

131 Plans Processing

131.1 General

This chapter 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This chapter also outlines the steps to resubmit a project that has been withdrawn from letting.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](#).

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 advertisement),
 - (i) Supplemental Specifications Package,
 - (j) Required Insurance(s) and,
 - (k) 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) Technical and Price Proposal,
- (c) Certification as to Publication and Notice of Advertisement for Proposal, Appointment of Agent by Nonresident Contractors,
- (d) Non-collusion Affidavit,
- (e) Warranty Concerning Solicitation of the Contract by Others,
- (f) Resolution of Award of Contract,
- (g) Executed Form of Contract,
- (h) Contract Bond,
- (i) Design Liability Insurance,
- (j) Standard Specifications and Plans (including revisions thereto issued during construction),
- (k) 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) **Plans:** Plans include 2D Contract Plans Set(s) and 3D Build Information Model (BIM) files. Plans show the location, character, dimensions, and details of the work.
- (3) **Final Plans:** Plans are considered final after changes noted during the Phase IV submittal review are completed and verified.
- (4) **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.

- (5) **Plans, Specifications, and Estimates (PS&E) Submittal Package:** For Contract Class 1 (Central Office Letting), this package is transmitted by the District Final Plans Office to the State [Program Management Specifications](#) Office, Final Plans section, or to the District Contracts Office for letting. For Contract Class 7 (District Letting), this package is transmitted by the District Plans, Specifications, and Estimates office(s) to the District Contracts Office for letting. The package consists of signed and sealed Final Plans and BIM.zip, Specification Package, the Estimated Quantities Report, 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.
- (6) **Authorization Estimate:** The Authorization Estimate is a report generated by the Design Quantities and Estimates (DQE) that is automatically saved to a server for access by authorized users. The Authorization Estimate must be posted to the server no later than the PS&E Transmittal Date.
- (7) **Production Date:** The committed completion date for Final Plans, Specifications Package, and certifications (e.g., utilities, permits, R/W, environmental); these documents must be ready for compilation into the Contract File Index.
- (8) **PS&E Phase:** The plans processing period between Phase IV plans and delivery of PS&E Package to the State [Program Management Specifications](#) Office, Final Plans section, or to the District Contracts Office.
- (9) **PS&E Review(s):** Review(s) consisting of the Final Plans, Specifications and Estimate along with any other contract and transmittal documents.
- (10) **PS&E Transmittal Date:** The committed date for the transmittal of the PS&E Submittal Package to the State [Program Management Specifications](#) Office, Final Plans section, or to the District Contracts Office.
- (11) **Supplemental Specifications Package:** A signed and sealed document modifying the Specifications Package after construction contract advertisement.

131.2 District Plans Processing

There are plans processing activities that occur in the Districts prior to submitting the PS&E Submittal Package to the State [Program Management Specifications](#) Office, Final Plans section, or to the District Contracts Office. The schedule for these activities varies by District; contact the District Final Plans Office for specific requirements.

Review of contract documents during the PS&E Phase often requires modifications to the plans, specifications, or quantities. It is considered a Plan Change when modifications are made prior to the District Estimates Office changing the AASHTOWare Project

Preconstruction (PrP) Workflow/Phase or Central Office acceptance of the PS&E Submittal Package.

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

131.2.1 Authorization Estimate

The Authorization Estimate (used for budgeting construction dollars in the Work Program) is one of the last activities performed during the design phase. Using the final quantities loaded into AASHTOWare Project Preconstruction™ by the EOR, the District Estimates Office will adjust unit prices (when appropriate). The District Estimator typically considers the following items when adjusting costs:

- Order of magnitude of the quantity (exceedingly high or low)
- Availability of materials
- Accessibility to project location
- Complexity of work, or Traffic Control Plan
- Specialty work or materials
- Contract time restrictions

When finalized, post the Authorization Estimate to the server. Posting must be no later than PS&E Transmittal Date.

131.2.2 Processing the PS&E Submittal Package

The District Final Plans Office initiates the collection and processing of PS&E Submittal documents using the PS&E Module within Project Suite Enterprise Edition (PSEE). When the PS&E Submittal package is complete and ready for submission, control of the PSEE model will be transferred to the appropriate office. Transfer control of the PS&E Module no later than the PS&E Transmittal Date to:

- State [Program Management Specifications](#) Office, Final Plans section, or
- District Contracts Office for district-let projects

Upon receiving control of the PS&E Module, the appropriate office (indicated above) will check the package for completeness. If incomplete, the District Final Plans Office is notified to provide a corrected submittal.

Transfer control of the AASHTOWare Project Preconstruction™ (PrP) project files to the State [Program Management Specifications](#) Office, Final Plans section when transferring control of the PS&E Module.

131.2.2.1 Transmittal Memo

The Transmittal Memo provides project information to assist with plans processing, and to certify that required approvals have been received. The Transmittal Memo is populated within the PS&E Module. Update the Transmittal Memo whenever information changes due to project updates.

