



INDIANA DEPARTMENT OF TRANSPORTATION

Driving Indiana's Economic Growth

Design Memorandum No. 20-17

September 10, 2020

TO: All Design, Operations, and District Personnel, and Consultants

FROM: /s/ Katherine Smutzer
Katherine Smutzer
Acting Director, Standards and Policy
Engineering Department

SUBJECT: Preprint Changes Revisions and Construction Changes

REVISES: *Indiana Design Manual* Chapter 14-1.02(05) thru 14-1.02(07), Figures 14-1H thru 14-1N (new)

SUPERSEDES: Design Memo 19-09

EFFECTIVE: Immediately

Timely submittal of contract documents and preprint changes or revisions to those documents is essential to meeting the advertising schedule for contract lettings. Guidance in the referenced IDM section has been updated to include clarified directives for submitting changes to Contract Administration through Preprint Changes and Revisions. This includes both document file type and means of submission (when to submit via email or through ERMS). Revisions are summarized below, and the revised text is included for reference at the end of this Design Memo.

- Section 14-1.02(06) has been reoriented to appear as Section 14-1.02(05), to more closely align with sequential ordering of events.
- Preprint change process (See 14-1.02(06), Item 1) has been updated to more clearly define:
 - The individuals to whom changes are submitted (PS&E Coordinator is currently Richi Martin, ricmartin@indot.in.gov; Estimating Planner is currently Susan Languell, slanguell@indot.in.gov);
 - How documents should be annotated to clearly demarcate requested changes; and
 - Timeframes on typical deadlines for preprint change acceptance.

- Revisions process (See 14-1.02(06), Item 2) has been updated to more clearly define:
 - Timeframes for revision change acceptance, and
 - Requirements for submitting changes pertaining to the Schedule of Pay Items.

- Construction Change process (See 14-1.02(07)) has been updated to more clearly define:
 - What to include with plan revisions,
 - Where to place clouds for replacement sheets,
 - How to revise a special provision title, and
 - References made to sections 14-1.02(05) and 14-1.02(06) described above.

- Figures have been added to depict current expectations of the Division in Figures 14-1H through 14-1N.

For questions, please contact Elizabeth Thomas, PE at ethomas2@indot.in.gov.

IDM Revisions

14-1.02(05) Contract Information Book Certification [Rev. Mar. 2016, Dec. 2016, Sep. 2019, Sep. 2020]

The Designer should receive the Contract Information Book (CIB) from Contract Administration staff via email for review prior to advertisement. The Designer should complete the review within three business days of the initial request. The CIB Certification form should be completed and returned via email to the requestor.

Preprint changes identified during the review should be processed in accordance with Section 14-1.02(06).

14-1.02(06) Changes to the Final Tracings Submission [Rev. Mar. 2016, Sep. 2020]

The procedure for making changes to contract documents and plans after the Final Tracings submission has been transitioned to Contract Administration varies. Changes will be processed as Preprint Changes or Revisions, depending on the request date relative to advertisement.

1. Preprint Changes. Preprint changes are changes made to contract documents 8 days or more prior to advertisement. Letting advertisement (Notice Posted) is typically 30 days prior to the letting date. The 10-year Letting Preparation Schedule is available at <http://www.in.gov/dot/div/contracts/letting/lettingdates.htm>.

Preprint changes are not accepted less than 7 days prior to advertisement, unless exceptions are made by Contract Administration. If an exception is desired, it is recommended to submit the inquiry to the PS&E Coordinator and Estimating Planner within the Contract Administration Division prior to making a Preprint Change.

- a. Plan Set Changes. Preprint changes to plans should be submitted electronically to ERMS. When changes are made to the originally submitted plans (new, revised, or deleted sheets), the existing set of plans in ERMS should be identified for deletion and a new complete set of plans should be uploaded. The plans should not include clouds or revision blocks. Once uploaded, the Designer should notify the District Coordinator and copy the Project Manager. In the notification email, the Designer should specify which ERMS document DOT number is the replacement file and which is to be deleted. District Coordinator contact information can be found in the ERMS Information document which is available from the Designers Webpage <https://www.in.gov/indot/2731.htm> under Design Submittal.

