contract, by and between the Indiana Department of Transportation, (hereinafter referred to as "INDOT"), and the City of [REDACTED] (hereinafter referred to as "LPA").

**WITNESSETH**

WHEREAS, INDOT and the LPA did, on February 21, 2013, enter into a Contract, providing for Services required in connection with INDOT Designation Number [REDACTED] for [REDACTED]

WHEREAS, it has been determined by INDOT that a supplement of the previously executed INDOT/LPA Contract for Services is necessary due to a change in the amount of Federal aid allocated to the Project, and

NOW, THEREFORE, in consideration of the mutual covenants and promises herein contained, the LPA and INDOT agree as follows:

The "Recitals" above are hereby made an integral part of and specifically incorporated into this Contract Supplement Number 1.

1. Section V – TERM AND SCHEDULE of the original Contract is amended to read as follows:

**SECTION V TERM AND SCHEDULE**

A. If the LPA has the plans, special provisions, and cost estimate (list of pay items, quantities, and unit prices) for the Project ready such that federal funds can be obligated (INDOT obligates the funds about 7 weeks before the date bids are opened for the construction contract) between July 1, 2014 and March 31, 2015, INDOT will make the federal funds shown in section I.A. and/or I.B. of Attachment D available for the Project, provided the Project is eligible and provided the LPA has paid their portion of the Project within three weeks of receiving the invoice.

B. In the event that federal funds for the Project are not obligated during the period listed in section V.A., the federal funds allocated to the Project will lapse.

Page 1 of 3



# Schedule Resources

## ■ LPA guidance document

- [http://www.in.gov/indot/files/LPA\\_GuidanceDocument\\_2013.pdf](http://www.in.gov/indot/files/LPA_GuidanceDocument_2013.pdf)

### INDIANA DEPARTMENT OF TRANSPORTATION

#### LOCAL PUBLIC AGENCY PROJECT DEVELOPMENT PROCESS GUIDANCE DOCUMENT FOR LOCAL FEDERAL-AID PROJECTS



Last Revision: August, 2013

The class of document required is based on the severity of environmental impacts associated with the proposed project. The class of document determines the level of environmental study required for a particular project, the level of stakeholder involvement, and the level of detail required in field studies.

Because these factors have great impact on the project development timeline it is important to identify the class of report required as early as possible.

All transportation projects with a federal component must have some type of environmental document.

The classes of NEPA environmental documents are:

#### 8-3.01 Categorical Exclusion (CE)

A CE is for projects that do not have a significant effect on the environment either individually or cumulatively.

Categorical Exclusions have four distinct levels.

LEVEL OF CE	AVERAGE COMPLETION TIME	REVIEWED BY
CE Level 1	6 to 8 weeks	District ESM only
CE Level 2	4 to 6 months	District ESM only
CE Level 3	5 to 8 months	District ESM and ES Division
CE Level 4	6 to 12 months	District ESM, ES Division and FHWA

See the "Indiana Categorical Exclusion Manual" for complete descriptions of each Level.

#### 8-3.02 Environmental Assessment (EA)

An EA is for projects where the environmental impacts are not clearly established.

All EA projects are reviewed by the ES Division and FHWA.

If the environmental analysis and review process determines a project has no significant impacts on the quality of the environment an **EA/FONSI** will be issued by the FHWA.

If the environmental analysis and review process does not determine an **EA/FONSI** is appropriate, then an Environmental Impact Statement (EIS) must be prepared.

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### 11-3.01 STEPS FOR LAND ACQUISITION

The following is a guideline that breaks down estimated duration for each step in the land acquisition process. This guideline should be applied to projects of 20 parcels or less. Larger projects will require more time to complete each step.

#### Initial Property Research, Owner Identification

Duration: Approximately 10 days

This consists of collecting the no less than 20 years and last deed of record, whichever is longer, for all parcels of property adjacent to the project. This should be performed in conjunction with, and included in the Topographic Survey for the project.

#### Abstracting and Property Line Determination

Duration: Approximately 30 days

Early in preliminary design, after the initial alignments and typical cross-sections are determined, parcels that will be affected by the project will be known. Abstracts of title/title reports can then be compiled for those affected parcels.

#### R/W Engineering

Duration: Approximately 45 days

Can commence after the Preliminary Field Check meeting and all issues addressed from the PFC and specific right-of-way lines are determined.

Preliminary R/W Plans submitted to the District Real Estate Manager.

#### Scope of Work and APA

Duration: Approximately 30 days

Establishes the type of appraisal valuation form (waiver, value finding, short form appraisal etc.) to be completed and establishes the cost of the valuation services. R/W engineering must be completed for this activity to commence.

#### Establishing Market Value, commonly referred to as Appraising

Duration: Approximately 120 days

This step includes appraising and review appraising and can be completed after R/W engineering and APA is completed for each parcel.

