131 Plans Processing

131.1 General

This chapter describes the critical activities required to process the Contract Plans Set, Specifications Package, and estimate for letting. It identifies the transmittal forms, certifications, and other documents prepared by the district, and the various offices involved in processing the Plans, Specifications, & Estimates (PS&E) Submittal Package.

This chapter also outlines the steps required to resubmit a project that has been withdrawn from letting.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***.

Additional requirements for processing electronic delivery, including information on the electronic delivery software, are provided in the ***CADD Manual***.

131.1.1 Definitions

(1) **Contract Documents:** Contract Documents are treated as one instrument and include 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 issued during advertisement),

(i) Supplemental Specifications Package,

(j) Required Insurance(s), and

(k) Addenda or other information transmitted to prospective bidders prior to receipt of bids, including 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 and include all the following:

(a) Advertisement and Request for Proposal (RFP),

(b) Technical and Price Proposal,

(c) Certification as to Publication, Notice of Advertisement for Proposal, and 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 issued during construction),

(k) Addenda, written statements, transcripts, or minutes of oral representation by the Design-Build Firm, or other information transmitted to prospective bidders prior to receipt of bids, including work orders and supplemental agreements, whether or not included in the contract.

(2) **Plans:** Plans include 2D Contract Plans sets and 3D Build Information Model (BIM) files showing the location, character, dimensions, and details of the proposed work.

(3) **Mandatory Specification Revision:** A required change to the Standard Specifications, the Standard Plans, or other contract documents due to changes in federal regulations, state statutes, rules, safety improvements, technological changes, or omissions, implemented on a time-critical schedule and effective for a specific letting month and year.

(4) **Plans, Specifications, and Estimates (PS&E) Submittal Package:** For Contract Class 1 (Central Office letting), this package is transmitted by the District PS&E Office(s) to the State Specifications Office, Final Plans section for letting. For Contract Class 7 (district letting), this package is transmitted to the District Contracts Office for letting. The PS&E Submittal Package includes the signed and

sealed Plans, CADD.zip and/or BIM.zip, Specifications Package, Estimated Quantities Report (EQR), Technical Special Provisions (TSPs), and any other required contract and transmittal documents. Each PS&E submittal is numbered consecutively, and re-submittals are required until the project is accepted by the District Program Management Office.

(5) **Authorization Estimate:** A report generated by the Design Quantities and Estimates (DQE) and 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.

(6) **Production Date:** The committed completion date for the Plans, Specifications Package, and certifications (e.g., utilities, permits, R/W, environmental). These documents must be uploaded to the PS&E Module in Project Suite Enterprise Edition (PSEE) and ready for compilation into the Contract File Index (CFI).

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

(8) **PS&E Transmittal Date:** The committed date for transmitting the PS&E Submittal Package to the State Specifications Office, Final Plans section or the District Contracts Office.

(9) **Supplemental Specifications Package:** A signed and sealed document that modifies the Specifications Package after contract advertisement.

131.2 District Plans Processing

Plans processing activities occur within the district prior to submitting the PS&E Submittal Package to the State Specifications Office, Final Plans section or the District Contracts Office. The schedule for these activities varies by district; contact the District PS&E Office for specific requirements.

During PS&E Review, modifications to the plans, specifications, or quantities may be required. These are considered Plan Changes when made prior to the District Estimates Office updating the AASHTOWare Project Preconstruction (PrP) workflow/phase or prior to Central Office acceptance of the PS&E Submittal Package.

Plan Changes include modifications, additions, or deletions to plan sheets or BIM files, including adding or deleting entire sheets. Plan Changes are not Plan Revisions (as described in ***FDM 132***) and must not be recorded in the Revision Block.

131.2.1 Authorization Estimate

The Authorization Estimate is one of the final design phase activities and is used for budgeting construction funds in the Work Program. Using final quantities entered into AASHTOWare Project Preconstruction™ by the EOR, the District Estimates Office may adjust unit prices based on factors such as:

- 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 complete, post the finalized Authorization Estimate to the server no later than the PS&E Transmittal Date.

131.2.2 Processing the PS&E Submittal Package

The District PS&E Office initiates the collection and processing of PS&E Submittal Package documents using the PS&E Module in PSEE. When the PS&E Submittal Package is complete and ready for submission, control of the PS&E Module will be transferred to the appropriate office. Transfer control of the PS&E Module no later than the PS&E Transmittal Date to the:

- State Specifications Office, Final Plans section, or
- District Contracts Office (for district-let projects)

The appropriate receiving office (listed above) will review the package for completeness and notify the District PS&E Office if corrections are required.

Transfer control of the AASHTOWare Project Preconstruction™ (PrP) files concurrently with the PS&E Module.

131.2.2.1 Transmittal Memo

The Transmittal Memo provides project information and certifies that required approvals have been received. It is generated within the PS&E Module and must be updated when project information changes.

131.2.2.2 Revisions to PS&E Submittal Package

Revisions are modifications made after acceptance of the PS&E Submittal Package by the State Specifications Office, Final Plans section or the District Contracts Office. See ***FDM 132*** for revision requirements.

131.2.2.3 Resubmittal of Withdrawn Projects

Modification for Non-Conventional Projects:
Delete ***FDM 131.2.2.3***.

