

Doc Express®

VTrans Guidance for Contractors and Suppliers



Construction and Materials Bureau
Vermont Agency of Transportation
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Table of Contents

General Information	2
Responsibilities	3
Access to the Doc Express	4
Help from Doc Express and VTrans	5
Notifications	5
Submitting Documents	6
Example Naming Guidance for Submittals	10
Example Naming Guidance for Mix Design Submittals	14
Certification Submittals	18
Administrative Drawer	20
Civil Rights Drawer	22
How to Search Inside a Drawer	25
Appendix A – Document Storage Matrix (DSM)	26

General Information

This document contains requirements for collection and management of electronic documents using Doc Express (<https://docexpress.com>). Doc Express is a web-based document management program which accepts and provides security for electronic documents.

VTrans will perform the setup of Doc Express for the contracts. The contractor, subcontractors, and suppliers must use Doc Express to submit all contract required documents. Required documents include, but are not limited to: working drawings, progress schedules, mix designs, letters of intent, weld procedures, requests for information, certifications, erosion control plans, off-site activities, verify payroll, etc. The entire submittal and review process will occur within Doc Express.

Costs associated with the use of Doc Express are incidental to mobilization. Contract item progression payments may be withheld until documentation is provided as defined in the mobilization specification.

Note: There is no cost to the Contractor to receive a Doc Express account or to use the service.

Structure

The framework utilizes basic contract drawers to store project documents.

Within each drawer, Types are used to group similar items together, rather like a file folder. A complete listing of the Types in each drawer can be seen when submitting a document to that drawer in Doc Express. See [Appendix A](#) - Document Storage Matrix (DSM) for the Submittal and Working Drawers naming examples and Types.

Roles and Security

Each user within an organization will be assigned an account within Doc Express by their own organization. Access to Doc Express will be tracked using the user's unique email address and password. User permissions will be defined within Doc Express for each specific contract.

Prime - The Prime Contractor will be assigned Prime permissions to submit documents and view all documents submitted into Doc Express for specific drawers. The role can be assigned to the prime's business name, where all employees will have access, or to individual employees within the prime's business. The Prime Contractor can grant access to Associates for all the Prime level drawers as appropriate. Primes can see all comments in drawers to which they are assigned. This role performs workflow actions within the Doc Express service that have been set up by the agency.

Associate - Subcontractors and suppliers will be assigned Associate permissions by the Prime Contractor. The Associate role can be assigned to the subcontractor's business name, where all

employees will have access, or to individual employees within the subcontractor's business. An Associate user is not able to view documents submitted by VTrans, a Prime Contractor, or other associate users. Associates can only view the documents they have submitted but can see all comments in drawers to which they are assigned. This role performs workflow actions within the Doc Express service that have been set up by the agency.

Reviewer - Reviewer permissions allow the user to view all documents and will typically be assigned to users who will oversee this specific contract but are not responsible for daily tasks. Reviewers cannot submit primary documents to a contract but can submit supporting documents to existing threads. Reviewers can see all comments in drawers to which they are assigned. Contract and drawer access must still be assigned for each new project.

VTrans - A formal permission level is not assigned. VTrans staff can submit, receive, audit, or reject a document. VTrans staff can see all documents and comments in all drawers.

Documents submitted into Doc Express are secure. Security of the program will not allow modifications to a submitted document by any user. The user who submitted the document may delete the submittal from Doc Express if the document has not been received, rejected, updated, or had a comment attached.

Document Formats

Doc Express will accept all formats of electronic documents including, but not limited to, Microsoft Excel files, Microsoft Word documents, Adobe Portable Document File (PDF), Tagged Image File (TIFF), and Joint Photographic Experts Group (JPEG). Microsoft Outlook messages (MSG) are not accepted currently. If you want a signature history, the documents must be PDF files. The maximum size limit of a file is 250 MB. Uploading and opening of the document will take longer as file sizes increase.

Responsibilities

VTrans

1. Contract set-up, including drawer and type creation, with applicable Prime, Associate, and Reviewer permissions.
2. VTrans will submit to the appropriate drawer and type, some key construction related documents generated by VTrans, including but not limited to the Contract, Contract Plans, Project Special Provisions, Estimates, Changes of Design, and Written Orders. Other documents may be added throughout the construction phase.
3. Review and verify documentation submitted meets the applicable submittal requirements. The review of documents will be made promptly from when the documents were able to be verified. Contractor payment may be withheld for contract documents not submitted.

Prime Contractor

1. Add any subcontractors or suppliers involved in the project and require access to the contract in Doc Express.
2. Submit electronic documentation per Type (Certification, Materials, Submittal, etc.) as defined in Doc Express. Each electronic submittal may contain multiple pages of documentation but shall provide information required for the specified type only.
3. Notify the Doc Express Agency Manager if an appropriate Type is not available for the submittal to be sent: AOT.DocExpressHelp@vermont.gov

Shared VTrans and Contractor/Supplier Responsibilities

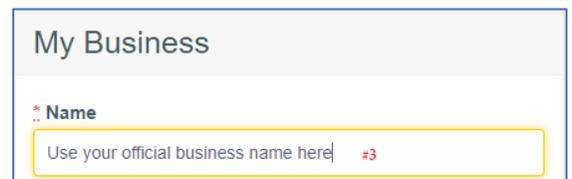
Doc Express will store final versions of documentation required for the contract. Some documents require involvement and coordination between VTrans and the Contractor to reach a final version. This shared responsibility will be coordinated to prevent incomplete or redundant data from being electronically stored.

Access to the Doc Express

A New Company:

As a new company to the Doc Express world, an account will need to be created for the company. Note: only one user within the company must create the account. To create a Doc Express company account, do the following:

1. Go to <https://doceexpress.com>
2. In the top right of the screen, click on the REGISTER link.
3. Enter the required information. Note the Name field in the My Business section should be the official name of the business as the name will be referenced elsewhere in Doc Express.
4. After entering all the required information, and



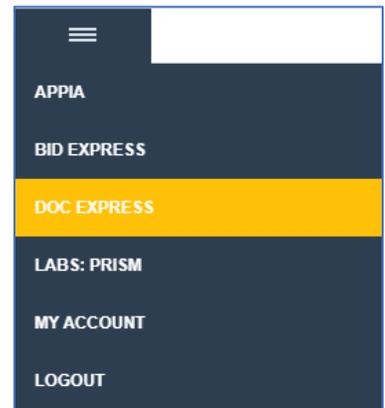
reading and agreeing to the privacy policy, click on the  button.

5. After an email is sent, click on the Activate Account link, and enter the Doc Express password to access Doc Express.
6. After activating the Doc Express account, the My Account screen will be displayed. Begin scrolling down to see other members of the company who can access Doc Express (note: the first person to log in should not see any other names).
7. The first person to register for Doc Express will be listed as the Manager. Now other company members may be invited to join. Other users of the company should NOT go the website and register – they should be invited by the first person who registers.