Further, unless land acquisition is being pursued "at risk", there can be no direct owner contact take place prior to the approval of the NEPA document.

The approval of the NEPA document must be obtained in order for Land Acquisition costs to be authorized in FMS. No Land Acquisition costs, including appraising services are eligible for federal reimbursement or local match without FMS authorization.

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# Schedule Resources

- **Project examples**

- Work with your peers to better learn about their project development experiences.

- **INDOT LPA staff**

- Work with INDOT staff to understand processes and requirements.
- Contact LPA District Program Directors and Project Managers.

We're here to help!



# Assessing Funding

## ■ Funding factors

### ■ Available federal funds

- Dependant on funds appropriated in highway bill
- Dependant on LPA program allowances and planning

### ■ Available local funds

- Can you afford local match?
- When will you be expected to pay your portion?
  - Ex: Preliminary Engineering costs are invoiced monthly once design work begins.

### ■ Following federal and state procedures



# Assessing Funding

## ■ Project example

### ■ Project to let in FY 2017

#### ■ Project awarded funding by INDOT in Jan. 2014

- FY 2015 – Preliminary Engineering costs will begin.
- FY 2015/2016 – Real Estate costs may begin.
- FY 2016/2017 – Utility Costs may begin.
- FY 2017 – Local match will be due for Construction.
- FY 2017 – Inspection costs will begin.



# Key Cost Drivers

- **Design engineering**
  - Environmental documents
    - Level of CE
    - Sec 106
- **Right-of-way**
  - Engineering
  - Real estate services
  - Purchase costs vs. donations



# Key Cost Drivers

- **Utilities**

- Relocation of reimbursable utilities

- **Drainage**

- **Construction**

- Construction estimate may vary throughout project development.
- Greatest project cost

- **Construction inspection**



# Final Thoughts

Projects need to meet schedule and letting dates.

Project owners need to work hard to define scope and schedule early in project development.

Schedule and  
Cost Control

Project owners should understand financial and schedule commitments of a federal-aid project.

State and Federal processes must be followed.



# Questions?



# Request for Proposals

Susie Kemp  
Local Program Director, INDOT

March 12, 2014



# Goals

- **The goals of this training today are to help the LPA successfully submit an RFP that specifically fits each phase of their project and to help ensure that the phase is eligible for federal funds reimbursement.**



# Request for Proposals

- **If consultant services are to be funded with federal-aid the LPA must:**
  - Create and advertise a Request for Proposals (RFP) on INDOT's website.
  - Evaluate and rank consulting firms using the score sheet that was advertised in the RFP.



# Request for Proposals

- Failure to follow this procedure may cause a loss of federal funding.

<http://www.in.gov/indot/>



# Questions?



# Consultant Contract Review

Mike Wink  
Local Project Engineer, Crawfordsville, INDOT

March 12, 2014



# Goals

- Ability to understand the various types of contracts and their elements.
- Empower the LPA to successfully negotiate a contract.
  - \$\$\$
  - Schedule
  - Appropriate for the project



# Agenda

- **Contracting sequence**
- **Contract compensation methods**
- **Contract review checklist**
- **Consultant prequalification letter**
- **Profit calculation worksheet**
- **Compensation/escalation value**



# Contracting Sequence

- **LPA contracting sequence**
  - Consultant submits draft scope of work, itemized fee proposal and prequalification letter to LPA.
  - LPA ERC reviews scope and fee proposal.
  - Negotiation of scope, schedule, compensation method and fees
  - Draft contract is prepared and submitted to INDOT along with itemized fee proposal and prequalification letter.



# Contract Compensation Methods

- **Lump sum**
- **Negotiated labor rate**
- **Cost Plus Fixed Fee (CPFF)**
- **Unit price**
- **Cost plus % of cost is prohibited by Indiana Code and Federal Regulations**



# Contract Compensation Methods

## ■ Lump Sum

- Good method to use when the scope of work is well-defined and when there is confidence in level of effort required. Not acceptable for construction inspection.



# Contract Compensation Methods

- **Negotiated Labor Rate**
  - Acceptable method to use when the scope is not well-defined, or when the consultant is not in control of the level of effort. Typically used for construction inspection.



# Contract Compensation Methods

## ■ Cost Plus Fixed Fee

- Acceptable method to use when the scope is well-defined but there is a lower degree of confidence in the level of effort required. Consultants must have full CPA Audit or Cognizant Audit prequalification financial approval to use this method.



# Contract Compensation Methods

## ■ Unit Price

- Good method for use with repetitive well-defined units of work. Typically used for geotechnical and right-of-way (ROW) services. INDOT approved unit price rates for ROW services are available on the INDOT website.



# Contract Compensation Methods

- **Advice about use of multiple methods**
  - Lump sum and hourly compensation elements should not be mixed in a contract unless the methods would be applied during different defined time periods or there is no overlap in the staffing who will be performing the work elements.



