



INDIANA DEPARTMENT OF TRANSPORTATION

Driving Indiana's Economic Growth

Design Memorandum No. 20-21

October 8, 2020

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

FROM: /s/ Steve Duncan
Steve Duncan
Director, Contract Administration
Legal

SUBJECT: Unique Special Provision (USP) Submittal Process

EFFECTIVE: As Noted

As previously announced, effective October 1, 2020, all USPs submitted for review must be submitted through SharePoint. The SharePoint site is accessible through the INDOT Unique Special Provisions Team via Microsoft Teams and is accessible only to team members.

To be added as a team member, please contact the Contract Administration Division, Melanee Habig at mhabig1@indot.in.gov.

The [USP Review Workflow](#) and [USP Process Users Guide](#) is available on Teams in the USP Training channel.

Submitting USPs with the Final Tracings Package

The following guidance addresses how to compile USPs for the Final Tracing package, based on letting date. Many projects letting after October 1, 2020 have already submitted USPs for review using the old process and may submit additional USPs using the new process.

Projects letting on or after November 10, 2020 and prior to July 14, 2021

At Final Tracings, USP submission will be a hybrid process as outlined below:

- Submit the USP Menu through ERMS. List all USPs for the contract. Be sure to note the correct filename in the Document Filename column. Enter the file location in the **Comments column**.
 - File location = **ERMS**, for USPs submitted for review prior to October 1, 2020
 - File location = **SharePoint**, for USPs submitted for review on or after October 1, 2020
- Submit only USPs that were submitted for review prior to October 1, 2020 (and consequently returned and corrected) in a single Word document. USPs submitted for review on or after October 1, 2020 via SharePoint will be placed into the contract information book (CIB) by INDOT Contract Administration.

An example is included at the end of the memo.

Projects letting after July 14, 2021 (new process):

- Submit the USP Menu through ERMS. List all USPs for the contract. All USPs should be in SharePoint, otherwise the letting date may be affected.
- Do not submit any USPs through ERMS. All USPs will be placed into the CIB by INDOT Contract Administration.

Submitting Pre-Advertisement (Preprint) Changes for Unique Special Provisions

The following guidance addresses how to submit preprint changes for USPs, based on letting date. Preprint changes are changes made to contract documents 7 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>.

Projects letting after November 10, 2020:

USP preprints must be submitted no later than 7 days prior to the advertisement date. Missing this deadline or neglecting to designate as a “Pre-print” within the document metadata, may lead to the requested modifications being submitted as a Revision post-advertisement.

1. Each USP document requiring changes should be annotated in accordance with directives in IDM 14-1.02(06) Item 2 (highlight and/or red strikethroughs). This annotation will be cleaned and removed (by others).
2. Submit preprint changes to USPs through SharePoint using the new INDOT_UniqueSpecialProvisions Teams review process.
 - a) All USPs that have completed the original SharePoint review process will need to be reintroduced in the 0_Designer [District] library. Its extension count must be increased sequentially. The priority level for these documents must be entered as “Pre-Print” within the document metadata. All other elements of the filename should match that of the original submission.

Example:

Original file = WetlandRestoration_[DES No.]_0001.docx

Preprint resubmit = WetlandRestoration_[DES No.]_0002.docx

- b) On occasion, USPs have not yet completed the original SharePoint review that will require preprint changes before completion. If this is the case, the proposed modifications should be annotated (see Item 1) within libraries 9_Designer or 11_Designer. No reintroduction of a new file to SharePoint is required in this instance.
3. Notify the Estimating Planners (Susan Languell, slanguell@indot.in.gov and Richi Martin, RicMartin@indot.in.gov) that a specific USP has been resubmitted or updated in the system for a preprint change. Briefly describe the change and include the filename of the modified document clearly in the body of the email, e.g. WetlandRestoration_[DES No.]_0002.docx.

For questions regarding the new USP Preprint process, contact Elizabeth Thomas (ethomas2@indot.in.gov).

Submitting Contract Changes (Revisions) for Unique Special Provisions

The following guidance addresses how to submit contract changes (Revisions) for USPs, based on letting date. 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.

Projects letting on or after November 10th, 2020:

Contract changes to USPs will not be submitted through SharePoint. Revisions must be submitted no later than **5 business days** in advance of the letting date. Revisions received less than 5 business days prior to the letting date may not be completed and may require a Construction Change after contract award.

