Chapter 5 – Proposal Creation

Contents

5.1 Creating a Proposal

The Proposal User role has the ability to create or edit proposal information as necessary. A Proposal is one or more projects grouped together (into a PS&E package) for advertising. Any project items that were created to Roll Up into one item for bidding will do so at the Proposal level.

This chapter assumes you are already logged into AASHTOWare Project (AWP) Preconstruction as a Proposal User and the project(s) to be included in the proposal is complete and valid.

There are two ways to create a Proposal. The first is from a project or the primary (controlling) project (if there will be more than one project). This method automatically pulls the information from the project from which the proposal was created into the corresponding proposal fields. If there will be more than one project, the proposal data must then be modified to include the additional project information and the additional project(s) added to the proposal. The second method of creating a proposal is from scratch. When creating a proposal from scratch, the Proposal User then imports project data when adding the project(s) to the proposal.

To create a Proposal from a project (two options):

1. Option 1: From the Project Overview screen (*Figure 5.1* and *Figure 5.2*).
    a. (A) Search for the project or the controlling project to be included in the proposal.
    b. (B) Expand the project row **action menu**.
    c. (C) Select **Create Proposal from Project**.

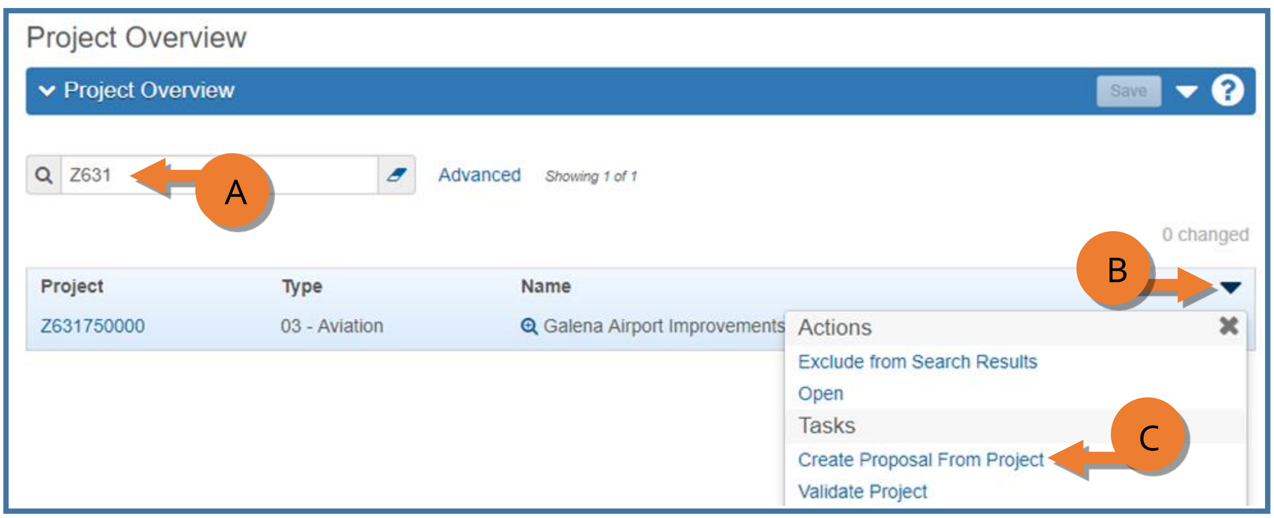

Figure 5.1

d. The Proposal Summary component opens up in the General tab.
e. (C) Click **<Save>**.

Figure 5.2

2. Option 2: From the Project Summary component (*Figure 5.3* and *Figure 5.4*).
   a. From the Project Overview component on the dashboard, search for and select your project (or the controlling project if more than one project). You will be taken to the Project Summary component.
   b. (A) Expand the Project Summary component **action menu** on the right side of the header.
   c. (B) Select **Create Proposal**.

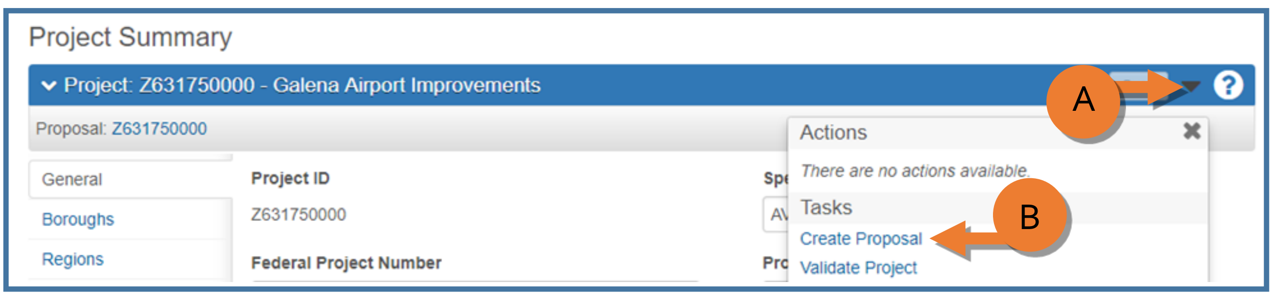

Figure 5.3

   d. The Proposal Summary component opens up in the General tab with some Project Summary information already populated
   e. (C) Click **<Save>**.

Figure 5.4

To create a Proposal from scratch (*Figure 5.5* and *Figure 5.6*):

1. In the Proposal Overview on the dashboard, (A) expand the Proposal component **action menu**.
2. (B) Select **<Add>**.

Figure 5.5

3. Enter in the two required fields:
   a. (A) **Proposal ID** – the State/IRIS number of the project or controlling project (if more than one project) to be included in the proposal.
   b. (B) **Proposal Description** – The project description(s) of the project(s) to be included in the proposal.
4. (C) Click **<Save>**.

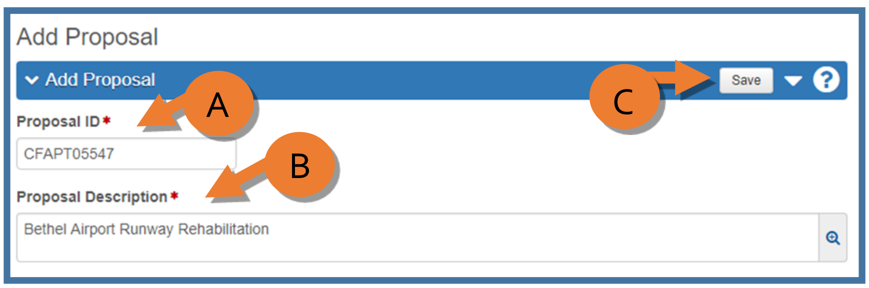

Figure 5.6

NOTE: Project Summary information can be imported from a project added to a proposal created from scratch. See segment entitled "To add a project to a proposal created from scratch" in the following section before entering data into Proposal Summary data fields.

