

# **COMPASS Contractor's User Manual**



*By*

*The Office of Architectural, Engineering and Construction Applications*

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*Note: Most recent revisions are identified by a red bar in the left margin.*

# Section 1 COMPASS

## 1.1 Introduction to COMPASS

COMPASS provides CTDOT with project management processes that work in conjunction with a cloud-based digital Transportation Management Solution, utilizing Microsoft Commercial Off-the-Shelf Software (MCOTS) to manage the delivery of all capital projects. Specifically, this solution will improve quality and control over complex transportation projects by providing:

- Ball-In-Court project status
- Better collaboration and communication using SharePoint online
- Real-time project scheduling capabilities using MS Project
- Improved resource management
- Real-time project status dashboards
- Document control and content management
- Improved transparency and accountability
- Improved risk management

## 1.2 Submittal / Transmittal Application

The Submittal / Transmittal application (S&T) is used to track and route Contractor submittals during the construction phase. This application allows users to route documents for review or approval. One or more reviewers can perform a review in series or in parallel. Ball-In-Court statuses automatically update for tracking. Routing is performed using document attributes and a project approval matrix. Key benefits of the application include:

- One storage location for all documents on the cloud, accessible to anyone with an internet connection
- More transparent and efficient processes
- Automated Ball-In-Court statuses for tracking submittals
- Automated notifications, reminders, document version control, and storage
- Routing all project documents for review or approval
- Bluebeam Studio Session integrated for PDF digital review and application of Review and Action Stamps

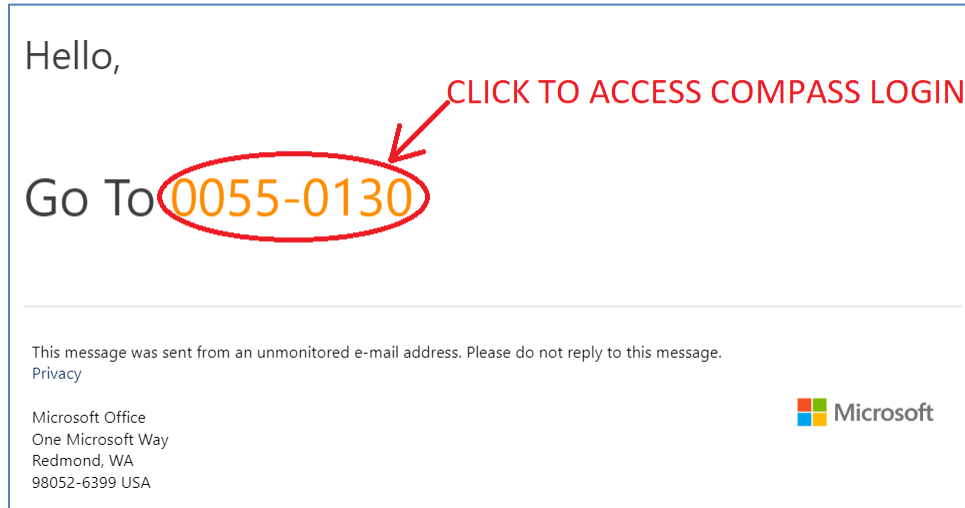
# Section 2 Submittals/Transmittals (S&T)

## 2.1 Accessing a Project Site

Each Construction Project Manager (PM) or Project Engineer (PE) is responsible for inviting the Contractor to join the project site via email invitation.

To access the COMPASS project site:

1. Click on the link provided in the COMPASS email invitation. ***Never forward your email invitation to other users. If other individuals need access to a COMPASS project site, a request should be sent to the CTDOT Construction PM/PE. Note: Depending on the user's email settings, the email notification may go to the SPAM or Junk folder. If this occurs, email settings should be updated accordingly so future project-related emails route directly to the inbox.***



2. On the SharePoint Online invitation acceptance page,
  - a. Contractors with an existing work / company Office 365 account should click Organizational Account and log-in using their company Office 365 username and password.
  - b. Contractors without an existing Microsoft account should select “Create a Microsoft account” and follow the steps to quickly set-up a new, free account using the company email to which the invitation was sent.

# Welcome to SharePoint Online

To accept your invitation, sign in with a Microsoft account or an account assigned to you by your organization. By signing in you allow Connecticut Department of Transportation to use your basic profile (name and email address) in accordance with their privacy statement. Connecticut Department of Transportation has not provided links to their terms for you to review. You can remove these permissions at [myapps.microsoft.com](https://myapps.microsoft.com).



## Microsoft account

Sign in with the account you use for OneDrive, Xbox LIVE, Outlook.com, or other Microsoft services.



## Organizational account

Sign in with the account provided by your work or school to use with Office 365 or other Microsoft services.

SELECT TO SIGN-IN USING AN EXISTING COMPANY ACCOUNT. USE THE SAME USER NAME AND PASSWORD.

Don't have either account? [Create a Microsoft account, it's quick and easy!](#)

SELECT TO CREATE A NEW, FREE ACCOUNT.

[Legal](#) | [Privacy](#)

Upon logging in, the Contractor will have immediate access to the project site and be able to process submittals.

## 2.2 Preparing a Submittal Envelope

The COMPASS S&T application is used to process any type of document throughout the duration of construction. Each submittal must contain documents of a related subject matter. For example, a submittal may contain only Bridge Shop Drawings, or only Highway Shop Drawings, but not both. A submittal can contain a single document or multiple documents.

Submittal documents are to be formatted and digitally signed according to CTDOT standards, as described below. The instructions contained herein supersede the submittal **routing** process described in other manuals and instructions; project submittals are to be routed via COMPASS.

### 2.2.1 Submittal Format

#### 2.2.1.1 Shop Drawings

1. Sheets shall be sized ANSI D (34 in. x 22 in.) and be combined into (1) multi-page PDF file.
2. Submittal files shall be named per DOT Construction.
3. Each sheet shall have a border, title block and a rectangular box, 2.25 in. wide x 1.75 in. high, in the lower right-hand corner for the action stamp.
4. The minimum text height and width on sheets shall be 0.125 in.

5. All letter characters shall be uppercase.
6. All sheets shall be submitted in black and white.
7. Sheets shall be searchable.
8. If a submittal needs to be resubmitted, the new submittal will include all the sheets from the previous revision that were stamped No Exceptions Noted or Exceptions as Noted along with the new sheets that were required to be resubmitted.

***\*\*Guidance for the number of printed hard copies will be provided by the Construction District Office for inspection purposes. Sheet sizes shall be in the format described above.***

#### **2.2.1.2 Product Data**

1. Sheets shall be sized ANSI A (8.5 in. x 11 in.) and be a single multi-page PDF file.
2. Submittal files shall be named per DOT Construction.
3. Marked to indicate applicable choices and options.
4. Where non-applicable information and products are included, notations shall be made to clearly delineate applicable from non-applicable information.
5. Readily legible.
6. Include the following information and confirmation of conformance with the Contract to the extent applicable: critical
  - a. Manufacturer's printed recommendations
  - b. Compliance with recognized trade association standards
  - c. Compliance with recognized testing agency standards
  - d. Application of testing agency labels and seals
  - e. Notation of coordination requirements
  - f. Contract item number
  - g. Any other information required by the individual Contract provisions
7. If a submittal needs to be resubmitted, the new submittal will include all the sheets from the previous revision that were stamped No Exceptions Noted or Exceptions as Noted along with the new sheets that were required to be resubmitted.

***\*\*Guidance for the number of printed hard copies will be provided by the Construction District Office for inspection purposes. Sheet sizes shall be in the format described above.***

#### **2.2.1.3 Working Drawings**

Working drawings shall conform to the following requirements:

1. Sheets shall be sized ANSI D (34 in. x 22 in.) and be in a single multi-page PDF file.
2. Each sheet shall have a border, title block and a rectangular box, 2.25 in. wide x 1.75 in. high, in the lower right-hand corner for the reviewer's stamp.
3. The minimum text height and width on sheets shall be 0.125 in.
4. All letter characters shall be uppercase.
5. Sheets shall be searchable.
6. All sheets shall be submitted in black and white.
7. The first sheet shall include the Contractor's designer's Professional Engineer's digital signature, meeting the requirements of Adobe's Certified Document Services (CDS) or Adobe's Approved

Trust List (AATL), and all other sheets shall include a watermark of the Professional Engineer's stamp in a common area of the border.

8. Calculations shall be sized ANSI A (8.5 in. x 11 in.) and be in a single PDF file.
9. The first sheet of calculations shall include the Contractor's designer's Professional Engineer's digital signature meeting the CDS or AATL requirements.
10. Supporting Documentation shall be in a PDF separate from the drawings and calculations.
11. Submittal files shall be named per DOT Construction.
12. If a submittal needs to be resubmitted, the new submittal will include all the sheets/documents from the previous revision that were stamped No Exceptions Noted or Exceptions as Noted along with the new sheets/documents that were required to be resubmitted. All submittals, including resubmissions, are to be digitally signed as discussed below.

***\*\*Guidance for the number of printed hard copies will be provided by the Construction District Office for inspection purposes. Sheet sizes shall be in the format described above.***

### **2.2.1.4 Landscape Design Unit Submittals**

#### **Overview**

To improve the accuracy and turnaround time of landscape related Contractor submittals, Landscape Design Unit Submittal Templates, and the COMPASS submittal type 'Landscape Submittals' have been created. Fillable Landscape Design Unit Submittal Template forms can be found in the Appendix at the end of this document. For projects with a Permit Planting Plan or Wetland Mitigation, please see [Office of Environmental Planning Submittals](#).