To invite others within the company to join Doc Express:

- From the **MY ACCOUNT** screen, click on the Invite Employees button and enter their email address. They will receive an email invitation to join.
- Once they have accepted their invitation and created their account, the person who invited members to join will receive an email confirmation. At this point, the person can assign the new members as either a User or a Manager.

To enter the Doc Express environment from the My Accounts screen, click on the horizontal lines in the upper left corner of the screen and choose Doc Express from the drop-down list.



If an Individual within the company needs access:

Do NOT go into the Doc Express website and register again! Contact the person inside the company who is the Doc Express Manager and request an invite. Once the company's Doc Express Manager has completed the invitation, the individual will receive an email to create an account associated with the company. Upon completion of creating the account associated with the company, the individual will notify the Doc Express Manager, and the Doc Express Manager will assign the individual to the appropriate contracts.

Help from Doc Express and VTrans

There is online help within the program accessed by clicking on the word  in the lower right corner of every screen in Doc Express. Although this is an excellent resource, VTrans Doc Express team has a help email, which is: AOT.DocExpressHelp@vermont.gov, for any questions regarding project access, account setup, VTrans Doc Express processes or missing types.

Notifications

When a submittal is made, there is an option to be notified (via email) either as submissions are made, receive as a daily summary the following day, or both. There are also options to be notified as each submittal is transitioned, completed, or rejected. These notifications are set by each User and apply until changed by the User. To change Notification settings, choose from the panel on the left edge.



The expectation from VTrans is that the contractor will set notifications appropriately so that they are notified when the status of a submittal changes. This ensures that communication is as effective and expeditious as possible. It is recommended that each User initially set the Notifications to receive as many notices as possible to start with and then as they progress and learn how the notification process works, they can adjust accordingly.

For more information, reference this YouTube video: [Notifications](#).

Submitting Documents

While the guidance in this section pertains to the Submittal Drawer, the guidance can be utilized across multiple drawers including the Administrative, Certifications, Civil Rights, and Working Drawers.

Documents can be submitted by the Prime or Associate roles. You can submit a single document (or document text).

When a document is uploaded, it will be added to the contract drawer along with the uploading organization's name, the name of the person who submitted the document, and the time and date it was submitted.

After the documents are submitted, and if you have the proper access, you will be able to [update the document details](#), such as the title and Type, and [add supporting documents to the thread](#).

Want to Upload Multiple Documents?

New Document

#9 Save

* Title #6

Due date

Not applicable

* Types #5

Choose one or more document types

Comment #7

* Attachment

Choose File No file chosen #4

Enter text instead of attaching a document?

Supporting Documents #8

Add a supporting document?

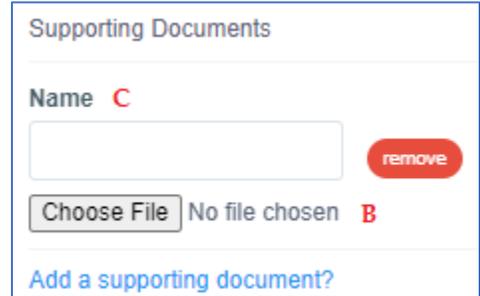
Submitting a Document

1. From the Contracts screen, find the project the submittal is for.
2. Click on the appropriate drawer.
3. Click on the **Submit Document** button in the upper right of your screen.
4. Browse to find the necessary submittal document under Attachment **Choose File**.
5. Select a Type, or Types, for the submittal from the list available which best reflects the content of the submittal. Multiple Types can be associated with a submittal, if

appropriate. (See [Appendix A](#) - Document Storage Matrix (DSM) for Title and Type guidance).

6. Enter a Title for the submittal. (See [Appendix A](#) - Document Storage Matrix (DSM))
7. Optional – if necessary, add a Comment to further explain the document
8. Optional – Supporting document can be added by following these steps:

- A. Click the [Add a supporting document?](#) link.
- B. Browse to find the supporting document needed.
- C. Enter a Name for the document. Keep the name simple. For example: Baseline for the .mpp supporting document file.
- D. Repeat steps A-C for all supporting documents.



9. After verifying all information is correct, click the  button on the top right of the screen to submit the document.

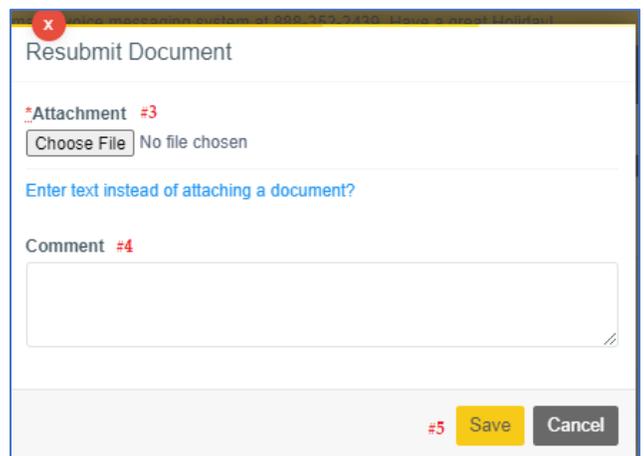
For additional general guidance on submitting documents, reference this YouTube video: [Submitting Documents](#)

If a Submittal is Rejected

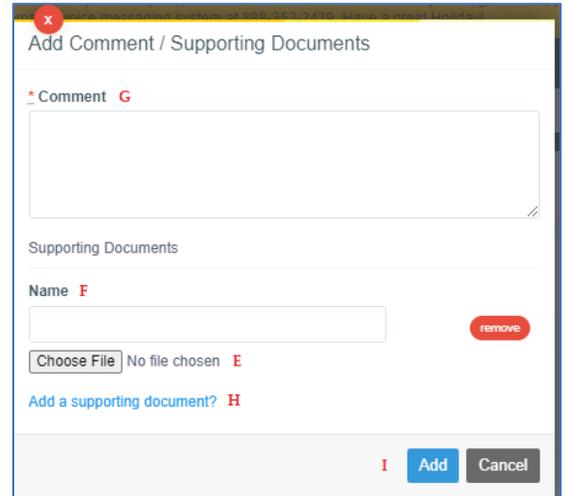
If a submittal is rejected (), a Notification email will be sent (see the Notifications section early in this document to set this up if no email is received upon a rejection). **It is important that the resubmittal is made using the same thread rather than starting a new thread.** Rejected submittals will have a [Resubmit](#) link on the right side of the screen near the status box to allow a resubmittal of a document. **Any submission which requires resubmittal which also has updated supporting documents, must be uploaded in separate steps. See below for details.**

Resubmitting a Document

1. From the Contracts screen, find the drawer and submittal to resubmit.
2. Click on the [Resubmit](#) link on the right side under the status box.
3. Browse to find the document to resubmit.
4. Optional - Add a Comment if it adds value to the submittal.
5. After verifying all information is correct, click the Save button to resubmit the document. The resubmittal will be sent, and now Supporting Documents can be added, if needed.