131.2.2.2 Revisions to PS&E Submittal Package

Revisions are modifications to the PS&E Submittal Package after it has been accepted by the State [Program Management Specifications](#) Office, Final Plans section, or District Contracts Office. See **FDM 132** for information on revisions to the PS&E Submittal Package.

131.2.2.3 Re-submittal of Withdrawn Projects

Modification for Non-Conventional Projects:

Delete FDM 131.2.2.3 .

When a District withdraws the PS&E Submittal Package for major revisions before the letting, the project must be resubmitted as a new PS&E Submittal Package with all required components. Show the new Proposal/Contract ID number on the Key Sheet(s).

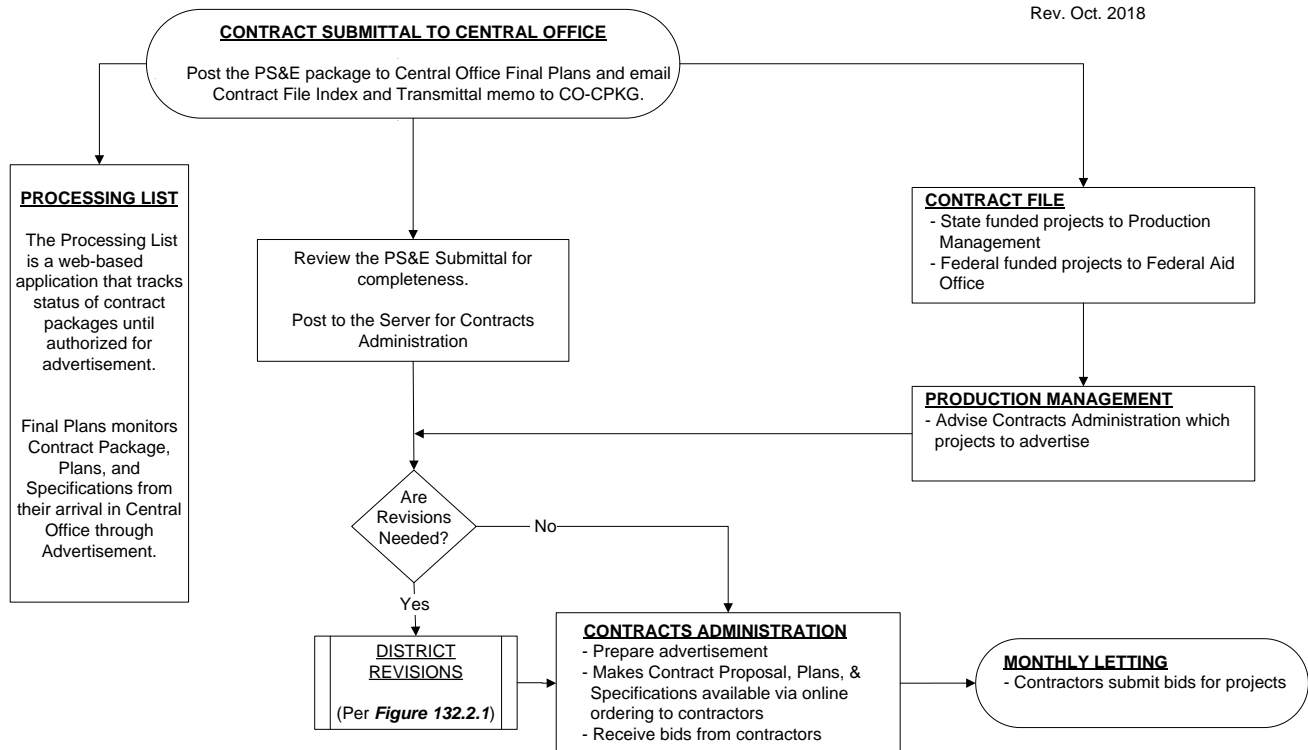
Project documents in Central Office from the previous submittal will be deleted. A project withdrawn for a period of nine months or longer will be updated according to the process outlined in **FDM 112**.

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



131.4 Re-advertised and Reissued Process

A re-advertised ~~and reissued~~ PS&E Package occurs when a PS&E Package has been advertised/withdrawn or moved beyond advertisement. For a re-advertised ~~and reissued~~ PS&E Package, the Specification Package is to be revised to the current Specifications workbook. ~~The word "REISSUED" precedes the Specifications Package date, as applicable throughout the document.~~

131.5 Letting Date Changes

The process for changing letting dates depends on the advertisement status of the project.

131.5.1 Before Advertisement

Districts send an email notification of the letting date change to CO-CPKG. Request access to AASHTOWare if the AASHTOWare transfer has occurred. The project deliverables then become a new submittal with the new letting date.

131.5.2 After Advertisement

For letting date changes from the district, the letting date in the embedded transmittal form will update automatically when Work Program changes the letting date in PSEE.

For letting date changes under a new Specification Workbook and new Standard Plans publication, the project deliverables must be brought up to date with these new standards. This will require a Plans Revision and an updated Specifications Package. The updated Specifications Package must be listed on the revision memo. Pay items should be checked and updated as necessary for validity with the new date.

[Withdrawing or moving the project to a later letting after advertisement requires approval by the District Secretary and the Chief Engineer.](#)