Note: Only items listed under 'Landscape Items' on the Contract's Detailed Estimate Sheet shall utilize the Landscape Design Unit Submittal Templates and be submitted as a 'Landscape Submittals' submittal type.

The following Landscape Design Unit Submittal Templates are available for Contractor use:

1. Plant Material
2. RFC – Landscape Plan Plant Material Substitution Request
3. Supplemental Landscape Item
4. Landscape Seeding
5. Mulch

All Landscape Design Unit Submittals shall be uploaded to COMPASS using the submittal type 'Landscape Submittals' except for any requests for change (RFC – Landscape Plan Plant Material Substitution Request) which shall be uploaded as an 'RFC' submittal type.





of trees to be staked shall also be provided. Trees under 2” in caliper require a minimum of two stakes each, and trees larger than 2” in caliper require a minimum of three stakes each, unless otherwise specified in the contract.

**C. Planting Soil**

Provide the manufacturer, supplier, and quantity of compost and peat moss to be used in the creation of the planting soil for the installation of plant material within the submittal. Also attach a certified test report for the compost.

**D. Fertilizer**

Provide the grade of fertilizer to be used, and provide the Guaranteed Analysis of the product, or attach a copy of the product label clearly showing such information. Also provide the fertilizer manufacturer, supplier, and the quantity to be used in association with the plant material within the submittal.

**E. Landscape Plan Plant Material Source of Supply**

The Contractor shall complete one sheet for each plant material supplier being used, and on each sheet shall specify:

- Supplier information: name, address, a contact representative for the supplier, and their phone number.
- Attached copies of the supplier’s Certificate of Inspection issued by federal or state authorities which attest to the plant material’s freedom from diseases and insect infestations.
- Item number, description, size, and quantity of the items being sourced from that supplier.

**2. RFC - Landscape Plan Plant Material Substitution Request**

Use this template for any plant materials in which the plant species in the contract is unable to be sourced or the contractor is requesting a substitution for any other reason. One submittal template must be filled out each item being requested for substitution.

All Landscape Plan Plant Material Substitution Request Submittals shall be uploaded to COMPASS under the submittal type ‘RFC’.

The information provided on each Landscape Plan Plant Material Substitution Request Submittal Template shall include:

- Original Contract item information: Provide the item number, description, plant size, and quantity of the original contract item that is being requested for substitution.
- Reason for the request for substitution: If the item was found to be unavailable in the region, check the corresponding box. If requesting the substitution for any other reason, check the second box and provide an explanation for the request.
- Attempted sources: Identify A minimum of 3 sources/vendors which were unable to supply the original contract item.
- Proposed Substitution: Identify any proposed plant species for the substitution (optional)
- Identify any changes in cost for the substituted item.

### 3. Supplemental Landscape Item Submittal Template

Provide the general information about the project and Contractor(s) and complete the affidavit attesting to the items' conformance to the contract specifications. Also provide the item number, name, and the quantity if applicable. Provide any other information required by the specification in the space provided or attach additional sheets.

### 4. Landscape Seeding Submittal Template

Provide the general information about the project and Contractor(s) and complete the affidavit attesting to the items' conformance to the contract specifications. Provide the item number, name, and the quantity of the seed mixture to be used. Also provide an attachment from the supplier stating the seed mixture components and their purity rate by percent of mass, germination rate, and origin of each species in the mix. Include any other information required by the specification as attachments.

### 5. Mulch Submittal Template

Provide the mulch type/name, particle size, and color. Also provide the manufacturer, supplier, and quantity to be used in association with the plant material within the submittal.

#### 2.2.1.5 Facilities Submittals

1. For Section 1.20 Facilities projects, please see Appendix for the Submittal Transmittal Form. The Contractor shall attach the Submittal Transmittal Form to the beginning of each PDF submittal. The form will be used for the Contractor to digitally certify that "Having reviewed this submittal, I certify that it is complete, accurate, coordinated in all aspects of the item being submitted and conforms to the requirements of the Contract in all respects, including all Federal requirements such as the 'Buy America Act (BAA)' and the 'Build America, Buy America (BABA) Act,' except as otherwise noted."
2. The Contractor shall follow recommended **Naming Conventions** and the following additional recommendations for Section 1.20 Facilities Submittals:

- a. File Name:

**Project Number [#####] Submittal Number [###] Facilities Submittal Type (one only) [##] [Description]**

*Example:*

*0034-0350 001 SD Concrete Pads*

- i. Project Number: 8-digit project number.
- ii. Submittal Number: chronological submittal number created by the Contractor starting at 001.
- iii. Section 1.20 Facilities Submittal Types:
  1. Shop Drawing - Facilities (SD)
  2. Product Data Sheet – Facilities (PD)
  3. Product Sample (PS)

4. Coordination Drawing (CD)
5. Working Drawing (WD)
6. Facilities Submittal – **DO NOT USE**
7. Quality Assurance Submittals (QA)
8. Operation and Maintenance Manuals (OM)
9. Spare Parts Transmittal (SP)
10. Warranties (WA)

iv. Description: Brief description of submittal content.

b. Submittal Name:

**Same as File Name except remove Project Number.**

*Example:*

*001 SD Concrete Pads*

3. Subsequent Resubmittals:

- a. File Name remains the same.
- b. Submittal Name shall remain the same and shall include revision number (e.g., R1, R2, etc.) to name the resubmittal chronologically, after the Submittal Number.

*Example:*

*001R1 SD Concrete Pads*

### **2.2.1.6 Office of Environmental Planning Submittals**

#### **Overview**

For projects with a Permit Planting Plan or Wetland Mitigation, the Office of Environmental Planning's (OEP) Contractor submittals differ from those from [Landscape Design](#). To differentiate between the two-unit submittals, OEP has created fillable Permit Planting Plan Submittal Template forms which can be found in the Appendix of this document.

Note: If a project has a Permit Planting Plan, the individual items for each plant will be listed on the Contracts Detailed Estimate Sheet. If a project has Wetland Mitigation or Tidal Mitigation, all plants will be listed on the Detailed Estimate under Item #0949875A – Wetland Plantings.

The following OEP Permit Planting Plan Submittal Templates are available for Contractor use:

6. Permit Planting Plan Material Cover Sheet
7. Permit Planting Plan Material Source of Supply
8. Permit Planting Plan Material Substitution Request
9. Permit Plan Seeding
10. Mulch
11. Tree Staking

All OEP Permit Planting Plan Submittals shall be uploaded to COMPASS using the submittal type "Other" and submitted to OEP as a "Reviewer".

A screenshot of a web form. At the top, there is a dropdown menu labeled 'Sub Type' with a downward arrow. Below it, a horizontal bar shows a blue checkmark icon followed by the text 'Other'.

## **Filling Out the OEP Permit Planting Plan Submittal Templates**

Each OEP Submittal should be filled out as described in the outline below:

### **2. Permit Planting Plan Cover Sheet**

Note: Multiple Permit Planting Plan Cover Sheet Submittal Templates may be required at different times during the construction duration for each material request being proposed separately.

The Contractor is required to fill the following cover sheet sections:

- CTDOT Project Information
  - a. Choose District from drop down menu
- General Contractor Information
- Landscape Contractor Information
- Certification Statement
- Included Submittal Templates
  - a. Check each material box that is being submitted under the Cover Sheet

### **3. Permit Planting Plan Material Source of Supply**

The Contractor is required to fill the following source of supply sections:

- CTDOT Project Information
  - a. Choose District from drop down menu
- General Contractor Information
- Landscape Contractor Information
- Vendor Information
  - a. Must submit a separate source supply template for each source supplier
  - b. A vendor Certificate of Inspection is required to be attached as part of the submittal for each source supplier
- Permit Planting Plan Material
  - a. Enter Item Number
  - b. Enter Botanical / Common Name
  - c. Enter Plant Size
  - d. Choose wetland indicator for each Item from the drop down menu

- e. If any of the entered plants requires a substitution, change in plant size or quantity, use the Substitution Required drop down menu.

#### **4. Permit Planting Plan Material Substitution Request**

The Contractor is required to fill the following substitution request sections:

- CTDOT Project Information
  - a. Choose District from drop down menu
- General Contractor Information
- Landscape Contractor Information
- Original Contractor Item
  - a. Must submit a separate material substitution request template for each item substitution on Permit Planting Plan Material Source Supply Template checked in the Permit Planting Plan Material Section.
- Reason for request for substitution plant material
  - a. Select box
- Attempted Sources\*

\*Note: For Permit Planting Plan plantings with a standard 818 item requiring a substitution, 3 nursery source suppliers are required per M.13.07 Plant Materials: 5. Substitutions. For plants listed under special provision Item #0949875A – Wetland Plantings requiring a substitution, 5 nursery source suppliers are required.

- Vendor Information
  - a. Must submit a separate material substitution request template for each item substitution on Permit Planting Plan Material Source Supply Template checked in the Permit Planting Plan Material Section.
  - b. A vendor Certificate of Inspection is required to be attached as part of the submittal for each source supplier
- Proposed Substitution

#### **5. Permit Plan Seeding**

The Contractor is required to fill the following seeding sections:

- a. CTDOT Project InformationChoose District from drop down menu
- General Contractor Information
- Landscape Contractor Information
- Certification Statement
- Seed Mixture
  - a. From the drop down menu, select the seed type.
  - b. Must submit a separate Permit Plan Seeding Template for each seed type being used.
- Item Quantity

- a. Provide the Quantity Unit
- Check box and attach seed suppliers seed mix data
- Check box if the contractors proposed seed mix differs from the items listed in Detailed Estimate Sheet. Must supply seed suppliers seed mix data for review and acceptance.

