



**Matthew G. Bevin**  
Governor

**COMMONWEALTH OF KENTUCKY  
TRANSPORTATION CABINET**

Frankfort, Kentucky 40622  
[www.transportation.ky.gov/](http://www.transportation.ky.gov/)

**Greg Thomas**  
Secretary

**DESIGN MEMORANDUM NO. 04-17**

**TO:** Chief District Engineers  
Branch Managers for Preconstruction  
Engineering Support Branch Managers  
Design Consultants

**FROM:** William S. Gulick, P.E., Director  
Division of Highway Design 

**DATE:** February 7, 2017

**SUBJECT:** Plan Submittal Process

This Design Memo is in reference to the State Highway Engineer memorandum (dated April 08, 2015) concerning the KYTC Plan Submittal Process. A copy of the State Highway Engineer memo is attached for reference.

As mentioned in the memo, all final project components, such as roadway plans, structure plans, lighting and signal plans, any utility relocations plans, estimates, proposal notes, etc. should be assembled by a designee of the District TEBM for Project Development (PDM) or the State Highway Engineer appointed Project Manager and submitted through the PDM or Project Manager (PM) to the Director of Highway Design with copies to Plan Processing and the Location Engineer. The **Submittal Memo** and **Final Plan Submittal Form** should also be included. Please refer to the attached State Highway Engineer memo for additional guidance.

It should also be noted that with this memo, the previously used forms submitted with final plans are no longer required, including TC61-10E Final Plan Submittal and Project Certification for Federally Funded Projects, TC61-11E Final Plan Submittal for State Funded Projects and TC61-10I Electronic Files Submitted with Final Plans. The Final Plan Submittal Form mentioned above and included in the attached State Highway Engineer Memo supersedes these older forms and checklist.

This submittal process should be applied immediately to all projects being delivered for a letting.

WSG:RKC:jjf

Attachments






**TRANSPORTATION CABINET**

Frankfort, Kentucky 40622  
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**Steven L. Beshear**  
Governor

**Michael W. Hancock, P.E.**  
Secretary

**TO:** Division Directors  
Chief District Engineers  
District Project Development Engineers

**FROM:** Steven K Waddle, P.E.   
State Highway Engineer

**DATE:** April 8, 2015

**SUBJECT:** Plan Submittal Process

The main goal of Project Development is delivering projects to construction lettings. A great deal of work is required to develop construction plans and combining all the various components into one bid package can be a daunting task. Historically, the various plan components have been delivered to the Plan Processing Branch of the Division of Highway Design where they are assembled into a complete project plan set and then forwarded to the Division of Construction Procurement. Due to changes in technology and a renewed emphasis on the responsibility to deliver a complete project to the letting process, submittals to the Plan Processing Branch shall come from the District TEBM for Project Development (PDM) or the State Highway Engineer appointed Project Manager (SHE-PM). Therefore, all project components, such as roadway plans, structure plans, lighting and signal plans, estimates, notes, etc. must be submitted through the PDM or SHE-PM.

It is imperative that all plans, proposals, and details be complete and ready for the Contractor's use in preparing their bids by the Notice to Contractors (NTC) date, which is typically three weeks prior to letting. In order to allow time for proper review and corresponding revisions, the roadway plan "check prints" should be received by the Plan Processing Branch fifteen weeks prior to the letting and the FINAL PLANS should be received seven weeks before the letting. This is the Final Plans Due Date. This is the deadline that should be used to schedule projects and NOT the letting date.

Attached please find a table listing the significant dates associated with the plan delivery process for Calendar Year 2015. A new table is published yearly. Also attached are the Highway Design Final Plan Submittal form and a sample submittal memo. The Final Plan Submittal form shall be completed with the status of each required project component. The submittal memo shall contain the project identification and charge numbers, a list of submitted items, and any additional project information needed. All the necessary files and project information shall be placed in the appropriate Project Wise folder as per KYTC CADD Standards. The submittal memo and Final Plan Submittal form shall be sent to the Director of Highway Design with copies to the Location Engineer and the Plan Processing Branch Manager.

This submittal process should be applied as soon as practical. All projects submitted after June 1, 2015 shall utilize this process unless an exception is granted by the State Highway Engineer.

**C:** Gary Valentine, P.E.  
Paul Looney, P.E.



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## 2015 Letting Schedule

Weeks Days	15 105	7 49	6,4 45	5 35	5 35	3 21	3 21	1 7	
Month	Date	Prints Due to Plan Processing	Final Plans Due to Plan Processing	Plan Proposal Due to PS&E/ Central Office	Proposal Only to Construction Procurement	Interstate & APD Project to FHWA	Notice to Contractors Plans Available for Sale	Advertise Federal-Aid Projects (Notice to Contractors)	Advertise State Funded Projects (Notice to Contractors)
January	1/30/2015	10/17/2014	12/12/2014	1/21/2015	12/26/2014	1/9/2015	1/9/2015	1/23/2015	
February	2/20/2015	1/17/2014	1/2/2015	1/6/2015	1/16/2015	1/30/2015	1/30/2015	2/13/2015	
March	3/20/2015	12/5/2014	1/30/2015	2/3/2015	2/13/2015	2/27/2015	2/27/2015	3/13/2015	
April	4/24/2015	1/9/2015	3/6/2015	3/10/2015	3/20/2015	4/3/2015	4/2/2015	4/17/2015	
May	5/29/2015	2/13/2015	4/10/2015	4/14/2015	4/24/2015	5/8/2015	5/8/2015	5/22/2015	
June	6/28/2015	3/13/2015	5/8/2015	5/12/2015	5/22/2015	6/5/2015	6/5/2015	6/19/2015	
July	7/31/2015	4/17/2015	6/12/2015	6/16/2015	6/26/2015	7/10/2015	7/10/2015	7/24/2015	
August	8/21/2015	5/8/2015	7/3/2015	7/7/2015	7/17/2015	7/31/2015	7/31/2015	8/14/2015	
September	9/25/2015	6/12/2015	8/7/2015	8/11/2015	8/21/2015	9/4/2015	9/4/2015	9/18/2015	
October	10/23/2015	7/10/2015	9/4/2015	9/8/2015	9/18/2015	10/2/2015	10/2/2015	10/16/2015	
November	11/20/2015	8/7/2015	10/2/2015	10/6/2015	10/16/2015	10/30/2015	10/30/2015	11/13/2015	
December	12/11/2015	8/28/2015	10/23/2015	10/27/2015	11/6/2015	11/20/2015	11/20/2015	12/4/2015	