6. Optional – To include a supporting document, follow these steps.
 - A. While focused on the required Submittal thread.
 - B. Click on the [supporting documents](#) link on the left side of the screen under the submittal title (to the right of the [comments](#) link).
 - C. Click  button.
 - D. Click the [Add a supporting document?](#) link.
 - E. Click  button and browse to find the supporting document needed.
 - F. Enter a Name for the document. (See [Appendix A](#) - Document Storage Matrix (DSM) for Naming guidance)
 - G. Add a comment if desired (i.e., These supporting documents go with the resubmittal)
 - H. Repeat steps E– G for all other supporting documents.
 - I. Click the  button.



Remove a Document

A document can be removed only by an agency administrator or the person who submitted it. You cannot remove a document if it has been edited, transitioned, or commented upon. (Note: transitions can be reverted by the transitioner if necessary to allow for removal.)

This action will permanently remove the document and all backups from the Doc Express service. All supporting documents and comments will also be deleted. These documents cannot be recovered.

Title Naming Guidance

Keep in mind that this is a Title and not a filename, so do not add file extensions, etc. Several common submittals have been outlined in [Appendix A](#) with Title naming and Type assignment guidance.

Title should have the following:

- Convey the content of the submittal for quick review.
- Allow the Type selected to do the heavy lifting for you.
 - Type selection: Traffic Control Plan.
 - Title of Submittal thread: Castle Street Detour.
- Simple enough to allow for easy searching.

Do NOT include the following in the Title:

- Project name or number.
- CES Number.
- Date of submittal.
- Words such as proposed, revised, draft, etc.

Supporting Document Naming Guidance

The same basic rules apply for naming supporting documents. The simplest naming convention to convey the content of the supporting document is the intent.

Note: If the Name for a supporting document is not entered, the Name will default to the file name. This creates confusion, so entering a supporting document Name is required.

Names for supporting documents should have the following:

- Convey the content of the supporting document for quick review.
 - e.g., for a Schedule submittal the supporting documents could be named Narrative and MS Project.

Do NOT include the following when naming supporting documents:

- Project name or number.
- CES Number.
- Words such as proposed, revised, etc.
- Dates.
- File extensions.

Revising a Submittal after Acceptance or Completion

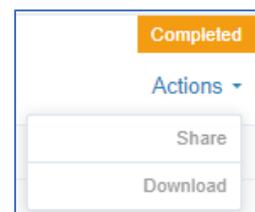
For a variety of reasons, a submittal may need to be revised after the VTrans review process is completed. This happens occasionally and is OK to do *if* it is done correctly.

IN NO CASE IS IT ACCEPTABLE TO SUBMIT A SUPPORTING DOCUMENT IN A SUBMITTAL THREAD AFTER THE STATUS CHANGES TO COMPLETED.

When a supporting document is posted by the contractor after the VTrans review process is complete, there is no notification that this document has been submitted. Adding a supporting document to a completed thread can cause serious delays and is not allowed.

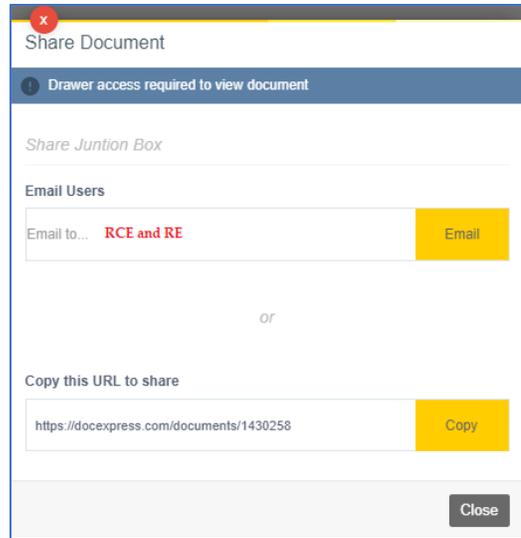
The process for revising a submittal after it has been accepted or completed:

- Navigate to the submittal that needs revision.
- On the right side, select Actions > Share then click the top Email button. This opens an email application with the subject line filled



out appropriately for the submittal in question and provides a link to that document in the body of the email.

- Enter the email address for the Resident Engineer and the Regional Construction Engineer and in the body of the email state a revision is required for a document that has already been completed.
- VTrans will revert the transition then reject the submittal while adding a comment that it was rejected at the contractor's request to allow a revision.
- The contractor will receive an email notification when the submittal is rejected to allow a resubmittal.



Example Naming Guidance for Submittals

Some examples have been provided to aid in naming the submittals correctly. These are just a few – for a more comprehensive list, see [Appendix A](#) - Document Storage Matrix (DSM). Naming guidance must be followed.

Schedules

This the process for submitting a baseline schedule and updated schedules, as required by Section 633 of the *2018 Standard Specifications for Construction*.

CPM Schedule Baseline Submittals

Title – Baseline (The MS Project PDF file.)

Type – Schedule – CPM per 633

Supporting Documents –

Name = Narrative (The 4-week look ahead narrative.)

Name = MS Project file (The Microsoft Project Schedule.)

Process Notes:

- Add any comments to the comment box as needed.
- The Narrative may be combined with the MS Project PDF and submitted as the primary document. The MS Project file will still be submitted as a supporting document.

CPM Schedule Submittal Updates

Title – Update XX

- Update 01
- Update 02

Type – Schedule – CPM per 633

Comment – Optional, but Month and Year would be useful.

- May 2021

- August 2021

Supporting Documents –

Name = Narrative (The 4-week look ahead narrative)

Name = MS Project file (The Microsoft Project Schedule)

Process Notes:

- The Narrative may be combined with the MS Project PDF and submitted as the primary document. The MS Project file will still be submitted as a supporting document.

Schedule per 108.03

Title – Schedule or Recovery Schedule (if an updated schedule is required)

Type – Schedule – Progress Schedule per 108.03

Process Notes:

- Add any comments to the comment box as needed.

Request For Information (RFI)

Title – RFI XX (where the XX is 2-digit sequential numbers)

- RFI 01, RFI 02, RFI 03, etc.
 - The submitter should verify the next available RFI sequence number.

Type – Request For Information

Comment – Description of what the RFI is about, e.g., Casco Bay Change in Bolt Pattern.

Supporting Documents – If needed and as necessary

Off-Site Activity (OSA)

The Off-Site Activity submittal process shall take place in Doc Express.