The file naming format is the same as that of the original submission.

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

Adequate time must be allowed for transitioning files within ERMS, i.e. documents submitted 7 days prior to advertisement may not reach Contract Administration the same day.

- b. All Other Contract Documents. Preprint changes to contract documents, except for plans, are submitted via email to the PS&E Coordinator and Estimating Planner within the Contract Administration Division.

Revised documents should be marked up and submitted in their original submission format. All additions shall be highlighted clearly. All deletions shall be marked in red and struck through as appropriate. Track Changes is not an acceptable markup format for Word documents.

Exceptions to the preprint changes direction given above are as follows:

- (1) Estimate (Est) shall be marked up from the Detailed Cost Estimate PDF, which can be provided by contacting CESsupport@indot.in.gov. Do not update the live file in CES or markup the original CES PDF, even if the Designer still has access to do so. See Figure [14-1H](#), Example Detail Cost Estimate Preprint Correction.

(2) Special Provisions Menu (SplProvMenu) shall be submitted as a complete PDF markup. Annotate any additions or deletions in the pdf itself, as the Excel menu is locked for formatting changes. See Figure [14-1I](#), Example Special Provisions Menu Correction.

(3) Special Provisions (SplProv) and Unique Special Provisions (UnqSplProv) shall be submitted as a complete Word document markup. Do not only provide the specifications you wish to add; instead, amend the full, original Word document. Do not include section or column breaks. See the following figures for example SplProv and UnqSplProv corrections:

- Figure [14-1J](#), Example Special Provision Preprint with Text Corrections,
- Figure [14-1K](#), Example Special Provision Preprint for Complete Removal, and
- Figure [14-1L](#), Example Special Provision Preprint for Complete Addition.

(4) Other Miscellaneous CIB corrections shall be included as a pdf, including only the page excerpts necessary to illustrate the corrected sheet(s). Ancillary items, such as page number or table of contents updates, will be automatically accounted for and do not require markup. See Figure [14-1M](#), Example CIB Preprint Correction.

A duplicate set of preprint markups is not required for Final Tracings documents that are reflected directly in the CIB. For example, changes submitted for Unique Special Provisions need only be submitted as a UnqSplProv change and does not also require a CIB markup as described in Note 4 above. Changes to documents will be made by Contract Administration.

2. Revisions. Revisions are changes to Final Tracings documents or CIB contents that occur near or after advertisement, but before letting. Typically this is between 37 days and 7 days prior to the letting date.

a. Revisions to documents, including plan sheets, CIB proposal pages, pay items, provisions, etc. must be transmitted to the district Area Engineer for review and approval. The INDOT Project Manager can verify the specific Area Engineer.

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

c. Changes to the contract information book (CIB) and estimates should be marked in the same manner as preprint changes, see Item 1 above, exception that the marked-up Schedule Of Pay Items is also required. See Figure 14-1N, Example CIB Schedule of Pay Items Correction.

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

- 1) The Designer should upload only the new or revised sheets, including the index sheet. The Designer should notify the district coordinator and copy the district Area Engineer.
- 2) The file naming convention for both a partial and complete set of plans is the same as that of the original submission:

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

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

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

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

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

Adequate time must be allowed for transitioning files within ERMS, i.e. documents submitted 7 days prior to letting may not reach Contract Administration the same day.

3. Changes Requested Less Than 7 Days Prior to Letting. **NO CHANGES** are allowed less than 7 days prior to letting. The letting date, not the plan signing date, controls when and how revisions can be made to the plans.

14-1.02(07) Construction Change [Rev. Mar. 2016, Sep. 2020]

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

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

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

Example: ConstChg#1 Plans 0900010 for Contract Services

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

A construction change is processed as follows.