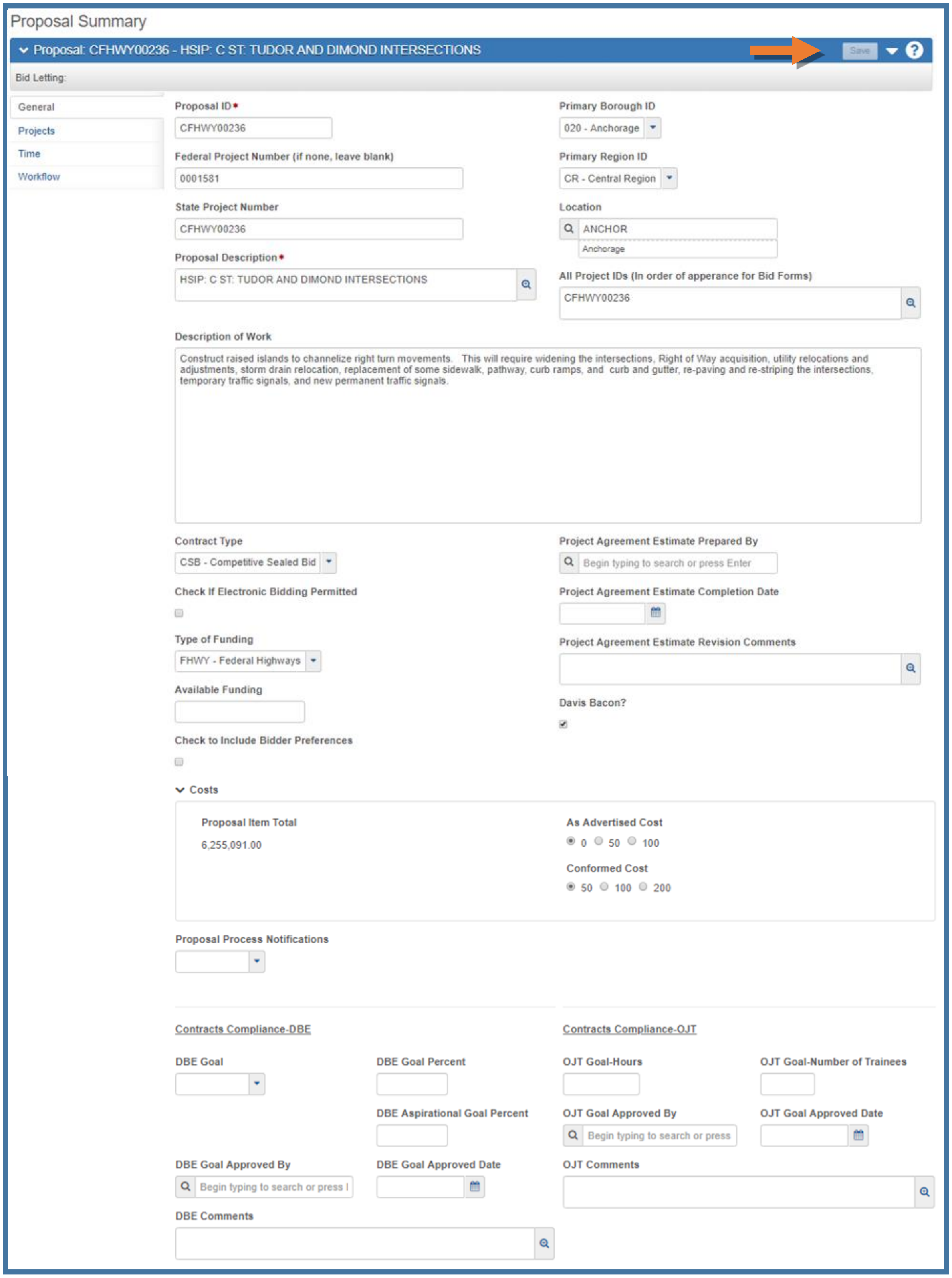
Proposal Summary
Proposal: CFHWY00236 - HSIP: C ST: TUDOR AND DIMOND INTERSECTIONS
Save
Bid Letting:
General
Projects
Time
Workflow
Proposal ID
CFHWY00236
Federal Project Number (if none, leave blank)
0001581
State Project Number
CFHWY00236
Proposal Description
HSIP: C ST: TUDOR AND DIMOND INTERSECTIONS
Primary Borough ID
020 - Anchorage
Primary Region ID
CR - Central Region
Location
ANCHOR
Anchorage
All Project IDs (In order of apperance for Bid Forms)
CFHWY00236
Description of Work
Construct raised islands to channelize right turn movements. This will require widening the intersections, Right of Way acquisition, utility relocations and adjustments, storm drain relocation, replacement of some sidewalk, pathway, curb ramps, and curb and gutter, re-paving and re-striping the intersections, temporary traffic signals, and new permanent traffic signals.
Contract Type
CSB - Competitive Sealed Bid
Check If Electronic Bidding Permitted
Type of Funding
FHWY - Federal Highways
Available Funding
Check to Include Bidder Preferences
Project Agreement Estimate Prepared By
Begin typing to search or press Enter
Project Agreement Estimate Completion Date
Project Agreement Estimate Revision Comments
Davis Bacon?
Costs
Proposal Item Total
6,255,091.00
As Advertised Cost
0 50 100
Conformed Cost
50 100 200
Proposal Process Notifications
Contracts Compliance-DBE
DBE Goal
DBE Goal Percent
DBE Aspirational Goal Percent
DBE Goal Approved By
Begin typing to search or press I
DBE Goal Approved Date
DBE Comments
Contracts Compliance-OJT
OJT Goal-Hours
OJT Goal-Number of Trainees
OJT Goal Approved By
Begin typing to search or press
OJT Goal Approved Date
OJT Comments

Figure 5.7

Once you've created your proposal, the proposal opens up in the **General** tab (*Figure 5.7*). If you created a Proposal from a Project, you'll notice that some of the Project Summary information transferred to the Proposal Summary. Complete the fields using the field tool tips of the Proposal Summary Data Fields table at the end of this chapter for guidance. Once you are finished, click **<Save>**. Keep in mind that fields may be filled out at different times as the proposal progresses through the PS&E phase.

Modifying Proposal Summary General information after a proposal has been created:

1. From the Proposal Overview component on the dashboard, (A) search for and (B) select the proposal you want to edit or modify (*Figure 5.8*).

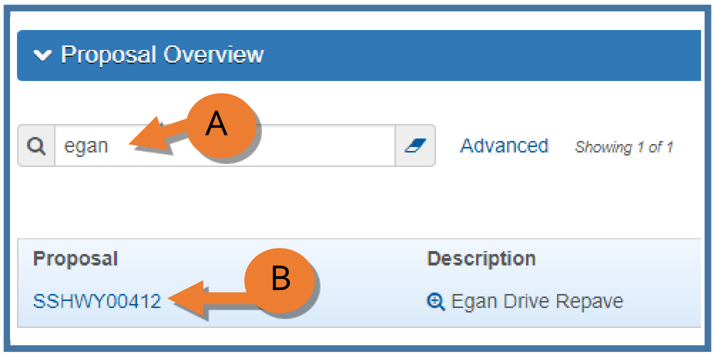

Figure 5.8

2. Modify as needed using the field tool tips of the Proposal Summary Data Fields table at the end of this chapter for guidance.
3. Click **<Save>**.

5.3 Managing Projects on a Proposal

The Projects tab contains a list of all the projects currently associated to the proposal. Once a project is associated to a proposal, it cannot be associated to another proposal unless it is removed from the first proposal. If a proposal is created from scratch, the project(s) must be associated. If the proposal is created from a project, the project is already associated. A proposal can contain a single project or many projects. If you are creating a multiple project proposal, be sure to edit the proposal summary information to include information for all associated projects.

NOTE: If creating a Proposal with more than one Project, use only the controlling Project ID as the Proposal ID.

To add a project (or another project) to a proposal (*Figure 5.9 – Figure 5.11*):

1. (A) In the Proposal Summary, click the **Projects** tab.
2. (B) Click the **<Select Projects>** button.

Figure 5.9

3. (C) Search for the project. NOTE: A minimum of a three (3) character string is required for the system to search. You can search by Project ID (State/IRIS number) or the Project Name
4. (D) Select the project(s) to be added. Projects selected will be noted with a green checkmark.
5. (E) Click the **<Add to Proposal>** button on the lower right of the selection window.

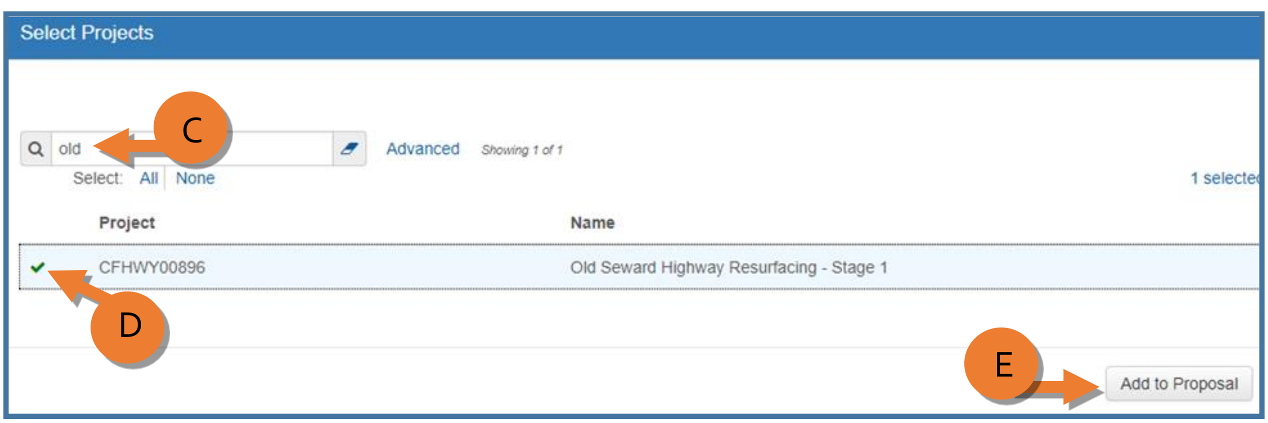

Figure 5.10

6. The project(s) added will be displayed on the Projects tab under the Proposal Summary component.
7. (F) Designate the Controlling Project by checking the **Control Proj** box in the project row.