Note that the process for Off-Site Activity - Waste Borrow Staging and Off-Site Activity - Exemption submittals are slightly different, the process for each is shown below.

Off-Site Activity - Waste Borrow Staging Submittals

Each property shall be submitted in a separate submittal.

Title – *OSA Property Name*

- OSA Flintstone
- OSA Pond Hill

Type – Off-Site Activity - Waste Borrow Staging

Supporting Documents –

- Map (Map showing project location)
- Sketch (Sketch showing OSA areas, etc.)

Process Notes:

- Add any comments to the comment box as needed.
- A representative of the VTrans Environmental Section will perform the Initial and Primary Transitions and will involve the Resource Specialists per current procedures.
- The Regional Construction Engineer will perform the Final Transition.

Off-Site Activity - Exemption Submittals

Each property shall be submitted in a separate submittal.

Title – *OSA Property Name*

- OSA Dorset Garage
- OSA Flintstone Gravel Pit

Type – Off-Site Activity - Exemption

Process Notes:

- Add any comments to the comment box as needed.
- The Resident Engineer will perform the Initial and Primary Transitions and will involve the Construction Environmental Engineer, as necessary.
- If the Exemption meets the necessary requirements, the Primary Transition by the Resident Engineer will transition to Accepted.
- The Regional Construction Engineer will perform the Final Transition.

Stockpiles

There is a Stockpile type for use in submitting Stockpile requests.

Title – Stockpile Item Number

- Stockpile Item 506.25

Type – Stockpile

Process Notes:

- The Contractor will find it useful to utilize the Stockpile Checklist located in the Working drawer to ensure all requirements for payment of the stockpile have been met.

Reinforcing Steel

Title – Where will the rebar be placed?

- Pier 1 and 2
- Bridge Rail
- Sign Foundation
- Deck Rebar

Type – Reinforcing Steel

Process Notes:

- Add any comments to the comment box as needed.
- Add any supporting documents to the submittal as needed.
- The Resident Engineer will perform the Initial and Primary Transitions and will involve the Construction Structures Engineer and Project Manager, as necessary.
- The Regional Construction Engineer will perform the Final Transition.

Plans and Working Drawing Submittals

For more information on the different submittal types, see Section 105.03 of the current *Vermont Agency of Transportation Standard Specifications for Construction*.

Fabrication Drawing - Concrete

Title – What is the concrete submittal about?

- Headwall
- Catch Basin
- Box Culvert
- Pre-Cast Panels

Type – Fabrication Drawing – Concrete

Process Notes:

- Add any comments to the comment box as needed.
- Add any supporting documents to the submittal as needed.
- The Resident Engineer will perform the Initial and Primary Transitions and will involve the Construction Structures Engineer and Project Manager, as necessary.
- The Regional Construction Engineer will perform the Final Transition.

Fabrication Drawing - Other

Title – What is the submittal about?

- Bridge Rail and Approach Rail
- Glare Screen
- Bus Shelter Glass
- Overhead Traffic Sign Support

Type – Fabrication Drawing – Other

Process Notes:

- Add any comments to the comment box as needed.
- Add any supporting documents to the submittal as needed.
- The Resident Engineer will perform the Initial and Primary Transitions and will involve the Construction Structures Engineer and Project Manager, as necessary.
- The Regional Construction Engineer will perform the Final Transition.

Design Drawing

Title – What is the design drawing for?

- Box Culvert Design
- Headwall Design
- Revised Gabion Wall
- Anchor Bolt Design

Type – Design Drawing

Process Notes:

- Add any comments to the comment box as needed.
- Add any supporting documents to the submittal as needed.
- The Resident Engineer will perform the Initial and Primary Transitions and will involve the Construction Structures Engineer and Project Manager, as necessary.
- The Regional Construction Engineer will perform the Final Transition.

Construction Drawing - Other

Title – What is the construction drawing for?

- Public Protection
- Demo Plan
- Girder Removal Plan
- Under Bridge Staging Design
- Soil and Groundwater Management Plan

Type – Construction Drawing – Other

Process Notes:

- Add any comments to the comment box as needed.
- Add any supporting documents to the submittal as needed.
- The Resident Engineer will perform the Initial and Primary Transitions and will involve the Construction Structures Engineer and Project Manager, as necessary.
- The Regional Construction Engineer will perform the Final Transition.

Example Naming Guidance for Mix Design Submittals

There are three main categories of concrete mix designs that may be submitted and each one is handled differently. The three main categories are: Project Specific mix designs, Standard mix designs, and Precast/Prestressed mix designs. A process is shown below for each type.

Concrete Mix Design Submittals – General

Project Specific Mix Designs

A Project Specific mix design is one that is required as stated in a Project Special Provision usually in the form of a 900 item. An example of this is the 900.608 Special Provision (High Performance Concrete, Rapid Set). This category also includes Contractor Self-Performed pay items paid for under a 900 item. The submittal requirements for these mix designs are included in the Project Special Provisions. These mix designs are submitted in Doc Express and receive approval for a project. The main document submitted shall be an Excel spreadsheet of the mix design and not a PDF of it.

Concrete Mix Design – Project Specific Submittals

Title – Mix Design - Description

- Mix Design – HPC Rapid Set

Type – Mix Design - Concrete

Supporting Documents –

As per the requirements in the Project Special Provisions it may include Test data or manufacturers information. A name must be entered for each supporting document, so the file name is not shown. The names should be simple and properly describe the content of the document. (See guidance from [Support Document Naming Guidance](#).)

Process Notes:

- Add any comments to the comment box as needed.

- The Resident Engineer performs the Initial Review and the Initial Transition. Best practice is to share the submittal with the Structural Concrete Engineer using Actions > Share.
- The Structural Concrete Engineer performs the Primary Review and sends that information to the Resident Engineer via email outside Doc Express. The Structural Concrete Engineer may recommend Approval, Approval As Noted, or Rejection. The Structural Concrete Engineer places their appropriate stamp on the submittal and when appropriate, comments that need to be addressed or considered.
- The Resident Engineer performs the Primary Transition based on information provided by the Structural Concrete Engineer and loads the supporting document which consists of a PDF of the mix design with an appropriate stamp and comments.

Standard Mix Designs

A standard mix design is one where the submittal requirements are included in the *Vermont Agency of Transportation Standard Specifications for Construction* such as 501.32 Concrete High Performance, Class A and not in a Contract Special Provision. These mix designs are approved on an annual basis by the Structural Concrete Engineer and not submitted in Doc Express. While these mix designs are not submitted in Doc Express, a Letter of Intent (LOI) is required that states where the approved mix design will be used (i.e., the components where the mix design will be used). Ideally, only one Letter of Intent will be submitted per Contract per year that covers all the different concrete mixes and where they will be used rather than a separate Letter of Intent for each type of mix. The main document submitted shall be a PDF of the Letter of Intent.