If a PS&E Submittal Package is withdrawn after advertisement and before the letting for major revisions, it must be resubmitted as a new PS&E Submittal Package with all required components. Include the new Proposal/Contract ID number on the Key Sheet(s).

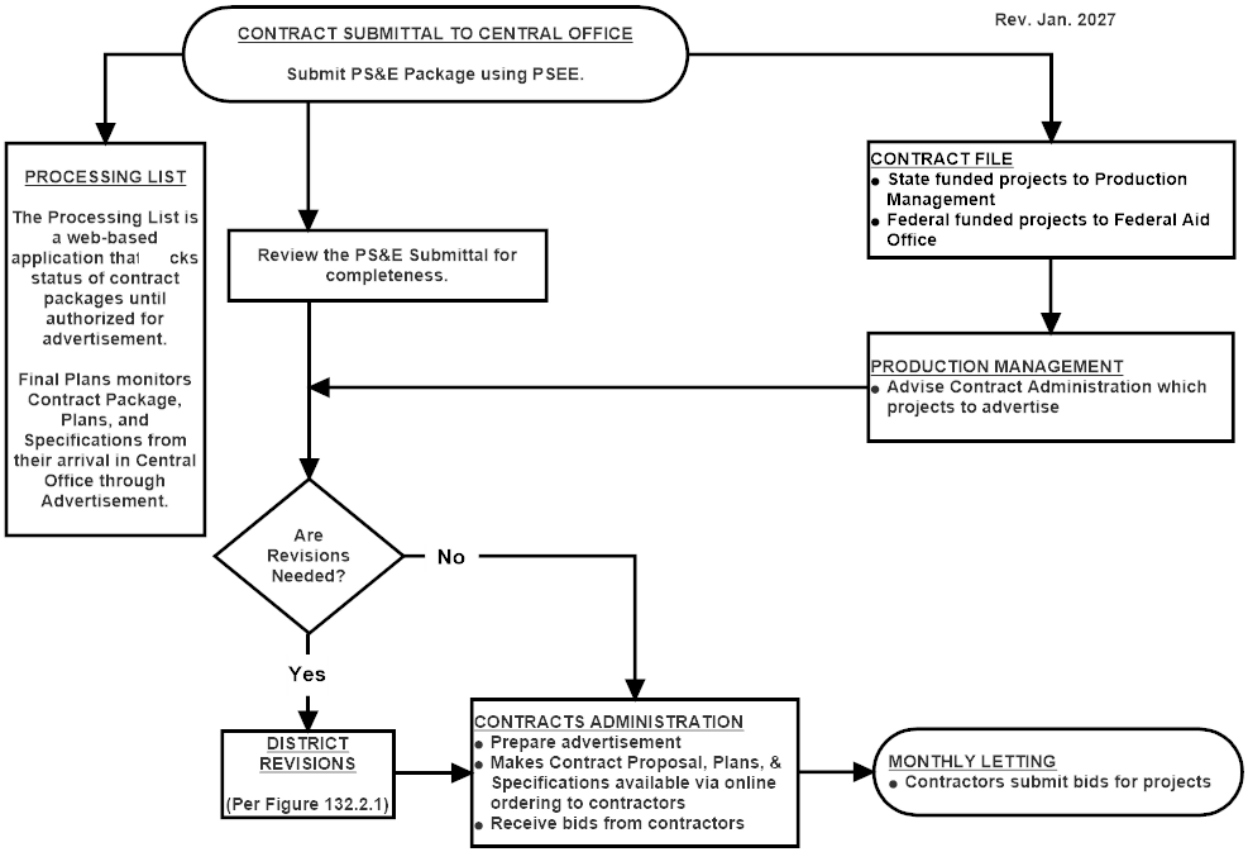
Previous submittal documents in Central Office will be deleted. Projects withdrawn for a period of nine months or longer must be updated in accordance with ***FDM 112***.

The districts must coordinate with Central Office Contract Administration 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 Process

A re-advertised PS&E Package occurs when a PS&E Package has been advertised, withdrawn, or moved beyond advertisement. For a re-advertised PS&E Package, update the plans and Specifications Package to the current Standard Plans publication and Specifications Workbook.

131.5 Letting Date Changes

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

131.5.1 Before Advertisement

The districts must send an email notification of the letting date change to CO-JOBLOCK. Request access to AASHTOWare Project Preconstruction™ if transfer of the project has already occurred. The project deliverables will then be processed as a new submittal with the new letting date.

131.5.2 After Advertisement

For letting date changes, the letting date in the embedded transmittal form will update automatically when the revised letting date is reflected in the Financial Management (FM) System.

If the letting date change results in the use of a new Specifications Workbook or Standard Plans publication, update the project deliverables to comply with the new standards. This requires a Plans Revision and an updated Specifications Package. Include the updated Specifications Package in the Revision Memo. Verify that all pay items remain valid or are updated as necessary.

Withdrawing or moving a project to a later letting after advertisement requires approval from both the District Secretary and the Chief Engineer. Send this approval by copy to the Director of Design and CO-JOBLOCK for Class 1 projects. Send this approval to the District Contracts Office for Class 7 projects.