State Highway Engineer

## Example

**MEMO TO:** *Name*  
Director  
Division of Highway Design

**ATTN:** *Name*  
Plan Processing Branch Manager  
Division of Highway Design

**FROM:** *Name*  
TEBM for Project Development  
District ?

**BY:** *Name*  
Project Manager  
District ? Design

**DATE:** *Date*

**SUBJECT:** **Final Plans Submittal**  
\_\_\_\_\_ County

Reconstruct KY-22 from KY-329B to Abbott Lane including the termini intersections of KY-22 @ KY-329B and KY-22 @ Abbott Lane (Bridge Hill) (12CCR) (14CCR)  
STPM 5140 (038)  
FD52 093 022 003-006  
MARS No. 5941503D  
Item No. 5-0304.15

Submitted herewith are the following: *Original Grade, Drain, and Surfacing Plans (in 22" x36" pdf file format)* for the subject project. Also included are the *Final Plan Submittal Form, the Construction Cost Estimate, the Communicating of all Promises (CAP), KY-CTDS, Electronic Files Checklist, a signed copy of the TMP, a signed KPDES form NOI-SW, and the KYTC BMP plan form and List of Plans.*

- The WQC and Corps permit will be supplied by Danny Peake and placed in PW folder.
- There is no Railroad involvement on this project.
- Traffic Signals are not required on this project.
- The Project is not classified as "Significant" and is off the National Highway System.
- Tree Cutting Restriction: Trees to be removed during construction shall not be cut between March 31, 2015 and October 15, 2015, inclusive. Tree cutting shall act in accordance with the agreements between Kentucky Transportation Cabinet and the United States Fish and Wildlife Service.

*Please feel free to comment on any of these other possible Proposal Notes if needed:*

*Liquidated damages*

*Pre-Bid meeting*

*Right of Way Certification*

*Utility Impact Note*

*Expedite Award Note*

*Always list any Special Notes to be included in the Proposal:*

**SPECIAL NOTE: Alternate Pavement Bid Adjustment** can be found in the "Proposal" folder in ProjectWise.

**All electronic files for submittal have been placed in ProjectWise in appropriate subfolders in the following location:**

**pw:\\KYTCP00W02.kytc.ds.ky.gov:KYTC-Main\Documents\Projects\District 05\05-0304.15 - OLDHAM - KY 22 from KY 329B Abbott Ln (KY 2858)\Milestones & Submittals\Contract Plans and Proposal\**

*Always include the recommended Contract Time.*

The scheduled letting date for this project is **December 12, 2014** and it is recommended that the "**fixed completion date**" of **May 15, 2016** be applied.

If you have any questions or need any assistance, please do not hesitate to contact me.

*\*Place this Memo in ProjectWise in the Milestones & Submittals/Project Emails & Correspondence folder.*



**Kentucky Transportation Cabinet**  
**Division of Highway Design**  
**FINAL PLAN SUBMITTAL**

<b>SYP Item Number:</b>		<b>County:</b>	
<b>Final Plans Due Date:</b>		<b>Date Submitted:</b>	
<b>Authorization Number:</b>		<b>Project Manager:</b>	
<b>Link to Data in ProjectWise:</b>			
<b>Submittal</b>	<b>Status</b>	<b>Comments</b>	
<b>Contract Plans:</b>			
Roadway			
Structures			
Traffic:			
Lighting			
Signals			
Signs			
Utility:			
Relocation Plans			
Specifications			
<b>Misc. Documents:</b>			
<b>Estimate:</b>			
Roadway			
Structures			
Traffic			
Utility			
<b>Contract Time:</b>			
<input type="radio"/> Fixed Completion Date			
<input type="radio"/> Working Days			
<input type="radio"/> Calendar Days			
<b>Project Development Checklist</b>			

NOTE: Highlighted cells require comment.



**Kentucky Transportation Cabinet**  
**Division of Highway Design**  
**FINAL PLAN SUBMITTAL**

SYP Item Number:		County:	
Submittal	Status	Comments	
<b>Proposal Documents:</b>			
Cap Report			
Permit/water quality certification/KPDES:			
Section 404 Permit (NW, LOP, Individual)			
Section 401 Permit (WQC)			
KPDES (General, Individual)			
Utility impact notes			
R/W Certification			
Railroad Impact Notes			
Project Specific Special Notes and Specifications			
BMP/NOI Documents			
Asbestos Report			
<b>Supplemental Files:</b>			
DGN Files			
3D Mapping Files (.dgn files)			
3D Proposed Manuscript (.dgn files)			
Existing Ground Digital Terrain Data (.dtm & .xml files)			
Coordinate Control Data (.asc files)			
Alignment Geometry (.alg & .xml files)			
Earthwork Calculations (Excel File)			
Superelevation report (.xml file)			
Proposed Model (.dtm & .xml files)			
Template Library (.tml or .itl file)			
Roadway Library (.rwl or .jrd file)			

NOTE: Highlighted cells require comment.