Concrete Mix Design – Project Specific Submittals

Title – LOI - Description

- LOI – Concrete Placements 2021

Type – Mix Design - Concrete

Supporting Documents –

Name = Approved HPC A Mix Design (The mix design referenced in the Letter of Intent. This can also be included in the main submittal document rather than in this supporting document.)

Process Notes:

- Add any comments to the comment box as needed.
- The Resident Engineer performs the Initial Review and the Initial Transition.
- The Resident Engineer performs the Primary Review to ensure that the Letter of Intent has the necessary information and meets the requirements and that the approved mix designs submitted have been approved by the Structural Concrete Engineer. The Resident Engineer should also verify that the mix designs were approved for the year in which the mix design will be used. The Resident Engineer may then perform the Primary Transition as appropriate.
- The Structural Concrete Engineer is not required to review this submittal since it has been previously approved.

Precast/Prestress Mix Designs for 510 and 540 Pay Items

Concrete mix designs included with Precast/Prestressed fabrication drawings are typically reviewed and approved prior to submission of the fabrication drawing review process and do not have to be excel files.

Asphalt Hot Mix Design Submittals – General

There are two main categories of asphalt mix designs that may be submitted and each one is handled differently. The two main categories are Project Specific mix designs and Master mix designs. There are also two categories of Quality Control Plans (QCPs) that are sometimes required in the specifications. Although not technically a Mix Design, the submittals for these Quality Control Plans are also covered in this section. The process is shown below for each type stated.

Project Specific Mix Designs

A Project Specific mix design is one that is required as stated in a Project Special Provisions usually in the form of a 900 item. An example of this is the 900.680 Special Provision (Paver Placed Surface Treatment, Type C). The submittal requirements for these mix designs are included in the Project Special Provisions. These mix designs are submitted in Doc Express and receive approval for a project. The main document submitted shall be the Excel spreadsheet of the mix design and not a PDF of it.

Asphalt Mix Design – Project Specific Submittals

Title – Mix Design - Description

- Mix Design –PPST Type C

Type – Mix Design – Hot Mix

Supporting Documents –

As required by the requirements in the Project Special Provisions and may include Test data or manufacturers information. A name must be entered for each supporting document, so the file name is not shown. The names should be simple and properly describe the content of the document. (See earlier guidance [here](#).)

Process Notes:

- Add any comments to the comment box as needed.
- The Resident Engineer performs the Initial Review and the Initial Transition. The Hot Mix Asphalt Group should receive notifications when this Type is submitted/transitioned but it is still best practice to share the submittal with the Hot Mix Asphalt Group using Actions > Share.
- The Hot Mix Asphalt Group performs the Primary Review and sends that information to the Resident Engineer via email outside Doc Express. The Hot Mix Asphalt Group may recommend Approval, Approval as Noted, or Rejection. The Hot Mix Asphalt Group places their appropriate stamp on the submittal and when appropriate, include comments that need to be addressed or considered.

- The Resident Engineer performs the Primary Transition based on information provided by the Hot Mix Asphalt Group and loads the supporting document which consists of a PDF of the mix design with an appropriate stamp and comments.

Master Mix Designs

A Master mix design is one where the submittal requirements are included in *Vermont Agency of Transportation Standard Specifications for Construction*, such as 490.30 Superpave Bituminous Concrete Pavement and not in a Project Special Provision. These mix designs are approved on an annual basis by the Hot Mix Asphalt Group and not submitted in Doc Express. While these mix designs are not submitted in Doc Express, a Letter of Intent is required that states which Master mix design will be used. Ideally, only one Letter of Intent will be submitted per year that covers all the different master mixes used on a project. The main document submitted shall be a PDF of the Letter of Intent.

Asphalt Mix Design – Master Mix Submittals

Title – LOI - Description

- LOI – Superpave Mix Design #SP17-917 WMA

Type – Mix Design – Hot Mix

Supporting Documents –

Name = Approved Superpave Mix Design. (The mix design referenced in the Letter of Intent. This can also be included in the main submittal document rather than as a supporting document.)

Process Notes:

- Add any comments to the comment box as needed.
- The Resident Engineer performs the Initial Review and the Initial Transition. The Hot Mix Asphalt Group should receive notifications when this Type is submitted/transitioned but it is still best practice to share the submittal with the Hot Mix Asphalt Group using Actions > Share.
- The Hot Mix Asphalt Group performs the Primary Review and sends that information to the Resident Engineer via email outside Doc Express. The Hot Mix Asphalt Group may recommend Approval, Approval As Noted, or Rejection. The Hot Mix Asphalt Group places their appropriate stamp on the submittal and when appropriate, and include comments that need to be addressed or considered.
- The Resident Engineer performs the Primary Transition based on information provided by the Hot Mix Asphalt Group and loads the supporting document which consists of a PDF of the mix design with an appropriate stamp and comments.

Quality Control Plans for Hot Mix

The two main categories of Quality Control Plans are for the production plant and for laydown. The process for the contractor is the same but the internal process is different as noted below. The main document submitted shall be a PDF of the Quality Control Plans.

Quality Control Plan – Hot Mix

Title – QCP - Description

- QCP – Production Plant
- QCP - Laydown

Type – Mix Design – Hot Mix

Process Notes:

- Add any comments to the comment box as needed.
- Add any supporting documents as needed.
- The Resident Engineer performs the Initial Review and the Initial Transition. The Hot Mix Asphalt Group should receive notifications when this Type is submitted/transitioned but it is still best practice to share the submittal with the Hot Mix Asphalt Group using Actions > Share. For Laydown Quality Control Plans, the Construction Paving Engineer should also be notified.
- For Plant Production Quality Control Plans, the Hot Mix Asphalt Group performs the Primary Review and sends that information to the Resident Engineer via email outside Doc Express. The Hot Mix Asphalt Group may recommend Approval, Approval as Noted, or Rejection. The Hot Mix Asphalt Group places their appropriate stamp on the submittal and any comments for needs to be addressed or considered.
- For Laydown Quality Control Plans, the Resident Engineer and Construction Paving Engineer perform the Primary Review together. The Construction Paving Engineer sends their comments to the Resident Engineer via email outside Doc Express. The Resident Engineer and the Construction Paving Engineer agree on Approval, Approval as Noted, or Rejection of the submittal. The Resident Engineer places their appropriate stamp on the submittal and any comments for needs to be addressed or considered.
- The Resident Engineer performs the Primary Transition based on information provided by the Hot Mix Asphalt Group and the Construction Paving Engineer and loads the supporting document which consists of a PDF of the Quality Control Plans with an appropriate stamp and comments.

Certification Submittals

Certifications will be submitted in Doc Express for all contracts. Certifications will be submitted and stored in the Certifications drawer.

