Indiana Department of Transportation
Final Tracings Review
Speakers

- **Chris Wahlman**
  - Capital Program Mgmt Director, INDOT Seymour District

- **Kayti Adams**
  - Local Program Director, INDOT Seymour District

- **Susan Languell**
  - Planner, Office of Estimating, INDOT Contract Administration
Introduction

- Final Tracings Submittal
- Timelines and reference documentation
- Design Memo 18-23 - Recent changes
- What is INDOT looking for in this plan submittal?
- Contract’s perspective
- Common mistakes and best practices
Remember these?
Final Tracings Submittal

- Final plans, specifications, estimates
- Project Documentation
- Final stage of plan development
INDOT’s review process

Review Process:
- Designer submits Final Tracings documentation
- INDOT Project Manager review
- INDOT District Coordinator transitions to Contracts Administration
- Contract Administration builds contract book
### Final Tracings Checklist

- **Project Type & Location:**
- **Contract No.:**
- **Lead Des. No.:**
- **Additional Des. Nos.:**
- **STIP:**
- **RFC Date:**
- **Letting Date:**

Additional Instructions for FT items are available from the Editable Documents webpage

<table>
<thead>
<tr>
<th>ERMS ID (DOT_######)</th>
<th>Document Description</th>
<th>File Type</th>
<th>Remarks (see FT Checklist Additional Instructions)</th>
<th>Description Abbreviation</th>
<th>ERMS Doc. Type</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>All-Project Commitments Report</td>
<td>PDF</td>
<td>Letting Date Critical</td>
<td>Commit</td>
<td>Commitment</td>
</tr>
<tr>
<td></td>
<td>Asbestos Report</td>
<td>PDF</td>
<td>Letting Date Critical</td>
<td>AsbRpt</td>
<td>Asbestos Report</td>
</tr>
<tr>
<td></td>
<td>Bridge Load Rating Memo</td>
<td>PDF</td>
<td>If applicable</td>
<td>LoadRtgMemo</td>
<td>Load Rating</td>
</tr>
<tr>
<td></td>
<td>Contract Preparation Document Summary</td>
<td>PDF</td>
<td>Letting Date Critical</td>
<td>ContPrepDoc</td>
<td>Contract Worksheet</td>
</tr>
</tbody>
</table>
## Timelines

- **INDOT letting preparation schedule**
  - [https://www.in.gov/dot/div/contracts/letting/general/Public%20Letting%20Prep%20Schedule%202019-2029.pdf](https://www.in.gov/dot/div/contracts/letting/general/Public%20Letting%20Prep%20Schedule%202019-2029.pdf)

### INDOT LETTING PREPARATION SCHEDULE 2019-2029
January 7, 2018

All District documents are due to Contracts Administration by the Ready For Contracts Date - including the Ten Week Letter and the Contract Requirements Worksheet.

<table>
<thead>
<tr>
<th>Bid Letting</th>
<th>Stage 3 Submittal</th>
<th>ROW Docs due to District</th>
<th>Final Tracings Submission Due</th>
<th>Ready for Letting Docs to CA</th>
<th>CIB Cert Returned to Contracts Administration</th>
<th>NoticePosted, Documents Released</th>
<th>Final Revisions Due to Contracts Administration (No Later Than 11:00 AM)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wed 1/16/19</td>
<td>Fri 8/24/18</td>
<td>Fri 8/24/18</td>
<td>Mon 10/8/18</td>
<td>Wed 11/7/18</td>
<td>Mon 11/26/18</td>
<td>Wed 12/19/18</td>
<td>Wed 1/9/19</td>
</tr>
<tr>
<td>Wed 2/6/19</td>
<td>Fri 9/14/18</td>
<td>Fri 9/14/18</td>
<td>Mon 10/29/18</td>
<td>Wed 11/28/18</td>
<td>Fri 12/21/18</td>
<td>Wed 1/9/19</td>
<td>Wed 1/30/19</td>
</tr>
<tr>
<td>Wed 3/6/19</td>
<td>Fri 10/12/18</td>
<td>Fri 10/12/18</td>
<td>Mon 11/26/18</td>
<td>Wed 12/26/18</td>
<td>Fri 1/18/19</td>
<td>Wed 2/6/19</td>
<td>Wed 2/27/19</td>
</tr>
</tbody>
</table>
Recent Changes – Design Memo 18-23

