131 Plans Processing

131.1 General

This section describes the critical activities required to process the contract plans, specifications and estimate for letting. It identifies the transmittal forms, certifications and other documents prepared by the District and the various offices involved in processing a Plans, Specifications & Estimates (PS&E) submittal package. This chapter also outlines the revision process, and the steps to resubmit a project that has been withdrawn from letting.

Projects must be electronically delivered in Digital Delivery format in accordance with ***FDM 130*** and the ***CADD Manual***. The latest information regarding the letting of electronic plans and specifications (including critical dates) will be posted on the ***Final Plans Web Page*** as new information becomes available.

Other specific requirements for processing the electronic delivery, including information on the Electronic Delivery software, can be found in the ***CADD Manual***.

131.1.1 Definitions

(1) **Contract Documents:** Contract Documents are treated as one instrument which includes all the following:

- (a) Advertisement for Proposal, Proposal, Certification as to Publication and Notice of Advertisement for Proposal,
- (b) Appointment of Agent by Non-resident Contractors,
- (c) Non-collusion Affidavit,
- (d) Warranty Concerning Solicitation of the Contract by Others,
- (e) Resolution of Award of Contract,
- (f) Executed Form of Contract,
- (g) Contract Bond,
- (h) Standard Specifications and Plans (including revisions thereto issued during construction), and
- (i) Addenda, or other information mailed or otherwise transmitted to the prospective bidders prior to the receipt of bids, work orders, and supplemental agreements.

Modification for Non-Conventional Projects:

Delete ***FDM 131.1.1*** item (1) and replace with the following:

(1) **Contract Documents:** Contract Documents are treated as one instrument which includes all the following :

a. Advertisement, Request for Proposal (RFP),

b. Design and Construction Criteria Package,

c. Technical and Price Proposal,

d. Certification as to Publication and Notice of Advertisement for Proposal, Appointment of Agent by Nonresident Contractors,

e. Non-collusion Affidavit,

f. Warranty Concerning Solicitation of the Contract by Others,

g. Resolution of Award of Contract,

h. Executed Form of Contract,

i. Contract Bond,

j. Design Liability Insurance,

k. Standard Specifications and Plans (including revisions thereto issued during construction),

l. Addenda, written statements or transcripts or minutes of oral representation by Design-Build Firm made at oral presentations, or other information mailed or otherwise transmitted to the prospective bidders prior to the receipt of bids, work orders and supplemental agreements, whether or not set forth at length in the form of contract.

(2) **Final Plans:** Plans are considered final after changes noted during the Phase IV submittal review are completed and verified.

(3) **Mandatory Specification Revision:** A required change to the Specifications, Design Standards, or other contract documents, caused by changes in Federal Regulations, State Statutes, Rules, safety improvements, technological changes, or omissions and implemented on a time-critical schedule, effective with a specific letting month and year.

(4) **Plans, Specifications, and Estimates (PS&E) Submittal Package:** This package is delivered by the District Final Plans Office to Central Office Final Plans

or to District Contracts for letting. The package consists of signed and sealed Final Plans and Specification Package, the Authorization Estimate, and other contract and transmittal documents. PS&E Submittals are numbered consecutively and re-submittals are required until the project is accepted by the District Program Management Office.

(5) **Production Date:** The committed completion date for Final Plans and certifications (e.g.; utilities, permits, R/W, environmental); these documents must be ready for compilation into the Contract File Index.

(6) **PS&E Phase:** The plans processing period between Phase IV plans and delivery of PS&E Package to Central Office Final Plans or to District Contracts.

(7) **PS&E Review(s):** Review(s) consisting of the Final Plans, Specifications and Estimate along with any other contract and transmittal documents.

(8) **PS&E Transmittal Date:** The committed date for the delivery of the PS&E Submittal Package to Central Office Final Plans or to District Contracts.

(9) **Supplemental Specifications Package:** A signed and sealed document modifying the Specifications Package after it has been accepted by Central Office Final Plans section or District Contracts.

131.2 District Plans Processing

There are plans processing activities that occur in the Districts prior to submitting the PS&E Submittal Package to Central Office Final Plans or to District Contracts. The schedule for these activities vary by District; contact the District Final Plans Office for specific requirements.

Review of contract documents during the PS&E Phase often require modifications to the plans, specifications or quantities. Modifications made prior to the District Estimates Office changing the Project Preconstruction (PrP) Workflow/Phase or Central Office acceptance of the PS&E Submittal Package are Plan Changes.

Plan Changes include modifications, deletions, or addition of data on individual sheets, or adding and deleting entire sheets. Plan Changes are not Plan Revisions (as described ***FDM 132***); therefore, do not note Plan Changes in the Revision Block on the sheets.

131.2.1 PS&E Submittal Package to Tallahassee

Prepare and post the PS&E Submittal package to the Central Office server no later than the PS&E Transmittal Date. Transfer control of the AASHTOWare Project

Preconstruction™ (formerly TRNS•PORT) project files to the Final Plans section of the State Program Management Office when posting the PS&E Submittal Package.