## 6. Mulch

The Contractor is required to fill the following mulch sections:

- CTDOT Project Information
  - a. Choose District from drop down menu
- General Contractor Information
- Landscape Contractor Information
- Mulch Material Item
  - a. Provide Item Number
  - b. Choose Mulch Type from drop down menu
  - c. Provide particle size
  - d. Provide color
  - e. Provide any comments
- Source
  - a. Provide manufacturer
  - b. Provide vendor/supplier
- Item Quantity
  - a. Provide the Quantity Unit

## 7. Tree Staking

The Contractor is required to fill the following tree staking sections:

- CTDOT Project Information
  - a. Choose District from drop down menu
- General Contractor Information
- Landscape Contractor Information
- Stake Type
  - a. Choose Mulch Type from drop down menu
  - b. Provide any comments
  - c. Attach manufacturer installation instructions
- Source
  - a. Provide manufacturer
  - b. Provide vendor/supplier

## 2.2.2 Digital Signature Requirements

A digital ID must be purchased to apply a digital signature. Digital ID's must meet the specifications of Adobe's Certified Document Services (CDS) or Adobe Approved Trusted List (AATL). The necessary

hardware and software needed to apply the required digital signatures may be purchased from the list provided at the following websites:

- CDS: [http://www.adobe.com/security/partners\\_cds.html](http://www.adobe.com/security/partners_cds.html)
- AATL: <https://helpx.adobe.com/acrobat/kb/approved-trust-list2.html>

A graphic appearance must be attached to a digital signature when signing documents. The following section shows the graphic appearance requirements when signing as a Professional Engineer (PE) and when signing as a non-PE. For Working Drawings, two graphic appearances must be created. One is an appearance of the PE stamp, which will be attached to the digital signature. The other appearance shall be the PE stamp along with the firm's address and be used as a watermark that shall be placed in the border of all working drawings. Documents such as letters and other correspondence from the Contractor shall be digitally signed in accordance with this publication.

### ***2.2.2.1 Graphic Appearance of the Digital Signature***

Two graphic appearances, one of the Engineer's PE stamp and one with the Engineer's PE stamp and company address must be created in accordance with the following. One will be used as the appearance of the digital signature and one will be used as a watermark that is to be placed on all Working Drawings.

The graphic signature that accompanies the digital signature only needs to include the designer's signature and PE stamp, and shall be created as follows:

1. Stamp and sign a blank piece of paper.
2. Scan the signature.
3. Crop the image to approximate 250 pixels wide by 250 pixels high.
4. Save the image as a PDF on a computer or server where it can be easily accessed for later use in the signature set-up procedure.



*Figure 1: Example of Consultant Engineer Graphic Image of Signature - applied with digital signature to first page only*

### ***2.2.2.2 Graphic Appearance Used as a Watermark***

In addition to the designer's signature and PE stamp, the graphic signature that is placed as a watermark shall also include the designer's company name and address, and shall be created as follows:

1. On a blank paper piece of paper, print company name and address.
2. Place PE stamp next to company name and address.
3. Sign PE stamp.
4. Scan the image created in steps 1 through 3.



5. Crop the image to approximately 500 pixels wide by 250 pixels high.
6. Save the image as a PDF on a computer or server where it can be easily accessed for later use in the watermarking procedure.



*Figure 2: Example of Consultant Engineer Graphic Image of Signature - applied to all pages as a watermark*

Once the graphic images have been properly created and saved, the digital signature appearance preferences must be set as follows:

#### ***2.2.2.3 Regular Signer – Graphic Appearance of the Digital Signature***

The following graphic appearance shall be used when signing as a regular signer. This appearance will be used for signing letters and other types of documents.

The graphic signature appearance shall be created as follows:

1. Signer must sign a blank piece of paper.
2. Scan this signature.
3. Crop the image so that the image is approximate 300 pixels wide by 100 pixels high.
4. Save the images as PDFs on a computer.



*Figure 3: Example of a Graphic Image of Signature - used with digital signature*

#### ***2.2.2.4 Setting Up the Appearance of a Digital Signature***

To set-up the appearance of a digital signature:

1. Launch Bluebeam.
2. Make sure the USB token that has your digital signature on it is inserted into the computer. Then in Bluebeam go to the Document tab and select Signatures → Digital IDs.

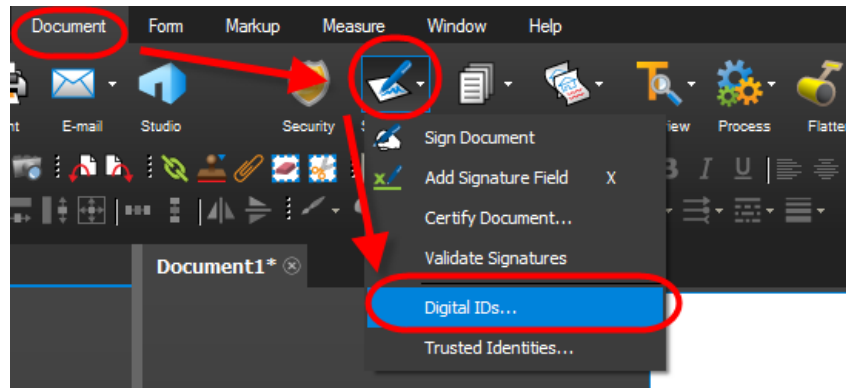


Figure 4: Digital Appearance

3. Click on your ID and click Manage Appearances

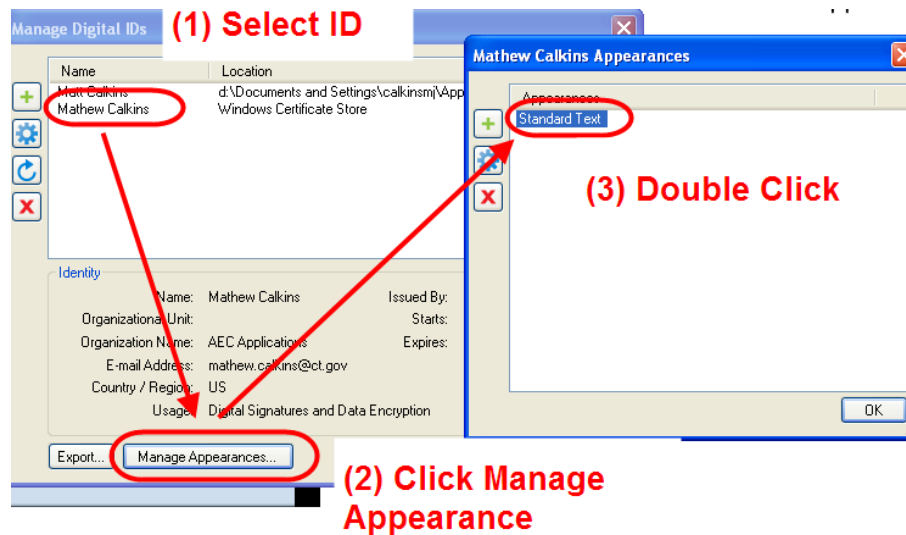


Figure 5: Manage Appearance

4. Next follow the figure below to add the applicable graphic appearance and set the correct settings:

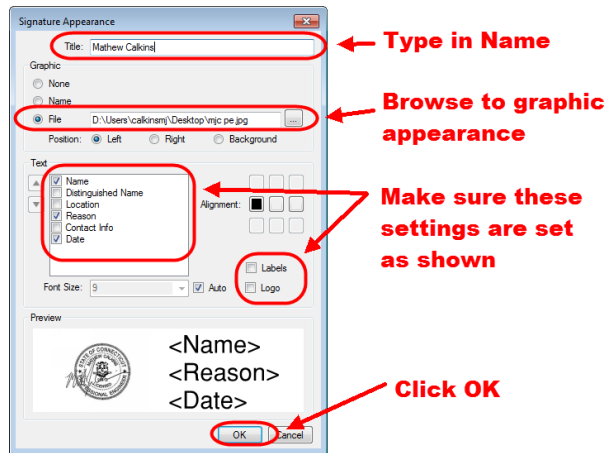


Figure 6: Setting the Digital Appearance

5. Now the digital appearance will be saved and can be used to digitally sign.

#### 2.2.2.5 Digitally Signing

The digital signature must be applied to the Working Drawings, calculations, and other documents using the document certification option. CLA-12 should use the Digital Signature option shown below.