- Revisited the need for what documentation is needed at Final Tracings
  - Deleted 6 document types required at FT
    - 10 week letter, Asbestos Cert, Bridge Search data form, Detour Route, QA form, Traffic Control Plan Checklist
  - Modified 3 document types to merge with other documents
    - Response to comments letter – included in Stage3 Markups file
    - Summary of Design Exceptions – included in Level1 checklist file
    - Geotechnical Review of Final Check Prints – included in Design Comps
  - Letting dates removed from certifications
Suggestions for future streamlining ideas

Email cwahlman@indot.in.gov
First things first

- First thing to check on the file is the native file and title, these two have to match!! Then check the document type. If any of these are wrong that file will be REJECTED! The list of naming conventions for the native file and title are located on the Final Tracings Checklist that is attached when the Stage 3 Submittal review is returned from the INDOT Coordinator.

- Please see next slide for screen shot of where to look for this information.

Please note:
The Green boxes is the information that is checked at the review of the Final Tracing Documents
The Gray boxes are for information only and are not a reviewed field.
You will find this page when you click on the “I” under the action tab:

You will check the green highlighted sections. If any of these sections are wrong the file will be REJECTED!

Only the project manager will be able to see this page. Consultants and designers will not be able to access the documents while they are in district review.

Note to Consultants/designers the native file will be how you saved the file and it will need to coordinate with the final tracing checklist.
The following slides show examples of each document type and the fields that are checked at final tracings review:
On the Asbestos Report check for the following:

- Make sure it is readable
- Check for the signature and a copy of the license (front and back) (if there is not a copy of the licenses make sure the license number is on the cert
On the Bridge Load Rating Memo Check the Following:

- Contract Number
- Des Number
- Work Type
- Signature

This file can contain more than one Des number. If the contract has more than one Des number all Des numbers must be listed.
Commitment File check for the following:
On the top of each page:
- Des Number
- District
- Route
- Contract Number
- Project manager

Last Page:
- Signature of Designer/Firm

This will also be at the end of the Environmental Consultation Form.
The Contract Prep Document
Every field on this document is carefully reviewed by INDOT staff.

Some common tips for filling out this document:
• check the answers to all the questions and make sure they are in compliance with the other documents (ex. Right of Way, Unique Special Provisions etc.)
• The permit information has to match what is in the permit documents
• Check the liquidated damages amount with the special provisions these amounts HAVE to match
• Write down the Calendar Completion Date, this date has to match the date on the PS&E Document
• Environmental Document Compliance date. This date is the initial approval date and is found on ECF (Environmental Consultation Form).
• At the end of the document, (bottom photo to the left) the Designer information has to be fully filled out and “prepared by” and “date” fields need to be filled out
In the estimate file, check the top of each page for:

- Contract Number
- Letting date
- Make sure the page numbers are in order and no pages are missing
- The Project Manager reviews the estimate and compares it to the previously submitted estimate for budget compliance.
Design Computations

- First thing to check on this file is the Des Number is on the first page, and then make sure the rest of the file is uploaded properly and every page is readable.
- Geotech Review of Final Check Prints included in this document.
First Page (to the Left) check the Route, Des Number, and Initial Environmental Approval date (this date should match the Contract Prep Document)

Last Page (top right of this page)
Prepared by and date needs filled out
Approved by and date needs filled out by INDOT.

Make sure the Commitments are at the end of this document. If this project has more than one Des number you will have more than one Env. Consultation Form.
Final Pavement Design document check for the following:

- Initials beside each name
- Signature and Seal
The Geotechnical Report file; check for the following:

- Des Number
- Make sure the document is uploaded properly
- Separate upload required per des number
The Geotechnical Waiver should be checked for the following:
Des Number
Work Type

If a project has a Geotechnical Report it will also have a Geotechnical Review of Final Check Prints. If a project has a Geotechnical Waiver this is the only file that is needed.
Level 1 Check List needs checked for the following:

- Des Number and Route (at the top of the page)
- Initials (at the bottom of the page)
- Design exceptions can be attached to this checklist document or they can be uploaded as a separate document.
Mark Ups

- This document’s title and native file mismatch is a very common error. They need to look like the following:
  - FT STG3 MrkUps 1234567 for Contract Services
- This file should be uploaded properly, and readable.
Permits

- All Permit approval documents with their associated permit conditions should be in a single file, but if that file is too large they can be separated. (For example: Permit 1 of 3, Permit 2 of 3, etc.). For general permits where an approval document is not issued, the general permit conditions should be included in the file.

- For a Rule 5 permit, the entire permit (SWPPP, narrative, attachments, maps, conditions etc.) should be included. The 401/404 permits should also include the terms and conditions 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.