Figure 5.11

To add a project to a proposal started from scratch (*Figure 5.12 – Figure 5.15*):

1. (A) In the Proposal Summary, click the **Projects** tab.
2. (B) Click the **<Select Projects>** button.

Figure 5.12

3. (C) Search for the project. NOTE: A minimum of a three (3) character string is required for the system to search. You can search by Project ID (State/IRIS number) or the Project Name
4. (D) Select the project(s) to be added. Projects selected will be noted with a green checkmark.
5. (E) Click the **<Add to Proposal>** Button on the lower right of the selection window.

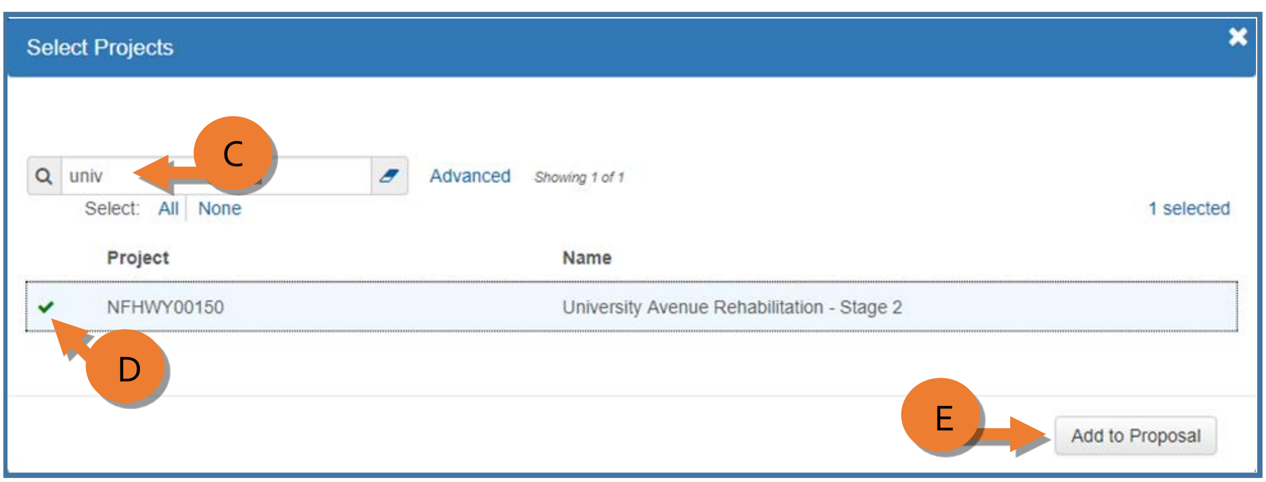

Figure 5.13

6. (F) Designate the Controlling Project by checking the **Control Proj** box in the project row.
7. (G) Click **<Save>**.

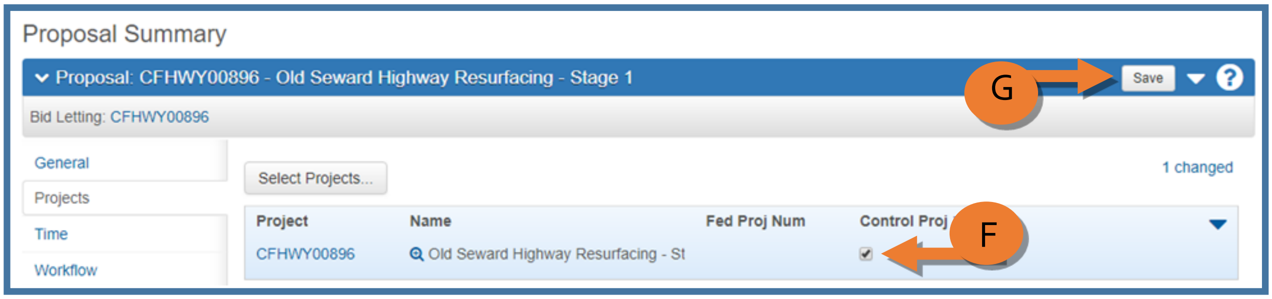

Figure 5.14

8. (H) Expand the row **action menu** for the controlling project row.
9. (I) Select **<Import Project Data>** to pull Project Summary information into the Proposal Summary component.

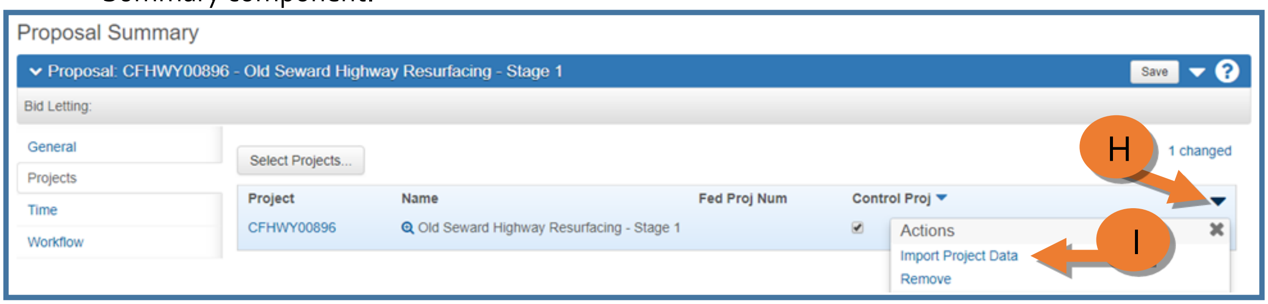

Figure 5.15

To remove a project from a Proposal (*Figure 5.16*):

1. (A) In the Proposal Summary, click the **Projects** tab.
2. (B) Expand the **action menu** on the project row for the project you want to remove.
3. (C) Select **Remove**. The system saves the changes automatically.
   NOTES:
   - If you are removing the controlling project, make sure to designate another project on the proposal as the controlling project.
   - If you remove a project from a proposal, remember to modify the Proposal Summary general tab information to reflect the change.
   - This process disassociates the project from the proposal. The project is not deleted from the system, but becomes available to be added to a different proposal.

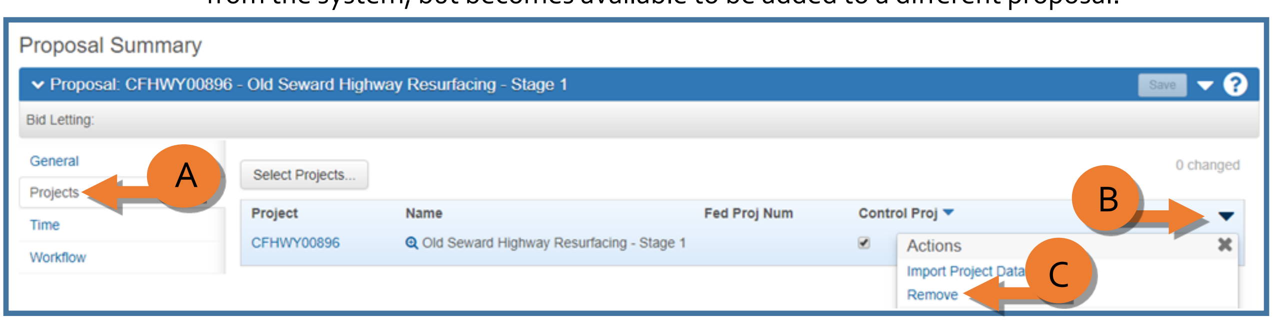

Figure 5.16

NOTE: Proposal Users can navigate to the Project to view project information or update Tentative Advertising info by clicking the Project link (*Figure 5.17*).