The following settings must be selected when digitally signing:

The digital signature must be applied to the Working Drawing in accordance with the following. CLA-12 should use the

The following settings must be selected when digitally signing:

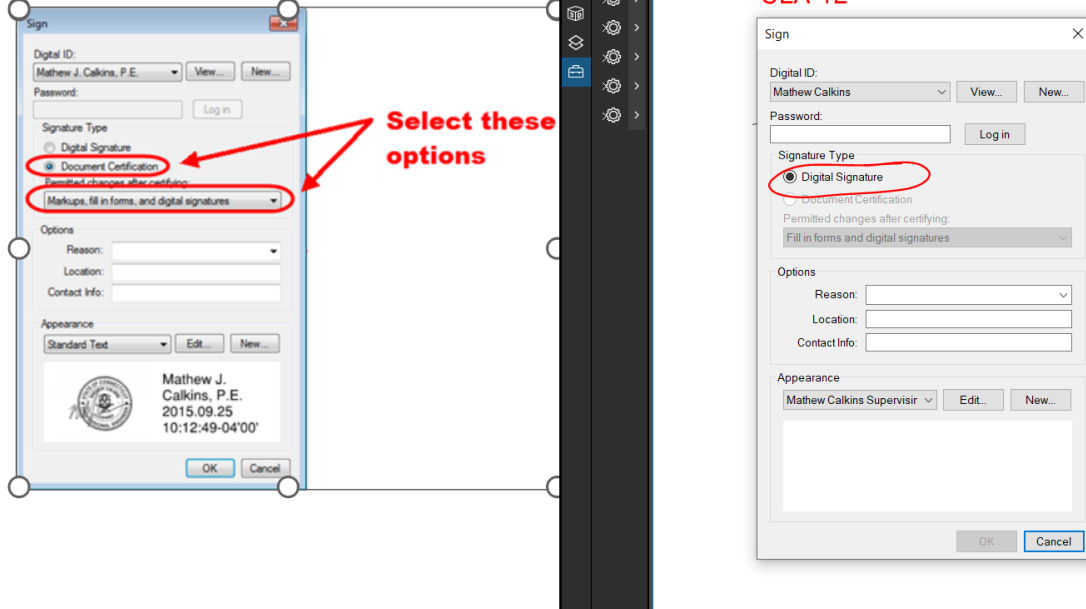


Figure 7: Digitally Signing

The following are examples of Working Drawings and calculations that have been digitally signed:

### 2.2.2.6 Working Drawing Plans

The first plan sheet in the submittal shall have a digital signature and a watermark placed on it as shown below. All other sheets will only have the watermark. A place in the border of the plan sheets shall have a spot for this watermark.



submittal can contain a single document or multiple documents. **For [Landscape Submittals](#), please see the Appendix at the end of this document.**

To create a new envelope in COMPASS:

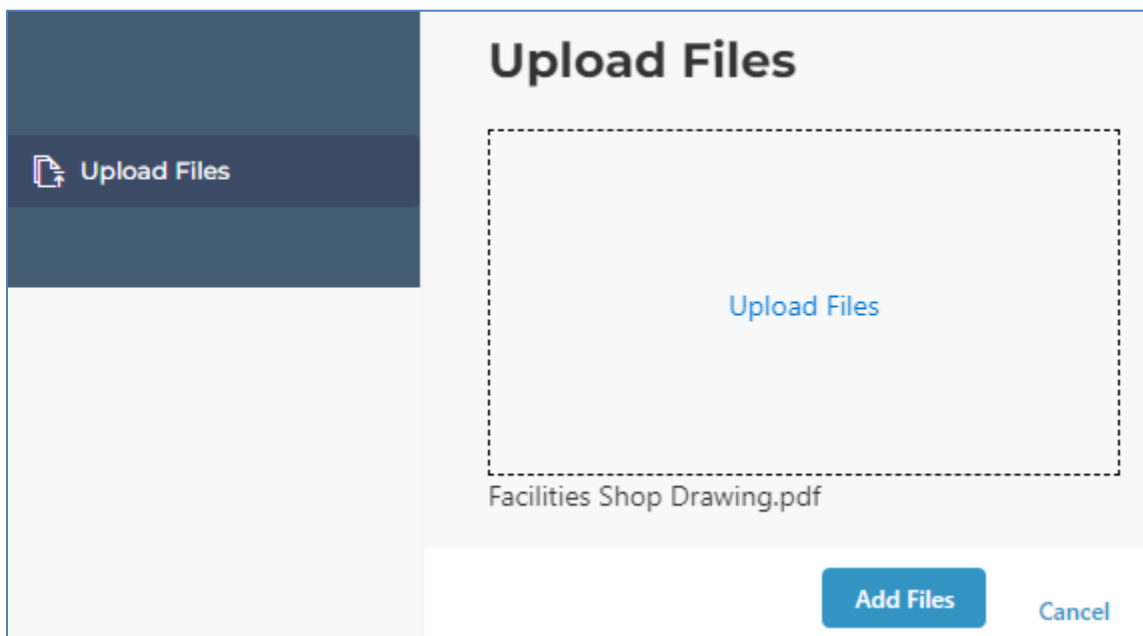
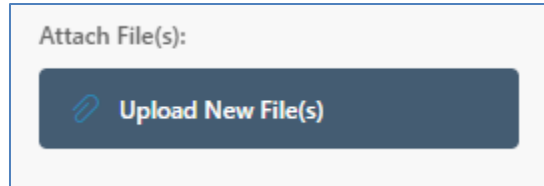
1. Log-in to COMPASS.
2. Click the New button on the Submittals/Transmittals page.



3. The Submittal / Transmittal window opens. Complete the appropriate form details:
  - a. **Name:** Follow any recommended [Naming Conventions](#) prescribed by CTDOT Construction.  
**Note: Envelope and file names should not exceed 50 characters in length.**  
**Characters include letters, numbers, symbols, and spaces.**  
**Note: Envelope and file names should not contain any of the following restricted characters: ~ “ # % & \* : < > ? / \ { | }**
  - b. **Item Number (optional):** Select one or more Item Numbers associated with the submittal. If the Item Number is not listed, follow DOT Construction District guidance on adding a new number. If the Contractor is instructed to add the new number, take the following steps:

- c. **Type:** Select the appropriate submittal type. This selection will determine to whom the envelope will be routed, based on the project Approval Matrix. It is important to select the correct Type to ensure there is no delay in routing the submittal to the appropriate person. The project's Contractor Submittal List is stored in the Contract Documents → 110\_Contract\_Documents folder to help provide guidance on Type selection.

- d. **Urgent box (optional):** *The urgent box should be used sparingly.* All submittal envelopes marked as urgent will be pinned to the top of the Submittals/Transmittals table. Marking this box does not modify any contractual obligations. This box can be used to highlight a submittal that would benefit from an expedited review.
4. Once the submittal form is prepared, click the Upload New File(s) button, then Upload Files. One or more files can be selected at once from this window. Once all files are selected press Add Files.



5. Once attached, the file name can be edited if needed. Press Submit when all Submittal information is complete.  
**Note: Submittal and file names should not exceed 50 characters in length.**  
**Note: The maximum size of an individual files is 250 MB. Files more than 250 MB can be broken into separate file attachments and included in the same submittal.**
6. The submittal owner and any members of the optional CC list will receive an email notification regarding the new submittal. The submittal will populate in the Submittals/Transmittals table, showing the name, type, and item number. The Review Status will show as Process Assignment with the Ball-In-Court assigned to the submittal owner.

## 2.4 Submittal Envelope Owner

When a new submittal is created, the envelope owner is assigned based on the Approval Matrix. For example, if the Contractor selects Shop Drawing – Bridge as the Submittal Type, then the person assigned to review Shop Drawing – Bridge in the Approval Matrix for the given project will be assigned as envelope owner. The envelope owner is responsible for reviewing the submittal envelope, assigning additional reviewers (optional), setting due dates in conformance with any contractual obligations, providing any feedback to the Contractor and completing the submittal process.

## 2.5 Review Process

The individual assigned as submittal envelope owner is responsible for completing the Process Assignment page.

### 2.5.1 Incomplete Submission

If the Department deems a Contractor submittal incomplete or unacceptable, the submittal envelope owner will return the submittal to the Contractor before beginning a review session. When a submittal is returned as incomplete, the submittal has not been entered into DOT processing; the review process and any associated timeframe requirements have not begun. The Ball-In-Court will list the Contractor and the Review Status will be Revise and Resubmit.

Reasons for returning an incomplete submittal before beginning a review session may include, but are not limited to:

- Submittal form incorrectly filled out (e.g., incorrect Type or Item Number is selected)
- Required digital signatures / contractual obligations are missing
- Type incorrectly selected, causing the submittal to route to the incorrect approving party

See [the Replace File section](#) for instructions on how to replace an incomplete submittal.

### 2.5.2 Revise and Resubmit

The Revise and Resubmit button in COMPASS is not to be confused with the Department's disposition, as communicated through the Digital Review and Action Stamps. The nomenclature in COMPASS indicates the submittal review status, **not** the Department's disposition.

The submittal envelope owner will select the Revise and Resubmit button if there is further action that the Contractor needs to take before the workflow can be completed. The submittal envelope owner will provide comments via mark-ups or file attachments in the actual submittal document(s). When the submittal envelope owner selects the Revise and Resubmit button, the Ball-In-Court will update to the Contractor, with a Review Status of Revise and Resubmit in the Submittals/Transmittals table.

The Contractor is responsible for reviewing all comments and mark-ups and resubmitting the document(s) as needed. If the submittal envelope owner returns a shop drawing submittal with different dispositions stamped on each sheet, the Contractor shall revise individual sheets as needed. When the replacement document is ready to submit, the Contractor shall combine the approved sheets and replacement sheets into one file in the correct order. Revised Working Drawings are to be signed before resubmitting as described in [Digital Signature Requirements](#).



The Revise and Resubmit function can be used multiple times, if needed, for a given submittal.

