

# Final Tracings Checklist Additional Information

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## Engineering Department

Failure to submit items marked with an asterisk (where required) may affect the letting date.

1. 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> and IDM Chapter 7.
2. Asbestos Report. This document is required for all bridge projects.
3. Bridge Load Rating Memo. This document is required for bridge replacement, rehabilitation, and concrete overlay projects. The bridge load rating memo is generated by the Department's Bridge Load Rating Engineer and confirms that a load rating evaluation has been performed and is acceptable. This document is not required for LPA bridges or precast bridge-length structures under fill.
4. 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.
5. Correspondence Files. Correspondence files are optional. 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.
6. Cost Estimate\*. The cost estimate is entered in the Department's Cost Estimate Software (CES) and submitted as a PDF. A separate cost estimate is required for each designation (des) number. When submitting a PDF copy, each cost estimate should be a separate file. For a contract containing multiple 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.

When the estimate includes non-participating pay items, the funding code in CES is set to "Z01- non-participating and the PDF is manually annotated with an asterisk for the applicable item(s).

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.

7. Cross Sections\*. Cross sections should be combined with plan sheets where file size allows. Use a separate file for cross sections only when the combined plan sheets and cross sections exceed the ERMS file size limit.
8. Demolition Letter\*. A provision is required where building demolition is part of the contract.
9. 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. Include signed forms which are not submitted as a separate file, e.g. signed Foundation Review form, Geotechnical Review of Final Check Prints, Hydraulic Approval Memo, should be included. Do not provide output from the pipe-material selection program.
10. 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.
11. Geotechnical Report or Geotechnical Waiver\*. Either the geotechnical report or geotechnical waiver is required for all projects.
12. Level One Controlling Criteria Checklist, Design Computations, and Exceptions. 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 that affect Level One controlling criteria since the prior submission, it is acceptable to initial and date the previous checklist and include a statement that no changes have been made to the plans that affect Level One controlling criteria. Include the supporting Level One design computations and a summary of design exceptions. The summary should list both Level One and Level Two design exceptions. For Level One design exceptions, list the design element, the approval date, and include the signed DE coversheet. For Level Two design exceptions, include the brief rationale for the exception as well as any concurrence from local agencies or district personnel.
13. Markups. This document is the plans from the previous submission (typically Stage 3 or Final Plans) with responses to all comments. Include the Response to Comments Letter.
14. Pavement Design (Final). Where a pavement design is required, include the final stamped pavement design letter.
15. Permits\*. All permit approval documents with their associated permit applications and conditions should be in a single file. 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 (date-stamped NOI, NOS, SWPPP, narrative, attachments, maps, conditions, etc.) should be included. 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. Ensure that the combined PDF is keyword searchable and include bookmarks to locate different permits within the file. Where projects

are bundled, duplicate permit conditions should be removed.

16. Plans - Full Size or Letter Size\*. Full-sized plans may be a single file or multiple files to meet the ERMS uploading requirements for file size. Letter-sized plans should not exceed 50 double-sided sheets or exceed 10 Mb.
17. Proprietary Materials Use Public Interest Finding (PIF)\*. A PIF is required only when proprietary materials are specified.
18. 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.
19. Railroad Agreement\*. This document is required when the project includes railroad involvement.
20. Railroad Coordination Certification\*. This document is required for all projects, regardless of the presence of a railroad within the project limits.
21. Railroad Special Provisions\*. This document is required when the project includes railroad involvement. This document is uploaded separately from other special provisions.
22. 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
23. Special Provisions Menus\*. A recurring special provision menu is required for all projects. A unique special provision menu (summary sheet) is required when the project includes a USP. Each menu should be submitted as a separate file.

Contracts that include multiple des. numbers should have a single recurring provisions menu and a single unique provisions menu that includes all provisions required for the contract. The menus are available from the Recurring Special Provisions & Plan Details webpage at <http://www.in.gov/dot/div/contracts/standards/rsp/index.html>.
24. Special Provisions - Unique and Modified Recurring\*.
  - a. Unique Special Provisions (USP). Where USPs are included in a project, all unique special provisions should be submitted to SharePoint through the INDOT\_UniqueSpecialProvisions Team via Microsoft Teams. Approved provisions will be added directly to the CIB and are not loaded separately to ERMS. See IDM Chapter 19.

- b. Modified Recurring Special Provisions (RSP). Where modified (contract-specific) RSPs found in Section II of the Recurring Special Provisions Menu are included in a contract, all modified RSPs should be combined into a single file. Instructions for combining RSPs are available from the [Recurring Special Provisions & Plan Details webpage](#). Select the appropriate menu based on contract letting date.
25. Survey Book. The survey book file is required for all INDOT projects that required a survey. See IDM 26-1.01(01), item 4. Include a PDF of the survey book.
26. 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. See IDM Chapter 503 and the Narrative for the PSE Checklist.
27. 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.
28. Utility Coordination Certification\*. This document is required for all projects. The certification form is available on the Department's Utility Coordination Standard Documents webpage.
29. Utility Relocation Plans. Utility relocation plans are required as need for a project. Plans are typically provided to the designer by the utility coordinator. Include both the work plan and the relocation plans in the file.
30. Pre-Bid Meeting. The use of a pre-bid meeting will be determined by project manager in conjunction with district Construction. If used, must denote whether meeting is optional or mandatory. A PDF of the meeting minutes and sign-in sheet must be uploaded to ERMS and posted with the contract document additional information in a timely manner once the pre-bid meeting has occurred.
31. Interstate Highways Congestion Policy Exception. Interstate project, if applicable. Include the approved document. Ensure the conditions of the exceptions (closure schedule/mitigation measures) have been included in the contract documents.
32. Pavement Patching Table. Applicable when project includes pavement patching and a pavement design is provided by INDOT. Spreadsheet(s) will be provided with the approved pavement design.

## Project Manager Items

- PM 1 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.
- PM 2 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.
- PM 3 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. For bundled projects, include the Bundling Information Page.