

## 4.2 After Plans, Specifications & Estimate (PS&E)

### A. Draft Contract Ready

After the PS&E submittal by the district and upon receipt of the “First Notice,” it is recommended that the district keep the MicroStation files (.dgn) of the project plans submitted to DES-Office Engineer (OE.) There may be cases where the district might need to submit revised, replacement or additional plan sheets, utilizing the MicroStation files from the original PS&E submittal. As a rule, the final redline corrections to the plans are made by DES-OE Project Plans Unit, with concurrence from the district.

### B. Certification for Ready-to-List (RTL)

#### 1. Overview

The Ready-to-List (RTL) Certification documents the accomplishment of applicable RTL requirements. Two requirements for RTL that involve CADD files are Cross-Sections and the Survey File Checklist. For questions about the RTL Certification process, see the Ready-to-List and Construction Contract Award Guide (RTL Guide) at:

[www.dot.ca.gov/hq/esc/oe/specifications/rtl\\_guide/](http://www.dot.ca.gov/hq/esc/oe/specifications/rtl_guide/)

#### 2. Cross Sections

Earthwork cross-sections are a vital component in the development and construction of many projects. They assist the designer in developing the most efficient way to handle the earthwork items and assist the bidder in understanding the scope of the earthwork to be performed. Surveys, Construction and the Contractor utilize the earthwork cross-sections to construct the project as designed.

Although cross-sections are not included in contract bid documents, they are supplemental information for the convenience of bidders. When cross-sections are prepared, they shall be made available to bidders. Potential bidders will be notified in the “Notice to Contractors” that cross-sections will be available through the District/Region Construction Duty Senior in the district in which the project is located.

For guidance in developing earthwork cross-sections, see Chapter 3 of this manual.

### 3. Survey File Checklist

The Survey File checklist shall be completed as described in the Project Development Procedures Manual "Appendix QQ". The Survey File checklist defines what Surveys will need to stakeout a project. It would be good business practice to submit a draft of the Survey File checklist to Surveys at PS&E for QA/QC, even though it must be completed and submitted to Surveys by the RTL date in order to achieve RTL Certification.

#### C. As-Awarded

After the project has been awarded to the winning bidder, DES-OE Project Plans Unit will notify the district to copy back the As-Awarded MicroStation files. This process is called "Second Notice." These MicroStation files will include any revisions or additions that may have occurred through the addenda process. The district will need to keep the As-Awarded MicroStation files for possible use by construction during the course of constructing the project. The District (or Consultant) **shall** use the As-Awarded MicroStation files when developing the As-Built plans at the completion of construction.

#### D. Contract Change Order

Changes to a contract may be necessary during the construction of any project. A change is made with a Contract Change Order (CCO.) Construction is the lead in handling CCOs. Depending on the nature of the change, construction will usually consult with or get concurrence from the project engineer when the change affects the design of the project.

If replacement or additional project plan sheets (in MicroStation file format) are generated by the CCO, they must have the signature and seal of a registered engineer (whether the engineer is from design or construction) who is most responsible for the change. Before the As-Built plans can be completed, any replacement or additional project plan sheets (in MicroStation file format) added by CCO must contain the signature and seal of a registered engineer. To ensure that each engineer's signature is only used when authorized by the engineer, the electronic signature for each engineer is usually maintained and protected by one source in each district. Usually that source is the delineation unit or office engineer unit in each district.