## 2.5.3 Revising and Replacing a File

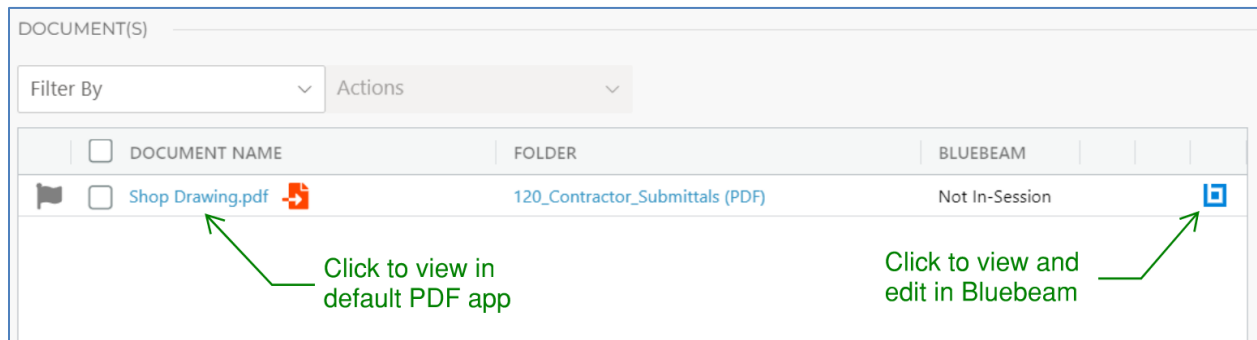
When a submittal is returned to the Contractor as Revise and Resubmit, the Contractor who created the submittal will receive an email notification and display as Ball In Court in the S&T table. The Contractor is responsible for opening the document, reviewing all comments and mark-ups, and responding according to current business processes.

### 2.5.3.1 Open a File

To open a file, click the link in the email notification or navigate to the appropriate submittal in the Submittals/Transmittals table.

The Revise and Resubmit envelope will display. The document grid lists the documents contained in the submittal envelope.

- To view the document in one's default PDF application, click the document name.
- To view the document in Bluebeam, click the Bluebeam Revu symbol. *Note: This feature only works for users who have Bluebeam Revu installed on their device.*



Review the comments or stamps applied to the documents by the Department.

### 2.5.3.2 Revising a File

The Contractor is responsible for reviewing all comments provided and revising the submittal document(s). The Contractor should not revise any pages or sheets that have been stamped No Exceptions Noted or Exceptions as Noted by the Department.

### 2.5.3.3 Shop Drawings, Working Drawings and Product Data

Shop drawings, working drawings and product data shall be formatted and digitally signed in conformance with the current requirements as discussed in [Preparing a Submittal](#).

If the submittal owner returns a shop drawing, working drawing or product data submittal with different dispositions stamped on each sheet, the Contractor shall revise individual sheets as needed. Consistent with current business processes, the Contractor shall only make modifications to sheets stamped Revise and Resubmit or Rejected; the Contractor shall not revise any pages or sheets that have been stamped No Exceptions Noted or Exceptions as Noted by the Department.

When the replacement document is ready to submit, the Contractor shall include all the sheets from the previous version that were stamped No Exceptions Noted or Exceptions as Noted along with the new sheets that are required to be resubmitted. Revised Working Drawings are to be signed before resubmitting as described in [Digital Signature Requirements](#).

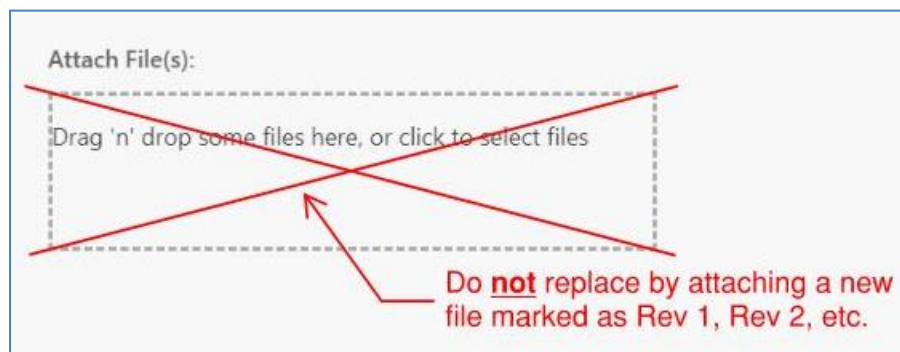
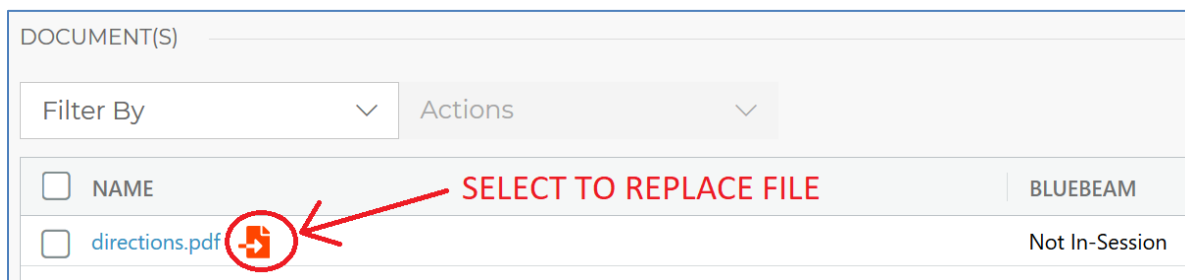
#### 2.5.3.4 Replace File

Any Contractor with access to the project can respond to the request to Revise and Resubmit.

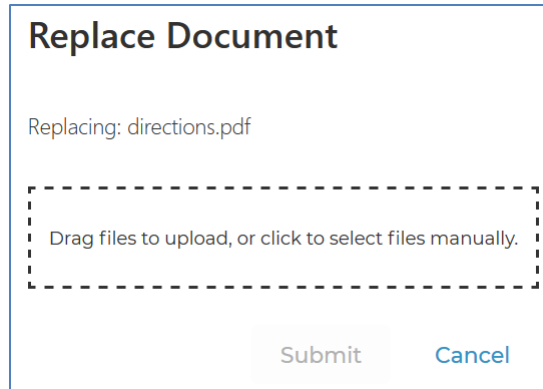
The Contractor responding to the Revise and Resubmit can provide a response using one of two methods:

- Use the Bluebeam Revu button in the envelope to checkout, modify, and check in the new version of the document (requires Bluebeam Revu on the user's device).
- Or, replace the file using the red replace file button as described below

1. Navigate to the appropriate submittal page and click the Replace file button. This is the red button located to the right of the file name. **Note: The Contractor should not respond to a Revise and Resubmit by attaching a new document in the Attach File(s) window:**



2. A Replace Document window will appear. Select the correct document to upload, then press the Submit button. The replacement document does not have to match the original file name; it can have any name necessary based on the Contractor's naming conventions (e.g., Rev. 1, etc.). **The file name in COMPASS remains the same, regardless of the name of the replacement file.**



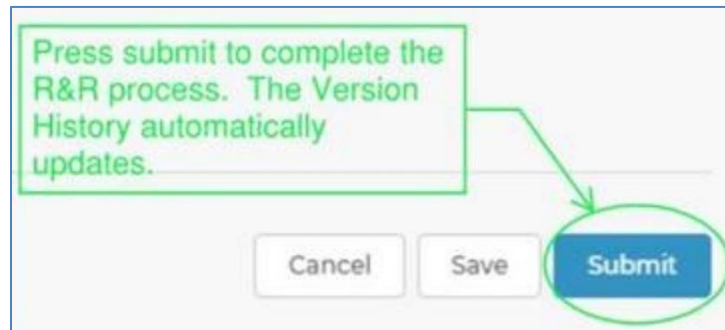
**Replace Document**

Replacing: directions.pdf

Drag files to upload, or click to select files manually.

Submit Cancel

3. If more than one file in a submittal is to be replaced, press the Replace File icon next each document and repeat the process described above. Ensure that the correct replacement file is uploaded to replace the corresponding original document in COMPASS.
4. Press Submit to complete the R&R process. COMPASS automatically saves the replacement file in the original document's version history (visible only to the CTDOT and consultant project team members). The Ball in Court will return to the submittal owner.

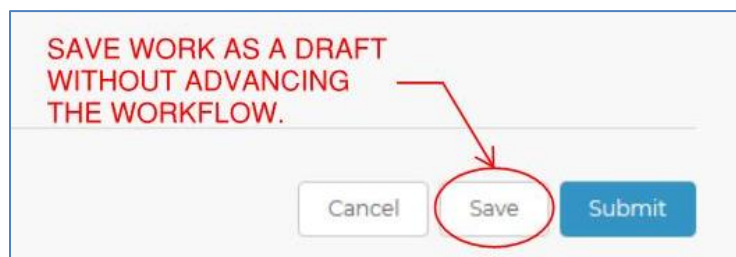


Press submit to complete the R&R process. The Version History automatically updates.

Cancel Save Submit

## 2.6 Save a Draft

Users have the option to save their work as a draft without advancing the workflow. In the Process Assignment and Submittal windows, if the Save button is selected the user's work will be saved as a draft. In the Submittals/Transmittals table, the Review Status will show as Draft. The Ball-In-Court will remain with the user who selected save.



SAVE WORK AS A DRAFT WITHOUT ADVANCING THE WORKFLOW.