- This file usually has a lot of questions and if you have any questions please contact your INDOT project manager.
Check for the following:
On the first page, check for the work type, route and project number
For the following pages check for the following:
• Make sure all pages are the same size (36x24, 34x22 or 8½ x11)
• Seal
• Signature
• Page number (they have to go in order, if you are adding a page you will number it as 21-1, 21-2 and so on. If you are adding in a page as a revision you will number them like the following: 22-A, 22-B and so on.)
• Des Number
• Contract Number
• Project Number (this will be your Federal Project number that the page is referring to, can be different from the Des # with a project with multi Des numbers)
• Cross section sheets: those pages do not require a signature and a seal
This file is checked to make sure that the file is uploaded properly and readable. Also check the Des number is correct on the first page.
Railroad Coordination Certification

Railroad Cert is reviewed for the following:
- Des Number
- Contract Number
- Correct boxes are checked
- Signature and date

<table>
<thead>
<tr>
<th>Common No.</th>
<th>[ ]</th>
</tr>
</thead>
</table>

**Type of Railroad Certificate:**
- [ ] No Railroads shall within specific project limits
- [ ] Railroads exist within project limits, but have been found not to be affected by the proposed construction
- [ ] Railroad construction or 관한 of [Attachement A]
- [ ] Design Shared Project [See Attachment B for [Attachement and signatures]]

**Letter:**
- [ ] Let with Exception
- [ ] [Attachement C]
- [ ] [Attachement D]

The undersigned affirms that they are an INDOT Railroad Coordinator and have made a diligent effort to identify and show on the project plans all known railroad facilities within the limits of this project. Place in other information that clearly identifies the scope of this contract was provided to all affected companies (Railroads) with affected facilities within the project area.

The undersigned affirms that they have performed through conflict analysis and advised construction companies for all Railroads with affected facilities in the project area. Railroad construction plans (if necessary), the [Attachement E], and information for the Railroad to begin the work have been reviewed, coordinated, and approved.

The undersigned affirms that they have reviewed the project plans and are satisfied with the design for this project. The work described additional work and, where applicable, confirms that the Railroad has obtained the necessary permits to perform the work.

The Railroad Coordinator does not guarantee the accuracy of information provided by the Railroad. All exceptions are listed below:

<table>
<thead>
<tr>
<th>Railroad Coordinator, District</th>
<th>[ ]</th>
</tr>
</thead>
</table>

**Railway:**

| [ ] |

**Project Name:**

| [ ] |

Certification with Exception approved for letting [Senior Rail Project Engineer signature is required for exceptions]:

| Senior Rail Project Engineer | [ ] |
If your project involves railroad coordination, you will need railroad special provisions. These will be shown in the Unique Special Provisions Menu and it will look like the following:

Gray boxes represent provisions that will be included in the RRSplProv document.

White boxes represent provisions that will be included in the UnqSplProv document.

These files have to be separate, they can not be combined.

You have to have both!
R/W Certification Letter

- On the R/W Cert review, check for the following:
- Project Information (i.e. Des Number, Contract No, Location, etc.)
- Signature (Or initials)
- Make sure the rest of the file is uploaded properly
To the left is an example of a Recurring Special Provisions (RSP) Menu.

- Make sure each RSP is included in the RSP Word document.
- Also check the Adopted or Revised Date. These dates have to match the date on the recurring provision.
- Check the Contract Number at the top of the document.
- Editable recurring provisions must correspond with the values in the completed Contract Prep Document.
To the left is an example of a Unique Special Provisions (USP) Menu. Please review the following:

- Contract Number
- Each provision title needs to be included in the USP Word document.
- The document file name needs to be as follows:

  \textit{FT UnqSplProv 1234567 for \textbf{Contract Services}.doc}

It can not be left blank or stated for \textit{Roadway} or \textit{Bridge Services}.
Transmittal Letter

- Make sure that the file is uploaded properly and is readable.
Utility Certification is reviewed for the following:

- Contract Number
- Lead Des number and related Des numbers if applicable
- Letting date
- The correct boxes are checked
- Appropriate signatures are in place
- The 107-R-169 provision is included at the end of this document. This needs to match the 107-R-169 that is in the recurring special provisions.
Utility Relocation Plans

Relocation Plans are reviewed for the following:

- Separate Relocation Plan for each Utility
- Contact Information is filled out properly
- Signatures in the correct areas, if questions are answered that the facility is being relocated make sure to have plans at the end of the document. If they are in the area and not affected they will not have a plans set.
Questions?