# Contract Compensation Methods

## DOCUMENT #2:

See handout:  
"Lump Sum:  
Appendix D"



*LUMP SUM*

APPENDIX "D"

Compensation:

A. Amount of Payment

1. The CONSULTANT shall receive as payment for the work performed under this Contract the total amount not to exceed \$338,700.00, (Sections A.1, A.2, A.3, A.4, A.5, A.6, A.7, A.8, A.9 and A.10 - \$318,700.00, Section A.11 and A.12 - \$20,000.00), unless a supplement is executed by the parties which increases the maximum amount payable.
2. The CONSULTANT shall be paid for the work performed under this Contract on a lump sum basis in accordance with the following schedule:

a. Survey	\$ 15,800.00
b. Categorical Exclusion	\$ 32,600.00
c. Cemetery Development Plan	\$ 4,800.00
d. Public Involvement	\$ 12,400.00
e. Bridge Design and Plans	\$ 96,200.00

The CONSULTANT shall not be paid for any service performed by LPA or not required to develop this project.
3. Amount of Payment (Geotechnical Services)
  - A. The CONSULTANT shall receive as payment for the work performed under this contract related to Geotechnical Services based on the specific cost per unit multiplied by the actual units of work performed.
    1. Geotechnical boring and sampling, as set out herein, will be paid for in accordance with Attachment D-1.
    2. The amount of \$25,527.50 is an estimate of the cost which the CONSULTANT will incur in fulfilling the requirements of Item 6 of Appendix "A". The final amount will be adjusted according to the actual units of work performed; however, the final amount shall not exceed \$28,100.00 unless and until a supplemental agreement is executed.

Appendix "D"

# Contract Compensation Methods

## DOCUMENT #3:

See handout:  
"Negotiated Labor  
Rate: Appendix D"



### NEGOTIATED LABOR RATE

Version 11-29-11

#### APPENDIX "D"

##### Compensation:

##### A. Amount of Payment

1. The CONSULTANT shall receive as payment for the work performed under this Contract the total amount not to exceed \$208,400, unless a supplement is executed by the parties which increases the maximum amount payable.
2. The CONSULTANT will be paid for the work described in Appendix "A" in accordance with the following negotiated hourly billing rates per classification.

Labor Classification	Allowable Hourly Rates Per Year		
	2012	2013	2014
Coordinator			
Regular rate	\$147.89	\$153.81	\$159.96
Overtime rate	\$171.81	\$178.68	\$185.83
Project Engineer II			
Regular rate	\$121.11	\$125.95	\$130.99
Overtime rate	\$140.70	\$146.32	\$152.18
Project Engineer			
Regular rate	\$99.03	\$102.99	\$107.11
Overtime rate	\$115.05	\$119.65	\$124.43
Project Supervisor II			
Regular rate	\$85.99	\$89.43	\$93.01
Overtime rate	\$99.90	\$103.89	\$108.05
Project Supervisor I			
Regular rate	\$75.13	\$78.14	\$81.27
Overtime rate	\$87.28	\$90.77	\$94.40
Inspector			
Regular rate	\$66.20	\$68.85	\$71.60
Overtime rate	\$76.91	\$79.98	\$83.18

The classification rates are based on the calendar year for the actual hours of work performed by essential personnel exclusively working on this Contract.

3. For those services performed by the CONSULTANT, the CONSULTANT will be reimbursed the direct non-salary costs (the actual out-of-pocket expenses of the CONSULTANT directly attributable to this Contract, such as fares, subsistence, mileage, long distance calls, equipment rentals, reproductions, etc.) as approved by INDOT. The direct non-salary costs for travel reimbursement shall not exceed the limitations on travel expenses set out in the current State of Indiana policy on travel reimbursement.



# Contract Compensation Methods

## DOCUMENT #4:

See handout:  
"Cost + Fixed Fee:  
Appendix D"



COST + FIXED FEE

Version 8-19-09

### APPENDIX "D"

#### COMPENSATION

##### A. Amount of Payment

The CONSULTANT will receive as payment for the work performed under this Agreement, as follows, unless a modification of the Agreement is approved in writing by the COUNTY.

1. For those services performed by the CONSULTANT, the CONSULTANT will be paid on the basis of actual hours of work performed by essential personnel exclusively on this Agreement at the direct salary and wages of each employee, PLUS an overhead rate thereof of ~~102.01~~ percent, 1.59 percent Capitol Cost of Money PLUS a fixed fee PLUS direct non-salary costs (the actual costs of such out-of-pocket expenses directly attributable to this Agreement such as fares, subsistence, mileage, long distance calls, equipment rentals, reproductions, etc.) as approved by the COUNTY.
2. For those services performed by other than the CONSULTANT, the CONSULTANT will be reimbursed for the actual invoice for the services performed by other than the CONSULTANT, provided that each such invoice shall be subject to approval as reasonable by the COUNTY prior to any reimbursement therefore.
3. The total amount of the fixed fee is \$11,723
3. The total compensation to the CONSULTANT shall not exceed \$94,792 unless approved in writing by the COUNTY.