Cancel Save Submit

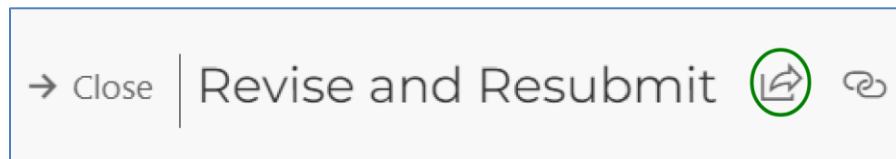
## 2.7 Ball-In-Court Status

The Submittals/Transmittals (S&T) table contains a Ball-In-Court column that automatically updates throughout the workflow. The Ball-In-Court will list one or more individuals at a given time during the review process. Once the submittal is complete, the Ball-In-Court field is blank. The Contractor should review the submittal when the status is Complete to assess the Department's disposition. All project staff, including Contractors, are responsible for monitoring the Submittals/Transmittals table regularly.

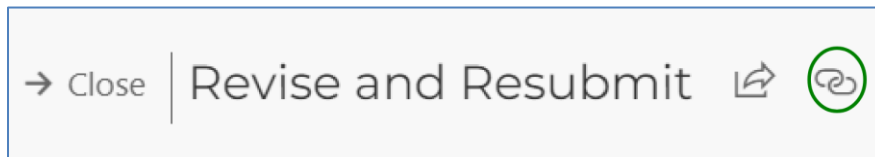
## 2.8 Email or Copy a Link to a Submittal

Links to submittals can be shared to individuals with existing access, such as DOT project staff and Contractor staff with access to the project.

The share button, as seen in the below image, will open the user's default mail client (such as Outlook) with a prepopulated email with a link to the submittal in the body and the project number and name of submittal in the subject line. The message can be further customized as needed directly in the mail client.



The link button, as shown below, can be used to copy a link to a submittal and used in an email, document, Teams chat or other location where links may be provided.



## 2.9 Navigating the S&T Table

The contents of the S&T table can be searched, filtered, and sorted for ease of use.

An optional Export to Excel is available to aid in reporting outside of COMPASS.

To search or filter, enter key words from submittal envelope names in the search field, or select option from the various drop-down boxes. Press the Reset Filters button to clear all search and filter results.

**Submittals / Transmittals**

FILTER BY

Type ▾

Status ▾

Ball In Court ▾

Due Date ▾

Phase ▾




Reset Filters
 Export to Excel

To sort columns, select the arrow to the right of each column heading. Columns can be sorted in ascending or descending order.

## 2.10 Highlight / Flag a File

Any user with access to a submittal envelope can highlight / flag one or more file name rows in the Document Grid. The intent is to bring greater attention to one or more files and support better collaboration amongst the project team.


- Click the gray flag associated with a given row. This turns the flag red and highlights the row in yellow.
- Click the red flag to remove the highlight.

	<input type="checkbox"/> NAME ▾	FOLDER
	<input type="checkbox"/> Surveys demo - work request.pdf	120_Contractor_Submittals (PDF)
	<input type="checkbox"/> Fire safety construction documents.pdf	120_Contractor_Submittals (PDF)
	<input type="checkbox"/> Facilities Shop Drawing.pdf	120_Contractor_Submittals (PDF)

## 2.11 Correspondence to Contractor

The Department may elect to send correspondence to the Contractor via COMPASS. If this occurs, an email notification will be sent to the Contractor. In the S&T table, the Ball in Court will show the Contractor's name and the Submittal Type will list as Correspondence to Contractor. The Contractor should take the following actions to complete the workflow:

- The assigned Contractor will receive an email notification. The S&T table will update to a Review Status of "In Review" and list the assigned Contractor as Ball In Court.

SUBMITTAL	SUB TYPE	ITEM ...	REVIEW STA...	BALL IN COU...
 Instructions	Correspondence to C...		In Review	Wanda Vision
1 of 2				

- The Contractor can view the correspondence by clicking on the document name.

DOCUMENT(S) \_\_\_\_\_

Filter By ▼ Actions ▼

<input type="checkbox"/> NAME	REVIE...	CONTRIBUTOR	BLUEBEAM
<input type="checkbox"/> <a href="#">Instructions.pdf</a>	Not Revi	Lofberg, Lynne / Transportation Engineer 3	Not In-Session

3. The Contractor will press the Complete button to serve as confirmation of receipt. Press the blue Submit button in the pop-up window that appears; no comments are required.

SUBMITTAL REVIEWER(S)					
	NAME	DUE DATE	STATUS	COMPLETE DATE	ORDER
	<a href="#">Wanda Vision / No Title</a>	03-24-2021	Not Complete	NA	1
	<a href="#">Lofberg, Lynne / Transportation Engineer 3</a>	03-25-2021	Not Complete	NA	2

Submittal Review Comment ✕

Please enter any comments you have.

Comments







Submit

Cancel

4. When a Correspondence to Contractor envelope is marked with a Review Status of Complete:
- All Contractors will receive an email notification of the Correspondence to Contractor.
  - The Correspondence to Contractor envelope will display in the S&T table for all Contractors.
  - Contractors can access the related Correspondence to Contractor documents via the envelope, or by navigating to the Contract Documents → 125\_Completed\_Submittals folder.

Project No. 0055-0130  
Temp ID. PP000-0000  
Schedule Phase: Completed

Contacts  
Contract Documents

Contract Documents			
 Name ▾	Modified ▾	Modified By ▾	
 100_Contract_Plans (PDF)	January 29, 2020	SharePoint App	
 110_Contract _Documents	January 29, 2020	SharePoint App	
 125_Completed_Submittals	June 30, 2020	SharePoint App	
 130_Final _Engineering_Reports	January 29, 2020	SharePoint App	
 160_Project Photos	December 16, 2020	SharePoint App	

## 2.12 Reopen Complete Submittal Envelope

A limited group of CTDOT staff has the ability to reopen a Complete submittal envelope to meet business needs. If a Contractor submittal envelope is reopened:

- The Contractor who created the submittal envelope will be notified via email.
- The CTDOT staff will address any changes needed, including but not limited to modifying documents, issuing a new review workflow, or returning to the Contractor as Revise and Resubmit.

## 2.13 Project Menu

The Project Menu – located on the left side of Dashboard and Details pages – is comprised of the following sections:

- Contacts: The Contacts folder can be used to add contact information for project staff, stakeholders, contractors, agencies, or other relevant users.
- Contract Documents: The Contract Documents library contains five folders to which all users with access to the project, including Contractors, have access.

<b>Folder Name</b>	<b>Contents</b>
100_Contract_Plans (PDF)	Project contract plans
110_Contract_Documents	Project contract documents Contractor Submittal List
125_Completed_Submittals	Completed contractor submittals, except Payrolls Completed Correspondence to Contractor documents
130_Final_Engineering_Reports	Final Engineering Reports
160_Project Photos	Project photos and videos <i>Contractors may upload project photos and videos to this folder, if needed.</i>

When a selection is made from the Project Menu, a new window will automatically open to provide the information. For example, if the Contract Documents library is selected, it will open in a new browser window.

Project Overview







Project No. 0134-0148

Temp ID. PP134-0006

Schedule Phase: Pre-Design

Contacts

Contract Documents

<b>Contract Documents</b>			
	Name ▾	Modified ▾	Modified By ▾
	100_Contract_Plans (PDF)	April 17	SharePoint App
	110_Contract_Documents	April 17	SharePoint App
	125_Completed_Submittals	June 9	SharePoint App
	130_Final_Engineering_Reports	April 17	SharePoint App
	160_Project Photos	April 17	SharePoint App



## Section 3 Best Practices

### 3.1 Business Processes

All project staff – including Contractors – should monitor their COMPASS accounts daily to assess Ball-In-Court statuses and ensure there is no lag in reviewing and routing submittals.

### 3.2 Naming Conventions

File names should not exceed **50 characters** in length. Characters include letters, numbers, symbols, and spaces. Submittal and file names should not contain any of the following restricted characters:

~ “ # % & \* : < > ? / \ { | }

Submittal names should accurately describe the contents of the submittal.

Individual file document names should be in the following format:

**Project Number [#####-#####] Submittal Type [WD, SD, RFI ###, RFC ###, etc.] [Description]**

*Examples:*

1234-5678 WD Access Platform

1234-5678 SD Exodermic Precast Panel

1234-5678 RFI 001 Structural Steel

1234-5678 Letter from Smith to Jones Winter Work

### 3.3 Urgent Box

The Urgent Box should only be checked for the following reasons:

- Submittal impacts schedule and the Contractor would like to reduce the contractually obligated review period. ***Note: Clicking the urgent box does not reduce contractual obligations but serves as a non-binding request to expedite the review process.***
- The urgent submittal needs to advance to the top of the Submittals/Transmittals table.

## Section 4 Frequently Asked Questions

### 4.1 Computer Requirements

#### 4.1.1 Devices

COMPASS can be accessed through a desktop computer, laptop computer, tablet, or mobile phone. The device must have internet access.

### 4.1.2 Internet Browsers

The preferred browsers for COMPASS are Microsoft Edge and Google Chrome. *Internet Explorer is no longer supported.*

## 4.2 Maximum File Size

SharePoint has a soft maximum file size of 250 MB. If a document exceeds this maximum, the user can break it up into multiple documents contained within the same submittal.

## 4.3 COMPASS Access Troubleshooting Tips

Below is a list of troubleshooting tips for users to implement if problems are encountered when trying to access COMPASS:

- Confirm the user has the proper permissions to access the project.
- Confirm the correct log-in name and password are used.
- Completely sign out of Office 365 and COMPASS, then log back in.
- Press CTRL+F5 to perform a hard refresh on the page.
- Delete the browser history and cache.
- Verify with local IT support that there are no firewalls, securities or other issues that would interfere with connecting to COMPASS.
- Attempt access using more than one web browser.