Rules for certification submittals

- One certification per submittal per line item (i.e., there will be one submittal for each certification form included in the certification packet).
- The Title of the submittal shall be the Material Code and Name (shown on the certification form being submitted), i.e., 713.01 Bar Reinforcement.
- All pages of the submittal shall be combined into one document.
- No certifications will be accepted through emails sent to the Materials Certification group.
- Only the Prime Contractor will be allowed to submit certifications at this time.

Types

The following Standard Types are included in the Certifications drawer for all contracts.

- AREMA
- Buy America
- Certification
- Umbrella

In addition to the Standard Types described above, there is also a Line Item Type for each line item in the contract (that corresponds to each certification form provided to the contractor).

These Line Item Types are generated specifically for each project. An example of the format used for each Line Item Type is shown here:

- 17052603; 12B014; 0065; 404.65; EMULSIFIED ASPHALT;

In the Line Item Type example shown above, the third field 0065 is the Line Item. All the Types, both Standard and Line Item, will be available when submitting a certification by clicking in the Type field. To simplify finding a Type to select from the Types available, rather than scrolling through the list, enter characters into the Type field and any matches will be displayed. For the example above, entering 0065 would display just this one Type.

When submitting a certification, multiple Types need to be included. **It is critical that the Standard Certification Type is included so that the proper group is notified that this submittal has been made. Failure to include the Certification Type may cause delays in the process.** An example of a certification for Emulsified Asphalt (line item 0065) would have the following two Types:

1. Certification
2. 17052603; 12B014; 0065; 404.65; EMULSIFIED ASPHALT;

Buy America

The Buy America Type is used when a certification is **not** required but a Buy America declaration is required. The Buy America declaration forms are included in the Certification package provided to the contractor. In this case, both the Standard Buy America Type and the Line Item Type would be used (without a Certification Type). An example of a Buy America declaration would have the following two Types:

1. Buy America
2. 17052603; 12B014; 0195; 540.10; PRECAST CONCRETE STRUCTURE;

Umbrella

The Umbrella Type is a special type of submittal where several line items can be included on one Umbrella form. In this case, the Types Umbrella and Certification would both be used as well as a Type for the Line Item. Note that each Line Item included on the Umbrella form needs to be submitted separately so that the submitted information is the same but the Title and Line Item Type are different.

AREMA

The AREMA Type is used when applicable on railroad projects to specify that AREMA requirements apply to the project.

Administrative Drawer

The Administrative Drawer has been created for communication and processes between the Regional Office and the Prime Contractor staff. While the drawer can be viewed by anyone, only the review team and the Prime will process documents in this drawer. At this time, only subcontract requests (and as necessary, lower-tier subs) are being processed within this drawer, other processes may be added in the future.

The Prime Contractor (Prime) is the only firm that can submit subcontract requests to the Administrative Drawer in Doc Express.

Prior to this this new process, Subcontractor packets were e-mailed to the Prime Contractor after Contract execution by Regional Office. Going forward, the “Subcontract Packet”, with instructions and contract documents, will be located within each project’s Working drawer within Doc Express. The Prime Contractor will need to download this packet to use when submitting a subcontractor request to the Administrative Drawer for each designated project within Doc Express.

Subcontract Naming and Types

A subcontract request is required for all work performed by those entities hired by the Prime Contractor to work on the project. (See *Standard Specification* Subsection 108.01 for additional information.) Each submittal title shall be the Sub ## in sequential order, symbols should not be used. The contractor shall verify the next available Sub sequence number. If a revision is needed on a previously approved subcontract request, then the revision will be submitted as a new thread utilizing the same Sub ## as the original request for that Subcontractor, adding REV in the title after the subcontract number (***1 Note**).

Example: Sub 01, Sub 02, Sub 03, Sub 02 Rev, etc.

Each subcontractor will have its own unique Type(s) to be assigned at the time of submission. The Type(s) designate the name of the subcontractor, that this is a subcontractor request, and if the request is a lower-tier subcontractor.

Vendor information for a missing Type name could be a Subcontractor not yet registered with the Secretary of State and/or no State vendor number assigned yet, or a Subcontractor not yet added to the drop-down list.

Prior to saving the submission, the Prime Contractor shall select all Types that apply to the submittal.

Examples:

1. "Contractor A" is a subcontractor:

- a. Name of Submittal: Sub 01
- b. Types to be added: Subcontractor Request; LPD Traffic Control, LLC

Sub 01 Subcontractor Request LPD Traffic Control, LLC update

2. "Contractor

F" is a Lower-tier subcontractor under a Subcontractor:

- a. Name of Submittal: Sub 06
- b. Types to be added: Subcontractor Request; Lower-Tier Subcontractor; East Coast Signals, Inc. (subcontractor); and Maine Drilling & Blasting, Inc. (lower-tier)

Sub 06 Subcontractor Request Lower-tier Subcontractor East Coast Signals, Inc. Maine Drilling & Blasting, Inc. update

3. "Contractor G" is a subcontractor missing a Unique Name Type:

- a. Name of Submittal: Sub 07
- b. Types to be added: Subcontractor Request
- c. Comment: Include the Firm's name within the comment box

Sub 07 Subcontractor Request update

4. "Contractor A" is a subcontractor with a previously approved subcontractor request:

- a. Name of Submittal: Sub 01 Rev
- b. Types to be added: Revised Subcontractor Request; LPD Traffic Control, LLC
- c. Comment: Provide the items to be revised

Sub 01 REV Revised Subcontractor Request LPD TRAFFIC CONTROL LLC update

***1 Note:** A search by Subcontractor Type will list all Subcontractor submittals to date within the drawer.

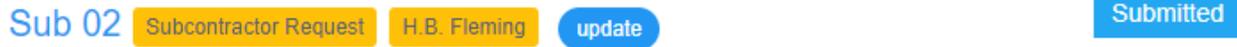
Submitting a Subcontractor Request

To submit a subcontract request packet, the Prime Contractor shall:

1. Click the Submit Document button in the Administrative Drawer.
2. Choose the correct PDF file.
3. Title the submission with the appropriate subcontractor number request: 'Sub ##'
4. Assign the necessary Types: **(see Examples above)**
 - a. Subcontractor Name
 - b. Subcontractor Request
 - c. Revised Subcontractor Request (if applicable)
 - d. Lower Tier Subcontractor Name (if applicable)
 - e. Lower Tier Subcontractor (if applicable)

5. Add any comments necessary.
6. Add any supporting documents necessary (if applicable)
7. Click the Save button.

Example of an uploaded Subcontract request:



Civil Rights Drawer

The Civil Rights drawer has been created to allow for electronic communication and processing of specific documents between the Prime Contractor, VTrans Civil Rights, and the Resident Engineer. DocExpress allows for easier access to the information and for the document management to be transparent for all parties. The Civil Rights drawer can only be viewed by the Prime Contractor (*1), VTrans Civil Rights, and the Resident Engineer’s inspection staff. The following documents will be submitted by the Prime Contractor and processed within this drawer by VTrans:

- [Contractor’s Weekly Certified Payroll](#)
- [OJT Enrollment Form](#) (Request)
- [OJT Weekly Progress Reports](#)
- [Job Site Poster Board](#) (Picture)
- [USDOL Authorization of Additional Classifications/Rates](#) (Request)
- [Contractor’s Revised Weekly Certified Payroll w/Employee Restitution](#) (USDOL)
- Sexual Harassment Policy
- Equal Employment (EEO) Policy
- Affirmative Action Plan
- Complaint Procedure

For complete details on naming convention and types to be add to each submission for the above-noted documents, see [Appendix A – Civil Right Drawer](#).