Email the Transmittal of Plans, Specifications and Estimates Package Memo (***Form 131-A***, see ***FDM 103***), and the Contract File Index (***Form 131-B***, see ***FDM 103***) with attachments, to CO-CPKG with a copy to the Department's Project Manager.

Upon receipt of the PS&E Submittal, the Central Office Final Plans section checks the package for completeness and records the date posted. If incomplete, the District Final Plans Office is notified to provide a corrected submittal. Once accepted, the PS&E Submittal is posted to the server, for access by Contracts Administration.

131.2.1.1 Revisions to PS&E Submittal Package

Revisions are modifications to the PS&E Submittal Package after it has been accepted by Central Office Final Plans. See ***FDM 132*** for information on revisions to the PS&E Submittal Package.

131.2.2 Re-submittal of Withdrawn Projects

When a District withdraws the PS&E Submittal Package for major revisions before the letting, the project must be resubmitted as a new transmittal of the PS&E Submittal Package with all required components. Include the note "Plans Completely Revised" on the Transmittal Memo next to the Transmittal date. Include the note under the "Revisions" Header of the lead Key Sheet, "Plans completely revised (date)". Show the new Proposal/Contract ID number on the Key Sheet(s).

Project documents in Central Office from the previous submittal will be deleted. A project withdrawn for a period of nine months or longer will be updated according to the process outlined in ***FDM 112***.

Plans rejected from letting by the Awards Committee or withdrawn for minor revisions may not need to follow the above process. Districts must coordinate with Central Office Production Management or District Contract Administration to reschedule a letting.

131.3 Central Office Plans Processing

Figure 131.3.1 illustrates the Central Office activities for processing the contract documents for Letting.
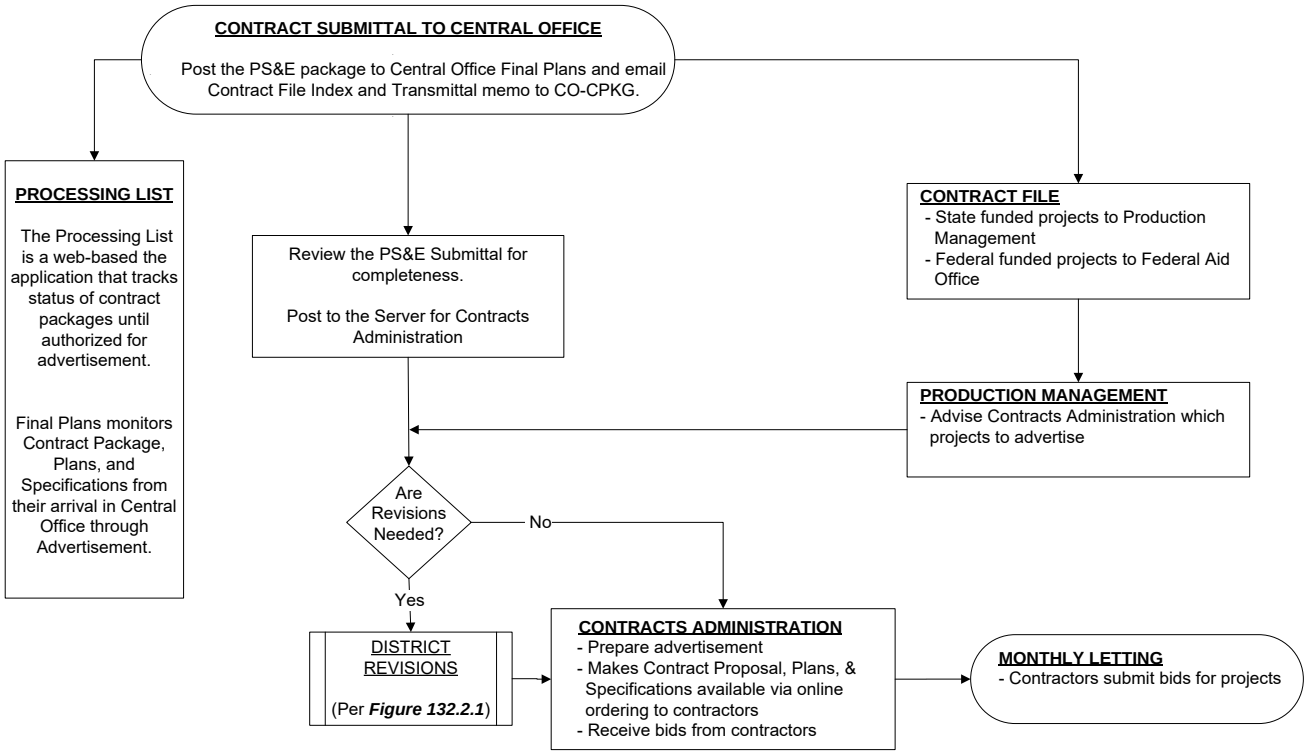
Figure 131.3.1 Plans Processing for Central Office Letting