## 4.4 Delete a Submittal

Q: I accidentally submitted the wrong document to COMPASS. Can I delete the submittal?

A: Contact the project PM make any requests for deletion.

## 4.5 Email Address Change

Q: I received an email invitation to join a COMPASS project and set-up my account with an email address. Now I need to change my email address used to access the COMPASS project site. What is the process for doing this?

A: The Contractor should contact the project Construction PM and request a new invitation.

# Section 5 Data Dictionary

## 5.1 Submittals/Transmittals Table

COLUMN HEADINGS	
Column	Description
Name	Contractor enters manually in the “Name” field
Type	Contractor selects from “Type” drop-down list
Item No.	Optional. Contractor selects from “Item Number” project-specific drop-down list. One or more items can be selected.

Review Status	Updates automatically. Identifies status of the submittal in the workflow. Does <b>not</b> provide the Department's disposition on the submittal or the documents contained therein.
Ball In Court	Updates automatically. Identifies the person(s) responsible for taking the next action in the workflow.
Date Created	Auto-populates when the submittal is first initiated.
Final Due Date	Owner sets Due Date on the Process Assignment Page
<b>REVIEW STATUS COLUMN</b>	
<b><u>Status</u></b>	<b><u>Description</u></b>
Process Assignment	First status to appear after a new submittal is added. Based on the Approval Matrix, COMPASS automatically assigns the submittal owner to set-up the review process and schedule.
In Review (# of #)	Shows that the submittal is in review and identifies number of steps in the review series. Submittal Owner is the final reviewer by default.
Revise and Resubmit	Alerts Contractor to comments. Contractor to review email comments and/or marked-up documents, revise the submittal documents, then resubmit.
Send Back	Assigned reviewer declines the Owner's review request and returns the submittal back to the Owner.
Complete	Review process is complete. Contractor to review comments and/or marked-up documents for the Department's disposition.
Draft	A submittal is saved in draft form. The submittal has not been advanced in the workflow but is available for the user to edit and process.

## Section 6 Support

For assistance with the COMPASS S&T application, please contact the appropriate DOT construction personnel. For additional technical support, please create a ticket with [COMPASS Support](#).

# **Appendix**

**SUBMITTAL TRANSMITTAL FORM  
FOR FACILITIES PROJECTS**

## Submittal Transmittal Form

**Project No.:**

**Description:**

Contactor:			
Address:			
Telephone No.:			
Submittal No.:		CSI Spec or Special Provision No.:	

Contractor Certification: "Having reviewed this submittal, I certify that it is complete, accurate, coordinated in all aspects of the item being submitted and conforms to the requirements of the Contract in all respects, including all federal requirements such as the 'Buy America Act (BAA)' and the "Build America, Buy America (BABA) Act," except as otherwise noted."

Name: Contractor Representative

--

## Submittal Disposition Stamp

--

Comments:

### Additional Submittal Disposition Stamps\*

--

Comments:

--

Comments:

\*- if necessary

-Contractor to populate.

***Additional disposition stamps and/ or comments may be within submittal. Review complete returned submittal.***

**LANDSCAPE DESIGN UNIT**  
**SUBMITTAL TEMPLATES**



Landscape Design Unit Submittal  
**LANDSCAPE PLAN PLANT MATERIAL COVER SHEET**

Project Number: \_\_\_\_\_ Date: \_\_\_\_\_

Project Name: \_\_\_\_\_

General Contractor: \_\_\_\_\_

Landscape Contractor: \_\_\_\_\_

Submitter Contact: \_\_\_\_\_

Anticipated Nursery Inspection Date: \_\_\_\_\_ Anticipated Installation Date: \_\_\_\_\_

**DO NOT REMOVE PAGES** – Only complete forms will be accepted. Submit only plants to be installed in the upcoming or current planting season, or spring dug B&B stock for fall planting.

I, \_\_\_\_\_ representative of \_\_\_\_\_ hereby  
certify that the information submitted herein for review conforms to all aspects of the Contract.

(Department use only below line)

Material:	Tree Stakes	Planting Soil	Fertilizer	Plant Source
No Exceptions Noted				
Exceptions as Noted				
Revise & Re-submit				
Rejected				

☐ This submittal has been accepted, and a Visual Plant Inspection will be scheduled. Upon successful completion, Landscape Design will inform the Engineer that work may proceed.

Signed: \_\_\_\_\_





Landscape Design Unit Submittal

**TREE STAKES**

**Tree Staking Material:**

Provide a description of all materials to be used for tree staking:

---

---

---

Attach manufacturer installation instructions or provide proposed installation method:

---

---

---

**Source:**

Manufacturer: \_\_\_\_\_

Vendor/Supplier: \_\_\_\_\_

**Quantity:**

Trees to be staked using 2 stakes/guys/anchors: \_\_\_\_\_

Trees to be staked using 3 stakes/guys/anchors: \_\_\_\_\_

Trees to be staked using other quantities: \_\_\_\_\_

**Department Response**

	Comments:
--	-----------



STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION



Landscape Design Unit Submittal  
**PLANTING SOIL**

To meet the requirements of M.13.2 Planting Soil, the following organic amendments must be added to approved topsoil during the installation. Estimate the required cubic volume of each material for approval. Plant pits are 2x the volume of the plant's container or root ball.

**1. 15% Compost**

Manufacturer: \_\_\_\_\_

Vendor/Supplier: \_\_\_\_\_

Estimated Quantity (in cubic ft. or yards): \_\_\_\_\_

☐ Certified Test Report attached

**Department Response**

	Comments:
--	-----------

**2. 10% Peat Moss**

Manufacturer: \_\_\_\_\_

Vendor/Supplier: \_\_\_\_\_

Estimated Quantity (in cubic ft. or yards): \_\_\_\_\_

**Department Response**

	Comments:
--	-----------



STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION



Landscape Design Unit Submittal  
**FERTILIZER**

**Fertilizer Material:**

Grade: \_\_\_\_\_

Guaranteed Analysis (or attach product label):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Source:**

Manufacturer: \_\_\_\_\_

Vendor/Supplier: \_\_\_\_\_

**Quantity:**

\_\_\_\_\_ lbs / tons

**Department Response**

	Comments:
--	-----------



STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION



Landscape Design Unit Submittal  
**LANDSCAPE PLAN PLANT MATERIAL SOURCE OF SUPPLY**

Plant material listed on this sheet is proposed to be sourced from:

Vendor: \_\_\_\_\_

Vendor Address: \_\_\_\_\_

Vendor Representative: \_\_\_\_\_ Phone Number: \_\_\_\_\_

☐ The vendor's Certificates of Inspection issued by Federal or State authorities (or both) which attest to the plant material's freedom from diseases and insect infestations is attached.

**Landscape Plan Plant Material:**

<i>Item Number</i>	<i>Description</i>	<i>Size</i>	<i>Quantity</i>

Following this page, insert a copy of the vendor's Certificates of Inspection issued by Federal or State authorities (or both) which attest to the plant material's freedom from diseases and insect infestations.

**Department Response**

	Comments:
--	-----------



STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION



RFC

**LANDSCAPE PLAN PLANT MATERIAL SUBSTITUTION REQUEST**

**Request for Change Number:** \_\_\_\_\_

Project Number: \_\_\_\_\_ Date: \_\_\_\_\_

Project Name: \_\_\_\_\_

General Contractor: \_\_\_\_\_

Landscape Contractor: \_\_\_\_\_

Submitter Name: \_\_\_\_\_

Submitter Email: \_\_\_\_\_

Submitter Phone Number: \_\_\_\_\_

**Original Contract Item:**

<i>Item Number</i>	<i>Description</i>	<i>Size</i>	<i>Quantity</i>

**Reason for request to substitute plant material:**

☐ The material was found to be unavailable in the region. Inquiries were made to at least three sources in attempt to locate the material.

☐ Other: \_\_\_\_\_  
\_\_\_\_\_

**Attempted Sources:**

<i>Name</i>	<i>Address</i>	<i>Phone Number</i>	<i>Representative</i>

**Proposed Substitution(s):**

<i>Description</i>	<i>Size</i>	<i>Quantity</i>

**Change In Cost:** Original Item Unit Price: \_\_\_\_\_ Proposed Substitution Unit Price: \_\_\_\_\_

**Department Response**

	Comments:
--	-----------



STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION



Landscape Design Unit Submittal  
**SUPPLEMENTAL LANDSCAPE ITEM**

Project Number: \_\_\_\_\_ Date: \_\_\_\_\_

Project Name: \_\_\_\_\_

General Contractor: \_\_\_\_\_

Landscape Contractor: \_\_\_\_\_

Submitter Name: \_\_\_\_\_

Submitter Email: \_\_\_\_\_

Submitter Phone Number: \_\_\_\_\_

I, \_\_\_\_\_ representative of \_\_\_\_\_ hereby  
certify that the information submitted herein for review conforms to all aspects of the Contract.

**Supplemental Item Information:**

Item Number: \_\_\_\_\_

Item Name: \_\_\_\_\_

Item Quantity: \_\_\_\_\_

**Department Response**

	Comments:
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STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION



Landscape Design Unit Submittal

**LANDSCAPE SEEDING**

Project Number: \_\_\_\_\_ Date: \_\_\_\_\_

Project Name: \_\_\_\_\_

General Contractor: \_\_\_\_\_

Landscape Contractor: \_\_\_\_\_

Submitter Name: \_\_\_\_\_

Submitter Email: \_\_\_\_\_

Submitter Phone Number: \_\_\_\_\_

I, \_\_\_\_\_ representative of \_\_\_\_\_ hereby  
certify that the information submitted herein for review conforms to all aspects of the Contract,  
including sections 9.49 and M.13 of The Standard Specifications for Roads, Bridges, Facilities  
and Incidental Construction, Form \_\_\_\_\_ dated \_\_\_\_\_, Supplemental Specifications  
dated \_\_\_\_\_, as well as Contract Special Provisions, and notes and other information on  
the Contract Plans.