(*1) Note: The Prime Contractor needs to setup DocExpress permissions for their staff if they need to access DocExpress. Any Manager or User from a contractor’s user group can submit documents to any of their contracts in Doc Express that contain a Civil Rights drawer. A Manager can view and open all submitted documents in the drawer. A User can view the thread title within the Civil Right drawer, however, they can only open thread documents they submitted themselves.

Naming and Types

For complete details on naming convention and types to be add to each submission for the above-noted documents, see [Appendix A – Civil Right Drawer](#).

Examples:

Payroll Submission

- “Contractor A” is the prime contractor and submits the payroll for their firm, ‘WE20230204’:

Name of the submittal: WE20230204
Types to be added to the submittal: Payroll, Prime Contractor and Contractor A

[WE20230204](#) PAYROLL PRIME CONTRACTOR S. D. IRELAND BROTHERS CORPORATION update

- “Contractor A,” the prime contractor, submits the payroll ‘WE20221203’ for “Contractor B,” a subcontractor:

Name of the submittal: WE20221203
Types to be added to the submittal: Payroll, Subcontractor and Contractor B

[WE20221203](#) PAYROLL SUBCONTRACTOR F. R. LAFAYETTE, INC.

- “Contractor A,” the prime contractor, submits the payroll ‘WE20210320’ for “Contractor C,” a subcontractor that qualifies as a DBE:

Name of the submittal: WE20210320
Types to be added to the submittal: DBE, Payroll, Subcontractor, and Contractor C

[WE20210320](#) Payroll Subcontractor DBE Nicom Coatings Corporation

OJT Enrollment Request

- “Contractor A,” the prime contractor, submits OJT Enrollment [form](#) for potential On the Job trainee candidate:

Name of the submittal: OJT Enrollment lastName
Types to be added to the submittal: OJT Enrollment Form & Contractor A

[OJT Enrollment Smith](#) OJT ENROLLMENT FORM Gorman Group, LLC update

OJT Weekly Progress Reports

- “Contractor A,” the prime contractor, submits [OJT Weekly Progress Reports](#) for each week that the trainee conducts work as described within their program:

Name of the submittal: WEYYYYMMDD LastName
Types to be added to the submittal: OJT

[WE20211120 Willis](#) OJT

Poster Board Photo

- “Contractor A,” the prime contractor, installs the [Job Site Poster board](#) where project employees can view and then they submit a photo for compliance:

Name of the submittal: Job Site Posters
Types to be added to the submittal: Poster Board & Contractor A

[Job Site Posters](#) POSTER BOARD H.B. Fleming update

Request for Authorization of Additional Classification and Rate

- “Contractor A,” the prime contractor, is [requesting](#) additional classifications that are not list within Davis Bacon at the time on Contract execution:

Name of the submittal: USDOL Request 01
Types to be added to the submittal: USDOL Classification and Rate Request & Contractor A

[USDOL Request 01](#) USDOL CLASSIFICATION AND RATE REQUEST Pike Industries, Inc. update

Contractor's Revised Weekly Certified Payroll w/Employee Restitution (USDOL)

- “Contractor A,” the prime contractor, has received additional classifications and is required to provide restitution to those employees affected for each week ending:
Name of the submittal: WEYYYYMMDD
Types to be added to the submittal: Prime Contractor, USDOL Job Rate Adjustment & Contractor A
[WE20220402](#) Prime Contractor USDOL JOB RATE ADJUSTMENT Pike Industries, Inc. update
- “Contractor A,” the prime contractor, has received additional classifications adjustments, from a subcontractor that qualifies as a DBE, “Contractor C,” and is required to provide restitution to those employees affected for each week ending:
Name of the submittal: WEYYYYMMDD
Types to be added to the submittal: Subcontractor, DBE, USDOL Job Rate Adjustment & Contractor C
[WE20220402](#) Subcontractor DBE USDOL JOB RATE ADJUSTMENT Nicom Coatings Corporation update

Sexual Harassment Policy

- “Contractor A,” the prime contractor, submits their Sexual Harassment Policy:
Name of the submittal: Sexual Harassment Policy
Types to be added to the submittal: Policy, Plans and Procedures & Contractor A
[Sexual Harassment Policy](#) POLICY, PLANS, AND PROCEDURES Gorman Group, LLC update

Equal Employment (EEO) Policy

- “Contractor B,” the prime contractor, submits their Equal Employment (EEO) Policy:
Name of the submittal: EEO Policy
Types to be added to the submittal: Policy, Plans and Procedures & Contractor B
[EEO Policy](#) POLICY, PLANS, AND PROCEDURES CCS Constructors LLC update

Affirmative Action Plan

- “Contractor C,” the prime contractor, submits their Affirmative Action Plan:
Name of the submittal: Affirmative Action Plan
Types to be added to the submittal: Policy, Plans and Procedures & Contractor C
[Affirmative Action Plan](#) POLICY, PLANS, AND PROCEDURES East Coast Signals, Inc. update

Complaint Procedure

- “Contractor D,” the prime contractor, submits their Complaint Procedure:
Name of the submittal: Complaint Procedure
Types to be added to the submittal: Policy, Plans and Procedures & Contractor D
[Complaint Procedure](#) POLICY, PLANS, AND PROCEDURES Maine Drilling & Blasting, Inc. update

Document Submission

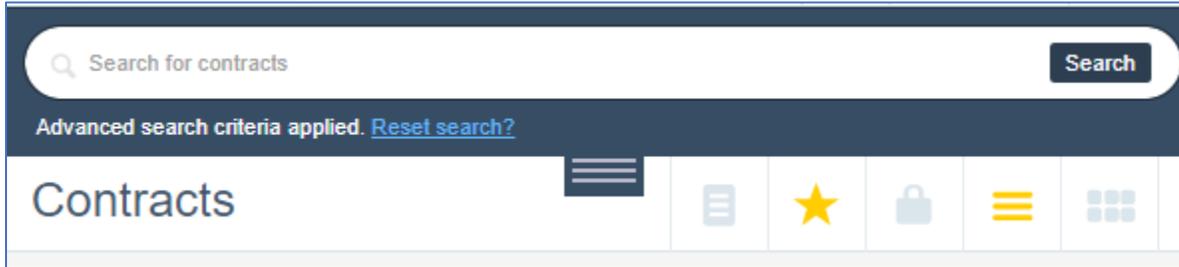
Reference the section [Submitting Documents](#) on how to submit a document as well as supporting documents. If a contractor’s name is not available within the current list of Types, contact the VTrans Doc Express Administrator at AOT.DocExpressHelp@vermont.gov to have the firm added.