1. Transmittal Letter. A transmittal letter is required and should be attached to the email notification to the coordinator.
2. Plan Revisions. Where a change is made to the final tracings, a revision note should be placed in the revision block on the index sheet. This revision note should include the date of the revision, the revised sheet numbers, and a short explanation of the change. A note with the same information should also be placed on the revised sheet or sheets in a location that will not restrict its visibility. Do not include a revision number in the revision block as the number may not correspond sequentially to the Notice of Revision number for the contract as a whole.

No deletions may be made to the original tracings, as they are considered a legal contract document at the time of letting. If space allows, the original item to be revised should be hatch-marked through and the revision should be made on the same sheet. If the revision is too large to be shown on the original sheet, the deleted sheet number should be noted in the revision block. This deleted sheet will remain in the original set of plans. The deleted sheet does not need to be included in the revised plan sheets file uploaded to ERMS. Only the index sheet and revised sheets should be included in the revised plan sheet file.

- a. Replace an existing plan sheet. If an existing plan sheet is to be replaced, the replacement sheet should be numbered with an alphabetic extension (number-letter) to indicate that it is a replacement sheet. The deleted sheet should be identified in the revision block and will remain in the original plan set for future reference. Clouds should be used on the replacement sheet to indicate the changes made. Clouds are not required around the periphery of the replacement sheet. Do not include a revision number in the revision block as the number may not correspond sequentially to the Notice of Revision number for the contract as a whole. Identify the replacement sheet number in the revision block on the index sheet. Examples of the number-letter extension are as follows:

- 1) Sheet 2 is deleted and Sheet 2-A will take its place.
- 2) Sheet 23 is deleted and Sheet 23-A will take its place.
- 3) Sheet 17-A is deleted and Sheet 17-B will take its place.
- 4) Sheet 15-1 is deleted and Sheet 15-1-A will take its place

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

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

- 1) Sheet 15-3 is inserted after Sheet 15-2 and before Sheet 16.
- 2) Sheet 7-1 is inserted after 7-B and before Sheet 8.
- 3) Sheet 40-3 is inserted after 40-2 at the end of the set of plans.
- 4) Sheet 5 is revised and two new sheets are added. The sheet numbers are 5A, the revision to Sheet 5, 5-1, and 5-2, the two new sheets.

3. Quantity Revisions. The designer computes quantity revisions and indicates the changes on a copy of the schedule of pay items from the contract information book. The designer should show revisions by striking through the original quantity and placing the new quantity next to the old quantity and clouding all. For deleted items, strike through the quantity, show a “0”, and cloud all. Add new items at the end of the schedule, with item descriptions, including item numbers, quantities, and units, and cloud all. The marked up document will be submitted electronically into ERMS. Mark ups should use the same process as described for preprint changes to a contract document, Section 14-1.02(06).
4. Special Provision Revisions. The designer should indicate which special provisions were deleted, revised, or added by marking up a copy of the special provisions index which is contained in the contract information book. When a special provision is deleted, strike through and cloud the title on the index. If it is revised, strike through the original title and place the new title next to the old title and cloud the entire title. If there is an addition, add the title to the end of the index and cloud it. The marked-up index revised special provisions, with additions and struck-through text for deletions with both clouded, or new special provisions will be submitted electronically as PDF files. The submittal into ERMS should be the same as shown for the Plan Revisions, see Item 2 above.

Revisions to items that are not contract documents, e.g. design computations, design exceptions, should not be uploaded as construction changes. These items should be uploaded into ERMS using the Preprint Changes process, Section 14-1.02(06).

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

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

14-1.02(08) Shop Drawings and Falsework Review Procedure [Mar. 2016, Sep. 2020]

Working drawings as defined in the INDOT *Standard Specifications* include supplementary bridge plans, stress sheets, shop drawings, erection plans, falsework plans, framework plans,

cofferdam plans, bending diagrams for reinforcement, or any other supplementary plans, detailed drawings, design drawings, or similar data which a contractor is required to submit for approval.

The Designer's responsibilities for review of shop drawings and falsework are given in the [LPA & State Shop Drawing & Falsework Review Procedure](#), located on the INDOT Construction Information webpage, under Construction Management Resources.

ARCHIVED