**Seeding Information:**

Item Number: \_\_\_\_\_

Item Name: \_\_\_\_\_

Item Quantity: \_\_\_\_\_

☐ Supplier's seed mix data attached

**Department Response**

	Comments:
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STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION



Landscape Design Unit Submittal  
**MULCH**

**Mulch Material:**

Description (type/name): \_\_\_\_\_

Particle Size: \_\_\_\_\_

Color: \_\_\_\_\_

**Source:**

Manufacturer: \_\_\_\_\_

Vendor/Supplier: \_\_\_\_\_

**Quantity:**

\_\_\_\_\_ s.y. \_\_\_\_\_ c.y.

**Department Response**

	<p>Comments:</p>
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# **ENVIRONMENTAL PLANNING SUBMITTAL TEMPLATES**

## Office of Environmental Planning Submittal

**MULCH****Contractor Submittal Date:****CTDOT Project Information**

Project Number:	District:
Project Description:	
Project Inspector:	
Project Inspector Email:	
Field Office Phone:	Cell Phone:
Field Office Location:	

**General Contractor Information**

General Contractor:
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**Landscape Contractor Information**

Landscape Contractor:	
Landscape Submitter Name:	
Office Phone:	Cell Phone:
Landscape Submitter Email:	
Landscape Business Address:	

**Mulch Material Item#:**

Mulch Type\*:

Particle Size: \_\_\_\_\_

Color: \_\_\_\_\_

Comments: \_\_\_\_\_

**Source**

Manufacturer: \_\_\_\_\_

Vendor/Supplier: \_\_\_\_\_

**Quantity:** \_\_\_\_\_ s.y.

\*The Contractor shall submit a separate MULCH Submittal Form for each different mulch type proposed in the Contract.

## Office of Environmental Planning Submittal

**PERMIT PLAN SEEDING****Contractor Submittal Date:****CTDOT Project Information**

Project Number:	District:
Project Description:	
Project Inspector:	
Project Inspector Email:	
Field Office Phone:	Cell Phone:
Field Office Location:	

**General Contractor Information**

General Contractor:
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**Landscape Contractor Information**

Landscape Contractor:	
Landscape Submitter Name:	
Office Phone:	Cell Phone:
Landscape Submitter Email:	
Landscape Business Address:	

I, \_\_\_\_\_ representative of \_\_\_\_\_ hereby certify that the information submitted herein for review conforms to all aspects of the Contract, including sections 9.49 and M.13 of The Standard Specifications for Roads, Bridges, Facilities and Incidental Construction, Form \_\_\_\_\_ dated \_\_\_\_\_, Supplemental Specifications dated \_\_\_\_\_, as well as Contract Special Provisions, and notes and other information on the Contract Plans.

**Seed Mixture\*:**

Item Quantity: \_\_\_\_\_ Unit:

- ☐ Suppliers seed mix data attached
- ☐ If the proposed seed mixture differs from the preapproved seed mixtures listed in the applicable specification, please check this box and provide seed mixture for review and approval.

\*The Contractor shall submit a separate PERMIT PLAN SEEDING Submittal Form for each different seed mix proposed in the Contract.

## Office of Environmental Planning Submittal

**PERMIT PLANTING PLAN MATERIAL SOURCE OF SUPPLY****Contractor Submittal Date:****CTDOT Project Information**

Project Number:	District:
Project Description:	
Project Inspector:	
Project Inspector Email:	
Field Office Phone:	Cell Phone:
Field Office Location:	

**General Contractor Information**

General Contractor:
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**Landscape Contractor Information**

Landscape Contractor:	
Landscape Submitter Name:	
Office Phone:	Cell Phone:
Landscape Submitter Email:	
Landscape Business Address:	

**Vendor Information\***

Source of Supply Company:	
Source of Supply Address:	
Source of Supply Representative:	
Office Phone:	Cell Phone:
Source of Supply Submitter Email:	

\*The Contractor shall submit a separate Permit Planting Plan Material Source of Supply for each vendor being proposed for review and approval.

- ☐ The vendor's Certificates of Inspection issued by Federal or State authorities (or both) which attest to the plant material's freedom from diseases and insect infestations must be attached following this page. Check box if attached.

## Office of Environmental Planning Submittal

**PERMIT PLANTING PLAN MATERIAL SOURCE OF SUPPLY****Permit Planting Plan Material\*\***

	<i>Item Number</i>	<i>Botanical / Common Name</i>	<i>Plant Size</i>	<i>Qty</i>	<i>Wetland Indicator</i>	<i>Substitution Required***</i>
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						

\*\*No plants shall be delivered to the site until all plants have been visually inspected and approved by OEP.

\*\*\*The Contractor shall submit a separate Request for Change for each Item Number a substitution is being proposed.

## Office of Environmental Planning Submittal

**TREE STAKING****Contractor Submittal Date:****CTDOT Project Information**

Project Number:	District:
Project Description:	
Project Inspector:	
Project Inspector Email:	
Field Office Phone:	Cell Phone:
Field Office Location:	

**General Contractor Information**

General Contractor:
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**Landscape Contractor Information**

Landscape Contractor:	
Landscape Submitter Name:	
Office Phone:	Cell Phone:
Landscape Submitter Email:	
Landscape Business Address:	

**Stake Type:**

Comments: \_\_\_\_\_

☐ Manufacturer installation instructions attached.**Source:**

Manufacturer: \_\_\_\_\_

Vendor/Supplier: \_\_\_\_\_

## Office of Environmental Planning RFC

**PERMIT PLANTING PLAN MATERIAL SUBSTITUTION REQUEST****Contractor RFC Date:****CTDOT Project Information**

Project Number:	District:
Project Description:	
Project Inspector:	
Project Inspector Email:	
Field Office Phone:	Cell Phone:
Field Office Location:	

**General Contractor Information**

General Contractor:
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**Landscape Contractor Information**

Landscape Contractor:	
Landscape Submitter Name:	
Office Phone:	Cell Phone:
Landscape Submitter Email:	
Landscape Business Address:	

**Original Contract Item\*:**

<i>Item Number</i>	<i>Botanical / Common Name</i>	<i>Plant Size</i>	<i>Qty</i>	<i>Wetland Indicator</i>

\*The Contractor shall submit a separate Permit Planting Plan Material Substitution Request Form for each contract item to be substituted.

**Reason for request to substitute plant material:**

- ☐ The material was found to be unavailable in the region. Inquiries were made to at least three sources in attempt to locate the material.
- ☐ Other: \_\_\_\_\_

## Office of Environmental Planning RFC

**PERMIT PLANTING PLAN MATERIAL SUBSTITUTION REQUEST****Attempted Sources\*\*:**

<i>Source Supplier</i>	<i>Address</i>	<i>Phone Number</i>	<i>Representative</i>

\*\*For plantings in accordance with Item #09490875A – Wetland Plantings, the Contractor must provide OEP with documentation from **5** plant material sources of supply indicating that the species type or size listed in the Mitigation Planting Schedule is not available.

**Vendor Information\*\*\*:**

Source of Supply Company:	
Source of Supply Address:	
Source of Supply Representative:	
Office Phone:	Cell Phone:
Source of Supply Submitter Email:	

\*\*\*The Contractor shall submit a separate Permit Planting Plan Material Source of Supply for each vendor being proposed for review and approval.

- ☐ The vendor's Certificates of Inspection issued by Federal or State authorities (or both) which attest to the plant material's freedom from diseases and insect infestations must be attached following this page. Check box if attached.

**Proposed Substitution:**

<i>Botanical / Common Name</i>	<i>Plant Size</i>	<i>Qty</i>	<i>Wetland Indicator</i>

**Change In Cost:** Original Item Unit Price: \_\_\_\_\_ Proposed Substitution Unit Price: \_\_\_\_\_



Office of Environmental Planning Compass Submittal  
**PERMIT PLANTING PLAN MATERIAL COVER SHEET****Contractor Submittal Date:****CTDOT Project Information**

Project Number:	District:
Project Description:	
Project Inspector:	
Project Inspector Email:	
Field Office Phone:	Cell Phone:
Field Office Location:	

**General Contractor Information**

General Contractor:
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**Landscape Contractor Information**

Landscape Contractor:	
Landscape Submitter Name:	
Office Phone:	Cell Phone:
Landscape Submitter Email:	
Landscape Business Address:	

**Certification Statement**

I, \_\_\_\_\_ representative of \_\_\_\_\_ hereby certify that the information submitted herein for review conforms to all aspects of the Contract, including sections 9.49 and M.13 of The Standard Specifications for Roads, Bridges, Facilities and Incidental Construction, Form \_\_\_\_\_ dated \_\_\_\_\_, Supplemental Specifications dated \_\_\_\_\_, as well as Contract Special Provisions, and notes and other information on the Contract Plans.

**Included Submitted Templates**

	Permit Planting Plan Material Source of Supply	Permit Planting Plan Material - RFC	Permit Plan Seeding	Mulch	Tree Staking
Check Included Submittal(s):					