How to Search Inside a Drawer

The Search function within Doc Express is easy to use.

Inside the project contract, select the drawer to be searched. Without expanding the Search options, the Search for Documents is available.

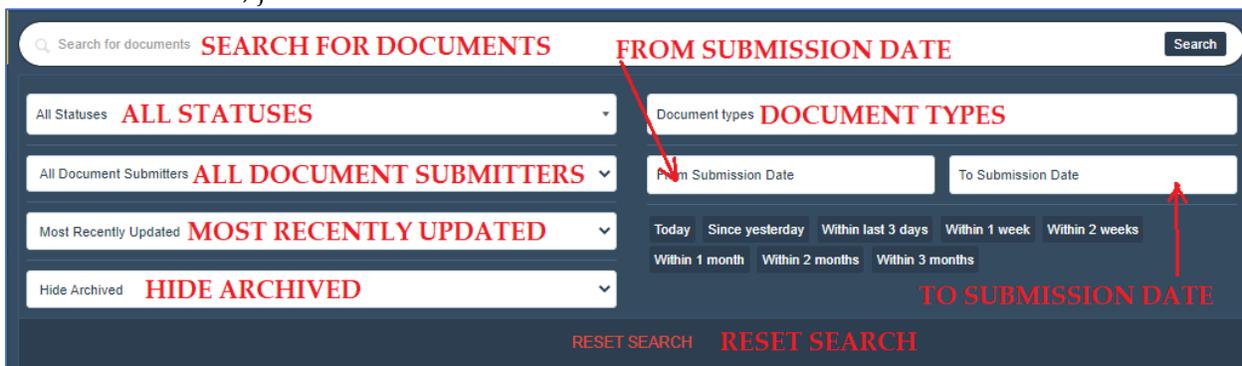
To expand the search options, click on the three horizontal lines .



Options for searching include:

- All Statuses
- All Document Submitters
- Most Recently Updated
- Hide Archived
- Document Types – more than one type can be selected at a time.
- From Submission Date
- To Submission Date

To clear the search, just click on Reset Search.



For additional Search help, view [Searching Contract Documents in Doc Express](#).

Appendix A – Document Storage Matrix (DSM)

Civil Rights Drawer

Document	Type(s)	Naming Example
Contractor's Weekly Certified Payroll	Payroll Prime Contractor 'Prime Contractor Name' Subcontractor 'Subcontractor name' DBE	WEyyyyymmdd i.e.: WE 20200808
OJT Enrollment Form	'Prime Contractor Name' OJT Enrollment Form	OJT Enrollment LastName i.e.: OJT Enrollment Smith
OJT Weekly Progress Reports	OJT	WEyyyyymmdd LastName i.e.: WE 20200808 Smith
Poster Board Photo	'Prime Contractor name' & Poster Board	Job Site Posters
Request for Authorization of Additional Classification and Rate	USDOL Classification and Rate Request	USDOL Request 01 USDOL Request 02
Contractor's Revised Weekly Certified Payroll w/Employee Restitution (USDOL)	USDOL Job Rate Adjustment Prime Contractor 'Prime Contractor Name' Subcontractor 'Subcontractor name' DBE	WEyyyyymmdd i.e.: WE 20200808
Sexual Harassment Policy	'Prime Contractor name' & Policy, Plans and Procedures	Sexual Harassment Policy
Equal Employment (EEO) Policy	'Prime Contractor name' & Policy, Plans, and Procedures	EEO Policy
Affirmative Action Plan	'Prime Contractor name' & Policy, Plans, and Procedures	Affirmative Action Plan
Complaint Procedure	'Prime Contractor name' & Policy, Plans, and Procedures	Complaint Procedure

Submittal Drawer

Type	Naming Example
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Schedule - CPM per 633	Baseline Update XX
Blasting Plan	Blasting Plan
Fabrication Drawing - Bearings	Bearings Drawing
Cofferdam	Cofferdam Plan
Excavation	Cofferdam Plan Temporary Bracing/Sheeting/Support
Fabrication Drawing - Concrete	Concrete Drawing
Erection Plan	Erection Plan
Erosion Control - per 105.23	Erosion Control Plan
Erosion Control - per 653	Erosion Control Plan
Falsework and Formwork	Formwork and Falsework Plan
Piling (H-Piles, Sheet Piling)	Installation Plan
Lighting Plan	Lighting Plan
Mix Design – Concrete	LOI Concrete Type LOI Concrete Class PCD QC Plan
Mix Design – Hot Mix	LOI Pavement Type LOI HMA PG70-28 QC Plan
Lumber and Timber	Lumber and Timber Plan
Fabrication Drawing - Other	Misc. Fabrication Drawings
Off-Site Activity - Exemption	OSA Property Name OSA Flintstone
Off-Site Activity - Waste Borrow Staging	OSA Property Name OSA Flintstone
Reinforcing Steel	Reinforcing Steel
Bridge Painting Related	Related Painting
Request For Information	RFI XX Title RFI 01 Drilled Shaft
Schedule - Progress Schedule per 108.03	Progress Schedule
Shoring	Shoring Plan
Fabrication Drawing - Steel	Steel Drawing
Stockpile	Stockpile Item 506.25
Design Drawing	Subject Drawing Precast Retaining Wall Design
Construction Drawing – Other	Subject Drawing Precast Retaining Wall Drawing
Temporary Bridge	Temporary Bridge
Temporary Relocation of Stream	Temporary Relocation of Stream
Traffic Barriers	Traffic Barriers
Traffic Control Plan	Traffic Control Plan

Traffic Signal and Foundations	Traffic Signal Foundation Traffic Signal Mast Arms Traffic Signal Equipment
Value Engineering	VE XX Description VE 01 Slope
Water Systems	Water Systems Plan Water Relocation Plan
Weld Procedures	Weld Procedures

Working Drawer

No Types exist for this Drawer.

Notes	Naming Example
Prime is expected to fill out the appropriate information	Emergency Contacts <i>or</i> Emergency Contact – 511 (will already be named prior to Prime info)
EPSC Reports	WE20190713