##### B. Method of Payment

The CONSULTANT shall submit invoices to the LOCAL PUBLIC AGENCY, not more often than once per month during progress of the work, for partial payment on account for the work completed to date. Such invoices shall represent the value, to the LPA, of the partially completed work based on the proportion which its percentage bears to the total cost of the fully completed work.

Upon approval by the Local Public Agency after submittal of the completed work, in each phase, a sum of money equal to the fees set forth, less the total of the amounts of the partial payments previously paid to the CONSULTANT shall be due and payable to the CONSULTANT.



# Contract Compensation Methods

## DOCUMENT #5:

See handout:  
"Unit Price"



### UNIT PRICE

4. Compensate the CONSULTANT for the Services under Appendix "A", Item 7 (Right-of-Way Engineering and Services), based on the specific cost per unit multiplied by the actual units of work performed in accordance with the following schedule. The schedule shall be renegotiated should the completion of the work extend beyond 24 months from the date of the execution of the Agreement.

Item	Cost
Abstracting	
-20 year Residential Title Search (8 Reports)	\$ 295.00 per report
-20 year Commercial Title Search (3 Reports)	\$ 330.00 per report
-20 year Municipal Title Search (1 Report)	\$ 370.00 per report
-Temporary Report	\$ 145.00 per report
-Title Updates (12 Reports)	\$ 145.00 per report
R/W Plans (12 Parcels)	\$ 450.00 per parcel
Legal Descriptions (24 Descriptions)	\$ 700.00 per description
Parcel Plats (12 Plats)	\$ 700.00 per parcel
Transfer Documents (24 Documents)	\$ 100.00 per document
R/W Staking (12 Parcels)	\$ 450.00 per parcel
APA's (12 Parcels)	\$ 200.00 per parcel
Appraisals	
- Waiver Valuations (7 Parcels)	\$ 500.00 per parcel
- Value Findings (2 Parcels)	\$1,675.00 per parcel
- Short Form (1 Parcel)	\$2,300.00 per parcel
- Long-Form (2 Parcels)	\$3,125.00 per parcel
Review Appraisals	
- Waiver Valuations (7 Parcels)	\$ 305.00 per parcel
- Value Findings (2 Parcels)	\$ 830.00 per parcel
- Short Form (1 Parcel)	\$1,115.00 per parcel
- Long-Form (2 Parcels)	\$1,485.00 per parcel
Negotiations (12 Parcels)	\$1,375.00 per parcel
R/W Management (12 Parcels)	\$ 800.00 per parcel
Pre-trial Testimony/Court Appearances	\$ 1,400.00 per day

Page 2 of 5 Pages

Appendix "D"



# Contract Review Checklist

- Go to:  
<http://www.in.gov/indot/index.htm>
- Click: Doing Business with INDOT
- Click: LPA & Grants Administration
- Click: LPA Consultant Selection
- Under: Forms
- Select: Consultant Contract Review Checklist



# Contract Review Checklist

## DOCUMENT #6:

See handout:  
"LPA-Consultant  
Contract Review  
Checklist"



 **INDIANA DEPARTMENT OF TRANSPORTATION**  
*Driving Indiana's Economic Growth*

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**LPA – Consultant Contract Review Checklist** Vers. 10/18/13jc

Local Public Agency: \_\_\_\_\_  
Project Name: \_\_\_\_\_ Des No.: \_\_\_\_\_  
Consultant Name: \_\_\_\_\_

- Review the contract document.
  - Verify that draft contract is consistent with the latest INDOT boilerplate.
  - Verify that the contract description, Des number and scope of work is within the parameters described in the RFP advertisement and in SPMS.
  - Verify that the maximum compensation amount shown on page one matches the amount shown in Appendix D.
  - Verify that Section 22 of the draft contract includes proper addresses for the LPA and for the consultant.
  - Verify that the signature page contains the names and titles for either the Board of County Commissioners, City Board of Public Works and Safety or the Town Board, as appropriate
- Verify Appendix "C" of construction inspection contracts indicates the Final Construction Record is to be submitted within 45 days of the contractors last day of work.
- Verify the Appendix "D" compensation method is appropriate for the scope of work.
  - Construction inspection services should be paid for on a negotiated hourly billing rate basis.
  - Other types of services may be paid for on a lump sum basis, cost plus fixed fee basis, unit price basis or negotiated billing rate basis.
  - Cost plus percent of cost compensation is not allowed on any consultant contracts.
  - See the INDOT Professional Services Contract Administration Manual for more information on the compensation methods. The manual is available from the INDOT Consulting Services Section intranet page [http://indotweb/content/CA/NewSite/ca\\_contracts.html](http://indotweb/content/CA/NewSite/ca_contracts.html).
- Verify the consultant has provided a copy of the lead consultant's prequalification letter showing their approved overhead rate.
- Verify the consultant has provided a fee proposal and the fee proposal includes the following:
  - Itemization of task elements with estimated hours by employee classification.
  - Cost calculations show the overhead rate and profit rate has been applied.

