

SECTION 11 DES-OE DRAFT CONTRACT DOCUMENT PROCESSING

11.1 PURPOSE

The purpose of this section is to define and describe the DES-OE DC document preparation process AAOE project submittal; and ensure that Department personnel know their roles and responsibilities in processing the district PS&E to DCR.

DES-OE is responsible for the preparation and processing of AAOE PS&E submittals as final contract documents. See Appendix H.

11.2 RESPONSIBILITIES

11.2.1 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER AREA SENIOR

- Assigns the district PS&E as staff becomes available
- Resolves issues and conflicts regarding submittals, DR, DCR, and RTL

11.2.2 DIVISION ENGINEERING SERVICES-OFFICE ENGINEER SPECIFICATION ENGINEER

- Reviews the PS&E submittal to determine if it is complete, accurate, and conforms to Department standards
- Provides to DOE the DCC using the DCRD
- Enters the DCC date into the Project Database
- Incorporates DR into the draft contract documents and enters the DR date into the Project Database after verifying that comments have been addressed and resolved
- Sends the redlined plans to the PPU
- Validates the PS&E is complete and enters the DCR date into the Project Database.
- Recommends finalization of the RTL Certificate

11.2.3 PROJECT ENGINEER OR CONSULTANT OVERSIGHT ENGINEER

- Promptly provides additional information or revisions requested by DOE or DES-OE
- Obtains FHWA concurrence for major changes made to federal aid contracts after PS&E submittal.

11.2.4 DISTRICT OFFICE ENGINEER

- Ensures that additional information or revisions requested by DES-OE during the preparation of the final contract documents is furnished in a timely manner.

11.3 PREPARATION OF DRAFT CONTRACT COMMENTS

DES-OE reviews the PS&E submittal to determine if it is complete, accurate, and complies with Department standards. The review is based on the requirements in Sections 5, 6, and 7. DES-OE summarizes the comments that may include deletions, additions, corrections, updates and other required changes, or requests for missing documents or approval of nonstandard components.

DES-OE will then send the Notification of DCC to the district by e-mail and the project will receive the DCC date.

11.4 DISTRICT RESPONSE TO DES-OE DRAFT CONTRACT COMMENTS

11.4.1 RESPONSE

The DOE is to address each comment in the DCRD. The DOE is responsible for forwarding the DCC comments and incorporating the responses from district functional units, including SOE. DOE responds to comments in the DCRD and notifies DES-OE by e-mail to facilitate timely completion of the DCR milestone.

If necessary, district and DES-OE personnel may meet in Sacramento or another convenient location to resolve remaining contract issues. The DES-OE SE assigned to the project documents the meeting(s) or telephone discussion(s) in a memorandum to file with a copy to the district.

The project will receive the DR date after the following actions:

- District has responded to DCC and the DES-OE SE concurs with the responses.
- The PCE and final engineers estimate are submitted to DES-OE.
- PLACs are submitted to DES-OE and their requirements are incorporated into the PS&E not including cooperative agreements and encroachment permits.
- Electronic Information Handout and cross sections are submitted to DES-OE.
- NSSPs are approved by appropriate owner including approval memo and e-mail.
- Railroad clearance memo or railroad clause is submitted to DES-OE if the plans show railroad involvement.
- PE seal sheets are submitted.

11.4.2 PLAN REVISIONS

When submitting district proposed plan revisions or plan revisions requested by DES-OE after PS&E submittal, follow these guidelines:

- Notify the project DES-OE SE by e-mail that revisions are being submitted.
- Submit redline prints which clearly indicate the proposed or requested plan revisions.
- Submit a new PS&E CADD Submittal Form with the redline prints and identify it as a revised/replace or additional submittal in the appropriate box at the top of the form.
- The DOE is to note and explain redlined plan sheets, added originals, and replacement originals in the DCRD and DR e-mail notification.

11.4.3 SPECIAL PROVISIONS REVISIONS

Contract special provisions revisions are to be noted and explained in the DCRD. The DOE and SOE should provide substantially revised SSPs, SSP updates with extensive edits, and additional SSPs as an individual electronic file with the DR e-mail notification.

11.4.4 ESTIMATE REVISIONS

Estimate revisions agreed to by DES-OE are to be made by the district electronically in BEES and a copy of the revised BEES submitted with the DR e-mail notification. This is to avoid errors in renumbering the other items affected by the deletion or addition to the estimate. The DOE is to explain the deletion, addition, and revisions in the DCRD and DR e-mail notification.