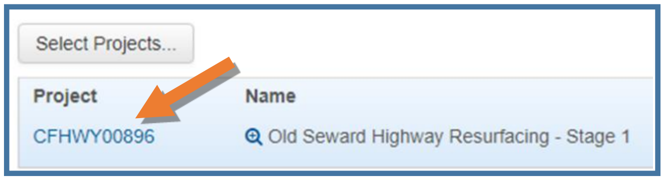

Figure 5.17

5.4 Adding or Editing Proposal Time

(*Figure 5.18*)

1. (A) In the Proposal Summary, click the **Time** tab.
2. (B) Click **<New>**.
3. (C) From the **Time Type** dropdown, select the appropriate time type (Completion Date, Calendar Days, or Working Days). The time type selection will make either the Completion Date Calendar field required or the Number of Days field required.
4. (D) In the **Liquidated Damages Rate** field, enter the correct liquidated damages rate per day for your proposal

    NOTE: The possible LD rates for all the types and sizes of projects was too varied to be able to populate a set list for users to select from.
5. (E) Click the **Completion Date calendar icon** and select the appropriate date or in the **Number of Days** field, enter the number of calendar days in which the contractor has to complete the project.

    NOTE: If your proposal time is calendar days which must be completed before a completion date, select Completion Date as your time type, but input the calendar days in the Number of Days field.
6. (F) Click **<Save>**.

    NOTE: The Proposal Time fields (including the LD rate) are specifically for populating contract documents. Construction will have the ability to assess LDs (or not) as appropriate.

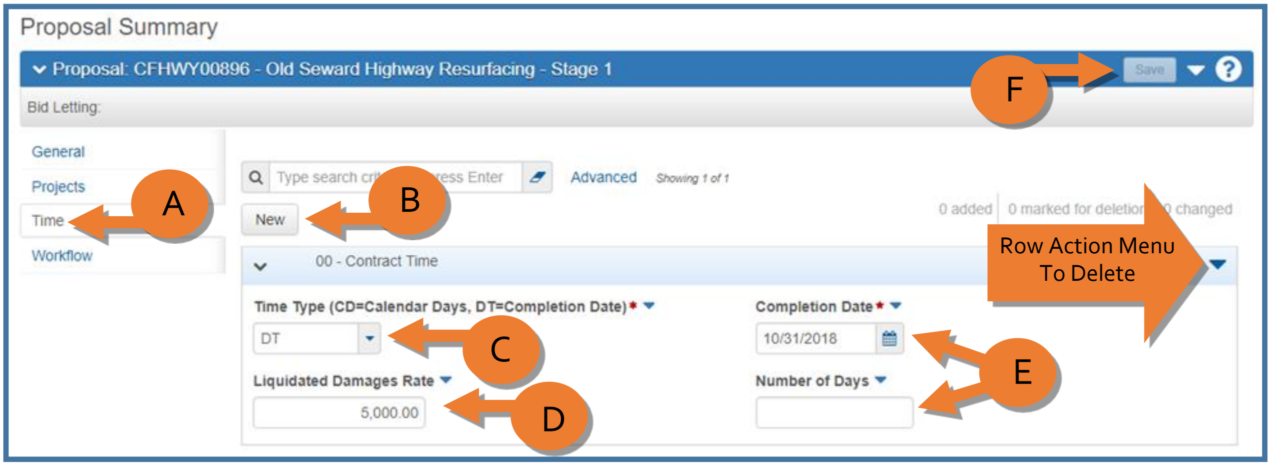

Figure 5.18

To modify a proposal Time record imported is not necessary to delete the existing Time record and create a new one. Simply modify the existing record:

a. From the Proposal Summary you want to change, click the **Time** tab.
b. Modify the time record data as necessary.
c. Click **<Save>**.

To delete a proposal Time record:

d. Locate the Time record you want to delete.
e. Expand the **row actions menu** on the right side and select **Delete** (see *Figure 5.18*). The Time record is marked for deletion and users may "undo"  the action until the user clicks **<Save>**.

5.5 Managing Proposal Workflow

Chapter two (2) contains information on workflow and the eight (8) Alaska DOT&PF workflow phases.

Workflow is only discussed here due to its location within the Proposal Summary component. *Proposal Users* and *Letting Users* only have access to change the workflow phase. All other roles have no access to workflow. Individuals with Proposal User role will only change the workflow one time, to **Proj Design & Review**, when the project is ready to be actively designed. Directions on that specific workflow phase change are detailed in chapter three (3).

To update the proposal workflow (*Figure 5.19*):

1. (A) From the Proposal Summary component click the **Workflow** tab.
2. (B) From the **Workflow** dropdown, select **Alaska DOT&PF**.
3. (C) From the **Workflow Phase** dropdown, select the appropriate workflow phase.
4. (D) Click **<Save>**.

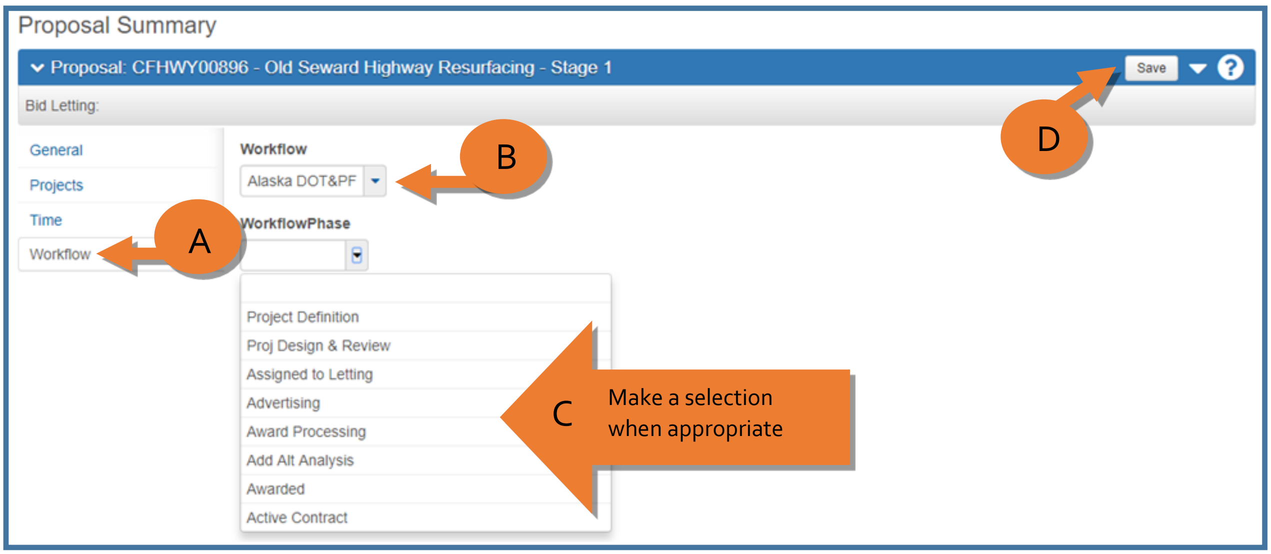

Figure 5.19

5.6 Generating Proposal Sections

The Proposal Sections and Items component allows you to organize the project items and categories into sections for bidding and to generate new proposal line numbers. In nearly every case, Proposal Users will have the system generate sections.

To auto generate proposal sections:

1. From the Proposal Summary component, click the **Sections and Items** quick link at the top of the Proposal component screen (*Figure 5.20*).

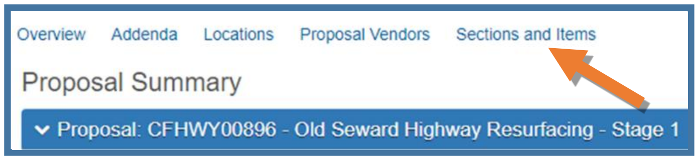

Figure 5.20

(*Figure 5.21*)

2. (A) Expand the Proposal Sections and Items component **action menu**.
3. (B) Select **Auto Generate Sections**.

