

SAM - BUDGETING

APPROVE WORKING DRAWINGS AND PROCEED TO BID

6852

(Revised 5/1998)

What are working drawings? Working drawings are the final design phase in preparing the construction bidding documents. Section 3.00 of the Budget Act further defines working drawings as “a complete set of plans and specifications showing and describing all phases of a project, architectural, structural, mechanical, electrical, civil engineering, and landscaping systems to the degree necessary for the purposes of accurate bidding by contractors and for the use of artisans in constructing the project. All necessary professional fees and administrative service costs are included in the preparation of these drawings.” Documents also include a dated final cost estimate. The discussion in this section applies to the design-bid-build process used for most state projects.

This phase starts with the approval by DOF to release working drawing funds and ends with DOF approval to proceed to bid. Both approvals use a Form DF-14D as shown in 6845 Illustration 1.

Before the working drawing phase can begin, PWB must approve the project’s preliminary plans (see Section 6851). A Form 22 is used to authorize transfer of working drawings funds to the Architectural Revolving Fund (ARF) (Section 6868). Departments use a DF-14D to request authority to spend working drawing funds. The architect/engineer then prepares the documents described in the preceding text along with any approved bid alternates as described in the following text.

NOTE: Requests for Approval of Working Drawings and Approval to Proceed to Bid are generally submitted concurrently if the construction funding has been appropriated. The requirements are separated in the following discussions for clarity. If submitted simultaneously, duplicated requirements should be combined.

Approval of working drawings: Government Code Section [13332.11](#) (b) requires PWB to approve working drawings and also authorizes DOF to approve working drawings. PWB delegates its approval to DOF and therefore an agenda package is not required. However, if the drawings result in cost or scope changes, those changes must be approved by DOF and then submitted as an agenda item to the PWB (see Sections 6861 and 6863). To obtain DOF’s approval of working drawings, the client department must:

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1. **Develop adequate working drawings:** Demonstrate that the working drawings are adequate for bidding and construction of the proposed project:
 - a. For most projects, DOF requires a letter attesting to the adequacy of the working drawing documents (as defined in Section 3.0 of the Budget Act), and summarizing the estimated construction, contingency, and project support costs.
 - b. DOF may elect to review actual working drawings. If requested, departments must provide DOF with a complete, dated set of working drawings, bid specifications, and a final cost estimate with a statement from the department Director/designee that the documents are adequate for constructing the proposed project.
2. **Evaluate changes:** Attest that any changes from the preliminary plans have been evaluated for scope changes as defined in Section 6863 and funding changes as defined in Section 6861.
3. **Obtain mandatory review approvals:** Various statutes require that certain elements of preliminary plans and working drawings be reviewed by oversight agencies before proceeding to bid. Examples of mandatory reviews which may be required at the working drawing phase include the State Fire Marshall, the State Historic Preservation Officer, and the California Coastal Commission.
4. **Information requirements for approval of working drawings:**
 - a. Standard fiscal reporting defined in Section 6845;
 - b. Working drawing completion letter or set of working drawings as detailed in the preceding text; and
 - c. If the request includes changes in scope and/or costs, an agenda package as defined in Section 6845 and reporting requirements as defined in Section 6861 and/or 6863.

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Obtaining approval to proceed to bid: Prior to initiating the bidding process, the client department must request approval to proceed to bid. To obtain DOF approval to proceed to bid after working drawings are completed, the client department must:

1. **Have a construction appropriation:** A construction appropriation for the project must be authorized (chaptered budget act and/or legislation) prior to advertising the project or issuing the bid.
2. **Obtain approval of bid alternates:** Public Contract Code Section [10126](#) allows bids to be accepted on alternates, additions or deductions from a basic project bid, not to exceed 10 percent (10%) of the estimated cost of the base project. Government [13332.11](#)(b) requires DOF approval of bid alternates.

The purpose of bid alternates is two-fold. If a project comes in over budget, deductive alternates can help avoid the need to re-bid the project. Conversely, if bids come in under budget, additive alternates can allow project improvements. Bid alternates (which must be bid separately from the main contract) must include all proposed deductive items in priority order followed by all additive items in priority order. DOF encourages submittal of at least three deductive alternates to ensure a successful contract award in the event that all bids submitted exceed budget.

3. **Obtain PWB/DOF approval for combined bids:** Public Contract Code [10127](#) authorizes DGS to receive bids for construction of several projects, treated as a single project for bidding purposes. PWB must first approve combined bids. Departments are required assign costs to the various projects and appropriations and to maintain separate cost accounting for each project.
4. **Reporting requirements for approval to proceed to bid:**
 - a. Standard fiscal reporting requirements as defined in Section 6845;
 - b. If proposed, a list of bid alternates, deductive and additive, in priority order;
 - c. If the request includes a request for combined bids, an agenda package as defined in Section 6845 and an explanation of the benefits of combined bids in this situation; and
 - d. If the request includes a change in scope and/or costs, an agenda package as defined in Section 6845 and reporting requirements as defined in Section 6861 and/or Section 6863.

As soon as DOF signs the DF-14D, the client department notifies DGS to proceed to bid. Typical activities during the bidding process include advertising the project in construction trade papers, submission of bids by interested parties, analysis of those bids, and selection of the lowest responsible bidder.