Page 1 of 2

- Analyze the Consultant Fee Proposal.
  - Confirm the task elements are relevant to the scope of work.
  - Confirm the profit rate does not exceed 15%. INDOT's profit rate guidelines are available at <http://www.in.gov/indot/2730.htm>. LPA's are not required to follow INDOT's practice; however, use of rates above 15% is not acceptable.
  - Confirm the proposal does not include unreasonable escalation. INDOT uses the Bureau of Labor and Statistics Employment Cost Index (ECI) to determine appropriate escalation values. INDOT's guidelines are available at <http://www.in.gov/indot/2730.htm>. LPA's are not required to follow INDOT's practice, however, use of escalation rates substantially higher than the ECI may be cause for question.
  - Confirm the overhead rate used in the fee proposal is consistent with or lower than the rate shown in the consultant's prequalification letter.
  - Confirm, to the extent possible, major task element and overall cost totals are not excessive.
- If the contract is for Construction Inspection, is an Engineer's Assignment letter attached?
  - Not Applicable
  - Engineer's Assignment letter is attached.

ERC signature \_\_\_\_\_ Date \_\_\_\_\_



# Consultant Prequalification Letter

## DOCUMENT #7:

See handout:  
 "Consultant  
 Prequalification  
 Letter"



DOCUMENT: #7



**INDIANA DEPARTMENT OF TRANSPORTATION**  
*Driving Indiana's Economic Growth*

100 North Senate Avenue  
 Room 1100  
 Indianapolis, Indiana 46204

PHONE: (317) 232-0000  
 FAX: (317) 232-0000

Michael R. Pence, Governor  
 Michael B. Cline, Commissioner

Date

Consultant X  
 123 Superhero Lane  
 Gotham City, Indiana 12345

Re: Consultant Prequalification

Dear Consultant X:

The Consultant Prequalification Modification Package submitted on XXXXXXXXXXXX has been reviewed by this office. Your financial package has been approved by our External Audit section on XXXXXXXXXXXX. This information has been updated in your prequalification package. Your firm has been prequalified to provide consulting services to the Indiana Department of Transportation (INDOT) in the work groups listed on the attached Worktype certification, effective XXXXXXXXXXXX. This approval supersedes any previous approval for prequalification, but is subject to revision or modification in accordance with the most current edition of the INDOT Consultant Prequalification Manual. This approval will expire on XXXXXXXXXXXX.

Indirect cost and facilities capital cost of money rates of xxx.xx% and x.xx% respectively are approved on a PROVISIONAL basis for the purpose of fee proposal preparation. Your firm's annual contracting capacity will be \$ XXXXXXXXXXXX. The rates and selection capacity are based on your submitted financial information for the fiscal period that ended XXXXXXXXXXXX. The firm's most recently approved provisional indirect cost rate and current audited or self-certified paid hourly labor rates are to be used as a basis for fee justifications and negotiations. However, the Office of Cost Accounting and Audits will determine the allowable final project costs in accord with cost principles contained in 48 CFR Part 31 of the Federal Acquisition Regulations, the allowable indirect cost rates, the audited or self-certified paid hourly labor rates for the periods in which the cost were incurred and the terms of the contract.

You are required to submit a modification package in the event of any changes in firm ownership, firm address, form of business entity under which the firm operates, manpower significant enough to affect the firm's qualification or capacity (or operations of laboratories, facilities, etc.), financial status (such as filing for bankruptcy), or any other change which affects an element INDOT considers when prequalifying a consultant. The Consultant must notify INDOT within 15 days of any change in the information provided in its Prequalification Package and to submit a modification package in a timely manner. Failure to submit a modification package will result in the loss of Consultants Prequalification Status.

Respectfully,  
 XXXXXXXXXXXXXXXXXXXX XXXXX  
 Prequalification Engineer

XXXXXXXX

cc: file

[www.in.gov/dot/](http://www.in.gov/dot/)  
 An Equal Opportunity Employer

**Prequalified Work Type Certification**  
 Issued By: Indiana Department of Transportation

Consultant X  
 Effective: XXXXXXXXXXXX  
 Date Printed: XXXXXXXXXXXX  
 Expires on: XXXXXXXX