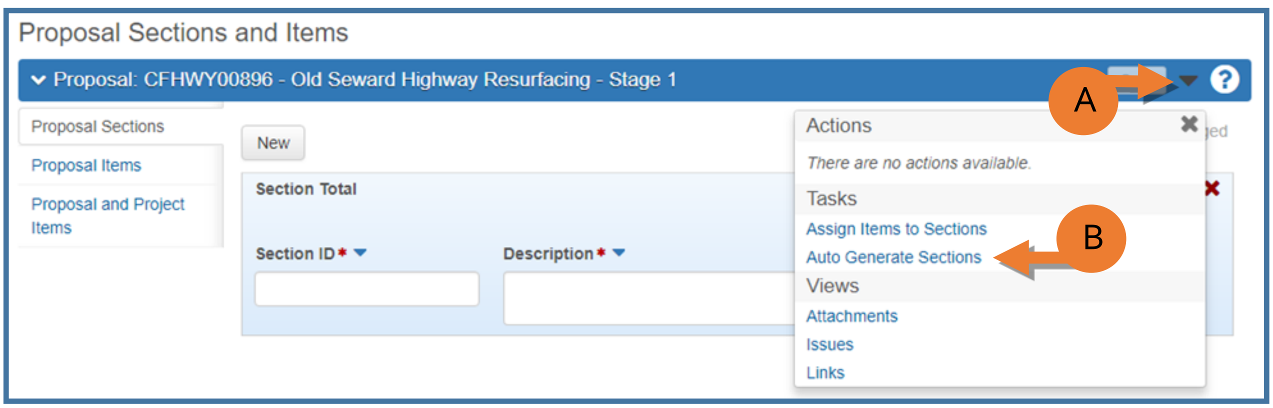

Figure 5.21

NOTES:

- Auto generating proposal sections will pull each unique project category (that was not marked to combine with like categories) into matching proposal sections.
- Any time a project item is added or modified after the proposal has been created, you must Auto Generate Sections again.
- If you are advertising two projects with Basic Bid sections on your proposal, you must add the project IDs to the corresponding Basic Bid Descriptions to distinguish the sections on reports and for contractor's bidding (i.e. Basic Bid – SFHWY00878).

For proposals with additive alternates or multiple NTPs, uncheck the **Basic Bid** box for all but the actual Basic Bid section (or NTP 1 section for aviation projects) (*Figure 5.22* and *Figure 5.23*).

4. Click **<Save>**.

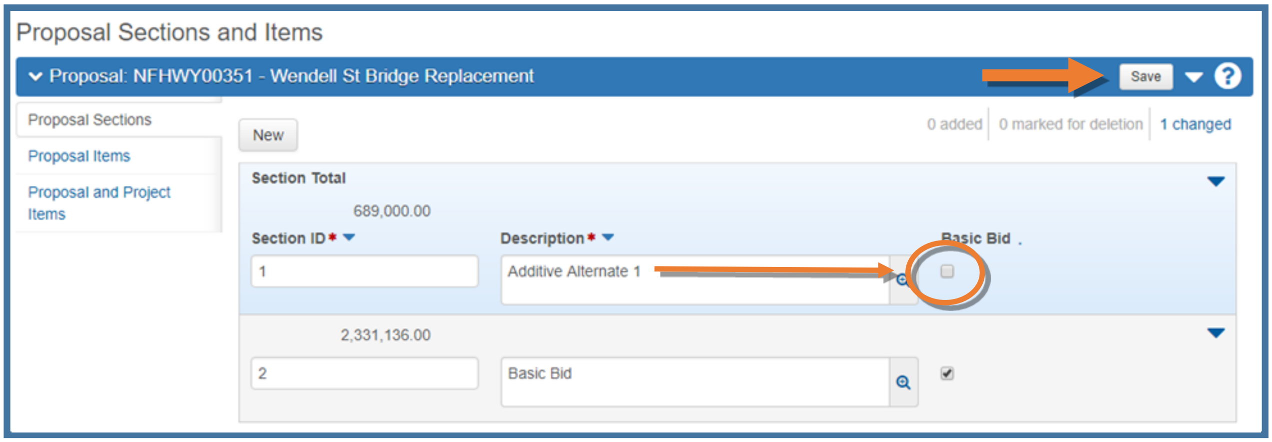

Figure 5.22

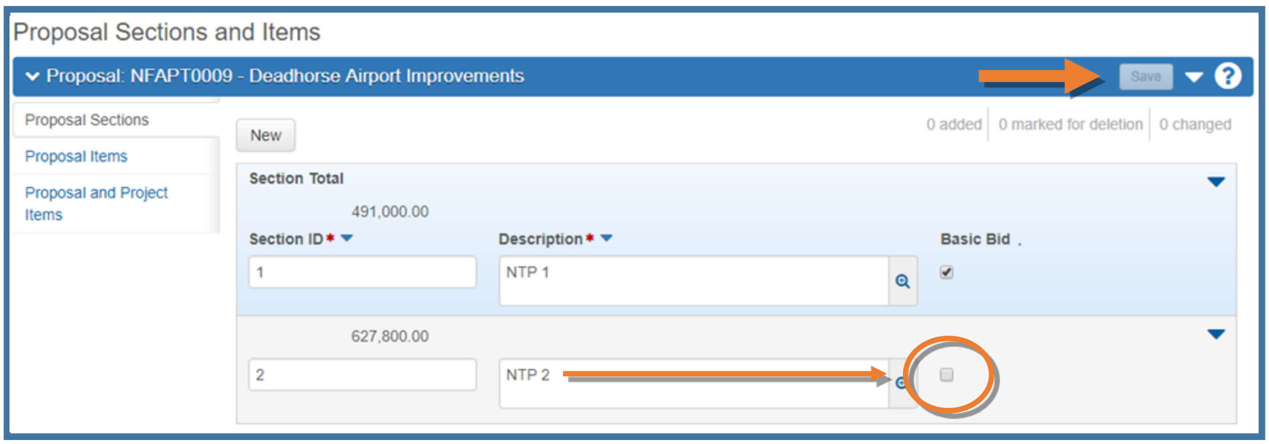

Figure 5.23

To manually generate proposal sections (*Figure 5.24* - *Figure 5.26*):

NOTE: This function will be used only in very rare cases.

1. From the Proposal Summary component, click the **Sections and Items** quick link at the top of the Proposal component screen (see *Figure 5.20*).
2. (A) Enter the section ID/name in the **Section ID** field.
3. (B) Enter the section description in the **Description** field.
4. (C) Click **<Save>**.

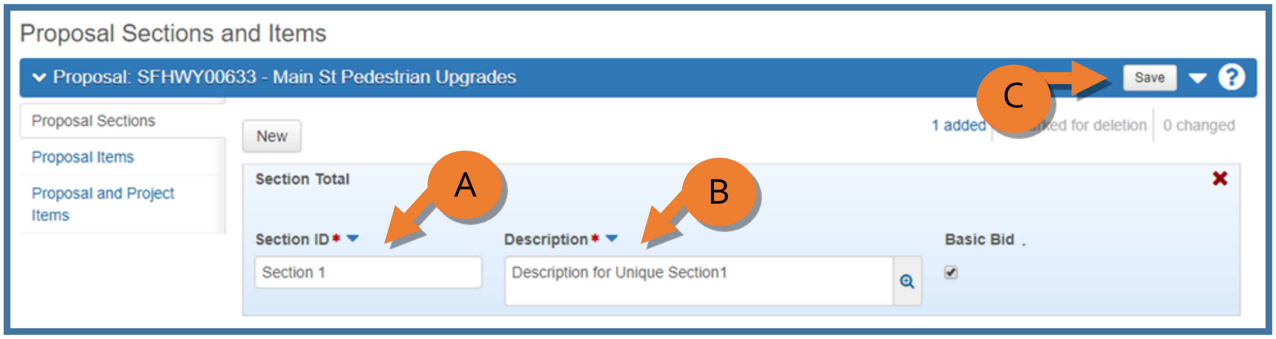

Figure 5.24

5. (D) Expand the Proposal Sections and Items component **actions menu**.
6. (E) Select **Assign Items to Sections**.

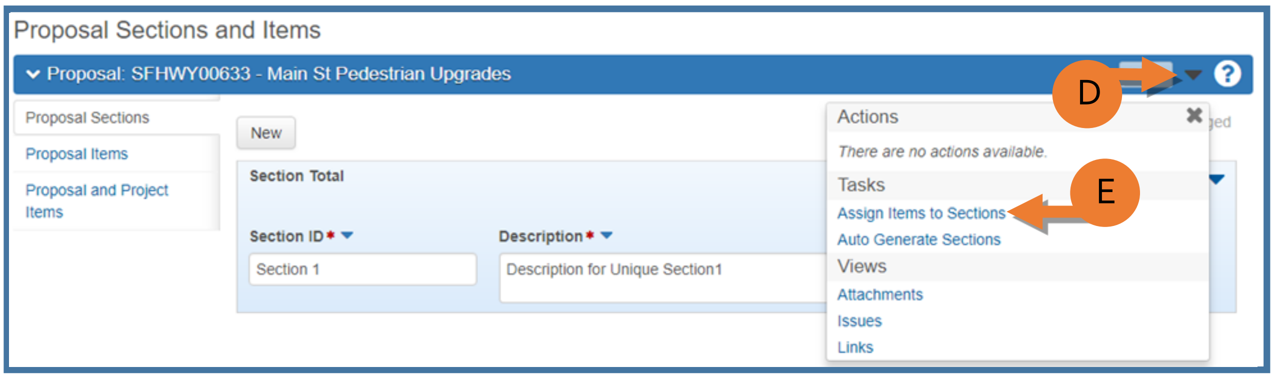

Figure 5.25

7. (F) Mark the appropriate radio button to assign individual items to a section.
8. (G) Click **<Save>**.