1. Each USP document requiring changes should be annotated in accordance with IDM 14-1.02(06) Item 2 (highlight and/or red strikethroughs). This annotation will be cleaned and removed (by others).
2. The Area Engineer must submit contract changes to USPs to the Pre-Bid Engineer in Contract Administration per IDM 14-1.02(06) Item #2. The request must include a completed Request for Proposed Contract Revision After Advertisement Form. The form is available on the [Editable Documents webpage](#), under Contract Administration. Please note coordination with the Legal Division is now required.

For questions regarding the USP Revision process, contact Behrooz Vakily (bvakily@indot.in.gov).

Unique Special Provision Summary Sheet

rev. 2/18/2019

Contract No:	R-12345
District:	Greenfield
Submitted by:	Jane Doe
Submitted Date:	11/30/20

Standard Specifications Section	Unique Special Provision Title	Document Filename	Comments
100	CONTACTING EMERGENCY SERVICES AND SCHOOL DISTRICTS PRIOR TO CONSTRUCTION	FT UnqSplProv 0000000 for Contract Services.docx	ERMS
100_200	BAT AVOIDANCE AND MITIGATION MEASURES	BatAvoidanceandMitigationMeasures_0000000_0001.docx	SharePoint
105	CONSTRUCTION ENGINEERING	FT UnqSplProv 0000000 for Contract Services.docx	ERMS
108	CRITICAL PATH METHOD SCHEDULING AND FLOAT	CriticalPathMethodSchedulingandFloat_0000000_0001.docx	SharePoint
609	TYPE I-A JOINTS	FT UnqSplProv 0000000 for Contract Services.docx	ERMS
709	FIBER WRAP CONCRETE CASING SYSTEM	FT UnqSplProv 0000000 for Contract Services.docx	ERMS
723	DEWATERING	FT UnqSplProv 0000000 for Contract Services.docx	For Des Number 1111111 only. ERMS

Addendum

for all steps

Move a Document to Another SharePoint Library Manually

MAJOR CHANGE: DO NOT USE the “Move to” to move your document manually.

You will see that there is another column now in the SharePoint library called USP Status.

Open Properties ▾	USP Status ▾	Priority Level ▾	Due Date ▾	Section ▾
Open Properties	In progress	Low	10/12/2020	200

When the file arrives or you upload it in the SharePoint library the default message will be **“In Progress”**. To move the file to the next library (*next Step in the process*) you will open the properties and choose **“Move to next step”** then **“Save”**.

The screenshot shows the 'USP Document Properties' form with the following fields:

- Due Date: 2020-10-12T12:06:33Z
- USP Status: In progress (selected)
- Priority Level: Low (selected)
- Section: 200
- DES Number: 5412589
- Contract Number: R-54125 (with note: Please do not enter any spaces)
- Letting Date: 12/20/2020
- USP Title: Testing

The screenshot shows the 'USP Document Properties' form with the following fields:

- Due Date: 2020-10-12T12:06:33Z
- USP Status: Move to next step (selected)
- Priority Level: Low (selected)
- Section: 200
- DES Number: 5412589
- Contract Number: R-54125 (with note: Please do not enter any spaces)
- Letting Date: 12/20/2020
- USP Title: Testing

The USP Status will now read **“Move to next step”**. This moves the file and sends an email and a Teams notification out to the channel. Please allow several minutes for this process to complete.

Open Properties ▾	USP Status ▾	Priority Level ▾	Due Date ▾	Section ▾
Open Properties	Move to next step	Low	10/12/2020	200

Construction Management

Construction Management in Step 2 you will still choose the SMEs and then when you are ready to move the file choose **“Move to next step”**.

The screenshot shows the 'USP Document Properties' form. The 'USP Status' dropdown menu is open, showing options: 'In progress' (with a close button), 'In progress', 'In progress' (highlighted in orange), 'Move to next step', and 'Move to 4_CM'. Other fields include: Due Date (2020-10-12T13:56:15Z), Priority Level (Low), Section (200), DES Number (5412589), Contract Number (R-54125), Letting Date (12/20/2020), USP Title (Testing), Project Manager (Habiq, Melanee), Designer (Habiq, Melanee), District (Seymour), and Choose SMEs (Find items). The file name is Seymour.docx and the comments box is empty.

If there are **no SMEs needed** then you will choose **“Move to 4_CM”**.