11.4.5 MAJOR REVISIONS

When districts make major revisions to the PS&E after the DCC date the Complete PS&E received date and the other milestones that follow will be adjusted accordingly. A DES Change Communication Document form will be processed to document the adjustment of the affected dates. See the memo by Carlton L. Hack, Major Revisions Impact on California Transportation Commission (CTC) Allocations (Vote) and Ready to List (RTL) Dates, dated February 28, 2003. The CCD form is located in the DES-PPRM Office of Project Management Web site.

The district should discuss with the DES-OE SE if proposed revision constitutes a major change.

Major revisions consist of any of the following:

Change in the scope of the project:

- Addition of sole source or proprietary item.
- Revision of standard design features or specific project design elements of the mainline, ramps, frontage roads, crossroads, and significant detours
- Changes to highway alignment
- Changes to structural section
- Significant changes to structures
- Significant changes to earthwork quantities

- Replacement, addition, or deletion of plan sheets that are 10 percent or more of the total number of plan sheets submitted at PS&E submittal.
- Editing, deleting, or relocating major structures.
- Adding, deleting, or changing work under or requiring written agreement between the Department and a private party, corporation, utility, or other governmental unit; including environmental commitment mitigation within the limits of the project.
- Increasing or decreasing by \$200,000 or more either the total contract item cost or the approved supplemental work in the project cost estimate.

11.4.6 MINOR REVISIONS

Minor changes merely clarify the drawings or specifications so bidders can better understand the work, quality of materials, or performance required to bid and to construct the project.

Minor revisions consist of any of the following:

Plans:

- Adding or deleting details, notes, dimensions, or drawings to clarify instructions, to supplement other drawings, or to eliminate conflicts between notes, dimensions, and drawings, deleting reference to a standard plan that is not needed for the proposed work.

Specifications:

- Correcting typographical errors, adding or deleting specifications, correcting conflicting provision, making changes to clarify ambiguous requirements.

11.4.7 CHANGES TO FEDERAL AID PROJECTS AFTER PS&E SUBMITTAL

After PS&E submittal to DES-OE the district may need to make a major change in a high profile project. FHWA must approve the change before the project can be considered DR. See DES Decision Document 43, Include FHWA Design Approval in RTL, signed by Brent Felker, dated June 2, 2003.

11.5 DRAFT CONTRACT READY

DES-OE prepares the final contract documents using the information in the original PS&E submittal and the DR in the DCRD.

The project will receive the DCR date when the DR fully satisfies the DCC comments including specialty comments like planting, electrical, and building, and the following activities have been completed.

- a. The DES-OE SE:
 - i. Incorporates revisions and additions from the DR into the contract special provisions, including specialty specifications
 - ii. Consolidates redline plan revisions, including specialty plans, onto 1 set of plan prints
 - iii. Checks plan titles, sheet code letters, signatures, and seals
 - iv. Checks the list of applicable standard plans and adds revised standard plans to the list if necessary
 - v. Adds final sheet numbering and the index of plan sheets to the title sheet
 - vi. Submits the redlined plans to the PPU for delineation into the final plans
 - vii. Checks the redlined plans against a half-size plot of the final project plans and verifies that all corrections have been made
- b. The Project Plans Unit:
 - i. Prepares a .PDF file from the final plans for the PE to use in certifying the project as conforming to Section 1.3.6. The PDF files are posted on the ftp site specified in the DCR Memorandum.
- c. The BEES unit will lock the BEES when the project receives its DCR date.

11.6 DRAFT CONTRACT READY MEMORANDUM

DES-OE SE will send the DCR Memorandum to the PE along with electronic copies of the final special provisions. A hard copy of the memorandum is placed in the Job File.

11.7 PREPARATION OF FINAL CONTRACT DOCUMENTS

During the listing period, DES-OE SE:

- Submits cross sections, Information Handout, special provisions and PE seals to the BBAU
- Proofs the Notice to Bidders and Special Provisions and the Bid book
- Proofs the final BEES

11.8 ADVERTISING PERIOD

Activities performed by the DES-OE SE include the processing of contract addendum requests. See Section 13.

11.9 REJECTED BIDS / RE-ADVERTISEMENT

The district must instruct DES-OE whether or not to return the PS&E in the request for rejecting bids. See Section 14 for sample instructions. In fairness to bidders, contracts with rejected bids will normally not be re-advertised without material revisions made to the previously advertised contract documents.

11.10 RETURN OF PROJECTS

For information on return of projects refer to:

- The memo by Richard Land, Updating and Funding Shelved Ready to List Projects, dated June 14, 2005, located in the Division of Design, Office of Special Projects, Shelf Guidance Web site.
- DES Decision Document 40, Return of Projects Not Ready For Advertisement, signed by Robert L. Buckley, dated October 7, 2002.