Valid Work Groups

WorkType Code	WorkType Description	WorkType Code	WorkType Description
1.1	Systems Planning	9.1	Level 1 Bridge Design
2.2	Traffic Forecasting	9.2	Level 2 Bridge Design
3.1	Non-Complex Traffic Capacity and Operations Analysis	10.1	Traffic Signal Design
3.2	Complex Traffic Capacity and Operations Analysis	10.2	Traffic Signal System Design
4.1	Traffic Safety Analysis	10.3	Complex Roadway Sign Design
5.1	Environmental Document Preparation - EA/EIS	10.4	Lighting Design
5.11	ESA Screening, Phase I and Phase II, Remedial Design	11.1	Right of Way Plan Development
5.2	Environmental Document Preparation - CE	12.1	Project Management for Acquisition Services
5.3	Environmental Document Preparation - Section 4(f)	12.3	Value Analysis
5.4	Ecological Surveys	12.4	Appraisal
5.5	Wetland Mitigation	12.6	Negotiation
5.6	Waterway Permits	12.7	Closing
5.7	Air Quality Analysis	13.1	Construction Inspection
5.8	Noise Analysis and Abatement Design	14.1	Regular Bridge Inspection
6.1	Topographic Survey Data Collection	14.2	Complex Bridge Design
7.1	Geotechnical Engineering Services	14.4	Small Structure and Miscellaneous Structure Inspections
8.1	Complex Roadway Design	14.5	Bridge Load Capacity Rating & Other Bridge Analysis/Testing
8.2	Complex Roadway Design		



# Profit Calculation Worksheet

## DOCUMENT #8:

See handout:  
**“Consultant  
 Contracts Profit  
 Calculation  
 Worksheet”**



Exhibit 6			
Consultant Contracts Profit Calculation Worksheet			
Additives	% Add On	Select	Base = 7.00%
<b>Complexity</b>			
Low	0.0		
Low/Mid	0.5		
Mid	1.0		
Mid/High	1.5		
High	2.0		0.00%
<b>Cost</b>			
>\$10,000,000	0.0		
>\$2,000,000 & <=\$10,000,000	0.5		
>\$500,000 & <=\$2,000,000	1.0		
<=\$500,000	1.5		0.00%
<b>Duration</b>			
<3 years	0.0		
>=3 years & <5 years	0.3		
>=5 years	0.7		0.00%
<b>Overhead</b>			
>190%	0.0		
>180% & <=190%	0.7		
>160% & <=180%	1.4		
>120% & <=160%	2.1		
<=120%	2.8		0.00%
		Calculated Total	7.00%
Minimum Possible Rate 7.0%			
Maximum Possible Rate 14.0%			

Exhibit 6 - Complexity Levels	
<b>Low:</b>	<ul style="list-style-type: none"> <li>On-call contracts that do not include preparation of construction plans.</li> <li>Traffic Data Collection and Forecasting</li> <li>Environmental Document Preparation –CE/Section 4(f)</li> <li>Environmental Services 5.4 to 5.12</li> <li>Topographic Survey Data Collection</li> <li>Right of Way Plan Development</li> <li>Training</li> <li>Construction Inspection</li> <li>Shop Plan Review</li> <li>Non-bridge inspection services</li> <li>Bridge Load Capacity Rating and other Bridge Analysis/Testing</li> <li>Operational staffing (such as for TMC dispatch)</li> <li>Assistance Program Services</li> </ul>
<b>Low/Mid:</b>	<ul style="list-style-type: none"> <li>On-call contracts that include preparation of construction plans.</li> <li>Systems Planning</li> <li>Non-Complex Traffic Capacity and Operations Analysis</li> <li>Non-Complex Roadway Design</li> <li>Level 1 Bridge (inspection and design)</li> <li>Traffic Design 10.1 to 10.6</li> <li>Subsurface Utility Engineering</li> </ul>
<b>Mid:</b>	<ul style="list-style-type: none"> <li>Environmental Document Preparation -EA</li> <li>Traffic Safety Analysis</li> <li>Studies requiring special expertise.</li> </ul>
<b>Mid/High:</b>	<ul style="list-style-type: none"> <li>Level 2 bridge (inspection and design)</li> <li>Complex Traffic Capacity and Operations Analysis</li> <li>Complex Roadway Design</li> </ul>
<b>High:</b>	<ul style="list-style-type: none"> <li>Environmental Document Preparation -EIS</li> <li>Multilevel interchange design</li> <li>Level 3 bridge (inspection and design)</li> </ul>

# Compensation/Escalation Values

- **Escalation values for INDOT consultant contracts:**
  - Go to: <http://www.in.gov/indot/index.htm>
  - Click on: Doing Business with INDOT
  - Highlight: Consultants/Pre-construction
  - Click on: Proposals & Contracts
  - Under: Contract Compensation Information
  - Select: Employment Cost Index (ECI) Rates



# Compensation/Escalation Values

## DOCUMENT #9:

See handout:  
“Escalation Values  
for INDOT  
Consultant  
Contracts”