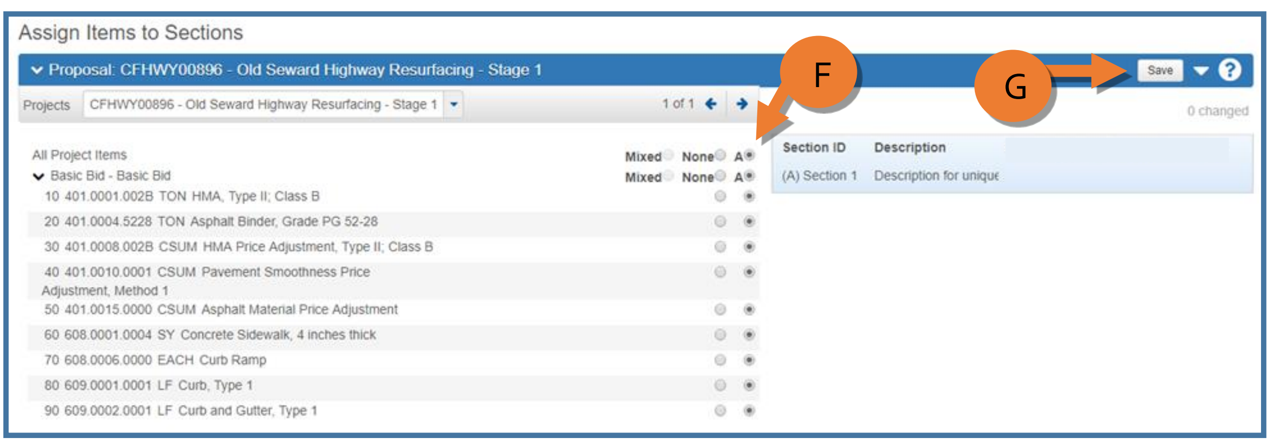

Figure 5.26

5.7 Proposal Items & Proposal and Project Items

The Proposal Items tab provides a read-only summary view of the bid schedule items in the proposal, except the Bid Schedule Supplemental Description and the DBE designation. Adding/deleting items or changes to items (quantity or unit price changes) must be made at the project item level (in the Project User role).

1. From the Proposal Summary component, click the **Sections and Items** quick link at the top of the Proposal component screen (see *Figure 5.20*).
2. Select the **Proposal Items** tab (*Figure 5.27*).

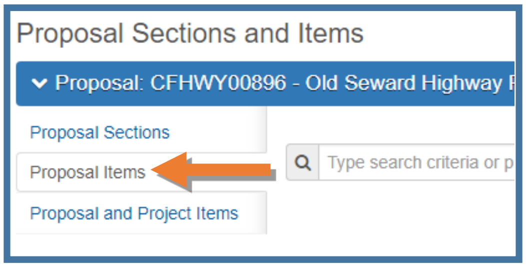

Figure 5.27

3. Review the Proposal Items for accuracy.

NOTES:

- This is the bid schedule that contractors will see in Bids/Bid Express.
- This screen is where items are marked as DBE (and the DBE Work Category chosen) to be included in the DBE goal. The person assigned this task varies from region to region. See DBE/OJT Goal Creation chapter six (6).
- If you add new items to one or more of the projects on the proposal after you have generated sections, you must Auto Generate Sections again to make sure the new project items are transitioned to proposal items.

To view Proposal and Project Items:

1. Select **the Proposal and Project Items** tab (*Figure 5.28*).

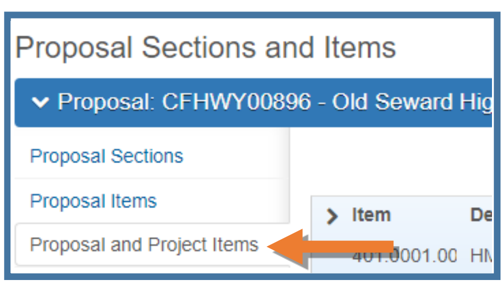

Figure 5.28

2. Click the **Expand/Collapse** arrow for a proposal item to view the associated project items (*Figure 5.29*).

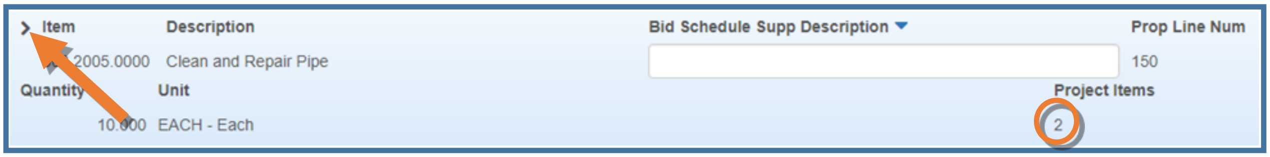

Figure 5.29

Each proposal item contains its project item or items (*Figure 5.30*). Roll Up items will appear under their proposal item. The number of project items contained within a proposal item is listed.

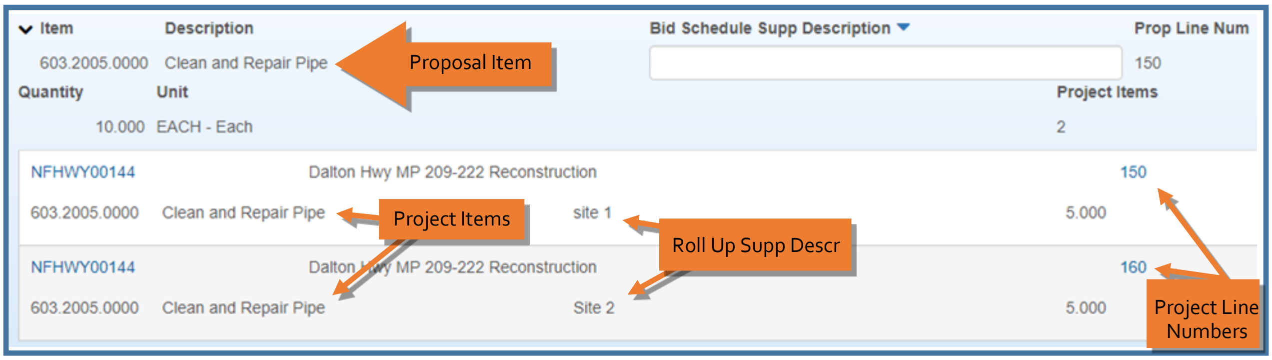

Figure 5.30

5.8 Proposal Location Summary

The Proposal Location summary contains a read-only view of the information related to where the work will take place for all projects in the proposal. Proposal Users can view but not change the information. Changing location information must be done on the Project Summary (in the Project User role).

Proposal Location information is reached by clicking the **Locations** quick link on the top of the Proposal Summary component screen (*Figure 5.31*).

Figure 5.31

Information is grouped on five tabs that correspond to the project tabs (*Figure 5.32*):

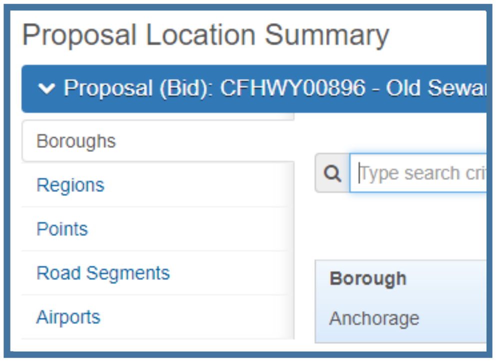

Figure 5.32

5.9 Proposal Validation

Proposals must be valid before they can be included in a Letting (advertised). Proposals have a validation process that generates a list of warnings about the state of the proposal. There are two validation processes that must be run: the system proposal validation and the Proposal Validation report – each validation checks different fields. Validations check for any missing or incomplete information in the proposal, but do not check if the value in each field is correct as the information may vary greatly based on the type of proposal. Running proposal validation also performs project validations for the associated projects. NOTE: Some validation errors relate to fields that don't have information ready to enter yet (i.e. the CENG% from Construction amount). The validations are meant to catch things that should be completed and a reminder of information yet to enter.