The screenshot shows the 'USP Document Properties' form. The 'USP Status' dropdown menu is open, showing options: 'Move to 4_CM' (with a close button), 'Move to 4_CM', 'In progress', 'Move to next step', and 'Move to 4_CM' (highlighted in orange). Other fields include: Due Date (2020-10-12T14:05:18Z), Priority Level (Low), Section (200), DES Number (5412589), Contract Number (R-54125), Letting Date (12/20/2020), USP Title (Testing), Project Manager (Habiq, Melanee), Designer (Habiq, Melanee), District (Seymour), and Choose SMEs (Find items). The file name is Seymour.docx and the comments box is empty.

Construction Management in Step 6 will have different choices. Choose your selection based on which district the USP file needs to go to and then click "**Save**".

Save Cancel Copy link

USP Document Properties

All fields are required.

Due Date
2020-10-12T13:49:47Z

* USP Status

In progress

In progress

In progress

* Move to 7_PM Crawfordsville

* Move to 7_PM Fort Wayne

* Move to 7_PM Greenfield

* Move to 7_PM LaPorte

* Move to 7_PM Seymour

* Move to 7_PM Vincennes

* CAPITAL LISTS

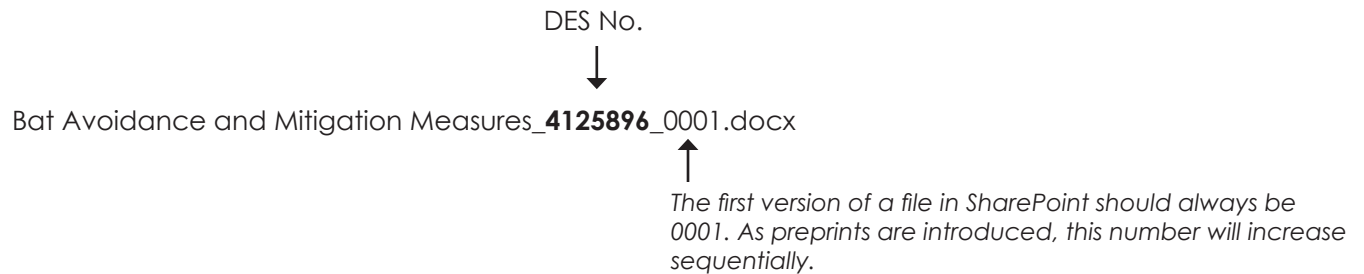


Using the "Move to" for LPA and Final USP Documents will NOT Change

Legal will still continue to use the "Move to" in Step 12 when moving all final USP documents to the USP_HOLD library. Designers and Project Managers as well will still continue to use the "Move to" to move LPA USP documents into the LPA_HOLD library.

File Naming Conventions

All file names will now **require** the DES number. Please follow these guidelines when naming your file. Failure to introduce documents to the SharePoint review process in this way may lead to overriding of yours or other files within the SharePoint system. Each filename should be unique, and no override of another file should ever be needed.



Choosing a Priority Level

There is now a column named "Priority Level" all USPs will now need to have a priority level assigned. You can do that by choosing the level from the drop-down as shown in the figure below.

Pre-Print

High < 4 wks

Medium < 8 wks

Low

Pre-Print

Priority Level Defined

- **High < 4 wks** should be selected when a USP is less than 4 weeks away from a Letting.
- **Medium < 8 wks** should be selected when a USP is less than 8 weeks away from a Letting.
- **Low** should be selected when the USP is greater than 8 weeks.
- **Preprint has a special certain set of circumstances to be followed as outlined in the paragraph below.**

Projects Letting after November 10, 2020

USP preprints must be submitted as an expedited review no later than 7 days prior to the advertisement date. Missing this deadline, or neglecting to designate as a preprint within the meta-data, may lead to the requested modifications being submitted as a Revision post-advertisement.

1. Each USP document requiring changes should be annotated in accordance with directives in IDM 14-1.02(06) Item 2 (highlight and/or red ~~strikethroughs~~). This annotation will be cleaned and removed at a later step in the process prior to completion of the review process (by others).



For questions regarding the new USP Preprint process, contact Elizabeth Thomas at ethomas2@indot.in.gov or @mention her in Teams.

2. Submit preprint changes to USPs through SharePoint using the new INDOT_UniqueSpecialProvisions Teams review process.

a) All USPs that have completed the original SharePoint review will need to be reintroduced in the 0_Designer [District] library. Its extension count must be increased sequentially. The priority level for these documents must be entered as "Preprint" within the project meta-data. All other elements of the filename should match that of the original submission.

Example:

Original file = WetlandRestoration_[DES No.]_0001.docx

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