### Escalation Values for INDOT Consultant Contracts

Some INDOT hourly labor rate contracts allow for annual escalation. Individual contracts will have to be consulted to determine if an escalation adjustment is specified. The applicable annual escalation rate will be either an Employment Cost Index rate (ECI\*) or an alternate rate determined by INDOT. The applicable escalation adjustments for these contracts are as follows:

Applicable 7/1/10: CY 2009 ECI rate **0.4%**

Applicable 7/1/11: CY 2010 ECI rate **2.4%**, Alternate INDOT rate **0%**

Applicable 7/1/12: CY 2011 ECI rate **2.0%**, Alternate INDOT rate **2.0%**

Applicable 7/1/13: CY 2011 ECI rate **1.8%**, Alternate INDOT rate **1.8%**

\*The ECI rate referred to above is the Bureau of Labor and Statistics Employment Cost Index, Wages and Salaries (not seasonally adjusted), for private industry workers, professional, scientific and technical services.

# Compensation/Escalation Values

- **Real estate fee schedules:**
  - Go to: <http://www.in.gov/indot/index.htm>
  - Click on: Doing Business with INDOT
  - Highlight: Consultants/Pre-construction
  - Click on: Proposals & Contracts
  - Under Contract Compensation Information
  - Select: Current Real Estate Fee Schedules



# Compensation/Escalation Values

## DOCUMENT #10:

See handout:  
"Increase in State  
Mileage  
Reimbursement  
Rate"



 **STATE OF INDIANA** **DEPARTMENT OF ADMINISTRATION**  
Office of the Commissioner

Mitchell E. Daniels Jr., Governor

Indiana Government Center South  
402 West Washington Street, Room W479  
Indianapolis, IN 46204  
(317) 232 - 3114

DATE: May 1, 2011

TO: All State Institutions

FROM: Robert D. Wynkoop, Commissioner, IDOA  
Adam M. Horst, State Budget Agency *RWS/1/11*  
*AH 5/1/11*

RE: Increase in State Mileage Reimbursement Rate

Effective May 1, 2011, the milcage reimbursement rate will be increased to \$0.44 for each business mile driven. This rate increase recognizes the sharp increase in fuel cost and is similar to that in July 2008 when gas prices were at similar levels.

If you have any questions, please do not hesitate to call Minnie Hoskins (State Travel Coordinator) at 317-232-4258 or your Budget Analyst at 317-232-5610.



# Common Errors

## DOCUMENT #11

See handout:  
"Match App. D"



Version 6-09-09

**LPA-CONSULTING CONTRACT**

NOW, THEREFORE, in consideration of the following mutual covenants, the parties hereto mutually covenant and agree as follows:

The "Recitals" above are hereby made an integral part and specifically incorporated into this Contract.

**SECTION I SERVICES BY CONSULTANT.** The CONSULTANT will provide the Services and deliverables described in Appendix "A" which is herein attached to and made an integral part of this Contract.

**SECTION II INFORMATION AND SERVICES TO BE FURNISHED BY THE LPA.** The information and services to be furnished by the LPA are set out in Appendix "B" which is herein attached to and made an integral part of this Contract.

**SECTION III TERM.** The term of this Contract shall be from the date of the last signature affixed to this Contract to the completion of the construction contract which is estimated to be 2013. A schedule for completion of the Services and deliverables is set forth in Appendix "C" which is herein attached to and made an integral part of this Contract.

**SECTION IV COMPENSATION.** The LPA shall pay the CONSULTANT for the Services performed under this Contract as set forth in Appendix "D" which is herein attached to and made an integral part of this Contract. The maximum amount payable under this Contract shall not exceed \$338,700.00.

**SECTION V NOTICE TO PROCEED AND SCHEDULE.** The CONSULTANT shall begin the work to be performed under this Contract only upon receipt of the written notice to proceed from the LPA, and shall deliver the work to the LPA in accordance with the schedule contained in Appendix "C" which is herein attached to and made an integral part of this Contract.

MATCH App. D



# Common Errors

## DOCUMENT #12:

See handout:  
"Appendix A"



APPENDIX "A"

Services to be furnished by CONSULTANT:

1. Route Survey
  - 1.1 Perform the fieldwork as required for the route survey.
  - 1.2 Furnish a determination of all existing right-of-way and apparent property lines and to show same on plans.
  - 1.3 Prepare and record the route survey plat.
2. Environmental
  - 2.1 Develop and document a Categorical Exclusion (CE) as falling within the guidelines of the Council on Environmental Quality regulations implementing NEPA (40 CFR 1500-1508) and FHWA regulations (23 CFR 771). Documentation as a CE includes performing services in accordance with Section 106 of the National Historic Preservation Act and Section 4(f) of the Department of Transportation Act.
  - 2.2 The following items shall be considered a change in the scope of work and cause for a supplemental agreement:
    - 2.2.1 Preparation of an Environmental Assessment/Finding Of No Significant Impact (EA/FONSI) or an Environmental Impact Statement (EIS)
    - 2.2.2 Phase I archaeological subsurface reconnaissance
    - 2.2.3 Phase II hazardous materials site investigation
    - 2.2.4 Hazardous materials remediation plan
    - 2.2.5 Wetland mitigation design
    - 2.3.6 Encroachment upon historic sites, publicly owned park and recreation lands, wildlife and waterfront refuges
    - 2.3.7 A finding of an adverse effect in accordance with Section 106 of the National Historic Preservation Act
3. Cemetery Development Plan
  - 3.1 Prepare a cemetery development plan in accordance with IC 14-21-1-26.5 as proposed construction will occur within 100 feet of a known cemetery.