To validate a proposal:

1. From the Proposal Overview component on the Dashboard, search for and select the proposal you want to validate (see *Figure 5.8*). You will be taken to the Proposal Summary component.
2. System validation (*Figure 5.33*):
   a. (A) Expand the proposal summary component **action menu** on the right side of the header.
   b. (B) Select **Validate Proposal**.

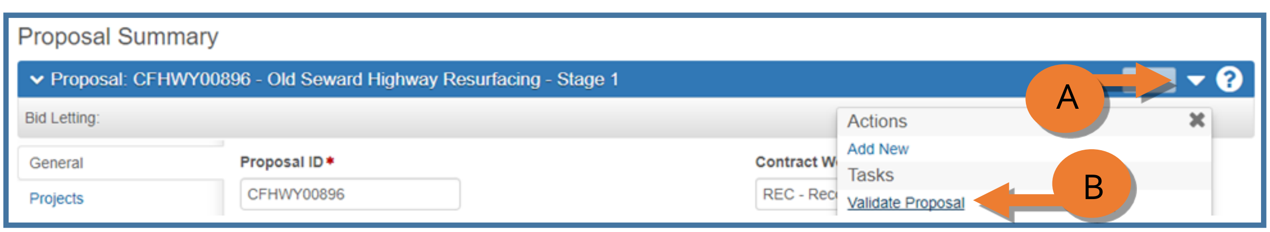

Figure 5.33

c. A **Proposal Validation Results** window will open in a new tab and will notify you whether this is a valid proposal (*Figure 5.34*) or will list warnings for missing or invalid data (*Figure 5.35*).

NOTE: Zero quantity Contingent Sum items will show up as warnings. These are okay, just make sure they are actually your zero quantity CS items. Each item will show up in two errors, the project item error and the proposal item error. Fix any other validation errors.

Proposal Validation Results

Proposal '63293x' is valid.
Project '63293x' is valid.

Figure 5.34

Proposal Validation Results

No Proposal Time has been associated with Proposal 'CFHWY00896' that has been identified as Main Time.
Proposal '', ProposalItem '10': Item has an invalid quantity.
Proposal '', ProposalItem '10': Item has an invalid price.

Figure 5.35

3. Report validation (*Figure 5.36*):
   a. (A) Expand the Proposal Summary component **action menu** on the right side of the header.
   b. (B) Select **Proposal Validation Report**.

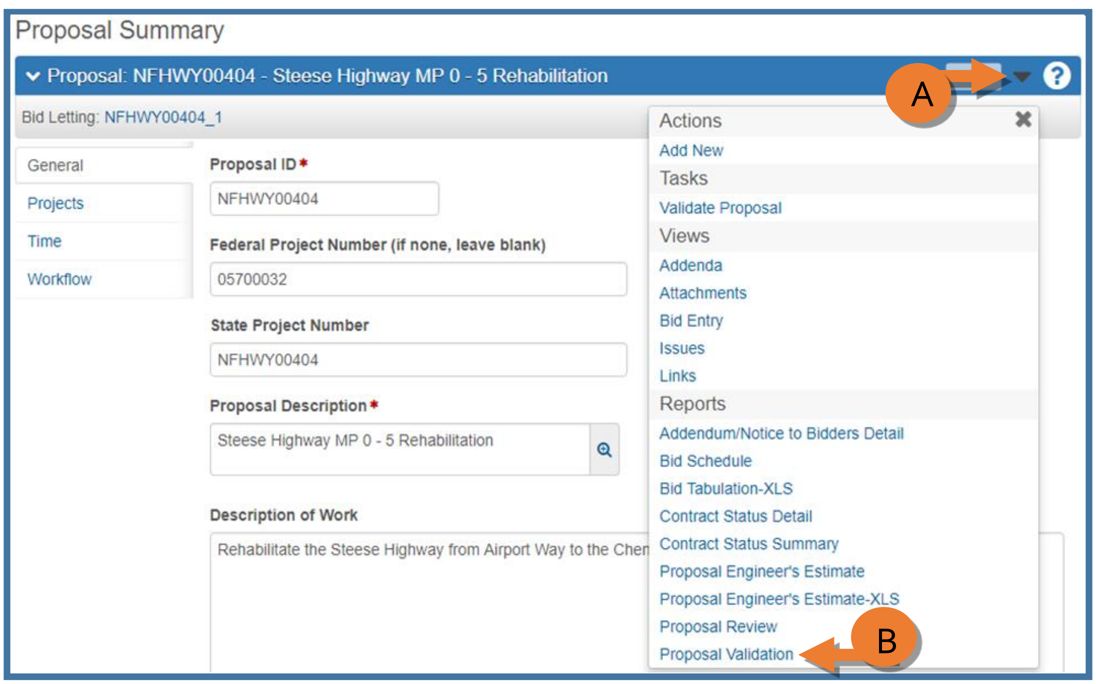

Figure 5.36

c. Click **<Execute>**.

Figure 5.37

d. A new tab will open with the Proposal Validation Report and will notify you whether this proposal is valid or will list warnings for missing or invalid data (see *Figure 5.34* and *Figure 5.35*).

4. Correct any errors identified and validate the proposal again.

5.10 Proposal Engineer's Estimate Report

Generating the Proposal level Engineer's Estimate PDF report or XLS spreadsheet:

1. From the Proposal Overview component on the Dashboard, search for and select the proposal (see *Figure 5.8*). You will be taken to the Proposal Summary component.

   (*Figure 5.38*)
2. (A) Expand the Proposal Summary component **action menu** on the right side of the header.
3. (B) Select **Proposal Engineer's Estimate** or **Proposal Engineer's Estimate-XLS**.

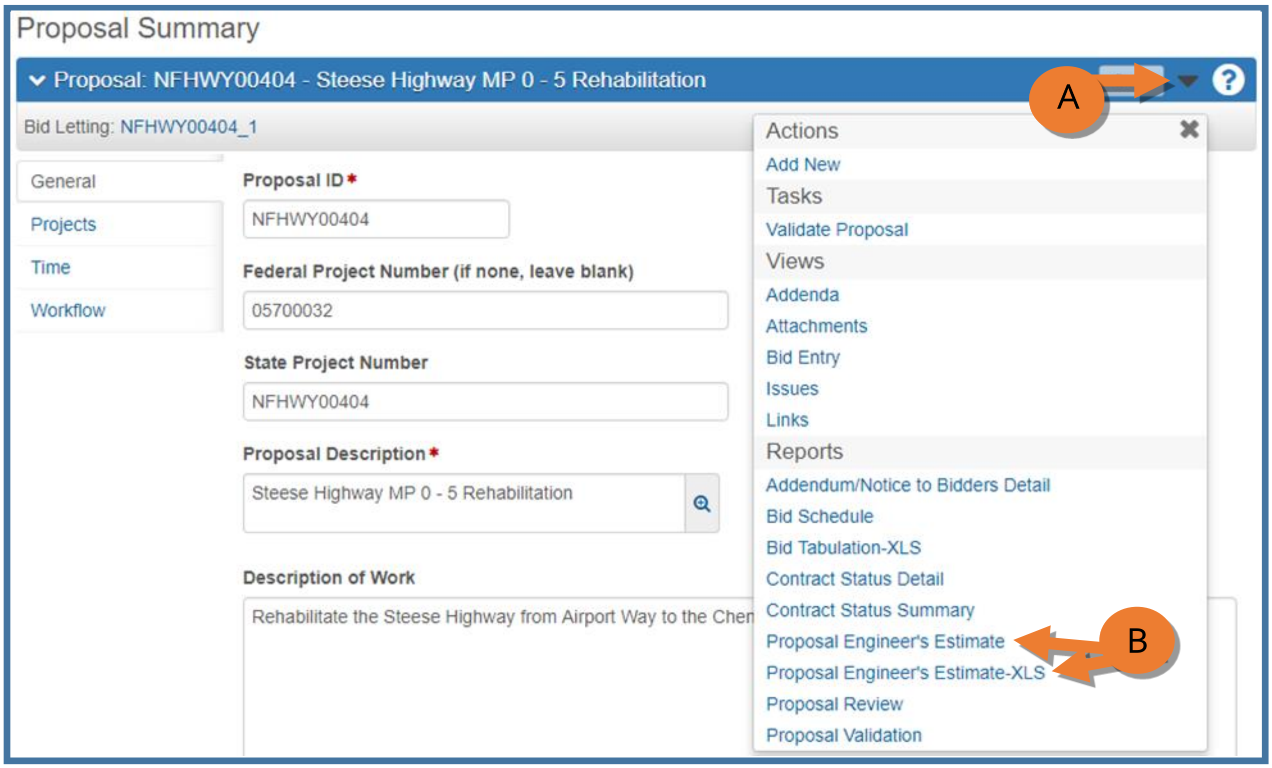

Figure 5.38

4. (C) Click **<Execute>** (*Figure 5.39*).

Figure 5.39

For a full list of reports, see chapter 10.

5.11 DBE Goal Item Selection

When the Proposal Engineer's Estimate is complete for FHWA projects, the RCCL (Regional Contracts Compliance Liaison) needs to be notified to create the goals and enter them into the Proposal Summary General tab for the proposal. Instructions for this process are in chapter six (6).

The DBE item selection process varies region to region. Those with the Proposal User role or the RCCL User role can designate proposal items as DBE items and select the work category for the item. If this is completed by Proposal Users in your region, follow the steps below (*Figure 5.40*):

1. From the Proposal Overview component on the Dashboard, search for and select the proposal you want to edit or modify (see *Figure 5.8*).
2. In the Proposal Summary component, click the **Sections and Items** quick link at the top of the Proposal component screen (see *Figure 5.20*).
3. (A) Select the **Proposal Items** tab.
4. (B) Check the **DBE** box for DBE items.
5. (C) In the **DBE Work Category** field, search for and select the appropriate work category for the item.
6. Repeat for all DBE items.
7. (D) Click **<Save>**.

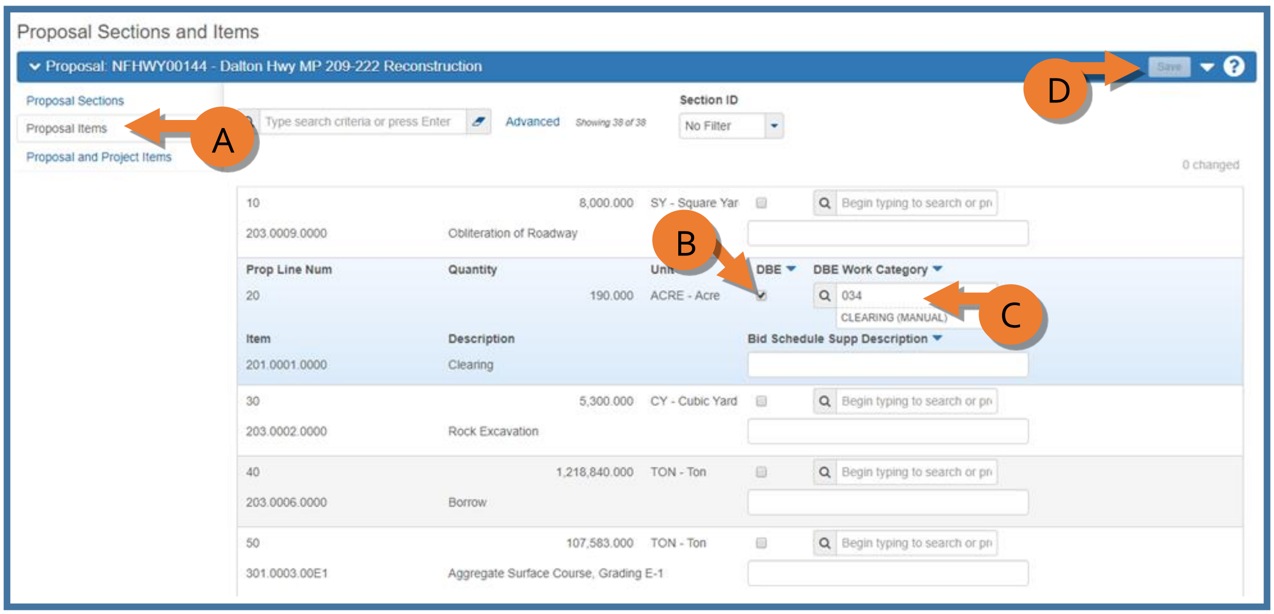

Figure 5.40

Notify the RCCL (Regional Contracts Compliance Liaison) to complete the goal creation process once you are ready.

5.12 Proposal Summary Data Fields

Tab	Field	Req'd	Description
General	Proposal ID	Yes	State/IRIS number(s) assigned to the proposal. Will be Project ID or combo of Project IDs if multiple projects on proposal. Add additional numbers if more projects added to proposal.
	Federal Project Number	Yes	Federal number(s) assigned to the proposal. Will be Project Federal Number or combo of Project Federal Numbers if multiple projects on proposal. Add additional numbers if more projects added to proposal.
	State Project Number	Yes	State number(s) assigned to the proposal. Will be Project ID or combo of Project IDs if multiple projects on proposal. Add additional Project IDs if more projects added to proposal.
	Proposal Description	Yes	Name(s) of Project(s) included in the Proposal. If created proposal from project and then added additional project(s), make sure to edit proposal Description to include other project(s).
	Description of Work	Yes	A description of the work to be completed on the contract and possibly location information as well. If creating a proposal with multiple projects, make sure to add additional project information to the proposal.
	Primary Borough ID	Yes	Select the borough in which all or a majority of the proposal work will be done.
	Primary Region ID	Yes	Select the region in which all or a majority of the proposal work will be done.
	All Project IDs (In Order of Appearance for Bid Forms)	No	If Proposal has more than one project, add all Project IDs on the Proposal into this field in the order they should appear on the Bid Forms.
	Location	Yes	Search for and select the location of or closest location to the work included in the proposal.
	Contract Type	Yes	Select the Procurement method for the proposal from the dropdown list.
	Check if Electronic Bidding Permitted	No	Check this box if bidders have the option to submit bids electronically for this proposal.
	Type of Funding	Yes	Select the Funding Type for the proposal from the dropdown list.
	Available Funding	No	Ener the funding allocation or limit for the proposal. Used when selecting addititive sections.
	Check to Include Bidder Preferences	No	Check this box when bidder preferences apply to the proposal. Marking this box will make the Bidder Preferences area appear for contractors to enter information when bidding.
	PAE Prepared By	No	Search for and select the person who prepared the Final Project Agreement Estimate.
	Proj Agr Est Comp Date	No	Select the date the Final Project Agreement Estimate was completed.
	PAE Revision Comments	No	If the Final Project Agreement Estimate is revised, please explain when and why.
	Davis Bacon?	No	Check this box if Davis Bacon applies. Marking this box is necessary for DOL to receive the automatic notification when the Letter of Award date is entered on the Letting.

	Proposal Item Total	N/A	The total estimated cost of all Proposal items. Does not include CENG or ICAP. This is a non-editable field that calculates from the items of the project(s) associated to the proposal.
	As Advertised Cost	No	Select the cost to the contracting community of an As Advertised set of plans and specs.
	Conformed Cost	No	Select the cost to the contracting community of a Conformed set of plans and specs.
	Proposal Process Notifications	No	A list of steps in the Proposal process that coincide with email notifications. Select the appropriate step and click Save to trigger the associated notifications. You may select the same step more than once to trigger repeat notifications if necessary. Currently the only Proposal Process Notification is Notify Plan Holders when addenda or notices to bidders are issued. More may be added later.
	DBE Goal	No	If there is a DBE Goal on the project, select the type of DBE goal from the dropdown list.
	DBE Goal Percent	No	Enter the percent of the proposal item total that is eligible for DBE participation.
	DBE Aspirational Goal Percent	No	The DBE goal participation amount AKDOT&PF strives to meet in order to stay race neutral.
	DBE Goal Approved By	No	The name of the CRO peron who reviewed and approved the DBE Goal.
	DBE Goal Approved Date	No	The date the CRO person approved the DBE Goal.
	OJT Goal - Hours	No	Enter the number of hours calculated in the OJT goal spreadsheet.
	OJT Goal - Number of Trainees	No	Enter the number of trainees that will be required to meet the OJT hour requirement.
	OJT Goal Approved By	No	The name of the CRO person who reviewed and approved the OJT Goal.
	OJT Goal Approved Date	No	The date the CRO person approved the OJT Goal.