Appendix "A"

# Common Errors

## DOCUMENT #13:

See handout:  
"Appendix B"



### APPENDIX "B"

#### Information and Services to be furnished by LPA:

The LPA shall furnish the CONSULTANT with the following:

1. Assist the CONSULTANT in obtaining property owner information, deeds, plans of adjacent developments, section corner information and any other pertinent information necessary to perform the Services under the Agreement.
2. Criteria for design and details for signs, signals, lighting, highway and structures such as grades, curves, sight distances, clearances, design loading, etc.
3. Specifications and standard drawings applicable to the project
4. Plans of existing structures within the project limits, if available
5. All written views pertinent to the location and environmental studies that are received by the LPA.
6. Traffic assignments
7. Available data from the transportation planning process
8. Utility plans available to the LPA covering utility facilities, the location of signals and underground conduits throughout the affected areas
9. Provide access to enter upon public and private lands as required for the CONSULTANT to perform work under this Contract
10. Existing ambient air quality data available from the State and Local Air Pollution Control Agency
11. All legal services as may be required for the development of the Project.

Appendix "B"



# Common Errors

## DOCUMENT #14:

See handout:  
"Appendix C"



### APPENDIX "C"

#### Schedule:

No work under this Contract shall be performed by the CONSULTANT until the CONSULTANT receives a written notice to proceed from the LPA.

1. The services by the CONSULTANT shall be completed within 730 calendar days after receipt of a notice to proceed, exclusive of review time by other agencies and pending acquisition of proposed right-of-way.
2. The CONSULTANT will keep the tracings until a time four months prior to a scheduled letting.
3. Construction Changes
  - a. Questions, clarifications, or corrections requested by LPA Construction personnel regarding the interpretation of the CONSULTANT's plans shall be addressed by the CONSULTANT within a reasonable period of time from the CONSULTANT's receipt of LPA's request.
  - b. Modifications to the plans during the construction phase due to unforeseen or unusual conditions shall be made within a reasonable period of time following receipt by the CONSULTANT of LPA's notice to proceed.

# Common Errors

## DOCUMENT #15:

See handout:  
"Appendix D"



Version 8-19-09

### APPENDIX "D"

#### Compensation

##### A. Amount of Payment

1. The CONSULTANT will receive as payment for the work performed under this Contract the total amount not to exceed **\$122,714.80**, unless a modification of the Contract is approved in writing by the LOCAL PUBLIC AGENCY and INDOT.
2. The CONSULTANT will be paid for the work described in Appendix "A" in accordance with the following negotiated hourly billing rates per classification.

<u>Labor Classification</u>	<u>Allowable Hourly Rates Per Year</u>			
	<u>2009/2010</u>		<u>2010/2011</u>	
	<u>Regular</u>	<u>Overtime</u>	<u>Regular</u>	<u>Overtime</u>
Project Manager	\$141.61	N/A	\$147.28	N/A
RPR	\$89.26	\$102.60	\$92.85	\$106.72
Inspectors	\$75.58	\$86.87	\$78.58	\$90.32

\*Rates are effective from July 1 through June 30

3. The classification rates are based on the calendar year for the actual hours of work performed by essential personnel exclusively working on this Contract. For those services performed by the CONSULTANT, the CONSULTANT will be reimbursed the direct non-salary costs (the actual costs of such out-of-pocket expenses directly attributable to this Contract such as fares, subsistence, mileage, long distance calls, equipment rentals, reproductions, etc.) as approved by INDOT. The direct non-salary costs for travel reimbursement shall not exceed the limitations on travel expenses set out in the current INDOT policy on travel reimbursement.
4. For those services performed by other than the CONSULTANT, the CONSULTANT will be reimbursed for the actual invoice for the services performed by other than the CONSULTANT, provided that each such invoice shall be subject to approval as reasonable by the LOCAL PUBLIC AGENCY prior to any reimbursement therefore.



# Questions?



# Closing Information

- Sign out sheets: **REQUIRED**
- Evaluation forms
- Feedback, comments, questions:  
**[LPAQuestions@indot.IN.gov](mailto:LPAQuestions@indot.IN.gov)**

